SOLANO COUNTY CALIFORNIA PROBATION DEPARTMENT	POLICY NUMBER: 101	EFFECTIVE DATE: December 23, 2019
	SUPERSEDES: February 25, 2019	
APPROVED BY: CHIEF PROBATION OFFICER	TITLE: **ADULT PROBATION STAFF SUPERVISION AND RECIDIVISM REDUCTION**	

1. **Policy** – The Solano County Probation Department (Department) Supervisors and Managers shall positively contribute to Probation Officer's efforts to reduce future client reoffending by providing their staff with feedback, support, and coaching on staff activities that have been correlated with changing criminal behavior.

2. **Definitions** – (***Attachment A***)

3. **Procedures** – The following supervisor activities shall be conducted to assist Deputy Probation Officers (DPO's) in carrying out their client behavior change case responsibilities. Supervising Deputy Probation Officers (SDPO's) who supervise DPO's who have an assigned supervision caseload shall carry out the following staff supervision activities in accordance with this policy.

   A. Staff Supervision Journal Meeting – At a minimum of quarterly, a Staff Supervision Journal Meeting shall be conducted by a SDPO with each individual DPO who is a direct report. During this meeting, the SDPO and DPO shall discuss the DPO's performance and if a DPO's performance is not meeting standards either overall or in a significant job standard(s), the SDPO shall meet with the DPO at least monthly until the DPO's performance improves. During a DPO's probationary period, in addition to routine meetings for purposes of training, the SDPO shall meet with the DPO at least monthly to review and discuss overall activities that have taken place, as well as future caseload goals and objectives that should be developed. Any discussions concerning the DPO's work performance shall be recorded by the SDPO in the DPO's Employee Journal which shall be signed by the DPO. For further information on Employee Journals, see ***Attachment B***. In addition the following items shall be discussed as appropriate:

      (1) Any unfinished business or follow-up items from a previous Staff Supervision Journal Meeting.

      (2) Any DPO issues, concerns or needs.

      (3) Recent successes including cases that are doing well, or projects in which the DPO has been involved.

(4) Cases that either the DPO or SDPO is concerned about, and brainstorming new approaches or next steps.

(5) How the SDPO can help the DPO with any work activities connected to applying evidence-based practices (EBP).

(6) Cases that are being considered for reducing or increasing the level of supervision.

(7) Status of warrants and client non-compliance issues.

(8) The DPO's specific work performance.

(9) Any upcoming training or professional development opportunities that staff may be interested in or could benefit from.

(10) The DPO's general job satisfaction.

B. Full Case Audits – For cases classified as Level 4, 3 or 2 the SDPO shall in concert with the DPO complete a minimum of two (2) individual client Case Audits every six months for each DPO they supervise. The Supervision Case Audit Form (***Attachment C***), shall serve as a guide for reviewing the case and if retained in the employee's Staff Supervision File, signed by the employee.

(1) In a mixed caseload, all risk classifications shall be reviewed during the year with an emphasis on Level 4 and 3 supervision cases.

(2) The cases reviewed during the year should be a representative sample. Some of the cases shall be randomly selected while others shall be chosen by a combination of the following methods: Cases submitted for violation, cases being discharged, cases which require a SDPO's involvement due to a DPO's questions or external inquiries.

(3) Cases reviewed shall normally be limited to those clients who have been under the DPO's supervision for a minimum of three (3) months.

(4) The SDPO's Manager shall be informed each time a Case Audit is to be completed so they may at their discretion, participate in the Audit.

C. Abbreviated Case Audits – In addition to the Full Case Audits as outlined in B. above, the SDPO shall independently or in concert with the supervision DPO conduct an Abbreviated Case Audit every 2 months on a minimum of 2 selected cases for each supervision DPO they supervise. Only the standards that are bolded on the Supervision Case Audit Form (***Attachment C***) need to be audited. If the result of the audit is retained in the employee's Staff Supervision File, it shall be signed and dated by the employee in the Comments Section of the Form.

(1) Cases reviewed shall normally be limited to those clients who have been under supervision for a minimum of three (3) months.

(2) If any standard has not been met in the two cases reviewed, the Manager shall be informed, and an Abbreviated Case Audit shall be conducted within 30 business days from completion of the present audit.

D. Client Contact Review – At a minimum of quarterly for cases classified Level 4, 3, or 2, the SDPO shall ensure that each DPO reporting to them is provided feedback while interacting with a client. Feedback shall be provided by the individual conducting the review by listening with the DPO to a recorded audiotape of the client interaction, and reviewing the Client Contact Review Guide (***Attachments D1- D6***) that corresponds with the activity being reviewed.

(1) The DPO shall be provided with direct feedback and coaching at the time the SDPO and DPO are listening to the audiotape.

(2) The SDPO shall consult with their Manager when, in the opinion of the SDPO, the DPO needs additional training in Motivational Interviewing, EPICS II, or other evidence-based practices.

(3) At a minimum a Client Contact Review shall as applicable, be completed for each DPO on the following activities every 24 months:

a. Initial Face-to-Face Contact

b. Assessment Feedback

c. Assessment Feedback and Change Planning

d. Change Planning

e. General Face-to-Face Client Contact

f. Response to Non-Compliance

(4) Upon approval by a Manager, an SDPO may conduct a Client Contact Review with the assistance of an employee designated by the Manager, or in a group setting with the DPO who is being reviewed and other DPO's designated by the SDPO.

(5) Upon approval by the impacted Managers, a Department's Quality Assurance and Implementation Analyst may conduct a Client Contact Review for the SDPO. In such cases, the SDPO shall participate in a minimum of two Client Contact Reviews with each of their DPO direct reports annually.

E. Case Study Discussion – The SDPO, or upon approval of the impacted Managers a Quality Assurance Implementation Analyst, shall at a minimum of twice a year meet with their direct reports in a group that supervises Level 4, 3, or 2 clients, and review one or more selected client cases. The completed initial LS/CMI, TCUDS-5, ASUS-R (if completed), CMHS, Court Conditions, and if available the Client Basic Needs Assessment and the What I Want To Work On Questionnaire shall be reviewed and discussed. From the review, the group shall discuss approaches and strategies for supervising the client toward a goal of achieving recidivism reduction to include program referral options and possible one-on-one supervision tools and/or activities. (See P-100 Adult Probation Case Classification and Supervision, Attachments O and S). The Assessment Review Guide (***Attachment E***) shall be used when reviewing the applicable Assessments. It shall be the responsibility of every SDPO to ensure that all of their DPO direct report staff can interpret and apply all of the above Assessments.

F. Change Plan Audits – Using the Solano County Adult Probation My Change Plan Review Guide (***Attachment F***), the SDPO or Senior DPO designee shall monthly review a minimum of one completed initial CP for each of the supervision DPOs who report to them. Feedback shall be provided to each supervision DPO as needed. When it is determined that a supervision DPO is proficient in developing collaborative CP's, the SDPO may discontinue the monthly CP Review for the designated supervision DPO.

G. Staff Meetings – On a monthly basis, the following meetings shall be conducted:

(1) Unit Meeting – The Adult Probation SDPO's shall meet with their staff to share information, discuss and address issues and concerns, and solve problems. All staff participants shall have an opportunity to recommend agenda items prior to the meeting. Case Study Discussions as outlined in 3.E. above may also be conducted during the Unit Meeting. A summary of the meeting shall be compiled and a copy provided to the appropriate Manager.

(2) Supervisors Meeting – All Adult Probation SDPO's shall meet (without the Managers) to share any issues or concerns, identify and when possible solve problems, and assist each other with any individual questions or issues.

(3) Managers Meeting – The Adult Probation Managers shall meet and conduct the same activities as described under the Supervisors Meeting above.

(4) Division Meeting – The Adult Probation Managers and SDPO's shall meet to share information, discuss and address issues and concerns, solve problems, make decisions, conduct planning, and conduct training. All participants shall have an opportunity to recommend agenda items prior to the meeting. The participating Managers shall alternate preparing the agenda and facilitating the meeting. A summary of the meeting shall be compiled and a copy provided to the Deputy Director.

4. **Modifications** – The relevant provisions of Section 3.B and C of this policy shall be adapted as appropriate for DPO's who are supervising sex offenders, Drug Court, or Veteran's Court clients.

5. **Manager Responsibilities**

A. Each Manager shall ensure that their direct report SDPO's are conducting the staff supervision activities in accordance with Section 3 of this policy.

B. At a minimum of quarterly each Manager shall meet individually with their direct report SDPO's and discuss and provide feedback on their implementation of this Policy (P-101), and any other performance related issues.

6. **Exceptions** – Any exceptions to the provisions set forth in this Policy shall require prior written approval from the Chief Probation Officer.

DEFINITIONS

A. **Case Audit** The process of reviewing selected cases of a supervising Probation Officer to determine whether the procedures set forth in Policy – 100, Adult Probation Case Classification and Supervision, as well as other good Case Management practices were followed.

B. **Case Study Discussion** A case discussion facilitated by a supervisor or designated employee with a group of Deputy Probation Officers regarding possible case specific recidivism reduction strategies based upon a review of the case Assessments and Court Ordered Probation Conditions.

C. **Client Contact Reviews** The process of a supervisor or designated employee reviewing audiotapes of a Deputy Probation Officer interacting with a client during a face-to-face contact, and providing the Officer with feedback, reinforcement, and guidance on their Evidence-Based Practices.

D. **Employee Journal** A document used to record information concerning an employee's performance.

E. **Staff Supervision and Journal Meeting** A regularly scheduled individual meeting between a supervisor and a direct report Deputy Probation Officer for the purpose of responding to questions and issues, providing performance feedback, and assisting in developing strategies for handling difficult cases.

F. **Staff Meetings** Monthly meetings facilitated by a Supervisor/Manager with all of their direct report staff to provide and share information and seek staff input.

EMPLOYEE JOURNAL

DOCUMENTATION OF PROBATION OFFICER JOB PERFORMANCE INFORMATION

PURPOSE AND OVERVIEW OF PROCEDURES

Supervising Deputy Probation Officer (SDPO) documentation of Probation Officer performance information is an important component of effective supervision of Probation Officers. This information shall be used as a basis to evaluate Probation Officer performance, acknowledge exceptional performance, and correct performance as needed. The documentation, which shall be logged into the Employee Journal for each Probation Officer, shall primarily be used as a method to record, in chronological order if possible, information about their performance. The SDPO shall share and discuss this information with Probation Officers and this will ensure that the Probation Officer is aware of the status of their job performance and allow them the opportunity to respond to Employee Journal entries.

NOTE: Employee Journal entries are not required for routine communication or directives to complete day to day tasks unless this is part of a performance improvement plan.

PROCEDURES FOR DOCUMENTING PROBATION OFFICER JOB PERFORMANCE INFORMATION

Significant Performance Information or Other Probation Officer Issues

Significant performance information or Probation Officer issues that shall be documented in the Employee Journals include, but are not limited to:

- Exceptional performance
    - Excellent work that is above and beyond the expectation for the task, either as related to a single task or a series of tasks.
    - Relevant compliments or commendations from other staff, outside agencies, or the public regarding outstanding performance.

- Substandard performance:
    - Not meeting a deadline or deadlines, not following Department Policy and Procedure, unacceptable quality in work, failure to follow supervisor directions, tardiness, etc.
    - Counseling memos, performance improvement plans, etc.
    - Progress or lack thereof in meeting performance plan objectives.

- SDPO expectations/directives (required only when it is imperative that there is no misunderstanding about the expectations / directives).

- A Probation Officer response to an Employee Journal entry (verbal or written).

Recording Employee Journal Information

In general the following shall be recorded in the Employee Journal entry:

- Date of meeting / discussion and/or date information received, etc.
- Person the SDPO met with and/or source of information
- Relevant performance information
- Date of Employee Journal entry

Attachments

- Documents which are separate from Employee Journal entries may be included in the Employee Journal. Such attachments include, but are not limited to:
    - Information regarding the Probation Officer from other persons, both positive and negative.
    - Work samples of the Probation Officer.
    - Copies of emails or other forms of communication exchanges.
    - Leave slips.

- Medical information (except such information that may be recorded by a Probation Officer on a leave slip) shall not be maintained in the Employee Journal.

Providing Probation Officers with Employee Journal Information – Probation Officer Signature/Response

- The SDPO shall have the Probation Officer review an Employee Journal entry or attachment placed in the Employee Journal within 14 days of the recording of the entry. If a Probation Officer is on leave and therefore not available to review the Employee Journal entry, the timeframe for review will be extended commensurate with the duration of the Probation Officer's leave.

- The SDPO shall have the Probation Officer read and sign each Employee Journal entry to acknowledge that they are aware of the entry. The SDPO shall also have the Probation Officer review Employee Journal attachments and have the Probation Officer sign an Employee Journal entry which acknowledges that the Probation Officer is aware of the attachment. If the Probation Officer refuses to sign the Employee Journal entry, the SDPO shall have another Supervisor or Manager bear witness to the refusal, and both shall sign a statement that the Probation Officer refused to sign the Employee Journal entry.

- At the request of the Probation Officer, the SDPO shall provide a copy of any or all Employee Journal entries. The SDPO shall have 48 hours (two business days) to comply with this request unless there are unusual circumstances which prevent the SDPO from meeting this timeline.

- The Probation Officer shall have 30 days from the time he/she reviews the Employee Journal entry to respond in writing to the entry. The written response shall be placed in the Employee Journal.

Retention of Employee Journal Entries and Information

Employee Journal entries and information shall be retained as follows:

- Employee Journal entries and information shall be retained until a performance evaluation is completed in which the entries and information are used in the appraisal of job performance. In most cases, this means that entries and information will be retained for one year until the completion of a Probation Officer's performance evaluation.

- If Employee Journal entries and information is a basis for a disciplinary action or a performance evaluation that is appealed by the Probation Officer, the entries and information shall be retained until there is a full and final resolution to the appeal or disciplinary action.

Confidentiality of Employee Journal Entries and Information

Employee Journal entries and information are confidential personnel information, and shall be treated accordingly.

SOLANO COUNTY PROBATION ADULT PROBATION SUPERVISION CASE AUDIT FORM			
DEPUTY PROBATION OFFICER:		DATE:	
AUDITOR(S):	CLIENT CASE:		
	PRESENT CLIENT RISK:		

STANDARDS		FINDING		
		YES	NO	N/A
1.	Was an initial face-to-face meeting held with the client within the required timeframes in accordance with P-100?			
2.	Were all required Assessments completed?			
3.	Was feedback given to the client on the Assessment results within the required timeframes in accordance with P-100?			
4.	Was the initial My Change Plan completed within the required timeframes in accordance with P-100?			
5.	Is there a correlation between the My Change Plan goals/objectives and the results of the Assessments?			
6.	Were the client's issues of concern and their personal motivation reflected in the initial needs/goals that were worked on in the My Change Plan?			
7.	Was each section within the My Change Plan completed?			
8.	Were any suggested activities contained in the My Change Plan Guide included in the My Change Plan?			
9.	**Was each Very High and High criminogenic need addressed by completed an independent My Change Plan?**			
10.	Was the My Change Plan updated if required?			
11.	**Was the My Change Plan progress reviewed with the client during contacts and documented in CASE?**			
12.	**Was the client referred to appropriate programs to address their assessed needs?**			
13.	Did the client start the program(s) they were referred to?			
14.	Was the Deputy Probation Officer discussing with the client their treatment program progress and what they were learning during their office contacts?			

STANDARDS		FINDING		
		YES	NO	N/A
15.	Was the Deputy Probation Officer communicating / collaborating with the treatment provider as required in P-100?			
16.	**Has the Deputy Probation Officer used appropriate one-on-one supervision tools and/or activities as included in the Adult Probation Criminogenic Needs Interventions and Program Referral Guideline?**			
17.	Did the client complete the programs they were referred to?			
18.	Has the Deputy Probation Officer worked with the client to establish and/or increase the client's pro-social support network?			
19.	Was the client being held accountable to comply with all Court ordered conditions?			
20.	Was each instance of client non-compliance with their Court ordered conditions responded to?			
21.	**Were the responses to the client's non-compliance in accordance with the Client Conduct Violation Response Grid?**			
22.	Were instances of non-compliance used as opportunities to engage with the client in collaborative problem-solving tin accordance with the Response to Non-Compliance Guide?			
23.	Was flash incarceration only imposed as an alternative to a formal violation of probation?			
24.	**Was each sanction response along with the violation behavior documented in CASE by completing the Violation Node?**			
25.	**Were all the minimum contact standards required by policy completed within the prescribed timeframes?**			
26.	**Were LS/CMI reassessments being completed a minimum of every 12 months?**			
27.	Was a discharge reassessment completed 30 days prior to the client's termination from supervision?			
28.	Unless there is a documented override, have 12 and 6 month presumptive reclassifications been conducted in accordance with P-100?			
29.	**After 18 months on probation supervision was the client reviewed for early termination?**			
30.	Were the results of the client's early termination review recorded in CASE?			

STANDARDS		FINDING		
		YES	NO	N/A
31.	Was a Discharge Plan completed?			
32.	Were all efforts taken to locate a client who missed appointments?			
33.	Have rearrest checks and compliance reviews for any imposed fines, fees, or restitution been conducted 60 days prior to the client's supervision termination date and appropriate action taken?			

COMMENTS

CLIENT CONTACT REVIEW GUIDE

Probation Supervision Activity:	**INITIAL FACE-TO-FACE CONTACT**		
Deputy Probation Officer:		Date	
Reviewer:			

With the Deputy Probation Officer, listen to an audiotape of them completing the above activity. Indicate if the DPO completed each of the activity steps and make notes on the quality of each Activity Step completed.

DEPUTY PROBATION OFFICER ACTIVITY STEPS	NOTES
❐ **Preparation:** Prior to meeting with the client reviewed the client's file to include if available the Presentence Investigation Report and the completed LS/CMI.	
❐ **Introductions / Meeting Purpose:** Greeted the client in a respectful manner, introduced him/herself, and discussed meeting purpose.	
❐ **Rapport Building:** Using Motivational Interviewing/ Active Listening skills, asked the client to share information about him/herself, and the circumstances that resulted in their placement on probation.	
❐ **Role Clarification:** ☐ Asked the client to identify what he/she hoped to accomplish while on probation. ☐ Identified what their role is as a representative of the agency, and what they hoped to accomplish. ☐ Discussed what is negotiable/non-negotiable, and roles of others that they wanted to address. ☐ Identified and discussed the expectations of confidentiality.	

DEPUTY PROBATION OFFICER ACTIVITY STEPS	NOTES
❑ **Early Termination:** When applicable to the client's case (not excluded), explained the requirements for an early termination recommendation to the Court or a statutorily authorized early release (PRCS).	
❒ **Court Conditions:** Provided the client with a copy of the Court or Statutory Conditions. Informed them that they will discuss any Court ordered treatment or program requirements at a future office visit.	
❒ **Assignment:** ◻ If applicable, informed the client about the CPC and that they are being referred to the program for services. ◻ Discussed and explained the initial home visit and arranged a time for the visit. ◻ Discussed any actions that the client should take or complete before the next meeting and scheduled the next office visit.	
❒ **Administer Assessments:** One at a time explained each assessment and had the client complete that assessment (TCUDS-5, CMHS, and Client Basic Needs). Quickly reviewed the Client Basic Needs Assessment with the client and addressed any immediate issues.	
❒ **Closure:** ◻ Asked the client if he/she had any questions or concerns.	

DEPUTY PROBATION OFFICER CLIENT INTERACTION SKILLS

Discuss with the DPO their client interaction and communication skills as appropriate and summarize your discussion and observations in the Comments Section.

SKILLS	NOTES
• Asked open-ended questions to elicit client's perspective • Used reflections that responded to feelings and content • Periodically used summarizations • Used affirmations to reinforce pro-social statements • Expressed disapproval to any client anti-social statements by using reflections to explore those statements • Provided clear instructions and/or expectations when needed • Redirected client if client got off topic • Exhibited pro-social modeling throughout the contact	

COMMENTS:

CLIENT CONTACT REVIEW GUIDE

Probation Supervision Activity:	**ASSESSMENT FEEDBACK**		
Deputy Probation Officer:		Date	
Reviewer:			

With the Deputy Probation Officer, listen to an audiotape of them completing the above activity. Indicate if the DPO completed each of the activity steps and make notes on the quality of each Activity Step completed.

DEPUTY PROBATION OFFICER ACTIVITY STEPS	NOTES
❒ **Preparation:** Prior to meeting with the client, reviewed the client's Assessments using the Assessment Review Guide and completed the Assessment Feedback Form.	
❒ **Check In:** Greeted the client in a professional manner and asked them how things have been going since the last contact with them. Used Motivational Interviewing/Active Listening Skills to explore any client concerns.	
❒ **Meeting Purpose:** Explained that they will be reviewing and discussing some of the information provided from the completed Assessments. Reviewed the general purpose of the Assessments including how and why they are used.	
❒ **Assessment Feedback:** Discussed with the client what need areas the Assessments suggest that they should work on, and sought clarification when appropriate. ☐ Strengths ☐ Education / Employment ☐ Friends and Associates ☐ Substance Abuse ☐ Decision Making / Solving Problems ☐ Family Relationships ☐ Stress / Frustration / Depression	
❒ **Assignment:** Asked the client to think about what they discussed, and explained that at the next office visit they are going to talk about what they can do to address some of the identified issues.	

DEPUTY PROBATION OFFICER ACTIVITY STEPS	NOTES
❒ **Closure:** Asked the client if they have any questions or concerns. Reinforced any positive (pro-social) client statements or behaviors. Scheduled the date and time of the next office visit.	

DEPUTY PROBATION OFFICER CLIENT INTERACTION SKILLS

Discuss with the DPO their client interaction and communication skills as appropriate and summarize your discussion and observations in the Comments Section.

SKILLS	NOTES
• Asked open-ended questions to elicit client's perspective • Used reflections that responded to feelings and content • Periodically used summarizations • Used affirmations to reinforce pro-social statements • Expressed disapproval to any client anti-social statements by using reflections to explore those statements • Provided clear instructions and/or expectations when needed • Redirected client if client got off topic • Exhibited pro-social modeling throughout the contact	

COMMENTS:

CLIENT CONTACT REVIEW GUIDE

Probation Supervision Activity:	**CHANGE PLANNING**		
Deputy Probation Officer:		Date	
Reviewer:			

With the Deputy Probation Officer, listen to an audiotape of them completing the above activity. Indicate if the DPO completed each of the activity steps and make notes on the quality of each Activity Step completed.

DEPUTY PROBATION OFFICER ACTIVITY STEPS	NOTES
☐ **Preparation:** Reviewed each client Assessment and any Court ordered conditions.	
☐ **Check In:** Greeted the client in a respectful manner and asked them to share how things have been going since their last contact with you. Used Motivational Interviewing/Active Listening to explore any client concerns.	
☐ **Client Perspective:** Explained the purpose of the meeting, asked the client to complete the What I Want To Work On Questionnaire. Following the instructions, discussed the results of the What I Want To Work On Questionnaire with the client.	
☐ **My Change Plan:** Explained the purpose of developing a My Change Plan, asked the client what they felt they needed to work on, and collaborated with the client to determine initial goals, objectives, and activities by sequentially completing each section of the My Change Plan.	
☐ **Program Referral:** If applicable, made any appropriate program referrals and made sure the client knew where the program is located and is able to get there.	

DEPUTY PROBATION OFFICER ACTIVITY STEPS	NOTES
❒ **Closure:** Summarized the meeting, reinforced any positive client actions or statements, discussed any actions the client should take or complete before the next contact, and scheduled the next contact.	

DEPUTY PROBATION OFFICER CLIENT INTERACTION SKILLS

Discuss with the DPO their client interaction and communication skills as appropriate and summarize your discussion and observations in the Comments Section.

SKILLS	NOTES
• Asked open-ended questions to elicit client's perspective • Used reflections that responded to feelings and content • Periodically used summarizations • Used affirmations to reinforce pro-social statements • Expressed disapproval to any client anti-social statements by using reflections to explore those statements • Provided clear instructions and/or expectations when needed • Redirected client if client got off topic • Exhibited pro-social modeling throughout the contact	
COMMENTS:	

CLIENT CONTACT REVIEW GUIDE

Probation Supervision Activity:	**ASSESSMENT FEEDBACK AND CHANGE PLANNING**		
Deputy Probation Officer:		Date	
Reviewer:			

With the Deputy Probation Officer, listen to an audiotape of them completing the above activity. Indicate if the DPO completed each of the activity steps and make notes on the quality of each Activity Step completed.

DEPUTY PROBATION OFFICER ACTIVITY STEPS	NOTES
❒ **Preparation:** Prior to meeting with the client, reviewed the client's Assessments using the Assessment Review Guide and completed the Assessment Feedback Form.	
❒ **Check In:** Greeted the client in a professional manner and asked them how things have been going since their last contact. Used Motivational Interviewing /Active Listening skills to explore any client concerns.	
❒ **Meeting Purpose:** Explained to the client that they would be discussing some of the information provided from the completed Assessments and reviewed the general purpose of the Assessments including how and why they are used and discussing some possible next steps.	
❒ **Assessment Feedback:** Discussed with the client what areas the Assessments suggested they may need to work on. As applicable, reviewed the following need areas and use open-ended questions to further clarify each area and to gauge client motivation. ☐ Strengths ☐ Education / Employment ☐ Friends and Associates ☐ Substance Abuse ☐ Decision Making / Solving Problems ☐ Family Relationships ☐ Stress / Frustration / Depression	

DEPUTY PROBATION OFFICER ACTIVITY STEPS	NOTES
❒ **Client Perspective:** Explained and asked the client to complete the What I Want To Work On Questionnaire. Following the instructions, discussed the results of the What I Want to Work On Questionnaire with the client.	
❒ **My Change Plan:** Explained the purpose of developing a My Change Plan, asked the client what they feel they need to work on, and collaborated with the client to determine initial goals, objectives and activities by sequentially completing each section of the My Change Plan.	
❒ **Program/Service Referral:** If applicable referred the client to the CPC and made sure the client knew where the program is located and is able to get there.	
❒ **Closure:** Summarized the meeting, reinforced any positive client actions or statements, discussed any actions the client should take or complete before the next contact, and scheduled the next contact.	

DEPUTY PROBATION OFFICER CLIENT INTERACTION SKILLS

Discuss with the DPO their client interaction and communication skills as appropriate and summarize your discussion and observations in the Comments Section.

SKILLS	NOTES
• Asked open-ended questions to elicit client's perspective • Used reflections that responded to feelings and content • Periodically used summarizations • Used affirmations to reinforce pro-social statements • Expressed disapproval to any client anti-social statements by using reflections to explore those statements • Provided clear instructions and/or expectations when needed • Redirected client if client got off topic • Exhibited pro-social modeling throughout the contact	

COMMENTS:

CLIENT CONTACT REVIEW GUIDE

Probation Supervision Activity:	**GENERAL FACE-TO-FACE CONTACTS**		
Deputy Probation Officer:		Date	
Reviewer:			

With the Deputy Probation Officer, listen to an audiotape of them completing the above activity. Indicate if the DPO completed each of the activity steps and make notes on the quality of each Activity Step completed.

DEPUTY PROBATION OFFICER ACTIVITY STEPS	NOTES
❒ **Preparation:** Reviewed client CASE notes and the client's My Change Plan	
❒ **Check In:** Greeted the client in a respectful manner and asked them to share with them how things were going. Used Motivational Interviewing/Active Listening to explore any client concerns.	
❒ **Problem Solving:** Used collaborative problem-solving to address any immediate identified client issues.	
❒ **Incentives and Sanctions:** At the first general face-to-face client contact, provided the client with a copy of the Client Incentives Grid and the Client Conduct Violation Response Grid, and reviewed and explained each of them.	
❒ **Treatment Review:** Asked the client to review with them what was covered in any treatment program classes they attended since their last contact, and reviewed any assignments from their last contact. Reinforced positive statements and clarified and responded to any concerns.	
❒ **My Change Plan Review:** Discussed the client's progress on their My Change Plan goals, objectives, and activities and made modifications as needed.	
❒ **Work on Behavior Change:** Continued to focus on identified client criminogenic needs and applied the appropriate one-on-one supervision tools or activities.	

DEPUTY PROBATION OFFICER ACTIVITY STEPS	NOTES
❒ **Terms and Conditions**: Monitored compliance with all Court ordered terms and conditions (*e.g., fines, fees, restitution, community service*), and responded to any non-compliance by following the provisions set forth in P-108 Response to Non-Compliance.	
❒ **Assignments:** Discussed any actions that the client should take or complete before the next contact.	
❒ **Closure:** Summarized the meeting, reinforced any positive client actions or statements, and scheduled the next office visit.	

DEPUTY PROBATION OFFICER CLIENT INTERACTION SKILLS

Discuss with the DPO their client interaction and communication skills as appropriate and summarize your discussion and observations in the Comments Section.

SKILLS	NOTES
• Asked open-ended questions to elicit client's perspective • Used reflections that responded to feelings and content • Periodically used summarizations • Used affirmations to reinforce pro-social statements • Expressed disapproval to any client anti-social statements by using reflections to explore those statements • Provided clear instructions and/or expectations when needed • Redirected client if client got off topic • Exhibited pro-social modeling throughout the contact	

COMMENTS:

CLIENT CONTACT REVIEW GUIDE

Probation Supervision Activity:	**RESPONSE TO NON-COMPLIANCE**		
Deputy Probation Officer:		Date:	
Reviewer:			

With the Deputy Probation Officer, listen to an audiotape of them completing the above activity. Indicate if the DPO completed each of the activity steps and make notes on the quality of each Activity Step completed.

PROBATION OFFICER ACTIVITY STEPS:	NOTES
❒ **Introduction / Meeting Purpose:** Greeted the client in a respectful manner and discussed meeting purpose.	
❒ **Problem Identification:** Asked the client to identify and explain the problem behavior and sought clarification.	
❒ **Express Disapproval:** Told the client in an objective manner that you disapproved of the behavior and why it was unacceptable.	
❒ **Consequential Thinking:** Asked the client what they saw as possible negative results of their behavior.	
❒ **Pro-Social Options:** Asked the client to identify pro-social alternatives that could be used to avoid the unacceptable behavior.	
❒ **Pro-Social Agreement:** Obtained a verbal commitment from the client to use a pro-social alternative in the future.	
❒ **Consequences:** Told the client what the consequences (response) of their behavior were going to be.	
❒ **Summary:** Summarized the meeting and asked the client if they had any questions.	

DEPUTY PROBATION OFFICER CLIENT INTERACTION SKILLS

Discuss with the DPO their client interaction and communication skills as appropriate and summarize your discussion and observations in the Comments Section.

SKILLS	NOTES
• Asked open-ended questions to elicit client's perspective • Used reflections that responded to feelings and content • Periodically used summarizations • Used affirmations to reinforce pro-social statements • Expressed disapproval to any client anti-social statements by using reflections to explore those statements • Provided clear instructions and/or expectations when needed • Redirected client if client got off topic • Exhibited pro-social modeling throughout the contact	
COMMENTS:	

ASSESSMENT REVIEW GUIDE

LS/CMI

1. Review client information (age/gender/current offense)
2. Identify the LS/CMI total risk score and corresponding risk level.

RISK LEVEL	LS/CMI RISK SCORE RANGE
1	0 – 17
2	18 – 23
3	24 – 30
4	Over 30

3. Identify any need subcomponents that scored High or Very High.
4. If no need subcomponents were scored High or Very High, identify the 3 highest scored needs.
5. If Education / Employment is scored Medium or above, check to see the client's employment status.
6. Review Family / Marital to identify potential anti-social or pro-social relationships.
7. Identify any areas of potential strengths.

TCUDS-5

1. Look at total score to determine the potential level of substance abuse disorder.

SCORE	LEVEL
2 – 3	Mild
4 – 5	Moderate
6 or more	Severe

2. Compare to the involvement and disruption score on the ASUS-R (if completed), and see if there is a correlation.
3. Review Question 12 to determine which drug they perceive to cause the most problem.
4. Review Question 13 to determine drugs used and frequency.
5. Review Question 14 to determine any past drug treatment.
6. Review Question 15 and 16 to help gauge their motivation to change and compare to the ASUS-R Motivation Scale if completed

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CMHS

1. Review the CMHS to determine which questions were answered "Yes".
2. If the total score on the CMHS is 6 or more for men and 5 or more for women, further mental health evaluation is warranted.

ASUS-R *(As Applicable)*

1. Look at the AOD Involvement, AOD Disruption scales to determine the level of lifetime substance abuse (10 or above raw score for Involvement and 16 or above Disruption warrant attention for treatment).

2. Check the extent and disruption of drug use over the past 6 months (AOD last 6 months).

3. Review Mood Adjustment Scale for potential Mental Health issues. If raw score is 15 or above, further Mental Health evaluation is warranted (11-14 further evaluation should be considered). Check for possible suicide ideation (Questions 70 and 16) and if indicated, explore with the client.

4. Review the Defensive Scale to see if the client is defensive to self-disclosure (decile range of 7-10) or if they scored "never" on Question 46 or "none" on Question 52).

5. If client has a drug problem, look at the Motivation Scale to assess their readiness to change. (raw score 17 or above). Determine if further motivational enhancement is needed before program referral.

6. Compare the response to the questions on the Strength Scale (Questions 88-96) with the strengths identified in the LS/CMI. Check any discrepancies with the client and build on their identified strengths.

7. Review ASUS-R Service Level Recommendations and determine a referral as appropriate. (See if a co-occurring problem may exist if Mood Adjustment score is greater than 13 and a Service Level of 3 or 4 is warranted).

SERVICE LEVEL	SERVICE
1	No treatment
2	One-on-One Counseling and Education
3	Treating Alcohol Dependence or Equivalent
4	Matrix Therapy or Equivalent (if warranted by a Clinical Evaluation)

CASE STUDY DISCUSSION QUESTIONS

- ☐ In reviewing the Assessments, what catches your attention?

- ☐ What needs does the client have, and which are the most closely connected to their criminal behavior?

- ☐ When it comes to possible services, where might you begin?

- ☐ If the client was improving, what might that look like?

SOLANO COUNTY ADULT PROBATION

MY CHANGE PLAN REVIEW GUIDE

Client:_____________________________**Deputy Probation Officer:**___________________

Date:_________________________

Prior to reviewing the completed My Change Plan(s), review the Court Ordered Conditions, the completed LS/CMI; TCUDS-5; BNA; CMHS; and the What I Want to Work On Questionnaire.

1. Are all sections of the My Change Plan completed?

Comment:

2. Is there a correlation between the identified need areas and the Assessment Results?

Comment:

3. Has the client's issues of concern and their personal motivation been taken into consideration when determining the initial needs to be worked on?

Comment:

4. Is each need, goal/objective clear, measurable and realistic?

Comment:

5. Are the steps/activities understandable and realistic?

Comment:

6. Have one-on-one supervision tools and/or activities listed in the Adult Probation My Change Plan Guide been included in the steps/activities section?

Comment:

7. Are the number of initial need goals to be worked on doable for the client (not too many at once)?

Comment:

Reviewer:	