

Implementing Effective Case Management Strategies: A Guide for Probation Administrators

Douglas Thomas, Patricia Torbet, and Teri Deal
© National Center for Juvenile Justice
October 2011

This Special Projects Bulletin is designed to assist juvenile probation administrators to customize policies and procedures, establish decision-making guidelines, develop instruments and forms, and other resources for the purpose of developing and implementing effective case management practices in the context of local court/probation culture and statewide juvenile justice goals. The strategies discussed in this guide were developed and tested collaboratively by the National Center for Juvenile Justice (NCJJ) and four Pennsylvania counties—Allegheny, Cambria, Lehigh and McKean. The goal of the pilot was to demonstrate the usefulness of good practice, beneficial changes in probation departments, and ultimately better outcomes for youth. The process for field-testing the case management strategies was highly interactive and intensive and led to critical refinements to the original strategy and several common lessons learned.

Anyone may use one copy of this publication for educational or personal purposes. If you want to use this publication for educational or commercial purposes in print, electronic, or any other medium, you need NCJJ's permission. If you want to alter the content or form for any purposes, you will also need to request NCJJ's permission.

Prologue

The information included in this guide is based on *Building Pennsylvania's Comprehensive Aftercare Model. Probation Case Management Essentials for Youth in Placement*, a monograph produced by Pennsylvania's Comprehensive Aftercare Reform initiative funded by the Pennsylvania Commission on Crime and Delinquency (PCCD) and the John D. and Catherine T. MacArthur Foundation's Models for Change initiative.¹

The monograph suggested that probation departments develop a "single plan" that guides activities for youth in placement and aftercare supervision. It laid out a process by which probation

officers assess, plan, facilitate, monitor and broker services, known as "Case Management Essentials" or CME. Although developed with aftercare in mind, case management essentials practices are applicable to all youth on probation, not just those in placement.

The CME monograph identifies a set of tools that departments can use to enhance case management practices. Prototypes of these tools were created through a variety of activities, including NCJJ's series of "White Papers" and partnership with the Allegheny County (PA) Probation Department to develop a competency development needs assessment and case plan format. This work was largely based on the *Desktop Guide to Good Juvenile Probation Practice* that called for "mission-driven, performance-based and outcome-focused" probation.²

With funding from PCCD to provide technical assistance and training, NCJJ partnered with four Pennsylvania juvenile probation departments—Allegheny, Cambria, McKean, and Lehigh—whose chiefs were committed to full, quality implementation of CME practices. Each department designated the chief, deputy, or supervisor to coordinate and oversee planning and implementation and assembled a CME Implementation Team. Teams spent more than a year planning for implementation, requiring significant re-thinking, re-tooling, and re-training. Implementation of new policies, procedures, and protocols was staggered across the four pilot sites, generally occurring between mid-summer and early fall 2009.

NCJJ assisted pilot counties by providing training to staff and helping the teams adapt CME tools and modify procedures or policies to support implementation. Departments submitted case level data, including needs assessments, prior court history summaries, case plans, and case closings.

¹ Torbet, P. (March 2008). *Building Pennsylvania's Comprehensive Aftercare Model. Probation Case Management Essentials for Youth in Placement*. Pittsburgh, PA: National Center for Juvenile Justice.

² Griffin, P., and Torbet, P. (Eds.). (2002). *Desktop Guide to Good Juvenile Probation Practice*. Pittsburgh, PA: National Center for Juvenile Justice.

Introduction

Probation case management is the sum of all activities that probation officers perform to assist juveniles in becoming law-abiding, productive, connected citizens who have made amends for the harm caused by their offenses. Probation officers engage in case management activities with the juveniles on their caseloads when they:

- Develop a case plan,
- Maintain regular contact with juveniles and their families,
- Identify and maintain collateral contacts,
- Promote juvenile and family responsibility,
- Coordinate community resources,
- Provide direction and guidance,
- Provide crisis intervention,
- Monitor residential and non-residential services, and
- Monitor placement and aftercare.

What is Effective Probation Case Management?

Effective probation case management is a rational, systematic, and research-informed approach that provides a “road map” for probation staff to efficiently and effectively manage cases through the juvenile justice process while addressing documented risk factors and identified needs. Case management occurs at key case processing/decision points, beginning with the intake decision and ending with case closing. Engaging in a standardized, structured process at each point helps officers

make informed decisions so that cases referred to court can be handled equitably, consistently and differentially based on juvenile justice system goals and local options available. Effective probation case management is predicated on adherence to a number of key principles, including:

Structured Professional Judgment. Effective probation case management gives structure and consistency to decision-making without eliminating professional judgment. The skill, knowledge, and experience of qualified professionals should not be minimized or replaced. In fact, effective case management is simply enhanced traditional probation practice in which probation officers uniformly and consistently gather, organize, and interpret specific, relevant information and consider the available options for the best alignment with juvenile justice goals.

Reliable Assessment of Risks and Needs. Good probation practice requires the collection and assessment of information to manage youths based on their risk, needs, and accountability considerations and to inform decisions at key system points—intake, pre-disposition, supervision/placement/aftercare, and case closing. Assessment helps probation officers identify the risk factors most directly related to a juvenile’s likelihood of future delinquency and to develop an individualized case plan that is aligned with the juvenile justice system goals of the state or jurisdiction.

A Clear Understanding of Protective, Risk, and Need Factors: *Protective factors*, or strengths, are those characteristics that decrease the likelihood of continued delinquent behavior (e.g., positive family involvement, strong commitment to education). *Risk factors* are circumstances or events

that increase the likelihood that a juvenile will continue delinquent activities. Risk factors may be static or dynamic.

- *Static risk factors* are current and historic facts and events associated with delinquency that cannot be changed (e.g., previous delinquent behavior).¹
- *Dynamic risk factors*, also known as criminogenic needs, are circumstances or conditions directly linked to delinquency that may be changed through effective interventions (e.g., antisocial thinking, poor problem solving/decision-making, substance abuse, lack of educational success, etc.).

Transparency. Effective probation case management allows all stakeholders to “see” the reasoning and know the facts that support decisions, thus making the decision-making process “transparent.” Transparent case assessment, planning, and monitoring enables probation officers to say, “This is what I’m doing and why I am doing it, and these are the results.” Transparency enhances all facets of case management oversight, including but not limited to, intake decision-making, pre-disposition and case transfer recommendations, case planning, progress monitoring, and case closing.

Consistency. Effective probation case management requires clear, consistent, and unambiguous policies and procedures. It also requires the establishment of attentive monitoring and oversight of the process by supervisors and administrators to assure consistency.

Seven Steps of Effective Probation Case Management

Effective case management includes seven steps that provide a consistent and orderly framework through which probation officers can assess, plan, monitor, update, and close cases. The steps are interconnected and follow a logical sequence:

Step 1: Static Risk Assessment:

Informs the manner in which the case will be processed in terms of the level of supervision and restriction of liberties (e.g., electronic monitoring, residential placement, secure confinement).

Step 2: Needs Assessment:

Identifies needs that relate to reducing or impacting delinquent behavior.

Step 3: Decision-Making

Guidelines: Guides decisions regarding intake, dispositional options and levels of supervision.

Step 4: Prioritizing Risk and Need:

Applies parameters for ordering identified needs by importance and addressing the most essential needs in the case plan.

Step 5: Case Plan: Documents objectives and activities designed to manage the youth's risk to the community, enumerate accountability obligations, and addresses priority competency development needs.

Step 6: Progress Monitoring:

Documents compliance and progress (or lack thereof) with case plan activities and objectives.

Step 7: Case Closing Outcomes:

Documents intermediate outcomes for the activities and objectives in the case plan at the time of case closing.

Implementing Effective Probation Case Management

Enhancing probation case management practices is not a simple matter of handing out some forms. It takes time, commitment from judges and probation administration, the concentrated efforts of many people in the organization, and the completion of several tasks, including:

- A. Mission validation
- B. Assign a project coordinator
- C. Assemble a development/implementation committee
- D. Develop and implement an action plan:
 1. Assessment protocol
 2. Resource directory
 3. Decision-making guidelines
 4. Case plan format and procedures
 5. Data collection and outcome reporting process

A. Mission validation: Effective probation case management practices are dependent on a clearly articulated and broadly supported mission statement that establishes—without ambiguity—the goals and objectives of the juvenile court and probation

agency. For example, Pennsylvania has a clear vision for its juvenile justice system from which juvenile courts and probation departments take direction.

*“[T]o provide for children committing delinquent acts programs of supervision, care and rehabilitation which provide balanced attention to the protection of the community, the imposition of accountability for offenses committed, and the development of competencies to enable children to become responsible and productive members of the community.”*²

Each jurisdiction should review the current mission statement of their juvenile court and probation department within the parameters of the state's juvenile justice purpose clause.

- If your existing mission statement is aligned with the state's purpose clause, you may simply conduct an administrative review of the mission to confirm alignment and agency-wide consensus.
- If your mission statement is old, obsolete, or ambiguous, you may want to engage in a strategic realignment process to assure that your mission is aligned with the state's purpose clause and to inform and train staff about the revised juvenile court and probation mission.

Checklist for Mission Validation

- ✓ Confirm and validate existing or newly created mission statement's alignment with the state's purpose clause.
- ✓ Disseminate mission statement among administrators, staff, and juvenile court, including the judges.
- ✓ Display mission statement and ensure that all juvenile court staff are trained on the mission, goals, objectives, and expected outcomes.

- If your agency does not have a viable mission statement, you may want to consider a full strategic planning and mission development initiative to bring the department up to date with the state’s purpose clause.

The agency’s mission statement and goals should be widely disseminated among administrators and staff and visibly posted in offices and public spaces alike. All juvenile court staff, including judges, should be trained in the spirit and the letter of the court’s mission, goals, objectives, and expected outcomes.

B. Assign a project coordinator:

Establishing effective case management practices—whether adapting existing practices or starting from scratch—is a difficult and time consuming task that requires a skilled project coordinator. The project coordinator serves as a single point of contact for all case management development activities, provides continuity from conceptualization to development to implementation, and is accountable for moving the process along in a timely fashion.

The chief probation administrator must free-up a sufficient percentage (as much as 20 percent) of the project coordinator’s time that will be dedicated specifically to the coordination of case management development activities. Further, the project coordinator should be comfortable with and have access to the highest leadership/ executive levels in the organization (e.g., judges, administrators), while retaining trust and credibility with supervisors and line staff. The project coordinator will be expected to update and debrief these groups on a regular basis.

Finally, the project coordinator must have a keen understanding of all of the elements of effective case management, including risk/ needs assessment, decision-making

<p>Checklist for Assigning a Project Coordinator</p> <ul style="list-style-type: none"> √ Designate a project coordinator. √ Make adjustments so that approximately 20 percent of project coordinator’s time is devoted to the coordination of case management development activities. √ Ensure project coordinator’s access to appropriate staff and organization leaders.
<p>Checklist for Development/Implementation Committee</p> <ul style="list-style-type: none"> √ Assemble a development/implementation committee comprised of representatives from all aspects of court and probation operations. √ Set regular meeting times for the design, development, and implementation phases.
<p>Checklist for Developing and Implementing an Action Plan</p> <ul style="list-style-type: none"> √ The first task of the development/implementation committee is to develop a plan that includes each of the following components: <ul style="list-style-type: none"> • Assessment protocol • Resource directory • Decision-making guidelines • Case plan format and procedures • Data collection and outcome reporting process

guidelines, outcome-driven case plans, community and placement resources, and intermediate outcome data.

C. Assemble development/ implementation committee:

Probation case management affects all facets of the juvenile court and probation department, including intake, disposition, supervision/ placement/aftercare, and case closing. Accordingly, all aspects of court and probation operations should be represented on the development/implementation committee. The purpose of the committee is to provide oversight and guidance for examining current practice and developing

and implementing new case management tools, policies and procedures. Optimally, the committee should include one or more individuals from each of the following categories:

- Judge
- Chief probation officer
- Probation administrator
- Probation supervisor
- Probation staff
- Information technology staff
- Administrative staff

The committee should meet regularly for the duration of the development and implementation

phases. In the early design and development stages, the committee should meet at least once a month; it may meet less often during the implementation phases. To assure that case management development receives the appropriate level of attention, the committee should be chaired and convened by the juvenile court judge or the judge's designee (e.g., the chief probation officer or other high-level administrator). However, the day-to-day oversight, facilitation of meetings, and implementation of plans should be left to the project coordinator.

D. Develop and implement an action plan: In order for probation officers to carry out tasks associated with effective probation case management, departments should develop action plans to enhance current practice and to support probation officers in their case management duties. The action plan should outline an implementation strategy for each of the following components: 1) assessment protocol, 2) resource directory, 3) decision-making guidelines, 4) case plan format and procedures, and 5) data collection and outcome reporting process.

Components of the Action Plan

1) Implement a Risk/Needs Assessment Instrument³

The first step in effective case management is to carefully assess a youth's risk to re-offend and identify needs related to future delinquent behavior. It is important to note that there is no point in using an assessment instrument if it doesn't inform case processing or case planning decisions. The development/implementation committee should identify and review a number of assessment instruments to determine if any

Risk, Need, Responsivity, and Override: Principles of Effective Case Classification

For more than 20 years, the risk-need-responsivity (RNR) model has been used with increasing success to assess, classify, and manage delinquent offenders. RNR is based on three principles: 1) the risk principle asserts that criminal behaviour can be reliably predicted and that treatment should focus on the higher risk offenders; 2) the need principle highlights the importance of criminogenic needs in the design and delivery of treatment; and 3) the responsivity principle describes how the treatment should be provided. A fourth principle, override, has been added in some jurisdictions to account for professional judgment and to place the ultimate case management decisions in the hands of professionals.

Risk principle: There are two parts to the risk principle: 1) identification of risk factors and 2) matching the risk level of the offender to the appropriate type of treatment and supervision. Risk factors can be categorized into dynamic or static risk factors. Dynamic risk factors (also called criminogenic needs) are those factors that are predictive of recidivism but can change with appropriate interventions. Static risk factors are those factors that are predictive of criminal behavior but cannot change with any type of intervention (e.g., prior criminal history). Matching risk to treatment requires that a juvenile's risk level is matched to the level of treatment and supervision.

Need principle: This principle states that by assessing and targeting a juvenile's dynamic risk factors (criminogenic needs), agencies can reduce their probability of recidivism. Criminogenic needs include: antisocial attitudes, antisocial peers, antisocial personality, history of antisocial behavior, family interaction and relationships, low educational and vocational achievement, and substance abuse. The second part of the need principle states that agencies should match the type of treatment to the criminogenic needs of the juvenile. For example, if a juvenile is assessed as having a high need in substance abuse, the juvenile would need substance abuse treatment.

Responsivity principle: This principle states that juveniles have different learning styles and will respond and adjust differently to treatment interventions. As such, agencies should assess responsivity characteristics and then match these characteristics to the program and staff. Important responsivity factors to assess for the correctional population include: IQ, motivation, and personality characteristics such as: anxiety, depression, self-esteem, and psychopathy. In addition, demographic characteristics such as age, race, and gender may be responsivity characteristics.

Override principle: This principle states that after consideration of risk, need, and responsivity the ultimate decision regarding the juvenile should be made by professionals (Andrews, Bonta, Hoge, 1990).

Source: Bonta, J and Hoge R.D., (2004). Youth Level of Service/Case Management Inventory Multi-Health Systems, Inc on the web at <http://www.mhs.com/product.aspx?gr=saf&prod=ylls-cmi&id=overview>.

Risk and Need Principles

The juvenile justice system must identify what risk factors are most directly related to the juvenile's offending behavior and then identify interventions to target those needs. Research has identified a variety of risk factors that can be associated with the likelihood that a juvenile will engage or continue to engage in delinquent behavior. **Risk factors** are circumstances or events that increase the likelihood that a juvenile will continue delinquent activities; **Protective factors**, or strengths, decrease the likelihood of continued delinquent behavior. These factors are common across race, gender and culture.

meet the needs of the jurisdiction or if it would be beneficial to develop an original instrument. However, it is probably not necessary to develop an instrument "from scratch" as there are many excellent instruments available.

Adopt, adapt, or develop assessment instrument

Some form of structured, standardized assessment is required for effective case management. The fundamental task here is to provide tools for structured decision making that are reliable, transparent and valid. A number of factors should be considered when reviewing risk and needs assessment instruments, including:

- *Relevance:* The risk/needs assessment should be designed to assess dynamic risk factors and static risk factors associated with delinquency. Further, the instruments should be age appropriate and sensitive to differences based on gender and cultural relevance.
- *Ease of administration:* Assessing risks and needs is just one of many tasks court intake and probation officers must accomplish within limited timeframes. Consequently, ease of administration of assessment instruments is an important factor to consider.

The instruments should not be overly complicated or require clinical assessment skills. By the same token, they should not be overly time-consuming. Not only is time a precious commodity for probation officers, but accessibility to youth may also be limited.

- *Technological requirements:* An electronic, automated assessment instrument is ideal if the juvenile court or probation department has a case management system capable of hosting such as instrument. However, many departments are not equipped to support that technology. The department's current technological capacity must be factored into decisions to select automated instruments.

- *Cost:* Not all assessment instruments exist in the public domain. Many have costs, sometimes substantial, associated with administering/re-administering the instrument, scoring the results, producing reports, training, and software requirements. While an argument may be made for the cost effectiveness of fee-based assessment instruments, jurisdictions must consider all of the costs associated with the assessment prior to making the decision to purchase an instrument or service, including any plans to validate the instrument locally.

It is important that jurisdictions find the risk/needs assessment instrument that best meets their needs. Many vendor-supported instruments "travel well" from one jurisdiction to another in terms of the information collected. One caveat is that they come with a scoring framework validated on delinquent youth in general and not on the population to which the instrument will be applied. While a locally-validated assessment is preferred, it is often not practical for some jurisdictions. This is where the override principle comes into play. The professional judgment and good case management practices of probation

Pennsylvania Selects the YLS/CMI

After considering a broad range of risk/need assessment instruments, Pennsylvania has selected the Youth Level of Service/Case Management Inventory (YLS/CMI) as the state-sanctioned and supported assessment. The Youth Level of Service/Case Management Inventory (YLS/CMI) is a risk/needs assessment and a case management tool designed to help probation officers, youth workers, psychologists, and social workers identify the youth's major needs, strengths, barriers, and incentives; select the most appropriate goals for him or her; and produce an effective case management plan (Bonta and Hoge, 2004).

Source: Bonta, J and Hoge R.D., (2004) Youth Level of Service/Case Management Inventory Multi-HealthSystems, Inc on the web at <http://www.mhs.com/product.aspx?gr=saf&prod=yls-cmi&id=overview>.

officers will always be necessary to assure that local circumstances and individual needs are incorporated into decision-making.

Develop assessment process, policies and procedures

Juvenile probation officers have varying degrees of experience and skill when it comes to conducting structured risk/need assessments. It is important, then, to develop staff training and instructional materials (including questions to ask and guidelines for documenting the response), to establish clear assessment policies and procedures, and to provide adequate technical assistance to ensure that all staff have the skills necessary to use the tool correctly. Assessment policies and procedures should clearly delineate who has responsibility for conducting assessments, time frames for completing them, who will enter or record assessment data, and how the information will be transferred to the case plan.

Identifying priorities

Risk and need assessment instruments are likely to identify a wide range of multiple needs for certain offenders. In some cases the identified needs may exceed the capacity of the existing resources requiring that difficult choices have to be made. To guide the decision process, the development/implementation committee must define the clear criteria for how to prioritize the identified needs. The risk,

Checklist for Developing and Implementing Risk/Needs Assessment

- ✓ Review a number of assessment instruments and identify or develop one that meets the needs of the jurisdiction taking into account relevance, ease of administration, technological requirements, and cost.
- ✓ Establish protocols for how to complete the assessment and use instruction materials.
- ✓ Establish clear policies that delineate who has responsibility for conducting assessments, time frames for completing assessments, and how the information is transferred to the case plan.
- ✓ Plan to provide adequate training and technical assistance to staff and supervisors.
- ✓ Define clear criteria for prioritizing needs to be addressed in the case plan.
- ✓ Match assessed risk/needs with youth's case plan activities.
- ✓ Develop and facilitate training for judges to educate them on the protocols and procedures for how probation officers will administer the assessment and utilize the information objectively.

need, and responsivity principles suggest that prioritization factors include matching individuals to interventions that match their level of risk and criminogenic needs. In addition, interventions should be selected based on maximizing individual responsivity to the program or intervention (e.g., tailoring the intervention to the learning style, motivation, abilities, and strengths of the offender).

Other considerations may be considered to prioritize a juvenile's criminogenic needs and the optimal match between an individual and the most appropriate intervention:

- *Severity:* Which factors place the juvenile at greatest risk to re-offend?
- *Alterability:* Which needs are most likely to be modified or changed by juvenile court involvement?
- *Time:* What can be accomplished within the projected timeframe (term of supervision)?
- *Interdependence:* Which factors are inter-related?

Further, when selecting priorities, local juvenile justice system goals and objectives must be taken into account. For example, Pennsylvania's juvenile justice system is predicated on a Balanced and Restorative Justice (BARJ) model. When identifying case plan priorities in Pennsylvania, juvenile probation and other case management staff consider questions related to BARJ objectives, including:

Checklist for Developing a Resource Directory

- ✓ Assign a sub-committee to the task of developing a resource directory.
- ✓ The sub-committee should come to a consensus on the criteria necessary for inclusion in the resource directory.
- ✓ The sub-committee determines how the directory will be developed, disseminated, and updated.

Continuous Quality Improvement for Case Planning Practices

The term “evidence-based practice” (EBP) is becoming more and more widely used in the juvenile justice field; becoming a part of everyday dialogue among professionals. It seems that many jurisdictions have gone beyond merely disseminating knowledge about EBP to actually applying evidence-based principles into daily practice (such as with risk assessments and case planning). Knowing about existing research is one thing, but to successfully implement evidence-based delinquency interventions with fidelity and obtain measureable youth outcomes on the basis of that research is something else.

To truly implement EBP and achieve anticipated youth outcomes a commitment to continuous quality improvement (CQI) is essential to both ensuring that delinquency interventions are implemented as designed and new evidence is incorporated to continually make informed data driven decisions about where improvements could be made.

In terms of case planning, probation officers should not only incorporate evidence-based practices into their daily practices and monitor the fidelity on a regular basis but have a clear understanding of the delinquency interventions they recommend youth participate in. Five priority areas have been developed to assist probation officers in indicating how closely both case planning practices and delinquency interventions align with evidence-based practices and overall developing a CQI process. The five priority areas are as follows:

- **Purpose:** Are the intended population’s specific risk and protective factors to be targeted clearly defined? What changes in attitudes, thoughts, behaviors, and/or skill deficits are anticipated as a result of youth participating in the intervention?
- **Strategy:** Does the intervention employ strategies, grounded in theory and based in research, that have been shown to be effective in addressing the identified risk and protective factors?
- **Structure:** Is the intervention operationalized to ensure consistency and coherence? Are processes and procedures documented?
- **Delivery:** Are staff appropriately prepared and supported through training and supervision to deliver the intervention as designed?
- **Quality:** Are the implementation and results of the intervention, including participation, successful completion, and outcomes, documented over time and used to inform improvement decisions as part of a continuous quality improvement process?

Competency development: What changes in knowledge and/or behavior will enable the juvenile to lead a more law-abiding, pro-social life? The overall goal of identifying the most pressing needs related to the juvenile’s offending behavior is to help the juvenile acquire living, learning, working skills, change negative behaviors, and improve their decision-making.

Treatment and family functioning interventions: When warranted, what activities or interventions related to substance abuse, mental health treatment, or family functioning are required to support the successful completion of Case Plan goals?

The number of priority needs will vary for each youth—some juveniles may have one or more needs to be addressed related to each goal, while others may have only one critical need to address. The most important consideration in selecting competency development or treatment priorities is choosing those behavior problems, thought processes, or skill deficits that place the juvenile at greatest risk for continued delinquent activity.

Matching assessed risks and needs with case plan domains

Not all jurisdictions have a fully integrated assessment and case planning process. Accordingly, it is important for jurisdictions to determine and document logical connections between assessed risks/needs and case plan activities. For example, the YLS does not specifically address the community protection or accountability goals of Pennsylvania’s Balanced and Restorative Justice mission. Nor is there an obvious match between the criminogenic need domains of the YLS and the competency development and treatment goals of the Balanced and Restorative Justice Case Plan. As a result, a crosswalk between the YLS and the

Community protection: What level of security or supervision will be necessary in order to keep the community safe? Probation officers should consider a youth’s immediate risks to public safety and identify the most effective ways of managing those risks during the term of supervision.

Youth accountability: What steps are appropriate to repair the harm, restore the losses, and reinforce and deepen the juvenile’s sense of responsibility? Probation officers consider input from victims when defining the harm caused by the crime.

BARJ Case Plan has been developed in Pennsylvania.

Jurisdictions using assessment instruments should take the time to determine if the assessment instrument reflects local juvenile justice goals and objectives. If they determine that the assessment results are not aligned with their case planning process, they may need to develop a crosswalk in order to assure that the risks and needs identified by the assessment can find a suitable place in the resulting case plan.

2) Develop a Resource Directory

Identify continuum of disposition options, services, and interventions

A desired outcome of a reliable assessment is a “shopping list” of needs that can be addressed by programs and interventions. What is needed, then, is a supermarket of sorts, where a probation officer can “go shopping” for the right intervention that meets the right need at the right time. To this end, jurisdictions should take the time to develop summaries of available resources that could address these needs. These summaries may take several forms, including:

- *Resource guides:* Inventories of interventions, programs, community resources, curricula, or other resources designed to address the needs of delinquent youth. Resource guides can be either hard copy or electronic and sorted by program name, program type, targeted population, domain, etc.⁵
- *Resource matrices:* Similar to resource guides, resource matrices have the capacity for cross referencing along at least two dimensions. For example, one might want to identify resources by risk levels and needs. The resource matrix would organize existing resources by programs suitable

for low, medium, or high risk youth.⁶

- *Automated resource map:* The automated resource map takes advantage of inexpensive yet powerful database technologies and allows users to search for programs or interventions using multiple criteria (e.g., a non-residential substance abuse program for moderate risk female youths). See www.competencydevelopment.org as an example of an automated resource map.

The project coordinator may assign the resource directory task to a sub-committee charged with presenting ideas and delivering the resource directory to the committee for their input and approval. Probation officers can use this directory to identify programs and interventions designed to change targeted behavior and improve skills, address treatment needs, or improve family functioning. It is important to periodically update the resource directory so that the information is still accurate and comprehensive.

3) Develop and Implement Decision-Making Guidelines

Steps one and two above describe strategies for identifying and prioritizing individual needs and

identifying an array of available resources. The next logical task for the development/implementation committee is to develop rational guidelines for making informed decisions about intake and disposition recommendations that increase the chances of matching identified needs with appropriate available resources. Broadly speaking, structured decision-making must be (1) directed toward clear goals, (2) guided by explicit criteria, and (3) based on pertinent information.⁷ Probation case management begins with front-end, level of supervision decisions made during the intake and pre-disposition stages.

The point of engaging in a standardized, structured decision-making process at the front-end of the case management process is so that cases referred to juvenile court can be handled differentially based on goals for intake and disposition and on the response options available locally. A structured approach to decision-making makes the process transparent and supports the use of professional discretion.

Checklist for Developing and Implementing Decision-Making Guidelines

- ✓ Agree on goals for intake decisions and disposition recommendations.
- ✓ Outline what information should be considered at each stage.
- ✓ Develop guidelines and criteria for choosing among available intake and disposition options.
- ✓ Document process for creating guidelines.
- ✓ Collect data to inform implementation outcomes.
- ✓ Revise guidelines as needed based on changing conditions or data demonstrating the guidelines are not working as planned.

The tasks included in developing decision making guidelines are:

Agree on goals for intake decisions and disposition recommendations

To make good decisions, intake probation officers need to know the purpose of the decision, what information and circumstances to consider, and options available for responding.

Intake decisions and disposition recommendations should be based on the same set of clearly stated local goals in the context of state law and broader statewide juvenile justice goals and guiding principles. Goals specific to the intake function may include:

- *Managing case flow* minimizes the number of cases that receive formal processing and reserving court and probation resources for more serious youths.
- *The least restrictive alternative principle* applies here by keeping lower-risk youth out of the formal juvenile justice system and away from dispositions that disrupt pro-social stakes already in place, unduly restrict a youth's freedom, or put lower or medium risk juveniles in group settings with higher-risk youth.

The risk principle applies here as well by basing decisions about levels of supervision and restrictions on liberty on the juvenile's threat to public safety, reserving judicial, probation, and placement resources for higher-risk youth.

- *Applying differential responses* based on the immediate risk an alleged or adjudicated delinquent poses to public safety because:
 - Most first-time youths will never be referred again to juvenile court.

- Most juvenile crimes are not serious, violent, or a risk to public safety.

- *Avoiding "net widening"* guarding against any tendencies to unnecessarily respond with formal court involvement purely for the purpose of providing needed services.

Agree on what information to consider at each stage

A "gated approach" to screening and assessment should be applied. In a gated approach, additional questioning is reserved for cases in which decisions are not so clear cut. The decision to formally involve juveniles in the juvenile court process (essentially a go/no-go; petition/no petition response) should be based primarily on consideration of static risk factors— instant offense and prior court history. When decisions are not so obvious, other circumstances should be considered. Intake investigations should strike a balance between the need for information to make the decision at hand and the rights of the accused. Disposition recommendations, essentially deciding between some type of supervision in the community and some level of placement, require consideration of dynamic risk factors.

In many cases, intake decisions can be made on the basis of a "paper review" of the static risk factors available in the police complaint and the court history. A computer-generated court history summary of these static risk factors should be easily accessible to intake officers. Consideration of dynamic risk factors is based on additional information collected from an interview with the youth and parents, a review of school records or recent clinical assessment, a substance abuse screening

tool, and/or a structured needs assessment.

Agree on guidelines and develop criteria for choosing among available intake and disposition options

While jurisdictional variations may apply, there are essentially three options at intake: 1) release with no action; 2) divert to services in the community; or 3) proceed to formal adjudication (which may result in consent decree, probation, or placement). Each jurisdiction should establish general intake and dispositional guidelines consistent with local policy and statewide juvenile justice goals.

The process of establishing decision-making guidelines can be time-consuming and thought-provoking, even contentious at times. It is important, however, to be as comprehensive and reasonable as possible, as these guidelines will set the tone for the remainder of the case management process. Take the time to document the reasons for the decisions made, not just the guidelines themselves, so that department staff will have a thorough understanding of why the committee arrived at its decisions.

In addition to developing guidelines, the development/implementation committee will also be responsible for identifying expected outcomes and appropriate data to be collected to monitor the use of the guidelines and their impact on intake and disposition decisions. The committee should periodically review these guidelines and make any needed adjustments based on changing conditions or data demonstrating the guidelines are not working as planned.

4) Develop Case Plan Format and Procedures

Effective probation case management provides a "road map" by which probation officers can apply results from the risk and

needs assessments to case plans that are goal-driven and outcome-oriented. In this way the case plan is the centerpiece of probation case management. It is both a blueprint for probation and a contract of sorts between the court, the probation officer, the youth, the family, and any service providers.

In a nutshell, the case plan should help probation officers develop, execute, and manage the choice of strategies that enhance the likelihood of protecting the community, holding a youth accountable and addressing the dynamic risk factors most likely to reduce the probability of re-offending. To be effective, case plans must:

- Be *living* documents; that is, they must be flexible enough to evolve and change as new information arises or situations change.
- Be based on the results of valid and reliable assessments, which help probation officers establish intervention priorities and direct all parties toward specific activities.
- Go beyond traditional (prescriptive) conditions of probation. While they may, and probably should, include court-ordered conditions of probation, they must also lay out a set of activities for the juvenile to complete while under juvenile court jurisdiction.
- Include measurable objectives and activities linked to specific and measurable goals that address risk and needs revealed by the assessment; and
- Facilitate progress monitoring and reporting of outcomes at case closing.
- Involve families, related agencies, and other key

stakeholders (such as schools) in the youth's success.

The development/implementation committee should decide which cases will have a case plan (e.g., just probation and placement cases or consent decree cases as well). This decision will depend on staff resources and local goals. They should also establish policies for using a standard case plan format and timelines for completing and reviewing the plan, monitoring progress, and updating

the plan. The tasks included in developing the case plan format and procedures are:

Select case plan format

The case plan is the primary tool for good case management. It may consist of the following sections:

1. *Cover page*: The cover page should include basic information on the juvenile (e.g., name, date of birth, case number) and the probation officer assigned to the case. Standard conditions

Writing Good Action Statements

Action statements are proactive statements about what must occur in the near future to address youths' risk to community safety, their most pressing needs related to their delinquent behavior, and their accountability obligations. Action statements are comprised of several parts, including: goals, objectives, activities, and expected outcomes.

Action statements address several important questions:

1. *"What is the goal?"*

Good action statements are mission-specific and address specific juvenile justice goals (e.g., community protection, competency development, youth accountability).

2. *"What needs to change or improve?"*

The action statement should include a specific, proactive statement of an objective relevant to the goal.

3. *"What will help this to happen?"*

The action statement should define a specific activity that is clearly linked to the objective.

4. *"How will you know it happened?"*

Wherever possible, the action statement should include an observable and measurable outcome that can be documented.

5. *"When and for how long?"*

Action statements should be time-specific and include measurable time frames.

6. *"Does the statement make sense?"*

When completed, a logical connection between all elements should exist. The statement should stand on its own.

Example action statement:

"To improve his ability to control anger, Joe D., will attend eight anger management classes held in the Southern Probation Office each Wednesday from 7 to 8 PM starting on March 1."

of probation can also be included on the cover page.

2. *Purpose:* The purpose of the case plan should be clearly outlined on the document for the juvenile and the family so that they understand the expectations for compliance with case plan activities, how progress will be determined, and what their roles are in this process.
3. *Goal driven objectives and activities:* Objectives and activities are listed for each of the state's or jurisdictions juvenile justice goals. For example, in Pennsylvania, objectives and activities are listed for community protection, accountability, and competency development plus substance abuse, mental health, and family functioning if warranted. There should be space on the case plan for the date the objective and/or activity was added, when it was completed, the anticipated or actual outcome, and documented progress at stipulated intervals.
4. *Signature page:* A place for juveniles, parents and/or guardians, probation officers and probation supervisors to acknowledge the terms and conditions of the supervision plan with their signature, date of signing, and information for the family and youth to keep for future reference.

The development/implementation committee should select a case plan format after reviewing those used by other departments keeping in mind that they should be easy to complete and easy to understand, monitor, and amend as necessary. The case plan may be automated and available through the court/probation website, or it may be a stand-alone, pen and paper form that is completed and updated by

Checklist for Developing Case Plan Format and Procedures

- ✓ Decide which cases will have a case plan based on staff resources and local goals.
- ✓ Select a standard case plan format.
- ✓ Ensure that families, educators, and youth are engaged in the case planning process.
- ✓ Develop policies and procedures related to timelines for the completion of the Plan and supervisory review of the plan.
- ✓ Provide training and technical assistance for probation officers and supervisors in writing action statements.
- ✓ Establish clearly defined parameters, policies, and procedures for documenting progress.
- ✓ Develop policies and procedures regarding when a case plan must be modified or updated and when supervisor approval is required.

hand. For non-English speaking youth or families, these materials should be made available in a language that they understand.

Writing effective case plans

Effective case plans require clearly written and unambiguous action statements. For many probation officers, supervisors and even administrators, writing (or reviewing) action statements may represent a new skill set and a different way of communicating—from narratives addressing historical facts about what has occurred to proactive statements about what must occur in the near future. Action statements are comprised of several parts, including goals, objectives, activities and expected outcomes. Developing the skills and expertise to write effective case plans takes time, training, and the joint collaboration of probation officers and supervisors.

Some departments may use drop-down boxes (if the case plan is automated) of regularly-used statements of objectives and activities. This facilitates the completion of the plan and ensures

standard language. Probation officers can also create their own statements when using automated systems. However, standardized drop-down boxes bring with them the risk of repetitive, generic, and common sets of objectives and activities on each plan. It may be too easy for probation officers to simply go down the list and check off the statements without giving much thought to the exercise. Consistent and timely supervisory review of case plan goals and objectives is an essential quality assurance practice that can guard against “cookie-cutter” case plans.

Monitoring progress

Effective case management requires clearly defined rules for documenting progress. The case plan is an important case management tool for monitoring youth performance and compliance in meeting plan objectives and successfully completing specific activities.

Probation officers should routinely review a juvenile's progress on completion of or compliance with plan activities. Periodically, progress must be documented on

the plan itself. The more frequently that progress is documented, the greater the ability to make mid-course corrections to address any issues. Requiring progress information to be recorded on each objective in the plan makes meetings between probation officer and supervisor more productive. They can review and discuss each juvenile's progress on plan objectives to date and discuss the contacts and activities the officer has conducted in support of the completion of the plan. Periodic review also serves as reinforcement for positive behavior by the juvenile and provides opportunities to revise or enhance the plan as needed.

The case plan should include an area where regularly-reviewed progress can be documented. Case plan reviews should include determination of compliance and interim progress on each activity outlined in the plan using a predetermined format, such as the following scale:

- 0 = Willful Non-Compliance
- 1 = Less than Expected Progress
- 2 = Expected Progress (sufficient or improving)
- 3 = Completed Activity
- 4 = Activity Pending/Deferred
- 5 = Activity Removed/
Discontinued

Modifying/updating the case plan

Effective case plans are "living documents," as such, they are subject to modification and updating as indicated and necessary. Department policy should include instructions for when a case plan may be modified or updated and if supervisor approval is required. Interim progress documentation provides the flexibility to modify case plan objectives or activities when circumstances change or if progress is unsatisfactory. Plans should be

updated prior to any significant event in the case, such as the case being transferred to a new probation officer, prior to a court review hearing, prior to release from placement, or as a result of a new offense/disposition.

5) Establish Data Collection and Outcome Reporting Process

Jurisdictions must identify the appropriate data to be collected to monitor and measure the completion and impact of case plan objectives and activities. Individually, effective case management practices provide an informed and structured process for supervising youth in the community, monitoring progress in placement, and measuring individual outcomes against individual goals, objectives, and expected results. Collectively, effective case management provides a framework and strategy for collecting data critical to assessing individual, organizational, and systemic performance. To make sure that this valuable information is available and accessible, efforts should be made to implement a system for collecting case

management data and reporting both outputs and outcomes in aggregate form (for an entire group of youth).

Using information gathered from the court history summary, assessments, and the case plan, departments can compile:

- "Demographic profiles" of youth with plans and their current status (consent decree, probation or placement).
- "Risk profiles" describing the average age of first offense, frequency and percent of cases with prior court history, current adjudicated offense.
- "Needs profiles" describing the most frequently identified needs of juvenile youths across all domains (e.g., pro-social) and individual risk factors (e.g., anger management). Note: If the assessment also identifies strengths, "strength profiles" will describe the most common strengths of juvenile youths and help to identify possible untapped resources.

Establish Data Collection and Outcome Reporting Process Checklist

- ✓ Determine what data will be collected from case plans and how data will be used to inform probation practices.
- ✓ Consider data such as individual characteristics of youths, individual risk factors and assessed risk levels, individual identified needs and strengths, and case plan objectives and activities and progress by goal.
- ✓ Create systematic feedback loops for using information captured on assessments and case plans to understand resource needs, available resources, resource gaps, case management efficacy/continuity, outcomes, and success rates.
- ✓ Determine what information to collect to assess implementation integrity.
- ✓ Establish procedures for how the data will be analyzed, and feedback loops for sharing the information with administrators, supervisors, probation officers, and other stakeholders to improve their practice.

Training Checklist

Improving probation case management will take buy-in from administrators, supervisors, and line staff alike. Administrators will need training on big picture concepts in case management, such as using data to inform department practices and policies. Supervisors and probation officers will need education and training on the specific tasks required for effective case management. The checklist below contains a number of possible training topics:

- √ 7 Steps of Effective Probation Case Management.
- √ Training on the policies and procedures related to timelines and case planning.
- √ The assessment instrument—training should be designed to enhance integrity of implementing the chosen instrument.
- √ Identifying priorities for the case plan.
- √ Writing case plan action statements.
- √ Engaging families, schools, and other stakeholders in the supervision, placement and aftercare process.
- √ Communicating the plan to the youth, families, schools, providers, and other community partners.
- √ Monitoring/documenting progress.
- √ Rewarding progress, sanctioning non-compliance or lack of progress.
- √ Recording intermediate outcomes.
- √ Using data to inform implementation outcomes and plan effectiveness across the department.

- Level of youth, family, and school engagement in plan development.
- Frequency of contact and review of plan by probation office.
- Time under supervision.

In addition, data from assessments and case plans may be collected and applied to increase understanding of available resources, monitor the case management process, and report intermediate outcomes. Probation administrators have a vested interest in knowing if and when assessments are completed, whether decision-making guidelines are followed, if case plan goals, objectives and activities reflect the results of the assessment, and if expected case plan outcomes are achieved. Examples of these standard reports include:

- *Resource Needs:* An accounting of the resources required to address individual

risks and needs identified in the assessment process.

- *Resource Gaps:* An accounting of the gaps in the resource continuum based on assessed needs and inability to address those needs due to lack of appropriate resources.
- *Case Management Efficacy:* An accounting of how accurately the assessment is completed, how closely standard timeframes are followed, and whether decision making guidelines are followed. The department's protocol for assessment should identify a standard time frame from intake to assessment. This provides a baseline time standard to measure the average time elapsed between intake and assessment as compared to pre-established standards. Sharing the results regularly and making adjustments as necessary will create an op-

portunity to provide praise, to direct staff and supervisors on meeting intermediate goals (e.g., standard timeframe), and to help you see if your timeframe is realistic.

- *Case Management Continuity:* An accounting of linkages between assessed/prioritized needs, inclusion in case plans, and successful completion of interventions to address needs. Translating the priorities identified on the needs assessment into the case plan is a critical task and can also be one of the most difficult skills for probation officers to master. Supervisors should regularly compare the needs identified in the assessment with the objectives included in the case plan.

For example, if a need is prioritized in the pro-social domain, an appropriate activity should be included

in the pro-social domain of the plan. Further, supervisors should look closely to determine that the specific need (e.g., anger management) prioritized on the assessment is also addressed in the case plan. If a prioritized need is not addressed in the plan, it may be because of oversight on the probation officer's part (e.g., a training issue) or because there are no resources or interventions available to address the need (e.g., a resource gap).

Alternatively, careful review of case plans may reveal an activity that is not related to any needs identified in the assessment. This may be due to the decision by the probation officer to "override" the assessment results based upon his or her own judgment. Such overrides may be warranted to the extent that they are justified in the assessment notes and confirmed and approved by the probation supervisor. Another source of objectives/activities that are not supported by the assessment may be the practice of probation officers choosing to include standard activities on all plans regardless of need or using the case plan to emphasize conditions of probation. These practices should be discouraged.

- *Case Management Outcomes:* report card format that describes the successful completion of goals, objectives, and activities. When a case closes, the final case plan with documented progress on each activity and the case closing form become the sources of information that can be used to answer, in the aggregate, whether there

was: 1) a match between priority needs and case plan objectives and activities, and 2) a match between priority needs and subsequent completion of activities.⁸

- *Success Rates for Service Providers:* number and percent of cases assigned to specific service providers that successfully completed assigned programs/interventions; failure to adjust rate for individual service providers.

Guiding Principles

The case management strategies discussed in this document were developed and field-tested collaboratively by the National Center for Juvenile Justice and four Pennsylvania County Probation Departments—Allegheny, Cambria, Lehigh, and McKean. The process for field-testing these strategies was highly interactive and intensive and led to critical refinements to the original strategy as well as to several guiding principles related to effective case management practices for delinquent youth, including:

An unambiguously articulated mission, clear goals, and measurable objectives are critical for implementing effective case management strategies. Case management relies on a highly structured and logical process for managing and applying information. When the goals are clear (community protection, youth accountability, and competency development) they evoke specific and measurable objectives. This clarity greatly facilitates the ability to construct effective case plans at the local level.

Commitment and buy-in from leadership is essential. The success of the case management approach outlined in this document will be directly linked to the

commitment from juvenile court judges, probation administrators, and probation supervisors. Data-driven case management must be mandated by the judicial leadership, made into policy by probation administrators, and be carefully implemented and regularly monitored by probation supervisors.

Supervisors are key to quality implementation and adherence to best practice principles.

Supervisors are essential to assuring that probation staff know and understand case management strategies. Supervisors are the first line of support for creating high quality individual case plans and ensuring the integrity and consistency of case plan implementation practices among their probation officers. Supervisors are also a critical technical assistance resource for probation officers in terms of completing assessments, prioritizing needs, and matching youth risks and needs with appropriate levels of supervision and programming.

This paradigm shift may be met with resistance. The approach described here represents a fundamental shift in juvenile probation. Although the work of probation remains essentially the same—assess, plan, review, close, and measure outcomes—this approach represents a more proactive supervision strategy compared to the traditional reactive approach that has emphasized adherence to conditions of supervision.

It is predicated on structuring professional judgment in terms of consistently gathering key information regarding individual risk and needs of youths, developing outcome-based case plans, regular reviewing and documenting progress, and measuring outcomes as opposed to process markers (e.g., contacts). Be forewarned, initial resistance from

line staff (and supervisors) is to be expected. One way to overcome resistance is to involve line staff at every stage in the implementation process. When line staff have an understanding of the purpose for structural changes and are informed of the anticipated outcomes of applying these principles, they are more likely to buy-in to the process.

Probation staff must understand the importance of good case management and be vested in the process. Data-driven case management cannot be one of several options for managing cases. It must be the ONLY strategy for managing cases and juvenile probation officers must understand that their performance as probation officers will be linked to their ability to develop and implement quality case plans.

Effective case management requires new skill development and training is essential. The CME approach may necessitate a new skill set for probation officers in addition to the traditional probation officer skills. Skill development and training may be needed in completing structured assessments, careful prioritization of needs, developing objectives and activities related to goals, and using data for decision-making.

New training modules will have to be developed, new concepts will have to be mastered (e.g., implementation integrity and transparent case management), and line staff will need continual support and encouragement as they take on these new responsibilities.

System change takes time. The changes described in this document will not take place overnight. Change is always difficult, it always occurs in fits and starts, and it always takes longer than one imagines. To be effective, a combination of determination and patience is required. Your department may not be fully converted to the emerging

paradigm for several months, perhaps even years.

Reliance on new technologies. Web-based forms, databases, automated data entry and reporting can provide great support to the processes outlined in this document. One of the characteristics of the case management strategy proposed here is its dependence (but not total reliance) on modern technologies—computers, automated data entry, electronic forms, powerful databases, etc. Comprehensive training for staff on technology and access to technical support are vital in order to facilitate a smooth case management process.

Feedback on implementation is essential. Probation administrators need reliable and timely information for assessing organizational performance regarding implementation of new case management practices. Information must also be provided to line staff, policy makers, and the public at large so that all parties remain engaged in the process and invested in its success.

Summary

This *Technical Assistance to the Juvenile Court Bulletin* provides a detailed explanation and description of the steps required to develop and establish effective probation case management practices. It stresses reliable and structured assessments of risks and needs, carefully constructed goal-driven and outcome-focused case plans, closely monitored implementation of the plans, and accurate reporting of outcomes at case closing.

The case management strategies described herein are based on several well-documented key concepts:

- Accurate, reliable, and timely assessment of risks and needs are essential to effective case plans;

- Effective case plans reflect assessed risks and needs, are transparent and subject to amendments as necessary, and are structured by goals, objectives, activities and expected outcomes;
- Consistency of implementation and supervisory monitoring are critical to effective case planning; and,
- Well designed, carefully implemented case plans can yield valid and reliable outcome measures that can be used to enhance staff supervision, departmental administration, resource management, and a basic understanding of effective juvenile court decision-making.

Our experience developing and field-testing these tools and procedures yielded a number of unanticipated benefits and additional lessons about developing case management programs and managing change.

Unanticipated benefits can include increased clarity about the nature and purpose of probation services resulting from mission-driven, structured, consistent, and transparent case supervision practices. Probation officers can gain greater clarity regarding the purpose and nature of their work. Probation supervisors can become more actively involved in case supervision and have indicators beyond “contacts” to assess probation supervision quality. Youth and families can feel more engaged and empowered by having a plan that makes tangible expectations for activities to be completed.

The experience also revealed a number of lessons about the process of managing change, not the least of which is that the process of change within the

organization creates its own set of issues. Probation administrators would benefit from resources and training on readiness to change and managing change.⁹

While the effective case management procedures were field-tested in four disparate jurisdictions, the chief juvenile probation officers in each jurisdiction had similar reactions to the process, some of which they were able to share with other probation professionals while participating in panel discussions on the process. A sample of the comments reflecting on shared experiences included:

“It’s a coherent way to approach the job of probation.”

“It makes sense from beginning to end. It makes what we do more credible as a system.”

“It’s a series of tools that we string together logically to improve the bottom line.”

“It focuses us from beginning to end.”

“This is all encompassing. It’s everything we do and everything we do has to fit into it.”

“Helps to redefine and reassert what it is we’re all about.”

A critical outcome of the process of developing effective case plan strategies for probation was the realization of a parallel need to enhance continuum of services and communication with service providers. If all goes as planned, probation officers will be identifying a wide range of resources required to address risks and needs identified by the assessments. Accordingly, these improvements in probation case management will necessarily go hand-in-hand with efforts to enhance the quality of delinquency interventions.

Endnotes

- ¹ *New Employee Manual*. (2004). Pennsylvania Council of Chief Juvenile Probation Officers, Center for Juvenile Justice Training and Research, and Juvenile Court Judges' Commission. Retrieved June 18, 2010 from www.jjc.state.pa.us.
- ² Pennsylvania's Juvenile Act: Act 33, enacted in Special Session No. 1 of 1995.
- ³ The case management risk needs assessment instrument should be designed to assess a broad range of risks and needs associated with delinquent or criminal behavior and should be distinguished from assessment tools that target specific behaviors —substance abuse, mental health, etc.
- ⁴ Lerner, K., Lerner, D., Arling, G., and Krohn, B. (September 1988). *Strategies for Juvenile Supervision* (training materials). Oakland, CA: National Council on Crime and Delinquency.
- ⁵ See, for example, Hunninen, M. (2008) *Advancing Competency Development: A Resource Guide for Pennsylvania*. National Center for Juvenile Justice: Pittsburgh, PA.
- ⁶ See, for example, the YLS Service Matrix.
- ⁷ Gottfredson, D. (ED.). (2000). *Juvenile Justice with Eyes Wide Open: Methods for Improving Information for Juvenile Justice*. Pittsburgh, PA: National Center for Juvenile Justice.
- ⁸ Research results examining these questions “support the value of attending to and directly servicing youth according to the individual criminogenic needs.” See review of Viera, T., et al. *Matching Court-Ordered Services with Treatment Needs: Predicating Treatment Success with Young Youths* 36 (4) *Criminal Justice and Behavior* 385 (2009) by Henry Sontheimer in *Juvenile Justice Update* 15 (6) December/January 2010.
- ⁹ Please see, Crime and Justice Institute at Community Resources for Justice, Kristy Pierce-Danford and Meghan Guevara (2010). *Commonwealth of Virginia: Roadmap for Evidence-Based Practices in Community Corrections*. Chapter Two: Assessing the Organization (readiness to change) and Chapter Five: Managing Change.

Source Documents

- Bender, V., King, M., and Torbet, P. (2006). *Advancing Accountability: Moving Toward Victim Restoration*. Pittsburgh, PA: National Center for Juvenile Justice.
- Crime and Justice Institute at Community Resources for Justice (2009). *Implementing Evidence-Based Policy and Practice in Community Corrections*, 2nd ed. Washington, DC: National Institute of Corrections.
- Griffin, P., and Torbet, P. (Eds.). (2002). *Desktop Guide to Good Juvenile Probation Practice*. Pittsburgh, PA: National Center for Juvenile Justice.
- Torbet, P. (2008). *Advancing Community Protection: A White Paper for Pennsylvania*. Pittsburgh, PA: National Center for Juvenile Justice.
- Torbet, P. (2008). *Building Pennsylvania's Comprehensive Aftercare Model. Probation Case Management Essentials for Youth in Placement*. Pittsburgh, PA: National Center for Juvenile Justice.
- Torbet, P., and Thomas, D. (2005). *Advancing Competency Development: A White Paper for Pennsylvania*. Pittsburgh, PA: National Center for Juvenile Justice.

IN MEMORIAM

Honoring the Life of NCJJ Researcher Patricia McFall Torbet (1951-2011)

On Friday, September 23rd, NCJJ lost 30-year employee Patricia McFall Torbet to a yearlong battle with lung cancer. Pat was just 59 years old. Pat spent her entire professional career at NCJJ and through a relentless work-ethic and passion for improving practice on the ground. Pat quickly rose through the ranks to become a national juvenile justice expert. During her career, Pat produced several seminal pieces of work that are still in wide circulation and used nationwide, including the *“Desktop Guide to Good Probation Practice”* and *“Probation Case Management Essentials for Youth in Placement”*. Pat also made notable national contributions in the areas of Trying Youth as Adults; Balanced and Restorative Justice; Multi-System Youth Involved in the Dependency and Delinquency Systems; and State Responses to Serious Juvenile Crime.

Her writing and research contributions were prolific, but were overshadowed by her humility and kindness. Pat’s reach extended beyond the juvenile justice field and into the Pittsburgh community where she worked as a youth mentor with her church and always found ways, small and large, to give more than she received. She also took the helm of NCJJ after Hunter Hurst III retired and stayed in that role leading the Center until a new director was hired. She was an exemplary employee, a groundbreaking researcher, and an even better human being and our hearts are broken that she is no longer with us.

Contact Us

The National Center for Juvenile Justice (NCJJ) is the research division of the National Council of Juvenile and Family Court Judges (NCJFCJ). NCJJ conducts research on a broad range of juvenile justice topics and provides training and technical assistance to the field. For additional information concerning the material in this report, contact:

Douglas Thomas
Senior Research Associate
National Center for Juvenile Justice
3700 S. Water St., Ste. 200
Pittsburgh, PA 15203
412-227-6950 (phone)
412-227-6955 (fax)
thomas@ncjj.org
www.ncjj.org

Copyright 2011 National Center for Juvenile Justice

Suggested Citation: Thomas, D., Torbet, P., and Deal, T. (2011). "Implementing Effective Case Management Strategies: A Guide for Probation Administrators." *Technical Assistance to the Juvenile Court Bulletin*. Pittsburgh, PA: National Center for Juvenile Justice.

This report was supported by a grant from the Office of Juvenile Justice and Delinquency Prevention, Office of Justice programs. Points of view or opinions contained within these documents are those of the authors and do not necessarily represent any official position, policy or view of the U.S. Department of Justice.