

Reducing Revocations Challenge Phase II* At a Glance

GOAL: Reduce revocations in Monroe County, IN

KEY RESOURCE
Eight Principles of
Effective Intervention
<http://ncic.org>

Action Research

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STRATEGIES

- 1. INCREASE FIDELITY TO BEST PRACTICES IN PROBATION.**
EFFECTIVE PRACTICES IN COMMUNITY SUPERVISION (EPICS)
MOTIVATIONAL INTERVIEWING (MI)
CASE-PLANNING
- 2. REVISE STANDARD CONDITIONS OF PROBATION.**
FEWER CONDITIONS
CONDITIONS SHOULD BE POSITIVE AND GOAL-ORIENTED
- 3. INCREASE USE OF POSITIVE INCENTIVES.**
INCREASE USE OF EARLY TERMINATION
INCREASE USE OF INCENTIVES FOR CLIENTS
DEVELOP INCENTIVES FOR P.O.'S
DEVELOP TOOLS TO REINFORCE P.O. SKILLS



PHASE I: IDENTIFYING DRIVERS OF REVOCATION (OCTOBER 2019 – JUNE 2021)

PHASE II: IMPLEMENTING INTERVENTIONS TO REDUCE REVOCATIONS (SEPTEMBER 2021 – SEPTEMBER 2023)

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Reducing Revocations Challenge – Phase II Policy Brief Monroe County, Indiana

1. Executive Summary

Jurisdictions around the country are looking for ways to effectively keep more people out of prisons and jails. Decreasing probation revocations is one avenue to achieve that goal. From 2019 to 2023, the Monroe Circuit Court Probation Department worked with our team of researchers to better understand dynamics leading to probation revocations in their county. Our Phase I research found that revocations are mostly driven by client behavior, although Probation Officer discretion plays a role. When we modeled the different paths that clients take through probation, we saw evidence that timely intervention after one sequence of violations could help shift a client from a less successful to a more successful pathway.

During Phase II, from September 2021 to September 2023, we have worked together to implement interventions to interrupt probation revocations in Monroe County, and to track their impact. Because an average probation case lasts for about two years, we will not have a full picture of the impact of interventions until probationers sentenced under the old norms have processed out, and we can collect data on the experiences of a full post-intervention cohort. Nonetheless, the implementation phase yields critical insights. This report will cover what we have learned in Phase II, including both the “how to” of driving policy change through action–research, and some interesting preliminary data.

i. Ways to read this report.

The main text of this report is intended to be accessible for any concerned citizen. The “Takeaways” are aimed at other practitioners interested in pursuing probation reform. If you are especially focused on *how*, practically, an idea becomes an intervention---how the sausage gets made---the “At A Glance” guides offer a quick summary of key factors to consider. The main text covers the *how*, *what*, and *why* of each intervention we selected, as well as how we plan to measure impact. See the figures to better understand the data and refer to the appendices for greater detail.

For access to further research data, please contact mirnorth@indiana.edu.

2. Phase I Summary

Strategy. In our Phase I investigation into the pathways that lead to probation violations and revocation, we looked at a large data set (n = 4,111) representing all clients over a six-year period in Monroe County, Indiana. We supplemented these data with a richer but smaller data set derived from case file reviews of a select sub-group (n = 299) representing less-successful clients with higher rates of non-compliance. Our research team applied multivariable regression analysis to look for factors that influence violations, revocations and the length of time clients were subject to supervision. We also used a social sequence analysis approach to look for common pathways, or trajectories, of clients, and compare them over time. Complementing this quantitative study, we conducted a thorough review of the relevant law and administrative policy to identify common practices used when clients are noncompliant. Finally, we conducted surveys (n = 32) and interviews (n = 25) with employees of the MCPDD to capture their perceptions of the system and their attitudes toward their role in it. Surveys and interviews were directed to probation officers, probation supervisors, judges, and attorneys.

Findings. Overall, the results of the quantitative analysis showed that the main driver of revocation in Monroe County is client behavior, although probation officer (PO) discretion also plays a role.¹ Our social sequence analysis allowed us to model the most common “pathways” clients take through probation. This analysis showed that many clients find a successful pathway characterized by an initial violation, typically a failure to appear for probation appointments (FTA) or failed drug test, followed by a sustained period of compliance. The least successful pathways were characterized by repeated FTAs or alternating FTAs and substance use. Our baseline data from 2021 indicated that just over 60% of the violations filed with the court and 68% of the revocations were for technical reasons only. Timely and relevant interventions might help shift clients who begin to accumulate violations toward a more successful pathway. In both quantitative and interview data, POs showed willingness to work with clients on non-compliance issues, particularly if the client had a previous period or periods of compliance.

Race. If we look just at the probability of revocation, it appears approximately equal between Black and white clients. However, this is not the full picture, because Black clients receive more

¹ From Phase I Report: We see significant variance between POs in terms of the rate at which they file violations and revocations but found few strong predictors of this variation. The one predictor found was that *more experienced* POs were *less* likely to file a violation. Four officers revoked 33% or more of their clients, while five officers revoked 13% or fewer of their clients. The average revocation rate by officer (without adjustments for client demographics or case characteristics) was 23%. We did not find any effects of racial or gender bias in decisions, nor variation linked to PO.

violations. Even after considering client factors, case factors, probation officer, and case assignment factors, the results showed that a larger portion of Black clients had violations filed against them which suggests that Black clients are more at risk for formal sanctions than other clients. After integrating and assessing various administrative records, we were unable to explain why we observe racial disparity at the front-end of the revocation process (i.e., in violations filed), but not the tail-end (i.e., revocations filed).

Department culture. Our surveys and interviews indicated that the Probation Department embraces the Effective Practices in Community Supervision (EPICS) framework and the philosophy of evidence-based practices. These findings also revealed that practitioners may not be fully translating these approaches into routine practice. For example, practitioners may not have the knowledge or confidence to implement effective interventions (e.g., utilize the cognitive model and role playing using a client’s real-life situation) at the most appropriate time during a client contact. Additionally, practitioners may struggle using open-ended questions, active listening, and moving clients to a more active stage of change.

Implications. Our baseline data from 2021 indicated that just over 60% of the violations filed and 68% of the revocations were for technical reasons only. Moreover, it made it clear that even after one to two such violations, a successful pathway is still possible if probationer behavior changes. Timely and relevant interventions might help shift clients with an initial violation toward a more successful pathway.

3. Selecting Interventions

Once the initial research results were in, we began the challenge of pursuing actual policy and practice change, with the overarching goal of reducing the total number of revocations in the county. The ART had produced an ambitious list of interventions we believed might be effective. We now needed to determine which interventions were also *feasible*, and to build support to get them done. These crucial deliberative processes have taken up a significant portion of our time since the end of Phase I. As summarized in Figure 1, the process of selecting interventions involved extensive engagement with key stakeholders and many iterative steps to move from a list of almost 30 ambitious recommendations to three core Phase II interventions. Appendices IV and V provide additional detail on both the brainstorming and implementation phases.

Principles of Effective Intervention. The MCCPD aims to be a leader in transforming community corrections from a compliance-based model to a change-based model that maximizes the potential for rehabilitation and minimizes use of jail space. Each intervention was assessed to see if it aligned with the principles in the National Institute of Corrections and Crime and Justice Institute’s *Implementing Evidence-Based Practice in Community Corrections: The Principles of Effective Intervention* (see Appendix I).

Stakeholders. Stakeholders include probation clients (people with lived experience), other court personnel (prosecutors and public defenders), an advisory board, and the community (see Appendix II). Due to the quick turnaround between Phases I and II, we had to focus initially on those crucial stakeholders with the ability to approve new policy and practice interventions. Thus, early discussions comprised members of the **probation department, judges, and our own research team.**

To engage some additional stakeholders later in the process, we established work groups. These were tasked with the “how to” of the approved strategies. Engaging **people with lived experience** of probation as stakeholders is of crucial importance for successful reform. Unfortunately, funding for this aspect of our original research proposal was not available, and time constraints also made it difficult. While MCCPD will continue to make efforts to give probation clients a voice, ideally we would have liked to involve them more centrally in the process of policy selection.

Decision Makers. The **chief probation officer** was key to advocating the proposal to the presiding judge, and the **presiding judge**, who informs the rest of the judiciary, was key to initiating implementation. This process took several months, during which the team’s major

recommendations from Phase I (see Appendix IV) were both expanded and then whittled down and reframed based on stakeholder interest and support as well as time, cost, and anticipated impact. For example, some ideas that had gained significant support within the probation department, such as a technical violations court, did not find needed buy-in at the judicial level, and died there.

Responsibility for Implementation. It is important to note that the degree of consensus needed to achieve a given reform varies across the strategies and tactics selected. We try to highlight these considerations in the At-A-Glance sections. Many of the tactics selected for strategies 1 and 3 are closely connected, with positive incentives for probation officers supporting their increased use of effective practices, for example. While these strategies were developed with wider input, supervisory probation officers are ultimately the key to their successful adoption. Supervisor buy-in is crucial to developing buy-in among probation officers, and to making these interventions lasting aspects of the Department’s organizational culture. Supervisory and line probation officers were able to exercise a voice via participation in working groups. Final approval rested with the chief probation officer and the judges. By contrast, Strategy 2² required the buy-in of the entire county court system, and the action of the judges of the criminal division.

Workgroups. Distinct workgroups operating simultaneously were required for successful implementation of Strategies 1 and 3, given their size and inter-departmental scope (see Figure 2). Strategy 2 was pursued through a single comprehensive workgroup called “Revising the Probation Conditions.” Altogether, **over 30 different individuals have served and are serving in the various workgroups.**

For those who want additional detail, Appendix V covers the responsible parties, deliberative steps, and amount of time required for implementation, for each of the three strategies.

² Strategy 2 aligns indirectly with the first six EBP Principles from the National Institute of Corrections and Crime and Justice Institute as it directs the relationship with the client and PO.

Figure 1: Approval process for RRC interventions

From Research to Intervention: How the sausage gets made

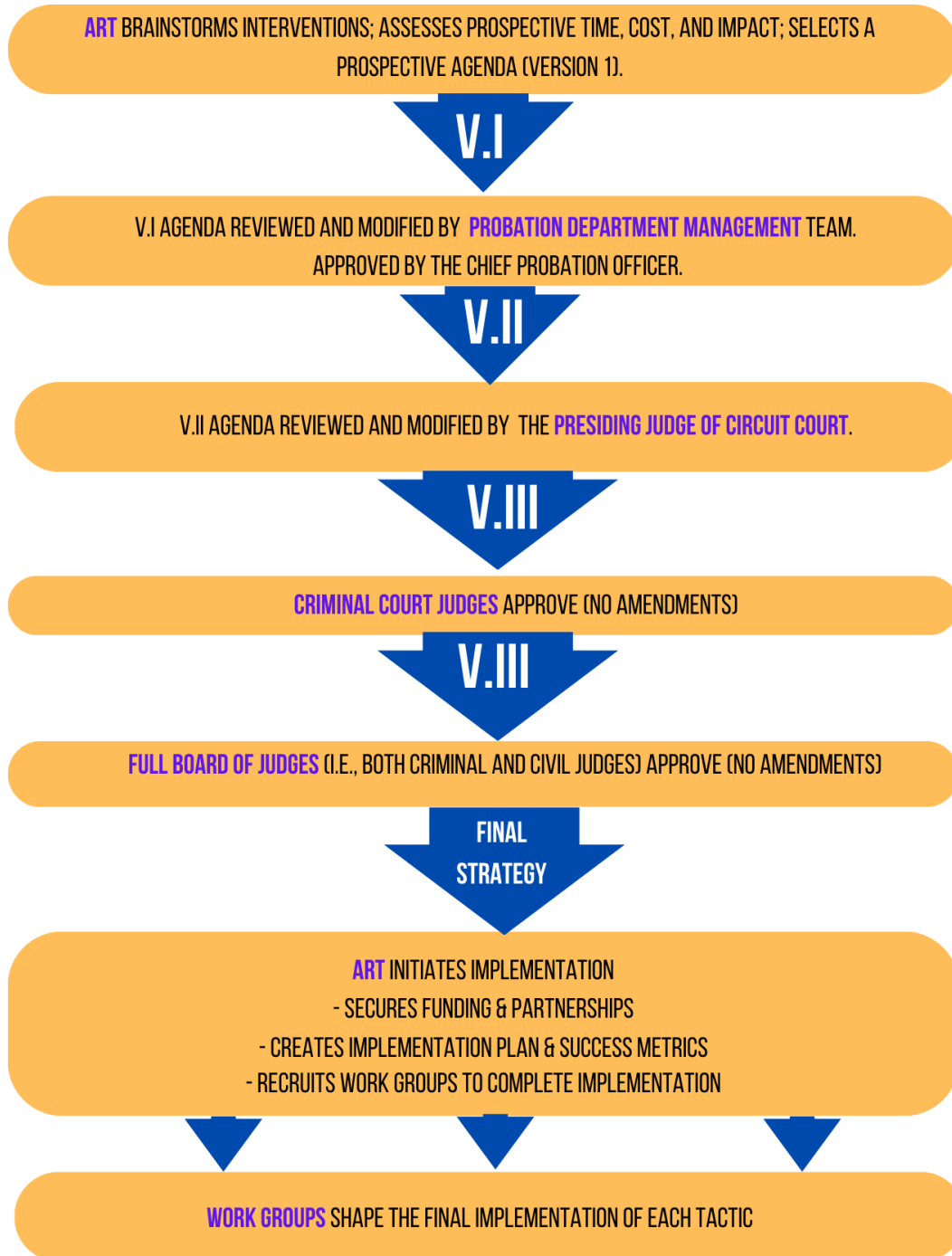
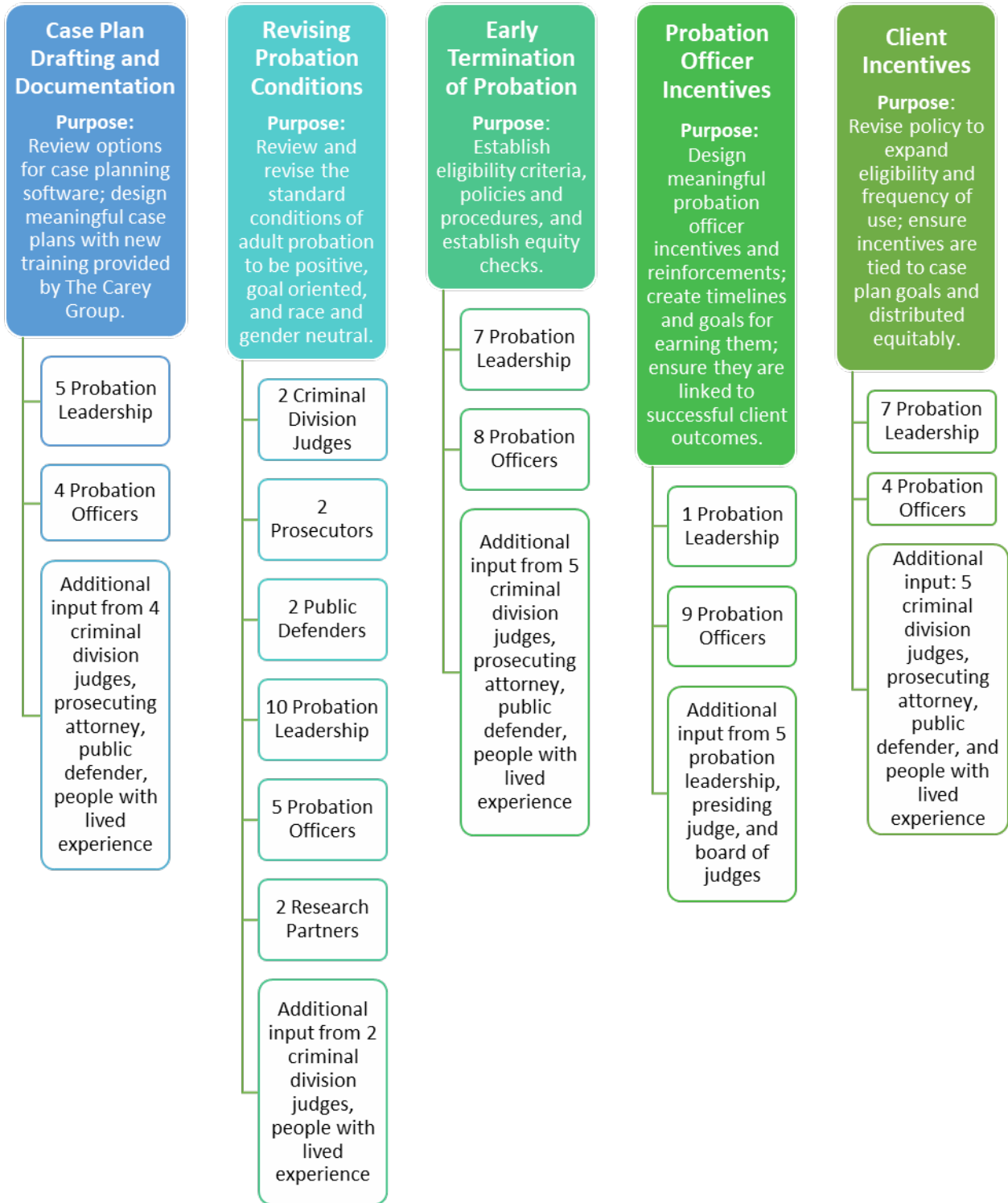


Figure 2: Composition of the RRC workgroups



4. Strategy 1 – Increase fidelity to best practices.

AT A GLANCE

Level of change: Practice

Movers: Supervisor team, case planning workgroup

Decision maker(s): Chief probation officer

Time to implement: 6–12 months, with ongoing reinforcement

Cost factors: Staff trainings, online resources, custom software, ongoing reinforcement

Anticipated impact: Improved outcomes for moderate and high-risk clients; improved client satisfaction

Status: Needs assessment and trainings are complete. Some measures in place to ensure ongoing skill reinforcement and measurement. Team will implement a new software dashboard to further reinforce skills and track impact.

The MCCPD has a proven commitment to being a leader in the adoption of **Evidence-Based Practices (hereafter EBP)** as recommended by the National Institute of Corrections (NIC).

Specifically, starting in 2015 Department officers have been trained in **motivational interviewing**, **EPICS (Effective Practices in Community Supervision)**, and **case planning**. See Appendix III for definitions.

Although Phase I indicated that the Department has embraced the philosophy of effective practices, both internal review of recorded appointments and our Phase I research findings suggested that probation officers were not yet fully utilizing these skills. In 2021, EPICS skills were used in fewer than 40% of the client contacts in which opportunities existed to apply these interventions. Potential reasons included inconsistent training of newer hires, limited confidence of trained POs in their ability to use the skills effectively in the correct situations, and heavy workloads that limited PO bandwidth for assimilating new skills.

Improving fidelity to EBP should create more opportunities to lead clients toward a more successful supervision pathway. While we were not able to introduce changes to the workload policies, we designed a skill reinforcement plan that offers POs some ownership of their professional development, and that utilizes software to naturally facilitate self-monitoring without increasing cognitive load. We also provided 1:1 coaching opportunities with experts in skill use during client contacts. Finally, we introduced a new appointment structure and divisional learning teams to support skill use. The tactics selected for this strategy align with several of the Principles of Effective Intervention (PEI): target interventions, skill train with directed practice, and provide measurement feedback.

4.1. Step 1a: Assess staff training needs

First, we needed to know what training POs have received and assess exactly what reinforcement they needed. Prior to Phase II, probation staff had been trained extensively, but not necessarily consistently, in EPICS, motivational interviewing, and case planning. Staff were trained in both the use of EPICS and case planning in 2015-2016 through contractor Core Correctional Solutions (CCS). Probation leadership trains all officers in motivational interviewing in-house, and have offered booster trainings and peer coaching to reinforce the CCS trainings. Newer staff, however, have not been as uniformly or routinely trained in these three areas.

Probation supervisors have an established practice of reviewing videos of client interactions, discussing as a supervisor team, and meeting with POs for group or individual coaching. This provided the office with some data points on skill use and skill deficits.

We also wanted to survey the POs themselves. We asked what types of training they had already received, how they would rate their own proficiency in specific skills, and what training they would like to receive. Figure 3 summarizes the survey results; most significantly, the responses identified seven core skills in which at least 50% of respondents felt they were not completely proficient. Probation supervisors used these survey responses and their own knowledge of PO skill levels to determine staff training needs in each of the three areas.

4.2. Step 1b: Respond to training needs.

As a result of all the assessment and input from POs and supervisors, we contracted with CCS to provide on-site training and to bring all current staff to the same level in basic **EPICS skill** use. These trainings took place in September and October 2022³. Additionally, to increase the long-term impact, we contracted with CCS to provide online, on-demand training POs can access to reinforce skill use in appropriate situations. Finally, we contracted with CCS's experts to observe meetings between POs and clients via Zoom and to provide individualized support and mentoring. This consulting is meant to ensure uniform and routine training of existing and future staff. These Zoom observations will continue at least through the end of 2023.

For **case planning**, we contracted with The Carey Group to train all POs in effective case planning, a skill used primarily with moderate and high-risk probation clients. This training occurred in

³A higher-level skills course will be offered in September and October 2023.

August 2022. Going forward, all POs now have access to online versions of The Carey Group’s Driver Workbook and The Carey Guides, the former designed for quick reference during client meetings, to help them identify specific behavioral drivers and thinking errors to target with interventions; and the latter to actually use as interventions and for skill-building. The Carey Group resources support the key principle of targeting interventions by risk, need, and client characteristics.

Finally, to bring all newer staff to the same skill level in **motivational interviewing**, the department scheduled multiple trainings sessions with an in-house trainer in Effective Communication and Motivational Strategies (ECMS). Current staff were also encouraged to attend these sessions to improve their skills. Our contract with CCS’s experts to observe client appointments live via Zoom also includes providing feedback to POs on their use of motivational interviewing techniques during client contacts.

Further, all PO supervisors attended a one-week training course with CCS to learn how to establish long-term effective support and accountability methods to reinforce PO skills and skill use. To this end, the department started using **divisional learning teams** in April of 2023⁴. Learning teams are peer led groups where POs (non-supervisors) are responsible for the subject matter selection, facilitation, and peer accountability. Teams were created within the separate divisions of the department (e.g., pretrial, problem-solving court, adult high/moderate risk, etc.). The main purpose of divisional learning teams is to allow each division to self-assess their training needs and implement peer accountability. This structure helps POs target the growth areas they most need in their daily jobs, since subject matter may or may not apply to each division in the same way.

4.3 Step 1c: Give POs the (software) tools they need for continuous improvement

The **Case Plan Workgroup** was formed in August 2022 and tasked to brainstorm the most effective ways to use existing software options for case planning. The workgroup found that the department’s current software – Quest – performed better than available alternatives. However, the workgroup did recommend changes to make the program more useful and user-friendly.

We identified software enhancements to support POs during client appointments. The enhancements

⁴On January 1, 2022, our department gained a full-time position to focus solely on implementation of evidence-based practices and training. This position is partially grant-funded and will coordinate ongoing contact with CCS and be instrumental in ongoing sustainability efforts for this strategy. Beginning September 2023, we gained a second full-time position through departmental restructuring to add additional support and training for POs to enhance skill use and create greater opportunities for success.

will prompt POs to focus on identifying clients’ strengths and barriers, isolating drivers of behavior, individualizing goals and objectives, and offering meaningful rewards/reinforcements. It would also give POs a direct visualization of their performance. This kind of **continuous feedback** is very helpful in supporting performance and aligns with the principle of skill acquisition through directed practice.

4.4 Step 1d: Implement an improved appointment structure

MCCPD has been revising and improving its client appointment structure since the department’s initial training in EPICS and Case Planning in 2015–16. The latest client appointment structure is better aligned with a change-oriented approach to corrections, and provides a supportive framework for POs to develop their skills through directed practice. The new appointment structure is laid out side-by-side with the older, compliance-based appointment structure in Appendix VI.

4.5 Measuring Impact

We want to track the impact of our interventions from multiple perspectives. Thus, we surveyed POs, PO Supervisors, and clients.

PO Perspective: Proficiency increases. We surveyed probation staff both before and after the Phase II trainings. As shown in Figure 4, we see increased confidence across the board, with 88% of POs feeling proficient in motivational interviewing, 63% in use of EPICS skills, and 66% in the use of case planning skills. We anticipate these numbers will increase as POs continue to gain experience. Additionally, the new departmental incentive structure being developed in Strategy 3, the improved case planning software, and ongoing expert coaching will all support continuing increases in proficiency.

Attitudes toward EBP⁵ remain positive. We also measured PO attitudes toward EBP in 2022 and 2023. Although this is not an exact comparison, as the sample responding may have varied due to choice, hiring, or attrition, both surveys yielded the same overall score of 3.9 out of 5. In other words, MCCPD as a whole has retained an open mind toward EBP. We see a slight decrease in reported divergence between EBP and practitioner experience (Figure 5). This decrease is a positive sign that POs are seeing more similarity, or alignment, between their own practices and EBPs.

⁵ EBP Attitudes Scales were adapted from, “Aarons, Gregory A. (2004). Mental Health Provider Attitudes Towards Adoption of Evidence-Based Practice: The Evidence-Based Practice Attitude Scale (EBPAS). *Mental Health Services Research*, 6:2.”

Supervisor Perspective: Use of EPICS is increasing. Recall, the use of EPICS skills in scheduled appointments was being monitored by supervisors both prior to and throughout our research. Use of skills increased from 32% during Phase I to 46% during the first year of Phase II and 49% during the second year of Phase II when POs received EPICS training (Figure 6). Percentages were calculated by dividing the number of contacts (that included skills) by the total number of contact opportunities (where skills could have been used).

Client Perspective: Satisfaction rate remains high. The research team developed a client survey to measure probation officers' implementation of key skills and strategies from a different point of view. At the end of each appointment, clients received a text message requesting participation in a voluntary and anonymous survey about their meeting with their PO. These surveys were launched prior to the delivery of Strategy 1 training sessions and collection remains ongoing. Approximately 6,797 text message invitations were sent to complete the post-visit client survey during the time period from June 2022 to July 2023. We collected 391 survey responses, which represents a 5.8% completion rate. We received 90 responses from low-risk clients and 301 from moderate/high risk clients in. In addition to providing data on PO practices, this survey is one opportunity for clients to have a voice as stakeholders in Probation Department policy and practice. Results were aggregated and shared with the probation officers, monthly, throughout Phase II as a form of continuous feedback for both practitioners and researchers.

Figure 7 illustrates a subset of survey items most relevant for measuring PO skill use, including whether the client feels their PO listened, whether they used a case plan, and whether they worked on specific skills. Initial results for low-risk clients show a slight positive upward trend in client satisfaction responses. For moderate/high-risk clients, it is too early to identify a trend. It is noteworthy that our measures of client satisfaction capture much less change than our measures of EPICS use; however, we do not yet have enough information to determine why. One possibility is that because client satisfaction was already high at the beginning of the survey period, it had more or less topped out. There are also several biases that can impact surveys as a measurement device. This is an area for continued assessment going forward.

4.6 Strategy 1 – Figures

Figure 3: Results from initial survey of POs on training needs.

×=50% or less of POs felt proficient in this skill

✓=More than 50% of POs felt proficient in this skill

ⓘ=Of those who did not feel proficient, at least 50% wanted additional training

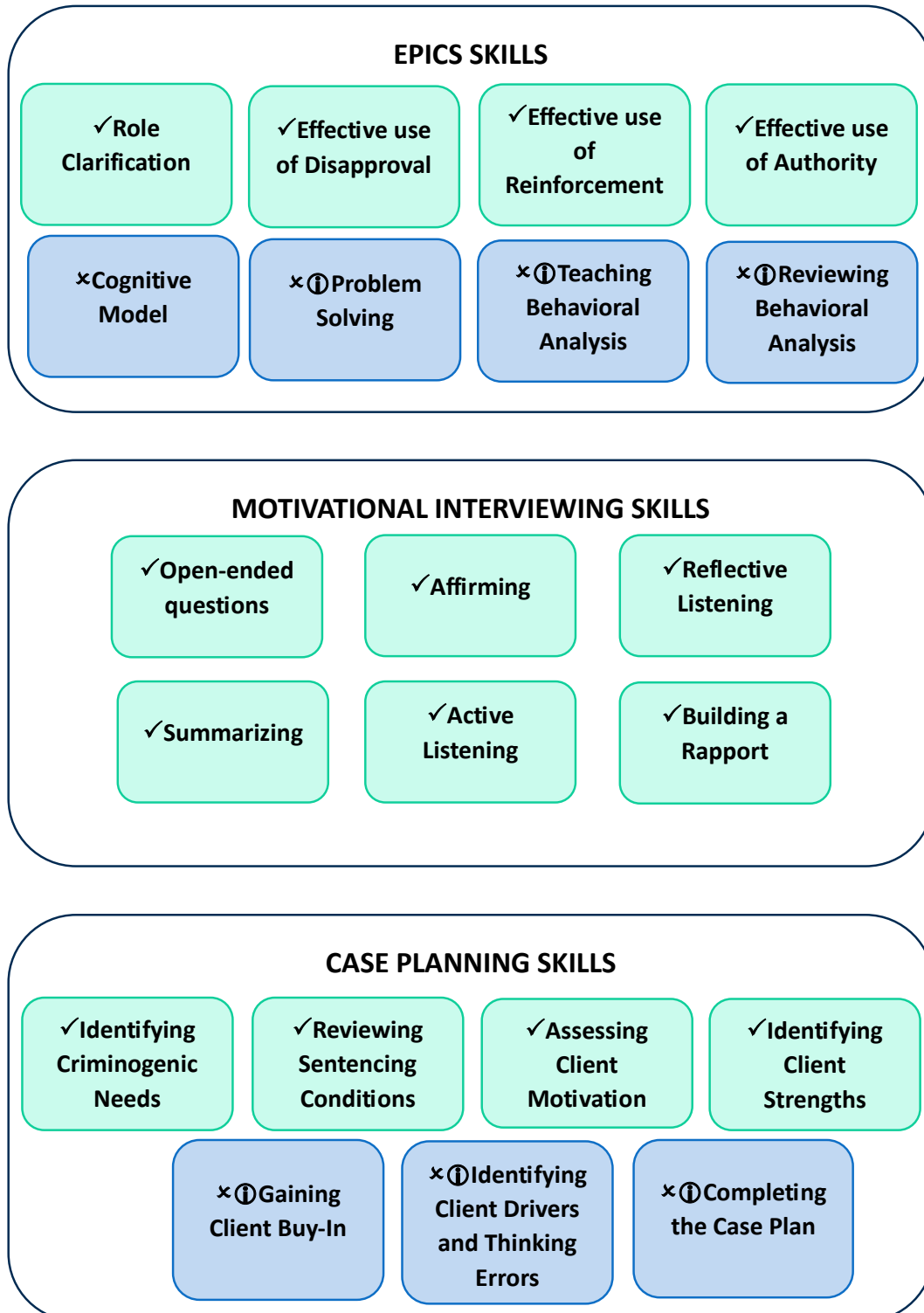


Figure 4: Changes in PO job skill confidence

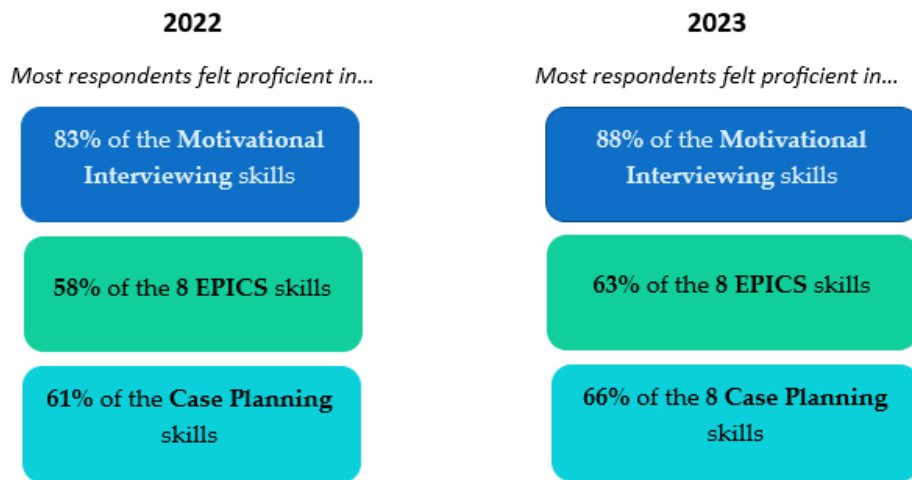


Figure 5: Changes in EBP attitude scale scores

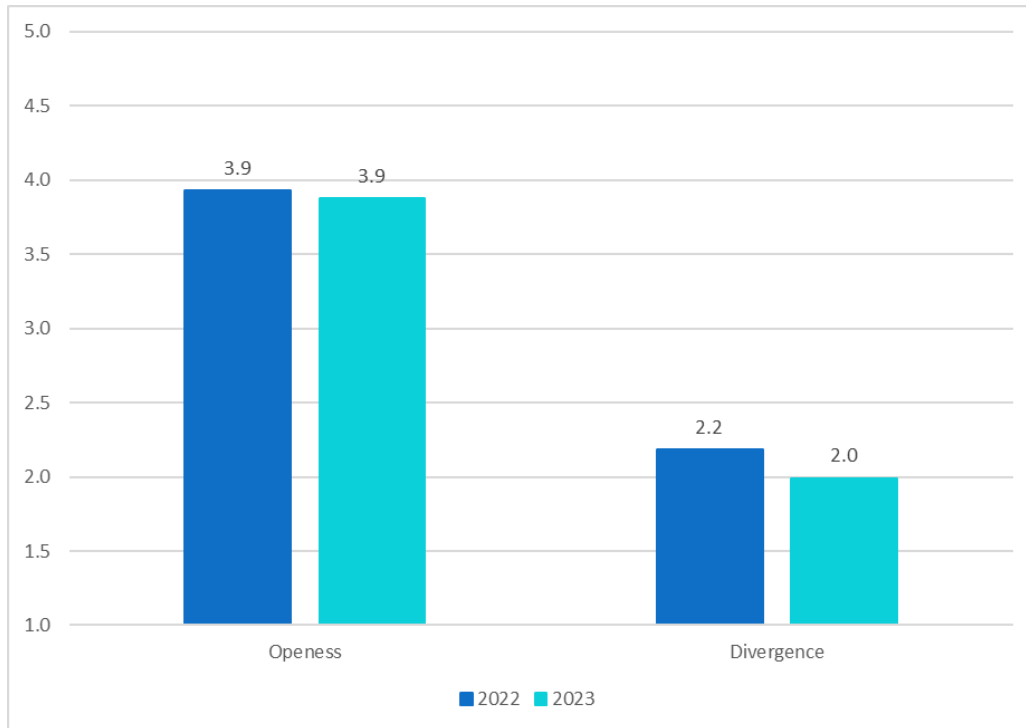


Figure 6: Use of EPICS skills in client interactions.

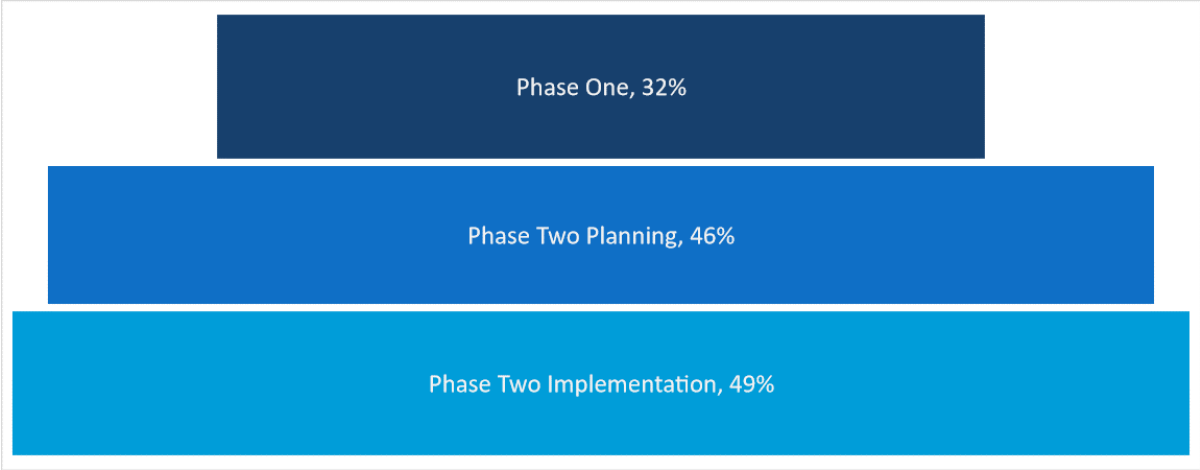
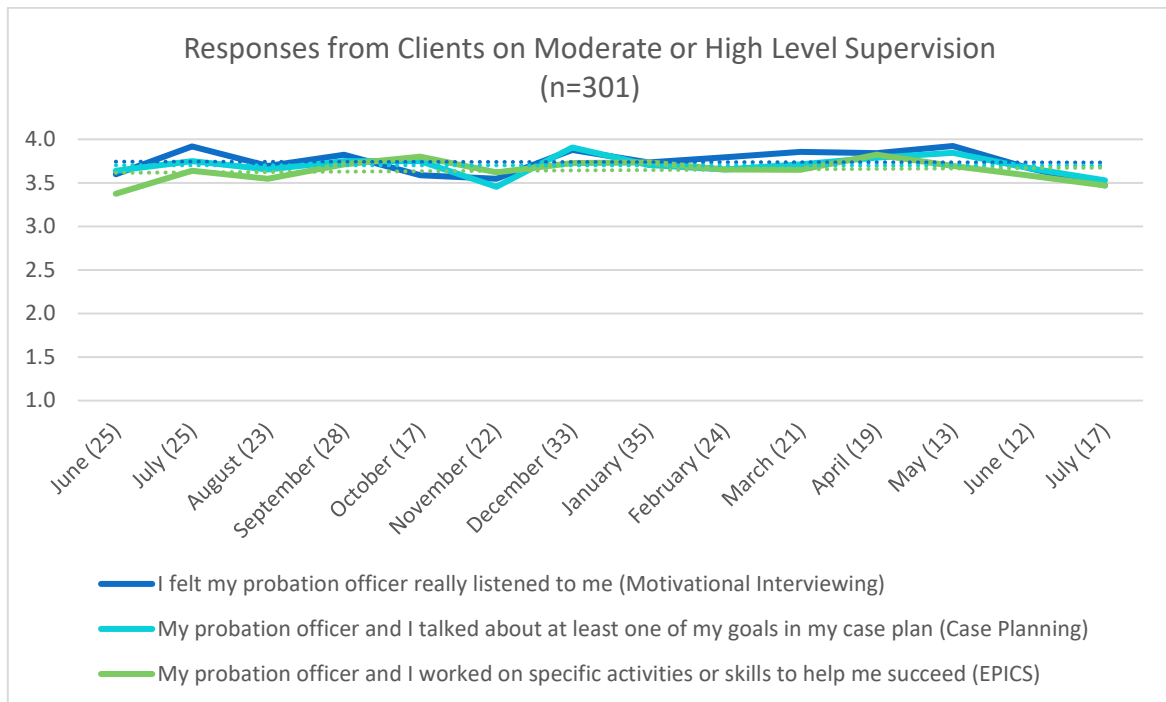
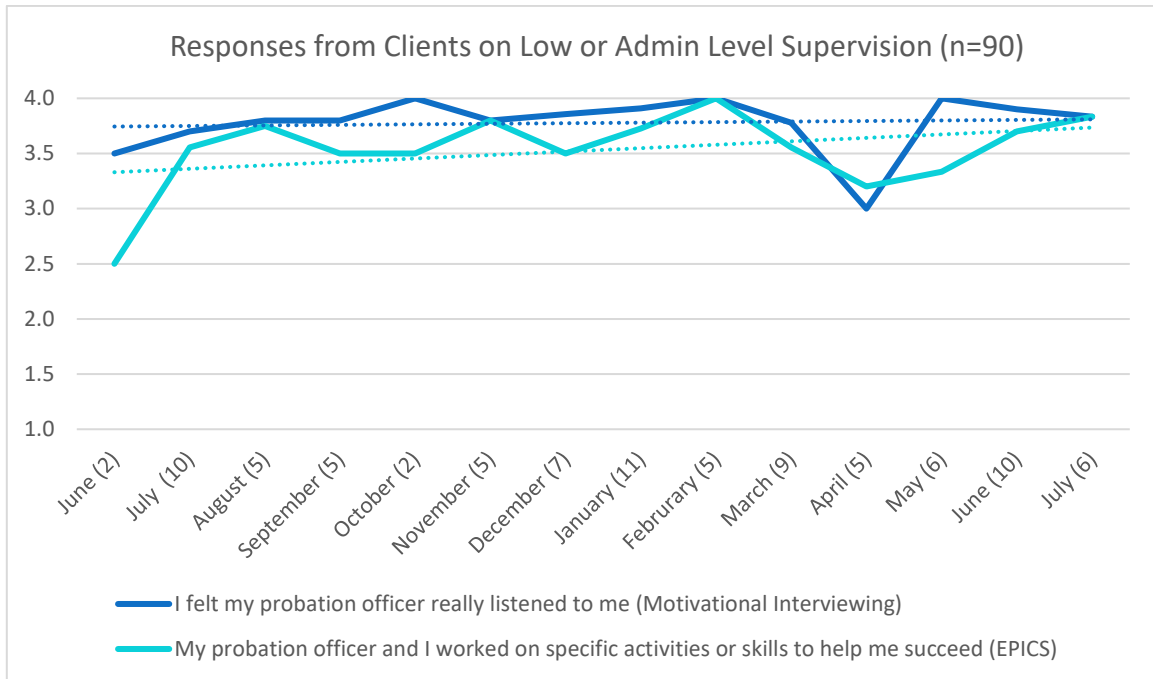


Figure 7: Client satisfaction with PO interaction

Note: Number of clients responding is indicated in parentheses after the “month” label.



4.7 Strategy 1- Takeaways

Smaller scope can be a strength. Gaining approval for this strategy was easier than for other strategies because the decision makers were all within one department (i.e., probation supervisors, probation chiefs). PO training priorities do not necessarily require judicial approval.

Culture is key. The MCCPD has been developing buy-in for the EPICS model since 2015, so our Phase II interventions supplemented prior reforms. Our Phase I interviews indicated that a significant group of staff are on board with the department’s shift toward evidence-based practices, and a focus on rehabilitation and social work.

Anticipate the risk of staff backlash. A real challenge for this type of intervention is the risk of training fatigue. POs juggle heavy caseloads, and our Phase I interviews found that some already feel “at the end of their rope”. Further overloading them with new demands risks backlash. To reduce training fatigue and to increase buy-in, officers self-evaluated their training needs, and senior officers were able to choose which trainings to attend. Nonetheless, a consistent message has been conveyed that all will be held to the same standards of implementation during their client contacts.

5. Strategy 2 – Revise the standard conditions of probation to be fewer in number as well as positive and goal-oriented in tone.

AT A GLANCE

Level of change: County-level policy that, per statute, is at discretion of judicial officers

Movers: External facilitators

Decision makers: Judges of the criminal division

Time to implement: 12 months

Cost factors: Facilitation services, staff time, printing costs

Anticipated impact: Profound. Changes impact the form and function of probation.

Status: Revised conditions went into effect for cases sentenced after August 1, 2023

The standard conditions of probation are the mandatory conditions, or rules, that are automatically applied during sentencing. These conditions direct why, and to some extent when, probation officers should file violations and revocations. In Phase I, we learned that Monroe County mirrors the rest of the state in that **roughly half of revocations are due to technical violations**. In other words, people who cannot keep appointments or who fail to complete treatment are being revoked in similar numbers to those actively committing new crimes. Since client behavior is the largest driver of revocations in our data, it is important to clearly understand how the standard conditions define the set of problematized behaviors.

The qualitative portion of our Phase I study, in which we reviewed the policies, practices, and culture of the MCCPD, led us to identify rich opportunities for fundamental reforms in the direction of a more positive, change-oriented probation program. Monroe County’s existing standards are focused on concepts of accountability without reference to ability, are somewhat negatively phrased, and do not focus on positive goal achievement. With this structure in place, probation officers become focused on enforcing a general list of rules that may not be applicable to all clients and may not assist clients in making positive changes.

5.1. Step 2a: Frame recommendations

For this strategy, we aimed to revise the standard conditions in line with PEI principles, including: enhance intrinsic motivation, target interventions on the basis of risk, need, and individual characteristics, and incorporate treatment.

We recommended reframing each condition, moving from a narrow compliance model toward a **strengths-based or positive-outcome-based model**. For example, “working toward sobriety” could replace “shall not use substances” as a basic probation condition. Conditions that are oriented

toward positive growth give POs more tools for addressing the criminogenic needs of their clients and discuss progress rather than compliance.

The number of conditions is also a consideration.⁶ The standard conditions are only the baseline, and individual sentences may include additional conditions. Our interviews indicated that keeping up with all the mandatory conditions was placing a significant burden on officer time, and was one reason we saw slow uptake of evidence-based practices, despite a generally positive orientation toward them. Moreover, for the client, more conditions means more opportunities to fail. Thus, it is important that each condition have true rehabilitative benefit. Our recommendation aimed to reduce as well as to revise the standard conditions of supervision. Judges would still be able to assign additional conditions more tailored to the individual client’s criminogenic needs, and POs would be better able to prioritize the most crucial issues in their work with clients.

5.2. Step 2b: Dialogue and build consensus

Of our three strategies, this one targeted the highest level of policy. Thus, its implementation involved the most decision-makers and the most complex consensus process. Drawing on past experience with other efforts at systemic reform, we engaged Justice System Partners to provide **professional outside facilitation**.⁷

The outside facilitation took the format of three moderator-led group discussions in which probation officers, probation supervisors, members of the courts (i.e., prosecutors, defense attorneys), the research team and community research partners met between August 2022 and March 2023. Two of the three meetings were in person with a Zoom attendance option, and one meeting was fully conducted via Zoom. The group met two additional times without the moderator present. The conversations covered sensitive information; for example, whether the condition to ban firearms was crucial to field officer safety or an unintended barrier to success.

5.3. Step 2c: Compromise when necessary

In these meetings, the majority of attendees were open to revising the conditions to more closely cohere to evidence-based principles and a strengths-based model of supervision. Some were less inclined to do so. Ultimately, to achieve the needed buy-in, the extent of the policy revision had to

⁶ Although there are nominally seven standard conditions, some have subparts. Our analysis of policy and practice found that, functionally, POs are tied down tracking their clients’ adherence to thirteen standard conditions.

⁷ In 2015 and 2016, Monroe County relied on outside facilitation from the National Institute of Corrections to establish a formal pretrial services program. At that time, an outside consultant proved to be the indispensable locus of momentum driving the discussion forward to a successful outcome.

be drastically reduced. In the final revision, two sub-conditions have been merged, and a more active sentence structure shifts some of the remaining conditions toward a slightly more positive framing. Suggested rule changes aimed at reducing barriers for clients (i.e., drug testing) were not modified as a standard condition, but instead, will be excluded based on each individual’s presenting factors when sentencing is decided.

The old and new rules of supervision are laid out side by side in Appendix VII.

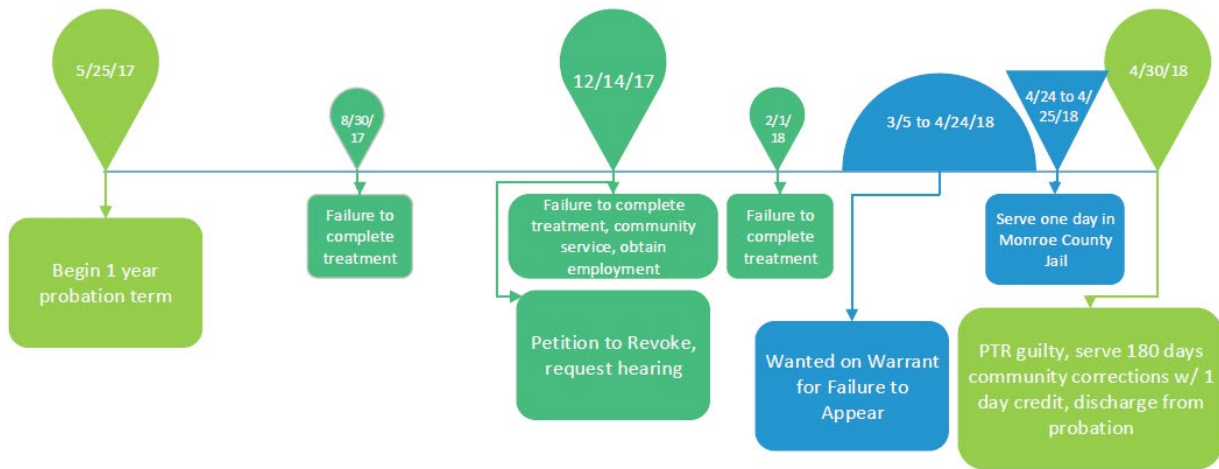
5.4. Measuring Impact

The effective date for the new supervision conditions was August 1, 2023. Cases managed under the old conditions will continue to make their way through the courts for some time. Figure 8 illustrates a typical timeline for a single case. Thus, we expect it to take approximately two years before we will see datasets that are composed exclusively of cases managed under the new rules.

The impact we can reflect on at this stage is cultural. The deliberative process developed to achieve this revision constitutes a cultural step in a positive direction. It has accelerated familiarity with EBP principles throughout the justice system. Our team retained the trust and respect of the practitioners throughout this process. Thus, we have formed a **strong basis for ongoing reform work** with Monroe County. Our experience demonstrates that with patience and collaboration, action–research can successfully engage with diverse stakeholders and build the dialogue that leads to systemic policy and practice reforms.

5.5. Strategy 2- Figures

Figure 8: Timeline of Court Case Proceeding – A case study.



5.6. Strategy 2 – Takeaways

Professional outside facilitation is invaluable. The justice system is a human system: it derives stability from the repetition of routine interactions between its various parts, each with their own mandate, relational dynamics, and institutional memory. High level change that affects this entire system is difficult to generate from inside the homeostasis of the organization. An outside facilitator can create a positive degree of disruption safely, break down habitual role and power dynamics to make space for productive discussions, and consistently drive the process forward.

The higher-level the reform, the longer to implement. Even though we built deliberative time into our implementation plans, the actual deliberations took even longer. The target date for the new conditions to take effect changed several times. We can also look at the change in scope of the reform, from a big step to a smaller step, through the lens of time. Our original proposal may have overestimated how fast the existing culture would be able to assimilate a new philosophy. In the end, patience and persistence are key.

Seek progress, not perfection. Pursuing policy change at this level can be slow and frustrating. Nonetheless, whereas a standard research study might provide recommendations that go nowhere, our professionally-facilitated dialogue cultivated the systemic buy-in necessary to result in a concrete action, however small. The long-term potential of these relationships is incalculable.

6. Strategy 3: Increase use of positive incentives.

Our third strategy is also our most diverse. In Phase I, we found that of all the probation officer responses studied (i.e., sanctions, incentives, and supports) **only incentives were associated with lower rates of revocation**. This finding matches prior research by Wodahl and colleagues, showing that the most effective way to improve supervision outcomes was to reinforce behavior through incentivizing rather than sanctioning, and to maintain an incentive-to-sanction ratio of at least 4:1.⁸ Yet, in 2021, our software system showed that **only 26% of clients currently on probation had ever received even one incentive**. Of further concern, baseline data also indicated that **incentives are disproportionately offered to White clients over other groups**.

This strategy reflects PEI principles directly rooted in the science of cognitive-behavioral change: enhance intrinsic motivation and increase positive reinforcement. Our team identified this strategy as appropriate for improving the performance of both clients and probation officers. To break the strategy down into specific tactics, three different workgroups were formed: Early Termination, Client Incentives, and Probation Officer Incentives. All three worked collaboratively, and a fourth workgroup was later established to document changes in use of incentives and other measures via the department's software system.

6.1. Step 3a: Increase use of incremental incentives for clients

AT A GLANCE:

Level of change: Probation Department policy

Movers: Probation workgroups

Decision makers: Chief probation officer

Cost factors: Staff time to develop policy, incentive cost

Anticipated impact: Increase success rates for moderate and high-risk clients⁹

Status: Implementation ongoing

In the Wodahl et al. study cited above, POs who were able to incentivize four times as often as sanction achieved a 71% success rate for probation cases.¹⁰ An example of this ratio in action could be that a PO provided verbal affirmation to a client two different times in two different visits, and only provided one sanction (e.g., a written warning for substance use) during one of those visits. Given the low rate at which MCCPD is offering incentives, for the department to achieve the desired 4:1 ratio, we must increase the number of clients who receive any incentive, as well as the

⁸ Wodahl, E. J., Garland, B., Culhane, S. E., & McCarty, W. P. (2011). Utilizing behavioral interventions to improve supervision outcomes in community-based corrections. *Criminal Justice and Behavior*, 38(4), 386-405.

⁹ Our target for changes does not include low-risk clients as they generally do not report as often and many do not report in person reducing their ability to receive incentives, and in turn, for incentives to influence change in their behavior.

¹⁰ Wodahl, E. J., Garland, B., Culhane, S. E., & McCarty, W. P. (2011).

number of incentives. Our data therefore indicated the need to expand the population, criteria, and times clients were eligible for incentives.

The Client Incentives Workgroup began meeting in February 2023. It is currently reviewing departmental policy, exploring ways to expand the use of incentives, and developing a client survey designed to tailor incentives to specific clients. For example, during client intake, each client will rank which incentives (from the department’s list of available incentives) are the most motivating for them. Their PO will use that ranked list when creating that client’s case plan in response to the client completing objectives and/or goals related to their positive behavior change. This tactic aligns with the PEI principle of being responsive to individual characteristics in targeting interventions.

To ensure that we are making progress toward the desired 4:1 ratio, use of incentives is tracked in the Probation Department’s case management system. The portion of clients receiving at least one incentive has increased from 20% in 2019 to 28% in 2023 (Figure 9). These estimates were calculated by dividing the number of clients who were provided with incentives by the pass-through population, on a quarterly basis.

6.2. Step 3b: Increase use of early termination from probation

AT A GLANCE

Level of change: Systemic

Movers: Inter-organizational workgroup

Decision makers: Judges & prosecutors

Cost factors: Staff time to develop policy, legal consultation

Anticipated impact: Increase total number of successful discharges and decrease average caseloads, benefiting all risk groups.

Status: Workgroup recommendations are undergoing legal review

An incentive mentioned by several stakeholders in Phase I interviews was the use of early termination from probation. Prior to the start of Phase II there was no structured policy for offering this powerful incentive. Very few clients in the baseline data set (3.9%) exited from probation with an early discharge. Most often, this occurred after the client directly requested early termination from the court through their own initiative.

Creating a sound policy and well-delineated procedures for early discharge will offer many benefits: increasing the number of successful discharges also decreases the opportunities for violations and revocations and reduces the overall number of people on community supervision (currently around 2,000 people per day). This reduction would ease PO workloads and allow them to provide higher-

need clients with more attention. Finally, a properly structured procedure should reduce unintentional biases and improve equitable decision making.

At the end of Phase II, the early termination workgroup was seeking legal advice on whether their recommendations to increase the use of early discharge conform to state statutes. Although the policy is not yet implemented, we have seen a small uptick in the portion of clients who exiting probation with an early discharge (Figure 10). This may be because the workgroup’s efforts put the topic front of mind, resulting in probation staff informing clients of the possibility by engaging the court directly. However, a true impact assessment will have to wait until implementation is complete.

6.3. Step 3c: Develop incentives for POs

Level of change: Probation Department policy

Movers: Internal workgroup

Decision makers: Chief probation officer

Cost factors: Staff time to develop policy, incentive cost

Anticipated impact: Reinforce use of EBP, increase staff satisfaction

Status: In planning stage

The Probation Officer Incentives/Reinforcements Workgroup began meeting October 3, 2022. Members were tasked to propose meaningful, feasible incentives and reinforcements for probation officers to aid in increased use of evidence-based skills during client contacts that are proven to reduce recidivism. After initial brainstorming, the committee distributed an online survey asking officers to rank their preferences from among a list of incentives. The Workgroup’s goal was to achieve a 75% response rate but were thrilled to reach the 95% response rate mark. This is a clear indication that earning incentives based on measurable performance benchmarks is of significant interest to probation officers. The most desired incentives were: adjusting hours to work a nine day pay period versus ten days, increased ability to telework, training flexibility, and gift cards. It is notable that the most desired incentives have no direct cost to the department.

At the end of Phase II, these new incentives had not yet been implemented, but discussion surrounding benchmarks for implementation continues.

6.4. Step 3d: Develop dashboard enabling POs to self-monitor performance

AT A GLANCE

Level of change: Probation Department policy

Movers: Internal workgroups

Decision makers: Chief probation officer

Cost factors: Staff time, custom software solutions

Anticipated impact: Reduction in PO bias through transparent self-monitoring

Status: Case management system developer creating initial draft

At the end of Phase II, the Dashboard Workgroup had been tasked to design and implement a feedback dashboard that measures specific probation officer interventions intended to reduce criminogenic risk and recidivism, such as the offering of incentives or completing skill-based interventions during client contacts. This feedback dashboard will also provide race/ethnicity breakdowns for each metric. The goal is to allow POs to quickly and consistently track the trends in their own performance, enabling them to identify areas where they may deviate from their colleagues in their division and the Probation Department as a whole. (Note: The feedback dashboard is intended to measure the performance of POs, whereas the software enhancements in created under Strategy 1, Step 1c, are to track the positive progress of clients).

6.5. Measuring Impact

All the initiatives under Strategy 3 are being tracked through the Department’s existing software and reviewed by the relevant workgroups. While it is still too early to develop a full-fledged impact assessment, we can already see some incremental increases in the use of client incentives and early discharge as an incentive, as shown in the following figures.

6.6. Strategy 3 – Figures

Figure 9. Preliminary Changes in Incentive Use

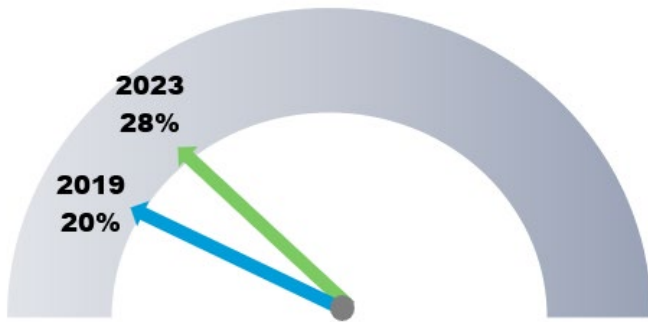


Figure 10: Preliminary Changes in Early Discharge



6.7. Strategy 3 – Takeaways

Anticipate legal considerations. Even though early termination has been offered on an ad hoc basis in the past, as the workgroup developed a more structured policy, we identified the need for a legal review and coordination with the court system. Never assume that existing practices are legally sound.

Consider the level of approval needed when assigning workgroups. Although the use of early termination as an incentive requires higher level review, other incentive initiatives can be handled more seamlessly within the Probation Department. Considering these logistics can help with the planning and prioritization of different tactics, particularly if the pool of staff members available to sit on workgroups is small.

Data is key. The Department's existing data and software are an indispensable part of each initiative. Continuous feedback supports uptake of new initiatives. Improving accessibility of existing data supports PO performance, ideally without increasing the active demands on their time and attention. Allowing POs to complete self-evaluation by providing them with tools to review their own performance can lead to improvement.

7. Phase II: Overall Impact on Revocations & Racial Disparity

We present preliminary findings on revocation rates, the target outcome of all three strategies. It is crucial to recognize that the timelines of court cases mean that it will take 1–2 years for the impact of changes to policy and practice on revocation rates to become fully apparent (see Figure 8 above). With this caveat in mind, the **early data do suggest a decrease in both revocation rates and violation rates for all supervision levels.**

Figures 11–12. From 2019 to 2022, the overall rate of revocations decreased from 9.3% to 7.8% of the passthrough population. The proportion of those revocations due to technical violations was similar between 2019 (82%) and 2022 (80%). The most common technical violations that result in revocations include missed court appointments, failed drug screens, and missed probation appointments. Typically revocations occurred after many such events occurred over a period of several months.

Figure 13. Our 2019 baseline data indicated a disproportionate violation rate for Black clients compared to White clients (1.26 disparity ratio) with an inverse ratio existing for revocations (0.70). In 2022, the data showed a similarly disproportionate violation rate for Black clients compared to White clients (1.27) with a similar inverse ratio existing for revocations (0.75). It should be noted that the three strategies implemented in Phase II targeted the reduction of revocations *overall*, rather than the reduction of racial disparity in revocation.

The data collected once all interventions have taken full effect, however, may present some new opportunities to identify, and address, the drivers of these disparities.

Figure 11: Changes in Revocation Rates by Supervision Levels & Offense Severity

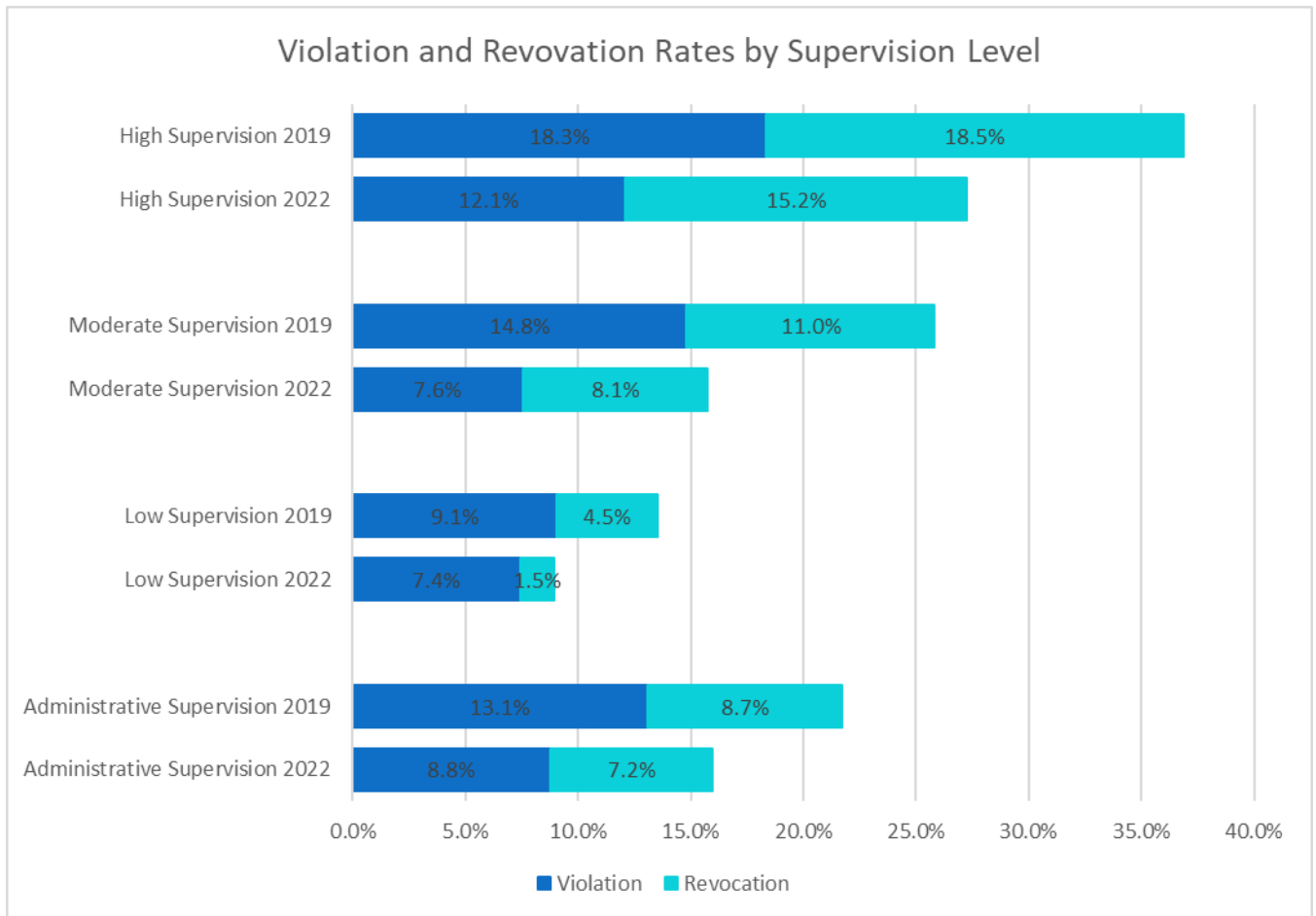


Figure 12: Changes in Revocation Rates by Violation Type

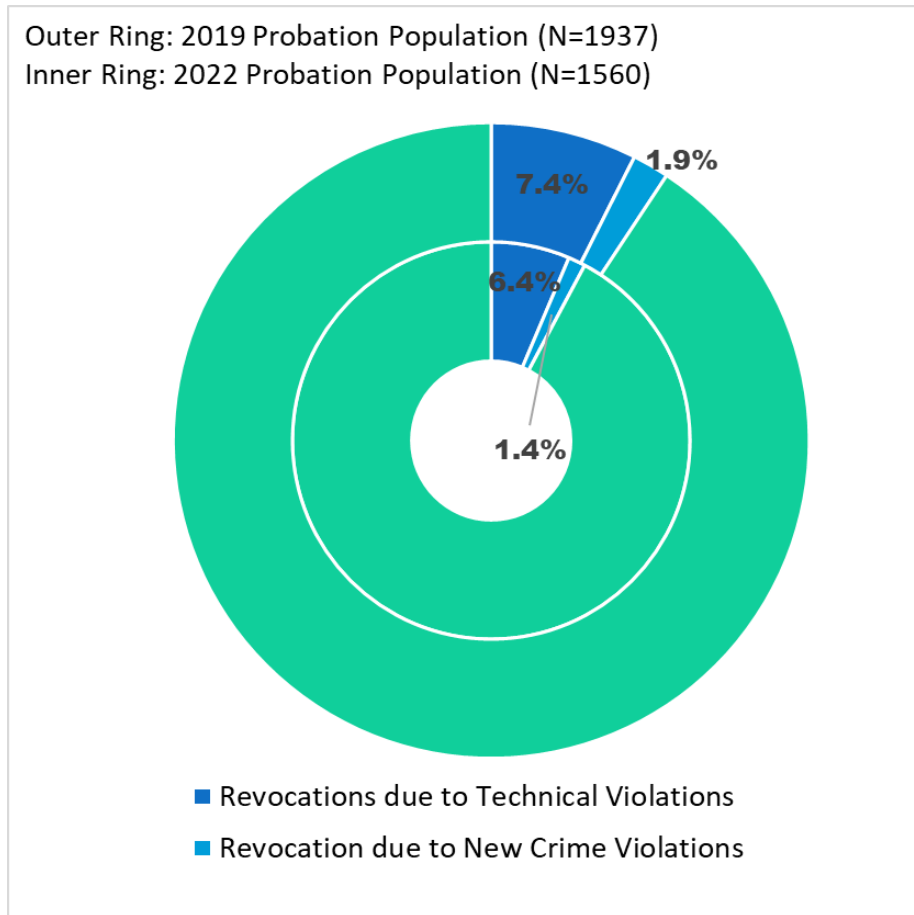
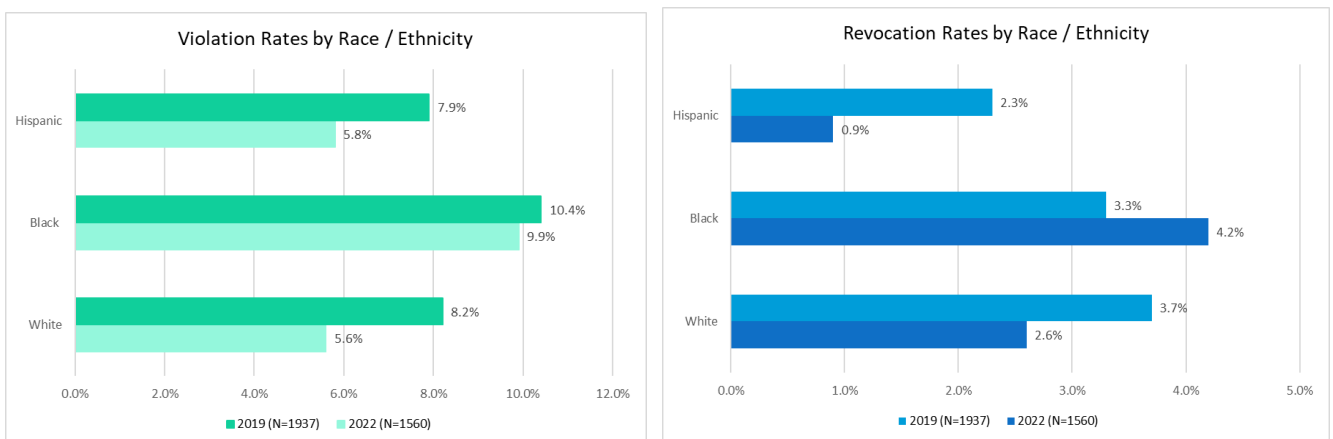


Figure 13: Changes in Revocation Rates by Race/Ethnicity



8. Top Five Takeaways

In this report, we not only want to share our data, but also to share our experience with other researchers and practitioners who want to move toward more effective probation practices in their own communities. In addition to the top takeaways at the end of each of the three major strategy sections, here are a few more overarching suggestions for successful action–research based on our experience.

1. High-quality data is essential.

- Monroe County’s case management system, its staff devoted to data collection and analysis, and their records underpin our study. Departments that do not have a modern records system should first target funding to acquire one, before other strategies can be effective.

2. Develop, and utilize, strong partner relationships.

- Never lose focus on building the functional relationships that can drive continued change over time.
- Professional facilitation, and training, from partners external to the local justice system is invaluable when pursuing high-level systemic change with multiple stakeholders.

3. Utilize the Eight Evidence-Based Principles for Effective Interventions.

- This short document ([link](#)) provides essential grounding for implementing initiatives.

4. Anticipate barriers.

- Anticipate fatigue when executing interventions, such as trainings and surveys, that impact practitioner time.
- Anticipate the burden of “assumed” tasks such as compiling reports and presentations for funders, government partners, and others. The collection of data and records be daunting for POs who are already overextended.
- Departments should also consider the job duties of ART team members when divvying up tasks. Researchers can use grant funds to buy out time from other duties. Practitioner partners do not typically have this option.
- When possible, outsource professional support for tasks such as report writing and policy brief creation.
- Plan for long-term staffing and funding needs to sustain initiatives. Our interventions were costly to fund initially and will require funding to sustain over time. To address continued

funding, for example, the department gained two full-time positions to coordinate ongoing contact with CCS, sustain PO training, and monitor fidelity.

5. Systems change takes time.

- Anticipate long deliberative processes, challenging conversations, and set-backs that delay momentum. Identify and involve the key decision makers for each initiative to decrease implementation time.
- Anticipate and face difficult conversations about racial and ethnic disproportionalities and disparities. Be prepared to listen and engage in these conversations to identify and implement policy or practice changes.
- It is important to recruit individuals with lived experience and appoint them to advisory boards, workgroups, and leadership positions. It will take time to build trust and build those relationships. It will also take financial resources to compensate residents for their services. Although we were able to develop a small group of individuals with lived experience who wanted to share their probation experiences, we were not able to integrate residents into implementation discussions and activities to the ideal extent. Secure the funding and expertise needed to include this key stakeholder group.

Appendix I. The 8 Principles of Effective Intervention

1. Assess Actuarial Risk and Need

Not every program or intervention works for every client. In fact, providing too much, too little, or the wrong kind of treatment services can not only fail to improve client and program outcomes but can make them worse. A successful intervention must begin with an assessment of the individual to determine their unique needs and risks and the best course of action to take to effectively reduce criminal behaviors.

2. Enhance Intrinsic Motivation

For lasting and effective behavior change to occur, corrections officers must help facilitate a strong internal motivation within the client. Environmental factors, negative influences, and poor relationships can all adversely affect interventions. Research shows that motivational interviewing and sensitive and constructive interpersonal communication from officers can help increase intrinsic motivation in clients and help initiate and maintain lasting behavior change.

3. Target Interventions

Studies have found that the best outcomes in the criminal justice system are achieved when the intensity of supervision is matched to a client's risk for recidivism (criminogenic risk), or likelihood of failure in rehabilitation (prognostic risk), and when corrections and treatment programs are focused on the specific disorders or conditions that predispose an individual to criminal behavior (criminogenic needs). Assessment and screening tools based on risk, need, and responsivity (RNR) principles can provide the best insight on a client's risk and need levels to properly match them to interventions and supervision regimens.

4. Skill Train with Directed Practice

To influence a client's behavior change, it is imperative that corrections officers communicate effectively and teach clients the skills they need to be successful, such as problem-solving, regulating emotions, and redirecting anti-social thinking. Corrections programs using cognitive-behavioral treatment methods in both group and one-on-one sessions through role-playing and positive reinforcement are proven to help reduce criminal recidivism.

5. Increase Positive Reinforcement

Positive reinforcement is the key to influencing successful behavior change—delivering rewards, affirmations, and incentives for accomplishments encourages clients to adopt prosocial attitudes. Swift and certain sanctions for infractions must still be used when appropriate, but a focus on positive over negative reinforcement better supports long-term behavior change and successful reentry into the community.

6. Engage On-going Support in Natural Communities

In order for clients to maintain positive behavior change, a strong support system and meaningful connections within their natural communities (significant others, family members, mentors, employers, teachers, spiritual leaders, etc.) can help reinforce prosocial attitudes and enhance motivation to change. By engaging with people that already exhibit positive, law-abiding behaviors, clients are more likely to adopt these attitudes and are less likely to recidivate.

7. Measure Relevant Processes and Practices

In order to determine if a client is making progress in their treatment, a formal way to measure their progress—such as decreases in technical violations or number of cognitive-behavioral therapy hours—is integral in determining if the interventions are working or if the client's supervision plan needs to be adjusted. It's also important that corrections officers and treatment staff are regularly evaluated to ensure that they are following the program criteria and supporting client success.

8. Provide Measurement Feedback

Once measurement processes are in place, providing routine feedback to clients regarding their progress encourages accountability and continued compliance in their program or treatment. Regular client case reviews also help corrections officers support the ultimate goal of reducing criminal recidivism.

The summary text used in this appendix was sourced from www.scramsystems.com.

Further information can be found through the National Institute of Corrections, <http://nicic.gov>. In particular, [this PDF](#) provides additional depth and context.

Appendix II. Stakeholders

Organizational theory emphasizes engaging leaders (judges, probation chief, prosecuting attorney, defense attorney), management (probation supervisors), and employees (probation officers) for successful change to occur. However, to shift probation's focus to a goal-oriented culture, we need to engage everyone in the system, including those experiencing the system. To date, our probation partner has met with judges, prosecutors, and public defenders in our county to discuss these strategies. Prior to submitting our initial Phase II proposal, we secured letters of support from the presiding judge, chief probation officer, elected prosecuting attorney, and the chief deputy public defender. Each pledged a willingness to engage in this project and dedicate resources and time for those they represent. Data will be tracked regarding attendance by key stakeholders on attendance to invited events, committees, and workgroups to measure engagement. Periodic review of the data will occur to identify stakeholders where engagement efforts have shown successful and less successful so that strategies could be revised to increase participation and outreach of the stakeholder group.

- **Judges (4):** One presiding judge oversees all of the court's day-to-day activities, including the activities of the probation department. The presiding judge and three additional criminal division judges will be instrumental in supporting cultural change from rules-orientation to goal-orientation. Their permission is needed to enact policy changes due to their oversight of the probation department. This project is a standing agenda item for their monthly meetings, and we anticipate their active involvement in various committees (for example revising the standard conditions of probation) as we move deeper into implementation.
- **Prosecuting Attorneys (19):** The prosecuting attorney's office decides who to prosecute and crafts plea agreements on who should receive probation; their support is also required for representing violations of probation and responses in lieu of filing violations. Overall, their approval of changes to probation is highly desired and they will be instrumental in discussions involving the standard conditions of probation as well as early termination. We have worked with the elected prosecutor's team in the past on numerous projects with success. We anticipate involvement from the prosecutor's office by participating in committees that will develop proposed policies and procedures surrounding our strategies.
- **Defense Attorneys (16):** Public defense attorneys also craft agreements on who should receive probation. Knowing the purposes and culture of probation benefits clients and the department. Like the prosecuting attorneys, they will be instrumental in discussions involving the standard conditions of probation as well as early termination. We have also worked with the chief deputy public defender and her team in the past with success. Similar to the prosecutor's office, we anticipate involvement from the public defender's office by participating in committees that will develop proposed policies and procedures surrounding our strategies.
- **Probation Officers (47):** Probation officers are the key to culture change and implementation of these strategies. Findings show they have embraced the ideology, but also need additional guidance and resources to implement goals-oriented supervision faithfully. Our action research team has provided information about this project over the course of the first phase and the start of the second phase. We attended each divisional meeting to provide detailed information about the strategies and opportunities for engagement as we move deeper into implementation. Divisional meetings typically occur on a monthly basis. Meeting topics include items pertaining to the work of each division, but also department-wide initiatives, such as this project. Meetings are led by the respective probation supervisor for each division, who provides information, but also receives feedback about initiatives. Line probation officers will be fully engaged in the implementation of the strategies including being active

participants in various training, participating in committees to develop policy and procedure, and applying the strategies during their interactions with clients.

- **Probation Supervisors (9):** Supervisors are important leaders for setting the messaging, providing support and guidance, monitoring fidelity, and ensuring implementation of the strategies. Four of the nine supervisors are leading the implementation and have become part of the action research team in Phase II. Supervisors meet two or more times per month as a group to discuss department-wide issues and initiatives. Discussions routinely focus on maintaining consistency among the divisions with regard to information conveyed and evaluating performance. They will be an integral part in aiding in the development of policy and procedures and ensuring correct implementation of the strategies by probation officers under their direct supervision.
- **Action Research Team:** This team of university affiliated researchers (4) and probation partners ensure that culture change has the best chance of taking hold, based on principles of organizational behavior and the best research and practices in corrections. The research team will aid in guiding the project and assist in evaluating implementation of the strategies. Additionally, the research team will assist in developing, administering, and interpreting results from surveys given to probation staff and probation clients throughout the implementation of the project.
- **People with Lived Experience:** Gaining insight and perspective from those with lived experience will be essential in implementing strategies that will be effective and promote race equity. We have strategized ways to engage this population of individuals. First, we have modified our current exit surveys asking clients if they may be interested in working with us on various projects the department may initiate, including this challenge. The exit survey, which is delivered at various times during the course of supervision (e.g., at the end of pre-trial stage, after post-sentence intake process, after post-sentence supervision), will collect client interest and contact information so we may engage with the client to participate on committees that work toward policy and procedure development. Recognizing that most clients who complete the exit survey are those who tend to be more successful on community supervision, we are also planning the most effective ways to engage individuals currently incarcerated in the local jail due to issues related to their community supervision. Those in jail will not be able to participate on committees, but could provide input on specific issues and act as a focus group to provide feedback on draft products from committees. In order to avoid a client thinking as though their participation is required or their lack of participation being viewed as unfavorable, only clients who have completed supervision, successfully or not, will be invited to participate. We are also actively discussing ways to provide remuneration for the time people with lived experience provide. Additionally, we have developed a survey to provide to active clients to be completed after each client contact. This survey is intended to measure implementation of the strategies over time. Additionally, we have developed a survey to provide to active clients to be completed after each in-office appointment. Individual results from clients will be collected by the research team and shared with probation in aggregate to encourage honest feedback from clients and their experience with their probation officer.
- **Community Corrections Advisory Board (CCAB)/Justice Reinvestment Advisory Council (JRAC):** In Indiana, each county with a community corrections program is required to assemble a CCAB. This Board has members defined in statute (IC 11-12-2-2) and includes individuals from each branch of government. Additionally, there are members from other criminal justice stakeholders (prosecutor, public defender, law enforcement), treatment providers, schools, and other social services providers as well as a victim advocate and a

person with lived experience. Though none specifically represents an agency that targets or works primarily with specific race/ethnic groups, each member represents an organization or agency that works with all individuals who come into contact with their agency, including minority populations. The CCAB also serves as our community's JRAC, which is also required by state statute (IC 33-38-9.5-4). The JRAC is tasked with promoting best practices in community-based alternatives and recidivism reduction programs among other duties. Our Phase I accomplishments and Phase II strategies are vetted and discussed at CCAB/JRAC meetings where feedback is encouraged and requested during their quarterly meetings. Many of those in attendance are also primary/key stakeholders who will be actively engaged in the policy and procedure drafting as we move toward implementation of the strategies, including treatment and other social service providers.

Appendix III. Glossary

case planning—An Evidence-Based Practice in community supervision, which involves analyzing clients' problems, establishing goals and priorities, and designing action steps.

cohort—Any group of people designated by the researchers to be analyzed together, due to a shared characteristic or experience, typically temporal, such as inclusion in a specific program that started when they were on probation.

EBP—Evidence-Based Practices. The objective, balanced, and responsible use of current research and the best available data to guide policy and practice decisions. In-depth resources from the National Institute of Corrections available [HERE](#). **Note that, while the NIC recommends this term over the term “Best Practices,” for ease of reading we have used the terms interchangeably in this report.*

EPICS—Effective Practices in Community Supervision. An evidence-based framework for community supervision. The EPICS tool kit emphasizes building therapeutic alliances with clients using communication skills, motivation strategies, and core correctional practices.

FTA—Failure to Appear, an act of non-compliance.

MCCPD—Monroe County Corrections Probation Department.

MI—Motivational Interviewing. An outcome-oriented framework for working with probation clients. In-depth resources from the National Institute of Corrections available [HERE](#).

PEI—Principles of Effective Intervention. See Appendix I.

PO—Probation Officer

revocation—When a judge revokes probation and reinstates the suspended sentence. Revocations are directly linked to jail space.

supervision—Another term for probation.

violation—A formal sanction filed by a PO registering non-compliant behavior, also known as a Petition to Revoke (PtR). Most POs will “stack” documentation of non-compliant behaviors, so a violation filed may represent multiple instances of non-compliance. Whether the violation leads to a revocation relies on the discretion of the judge.

Appendix V. Actual Interventions Implementation Overview

Strategy 1.

Increase fidelity to MI, EPICS, Case Planning	TARGET START DATE	TARGET END DATE	PERSON RESPONSIBLE	OTHER PEOPLE REQUIRED	CURRENT STATUS
Determine motivational interviewing (MI) training needs for new staff along with refresher or targeted training for previously trained staff.	1/1/2022	3/31/2022	Becca	See below	Completed
Design and conduct a staff survey regarding staff's perception of need, comfort, and utilization of MI.	1/1/2022	2/28/2022	Becca	Chelsea, Leah, Research Team	Completed
Review sample of recorded appointments to determine skill use and needed improvement areas for MI.	2/1/2022	6/30/2022	Chelsea	Leah, Becca	Completed
Design training to focus on areas identified and assign staff intentionally based on training needs for MI.	3/1/2022	6/30/2022	Becca	Chelsea, Leah	Completed
Assess MI trainer capacity to conduct initial and refresher or targeted training of staff as well as future booster sessions.	2/1/2022	6/30/2022	Chelsea	Becca, Debra	Completed
Add MI trainer capacity (if necessary) by identifying and training additional staff who could become trained trainer for future sessions.	2/1/2022	12/31/2022	Chelsea	Becca, Leah, Debra	Completed
Schedule and complete MI training for new staff and refresher or targeted training for previously trained staff.	4/1/2022	10/31/2022	Chelsea	Becca, Leah, Debra	Completed

Design ongoing MI booster sessions for content, frequency, and delivery method to maintain skills and utilization among staff.	7/1/2022	10/31/2022	Chelsea	Becca, Leah, Debra	Dropped
Evaluate the possibility of identifying and using peer coaches to conduct MI booster sessions and provide ongoing feedback to staff.	7/1/2022	10/31/2022	Chelsea	Becca, Leah, Debra	Dropped
Schedule and complete ongoing MI booster sessions and regular feedback for staff.	10/1/2022	Ongoing	Chelsea	Becca, Leah, Debra	Dropped
Determine EPICS training need for new staff along with refresher or targeted training for previously trained staff.	1/1/2022	3/31/2022	Becca	See below	Completed
Design and conduct a staff survey regarding staff's perception of need, comfort, and utilization of EPICS.	1/1/2022	2/28/2022	Becca	Chelsea, Leah, Research Team	Completed
Review sample of recorded appointments to determine skill use and needed improvement areas for EPICS.	2/1/2022	3/31/2022	Chelsea	Leah, Becca	Completed
Engage Melanie Lowenkamp of Core Correctional Solutions (CCS) to discuss EPICS training needs related to: leadership (training, cultural changes, motivation of staff); staff performance evaluations and accountability; staff training and increasing confidence in use; enhancing implementation and ongoing sustainability; benchmarks for utilization and proficiency; and video review and feedback.	1/1/2022	10/31/2022	Becca	Chelsea, Leah, Troy, Linda, Research Team	Completed
Design and negotiate a contract for training and ongoing sustainability plan with CCS.	1/1/2022	4/20/2022	Becca	Chelsea, Leah, Troy, Linda	Completed

Schedule and complete EPICS training with CCS.	4/1/2022	10/31/2022	Chelsea	Leah, Becca	Continues
Redesign (if needed) on-going EPICS booster sessions for content, frequency, and delivery method to maintain skills and utilization among staff.	7/1/2022	10/31/2022	Chelsea	Becca, Leah	Dropped
Assess (and expand if needed) capacity to conduct future EPICS booster sessions and use of peer coaches.	7/1/2022	10/31/2022	Chelsea	Becca, Leah	Dropped
Schedule and complete ongoing EPICS booster sessions and regular feedback for staff.	11/1/2022	Ongoing	Chelsea	Becca, Leah	Dropped
Engage CCS for ongoing video review for feedback on EPICS skill use and planning for long-term sustainability of feedback by CQI staff and/or peer coaches.	11/1/2022	Ongoing	Chelsea	Becca, Leah	Continues
Determine case plan training need for new staff along with refresher or targeted training for previously trained staff.	1/1/2022	3/31/2022	Becca	See below	Completed
Design and conduct a staff survey regarding staff's perception of need, comfort, and utilization of case planning.	1/1/2022	2/28/2022	Becca	Chelsea, Leah, Research Team	Completed
Review sample of recorded appointments and associated case plans to determine skill use and needed improvement areas for case planning.	2/1/2022	3/31/2022	Chelsea	Leah, Becca	Completed
Review current methods of documenting case plans (INcite and Quest) and determine, with staff input, best method of creating and updating case plans.	4/1/2022	8/31/2022	Becca	Troy, Chelsea, Leah, PO Staff	Continues

Engage Mark Carey of The Carey Group (TCG) to discuss case plan and Driver Workbook training needs related to: leadership (training, cultural changes, motivation of staff); staff performance evaluations and accountability; staff training and increasing confidence in use; enhancing implementation and ongoing sustainability; benchmarks for utilization and proficiency; and video review and feedback.	1/1/2022	8/31/2022	Becca	Chelsea, Leah, Troy, Linda, Research Team	Completed
Design and negotiate a contract for training and ongoing sustainability plan with TCG.	1/1/2022	4/20/2022	Troy	Chelsea, Leah, Becca, Linda	Completed
Schedule and complete case plan training with TCG.	4/1/2022	8/31/2022	Chelsea	Leah, Becca	Completed
Design ongoing case plan booster sessions for content, frequency, and delivery method to maintain skills and utilization among staff.	7/1/2022	9/30/2022	Chelsea	Becca, Leah	Dropped
Assess capacity to conduct future case plan booster sessions and use of peer coaches to provide feedback to staff.	7/1/2022	9/30/2022	Chelsea	Becca, Leah	Dropped
Schedule and complete ongoing case plan booster sessions and regular feedback for staff.	10/1/2022	Ongoing	Chelsea	Becca, Leah	Dropped
Hire an evidence based practices coordinator and trainer to work under the guidance of the CQI Director to aid in the training and ongoing sustainability efforts of MI, EPICS, and case planning in addition to other efforts.	10/1/2021	12/31/2021	Linda	Becca, Troy, Chelsea	Completed

Explore the possibility of designating the vacant juvenile probation officer position as another evidence based practices coordinator and trainer to work under the guidance of the CQI Director to aid in the training and ongoing sustainability efforts of MI, EPICS, and case planning in addition to other efforts.	10/1/2021	Ongoing	Linda	Becca, Troy, Chelsea, Jeff	Completed
Conduct a staff survey to aid in determining impact regarding staff's perceptions of the effectiveness of training provided in MI, EPICS, and case planning and subsequent implementation in client contacts.	7/1/2022	10/31/2022	Becca	Chelsea, Leah, Research Team	Completed
Design and conduct a client survey (pre/post) to aid in determining impact of MI, EPICS, and case planning utilization in client contacts. Collect by race, ethnicity, gender; use after each client contact	2/1/2022	Ongoing	Becca	Chelsea, Leah, Research Team	Continues
Provide information and resources about probation practices as it related to EPICS, MI, and case planning to criminal justice stakeholders, service providers, other community partners and the community as a whole.	10/1/2022	12/31/2022	Chelsea	Becca, Leah, Troy, Linda	Continues
Engage community/clients in designing materials for distribution and education.	7/1/2022	12/31/2022	Chelsea	Becca, Leah, Troy, Linda	Continues
Determine the need and make changes and enhancements to (Quest) case management system.	2/1/2022	9/30/2022	Troy	Quest Developer and Others Listed Below	Continues
Designed and create a dashboard or similar feedback display for POs that provides information on use of skills	2/1/2022	9/30/2022	Troy	Probation Supervisors and Staff	Continues

and incentives in client contacts.					
Create new process for tracking more detailed information on violations filed on petitions and resolution of those violations.	2/1/2022	6/30/2022	Troy	Linda, Becca, Chelsea, Leah	Completed
Redefine case closures and methods of tracking to indicate differences in closing due to revocation versus unsuccessful and successful.	2/1/2022	3/15/2022	Troy	Linda, Becca, Chelsea, Leah	Completed

Strategy 2.

Review probation conditions	TARGET START DATE	TARGET END DATE	PERSON RESPONSIBLE	OTHER PEOPLE REQUIRED	CURRENT STATUS
Establish working group that includes key judicial representation and representatives such as prosecuting attorney, public defender, POs and supervisors, probation chief, people with lived experience, and others (providers, etc.)	4/1/2022	6/30/2022	Linda	Troy, Becca	Completed
Explore the possibility of providing a stipend to community members and clients regarding input/involvement.	4/1/2022	6/30/2022	Linda	Becca, Troy	Dropped
Engage Dr. Brian Lovins from Justice Systems Partners to aid in facilitation of regular meetings with working group that include: <ul style="list-style-type: none"> • Goals and purpose of goal-oriented probation • Review of current standard conditions • Review of most violated conditions • Categorizing conditions into public safety versus other conditions versus required by statute • Discuss removal of the conditions categorized as other • Rewrite conditions to be positive, goal oriented, and race/gender neutral 	1/1/2022	12/31/2022	Troy	Linda, Becca, Research Team	Completed

<ul style="list-style-type: none"> • Discuss impact on policies related to conditions, including administrative and other responses when progress on conditions are not being met, expectation of warrant requests, and other related policies 					
Design and negotiate a contract for facilitating changes to the standard conditions of probation with Justice System Partners.	2/1/2022	4/20/2022	Troy	Linda, Becca	Completed
Complete a kick-off meeting onsite with key criminal justice stakeholders to focus on purpose, goals, process, motivation, need, buy-in, and importance of inclusion of participants including those with lived experience.	6/1/2022	6/30/2022	Linda	Working group	Completed
Conduct regular meetings of the working group to work toward positive changes of the standard conditions.	6/1/2022	10/31/2022	Linda	Working group	Completed
Conduct focus group with community and former clients to address barriers in meeting conditions and learning need for use of technology in meeting obligations to increase engagement.	7/1/2022	8/31/2022	Troy	Linda, Becca, Chelsea, Leah	Continues
Present draft to Criminal Division Judges for approval and set implementation date.	11/1/2022	12/31/2022	Judge assigned to working group	Troy, Linda, Becca	Completed
Review all policies related to monitoring standard	11/1/2022	12/31/2022	Linda	Working group	Continues

conditions including administrative sanctions, warrant requests, etc.					
Utilize working group to revise policies related to standard conditions to align with new conditions and expectations for goals, progress toward success, and addressing lack of progress.	11/1/2022	12/31/2022	Linda	Working group	Continues
Educate probation officers, criminal justice partners, clients, and the community on any new standard conditions, implementation plan, and related policies.	11/1/2022	12/31/2022	Troy	Linda, Becca, Chelsea, Leah	Continues
Educate probation officers on expectations for monitoring progress toward success and addressing lack of progress toward goals.	11/1/2022	12/31/2022	Troy	Becca, Chelsea, Leah	Continues

Strategy 3.

Increase reinforcements	TARGET START DATE	TARGET END DATE	PERSON RESPONSIBLE	OTHER PEOPLE REQUIRED	CURRENT STATUS
Establish working group of stakeholders to review current client incentive/reinforcement policy.	6/1/2022	9/30/2022	Chelsea	Becca, Leah	Completed
Design and conduct a staff survey regarding staff's perception of client incentives, comfort level, utilization, and suggested revisions.	6/1/2022	9/30/2022	Chelsea	Becca, Leah, Research Team	Dropped
Design and conduct a focus group for clients with lived experience regarding meaningful incentives/reinforcements and appropriate timelines/goals for earning incentives. The focus group would consist of those who were not successful on supervision and incarcerated in the local jail.	6/1/2022	9/30/2022	Chelsea	Becca, Leah, Research Team	Continues

Facilitate regular meetings of working group to consider information from staff and clients to revise policy that considers expansion of use of client incentives while also increasing frequency while connecting policy to newly revised standard conditions of probation.	6/1/2022	9/30/2022	Chelsea	Working group	Continues
Determine resources available for client incentives and establish stock of incentive options.	6/1/2022	9/30/2022	Chelsea	Working group	Continues
Set date for implementation for client incentives and educate probation officers and criminal justice partners in revised incentive policy and procedures.	10/1/2022	12/31/2022	Chelsea	Becca, Leah, Linda, Troy	Continues
Establish working group to review early termination of probation that includes key judicial representation and representatives such a prosecuting attorney, public defender, POs and supervisors, probation chief, and people with lived experience.	6/1/2022	9/30/2022	Linda	Becca, Troy	Completed
Facilitate regular meeting of working group to review relevant statutes, case law, and probation standards regarding use of early termination of probation.	6/1/2022	9/30/2022	Linda	Working group	Continues
Establish criteria for use of early termination and develop policy and procedures for making the recommendation to the court (ensuring criteria, policy, and procedure is equitable in development, interpretation, and application) and set date for implementation.	10/1/2022	12/31/2022	Linda	Working group	Continues
Educate probation officers and other stakeholders in early termination criteria and implementation.	10/1/2022	12/31/2022	Linda	Becca, Chelsea, Leah, Troy	Continues

Engage community/clients in designing materials for distribution and education.	10/1/2022	12/31/2022	Chelsea	Becca, Leah, Troy, Linda	Continues
Establish a working group of probation officers and supervisors to explore the use of incentives for probation officers.	7/1/2022	12/31/2022	Linda	Becca, Troy	Completed
Review relevant statutes, rules, ethical guidelines, and protocol for consideration of incentives as additional compensation for staff incentives.	4/1/2022	9/30/2022	Linda	Working group	Completed
Conduct on-site visit to learn about Change Agent Challenge established by Marion County Juvenile Division.	4/1/2022	9/30/2022	Linda	Troy	Completed
Design and conduct a survey of staff regarding meaningful staff incentives/reinforcements and appropriate timelines/goals for earning incentives.	7/1/2022	12/31/2022	Linda	Working group; Research Team	Completed
Consider conducting a survey of clients in the types of incentives to provide POs.	7/1/2022	12/31/2022	Linda	Working group; Research Team	Dropped
Determine resources available for staff incentives and establish stock of incentive options.	10/1/2022	12/31/2022	Linda	Working group	Continues
Establish criteria for use of staff incentives and goals to achieve that align with utilizing skills and tools, which will enhance client successful progress.	7/1/2022	12/31/2022	Linda	Chelsea, Leah, Working group	Continues
Develop policy and procedures for staff incentives and set date for implementation.	11/1/2022	12/31/2022	Linda	Becca, Troy	Continues
Education probation officers in staff incentive policy and procedures.	11/1/2022	12/31/2022	Linda	Becca, Troy, Chelsea, Leah	Continues

Appendix VI. Old/New Appointment Structure

Compliance-Based Appointment Structure	Change-Based Appointment Structure
<p><u>BEFORE APPOINTMENT:</u></p> <ul style="list-style-type: none"> • REVIEW status of affirmative conditions • REMEMBER tasks assigned to client at last appointment • PREPARE strategy to reinforce compliance with conditions during appointment <p><u>DURING APPOINTMENT:</u></p> <ul style="list-style-type: none"> • CHECK-IN (2 minutes) <ul style="list-style-type: none"> - Demographic information changes - Employment/education information changes • REVIEW AND DISCUSS (10 minutes) <ul style="list-style-type: none"> - Status of affirmative conditions - Reinforce positive behaviors (e.g. avoiding arrests, attending appointments, etc.) • HOMEWORK (5 minutes) <ul style="list-style-type: none"> - Assign tasks client must complete (e.g. community service, substance use evaluations, etc.) - Demonstrate examples if necessary • CONCLUSION (3 minutes) <ul style="list-style-type: none"> - Complete Behavioral Objective (list of tasks) and provide to client - Schedule next appointment/drug screen/remind of court dates <p><u>AFTER APPOINTMENT:</u></p> <ul style="list-style-type: none"> • Complete documentation in case management system • Complete any follow-up duties as needed 	<p><u>BEFORE APPOINTMENT:</u></p> <ul style="list-style-type: none"> • REVIEW status of affirmative conditions • REMEMBER what homework was assigned last appointment • PREPARE strategy for targeted intervention during appointment <p><u>DURING APPOINTMENT:</u></p> <ul style="list-style-type: none"> • INTRODUCTION <ul style="list-style-type: none"> - Explain the goal/purpose of today’s appointment (use example script) • CHECK-IN (5 minutes) <ul style="list-style-type: none"> - Demographic information changes - Incentive card, if applicable - Status of affirmative conditions • REVIEW (10 minutes) <ul style="list-style-type: none"> - Update Case Plan - Check/discuss homework, or; - If no homework was assigned, review concepts learned during last appointment - Reinforce positive behavior for doing homework or disapprove for not doing homework • INTERVENTION (10-20 minutes) <ul style="list-style-type: none"> - Identify risky situations, thinking errors, drivers - Apply incentives/sanctions, if applicable - Utilize cognitive behavioral tools/skills - TEACH, MODEL, PRACTICE • HOMEWORK (5 minutes) <ul style="list-style-type: none"> - Assign homework - Demonstrate examples, if necessary • CONCLUSION (5 minutes) <ul style="list-style-type: none"> - Assign next tasks (complete Behavioral Objective) - Schedule next appointment/drug screen/remind of court dates <p><u>AFTER APPOINTMENT:</u></p> <ul style="list-style-type: none"> • Complete documentation in case management system • Complete any follow-up duties as needed

Appendix VII. Old/New Standard Conditions

Final Revision June 29, 2023

Row	Original Condition	New Condition
1	You shall not commit a criminal offense or operate a vehicle without a valid license.	I will not commit a new criminal offense.
2	You shall report any arrest or criminal charge to the Probation Department within 24 hours.	I will report any new criminal charge to the probation department by my next scheduled appointment.
3	You shall report to the Probation Department immediately following your sentencing hearing or, if incarcerated, within 72 hours of release.	(Removed from conditions and is included in a paragraph on the sentencing order.)
4	Thereafter, you shall report as directed to the Probation Department and... (continued in row 5)	I will maintain contact with my probation officer as directed.
5	(started in row 4) ...provide truthful information.	(Eliminated)
6	You shall notify the Probation Department in writing within 48 hours of any change in address, phone, employment or educational status.	I will inform my probation officer where I am staying at each scheduled appointment.

7	You shall permit authorized representatives of the Probation Department to visit you in your home and elsewhere at reasonable times.	I will allow the probation department to visit me in my home or elsewhere.
8	You shall maintain or seek suitable employment or pursue a course of study or vocational training.	(Eliminated; see row 13)
9	If convicted of a felony offense, you shall provide a DNA sample and you shall not leave the State of Indiana without written permission of the Court.	(Removed from conditions and is included in a paragraph on the sentencing order.)
10	You shall not carry, use or possess any firearms, air or gas propelled guns, ammunition, explosive devices or deadly weapons.	I will not carry, use, or possess any weapons and/or ammunition that could be used to harm myself or others.
11	You shall not consume alcohol and shall not possess, consume, inhale, inject, or apply controlled substances unless prescribed to you for valid medical reasons by a properly licensed healthcare provider.	I will not use alcohol and I will not use controlled substances unless prescribed to me for valid medical reasons by a properly licensed healthcare provider.

<p>12</p>	<p>You shall submit to drug/alcohol tests, at your expense, when requested by the Probation Department or treatment providers.</p>	<p>I will submit to drug/alcohol tests, at my expense, when requested by the probation department.</p>
<p>13</p>	<p>You shall complete, at your expense, the terms of your probation case plan and provide proof of completion of any classes, counseling, groups, inpatient or outpatient treatment, or correctional programs directed by the Probation Department.</p>	<p>I will meet with my probation officer to develop and follow an individualized plan, at my expense, that focuses on goals designed to support my success.</p>