

# Monroe County Collaboration Plan

---

**Year: CY 2022**

**County: Monroe**

**Contact Information: The following are submitting this local collaboration plan:**

Community Corrections Director: **Becca Streit**  
Street Address: **405 West 7th Street, Suite 2**  
City: **Bloomington, IN 47404** Phone: **(812) 349-2000**  
Email: [bstreit@co.monroe.in.us](mailto:bstreit@co.monroe.in.us)

Chief Probation Officer: **Linda Brady**  
Street Address: **214 West 7<sup>th</sup> Street, Suite 200**  
City: **Bloomington, IN 47404** Phone: **(812) 349-2645**  
Email: [lbrady@co.monroe.in.us](mailto:lbrady@co.monroe.in.us)

**1. Criminal justice departments included in this collaboration plan:**

Monroe Circuit Court

Monroe Circuit Court Probation Department: including  
Community Corrections Program

Problem Solving Court Program (Drug Court, Mental Health Court, Veterans Court,  
Reentry Court)

Adult Probation (Intake Unit, Community Supervision Unit, Enhanced Supervision Unit)

Court Alcohol and Drug Program

Pretrial Services Program

Monroe County Prosecuting Attorney

Monroe County Public Defender

Monroe County Sheriff

Bloomington Police Department

Parole District 5

**<<See Attachment 1: *PARTICIPATING CRIMINAL JUSTICE AGENCIES.*>>**

**2. Criminal justice departments that are not included in this collaboration plan and why:**

Not applicable.

All local criminal justice agencies participated in the Collaboration Plan.

# Monroe County Collaboration Plan

---

## **A) Service Selection Determination**

### **1. Description of eligibility criteria established for each collaborating criminal justice agency that provides community based services to adult offenders.**

*Eligibility criteria refers to the screening criteria on how an offender is considered (outside of a court order) for each criminal justice agency in the county.*

The only local criminal justice agencies that provide community based services to adult offenders are the Monroe Circuit Court Probation Department and the Parole District 5.

The Indiana Parole Board governs parole releases. Per the Indiana Department of Correction, when parolees are placed in the Monroe County Reentry Court Program, they are discharged from parole, to be supervised by the Reentry Court Program.

Outside of a Court Order, eligibility criteria for community supervision programs within the Monroe Circuit Probation Department is determined by the department's policies and procedures. Such policies and procedures must be approved by the Monroe Circuit Court Board of Judges or the Presiding Judge. Additionally, for policies and procedures that involve Community Corrections programming, approval of the Community Corrections Advisory Board is also required.

Monroe County's probation and community corrections entities are unified under one umbrella. Determining which probation officer/case manager will supervise a specific adult offender depends on a number of factors including: offender risk level; type of offense committed (felony/misdemeanor/sex offense/violent offense); eligibility for Problem Solving Court (PSC) programs; eligibility for home detention/Community Alternative Supervision Program; offender characteristics (mental illness, violent offender, sex offender); and whether the supervision is pre- or post-sentence.

Some of the offender supervision criteria is driven by funding sources; for example, the case managers funded by the Community Corrections Grant are required to focus on supervising felony caseloads.

### **Adult offender community supervision workloads/caseloads include:**

- A. Presentence and Pretrial Screening** - Two "screeener case manager/probation officer" positions to screen newly arrested felons and misdemeanants for possible participation in the Pretrial Services Program, a Problem Solving Court Program, and for preliminary mental health concerns. These "screeener case manager/probation officer" positions are shared positions between community corrections and probation, directly supervised on a day to day basis by the Continuous Quality Assurance (CQI) Supervisor, assigned to the Community Alternative Supervision Program (CASP).

# Monroe County Collaboration Plan

---

- B. General Presentence and Pretrial Supervision** - Defendants released from jail with court-ordered presentence/pretrial conditions are supervised by Community Alternative Supervision Program (CASP) case managers (Community Corrections).
- C. Presentence/Pretrial Supervision for Seriously Mental Ill** - Presentence/pretrial Defendants diagnosed with a serious mental illness are supervised by probation officers/case managers who specialize in dealing with persons suffering from serious mental illness.
- (1)** The chronically mentally ill population of offenders, who are not assigned to the Mental Health Court (misdemeanants and felons ineligible for Mental Health Court) are supervised by the Enhanced Supervision Unit (Adult Probation).
  - (2)** Chronically mentally ill felons are supervised by a Problem Solving Court case manager (Community Corrections) who works with the Mental Health Court or a specially trained CASP case manager.
- D. Adult Probation and Court Alcohol & Drug Program** - The Adult Division of the department is also the Monroe Circuit Court Alcohol and Drug Program certified by the Indiana Office of Court Services. All adult probation officers within the department, including community corrections (CASP) and Problem Solving Court case managers, are certified as either substance abuse professionals or maintain a Certified Substance Abuse Management (CSAM) credential.
- E. Adult Intake Unit** - The Intake Unit (Adult Probation) conducts Presentence Investigations, risk/needs assessments (IRAS), and substance abuse screenings on all new cases referred by the courts for probation and/or community corrections supervision regardless of case type. The Intake Unit conducts initial screening risk assessments (IRAS) on newly-sentenced adult offenders which helps to identify lower and higher risk offenders in order to prioritize how quickly active supervision should be initiated. The Intake Unit conducts substance abuse screenings for all cases; if the referring offense involved drugs or alcohol, or the offense was somehow related to the use or abuse of such substances, the Intake Unit performs more extensive substance abuse evaluations on these cases. Following the completion of the substance abuse assessment, the Intake probation officer develops an individualized service contract for each offender which typically includes a referral to a substance abuse education or treatment program or to an approved clinician for further assessment.
- F. Adult Supervision Unit/Standard Probation and/or Court Alcohol and Drug Program** - The Adult Division (Adult Probation) is responsible for the supervision of adult offenders placed on probation and/or referred to the Court Alcohol and Drug Program. There are currently 12 probation officers assigned to the Adult Supervision Unit who supervise a general caseload (non-specialized mixed caseloads of misdemeanants and felons). Caseloads are divided by risk levels (differential supervision) with four (4) probation officers supervising Low/Administrative risk caseloads and eight (8) probation officers supervising Moderate/High risk caseloads.

# Monroe County Collaboration Plan

---

**G. Enhanced Supervision Unit** - The Enhanced Supervision Unit (ESU) supervises specialized caseloads that require a higher level of supervision. The probation officers assigned to this unit (Adult Probation) have smaller caseloads to allow more intensive supervision. Although each probation officer assigned to the ESU has an area of specialization, case assignments are flexible to allow the best fit (responsivity) between the offender and probation officer.

<<See Attachment 2: **OFFENSE CHART FOR ASSIGNMENT TO ENHANCED SUPERVISION UNIT**>>.

**(1) Sex Offenders** - Two (2) probation officers supervise sex offenders in addition to other violent offenders to provide a higher level of monitoring and supervision for one of the highest risk offender populations.

**(2) Domestic Violence (DV) & Other Violent Offenders** - Two (2) probation officers supervise domestic batterers in addition to other violent offenders.

**(3) Mentally Ill Offenders** -The chronically mentally ill population of offenders, who are not assigned to the Mental Health Court (misdemeanants and felons ineligible for Mental Health Court), are supervised two (2) of the above probation officers who have a split caseload.

**H. Felony Child Support Caseloads** - Two (2) adult probation officers and one (1) community corrections case manager supervise felony non-support cases. These officers keep track of all time spent on these cases to submit for reimbursement from the Title IV-D program. Monroe County Government receives 66% reimbursement for the salaries and fringe benefits of these probation officers, receiving reimbursement for each hour of service the officers spend supervising the Title IV-D felony caseload.

**I. Administrative (High Volume) Caseload** - One (1) probation officer (Adult Probation) supervises a high-volume administrative caseload consisting of offenders who were transferred to other jurisdictions for supervision or were placed on non-reporting probation by the Court.

**J. Community Service Work** - A Community Corrections Field Officer oversees referrals to the Public Restitution Program.

**K. Court Alcohol and Drug Program Education ONLY** - The director of the Court Alcohol and Drug Program (Adult Probation) oversees referrals to the program for the PRIME for Life substance education program and the Alcohol and Marijuana Education Program.

# Monroe County Collaboration Plan

---

L. **Problem Solving Court Program** - The Problem Solving Court (PSC) Program consists of four components:

- (1) Drug Treatment Court;
- (2) Reentry Court;
- (3) Veterans Court; and
- (4) Mental Health Court.

The PSC program is part of the Community Corrections division. There are six (6) case managers (Community Corrections) who supervise PSC program participants. Although each case manager has an area of specialization, case assignments are flexible to allow the best fit (responsivity) between the offender and case manager.

**Problem Solving Court Eligibility Criteria:**

- (1) The target population for all PSC components is felony offenders.
- (2) A person is not eligible for PSC pursuant to IC 33-23-16-13(3)(A) or (B) if the offense for which the person will be admitted into the PSC is a forcible felony per IC 35-31.5-2-138.
- (3) The PSC shall consider the results of a current assessment under the IRAS when determining the eligibility of an individual.
- (4) The PSC may utilize any additional appropriate empirically validated assessment instrument to determine an individual's eligibility.
- (5) The PSC judge must authorize all participant admissions to the program.

M. **Community Alternative Supervision Program (CASP)** - CASP is an alternative to incarceration program that incorporates a continuum of incentives and sanctions approach to supervision. Program staff are authorized to administratively move post-sentence program participants through various levels of supervision intensity, allowing the participants to experience immediate rewards/re-enforcers for appropriate conduct and immediate consequences for violation of program and probation rules.

Local CASP eligibility is based on statutory restrictions found in IC 35-38-2.5.

**Transfer-Out Cases Eligibility:** Transfers to other counties must be pre-screened and accepted first by the receiving jurisdiction before the sending Court can order the transfer. If the transfer is approved by the receiving county, the Court will issue a Court Order allowing the offender's transfer to another jurisdiction. The Court Order must stipulate that home detention participants transferred to another jurisdiction must agree to the receiving jurisdiction's program conditions and must agree to be held accountable with a varied range of sanctions up to deprivation of goodtime credit and/or program termination.

# Monroe County Collaboration Plan

---

Transfer-in Cases Eligibility: Out-of-county transfer-in requests will be denied if the offender did not have a permanent address in Monroe County at the time of the instant offense.

The Community Corrections expansion grants (1006 grants) awarded in 2016 provided staffing which allowed the CASP workload to be divided between presentence/pretrial defendants and post sentence program participants. At this time, there are four (4) CASP case managers (Community Corrections) supervising offenders sentenced by the court to the Community Alternative Supervision Program and four (4) CASP case managers supervising presentence/pretrial defendants. Additionally there are six (6) community corrections field officers assigned to conduct field contacts with CASP offenders in their homes and work places, and two (2) community corrections field officers assigned to conduct field contacts with PSC program participants.

Individuals supervised post-sentence under Home Detention (HD) earn credit toward their sentence and are eligible to earn good time credit. Individuals on HD are required to participate in a combination of gainful employment, education classes, substance use treatment, life skills classes, or community service work totaling a minimum of 40 hours per week. Compliance with program requirements is verified through daily check-in appointments, telephonic contact, electronic monitoring, and home/field contacts by community corrections staff.

## **2. Description of the criteria for using the community corrections program as an intermediate sanction for an offender's violation of probation conditions or any other violation of community supervision.**

*How does each collaborating criminal justice agency use the available Levels of Supervision in the county for sanctions? Examples: increasing supervision from probation to Community Correction's electronic monitoring or work release. Include any review process that is in place to ensure non-DOC (and local jail) alternatives are exhausted before commitment.*

Monroe County has developed a risk-based progressive sanctions policy which provides guidelines for responding to technical violations of both probation and community corrections.

The Probation Department utilizes the Indiana Risk Assessment System (IRAS), and any complimentary assessments deemed appropriate, for all individuals who are referred to the Probation Department for any type of community supervision. The risk/needs assessment(s) shall guide the case planning and determination of community supervision levels.

# Monroe County Collaboration Plan

---

Accurate risk assessment is the cornerstone of successful case management. Risk assessments provide important information about individuals and improve risk prediction accuracy. Additionally, risk assessments identify the strategies required to reduce criminal behavior and provide an indication about resource allocation. Risk assessments measure change in an individual's behavior and provide an initial triage for assigning community supervision levels.

<<See Attachment 3: **CASE PLANS**>>.

<<See Attachment 4: **IRAS – RISK/NEED ASSESSMENT**>>.

The **Graduated Sanctions Policy and Matrix** describes responses to technical violations of community supervision that include options such as increasing community supervision, referral to Community Correction's Home Detention, Electronic Monitoring, Day Reporting and Community Service Program. The policy ensures that non-DOC (and local jail) alternatives are exhausted before commitment.

<<See Attachment 5: **GRADUATED SANCTIONS POLICY AND MATRIX**>>.

## **B. Collaboration and Supervision**

### **1. Description of how community corrections, probation, and any other local criminal justice agency that receives funding intend to reduce the duplication of programs/treatment to offenders under community supervision.**

*Describe any current duplication of services and provide an action plan with specific target dates of completion to reduce or eliminate duplication of services.*

Funding for case managers/probation officers and supportive materials/services comes from several sources such as County General, Public Safety Local Income Tax, Community Corrections Project Income, Probation User Fees, Indiana Department of Correction's Grants, Veterans Court Grant, Pretrial Grant, Indiana Supreme Court Grant, and other grants as they become available.

Some of the workload assignments are driven by restrictions funding sources; for example, the case managers funded by the Community Corrections Grant are required to focus on supervising felony caseloads. Regardless of funding source for positions, all caseload/workload assignments are designed to avoid any duplication of services.

The Monroe County Community Corrections Program is a division of the Monroe Circuit Court Probation Department. The community corrections executive director also serves as a deputy chief probation officer reporting directly to the chief probation officer. The Community Corrections Program was designed in an intentional manner to *augment* and *expand* existing community supervision and sentencing options, not to replace or duplicate services provided by other divisions of the probation department. **No services or programs are duplicated between probation and community corrections.**

# Monroe County Collaboration Plan

---

The Probation Department has an extensive policy/procedure ***Shared Adult Probation & Community Corrections Cases*** in place to ensure that there is no duplication of services. Per this policy, the Monroe Circuit Court Probation Department shall employ case assignment and supervision policies and procedures that maximize efficiencies and avoid duplication of services and casework. For cases requiring services that will be delivered by more than one division of the Department, persons will be supervised by only one supervising probation officer/case manager at any given time.

<<See Attachment 6: ***SHARED ADULT PROBATION & COMMUNITY CORRECTIONS CASES***>>.

**An action plan for remediation is not necessary as no services or programs are duplicated.**

- 2. Describe how community corrections, probation, and any other local criminal justice agency that intend to receive funding will collaborate or currently collaborates on the supervision of adult felony and misdemeanor offenders. *Include a flow chart of services.***

The Probation Department has an extensive policy/procedure ***Shared Adult Probation and Community Corrections Cases*** in place that describes how the divisions within the department collaborate on the supervision of adult felony and misdemeanor offenders.

<<See Attachments 6.1 – 6.5: ***SHARED ADULT PROBATION & COMMUNITY CORRECTIONS CASES***>>.

<<See Attachment 7: ***ORGANIZATION CHART***>>.

<<See Attachment 8: ***COMMUNITY SUPERVISION FLOW CHART***>>.

## **C. Services**

- 1. Description of evidence-based services provided to felony and misdemeanor offenders by each collaborating criminal justice agency.**

*An evidence-based service is defined as a research validated program or intervention to target one or more criminogenic needs, Include how the grant and any programs will be used to support these services.*

The Probation Department utilizes evidence based practices (EBP), defined as the use of current, scientific evidence from research to guide efficient and effective correctional services. The goal of utilizing EBP is to reduce recidivism (the likelihood that a person will commit a new offense).

Effective correctional treatment and community-based referrals for services should target criminogenic needs in the development of a comprehensive case plan. In accordance with the “Eight Principles of Effective Intervention,” case managers/probation officers develop individualized case plans for each program participant based on the risk level and needs of the participant as determined by the Indiana Risk Assessment System (IRAS) and other ancillary validated assessment tools. The case manager/probation officer will refer offenders to treatment and/or programs that have been identified as resources for each domain need.



# Monroe County Collaboration Plan

---

Emphasis for referrals will be made for those indicated needs that research has shown are most correlated in reducing risk of recidivism. Generally the top three criminogenic needs will be targeted in individual case plans.

Referrals to community-based services start with the IRAS which identifies the adult offender's risk to reoffend and criminogenic needs. The supervising probation officer/case manager utilizes the IRAS results in combination with the alcohol and drug assessment completed by the Adult Intake Unit to develop an individualized case management plan.

Some EBP services are provided "in house" by case managers/probation officers, including: Effective Practices in Community Supervision (EPICS) tools; Carey Guides; Carey Brief Intervention Tools (BITS); and Courage to Change cognitive behavioral journaling.

Funding for community based EBP services comes from a combination of funding sources including: the client's insurance (private insurance, Medicaid, HIP, etc.); Recovery Works funding; and client fees/co-pays. The Community Corrections Program provides no funding for community-based EBP services. The Probation Department provides some funding through a Memorandum of Understanding with the Community Justice and Mediation (CJAM) for restorative justice services for clients.

In-house EBP services are delivered by trained probation officers/case managers, including staff members whose salaries/fringe benefits are partially paid from Community Corrections grant funding in addition to local tax-based funding (County General fund). Supportive materials such as Carey Guides, Carey BITS, and Courage to Change Journals are funded by several sources such as Community Corrections Project Income, Probation User Fees, and local tax-based funding (County General fund).

<<See Attachments 9: **REFERRAL CRITERIA FOR EBP PROGRAMS**>>.

<<See Attachments 10: **EVIDENCE BASED PRACTICES**>>.

## **D. Quality Assurance**

### **Description of compliance with Department of Correction rules (Community Corrections programs) and Judicial Conference of Indiana standards (probation departments and Problem Solving Courts).**

The Monroe County Community Corrections Program maintains compliance with Indiana Department of Correction (IDOC) rules, standards, and guidelines established for Community Corrections Programs. The Program has undergone several programmatic audits by the IDOC. Resulting in exemplary audit scores, demonstrating a high degree of compliance with IDOC's rules, standards, and guidelines established for Community Corrections Programs.

The Monroe County Court Alcohol and Drug Program, Problem Solving Court Program, and Pretrial Services Program are all certified by the Indiana Office of Court Services (IOCS). The Probation Department maintains compliance with Judicial Conference of Indiana Standards for Probation Departments, Problem-Solving Courts, and Pretrial Services.

The Probation Department has implemented a continuous quality improvement (CQI) policy/procedure to ensure processes and programs are delivered according to evidence-based practices(EBP) and in compliance with Department of Correction rules (Community Corrections programs) and Judicial Conference of Indiana standards (probation departments, Problem Solving Courts, Court Alcohol and Drug Programs, and Pretrial Services Programs).

CQI reviews and case audits are routinely conducted by supervisors to verify staff compliance with EBP, departmental policies and procedures, Department of Correction rules, and Judicial Conference of Indiana rules and standards. All line staff receive an annual evaluation. Supervisors review recordings of line staff performing duties, conduct direct observation of staff performing duties, consider participant exit surveys, and inspect line staff work product. Staff receive a development plan as part of the evaluation process.

**<<See Attachment 11.1 – 11.2: CQI POLICY>>.**

# ATTACHMENT 1

## PARTICIPATING CRIMINAL JUSTICE AGENCIES

### MONROE COUNTY COLLABORATION PLAN

June 7, 2021

#### **MONROE CIRCUIT COURT PROBATION DEPARTMENT:** including

- Community Corrections Division
- Problem Solving Court Program
- Adult Probation (Intake Unit, Community Supervision Unit, Enhanced Supervision Unit)
- Court Alcohol and Drug Program
- Pretrial Services Program

#### **MONROE COUNTY PRETRIAL SERVICES PROGRAM**

The Monroe County Pretrial Services Program brings local criminal justice agencies together to coordinate this evidence-based program. The Monroe County Pretrial Stakeholder Team includes: four (4) Criminal Division judges; Probation/Community Corrections supervisors and line staff; the Prosecuting Attorney/Deputy Prosecuting Attorneys; the Public Defender/Deputy Public Defenders; law enforcement (Monroe County Sheriff, Bloomington Chief of Police); the Monroe County Commissioners; the Monroe County Council; and Court Administration.

#### **MONROE COUNTY PUBLIC DEFENDER**

The Monroe County Public Defender (MCPD) provides a deputy public defender (PD) to participate on the Drug Court Team, Reentry Court Team, Mental Health Court Team, and Veterans Court Team.

The Monroe County Public Defender (MCPD) provides a deputy public defender (PD) to attend the daily Initial Hearings to consult with pretrial defendants so that a meaningful Initial Hearing may be conducted to address any bail issues.

#### **MONROE COUNTY PROSECUTING ATTORNEY**

The Monroe County Prosecuting Attorney (MCPA) provides a deputy prosecuting attorney to participate on the Drug Court Team, Reentry Court Team, Mental Health Court Team, and Veterans Court Team.

The (MCPA) provides a deputy public prosecuting attorney to attend the daily Initial Hearings so that a meaningful Initial Hearing may be conducted to address any bail issues.

The MCPA utilizes services provided by the probation department for minor offenses (such as Illegal Possession of Alcohol and Public Intoxication) for which Pretrial Diversion has been deemed appropriate. The MCPA often requires as a condition of a Pretrial Diversion Agreement the completion of Community Service Work (Public Restitution) through the Community Corrections Program and/or completion of the PRIME for Life education program or the Alcohol and Marijuana Education Program operated by the Court Alcohol and Drug Program.

The MCPA screens felony cases for appropriateness for a Problem Solving Court program (Drug Court, Mental Health Court, Veterans Court).

The elected Prosecuting Attorney generally allows Level 5 and Level 6 non-violent felony cases to be considered for participation in a certified Problem Solving Court Program component in order to assure a high degree of offender accountability. The elected Prosecuting Attorney considers certain Level 6 non-violent felony drug cases for Pretrial Diversion on a case by case basis when the defendant has no prior convictions of any type.

The MCPO (Monroe County Prosecutor's Office) operates a Victim Assistance (VA) Program that:

1. Informs victims of case status and court dates;
2. VA provides Statewide Automated **Victim** Information and **Notification** (SAVIN) information to victims when the offenders are sentenced to the DOC. This provides victims with the DOC contact information so they may request to be placed on a DOC victim notification listing.
3. VA prepares No Contact Orders, when requested, to be submitted to the Court for service on defendants. VA staff engage in Safety Planning with victims; and
4. VA requests restitution for the victim for lost or damaged property, medical bills, and/or counseling services as provided by law.

#### **MONROE COUNTY SHERIFF:**

The Monroe County Sheriff's Office (MCSO) and the Monroe County Jail has made special arrangements for community corrections case managers to meet with defendants in the jail to screen for pretrial release recommendations and to determine if defendants qualify for possible admittance to a Problem Solving Court Program or to be supervised on the Community Alternative Supervision Program (CASP).

The MCSO is also collaborating with Centerstone (the local mental health center). A therapist from Centerstone is completing assessments/intakes on all individuals in the jail who qualify for Indiana's Recovery Works Program. Monroe County Jail employees and/or an outside criminal justice partner makes the initial referral to Centerstone.

For those who qualify for the Recovery Works Program funding, Centerstone operates a therapeutic program within the jail known as New Beginnings. New Beginnings provides a 60-day jail-based substance abuse treatment program, followed by post-release treatment in the community. The probation department provides the supervision/monitoring for the post-release treatment.

Some, but not all, of the New Beginnings inmates may be eligible for an initial Vivitrol injection while in jail prior to release. Inmates receiving a Vivitrol injection while in jail will receive follow-up monthly injections upon release from jail, coordinated and monitored by the supervising probation officer.

The Jail maintains a victim notification list and notifies victims accordingly.

### **BLOOMINGTON POLICE DEPARTMENT**

The Bloomington Police Department provides a representative to participate on the Problem Solving Team (Drug Court/Reentry Court/Veterans Court). Bloomington Police officers conduct home checks on Problem Solving Court participants upon request and/or when they have time available.

Bloomington Police officers participate in probation searches (warrantless searches) to serve as safety/security for the unarmed probation/community corrections officers. Bloomington Police Department's Downtown Resource Officer outreach program communicates with probation staff to help address the problems the City is experiencing with the homeless population.

### **BLOOMINGTON PAROLE DISTRICT #5**

Monroe County Probation/Community Corrections coordinate supervision of cases with the local parole office, such as with offenders being released from the Community Transition Program (CTP).

Per the Indiana Department of Correction, when parolees are placed in the Monroe County Reentry Court Program, they are discharged from parole, to be supervised by the Reentry Court Program.

Parole and Probation/Community Corrections will share active case management participant lists. This will improve communication by making each agency aware of offenders under community supervision in Monroe County.

Sex offenders on parole are also invited to the annual "Operation Safe Halloween," a joint project of probation and parole to remove supervised sex offenders from their homes during established trick or treat hours.

## ATTACHMENT 2

### OFFENSE CHART FOR ASSIGNMENT TO ENHANCED SUPERVISION UNIT (ESU)\*

Yellow highlight = **Automatic** assignment to ESU

All Other Identified Offenses = to be screened for possible ESU **10-5-2020**

<b>Sex &amp; Violent Offense</b> (Includes attempt & conspiracy to attempt)	<b>IC Cite</b>	<b>Sex &amp; Violent Registry</b> <u>11-8-8-5</u>	<b>Forensic Diversion</b> <u>11-12-3.7-6</u>	<b>Home Detention**</b> <u>35-38-2.5-4.7</u> <u>35-31.5-2-352</u>
Rape	<u>IC 35-42-4-1</u>	X ESU	X	X
Child Molesting	<u>IC 35-42-4-3</u>	X ESU	X	X
Child Exploitation	<u>35-42-4-4(b)(c)</u>	X ESU	X	X
Vicarious Sexual Gratification & Performing Sexual Conduct in Presence of Minor	<u>IC 35-42-4-5</u>	X ESU	X	X
Child Solicitation	<u>IC 35-42-4-6</u>	X ESU	X	X
Child Seduction	<u>IC 35-42-4-7</u>	X ESU	X	X
Sexual Misconduct with a Minor	<u>IC 35-42-4-9</u>	X ESU	X	X
Incest	<u>IC 35-46-1-3</u>	X ESU	X	X
Sexual Battery (refer to statute)	<u>IC 35-42-4-8</u>	X ESU	X	X
Kidnapping	<u>IC 35-42-3-2</u>	X ESU	X	X
Criminal Confinement	<u>IC 35-42-3-3</u>	X ESU	X	
Possession of Child Pornography	<u>35-42-4-4(d)(e)</u>	X ESU		X
Promoting Prostitution	<u>IC 35-45-4-4</u>	X ESU		
Promotion of Human Sexual Trafficking	<u>35-42-3.5-1.1</u>	X ESU		
Promotion of Child Sexual Trafficking	<u>35-42-3.5-1.2(a)</u>	X ESU		
Promotion of Sexual Trafficking of a Younger Child	<u>35-42-3.5-1.2(c)</u>	X ESU		
Child Sexual Trafficking	<u>35-42-3.5-1.3</u>	X ESU		
Human Trafficking	<u>35-42-3.5-1.4</u>	X ESU		
Murder/Attempted Murder	<u>35-42-1-1</u> <u>35-41-5-1</u>	X ESU	X	X
Voluntary Manslaughter	<u>IC 35-42-1-3</u>	X ESU	X	X
Sexual Misconduct by Service Provider w/Detained or Supervised Child	<u>35-44.1-3-10(c)</u>	X ESU		
Involuntary Manslaughter	<u>IC 35-42-1-4</u>		X ESU	X
Reckless Homicide	<u>35-42-1-5</u>		X ESU	X
Aggravated Battery	<u>IC 35-42-2-1.5</u>		X ESU	X
Battery	<u>IC 35-42-2-1</u>		X	X
Robbery	<u>IC 35-42-5-1</u>		X	X
Burglary	<u>IC 35-43-2-1</u>		X	X
Assisting Criminal	<u>IC 35-44.1-2-5</u>		X	
Escape	<u>IC 35-44.1-3-4</u>		X	X
Trafficking with an Inmate	<u>IC 35-44.1-3-5</u>		X	
OWI Causing Death or Catastrophic Injury When Operating a Vehicle	<u>IC 9-30-5-5</u>		X	X
Arson	<u>IC 35-43-1-1</u>		X	X
Possession, Use or manufacture weapon of mass destruction	<u>IC 35-46.5-2-1</u>		X	
Terroristic Mischief	<u>IC 35-46.5-2-3</u>		X	
Hijacking or Disrupting an Aircraft	<u>IC 35-47-6-1.6</u>		X	
Violation of Controlled (Regulated) Explosives <u>IC 35-47.5-5</u>	<u>IC 35-47.5</u>		X	X
Domestic Battery	<u>IC 35-42-2-1.3</u>		X ESU	X ESU
Any other crimes evidencing a propensity or history of violence.	<u>11-12-3.7-6 (26)</u>		X	
OWI Causing Serious Bodily Injury	<u>IC 9-30-5-4</u>			X
Resisting Law Enforcement as Felony	<u>IC 35-44.1-3-1</u>			X
Unlawful possession of a firearm by a serious violent felon	<u>IC 35-47-4-5</u>			X ESU
Strangulation	<u>IC 35-42-2-9</u>			X ESU
Criminal Stalking	<u>IC 35-45-10-5</u>			X ESU
Unlawful Employment By a Sexual Predator	<u>35-42-4-10</u>			X ESU
Sex Offender Residency Restriction	<u>35-42-4-11</u>			X ESU
Sex Offender Internet Offense	<u>35-42-4-12</u>			X ESU
Sex Offender Unmanned Aerial Vehicle Offense	<u>35-42-4-12.5</u>			X ESU
Inappropriate Communication with Child	<u>35-42-4-13</u>			X ESU
Unlawful Entry of School Property by Serious Sex Offender	<u>35-42-4-14</u>			X ESU

\*Charged with and/or convicted. \*\*Violent Offender (35-31.5-2-352) includes person who is "security risk" (flight risk; or threat to the physical safety of the public).

#### ADDITIONAL OFFENSES (not defined as violent per Indiana law)

Weapons Charges	ESU
Residential Entry ( <u>35-43-2-1.5</u> )	Screen for possible ESU
Criminal Recklessness ( <u>35-42-2-2</u> )	Screen for possible ESU
Intimidation ( <u>35-45-2-1</u> )	Screen for possible ESU

## ATTACHMENT 3

<b>CHAPTER 8 INDIANA RISK ASSESSMENT (IRAS/IYAS) AND CASE PLANS</b>	<b>Citations/Authority:</b> Indiana Probation Standards
<b>8.3 ADULT CASE PLANS, TARGETING INTERVENTIONS, AND ENGAGING SUPPORT IN NATURAL COMMUNITIES</b>	<b>Adoption Date:</b> Approved by Presiding Judge July 17, 2018 <b>Revision Dates:</b> Reviewed March 12, 2019

### POLICY

Supervision probation officers (SPO) shall create a case plan within 90 days on all adult offenders sentenced to community supervision and supervised at a moderate or high level.

Clients sentenced to 90 days or fewer of community supervision (probation plus community corrections supervision) are not required to have a case plan, however the SPO may choose to develop a case plan to assist the client to achieve successful completion of community supervision terms.

Case plans shall address the highest criminogenic needs as identified by the most recent Indiana Risk Assessment System – Community Supervision Tool (IRAS-CST).

SPOs shall create case plans based on the risk, need, and responsivity principles and include treatment.

SPOs should identify prosocial support for clients in their natural communities.

Case plans shall be reviewed in INcite every 90 days and/or when a new IRAS-CST is completed. Such review shall be documented in the department’s case management system, Quest.

### DEFINITION

“**Risk, Need, Responsivity**” (RNR) refers to the risk and needs of the offender should drive the selection of an appropriate program that can address the criminogenic factors.

First<sup>1</sup> proposed in 1990 by Andrews, Bonta, and Hoge, the risk-need-responsivity model has become one of the most influential models guiding treatment interventions in corrections (Ogloff & Davis, 2004). Although the number of principles have greatly increased since the 1990 paper (presently numbering 15 principles; Andrews & Bonta, 2010a, Andrews & Bonta, 2010b), the three core principles that were initially outlined continue to dominate the scene. These three principles can be summarized as follows:

1. Risk principle: Match the level of services to the risk level of the offender. Provide intensive services to higher risk clients and minimal services to lower risk clients.
2. Need principle: In treatment, set criminogenic needs as the target of intervention. Criminogenic needs are the dynamic risk factors associated with criminal behaviour (e.g., procriminal attitudes, substance abuse, criminal associates). Non-criminogenic needs (e.g., vague complaints of emotional distress, self-esteem without consideration of procriminal attitudes) are relevant only in that they may act as obstacles to changes in criminogenic needs.
3. Responsivity principle: Match the style and mode of intervention to the ability and learning style of the offender. Social learning and cognitive-behavioural styles of influence (e.g., role playing, prosocial modeling, cognitive restructuring) generally work best with offenders.

<sup>1</sup> Corrections Research User Report: The Strategic Training Initiative in Community Supervision: Risk-Need-Responsivity in the Real World 2010-01 [Corrections Research User Report: The Strategic Training In Risk-Need-Responsivity in the Real World Report](#)

## **PROCEDURE**

### **A. TARGETING INTERVENTIONS**

Case plans shall be completed within the first 90 days of supervision.

1. **Risk Principle** – Case plans are required on all adult offenders who score moderate or higher on the IRAS-CST. Client's scoring low risk do not require a case plan though one may be created if the circumstances of the client's needs are such that a case plan will significantly aid the client in completing supervision successfully.
2. **Need Principle** – Case plans shall employ specific interventions and strategies that target a client's criminogenic needs. Interventions and strategies shall be designed to target each client's specific needs in areas that are most likely to reduce the client's risk. Generally, no more than three domains should be targeted at one time.
3. **Responsivity Principle** – Interventions and strategies outlined in a case plan shall be responsive to temperament, learning style, motivation, culture, and gender.
4. **Dosage** – Case plans should attempt to structure a 40-70% of high risk client's time during the first three to nine (3-9) months of supervision. In general, a high risk client should receive approximately 300 intervention hours including treatment with appropriate community providers and direct skill building and practice with the SPO over the first 24 months of supervision. Moderate risk clients should receive approximately 150 hours over the first 18 months of supervision.
5. **Treatment Principle** – Appropriate treatment, particularly cognitive-behavioral type, should be integrated into a client's supervision and utilized as interventions within a case plan based on each client's criminogenic needs. The SPO should include identifying sources of prosocial supports for the client in their natural communities.

### **B. INITIAL SUPERVISION APPOINTMENT**

At a client's initial supervision appointment with a newly assigned supervision probation officer (SPO), the SPO shall complete the Role Clarification Effective Practices in Community Supervision (EPICS) skill to start building rapport with the client.

### **C. BEHAVIORAL ANALYSIS**

At the initial supervision appointment and/or during the next appointment that follows, the SPO will introduce and teach the client how to complete the EPICS Behavioral Analysis. Over the next two to four (2-4) appointments, the SPO and client should complete the Behavioral Analysis using examples from multiple different behaviors which encompass the high/moderate risk domains indicated on the IRAS-CST. The Behavioral Analysis shall be used in conjunction with the result of the IRAS-CST in order to develop more specific causes, or drivers, of the client's negative behaviors.

### **D. DRIVERS**

Drivers are the more specific reasons for a client's negative behavior. Identifying the drivers of behavior within each domain of the IRAS-CST will enable the SPO and client to more effectively target interventions using specific intervention strategies that address the root cause of the behavior.

### **E. STAGES OF CHANGE**

Through conversations with the client and/or the use of supplemental assessment tools, such as the University of Rhode Island Change Assessment (URICA) or a Readiness Ruler, the SPO shall determine which stage of change the client is in regarding each high or moderately rated domain of the IRAS-CST. This information shall be used in designing specific intervention strategies that will aid in increasing motivation for behavior change.



## **F. ENGAGING ON-GOING SUPPORT IN NATURAL COMMUNITIES**

A client's active engagement in prosocial activities in their community and involvement with supportive family members, spouses, and supportive others who will positively reinforce desired new behaviors can dramatically impact the likelihood of recidivism reduction and success while on community supervision. The SPO should incorporate intervention strategies that will aid the client in identifying a prosocial network of support that share a long-standing mutual sense of commitment and responsibility to achieve the goals outlined in the client's case plan.

## **G. CASE PLAN**

Using information from the IRAS-CST, Behavioral Analysis, stage of change for each domain in the IRAS-CST, sentencing order, and other tools or sources of information, the SPO shall complete a draft case plan for supervision in INcite within the first 60 days of supervision and fully completing the initial case plan within 90 days of supervision.

1. **Cases** – The SPO shall draft one case plan that addresses the needs of the client for each case the client may be under supervision.
2. **Domains** – The SPO shall draft a case plan that addresses high and/or moderately rated domains in the IRAS-CST.
  - a. **Highest Rated Domains** – The SPO shall initially address the highest rated domains considering information obtained from the Behavioral Analysis and primary risk factors for recidivism (criminal attitudes and behavior patterns, peer associations, antisocial personality or temperament, and family and social support).
  - b. **Lower Rated Domains** – The SPO should not address domains rated low unless departmental policy and/or the sentencing order requires intervention due to the nature of the offense or other factors. Addressing a lower rated domain may be appropriate if the client's identified drivers fall within a lower rated domain and the drivers significantly contribute to a client's repeated criminal behavior.
  - c. **Number of Domains Addressed** – The SPO should actively address no more three domains simultaneously during the course of supervision.
3. **Goals, Objectives, and Strategies** – Each case plan shall include goals, objectives, and strategies that address a client's criminogenic needs.
  - a. **Goals** – The SPO shall select an appropriate goal or goals for each domain on the IRAS-CST to be addressed. Goals are long-term outcomes indicating a desired behavioral change.
  - b. **Objectives** – For each goal, the SPO shall select an appropriate objective or objectives that will guide the client in obtaining the goal. Objectives are short-term steps that are taken by the client to achieve a broader goal. Objectives should be created while considering a client's input. Objectives should be written so they are "SMART" (Specific, Measureable, Achievable, Realistic, and Time Specific).
  - c. **Strategies** – For each objective, the SPO shall select an appropriate strategy or strategies used to meet the objective. Strategies may include referrals for services and/or treatment with outside agencies and/or face-to-face tools and techniques used during appointments with the SPO. Strategies may also include methods to increase intrinsic motivation of the client to move the client into an action-oriented stage of change. In addition, strategies may include involving the client in prosocial activities in their natural communities.

4. **Client Input** – The SPO shall create an initial draft of a case plan within the first 60 days of supervision. The SPO shall discuss the contents of the case plan with the client and receive input on changes and/or additional goals, objectives, and strategies that may aid the client in reducing their risk of recidivism and increasing the likelihood of successfully completing the case plan and supervision without violations.
5. **Completion of Case Plan** – After discussing the case plan with the client, the SPO shall complete the case plan in INcite within 90 days of starting supervision and print a copy for the client to sign indicating their agreement to implement the goals, objectives, and strategies listed. The final signed copy of the case plan shall be scanned into an electronic format and uploaded in the department’s case management system (Quest).

#### **H. CASE PLAN REVIEW**

Case plans shall be reviewed in INcite every 90 days and/or when a new IRAS-CST is completed and documented in the department’s case management system, Quest. Case plans shall be updated in INcite as necessary after each review.

## ATTACHMENT 4

<b>CHAPTER 8 INDIANA RISK ASSESSMENT (IRAS/IYAS) AND CASE PLANS</b>	<b>Citations/Authority:</b> Policy for Indiana Risk Assessment System adopted by the Board of Directors of the Judicial Conference of Indiana
<b>8.1 INDIANA RISK ASSESSMENT SYSTEM (IRAS) POLICY</b>	<b>Adoption Date:</b> February 13, 2009 <b>Revision Dates:</b> January 30, 2013 Criminal Division BOJ/CCAB; Approved by Presiding Judge July 17, 2018; Approved by Presiding Judge April 5, 2019

### POLICY

Adults who are referred to the Monroe Circuit Court Probation Department (hereafter “Department”) for any type of community supervision or monitoring shall receive the appropriate risk and needs assessment utilizing the Indiana Risk Assessment System (IRAS) and any complimentary assessments deemed appropriate for each individual. Reassessments using the IRAS-Community Supervision Tool shall be completed every 12 months. The risk/needs assessment(s) shall guide case planning and determination of community supervision levels.

### PURPOSE

Accurate risk assessment is the cornerstone of successful case management. Risk assessments provide important information about individuals and improve risk prediction accuracy. Additionally, risk assessments identify the strategies required to reduce criminal behavior and provide an indication about resource allocation. Risk assessments measure change in an individual’s behavior and provide an initial triage for assigning community supervision levels.

The IRAS consists of six (6) separate instruments to be used at specific points in the criminal justice process to identify an individual’s risk of criminal behavior and criminogenic needs. These instruments are used at distinct points in the criminal justice system to promote and assist with developing individualized case plans. By appropriately targeting the identified criminogenic needs through individualized case plans, it is anticipated criminal behavior and recidivism will be reduced.

### DEFINITIONS

1. **Indiana Risk Assessment System – Pretrial Assessment Tool (IRAS-PAT)** - Assesses a person’s risk for failure to appear and risk of criminal behavior while on pretrial supervision.
2. **Indiana Risk Assessment System – Community Supervision Screening Tool (IRAS-CSST)** - quickly identifies low risk individuals and determines if a full risk assessment should be completed.
3. **Indiana Risk Assessment System – Community Supervision Tool (IRAS-CST)** - Assesses an individual’s risk of criminal behavior and identifies criminogenic needs to assist in making decisions regarding community supervision.
4. **Indiana Risk Assessment System – Static Tool (IRAS-ST)** - Designed to assess an individual’s risk of criminal behavior based solely on static factors.
5. **Indiana Risk Assessment System – Prison Intake Tool (IRAS-PIT)** - Designed to assess an offender’s risk of criminal behavior and identify criminogenic needs to assist in making decisions regarding services while incarcerated in prison. **(NOTE: this tool shall only be completed by the Indiana Department of Correction, but will be available for review).**

6. **Indiana Risk Assessment System – Supplemental Reentry Tool (IRAS-SRT)** - Designed to reassess an offender’s risk of criminal behavior prior to an offender’s release from prison. (NOTE: this tool shall only be completed by the Indiana Department of Correction, but will be available for review).

## **PROCEDURE**

### **A. IRAS - PROCEDURES FOR USE**

1. **IRAS-PAT** – The Pretrial Assessment Tool shall be completed in accordance with policy #65.2 *Pretrial Pre-Arrestment Screening* on those individuals in the pretrial target population.
2. **IRAS-CSST** – The Community Supervision Screening Tool shall be completed on all adult clients referred for post-sentence community supervision as follows:
  - a. Completed at intake/orientation; or
  - b. Completed if the client is being immediately transferred to another jurisdiction for community supervision; or
  - c. Completed if the client is transferred in for Court Alcohol and Drug services only and the IRAS-CSST (or IRAS-CST) was not completed by the sending agency.
  - d. Not to be used for:
    - (1) Clients referred for Presentence Investigation (PSI); or
    - (2) Clients subject to an automatic override per policy; or
    - (3) Problem Solving Court (PSC) participants; or
    - (4) Pretrial Services defendants; or
    - (5) Post-conviction Community Alternative Supervision (CASP) Levels 2-5 (Home Detention) participants.
3. **IRAS-CST** – The Community Supervision Tool is generally used by all POs supervising adult clients with the exception of the Pretrial Services Division. The IRAS-CST shall be completed on adult clients referred for post-sentence supervision as follows:
  - a. Completed for all clients referred for PSI;
  - b. Completed on clients scoring “High” on the CSST unless the client is being transferred out;
  - c. Completed on clients subject an automatic override per policy;
  - d. Completed on all PSC participants;
  - e. Completed on all post-conviction CASP Level 2-5 (Home Detention) participants; and
  - f. Completed when client scores “Low” on the CSST, but additional information is discovered that may indicate an increased risk for a client.
4. **IRAS-ST** – The Static Tool shall only be completed on those individuals who are unavailable to be interviewed for the preferred IRAS tool and a risk assessment is necessary or has been ordered by the Court. For example, an individual may refuse to participate in a presentence investigation interview or the individual may have absconded prior to sentencing and is unavailable for an interview. When the individual is available for interview the preferred IRAS tool shall be utilized.
5. **Exceptions** – Completion of the IRAS shall not be required for individuals who are:
  - a. Placed on administrative/non-reporting/unsupervised probation by the Court from the beginning of the individual’s sentence; or
  - b. Referred to the Department from other agencies for program-specific reasons that do not include community supervision (i.e. PRIME only); or
  - c. Only required to complete community service work; or
  - d. Ordered by the Court not to have an IRAS completed.

## **B. REASSESSMENT**

Only the IRAS-CST requires reassessment. The IRAS-CST reassessment shall occur as follows:

1. Every 12 months for those who risk greater than “Low”; or
2. At discharge from community supervision if at least six (6) months have passed since the last reassessment; or
3. At discharge from a community corrections program as required by the Indiana Department of Correction; or
4. After a new felony arrest while on community supervision if current risk level is less than “High”; or
5. Earlier than the above at the discretion of the probation officer based upon a significant event or change in the offender’s life which may impact an offender’s risk; or
6. If probationer is revoked/sanctioned by the Court to be supervised on Home Detention and his/her current risk level is less than “High.”

## **C. SELF REPORT SURVEY**

The IRAS-CST requires an individual to complete a self-report survey prior to interviewing and scoring every assessment and reassessment.

## **D. INTERVIEWS; COLLATERAL INFORMATION**

All tools of the IRAS except the Static Tool require a face-to-face interview with the individual prior to scoring every assessment and reassessment. When conducting assessments, verification with collateral information, such as a file review, is required and considered an essential element of assessment. Assessors should not rely solely on information provided by the individual and make every attempt possible to verify information and obtain all information helpful for the completion of the assessment.

## **E. SCORING THE ASSESSMENT**

All tools of the IRAS shall be completed and scored using the INcite database maintained by the state of Indiana and shall be entered within 30 days of completing the assessment or reassessment interview. Final scores shall be recorded in the appropriate case management database utilized by the department.

## **F. OVERRIDE**

The IRAS is designed to treat individuals in the aggregate and is not structured to anticipate every possible case or scenario. Circumstances may indicate necessity to utilize professional discretion and override the overall risk level indicated on the IRAS. Unless the individual is being supervised due to certain offenses (sex offenses, domestic violence related offenses, etc.), overrides to the IRAS should occur in no more than 10% of the cases assessed. Probation supervisors are available for consultation when contemplating overrides to the IRAS, but officers are not required to seek approval when exercising this professional discretion.

1. **Automatic Override to At Least “High”** – The probation officer shall automatically override the risk level of the following individuals to at least “High”. The overall IRAS risk level may be dropped to the level indicated on the IRAS after the individual’s first assessment if the totality of the information obtained regarding the risk, needs, and responsivity of the individual warrants such.
  - a. Individuals convicted of (or have a pending case for) a sex and/or violent offense that requires registry on the sex/violent offender registry; and/or
  - b. Individuals convicted of (or have a pending case for) an offense in the column listing statutory offenses according to I.C. 11-8-8 on the *Offense Chart for Assignment to Enhanced Supervision Unit (ESU)* and the person is listed on the sex/violent offender registry due to a past conviction; and/or
  - c. Individuals convicted of (or have a pending case for) a felony domestic violence offense as their current offense.

2. **Automatic Override to Next Highest Level** – The probation officer shall automatically override the risk level of the following individuals to at least the next highest level. The overall IRAS risk level may be dropped to the level indicated on the IRAS after the individual’s first assessment if the totality of the information obtained regarding the risk, needs, and responsivity of the individual warrants such.
  - a. Individuals arrested for a new felony offense allegedly committed during the current community supervision; and/or
  - b. Individuals being supervised for operating while intoxicated and the person has two prior convictions for operating while intoxicated within the past ten years; and/or
  - c. Individuals being supervised for a misdemeanor or felony and the person has five or more unrelated criminal convictions in the previous five years; or
  - d. The individual is convicted of (or have a pending case for) an offense on **the *Offense Chart for Assignment to Enhanced Supervision Unit (ESU)*** and it is not an automatic override listed above.
  
3. **Consideration for Override** – The probation officer shall exercise professional discretion and consider an override:
  - a. To at least the next highest level, until the next reassessment, when the totality of the information obtained regarding the risk, needs, and responsivity of the individual warrants an override. The following are examples of times when it **MAY** be necessary to override the IRAS.
    - (1) The individual is being released from extended incarceration with the Department of Correction; or
    - (2) The individual has significant mental health impairments or chronic mental illness and past behavior has demonstrated threats to the safety of the community; or
    - (3) The individual is convicted of (or have a pending case for) an offense where a weapon was used to threaten or cause serious bodily harm; or
    - (4) Any other circumstance that may pose an *unusual* safety risk to the community.
  
  - b. To the next lower level, until the next reassessment (if applicable), when the totality of the information obtained regarding the risk, needs, and responsivity of the individual mitigates the IRAS risk level and warrants an override. The following are examples of times when it **MAY** be desirable to override the IRAS.
    - (1) The individual has been under community supervision for an extended period of time without violation; and
    - (2) The individual has successfully completed required conditions of the case plan, but may remain a higher risk due to unchangeable factors, such as criminal history; and
    - (3) The individual has completed at least one-half of their total time under supervision; and
    - (4) The individual is meeting ongoing conditions of the case plan.

## **G. TRAINING AND CERTIFICATION**

All assessments are to be administered by appropriately trained probation officers. Certification includes mandatory training and testing endorsed by the Indiana Judicial Center. Any probation officer trained or certified to conduct and complete assessments using the IRAS must follow any re-certification or ongoing training requirements to continue administering the tool.

## **H. LEVEL OF SUPERVISION**

Assessments shall provide guidance regarding the level of supervision afforded each individual placed on community supervision. The minimum contact levels outlined by policy shall be employed as indicated by the final results of the assessment unless otherwise indicated by court order or program requirements (i.e., Problem Solving Court). Supervision of each individual should be determined by the level of risk the individual poses to the community and not based upon compliance with the conditions of probation. Supervision levels could be increased temporarily based upon specific needs to be addressed; however the minimum contact standards shall always be employed unless otherwise approved by a supervisor or the Court.

1. **Administrative** – This supervision level shall only be employed for the following individuals:
  - a. Those placed on unsupervised probation programming by the Court; or
  - b. Those who score “low” on the IRAS, have completed all affirmative conditions of probation, and the Court has allowed the probation officer to move the individual to unsupervised probation; or
  - c. Those who have transferred to another jurisdiction for supervision regardless of the risk result indicated on the assessment; or
  - d. Those who have been incarcerated for more than 14 days; or
  - e. Those pending sentencing after a PSI has been completed.
2. **Low** – This supervision level shall be employed for individuals scoring
  - a. Low on the IRAS-CST; or
  - b. Low on the IRAS-CSST; or
  - c. Low on the IRAS-PAT.
3. **Medium** – This supervision level shall be employed for individuals scoring
  - a. Moderate on the IRAS-CST; or
  - b. Moderate on the IRAS-PAT.
4. **High** – This supervision level shall be employed for individuals scoring:
  - a. High or Very High on the IRAS-CST as a male; or
  - b. High on the IRAS-CST as a female; or
  - c. High on the IRAS-PAT.

## **I. CASE PLANS**

Individualized case plans are developed to assist the individual in addressing underlying needs. Standardized assessments form the basis of case plans and the IRAS-CST shall be used in creating and implementing a case plan in accordance with the **CHAPTER 8.3 ADULT CASE PLANS, TARGETING INTERVENTIONS, AND ENGAGING SUPPORT IN NATURAL COMMUNITIES** policy.

## **J. CONTINUOUS QUALITY IMPROVEMENT**

Staff may be required to attend booster session(s) and/or individual coaching sessions by their supervisor and/or the Continuous Quality Improvement Supervisor in accordance with the *Assessment Tool Inter-rater Reliability* policy.

## **K. CONFIDENTIALITY**

The information gathered in the course of, and as a result of, the risk assessment using the IRAS is confidential in accordance with the Department’s **CHAPTER 1.15 CONFIDENTIALITY POLICY**.

# INDIANA RISK ASSESSMENT SYSTEM (IRAS) TOOL CHEAT SHEET

April 5, 2019

## WHEN TO USE EACH IRAS TOOL

### IRAS-PAT (Pre-trial Assessment Tool)

1. Use on clients who are in the pretrial target population.
2. Generally only used by Pretrial Services Division.

### IRAS-CSST (Community Supervision Screening Tool)

1. Use on all new clients placed on supervision during intake/orientation except PSIs, PSC, clients subject to automatic override per policy, Pretrial Services defendants, and clients subject to CASP Level 2-5 (Home Detention).
2. Use on all transfer outs if a CST was not done.
3. Use on clients transferred in for Court A&D services only and if no IRAS completed by sending county.
4. Generally only used by Adult Intake Division.

### IRAS-CST (Community Supervision Tool)

- g. Generally used by all POs supervising adult clients with the exception of the Pretrial Services Division.
- h. Use with all PSIs.
- i. Use on anyone scoring "High" on the CSST unless the client is being transferred out.
- j. Use on anyone subject to an automatic override per policy.
- k. Use on all PSC participants.
- l. Use on all post-conviction CASP Level 2-5 (Home Detention) participants.
- m. Use when someone scores "Low" on the CSST, but additional information is discovered that may indicate an increased risk for a client.

### IRAS-ST (Static Tool)

Only use if a risk assessment must be done and the client is refusing to participate (should rarely be used and most likely only when a PSI is required and the defendant will not cooperate with CST process).

### EXCEPTIONS (No IRAS tool needs to be completed)

1. Individuals placed on administrative/non-reporting/unsupervised probation from the beginning (complete a CSST or CST if they are moved to a supervision caseload).
2. Individual is referred for a specific program and no supervision is required (PRIME only, Community Service Program only, etc.).

## WHEN TO DO A REASSESSMENT

Only reassess persons who have IRAS-CST. EXCEPTIONS: under #4 or #5 below and person has had CSST, the reassessment must be with CST.

1. Every 12 months for anyone who is Moderate, High, or Very High.
2. At discharge if at least six months have passed since the last reassessment and a CST was completed.
3. At discharge from a CC program (except Community Service Program only) regardless of when the last reassessment was completed.
4. After a new felony arrest while on supervision if the person's current risk level is less than High.
5. Anytime the PO believes there's a significant change that impacts the person's risk.
6. If probationer is revoked/sanctioned to be supervised on home detention and his/her current risk level is less than High.



## WHEN TO OVERRIDE AN IRAS

### Automatic override to High until at least the next reassessment

1. Convicted of or having a pending case that requires registry on the sex/violent offender registry.
2. Convicted of or having a pending case involving offenses listed under IC 11-8-8 on the ESU offense chart and the person is listed on the sex/violent offender registry for a past conviction.
3. Convicted of or having a pending case for felony domestic violence as their current offense.

### Automatic override to at least the next highest level (Low to Moderate; Moderate to High) until at least the next reassessment

1. Individuals arrested for a new felony offense during the current supervision.
2. Individuals being supervised for their third OWI and who have two prior OWIs in past ten years.
3. Individuals being currently supervised for any offense and who have five or more unrelated convictions in the past five years.
4. Individuals convicted of or having a pending case for an offense listed on the ESU offense chart.

### Others to consider for override (PO discretion to at least the next highest level until next reassessment)

1. Individual is released from extended stay at DOC.
2. Individual has significant or chronic mental illness and past behavior has demonstrated a threat to the safety of the community.
3. Individual is convicted of or having a pending case where a weapon was used to threaten or cause serious bodily harm.
4. Any other circumstance that poses an unusual safety risk to the community.

### Others to consider for override (PO discretion to at least the next lower level until next reassessment)

1. Individual on for extended period of time without violation; AND
2. Successful completion of case plan but remain higher risk due to static factors; AND
3. Completed at least one-half their time; AND
4. Individual is meeting standard conditions of supervision including adherence to payment plan.

## LEVEL OF SUPERVISION

### Administrative

1. Placed on “unsupervised” (non-reporting) probation status by the Court from the beginning of probation.
2. Those who score Low, completed affirmative conditions, **including payment of fees in full**, and Court allows PO to move to unsupervised status.
3. Transfer outs.
4. Those who have been incarcerated for more than 14 days.
5. Those who are pending sentencing after a PSI has been completed.

**Low** – Those who score low on any tool or an override to Low.

**Moderate** – Those who score moderate on the CST or an override to Moderate.

**High** – Those who score High or Very High on the CST or an override to high.

**Pretrial Monitoring** - Pretrial monitoring level is determined by the Pretrial Release Matrix.

## ATTACHMENT 5

<b>CHAPTER 11 INCENTIVES AND SANCTIONS</b>	<b>Citations/Authority:</b> IC 35-38-2-3(e); IC 11-13-1-8; Monroe Circuit Court Local Rules
<b>11.2 GRADUATED SANCTIONS POLICY AND PROCEDURE</b>	Adoption Date: October 24, 2012 Revision Dates: September 11, 2015, Approved by Presiding Judge January 11, 2018; Approved by Criminal Division BOJ 4-9-18, CCAB 4-30-18; Reviewed February 6, 2019

### LOCAL RULE

#### **LR53-AR00-0144 ADMINISTRATIVE PROBATION MODIFICATION MEETINGS**

Updated 01/02/2014

- A. The Board of Judges has authorized the Probation Department to conduct Administrative Probation Modification (APM) meetings to address minor technical violations of probation in accordance with I.C. 11-13-1-8. During the APM meeting, the supervising Probation Officer is authorized to resolve minor technical violations of probation via agreement with the probationer. Upon agreement with probationer, during this APM meeting, a Probation Officer may impose violation sanctions for said technical violations. Written judicial approval and an order are necessary prior to implementation of the agreed-upon violation sanctions only when conditions of probation have been modified that restrict a probationer's liberty, such as the use of electronic monitoring, imposition of Home Detention, and/or a commitment to the Monroe County Jail. If a specific condition is not modified, a Judge's signature is not required. Examples of violation sanctions that may be imposed without a requirement of a court order include, but are not limited to: imposition of community service hours (Road Crew/Public Restitution); increased or modified treatment or counseling requirements; imposition of Day Reporting requirements.
- B. Probationers shall be provided a notice of rights prior to entering into an agreement regarding a violation sanction. Participation shall be voluntary and persons shall, upon request, be given up to five (5) days to consult with an attorney prior to entering into the agreement and/or the opportunity to request the matter be set for a hearing. Probationers do not have a right to an attorney for an Administrative Probation Modification meeting and may refuse to participate.

### POLICY

The Monroe Circuit Court Probation Department shall implement appropriate and timely risk-based responses to technical violations of community supervision. If a probationer/client commits a new offense, the supervising probation officer shall file a violation petition with the Court in accordance with departmental policy (Petition to Revoke Suspended Sentence and/or Notice of Non-Compliance).

The procedures of potential responses to technical violations of community supervision listed below are intended to provide guidance for probation officers and to encourage consistency of responses across all divisions and units within the department. The responses are intended to be graduated in nature and based on the severity of the offender's instant offense, the severity of the violation, and the offender's individual assessed risk and needs in order to assist offenders in their progress toward achieving positive behavior change.

The Problem Solving Court Program has established graduated sanctions policies and procedures which are contained in the Problem Solving Court Policy and Procedure Manual.

Juvenile probation officers shall follow policies and procedures for graduated sanctions established by the Juvenile Court.

## **STATUTORY AUTHORITY**

### **IC 35-38-2-3 Violation of conditions of probation**

(e) A person may admit to a violation of probation and waive the right to a probation violation hearing after being offered the opportunity to consult with an attorney. If the person admits to a violation and requests to waive the probation violation hearing, the probation officer shall advise the person that by waiving the right to a probation violation hearing the person forfeits the rights provided in subsection (f). The sanction administered must follow the schedule of progressive probation violation sanctions adopted by the judicial conference of Indiana under IC 11-13-1-8. (2015)

## **DEFINITIONS**

**Graduated Sanctions** - a system of graduated responses used to address the probationer's continued non-compliance with court-ordered conditions of supervision. Graduated sanctions are structured, incremental responses to noncompliant behavior (violations) while under supervision. They are designed to give the probation officer the ability to respond quickly to violations through a series of graduated sanctions such as additional reporting requirements or community service. The sanctioning process uses modest steps to infringe on the offender's liberty to deter future violations, ensure the integrity of the court order, increase community safety, and encourage positive change in the offender.

**Incentive / Reinforcer** - intangible or tangible rewards as a means of increasing desirable behaviors.

**Responsivity Factors** - individual variables that influence or interfere with a client's response to rehabilitation efforts.

**Sanction** - punitive response to reduce undesirable behaviors and increase desirable behaviors.

**Therapeutic Adjustment** - alterations to client's treatment requirements that are intended to address unmet clinical or social service needs and are not intended as an incentive or sanction.

## **PURPOSE**

Graduated sanctions provide accountability for offender behavior. The use of graduated sanctions is intended to reduce future victimization by reducing recidivism.

Graduated sanctions are structured, incremental responses to noncompliant behavior (violations) while under supervision. They are designed to give the probation officer the ability to respond quickly to technical violations of supervision conditions through a series of behavioral responses. The sanctioning process uses modest steps to infringe on the offender's liberty to deter future violations, ensure the integrity of the court order, increase community safety, and encourage positive change in the offender.

Graduated sanctions provide accountability for offender behavior. The use of graduated sanctions is intended to reduce future victimization by reducing recidivism.

## **PROCEDURE**

### **A. TARGET POPULATION**

Graduated sanctions should be implemented for technical violations of supervision with those adult offenders who are on community supervision EXCEPT:

1. Offenders who are participating in Problem Solving Court program components;
2. Offenders whose instant offense is listed as a sex/violent offense as defined by the Enhanced Supervision Unit (ESU) criteria policy for automatic acceptance;
3. Offenders who are assigned to the Home Detention Program and abscond from the program or damage/tamper with electronic monitoring equipment;
4. Offenders who transfer in from another county for courtesy supervision unless the sending county agrees with the sanction after receiving notice of the violation; or
5. Offenders who do not agree to participate in the proposed sanctions.

### **B. NOTICE TO OFFENDERS**

When placed upon community supervision, all offenders shall be provided Notice of Administrative Sanctions that could be implemented as a result of committing technical violations of supervision. This notice is contained in the *Conditions of Probation Pamphlet*.

### **C. DUE PROCESS**

Offenders shall be provided with a notice of rights before the implementation of any graduated sanctions.

1. Offenders shall be given the opportunity waive these rights and agree to the sanction imposed.
2. Offenders shall be given the opportunity to delay a decision to agree to the sanction for five (5) days in order to consult with an attorney.
3. Offenders shall be given the opportunity to request the matter be set for a court hearing.

### **D. DETERMINING GRADUATED SANCTIONS**

Probation officers shall utilize the following procedures for determining an appropriate graduated sanction:

1. **Original Offense** – Determine the severity of the original offense by assigning a “High” or “Low” rating based upon the following:
  - a. **High** - A rating of “High” shall include all offenses listed as criteria for assigning to ESU along with those offenses to be screened for assignment to ESU as outlined in policy. Additional offenses to include are: Operating a Vehicle While Intoxicated (OWI) with a prior and Manufacturing or Dealing in Controlled Substances.
  - b. **Low** - A rating of “Low” shall include all other offenses not categorized as “High”.

2. **Violation Severity** – Determine the severity of the violation by assigning a “High” or “Low” rating based upon time frames and other specifics outlined in the Order of Probation and the following:
- a. **High** - A rating of “High” shall include:
- (1) Any new offense;
  - (2) Absconding from any community supervision program;
  - (3) Tampering with, damaging, or removing electronic monitoring equipment;
  - (4) Unsuccessful discharge from treatment, two or more times;
  - (5) Failing a drug or alcohol test or admitted use, two or more times;
  - (6) Tampering with or refusing/failing to submit to drug or alcohol testing within designated time;
  - (7) Possession of drugs or weapons;
  - (8) Violation of a no contact or protection order;
  - (9) Failure to report after sentencing;
  - (10) Failure to report for probation appointments, three or more consecutive times;
  - (11) Failure to complete community service by second deadline or extension;
  - (12) Failure to attend sex offender treatment, three or more non-consecutive times;
  - (13) Leaving Indiana without a travel permit;
  - (14) Leaving Monroe County while on Home Detention without permission, two or more times;
  - (15) Refusing to submit to an approved probation search;
  - (16) Failing polygraph testing as a sex offender; or
  - (17) Failing to complete or adhere to a previously imposed graduated sanction.
- b. **Low** - A rating of “Low” shall include:
- (1) Failure to report a new offense;
  - (2) Failure to provide truthful information;
  - (3) Failure to report a change of address;
  - (4) Failure to report for probation appointments, twice consecutively;
  - (5) Failure to report for community service orientation, twice consecutively;
  - (6) Failure to attend the Victim Offender Reconciliation Program, twice consecutively;
  - (7) Failure to complete community service by deadline;
  - (8) Failure to complete a treatment evaluation by deadline;
  - (9) Failure to attend treatment;
  - (10) Unsuccessful discharge from treatment;
  - (11) Curfew violations;
  - (12) Failure to abide by home detention schedule;
  - (13) Failure to obtain employment or take steps to obtain employment by deadline;
  - (14) Failure to attend any program, treatment, or service by deadline;
  - (15) Failure to provide residence, employment, or financial verification;
  - (16) Failure to pay fees per payment agreement;
  - (17) Failing a drug or alcohol test or admitted use or having a dilute screen;
  - (18) Failing to appear for a drug or alcohol test; and
  - (19) Failing to pay court-ordered child support, two or more consecutive weeks.
3. **Risk Classification** – Determine the offender’s risk classification using the most recent Indiana Risk Assessment System – Community Supervision Tool (IRAS-CST). IRAS-CST should be completed for each offender according to the risk and needs assessment policy. Those whose risk levels rating very high, high, moderate, or low/moderate shall have a rating of “High” and those whose risk level is low shall have a rating of “Low”.

4. **Special Considerations** – Determine whether the offender has any other special considerations. The following should be classified as special considerations:
- The offender commits multiple violations which are appropriate to handle through one graduated sanction;
  - The offender is unlikely to respond to lower level sanctions based upon previous terms of supervision and/or the probation officer’s professional judgment; or
  - The offender has received previous sanctions for the same or similar violations.
5. **Response Level** – The response level (high, moderate, or low) shall be determined according to the determinations of the offender’s original offense, severity of violation, risk classification, and special considerations as included in the chart below:

<u>Offense</u>	<u>Violation</u>	<u>Risk</u>	<u>Special Considerations</u>	<u>Response Level</u>
High	High	High	Yes	High
			No	High
		Low	Yes	High
			No	Moderate
	Low	High	Yes	High
			No	Moderate
		Low	Yes	Moderate
			No	Low
Low	High	High	Yes	Moderate
			No	Moderate
		Low	Yes	Low
			No	Low
	Low	High	Yes	Moderate
			No	Low
			Yes	Low
		Low	Yes	Low
			No	Low
			No	Low

6. **Responses** – The following is a list of responses appropriate for each level which may be employed by the probation officer and possibly in combination with another sanction as appropriate:
- High** – All responses in this level with an asterisk (\*) must be approved by a probation supervisor.
    - Filing a Petition to Revoke Suspended Sentence (or equivalent) with warrant;
    - Filing a Petition to Revoke Suspended Sentence (or equivalent) with summons;
    - Filing a Petition to Modify to Extend supervision up to 90 days\* (if allowed by statute);
    - Filing a Petition to Modify to utilize up to 60 actual days of Home Detention;
    - Filing a Petition to Modify to commit the offender to the Monroe County Jail for up to six actual days;
    - Initiate a therapeutic adjustment;
    - Increase in treatment level (including residential programming);
    - Impose electronic monitored home curfew; or
    - Any combination of responses listed above or in Moderate or Low listed below.

b. Moderate – All responses in this level with an asterisk (\*) must be approved by a probation supervisor.

- (1) Filing a Petition to Revoke Suspended Sentence (or equivalent) with warrant;
- (2) Filing a Petition to Revoke Suspended Sentence (or equivalent) with summons;
- (3) Filing a Petition to Modify to extend supervision up to 60 days\* (if allowed by statute);
- (4) Filing a Petition to Modify to utilize up to 30 actual days of Home Detention;
- (5) Filing a Petition to Modify to require up to 60 days of Day Reporting;
- (6) Initiate a therapeutic adjustment;
- (7) Increase in treatment level;
- (8) Impose electronic monitored home curfew;
- (9) Referral to a Problem Solving Court program component (if appropriate); or
- (10) Any combination of responses listed above or in Low listed below.

c. Low

- (1) Filing a Petition to Revoke Suspended Sentence (or equivalent) with summons;
- (2) Administrative Probation Modification (APM) with Petition to Modify to address low level new offenses, such as Driving While Suspended, Public Intoxication and Illegal Consumption/Transportation/Possession.
- (3) Verbal warning;
- (4) Written warning;
- (5) Increase in supervision;
- (6) Increase in drug and/or alcohol testing;
- (7) Imposition of a curfew;
- (8) Require any treatment, service, or program;
- (9) Require up to 30 days of Day Reporting;
- (10) Require up to 50 hours of Community Service Work;
- (11) Assign reading and/or writing assignments (i.e., thinking reports, Effective Practices in Community Supervision (EPICS), skill building tools, Carey Guides, Carey Brief Intervention Tools (BITS), cognitive behavioral journals, and other cognitive behavioral interventions).
- (12) Write apology letter;
- (13) Require additional verification of any directive; or
- (14) Complete voluntary wage assignment.

#### E. OVERRIDES

Probation officers are expected to use discretion and professional judgment to match appropriate sanctions with each violation of probation. In determining a response to a violation, probation officers must examine the totality of the circumstances in each case and decide whether application of a graduated sanction outlined in this policy is appropriate. In any case where a more appropriate response to a violation exists outside the guidelines provided in this policy, approval from a probation supervisor must be obtained. The presence of a supervisor during the administrative meeting should be considered when the probation officer anticipates the likelihood of a highly resistant client or where a more appropriate response to a violation exists outside the guidelines.

#### F. DOCUMENTATION

Utilization of graduated sanctions at any level requires thorough documentation in the appropriate case management database in accordance with standard practices and timelines regarding documentation. Offenders and probation officers shall sign and date an *Administrative Agreement* indicating the violation and sanction applied. A probation supervisor shall sign when approval to utilize an indicated sanction is required. A Petition to Modify shall be filed promptly as required and no sanction shall begin until approved by the Court in these instances. All documentation referring to graduated sanctions shall be retained in the probation case file. Written warning and/or behavioral objectives that include sanctions shall be signed by the SPO and probationer.

vs.

**ADMINISTRATIVE AGREEMENT**

My probation officer has offered this Administrative Agreement to me which requires that I admit I violated the terms of my community supervision.

I understand that I have the following rights:

1. I have the right to a public hearing before a judge who will decide whether I violated the terms of my community supervision.
2. I have the right to require the prosecutor to prove the allegations made against me.
3. I have the right to be present when witnesses testify against me and the right to cross-examine those witnesses.
4. I have the right to have witnesses subpoenaed and required by court order to be present to testify in my defense.
5. I have the right to remain silent only if the answer to a question may incriminate me in another criminal case.
6. I have the right to the advice and assistance of a lawyer. If I cannot afford to hire a lawyer, the judge will appoint the Public Defender of Monroe County to represent me.

I give up these rights if I choose to accept this Agreement my probation officer has offered to me and that I admit I violated the terms of my community supervision as stated below.

Following a probation meeting held on the date signed below, my probation officer and I agree to the following:

1. I violated the condition(s) of my community supervision by:

---



---



---



---

2. As a result, I agree to:

---



---



---



---

It is understood that if I fail to comply with this Agreement a violation hearing may be held with the Court. It is further understood that this document will become a permanent part of my community supervision file. I have reviewed and understand this Agreement and consent to this modification of my community supervision.

Understanding my rights listed above, I give up the right to the advice and assistance of a lawyer knowing that I may delay acceptance of this Agreement for up to five (5) days to allow me to consult with a lawyer. Further, I knowingly, voluntarily, and intelligently agree to enter this Agreement and no hearing on this matter will be held.

\_\_\_\_\_  
Client

\_\_\_\_\_  
Probation Officer

\_\_\_\_\_  
Date

\_\_\_\_\_  
Probation Supervisor (if required)



## ATTACHMENT 6.1

<b>CHAPTER 10 SHARED PROBATION &amp; COMMUNITY CORRECTIONS CASES</b>	<b>Citations/Authority:</b> IC 11-12-2-4(b)(8)(A)
<b>10.1 SHARED PROBATION &amp; COMMUNITY CORRECTIONS CASES</b>	<b>Adoption Date:</b> August 26, 2015 <b>Revision Dates:</b> January 20, 2017; Revised 2018-1-17; Approved by Presiding Judge 2018-3-27, CCAB 4-30-18; Approved by Presiding Judge February 6, 2019

### POLICY

The Monroe Circuit Court Probation Department (hereafter “Department”) shall employ case assignment and supervision policies and procedures that maximize efficiencies and avoid duplication of services and casework. For cases requiring services that will be delivered by more than one division of the Department, persons will be supervised by only one supervising probation officer/case manager at any given time.

When adult defendants/offenders (participants) are court-ordered to Day Reporting, Home Detention, and/or Electronic Monitoring, Support Staff shall direct the participant to immediately report to the Community Corrections office to initiate program requirements. When juveniles are court-ordered to Home Detention and/or Electronic Monitoring, the Juvenile Probation Officer will direct the juvenile and parent/guardian when to report to the Community Corrections office to initiate program requirements.

### PHILOSOPHY

It is a common occurrence for participants to be court-ordered to adult probation and community corrections concurrently and consecutively. The Pretrial Program Division, Adult Probation Division, and the Community Corrections Program Division supervise many of the same clients. Regular communication regarding common clients between the divisions is essential. Teamwork is the backbone of departmental operations and is especially critical when common participants are being transferred between divisions.

## ATTACHMENT 6.2

<b>CHAPTER 10 SHARED PROBATION &amp; COMMUNITY CORRECTIONS CASES</b>	<b>Citations/Authority:</b> IC 11-12-2-4(b)(8)(A)
<b>10.2 SHARED CASES FOR DAY REPORTING PROGRAM</b>	<b>Adoption Date:</b> August 26, 2015 <b>Revision Dates:</b> January 20, 2017; Revised 2018-1-17; Approved by Presiding Judge 2018-3-27, CCAB 4-30-18; Approved by Presiding Judge February 5, 2019

### **PROCEDURES FOR DAY REPORTING PROGRAM CASE ASSIGNMENT**

The Day Reporting Program is also known as the Community Alternative Supervision Program (CASP) Level 10.

The Receptionist (or designee) will assign Day Reporting Program cases to the appropriate Division for supervision of the Day Reporting Program conditions.

If a first (or next) appointment event with the assigned supervising probation officer (SPO) is not already scheduled in Quest, Support Staff shall provide an appointment time to the participant as provided by the SPO.

#### **A. PARTICIPANTS WITH OPEN CASES AT TIME OF DAY REPORTING PROGRAM ASSIGNMENT**

1. **With Adult Probation Division** - If a participant is on probation with the Adult Division for an open case, any new cases ordered to the Day Reporting Program will be assigned to the current supervising probation officer (SPO) within the Adult Division to monitor/supervise all probation conditions including the Day Reporting Program requirements.
2. **Open Case With Community Corrections Division** - If a participant is on Community Corrections supervision for an open case, any new post-sentence cases ordered to the Day Reporting Program will be assigned to the current supervising CASP Case Manager/PO (except for Problem Solving Court participants SEE BELOW) to monitor/supervise all community supervision conditions including the Day Reporting Program requirements.
  - a. **Open Case with Problem Solving Court Program** – Participants in a Problem Solving Court (PSC) component who are court-ordered to the Day Reporting Program (on current case and/or any new case) will be assigned to the current supervising PSC Case Manager/PO to monitor/supervise all community supervision conditions including the Day Reporting Program requirements.
  - b. **Open Case with Pretrial Program** – Defendants under the supervision of the Pretrial Program who are court-ordered to the Day Reporting Program (on current pretrial case and/or any new pretrial case) will be assigned to the current supervising Pretrial Case Manager/PO to monitor/supervise all community supervision conditions including the Day Reporting Program requirements. If pretrial defendant is ultimately sentenced to community supervision, the newly assigned PO/Case Manager will monitor/supervise all community supervision conditions, in all active cases, including the Day Reporting Program requirements.

**B. DAY REPORTING PROGRAM DATA ENTRY IN DEPARTMENTAL DATABASE (QUEST)**

- 1. Pretrial Program Cases** – For defendants assigned to the Pretrial Program Division, the assigned Pretrial Case Manager/PO is responsible for opening the Day Reporting (DR) Program requirement and entering all required DR Program data into the Quest database system.
- 2. Problem Solving Court Program Cases** – For PSC Program participants, the assigned Case Manager/PO is responsible for opening the DR Program requirement and entering all required DR Program data into the Quest database system.
- 3. Current Open Supervisions** – For post-sentence cases assigned to Adult Probation Division and/or the Community Corrections Program Division, the Community Corrections (CC) Receptionist is responsible for opening the DR Program requirement and entering all required DR Program data into the Quest database system.

**C. DAY REPORTING PROGRAM AGREEMENT AND ORIENTATION**

As soon as practical after the person has been ordered to the DR Program, the supervising probation officer (SPO) must conduct an orientation to the program with the participant at which time the SPO will review the DR Program conditions with the participant to ensure that he/she understands the program rules and expectations. The SPO is responsible for ensuring that DR Program participants read, understand, and sign the *Day Reporting Program Agreement*.

The SPO shall provide the participant with a copy of the signed agreement.

**D. DAY REPORTING PROGRAM FEES AND COURT EVENTS**

The SPO is responsible for all fee assessments and ensuring all court dates are entered into the Quest database system. Fees will be assessed court date to court date for those cases that do not have an established term date.

**E. DAY REPORTING PROGRAM VIOLATIONS AND FAILURE TO APPEAR (FTA)**

The SPO is responsible for responding to all DR Program violations and failures to appear. Violations will be handled per the departmental *Progressive Sanctions Policy*.

## **F. DISCHARGE FROM DAY REPORTING**

- 1. Terminating Day Reporting but Continuing on Community Supervision Procedure** - The SPO is responsible for ensuring all program fees are assessed. When the participant is discharged from the DR Program, the SPO shall close the DR Program requirement in Quest.
- 2. Terminating Day Reporting But No Further Community Supervision Procedure** - When a participant is removed from the DR Program and incarcerated for a Notice of Noncompliance (NNC), after 30 days if the participant is not returned to the DR Program, the CASP SPO will close the case (including in Quest).

For participants that complete the DR Program requirement, and have no other ongoing involvement (community supervision) on that case:

- a. Update fee assessment and notify the Court via filed memorandum of any fees owed in the case;
  - b. Update filed statutes to Closed (no supervision, court case pending);
  - c. Close the DR Program requirement;
  - d. Close any open events or deadlines in the DR case;
  - e. Complete a summary contact note for the DR case; and
  - f. Close case status history to reflect how participant completed the DR Program (i.e., closed or collections, and successful or unsuccessful).
- 3. Closing Pretrial Release Program Day Reporting** – The Pretrial PO/Case Manager is responsible for monitoring/supervision of pre-trial case until defendant is discharged from the DR Program or is sentenced to a term of community supervision on at least one pretrial case.

If defendant is discharged from the DR Program due to a conviction involving a sentence to community supervision, the Pretrial PO will provide copy of Sentencing Order to the Adult Probation Legal Secretary (or designee) to have the case updated in Quest. The Adult Legal Secretary will assign the new post-conviction case, and all other open cases, to the appropriate division for supervision.

When a pretrial defendant is removed from the DR Program and incarcerated for a Notice of Noncompliance (NNC), after 30 days if the participant is not returned to pretrial supervision, the Pretrial SPO will close the case (including in Quest). The Pretrial SPO will file a memorandum with the Court advising of any fees owed in that cause number and then close the case in Quest per the procedure listed above.

## ATTACHMENT 6.3

<b>CHAPTER 10 SHARED PROBATION &amp; COMMUNITY CORRECTIONS CASES</b>	<b>Citations/Authority:</b> IC 11-12-2-4(b)(8)(A)
<b>10.3 SHARED CASES FOR HOME DETENTION PROGRAM</b>	<b>Adoption Date:</b> August 26, 2015 <b>Revision Dates:</b> Approved by Presiding Judge 2018-3-27, CCAB 4-30-18; Approved by Presiding Judge February 5, 2019

### **PROCEDURES FOR HOME DETENTION CASE ASSIGNMENT**

The Home Detention Program is also known as the Community Alternative Supervision Program (CASP) Levels 2 through 5.

The Receptionist (or designee) will assign Home Detention (HD) Program cases to the appropriate CASP PO/Case Manager for supervision of HD Program requirements and will add the office appointment event to Quest.

#### **A. HOME DETENTION ONLY**

When a person is placed on the HD Program as a condition of a sentence (without probation to follow the HD Program), and the participant is not currently under community supervision (no current PO/Case Manager), the participant/case will be assigned to a CASP PO/Case Manager for the duration of the case.

Persons transferred-in from other jurisdictions to Monroe County CASP for the HD Program only (without probation to follow Home Detention) who are not currently under community supervision with the Department (no current PO/Case Manager) will be assigned to a CASP PO/Case Manager for the duration of the case.

#### **B. ADULT PROBATION AND HOME DETENTION (HD)**

CASP POs/Case Managers shall supervise all adults placed on the HD Program except as noted below for Pretrial Home Detention, Problem Solving Court Participants on Home Detention, Home Detention for Probation Modification due to Probation Violation, and Home Detention for Juveniles. SEE BELOW.

In all Adult HD Program cases, the Community Corrections Field Officers will conduct required field/home contacts and oversee/manage the Electronic Monitoring (EM) equipment.

While the adult participant is on the HD Program, the CASP PO will supervise/monitor all conditions of HD and probation for all active cases. The CASP PO is responsible for responding to HD program violations and probation violations pursuant to departmental policy and procedure, including filing a NNC and/or Petition to Revoke Suspended Sentence (PTR) with the Court.

If the HD participant has more than 18 months of probation supervision remaining after completion of the HD program requirements, the participant/case(s) will be transferred to an Adult Division PO for supervision upon completion of Home Detention.

**Exceptions:** There are times when offenders assigned to the HD Program may most appropriately be supervised during the Home Detention period by an Adult Supervising Probation Officer (SPO) versus a CASP PO. It is the responsibility of either the CASP PO or the Adult SPO to bring possible “exception cases” to the attention of their respective Probation Supervisor. The respective Probation Supervisors will discuss the case and make the determination of how to most appropriately coordinate the Home Detention supervision, monitoring and probation case management on a case by case basis.

**C. PRETRIAL HOME DETENTION**

When a defendant is placed on the HD Program as a condition of pretrial release, and he/she is not currently under community supervision with the Department (no current PO/Case Manager), the participant/case will be assigned to a Pretrial CASP PO/Case Manager to monitor/supervise all community supervision conditions including the HD Program requirements for the duration of the pretrial case or until the defendant is sentenced to a term of community supervision on at least one pretrial case.

If pretrial defendant is ultimately sentenced to the HD Program, the newly assigned PO/Case Manager will monitor/supervise all community supervision conditions, in all active cases, including the HD Program requirements.

**D. PROBLEM SOLVING COURT (PSC) PROGRAM PARTICIPANTS ON HOME DETENTION**

Participants in a PSC Program component who are court-ordered to the HD Program (on current case and/or any new case) will be assigned to the current supervising PSC Case Manager/PO to monitor/supervise all community supervision conditions including the HD Program requirements.

**E. HOME DETENTION FOR PROBATION MODIFICATION DUE TO PROBATION VIOLATION**

If the HD Program is court-ordered as a sanction for probation violation through Administrative Probation Modification (APM) and Petition to Modify (PTM), the Adult Probation Officer will retain jurisdiction over enforcing/monitoring the probation conditions. The CASP PO will be responsible for Home Detention Orientation, supervising Home Detention conditions, and approving weekly schedules only during the Home Detention time period.

If the participant violates HD Program conditions specifically, a combined PTR/NNC will be filed by CASP PO to include violations that were enumerated in the APM/PTM, in consultation with the Adult PO. If the participant further violates probation conditions, but not HD Program conditions specifically, the Adult PO shall file a PTR to include violations that were enumerated in the APM/PTM.

**F. HOME DETENTION FOR JUVENILES**

The Court may order a juvenile to the HD Program as an alternative to detention, as a condition of probation, as a sanction for violating terms of community supervision, or as a disposition of a case.

In such cases, the Juvenile Supervising Probation Officer (SPO) will retain jurisdiction over enforcing/monitoring the probation/community supervision conditions. The Juvenile SPO will be responsible for Home Detention Orientation, supervising Home Detention conditions, and approving weekly schedules during the Home Detention time period.

In all Home Detention cases, the Community Corrections Field Officers will conduct all required field/home contacts and oversee/manage the Electronic Monitoring (EM) equipment.

If the participant violates HD Program conditions, a Petition to Modify will be filed by the Juvenile SPO.

**G. HOME DETENTION PROGRAM DATA ENTRY IN DEPARTMENTAL DATABASE (QUEST)**

1. **Pretrial Program Cases** – For defendants assigned to the Pretrial Program Division, the assigned Pretrial Case Manager/PO is responsible for opening the HD Program requirement and entering all required HD Program data into the Quest database system.
2. **Problem Solving Court Program Cases** – For PSC Program participants, the assigned Case Manager/PO is responsible for opening the HD Program requirement and entering all required HD Program data into the Quest database system.

3. **Current Open Supervisions** – For post-sentence cases assigned to Adult Probation Division and/or the Community Corrections Program Division, the Community Corrections (CC) Receptionist is responsible for opening the HD Program requirement and entering all required HD Program data into the Quest database system.
4. **Juvenile Cases** – For Juvenile participants, the assigned Juvenile SPO is responsible for opening the HD Program requirement and entering all required HD Program data into the Quest database system.

#### **H. HOME DETENTION PROGRAM AGREEMENT AND ORIENTATION**

As soon as practical after the person has been ordered to the HD Program, the supervising CASP PO must conduct an orientation to the program with the participant at which time the CASP SPO will review the HD Program conditions with the participant to ensure that he/she understands the program rules and expectations.

The CASP SPO is responsible for ensuring that all participants placed on the HD Program read, understand, and sign the *Home Detention Program Agreement*.

The CASP SPO shall provide the participant with a copy of the signed agreement.

**Exception:** For PSC Program participants, the PSC Supervising Probation Officer (SPO) is responsible for ensuring that all participants placed on the HD Program read, understand, and sign the *Home Detention Program Agreement*.

#### **I. HOME DETENTION PROGRAM FEES AND COURT EVENTS**

The CASP Supervising Probation Officers (both post-sentence and pretrial CASP POs) who are monitoring/supervising the HD Program component are responsible for all fee assessments and ensuring that fee assessments are kept up to date. The CASP Supervising Probation Officer (SPO) is also responsible for ensuring all court dates are entered into the Quest database system.

**Exception:** For PSC Program participants and Juvenile participants, the respective PSC Supervising Probation Officer (SPO) or Juvenile SPO is responsible for all fee assessments, ensuring that fee assessments are kept up to date, and ensuring that all court dates are entered into the Quest database system.

HD Program fees will be assessed court date to court date for those cases that do not have a determined HD Program end date.

#### **J. HOME DETENTION PROGRAM VIOLATIONS AND FAILURE TO APPEAR (FTA)**

The CASP Supervising Probation Officers (both post-sentence and pretrial CASP POs) are responsible for responding to all HD Program violations and failures to appear. Violations will receive a response pursuant to departmental policy and procedure, including filing a Notice of Noncompliance (NNC) with the Court and requesting that a warrant be issued when deemed appropriate per departmental policy.

**Exception:** For PSC Program participants and Juvenile participants, the respective PSC Supervising Probation Officer (SPO) or Juvenile SPO is responsible for responding to all HD Program violations and failures to appear. PSC participant violations will be handled per the PSC Program policies/procedures. Major Juvenile participant violations (such as the commission of a felony offense, cut and run, etc.) will be dealt with via Juvenile on-call officer; minor Juvenile participant violations will be dealt with the next business day by the Juvenile SPO.

## **K. DISCHARGE FROM HOME DETENTION**

- 1. Terminating Home Detention but Continuing on Community Supervision Procedure** - The CASP SPO is responsible for ensuring all program fees are assessed. When the participant is discharged from the HD Program, the CASP SPO shall close the HD Reporting requirement in Quest.

**Exception:** For PSC Program participants and Juvenile participants, the respective PSC Supervising Probation Officer (SPO) or Juvenile SPO is responsible for closing out the HD Reporting requirement in Quest.

- 2. Terminating Home Detention But No Further Community Supervision Procedure** - When a participant is removed from the HD Program and incarcerated for a Notice of Noncompliance (NNC), after 30 days if the participant is not returned to HD, the CASP SPO will close the case (including in Quest).

For cases that complete the HD Program requirement, and have no other ongoing involvement (community supervision) on that case:

- Update fee assessment and notify the Court via filed memorandum of any fees owed in the case;
  - Update filed statutes to Closed (no supervision, court case pending);
  - Close the HD requirement;
  - Close any open events or deadlines in the HD case;
  - Complete a summary contact note for the HD case; and
  - Close case status history to reflect how participant completed the HD Program (i.e., closed or collections, and successful or unsuccessful).
- 3. Closing Pretrial Release Program Home Detention**– The Pretrial CASP PO/Case Manager is responsible for monitoring/supervision of pre-trial case until defendant is discharged from the HD Program or is sentenced to a term of community supervision on at least one pretrial case.

If defendant is discharged from the HD Program due to a conviction involving a sentence to community supervision, the Pretrial PO will provide copy of Sentencing Order to the Adult Probation Legal Secretary (or designee) to have the case updated in Quest. The Adult Legal Secretary will assign the new post-conviction case, and all other open cases, to the appropriate division for supervision.

When a pretrial defendant is removed from HD and incarcerated for a Notice of Noncompliance (NNC), after 30 days if the participant is not returned to pretrial supervision, the Pretrial CASP SPO will close the case (including in Quest). The Pretrial CASP SPO will file a memorandum with the Court advising of any fees owed in that cause number and then close the case in Quest per the procedure listed above.



## ATTACHMENT 6.4

<b>CHAPTER 10 SHARED PROBATION &amp; COMMUNITY CORRECTIONS CASES</b>	<b>Citations/Authority:</b> IC 11-12-2-4(b)(8)(A)
<b>10.4 CASP LEVEL 7 (MOBILE ELECTRONIC ALCOHOL MONITORING PROGRAM) SHARED CASES</b>	<b>Adoption Date:</b> August 26, 2015 <b>Revision Dates:</b> January 20, 2017; Revised 2018-1-17; Approved by Presiding Judge 2018-3-27, CCAB 4-30-18; Approved by Presiding Judge February 5, 2019

### **PROCEDURES FOR MOBILE ELECTRONIC ALCOHOL MONITORING / CASP LEVEL 7**

The Mobile Electronic Alcohol Monitoring Program is also known as Community Alternative Supervision Program (CASP) Level 7.

The Receptionist (or designee) will assign CASP Level 7 cases to the appropriate Division for supervision of the CASP Level 7 conditions.

#### **A. PARTICIPANTS WITH OPEN CASES AT TIME OF CASP LEVEL 7 ASSIGNMENT**

- 1. Open Case with Adult Probation Division** - If a participant is on probation with the Adult Division for an open case, any new cases ordered to CASP Level 7 will be assigned to the current supervising probation officer (SPO) within the Adult Division to monitor/supervise all probation conditions including CASP Level 7 requirements.
- 2. Open Case with Community Corrections Division** - If a participant is on Community Corrections supervision for an open case, any new post-sentence cases ordered to CASP Level 7 will be assigned to the current supervising CASP Case Manager/PO (except for PSC Program participants SEE BELOW) to monitor/supervise all community supervision conditions including CASP Level 7 requirements.
- 3. Open Case with Problem Solving Court Program** – Participants in a PSC Program component who are court-ordered to CASP Level 7 (on current case and/or any new case) will be assigned to the current supervising PSC Case Manager/PO to monitor/supervise all community supervision conditions including CASP Level 7 requirements.
- 4. Open Case with Pretrial Program** – Defendants under monitoring of the Pretrial Program who are court-ordered to CASP Level 7 (on current pretrial case and/or any new pretrial case) will be assigned to the current supervising Pretrial Case Manager/PO to monitor/supervise all community supervision conditions including CASP Level 7 requirements. If pretrial defendant is ultimately sentenced to community supervision, the newly assigned PO/Case Manager will monitor/supervise all community supervision conditions, in all active cases, including CASP Level 7 requirements.

#### **B. CASP LEVEL 7 DATA ENTRY IN DEPARTMENTAL DATABASE (QUEST)**

- 1. Pretrial Program Cases** – For defendants assigned to the Pretrial Program Division, the assigned Pretrial Case Manager/PO is responsible for opening the CASP Level 7 requirement and entering all required data into the Quest database system.

2. **Problem Solving Court Program Cases** – For PSC Program participants, the assigned Case Manager/PO is responsible for opening the CASP Level 7 requirement and entering all required data into the Quest database system.
3. **Current Open Supervisions** – For post-sentence cases assigned to Adult Probation Division and/or the Community Corrections Program Division, the Community Corrections (CC) Receptionist is responsible for opening the CASP Level 7 requirement and entering all required data into the Quest database system.

**C. CASP LEVEL 7 PROGRAM AGREEMENT AND ORIENTATION**

As soon as practical after the person has been ordered to CASP Level 7, the assigned/supervising PO will contact Community Corrections field staff to inform them of the order and the need to assign and demonstrate the equipment to the individual. The assigned/supervising PO must conduct an orientation with the participant at which time the assigned/supervising PO will review the CASP Level 7 conditions with the participant to ensure that he/she understands the program rules and expectations. The assigned/supervising PO is responsible for ensuring that CASP Level 7 participants read, understand, and sign the *CASP Level 7 Agreement*.

The assigned/supervising PO shall provide the participant with a copy of the signed agreement.

**D. CASP LEVEL 7 FEES AND COURT EVENTS**

The assigned/supervising PO is responsible for all fee assessments and ensuring all court dates are entered into the Quest database system. Fees will be assessed court date to court date for those cases that do not have an established term date.

**E. CASP LEVEL 7 PROGRAM VIOLATIONS**

The Community Corrections Field Officer is responsible for responding to all CASP Level 7 violations. Upon receiving notice of a positive alcohol test by the vendor, the Field Officer:

1. **During Business Hours** - The Field Officer shall immediately contact the SPO (or on-duty PO) to advise of the violation. The SPO (or on-duty PO) shall immediately file a PTR/NNC requesting a warrant be issued for the participant's arrest.
2. **After Business Hours** - The Field Officer shall immediately contact a Probation Supervisor (via phone) to advise the supervisor of the violation. The Probation Supervisor shall immediately conduct a telephonic probable cause hearing, requesting a warrant be issued for the participant's arrest. If the participant is a juvenile, the Field Officer shall contact the on-call juvenile PO to determine the course of action.

**F. DISCHARGE FROM CASP LEVEL 7**

1. **Terminating CASP Level 7 but Continuing on Community Supervision Procedure** - The SPO is responsible for ensuring all program fees are assessed. When the participant is discharged from CASP Level 7, the SPO shall close the CASP Level 7 requirement in Quest.

2. **Terminating CASP Level 7 But No Further Community Supervision Procedure** - When a participant is removed from CASP Level 7 and incarcerated for a Notice of Noncompliance (NNC), after 30 days if the participant is not returned to CASP Level 7, the SPO will close the case (including in Quest).

For participants that complete the CASP Level 7 requirement, and have no other ongoing involvement (community supervision) on that case:

- a. Update fee assessment and notify the Court via filed memorandum of any fees owed in the case;
  - b. Update filed statutes to Closed (no supervision, court case pending);
  - c. Close the CASP Level 7 requirement;
  - d. Close any open events or deadlines in the CASP Level 7 case;
  - e. Complete a summary contact note for the CASP Level 7 case; and
  - f. Close case status history to reflect how participant completed CASP Level 7 (i.e., closed or collections, and successful or unsuccessful).
3. **Closing Pretrial Release Program CASP Level 7** – The Pretrial PO/Case Manager is responsible for monitoring of pre-trial case until defendant is discharged from CASP Level 7 or is sentenced to a term of community supervision on at least one pretrial case.

If defendant is discharged from CASP Level 7 due to a conviction involving a sentence to community supervision, the Pretrial PO will provide copy of Sentencing Order to the Adult Probation Legal Secretary (or designee) to have the case updated in Quest. The Adult Legal Secretary will assign the new post-conviction case, and all other open cases, to the appropriate division for supervision.

When a pretrial defendant is removed from CASP Level 7 and incarcerated for a Notice of Noncompliance (NNC), after 30 days if the participant is not returned to pretrial supervision, the Pretrial SPO will close the case (including in Quest). The Pretrial SPO will file a memorandum with the Court advising of any fees owed in that cause number and then close the case in Quest per the procedure listed above.

## ATTACHMENT 6.5

<b>CHAPTER 10 SHARED PROBATION &amp; COMMUNITY CORRECTIONS CASES</b>	<b>Citations/Authority:</b> IC 11-12-2-4(b)(8)(A)
<b>10.5 CASP LEVEL 11 (PRETRIAL CASE MANAGEMENT PROGRAM) SHARED CASES</b>	<b>Adoption Date:</b> August 26, 2015 <b>Revision Dates:</b> Approved by Presiding Judge 2018-3-27, CCAB 4-30-18; Approved by Presiding Judge February 5, 2019

### **PROCEDURES FOR PRETRIAL MONITORING CASES (CASP LEVEL 11)**

The Case Management Program component of the Pretrial Program is also known as Community Alternative Supervision Program (CASP) Level 11.

The Case Management Program component is operated by the Pretrial Division of the Probation Department.

#### **A. PARTICIPANTS WITH OPEN CASES AT TIME OF CASP LEVEL 11 ASSIGNMENT**

- 1. Open Case with Adult Probation Division** - If a participant is on probation with the Adult Division for an open case, any new pretrial/pending cases will be assigned to the current supervising probation officer (SPO) within the Adult Division to monitor/supervise.
- 2. Open Case with Community Corrections Division** - If a participant is on Community Corrections supervision for an open case, any new pretrial/pending cases will be assigned to the current supervising CASP Case Manager/PO (except for Problem Solving Court participants SEE BELOW) to monitor/supervise.
- 3. Open Case with Problem Solving Court Program** – If a participant in a Problem Solving Court (PSC) Program for an open case, any new pretrial/pending cases will be assigned to the current supervising probation officer (SPO) within the PSC Program to monitor/supervise.
- 4. Open Case with Pretrial Program** – Defendants court-ordered to active in-person monitoring - not Telephonic Notification (TN) *only* - with the Pretrial Program will be assigned to the current supervising Pretrial Case Manager/PO to monitor/supervise all community release conditions. If pretrial defendant is ultimately sentenced to community supervision (probation or community corrections), the newly assigned PO/Case Manager will monitor/supervise all community supervision conditions, in all active cases including active pretrial pending cases.

#### **B. PRETRIAL MONITORING DATA ENTRY IN DEPARTMENTAL DATABASE (QUEST)**

- 1. Pretrial Program Cases** – For defendants assigned to the Pretrial Program Division, the assigned Pretrial Case Manager/PO is responsible for opening the case and entering all required data into the Quest database system.
- 2. Current Open Supervisions** – For defendants currently assigned to Adult Probation Division and/or the Community Corrections Program Division, and PSC, Support Staff is responsible for opening the newly charged cases and entering all required data into the Quest database system.

**C. PRETRIAL MONITORING FEES AND COURT EVENTS**

The assigned/supervising PO is responsible for all fee assessments (if applicable) and ensuring all court dates are entered into the Quest database system.

**D. PRETRIAL MONITORING PROGRAM VIOLATIONS**

The assigned/supervising PO is responsible for filing violations under all open cases should violations occur.

**E. TERMINATING POST-SENTENCE SUPERVISION BUT CONTINUING ON PRETRIAL**

If a person is terminated/released from post-sentence supervision but has a pending pretrial case at the time of termination/release, the SPO is responsible for closing out the post-sentence case in its entirety in Quest. The SPO will then assign the pending pretrial case to the TN caseload of the Pretrial Division.

**ATTACHMENT 7  
MONROE CIRCUIT COURT PROBATION DEPARTMENT**

<b>Circuit I</b> Judge Bradley Civil	<b>Circuit II</b> Judge Haughton Criminal	<b>Circuit III</b> Judge Talley Haseman Criminal	<b>Circuit IV</b> Judge Stafford Civil	<b>Circuit V</b> Judge Diekhoff Criminal	<b>Circuit VI</b> Judge Harvey Civil	<b>Circuit VII</b> Judge Galvin Juvenile	<b>Circuit VIII</b> Judge Krothe Civil	<b>Circuit IX</b> Judge Fawcett Criminal	<b>Title IV-D</b> Commissioner Bret Raper
--	---	--	--	--	--	--	--	--	---

<b>Community Corrections Advisory Board</b>	<b>Chief Probation Officer Linda Brady</b>								
---	--	--	--	--	--	--	--	--	--

<b>Deputy Chief Probation Officer / Community Corrections Executive Director Becca Streit</b>			<b>Deputy Chief Probation Officer Troy Hatfield</b>				<b>Office Administrator Melissa Wallace</b>		
---	--	--	---	--	--	--	---	--	--

<b>Community Alternative Supervision Program Director Christian Carlisle</b>	<b>Problem Solving Court Director Steve Malone</b>	<b>Pretrial Services Program Director Chelsea Walters</b>	<b>Juvenile Probation Director Jeff Hartman</b>	<b>Court Alcohol &amp; Drug Program Director Susan Allen</b>	<b>Adult Probation Director Valerie Collins</b>	<b>Office Manager Curry Natalie Crider</b>	<b>Office Manager Community Corr. Keri Walden</b>
--	--	---	---	--	---	--	---

<b>Community Alternative Supervision Program (CASP)</b> <i>Home Detention, Electronic Monitoring (EM), Day Reporting (Adult)</i>  <b>Post-sentence Supervision</b>  <b>Probation Officers</b> Amy Matney Morgan Michalski Dorothy Perrotte Katy Garriott	<b>Problem Solving Court (PSC) Program</b>  <i>Drug Court Reentry Court Mental Health Court Veterans Court</i>  <b>Probation Officers</b>  <b>PSC Assignments</b> Brier Frasier DC Rhonda Welp DC Kara Mahuron DC Ted Berry RECP Alexis Stogdill MH Richard Greco VTC	<b>CASP Pretrial Services Program</b>  <b>Pretrial Probation Officers</b>  <b>Assessment</b> Leah Snow Megan Davin  <b>Monitoring</b> Megan Mahaffey Julie Robertson Rachael Scott	<b>Supervision</b>  <b>Formal &amp; Informal Supervision</b>  Mandy Capps Sky Kilpatrick Genia Delos Santos Nick Ackerman  <b>Pre-Adjudication &amp; Pre-Disposition Supervision</b>  Mary Ellis	<b>Adult Intake Unit</b>  <i>Risk Assessment, Substance Abuse Assessment, Presentence Investigations</i>  Brent Townsend Marsha Anderson Dianna Johnson Olivia Zajac Heath Adkins Christy Scheid (PT)	<b>Court II &amp; IX High/Moderate</b> Erin Werner Takarta Flagg Jill Barnett - CS Marcos Navarro <b>Low/Admin</b> Eric Chambers Nikki Faletic	<b>Legal Secretaries</b> Cailin (Adams) Parsch Justin Foote Kyle Marcum Morgan Richardson	<b>Legal Secretary</b> Cortni Medley
---	---	---	---	--	---	---	---

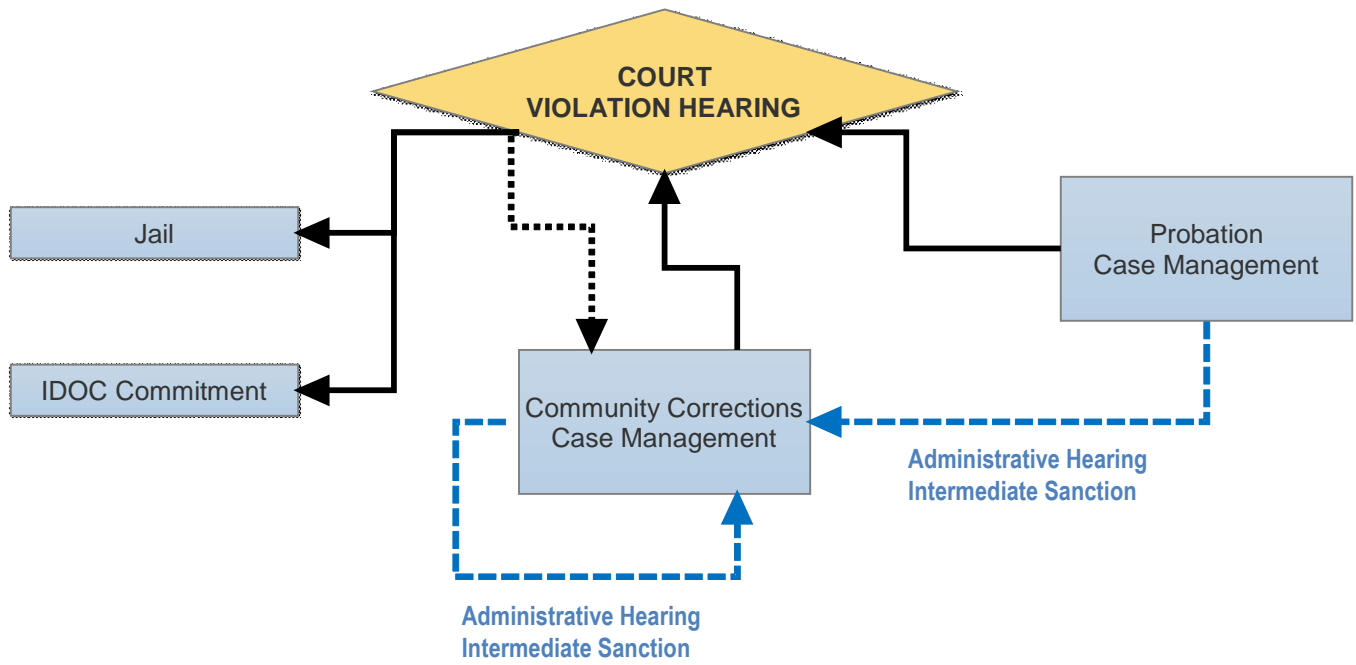
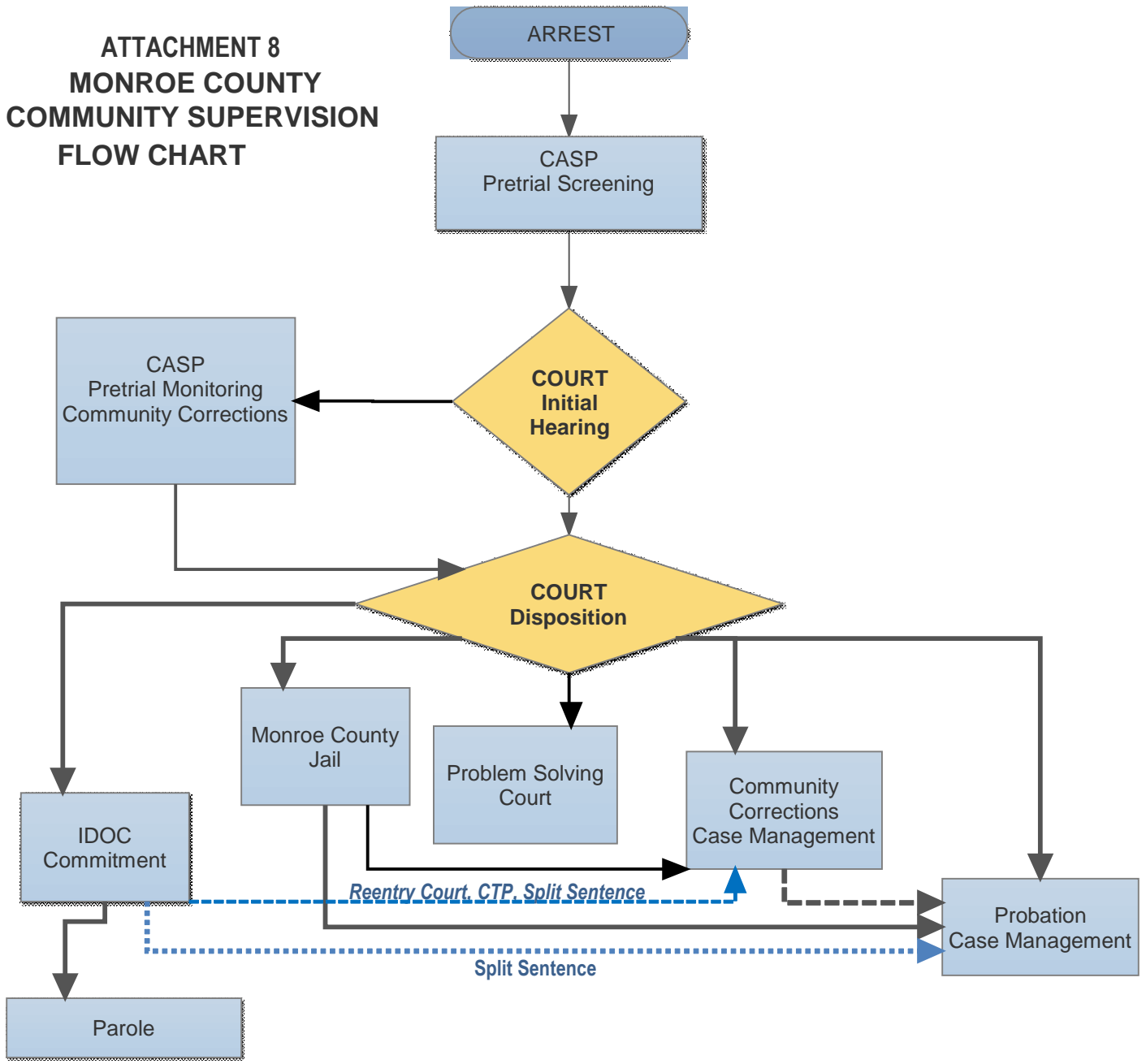
<b>CASP Field Officers</b> Chad Christensen Dezmond Blevins Riley Allen Danny Thomas vacant Jeremy Rogers	<b>PSC Field Officers</b> Dillion Flynn Tyler Parrish	<b>Pretrial Probation Officer Assistant</b> Shared with Day Reporting	<b>Juvenile Intake</b>  <i>Intake, Preliminary Inquiries, Civil Court Investigations</i>  Debra Wray Brittany Grenier	<b>Administrative</b> High Volume Marty Wood	<b>Court III &amp; V High/Moderate</b> Jaime Zoss Jessica McCammon LaRae Powers Daniel Alcantar <b>Low/Admin</b> Jim Adcock Leah Baker - CS	<b>KEY</b> CS = Child Support CASP = Community Alternative Supervision Program CQI = Continuous Quality Improvement ESU = Enhanced Supervision Unit EM = Electronic Monitoring JDAI = Juvenile Detention Alternatives Initiative PSC = Problem Solving Court DC Drug Court, MH Mental Health Court, RECP Reentry Court, VTC Veterans Treatment Court)	<b>Day Reporting Program</b>  <b>Drug Testing Program</b>  <b>Probation Officer Assistants (POAs)</b>  Matthew Douglass Kimbra Graber  Hope Karas Logan Karofsky Michelle Murfin Callee Richardson Makayla York
<b>Community Service Program</b> <i>Public Restitution Program</i> CASP Field Officers share duty (Chad Christensen) (vacant)	<b>Road Crew Program</b>  Ended day-to-day operations 9/1/2018. Special events only.	<b>Juvenile Intake Alternatives Initiatives (JDAI)</b>  Christine McAfee JDAI Coordinator	<b>Probation Officer Assistants</b> Shared with Day Reporting	<b>Enhanced Supervision Unit (ESU)</b> <i>Sex Offenders (SO), Domestic Violence (DV), Other Violent (OV), Serious Mental Health Issues (SMHI)</i>  <b>Primary ESU Assignment</b> Julie Banas DV/OV Jeremy Ducharme OV/SMHI Mallory Maus SO Andy Chandler SMHI			

<b>Management Team</b>
<b>Community Corrections</b>
<b>Adult Probation</b>
<b>Juvenile Probation</b>
<b>Support Staff</b>
<b>Part Time POAs</b>

<b>Full time = 70</b> 54 FT POs (9 Supervisory/45 Line) 16 FT non-PO
<b>Part-time = 8</b> (incl. 1 PT PO) <b>TOTAL = 78</b>

**As of 6/7/21**

**ATTACHMENT 8  
MONROE COUNTY  
COMMUNITY SUPERVISION  
FLOW CHART**



**ATTACHMENT 9: Referral Criteria for Evidence Based Practice (EBP) Programs**

**MONROE CIRCUIT COURT PROBATION DEPARTMENT**

**Referral Criteria for Evidence Based Practice (EBP) Programs**

January 23, 2018; Revised March 4, 2019; Revised June 23, 2020; Revised June 9, 2021

Agency	Program	IRAS Domains: Education/Employment/Financial Family and Social Support Neighborhood Substance Abuse Peer Associations Attitude and Behavioral Patterns	Gender Specific	Culturally Specific
<b>Probation Department (including Community Corrections Program)</b>	PRIME for Life	Substance		
	Change Companies Journals	All		
	EPICS	All		
	Carey BITS	All		
	Carey Guides	All		
<b>Centerstone</b>	Brief Intensive Group	Substance		
	Intensive Outpatient (IOP)	Substance Attitudes Social Support		
	Relapse Prevention	Substance		
	Medication Assisted Treatment (MAT) Suboxone, Vivitrol	Substance		
	Seeking Safety	Substance Social Support Attitudes	X	
	Recovery Engagement Center (REC) /Recovery Coaches	Substance Attitudes Employment Social Support Housing	X	
	Halfway House/Sober Living Environment – Transitional Recovery Center (TRC)	Substance	X	
	Change Group	Attitudes		
	Moral Reconciliation Therapy (MRT)	Attitudes		
	Residential- Centerstone Recovery Center (CRC)	Substance	X	
	Courage to Change	Substance Attitudes		
	Kinser Flats	Housing Substance		



Agency	Program	IRAS Domains: Education/Employment/Financial Family and Social Support Neighborhood Substance Abuse Peer Associations Attitude and Behavioral Patterns	Gender Specific	Culturally Specific
<b>Centerstone (continued)</b>	POPS	Employment Family & Social Support Neighborhood/Housing	X	
	New Beginnings (Jail and Reentry)	Substance Attitudes Social Support	X	
	Psych Services	Attitude		
<b>Indiana Center for Recovery</b>	Inpatient	Substance		
	Residential	Substance Neighborhood/Housing Employment		
	Detox	Substance		
	Intensive Outpatient	Substance		
<b>Progress House (Indianapolis)</b>	Substance free living environment	Peer Housing Social Support		
<b>Indiana University Health</b>	Detox – through ER	Substance		
	Intensive Outpatient	Substance		
	Psych Services	Attitude		
	Medication Assisted Treatment (MAT) Suboxone, Vivitrol	Substance		
<b>Amethyst</b>	Outpatient Counseling	Substance		
	Treatment/IOP	Substance		
	Gambling	Attitudes Peers		
	Halfway House	Substance Housing Social Support	X	
<b>Restorative Recovery Solutions (Joni Reagan)</b>	Relapse Prevention	Substance		
	Anger Management	Attitudes		

<b>Agency</b>	<b>Program</b>	<b>IRAS Domains:</b> Education/Employment/Financial Family and Social Support Neighborhood Substance Abuse Peer Associations Attitude and Behavioral Patterns	<b>Gender Specific</b>	<b>Culturally Specific</b>
<b>Elizabeth York</b>	Outpatient Counseling	Substance Mental Health		
	Relapse Prevention	Substance		
<b>Meng Ai</b>	Intensive Outpatient	Substance		
<b>Indianapolis Counseling</b>	Batterer's Intervention Program	Attitudes		
	Sex Offender Treatment	Attitudes		
<b>Wheeler Mission</b>	Men's Shelter – substance free environment	Housing/Neighborhood	X	X
	Substance Programs	Substance		
<b>Veteran's Administration</b>	Intensive Outpatient	Substance Attitudes Support		
<b>WorkOne</b>	Employment Coaches	Employment		
<b>Monroe County Community School Corporation</b>	2TASC/Indiana HSE (High School Equivalency)	Education		
	ESL	Education		
<b>Ivy Tech</b>	Secondary Education	Education/Employment		
<b>Meadows</b>	Detox	Substance		
	Intensive Outpatient	Substance		
	Relapse Prevention	Substance		
	Psych Services	Attitudes		

Agency	Program	IRAS Domains: Education/Employment/Financial Family and Social Support Neighborhood Substance Abuse Peer Associations Attitude and Behavioral Patterns	Gender Specific	Culturally Specific
<b>Groups Recover Together</b>	Medication Assisted Treatment (MAT) Suboxone	Substance Attitudes		
<b>Med Mark</b>	Medicated Assisted Treatment (MAT) Methadone	Substance		
<b>Monroe County Jail</b>	Medicated Assisted Treatment (MAT) Vivitrol	Substance		
<b>Transitions</b>	Medicated Assisted Treatment (MAT) Vivitrol/Suboxone	Substance		
<b>Clean Slate</b>	Medicated Assisted Treatment (MAT) Vivitrol/Suboxone	Substance		
<b>Valle Vista</b>	Inpatient	Substance		
	Detox	Substance		
<b>Tara</b>	Residential	Substance Housing		
<b>Monroe Medical Group</b>	Medicated Assisted Treatment (MAT) Vivitrol	Substance		
<b>Indiana Family &amp; Social Services Administration (FSSA)</b>	Food Stamps	Financial		
	Housing	Neighborhood		
	TANF & RCA	Financial		
	Health Insurance (Medicaid, HIP 2.0)	Financial		

Agency	Program	IRAS Domains: Education/Employment/Financial	Gender Specific	Culturally Specific
--------	---------	---	-----------------	---------------------

		Family and Social Support Neighborhood Substance Abuse Peer Associations Attitude and Behavioral Patterns		
<b>Community Justice &amp; Mediation (CJAM)</b>	Yes Program	Attitudes		
	Victim & Offender Restoration Program (VORP)	Attitudes		
<b>New Leaf/New Life</b>	Re-entry	Support		
	Courage to Change – substance free living environment	Peer Housing Social Support	X	
<b>Recovery Matters (East Chicago)</b>	Inpatient-Sub. Abuse	Substance		
<b>Life Springs-Turning Point (Jeffersonville)</b>	Inpatient Sub. Abuse	Substance		
<b>Health Net</b>	Medical	Substance		
<b>Indiana University Students Health (CAPS)</b>	Assessment/Groups	Substance		
<b>Substance Use Intervention Services (IU Campus)</b>	Assessment/Groups	Substance		
<b>Shalom Center</b>	Housing	Neighborhood/Housing Social Support		
<b>Character Restoration</b>	Batterer's Intervention Program Housing	Attitudes		
	Cognitive Behavioral Counseling	Attitudes		

# REFERRAL CRITERIA

**1. Alcohol and Marijuana Information School (AES) / Monroe County Probation Department**

Referral Criteria: provided exclusively to participants of the Prosecutor's Pretrial Diversion Program.

**2. Substance Abuse Education Program ( min. 10 hours) / Prime for Life - Probation Department (12 hours)**

Referral Criteria: evidence indicates potential problem user or minimal signs of alcohol abuse (episodic abuser); BAC .15% and below (exceptions can be discussed with A & D Program Director); risk assessment score low risk in substance use domain; not more than two substance related offenses; first impaired driving conviction; minimal aggravating circumstances and life factors primarily pro-social; Court A & D transfer needing education only; prior substance abuse information (AES only) acceptable but no prior treatment.

\*Fall Creek Counseling provides Spanish language Prime for Life

**3. Advanced Education/ Substance Abuse Intervention - Pre-treatment**

Referral Criteria: evidence indicates substance abuser, rule out dependence/addiction; any level BAC is acceptable; risk assessment score low to moderate in substance use domain on IRAS; any number of prior substance offenses acceptable.; prior substance abuse education acceptable but no prior treatment.

Providers:

Centerstone - Basic Intensive Group

**4. Intensive Outpatient Program (IOP)/12-Step Facilitation Group - Treatment (includes main phase & aftercare)**

Referral Criteria: evidence indicates Substance Use Disorder, Moderate or Severe; if client has co-occurring disorder/diagnosis then refer to Centerstone or VA if applicable; any level BAC is acceptable; risk assessment score low, moderate or high in the substance use domain on IRAS; any number of prior offenses is acceptable; any past substance abuse education and/or treatment acceptable.

Providers:

Centerstone

Amethyst House

Meng Ai

Veterans Administration – Outpatient Clinic

Bloomington Meadows

IU Health

## 5. **Relapse Prevention**

Referral Criteria: evidence indicates Substance Use Disorder, moderate or severe; if client has co-occurring disorder/diagnosis then refer to Centerstone or VA if applicable; any level BAC is acceptable; recently completed treatment and able to maintain period of sobriety; no use since arrest; risk assessment score low, moderate or high on the substance user domain of IRAS; any number of prior offenses is acceptable; any past substance abuse education and/or treatment acceptable; has an identifiable recovery plan.

### Providers:

Centerstone – Aftercare, Recovery Coaching  
Elizabeth York  
Restorative Recovery Solutions  
Bloomington Meadows  
Amethyst Counseling  
IU Health  
Veterans Administration – Outpatient Clinic

## 6. **Detoxification**

Referral criteria: evidence indicates Substance Dependent; in need of detoxification/stabilization; past or present withdrawal symptoms; typically client has difficulties remaining substance free in an outpatient setting and has had past failed attempts at intensive outpatient treatment; any level BAC is acceptable; risk assessment scores high in the substance use domain of IRAS; any number of prior offenses is acceptable; any past substance abuse education and/or treatment acceptable.

### Providers:

Bloomington Hospital. Referrals made through the emergency room only.  
Behavioral Healthcare Center (Meadows). Referrals made directly to Meadows.  
Valle Vista  
Indiana Center for Recovery

## 7. **Inpatient—Treatment**

Referral criteria: evidence indicates Substance Dependent; in need of stabilization; typically client has difficulties remaining substance free in an outpatient setting and has had past failed attempts at intensive outpatient treatment; any level BAC is acceptable; risk assessment scores high in the substance use domain of IRAS; any number of prior offenses is acceptable; any past substance abuse education and/or treatment acceptable.

### Providers:

Life Springs (Turning Point) in Jeffersonville, IN  
Regional Mental Health (Recovery Matters) in East Chicago, IN  
Fairbanks (Indianapolis, IN-Northeast) - Insurance accepted  
St. Vincent Hospital (Indianapolis, IN-Northwest) - Insurance accepted  
Valle Vista (Greenwood, IN) - Insurance accepted  
Veterans Administration  
Centerstone Recovery Center (CRC) – females and males  
Indiana Center for Recovery  
Transitions (Bedford)

**8. Residential/Halfway House – Substance Free Living Environment with Outpatient Counseling**

Referral Criteria: evidence indicates Substance Dependent; difficulties remaining substance free in outpatient setting; likely to benefit from extended period of time in sober living environment; any level BAC acceptable; risk assessment score of moderate or high in the substance use domain on IRAS; any number of prior offenses acceptable; prior education/treatment acceptable.

Providers:

Amethyst House (Bloomington, IN) - Intensive Outpatient Counseling, 12-Step Support Meetings. Client is responsible for rent to cover room/board/services. Client may be actively involved in an Intensive Outpatient Program with another treatment provider.

Tara (Franklin, IN) - Residential with Intensive Outpatient Counseling. Insurance accepted. Sliding fee scale.

Indiana Center for Recovery (Bloomington, IN) – Partial Hospitalization, Intensive Outpatient Counseling. Insurance is accepted.

Lighthouse (Washington, IN)

**9. Recovery Residence–Substance Free Living Environment-Counseling / Treatment not offered**

Referral Criteria: evidence indicated Substance Dependent; difficulties remaining substance free in outpatient setting; risk assessment score of moderate or high in the substance use domain of IRAS; has already completed or is currently in substance abuse treatment; any number of prior offenses acceptable; prior education/treatment acceptable.

Providers:

Beacon House (Indianapolis) - 12-Step recovery meetings, random breath/urine screens

Dove Recovery House (Indianapolis) - Females only, 12-Step recovery meetings

Hope House (Ft. Wayne) - Females only, 12-Step recovery meetings

Pathways to Recovery (Indianapolis) - Females only, 12-Step recovery meetings

Safe Haven (Indianapolis) 12-Step-recovery meetings, 13 male beds/4 female beds, \$360/month rent or \$100 per week, no psychiatric conditions.

Progress House (Indianapolis) – Men only, 12-step recovery meetings.

Wheeler Mission (Bloomington) – Men’s and Women’s shelters with substance abuse program.

Oxford House (Bloomington)

Courage to Change (Bloomington)

**10. Outpatient Providers (Individual Counseling) in Monroe County**

Center for Human Growth

Center for Psychological Services

Family Services Association

Catholic Social Services

Private Therapists

Centerstone

Elizabeth York

Stewart Ball

Veterans Administration – Outpatient Clinic

Joni Reagan

Meng Ai

## **11. Support Groups**

Referral Criteria: chemical dependence/addiction or desire to remain substance free; completed treatment several times in past; able to maintain extended periods of sobriety; has identifiable recovery plan and sponsor; sometimes a component of an outpatient treatment program.

### Support Groups:

Alcoholics Anonymous  
Narcotics Anonymous  
Marijuana Anonymous  
SMART Recovery  
Celebrate Recovery  
Alanon, Alateen, ACOA  
Heroin Anonymous (HA)  
Recovery Engagement Center

## **12. Other Specialized Services**

Probation officers/case managers review IRAS domain scores and build a case plan to address higher needs indicated by the IRAS and any supplemental assessment tools. Referrals to services are made based on the client's needs with an emphasis on the client's top three (3) criminogenic needs. Below are some examples of services available based on client needs:

### Services/Providers:

Psychiatric-Centerstone, VA if applicable, Bloomington Meadows, IU Health  
Gambling – Amethyst, Life Recovery Center  
IU Student Health Center (CAPS) –assessment for IU students and staff only  
Alcohol Alternative Intervention Program (AAIP, Oasis) – assessment and groups for IU students only  
Anger Management – Restorative Recovery Solutions, ICC  
Sex Offender Counseling – Indianapolis Counseling Center  
Functional Family Therapy – Centerstone, Ireland, Family Solutions, George Jr.  
Moral Reconciliation Therapy (MRT) – Centerstone (MRT has replaced Thinking for a Change)  
Batterer's Intervention Program (BIP) – Indianapolis Counseling Center, Character Restoration Center, Life Recovery Center  
Veterans –Outpatient Clinic offers individual, group, IOP, Suboxone support group  
Community Justice and Mediation – restorative justice programming  
Stride Center (Centerstone)- Law enforcement diversion center \*probation direct referrals not accepted  
Volunteers of American- Fresh Start Recovery Center- pregnant women and mothers  
Goodwill- Excel Center (education) and Commercial Services (employment)

## **13. Medication Assisted Treatment**

Referral Criteria: evidence indicates Substance Use Disorder – Opiate Dependent; difficulties remaining substance free.

### Providers:

Groups, Recover Together - Suboxone  
Centerstone – Suboxone, Vivitrol  
CleanSlate – Suboxone, Vivitrol  
Monroe Medical Group – Vivitrol  
Transition-Suboxone, Vivitrol  
Limestone Health-Methadone  
Monroe County Jail-Vivitrol - given 1 time before release behind the wall only.

## **>Social Services Directories:**

211  
Helping Bloomington Monroe- Bloomington Health Foundation  
Regional Recovery Hubs



## ATTACHMENT 10

<b>CHAPTER 3 CONTINUOUS QUALITY IMPROVEMENT (CQI)</b>	<b>Citations/Authority:</b> Indiana Probation Standards; IC 11-12-2-4 (8) A; IC 11-12-1-2.5; Indiana Department of Correction Procedural Bulletin #1
<b>3.1 EVIDENCE BASED PRACTICES</b>	<b>Adoption Date:</b> June 28, 2018 by Presiding Judge, Reviewed March 8, 2019

### POLICY

The Probation Department (hereafter “Department”) shall utilize evidence based practices (EBP), defined as the use of current, scientific evidence from research to guide efficient and effective correctional services. The goal of utilizing EBP is to reduce recidivism (the likelihood that a person will commit a new offense).

The Department shall utilize a range of services and supervision practices that are in compliance with the principles of effective interventions and evidence-based practices including the “Eight Principles of Effective Intervention” as described by the National Institute of Corrections (NIC).<sup>1</sup>

### INDIANA PROBATION STANDARDS REQUIRING EVIDENCE BASED PRACTICES

**ADMINISTRATIVE STANDARDS: 1.3 Policies and Procedures** -- The chief probation officer shall prepare a manual of policies and procedures for the operation of the department that is consistent with existing laws, local rules, policies adopted by the Judicial Conference of Indiana, and evidence-based practices. All written policies, procedures, rules and regulations should be dated, reviewed at least annually, approved by the court(s), and made available to department employees.

### INDIANA DEPARTMENT OF CORRECTION POLICY REQUIRING COMMUNITY CORRECTIONS PROGRAMS TO USE EVIDENCE BASED PRACTICES

**Indiana Department of Correction Procedural Bulletin #1:** As per IC 11-12-1-2.5, Community Corrections Programs are to use evidence-based services, programs, and practices to reduce the risk of recidivism of those persons participating in IDOC grant funded programs or levels of supervision. Per the Indiana Probation Standards, all policies and procedures for the operation of the department are required to be consistent with evidence-based practices.

### CLARIFYING TERMS

The terms *best practices*, *what works*, and *evidence-based practice (EBP)* are often used interchangeably. While these buzz words refer to similar notions, pointing out the subtle distinctions between them helps to clarify the distinct meaning of evidence-based practices. For example, best practices do not necessarily imply attention to outcomes, evidence, or measurable standards. Best practices are often based on the collective experience and wisdom of the field, and may be based on insufficient or inconclusive evidence; this type of tenet represents received rather scientifically tested knowledge. What works implies linkage to general outcomes, but does not specify the kind of outcomes desired (e.g. just deserts, deterrence, organizational efficiency, rehabilitation, etc.).

In contrast, evidence-based practice implies that:

- 1) one outcome is desired over others;
- 2) it is measurable; and
- 3) it is defined according to practical realities (i.e. public safety) rather than immeasurable moral or value-oriented standards.

<sup>1</sup> [National Institute of Correction Evidence Based Practices](#)

## **EIGHT PRINCIPLES OF EFFECTIVE INTERVENTION<sup>2</sup>**

The following framework of principles is described in developmental order. None of the principles operate in a vacuum though; they are all highly interdependent. For example, offenders must be assessed for risk before they are assessed for need. This allows agencies to target resources on high-risk offenders and avoid the pitfalls of expending large amount of resources on low-risk / high-need offenders. The guiding logic here is based on understanding that certain developmental steps must precede others, whether building a good client supervision relationship, a learning organization, or a system that deliberately improves public safety through risk and recidivism reduction.

1. **Assess Actuarial Risk/Needs** - Probation Officers/case managers must acquire and maintain certification for the Indiana Risk Assessment System (IRAS) or Indiana Youth Assessment System (IYAS) assessment tools (as applicable per job duties) and conduct validated risk/needs screening/assessment on clients/participants.
2. **Enhance Intrinsic Motivation** - Probation officers/case managers are required to complete training on Effective Communication & Motivational Strategies (ECMS) and Effective Practices In Community Supervision (EPICS) so that they may enhance the clients'/participants' intrinsic motivation to change behaviors. Research strongly suggests that "motivational interviewing" techniques, rather than persuasion tactics, effectively enhance motivation for initiating and maintaining behavior changes.
3. **Target Interventions** - Assessment (IRAS/IYAS) establishes a case/behavioral plan identifying individual criminogenic risk and needs. The top three criminogenic domains are identified and are to be targeted in case plans. Probation Officers/case managers match clients/participants to services and resources that address their criminogenic needs based on responsivity issues.
  - a. **Risk Principle** - Prioritize supervision and treatment resources for higher risk offenders.
  - b. **Need Principle** - Target interventions to criminogenic needs.
  - c. **Responsivity Principle** - Be responsive to temperament, learning style, motivation, gender, and culture when assigning clients/participants to programs.
  - d. **Dosage** - Structure 40% to 70% of high-risk offenders' time for 3 to 9 months.
  - e. **Treatment Principle** - Integrate treatment into full sentence/sanction requirements.
4. **Skill Train with Directed Practice** - Provide evidence-based programming that emphasizes cognitive-behavior strategies and is delivered by well-trained staff, which can include:
  - a. Redirecting anti-social attitudes/beliefs and affirming pro-social attitudes/beliefs;
  - b. Reaching concrete problem-solving skills;
  - c. Using practice sessions to enhance skill building;
  - d. Using incentives and sanctions;
  - e. Using thinking reports;
  - f. Using motivational interviewing techniques; and
  - g. Using effective communication skills.

---

<sup>2</sup> [Eight Principles of Effective Intervention](#), National Institute of Corrections, Community Corrections Division.

5. **Increase Positive Reinforcement** - Staff members use positive reinforcement of clients'/participants' pro-social behavior to enhance long term behavioral changes. The program utilizes established guidelines for the use of incentives. The Probation Department case management database (Quest) tracks the number of incentives with emphasis to attempt minimum four to one ratio of incentives to sanctions. However, increasing positive reinforcement should not be done at the expense of or undermine administering swift, certain, and real responses for negative and unacceptable behavior. Offenders having problems with responsible self-regulation generally respond positively to reasonable and reliable additional structure and boundaries. Offenders may initially overreact to new demands for accountability, seek to evade detection or consequences, and fail to recognize any personal responsibility. However, with exposure to clear rules that are consistently (and swiftly) enforced with appropriate and graduated consequences, offenders and people in general, will tend to comply in the direction of the most rewards and least punishments. This type of extrinsic motivation can often be useful for beginning the process of behavior change.
6. **Engage in Ongoing Support in Natural Communities** - Case managers/probation officers link participants to local support systems (e.g., families, close friends, mentors, Recovery Engagement Center, Shalom Center, Goodwill, Salvation Army, WorkOne, Vocational Rehabilitation, the faith community, etc.). The goal is that these support systems will remain in place for clients/participants after they have completed community supervision.
7. **Measure Relevant Processes/Practices** - Case information is documented in departmental database (Quest) with progress notes and outcomes entered in a timely basis. Compliance with departmental policy is checked during case Continuous Quality Improvement (CQI) audits, case reviews by supervisors, and random checks by supervisors. Accurate and detailed documentation of case information and staff performance, along with a formal and valid mechanism for measuring outcomes, is the foundation of evidence-based practice.
8. **Provide Measurement Feedback** - The department utilizes annual *Job Performance Evaluations* of staff to measure and document specific and overall performance. The annual *Job Performance Evaluation* provides staff with coaching and feedback opportunities as well as an opportunity to participate in the writing an individualized professional development plan. Continuous Quality Improvement (CQI) case audits and case reviews by supervisors provide staff with coaching and feedback opportunities.

## ATTACHMENT 11.1

<b>CHAPTER 3 CONTINUOUS QUALITY IMPROVEMENT (CQI)</b>	<b>Citations/Authority:</b> Indiana Probation Standards 2014-3-7; Indiana Department of Correction Procedural Bulletin #8
<b>3.2 INTRODUCTION TO CONTINUOUS QUALITY IMPROVEMENT (CQI)</b>	Adoption Date: February 26, 2013 Revision Dates: August 24, 2015; January 22, 2018; Approved by Presiding Judge July 2, 2018; Reviewed March 12, 2019

### POLICY

The Monroe Circuit Court Probation Department (hereafter “Department”) will identify areas in need of continuous quality improvement and the process to determine the level of quality through a Continuous Quality Improvement Team, established by the Chief Probation Officer, consisting of the supervisors of all divisions within the department. The Department has implemented this quality assurance policy to ensure processes and programs are delivered according to evidence based practices.

### DEFINITION OF CONTINUOUS QUALITY IMPROVEMENT (CQI)

Continuous quality improvement CQI is defined as a set of professional development opportunities that generate current, specific feedback for the purpose of ensuring that services and practices are delivered in the intended manner.

### INDIANA PROBATION STANDARDS

**1.21 Case Audits and Quality Assurance -- Departments shall adopt policies and procedures to conduct case audits and IYAS/IRAS quality assurance.**

Audits of case files should be conducted at least once a year and shall review case files for: properly administered IRAS/IYAS assessments, case plans linked to assessment

### INDIANA DEPARTMENT OF CORRECTION, COMMUNITY CORRECTIONS DIVISION

#### Procedural Bulletin #8 (10-23-17) Quality Assurance Tools

**PURPOSE:** To inform Community Corrections Grant Funded Entities of their responsibility to have quality assurance measures in place as it relates to the Eight Principles of Effective Intervention.

**LEGAL REFERENCE:** IC 11-12-1-1; IC 11-12-1-2.5; IC 11-12-2-3

Quality Assurance Tools - As per IC 11-12-1-2.5, community corrections agencies are to use evidence based services, programs, and practices to reduce the risk of recidivism of those persons participating in community corrections programs. A component of evidence based practices and the Eight Principles of Effective Interventions is to measure relevant processes/practices.

Each agency will create a Continuous Quality Improvement (CQI) plan with quality assurance measures to determine if its policies and procedures are producing the desired outcomes. By collecting the proper data, agencies can ensure the effectiveness of its programs and services. Each agency should be collecting and reviewing data on areas such as staff training, delivery of programs by staff, program pre and post-tests, reduction in criminal thinking, reduction of risk, and use of the Indiana Risk Assessment System (IRAS).

Each agency will have a method in place and the appropriate quality assurance tool(s) to measure the fidelity and effectiveness of its programs and services. The Department of Correction, Community Corrections Division, requires a copy of the agency’s CQI and/or Quality Assurance Policy on file in central office.

Biennial Site Assessment - Agencies will be evaluated on their use of consistent quality assurance methods and its application through a biennial schedule.

Contract Monitoring - Agencies will be monitored through site visits and site assessments for contract compliance and adherence to evidence based practices, which include quality assurance methods.

## **PROCEDURE**

### **A. ROLE OF CQI TEAM**

The CQI Supervisor will make recommendations to the CQI Team regarding the effectiveness of departmental operations and propose quality improvement. The CQI Team (Probation Supervisors) reviews and makes recommendations regarding the continuous quality improvement of the department's policies, procedures, and staff development while utilizing evidenced-based practices to enhance the delivery and effectiveness of services and practices that promote positive change within the lives of clients/program participants. The CQI Team will evaluate the effectiveness of departmental operations and propose quality improvement in the following areas:

### **B. CULTURAL ALIGNMENTS AND ORGANIZATIONAL SUPPORTS**

1. Mission/Vision.
2. Communication.
3. Support for Evidence-based Practices (EBP).
4. Staff EBP Training.
5. EBP Artifacts.

### **C. EFFECTIVE IMPLEMENTATION OF EIGHT PRINCIPLES OF EFFECTIVE INTERVENTION**

1. **Assess Actuarial Risk / Needs** - The CQI Supervisor will report CQI case audit summaries to the Probation Supervisors indicating overall areas of success and/or deficits for the following:
  - a. Indiana Risk Assessment System (IRAS)/Indiana Youth Assessment System (IYAS);
  - b. Use of IRAS/IYAS Scores to Create Case Plan; and
  - c. Use of IRAS/IYAS Scores for Differential Supervision.
2. **Enhance Intrinsic Motivation** – The CQI Supervisor will review training reports/documentation to verify all applicable staff members are trained in required competency areas relevant to the employee's assigned job duties.
3. **Target Interventions** - The CQI Supervisor will report CQI case audit summaries to the Probation Supervisors indicating overall areas of success and/or deficits for the following:
  - a. Risk Principle - Prioritize supervision and treatment resources for higher risk offenders.
  - b. Need Principle - Target interventions to criminogenic needs.
  - c. Responsivity Principle - Be responsive to temperament, learning style, motivation, gender, and culture when assigning to programs.
  - d. Dosage - Structure 40% to 70% of high-risk offenders' time for 3 to 9 months.
  - e. Treatment Principle - Integrate treatment into full sentence/sanctions requirements.

4. **Skill Train with Directed Practice** – The CQI Supervisor will report CQI case audit summaries to the Probation Supervisors indicating overall areas of success and/or deficits for the following:
  - a. Redirecting anti-social attitudes/beliefs and affirming pro-social attitudes/beliefs;
  - b. Reaching concrete problem-solving skills;
  - c. Using practice sessions to enhance skill building;
  - d. Using incentives and sanctions;
  - e. Using thinking reports;
  - f. Using motivational interviewing techniques; and
  - g. Using effective communication skills.
5. **Increase Positive Reinforcement** – The CQI Supervisor will report CQI case audit summaries to the Probation Supervisors indicating overall areas of success and/or deficits for the following:
  - a. Incentives to reinforce pro-social behavior; and
  - b. Graduated sanctions to address violations.
6. **Engage in Ongoing Support in Natural Communities** – The CQI Supervisor will report CQI case audit summaries to the Probation Supervisors indicating overall areas of success and/or deficits for the following:
  - a. Appropriateness of referrals; and
  - b. Reports from service providers.
7. **Measure Relevant Processes/Practices** – The CQI Supervisor will report CQI case audit summaries to the Probation Supervisors indicating overall areas of success and/or deficits.
8. **Provide Measurement Feedback** – The CQI Supervisor will report CQI case audit summaries to the Probation Supervisors indicating overall areas of success and/or deficits.

**D. WAYS TO MEASURE**

The CQI Team will utilize various tools and methods in evaluating progress in Departmental quality improvement, such as:

1. CQI case audits;
2. Exit surveys;
3. Direct observations;
4. Review of staff/client interactions via recordings;
5. Staff feedback;
6. Training; and
7. Data collection and analysis.

**E. RESULT FINDINGS**

Exit surveys and other CQI related information will be collected by each probation supervisor and reviewed at minimum once each year by the CQI Supervisor. The compiled findings will be forwarded to the Probation Supervisors for discussion and recommendations for improvement.

**F. REPORTING**

The Probation Supervisors meet monthly and on as-needed basis. Minutes of these meetings will be maintained. The CQI Supervisor will present regular update reports at the monthly Probation Supervisor meeting. Recommendations for improvement will be placed in writing and submitted to the Probation Supervisors for further consideration.

**G. IMPROVEMENT PROCESS**

The Probation Supervisors will review recommendations from the CQI Supervisor and provide feedback and/or forward proposals to the Chief Probation Officer. The Monroe Circuit Court Board of Judges or Presiding Judge will make final decisions regarding proposed changes in policy. The Community Corrections Advisory Board will make recommendations regarding proposed changes in policy for Community Corrections programming.

## ATTACHMENT 11.2

<b>CHAPTER 3 CONTINUOUS QUALITY IMPROVEMENT (CQI)</b>	<b>Citations/Authority:</b>
<b>3.3 CASE AUDITS &amp; MEASURING RELEVANT PRACTICES</b>	<b>Adoption Date:</b> Approved by Presiding Judge July 17, 2018 <b>Revision Dates:</b> Reviewed March 12, 2019

### POLICY

Probation Management staff shall conduct case and program audits to verify departmental compliance with Monroe Circuit Court Local Rules, departmental policies/procedures, Indiana Probation Rules, other state-mandated rules and to measure the effectiveness of the department's use of evidence based practices (**#7 Principle of Effective Intervention**).

### PROCEDURE

#### **A. CONDUCTING AUDITS**

The Continuous Quality Improvement (CQI) supervisor shall audit cases and various programs either every six months, annually, or as specific need arises (see below). Audits shall be completed in the following areas:

1. **Case Plans** - Audits of case plans will occur twice annually. The CQI supervisor will collect data from the department as a whole and randomly review individual cases from each division to ensure that supervision probation officers (SPO) are adhering to the Case Plan Policy. Audits will assess that:
  - a. Case plans are being completed on the proper moderate to high risk clients based on their risk assessment results;
  - b. Initial case plans are being completed within the required number of days from the supervision start date;
  - c. Case plans are developed using a combination of the court order, the risk assessment, and the behavioral analysis;
  - d. Case plans are being reviewed and updated within the required number of days after the initial case plan is completed; and
  - e. Outcome of the case once the client has completed the case plan requirements.
2. **Risk Assessment**– Audits of the department's use of the Indiana Risk Assessment System/ Indiana Youth Assessment System (IRAS/IYAS) tools shall occur twice annually. The CQI supervisor will collect data from the department as a whole and randomly review individual cases from each division to assess compliance with the IRAS/IYAS Policy. IRAS/IYAS audits will include both case reviews as well as observation of SPO's completing the assessment interview and scoring the tool. Audits will assess for the following:
  - a. IRAS/IYAS assessments are being completed on all clients at the time of intake in accordance with the departmental Indiana Risk Assessment Policy;
  - b. IRAS/IYAS reassessments are being completed in accordance with the departmental Indiana Risk Assessment Policy;
  - c. Probation officers are completing a face-to-face interview and using the client self-report form when required; and
  - d. Probation officers are scoring the assessment tools per the directions of the scoring guides.



3. **EPICS** – Audits of the department’s use of EPICS shall occur twice annually. The CQI supervisor will collect data from the department as a whole and randomly review individual cases from each division to assess for:
  - a. Ratio of skills used per interactions with clients;
  - b. Appropriateness of skill used based on the situation; and
  - c. Proper use of the skill steps.
  
4. **Intervention Tools** – Intervention tools include Carey Bits and Guides, Change Company Journals, and other cognitive behavioral worksheets or approaches. Audits of the department’s use of intervention tools shall occur annually. The CQI supervisor will collect data from the department as a whole and randomly review individual cases from each division to assess for:
  - a. Frequency of use of intervention tools; and
  - b. Appropriateness of skill use based on the situation.
  
5. **Sanctions and Incentives** – Audits of the department’s use of sanctions and incentives shall occur annually. The CQI supervisor will collect data from the department as a whole and randomly review individual cases from each division to assess for:
  - a. Compliance with the department’s Sanctions and Incentives policy; and
  - b. Ratio of sanctions and incentives imposed.
  
6. **Referrals** – Audits of the department’s use of program referrals shall occur annually. This includes referrals to both internal and external programs and resources. The CQI supervision will collect data from the department as a whole and randomly review individual cases from each division to assess for:
  - a. Type and frequency of referrals;
  - b. Appropriateness of referrals made; and
  - c. Outcome of referrals.
  
7. **Programs** – Audits of evidenced based programs, both internal and external, shall occur annually. The CQI supervision shall complete direct observations of programs, if able, to assess for:
  - a. Programs use an evidenced based model;
  - b. Programs are communicating with the SPOs on a regular basis; and
  - c. Programs are collecting statistics to assess outcomes.

**B. FORMS**

Specific forms outlining the items to be examined during each type of audit shall be used. All staff members being audited will be provided with a copy of the audit form prior to the audit <LINK>

**C. FEEDBACK**

Results from audits shall be compiled into a report by the CQI supervisor and be used to modify policies and procedures as needed. Feedback may also be given to SPOs regarding the results of the audit. Audit results shall also be provided to division supervisors to be used as part of an employee’s individual performance evaluation or development plan.