



# Monitoring and Quality Improvement Standards for

## Probation and Community Intervention Programs FY 2019-2020



### Office of Program Accountability

*Promoting continuous improvement and accountability  
in juvenile justice programs and services.*

*The Department acknowledges the Monitoring and Quality Improvement (MQI) Standards are built upon Department rules, policies, procedures and manuals. As we continue to improve and refine our competitive procurement process, there may be instances in which requirements negotiated between the Provider and the Department exceed the MQI Standards. In instances where contractual obligations surpass requirement(s) set forth in the published Standards, the contract requirement will prevail.*

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\* The Department has identified certain key critical indicators. These indicators represent critical areas requiring immediate attention if a program operates below Department standards. A program must therefore achieve at least a Satisfactory Compliance rating in each of these indicators. Failure to do so will result in a program alert form being completed and distributed to the appropriate program area.

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## 1.01 Initial Background Screening

Background screening is conducted for all Department employees and volunteers and all contracted provider and grant recipient employees, volunteers, mentors, and interns with access to youth and confidential youth records. A contract provider may hire an employee to a position which requires background screening before the screening process is completed, but only for training and orientation purposes. However, these employees may not have contact with youth or confidential youth records until the screening is completed, the rating is eligible, and the employee does not demonstrate he or she exhibits any behaviors which warrant the denial or termination of employment. An Annual Affidavit of Compliance with Level 2 Screening Standards is completed annually.

— CRITICAL —

**Guidelines/Requirements:** Background screening is mandatory for employees, volunteers, mentors, and interns with access to youth and confidential youth records to ensure they meet established statutory Level 2 screening requirements. The Department is mindful or aware of its status as a criminal justice agency and its special responsibilities in dealing with the youth population and utilizes Level 2 Screening Standards, as required in s. 435.05, 985.644 (3) and 985.66(3)(a) 3 F.S., to screen individuals prior to employment or volunteering and every five-years of continued service.

### New Screening Required:

Moving from the Department to a contracted provider, from a contracted provider to the Department, or from one contracted provider company to another is considered a new hire and a new background screening is required.

Screening documents (IG/BSU 002 and 005, a copy of driver's license, Social Security Card, and IG/BSU 003) must be submitted to the BSU when a provider employee is screened in the Clearinghouse and wants to be hired by another provider. The hiring provider must submit also receive a completed copy of those screening documents prior to hiring the employee. (Note: Fingerprinting is not usually required.)

### New Screening *not* Required:

Contracted/grant provider volunteers, mentors, and interns who assist or interact with provider youth on an intermittent basis for less than ten hours a month do not need to be background screened if an employee who has been background screened is always present and has the volunteer within his/her line of sight. (Note: Intermittent basis means the volunteer provides assistance on a noncontinuous basis or at irregular intervals; visiting no more than once a quarter.)

Current employees of the Department or a provider are not required to submit a new background screening request when they are promoted, demoted, or transferred within their organization, as long as there is no break in service.

A volunteer who has been hired by the center is not required to submit a new background screening, as long as there is no break in service.

- a. Once the volunteer screening is completed, the volunteer is considered active as long as the fingerprints are being retained by FDLE/Federal Bureau of Investigation (FBI), the five-year rescreening/resubmission is being completed, and the volunteer is added to the Clearinghouse employee roster within ninety-days of completing the screening request.

**Other Requirements:**

Neither the Department nor contracted providers shall hire any applicant until:

- a. An eligible background screening rating has been received, and the criminal history report has been reviewed.
- b. An application with an ineligible/[not eligible](#) rating has received an approved exemption from disqualification from the Department, has received an eligible rating, and the criminal history report has been reviewed.
- c. The provider has administered a pre-employment assessment tool to the direct-care position applicant prior to hiring and has determined what is a passing score. (volunteers are not required to take or pass the assessment tool).
- d. The provider has placed a copy of the pre-employment tool and passing score in the applicant/employee record.
- e. The provider has added the employee or volunteer to their Clearinghouse employment roster.

The provider is responsible for ensuring their hiring authority has reviewed the CCC Person Involvement Report, the Staff Verification System (SVS) module, Florida Department of Law Enforcement (FDLE) Automated Training Management System (ATMS) result, and completed any required agency personnel record reviews prior to hiring [staff](#) or utilizing a volunteer who will have contact with youth, or access to confidential youth records, [with the exception of the SVS module for volunteers](#).

**Annual Affidavit Requirement:**

Teachers/[Instructional personnel](#) who are paid by the school board or who are paid through funding provided by the school board or Department of Education to provide instruction to youth in a program are not required to undergo background screening by the Department.

Certified law enforcement and security officers who are paid by their law enforcement or security agency to provide security service in a center are not required to undergo background screening by the Department.

- a. Review records of all staff hired and volunteers starting since the last annual compliance review to determine a clearance was received prior to the employee being hired and volunteers starting. This includes all contracted staff (medical, mental health, designated health authority (DHA), designated mental health clinician authority (DMHCA), psychiatrist, and any education position hired by the center) and volunteers.
- b. Confirm if an exemption was granted by the Department prior to hiring or utilizing any staff or volunteer currently working in the program who were rated ineligible/[not eligible](#) for employment by the Department's Inspector General to continue employment.
- c. Review documentation to determine whether the Affidavit of Compliance with Level 2 Screening Standards for the center, school, [and law enforcement/security agency](#) were submitted to the Background Screening Unit (BSU) prior to January 31 of the current calendar year. (Review spreadsheet sent from BSU.)

**Reference:**

- FDJJ-1800 and FDJJ-1800 PC, Background Screening Policy and Procedures
- F.S. 985.644, Departmental Contracting Powers; Personnel Standards and Screening

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## 1.02 Five-Year Rescreening

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**Background rescreening/resubmission is conducted for all Department employees and volunteers and all contracted provider and grant recipient employees, volunteers, mentors, and interns with access to youth and confidential youth records. Employees and volunteers are rescreened every five years from the initial date of employment. When a current provider staff member transitions into the Clearinghouse, the rescreen/resubmission date starts anew and is calculated by the Clearinghouse. (Note: For the new date, see the Retained Prints Expiration Date on the applicant's personal profile page within the Clearinghouse.**

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**Guidelines/Requirements:** A rescreening/resubmission is completed every five years, calculated from the agency hire date (original date of hire). This date does not change when a staff transfers within a Department or provider program or when a staff member is promoted. Five-year rescreens/resubmissions shall not be completed more than twelve months prior to the staff's five-year anniversary date.

When a rescreening/resubmission is submitted to the Background Screening Unit (BSU) at least ten business days prior to the five-year anniversary or retained prints expiration date, but it is not completed by the BSU on or before the anniversary or retained prints expiration date, the screening shall meet annual compliance review standards.

- a. Clearinghouse resubmissions must be initiated in the Clearinghouse portal at least ten business days prior to the Retained Prints Expiration Date.
- b. Clearinghouse rescreening/resubmission request forms must be submitted to the BSU at least ten business days prior to the Retained Prints Expiration Date.

When a rescreening/resubmission is *not* submitted to the BSU at least ten business days prior to the five-year anniversary or retained prints expiration date, and the BSU does not complete the rescreening prior to the anniversary or retained prints expiration date, the screening shall *not* meet annual compliance review standards.

Review the employee and volunteer roster to determine which staff and volunteers required a five-year rescreening/resubmission since the last annual compliance review. All eligible staff and volunteers should be reviewed.

Review records and Clearinghouse records of all applicable staff and volunteers hired five years since their initial hire date of employment to determine if a clearance was submitted at least ten days prior to the employee anniversary date of being hired within the agency (not promotional date) or to check retained prints expiration dates. This includes all contracted staff (medical, mental health, designated health authority (DHA), designated mental health clinician authority (DMHCA), psychiatrist and any education position hired by the center – *not employees paid by the school board*).

### **Reference:**

FDJJ-1800 PC, Background Screening Policy and Procedures

### 1.03 Protective Action Response (PAR)

**The circuit/program uses physical intervention techniques in accordance with Florida Administrative Code. Any time staff uses a physical intervention technique, such as countermoves, control techniques, takedowns, or application of mechanical restraints (other than for regular transports), a PAR Incident Report is completed and filed in accordance with the Florida Administrative Code.**

**Guidelines/Requirements:** This indicator shall be rated “Non-Applicable” if the program has not used physical interventions or mechanical restraints during the scope of the annual compliance review.

Program staff should be familiar with Florida Administrative Code 63H-1, which establishes the statewide framework to implement procedures governing the use of verbal and physical intervention techniques and mechanical restraints.

Review the program’s Department approved PAR Plan.

Review a sampling of PAR reports to determine if:

- A review was conducted by a PAR certified instructor/supervisory staff.
- A post-PAR interview was conducted with the youth by the chief probation officer (CPO)/program director, or designee, within thirty minutes after the incident.
- A review of the PAR incident report by the CPO/program director/supervisor or designee was conducted within seventy-two hours of the incident, excluding weekends and holidays.
- Statements were completed by all witnesses and participants.
- The reports were completed on the same day the incident occurred.
- The youth was referred to the licensed medical professional on-site or was taken off-site, as appropriate, should medical staff not be present, if findings of the post-PAR interview indicate the need for a PAR medical review.
- The techniques applied were approved by the Department.

A PAR report shall be completed after an incident involving the use of counter move, control techniques, takedowns, or the application of mechanical restraints. A PAR report is not required when mechanical restraints are used for the movement of youth outside of the secure area of operations or during transports.

**Reference:**

- F.A.C. 63H-1.007, Basic Curricula (PAR)



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## 1.04 Pre-Service/Certification Training

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**Contracted and state non-residential staff are trained in accordance with Florida Administrative Code. Contracted and state non-residential staff satisfy pre-service/certification requirements specified by Florida Administrative Code within 180 days of hiring.**

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**Guidelines/Requirements:** It is the expectation of the Department all training, both in-service and instructor-led, be documented in the Department's Learning Management System (SkillPro). (It may be helpful to view the "All Trainings Completed" report for each staff.)

**State Non-Residential Staff:**

This training consists of two phases:

- Phase one: Workplace training, which consists of ninety-six hours, completed in the areas listed in F.A.C. 63H-2.006(2a).
- Phase two: Training at the academy, which consists of 224 hours, completed in the areas listed in F.A.C. 63H-2.006(2c).

OPS staff who have no direct care responsibilities are exempt from direct care juvenile probation officer (JPO) certification training.

State non-residential staff are not required to be PAR certified or CPR/first aid certified prior to contact with youth. However, the following requirements shall apply:

- The staff shall be assigned to a fully certified officer who has successfully completed all certification requirements, outlined in F.A.C. 63H-2.006(2a).
- The staff shall not supervise a caseload or have direct contact with youth where Department certified staff are not present until they complete all certification requirements in F.A.C. 63H-2.006(2a).

Review a sample of new employee training records to determine the staff have completed the required Phase One and Phase Two training requirements.

**Contracted Non-Residential Staff:**

Staff must complete a minimum of 120 hours of pre-service training, instructor-led and web-based, completed in the areas listed in F.A.C. 63H-2.004(b).

All contracted non-residential programs shall submit, in writing, a list of pre-service training to Staff Development and Training including course names, descriptions, objectives, and training hours for any instructor-led training, completed in the areas listed in F.A.C. 63H-2.004(b).

Contracted non-residential staff are authorized to be in the presence of youth prior to the completion of the training requirements outlined in F.A.C. 63H-2.004(b); however, the following essential skills must be completed first:

- PAR trained (must be successfully completed within ninety days of hire)
- CPR/First Aid certified
- Professionalism and ethics
- Suicide prevention
- Emergency procedures
- Human Trafficking

If a staff member who has previously attended the JPO Academy separates from their current position and is rehired by a state-operated program within four years of separation, they will not be required to complete the Academy training again. However, the staff shall complete the following requirements within sixty calendar days of their return to the Department:

1. All PAR training pursuant to Chapter 63H-1, F.A.C.
2. CPR/First Aid certification
3. Overview of program operating procedures
4. In-service training to include: professionalism and ethics, suicide prevention, adolescent behavior, risk and needs assessment, and supervision.

**For Contracted Non-Residential Staff:**

Returning staff who return more than one year from separation shall complete all requirements set forth in subsection 63H-2.004(1), F.A.C., as they are no longer considered trained.

Contracted staff who cross over from residential to non-residential shall complete all training requirements set forth in subsection 63H-2.004(1), F.A.C.

**Reference:**

- F.A.C. 63H-1.009, Basic Curricula (PAR), Certification
- F.A.C. 63H-2.004, Direct Care Staff Training, Contracted Non-Residential Staff
- F.A.C. 63H-2.006, Direct Care Staff Training, State Non-Residential Staff

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## 1.05 In-Service Training

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**Contracted and state non-residential staff must complete in-service training in accordance with Florida Administrative Code. Contracted and state non-residential staff completes twenty-four hours of in-service training, including mandatory topics specified in Florida Administrative Code, each calendar year, effective the year after pre-service/certification training is completed.**

**Supervisory staff must complete eight hours of training (as part of the twenty-four hours of annual in-service training) in the areas specified in Florida Administrative Code.**

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**Guidelines/Requirements:** All regions and contracted and state non-residential programs shall submit, in writing, a list of in-service training to the Office of Staff Development and Training including course names, descriptions, objectives, and training hours for all instructor-led in-service training other than the mandatory training topics listed above.

### **State Non-Residential Staff:**

The following are mandatory training topics which must be completed each year by state non-residential staff (unless a specific certification is good for more than one year, in which case, training is only necessary as required by certification):

- PAR update (As required by PAR Rule Chapter 63H-1)
- CPR (annually)
- First Aid (annually)
- Suicide Recognition, Prevention, and Intervention
- Professionalism and Ethics
- [Active Shooter](#)

### **Contracted Non-Residential Staff:**

The following are mandatory training topics that must be completed each year by Contracted Non-Residential Staff (unless specific certification is good for more than one year, in which case, training is only necessary as required by certification):

- PAR update (As required by PAR Rule Chapter 63H-1)
- CPR
- First Aid
- [Professionalism and Ethics](#)
- [Active Shooter](#)

Staff designated as OPS-JPOs will be considered direct care staff and must meet the same training requirements as Department JPOs (180 + academy).

**Supervisory Staff Training for Contracted and State Non-Residential Programs:**

Supervisory staff shall complete eight hours of training in the areas of:

- Management
- Leadership
- Personal Accountability
- Employee Relations
- Communication Skills
- Fiscal

It is the expectation of the Department all training, both in-service and instructor-led, be documented in the Department's Learning Management System (SkillPro).

In-service training begins the calendar year after a staff completes his/her certification training.

Circuits/Programs shall develop an annual in-service calendar, which must be updated as changes occur.

Review training records and/or SkillPro for state non-residential staff in subsequent years of employment to ensure training was completed, as required. This sample must include supervisory staff.

This indicator shall be rated based on a review of training completed during the last full calendar year prior to the annual compliance review.

**Reference:**

- F.A.C. 63H-2.004, Direct Care Staff Training, Contracted Non-Residential Staff
- F.A.C. 63H-2.006, Direct Care Staff Training, State Non-Residential Staff
- F.A.C. 63H-1.012, Annual Training Requirement

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## 1.06 Incident Reporting (CCC)

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**Whenever a reportable incident occurs, the program notifies the Department’s Central Communications Center (CCC) within two hours of the incident, or within two hours of becoming aware of the incident.**

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— CRITICAL —

**Guidelines/Requirements:** This indicator shall be rated “Non-Applicable” if the program has not had any reportable incidents during the scope of the annual compliance review. If there are no Central Communications Center (CCC) reports for the past six months, the regional monitor(s)/reviewer(s) may sample reports since the date of the last annual compliance review, but no more than twelve months.

Incidents discovered and reported by the regional monitors during the annual compliance review shall be considered “Non-Applicable,” unless documentation exists the program was aware of the incident but failed to report it.

The purpose of the CCC is to provide a service to DJJ, the providers, and programs in maintaining a safe environment for the treatment, care, and provision of services to youth. The CCC activities are conducted twenty-four hours a day, seven days a week. The telephone number for the CCC is 1-800-355-2280.

Violations of criteria outlined in the Department’s FDJJ 1920 policy will be reported to the CCC for dissemination to the related program area and contracted providers.

The reporting of incidents shall be consistent with the Department’s requirements.

The regional monitor(s)/reviewer(s) shall be familiar with the Department’s incident reporting requirements and list of reportable incidents.

Review CCC reports for the past six months to determine compliance with CCC reporting procedures.

Review internal incidents/grievances to determine if additional incidents should have been reported to CCC.

### **Reference:**

- F.A.C. 63F-11, Central Communications Center

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## 1.07 Abuse-Free Environment

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**Any staff who knows, or has reasonable cause to suspect, a youth is abused, abandoned, or neglected by a parent/guardian, legal custodian, caregiver, or other person responsible for the youth's welfare, as defined by Florida Statute, or a youth is in need of supervision and care and has no parent/guardian, legal custodian, or responsible adult relative immediately known and available to provide supervision and care, reports such knowledge or suspicion to the Florida Abuse Hotline.**

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— CRITICAL —

**Guidelines/Requirements:** The circuit shall provide an environment in which youth, staff, and others feel safe, secure, and not threatened by any form of abuse or harassment. To promote an abuse free environment, the circuit shall:

1. Adhere to a code of conduct forbidding staff from using physical abuse, profanity, threats, or intimidation.
2. Ensure all allegations of child abuse or suspected child abuse are immediately reported to the Florida Abuse Hotline.
3. Ensure youth have unimpeded access to self-report alleged abuse.
4. Ensure youth eighteen years of age or older have unimpeded access to self-report abuse allegations to the Central Communications Center (CCC).

Review CCC reports and program incident reports to determine if there have been any abuse allegations substantiated against staff or if staff have reported abuse on behalf of a youth.

If any allegations have been made against staff, review any documentation of management interventions and disciplinary actions in response to the incident.

Review youth records to ensure there were not any indications of abuse not being reported to the Florida Abuse Hotline.

**Reference:**

- F.S. 39.201, "Mandatory reports of child abuse, abandonment, or neglect; mandatory reports of death; central abuse hotline."
- F.A.C. 63F-11.004, Central Communications Center
- FDJJ Policy 1100 - Rights of Youth in DJJ Care, Custody, or Supervision
- F.A.C. 63E-7.006 (1)(e), Residential Services, Quality of Life and Youth Grievance Process

# **standard 2**

## Probation and Community Intervention Programs

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## 2.01 Community Assessment Tool (CAT) Pre-Screen

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**Staff complete the CAT Pre-Screen whenever a youth is referred to the Department for a new law charge.**

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**Guidelines/Requirements:** Review a sample of youth who received a new law violation. The CAT will be completed during the intake process ([within twenty days](#)). For youth who are already under Department supervision, a new CAT Full Assessment may take the place of a new pre-screen.

Review the Department's Juvenile Justice Information System (JJIS) to ensure a new CAT was completed subsequent to the youth receiving new charges.

**Reference:**

- F.A.C. 63D-9.004 (1), Probation, Assessment, Risk and Needs Assessment
- CAT Statewide Business Rules



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## 2.02 CAT Full Assessment

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**Staff complete a CAT Full Assessment for youth identified as moderate-high or high risk to reoffend by the CAT Pre-Screen, referred for Redirection services, or if a residential commitment is anticipated.**

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**Guidelines/Requirements:** Review sample of records in the Department's Juvenile Justice Information System (JJIS) Intake Web [Assessment](#) Module to determine whether the juvenile probation officer (JPO) completed a Community Assessment Tool (CAT) Full Assessment for youth identified as moderate-high or high risk to reoffend by the CAT Pre-Screen, referred for Redirection services, or if a residential commitment is anticipated. [Youth only on intake status and not set for disposition, do not require a full assessment.](#)

**Reference:**

- CAT Statewide Business Rules
- PCI-13-004, Redirection Eligibility and Referrals.

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## 2.03 CAT Reassessment

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**Staff complete CAT Reassessments for youth on probation, conditional release, and post-commitment probation.**

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**Guidelines/Requirements:** Review sample of records in the Department's Juvenile Justice Information System (JJIS) Intake Web [Assessment](#) Module to determine whether the juvenile probation officer (JPO) completed a Community Assessment Tool (CAT) Reassessment.

Review a sample of records to ensure CAT Reassessment results are reflective of the youth's current status, including changes in behavior and progress with Youth Empowered Success (YES) Plan sanctions and goals.

Reassessments should be completed each time there is a new law violation, after each new disposition, and as pre- and post-testing for certain delinquency interventions such as Redirection, Day Treatment, and Transition Services. Refer to contract language for specific requirements.

At a minimum, assessments shall not be more than six months old for any youth on supervision.

The CAT Full Assessment may be used in lieu of the CAT Pre-Screen, but a Pre-Screen may not substitute for a Full Assessment.

**Reference:**

- F.A.C. 63D-10.003 (7), Probation, Intervention, Community Supervision Services
- CAT Statewide Business Rules.

## 2.04 Mental Health/Substance Abuse Screening

**Whenever a youth is referred to the Department for a new law charge (taken into custody or at-large) or taken into custody and screened for a non-law violation of supervision, staff shall complete the MAYSI-2, and applicable sections of the Suicide Risk Screening Instrument (SRSI) in JJIS.**

**Guidelines/Requirements:** Mental health and substance abuse screening is accomplished through administration of the Massachusetts Youth Screening Instrument – Version II (MAYSI-2). Suicide risk screening is accomplished through administration of the Department’s Suicide Risk Screening Instrument (SRSI) and MAYSI-2 – Suicide Ideation Subscale.

Upon a youth’s intake to a Juvenile Assessment Center (JAC) or [Detention Screening Unit](#), a JAC Screener or juvenile probation officer (JPO) administers the MAYSI-2 and probation sections of the SRSI (MHSA 002) to youth. [All screenings are signed electronically by the JPO or JAC Screener completing the screening.](#)

When there are “hits” for further assessment on the [MAYSI Form](#) or [any other information available](#) indicates the need for further mental health or substance abuse assessment, the JPO or JAC intake screener refers the youth for Comprehensive Assessment, in accordance with the provisions of Rule 63D-9.004, F.A.C. [For a detained youth, the JAC Screener or JPO notify the detention center and completed a referral to mental health for an ASR. The JAC Screener or JPO should enter a suicide risk alert on the JJIS Critical Alert list if one was not created automatically by JJIS.](#)

### **Massachusetts Youth Screening Instrument - Second Version (MAYSI-2):**

- MAYSI-2 is administered in JJIS by a staff who has completed the Department’s training specific to its administration.
- [If the MAYSI-2 indicates assessment is required, a referral shall be made for further evaluation or immediate attention.](#)
- [Youth with ANY positive responses on the suicide risk subscales on the MAYSI-2 are to be placed on suicide precautions and a mental health referral is completed, which documents the youth's need for an ASR.](#)
- If staff believes a youth has a mental health or substance abuse problem or is a suicide risk, the staff shall make a referral for further evaluation, regardless of MAYSI-2 findings.
- [For detained youth, when the MAYSI-2 or other admission information indicates the need for an assessment, crisis intervention, or emergency services, a referral shall be made. For those youth released after screening, who are in need of an assessment, crisis intervention, or emergency services, the JPO shall make a referral to TASC or other local provider.](#)

**Suicide Risk Screening Instrument (SRSI):**

- Upon intake, the SRSI must be administered in JJIS [and electronically signed by the JPO or JAC Screener completing the SRSI](#).
- Complete entries include a summary and recommendations in "Screening Results" sections.
- Youth with ANY positive ("YES") responses on the SRSI are to be placed on suicide precautions and a mental health referral is completed, which documents the youth's need for an ASR.

Review sample of youth records for MAYSI-2s and SRSIs.

**Release Notifications:**

- If the youth is to be released to the parent/guardian, the parent/guardian shall be given information as to the location of the comprehensive assessment provider, the appointment time, if arranged by the JPO or JAC Screener, and the importance of delivering the youth for the follow-up appointment. The parent/guardian shall be provided a copy of the [referral form if applicable](#). This process shall be documented in case notes.
- For detained youth, the JPO shall provide written notification to the detention center using the [MAYSI](#) Form of any need for crisis intervention or for youth who are indicated as at-risk for suicide and shall notify the detention center of any need for referral to the center's mental health professional for youth who are in need of further mental health or substance abuse evaluation. This process shall be documented in case notes.

The parent/guardian must be provided the Suicide Risk Screening Parent/Guardian Notification Form. The parent's/guardian's signature is to be recorded on [the form](#).

- A copy of form MHSA 003, signed by the parent/guardian, is to be permanently filed in the youth's case management record and individual healthcare record.

Review a sample of records in JJIS New Web Forms to verify the documents were generated in JJIS. Case notes must [include notification of the parent/guardian and](#) outline the referral process.

**Reference:**

- F.A.C. 63D-9.004 (2), Probation, Assessment, Risk and Needs Assessment
- F.A.C. 63D-9.004 (4), Probation, Assessment, Risk and Needs Assessment
- CAT Statewide Business Rules
- [F.A.C. 63N-1.0051, Mental Health and Substance Abuse Screening](#)

## 2.05 Comprehensive Assessment

Youth shall be referred for a comprehensive assessment (e.g., TASC/SAMH) if the [MAYSI Form](#) [or any other information](#) indicates a need for further assessment.

— CRITICAL —

**Guidelines/Requirements:** If further services are recommended as a result of the Comprehensive Assessment, staff shall refer youth for services, as indicated, regardless of legal status. Staff do not wait for disposition to refer a youth for identified service needs.

If the youth is on intake status, or otherwise not court-ordered, staff shall document the referral and denial, if the youth and/or parent/guardian refuses services.

A Comprehensive Assessment is a report on the youth's physical, psychological, educational, vocational, social conditions, and family environment as they relate to the youth's need for rehabilitative and treatment services, including substance abuse and mental health treatment, literacy, medical, psychiatric, family, and other specialized services, as appropriate.

The Comprehensive Assessment is designed to guide the Department to the right level of intervention and treatment needs based on the individualized needs of the youth.

When the Comprehensive Assessment is received, the juvenile probation officer (JPO) shall forward the assessment to the detention center for youth held in secure detention [within fourteen days](#).

The Comprehensive Assessment is not equivalent to the Comprehensive Evaluation.

Review a sample of records to determine the need for [the youth's](#) referral for a Comprehensive Assessment.

Review records to determine if a referral was made for those youth recommended for further services. In areas where there is not a comprehensive assessment provider in place, the JPO shall refer the youth to a community-based provider for a comparable assessment.

### **Reference:**

- F.A.C. 63D-9.004 (2), Probation, Assessment, Risk and Needs Assessment
- F.A.C. 63D-9.005, Probation, Assessment, Comprehensive Assessment

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## 2.06 State Attorney Recommendation (SAR)

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**Staff shall complete the State Attorney Recommendation (SAR) to document the Department's recommendation of judicial or non-judicial handling of the case, unless waived pursuant to an Interagency Agreement with the local State Attorney's Office (SAO), or the SAO makes a filing decision prior to the twenty-day deadline for non-detained youth.**

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**Guidelines/Requirements:** The intake process is an analysis of the facts resulting in the youth being presented to the Department for an alleged law-violation. A summary of those facts is provided within the State Attorney Recommendation (SAR). Review a sample of records to ensure the SAR addressed the following: attitude of the youth, cooperation of the parent/guardian, ability of the parent/guardian to control the youth, attitudes of the complainant and the victim, information related to the youth's involvement or association with a criminal street gang, and any available information on mental health and/or substance abuse needs.

Review a sample of records to determine if the SAR was submitted to the State Attorney within the required time frame (twenty-four hours if detained, twenty days if released or at-large).

If the circuit has an agreement with the local State Attorney waiving SARs or requiring SARs only in certain circumstances, review the circuit in accordance with the agreement. When reviewing if the SAR was submitted within the appropriate timeframes, the SAR should have also been signed by the juvenile probation officer supervisor (JPOS) or designee prior to submission.

**Reference:**

- F.A.C. 63D-9.003(5), Probation, Assessment, Intake Services
- CAT Statewide Business Rules

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## 2.07 Pre-Disposition Report (PDR)

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**Staff shall prepare the Pre-Disposition Report (PDR) when ordered by the court, detailing the Department's recommendations for disposition and interventions to address needs in the most appropriate, least-restrictive environment reasonably ensuring public safety.**

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**Guidelines/Requirements:** The juvenile probation officer (JPO) shall not attempt to summarize or interpret the Comprehensive Assessment Summary or any subsequent evaluation in the Pre-Disposition Report (PDR).

The PDR shall include an intervention plan recommending the most appropriate placement to meet the youth's needs at the least restrictive level while reasonably ensuring public safety and the youth's accountability.

While the Department has the final responsibility for making recommendations, the youth and parent/guardian shall be given the opportunity to be involved in the development of sanctions and intervention plans.

If the PDR includes a recommendation for residential commitment, the recommendation must be the result of a pre-staffing between the JPO and the JPO supervisor, and a commitment conference with the commitment manager.

In order for the PDR to appropriately generate in the Department's Juvenile Justice Information System (JJIS), staff must complete a Community Assessment Tool (CAT) assessment prior to generating the PDR. For moderate-high and high risk to reoffend youth, staff must complete a CAT Full Assessment.

Review sample of records to determine whether critical issues identified by the CAT are discussed in the narrative section of the PDR and recommendations in the PDR reflect treatment needs identified through the CAT and/or other sources.

Review a sample of records to ensure PDRs were submitted to the court at least forty-eight hours prior to disposition.

Review a sample of records to ensure whether the JPO incorporated the recommendations of the Comprehensive Assessment and attached the Comprehensive Assessment Summary to the PDR. Ensure the PDR was also signed by the JPO Supervisor or designee prior to submission.

### **Reference:**

- F.A.C. 63D-9.003(6), Probation, Assessment, Intake Services
- CAT Statewide Business Rules

# Standard 3

## MQI Standards for Probation and Community Intervention Programs

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\* The Department has identified certain key critical indicators. These indicators represent critical areas requiring immediate attention if a program operates below Department standards. A program must therefore achieve at least a Satisfactory Compliance rating in each of these indicators. Failure to do so will result in a program alert form being completed and distributed to the appropriate program area.



### 3.01 Youth-Empowered Success (YES) Plan Development

**Staff complete the YES Plan for youth on probation, conditional release (CR), and post-commitment probation (PCP).**

**Guidelines/Requirements:** Review a sample of records to ensure the initial Youth Empowered Success (YES) Plan was developed within thirty calendar days of disposition in the case of probation or release from a residential program for CR or PCP youth.

All youth shall have a Community Assessment Tool (CAT) assessment completed prior to the development of the initial YES Plan. If a youth is identified as moderate-high or high risk to reoffend by the CAT, the juvenile probation officer (JPO) shall complete a CAT Full Assessment prior to the development of the initial YES Plan.

Review records to ensure the YES Plan was signed by all parties, including the youth, parent/guardian, JPO, and JPO Supervisor within thirty calendar days of disposition in the case of probation or release from a residential program for CR or PCP youth. *(Electronic signature for JPOS is acceptable.)*

Youth and parent/guardian signatures do not indicate cooperative development of the YES Plan.

Review sample of records to ensure the youth and parent/guardian participated in the development of the YES Plan (i.e., action steps and target dates for the completion of all sanctions and goals). Case notes should clearly reflect the youth and/or parent/guardian were involved, or refused to be involved, in the development of the YES Plan.

The youth and parent(s)/guardian(s) shall be provided with a copy of the initial YES Plan [within ten calendar days of approval](#).

Parent/guardian requirements are waived whenever a youth is eighteen years of age or older, living independently, or otherwise disengaged from his/her parent/guardian as documented in the case notes.

#### **Reference:**

- F.A.C. 63D-10.003 (4), Probation, Intervention, Community Supervision Services
- CAT Statewide Business Rules

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## 3.02 Youth Requirement/Change Goal Elements

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**For youth identified as moderate-high or high risk to reoffend by the CAT, the YES Plan includes at least one Change Goal. The YES Plan provides appropriate and individualized target dates for the completion of each Youth Requirement and Goal. All youth requirements and goal action steps include the intervention plan elements (i.e., who, what, and how often).**

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**Guidelines/Requirements:** Court-ordered sanctions relevant to the youth's needs shall be documented in the Department's Juvenile Justice Information System (JJIS) in the Youth Requirements module. Each youth requirement shall contain at least one specific action step for the youth, parent/guardian, and juvenile probation officer (JPO), clearly defining who is responsible, what action should be taken, and how often the action should be taken, if applicable. Sanctions and goals are "relevant" if they require specific tasks of the youth, involve treatment or counseling, or are something the JPO will be monitoring during the ninety-day plan periods. Sanctions which may be omitted from the Youth Empowered Success (YES) Plan may be driver's license suspensions, possession of weapons, or other general conditions that do not warrant or require on-going JPO supervision.

For youth who are moderate-high or high risk to reoffend, at least one of the top three criminogenic needs shall be addressed by creating a Change Goal in JJIS. The criminogenic needs are the dynamic risk factors. Each Change Goal shall contain at least one specific action step for the youth, parent/guardian, and JPO, clearly defining who is responsible, what action should be taken, and how often the action should be taken.

For youth who are identified by the CAT as high risk to reoffend, their YES Plan shall include an evidence-based intervention, as defined in Rule 63E-7.002, F.A.C., targeting one of the top three criminogenic needs, unless the JPO documents, in writing, barriers to participation, such as the lack of available services, lack of youth readiness to voluntarily participate, transportation difficulties, or lack of parental/guardian approval for participation.

A Change Goal may address an item which is part of the court order, as long as it is also one of the top three criminogenic needs.

Review a sample of records to ensure completion of youth requirements, Change Goals, and evidence-based interventions, as applicable, and confirm required elements.

### **Reference:**

- F.A.C. 63D-10.003 (4), Probation, Intervention, Community Supervision Services
- CAT Statewide Business Rules

### 3.03 Pre-Release Notification (PRN)

For all youth being released from a residential program, a Pre-Release Notification (PRN) shall be completed and submitted to the courts for approval.

#### Guidelines/Requirements:

The JJIS Case Notebook Module shall clearly document each of the following:

- Receipt of the Pre-Release Notification (PRN), Discharge Summary, and other pertinent documentation provided by the residential program.
- If the Department concurs with the youth's proposed release date, the juvenile probation officer (JPO) shall notify the committing judge of the program's intent to release and a plan for aftercare supervision using the Request for Release Letter.
- The JPO must deliver the Request for Release Letter, PRN, and a copy of the program's Release Discharge Summary to the judge within three working days of receipt of the PRN.

#### Reference:

- PCI 19-001, Community Re-Entry Team Requirements

### 3.04 Transition Planning/Reintegration

The juvenile probation officer (JPO) will actively participate in the transitional planning process for youth who are being released from a residential program.

— CRITICAL —

Guidelines/Requirements: Planning for the youth's transition to the community shall begin at the commitment conference, when the appropriate residential and post-residential services are identified.

Once admitted to the residential program, successful transition planning requires an ongoing collaborative effort between the juvenile probation officer (JPO), treatment team, the youth, and parent/guardian.

While the youth is receiving treatment at the residential program, the JPO shall assist the parent/guardian and program staff, as necessary, to ensure communication is conducive to the youth's successful completion of the program.

The Department's Juvenile Justice Information System (JJIS) Case Notebook Module shall reflect the following:

- The JPO or designee shall participate in monthly treatment team meetings for each youth as scheduled by the residential program.
- If the JPO is unable to participate in a monthly treatment team meeting, the JPO shall follow-up with the youth and program to discuss the status of the youth's treatment goals within seventy-two hours of the meeting (excluding holidays and weekends).
- The JPO shall make contact with the youth's parent/guardian by telephone, a minimum of once a month, during the youth's placement.
- Contact with the parent/guardian is not required if the youth is eighteen years of age or older and has requested, in writing, his/her parents not be contacted.
- All youth being released from a residential commitment program shall have a Community Re-Entry Team (CRT) Meeting based on the Statewide CRT Policy PCI-19-001.
- The JPO or circuit transition liaison shall send a CRT meeting notification to all required participants, utilizing Microsoft Outlook Calendar, fourteen calendar days in advance of the youth's scheduled CRT meeting. The following individuals shall be invited to each youth's CRT meeting: the youth, the parent/guardian, the JPO, regional education coordinator, receiving school district transition contact, transition services provider, a representative from the residential program's education department, residential case manager and/or residential transition coordinator, Career Source representative, and residential clinical therapist (if applicable). Every effort shall be made by the JPO to encourage all entities to participate in the CRT meeting.

- The involvement of the youth's parent/guardian and the regional education coordinator are considered crucial and the JPO shall make every effort to accommodate their schedules to ensure participation. When a youth is identified as a Crossover Youth, the involvement of DCF is also considered crucial.
- The JPO or circuit transition liaison shall send the link for video conferencing to all required participants, if video conferencing is to be utilized.

**Reference:**

- PCI 19-001, Community Re-Entry Team Requirements

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### 3.05 Referrals for Intervention and Treatment Services

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**Staff shall ensure all referrals for services are made as indicated by the court order or as negotiated to address criminogenic needs identified by the CAT (for youth who are moderate-high or high risk to reoffend). Referrals for mental health and substance abuse treatment services are based upon court-ordered requirements. Staff shall develop a follow-up and monitoring plan for all referrals for treatment made as a result of the Comprehensive Assessment and YES Plan. If referred for services, staff follows-up with the service provider within thirty days to ensure the youth and parent/guardian have taken the appropriate steps to initiate services. Staff receives, reviews, and documents written and verbal progress reports from the provider.**

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— CRITICAL —

**Guidelines/Requirements:**

The juvenile probation officer (JPO) shall refer the youth and parent/guardian to the appropriate mental health and/or substance abuse treatment service(s) based upon the youth's Comprehensive Assessment findings and recommendations and provide support and follow-up, as necessary, to ensure the completion of sanctions and goals identified in the youth's Youth Empowered Success (YES) Plan.

The JPO shall either provide the youth and parent/guardian with referral information or make a direct referral to the service provider within ten calendar days of the approval of the YES Plan.

The JPO shall make contact with the service provider within thirty calendar days of the approval of the YES Plan to ensure the youth and parent/guardian participated in the admission process and are receiving services.

The JPO shall ensure progress reports, written or verbal, are received from the provider on a regular basis. The JPO shall follow-up with the youth and parent/guardian on any compliance issues communicated by the service provider.

The JPO shall document referrals for services, follow-up with the service provider, youth, and parent/guardian, and any other related contacts in the case notes.

Staff shall be responsible for coordinating services for the youth in accordance with the youth requirements and Change Goals. This includes using formal and informal interagency agreements to link the youth and their families with the services they need. Staff may initially need to broker services, schedule appointments, and arrange transportation for these services. Staff are also responsible for maintaining contact with service providers to ensure services are received and to follow-up on any recommendations made.

Review records/case notes to determine youth and parent/guardian were referred or provided referral information for services identified in Youth Requirements and Goals.

**Reference:**

- F.A.C. 63D-10.003 (5), Probation, Intervention, Community Supervision Services.

### 3.06 YES Plan Implementation/Supervision

**Youth on supervision (probation, conditional release, or post-commitment probation) are supervised in a manner ensuring compliance with the court order and the completion of the YES Plan (youth requirements and goals). Case notes demonstrate compliance (or attempted compliance) with the youth and parent/guardian.**

— CRITICAL —

**Guidelines/Requirements:** Staff shall be responsible for monitoring the youth's compliance with the court order and the completion of the Youth Empowered Success (YES) Plan sanctions and intervention services.

All youth shall have a Community Assessment Tool (CAT) completed prior to the development of the initial YES Plan. The juvenile probation officer (JPO) shall update the previous CAT assessment if one was done during the intake process. Otherwise, the JPO shall complete a new risk and needs assessment.

The initial YES Plan shall be developed within thirty calendar days of disposition, in the case of probation, or release, in the case of conditional release or post-commitment probation, and must be signed by all parties, including the youth, parent/guardian, JPO, and JPO supervisor. An electronic signature for the JPOS is acceptable.

The youth and parent(s)/guardian(s) shall participate in the development of the YES Plan. The youth and parent(s)/guardian(s) shall participate in the development of action steps and target dates for the completion of all sanctions and goals. The JPO shall document the development process in the case notes.

If sanctions need to be completed during supervision, but are not going to start immediately, the requirement status shall be marked as "pending." The requirement start date shall be estimated and the youth requirement shall be reassessed at each ninety-day period.

For youth who are moderate-high or high risk to re-offend, at least one of the top three criminogenic needs shall be addressed by creating a Change Goal in the Department's Juvenile Justice Information System (JJIS). Each Change Goal shall contain at least one specific action step for the youth, parent(s)/guardian(s), and JPO which clearly defines who is responsible, what action should be taken, and how often the action should be taken.

For youth who are identified as high risk to re-offend, the YES Plan shall include a delinquency intervention recognized by the Department as either an evidence-based practice, a promising practice, or a practice with demonstrated effectiveness, and targets one of the youth's top three criminogenic needs, unless the JPO documents in writing barriers to participation, such as the lack of available services, lack of youth readiness to voluntarily participate, transportation difficulties, or lack of parental approval for participation.

The youth and parent/guardian shall be informed of the importance of complying and successfully completing the YES Plan and shall be provided with a copy of the approved YES Plan within ten calendar days of approval.

**Reference:**

- F.A.C. 63D-10.003 (6), Probation, Intervention, Community Supervision Services
- Community Supervision Contact Schedule
- PCI-16-003, Contact with Youth and Families – Amendment I



### **3.07 Youth and Parent/Guardian Contact**

**Juvenile probation officer (JPO) staff shall maintain on-going and regular contact with the youth and parent/guardian.**

**Guidelines/Requirements:** While the youth is under the supervision of the Department, the juvenile probation officer (JPO) shall make contacts with the youth and parent/guardian to ensure the youth's compliance with the court order and the completion of Youth Empowered Success (YES) Plan sanctions and goals. These contacts can be made at youth reporting centers, the youth's home, school, probation office, or other community-based locations.

*Initial 180-Days (First and Second Ninety-Day Periods)*

During the initial 180 days of the youth's supervision, which includes youth who are committed minimum-risk, the JPO shall utilize the youth's most current Community Assessment Tool (CAT) risk to re-offend level to determine the minimum number of face-to-face contacts.

Low and moderate risk to re-offend youth require, at a minimum, one face-to-face contact a month. Moderate-high and high risk to re-offend youth require, at a minimum, two face-to-face contacts a month.

For moderate-high and high-risk youth who are participating in a law enforcement officer (LEO) services, such as curfew monitoring, weekend community service projects, or mentoring, a monthly collateral contact with a LEO shall be counted as one personal face-to-face contact with the youth.

*Post 180-Days (Third and Forth Ninety-Day Periods)*

If, after 180 days, the youth has successfully completed all sanctions and services, and has no pending new law or technical violations of supervision, the JPO may submit a termination request to the court, and reduce the frequency of contacts as follows:

Low and moderate risk to re-offend youth require, at a minimum, one contact a month (face-to-face or by telephone). Moderate-high and high risk to re-offend youth require, at a minimum, one face-to-face contact a month.

If the court has previously order a mandatory minimum term, which goes beyond the 180 days, the JPO is not required to submit a termination request but can still reduce the frequency of contact.

The JPO is permitted to step a youth down if restitution/court fees are the only sanctions remaining, so long as the youth has made a good faith effort to make regular payments.

If the youth incurs a new-law or technical violation of supervision during this time, the contact schedule shall revert to the requirements outlined in the initial 180 days.

Regardless of the CAT risk to re-offend level, the JPO shall make, at a minimum, one contact with the youth's parent(s)/guardian(s) monthly. This requirement can be satisfied through face-to-face, telephone, email, or other electronic contact methods which can be adequately documented.

**Reference:**

- F.A.C. 63D-10.003 (6), Probation, Intervention, Community Supervision Services
- Community Supervision Contact Schedule
- PCI-16-003, Contact with Youth and Families – Amendment I

### 3.08 Ninety-Day Supervisory Reviews

**Cases under supervision (probation, conditional release (CR), or post-commitment probation (PCP)) are reviewed by the supervisor at least once every ninety calendar days.**

**Guidelines/Requirements:** Once the initial YES Plan has been finalized and approved, the juvenile probation officer supervisor (JPOS) shall conduct a supervisory case review of each case at least once every ninety calendar days while the youth is under supervision (probation, conditional release, or post-commitment probation). [Once the initial YES Plan has been signed by all parties, including the JPOS, the JPOS has thirty calendar days to enter a note in the Case Notebook Module and enter the first “formal” supervisory review note.](#) **The date of this initial JPOS supervisory review shall serve as the reference point for tracking when the next supervisory review is due (within ninety days).**

The Department’s Juvenile Justice Information System (JJIS) case notebook module shall be reviewed to confirm supervisory reviews are completed appropriately.

**Reference:**

- F.A.C. 63D-8.001 (23), Probation, General, Definitions
- F.A.C. 63D-10.003 (8), Probation, Intervention, Community Supervision Services
- CAT Business Rules

### 3.09 Ninety-Day YES Plan Updates

**Staff adjust the YES Plan to reflect any new needs and progress made during the course of supervision. Staff must make necessary updates to youth requirements and goals and save a new YES Plan in the Department's Juvenile Justice Information System (JJIS) prior to the ninety-day supervisory reviews. When updates are made to the YES Plan reasonably requiring the input of the youth and parent/guardian, this discussion is clearly documented in the case notes. The case notes clearly document any communication regarding the YES Plan.**

**Guidelines/Requirements:** After changes are made in the Youth Requirements Module, a new Youth Empowered Success (YES) Plan must be generated in the Department's Juvenile Justice Information System (JJIS) at least once every ninety-days. This ensures progress made by the youth during each ninety-day window is clearly documented by the YES Plan in JJIS.

The juvenile probation officer (JPO) supervisor shall ensure the youth is receiving appropriate supervision and interventions.

Review a sample of records to determine at each ninety-day update, the JPO updates target dates, Youth Requirements and Goals in JJIS prior to the supervisory case review, to include closing completed or terminated sanctions and goals, updating action steps for pending sanctions and goals to reflect the youth's progress, or adding sanctions or goals to address additional needs identified during the course of supervision.

**Reference:**

- F.A.C. 63D-10.003 (8)(b)(c)(d), Probation, Intervention, Community Supervision Services
- CAT Statewide Business Rules.

### 3.10 Termination of Supervision

**The JPO requests termination for youth on probation, conditional release, or post-commitment probation upon successful completion of court-ordered sanctions and substantial compliance with restitution and/or court fees. Termination must also be requested if the Department is losing jurisdiction because the youth has reached the maximum age provided in statute or based on the maximum period of supervision applicable to the charge.**

**Guidelines/Requirements:** Staff completes the Progress Report (DJJ/IS Form 12) to request termination for youth on probation or post-commitment probation, or the Pre-Release Notification and Acknowledgment (PRN) form (Form RS 008) and Progress Report form to request termination for youth on conditional release. For youth who are moderate-high or high risk to reoffend, staff uses the Comparative Risk Factor Scores and/or Comparative Protective Factor Scores reports in the Department's Juvenile Justice Information System (JJIS) Community Assessment Tool (CAT) module to demonstrate changes in criminogenic needs and/or protective factors.

Substantial compliance means the youth has exhibited, through routine payments, the intention to follow through with his or her obligation. The juvenile probation officer (JPO) shall verify the amount of restitution paid with the clerk of court. The JPO shall recommend the court retain jurisdiction for restitution and/or court fees if full payment has not yet been made.

Prior to requesting termination, the JPO shall check with local law enforcement to determine if there are outstanding warrants or charges for the youth who have not been filed. At a minimum, this includes the sheriff and police department of the youth's county and city of residence.

The JPO shall notify the court fifteen working days prior to the loss of jurisdiction of a case by submitting a Progress Report. Upon loss of jurisdiction, the JPO shall close the case.

Within five working days of receipt of the court's termination order or the date of loss of jurisdiction, the JPO shall update JJIS.

The JPO shall notify the youth and parent/guardian in writing the youth is no longer under supervision. (Electronic communication is acceptable.)

Review closed records. Review the case notes in JJIS to confirm the JPO checked on youth's status to ensure there were no outstanding warrants or charges.

Review the progress reports in the closed youth records. Confirm youth who are moderate-high or high risk reoffend had the Comparative Protective Factor Scores or risk factor report and request of termination.

When there is a loss of jurisdiction, review documentation indicating the JPO notified the court fifteen work days prior to loss of jurisdiction, and within five working days of receipt of loss or jurisdiction from the court, the JPO updated JJIS.

#### **Reference:**

- F.A.C. 63D-10.006, Probation, Intervention, Termination of Supervision
- CAT Statewide Business Rules