

## **INTRODUCTION**

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The Multnomah County's Smart Supervision Project (MCSSP) will infuse trauma-informed, equity and developmental expertise into the Department of Community Justice's (DCJ) adopted evidence-based case management model, resulting in enhanced and sustained supervision success rates across diverse populations. The resulting model will be paired with intensive coaching and on-going supports to pilot a specialized unit to serve high risk young adults, 15-25, ensuring Probation and Parole Officers (PO) have the expertise and tools needed to respond effectively to the population's unique challenges. Data collection and evaluation efforts will allow continuous improvements over the project period that result in a customized and replicable evidence based approach for improving public safety and long-term success.

### **1. STATEMENT OF THE PROBLEM**

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#### ***Scope of the Problem the Proposed Project will Impact***

In 2002 BJS found the re-arrest, reconviction, and return to prison rates were highest among the 18-24 population. Young adults have different psychological and social needs and some states have passed laws recognizing this population as a special category. It is well known this age experiences major changes in the brain and intensity of emotion/risk taking is increased. Furthermore, the link between trauma and the juvenile justice system is well documented. A study on adverse childhood experience (ACE) reviewed 62,000 justice involved youth and found only 2.8% reported zero ACE's, compared to 36% of youth not justice-involved (Baglivio et al., 2014). If in foster care, they are ten times more likely to be arrested (Velazquez, 2002).

Additionally, race is now recognized as trauma. Being an individual of color and consistently experiencing disparities leads a person to no longer feel safe or function as expected (Lacey, 2013). Youth of color are more likely to experience ACE's than white youth and African

Americans young adults are 15% more likely to be sent to prison (Velazquez, 2002). Multnomah County sees a disproportionate number of youth of color in the criminal justice system. In a recent study of 139 of justice-involved youth (aged 12-22) in Multnomah County who have committed serious person to person crimes, 77% were youth of color and half were considered at high risk for future delinquency (Multnomah County Gang Assessment, 2014). Best practice suggests this group needs customized and comprehensive services to address their unique cultural, emotional and developmental needs (Chief Probation Officers of California, 2007).

#### ***Size and Demographics of the Population Currently under Community Supervision***

DCJ supervises 937 high risk/high need individuals, ages of 15 and 25, within the Adult Services Division (ASD). The Juvenile Services Division (JSD) supervises an additional 74 clients over 18. Of those in ASD, 49% are on probation, 41% are post-prison. Currently, 20% have been convicted of a violent crime requiring a mandatory sentence (Measure 11 crime).

DCJ serves a more diverse group than is reflected in the county overall. Of 937 young adults: 30% are Black, 8% Hispanic, 3% Asian, 2% Native American, and 57% White. Using U.S. Census Bureau data, there is over representation in every category except Asian and White, with Blacks, 5.7% of the county's population, experiencing the largest disparities.

#### ***Current Organizational/Management Supervision Structure***

DCJ's ASD has approximately 120 POs with caseloads ranging from 35 to 500 based on various risk factors determined through the Level of Service/Case Management Inventory (LS/CMI) and the Public Safety Checklist (PCC): Level 1 (very high risk) with a caseload of 1:35; Level 2 (high risk) with a caseload of 1:60; Level 3 (medium) risk with a caseload of 1:130; and level 4 low risk with a caseload of 1:500. Caseloads are also separated by crime committed or other responsibility factors, e.g. gender, family services needed, and mental health.

Age is often pre-determined through legal proceedings, which results in young adults as low as 15 under adult supervision and clients (ages 18 to 21) remaining under juvenile supervision, even when they have exhausted all service options.

***Evidence-Based Strategies Utilized***

DCJ is committed to the use of evidence-based practices. For assessments, ASD utilizes the Level of Service/Case Management Inventory (LS/CMI) risk/needs assessment, and the Public Safety Checklist (PCS), an actuarial risk assessment tool to predict recidivism. JSD utilizes the Juvenile Crime Prevention Risk Assessment (JCP), a validated tool to measure the likelihood of recidivism for justice-involved youth.

JSD uses Functional Family Probation and Parole (FFP) as a case management model, which focuses on how service delivery is provided. It is evidence-based and shown to reduce recidivism and increase overall family functioning. ASD uses the Effective Practices for Correctional Supervision (EPICS) case management model, an evidence based model which focuses on the risk, needs, and responsively (RNR) of a supervisee and integrates the psychology of criminal conduct with the appropriate practices to target criminogenic needs. There is strong evidence suggesting EPICS has been associated with a reduction in recidivism (Gleicher et al., 2013).

***Current Revocation Rate and Baseline Recidivism Rate, including Calculation; Fees Charged***

Currently, DCJ calculates recidivism based on a three-year felony conviction. The recidivism rate for DCJ's post-prison population is 22.2% and the probation population is 25.5%. Statewide database upgrades make it impossible to calculate the current recidivism rate for the targeted population. A baseline calculation will be available prior to October 1, 2015.

Fee policies vary dramatically between the Juvenile and Adult Divisions; Juvenile does not charge fees, while Adult fees are mandated for supervision, drug testing and electronic

monitoring. Though some fees can be waived for a unique case, it is not standard practice.

***How Project will Improve Delivery of Supervision; Need for Federal Assistance***

The proposed project will build on lessons learned during DCJ’s four –year implementation of EPICS to fidelity as well as 10 months of planning to redesign the system to better serve high risk young adults, ages 15-25. The planning effort identified the need to centralize services for these transitional youth to allow staff to effectively coordinate community wraparound services, adequately address developmental needs, and effectively utilize the EPICS case management model. BJA funding will also allow DCJ to initiate a system-wide change and create the tools necessary to address trauma and equity across the DCJ service spectrum in tandem with piloting a new approach to transitional age youth. Focused investment in the proposed training and support model outlined in Section 2 is beyond DCJ’s fiscal capacity. However, long-term implementation of the resulting systemic changes clearly is not. As such, this proposal is an effective and exciting opportunity to create a model with service implications both within DCJ as well as other community justice systems nationwide.

**2. PROGRAM DESIGN & IMPLEMENTATION**

***Project Goals and Alignment with Solicitation Goals***

MCSSP’s goals and objectives are uniquely aligned with the RFA’s overarching goal to develop and test innovative strategies and implement evidence-based probation and parole approaches that improve service delivery and reduce recidivism. At the core of this effort is DCJ’s long-standing commitment to implement the EPICS case management model to fidelity. To further improve the model’s effectiveness, DCJ will engage a team of nationally recognized and locally based experts in three competency areas: adolescent brain development, trauma-informed practice and equity/culturally competent services while maintaining the existing

infrastructure to ensure fidelity. This intensive and integrative approach to improving an evidence based case management model is unique in the region and, potentially, nationwide.

Specific goals adopted for this project are outlined below. Objectives and strategies are included in the attached Project Timeline.

**Goal 1:** Improve effectiveness of DCJ services for high risk, high-need supervisees by applying a trauma informed, developmental and equity lens to DCJ's evidence based case management model and integrate learning's into daily practice.

**Goal 2:** Improve outcomes for high risk young adults, ages 15-25, by piloting a specialized unit that allow for staff to be specialized in the needs of this population, the local services offered, and the enhanced case management model delivery.

**Goal 3:** Ensure continuous improvement and optimize the effectiveness of DCJ's enhanced case management approach through application of a rigorous evaluation of outcomes and processes.

Over the three-year project period, consulting subject matter experts (SME) will provide intensive and on-going support to DCJ staff as they collaboratively assess current policies and procedures, enhance training materials, and engage in skill building efforts using the existing case management training and coaching infrastructure, resulting in a sustainable and equitable system that addresses the needs of DCJ's diverse clientele. While these efforts will impact case management practice system-wide, the project will fund specialized supports and skill building efforts to create a pilot unit to meet the unique needs of high risk young adults, ages 15- 25.

The project will be implemented in eight phases:

1) Subject Matter Expert Training will be offered to SME and evaluators to lay existing groundwork about the core principals of EPICS, the existing coaching/coding role and how it supports alignment with EPICS evidence based implementation.

2) Policy and Procedure Review will engage SMEs to collaboratively utilize their specific “lens” in a review of standard policy and procedures related to case management training and practice to determine operational changes necessary for implementing trauma-informed, equitable and developmentally appropriate services. Recommendations will be vetted through the project Advisory Council consisting of SME, managers, and evaluators, to help guide the change and plan implementation strategies.

3) Staff Training in Core Competency Concepts will be developed and offered by SME to provide DCJ staff a foundation for the core competencies prior to implementation.

4) Theory into Practice Skill Development involves SME-led intensive trainings to pilot unit POs, managers, EPICS coaches, EPICS Coders and evaluators. This training will include case studies using existing EPICS tapes, coaching, scripts and role playing.

5) On-going Coaching and Mentoring by the SME will support Unit POs and the EPICS Coach as they operationalize trainings from Phase 4. SME will also review EPICS tapes (this unit will transition from audio to video to allow for better feedback) and continue to consult with managers and the Advisory Council.

7) Expanding Collaboration and Partnerships: the Advisory Council, in coordination with the unit staff and other stakeholders, will identify and assess partnerships and services to help build collaborations to better support young adults, ages 15-25 assigned to the pilot unit.

6) Evaluation: DCJ’s Research and Planning unit (RAP) will conduct focus groups, collect and analyze data, and participate on the Advisory Council throughout the project to ensure continuous improvement and completion of a final report.

7) Sustainability will involve identifying and implementing protocols and training recommendations for implementation following the grant period, an effort that will be on-going,

but culminate the last year of funding. Recommendations will include viability of expanding the Pilot unit to include all high-risk youth on DCJ's juvenile and adult caseloads as well as sustain and expand work in equity, cultural responsiveness and trauma.

***Proposed Project Alignment with Mandatory Project Components***

The proposed project addresses all objectives/mandatory project components. The project will **increase the effectiveness of the supervision and treatment of high risk/high need individuals** across DCJ by aligning the existing evidence based case management approach with best practices in trauma-informed care and cultural responsiveness, with an emphasis on establishing **developmentally appropriate strategies for young adult supervisees**. **Eligibility determination and enrollment into Medicaid/Oregon Health plan** is ensured for all DCJ clients during the assessment period and case management strategies ensure **connection to medical providers**. DCJ's already robust evaluation protocols will be expanded to **identify the impact of proposed enhancements**, which will continue and improve the department's **delivery of supervision strategies and practices** enhanced through the efforts of this project.

***Allowable Uses of Funds the Proposed Project will Address***

Activities funded through this project will allow DCJ to **increase the effectiveness of community supervision** by customizing an existing evidence based practice to the needs of diverse populations as well as **test resulting policies and strategies** through the use of data and evaluation techniques for all supervisees - with a **specific focus on young adults**. Furthermore, the project will **evaluate the result of new strategies and tools tested through the initiative**.

***Data to Support the Project Design***

As discussed in Section One, data shows this population has experienced significant trauma, has special developmentally needs, and that people of color are disproportionately represented in

the criminal justice system. Substance abuse and Mental Health Services Administration (SAMHSA) recognizes that what you say, what you do, and how you do it matter. The way services are delivered can increase or decrease engagement in the change process.

The project design is based on DCJ's successful system change effort implementing an evidence based case management model, which required Multnomah County invest significant time and resource to ensure fidelity and sustainability. The resulting approach is based on sound organizational change management theory and includes a focus on building expertise within individual staff, coaches, and the organization. It simultaneously focuses on people, tools, and procedural changes; it is a collaborative approach that develops buy-in from all levels of the organization; it includes subject matter experts in the field acting as a change agents; and it builds in-house champions (Hall & Tolbert, 2005))

***Roles and Responsibilities of the Research Partner and Integration into Strategy***

Our research partner is a stand-alone Research and Planning Unit (RAP) within DCJ, which will be fully incorporated into the strategy and all aspects of implementation. RAP staff will be a member of the Advisory Council and attend training, coaching or mentoring sessions. In addition to evaluating recidivism, Risk/Need changes, client participant and satisfaction, PO participation and satisfaction, and implementation fidelity will be measured. RAP will also be responsible for collecting and submitting quarterly performance measures and provide ongoing analysis, monitoring and assessments of the program's impact. This information will be provided to the Advisory Council, pilot unit and SME to facilitate continuous improvement. At the conclusion of the project, RAP will provide a final report that will include content provided by the SME.

***Number of Individuals under Community Supervision Served by Project***

As a systems change effort, the project will impact all future DCJ clients as training and



supports developed during the grant period become institutionalized. Additionally, the project will create a pilot unit to serve up to 150 high risk young adults 15-25 currently served on ASD and JSD caseloads who meet one of the following criteria: Adults who are still under JSD supervision but aged out of juvenile services; juveniles, under ASD who committed a violent crime with a mandatory sentence, or were granted a downward departure; and/or individuals in the Community Partner Reinvestment Program (CPR), 18-25 year olds released from prison.

Once project enhancements are in place and the three core POs trained to serve as mentor/coaches, DCJ plans to expand the unit to serve all 15-25 year old high risk offenders who do not need other specialized supervision strategies (i.e. sex offender, domestic violence, trafficking, etc.), estimated to be up to 450 clients. The resulting unit will have the specialization, tools, structure necessary to maximize success for transitional age youth. It will also provide an evidence base model for other jurisdictions across the nation.

### **3. CAPABILITIES AND COMPETENCIES**

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#### ***Responsible Agency, Management structure and staffing***

The applicant, Multnomah County's Department of Community Justice (DCJ), will have overall responsibility in the planning, implementation and oversight of all program activities. The DCJ Business Services Department oversees and processes budget activities, transactions and reporting to ensure grant compliance, overseeing more than \$ [REDACTED] in federal and state funding annually and sub-contracting with over [REDACTED] community-based providers to ensure culturally appropriate and flexible treatment and outreach services for its clients. The management structure, outlined below, leverages existing staff with the expertise and vision necessary to succeed, who will work collaboratively with grant funded staff and contractors to achieve program goals and outcomes.

***Program Staffing (see attached job descriptions and resumes)***

██████████, *District Manager, Adult Division (leveraged)* Role: Program oversight and alignment with Adult Division resources Experience: ██████████ has worked in community corrections for over █ years, ██████████ has served as PO, manager, and district manager overseeing programs serving gang-involved young adults, young adult males transitioning from prison, and youth who were on ASD supervision. For the last 10 months, ██████████ has led planning for the transitional youth unit in collaboration with ██████████.

██████████, *Senior Manager and Licensed Clinical Social Worker, Juvenile Division (leveraged)* Role: Program oversight and alignment with Juvenile Division resources. Experience

██████████ has been employed with the department █ years. ██████████ currently manages Probation and Accountability Services for Multnomah County Department of Community Justice Juvenile Services Division. ██████████ previous experience involved managing various field units including, Gang, Sex Offender and Gender Specific probation teams. In addition to probation supervision ██████████ has managed an outpatient treatment team of therapists providing intensive in home family therapy and assessments for youth on juvenile supervision.

To be Determined, *Community Justice Manager (leveraged)* will serve as project coordinator, convene Advisory Council, supervise the unit, program implementation and coordinate SME activities.

To be Determined, *3.0 FTE Parole Officers (leveraged)* will be assigned to create the Pilot Unit outlined in this application. The POs will all be experienced employees committed to the vision of enhancing and improving services to young adults through active and engaged participation in all aspects of this proposal. Training provided will result in these POs serving as mentors to new POs assigned to the unit as it expands to meet the needs of additional clients.

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To Be Determined, 1.0 FTE EPICS Coach (*grant funded*) will serve as lead EPICS coach in system change and work directly with pilot unit to integrate enhancements into service structure, expand training to existing EPICS coaches working across DCJ. All EPICS coaches are experienced POs, receive advanced training in evidence based practice implementation, and receive ongoing support to improve their coaching and mentoring skills. This position will support the unit in transitioning from audio only tapes to video tapes of EPICS sessions.

██████████, 0.10 FTE Sr. Policy Advisor, Multnomah County Office of Diversity and Equity (*grant funded*) Role: Review DCJ policies, procedures and training protocols using the Equity and Empowerment Lens, work with EPICS coaches and trainers to embed equity into services. Build on lessons learned to expand policies, procedures and training protocols to other DCJ units. Experience: ██████ led Multnomah County's development of the Equity and Empowerment Lens, a nationally recognized quality improvement tool used for planning, decision making and resource allocation leading to racially equitable policies and programs.

***Contracted Subject Matter Experts (see attached biographies)***

Trauma Informed Oregon (TIO) will provide three years of organizational change management expertise around trauma informed practices. TIO works statewide to review organizational practices to make them trauma informed for both the workers and clients. Partner ██████ specializes in turning trauma informed theory into daily practice, supporting direct service providers in modifying service deliver, and has trained the DCJ's JSD staff.

██████████ will be the lead coach and mentor ██████ has provided expertise to DCJ's Community Partners Reinvestment (CPR) program, which supports 18-25 year old males transitioning from prison to the community. ██████ is also lead of a community-based violence prevention program for males of color between the ages of 10 and 25 who have suffered

from a penetrating trauma. Dr. [REDACTED], is a nationally recognized expert on trauma, adolescent development and culturally response service delivery.

***Capability to Implement Project, including Data analysis, Planning, and Evaluation***

DCJ is a nationally recognized leader in implementation of evidence-based practices as the foundation of its community supervision. This commitment is evident in its implementation of EPICS, the evidence based practice at the core of this proposal. Over the past four years, DCJ followed the protocols outlined in this proposal to implement EPICS to fidelity. Today, in-house positions designated to continue that work to ensure sustainability and will be fully integrated into the enhancements developed through the work of this grant. Further, DCJ resources a Research and Planning Unit (RAP), with access and fluency in the data warehouse that archives recidivism and other criminal justice related variables at the offender level.

***Evaluator Staffing (see attached position descriptions and biographies)***

MCSSP will leverage the expertise and experience of DCJ's stand-alone Research and Planning Unit (RAP) to serve as the evaluator of this project. The largest research team in Oregon County Community Corrections, RAP reports to the Director's Office and employs two doctoral level researchers, a full-time statistician, evaluation analysts and interns. Funding for the proposed project would add an additional .75 FTE to work alongside staff responsible for assessing and reporting the fidelity and outcomes of EPICS. RAP's expertise in conducting research with both adult and juvenile populations, combined with access to historical data allowing for pre-post comparisons, trends analyses, etc. will allow for enhanced tracking as youth are served in the pilot unit. RAP also conducts DCJ's annual ASD and JSD staff surveys, which can be accessed for this grant to provide data on changes in attitudes and knowledge. It also has permitted SQL access to the County-maintained public safety data warehouse, as well as fluency with the

variables it contains, which will allow for comprehensive recidivism reporting. RAP also maintains an internal electronic database of over 1,000 publications on evidence-based practices.

██████████ *Manager of Research and Planning, Directors Office (leveraged).* Role: Responsible for the overseeing the development and execution of the evaluation plan.

Experience: ██████████ has over 20 years experience managing quantitative and qualitative research studies and multi-site evaluations in criminal justice, addictions, mental health, cultural competence, child support, and child welfare. As ██████ attached resume reflects, ██████ has authored numerous papers and taught courses in research methods and statistics.

To be Determined, *0.75x FTE Research and Planning Program Technician (grant funded).* Role: Participate in the Advisory Council, collect SSP performance measures and evaluations data, provide quarter feedback, and collaborate with program staff.

#### **4. PLAN FOR COLLECTING PERFORMANCE MEASURE DATA**

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RAP will have primary responsibility for completing and submitting the Smart Probation Program (SPP) performance measures. A dedicated data technician will be assigned to the project throughout the grant period to serve as a critical liaison between project and evaluation planning. This analyst will be a key member of the Advisory Council and have primary responsibility for implementing the evaluation plan. Quarterly, the analyst will collect data and provide feedback to the Advisory Council. Timely and accurate grant reporting will be ensured using RAP's existing infrastructure, which has a strong history of meeting recurring deadlines.

#### **5. IMPACT/OUTCOMES, EVALUATION, AND SUSTAINMENT**

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##### ***Goals and Objectives for Program Development, Implementation, and Outcomes.***

MCSSP's three goals are detailed, along with 8 implementation phases, in Section 2; additional details, along with project objectives, are included in the attached Project Timeline. In

addition to outcomes aligned with the required performance measures, the evaluation will measure employee and client experience as well as continued EPICS implementation fidelity.

***Documentation, Monitoring and Evaluation of Performance; Impact of the strategy***

The SSP required performance and other quantitative and qualitative measures will be used to determine if: recidivism is reduced; the severity of client risks/needs are reduced overtime, or; if there is an impact in the way POs deliver, and clients view, services. Data will be collected through focus groups and surveys, formalized monitoring, and documentation procedures currently utilized for EPICS fidelity monitoring. Currently, POs upload client sessions to be coded and used by coaches to provide feedback. MCSSP provides DCJ the capacity to add a position to specialize in proposed enhancements and increase monitoring of PO/client sessions.

***Data/Information to be Collected, Leveraging Partnerships, and Evaluation Plan***

To ensure collaboration and integration, RAP will sit on the Advisory Council to align evaluation activities and review performance measures quarterly to support continuous improvement activities. They will also utilize new and existing forums to communicate regularly with program staff to ensure the evaluation plan and expectations are clear. RAP will conduct the following evaluation activities to support objectives of this grant:

***Impacts/Outcomes Analyses:*** (A) Focus Groups with Young Adults: In Yr 1, RAP will partner with facilitators from Equality Works to conduct two focus groups 1) JSD clients aged 15-25 and 2) ASD clients 15-25. These groups will document supervision challenges experienced by this population prior to the formation of the specialized unit. They will also provide examples for SMEs to address during future staff trainings. In Yr 3, a focus group will be held with young adults from the specialized unit to identify project impacts. (B) Pre-Post Criminal Risk Measures: RAP will analyze baseline and follow-up assessment data (LSCMI and JCP) to

determine if the severity of criminal risk/need decreases over time. (C) Recidivism Tracking: RAP will track re-arrest rates, conviction rates, jail/prison bed usage of the specialized unit as well as a matched comparison group.

***Process/Fidelity Analyses:*** (A) Pre-Post Training Staff Surveys: RAP will coordinate with trainers on the development and analysis of a pre-post test to determine training effectiveness and staff readiness. (B) Analysis of Rating Sheets: Trained staff will be required to submit tapes on all client meetings. Tapes will be selected at random by the RAP data technician and then rated by coaches. RAP will help track and analyze the results of these ratings forms to assess fidelity to EPICS and the enhancements. (C) Tracking Coach Feedback: Timely feedback from coaches to staff is critical for skill mastery. RAP will track the time passed between tape submission and feedback from coaches.

***Sustainability:*** Focus Group with Staff: RAP will partner with facilitators from Equality Works to conduct a focus group with DCJ staff to reflect on lessons learned from the grant and collect feedback on how to sustain /expand these activities going forward. RAP will code the themes and present them to the Advisory Council for implementation.

***Plans to integrate project and commitments, financial sustainability and long-term results***

As a systems change effort, MCSSP is designed to be fully sustainable. Project funds will serve as a catalyst for enhancing services and improving long-term outcomes while leveraging staff positions who will, in turn, be the coaches and mentors who ensure long-term impact. The resulting reduction in recidivism, improved service delivery and enhanced case management practice, evaluated and further refined as part of the project, will be integrated across DCJ's programs and accessible to other jurisdictions utilizing the EPICS model.