

**EMBRACING EVIDENCE-BASED PRACTICES:  
IMPLEMENTING CHANGE IN PROBATION**

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# **EMBRACING EVIDENCE-BASED PRACTICES: IMPLEMENTING CHANGE IN PROBATION**

**Joshua F. Tenorio**

## **Abstract**

In recent years, criminal justice probation strategy has shifted from a heavy concentration on law enforcement compliance to an emphasis on improved client outcomes and reduced recidivism, based on programs and processes validated with scientific evidence that measure effectiveness and success. In Guam, court leaders and judicial officers recognized that high recidivism rates should be countered with evidence-based practices that focus on identifying the risk, need, and responsivity of offenders, the use of effective intervention and treatment programs, and shift in focus to client outcomes. Achieving dramatic change requires a greater commitment in time and resources, which is particularly challenging for jurisdictions that are resource-strapped or inexperienced with implementing system change.

The purpose of this project was to develop a strategy to pursue change and improvement to the probation system in Guam, with the ultimate goal of reducing recidivism. The project involved a survey of the views and perceptions of probation managers, officers, and staff relative to their work, and examined the concepts of evidence-based practices. Extensive discussions and focus groups with probation management and stakeholders provided data regarding the quality and effectiveness of probation work, willingness to consider new concepts and approaches, and suggestions on how to improve their work.

Critical findings revealed an inadequate level of supervision of probationers due to high caseloads; limited services to probationers due to a lack of availability and diversity of services;

and lack of knowledge in identifying client outcomes by probation staff. The results also revealed a disconnect and misunderstanding of best practices, the availability of treatment options, and the consideration of client needs as they relate to success during the period of supervision. The most significant conclusion of this project supports the need for the probation department to acquire and implement a risk, needs, and responsivity (RNR) tool to help probation officers develop individualized case plans that address behaviors and risk factors during the period of supervision. To ensure effective implementation, time and resources must be dedicated to training, collecting performance and validation data, and ensuring the effectiveness of intervention and treatment programs.

Implementing system change requires a significant amount of time and resources; however, court leaders and probation management must make the necessary investment to achieve improved client outcomes, effective case supervision, and a reduction in recidivism rates.

## **Introduction**

The Probation Services Division of the Judiciary of Guam (JOG) is in a state of transformation. Court leaders want to improve and evolve probation strategies and services by adopting evidence-based practices and focusing on client outcomes. Awareness and forward action in implementing evidence-based practices in the area of juvenile justice has caused and influenced interest in starting the same transformative process for adult probation.

In recent years, court officials and the leadership of the probation office have expressed concerns regarding the effectiveness of probation strategies on Guam, as recidivists with excessive criminal records have committed many notorious crimes. Over time, this disturbing trend has influenced the passage of legislation resulting in greater penalties and incarceration periods for recidivists convicted of new offenses. As a result, judges have become tired of seeing the same defendants repeatedly in their courtrooms, and detention and prison facilities have overcrowded with detainees and inmates.

The key to improving probation strategies, services, and operations is securing the trust, commitment, and confidence of the employees of the probation services division. In order for probation officers to subscribe and be open to change, it is imperative that they learn about evidence-based practices and understand what will be expected of them in an improved probation system focused on client outcomes.

Change is difficult in any environment, as people tend to stay within their comfort zones. However, information tends to empower people to accept risks and become more open-minded to new ways of doing things. This is the case within the Probation Services Division as a

juvenile probation review and juvenile justice reform effort has focused attention to evidence-based practices. The effort has involved a number of juvenile probation officers, who in turn, have influenced and informed their counterparts in adult probation about the improvements underway or planned in the juvenile probation office.

The purpose of this project is to examine the views and perceptions that adult probation officers have about their work, examine the concepts of evidence-based practices, and develop a strategy to pursue change and improvement to the probation system in Guam.

A survey of adult probation staff will provide data to assess their collective views on the quality and effectiveness of their work, willingness to consider new concepts and approaches, and to obtain suggestions on how to improve their work.

### Probation Services

In Guam, both adult and juvenile probation services fall under one division within the judicial branch. For a population of approximately 165,000 residents, Guam has a large number of probationers, including approximately 6,000 adults on probation or 1 in 27, as compared with the

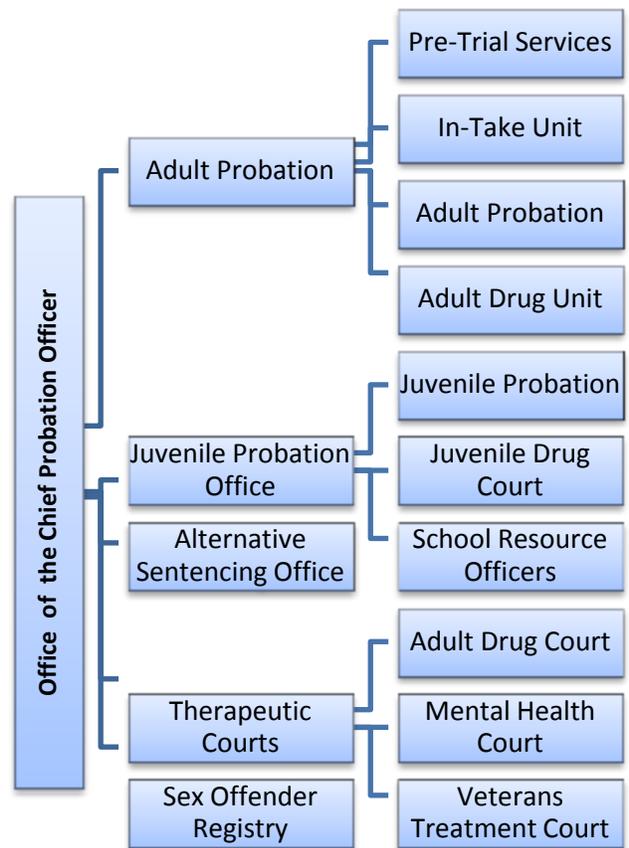


Figure 1. Organizational Structure of Probation Services Division

national average of 1 in 51. For juveniles, the figure is approximately 600 juveniles including status offenders that are under supervision by the courts.

Since its inception, probation services have been vested in the Superior Court of Guam. In 2004, court unification was implemented and the Supreme Court of Guam was vested with administrative oversight over the Superior Court of Guam. The Probation Services Division is led by the Chief Probation Officer, who is appointed by the Administrator of the Courts with the concurrence of the Chief Justice of Guam, after a formal search.

The Probation Services Division has experienced tremendous growth in size over the past thirty years. From a small team of probation officers and professional staff in the early 1980s, the division has grown into a full service department for adult defendants and juvenile offenders. In fact, the Client Services and Family Counseling Division of the Judiciary of Guam, which is comprised of licensed mental health professionals, was initially established as the forensic services unit of the Probation Services Division. There is some collaboration at present, and opportunities for more cooperation between the staff of the two divisions.

More than eighty staff members comprises the Probation Services Division. These include probation officers, case managers, specialty court coordinators, probation service assistants and administrative support staff. Nearly one third of the staff is assigned to juvenile probation services while the other two thirds are assigned to various units that service adults. Prior to a juvenile probation review conducted in 2015, probation officers regularly rotated between adult and juvenile probation services.

There are more than a dozen contracted drug and alcohol therapists who work under the supervision of the drug court staff within the probation office. The department's leadership includes the chief probation officer, a deputy chief probation officer, probation officer supervisors, and specialty court coordinators.

## **Training**

In the last decade, training of probation officers has focused on traditional supervision practices and compliance with court orders and conditions of release. There is an emphasis on law enforcement training focused on active shooter, firearms, officer survival, and tactical operations. This emphasis is influenced by the statutory designation of probation officers as Category 1 peace officers governed by the Peace Officer Standards and Training Commission (POST) (17 Guam Code Annotated §51101 et seq.).

The minimum requirement for employment as a probation officer is a Bachelor's Degree in Criminal Justice and a Certificate in Law Enforcement from an accredited institution. Prior to the institution of these job requirements, many senior probation officers were recruited from the Guam Department of Public Health and Social Services in the 1980s and hold degrees in social work. By the late 1990s, the majority of officers would hold criminal justice or public administration degrees. The shift to peace officer status for probation officers began in 1997.

Only a few of the staff are trained to identify risk and needs of clients utilizing evidence-based tools. These staff members are exclusively assigned to the Juvenile Probation Office, Adult Drug Court, and the Mental Health Court. Traditionally, the collaborative work between the staff of

the therapeutic courts and the rest of the probation staff was focused on enforcing court orders or handling aspects of drug testing violations.

### **Juvenile Probation**

There are more than 600 court-involved juveniles, comprised of approximately 200 status offenders and 400 juvenile delinquents, seen at the courts at any given time. Except for juveniles admitted to the juvenile drug court, juveniles have not historically been pre-screened to determine risk level nor have risk, need, and responsivity tools been administered to develop individualized case plans for medium and high-risk youth. Traditionally, there has also been a lack of children's mental health services.

For the last ten years, juvenile probation services have been organized in three distinct offices/programs. They are:

- *Juvenile Probation Office* – supervises all juvenile delinquents and a few juvenile status offenders assigned by the Truancy Referee on a case-by-case basis.
- *Juvenile Drug Court* – supervises therapeutic services and treatment of juveniles admitted to the Juvenile Drug Court program.
- *School Resource Officers* – Since 2012, nine probation officers have been assigned to the five public high schools in a hybrid school resource officer program designed to provide a law enforcement presence on high school campuses, whereby officers serve as mentors and provide law-related education to students.

The Client Services and Family Counseling Division of the Judiciary of Guam and the Department of Youth Affairs provide court-ordered therapeutic and evaluation services for

juveniles. The Alternative Sentencing Office also provides instruction for some juveniles in programs seeking to address substance abuse and theft.

### **Judicial Leadership and Juvenile Justice Reform**

“The realm of juvenile justice, specifically, presents us with arguably the greatest opportunity to really change lives and reverse the increasing crime rate in our island home. We stand at a crossroads in juvenile justice history, and the Judiciary wants to proceed with reform in our heart,” said Chief Justice Robert J. Torres in his 2014 State of the Judiciary Address delivered to the Guam Legislature. Shortly after he delivered the address, Chief Justice Torres led a 5-member team to a meeting of western states and territories sponsored by

the MacArthur Foundation and the National Center for State Courts focused on juvenile justice reform. The team identified four focus areas to pursue in juvenile justice – with the first being the adoption of a Risk and Needs Assessment Tool for juveniles.

The Judiciary of Guam contracted the Robert F. Kennedy National Resource Center on Juvenile Justice to conduct a juvenile probation review and identify a path to evolve and transform its services. The work with John Tuell and Kari Harp of the RFK National Resource Center on Juvenile Justice (RFK National Resource Center) began in October 2014 and resulted in the release of the Guam Probation System Review Final Report in August 2015, including a set of 15 recommendations for the improvement of juvenile probation services (Tuell & Harp, 2015).

“The challenges are many but the Guam Probation Division has already initiated efforts toward important reforms that will improve the practices within the Probation Division and among some of their critical partners to achieve their goals.”

**Guam Probation System  
Review Final Report  
August 2015**

The review process began with an extensive mapping process of Guam’s juvenile justice system. Additionally, various decision points in the lifecycle of a juvenile delinquency case were identified and mapped. This process included a thorough review of relevant statutes and court procedures, as well as interviews of court personnel, court partners, and stakeholders. An important part of the juvenile probation review was a survey administered to juvenile probation officers that addressed pre-disposition investigations; case supervision; departmental management and supervision; resources and service delivery; best practices; client outcomes; and inter-agency relationships.

In addition to identifying attitudes and views on the effectiveness of the

probation system, the survey introduced new concepts and allowed probation officers to provide input and recommendations on how to improve services and strategies.

<b>Juvenile Probation Survey Results</b>	
<b>100%</b>	Additional resources are needed to adequately provide for the parent and family support network for probationers.
<b>94%</b>	Services to probationers are not provided in a timely manner.
<b>81%</b>	Most probationers are referred to the same services.
<b>81%</b>	Probationers need more help than they presently receive during their period of probation.
<b>69%</b>	The supervision of probationers is focused more on enforcement than rehabilitation.
<b>69%</b>	Probation services are not based on best practices.
<b>63%</b>	Probation officers are not knowledgeable about identifying client outcomes for probationers.
<b>56%</b>	Probation officers are not knowledgeable about best practices for providing services to probationers.
<b>56%</b>	Caseloads do not allow for an adequate level of supervision.
<b>44%</b>	The enforcement of conditions is sufficient activity for the supervision of probationers.
<b>38%</b>	Client outcomes are clearly identified for each probationer to guide the service delivery.
<b>34%</b>	Probationers are receiving the required number of contacts as indicated by supervision level
<i>Source: 2015 Guam Juvenile Probation Review Final Report</i>	

**Figure 2. Summary of Juvenile Probation Survey Results**

Even prior to the issuance of a final report with findings and recommendations in August 2015, a Juvenile Probation Review Management Team already began instituting organizational changes. These include the unification of juvenile services under one governance structure, the identification of risk and needs assessment tools, and the restructuring of management and staff. Probation management decided to unify the Juvenile Drug Court as a program within the Juvenile Probation Office. This was supported by the probation system review with the intent of expanding therapeutic services to the entire juvenile population and not just those juveniles referred to the juvenile drug court.

The members of the Probation Management Review Team selected the SAVRY (Structured Assessment of Violence Risk in Youth) Risk and Needs Assessment Tool (SAVRY Tool) for use with juveniles screened as medium and high-risk by an evidence-based screening tool that determines risk level.

The services of the National Youth Screening Partners was secured to provide training to 40 probation officers, youth service workers, social workers, therapists, and caseworkers from the Judiciary of Guam, Department of Youth Affairs, and Child Protective Services. All probation officer supervisors, including those assigned to adult probation, were included in the training. Probation managers believed it would be important for all probation officer supervisors, including those in adult probation, to receive the training and education in structured needs assessments.

However, during training for the SAVRY Tool, the top concerns that emerged from the juvenile probation officers were the large caseloads and the high ratios of clients per probation officer. Officers were concerned that they would not be able to keep up with their work in addition to

administering the SAVRY Tool to their clients. Eventually, the application of the screening tool for juvenile clients resulted in the expedited closure of approximately 20% of all open cases.

The review team decided that mental health screening would be conducted by the Client Services and Family Counseling Division using the Massachusetts Youth Screening Instrument (MAYSI-2). The team also decided that the Juvenile Drug Court substance abuse tool would be used to screen substance abuse on all juveniles requiring such screening.

Prior to the SAVRY and MAYSI training, the method of assigning individual probation officers to the juvenile probation office was reviewed and a commitment was made that those assigned to juvenile services would be placed on a long-term basis. Probation management agreed to end the rotation of probation officers between adult and juvenile services that had been the practice for more than 25 years and to create a team of probation officers with specialized training in these new tools.

Implementation continues in the juvenile probation office with the SAVRY Tool being piloted while concerns are addressed with the juvenile defense bar. It is expected that full implementation will cover a three-year period with some time spent on the establishment of validation procedures and quality assurance measures.

### **Adult Probation Services**

In contrast to juvenile probation, the situation in adult probation is more complex due to the significantly greater number of clients. In early 2014, serious discussions were underway amongst court leaders about the need to shift probation strategies employed in Guam. Discussions were further influenced by training and exposure to evidence-based programs at

national training conferences focused on family violence offenders, sex offender management, evidence-based sentencing, and juvenile justice. Court administration and probation leadership shifted the focus towards identifying risk, needs, and responsivity instruments for use and implementation in Guam. However, the lack of experience in the area of risk, needs, and responsivity was a challenge and proved to be a barrier to implementing needed reform.

Currently, evidence-based pre-screen tools are not being used with adult probationers to establish risk level. Additionally, RNR (Risk, Needs, and Responsivity) Tools are not being used to determine the needs of probationers or the services they need to mitigate risk factors. There are some screening and assessment tools for family violence, substance abuse, and mental illness that are used in the therapeutic court setting.

It is the current practice in adult probation, for probationers to have contact with numerous probation officers and staff during their supervision period. Probationers with multiple cases could have multiple probation officers assigned to them depending on the case type and status. Pre-trial probation officers are assigned to defendants until cases are adjudicated, at which point, cases are transferred to probation officers in the adult probation section. Drug cases are transferred to the Adult Drug Unit. Probationers are processed when checking-in, by probation staff assigned to the Intake Section.

Adult probation officers are assigned to various probation units based on the stages of probation and the lifecycle of a criminal case.

- *Intake Unit* - manages the process of probationer check-ins ordered by a judge in both pre-trial and adjudicated cases and administers court ordered drug and alcohol tests.

- *Pre-Trial Unit* – supervises all defendants on pre-trial release and report compliance with pre-trial conditions of probation to judges.
- *Adult Probation Unit* – supervises all probationers whose cases have been adjudicated by the courts and monitors compliance of court orders.
- *Adult Drug Unit* – supervises all probationers with drug-related cases that have been adjudicated by the courts and monitors compliance of court orders.
- *Mental Health Court Team* – monitors and supervises all defendants admitted to the Mental Health Court including the development of and adherence to treatment plans, medical care, and mental health services.
- *Adult Drug Court Team* - monitors, supervises, and facilitates the cases of defendants admitted to the Adult Drug Court Program including referrals for substance abuse treatment services.
- *Veterans Treatment Court Team* – pre-screens veterans and service members eligible for admission into the Veterans Treatment Court. Upon admission, monitors, supervises, and facilitates the treatment of veterans and referrals for services and mentoring programs.

In a new development, court leadership and staff is in the process of formulating an action plan to launch and implement a Reentry Court in partnership with the Guam Department of Corrections and the Guam Parole Board. This effort will focus on opportunities to counter the high incidence of recidivism on Guam. The effort is being led by the Presiding Judge of the Superior Court of Guam and will likely be launched at the end of 2016.

With regards to services for probationers, contract drug and alcohol therapists are retained for the Adult Drug Court Program. The Vet Center and the Veteran’s Clinic provide screening and

therapy services for eligible veterans. Referrals for services are made to the Guam Behavioral Health and Wellness Center, the Agency for Human Resources Development, and the Guam Community College Adult Education program, generally on an ad hoc basis with limited structure and follow-through.

Within the judicial system, the Client Services and Family Counseling Division of the Superior Court of Guam provides some assistance using its staff comprised of an administrator who is a licensed Individual, Marriage, & Family Therapist (IMFT), a clinical psychologist, and eight other licensed IMFTs. However, the division does not play a dominant role in the referral for services. There has been some discussion in assigning the division to play a greater role in providing this service.

### **Alternative Sentencing Office**

Personnel from the Superior Court of Guam Alternative Sentencing Office, a unit of the Probation Services Division, have been engaged in the instruction and targeted intervention of criminal offenders who have pled or been found guilty of crimes involving alcohol, drugs, certain types of violent behavior, and crimes against property. Formal courses were developed in the late 1990s by in-house staff to organize these targeted interventions.

The programs currently offered by the Alternative Sentencing Office (ASO) include the following:

- Alcohol Education Program for Adults
- Alcohol Education Program for Adults (Chuukese Language)
- Anger Management for Adults
- Domestic Abuse Program for Adults

- Anger Management for Juveniles
- Court Crime Prevention for Juveniles

Criminal offenders are ordered to attend any one or more of these classes as a condition of probation. The classes are meant to counter recidivism and to provide criminal offenders with skills to avoid criminal behavior and recidivism. Each of the classes has a curriculum and a defined schedule. Courses are organized throughout the year on a permanent calendar.

None of the classes listed contain an active performance evaluation measure or survey. For unknown reasons, the practice of conducting evaluations was discontinued many years ago. Consequently, there is limited information on the outcomes of these clients or the background and development of the curriculum. Furthermore, there has not been any effort to collect and analyze data regarding the effectiveness of the classes being offered by the Alternative Sentencing Office or the effectiveness of treatment offered by contracted therapists.

In the last few months, the Alternative Sentencing Office has been revising its inventory of programs. It has identified dozens of activities and programs for vetting and validation. Concurrently, training priorities are being refined with the assistance of judicial educators and there is a potential to offer new courses and programs for probationers.

### **Need for Adult Probation Reform**

Measuring recidivism is the ultimate proof of whether a probation system is effective or not. The current recidivism rate for adult criminal offenders reported for Guam exceeds 67% including those defendants with new arrests and new violations (Report to the Lt. Governor on Guam Recidivism, 2014). However, there is no formal definition or policy that instructs Guam court

officials on how to calculate recidivism. All three potential measures (new arrest, new charge, new conviction) have all been used interchangeably by various court officials.

Over the last three years, various court leaders have been exposed to evidenced-based principles and evidenced-based programs while attending various conferences, seminars, and classes. However, there are no pretrial screening or risk and needs assessments currently being used to screen defendants and refer them to the proper services or court processes. The use of data from validated screens and Risk, Needs, and Responsivity (RNR) tools will allow the probation department to be more accountable to the public and to themselves.

With 6,000 adult probationers in a jurisdiction of just 165,000 people, some would argue that there are too many adults involved in the criminal justice system and that this statistic reflects failure in the criminal justice system, compounded by related problems including overcrowding of the island's detention and correctional facilities. Given the myriad of issues that must be addressed in an adult probation system change, court leadership has requested that the probation office focus on two activities. This includes developing a new operational strategy for intake services whereby low, medium, and high risk offenders are sorted through screening tools and segregated for check-in and services; and revising the current case assignment process to ensure that a probationer has a single probation officer. A breakdown of case assignments for probation officers is contained in Appendix 2 (attached).

In order to implement change, it is necessary for staff to be informed and motivated. Input and involvement in developing a course of action must be secured with judges, probation officers, support staff, and court partners. Without the buy-in from the probation officers, improvements to the system will not be possible.

The first step focusing on the staff must be to identify the views and perceptions they have about their work. The second step requires examining the concepts of evidence-based practice, including the fundamental aspects of offenders (probationers) and strategies to determine their needs. These initial steps are necessary to develop a strategy to accomplish change and improvements to the probation system in Guam.

## Literature Review

### Mission of Probation

According to the Council of State Governments (CSG) Justice Center, the core mission of a probation department is to reduce probationer recidivism. They point to four core practices that are essential to probation agency success in achieving this mission (The Council of State Governments Justice Center, 2011, p. vii).

#### Four Effective Court Probation Practices

1. Effectively access probationers' criminogenic risk and need, as well as their strengths.
2. Employ smart, tailored supervision strategies.
3. Use incentives and graduated sanctions to respond promptly to probationers' behaviors; and
4. Implement performance- driven personnel management practices that promote and reward recidivism reduction.

“Evidence-based practices ... are interventions for which there is consistent scientific evidence showing that they improve client outcomes.”

**- Dr. Robert E. Drake**  
Professor of Psychiatry  
Dartmouth Psychiatric  
Research Center

### Evidence-Based Practices

The cornerstone of probation system improvement is the adoption of evidence-based practices. Significant research and study has transformed the field of community supervision dramatically over the last ten years. Much of this research and study is based on the movement of community supervision programs and strategies to those that are “Evidence-Based,” which are those that can be measured and evaluated.

The evidence-based movement has its origins in the need to address the gaps between science and practice across the disciplines of medicine, education, substance abuse, behavioral health, criminal justice, and social services.

In her 2012 article entitled “Implementing Evidence-Based Practices in Community Corrections and Addiction Treatment, Dr. Fay S. Taxman, a national expert in the field, cites two definitions of Evidence-based practices (Taxman, Faye S., Belenko, Steven, 2012, p. 20). She cites the Institute of Medicine, which declares that, “Evidence-based practices is the integration of best research evidence with clinical expertise and patient values” (Wolfe, 2001). Taxman also cites Professor of Psychiatry at Dartmouth Psychiatric Research Center, Dr. Robert E. Drake, who defines it as “interventions for which there is consistent scientific evidence showing that they improve client outcomes” (Drake, 2001).

A report commissioned by the Colorado Division of Criminal Justice makes the case that “‘Evidence Based’ also applies to a broader decision-making approach. Rather than relying on conviction, conjecture or conventional wisdom, decision-makers turn to the best available evidence about what does and does not work when evaluating options and making decisions.” The evidence-based movement, Przybylski contends, is dependent on the “fundamental premise” that the information collected to support whether a program or practice is indeed evidence-based, trustworthy and credible (Przybylski, 2008, p. 12).

According to Kleiman, "In essence, evidence-based practices are a set of guidelines – based upon rigorous research, evaluations and meta-analysis – that have proved effective in improving decision making and outcomes" (Kleiman, 2012, p. 299).

Over the last few years, judicial officers and court leaders have been exposed to the evidence-based movement and are interested in transforming the work of probation and justice by implementing such programs in the courts of Guam. In his 2014 and 2015 State of Judiciaries, the Chief Justice of Guam Robert J. Torres has announced his intention to lead the court in this direction.

### **Probation: Law Enforcement vs. Social Work**

According to Kelly, the traditional definition of probation is the post adjudication sentence of diversion from incarceration to conditional, supervised, community release (Kelly, 2015, p. 208). In theory, probation is designed to accomplish public safety through the three primary functions of surveillance, treatment, and enforcement. However, Kelly further suggests that, “These goals went to the wayside as probation populations escalated and caseloads exploded, without commensurate increases in probation budgets. The probation model that emerged from the realities of increasing caseloads was largely supervision and risk management” (Kelly, 2015, p. 209).

For decades, the two schools of thought regarding the role and duties of a probation officer when supervising offenders have been the law enforcement model and the social worker model. In work commissioned by the National Institute for Corrections, former Maryland Director of Parole and Probation Judith Sachwald described the Law Enforcement Model as supervision that has the primary responsibility to enforce legal obligations established by the court and/or the parole board or commission. She further described the Social Work Model as the embracing the idea that the chief duty of the probation officer is to provide counseling or rehabilitation programs (Sachwald, 2004, p. 2).

More than a decade ago, Sachwald argued for a hybrid approach of both models based on the belief that behavior management defines supervision as a comprehensive set of tools focused on changing offender attitudes and behaviors to enhance public safety. In this model, “The goal of public safety is best met when supervision succeeds in assisting offenders change their behavior” (Sachwald, 2004, p. 2).

Such supervision is focused on motivating offenders to change; helping offenders acquire skills useful to be pro-social in the community; ensuring compliance with supervision obligations that are goal-oriented; keeping offenders crime and drug-free during the period of supervision; and helping offenders learn to regulate their own behavior so they remain crime free.

### **TYPES OF OFFENDERS**

*Substance Abuse Offenders* – offenders with conditions mandating drug testing or treatment, and any offender by virtue of a positive urinalysis or self-admission.

*Domestic Violence Offenders* – offenders who commit any act of abuse that attempts to control another person physically, emotionally, or sexually against another person in the home.

*Mental Health Offenders* – offenders with a significant mental health issue that requires treatment.

*Violent Offenders* – offenders who commit the offense of murder, rape, robbery and assault and have used aggression to obtain power and control over another.

*Gang Involved Offenders* – a group of individuals who associate with one another for the purpose of committing criminal acts.

*Sex Offenders* – offenders whose offenses involve sexual contact with another person without their consent as well as non-contact behaviors such as those involving pornography.

*Disassociated Offenders* – offenders with few or no ties to family, friends, or the community, due to lack of desire or ability to relate to others.

**Source: National Institute of Corrections**

**Figure 3. Types of Criminal Offenders**

In order to understand the treatment needs of offenders, probation officers must first understand how the various types of offenders should be classified and sorted. There is an active movement to identify human trafficking victims who may be charged with crimes and who may be in need of specialized services just as victims of sexual abuse and domestic violence.

### **RNR (Risk, Need, Responsivity) and RNA (Risk and Needs Assessments)**

Canadian psychologists Donald Andrews, James Bonta, and Paul Gendreau's groundbreaking research in intervention and behavior change is credited as the cornerstone of the evidence-based practices movement. They developed a framework to delineate whether treatment was appropriate or inappropriate for offenders based on the Risk, Need, and Responsivity (RNR) Simulation Tool (Andrews & Bonta, 2010).

Risk and Needs Assessment (RNA) instruments are actuarial-based tools used to classify offenders into distinct levels of risk (e.g., low, medium, and high) and to identify targeted interventions to address specific offender needs (e.g., antisocial attitudes, antisocial peer groups) generally related to recidivism. An RNA does not indicate whether a particular offender will actually recidivate; rather it identifies the "risk" or probability that the offender will recidivate (National Center for State Courts, 2014, p. 4).

According to Ainsworth and Taxman, a professor at George Mason University and a leader in this field, the RNR Simulation Tool classifies non-criminogenic needs into two categories -- those that are *clinically relevant* stabilizers or destabilizers and those that are *lifestyle* stabilizers or destabilizers (Taxman & Ainsworth, 2009, p. 130). Clinically relevant stabilizers or destabilizers are those that can effect engagement and successful completion of treatment and

supervision conditions (Taxman & Ainsworth, 2009, p. 130). Lifestyle stabilizers or destabilizers have an impact on an offender's ability to participate in daily activities such as employment, and the basic needs of food and shelter.

The RNR Simulation Tool was designed to assist jurisdictions in estimating the risk and needs levels for individuals within their populations and the general population as a whole by drawing up national estimates when jurisdiction specific information is not available. The tool draws a distinction between substance abuse and dependence and can be used with any definition of recidivism – be it based on new arrest, conviction, or incarceration.

The California Administrative Office of the Courts succinctly defined all three principles of the RNR Simulation Tool in a report entitled, “How practices and programs become evidenced based: a review of juvenile justice research.” The *Risk Principle* identifies what level of service offenders should have. Offenders with high levels of risk and need likely require high-intensity services, while low risk offenders should be referred to low-intensity programs or perhaps no programs at all. One of the key findings in research has been that recidivism rates for low-risk offenders actually increase when they participate in intensive programs (California Administrative Office of the Courts, 2012).

The *Need Principle* identifies what criminogenic needs should be targeted by the services. Low self-control, anti-social personality, anti-social values, criminal peers, substance abuse, dysfunctional family, and criminal thinking patterns are the most common criminogenic needs of offenders. Services that target non-criminogenic factors, such as anxiety and low self-esteem, or that target needs other than those of an individual offender, do not contribute to the mission of recidivism reduction.

The *Responsivity Principle* identifies what modes and styles of services are appropriate for offenders. Everyone has their own way of learning and own level of cognitive ability. Many offenders have poor social, verbal and problem-solving skills, and they tend to be “criminal thinkers” who reason in concrete, black-and-white terms that support their criminal activity. Effective services recognize these deficits and are designed to be responsive to them (California Administrative Office of the Courts, 2012).

A critical part of the process is collecting information about the offender to help guide the determinations of risk, need, and responsivity. Officers must be diligent in collecting case and client information from past records, assessments of substance abuse and other behavioral concerns, self-reports by offenders, staff-contact with the offender, collateral contacts with the offender’s family, friends, co-workers, service providers, and even victims. Records should also determine compliance with drug testing, polygraphs (for sex offenders), and electronic monitoring records if applicable.

According to the National Reentry Resource Center, a project of the Council of State Government's (CSG) Justice Center, research supports using risk and needs assessments to inform case management and establish programs that are supported by the best available science and research (Council of State Governments Justice Center, 2014, p. 4).

RNR tools are also being used to influence smarter sentencing decisions. The National Working Group on Using Risk and Needs Assessment Information at Sentencing claims that incorporating these tools during sentencing reduces prison admissions, demystifies sentencing decisions, and focuses on offender accountability by requiring offenders to address risk factors. This supports

the reduction of prison populations through identifying offenders who can be supervised within the community as an alternative to incarceration (National Center for State Courts, 2011, p. 8).

Kleiman points out that the information on risk and needs is not meant to limit judicial discretion, but instead better inform judicial decision-making by identifying who to target, what to target and how to target, to ensure the lowest levels of recidivism and the best possibility of offender change (Kleiman, 2012, p. 300). He further points to the need for trial court judges and justice system stakeholders to learn about the theory and use of risk and needs assessment information and to understand that "high risk" does not necessarily translate to 'need to incarcerate' (Kleiman, 2012, p. 302).

Even with the many advantages of RNR tools, there are some pitfalls to avoid. Probation departments must employ practices and personnel that can utilize the information gathered from these tools to develop individualized case plans that are purposed for treatment, intervention, behavior change, and the success of clients.

The Justice Center points out that even if "a probation department may have adopted a new assessment tool to determine an individuals' criminogenic risk and need, but if department officials were unsuccessful in using the findings to determine the conditions of supervision, then the tool likely had limited or no impact. Similarly, if the department's strategies for sanctioning probationers do not support its supervision and treatment goals and the judiciary doesn't ensure that supervision and sanctioning policies are consistent, then those goals will be undermined" (Council of State Governments (CSG) Justice Center, 2011, p. vii).

## Cognitive-Behavior Therapy

Much of the literature on the subject of evidence-based programs, effective recidivism reduction, risk-focused prevention programs, and rehabilitation drives us to the concept of Cognitive-Behavioral Therapy. According to the National Association of Cognitive-Behavior Therapy (NACBT), Cognitive-behavior therapy does not exist as a distinct therapeutic technique. The term "cognitive-behavioral therapy (CBT)" is a very general term for a classification of therapies with similarities. It integrates the principles of cognitive theory and behavioral theory (National Association of Cognitive-Behavioral Therapists, 2015).

Two additional terms that must also be understood are, "*Efficacy*," which refers to evidence that a treatment/practice has beneficial effects when delivered under carefully controlled conditions designed for experimentation and "*Effectiveness*," which refers to evidence that a treatment has beneficial effects when delivered to heterogeneous samples of clinically referred individuals treated in

### Characteristics of Cognitive-Behavioral Treatment

- Based on the premise that thoughts cause feelings and external behaviors
- Time-limited and relatively brief, not an open-ended process
- Highly structured – each therapy session has a specific agenda or focus
- Educational – designed to help clients learn new ways of thinking and acting
- Helps clients uncover distortions in thinking and irrational assumptions about situations that can lead to inappropriate behavior
- Clients are required to do homework as a way to practice newly learned skills and techniques

(Andrews & Bonta, 2010)

**Figure 4. Characteristics of Cognitive-Behavioral Treatment**

diverse clinical settings by clinicians rather than researchers (Taxman, Faye S., Belenko, Steven, 2012).

### **Programming Targets**

For the justice-involved person dealing with multidimensional problem areas (ranging from acute to no behavioral health issues) and other social and interpersonal dysfunctions, Taxman argues a need for programs that can deal with such diversity and references (Taxman F. S., Simulation strategies to reduce recidivism: risk need responsivity (RNR) modeling for the criminal justice system, 2013).

Andrews and Bonta identify six primary targets of programming for criminal offenders. These targets include dependence on hard drugs such as heroin, cocaine, amphetamines, and methamphetamines; criminal thinking and cognitive restructuring to address criminogenic needs self-improvement and self-management to address issues of substance abuse, family issues, and mental health concerns; social and interpersonal skills to address family issues and relationships; and physical and life needs, which focus on employment, education, and housing needs of the offender. The final target is reserved for low-risk and low-need individuals who only require punishment and no further services (Andrews & Bonta, 2010).

### **Administering Intervention**

Evidence-based programs require probation officers and other criminal justice professionals to learn and acquire additional competencies in order to be effective. In her work for the Maryland Department of Public Safety and Correctional Services to develop responsive professional development plans to train officers in this regard, Taxman makes the argument that supervision

agencies must adopt behavioral management techniques as a goal of the organization. Relying on Sachwald, Taxman contends that these techniques should “refer to actions that the staff use to achieve offender-related and organizational-related outcomes” (Taxman F. S., Simulation strategies to reduce recidivism: risk need responsivity (RNR) modeling for the criminal justice system, 2013).

In addition to being trained about the science of the practice, officers must share in the responsibility for the successful completion of these programs by their clients. Officers must personally engage the offender in the change process, focus efforts on the most serious criminogenic domain, focus supervision on providing the offender with opportunities for pro-social behavior, and provide support and encouragement that will stabilize the offender to prevent relapse and further their journey to recovery.

The relationship between the probation officer and client is critical for success. Developing motivational interviewing skills is essential for the success of the officer. Such skills are highly effective and can help resistant offenders with the behavioral change they need. Officers are urged to avoid arguments with their clients so as to avoid alienating the relationship. Probation officers are taught to “roll with resistance” to avoid immediate conflict by deferring disagreeable discussions until the offender is ready to address them. As advocated by Taxman, these approaches by officers are meant to help the offender analyze their own behaviors and empower them to change them affirmatively. Officers are taught to reinforce pro-social behavior throughout the period of supervision in all aspects of their interaction (Taxman, Faye S., Belenko, Steven, 2012).

Furthermore, officers must engage their clients in social learning by providing incentives and rewards for positive behaviors. They must help the offender identify antecedent events that may precede a criminal act and provide consequences both positive (i.e. rewards) and negative (i.e. punishments) throughout the course of supervision.

Officers must also be trained to identify the stages in changing the behaviors of criminal offenders. According to Sachwald (Sachwald, 2004), these stages include *pre-contemplation* (when an offender does not believe or denies that a problem exists, and therefore, is not considering change behavior); *contemplation* (when the offender realizes that a problem does in fact exist, but is ambivalent about the behavior and its impact and may believe that progress is hopeless); *determination* (when the offender recognizes the problem behavior and begins to make a commitment change); *action* (when the offender defines a strategy to change that involves detailed steps relating to support systems, personal relationships, living situations, and other necessities to support the change in behavior); *maintenance* (when the offender has met milestones in changing the factors associated with his criminal behavior, such as substance abuse, personal relationships and living situations); and *relapse* (when the offender slips either in a one-time event, a series of mishaps, or some period of prolonged use).

### **Effective Correctional Intervention and Compliance Strategies**

Armed with the training in evidence-based practices and skills in motivational interviewing, an officer must adhere to the principles of effective correctional intervention and evidence-based practices. According to Kelly (Kelly, 2015, pp. 220-26), these ten principles are:

1. Clarify that the goals of probation are successful completion of supervision, reintegration into the community, and recidivism reduction
2. Adhere to the principle of responsivity, by using cognitive-behavior intervention and supervision conditions based on the needs and risks of offenders
3. Adhere to the risk principle, by focusing their supervision and intervention resources to higher-risk offenders
4. Frontload supervision resources to provide immediate supervision, keeping in mind that most failures are experienced within the first 6 to 12 months of probation
5. Be problem solving and utilize case management for problem solving
6. Identify dynamic criminal risk and criminogenic needs/deficits and target behavioral interventions and treatment
7. Provide supervision in the community
8. Engage information social control
9. Employ incentives and rewards to recognize progress and advancement
10. Respond with swift and certain graduated sanctions for violations or inappropriate behaviors

According to the American Probation and Parole Association (APPA) and National Center for State Courts (NCSC) publication, *Effective Responses to Offender Behavior: Lessons Learned for Probation and Parole Supervision*, the key principles and components in identifying effective strategies to promote compliance among individuals under community supervision are more refined. These principles include swiftness and certainty, proportionality, incentives and rewards, and the review of empirical evidence (American Probation and Parole Association (APPA), 2013, pp. 4-9).

With regards to swiftness and certainty, responses by the justice system to problematic behaviors must be prompt. Probationers must understand the process and consequences for addressing infractions, which must be centered on accountability. Imposition of sanctions acts as a type of nearly immediate stimuli that the probationer connects to the unwanted behavior. Responses to unwanted behavior must be applied consistently to underscore the perception that sanctions are fair, just and consistent (American Probation and Parole Association (APPA), 2013, p. 4).

With regards to proportionality, responses must be proportionate to the infraction committed by the offender. By imposing a graduated approach to sanctions, with penalties increasing as the behavior is repeated, the justice system improves the perception that responses are fair and just, and creates a deterrent against future unwanted behavior (American Probation and Parole Association (APPA), 2013, pp. 5-6).

With regards to incentives and rewards – incentives can act as a stimulus to reinforce positive behavior. Positive reinforcements should outnumber sanctions or punishments. And finally, with regards to the review of empirical evidence, the evidence must support the implementation of practices and policy. Studies should be conducted to examine programs and models thereby allowing the measurement of the effectiveness of programs (American Probation and Parole Association (APPA), 2013, p. 7).

In many high performing jurisdictions, probation departments and officers have been empowered to develop sanction grids that guide the imposition of administrative sanctions that address probation violations. Probationers may choose to admit a violation and accept a sanction to avoid a formal revocation hearing as an incentive to assuming responsibility for the infraction. This

type of structure requires the defendant to affirmatively waive the right to a hearing and avoid a formal proceeding (American Probation and Parole Association (APPA), 2013, pp. 18-19).

Effective sanctions include community service, more frequent drug testing or supervision visits, and electronic monitoring. Verbal corrective action can include officer and verbal reports, which are documented to address technical violations. New incentive measures must also be introduced to reward those probationers who are compliant with probation conditions. The use of sanctions and incentives require probation officers to have developed great motivational interviewing skills and the means to collect adequate data to regularly evaluate client outcomes (American Probation and Parole Association (APPA), 2013, p. 16).

### **The Complexities of Recidivism**

Among the hardest concepts to define in the world of criminal justice is recidivism. Many factors come into play when attempting to explain this concept. Therefore, any report addressing rates of recidivism must be qualified by several factors. The first and most important factor is a determination of what activity is going to be used as the measure to determine a recidivist act – is it a new arrest, a new conviction, or a new incarceration. All three may mean entirely different things depending on the particular laws of a jurisdiction and the values of the community.

Moreover, it must be pointed out that a new arrest may not result in a new conviction. Correspondingly, a new incarceration may not necessarily be a result of a new conviction, but rather, the result of a sanction that is imposed because of a violation of probation. There is also some discussion on whether a probation violation should count towards a recidivism rate. For example, drug addicts are likely to violate a condition of probation by testing positive for drug

use. Drug therapists and medical staff would argue that a drug addict would be expected to test positive at the beginning of a probation term because generally speaking, relapse in use of drugs is accepted as part of recovery.

Assuming a jurisdiction has sorted out this confusion and has agreed to consider new convictions as the cause of recidivism, the next issue at hand is coming to consensus on the period of time that will be used as the measure for determining recidivism. For example, whether the subsequent act occurs within one year of a prior act. This time period is another important factor that must be decided jointly and adopted by the decision makers and policy makers of the jurisdiction.

Except for the work in therapeutic courts, Guam probation officers do not have any RNR tools to assess and identify risk factors and treatment needs of their clients. They do not have a menu of services or programs that can be used for appropriate referrals for community services. Although Guam is not unique in this way, significant movement has taken root nationally, and Guam has joined many states and jurisdictions that are focused on reducing recidivism and improving reentry of incarcerated persons into the community by embracing evidence-based practices.

Since recidivism is the most measurable aspect of a criminal justice system and the effectiveness of probation services, attention must be focused on reducing it. According to Przybylski (Przybylski, 2008, pp. 2-3), recidivism can be reduced by utilizing certain evidence-based strategies or programs with offenders. These strategies include educational and vocational training; substance abuse treatment; drug courts; certain types of sex offender treatment, particularly cognitive-behavioral approaches and modified therapeutic communities; programs for offenders with mental illness, including treatment, diversion, and modified therapeutic

communities for offenders with co-occurring disorders; cognitive-behavior programs; and certain types of juvenile rehabilitation programs, particularly multi-faceted, family-based programs (Przybylski, 2008, pp. 35-82).

### **Programs that Work**

Several cognitive-behavior therapy programs have been identified by the National Institute of Corrections as programs that work. Probation officers must be informed about these treatment programs in order to adequately implement these strategies and shift the focus to client outcomes rather than imposing punitive action.

Once criminogenic risk factors and needs are identified, probation officers must lead the development of an individualized case plan that will be used to supervise probationers and manage the term of probation. Probation officers should have general knowledge of evidence-based programs that can be used to address these factors. Some of these programs include:

- Aggressive Replacement Training
- Moral Reconciliation Therapy
- Reasoning and Rehabilitation
- Relapse Prevention Therapy
- Thinking for a Change (T4C)
- Criminal Conduct and Substance Abuse Treatment: Strategies for Self-Improvement and Change (SSC)
- Functional Family Therapy
- Multi-dimensional Treatment Foster Care

- Multi-Systemic Therapy

More information about these programs is contained in Appendix 6.

The United States Substance Abuse and Mental Health Services Administration maintains a web guide of evidence-based programs and practices for prevention practitioners and individuals working in behavioral health fields (Substance Abuse and Mental Health Services Administration, 2016).

The Council of State Governments Justice Center, the Urban Institute, and the U.S. Department of Justice, Bureau of Justice Assistance maintains an excellent online database entitled “What Works In Reentry Clearinghouse” which offers access to research on the effectiveness of various reentry programs and intervention strategies. The researchers at the Urban Institute are able to review and “synthesize” various research and validation projects that have been used to document the effectiveness of these programs (Urban Institute, 2016).

### **Program Dosage**

According to Crites and Taxman (Crites & Taxman, 2013), in their essay entitled “The Responsivity Principle: Determining the Appropriate Program and Dosage to Match the Risk and Needs,” asserted that there must be an emphasis on content, dosage, implementation fidelity, and restrictiveness of treatment in response to the risk for relapse or continued symptoms and needs (Crites & Taxman, 2013, pp. 146-66). For the fields of substance abuse and mental health, Taxman argues the importance of identifying appropriate amounts and targets of services an individual should receive to reduce the likelihood of recidivism (Crites & Taxman, 2013, pp. 145-46). They argue in favor of properly matching individuals to appropriate services, with the

highest severity problem determining the offender's initial placement in treatment and for such treatment to be in the least restrictive environment as possible. The characteristics of dosage include the total number of clinical hours or *amount* and the number of weeks within which the program will operate or *duration*; the number of sessions per week or *frequency*; and the number of hours per week or *quantity* (Crites & Taxman, 2013, p. 145).

Accordingly, the National Institute of Corrections recommends that higher-risk offenders should spend 40-70% of their time for 3-9 months in scheduled programs with shorter periods for offenders with lesser risk levels (Bogue, et al., 2005). Bourgon and Armstrong recommend that higher-risk individuals receive 300 hours of interventions, while moderate-risk and low-risk are recommended to receive 200 and 100 hours respectively (Bourgon & Armonstrong, 2005).

### **Program Evaluation**

There are numerous research methods that have been developed to measure practices and programs. These methods vary in scientific rigor and dependability. The weakest of these forms is anecdotal evidence, such as opinions, focus groups and stories. A middle range of other non-experimental or quasi-experimental designs are available but do not use random assignment or control groups. The gold standard of evidence, "is based on studies that use randomized, controlled experiments – the only method in which a researcher can make a claim of causation rather than mere correlation" (Byrne & Lurigio, 2009).

Program evaluation must be valued by the organization charged with supervision – in fact, it must be valued by all sectors of the criminal justice system. The goal should be to develop local resources to sustain regular program evaluation. Organizations must be able to collect and

analyze program data on a regular basis to make any adjustments that are necessary for program effectiveness. Data that already exist elsewhere in the system or government must be used to measure progress. This includes the use of court and arrest records, school records for juveniles, and a social service tracking system.

## **Methods**

### **Consultation with Internal Stakeholders**

Over the course of the year, several meetings and forums were held with court leaders and probation staff to discuss the needs of the probation department, provide an outlet for information sharing, listen and respond to concerns, and generate support. The meetings were as follows:

- Discussions with Chief Justice to affirm decision to embrace evidence-based practices and secure resources and commitment.
- Planning Meetings with Chief Probation Officer and Deputy Chief Probation Officer to develop strategy.
- Planning Meetings with Client Services and Family Counseling Administrator, Superior Court Clerk of Court, Court Programs Administrator, Chief Probation Officer and Deputy Chief Probation Officer to develop strategy.
- Consultative Meeting with Senior Probation Officers, Probation Officer Supervisors, Chief Probation Officer, Deputy Chief Probation Officer, Probation Officer Supervisors, and Therapeutic Court Coordinators to discuss issues and concerns, and provide motivation and affirmation.
- Consultative Meeting with Probation Officer I's and Probation Officer II's (Adult Sections), Chief Probation Officer, Deputy Chief Probation Officer, Probation Officer Supervisors to discuss issues and concerns, and provide motivation and affirmation.
- Consultative Meeting with Alternative Sentencing Office Supervisor and Alternative Sentencing Officers.

- Meeting with Juvenile Probation Officers to provide motivation and affirmation, explain the intent to improve Adult Probation.

### **Probation survey**

A critical component of the Guam Juvenile Probation Review project was an extensive survey administered to juvenile probation staff in November 2014 by the Robert F. Kennedy National Resource Center on Juvenile Justice. With the permission and encouragement of the center's executive director John Tuell, the survey was appropriately modified for use with adult probation staff.

The survey was conducted electronically over a two-week period and Survey Monkey was used to organize the survey and manage responses. A web link was sent to the official email addresses of the 58 employees in a personal invitation from the Administrator of the Courts. The invitation acknowledged employee concerns, committed additional resources, commended employees for their good work, expressed enthusiasm from management, and asked them to identify the most important matters affecting their work.

This survey instrument was selected because it is organized in seven topical areas, utilizes the Likert Scale, and includes open-ended questions that provide an opportunity to collect opinions and suggestions. The topical areas include (1) Pre-Disposition Investigations; (2) Case Supervision; (3) Departmental Management and Supervision; (4) Resources and Service Delivery; (5) Best Practices; (6) Client Outcomes; and (7) Inter-Agency Relations. Demographic information on the respondents was also collected including job titles indicating levels of authority, number of years worked indicating seniority, as well as age and gender.

The survey questions measured the perceptions and views that probation staff have regarding probation strategies, external and internal factors that influence the quality and effectiveness of their work, their understanding of evidence-based practices and supervision strategies, and tests their understanding and favorability towards new concepts.

The original instrument administered to juvenile probation staff was meticulously reviewed in order to identify survey questions that needed to be modified for use on adult probation staff. In some cases, survey questions were eliminated because they only applied to juvenile cases. Detailed information regarding the modification of the survey instrument is located in Appendix 4.

The electronic survey was not administered to the Chief Probation Officer and the Deputy Chief Probation Officer. Instead, an extensive joint interview of these two probation department leaders was conducted utilizing the survey instrument in order to compare the results to those collected from the probation staff. A copy of the survey instrument can be found in Appendix 1.

Meetings were held to brief and inform court stakeholders and partners regarding the movement to embrace evidence-based practices, direct an inventory of community resources, and identify areas for collaboration. This informational campaign included a number of media interviews and community outreach efforts to educate the public and establish support in the community.

## **Findings**

### **Stakeholder Attitudes and Perceptions**

The Chief Justice of Guam is highly supportive of the effort to improve the probation strategies in Guam. In particular, he is aware of the need to improve pre-trial probation practices and has initiated movement to identify technical assistance to evaluate concerns in relation to detention and bail. He is concerned about the ratio of caseloads for probation officers and has instructed court administration and the leadership of the probation office to refine and improve workflows and processes in an effort to reduce caseloads.

The Client Services and Family Counseling Division Administrator is actively involved in the identification and development of a strategy to acquire RNR assessment tools in the probation office. By virtue of her involvement with the Juvenile Probation Review Management Team, the Administrator has facilitated training in RNR assessment tools for her team of therapists and counselors and is developing a training strategy for moral reconnection therapy, which she has independently determined to be a need for criminal defendants. Discussions have also focused on the need to establish a sustainable evaluation program for the performance of contract therapists and mental health professionals.

The Superior Court Clerk of Court has been involved in the juvenile justice reform efforts of the court focusing on reducing court referrals. In this regard, she has developed an understanding and belief in the acquisition and implementation of RNR tools to advance the work of the probation division. She has also been extensively involved in reviewing the list of pre-trial detainees as part of the Judiciary of Guam's participation in a Blue Ribbon Commission focused on overcrowding at the Department of Corrections.

Her review of this information has influenced her work to focus on improving court processes such as the issuance of judgments, commitment orders, and orders of conditional release based on her identification of cases in which defendants were held past the date of release. Some errors have been caused by the assignment of different judges for multiple cases involving single defendants. This review also revealed the lack of screening tools to identify risk levels for defendants and for informed detention decisions by judges, long periods of detention for disproportionately represented members of an ethnic group, and cash bail decisions for misdemeanor defendants.

The process also revealed the lack of an adequate tracking mechanism at the Department of Corrections for detainees, the classification of inmates with multiple cases as defendants, and the inaccuracy of the in-custody report generated by the judiciary's case management system. All of these have surfaced as priority projects for improvements to the system and further revealed the lack of adequate tracking mechanisms within the probation department for pre-trial detainees.

The Court Programs Administrator too has become aware of the need for RNR tools that gather client information for use throughout the duration of a case. Her recent work focused on establishing a Re-Entry Court within the courts of Guam have brought focus to the lack of any assessment tool being used in the criminal justice system. She is involved in identifying and supporting technical assistance from external partners and grant funders that focus on system change.

The staff of the Alternative Sentencing Office is principally concerned with the quality of the programs being administered by the office. A review of the programs offered by the office indicates that the programs are not evidence-based. There is not any structured program

evaluation or validation being conducted. The staff would like more training on instruction methods, more information on specific program outcomes, and input on the screening of clients for programs.

A series of meetings with probation officers was held. The first of the meetings was with the juvenile probation office to discuss the progress of juvenile justice reform – including feedback on training provided on RNR assessment tools and administering the SAVRY Tool to juvenile clients. There was discussion regarding how this training experience caused interest in RNR assessment tools by the adult probation officers and how the success of the juvenile effort would shape opinions and buy-in from the officers assigned to adult probation.

Subsequent meetings were held with probation officers based on authority and seniority. A forum was held with all Senior Probation Officers and Probation Office Supervisors (from both juvenile and adult units) where discussion centered on employee concerns, workplace environment, and suggestions for system improvements. The leaders of the juvenile probation office articulated the importance of the tools and how their work has improved with the elimination of low risk cases from caseloads.

Another meeting was held with all officers holding Probation Officer I and Probation Officer II positions (from both juvenile and adult offices), where discussion centered on the same topics. In that meeting, junior probation officers expressed a sense of encouragement, interest and willingness to consider new ways of doing things. They expressed enthusiasm and excitement about what the future holds.

In the meetings, the Administrator of the Court articulated an interest in reducing officer caseloads, solicited input and opinions on the best ways to improve operations, addressed manpower issues, and introduced the evidence-based movement to the probation officers. The officers spoke about the difficulties and shortfalls of the current system in tracking client outcomes and how the existing case assignment system was a barrier to probation officers establishing meaningful contacts with their clients.

The meetings with junior probation officers was encouraging and filled with positive feedback. However, the meetings with the senior officers were a bit more challenging, as officers were concerned with their inability to consider any changes to the current way of doing things caused by larger caseloads. That meeting ended with a promise that the implementation of the screening tools and RNR assessment tools would reduce caseloads and provide officers with more time to track and monitor client outcomes, develop individualized case plans, and result in greater work satisfaction.

The Chief Probation Officer and the Deputy Chief Probation Officer were present at meetings and provided excellent leadership and encouragement. Subsequent meetings were held with the leadership but more focused on responding to the topics and questions contained in the adult probation survey.

### **Adult Probation Survey**

With regard to the probation survey, a sample was collected from 48 of 58 Adult Probation employees who completed the electronic survey. This resulted in an high response rate of 82.75%. Three more employees did not complete the survey after starting the process. Of the 7

employees that did not respond, 4 did not open the email transmitting the survey that could indicate situations with lack of access or use of email, error, or excessive workloads. The results of the survey are contained in Appendix 3.

The breakdown of respondent employees by Job Title include the following:

Probation Officer Supervisor or Specialty Court Coordinator	6
Senior Probation Officer (POIII)	10
Probation Officer II	7
Probation Officer I	11
Alternative Sentencing Officer	4
Administrative Support Staff	3
Probation Services Assistant	3
Case Manager	4
TOTAL	48

Thirty-two (32) or two-thirds (66.66%) of the total number of respondent employees were uniformed officers in the probation officer series including 4 probation officer supervisors. Except for the 3 employees categorized as administrative support staff, the other 11 have direct involvement with clients.

The breakdown of respondent employees by gender includes the following:

Male Employees	24
Female Employees	24

The breakdown of respondent employees by number of years worked includes the following:

Sixteen (16) years or more	19
Eleven to fifteen (11-15) years or more	5
Six to ten (6-10) years or more	8
Five (5) years and under	16

The responses to the survey have been invaluable in identifying areas of interest and concern. Survey findings are discussed and organized by the topical areas contained in the survey instrument.

### **Pre-Disposition Investigations**

The majority of probation officers believe that court reports are well written, are of good quality, and many probation officers say they contain sufficient detail on the needs of probationers. They believe that referrals for services are based on these needs and the best available resources.

**Table 1. Pre Disposition Investigations**

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Recommendations to court for probationers are based on available community resources	88%
Court reports are generally well written	82%
Recommendations to the court for probationers are based on individualized needs for treatment	65%
Court reports do not provide sufficient detail regarding the needs of probationers	43%

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In contrast, probation management differed in opinion. They believe much more work can be done to improve the quality of court reports. Aside from the therapeutic courts, they do not believe that the individual needs of probationers are being determined. They cite the lack of screening and assessment tools for the vast majority of probationers.

### **Case Supervision**

According to the survey results, the size of caseloads and the need for additional resources are two of the biggest factors affecting probation officers. Probation officers admit that probationers need additional help and are not receiving the required number of contacts with their probation officers. They believe that specialized caseloads would result in enhanced levels of supervision and that they are already working close enough with community resources to address probationers’ needs. They have mixed views on being introduced to new concepts that would change their work schedule and the amount of time spent in the work place. The survey also showed the probation officers believe:

**Table 2. Case Supervision**

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Additional resources are needed to adequately provide for the supervision of probationers	94%
Probationers need more help than they presently receive during their period of probation	80%
Probation in specialized caseloads would receive an enhanced level of supervision	79%
The caseload does not allow for an adequate level of supervision	78%
The supervision is focused more on enforcement than rehabilitation	61%
A 10-hour day, 4 day-week work schedule will increase probation officer contacts with probationers and their families	43%

The assignment of all probation officers to specific geographic area results in more effective supervision of probationers	40%
Client outcomes are clearly identified for each probationer to guide the service delivery	36%
Probationers are receiving the required number of contacts as indicated by supervision level	29%

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Probation management agrees that probationers are not receiving the required number of contacts and that specialized caseloads would result in enhanced levels of supervision. Yet they are more receptive to modifying schedules of the probation officers to improve supervision.

### **Departmental Management and Supervision**

Probation officers and staff believe they are supported in their jobs by departmental administration and supervisors. However, they do not believe their department adequately recognizes them for their work. They believe that adequate resources and training must be provided to officers.

There are significant findings regarding how probation officers view the judge’s perspective of their work. The survey findings are split on whether probation officers are prepared to testify in court. Many of them do not believe that judges respect their work and most do not know or don't believe that judges base their decisions on probation officer recommendations. Specifically, the survey revealed the following results:

**Table 3. Departmental Management and Supervision**

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Probation officers are supported in their work by their supervisors	71%
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Probation officers are supported in their work by the Department's administration	65%
Probation officers are provided sufficient training to function effectively	55%
Probation officers' efforts are not adequately recognized by the department	53%
The judges do not base their decisions on probation officer's recommendations	51%
Judges respect the work of probation officers	47%
Probation officers are provided the tools necessary to carry out their job functions	43%
The probation manual is a useful tool to direct the work of probation officers	42%

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Probation management admits that structured training for probation officers is inadequate and focused largely on law enforcement supervision and tactical training. They concede there are challenges in the professional exchanges and work between judges and probation officers. According to probation management, there is not a current up-to-date probation manual that is used to guide probation officers' work.

### **Resources and Service Delivery**

The majority of probation staff believes probationers have access to treatment resources for probation, have access to mental health services and substance abuse services, and that services are provided to probationers in a timely manner. They acknowledge that they do not have a method for identifying mental health needs and do not believe there are adequate community resources to address the needs of probationers. They also acknowledge that most probationers are referred to the same services.

**Table 4. Resources and Service Delivery**

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Most probationers are referred to the same services	94%
Probationers have access to needed substance abuse resources while on probation	67%
Probationers have access to treatment resources that address their particular needs	60%
Services to probationers are not provided in a timely manner	48%
Probation officers have a method for identifying probationers with mental health needs	31%
Probationers do not have access to needed mental health services while on probation	27%

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In contrast, probation management does not believe that probationers have timely access to treatment services. They do not believe that adequate mental health and substance abuse services are being provided or are available to probationers.

### **Best Practices**

Most probation officers believe that probation services are based on best practices and that implementation of evidence-based practices is contingent on money. They do not believe that evidence-based practices are available in the community.

**Table 5. Best Practices**

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Evidence-based practices would be applied to all probationers if there was adequate funding	85%
Probation services are not based on best practices	46%
Probation officers are knowledgeable about evidence-based practices for providing services to probationers or their impact on recidivism	33%

Current case management strategies are based on best practices	29%
Evidence-based practices are available in the community but are not being used	26%

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Probation management understands that current services are not currently based on evidence-based practices. They report that probation officers are not educated as to information regarding evidence-based practices, nor are they provided with menus of services available to probationers.

### **Client Outcomes**

Most probation officers believe they are knowledgeable about identifying client outcomes and set clear achievable goals for probationers.

**Table 6. Client Outcomes**

Probation officers set clear, achievable goals for each probationer	63%
Probation officers are not knowledgeable about identifying client outcomes for probationers	31%

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Probation management believes that probation officers and staff must be adequately trained to develop and identify achievable goals and outcomes for probationers. They do not believe the department has been focused on client outcomes, since department resources are focused almost exclusively on law enforcement supervision. Aside from the therapeutic courts, there is no individualized case management occurring in the department that is informed by RNR assessment tools.

## Inter-Agency Relations

The probation staff believes that relationships with community resources, police, corrections, and prosecution are good but could be improved.

**Table 7. Inter-Agency Relations**

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The Probation Department should look at data across service delivery systems to assist with the identification of prevention and earlier intervention opportunities	90%
The Department's relationships with community service providers is good	73%
The Probation Department's relationship with the Department of Corrections is good	70%
The Probation Department's relationship with the Guam Police Department is good	61%
The Department's relationships with Prosecution is not good	22%

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Probation management believes that relations with the Department of Corrections are not good due to a breakdown in communication regarding probationer information. There are some challenges in the relationship with the Guam Police Department regarding coordination with School Resource Officers. Probation managers are embracing data collection and analysis and want to use data to drive decision-making in the department.

## Notable Differences by Gender, Position and Seniority

The survey results point to differences in perception and opinions held by probation officers based on gender, job title, and years of service. These differences can be used to refine training strategies and develop curriculum that addresses gender bias, identify counterproductive

workplace cultural beliefs and practices, and further understanding of job roles and responsibilities.

**Table 8. Notable Differences in Respondent Survey Responses by Gender**

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*Case Supervision*

Q11: The enforcement of conditions is sufficient activity for the supervision of probationers.

52% of Male Probation Officers Agree

38% of Female Probation Officers Agree

Q15: The supervision of probationers is focused more on enforcement than rehabilitation.

40% of Male Probation Officers Agree

75% of Female Probation Officers Agree

*Resources and Service Delivery*

Q1: Probationers have access to treatment resources that address their particular needs

71% of Male Probation Officers Agree

48% of Female Probation Officers Agree

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The majority of male officers believe that the enforcement of conditions is sufficient for the supervision of probationers. However, only 40% of the male officers believe that their current services are focused more on enforcement than rehabilitation. One factor that possibly influences this number is the greater number of male probation officers that have been trained in specialized law enforcement tactics. This is in stark contrast to the overwhelming number of female officers who believe supervision is focused more on enforcement than rehabilitation.

A little less than one-half of female probation officers believe that probationers have access to treatment resources that address their particular needs, while an overwhelming number of male officers agree with the statement. This is of particular interest given the stated opinions of the probation office leadership that believes there are inadequate treatment resources for the probation population.

**Table 9. Notable Differences in Respondent Survey Responses by Job Title**

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*Case Supervision*

Q11: The enforcement of conditions is sufficient activity for the supervision of probationers.

33% of Probation Officer Supervisors Agree

40% of Senior Probation Officers Agree

57% of Probation Officer II's Agree

60% of Probation Officer I's Agree

*Resources and Service Delivery*

Q4: Services to probationers are not provided in a timely manner.

50% of Probation Officer Supervisors Agree

70% of Senior Probation Officers Agree

83% of Probation Officer II's Agree

27% of Probation Officer I's Agree

*Client Outcomes*

Q2: Probation officers set clear, achievable goals for each probationer.

33% of Probation Officer Supervisors Agree

70% of Senior Probation Officers Agree

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100% of Probation Officer II's Agree

74% of Probation Officer I's Agree

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There are some noteworthy differences in the answers given by officers based on position title. The majority of junior officers agree that the enforcement of conditions is sufficient activity for supervising probationers, while more than a third (33%) of Probation Officer Supervisors disagree. With regards to the delivery of services in a timely manner to probationers, a solid majority of the most junior probation officers do not believe that services are delivered in a timely manner. The majority of supervisors do not believe that probation officers set clear, achievable goals for probationers, while confident majorities of probation officers in all other categories believe strongly that they do.

**Table 10. Notable Differences in Respondent Survey Responses by Years of Service**

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*Case Supervision*

Q12: The number of contacts required for each level of supervision is appropriate.

21% of Officers with 16+ years of service Agree

80% of Officers with 11 to 15 years of service Agree

13% of Officers with 6 to 10 years of service Agree

47% of Officers with less than 6 years of service Agree

*Departmental Management and Supervision*

Q9: Judges respect the work of probation officers.

26% of Officers with 16+ years of service Agree

80% of Officers with 11 to 15 years of service Agree

63% of Officers with 6 to 10 years of service Agree

53% of Officers with less than 6 years of service Agree

*Best Practices*

Q6: Current case management strategies are based on best practices.

16% of Officers with 16 + years of service Agree

80% of Officers with 11 to 15 years of service Agree

29% of Officers with 6 to 10 years of service Agree

29% of Officers with less than 6 years of service Agree

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With regard to disparities in the answers of probation officers based on years of service, those employed between 11 and 15 years are confident that their case management strategies are based on best practices, that judges respect their work, and the amount of contact with probationers is sufficient – a stark contrast with the views of their management and in many cases, the other classes of officers. Also noteworthy is the lack of confidence probation officer supervisors believe exists in the value of their work by the judges of the court.

## **Conclusions and Recommendations**

**CONCLUSION 1. Probation officers are trained to focus on law enforcement supervision.**

The Judiciary of Guam probation department benefits from a highly motivated and active workforce, comprised of probation officers, alternative sentencing officers, specialty (therapeutic) court staff, and a small number of administrative support staff. However, the training of probation officers has been almost entirely focused on law enforcement and tactical operations. There is no required training of probation officers in best practices or evidence-based practices.

**CONCLUSION 2. Overwhelming caseloads have caused the probation department to be reactive in operation.**

The high volume of criminal cases, the time to disposition, and the high number of probation conditions have caused the probation department to be reactive in its operations and organizational structure. Both probation management and officers agree that most probationers lack quality time with their probation officers. In most cases, multiple probation officers may be assigned to a single probationer depending on where the probationer's case is in the system, the number of open cases, and the type of charges filed against the probationer.

**CONCLUSION 3. The needs of probationers are not assessed or used to develop appropriate supervision plans.**

There is no probation manual that ensures probationers receive equitable treatment or access to services. Probationers are not systematically screened for risk or assessed for needs. Except for the therapeutic courts, individualized case management is missing from the criminal justice system.

**CONCLUSION 4. Probation officers lack training and knowledge of community resources and evidence-based practices to effectively supervise probationers and address their needs.**

The lack of education and understanding of evidence-based practices, best practices, or even promising practices, has resulted in a disconnect between service providers and the needs of probationers. The probation department is unable to tap community resources to address needs of probationers without proper screening and assessment.

Probation officers would be more informed and confident with their work if they were equipped with appropriate tools and training to focus on client outcomes, vested in the success of their clients, and able to identify community resources available to address the needs and risk factors of their clients.

Probation management should be commended for understanding the challenges of the department and being proactive in establishing a path to transform the supervision strategy by embracing evidence-based practices and shifting from law enforcement supervision as a sole emphasis.

There is much work to do and many issues to be addressed in a systemic and long-term evolution of probation services in Guam. Below are the specific recommendations regarding the various aspects of probation work in the Judiciary of Guam.

**RECOMMENDATION 1. A Risk Needs and Responsivity Assessment Tool should be acquired and extensive training of probation officers should be held prior to its implementation.**

The implementation of a Risk, Needs, and Responsivity (RNR) Tool will help probation officers identify problem behaviors and risk factors that should be addressed through periods of probation. A good tool will help organize these factors into appropriate case plans and court reports, and will be useful to a judge, probation officer, case manager, and any other official with a role in the corrections or rehabilitation of the defendant.

**RECOMMENDATION 2. Probation management should establish a formal review process for court reports (e.g. pre-sentencing investigations), including formal deadlines for submission, and routine review and feedback to probation officers by their supervisors.**

It has been noted previously that the quality of reports to the court could be improved. There should be routine refresher training on technical report writing and other perishable skills to probation officers.

**RECOMMENDATION 3. The caseloads of probation officers should be decreased for quality, meaningful, and effective supervision.**

Probation officers and staff believe that the supervision of probationers results in greater public safety. They also believe that probation work is focused more on enforcement than rehabilitation. However, a little less than one-half of all probation staff believe that the enforcement of conditions is sufficient activity for the supervision of probationers. This is an indication that a significant amount of orientation and training in evidence-based practices will be necessary for the staff of the department.

Probation staff does not believe that probationers are receiving the required number of contacts as indicated by supervision level. They believe strongly that probationers need more help than they presently have and that the current caseloads do not allow for adequate supervision. A challenge has been a lack of referral options and the reality that most probationers are referred to the same services.

This is not surprising since there is no validated screening tool used to determine risk level and therefore, there is no existing method to screen out low-risk probationers so that resources and staff can be focused on medium and high-risk probationers. Exposure to the successes of the various therapeutic court programs (Adult Drug Court, Mental Health Court, Juvenile Drug Court) of the Judiciary of Guam are likely the biggest influence for the vast majority of respondent employees' belief in the effectiveness of specialized caseloads.

A large number of probation officers, especially those with less than 10 years of service, are open to changing their working hours into 4-day, 10-hour workweeks to provide more effective supervision. Probation staff is split regarding the effectiveness of geographic area assignments of probation officers. However, the junior probation officers are the most open to change as to work schedule and geographic assignment.

In addition to the screening tool, which will result in a decreased caseload, a RNR Tool must be acquired for use in all aspects of the criminal case – from detention to reentry into the community. The RNR Tool will result in an individualized case or treatment plan that can be used in all aspects of supervision and to identify community resources that could be made available for treatment aspects.

A decreased caseload will reduce the number of cases to assigned to probation officers and give them the opportunity to implement community supervision strategies and develop individualized case plans. A decreased caseload will give probation officers the opportunity to establish personal ties with their clients and focus on client outcomes through the liberalizing of their work schedules.

Probation management should conduct pilot projects in order to test the effectiveness of various concepts presented to probation staff in the survey such as the geographic assignment of probation officers and the establishment of a 4-day, 10-hour workweek schedule.

**RECOMMENDATION 4. Regular training must be conducted for employees and the development of a probation manual, including the process mapping of the key decision points in the criminal justice system and supervision must be developed and utilized.**

The vast majority of probation officers believe they are supported in their work by management and supervisors. However, they believe their work should more adequately be recognized.

Probation staff is split on whether they have been provided the tools necessary to carry out their job functions and whether a probation manual would be a useful tool. Currently, there is no

probation manual that is being utilized by the department. A large number of probation staff does not believe they have received adequate training.

A considerable amount of interaction takes place between probation officers and the court. Many probation officers question whether judges respect their work and whether probation officers are prepared to testify in court. A simple majority of the staff believes that judges do not base their decisions on their recommendations.

Training probation officers must be a priority for the department. Probation officers must be trained on evidence-based practices, motivational interviewing, administration and use of RNR Tools, and court preparation. Attention must also be paid to court procedures and court reports.

Probation management must focus on the professional relationship between probation officers and the judges of the court. This can be accomplished with the proper use of department policies and procedures. Probation managers and supervisors should continue to show support for the probation staff and spend more time devising strategies that recognize the efforts of the staff.

**RECOMMENDATION 5. Community resources must be identified and made available to probationers. The probation department must develop an inventory of programs and services that can be used by probation officers for the appropriate referral of clients.**

Probation officers must be educated on the availability of evidence-based programs and evidence-based strategies that address and prioritize the needs of defendants. Probation management should regularly and formally inventory community resources and programs that can be used for court referrals.

Probation officers erroneously believe that probationers have access to adequate treatment resources that address their particular needs. Although there are successes with the Adult Drug Court, Mental Health Court, and Family Violence Court, many more defendants do not have access to programs offered in these specialty courts.

Despite the known lack of mental health care services and facilities on Guam, the vast majority of probation staff does not agree that probationers have inadequate access to mental health services. They also do not believe there are adequate community resources to address the needs of probationers and acknowledge that most probationers are referred to the same services.

Many probation officers believe that services are provided in a timely manner. However, there is a significant delay in receiving certain substance abuse services from the Guam Behavioral Health and Wellness Center. The use of the RNR tool by adequately trained probation officers will ensure that referrals for services are proper and directed to appropriate and available treatment resources.

Probation officers and staff must be informed on the types of treatment available in the community in order to address the needs of their clients. They must also receive training in identifying probationers with mental health and other needs and be provided with a list of services and programs available in the community.

Probation management should direct the Alternative Sentencing Office to identify community resources and programs that address the needs of probationers and develop a registry of services and service providers. Probation management must use data to drive decision-making and contractual relationships with service providers.

**RECOMMENDATION 6. Probation staff must be trained and informed on best practices and evidence-based practices. They must be able to collect and review data regarding client outcomes as part of their work.**

Many probation officers do not understand that their case management strategies and other practices are not based on best practices or evidence-based practices. It is clear from the data that more education and information regarding best practices and evidence-based practices must be shared with probation officers and staff.

There is consensus within the probation department that adequate funding would enable the application of evidence-based practices for probationers and that there is a lack of evidence-based practices from among community resources. Probation staff overwhelmingly agree that community-based organizations in defined geographic areas would be able to target the needs of probationers.

**RECOMMENDATION 7. Training must be conducted for probation officers to be knowledgeable about identifying client outcomes for probationers. Case management and casework skills training must also be provided to assist probation officers.**

More than two-thirds of probation officers believe that officers are knowledgeable about identifying client outcomes. This could be an indication of the confidence they place in their work, as well as a lack of context or information on client outcomes. Client outcomes are clearly defined in the Adult Drug Court and Family Violence Courts, but not in other cases except those assigned to the Mental Health and Veterans Treatment Court.

Probation officers believe that they set clear, achievable goals for probationers, but their management reports that individualized case management is not occurring due to large caseloads and the lack of a RNR tool to guide the delivery of services. They are unsure about what the impact of a 10-hour a day 4-day workweek will have on client outcomes.

The probation department should use rewards and incentives for probation officers whose probationers achieve successful outcomes. The probation department should develop a system in which the achievement of client outcomes informs the selection and monitoring of contract service providers. A pilot program should be implemented to determine the effectiveness of a modified work schedule so that interaction with clients is more flexible and not limited to normal government working hours.

**RECOMMENDATION 8. The Probation Department should establish regular opportunities to inform, collaborate, and consult with its community-based partners to optimize cooperation and efficiencies.**

Probation staff and management believe their working relationships with the Guam Police Department, Department of Corrections, Community Resources, and Prosecution could be improved. Probation managers, however, do not believe the relationship with the Department of Corrections is good. They cite various reasons why this is the case.

The Probation Department should be cognizant of the mission, goals, and the factors that influence the operations of its justice system partners.

**RECOMMENDATION 9. Court leadership, judicial officers, and probation management must maintain an open and transparent environment that invites and welcomes question and scrutiny, inspires innovation, commands respect, and motivates success.**

Full implementation of system change in probation will take anywhere from 3 to 5 years. The probation department should utilize the 10 Steps to Transforming Probation Departments to Reduce Recidivism recommended by the Justice Center for the Bureau of Justice Assistance, Pew Center on the States Public Safety Performance Project, Texas Department of Criminal Justice-Community Justice Assistance Division, and Travis County (TX) Community Supervision and Corrections Department (Council of State Governments (CSG) Justice Center, 2011).

### **10 Steps to Transforming Probation Departments**

- Step 1. Engage and Inform Key Stakeholders
- Step 2. Review and Evaluate Current Departmental Policies and Practices
- Step 3. Analyze the Evaluation and Development a Mechanism for Overseeing Change
- Step 4. Improve Probationer Screening and Assessment Processes
- Step 5. Align Supervision Plans with Screening and Assessment Results
- Step 6. Redesign Incentive and Sanctioning Strategies
- Step 7. Develop Recidivism-Reduction Training

- Step 8.           Develop and Implement a Process-and Outcome-Accountability System
  
- Step 9.           Retool the Personnel Evaluation System to Reinforce Agency-wide  
                      Recidivism-Reduction Efforts
  
- Step 10.          Review Progress and Set Goals for Continuous Improvement

In order for full implementation of evidence-based practices, the probation department must identify and incorporate resources and expertise to focus on program evaluation, thereby creating a culture where data is utilized to guide decision-making. Employee buy-in is the most important driving force of any system reform and is critical to successful implementation.

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## **Appendix 1. Adult Probation Survey Instrument**

## NUMBER OF YEARS WORKED

### 1. Number of years working in probation services

- <1
- 2-3
- 4-5
- 6-10
- 11-15
- 16+

## PRE-DISPOSITION INVESTIGATIONS

### 2. PRE-DISPOSITION INVESTIGATIONS

	Strongly Agree	Agree	Disagree	Strongly Disagree	Do Not Know
Court reports are generally well written and of good quality.	<input type="radio"/>				
The court reports do not provide sufficient detail regarding the needs of probationers.	<input type="radio"/>				
Recommendations to the court for probationers are based on individualized needs for treatment.	<input type="radio"/>				
Recommendations to the court for probationers are based on available community resources.	<input type="radio"/>				

## CASE SUPERVISION

### 3. CASE SUPERVISION

	Strongly Agree	Agree	Disagree	Strongly Disagree	Do Not Know
Probation in specialized caseloads would receive an enhanced level of supervision.	<input type="radio"/>				
Probationers are receiving the required number of contacts as indicated by supervision level.	<input type="radio"/>				
Client outcomes are clearly identified for each probationer to guide the service delivery.	<input type="radio"/>				
Probation officers do not assure that probationers receive services to which they refer probationers.	<input type="radio"/>				
Probation officers do not work close enough with community resources to which they have been referred.	<input type="radio"/>				
Probation officers work closely with a probationer's family to achieve desired outcomes.	<input type="radio"/>				
The levels of supervision are characterized by distinctly different activities on the part of the probation officer.	<input type="radio"/>				
The caseloads do not allow for an adequate level of supervision.	<input type="radio"/>				
Probationers need more help than they presently receive during their period of probation.	<input type="radio"/>				

Strongly Agree      Agree      Disagree      Strongly Disagree      Do Not Know

Additional resources are needed to adequately provide for the supervision of probationers.

The enforcement of conditions is sufficient activity for the supervision of probationers.

The number of contacts required for each level of supervision is appropriate.

A 10 hour day, 4 day-week work schedule will increase probation officer contacts with probationers and their families.

The supervision of probationers does not result in greater public safety.

The supervision of probationers is focused more on enforcement than rehabilitation.

The assignment of all probation officers to specific geographic areas results in more effective supervision of probationers.

## DEPARTMENTAL MANAGEMENT AND SUPERVISION

### 4. DEPARTMENTAL MANAGEMENT AND SUPERVISION

	Strongly Agree	Agree	Disagree	Strongly Disagree	Do Not Know
Probation officers are supported in their work by the Department's administration.	<input type="radio"/>				
Probation officers are supported in their work by their supervisors.	<input type="radio"/>				
Probation officers' efforts are not adequately recognized by the Department.	<input type="radio"/>				
Probation officers are provided the tools necessary to carry out their job functions.	<input type="radio"/>				
The probation manual is a useful tool to direct the work of probation officers.	<input type="radio"/>				
A 10 hour day, 4 day-week work schedule improves employee morale.	<input type="radio"/>				
The judges do not base their decisions on probation officers' recommendations.	<input type="radio"/>				
Probation officers are provided sufficient training to function effectively.	<input type="radio"/>				
Judges respect the work of probation officers.	<input type="radio"/>				
Probation officers are not adequately prepared to testify in court.	<input type="radio"/>				
Judges read the probation officers' reports.	<input type="radio"/>				

## RESOURCES AND SERVICE DELIVERY

### 5. RESOURCES AND SERVICE DELIVERY

	Strong Agree	Agree	Disagree	Strong Disagree	Do Not Know
Probationers have access to treatment resources that address their particular needs.	<input type="radio"/>				
Probationers do not have access to needed mental health services while on probation.	<input type="radio"/>				
The current staffing process is satisfactory.	<input type="radio"/>				
Services to probationers are not provided in a timely manner.	<input type="radio"/>				
Probationers have access to needed substance abuse resources while on probation.	<input type="radio"/>				
Probation officers have a method for identifying probationers with mental health needs.	<input type="radio"/>				
Adequate community resources exist to address the needs of probationers.	<input type="radio"/>				
Most probationers are referred to the same services.	<input type="radio"/>				
There is not adequate communication between treatment providers and probation officers.	<input type="radio"/>				
Probation officers are provided with current information regarding the adequacy of community resources.	<input type="radio"/>				
Additional funding is the most important solution to improve service delivery.	<input type="radio"/>				



## BEST PRACTICES

### 6. BEST PRACTICES

	Strongly Agree	Agree	Disagree	Strongly Disagree	Do Not Know
Probation services are not based on best practices.	<input type="radio"/>				
Evidence-based practices would be applied to all probationers if there was adequate funding.	<input type="radio"/>				
Evidence-based practices are available in the community but are not used.	<input type="radio"/>				
Probation officers are knowledgeable about evidence-based practices for providing services to probationers.	<input type="radio"/>				
Probation officers are knowledgeable about evidence-based practices and their impact on recidivism.	<input type="radio"/>				
Current case management strategies are based on best-practices.	<input type="radio"/>				
The Department should coordinate with community-based organizations in defined geographic areas to target the needs of probationers in that area.	<input type="radio"/>				

## CLIENT OUTCOMES

### 7. CLIENT OUTCOMES

	Strongly Agree	Agree	Disagree	Strongly Disagree	Do Not Know
Probation officers are not knowledgeable about identifying client outcomes for probationers.	<input type="radio"/>				
Probation officers set clear, achievable goals for each probationer.	<input type="radio"/>				
A 10 hour day, 4 day work-week schedule will not improve client outcomes.	<input type="radio"/>				
The Department uses the achievement of client outcomes to select and monitor providers who contract with the department.	<input type="radio"/>				
The work of the Department is not related to the achievement of outcomes by probationers beyond the period of probation supervision.	<input type="radio"/>				
There should be incentives and rewards for probation officers whose probationers achieve successful outcomes.	<input type="radio"/>				

# INTER-AGENCY RELATIONS

## 8. INTER-AGENCY RELATIONSHIPS

	Strongly Agree	Agree	Disagree	Strongly Disagree	Do Not Know
The Department's relationships with Prosecution is not good.	<input type="radio"/>				
The Department's relationships with community-based agencies have improved in the past three years.	<input type="radio"/>				
The Probation Department's relationship with the Guam Police Department could be improved.	<input type="radio"/>				
The Probation Department's relationship with the Guam Police Department is good.	<input type="radio"/>				
The Probation Department's relationship with the Department of Corrections could be improved.	<input type="radio"/>				
The Probation Department's relationship with the Department of Corrections is good.	<input type="radio"/>				
The Department's relationships with community service providers could be improved.	<input type="radio"/>				
The Department's relationships with community service providers is good.	<input type="radio"/>				

Strongly Agree

Agree

Disagree

Strongly Disagree

Do Not Know

The Probation  
Department should look  
at data across service  
delivery systems to  
assist with the  
identification of  
prevention and earlier  
intervention  
opportunities.



## OPEN-ENDED QUESTIONS

9. How could the probation manual be improved? What could be added?

10. What enables you to do your job most effectively?

11. What training would help you do your job more effectively?

12. What client outcomes should the Probation Department seek for probationers?

13. What specific ideas do you have for the improved delivery of probation services that you believe will result in better client outcomes?

14. What makes you uncomfortable or upset in court?

15. What ideas do you have about reducing the amount of paperwork?

16. What challenges do you face in your relationships with other agencies?

17. What are some of the special skills that you offer to probation operations that aren't currently tapped in your role as probation officer?

18. In what ways would you like your work to be recognized?

19. Where do you see yourself in 3-5 years? What are your career aspirations?

20. Any additional comments?

**21. GENDER**

- Male
- Female

**22. AGE**

- 18 to 29
- 30 to 44
- 45 to 60
- > 60

**23. JOB TITLE/DESCRIPTION**

- Probation Officer Supervisor or Specialty Court Coordinator (Including Acting Appointments)
- Senior Probation Officer (Including Acting Appointments)
- Probation Officer II (Including Acting Appointments)
- Probation Officer I
- Alternative Sentencing Officer
- Administrative Support Staff
- Probation Services Assistant
- Case Manager



## Appendix 2. Probation Officer Caseloads as of 2/15/16

<b>Pretrial Section</b>		<b>Adult Drug Unit</b>	
Pretrial Officer #1	242	ADU Officer #1	96
Pretrial Officer #2	227	ADU Officer #2	99
Pretrial Officer #3	202	ADU Officer #3	116
Pretrial Officer #4	274	ADU Officer #4	133
Pretrial Officer #5	240	ADU Officer #5	56
Pretrial Officer #6	182	<i>Subtotal</i>	<i>500</i>
Pretrial Officer #7	137		
Pretrial Officer #8	150	<b>Juvenile Probation Office</b>	
Pretrial Officer #9	152	JPO Officer #1	33
Pretrial Officer #10	266	JPO Officer #2	91
Pretrial Officer #11	219	JPO Officer #3	52
Pretrial Officer #12	112	JPO Officer #4	49
Pretrial Supervisor	464	JPO Officer #5	75
<i>Subtotal</i>	<i>2867</i>	JPO Officer #6	43
		JPO Officer #7	77
		JPO Officer #8	40
<b>Adult Probation Office</b>		JPO Officer #9	37
AP Officer #1	312	JPO Officer #10	42
AP Officer #2	310	JPO Officer #11	40
AP Officer #3	306	<i>Subtotal</i>	<i>579</i>
AP Officer #4	302		
AP Officer #5	296	<b>Adult Drug Court</b>	
AP Officer #6	293	ADC Officer #1	5
AP Officer #7	264	ADC Officer #2	64
AP Officer #8	263	ADC Officer #3	4
AP Officer #9	243	<i>Subtotal</i>	<i>73</i>
AP Officer #10	217		
AP Officer #11	202	<b>Sex Offender Registry</b>	
AP Supervisor	80	SOR Officer #1	85
<i>Subtotal</i>	<i>3088</i>	SOR Officer/Administrator	31
		<i>Subtotal</i>	<i>116</i>
<b>In-take Section</b>			
Intake Officer #1	0	<b>Veterans Treatment Court</b>	
Intake Officer #2	0	VTC Officer #1	15**
Intake Officer #3	0	VTC Supervisor	**
Intake Officer #4	0		
Intake Officer #5	0		
Intake Supervisor	40	**90 cases pending transfer	
<i>Subtotal</i>	<i>40</i>		

### **Appendix 3. Juvenile Probation Survey Results**

## Q1 Number of years working in probation services

Answered: 51 Skipped: 0

Answer Choices	Responses
<1	12% 6
2-3	18% 9
4-5	8% 4
6-10	16% 8
11-15	10% 5
16+	37% 19
<b>Total</b>	<b>51</b>

## Adult Probation Review

### Q2 PRE-DISPOSITION INVESTIGATIONS

Answered: 49 Skipped: 2

	<b>Strongly Agree</b>	<b>Agree</b>	<b>Disagree</b>	<b>Strongly Disagree</b>	<b>Do Not Know</b>	<b>Total</b>	<b>Weighted Average</b>
Court reports are generally well written and of good quality.	<b>8%</b> 4	<b>73%</b> 36	<b>14%</b> 7	<b>0%</b> 0	<b>4%</b> 2	49	2.18
The court reports do not provide sufficient detail regarding the needs of probationers.	<b>6%</b> 3	<b>37%</b> 18	<b>41%</b> 20	<b>6%</b> 3	<b>10%</b> 5	49	2.78
Recommendations to the court for probationers are based on individualized needs for treatment.	<b>12%</b> 6	<b>53%</b> 26	<b>24%</b> 12	<b>0%</b> 0	<b>10%</b> 5	49	2.43
Recommendations to the court for probationers are based on available community resources.	<b>10%</b> 5	<b>78%</b> 38	<b>4%</b> 2	<b>2%</b> 1	<b>6%</b> 3	49	2.16

## Adult Probation Review

### Q3 CASE SUPERVISION

Answered: 49 Skipped: 2

	Strongly Agree	Agree	Disagree	Strongly Disagree	Do Not Know	Total
Probation in specialized caseloads would receive an enhanced level of supervision.	33% 16	46% 22	6% 3	6% 3	8% 4	48
Probationers are receiving the required number of contacts as indicated by supervision level.	0% 0	29% 14	43% 21	22% 11	6% 3	49
Client outcomes are clearly identified for each probationer to guide the service delivery.	4% 2	32% 15	45% 21	9% 4	11% 5	47
Probation officers do not assure that probationers receive services to which they refer probationers.	2% 1	21% 10	55% 26	11% 5	11% 5	47
Probation officers do not work close enough with community resources to which they have been referred.	4% 2	35% 17	42% 20	13% 6	6% 3	48
Probation officers work closely with a probationer's family to achieve desired outcomes.	4% 2	35% 17	39% 19	10% 5	12% 6	49
The levels of supervision are characterized by distinctly different activities on the part of the probation officer.	2% 1	41% 20	27% 13	10% 5	20% 10	49
The caseloads do not allow for an adequate level of supervision.	43% 21	35% 17	12% 6	4% 2	6% 3	49
Probationers need more help than they presently receive during their period of probation.	27% 13	53% 26	14% 7	0% 0	6% 3	49
Additional resources are needed to adequately provide for the supervision of probationers.	48% 23	46% 22	4% 2	0% 0	2% 1	48
The enforcement of conditions is sufficient activity for the supervision of probationers.	13% 6	33% 16	31% 15	19% 9	4% 2	48
The number of contacts required for each level of supervision is appropriate.	6% 3	29% 14	39% 19	14% 7	12% 6	49
A 10 hour day, 4 day-week work schedule will increase probation officer contacts with probationers and their families.	16% 8	27% 13	31% 15	8% 4	18% 9	49
The supervision of probationers does not result in greater public safety.	2% 1	21% 10	44% 21	31% 15	2% 1	48
The supervision of probationers is focused more on enforcement than rehabilitation.	20% 10	41% 20	33% 16	4% 2	2% 1	49
The assignment of all probation officers to specific geographic areas results in more effective supervision of probationers.	4% 2	35% 17	27% 13	8% 4	25% 12	48

## Adult Probation Review

### Q4 DEPARTMENTAL MANAGEMENT AND SUPERVISION

Answered: 49 Skipped: 2

	Strongly Agree	Agree	Disagree	Strongly Disagree	Do Not Know	Total
Probation officers are supported in their work by the Department's administration.	8% 4	56% 27	19% 9	6% 3	10% 5	48
Probation officers are supported in their work by their supervisors.	10% 5	60% 29	17% 8	4% 2	8% 4	48
Probation officers' efforts are not adequately recognized by the Department.	10% 5	43% 21	29% 14	6% 3	12% 6	49
Probation officers are provided the tools necessary to carry out their job functions.	6% 3	37% 18	41% 20	10% 5	6% 3	49
The probation manual is a useful tool to direct the work of probation officers.	10% 5	33% 16	18% 9	16% 8	22% 11	49
A 10 hour day, 4 day-week work schedule improves employee morale.	13% 6	21% 10	23% 11	8% 4	35% 17	48
The judges do not base their decisions on probation officers' recommendations.	20% 10	31% 15	29% 14	2% 1	18% 9	49
Probation officers are provided sufficient training to function effectively.	8% 4	45% 22	33% 16	10% 5	4% 2	49
Judges respect the work of probation officers.	2% 1	45% 22	22% 11	14% 7	16% 8	49
Probation officers are not adequately prepared to testify in court.	8% 4	37% 18	47% 23	4% 2	4% 2	49
Judges read the probation officers' reports.	8% 4	55% 27	12% 6	0% 0	24% 12	49

## Adult Probation Review

### Q5 RESOURCES AND SERVICE DELIVERY

Answered: 49 Skipped: 2

	Strong Agree	Agree	Disagree	Strong Disagree	Do Not Know	Total
Probationers have access to treatment resources that address their particular needs.	2% 1	58% 28	25% 12	6% 3	8% 4	48
Probationers do not have access to needed mental health services while on probation.	4% 2	23% 11	50% 24	8% 4	15% 7	48
The current staffing process is satisfactory.	4% 2	23% 11	47% 22	15% 7	11% 5	47
Services to probationers are not provided in a timely manner.	8% 4	40% 19	38% 18	0% 0	15% 7	48
Probationers have access to needed substance abuse resources while on probation.	13% 6	54% 26	25% 12	4% 2	4% 2	48
Probation officers have a method for identifying probationers with mental health needs.	2% 1	29% 14	48% 23	10% 5	10% 5	48
Adequate community resources exist to address the needs of probationers.	4% 2	27% 13	48% 23	13% 6	8% 4	48
Most probationers are referred to the same services.	37% 18	57% 28	2% 1	0% 0	4% 2	49
There is not adequate communication between treatment providers and probation officers.	10% 5	43% 21	31% 15	2% 1	14% 7	49
Probation officers are provided with current information regarding the adequacy of community resources.	2% 1	37% 18	41% 20	8% 4	12% 6	49
Additional funding is the most important solution to improve service delivery.	32% 15	47% 22	6% 3	2% 1	13% 6	47

## Adult Probation Review

### Q6 BEST PRACTICES

Answered: 48 Skipped: 3

	Strongly Agree	Agree	Disagree	Strongly Disagree	Do Not Know	Total
Probation services are not based on best practices.	2% 1	44% 21	35% 17	2% 1	17% 8	48
Evidence-based practices would be applied to all probationers if there was adequate funding.	21% 10	65% 31	4% 2	2% 1	8% 4	48
Evidence-based practices are available in the community but are not used.	4% 2	21% 10	34% 16	6% 3	34% 16	47
Probation officers are knowledgeable about evidence-based practices for providing services to probationers.	4% 2	29% 14	52% 25	4% 2	10% 5	48
Probation officers are knowledgeable about evidence-based practices and their impact on recidivism.	2% 1	31% 15	50% 24	6% 3	10% 5	48
Current case management strategies are based on best-practices.	0% 0	29% 14	40% 19	13% 6	19% 9	48
The Department should coordinate with community-based organizations in defined geographic areas to target the needs of probationers in that area.	19% 9	62% 29	11% 5	0% 0	9% 4	47

## Adult Probation Review

### Q7 CLIENT OUTCOMES

Answered: 49 Skipped: 2

	Strongly Agree	Agree	Disagree	Strongly Disagree	Do Not Know	Total
Probation officers are not knowledgeable about identifying client outcomes for probationers.	4% 2	27% 13	56% 27	2% 1	10% 5	48
Probation officers set clear, achievable goals for each probationer.	8% 4	54% 26	21% 10	8% 4	8% 4	48
A 10 hour day, 4 day work-week schedule will not improve client outcomes.	2% 1	23% 11	33% 16	8% 4	33% 16	48
The Department uses the achievement of client outcomes to select and monitor providers who contract with the department.	2% 1	21% 10	25% 12	4% 2	48% 23	48
The work of the Department is not related to the achievement of outcomes by probationers beyond the period of probation supervision.	4% 2	35% 17	27% 13	4% 2	29% 14	48
There should be incentives and rewards for probation officers whose probationers achieve successful outcomes.	31% 15	31% 15	29% 14	4% 2	4% 2	48

## Adult Probation Review

### Q8 INTER-AGENCY RELATIONSHIPS

Answered: 49 Skipped: 2

	Strongly Agree	Agree	Disagree	Strongly Disagree	Do Not Know	Total
The Department's relationships with Prosecution is not good.	2% 1	20% 10	53% 26	2% 1	22% 11	49
The Department's relationships with community-based agencies have improved in the past three years.	0% 0	63% 30	10% 5	2% 1	25% 12	48
The Probation Department's relationship with the Guam Police Department could be improved.	33% 16	59% 29	2% 1	0% 0	6% 3	49
The Probation Department's relationship with the Guam Police Department is good.	2% 1	59% 29	22% 11	4% 2	12% 6	49
The Probation Department's relationship with the Department of Corrections could be improved.	29% 14	63% 31	2% 1	0% 0	6% 3	49
The Probation Department's relationship with the Department of Corrections is good.	2% 1	67% 33	12% 6	4% 2	14% 7	49
The Department's relationships with community service providers could be improved.	22% 11	65% 32	0% 0	0% 0	12% 6	49
The Department's relationships with community service providers is good.	4% 2	69% 34	2% 1	2% 1	22% 11	49
The Probation Department should look at data across service delivery systems to assist with the identification of prevention and earlier intervention opportunities.	29% 14	60% 29	0% 0	0% 0	10% 5	48

## Adult Probation Review

### Q9 How could the probation manual be improved? What could be added?

Answered: 30 Skipped: 21

#	Responses	Date
1	We could get one, for starters. I don't know what probation manual you are referring to. I've been here for 20 years and have never seen one.	11/9/2015 4:21 PM
2	Gather evidence-based practices used in other jurisdictions in the U.S.	11/9/2015 2:42 PM
3	Honestly, I have never seen the probation manual.	11/9/2015 2:35 PM
4	None	11/6/2015 1:33 PM
5	Never seen a Probation Manual. It should have SOPs for each section of Probation.	11/6/2015 1:12 PM
6	At this point of time, the Probation manual is out-dated. There are directives that have been inserted to address certain changes, but as a whole, there isn't one that is complete and up-to-date.	11/5/2015 3:12 PM
7	It should be accessible to all probation employees.	11/5/2015 11:05 AM
8	procedures and manuals can always be improved and must be over time, it must change with time and from mistakes made in the past. I haven't read it to comment any further.	10/30/2015 4:22 PM
9	needs to be published so all can review and become informed with one standard.	10/29/2015 10:55 AM
10	Probation Manuel's have always been a work in progress, although developed, they are never really implemented. The key is to have the Judge's on the same page as the Probation Division when it comes to the divisions duties and responsibilities. I don't believe a Probation Manuel will ever be applied to the specific duties and responsibilities of the Probation Officer. Manuel's for a specific implementation of program's are more commonly followed by the Probation Officer.	10/29/2015 10:24 AM
11	Never saw nor read one of my tenure here	10/28/2015 11:57 AM
12	Not sure, manual need to be update and passed out to officer's.	10/27/2015 9:31 PM
13	It needs to be updated	10/27/2015 3:50 PM
14	a SOP	10/27/2015 3:24 PM
15	An updated manual with recent studies for effective probation supervision.	10/27/2015 3:01 PM
16	Updated SOP's that reflect how the world has evolved, ie: officer survival, drug testing, evidenced based practices and how probation has evolved from punitive to more empathetic officers and also how technology has evolved.	10/27/2015 2:05 PM
17	Need to see one first	10/27/2015 1:46 PM
18	Include standard operating procedures for every section and unit court-wide and make it readily available to everybody.	10/27/2015 1:21 PM
19	I have no comment.	10/27/2015 12:25 PM
20	Get the input of all probation staff from administrative positions to managerial positions	10/27/2015 11:38 AM
21	Manuals should be planned in the same sense as the Strategic plan-different officers should take part in creating and updating the manual.	10/27/2015 11:25 AM
22	none	10/27/2015 11:12 AM
23	Administrative staff/clerk or assistant PO must also be considered	10/26/2015 12:29 PM
24	Not sure have not seen one???	10/23/2015 10:15 AM
25	It should be updated twice a year and given a formal review by management quarterly.	10/22/2015 1:28 PM
26	Include evidence based practice or best practice models to be used with probationers to get better outcomes.	10/22/2015 10:26 AM
27	It should be reviewed semi-annually for improvements.	10/22/2015 10:10 AM
28	Having an SOP would have all probation officers conducting work the same way.	10/22/2015 9:27 AM

## Adult Probation Review

29	I'm not familiar with the probation manual. Is there one available for review?	10/21/2015 10:30 PM
30	Closer supervision	10/21/2015 9:41 PM

## Adult Probation Review

### Q10 What enables you to do your job most effectively?

Answered: 38 Skipped: 13

#	Responses	Date
1	Support from Supervisor and colleagues, and being empowered to make decisions without my supervisor micromanaging me. Deep sense of pride in my work.	11/9/2015 4:21 PM
2	A supportive boss who imposes an open door policy making it easier to seek guidance with questions i may have	11/9/2015 2:42 PM
3	Satisfaction in knowing that I could help make a small difference in the community.	11/9/2015 2:35 PM
4	Communication and every PO being on the same page.	11/6/2015 2:59 PM
5	Official vehicle and radio communication for fieldwork.	11/6/2015 1:33 PM
6	Smaller case load, attending less court hearings, and more contact with probationers in their home (home visits, home searches, pick up warrants)	11/6/2015 1:12 PM
7	Trust, and an efficient operating/case management system.	11/5/2015 3:12 PM
8	If I am given the proper supplies, such as a functioning computer	11/5/2015 11:05 AM
9	Supervisors/Division Heads that stand up for you/section.	10/30/2015 4:22 PM
10	not being micromanaged	10/29/2015 10:55 AM
11	Presonnal motivations and self gratification.	10/29/2015 10:24 AM
12	My passion is to help others	10/28/2015 11:57 AM
13	Some fellow officers are willing to take the time to train us properly. Some seasoned officers, are not as motivated as the jr. officers. Management is not doing much to curb this stigma.	10/27/2015 9:31 PM
14	Respect. Training. Promotions	10/27/2015 3:24 PM
15	Justware, vehicles, telephones.	10/27/2015 3:17 PM
16	my desire to help probationers succeed	10/27/2015 3:01 PM
17	Updated and Established SOP's that reflect our probationers today, as well as proper updated training	10/27/2015 2:05 PM
18	training and equipment	10/27/2015 1:46 PM
19	Probationers success and morale within the department	10/27/2015 1:30 PM
20	The support of a good supervisor/chief	10/27/2015 1:21 PM
21	My team.	10/27/2015 12:25 PM
22	the want to become a good employee	10/27/2015 11:57 AM
23	experience	10/27/2015 11:38 AM
24	Proper direction from supervisor and admin, consistency with updated training, up-to-date equipment and supplies	10/27/2015 11:25 AM
25	Getting the case from the beginning.	10/27/2015 11:12 AM
26	OJT, on the job training.	10/27/2015 10:07 AM
27	a lower caseload	10/26/2015 12:45 PM
28	More contact or interactions with clients & family	10/26/2015 12:29 PM
29	More P.O. client contact, less hearings, more data for evidence based practice.	10/23/2015 10:15 AM
30	knowledge of the justware system & experience	10/22/2015 6:35 PM
31	ME	10/22/2015 1:28 PM
32	experience	10/22/2015 12:06 PM
33	Having the needed resources.	10/22/2015 10:56 AM

## Adult Probation Review

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34	Support of co-workers and time.	10/22/2015 10:26 AM
35	Good communication within the Division.	10/22/2015 10:10 AM
36	Having the tools to work with which we do have.	10/22/2015 9:27 AM
37	Absence of politics. People doing their job without gossiping. Creation of a true team approach.	10/21/2015 10:30 PM
38	communication	10/21/2015 9:41 PM

## Adult Probation Review

### Q11 What training would help you do your job more effectively?

Answered: 36 Skipped: 15

#	Responses	Date
1	Excel.	11/9/2015 4:21 PM
2	More training in human behavior and social relationships; MATRIX	11/9/2015 2:42 PM
3	The skills we have learned are perishable. If we could do training, like officer survival or other tactical training, more often and consistent we wouldn't lose these skills.	11/9/2015 2:35 PM
4	Field Tactical training and also Social work training.	11/6/2015 2:59 PM
5	Better MIS system	11/6/2015 1:33 PM
6	social work	11/6/2015 1:12 PM
7	With the changes that will be implemented with Adult Probation, I believe training in best EBP practices, some additional sociology/psychology classes, behavioral modification training would benefit personnel.	11/5/2015 3:12 PM
8	the type of training that would help me understand the functions of managing an office	11/5/2015 11:05 AM
9	Case Management as it pertains to GUAM.	10/30/2015 4:22 PM
10	training with evidence based practices.	10/29/2015 10:55 AM
11	Any training related to the field of supervision and case management,	10/29/2015 10:24 AM
12	Communicating effectively, enhanced social work	10/28/2015 11:57 AM
13	training that is up to date with the current trend of criminal activity.	10/27/2015 9:31 PM
14	All training that deals with all aspects of our job.	10/27/2015 3:24 PM
15	counseling for drug offenders and field operations	10/27/2015 3:01 PM
16	Quarterly training for CQB, firearms quals and practicing as a team for field work.	10/27/2015 2:05 PM
17	refresher training in all areas	10/27/2015 1:46 PM
18	Evidence Based	10/27/2015 1:43 PM
19	interpersonal relations, active shooter, judicious use of deadly force.	10/27/2015 1:21 PM
20	More available and frequent training.	10/27/2015 12:25 PM
21	understanding justware more	10/27/2015 11:57 AM
22	evidence based practice training	10/27/2015 11:38 AM
23	Proper case management procedures	10/27/2015 11:25 AM
24	consistent trainings for all PO's.	10/27/2015 11:12 AM
25	I'd recommend every new PO rotate thru the different divisions to understand how Probation runs as a whole and what is expected before being assigned to his/her respective department.	10/27/2015 10:07 AM
26	CJ Academy	10/26/2015 12:45 PM
27	Anything dealing with personal interaction with people with help probation officers.	10/26/2015 12:29 PM
28	training is adequate, it's the workload and caseload that is overwhelming	10/23/2015 10:15 AM
29	more training in EBP; clear instructions/directions for clients from the Courts	10/23/2015 9:39 AM
30	community supervision	10/22/2015 6:35 PM
31	More training on mental health, diagnostics and treatment protocols.	10/22/2015 1:28 PM
32	community supervision training, officer safety training	10/22/2015 12:06 PM
33	Evidence based practice.	10/22/2015 10:26 AM

## Adult Probation Review

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34	Some probation officers still need training in case management.	10/22/2015 9:27 AM
35	Motivational interviewing, data collection and reporting, evidence based practices.	10/21/2015 10:30 PM
36	communication	10/21/2015 9:41 PM

## Adult Probation Review

### Q12 What client outcomes should the Probation Department seek for probationers?

Answered: 33 Skipped: 18

#	Responses	Date
1	We need to understand that once these people complete their probation terms, they will remain in our villages. We need to understand that our jobs should be to help these people better their lives, which will better our community. A more holistic approach to the way we supervise our offenders would address this concern.	11/9/2015 4:21 PM
2	to fully re-integrate into the community and not reoffend	11/9/2015 2:42 PM
3	Helping the clients get educated or get jobs.	11/9/2015 2:35 PM
4	To get them to become responsible citizens of the community.	11/6/2015 2:59 PM
5	Employment and Recidivism	11/6/2015 1:33 PM
6	obtain a job and stop using drugs and/or abusing alcohol	11/6/2015 1:12 PM
7	A reduced recidivism rate.	11/5/2015 3:12 PM
8	not able to answer	11/5/2015 11:05 AM
9	Lower recidivism and Education	10/30/2015 4:22 PM
10	reduced recidivism	10/29/2015 10:55 AM
11	Successful completion of thorough treatment programs and reduced residivism.	10/29/2015 10:24 AM
12	Rehabilitate	10/28/2015 11:57 AM
13	Better supervision practices. making contact with clients in the community. showing more presence in troubled areas.	10/27/2015 9:31 PM
14	To sucessfully complete all terms of his Probation and not to reoffend.	10/27/2015 3:17 PM
15	Rehabilitation by learning a trade, becoming gainfully employed and housing.	10/27/2015 2:05 PM
16	sucessful completion and closure of cases	10/27/2015 1:46 PM
17	support groups that offer their services even after a client's probation term has expired.	10/27/2015 1:21 PM
18	Consistant progress.	10/27/2015 12:25 PM
19	decrease in recidivism	10/27/2015 11:38 AM
20	Number of Probationers who complete probation with job assistance training, pending job opportunities, and length of time probationer does not re-offend.	10/27/2015 11:25 AM
21	implementing a treatment plan for all defendants.	10/27/2015 11:12 AM
22	Health and Wellness, put them in fitness camps.	10/27/2015 10:07 AM
23	ability to pay fine and complete cs	10/26/2015 12:45 PM
24	A good seful and responsible member of the community	10/26/2015 12:29 PM
25	to complete court ordered conditions within their probation period.	10/23/2015 10:15 AM
26	Sucesful completion of Conditions; and to become a productive citizen	10/23/2015 9:39 AM
27	positive lifestyle change	10/22/2015 6:35 PM
28	Idealy, for them to become gainfully employed and productive members of the comunity.	10/22/2015 1:28 PM
29	Outcomes should be long-lasting, e.g. lifestyle changes	10/22/2015 12:06 PM
30	For clients to successfully complete their probationary term in a timely manner.	10/22/2015 10:56 AM
31	Completion of probation and low recidivism.	10/22/2015 10:26 AM
32	No further criminal activity, employment, education, family reunification, substance/alcohol abuse recovery.	10/21/2015 10:30 PM

# Adult Probation Review

33	reduced recidivism	10/21/2015 9:41 PM
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## Adult Probation Review

### Q13 What specific ideas do you have for the improved delivery of probation services that you believe will result in better client outcomes?

Answered: 29 Skipped: 22

#	Responses	Date
1	more 1:1 contact with clients and their families	11/9/2015 2:42 PM
2	Focusing more on moderate to high risk clients, instead of low risk.	11/9/2015 2:35 PM
3	Prevention and Intervention services	11/6/2015 1:33 PM
4	Probation Officers should be in the field more and in the court less. If we are in the field more then probationers will know we mean business and will abide by their court orders. If Probation Officers actually went to probationers homes and opened their fridge to makesure theres no alcohol then that might actually help the probationer stop drinking if he knows he might get visited. We spend too much unnecessary time attending court hearings. If a judge wants to know if a probationer is checking in then they can just pull it up on justware while on the bench. If the Judge wants to know how many violations a probationer has then they should just pull it up on justware while on the bench. Probation Officers should only attend the important court hearing where we're really needed, such as Revocation hearings, Violation Hearings, Sentencing hearing, ect.	11/6/2015 1:12 PM
5	Prioritizing of available resources and training for all employees of treatment provider services, stakeholder services, available local resources.	11/5/2015 3:12 PM
6	the probation officers do proper case management and ensure that they do a background on their own clients (ASO office is not necessary) probation officers need to be aware of the CS their clients do in order to know the statuses	11/5/2015 11:05 AM
7	No Check-in in person by PMD's, or Vio's. Just more serious crimes.	10/30/2015 4:22 PM
8	more contact between PO and defendants	10/29/2015 10:55 AM
9	Probation Officer's now need to think outside the "box" with traditional supervision. Probation Officer's need to be given the latitude to make decisions that increase the sucess of probationer outcomes and must have the support of the Judges.	10/29/2015 10:24 AM
10	Support from the Judges	10/28/2015 11:57 AM
11	having a liaison with the community based programs. working hand and hand with them.	10/27/2015 9:31 PM
12	Defendants on Pre-trial release should not be ordered to report to probation weekly or monthly as long as they attend all scheduled hearings, Judges can use a summons or warrants if they fail to report for hearings and then some of Pretrial POs can be moved to Adult Probation to help reduce caseloads. Caseloads need to be more manageable, Judges need to reduce Futher Proceedings and/or Progress Hearings, let the PO do their work and hold them accountable if they don't.	10/27/2015 3:17 PM
13	More proactive approach (knowing a probationers challenges)	10/27/2015 3:01 PM
14	Incorporate into plea agreements some of the above to ensure better client outcomes.	10/27/2015 2:05 PM
15	more personnel	10/27/2015 1:46 PM
16	employees should be held more accountable to their superiors.	10/27/2015 1:21 PM
17	Effective communication between client and probation officer.	10/27/2015 12:25 PM
18	more training, lessen disparity between same positions in probation services	10/27/2015 11:38 AM
19	smaller case loads should allow for better supervision and closer contact with probationers, basic training on psychology of a criminal-training to allow PO's detect whether probationer is successfully being treated or is presenting to be, interpersonal communication training with criminals	10/27/2015 11:25 AM
20	community service agencies outside of the mayor's office	10/26/2015 12:45 PM

## Adult Probation Review

21	Clerical work of PO must be limited or be delegated to administrative staff or assistant PO so PO will have more contact with probationers. Intake Office must not only be for processing intake or a place to check-in but also be good tool to assist PO to check on the status of probationers compliance of his conditions most specially if the assigned probation officers are not available.	10/26/2015 12:29 PM
22	more client contact especially	10/23/2015 10:15 AM
23	incentives and rewards for clients; in order for this to work the Community and Businesses need to be involved	10/23/2015 9:39 AM
24	Additional P.O.s and Casemanagers	10/22/2015 1:28 PM
25	none at the moment	10/22/2015 12:06 PM
26	Probation Officers need to increase the amount of contact with their clients. Probation Officers working closely with their clients to obtain services	10/22/2015 10:56 AM
27	Training for everyone on evidence base practices and its implementation.	10/22/2015 10:26 AM
28	Proper risk and needs assessments, increased client contact by assigned probation office, employ evidence based/culturally appropriate interventions.	10/21/2015 10:30 PM
29	increased communication	10/21/2015 9:41 PM

## Adult Probation Review

### Q14 What makes you uncomfortable or upset in court?

Answered: 37 Skipped: 14

#	Responses	Date
1	1) When some Judges belittle/berate the probation officers in front of a full gallery, on the record, in open court. How can we expect the public, let alone, our probationers, to respect us when some Judges so openly disrespect us, when clearly there is another way to deal with error on the part of the probation office. 2) When Judges seem to dismiss/disregard the probation officers' recommendations with regard to sanctions for probationers, when the officers know the probationer's case/status/situation. Makes me feel as if the Judges don't trust our professional judgement, and it oftentimes seems as if the Judges believe the probationer more than the officer in the Courtroom.	11/9/2015 4:21 PM
2	I do not know	11/9/2015 2:42 PM
3	When a judge doesn't listen to your recommendation, especially if the client continues to violate his/her conditions.	11/9/2015 2:35 PM
4	When the PO makes a recommendation and the Judge shuts it down; we have certain ways for calculating sanction days which are approved by the Judge and yet the recommendations get shot down.	11/6/2015 2:59 PM
5	POs admonished in court by Judges	11/6/2015 1:33 PM
6	uncomfortable: no access to justware while in court. Upset: some judges move too fast through the hearing, when judges constantly don't act on our violation report (hold it in abeyance),	11/6/2015 1:12 PM
7	A few things: 1) varying styles of courtroom procedures; 2) non-uniformity of expectations for all courtrooms; 3) the outright and public humiliation of court personnel when expectations are not met (unprofessionalism)	11/5/2015 3:12 PM
8	when judges are not fair on handing down judgments to defendants who don't deserve leniency because of conditions that are not done and have not been done	11/5/2015 11:05 AM
9	The fact that Judges are even thinking of sanctioning PO's.	10/30/2015 4:22 PM
10	Inconsistencies for each judge and what they expect	10/29/2015 10:55 AM
11	Judge's not trusting in the decisions made by the Probation Officer to better meet the needs of their probationers. When Judge's degrade the Probation Officer in front of the probationers. It appears that the Judge's trust what the probationer tells them over the Probation Officer.	10/29/2015 10:24 AM
12	The court's attacks on the officers and lack of trust on us	10/28/2015 11:57 AM
13	when judges show lack of respect to us and belittle us in the public's eye.	10/27/2015 9:31 PM
14	Too many cases on calendar/Attorneys always requesting continuance court hearing after court hearing	10/27/2015 3:50 PM
15	Court hearings not starting on time.	10/27/2015 3:24 PM
16	When Judges belittle the Probation Officers and/or show more respect towards attorneys and other professionals in the courtroom. Judges will give the AG's office, defense counsel's and other professionals in the courtroom time to gather their thoughts or notes but will show little patience to a PO.	10/27/2015 3:17 PM
17	covering cases without enough information and not knowing the history of the case.	10/27/2015 3:01 PM
18	Judges being late, judges being too critical and disrespecting PO, Attorneys.	10/27/2015 2:05 PM
19	Judges	10/27/2015 1:46 PM
20	not having proper information	10/27/2015 1:43 PM
21	favoritism, laziness	10/27/2015 1:21 PM
22	When the judge disregards my recommendation.	10/27/2015 12:25 PM
23	laziness, slacking, and half fast work	10/27/2015 11:57 AM
24	Judges constantly changing requests	10/27/2015 11:38 AM
25	Overloading of hearings: Too many clients/patrons standing outside (and sometimes inside) awaiting trial hearings.	10/27/2015 11:25 AM
26	When a client is scheduled for a revocation hearing and has been non compliant of all conditions but is given another attempt at Probation.	10/27/2015 11:12 AM

## Adult Probation Review

27	incomplete files, no file, and misinformation	10/26/2015 12:45 PM
28	when the court schedule unreasonable volume of hearing in a day	10/26/2015 12:29 PM
29	spending too much time long calendar / court hearings., Judges belittling PO in Court in front of Probation Clients.	10/23/2015 10:15 AM
30	when the Court does not believe or belittles the officer	10/23/2015 9:39 AM
31	nothing	10/22/2015 1:28 PM
32	disrespectful clients	10/22/2015 12:06 PM
33	no consistency	10/22/2015 10:56 AM
34	Issues that affect probationer's progress	10/22/2015 10:26 AM
35	Some representatives not knowledgeable.	10/22/2015 10:10 AM
36	Being ridiculed by Judge. Lack of support of recommendations.	10/21/2015 10:30 PM
37	distrust of the officerscon	10/21/2015 9:41 PM

## Adult Probation Review

### Q15 What ideas do you have about reducing the amount of paperwork?

Answered: 34 Skipped: 17

#	Responses	Date
1	Empowering the POs to deal with minor violations directly with the probationer, as opposed to filing a violation and bringing it to court for a hearing.	11/9/2015 4:21 PM
2	Send information (i.e violation report, status reports) via email	11/9/2015 2:42 PM
3	I'm not sure.	11/9/2015 2:35 PM
4	Have a case manager for each section.	11/6/2015 2:59 PM
5	Multiple processing documents	11/6/2015 1:33 PM
6	Use Justware more and use less paper. Each courtroom should have a computer connected to justware. That way there is no need to bring files to court, Prbation officers just need to make sure the info on the system is up to date.	11/6/2015 1:12 PM
7	Wireless tablets.	11/5/2015 3:12 PM
8	only handing out clearances and court documents such as judgments and plea agreements be emailed to attorneys; more work should be done online	11/5/2015 11:05 AM
9	Teach the Judges to Navigate this Multi Million Dollar system THEMSELVES!!! Learn to get the info right in front of them. No po to court unless VCO or special motions.	10/30/2015 4:22 PM
10	email documents and allow/enable digital signature	10/29/2015 10:55 AM
11	Utilize Justware to the fullest.	10/29/2015 10:24 AM
12	Certain forms ARC,Agreements, Conversion	10/28/2015 11:57 AM
13	none.	10/27/2015 9:31 PM
14	Judges should be able to navigate through Justware in Court/Provide laptops in all Court rooms	10/27/2015 3:50 PM
15	use justware to its fullest extent	10/27/2015 3:24 PM
16	The Probation Officer's file does not need copies of half the things given by C&M, if it is needed a copy could be made thru the filing cabinet in Justware.	10/27/2015 3:17 PM
17	Reduce administrative work and PSI reports that are not needed	10/27/2015 3:01 PM
18	E-filing and more portable computers	10/27/2015 2:05 PM
19	electronic file	10/27/2015 1:46 PM
20	laptops to court	10/27/2015 1:43 PM
21	If it is a matter of individual paperwork, there is always paperwork and reports to be done.My suggestion is to hire more probation officers. The more man power, the more the case loads get distributed. However, if it is regarding the amount of "paper" we can always try and cut where unnecessary paper use.	10/27/2015 12:25 PM
22	Computer with Justware in every court room for probation officers	10/27/2015 11:38 AM
23	Limit the number copies of reports, allow for a digital submission of probation reports or summaries, provide PO's/Court Officers with laptops (2-3 laptops) in each courtroom with JustWare and AS400 access	10/27/2015 11:25 AM
24	Giving verbal updates on cases to the court rather than at every hearing. Perhaps only Violation reports should be prepared to save more time and trees.	10/27/2015 11:12 AM
25	keep things electronic as much as possible. All PO documents usually have to print 5 copies, I believe one copy is suffice, get signatures and then for document distribution keep it electronic unless paper copy is absolutely needed.	10/27/2015 10:07 AM
26	stop producing copies for the file; it's redundant.	10/26/2015 12:45 PM
27	provide responsible admin clerk to assist PO it will be less expensive than hiring new PO	10/26/2015 12:29 PM
28	Dont use it!, JUDGE SHOULD BE ABLE to navigate Justware, or use their Court room clerk to use the Justware information.	10/23/2015 10:15 AM

## Adult Probation Review

29	use of laptop computers in the courtroom/ a laptop for each PO	10/22/2015 1:28 PM
30	none	10/22/2015 12:06 PM
31	Agencies providing info via email	10/22/2015 10:56 AM
32	Electronic filing, reporting, etc.	10/22/2015 10:26 AM
33	Use computers in courtroom. Access to e filing for reports.	10/21/2015 10:30 PM
34	staffing meeting prior to court	10/21/2015 9:41 PM

## Adult Probation Review

### Q16 What challenges do you face in your relationships with other agencies?

Answered: 33 Skipped: 18

#	Responses	Date
1	Bureacracy. "That's not my job. That's not my case." Makes trying to provide support services to our probationers difficult when we have no control, and sadly, sometimes, little or no cooperation, from outside agencies.	11/9/2015 4:21 PM
2	overwhelming case loads faced by other agencies which makes it difficult for my clients to receive treatment/services in a timely manner	11/9/2015 2:42 PM
3	Most of the challenges have been with DOC--committing/releasing clients when the COURT ORDER clearly specifies when.	11/9/2015 2:35 PM
4	None	11/6/2015 2:59 PM
5	None	11/6/2015 1:33 PM
6	Red tape bureaucracy, and the lack of open communication.	11/5/2015 3:12 PM
7	not enough employees answering either telephone calls or emails for that matter	11/5/2015 11:05 AM
8	none	10/30/2015 4:22 PM
9	lack of coordination; no working relationship	10/29/2015 10:55 AM
10	None	10/29/2015 10:24 AM
11	Obtaining information in a timely manner, availability of persons to provide us with the information	10/28/2015 11:57 AM
12	If someone is on leave, no one else has the answer/	10/27/2015 3:50 PM
13	Getting info from them or finding out who the right person is to get the info you need.	10/27/2015 3:17 PM
14	information sharing	10/27/2015 3:01 PM
15	No proper protocols or MOU's, lack of support by upper management who build road blocks.	10/27/2015 2:05 PM
16	no time to socialize	10/27/2015 1:46 PM
17	there seems to be a lack of partnership between agencies.	10/27/2015 1:21 PM
18	My challenge is the lack of knowledge by each agency and process by which they operate. Each agency does their respective duties differently.	10/27/2015 12:25 PM
19	not knowing who they are	10/27/2015 11:57 AM
20	Sometimes other agencies are slow to respond	10/27/2015 11:38 AM
21	Lack of communication from agencies to Probation.	10/27/2015 11:25 AM
22	When a client needs treatment for new beginnings but is on the waiting list for many months.	10/27/2015 11:12 AM
23	PO should visit other LE agencies on a formal basis to keep good relationship with LE community.	10/27/2015 10:07 AM
24	ability to contact service providers and get information	10/26/2015 12:45 PM
25	slow response .	10/26/2015 12:29 PM
26	Lack of resources lack of programs lack of communication	10/23/2015 10:15 AM
27	when information is not updated with the techs and given to the probation officer - client contradicts the info that p.o's receive	10/23/2015 9:39 AM
28	Sharing of information especally when it is for the good of the client	10/22/2015 1:28 PM
29	agencies being resistant to change.	10/22/2015 12:06 PM
30	Agencies not providing info on a timely manner	10/22/2015 10:56 AM
31	Quick access to probationer information.	10/22/2015 10:26 AM

## Adult Probation Review

32	Most agencies seem to suffer from lack of personnel and resources.	10/21/2015 10:30 PM
33	staff shortages	10/21/2015 9:41 PM

## Adult Probation Review

### Q17 What are some of the special skills that you offer to probation operations that aren't currently tapped in your role as probation officer?

Answered: 30 Skipped: 21

#	Responses	Date
1	I am a people person, a networker and I pride myself on knowing my job and being a good representative for the Probation Division and the Judiciary.	11/9/2015 4:21 PM
2	My experience in the military	11/9/2015 2:42 PM
3	I'm not sure.	11/9/2015 2:35 PM
4	That I am very computer savvy; I know how to network with people everywhere that way we can work together to get the job done was we are all in the same fight.	11/6/2015 2:59 PM
5	Collaboration with other service providers	11/6/2015 1:33 PM
6	I'm young, in shape, and highly trained. I am a SET (Special Enforcement and Tactics) Operator however I am constantly in the office and court room. I should be doing more field work.	11/6/2015 1:12 PM
7	At this time, in this position that I am holding, I can honestly say that all my skills and talents are being tapped, questioned, and utilized.	11/5/2015 3:12 PM
8	not able to answer	11/5/2015 11:05 AM
9	military background from 3 branches. (Army, Navy and Air Force)	10/30/2015 4:22 PM
10	The ability to create change and be a change agent. Understanding the concept of Value Added.	10/29/2015 10:24 AM
11	need to evaluate this further	10/28/2015 11:57 AM
12	field operations.	10/27/2015 9:31 PM
13	field operations	10/27/2015 3:01 PM
14	I believe I have good leadership abilities and can get PO's to step up and do more by recognizing and acknowledging their positives and leading by example.	10/27/2015 2:05 PM
15	not sure	10/27/2015 1:46 PM
16	n/a	10/27/2015 1:21 PM
17	I have skills as a case manager that allows me to be theraputic along with enforcing what is right by the law.	10/27/2015 12:25 PM
18	willingness to assist other coworkers	10/27/2015 11:38 AM
19	I am not a probationer officer- But as a Case Manager I would do my best to follow up with court hearings for probationers and parolees under my section, probationer (and sometimes parolees) conditions: how successful (or not successful) they are in completing the conditions [community service, counseling sessions, job hunting, etc.]	10/27/2015 11:25 AM
20	works well with Juvenile minors.	10/27/2015 11:12 AM
21	willingness to help; think outside the box	10/26/2015 12:45 PM
22	Serve with respect to all clients and be objective in the performance of your duty	10/26/2015 12:29 PM
23	the impotence of case management and to be able to adapt to all situations	10/23/2015 10:15 AM
24	n/a	10/22/2015 6:35 PM
25	N/A	10/22/2015 1:28 PM
26	n/a	10/22/2015 12:06 PM
27	Skills currently being tapped	10/22/2015 10:56 AM
28	Some training in evidence based practice.	10/22/2015 10:26 AM

## Adult Probation Review

29	Data collection and report writing.	10/21/2015 10:30 PM
30	writing skills	10/21/2015 9:41 PM

## Adult Probation Review

### Q18 In what ways would you like your work to be recognized?

Answered: 26 Skipped: 25

#	Responses	Date
1	My satisfaction comes from knowing that I do my job, to the best of my abilities, everyday. As a public servant, I take pride in doing a good day's work. Support and positivity from our division heads would be great. An email recognizing our efforts would be nice. Personal recognition is always appreciated. In the way of tangible rewards/recognition, an extended lunch or an hour off from the work week would be a nice way to recognize personnel's commitment to doing good work.	11/9/2015 4:21 PM
2	I don't know	11/9/2015 2:42 PM
3	A simple good job from the Chief is good enough.	11/6/2015 2:59 PM
4	Incentives (pay, day off, etc)	11/6/2015 1:33 PM
5	I'd like recognition for my work in the support and accomodations from management and judges. Using personal discretion to ensure that the mission of Probation and of the Judiciary are being implemented and executed efficiently and effectively. No other recognition is needed.	11/5/2015 3:12 PM
6	i don't need my work to be recognized	11/5/2015 11:05 AM
7	I don't. The recognition comes from Management doing the right thing when it counts.	10/30/2015 4:22 PM
8	no comment	10/29/2015 10:55 AM
9	I do not need recognition.	10/29/2015 10:24 AM
10	Violators to be sanctioned	10/28/2015 11:57 AM
11	Through merit promtions	10/27/2015 3:24 PM
12	A good job by Supervisor, Chief or Judge will be good enough.	10/27/2015 3:17 PM
13	I wish our Judges can see that PO's do their work and are good at what they do but are stunted with the lack of resources and red tape.	10/27/2015 2:05 PM
14	time off	10/27/2015 1:46 PM
15	just making sure credit is given where it is due.	10/27/2015 1:21 PM
16	A simple recognition is all that is needed.	10/27/2015 12:25 PM
17	its our job a thank you would be fine	10/27/2015 11:38 AM
18	provided with better and updated equipment, supplies, computer programs and software.	10/27/2015 11:25 AM
19	when people say thank you if you have helped them cover court hearings or with there cases when they are gone.	10/27/2015 11:12 AM
20	exit survey with clients who have completed their conditions and case was closed	10/26/2015 12:45 PM
21	individual Flex work schedule should be considered so long as the quality of service is not compromise instead of the regular work schedule hours	10/26/2015 12:29 PM
22	with increased pay!!!!	10/23/2015 10:15 AM
23	Not needed	10/22/2015 1:28 PM
24	Implementation of some ideas.	10/22/2015 10:26 AM
25	A simple thank you every once in a while.	10/21/2015 10:30 PM
26	awards	10/21/2015 9:41 PM

## Adult Probation Review

### Q19 Where do you see yourself in 3-5 years? What are your career aspirations?

Answered: 33 Skipped: 18

#	Responses	Date
1	I would like to be Chief Probation Officer in the next 7-8 years. I have a vision to reinvigorate and inspire our Probation Officers to take pride in our jobs and to treat each other like family.	11/9/2015 4:21 PM
2	Perhaps, as a POII	11/9/2015 2:42 PM
3	Hopefully promoted.	11/9/2015 2:35 PM
4	In 3-5 years I see my self as an experience Probation Officer II on the way to becoming a Senior Probation Officer; My career aspiration is to make a Task Force as a Probation Officer that way the networking can expand.	11/6/2015 2:59 PM
5	Management	11/6/2015 1:33 PM
6	I plan on pursuing a career in federal law enforcement such as US marshals or Immigration and Customs Enforcement. If I don't get federal job then I'll mostly likely stay here at Guam Probation.	11/6/2015 1:12 PM
7	I'd like to see myself in a supervisory/management position within the division.	11/5/2015 3:12 PM
8	to become a business owner or work at another agency	11/5/2015 11:05 AM
9	Not here.	10/30/2015 4:22 PM
10	No comment.	10/29/2015 10:24 AM
11	In becoming a senior probation officer	10/28/2015 11:57 AM
12	getting promoted.	10/27/2015 9:31 PM
13	Supervisor then Chief	10/27/2015 3:24 PM
14	Supervisor, Deputy Chief or Chief	10/27/2015 3:17 PM
15	In 3-5 years, I hope to become Chief or Deputy Chief Probation Officer.	10/27/2015 2:05 PM
16	promotion	10/27/2015 1:46 PM
17	Promoted to a higher position. To provide my services to the department to best of my ability.	10/27/2015 1:30 PM
18	i hope to become a probation officer inthe next 2 years.	10/27/2015 1:21 PM
19	I aspire to be a probation officer and hopefully one day a super visor.	10/27/2015 12:25 PM
20	i see myself as a probation officer level II or III	10/27/2015 11:57 AM
21	climbing up the ladder and coaching and training new probation officers	10/27/2015 11:38 AM
22	Program Coordinator of a specific section	10/27/2015 11:25 AM
23	Perhaps being promoted and opening a business. no	10/27/2015 11:12 AM
24	Moved up in rank, supervise a division.	10/27/2015 10:07 AM
25	I still see myself here at Probation; doing the same thing for the next 3-5 years with an evergrowing caseload. I aspire to be a leader some day	10/26/2015 12:45 PM
26	With all the things we are all doing to improve probation supervision, with more personal contact with probationers i am sure our crime rate will go down and we can have a more safety, better and peaceful Guam to reside .	10/26/2015 12:29 PM
27	Deputy Chief Probation Officer	10/23/2015 10:15 AM
28	RETIRED	10/22/2015 1:28 PM
29	possibly a senior or supervisor position	10/22/2015 12:06 PM
30	In 5 years hopefully retired!!	10/22/2015 10:56 AM
31	Deputy Chief or retirement	10/22/2015 10:26 AM

## Adult Probation Review

32	Retired. I aspire to be an active and productive worker until my retirement.	10/21/2015 10:30 PM
33	retirement	10/21/2015 9:41 PM

## Adult Probation Review

### Q20 Any additional comments?

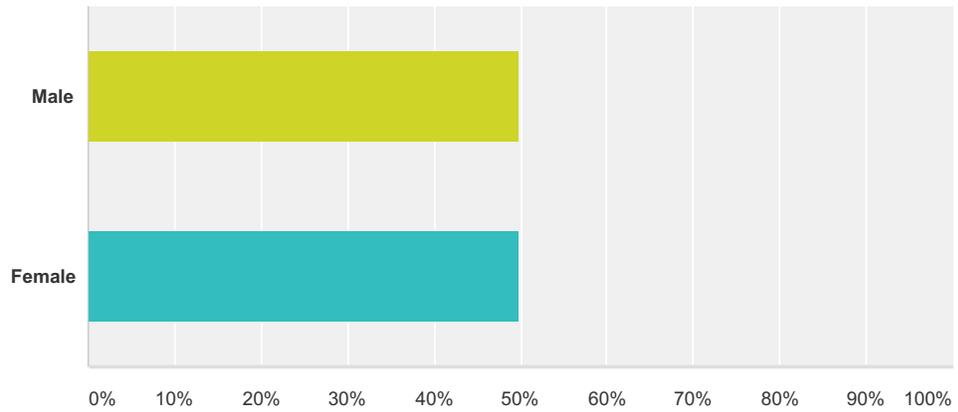
Answered: 21 Skipped: 30

#	Responses	Date
1	I think every Probation Officer could use a shot of inspiration. It starts from the top. For those of us who have been here for many years, we need to be reminded of why we loved our jobs before, and be inspired to find that passion again.	11/9/2015 4:21 PM
2	none	11/9/2015 2:42 PM
3	None	11/6/2015 1:33 PM
4	Thank you for allowing me to verbalize my thoughts on the strengths and weaknesses of this division. We have a good team, good workers: we just need to continue to harness and promote that excellent work environment through ensuring that we have happy, acknowledged employees who take pride in their work.	11/5/2015 3:12 PM
5	no additional comments	11/5/2015 11:05 AM
6	Seniority, Integrity does not exist anymore.	10/30/2015 4:22 PM
7	None	10/29/2015 10:24 AM
8	I grew to appreciate others, I enjoy working with people overcome a negative situation. As a Probation Officer I deal with all sorts. I have come a long way and I feel that I can offer more. I want to grow in this Agency. With more training I can better myself in being of service to our Probationers. The Court can count on me to get the job d	10/28/2015 11:57 AM
9	We need to work together as a team to make it all happen.	10/27/2015 3:24 PM
10	Management needs to trust their Probation Officer's more. There is too much red tape to do any fieldwork in Probation. They need to trust a PO I, PO II, or Senior PO to go out even by themselves. Most PO's have training and they all have degrees so let them do their job. A new Police officer after a year or two can patrol on his own and make decision to arrest or not yet a PO I with over 5 years cannot go anywhere without a Senior PO. Management needs to trust the POs and if they are properly trained, let them answer for their actions as GPD does with their officers.	10/27/2015 3:17 PM
11	none	10/27/2015 1:46 PM
12	Overall, I feel confident and comfortable that I am afforded training and opportunities from my division. I look forward to the future with my Probation family.	10/27/2015 1:30 PM
13	I hope to be considered as an asset to the probation team in a permanent position.	10/27/2015 12:25 PM
14	i cant wait to grow in this company as a probation officer	10/27/2015 11:57 AM
15	none	10/27/2015 11:25 AM
16	None	10/27/2015 11:12 AM
17	Justware was created to be paperless. Instead, we use more paper than ever before. All the Judges want their info sheets in a particular way and set up. Which is ridiculous. There should be one uniform info sheet for all the judges. not taylor-made for each one which is time consuming.	10/26/2015 12:45 PM
18	To teach probationers, I wish all judges commit or remand probationers appearing on return of warrant to make them realize that judges orders are serious and that conditions of probation must be followed. Because, if we keep releasing defendants violation after violation time will come that probationers will nolonger care whatever order or condition of probation imposed.	10/26/2015 12:29 PM
19	Thank you for this survey I hope it amounts to a greater understanding of the P.O. role and for Admin to appreciate our needs to complete our job.	10/23/2015 10:15 AM
20	None	10/22/2015 1:28 PM
21	none	10/21/2015 9:41 PM

# Adult Probation Review

## Q21 GENDER

Answered: 48 Skipped: 3



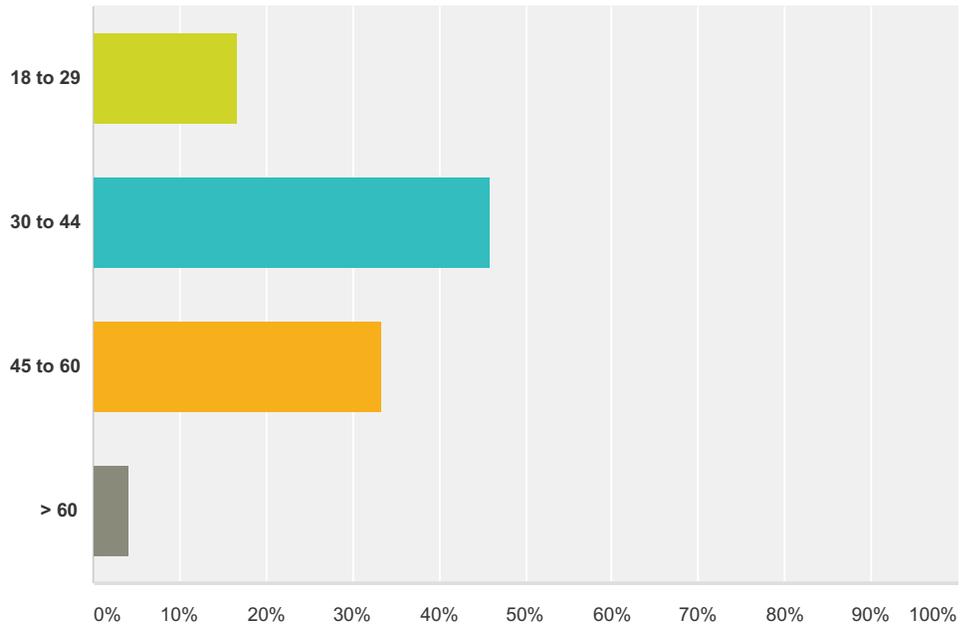
Answer Choices	Responses
Male (1)	50% 24
Female (2)	50% 24
<b>Total</b>	<b>48</b>

Basic Statistics				
Minimum	Maximum	Median	Mean	Standard Deviation
1.00	2.00	1.50	1.50	0.50

# Adult Probation Review

## Q22 AGE

Answered: 48 Skipped: 3

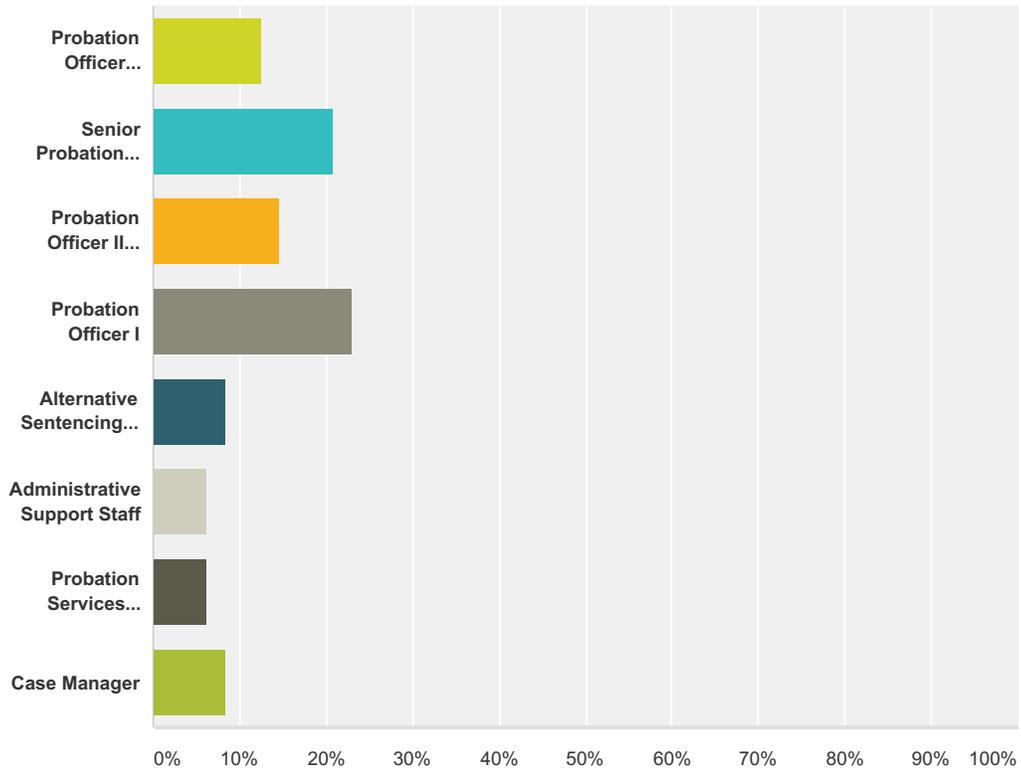


Answer Choices	Responses
18 to 29 (1)	17% 8
30 to 44 (2)	46% 22
45 to 60 (3)	33% 16
> 60 (4)	4% 2
<b>Total</b>	<b>48</b>

Basic Statistics				
<b>Minimum</b> 1.00	<b>Maximum</b> 4.00	<b>Median</b> 2.00	<b>Mean</b> 2.25	<b>Standard Deviation</b> 0.78

### Q23 JOB TITLE/DESCRIPTION

Answered: 48 Skipped: 3



Answer Choices	Responses	
Probation Officer Supervisor or Specialty Court Coordinator (Including Acting Appointments) (1)	13%	6
Senior Probation Officer (Including Acting Appointments) (2)	21%	10
Probation Officer II (Including Acting Appointments) (3)	15%	7
Probation Officer I (4)	23%	11
Alternative Sentencing Officer (5)	8%	4
Administrative Support Staff (6)	6%	3
Probation Services Assistant (7)	6%	3
Case Manager (8)	8%	4
<b>Total</b>		<b>48</b>

Basic Statistics				
Minimum	Maximum	Median	Mean	Standard Deviation
1.00	8.00	4.00	3.79	2.07

## **Appendix 4. Appendix to Methods Section**

### **List of Modified Questions**

#### Case Supervision

Q6: Probation officers work closely with probationer's parents/caregivers to achieve desired outcomes.

Modified Q6: Probation officers work closely with a probationer's family to achieve desired outcomes.

Q10: Additional resources are needed to adequately provide for the parent and family support network for probationers.

Modified Q10: Additional resources are needed to adequately provide the for the supervision of probationers.

#### Departmental Management and Supervision

Q9: Juvenile Court judges respect the work of probation officers.

Modified Q9: Judges respect the work of probation officers.

#### Resources and Service Delivery

Q11: Adequate community resources exist to address the needs of juvenile probationers.

Modified Q11: Adequate community resources exist to address the needs of probationers.

#### Inter-Agency Relationships

Q6: The Department's relationships with non-offender service providers are good.

Modified Q6: The Department's relationships with community service providers is good.

## List of Eliminated Questions

### Case Supervision

Q17: The needs of juveniles in non-offender cases are the same as the needs of juveniles in delinquency cases.

Q18: Specialized non-offender-only caseloads would result in improved supervision of non-offender cases.

### Resources and Service Delivery

Q6: Juveniles receive adequate support when they transition in and out of placement.

Q7: Juveniles do not have access to aftercare services upon return home to parents/caregivers.

Q9: Juveniles are not matched to placements equipped to address their individual needs.

Q10: There is sufficient oversight of juvenile probationers while in placement.

### Best Practices

Q8: The availability of evidence-based practices in the community would allow some juveniles to stay out of placement.

### Inter-Agency Relationships

Q3: The Probation Department's relationship with the Public Schools could be improved.

Q4: The Probation Department's relationship with the Public Schools is good.

Q9: The interface between DYA and Probation needs improvement.

## **List of Additional Questions**

### Inter-Agency Relationships

Q3: The Probation Department's relationship with the Guam Police Department could be improved.

Q4: The Probation Department's relationship with the Guam Police Department is good.

Q5: The Probation Department's relationship with the Department of Corrections could be improved.

Q6: The Probation Department's relationship with the Department of Corrections is good.

## Appendix 6. Programs that work

- **Aggressive Replacement Training** is a multi-modal, cognitive-behavioral intervention designed to teach individuals to replace aggression and antisocial behavior with positive alternatives. Three components of the training include (1) Anger Control – self-control skills including how to recognize triggers for aggressive behavior; (2) Skill streaming – how to deal with group pressure and pro-social interpersonal skills; and (3) Moral Reasoning – changing cognitive distortions and building concern for others.

Program Dosage: 10 weeks, 30 hours of intervention

Group Size: 8 to 12 offenders

- **Moral Reconation Therapy** is a workbook based cognitive-behavioral treatment program with a focus on moral reasoning. It is designed to raise moral reasoning so that concern for social rules and others is an important part of an individual's decision-making process.

Program Dosage: Meetings once or twice per week for 20-30 sessions implemented over 12 to 16 steps

Group Size: 12 to 15 participants

Target Population: Adults and Adolescents

- **Reasoning and Rehabilitation** teaches pro-social cognitive and problem solving skills including social skills, negotiation skills, management of emotions, and cognitive exercise.

Program Dosage: Classroom instruction covering 10 modules over 8 to 12 weeks

Group Size: 6 to 10 participants

Target Population: Medium to High Risk Adults and Adolescents

- **Relapse Prevention Therapy** teaches individuals how to anticipate and prevent inappropriate behavior including substance abuse, violence, and sex offending. Therapy is focused on behavioral awareness and coping and self-management strategies that can help identify and manage situations that can lead to relapse.

Program Dosage: Varies

Group Size: Varies

Target Population: Adults

- **Thinking for a Change (T4C)** was developed by the National Institute of Corrections and teaches motivation and skills needed to change thinking patterns and behaviors. The program is focused on integrating cognitive restructuring, social skills and problem solving instruction to raise an individual's awareness and build interpersonal problem solving skills.

Program Dosage: 22 sequential sessions over 1 to 3 months

Group Size: 8 to 12 participants

Target Population: Adults

- **Criminal Conduct and Substance Abuse Treatment: Strategies for Self-Improvement and Change (SSC)** is a program designed to treat adult substance-abusing offenders involved in criminal conduct. The program focuses on developing the

offender's self-awareness and the motivation for offenders to change. Participants develop a relapse and recidivism prevention plan. It is a phased, multi-modal approach, with screening and assessment serving as important program components.

Program Dosage: Varies

Group Size: Varies

Target Population: Varies

- **Functional Family Therapy** is a short-term family-based program for at-risk and justice involved juveniles that focuses on preventing anti-social behavior and other problems by engaging the family, developing family strengths, and counteracting risk factors for problems solving. The program is administered in three phases: (1) Engagement and Motivation, (2) Behavior Change, and (3) Generalization.

Program Dosage: 8 to 12 one-hour sessions over 3 months, up to 30 hours of service

Group Size: One Family

Target Population: Juveniles and Families

- **Multi-dimensional Treatment Foster Care** is designed for youth displaying serious and chronic anti-social behavior or emotional disturbance and in need of out-of-home placement. It was designed as an alternative to group or residential treatment, incarceration or hospitalization and focused on social and academic skills building.

Program Dosage: 6 to 9 months of highly structured care and supervision in a foster family

Group Size: Individualized

Target Population: Juveniles

- **Multi-Systemic Therapy** is a community-based intervention for serious and chronic juvenile offenders who are at risk of out-of-home placement. It was designed as a comprehensive, goal-oriented and highly individualized program that emphasizes youth and family strengths. It places a focus on improving parental discipline and family interaction and replacing deviant peers with pro-social relationships.

Program Dosage: 60 hours over 4 months and home-based

Group Size: Individualized

Target Population: Juveniles