

SELF ASSESSMENT QUESTIONNAIRE (SAQ) GENERAL INSTRUCTIONS

- Please respond to each of the questions as completely as possible. This may require the participation of several department staff prior to submission to the Adult Probation Service Department (APSD).
- Do not leave questions blank. If a specific question is not applicable, please state so with a short explanation.
- A copy of this document is also being sent to you electronically which will allow you to place your response beneath each question and return it electronically, however, a paper copy with the Chief Probationer Officer's signature is required. For some questions, you may find it necessary to state "see attached" as an answer and attach your response to the back of the SAQ.
- If a handwritten response is provided, ensure all handwriting is legible.
- This questionnaire is separate from all other requests made in conjunction with the operational review, however, some of the questions may be duplicated in our letter dated _____.
- Return the completed questionnaire (hard copy) to:

ARIZONA SUPREME COURT
Administrative Office of the Courts
Adult Probation Services Division
Attn: Operational Review Specialist
1501 West Washington, Suite 344
Phoenix, AZ 85007-3231
(602) 542-9460

GENERAL INFORMATION

- _____ 1. Attach the department's mission statement.
- _____ 2. Attach the most recent annual report prepared for the Presiding Judge or Board of Supervisors.
- _____ 3. List department's accomplishments for calendar year 2004.
- _____ 4. Attach or include a copy of your department's policy and procedure manual, and note when it was last updated (already received).
- _____ 5. Attach a list of officers and officer location with a departmental telephone list.
- _____ 6. List each office and service(s) provided at each office.
- _____ 7. Identify individual(s) responsible for contracting with service providers.
- _____ 8. Identify individual(s) responsible for probationer data entry updates in your department's automated probationer information tracking system (APETS, PIMS, etc.).
- _____ 9. Identify individual(s) responsible for treatment referrals.
- _____ 10. Identify individual(s) responsible for keeping training records.
- _____ 11. Identify individual(s) responsible for preparing the monthly statistical reports.
- _____ 12. Describe the process for supervisory caseload review. How often are they conducted and by whom? Where are the findings documented? Please attach any forms used to complete this process.

MONTHLY STATISTICAL REPORTS and HAND COUNTS

- _____ 1. Describe the departmental process for completing the monthly statistical reports, including a description of the quality control efforts used to ensure accuracy of the reports.
- _____ 2. What source documents does your department use to define active, inactive and other types of cases?
- _____ 3. Does your department conduct hand counts of active, inactive, and other case files more than twice per year. Please describe your process.

PRESENTENCE INVESTIGATIONS

- _____ 1. How many pre-sentence reports were completed by your department for calendar year 2004?
- _____ 2. How many of those reports were not submitted to the court at least two business days before the sentencing date?
- _____ 3. How is this tracked? Please provide a copy or printout of this information, i.e., log sheet.
- _____ 4. How is the "Criminal History" section separated from the pre-sentence report?
- _____ 5. If a defendant does not speak English, how is he/she interviewed?
- _____ 6. If restitution is due, how are monthly payments established and tracked?
- _____ 7. How does the pre-sentence writer determine the amount of monthly probation service fees to recommend to the court?
- _____ 8. What assessment instruments are administered during the pre-sentence phase and how is the information used?
- _____ 9. If defendants are charged for any assessments, how much is assessed, who collects the monies, and how are the funds utilized? List the fund accounts for any assessments.

VICTIM INFORMATION

- _____ 1. When and how are victims initially contacted? Who is responsible for the initial victim

- contact?
- _____ 2. How are victim impact statements provided to your department?
 - _____ 3. How is the pre-sentence report made available to a victim?
 - _____ 4. How is a case with a victim determined to be 'opted-in' and how is the case file identified?
 - _____ 5. Describe the departmental process for notifying victims of delinquent restitution, revocation proceedings, arrests and petitions to terminate or modify probation terms, and modification from IPS to standard probation. Attach copy of the notification form used.
 - _____ 6. Describe the process or system (manual or electronic) for maintaining current victim information (telephone # and address).
 - _____ 7. When and how does the department notify the court when a probationer is delinquent with restitution payments?

IMMIGRATION AND NATURALIZATION INFORMATION

- _____ 1. When and how is the Immigration and Custom Enforcement (ICE) notified of suspected criminal foreign national or undocumented alien?
- _____ 2. How are the results of the ICE notification provided to the court?
- _____ 3. If a foreign national or undocumented alien, do you notify his/her consulate office?
- _____ 4. Identify the person(s) responsible for ACJIS checks. Attach documentation of how this is accomplished.

STANDARD PROBATION SUPERVISION

A. General Information

- _____ 1. What was the number of active standard probationers on December 31, 2004?
- _____ 2. Identify the lowest caseload size, as well as the highest caseload carried by an individual officer.

B. Supervision

- _____ 1. What is the time requirement(s) for the officer to have initial contact with a newly assigned probationer (cite the policy for this requirement) when out of custody? When in custody?
- _____ 2. When does the officer review the conditions of probation with the probationer and does the probationer sign an acknowledgment of this review?
- _____ 3. How are directives related to compliance with conditions of probation provided to the probationer?
- _____ 4. Who administers the risk and needs instruments? When is this done? How is it used?
- _____ 5. When are the risk and needs scores re-evaluated? How often is this done?
- _____ 6. How do the risk and needs scores correlate to the designated supervision level?
- _____ 7. Describe the department's case management requirements (include time frames) and attach all forms (such as a case plan, directive, etc).
- _____ 8. What criteria is used to determine the frequency of probationer contact?
- _____ 9. Describe the department's contact standards for standard probation and note where they are established in writing.
- _____ 10. How does the department ensure officers are in compliance with supervision level contact requirements and how is this documented?
- _____ 11. What steps are taken if an officer does not meet the required contact standards?

- _____ 12. What steps are taken by a probation officer when they receive a urinalysis report indicating the presence of an illegal substance (or alcohol, if its use is prohibited by the court)?
- _____ 13. List and describe the department's specialized caseloads/programs (include target population, eligibility requirements, processes, entrance and exit criteria, caseload size, contact standards and funding source).
- _____ 14. Note the section in the department's policy and procedure manual governing the specialized program (or attach written requirements).

C. Community Restitution Program

- _____ 1. How are community restitution program assignments made for standard probationers?
- _____ 2. How is the supervising probation officer notified of the community restitution assignment?
- _____ 3. How is completion of community restitution hours verified? Where is the documentation maintained?
- _____ 4. When and how are community restitution hours waived or modified?
- _____ 5. Are probationers given two-for-one credit for community restitution hours? If so, please attach local administrative order authorizing this action.
- _____ 6. When the court orders an aggregate number of community restitution hours, how does the department/probation officer direct probationers to complete the hours? What documentation is maintained, and where?

D. Court-Ordered Financial Obligations

- _____ 1. Identify and describe the department's process for collecting financial sanctions, including the use of specialized collections personnel if applicable.
- _____ 2. How are probation officers kept aware of probationers' payment status?
- _____ 3. Describe departmental processes for monitoring and ensuring the collection of court-ordered financial obligations. Where are probationer financial records maintained?
- _____ 4. When and how is the court notified of delinquent restitution payments? Where is the documentation maintained?
- _____ 5.

INTENSIVE PROBATION SUPERVISION

A. General Information/Eligibility

- _____ 1. What was the number of active IPS probationers on December 31, 2004.
- _____ 2. Detail the department's IPS caseloads. Provide a breakdown by team size, members of supervision team (by name) and number of active probationers on each team's caseload.
- _____ 3. How are cases referred to IPS?
- _____ 4. How are they screened and who does it?
- _____ 5. How are the risk and needs scores used in the screening process?
- _____ 6. What is the override process?
- _____ 7. How many overrides were granted during calendar year 2004?
- _____ 8. Indicate reasons for these overrides.

B. Length of Program/Level Changes

- _____ 1. How long are probationers generally on IPS? How long are they generally on each level?
- _____ 2. What criteria are used to move probationers from level to level? Describe the

departmental process for changing a probationer's level of supervision.

C. Supervision

- _____ 1. What is the time requirement(s) for the officer to have initial contact with a newly assigned IPS probationer (cite the policies for these requirements) when out of custody? When in custody?
- _____ 2. When does the officer review the conditions of probation with the IPS probationer and does the probationer sign an acknowledgment of this review?
- _____ 3. How are directives related to compliance with the conditions of probation provided to the IPS probationer?
- _____ 4. Who administers the risk and needs instruments? When is this done? How is it used?
- _____ 5. When are the risk and needs scores re-evaluated? How often is this done?
- _____ 6. How do the risk and needs scores correlate to the designated supervision level?
- _____ 7. Describe the department's IPS case management requirements (include time frames) and attach all applicable forms (such as case plans, checklists, schedules).
- _____ 8. How does the department ensure teams are in compliance with supervision level contact requirements and how is this documented?
- _____ 9. What steps are taken if a team does not meet the required contact standards?
- _____ 10. What steps are taken by an IPS probation officer when they receive test results indicating the presence of an illegal substance (or alcohol, if its use is prohibited by the court)?
- _____ 11. List and describe specialized IPS caseloads/programs (include target population, caseload size, eligibility requirements, processes, entrance and exit criteria, contact standards and funding source).
- _____ 12. Note the section in the department's policy and procedure manual governing the specialized program (or attach written requirements).
- _____ 13. Do officers use a weekly written schedule to monitor IPS probationers' whereabouts? If not, what is used?
- _____ 14. How do officers monitor probationers' employment?
- _____ 15. How are ACJIS hits documented and addressed?

D. Community Restitution Program

- _____ 1. How are community restitution program assignments made for IPS probationers?
- _____ 2. How is the supervising probation officer notified of the community restitution assignment?
- _____ 3. How is completion of community restitution hours verified? Where is the documentation maintained?
- _____ 4. When and how are community restitution hours waived or modified?
- _____ 5. Are probationers given two-for-one credit for community restitution hours? If so, attach local administrative order authorizing this.
- _____ 6. Describe the process by which school attendance (part-time or full-time) is substituted for community restitution hours.

E. Court-Ordered Financial Obligations

- _____ 1. Identify and describe the department's process for collecting financial sanctions, including the use of specialized collections personnel if applicable.
- _____ 2. Under what circumstances would an IPS probationer be allowed to retain their paycheck?

- _____ 3. Describe departmental processes for monitoring and ensuring the collection of court-ordered financial obligations.
- _____ 4. How are probation officers kept aware of probationers' payment status?
- _____ 5. Where are probationer financial records maintained?
- _____ 6. When and how is the court notified of delinquent restitution payments? Where is this documentation maintained?
- _____ 7. Identify the revenue fund into which probation service fees are deposited?

F. IPS Checking Account

- _____ 1. Who is responsible for the maintenance of an established IPS checking account? Where are monthly bank statements retained?
- _____ 2. After the payment of court assessments, what is the established policy for the distribution of the remaining balance of the probationer's paycheck?
- _____ 3. According to the department's records, how much was assessed in NSF (non-sufficient funds) charges on the IPS checking account during calendar year 2004? Explain the circumstances surrounding these charges.

INTERSTATE COMPACT SUPERVISION

- _____ 1. Describe the department's process for probationers requesting transfer to another state.
- _____ 2. What is the average number of days the department takes to complete an investigation for those requesting transfer of supervision to Arizona?
- _____ 3. Describe the circumstances when the department provides direct supervision to Arizona probationers residing in another state who have not had a transfer request initiated.
- _____ 4. What training did the department's Interstate Compact liaison, ISC officers and support staffs receive?
- _____ 5. How are the Victim Compensation and Assistance Fund (VCAF) fees collected from Interstate Compact probationers and are there documentation in the file to support the ordering and collection of this fee?
- _____ 6. How are the VCAF fees forwarded to the state treasurer for deposit into the victim compensation and assistance fund?

COMMUNITY PUNISHMENT PROGRAM

- _____ 1. Describe the various services provided through CPP funding. Include applicable personnel, vehicles, contract services, operating, travel, equipment and target population.
- _____ 2. Of the department's CPP services, how do they benefit the department and how are they tailored to the specific needs of your county?
- _____ 3. List and describe the department's CPP funded specialized caseloads (include target population, eligibility requirements, processes, entrance and exit criteria, caseload size, and contact standards).
- _____ 4. Note the section in the department's policy and procedure manual governing the specialized program (or attach written requirements).
- _____ 5. Identify CPP Advisory Committee members, with titles, and the role the Committee has taken in your county.

TRANSFERRED YOUTH

- _____ 1. Identify all active IPS and standard probationers who were transferred from Juvenile Court.
- _____ 2. Identify the officers supervising specialized caseloads for this population.
- _____ 3. How many of the total transferred youth population are receiving or have received treatment services?
- _____ 4. How many of the total transferred youth population are receiving services through Title XIX and/or XXI?

SEX OFFENDERS

- _____ 1. How many sex offenders are on probation in your county? Provide the number on standard and the number on intensive supervision. Of those, how many are being supervised on a specialized caseload?
- _____ 2. What is the number of Probation Officers supervising this population and what is the average caseload size?
- _____ 3. Are Surveillance Officers utilized to assist in supervising sex offenders placed on standard probation?
- _____ 4. Provide a copy of the department's special sex offender conditions. Do they apply to all offenders convicted of a sex offense?
- _____ 5. Describe the department's sex offender supervision program (include personnel, entrance and exit criteria, supervision/contact standards, treatment regimen, funding source, etc.)
- _____ 6. Describe how referrals and participation in treatment is monitored and documented.
- _____ 7. Describe the procedure for ensuring compliance with registration requirements (initial registration; annual MVD license/ID; attendance at post-secondary education institutions; address/name changes). How are changes documented?
- _____ 8. Does the probation department perform the communication notification process on behalf of local law enforcement? If so, is there a written agreement that outlines the probation department's responsibilities?
- _____ 9. Describe the department's procedure for complying with the state's DNA testing requirement. How is this documented?

DOMESTIC VIOLENCE

- _____ 1. How many misdemeanor (A.R.S. §13-3601.01) domestic violence cases is the department currently supervising?
- _____ 2. Of those, how many are being supervised on a specialized caseload?
- _____ 3. Describe the department's domestic violence program (include personnel, entrance and exit criteria, supervision/contact standards, treatment regimen, funding source, etc.).
- _____ 4. Identify program name, address, contact person, and telephone number for any approved domestic violence offender treatment programs.
- _____ 5. Identify who is responsible for monitoring treatment programs' compliance with Arizona Department of Health Services, Behavioral Health Services Rules dated July 1, 2003, and explain how compliance is ensured and documented.

WARRANTS/ABSCONDERS

- _____ 1. Note the section(s) in the department's policy and procedure manual governing

warrants/absconder cases.

- _____ 2. Describe the process used to locate an absconder prior to requesting a warrant, and identify the time allowed to locate absconders prior to requesting a warrant.
- _____ 3. Identify the department's specialized unit or officer(s) who monitor warrants. Identify where warrants case files are maintained.
- _____ 4. As of December 31, 2004, how many absconders with outstanding warrants did the department have? Provide breakout for standard and intensive cases.
- _____ 5. Describe the criteria for establishing whether a warrant is issued as either an NCIC or ACIC warrant? (Provide a copy of any documentation that describes the criteria.)
- _____ 6. Describe the process and methods used to locate and apprehend absconders after obtaining a warrant.
- _____ 7. Describe the process and criteria used to purge warrants. How is this being documented? How often is a purge review done on outstanding warrants?
- _____ 8. Describe the department's process for reconciling the department's list of absconders with those lists maintained by the Clerk, the Sheriff's Department, and County Attorney's offices.
- _____ 9. What steps are taken to ensure that the Sheriff's Office maintains the warrant as active in the ACJIS system? (i.e., annual verification of warrant in database?)

LIMITED JURISDICTION

- _____ 1. List the number of cases and offense type of limited jurisdiction cases for whom your department is providing supervision services.
- _____ 2. How is the supervision of limited jurisdiction cases funded?
- _____ 3. If this population is supervised on a specialized caseload, include eligibility requirements, processes, entrance and exit criteria, caseload size, and contact standards and note where they are established in writing.

DEA

- _____ 1. Describe the services provided by the DEA grant.
- _____ 2. Describe how these services assist in the more efficient processing of drug or drug-related offenders through the court process.
- _____ 3. Describe the data collection process for DEA services.

DRUG TREATMENT AND EDUCATION FUND

- _____ 1. For fiscal year 2004, how many probationers received DTEF-funded substance abuse services?
- _____ 2. Of the total served, how many were A.R.S. § 13-901.01 (1st or 2nd offense) cases?
- _____ 3. How does the department identify and ensure that A.R.S. § 13-901.01 probationers receive DTEF services first?
- _____ 4. When was the last review and update of your DTEF policy and procedures manual?
- _____ 5. Describe who administers the ASUS, when it is administered (pre/post), and to what type of probationer.
- _____ 6. Attach your urinalysis policy and procedures.
- _____ 7. Describe your methods for assessing, collecting and tracking DTEF co-payments.
- _____ 8. Describe your process for collecting and maintaining recidivism data.

TRAINING

- _____ 1. Do all staff have a departmental policy and procedure manual, or access to one?
- _____ 2. How often is the manual updated? Describe how the department ensures all staff manuals are updated.
- _____ 3. Is the policy and procedure manual utilized in training staff?
- _____ 4. Describe how training records are maintained and by whom. How is attendance verified and where is documentation kept?
- _____ 5. Did all staff meet COJET requirements during calendar year 2004? If not, explain circumstances.
- _____ 6. Identify IPS probation and surveillance officers who have not attended the IPS Institute.
- _____ 7. Identify all probation officers hired after July 1, 1995 who have not successfully completed the Probation Officer Certification Academy and passed the exam and completed one year of service.

OFFICER SAFETY

- _____ 1. How does the department ensure that each officer receives the annual minimum of 8 hours practice in defensive tactics?
- _____ 2. How does the department ensure that armed officers receive the annual minimum of 8 hours of practice and re-qualification?
- _____ 3. Who is responsible for the completion and maintenance of records for defensive tactics and firearms training? Where are the records kept?
- _____ 4. How are incidents involving the safety of probation staff documented?
- _____ 5. How are those incidents used to help prevent reoccurrences?
- _____ 6. Describe the department's radio dispatch system.
- _____ 7. Describe departmental protocol for an officer requiring emergency assistance.
- _____ 8. When and how does staff transport probationers? List the training provided by the department for transporting probationers.

VEHICLES

- _____ 1. List state-owned vehicles with the program designation and number of vehicles in each program. Attach the department's policy on vehicle use.
- _____ 2. Who is the department's vehicle liaison and what are their duties?
- _____ 3. Under what circumstances are officers allowed to take state vehicles home?
- _____ 4. Describe the department's vehicle and credit card use orientation and identify the instructor.
- _____ 5. Describe the department's defensive driving instruction and identify the instructor.
- _____ 6. What actions are taken upon receiving notice of a preventable accident and how is the AOC notified of the action taken?
- _____ 7. What actions are taken when a department employee receives a citation? How is this addressed and documented by the department?

CONTRACT SERVICES

The purpose of contract monitoring is to assist the contractor in three primary areas which include;

(1) ensuring the agency is complying with the terms and conditions of the contract, applicable laws and codes, (2) preventing non-compliance by identifying and resolving potential problems by providing constructive and timely feedback, and finally to continue (3) making progress towards expected results and outcomes.

- _____ 1. For fiscal year 2004, identify all agencies that contract with the department for adult services. Include provider name, address, contact person, telephone number, services provided, funding source and amount of state funds paid in fiscal year 2004. **Attach a copy of each contract.**
- _____ 2. Describe the process for awarding contracts and attach written guidelines and/or department policy. Include whether county or state procurement policies were being followed. Attach a copy of all requests for proposals (RFP).
- _____ 3. Identify the individual or individuals within the department who are responsible for monitoring these contracts.
- _____ 4. How is compliance with contractual requirements ensured and documented? Describe what is included in the contract monitoring plan. For instance, are self audits or on-site visits completed, if so, how frequently?
- _____ 5. Have any agency contracts required corrective action? Corrective action means any action taken by the department that corrects or identifies deficiencies, produces recommended improvements, or demonstrates that deficiencies or findings are either invalid or do not warrant any additional action.
- _____ 6. Describe the process used to verify the fulfillment of contract services prior to any invoices being approved for payment.

INVENTORY CONTROL

- _____ 1. Attach a copy of the department's inventory and property control policies and procedures.

- _____ 2. Attach a copy of the department's inventory log for capital and non-capital equipment.
Does the log contain?
- | | | |
|---|-----|----|
| Acquisition date | Yes | No |
| Current location | Yes | No |
| Program funding source | Yes | No |
| Tag or asset number | Yes | No |
| Model or serial number | Yes | No |
| Account number | Yes | No |
| Purchase document number | Yes | No |
| Original cost including shipping, taxes, and installation | Yes | No |
- _____ 3. How often are physical inventories of equipment completed?
 _____ 4. Identify individual(s) responsible for the department's inventory control.
 _____ 5. How are items purchased with program funds inventoried and where is it documented?
 _____ 6. How long is equipment used when purchased with program funds?
 _____ 7. What are the department's surplus procedures?
 _____ 8. Attach a copy of the department's inventory for LEARN equipment, if applicable.

Signature of Chief Probation Officer or designee

Date