1. How long has this program operated?
The “10 Step Framework” germinated (2009), grew to fruition (2011) and has moved to sustainment (present day).

2. Describe the program:
   Please see the attached document
   • Why was it created?
   • Why is it a new and creative approach or method?
   • What are the specific activities and operations of the program in chronological order?
   • Is it effective? Provide tangible results and examples.

3. Did this program originate in your state?
   YES

   Georgia DOC Commissioner, Brian Owens directed Probation Operations to develop a concept of planning, implementing and sustaining the exceptional statewide felony probation operation in the nation. The 10-Step Framework initiative was developed in response to this vision.

4. Are you aware of similar programs in other states?
   Other states may have parallel philosophies and visions, and share several of the individual features of this 10-Step Framework; however, there is no evidence that any other state has embarked upon a “framework” initiative as over-arching and comprehensive as the GDC Probation Operations’ 10-Step Framework.

5. What limitations or obstacles might other states expect to encounter when attempting to adopt this program?
   This has been a massive initiative to bring to fruition—it effects ALL probation circuits (49), statewide.
   All offenders ordered to serve a probated felony sentence, become the “ward” of the GDC’s Probation Operations Unit. Currently, Probation Operations actively manages a population of
103,720 offenders. Probation Operations oversees an additional 57,054 offenders, who are held on inactive supervision until their Court ordered probated sentences expire.

Probation Operations is an operational division of the State Department of Corrections. As such it is privileged to work collaboratively and share in the strength, support and infrastructure (technical, legal, personnel, etc.) of a very large Department of State Government.

Probation Operations also benefits from numerous and fertile collaborative inter-agency agreements with local, state and federal agencies and operates fluidly with the State’s Superior Courts and the large number of criminal justice/offender rehabilitation stake-holders within Georgia’s communities (e.g., juvenile justice, city/county governments, local law enforcement, prosecuting and defense attorneys, education, employment, mental health and substance abuse organizations and agencies, faith-based organizations, family and children services, et al).

Considering the over-arching concept and expected outcomes of the Probation Operations’ 10-Step Framework it is felt that agencies not resourced or positioned similar to Georgia’s Probation Operations (e.g., as an operating division of a State’s massive Department of Corrections) may not have the depth or breath of resources available to them (fiscal, technological and intellectual) to engage in, and so substantively and radically reengineer, operations as Georgia’s Probation Operations has through implementation of this 10-Step Framework initiative.

Please read the document below, written in support of this award application.

“REENGINEERING PROBATION SUPERVISION: GEORGIA’S EXCEPTIONAL MODEL”

*****************************************************************************

THANK YOU FOR THE OPPORTUNITY TO APPLY FOR THIS AWARD!
INNOVATIONS: THE COUNCIL OF STATE GOVERNMENTS
REENGINEERING PROBATION SUPERVISION:
GEORGIA’S EXCEPTIONAL MODEL

At the time when state revenues are lower than expected, when prison and probation caseloads are exploding and the overall national economy has been plummeting—in spite of all this—the Probation Operations Unit of the Georgia Department of Corrections is determined to remain vigilant and fulfill its “mission”:

“To protect and serve the public by enforcing the orders of the Court(s) through the effective community supervision of felony offenders.”

To this end, using guidance offered through such institutions and publications as the Urban Institute’s “Putting Public Safety First” and The Pew Center on the States’ “One in 31, The long Reach of American Corrections” and “Putting Public Safety First: 13 Strategies for Successful Supervision and Reentry Probation Operations” Georgia’s Probation Operations crafted its own guiding and prevailing “framework” of significant crime reduction, public safety initiatives, founded upon modern evidenced-based research, literature and technology.

RATIONALE—the RIGHT thing to do!

Since the year 2000, the number of Georgians on probation—156,000 is up 22 percent and the number of Georgians on parole—22,000 is up 9 percent.

One-in-13 Georgia adults are behind bars, on probation or on parole—the highest percentage in the nation. The annual cost to fund Georgia prisons has swollen from $500 million per year two decades ago to almost $1.1 billion.

PROBATION OPERATIONS 10 STEP FRAMEWORK BACKGROUND

- The Pew Center Public Safety Policy Brief “Putting Public Safety First…” recommended specific strategies for accomplishing successful supervision and reentry—thereby, reducing recidivism.
- GDC’s Commissioner, Brian Owens, directed Probation Operations to develop a concept for planning, implementing and sustaining the exceptional statewide felony probation operation in the nation.
- Probation Operations was charged with leveraging “best practices” including strategies, methods, interventions, partnerships and technology.
- A total of 10 steps (initiatives) were developed and deployed (“The Framework”), shaping the overall Mission and Vision of Probation Operations.
- Process Action Teams (PATs) were formed to address each step/initiative.

PEW provided indispensible guidance with the following statements as the “10 Step Framework” germinated (2009), grew to fruition (2011) and moved into sustainment (present day). PEW said:

“By supervising offenders where they live, fostering relationships with those who know them best, and becoming familiar with local resources and high-risk areas, parole and probation officers are much better positioned to manage their caseloads.”
“Research has demonstrated that evidence-based interventions directed towards offenders with a moderate to high risk of committing new crimes will result in better outcomes for both offenders and the community. Conversely, treatment resources targeted to low-risk offenders produce little, if any, positive effect.”

**GDC, Probation Operations: 10-Step Framework**

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1. **Sort Offenders by Risk (25 hot spots), administer evidence-based offender need/risk assessment**
   - Probation Operations has completed:
     - i. Using postal zip codes and probation circuit offender per capita information to identify geographical "hot-spots"—the locations of the largest concentrations of offenders. Justice Mapping Services assisted with this identification. (see Appendix “A”, Offender Mapping—hot-spot mapping example)
     - ii. Establishment of neighborhood supervision teams using a technology enhanced virtual office concept in the field to promote greater officer presence and field supervision visibility.
     - iii. Development of a new, *dynamic offender risk assessment* instrument. This instrument automatically establishes the offender’s risk score and assigns the offender to a *risk level*; thereby, triaging Probation Operations’ supervision response to ensure the right level of supervision is imposed based on each offender’s evidenced-based propensity to be re-arrested. It is dynamic in real-time and does not require data beyond the data that is routinely collected and entered into the Department’s offender data base. Data collection is a collaborative effort between GDC Probation Operations, Georgia Board of Pardons and Paroles and the Georgia Crime Information Center (GCIC).
     - iv. This new assessment system was operationalized March 1, 2012.
   - Probation Officer Sentencing Specialist (P.O.S.S.)
     - i. Probation Operations created and has installed “POSS” Probation Officers in all probation circuits (49), statewide. POSS officers serve as liaisons (subject matter experts), to Courts and other criminal justice stakeholders on matters pertaining to GDC’s offender management responsibilities, programs availability, offender supervision placements and prison bed space availability. POSS Probation Officers are relied upon by the Court(s) to direct offenders to the various evidenced-based incarceration alternatives, and available correctional programs.
     - ii. *Justice Reinvestment*, responsible government and Departmental stewardship goals are well served and supported by the efforts and achievements of the POSS Officers.
2. Create and Deploy Community Impact Programs (C.I.P.)—in targeted communities

- Very active, the CIP program is a collaboration between Probation Operations and other local and State agencies, to include:
  1. Georgia Department of Juvenile Justice, Georgia Board of Pardons and Paroles, Georgia Department of Labor; Georgia Department of Family and Children’s Services, local, faith-based organizations, school boards, police and sheriff’s department, community groups and charities.

- Led by GDC’s Probation Operations, this consortium of agencies targets highest risk probationers and parolees under community corrections supervision.
  1. Additionally, CIP’s assist offenders who have “maxed-out” of prison—offenders who do not have a period of parole or probation supervision to follow incarceration, offenders that otherwise would not have the benefit(s) of stabilization assistance and support.

- The objectives of the CIP initiative include:
  1. Assisting offenders with their corrections-based supervision, and their transition, and stabilization back into the community.
     1. Offender re-entry needs may include (but are not limited to): employment, housing, addressing physical and mental health deficiencies, evaluation and enhancement of cognitive skills, substance abuse reduction, etc.
  2. Working within the community to identify and develop the pool of resources that will target offender needs and risks in order to pro-actively address needs and mitigate evident or emerging risks within the offender population. To this end:
     1. Each CIP is charged with developing a community resource provider list for officers to use in conjunction with their offender monitoring and supervision activities.
     2. Counseling, community policing and offender surveillance are installed as integral parts of the CIP program.
     3. Local police officers/deputies are assigned full-time the program(s) and share in accomplishing program objectives.
     4. Probation and Parole Officers regularly ride along with local police (and, vice versa) to monitor and enforce compliance with the law and the conditions of Parole or Probation; and, to encourage and model pro-social behaviors such as program attendance, employment, substance abuse abstinence, continuing education, personal and family responsibilities, etc.

- CIP’s are rooted in the identified “hot-spot” areas across the State.

- Across Georgia the CIP programs are housed in concert with another joint-agency (Probation and Parole) initiative—Day Reporting Centers (DRC’s). The Day Reporting Centers:
  1. Require offenders (sentenced by sentencing Courts or directed by the Parole Board) to report to the center daily
  2. Provide direct access to intensive corrections programming and services (education, employment, drug and alcohol counseling, cognitive programming, etc.).
     1. Service providers include internal staff and volunteer community resources.
     2. DRC programming and compliance monitoring / surveillance services are balanced.
3. The services provide evidenced-based programs and community surveillance utilizing partnerships and collaborations with the respective local law enforcement agencies.

NOTE: To complement the CIP initiative, several large scale law enforcement/community supervision Joint Task Force (JTF) operations have been spear-headed by Probation Operations, utilizing the collaborative in-roads developed by the work of the CIP’s within community(ies). These joint operations (often called “Operation Clean Sweep” and lasting 3 to 7 days) involve an influx of additional police, field probation and parole officers into these cities, to include recently established Probation Tactical Teams. The additional forces provide a visual increase of law enforcement presence in high crime areas. The JTF’s focus on probation and parole warrant service, offender compliance checks and high profile community policing. Frequently heard from the community citizens during these successful operations is: "Thank you for being here...we wish you could do this everyday".

Joint Task Force—“Operation Clean Sweep” Augusta, Georgia
Field Operations Collaboration
3. Ensure All Intervention Programs are Evidenced-Based
   - Probation Operations working collaboratively with the Department’s Offender Risk Reduction Unit endeavored and has succeeded in assessing ALL existing offender programs to ensure they were evidenced based. All non-evidenced based programming was halted and dismissed. Consequent to these efforts a framework of internal (GDC) and external (in-community) evidenced-based programming has been installed. The evaluation of potential programs continues to ensure all programs brought on-board are evidenced-based.

4. Design GDC Sentencing Model / Leverage Specialty Courts
   - Probation Operations has developed and presented to the State’s Judiciary a suggested sentencing model. Probation Operations has conducted a statewide survey of all Judicial Circuits (49) to evidence the availability, mission and current functioning of any Accountability Courts (i.e., drug, veteran, mental health, family, etc.) and other alternatives to the State’s “traditional” prosecution and sentencing practice(s). Using this information Probation Operations has been instrumental in the growth of the statewide Accountability Courts initiative. These courts serve to assess, identify and impose the most appropriate sanctions on offenders who otherwise, using the “one-size/one-court fits all” philosophy, would not have been as effectively supervised and/or the State and community resources would not have been efficiently and effectively utilized. Accountability Courts are essential to the effective employment of the Justice Reinvestment philosophy.

5. Utilize technology—Improve Supervision Efficiencies & Enhance Public Safety
   - Probation Operations has sought-out national trends, business process efficiencies and emerging technologies. It has collaborated and been supported by GDC’s; Office of Information Technology and the Governor’s Officer of Customer Service. It has consulted with PEW, APPA, NIC, NIJ and numerous technology companies (Oracle, AVAYA, Cisco Systems, Nortel, etc.) in order to acquire and apply cutting-edge technologies and
improve over-all probation efficiency in supervising lower risk level offenders—in order to realize increased resource availability and **empower greater focus and impose heightened supervision requirements upon higher risk offenders**—in order to more effectively protect the public.

**Probation Operations has:**

i. Provided portable, internet connected, rapid ID fingerprint reader devices (linked to the FBI offender data base) to field officers,

ii. Created “virtual offices” within the officer’s field environment by:
   1. Issuing full featured Blackberry devices,
   2. Issuing internet enabled, mini-laptop computers,
   3. Providing computer mounts within field vehicles, and
   4. Loading field computers with the most appropriate software to enable inter- and intra-agency communications and remotely access essential offender data-base information—from the field.

iii. Created the Probation Reporting Contact Center (PRCC)—an alternative probationer reporting methodology for lowest risk offenders. (See Appendix “B”, Probation Reporting Contact Center)

   - The PRCC was developed to enhance accountability of the lower risk probationers. Using the PRCC methodology offenders are held more accountable than if they are being supervised by an officer attempting to manage a “mega-size” caseload, using traditional supervision strategies.
   - The PRCC provides an opportunity for probationers to meet their monthly probation “compliance report” via telephonic interaction using AT&T’s Interactive Voice Response (IVR) technology (“VoiceTone”) and/or with a PRCC Customer Service Representative staff member (a.k.a., “call handler”).
   - The program is designed to ensure that the caller is immediately put in touch (via telephone) with their Probation Officer—should the dynamics of the call evolve from a routine compliance monitoring contact into requiring case supervision decisions to be made.
   - It is noteworthy to mention that PRCC Customer Service Representatives all work remotely from an alternative work-site (usually their residence).
     - They are technologically capable of working from ANY location where internet service is provided.
     - This situation is conducive to ensuring employee work-place satisfaction and flexibility and also serves the State well by eliminating the need to provide office space for the PRCC.
     - Because there is not a “Central PRCC Office” site it allows call handlers to be selected from any location within Georgia. As a matter of note—one of the PRCC call handlers actually resides and works daily from Alabama.
   - The PRCC allows for large caseloads of lowest risk probationers to be monitored by automated technology; thereby, freeing-up a significant number of officers to be redirected to manage higher risk probationers.
   - The PRCC provides probationers with incentive to comply with the Court’s Order(s); thereby, making them eligible for PRCC “call-in” status:
     - Probationers assigned to PRCC reporting are able to avoid long drives to the probation office and long waits in the probation office lobby.
     - It allows offenders NOT to have to take time away from their employment or possibly find child care for their children to make officer directed reporting appointments.
     - The probationer may make routine reports to the PRCC “24/7/365”.


PRCC reporting also reduces the number of probationers being required to physically report to the probation offices—reducing foot traffic, crowded lobbies, confrontations between rival groups; and
- Reduces local community business concerns about concentrations of convicted felons being in their business areas, when their businesses are adjacent to probation offices.

- Georgia has 103,405 probationers currently required to report to their probation officer at least once per month. At this time greater than 23,000 report through the PRCC. The PRCC, as it is presently resourced, has the capability of managing 40,000+ reporting probationer calls per month. PRCC growth is on-going and rapid!
- While this concept allows for compliance monitoring and documentation to be achieved through telephone contact with a PRCC representative. It does not, nor is it intended to replace, or circumvent, the responsibility for probationer case management and offender supervision to be performed by certified Probation Officers. Even though a probationer may be monitored by reporting through the PRCC, he/she IS assigned to a Probation Officer responsible to MANAGE probationer/case supervision.

Community Safety and Visibility

110 New, Field Team Vehicles—Equipped for Officer Safety and Effective Supervision

6. Impose Swift, Certain, Proportionate and Consistent Sanctions

Probation Operations has:
- Developed a *Probation Sanctions Matrix* in order to swiftly, consistently and proportionately respond to probationer non-compliance,
- Evaluated and expanded use of *sentencing waivers* (in lieu of court appearances) and other "best practices" intended to reduce Court calendars when offender non-compliance is at issue,
- Trained staff in sanctions implementation,
- Monitored the sanctioning process for quality control assurance,
Developed, sponsored legislation creating the Probation Options Management (POM) initiative. Implemented POM statewide in 36 of 49 Judicial Circuits (201 of 159 counties, 96 of 102 Superior Court Judges)—this is an on-going initiative.

i. Using POM, Judges sentence probationers to a period of probation, setting a sanctioning ceiling for any future misdemeanor offenses or technical violations of probation. Sanctions most commonly used are:
   1. Probation Detention Centers (PDC)
   2. Residential Substance Abuse Treatment Programs (RSAT)
   3. Day Reporting Centers (DRC)
   4. Intensive Probation Supervision (IPS)
   5. Electronic Monitoring
   6. Community Service Work
   7. Enhanced supervision requirements and restrictions

ii. If the probationer subsequently violates the conditions of probation, Probation Operations (within the powers granted by the Sentencing Court) can impose administrative sanctions as an alternative to a traditional judicial revocation.
   a. Using designated “POM hearing officers” all violations are disposed of within 15 days of arrest.
   b. This saves valuable probation officer time, provides relief to the sentencing Court calendars and saves significant state/county funds by shortening pre-hearing offender jail time.

7. Award and Incentivize Probation Officer and Offender Performance
   ➢ Officer:
     i. Probation Operations has created objective and measurable criteria for awards; developed awards and recognition strategies (local-to-statewide); linked the award process to a statewide "Probation Officer of the Year" designation.
     ii. Probation Operations initiated a “Field Training Officer” program that is certified by the Georgia Peace Officers Standards and Training Council (POST).
        1. Designated/trained FTO’s (Probation Officers) receive a salary supplement for their expertise and training responsibilities (once certified) and are indispensible as instructors, mentors and sources of experience for staff (new and veteran).
   ➢ Offender:
     i. Probation Operations initiated a study committee to research, develop and provide the State’s Superior Courts with a guide for incentivizing compliant offender performance and behaviors.
        1. Probation Operations assisted Georgia’s 2012 Legislature to propose the 2012 “Criminal Justice Reform Act” which includes provisions for low risk compliant probationers to achieve: reduced supervision requirements, sentence suspension and/or early sentence termination.

8. Ensure the Seamless Transition of Supervision—Incarceration to Community Supervision
   ➢ Probation Operations:
     i. Developed a re-entry check list/supervision plan process to assist offenders releasing from prison and officers receiving these offenders for supervision,
     ii. Assessed and improved the prison release notification process which notifies Probation Officers when as offender is releasing from prison to community supervision,
     iii. Guided technology enhancements to the offender releasing process,
iv. Initiated a *Reentry Stabilization Program/Process* requiring heightened offender supervision for a 90 day post-release period—when offenders are released from incarceration without a requirement for probation or parole supervision to follow (a.k.a., “maxing-out”)

v. Developed a statewide offender *Re-Entry Point of Contact* officer for each judicial/probation supervision circuit

vi. Ensured inclusion of GDC Prison Operations, Sex Offender Administration Unit, Office of Information Technology; and the Board of Pardons and Paroles in the seamless continuum of supervision responsibility.

9. Ensure Probation Accountability  
Probation Operations:
- Created objective, data-driven Probation Accountability Reports (PAR) and processes
- Developed, and is routinely using, a reporting and accountability methodology modeled after the New York City Police Department COMPSTAT process. It is used from the local to the executive levels of management.
- Seeks-out and swiftly corrects data, policy and procedures inaccuracies;
- Developed objectives-based performance metrics (research PEW, NIC, NIJ, etc.);
- Identified and defined dynamic "best practice" indicators and sustainment practices;
- Enhanced its ability and efficiency by using modern information technology

10. Collaborate, Research, Monitor, Guide Probation Legislation  
Probation Operations:
- Researches legislation;
- Collaborates with PEW to identify effective initiatives to adopt in Georgia;
-Researches National and State initiatives and trends to meet current and future needs of Probation Operations;
- Collaborated with GDC Legal Office to develop legislative ground work in support of initiatives for 2011 and 2012 legislative sessions;
- Assisted and supported Georgia’s current “Criminal Justice Reform” initiative. An aggressive and progressive legal initiative intended to ensure greatest offender accountability, solid State stewardship and enhanced public safety. The principles behind criminal justice reform include incarcerating those people who can do us harm, treating those people who need help more than they need incarceration, keeping the public safe and reinvesting prison system dollars into treatment programs.

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SUMMARY

The Probation Operations Unit of the Georgia Department of Corrections continues its quest to ensure the safety of its citizens and communities.

It has recently taken bold, innovative steps forward and embraced modern technologies to ensure offender accountability, effective probation supervision and solid fiscal stewardship of the State’s resources.

The above discussion of the “10 Step Framework” well serves as evidence of the innovations and vision(s) of GDC’s Probation Operations.
**Offender Mapping**

This “screen shot” example is from within the probation data-base (SCRIBE). It depicts offender residences within postal zip code #31901—Columbus, Georgia (one of the identified “hot-spots” and location of a Probation Community Impact Program). Columbus is bordered to the West by the Flint River—the absence “balloons” on the left is due to this area being within the State of Alabama—outside of Georgia’s jurisdiction.
APPENDIX B

Technology Diagram: Probation Reporting Contact Center
This chart depicts the call “flow” when a call to the PRCC is received from a probationer. The probationer (upper left) places the call and subsequently interacts with the IVR once he/she successfully inputs their Georgia Department of Corrections identification number and their unique personal identification number (PIN).

Thereafter, depending on the content of the caller’s information, the call may:
- Be completed entirely through interaction with the Interactive Voice Response technology (IVR), or
- Be completed by transfer to a PRCC call handler, or
- Be completed upon the call handler’s immediate “warm call transfer” to the probationer’s respective Probation Officer.

In all instances, call information is documented to the offender’s electronic case management file (data base) and is immediately viewable by the supervising Probation Officer.

OFFENDER SUPERVISION TEAMWORK—PRCC

Probation Reporting Contact Center (PRCC)
Upon probationer entering correct GDC ID # and PIN:
System performs a query to authenticate authorization to use PRCC; then if valid, receives and documents information to SCRIBE—relative to probationer’s compliance with conditions using:
1. Interactive Voice Response Technology (IVR, prompts & touch-tones), and/or
2. “Live person” intervention (PRCC Customer Service Representatives)

Information flow
Call Center to/from Probation Officer—as necessary

Probation Officer local office:
Using SCRIBE:
1. Receives and reviews case note information
2. Posts messages to probationer (through PRCC)
3. MANAGES case, responds to case needs/risks
4. Communicates with PRCC, as necessary