

APPENDIX P

AOIC CONDITIONAL CERTIFICATION CHECKLIST

PSC:

Date:

AOIC STAFF:

I. MATERIAL REVIEW

The following items submitted with the Application:

- ☐PSC Signatories page
- ☐MOU(s) among the PSC team members
- ☐PSC Written Policies and Procedures
- ☐PSC Team Members
- ☐PSC Participant Handbook
- ☐Consent for Release/Disclosure of Confidential Information
- ☐Consent to Participate
- ☐Plea/Finding of Guilt
- ☐Photo Release
- ☐Adverse Event
- ☐Probation Order
- ☐Phase Promotion
- ☐Discharge Plan
- ☐Case Management Plan
- ☐Clinical Treatment Plan

- ☐ PSC budget
- ☐ Team Members completed problem-solving court specific training

Planning and Administration

1. ☐ **PSC Standard 4.1(a):** A multidisciplinary stakeholder's group has been established that includes representatives from the judiciary, the prosecutor's office, the public defender's office, licensed treatment providers, probation/court services, law enforcement agencies, local government and other relevant agencies/entities (e.g., United States Department of Veterans Affairs).
2. ☐ **PSC Standard 4.1(b):** During the initial planning process, the multidisciplinary stakeholders group completed the following:
 - ☐ Reviewed statistical data and information to identify a target population;
 - ☐ Established program goals and objectives;
 - ☐ Developed eligibility and exclusionary criteria;
 - ☐ Determined capacity and type of PSC;
 - ☐ Identified resources for staffing and treatment;
 - ☐ Created a timeline for implementation;
 - ☐ Observed other PSC;
 - ☐ Reviewed the Sequential Intercept Model and the Sequential Intercept Model Illinois;
 - ☐ Complete and execute MOU(s) among the team members' offices or organizations; and
 - ☐ Designate a local PSC coordinator
3. ☐ **PSC Standard 4.2(a) and (b):** Written policies and procedures have been drafted that comply with the Standards, applicable state and federal laws, applicable Supreme Court policies and procedures, and the policies and procedures of the circuit court in which the PSC operates and contain:
 - ☐ PSC mission statement;
 - ☐ Program goals and objectives;
 - ☐ Capacity and type of PSC, including designation of the PSC as a Pre-Adjudicatory PSC, a Post-Adjudicatory PSC, or a Pre- and Post-Adjudicatory (Combined) PSC;
 - ☐ Eligibility and exclusionary criteria for participants, including policies and procedures to prevent discrimination;
 - ☐ Assessment and enrollment processes, including processes for referral to the PSC, for prompt assessments to determine participant eligibility, and for entry into the PSC, including the signing of a Consent to Participate on the record in open court, and the signing of a release of information form;

- ☐ Responsibilities of each PSC team member consistent with the roles and responsibilities set forth in the applicable MOUs;
 - ☐ Policies and procedures for case management and supervision, including the following:
 - ☐ The use of regular team staffings and status review hearings to monitor each participant's performance and progress;
 - ☐ Participant responsibilities, including attendance at status review hearings and compliance with the Case Management Plan;
 - ☐ A description of the program phases and the requirements for progressing through the phases;
 - ☐ The use and administration of incentives, sanctions, and therapeutic adjustments; and
 - ☐ Drug and alcohol testing protocol and procedures;
 - ☐ Program outcomes, including the requirements and procedures for obtaining successful or neutral discharge from the PSC and for voluntarily withdrawing from the PSC, as well as criteria and procedures for unsuccessfully discharging a participant from the PSC;
 - ☐ Policies and procedures for ensuring compliance with state and federal confidentiality statutes and regulations; and
 - ☐ Plan for post program aftercare (discharge plan).
4. ☐ **PSC Standard 4.3(a) and (b):** A written PSC participant handbook has been drafted that is consistent with the written policies and procedures and contains the following:
- ☐ General information about the PSC, including the purpose of the PSC, the goals of participation in the PSC, and the eligibility criteria for participation in the PSC;
 - ☐ The PSC team members and their roles, including the non-adversarial nature of the PSC;
 - ☐ The assessment and enrollment process, including the Consent to Participate, the assessment of a participant's needs, and the development of a Case Management Plan;
 - ☐ The participant's responsibilities while enrolled in the PSC, including attendance at status review hearings and compliance with the Case Management Plan;
 - ☐ The program phases and the requirements for progressing through the phases;
 - ☐ The use and administration of incentives, sanctions, and therapeutic adjustments, including examples of each and examples of conduct that may trigger each;
 - ☐ The drug and alcohol testing procedures and requirements;
 - ☐ The possible program outcomes and the requirements for successful completion; the procedures for neutral discharge, voluntary withdrawal and unsuccessful discharge from the PSC; and the participant's rights at a hearing on a petition to terminate from the PSC or to revoke probation.

5. ☐ **PSC Standard 4.4(a):** The target population includes individuals who are moderate-high to high criminogenic risk and have high behavioral health treatment needs as identified using validated risk assessment tool(s) and clinical assessment tool(s).
6. ☐ **PSC Standard 4.4(b):** Legal and clinical eligibility and exclusionary criteria are in writing and have been developed collaboratively and agreed upon by the multidisciplinary stakeholders group.
7. ☐ **PSC Standard 4.4(c):** Eligibility and exclusionary criteria are defined objectively and communicated to potential referral sources, including judges, law enforcement, defense attorneys, prosecutors, treatment professionals, and probation officers.
8. ☐ **PSC Standard 4.5:** Listed key evidenced-based practices to be utilized in the PSC
- ☐ **PSC Standard 4.6(a):** PSC has established a formal plan for data collection and program evaluation in compliance with AOIC requirements.
10. ☐ **PSC Standard 4.6(c):** PSC has established a plan to conduct program operational reviews of the PSC.
11. ☐ **PSC Standard 4.7:** PSC has developed a plan for long-term sustainability, including identifying resources for staffing and treatment and developing a budget.