Colorado Division of Probation Services



Colorado Probation and Evidence-Based Practices

A systemic view of the past, present & future of EBP in Colorado Probation

Progress Report February 2010

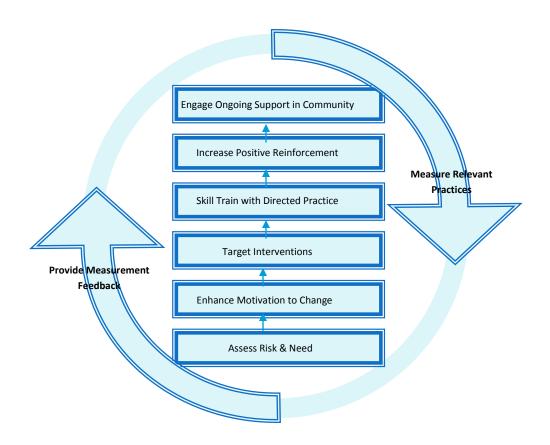
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8 Evidence-Based Principles of Effective Intervention



The above chart and definitions of the 8 principles throughout this document were either reproduced or adapted from *Implementing Evidenced-Based Practice in Community Corrections: The Principles of Effective Intervention.* Washington, D.C.: National Institute of Corrections and Crime & Justice Institute developed by Bogue, B., Campbell, N., Carey, M., Clawson, E., Faust, D., Florio, K., Joplin, L., Keiser, G., Wasson, B., Woodward, W. (2004). The entire document is available on NIC's website:

http://www.nationalinstitute of corrections.gov/Library/019342

Overview

Colorado Probation is continually striving to improve efficiencies and achieve better outcomes. This desire is the driving force behind the implementation of Evidence-Based Practices.



For many years, probation departments have been utilizing a variety of techniques to man-

age probationers in the community. Some techniques and interventions seemed common-sense based, others were punitive in nature and still others were corrective or rehabilitative. Probation and corrections agencies, with the best of intentions, employed techniques that were thought to be effective. Probation now has more solid information and better tools to define and identify the most effective assessments, interventions and practices to use with people sentenced to probation. This collective group of techniques, based on high quality research, is called Evidence-Based Practices (EBPs).

Beginning in 2007, Colorado Probation embarked on the systematic and deliberate implementation of Evidence-Based Practices. Fortunately, Colorado Probation had a solid foundation already established. In the early 1990's, standardized assessments, cognitive-behavioral treatment approaches and others that would later be determined EBPs were already a part of the probation culture. In early 2008, an EBP Committee was formed to map out a plan of further implementation and sustainability.

Over the last few years, training, education and evaluation projects have been at the forefront of EBP implementation. In an effort to stay focused and sustain the process, it is important to note accomplishments, document existing efforts and their effect and identify upcoming projects and priorities for the future. Using the 8 Evidence-Based Principles for Effective Intervention this Progress Report will document Colorado Probation's efforts to implement Evidence-Based Practices.



Tools that focus on static and dynamic risk factors, profile criminogenic needs and have been validated create a solid foundation for developing a plan for supervision.

- In the early 1990's Colorado Probation piloted and then adopted actuarial
 risk/needs assessment instruments. The LSI for adults and CYO-LSI for
 youth are validated and adopted statewide. Additional instruments (e.g.
 SSI/ASUS, DVSI, Oregon) are added to properly assess specific populations.
 Supplemental informal assessments, such as home visits, routine interactions and observations complete the assessment process.
- Assessment training is provided to all probation officers during the probation academy and assessment boosters are required every 3-5 years.
- Initial assessments are completed at the time of the pre-sentence investigation or within 30 days of sentencing (if no pre-sentence report is completed.) Reassessment timeframes are defined in standards. The LSI and CYO-LSI are completed every 6 months or sooner if significant changes have occurred.
- Assessments are used to develop collaborative case plans for all medium and high-risk probationers. Case plans determine the frequency of supervision contacts and target criminogenic needs to reduce risk to reoffend.

While the literature has slightly different ways of expressing criminogenic needs, generally they fall into the eight areas listed below:

Top Four Criminogenic Needs:	Next Four Criminogenic Needs:
History of anti-social behavior	Family and/or marital stressors
Anti-social personality pattern	Lack of employment stability, work/ educational achievement
Anti-social attitudes, cognition	Lack of pro-social activities
Anti-social associates, peers	Substance Abuse

Adapted from: Coaching Packet: Implementing Evidence-Based Practices, Frank Domurad and Mark Carey, The Carey Group, Edited by Madeline Carter, CEPP, January 2010



- Examination of the adult SOA (substance abuse assessment) process, and the development and evaluation of a new substance abuse assessment tool are underway.
- Colorado Probation is collaborating with the Division of Criminal Justice to pilot a juvenile risk assessment for sexually abusive youth (CCMI-SAY).
- A pilot project to examine the usefulness of the Colorado Juvenile Risk Assessment (CJRA) is in development.

Resources: RIB (Research in Brief)

- ✓ RIB: Assessments and Case Plans (Oct 2009)
- ✓ RIB: Assessments and Case Planning (July 2008)
- ✓ RIB: The Motivational Interviewing Style– Volume 1 (Jan 2007)



Good Idea: Research in Briefs (RIBs) contain practical applications that probation staff can use to integrate research-based practices into their daily activities. RIBs are distributed on a monthly basis to probation staff and are posted on the public website http://www.courts.state.co.us, select the Administration Tab, Probation Services.



Motivational Interviewing/Communication is a client-centered, goal-oriented method for enhancing intrinsic motivation to change by exploring and resolving ambivalence.

- In the 1990's Motivational Interviewing (MI) was offered to probation officers as optional training. Regular boosters were offered to staff who attended the full training.
- In 2008, Motivational Interviewing for Support Staff was offered statewide.
- In 2009, Motivational Interviewing was designated as "essential training" and the full (rather than abbreviated) training was incorporated into the Probation Academy for all new probation officers.
- In 2009, a MI Coaching Pilot Project was introduced in two probation departments. Supervisors and probation officers were regularly observed, evaluated and received feedback on their use of motivational interviewing. This project continues in 2010.
- To further EBP Implementation, Chief Probation Officers identified MI Implementation as one of two top priorities at their 2009 Planning Meeting.
- As one of the key pieces of evaluating and exploring an individual's motivation to change is developing an interpersonal working relationship. A performance review to evaluate the working relationship between the probationer and the probationer officer was developed and implemented in April of 2009 and is scheduled to be completed in the Spring of 2010.

- ✓ RIB: Communication Tools (Sept 2007)
- ✓ RIB: The Motivational Interviewing Style

 Volume 1 (Jan 2008)
- ✓ RIB: Preparing for Change– Volume 2 (Feb 2008)
- ✓ RIB: Motivating Offenders to Change- Volume 3 (Mar 2008)
- ✓ RIB: Motivating Probationers to Change—Volume 4 (Apr 2008)
- ✓ RIB: Do We Care What Offenders Think?- Probationer Surveys (Mar 2009)
- ✓ RIB: What Works to Reduce Recidivism (Dec 2007)



Staff should relate to offenders in interpersonally sensitive and constructive ways to enhance intrinsic motivation in offenders. For lasting behavioral change to occur, a level of internal motivation is needed.

- Colorado Probation uses several probation officers and education specialists as field trainers for Motivational Interviewing (MI) training and boosters. In 2006, these field trainers attended an intensive "training for trainers" program with Dr. William Miller and Dr. Teresa Moyer. Currently, the Division of Probation Services has an education specialist who is qualified to train new trainers and coach MI practitioners (MIA-STEP/MIST certification).
- In 2010, Motivational (Communication) Interviewing Assessment— Supervisory Tools for Enhancing Proficiency will be offered to probation supervisors and managers.

"Using motivational interviewing techniques instead of direct persuasion or nondirective counseling has been shown to help build intrinsic motivation in offenders which is instrumental in initiating and maintaining behavior change."

"Lighting the Way, Improving Correction Policies and Practices", CJI, 2009





The RNR (risk/needs/responsivity) principle links assessment to practice. Supervision and treatment resources should be prioritized for high risk probationers. Interventions should be targeted specifically to criminogenic needs (the behavior that leads to criminal behavior).

- Probation programs are designed to maintain a balance between treatment and surveillance with the levels of each dictated by risk level and criminogenic needs.
- Colorado Probation offers several intensive programs designed to provide a higher level of supervision to meet the increased risk and needs of adults and juveniles sentenced to probation.
- In an effort to continually improve on existing practices and programs, an
 evaluation of Adult and Juvenile Intensive Supervision Probation began in
 early 2008. In the first year a literature review, focus groups, interviews
 and a logic model were completed. The second and third years of the review consist of an in-depth data review, program model development, and
 education design.
- Probation departments are allocated offender services dollars to provide financial assistance to probationers who demonstrate need. These dollars are frequently used to supplement treatment costs, substance testing fees, basic needs (such as emergency housing, clothing) and transportation expenses (bus tokens). Specifically, these dollars are used to eliminate barriers that may interfere with successful completion of probation and facilitate the appropriate matching of resources to probationers.



- Specialized training is offered to probation officers who work with specific types of probationers. These trainings provide officers with the necessary tools to effectively manage a variety of probationers in the community and apply risk, need and responsivity principles.
- The "Big 4" (Andrews & Bonta) targets of rehabilitative service are routinely emphasized in training and were incorporated into a EBP Knowledge Survey distributed statewide in October 2008.
- Referrals to evidence-based programs (e.g. Functional Family Therapy and Multi-Systemic Therapy) are made based on a probationer's individual assessment, needs and circumstances.



Professionals should be responsive to probationers' individual temperament, learning style, gender and culture. Interventions and treatment should be appropriately matched both in type, style and dosage (structure and frequency).

- Colorado's Specialty and Problem Solving Courts have evolved substantially over the last ten years. Currently, there are over 55 operational problem solving courts in 15 of 22 judicial districts that serve over 3,000 of Colorado's community members. Problem Solving Courts are designed to address the underlying issues that bring offenders in contact with the judicial system. They seek to promote outcomes that will benefit not only the offender, but the victim and society as well. Thus problem-solving courts were developed as an innovative community-based response to deal with offenders' problems, including drug abuse, mental illness, truancy, and dependency and neglect.
- In an effort to provide necessary, specific and accessible treatment in each
 of the 22 judicial districts, the Rural Initiative Project began in 2009. This
 project provides a mechanism by which probation departments can identify
 treatment needs and fill gaps in their local communities.
- Case plans are required on all cases classified as medium or high risk and are to be updated in accordance with the probationer's progress at a minimum of every six months. Case Planning worksheets and templates are available for officers to use. Case plans are expected to be tied to the RNR principles, focused on criminogenic needs and developed collaboratively with the probationer. The case plans should list reasonable and attainable goals and actions steps including time frames and dates.

- RIB: Girls' Study Group: Understanding and Responding to Girls' Delinquency (May 2009)
- ✓ RIB: Treatment Completion and Recidivism (July 2009)
- ✓ RIB: Program Completion, Behavior Change, and Re-Arrest for Participants in Batterer Intervention Systems (Dec 2009)
- ✓ RIB: Working Positively with Sex Offenders (Jan 2006)
- ✓ RIB: Gender-Responsive Strategies for Women (Aug 2008)
- ✓ RIB: Probation, Mental Health and Mandated Treatment (Nov 2008)



Programs are most effective when they employ cognitive-behavioral techniques that are delivered by well-trained staff. Pro-social skills are not only taught, but they are practiced and positively reinforced.

- Cognitive-Behavioral Training (CBT) for Probation Officers
 - Brain Train

 provides an overview of effective cognitive programming including social learning theory, strategies and skill development that any PO can apply as case management and behavioral change strategies
 - Thinking for a Change (T4C) prepares officers to deliver the program to probationers
- CBT Evaluation—An evaluation of T4C and Why Try groups being provided in probation departments around the state began in the fall of 2008. The first year's evaluation included staff and client surveys, key informant interviews, training observations and a literature review. The focus of the second year of the study is the development and implementation of a fidelity and an outcome study.
- The Colorado Probation Officer Orientation is specifically designed for new probation officers and includes a multi-sensory and practical, hands-on application. This program provides the background, teaches a specific skill and then allows the probation officer an opportunity to practice the learned skill in their everyday work.
- Training in Briefs (TIBs), developed by the trainer for classes offered to probation staff, use a similar format as the Research in Briefs (RIBs). These one-page documents provide supervisors and chief probation officers with the essential components of individual training as well as practical application points where managers can reinforce the concepts and skills learned in training with their staff.





- Training and technical assistance opportunities with field experts include:
 - "EBP Training" for the Colorado Probation Supervisor Association (CPSA) was provided by Anjali Nandi, from Center for Change (sponsored by NIC, May 2008).
 - "Improving Outcomes Through Motivational Interviewing and Strength-Based Case Management" was provided by Michael Clark of the Center for Strength-Based Strategies (sponsored by APPA, hosted by the 21st JD Probation Department, March 2008).

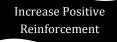
- ✓ Cognitive-Behavioral Treatment Program Literature Report (Mar 2009)*
- ✓ RIB: Cognitive Behavioral Treatment (Jun 2008)
- * available upon request



When learning new skills and making behavioral changes, people respond better, maintain their new skills and behaviors longer when rewarded, acknowledged, recognized and positively reinforced.

- As part of the Colorado Probation Officer Orientation (essential training for all new probation officers beginning in 2008) officers are encouraged to engage in a 4:1 ratio of positive to negative feedback to effectively encourage positive behavior change.
- In order to determine what sort of positive reinforcement and rewards are
 most important and effective, the probation officer must build rapport
 and establish a healthy working relationship with the probationer. A performance review project evaluating the working relationship between a
 probationer and his probation officer is currently underway with district
 specific and statewide results available in the Spring of 2010.
- In 2007 an Incentives Memorandum clarified the use of incentives and recommended that departments use incentives to "encourage and/or reinforce compliant behavior."
- In 2009 a JAG Grant was awarded to the Division of Probation Services to explore Technical Violations. The research project will include exploring the use of sanctions and incentives and contingency management as an effective means of supervising probationers in the community and shaping their behavior.
- Specialty Courts often model this principle by immediately responding to probationer choices and behaviors with rewards or sanctions (e.g. attendance in treatment, homework assignments, drug tests.)
- In April 2009, the Division of Probation Services staff met with Doug Marlowe for an informal workshop on contingency management.

- ✓ RIB: Incentives to Shape Offender Behavior (May 2008)
- ✓ RIB: Contingency Management—Foundations and Principles (Jan 2009)
- ✓ RIB: Encouraging Offender Desistance (Apr 2009)



Increasing positive reinforcement should not be done at the expense of or undermine administering swift, certain, and real responses for negative and unacceptable behavior.

In 2009, the Seven Principles of Motivational Incentives (NIH) were included in the Substance Abuse Management Training offered by CPU (Colorado Probation University) and will be used in the development of sanctions and incentives guidelines. These seven principles are widely accepted and used as the core foundation for behavior modification also known as contingency management.

Seven Contingency Management Principles:

- 1. Target Behavior target behaviors that are observable and measurable
- 2. Choice of Target Population
- 3. Choice of Reinforcer– select reinforcements that are perceived as desirable to the client
- 4. Incentive Magnitude
- 5. Frequency of Incentive Distribution—make a link between the target behavior and available resources
- 6. Timing of the Incentive- rewards should closely follow the desired behavior
- 7. Duration of the Intervention

Contingency Management: Foundations & Principles, authored by Kellog, S.H.>, Stitzer, M.L., Petry, N.M., & Kreek, M. J., National Institute of Health, National Institute on Drugs



Colorado Division of Probation Services



Engaging pro-social individuals and participating in community groups are ways in which probationers can establish a positive support group that extends beyond probation supervision.

- Probation Officers routinely refer probationers to community support groups such as 12-step programs, youth programs, recreational activities, faith-based, spiritual organizations and restorative justice programs such as Community Accountability Boards (CABs).
- Probation officers use a variety of tools such as Social Networking Maps to help probationers identify positive and negative influences in their everyday lives.
- Probation officers employ the use of Evidence-based programs, such as Functional Family Therapy (FFT) and Multi-Systemic Therapy (MST) that provide services to the probationer and his immediate family support to produce effective results.
- Most frequently associated with juvenile probation, mentoring programs
 can be preventative in nature, stopping juveniles from further penetration
 of the criminal justice system. The Big Brothers Big Sisters of America
 (BBBS) mentoring program is nationally recognized as an evidenced-based
 preventative program.



- In the last few years, probation departments and other local service agencies have developed partnerships where "wrap-around services" are provided to probationers with multiple and often basic needs. These community-based services most frequently include housing, mental health, medical, and education services.
- The Intervention and Recovery Strategies Training provided by Colorado Probation University (CPU) inte-

grates the community support principle by having participants explore 12-step programs as a tool to help in recovery as well engaging them as a means of pro-social support.



Actively recruiting and including pro-social family, friends and significant others can establish a supportive environment to reinforce and influence positive behavior change.

- ✓ RIB: Tapping Social Networks (Sept 2008)
- \checkmark RIB: The Role of Community in Securing Peace and Delivering Justice (Dec 2008)
- ✓ RIB: Assisting Probationers with Benefits (Feb 2009)
- ✓ RIB: Outcome Evaluation of Colorado Therapeutic Communities (Nov 2009)
- ✓ RIB: Recidivism Findings for Washington's Juvenile Mentoring Program (Jan 2010)
- ✓ "Lessons Learned, Evidence-Based Practices in the Real World", Neal Goodloe, Perspectives, Winter 2009





Agencies should routinely assess its performance. This can be done in a variety of ways, but should include measuring and documenting probationer change as well as staff performance.

- Probation officers measure a probationer's progress by developing and updating case plans and assessments. The case plans contain measurable, reasonable and attainable goals, while assessments provide scores by which criminogenic needs, risk and protective factors can be measured and compared.
- In 2008, Probation identified performance measures prioritizing the top 6 criminogenic needs areas. The next phase will include determining a feedback method as well as the necessary programming to extract the data from Colorado's case management system.
- Top research areas (these are all on-going, multi-year projects, pilot projects or grants) include: AISP/JISP Evaluation, CBT Evaluation, MI Coaching Pilot, Kiosk Pilot (to manage low risk probationers), and Technical Violation and Behavior Change Project.
- In 2009, an EBP Bundle was available to all probation departments. The bundle included an organizational survey, staff surveys, the EBP Knowledge Survey and the Probationer Client Survey. This bundle provided participating districts with feedback regarding their specific degree of EBP implementation, identified strengths and areas for improvement.





Practices measured should reflect the mission and goals of the organization.

- Probation has requested technical assistance (TA) from supporting agencies such as National Institute of Corrections (NIC) to supplement the implementation of Evidence-Based Practices in Colorado. The technical assistance has ranged from education and training to assessing our current status of implementation and plan development. Technical assistance areas include:
 - Implementing Evidenced-Based Probation Supervision with Thomas White (August 2008)
 - Training— How to Read Research Findings to Distinguish Evidence-Based Programs from Everything Else, presented by Coalition for Evidence-Based Policy (June 2009)

Resources:

✓ RIB: Do We Care What Offenders Think– Probationer Surveys (Mar 2009)

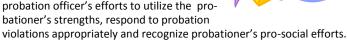
✓ Technical Assistance Report: Thomas White (Aug 2008)*

* available upon request



Once a method of measuring practices and performance is in place, the information should be used to measure progress and change. Relevant information should be shared- this may enhance motivation, accountability, and improve performance and outcomes.

- The Division of Probation Services produces a number of regularly published reports including: the Colorado Judicial Branch Annual Statistical Report, Recidivism Report, Victim Satisfaction Survey Report, and a Colorado Probation Year in Summary Report that combines annual report and recidivism data. Methods for providing unit and officer specific success rates on an on-going basis are being developed.
- Probationers are provided with assessment information, evaluation results and testing results. Regular feedback is provided via monthly treatment progress reports and case plan updates.
- The Division of Probation Services coordinates routine performance review projects with districts. The Management Advisory Committee (MAC) selects relevant topics for review. The current performance review is evaluating the working relationship between the probation officer and the probationer from the probationer's perspective.
- Quality Assurance Tools—supervisors
 routinely assess the work of individual
 probation officers and provide them performance-related feedback. The tools not
 only measure expected work (e.g. assessments, caseplans) but also measure the
 probation officer's efforts to utilize the probationer's strengths, respond to probation



Supervisors also provide feedback through annual performance appraisals.



- A performance review completed in May 2008, Colorado Probation: Inside the LSI and CYO-LSI, evaluated the overall change in assessment scores from the initial assessment to final assessment for successful and unsuccessful adults and juveniles terminated from probation in 2006. Particular attention was given to changes in protective factors and criminogenic needs. Overall findings indicate that the overall risk for the majority of probationers decreased during the period of supervision. The highest risk probationers demonstrated the greatest reduction in risk. However, overall, lesser improvements in pro-social factors were noted during the period of supervision, suggesting increased efforts in this particular area.
- In FY09, Probation departments began receiving quarterly reports, called Target Success Rates (TSRs). These reports provide quarterly successful termination rates by probation program, while suggesting education resources and tips to increase success.
- In FY10, Probation Departments will receive quarterly data in a one-page document, called Quarterly Fast Facts. The data includes the number of new cases by program, the number of active cases by program, termination and victim services information.

Resources:

Reports available on www.courts.state.co.us, Administration Tab, Probation Services

- ✓ Colorado Judicial Branch Annual Statistical Reports
- ✓ Annual Recidivism Reports



Assess Risk/Need

 Colorado Probation received a MacArthur Grant to collaborate with other agencies to address mental health and juvenile justice issues.

Enhance Motivation to Change

In 2010, the Early Termination Policy will be reviewed and potentially updated (to link the policy details to incentive research).

Target Interventions

In 2010, the Standard Terms and Conditions of Probation will be reviewed
in effort to make adjustments that will allow the court to tailor the conditions of probation to the individual and to allow probation to target interventions as needed to provide appropriate supervision and services.

Skill Train with Directed Practice

Develop and begin statewide implementation of MI Coaching and Performance Feedback.

Increase Positive Reinforcement

 Develop and implement contingency management policies and guidelines for high-risk probationers, including training for supervisors and officers.

Engage Ongoing Support in Community

 As part of the AISP/JISP Evaluation, there will be the development of best practices to engage pro-social networks—this may include information, training and skill building for officers.



Measure Relevant Practices

 Develop a mechanism for assessing the effectiveness of treatment providers.

Provide Measurement Feedback

 Provide specifications and programming assistance via the new information management system (JPOD) to provide real-time automated performance feedback to probation departments and officers.



Colorado Division of Probation Services



Training/Technical Assistance for Probation Departments/Staff:

EBP & Case Reviews-Linking Concepts to Practice (pilot)

Conducting Peer Case Reviews (pilot)

EBP Bundle—Technical Assistance for Individual Departments (available upon request)

EBP Essentials for Supervisors – Colorado Probation Supervisor's Association (CPSA)

Getting it Done: Documentation, Giving Feedback & Coaching for Performance Appraisals (CPSA)

Supporting the Resources You've Got: Effective Responses for Distressed Employees (CPSA)

Additional Resources:

National Institute of Corrections: http://www.nicic.org

Center for the Study and Prevention of Violence (Blueprints): http://www.colorado.edu/cspv/blueprints/

American Probation and Parole Association (APPA): http://www.appa-net.org

Crime and Justice Institute: http://www.cjinstitute.org/

VERA Institute of Justice: http://www.vera.org/

PEW Center on the States (Corrections): http://www.pewcenteronthestates.org