

Adult Probation Services Division

Eight Evidence-Based Principles for Effective Interventions &

Timeline of Significant Events in Arizona Probation

1. ASSESS ACTUARIAL RISK/NEEDS

Assessing the actuarial Risk/Needs of an offender is the prerequisite for the effective supervision and management of offenders. Assessments are most reliable and valid when staff is properly trained to administer tools.

- **July 2003:** Offender Screening Tool (OST) validated by Dr. Simourd for Arizona probation populations (OST assessment was adopted by Maricopa County Adult Probation in 1998).
- **January 2003-2004:** OST training conducted statewide utilizing “Train the Trainer” Model; OST phase-in conducted department by department.
- **January 2005:** OST implemented statewide (A.O. 2000-77).
- **January 2005:** Hosted Dr. Ed Latessa for EBP presentation to judges and probation office staff.
- **April 2005:** Standardized OST curriculum developed to ensure accuracy and consistency; one hour training video developed to improve officers’ scoring accuracy and consistency.
- **January 2006:** Regional focus groups conducted with probation departments to gather information on the effectiveness of the OST, which reflected the need for further refinement of the instrument and an evaluation to ascertain OST Quality Assurance practices.
- **June 2006:** Dr. Ed Latessa provided EBP training at Arizona Judicial Conference.
- **September 2006:** OST Scoring Guidelines enhanced and distributed to departments as follow-up to the regional focus groups.
- **December 2006:** APETS fully implemented; allows for OST assessments to be completed electronically for probationers statewide.
- **December 2006:** Mark Carey presented at Supreme Court Administrative Conference on EBP; presented at DUI Summit.

- **December 2006:** Tom White presented effective supervision strategies based on EBP at Supreme Court Administrative Conference.
- **April 2007:** OST “Train-the-Trainer” conducted to increase network of master trainers.
- **October 2007:** OST/FROST evaluation conducted by University of Cincinnati.
- **October 2007:** FROST video development and training distributed to OST master trainers; development of enhanced FROST Scoring Guidelines to improve officers’ ability to reassess offenders’ progress over time.
- **January 2008:** Mark Carey presented statewide training on EBP to judges, probation staff and treatment practitioners.
- **June 2008:** Established Evidence Based Practices Steering Committee and Data Work Group to establish EBP Outcomes Measures.
- **June 2008:** Initial OST/FROST validation study completed by Evaluation and Support, LLC. Dr. Christopher Lowenkamp and Dr. Ed Latessa completed this study.
- **June 2008:** Presentation to the annual State Judicial Conference with a panel of Mark Carey, George Keiser, National Institute of Corrections, Honorable Roger Warren and Judge Ron Reinstein.
- **August 2008:** Began Tier Training for Organizational Development for 14 Counties in conjunction with Maricopa County Grant from NIC.
- **November 2008:** Completed Organizational Development meetings with NIC and the Adult Probation Services Division.
- **December 2008:** Follow-up validation study was completed on high risk probationers to supplement the initial report. Due to the comprehensive validation work of Evaluation and Support, it was determined the OST/FROST instruments are valid for Arizona probation populations.
- **January 2009:** Development of comprehensive training program including the OST and FROST. Training program includes protocols on minimum training requirements, booster sessions and refresher workshops as recommended in the OST/FROST validation study.
- **January 2009:** Develop and implement standardized Pre-Sentence Reports by June to Arizona Judicial Council.
- **February 2009:** Train the Trainer master trainer training in EBP, MI, OST, FROST, case planning and quality assurance was held. This training program also included

protocols on minimum training requirements, booster sessions and refresher workshops that were recommended in the OST/FROST validation study.

- **March 2009:** Began regional EBP trainings statewide with the master trainers. This was one of the requirements to become a master trainer for this training program. Training included EBP, OST, FROST, case planning, and quality assurance. Staff from APSD attended all regional trainings for fidelity and quality assurance purposes.
- **May 2009:** EBP regional trainings statewide were completed.
- **May 2009:** Presentation by Maricopa County at AMM on the Static 99 (assessment for sex offenders).

EBP #1: Planned Projects/Initiatives

- **2010:** Research and identify stacked assessments to compliment OST assessment for specialized probation populations.
- **2009/2010:** Form and facilitate statewide work group to develop standardized sex offender management guidelines incorporating EPB principles. The work of this group is continuing with draft guidelines for supervision to be complete within 2009.
- **2009/2010:** Statewide work group meetings to develop a youthful code section based upon EBP. The work of this group is continuing with draft code section to be complete within 2009.
- **2009/2010:** Continue training and meeting with individual probation departments, judges and other justice stakeholders as requested by the counties within their organizational develop plans.

2. ENHANCE INTRINSIC MOTIVATION

Probation Staff should relate to offenders using communication techniques that assist with enhancing offenders' intrinsic motivation to change. Research strongly suggests that using Motivational Interviewing skills rather than direct persuasion can support an environment for positive behavior changes.

- **August 2005:** Conducted 8-day comprehensive "Train-the-Trainer" course in Motivational Interviewing (MI), in concert with J-SAT consultants which resulted in a network of statewide lead trainers.
- **December 2005:** Facilitated statewide MI trainer's work group to assist in training planning and the implementation of a statewide MI in Arizona Probation.

- **February 2006:** Conducted MI booster training for MI Master Trainers in concert with J-SAT consultants to further enhance trainers' skills and presentation abilities.
- **April 2006:** Conducted MI training for Arizona Probation Chiefs.
- **April 2006-ongoing:** Provide on-going support for county implementation through curriculum development and technical assistance. Statewide supervisory training took place throughout Spring 2006 with statewide probation officer training continuing through 2007.
- **September 2006-ongoing:** Statewide Case Management training provided to all probation staff for the effective use of MI while administering probation case planning.
- **November 2006:** Hosted an additional MI "Train-the-Trainer" session, which resulted in additional trainers being added to the statewide network.
- **February 2007:** Hosted MI booster training for statewide network of MI trainers to provide continuing support and education.
- **February 2009:** Presented MI refresher at the EBP train the trainer training.
- **June 2010:** Hosted MI "Train-the-Trainer" training.

EBP# 2: Planned Projects/Initiatives

3. TARGET INTERVENTIONS

- Risk Principle:*** Supervision strategies should prioritize treatment and probation resources for higher risk offenders.
- Need Principle:*** Probation strategies should target interventions to criminogenic needs. Supervision should address the offenders' needs that are directly linked to criminal behavior.
- Responsivity Principle:*** This principle suggests that probation staff should be responsive to temperament, learning style, motivation, culture, and gender when assigning programs.
- Dosage:*** High Risk offenders should have structured time early in the supervision period.

E. *Treatment:* Treatment is an important component to probation services and ought to be integrated into supervision strategies.

- **March 2006:** Facilitated statewide case plan development work group to identify updates to Arizona Probation Case Plan Templates, to assist the officer to utilize standardized tools to identify criminogenic needs and identify proper interventions.
- **July 2006:** Drug Court grant monies distributed statewide to assist with delivering proper interventions to the substance abusing offender population; grant monies enhanced incorporation of Matrix Model and Contingency Management into strategies.
- **April 2007:** Modified APETS case plan template and incorporate new template which will assist officers in proper identification of individual risk/needs.
- **May 2007:** Established and facilitated dialog with Department of Behavioral Health in an effort to incorporate NIDA recommendations into treatment protocols (criminogenic into medical model).
- **March 2008:** Implemented Access to Recovery grant (ATR) to expand substance abuse treatment and recovery support services for methamphetamine involved adult drug court participants by strengthening the capacity of grass roots faith-based and community based organizations
- **October 2009:** Hosted a methamphetamine conference with case management and supervision presented by NADCI.

EBP #3: Planned Projects/Initiatives:

- **2009/2010:** Ongoing dialogue with Department of Behavioral Health to improve entrance into treatment programs and consistency of treatment in the counties.

4. SKILL TRAIN WITH DIRECTED PRACTICE (use Cognitive Behavioral treatment methods)

Programs are most effective when they emphasize cognitive-behavioral strategies that are delivered by well trained staff. In such programs, pro-social skills are not just taught to the offender, but are practiced with positive reinforcement provided by staff.

- **April 2006:** Began reviewing the appropriateness of Moral Reconation Therapy (MRT) and Social Responsibility Therapy (SRT), in use in Yavapai County since 2005, for the statewide probation population to further promote MRT and SRT as cognitive behavioral approaches that attempt to redirect the participants to higher moral reasoning, as they learn to delay gratification, to develop self respect, and to set and accomplish goals.

- **June 2006:** Sponsored Dr. Ed Latessa for presentation of EBP training at the Arizona Judicial Conference.
- **September 2006-ongoing:** Developed and delivered case management training to all probation staff stressing the significance of cognitive-behavioral interventions.
- **October 2007:** MRT pilot program started in Mohave and Cochise counties.
- **March & August 2008:** Conducted facilitator trainings to support MRT program in additional counties.
- **June 2009:** Implementation of different dosages of cognitive-behavioral programming for low, medium and high risk clients. The National Curriculum and Training Institute has developed a low-risk cognitive substance abuse educational program for low-risk clients in need of substance abuse education. Training of this program took place June 15th 19th. The National Institute of Corrections hosted Thinking for a Change Master Training program in Arizona June 22nd – 25th that met the needs of medium to high risk clients. These programs support targeted interventions for all risk levels of probationers.

EPB #4: Planned Projects/Initiatives:

- **2010/2011:** An evaluation/study on the MRT program for the counties that are using MRT will be completed in-house.
- **2010/2011:** An evaluation on the “Thinking for a Change” program for the counties that are using the program will be completed in-house.
- **2010/2011:** An evaluation on the cognitive substance abuse educational program will be completed in-house.

5. INCREASE POSITIVE REINFORCEMENT

When making changes to behavior and developing new skills, individuals respond better and maintain behaviors longer when pro-social behaviors are rewarded. People tend to respond better to life changes with a higher ratio of positive reinforcement than negative reinforcements. Increasing positive reinforcement should not be done at the expense of appropriate responses for unacceptable behavior. Consequences for negative behavior should be applied in a swift and certain manner.

- **July 2006-ongoing:** The 2006 Drug Court grant monies provided the opportunity for continued support for the Matrix Model and Contingency Management, incentive based treatment which has shown to be an effective way to address this population.

- **August 2006:** The 6th Annual Drug Court Conference was held. Presentations given emphasized scientific approaches to drug treatment, including incentive based treatment principles.
- **August 2006-ongoing:** Statewide Trainings beginning in 2006, including Motivational Interviewing and Case Management Training, underscore the need for probation staff to provide positive reinforcement to offenders for long term behavioral changes.
- **August 2007:** Evaluate the feasibility of implementing Contingency Management Programs in Arizona Probation programs as a part of continuum of services available.
- **August 2007:** The 7th Annual Drug Court Conference was held.
- **September 2009:** Hosted statewide training on graduated sanctions and incentives presented by Douglas Marlowe from the National Drug Court Institute.

EBP #5: Planned Projects/Initiatives:

- **2009/2010:** Assist counties in developing protocols for how incentives and sanctions can be used in reducing petitions to revoke.

6. ENGAGE ONGOING SUPPORT IN NATURAL COMMUNITIES

Offenders should be encouraged to engage in pro-social support in their communities. Evidence indicates that successful outcomes can be obtained when offenders' positive behaviors are reinforced in their immediate environments.

- **August 2006:** The 6th Annual Drug Court Conference was held. Presentations emphasized the importance of involving the family system in the recovery process.
- **September 2006:** Completed computer and technology upgrades for the Yuma, Pinal, Coconino, and Maricopa Adult LEARN Centers. The upgrades have increased educational access to a growing number of probationers and community members alike. The ongoing technology component that Adult Probation Services provided has helped the Centers garner support from local probation departments and community organizations who have stepped up to help fill additional programmatic gaps in the delivery of services to probationers and members of the community.
- **September 2006:** Rekindled working relationships between community based Adult LEARN Centers and their respective Adult Probation Departments in an effort to maximize serviceability of the literacy needs of probationers statewide. Programs such as Adult Drug Court have also been linked with Adult LEARN Centers in an effort to include education as a continuum of care component in their program (Yavapai).

- **September 2007:** Completed the computer and technology upgrades for the Cochise Adult LEARN Center which will allow for increased capacity for probation and community members; expand similar upgrades to additional departments.
- **March 2008:** Completed the computer and technology upgrades for the Pima Adult LEARN Centers which will allow for increased capacity for probation and community members; expand similar upgrades to additional departments.
- **2008:** Planning underway for the 8th Annual Drug Court Conference to further promote the integration of offenders and their communities. Due to budget shortfalls, the Drug Court Conference in 2008 was cancelled.

EBP #6: Planned Projects/Initiatives:

- **2009/2010:** Coordinate effort between AOC, DHS, RBHAS, and Probation Departments to assist in obtaining federal services funded by Title 19 and 21.

7. MEASURE RELEVANT PROCESSES/PRACTICES

Both the progress of offenders and the performance of staff should be routinely measured and assessed to ensure that programs, service delivery principles and outcomes remain effective.

- **July 2006:** Implemented new statewide statistical reporting forms that will allow for automated collection of monthly probation statistical data.
- **October 2006:** Hosted a Drug Court Evaluation Training presented by the Bureau of Justice Assistance and the National Center for State Courts to assist Drug Courts with the evaluation process.
- **December 2006:** APETS implemented statewide, allowing officers and agencies to have better access to case documentation and automated processes.
- **September 2007:** Completed the computer and technology upgrades for the Cochise Adult LEARN Center which will allow for increased capacity for probation and community members; expand similar upgrades to additional departments.
- **March 2008:** Completed the computer and technology upgrades for the Pima Adult LEARN Centers which will allow for increased capacity for probation and community members; expand similar upgrades to additional departments.
- **2008:** Reviewed Operational Review process and develop revised model to allow for a more programmatic evaluation of probation procedures.

- **August 2009:** EBP data work group completed the development of EBP measures that will measure the implementation of EBP in Arizona and the affect on the probation system. The work group is now moving towards the phase of automating the performance measures into APETS.
- **May 2010:** Operational Review data collection sheets were revised to conform to the new EBP codes of judicial administration (ACJA 6-105.01, 6-201.01, 6-202.01 and 6-204.01).

EBP # 7: Planned Projects/Initiatives:

- **2008 and ongoing:** All probation departments and the APSD completed strategic planning with the National Institute of Corrections to identify gaps and needs of the system. Each county department and the APSD will review these plans to measure successful implementation of probation programs and EBP.
- **2009/2010:** Redesign of the Program Plan to obtain goal and objective information for all programs funded by the State of Arizona. Program Plan requires outcome data from the counties each year to measure the statewide improvement in probation.
- **2009/2010:** Monthly statistical reports from APETS will help with data integrity in the statewide database.

8. PROVIDE MEASUREMENT FEEDBACK

Once principle number seven, measure relevant processes/practices, is in place, the information should be used to monitor processes and change with both offenders and within an organization. This ensures that the ultimate goal of reduced recidivism remains the focus of staff and agencies.

- **April 2006:** A video conference with Dr. Ed Latessa and Adult Probation Chiefs was held to discuss scoping ideas for an IPS evaluation in preparation for an IPS study.
- **January 2007:** Through RFP process, conduct an evaluation on the OST to assess the effectiveness and quality assurance of the standardized risk assessment.
- **October 2007:** Began data collection for an Arizona IPS study that is being conducted by APSD. Originally, this was going to be done through the RFP process and the selected vendor would complete the study. However, due to budget restraints this study is being conducted by APSD staff.
- **November 2007:** Hosted 2 day training session “Evidence-Based Practices Ain’t for Sissies”.

- **November-March 2008:** Hosted county trainings “Identification and Assistance for Drug Court and Probation Clients”.
- **May 2008:** Data collection for Arizona IPS study was completed.
- **June 2008:** Initial OST/FROST validation study completed by Evaluation and Support, LLC. Dr. Christopher Lowenkamp and Dr. Ed Latessa completed this study.
- **September 2008:** APSD provided a questionnaire to all probation departments regarding their needs and the APSD role in providing administrative services. APSD will utilize this information to improve communication with probation departments.
- **December 2008:** Follow-up validation study was completed on high risk probationers to supplement the initial report. Due to the comprehensive validation work of Evaluation and Support, it was determined the OST/FROST instruments are valid for Arizona probation populations.
- **February 2009:** IPS study was completed and final report presented to AMM.
- **June 2009:** A supplemental report to the IPS study was completed.

EBP # 8: Planned Projects/Initiatives:

- **2010:** Analyze student data reported to APSD (LEARN Annual Report) in an effort to determine areas of student and program success. The analysis will offer recommendations as to future reporting and the collection of key programmatic elements necessary in determining program success and improvement.
- **2010:** Implementation of new Program Plan will initiate outcome information sharing between APSD and County Probation Departments.
- **2010/2011:** An evaluation/study on the MRT program for the counties that are using MRT will be completed in-house.
- **2010/2011:** An evaluation on the “Thinking for a Change” program for the counties that are using the program will be completed in-house.
- **2010/2011:** An evaluation on the cognitive substance abuse educational program will be completed in-house.