CHANGING THE CULTURE OF THE UTAH JUVENILE COURT: IMPLEMENTING EVIDENCE BASED PRACTICES
Why Evidence Based Practices Matter

- If probation doesn’t target criminogenic factors, it doesn’t lower recidivism (Bonta et al. 2008)

- Focusing on the wrong offenders, increases the likelihood of recidivism (Bonta, Wallace-Capretta & Rooney, 2000)

- Programs that adhere to principles of effective intervention result in lower recidivism rates while programs that don’t have higher recidivism rates (Gendreau P., French S.A., and A. Taylor, 2002)

*If we want to see results, we have to use approaches that work*
Principles of Effective Intervention

- **Risk Principle**—focus on juveniles at high risk for future criminal offending
- **Need Principle**—target criminogenic needs
- **Treatment Principle**—use behavioral approaches
- **Program Fidelity**—ensure quality delivery
The Risk Principle

- Focus on **higher risk**
- Match **intensity** to risk level
The Need Principle

**Dynamic Factors**
- ✓ Current behaviors
- ✓ Beliefs and attitudes
- ✓ Social environment
- ✓ Skills

**Static Factors**
- ✓ Gender
- ✓ Prior criminal behavior
- ✓ Family of origin
- ✓ Prior victimization

*Target criminogenic predictors of crime and recidivism*
The Responsivity Principle

- Learning styles
- Personality
- Staff styles
- Gender
- Race
- Motivation
- Cognitive functioning
Program Fidelity Principle

- Use **cognitive behavioral** interventions
- Ensure **fidelity** to models
- Conduct **ongoing evaluations** of programs and provide feedback
- Analyze **program outcomes** such as recidivism, reductions in risk level, etc.
Why These Principles Matter

Better Outcomes

What’s the Difference?

**Best Practices**
- Based on collective experience and wisdom of the field rather than scientifically-tested knowledge

**What Works**
- Implies linkage to general outcomes

**Evidence-Based**
- Scientifically tested using the highest standards, i.e., control groups
Criminogenic

A term used to reference offender dynamic factors that were statistically shown to be correlated with criminal conduct and amenability to change. If effectively addressed, should decrease level of risk.

Source: Andrews and Bonta, 1994; Bonta, 2002
Looking Inside the Black Box of Probation Supervision

- Traditional probation supervision appears to have no statistically significant affect on recidivism.

- The more time spent discussing the conditions of probation, the higher the recidivism rate.

- Focusing on criminogenic needs reduces recidivism.

<table>
<thead>
<tr>
<th>Time Spent Discussing Criminogenic Needs</th>
<th>Percent Recidivated</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 to 19 minutes</td>
<td>49%</td>
</tr>
<tr>
<td>20 to 39 minutes</td>
<td>36%</td>
</tr>
<tr>
<td>More than 40 Minutes</td>
<td>3%</td>
</tr>
</tbody>
</table>

Source: Bonta, Rugge, Scott, Bourgon, & Yessine 2008
What Are the Big Four?

**The Big Four**
1. History of anti-social behavior
2. Anti-social personality
3. Anti-social cognitions
4. Anti-social peers

**The Next Four?**
1. Family environment
2. Substance abuse
3. School
4. Recreation activities
Focusing on **criminogenic needs** reduces recidivism.

Focusing on **non-criminogenic needs** can increase recidivism.

Utah’s Experience With Implementing Evidence Based Practices
Utah’s Experience with EBP

- Developing a **new vision and mission statement**
- Adopting and validating a **risk assessment**
- Using evidence based practices in **case planning**
- **Training staff** in MI, stages of change, and **certifying staff** on the case planning model
- Ensuring program integrity through **program evaluation** and outcome measures
- Maintaining EBP when resources are reduced—Piloting the **Carey Guides**
Using Research and Data

**Assessment**
Assess the minor to using a validated risk assessment

**Focus on Higher Risk**
Focus services on moderate or high risk offenders

**Quality Assurance**
Certify staff in EBP approaches

**PROBATION**
Use case planning to match program and offender, and to match offender and Carey Guides

**PROGRAM**
Provides effective treatment that focus on criminogenic factors to reduce recidivism

**EVALUATORS**
Assess the program’s use of evidence based practices and effective service delivery
Utah developed a new vision and mission statement to help **focus efforts**

Districts encouraged to integrate the mission statement into **daily practice**

**Vision**

Ensuring a safe home for every child and safe communities for all.

**Mission**

The Utah Juvenile Court’s mission is to provide quality services for the positive development of children and families referred to the court.
Developing a Vision & Mission

- Establishing a **sense of importance**
- Forming a powerful **guiding coalition**
- Creating a **vision**
- **Communicating** the vision
- Empowering others to **act on the vision**
- Planning for and creating **short-term wins**
- **Consolidating improvements** and producing more change
- **Institutionalizing** new approaches

*Source: John Kotter 1995 in Daniel Straub 1998*
Implementing the Vision & Mission

Involve everyone, early and often

Get specific about the strategy

Dedicate resources to the process

Transition from planning to action

Over-communicate

Obtain routine feedback

Recognize Successes

Adapted from Daniel Struab and Lisa Vanderveer 2004
Spreading the Vision & Mission

- **Incorporate** into website, literature, training, etc
- **Strengthen** with team building activities centered around the vision & mission
- **Integrate** into daily practice

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**Utah Juvenile Court**

*Our Staff Vision: A safe home and safe community for all*

-May 2008-

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**A Message to Staff**

**By Ray Wahl, Juvenile Court Administrator**

For more than 100 years, the Utah Juvenile Court has played an important role in both protecting children from abuse and neglect and in holding juveniles accountable for their delinquent behavior. All Juvenile Court staff make a valuable contribution to this effort.

Our probation officers play a critical role in counseling youth and assessing their needs. Probation makes recommendations to the court and monitors compliance with court orders.

Our work programs promote the Restorative Justice principles through the mentoring of youth as they work to compensate victims and the community from harm done.

Our clerks ensure that petitions are filed properly, court orders are provided to families in a timely manner, fines are received, and all tasks are done with accuracy and efficiency.

To achieve our mission, we are committed to performing exceptional work, taking risks, using pilot programs to test theories, and being accountable to those we serve.

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**Guiding Principles & Values**

The principles that guide the Juvenile Court and its policies and practices are as important as its vision and mission.

- We strive to work in the best interest of the child, while fostering public trust and individualizing justice.
- We consistently use best practices for delinquency and dependency cases.
- We make intervention decisions based on evidence-based practices.
- We apply the principles of Balanced and Restorative Justice to achieve a just resolution of cases.
- We actively involve victims and engage families throughout the court process.
- We collaborate with community partners in matters that impact children and families.
- We have a commitment to be the best Juvenile Court in the country.

We expect employees of the Juvenile Court to demonstrate certain characteristics and embrace the following values:

- A passion to serve
- A personal commitment to exceptional work
- A willingness to be accountable to those we serve
- An enthusiasm to improve our work process and the quality of our work
- The readiness to accept the risks involved with testing new approaches
- The ability to apply current research to managing cases

As we embrace the principles and values above, we expect to achieve the following key results:

- Protection of the due process rights of children and families
- Permanency for children
- Accuracy in record keeping and accounting
- Timely and effective resolution of cases
- Support the judiciary in accomplishing its mission

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The Utah Juvenile Court staff’s mission is to effectively supervise youth under court jurisdiction, provide quality services for the positive development of children and families, and maintain accurate records.
Using a Validated Risk Assessment
Identifying Youth By Risk Level

Why is it necessary to identify juvenile offenders by risk level?

- Provides appropriate level of services to minor
- Combining youth of different risk levels increases the risk level of low risk youth
- Low risk youth learn delinquent behavior from high risk peers
- Low risk youth develop stronger friendships with high risk delinquent friends
When high risk offenders receive intensive interventions, it results in reductions in recidivism but when low risk offenders receive intensive interventions, it results in increases in recidivism.

Source: Bonta, Wallace-Capretta & Rooney, 2000
Focusing on Higher Risk Offenders

Why doesn’t the court focus on low risk youth so they can be helped before they become high risk?

One third of youth report engaging in delinquent behavior

Most youth grow out of delinquent behavior

Deeper involvement in the system can disrupt the natural process of growing out of delinquent behavior

**Outcomes of youth who penetrate the system deeply:**

- Higher rates of adult incarceration
- Lower rates of future employment
- Poorer school outcomes
Focusing on Higher Risk Offenders

Many youth who are involved in juvenile crime will not become adult offenders. Arrest rates peak in late adolescence.

Source: U.S. Department of Justice, Report to the Nation on Crime and Justice
Purpose of a Risk Assessment

- **Identify** the **risk level** of the youth
- Identify **static and dynamic** risk factors
- **Focus treatment** on risk factors that are likely to bring the youth back to court unless addressed
- **Match level** of intervention to risk level
- **Measure progress** toward reducing risk factors and increasing protective factors

What are the advantages of using a risk assessment over intuition?
Risk Level and Case Planning

Referral to the Juvenile Court

Preliminary Inquiry and Risk Assessment

Low Risk

Moderate Risk

High Risk

Accountability - Little or no Intervention is Needed

Increased Attention and Intervention
Validating Risk Assessments

Research suggests that a risk assessment instrument is critical to providing **appropriate interventions** for youth.

Essential to know if assessment risk level **reflects actual risk** to reoffend.

If youth are incorrectly assessed, it can be **counterproductive**

- Intensive interventions for low risk minors may **increase** recidivism rates.
- Limited resources should be **focused** on higher risk youth.
Validating Risk Assessments

After selecting a risk assessment tool, how do you know if it is working for your juveniles?

- Need to validate your risk assessment tool on **your population**
- Conduct study to determine if risk assessment **predicts** future recidivism
Validating Utah’s Risk Assessment Tool

- Completed a **combined study** to determine effectiveness of Utah’s risk assessment tool on Utah’s Youth

- Assessment **previously validated** in other jurisdictions

- Validation in another jurisdiction **may not apply** to our jurisdiction

- **Determined** if higher risk youth were more likely to re-offend in the future, more likely to re-offend more quickly, and more likely to re-offend with a more severe offense
Validating Utah’s Risk Assessment Tool

- Utah’s study findings suggested that recidivism rates varied by assessment risk level.
- Higher risk youth are more likely to recidivate than lower risk youth and they tend to do so in a shorter time period.
- Statistically significant differences are found among risk level groups in the time until recidivism.
- These trends generally held across gender, age, and race and ethnic group.

Log rank: 72.11, p<.001; Breslow: 72.21, p<.001; Tarone-Ware: 72.42, p<.001
Effective Case Management
Juvenile Court Delinquency Process

- Arrest or Referral
  - Home
  - Detention & DT Hearing
    - Preliminary Inquiry
      - Non-Judicial Sanction
        - Fine/fee
        - Hours
        - Restitution
        - Class or program
    - Petition & Court Hearing
    - Adjudication
      - Disposition
        - Fine/fee
        - Hours
        - Restitution
        - Probation
        - Program
        - Community placement
        - Secure Care
Effective Case Planning

- Probation officers are **trained in motivational interviewing** and identifying the **stages of changes**

- Probation officers **prioritize risk factors** that need to be addressed and focus on **most urgent areas** of risk that are likely to result in recidivism

- Probation officers use Carey Guides to **address criminogenic needs** and match offenders to programs that address risk areas that will reduce recidivism
Case Planning Process

**STEP ONE**
Identify what brought the youth to court

**STEP TWO**
Identify the risk and protective factors of the youth

**STEP THREE**
Identify the behavior cycle that is leading to criminal behavior

**STEP FOUR**
Select risk items associated with the criminal behavior cycle

**STEP FIVE**
Use motivational strategies with the juvenile—Carey Guides

**STEP SIX**
Match the youth to a program that targets these areas
## Risk Assessment Outcome Overview

### Dynamic Items + Conceptualization Worksheet

<table>
<thead>
<tr>
<th>Section Title</th>
<th>Item #</th>
<th>Question Text</th>
<th>Response</th>
<th>Prot Points</th>
<th>Risk Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>DOMAIN 02: School</td>
<td>13</td>
<td>Youth's current school enrollment status, regardless of attendance</td>
<td>Enrolled full time</td>
<td>-</td>
<td>+</td>
</tr>
<tr>
<td></td>
<td>16</td>
<td>Does the youth believe there is value in getting an education (during the last 3 months)</td>
<td>Yes</td>
<td>-</td>
<td>+</td>
</tr>
<tr>
<td></td>
<td>17</td>
<td>Does the youth believe school provides an encouraging environment (during the last 3 months)</td>
<td>Somewhat</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td></td>
<td>20</td>
<td>Number of teachers/staff/coaches the youth likes or feels comfortable talking with (during the last 3 months)</td>
<td>1</td>
<td>-</td>
<td>+</td>
</tr>
<tr>
<td></td>
<td>21</td>
<td>Number of school activities the youth was involved in (during the last 3 months)</td>
<td>1</td>
<td>-</td>
<td>+</td>
</tr>
<tr>
<td></td>
<td>22</td>
<td>Youth's conduct (during the last 3 months)</td>
<td>Problems reported by teachers</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td></td>
<td>23</td>
<td>Youth's attendance (during the last 3 months)</td>
<td>Some part-day unexcused absences</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td></td>
<td>24</td>
<td>Youth's academic performance - GPA (during the last 3 months)</td>
<td>2.9 GPA or under and some F's</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>DOMAIN 03: Use of Free Time</td>
<td>25</td>
<td>Number of structured recreational activities the youth participated in (during the last 3 months)</td>
<td>Interested but not involved</td>
<td>+</td>
<td></td>
</tr>
<tr>
<td></td>
<td>26</td>
<td>Number of unstructured recreational activities the youth participated in (during the last 3 months)</td>
<td>Interested but not involved</td>
<td>+</td>
<td></td>
</tr>
<tr>
<td>DOMAIN 04: Employment</td>
<td>29</td>
<td>Number of prosocial relationship(s) youth has had with employer(s) or adult coworker(s) (during the last 3 months)</td>
<td>1 or more</td>
<td>+</td>
<td></td>
</tr>
<tr>
<td>DOMAIN 05: Relationships</td>
<td>31</td>
<td>Number of positive relationships the youth has had with adults (during the last 3 months)</td>
<td>2</td>
<td>+</td>
<td></td>
</tr>
</tbody>
</table>
### Risk Assessment Conceptualization Worksheet

#### STEP 5. Examine Criminogenic Need

<table>
<thead>
<tr>
<th>Domain 02 School</th>
<th>Domain 06 Current Living</th>
<th>Domain 07 Alcohol and Drugs</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Dynamic Risk Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current Family Annual Income</td>
</tr>
<tr>
<td>Number of current parental figure's prob</td>
</tr>
<tr>
<td>Number of non-parental household members</td>
</tr>
<tr>
<td>Number of people currently living in the home</td>
</tr>
<tr>
<td>Current level of parental emotional support</td>
</tr>
<tr>
<td>Does the current family provide opportunity</td>
</tr>
<tr>
<td>Current parental supervision during the last 13 months</td>
</tr>
<tr>
<td>Appropriateness of consequences in cure</td>
</tr>
<tr>
<td>Appropriateness of referrals in current treatment</td>
</tr>
<tr>
<td>Current parental figure's view of the child</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Dynamic Risk Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>Youth's current alcohol use during the last 30 days</td>
</tr>
<tr>
<td>Alcohol is a main contributor to the youth</td>
</tr>
<tr>
<td>Youth's current drug use during the last 30 days</td>
</tr>
<tr>
<td>Are drugs a main contributor to the youth</td>
</tr>
</tbody>
</table>

#### STEP 6. Identify Primary Criminogenic Need / Stage of Change

<table>
<thead>
<tr>
<th>Domain 05 Relations</th>
<th>Domain 08 Attitudes/ Behavior</th>
<th>Domain 10 Skills</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Dynamic Risk Items</th>
</tr>
</thead>
<tbody>
<tr>
<td>Youth's sense of responsibility for self</td>
</tr>
<tr>
<td>Youth's empathy towards family or friend</td>
</tr>
<tr>
<td>Interpretation of actions on self, others, or peer</td>
</tr>
<tr>
<td>Youth's view of prosocial rules and law</td>
</tr>
<tr>
<td>Respect for authority figure in school</td>
</tr>
<tr>
<td>Youth's tolerance for frustration and stress</td>
</tr>
<tr>
<td>Youth's belief in the use of alcohol or drugs</td>
</tr>
<tr>
<td>Youth's belief in their personal safety</td>
</tr>
</tbody>
</table>

#### PSRA Risk Level

- HIGH
- Graduated Sanctions Score = 36
Training Staff on the Use of Evidence Based Practices
Staff trained on the “What Works” principles, case planning model, and using the risk assessment.

Receive training to help them more effectively deal with youth using motivational interviewing and stages of change model.

Probation officers undergoing certification process on the case planning model.

Videotaped, evaluated, and provided feedback on certification.
Stages of Change

- **Pre-Contemplation** (Clueless)
- **Contemplation** ("yes but...")
- **Action** (Ready for change)
- **Maintenance** (Doing something i.e. treatment)
- **Relapse** (Skills to maintain support with relapse)

Source: Prochaska & Declemente
Making Supervision Count: Implementing the Carey Guides
Research suggests that probation that is focused on tracking and monitoring is less effective at reducing recidivism than probation that is focused on targeting criminogenic needs.

The Carey Guides are a set of short guides with brief interventions that can be done with the youth during a probation appointment.

Guides address case planning and risk factors related to offenders such as antisocial peers, anger, etc.

The Guides are based on research suggesting best evidence based practices approaches.
Overview of the Carey Guides

- PO select a guide that matches the criminogenic targets of the youth based on the risk assessment.

- During appointment, the PO completes the short skills training lesson with the youth.

- When appropriate, the PO assigns the youth homework so they can practice the skill.

- Additional guides can be used with the youth as needed.
Evaluating the Carey Guides

- Utah is undertaking a one year **pilot study** of the guides.

- A comparison group and study group will examine **outcome measures** and implementation issues.

- Recidivism will be tracked along with **changes** in risk level, prosocial behaviors, and technical violations.

- Process study also undertaken to **determine challenges** to implementation.
Ensuring Quality Programs
Assessment of Programs

- We use a **risk assessment** to make sure we aren’t mixing youth or focusing on low risk youth.

- We use **case planning** to make sure we are targeting criminogenic needs and matching youth to the most appropriate programs.

**But how do we know if the programs we send youth to are doing any good?**
Objectives of Program Assessment

- Increase the quality of programs using evidence-based practices
- Assist programs in identifying areas of needed improvement and outline necessary changes
- Establish benchmarks of progress
- Promote accountability
- Identify programs with effective structures of service delivery

**WHY IT MATTERS**

Using a risk assessment and case planning to match youth to the appropriate services is not as valuable unless programs are providing effective interventions based on the service plan.
Identifying Effective Programs

- Focus on **higher risk** youth
- Target **criminogenic** needs
- Use **evidence-based** interventions
- Base program design on **proven** theoretical model
- **Match** offender to treatment type
- Ensure quality **delivery** of program
- Use appropriate **rewards** and punishers

How do I know if a program is effective for treating juvenile offenders?
## Impact of the Numbers of Favorable Features on Recidivism

<table>
<thead>
<tr>
<th>Number of Favorable Features</th>
<th>Distribution of Programs</th>
<th>Percentage Reduction in Recidivism</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>7%</td>
<td>+12</td>
</tr>
<tr>
<td>1</td>
<td>50%</td>
<td>-2</td>
</tr>
<tr>
<td>2</td>
<td>27%</td>
<td>-10</td>
</tr>
<tr>
<td>3</td>
<td>15%</td>
<td>-20</td>
</tr>
<tr>
<td>4</td>
<td>2%</td>
<td>-24</td>
</tr>
</tbody>
</table>

Source: Adapted from Lipsey, 1997, 2005, cover 509 juvenile justice studies
Assessing Your Programs
Assessment of Programs Using the CPC

**The Correctional Program Checklist (CPC)**

- A program evaluation **tool**
- Developed from **research** on evidence based practices
- Based on the CPAI, which is **endorsed** by the National Institute of Corrections
- Contains items correlated with **reductions** in recidivism
- Provides information on **effective** parts of program, needed changes, and recommended steps for improvement
How It Works

✓ Trained assessment team conducts **site visit**

✓ Through structured interviews, case file reviews, observations, review of documentation, and evaluation of fidelity to the model, the program is **scored** on a set of indicators related to recidivism

✓ After the evaluation, the assessment team meets with the program to discuss **feedback** and goals for the year

✓ Assessment results and outcome measures are provided to programs through an **interactive website**

✓ Programs are **reassessed** annually, or more frequently if necessary
What It Tells You

- You can compare programs to a norm or standard
- You can compare across your programs, even if they are different types
  - For example, you can compare a sex offender program and a substance abuse program
- You can examine a program’s progress over time and identify whether they are improving in their use of evidence based practices
- You can link assessment results to outcome measures like recidivism or reductions in risk level
Making the Change
## Results: Readiness for Change Survey

<table>
<thead>
<tr>
<th></th>
<th>Leadership (N=17)</th>
<th>Directors and Supervisors (N=265)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Powerful Business Case</td>
<td>2.06</td>
<td>1.43</td>
</tr>
<tr>
<td>Vision and Clarity</td>
<td>2.12</td>
<td>1.36</td>
</tr>
<tr>
<td>Leadership and Accountability</td>
<td>1.95</td>
<td>0.97</td>
</tr>
<tr>
<td>Specific Communication</td>
<td>1.91</td>
<td>1.12</td>
</tr>
<tr>
<td>Increased Capabilities</td>
<td>2.06</td>
<td>1.12</td>
</tr>
<tr>
<td>Integrated Planning and Teams</td>
<td>1.73</td>
<td>0.84</td>
</tr>
<tr>
<td>Stakeholder Commitment</td>
<td>1.76</td>
<td>0.64</td>
</tr>
<tr>
<td>Aligned Performance and Culture</td>
<td>1.74</td>
<td>0.93</td>
</tr>
<tr>
<td>Other Critical Areas</td>
<td>1.88</td>
<td>0.72</td>
</tr>
</tbody>
</table>
CONCLUSIONS

- Determine **readiness** for change
- Follow **Principles** of Effective Intervention
- Use a **validated** risk assessment
- Implement **effective** case planning
- Use **programs** that work
- Measure **results**