

The Principles of Effective Intervention & Risk Assessment

Mississippi Department of Corrections
October 2014

Presentation Overview

- Establishing the Principles of Effective Intervention
- Relevance of the Risk Principle
- Relevance of the Need Principle and the Big Four
- Relevance of the Responsivity Principle
- Relevance of the Fidelity Principle
- Graduated Rewards & Sanctions
- Assessment Practices

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Training Objectives

- Develop an understanding on the background & research for the Principles of Effective Intervention (PEI)
- Identify the four primary PEI
- Provide an example of a risk, need, and responsivity factor
- Distinguish between risk and need
- Identify 2 important characteristics of risk assessment

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What works!

- Palmer (1975)- reviewed Martinson's (1974) article and after examining 82 studies, concluded that 48% had reduced recidivism.

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What works!

- Palmer's (1975) study was a call for research that identified what programs work best for which offenders and under what conditions.
- This was the basis for the principles of effective intervention (PEI) & a shift toward *knowledge construction*.

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What works!

- Multiple and more rigorous meta-analyses followed Palmer's study that provided additional support for rehabilitation and empirically demonstrated that the nothing works movement was not grounded in theoretical or statistical support.
- Hence, the "What works!" movement had begun.

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Principles of Effective Intervention

- Risk Principle – tells us WHO to target
- Need Principle – tells us WHAT to target
- Responsivity Principle – tells us HOW to target offender issues
- Fidelity Principle- tells us how to do this work RIGHT

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Questions

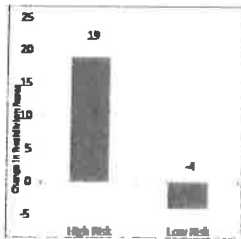
- How can we know who is going to recidivate?
- What can we do to reduce the risk of recidivism?

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Relevance of the Risk Principle

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Risk Principle

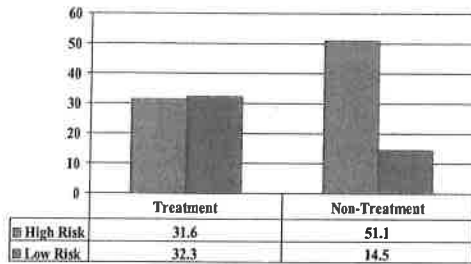


• Dowden and Andrews's meta-analysis shows that when there are correctional interventions targeted at high risk, recidivism is reduced 19%, but target the low risk and recidivism increased 4%

Dowden & Andrews, 1999

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Risk Principle: Intensive Rehabilitation Supervision in Canada



Bonta, J et al, 2000. A Quasi-Experimental Evaluation of an Intensive Rehabilitation Supervision Program, Vol. 27 No 3:312-329. Criminal Justice and Behavior

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Risk Principle

Study	Risk Level	Level of Treatment	
		Minimal	Intensive
O'Donnell et al (1971)	Low	16%	22%
	High	78%	56%
Baird et al (1979)	Low	3%	10%
	High	37%	18%
Andrews & Klessling (1980)	Low	12%	17%
	High	58%	31%
Bonta et al (2000)	Low	15%	32%
	High	51%	32%

D.A. Andrews and James Bonta. 2003. *The Psychology of Criminal Conduct* (3rd ed.). Cincinnati: Anderson Publishing. p. 260.

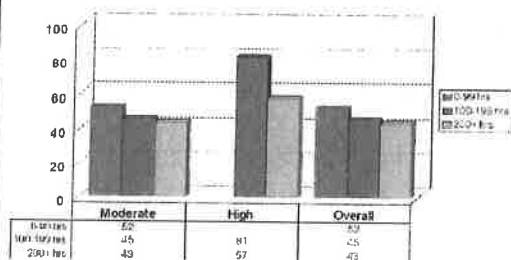
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Risk Principle

- Latessa, Sperber and Makarios (2010) examined a risk and dosage at a secure residential adult male cognitive behavioral program.
- The average length of stay was 4 months.
- Recidivism was measured at 12 months follow up.
 - Rearrest, reconviction, re-incarceration

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Recidivism Rates by Intensity and Risk Level



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Risk Principle

- KDOC Thinking for A Change Study (Bechtel, 2014)
- Compared high risk participants to high risk non-participants
- High risk participants were significantly less likely to recidivate than non-participants up to two years post release
- Increased programming dosage reduced the readmission rate even further for high risk participants

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Relevance of the Need Principle & the Big Four

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Need Principle

- *What* should we be paying attention to...
- Certain factors are tied to criminal behavior
- Targeting these factors will result in a reduction in recidivism

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Terminology

- **Risk factor** = any characteristic related to criminal recidivism (static or dynamic)
- **Criminogenic** = crime-producing
- **Criminogenic needs** = risk factors which predict recidivism AND are dynamic

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Need Principle

- One international study that looked at the risk factors associated with heart attack
- Gathered data on all heart attacks
- Compared to case-matched controls

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Need Principle

Risk Factors of Heart Attack:

- 1) Increased LDL/HDL ratios (i.e., elevated LDL and low HDL levels)
- 2) Smoking
- 3) Diabetes
- 4) Hypertension
- 5) Abdominal obesity
- 6) Psychosocial (i.e., stress or depression)
- 7) Failure to eat fruits and vegetables daily
- 8) Failure to exercise
- 9) Failure to drink any alcohol

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Need Principle

- The risk of heart attack for individuals who had all 9 of these factors, amazingly, was almost 130 times higher than for somebody with none of them. The first two of these risk factors (bad lipid readings and smoking) predicted 2/3 of all heart attacks.

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Need Principle

Characteristics of the Parolees in PA:

- Failed to utilize resources to help them
 - Acted impulsively to immediate situations
 - Felt they were not in control
- More likely to maintain anti-social attitudes
 - Viewed violations as an acceptable option to situation
 - Maintained general lack of empathy
 - Shifted blame or denied responsibility

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Need Principle

- Factors that did not differ between successful and unsuccessful parolees:
 - Successes and failures did not differ in difficulty in finding a place to live after release
 - Successes & failures equally likely to report eventually obtaining a job

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Need Principle

• *Other studies examining employment and housing:*

- Virginia study of parole violators found securing a job was not a major problem and unemployment was not a major factor in failure (O'Reilly et al., 2001).
- Baltimore study found none of the offenders in the sample spent the night on the street following release; most stayed with family (Visher et al., 2004)
- Cleveland study found only 10% of offenders reported difficulty finding housing (Visher & Courtney, 2007).
(Latessa, 2010)

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Need Principle

- The current empirical evidence available does not suggest that mental health issues are a criminogenic need, meaning they are not significantly associated with criminal behavior.
- Bonta, Law and Hanson (1998) found that the major risk factors of recidivism were the same for those with a mental health issue compared to those without.
- Webster and Jackson (1997) indicate that the same risk and needs assessment practices should be followed to identify the risk level and the criminogenic needs.

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Need Principle

- Criminal thinking and mental illness study
 - 414 adult offenders (265 males, 146 females)
 - Morgan, Fisher, Wolff (2010)
- 66% of offenders had belief systems supportive of criminal lifestyle – PICTS assessment
- Males with mental health needs scored similar or higher
- On Criminal Sentiments Scale-Revised, 85% of males and 72% of females demonstrated high needs for antisocial attitudes, beliefs, & values

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Need Principle

- Core Correctional Practice Skills
 - Focus on criminogenic needs
 - Provide opportunities to reinforce prosocial behavior and attitudes
 - Provide opportunities to identify and extinguish procriminal behavior and attitudes
 - Provide opportunities for teaching, developing, and increasing the proficiency of prosocial skills and behaviors

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Need Principle

- The relevance of the need principle is that it tell us what to target and what not to focus on in programmatic and supervisory interventions.
- Further, research on the need principle suggests what the priority targets are → the Big Four

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Discussion Activity

- Divide into small groups
- Take 10 minutes to complete the handout
- Identify a spokesperson for your group to share the information that was reached by consensus

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Relevance of Responsivity Principle

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Responsivity Principle

- The relevance of the responsivity principle is to identify and remove the barriers to and during interventions. Further, cognitive behavioral or social learning interventions (e.g., Core Correctional Practices) are the most effective in reducing antisocial thoughts, attitudes, and behaviors.

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Four Primary Principles of Effective Intervention

Principles	Definition	How this relates to assessment
Risk Principle	Tells us WHO to target	Distinguishes low, medium, and high risk offenders
Need Principle	Tells us WHAT to target	Incorporate dynamic needs focusing on antisocial attitudes, peers, and personality
Responsivity Principle	Tells us HOW to target offender issues	Assess for barriers to success-motivation, mental health, etc.
Fidelity Principle	Tells us how to do this work RIGHT	Implementation plan for training on tool, validation and norming by objective researchers, and making changes after reviewing the data

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Relevance of the Fidelity Principle

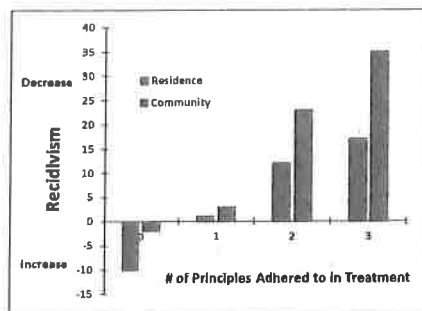
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Fidelity Principle

- Proper assessment administration, interpretation, classification and reassessment
- Staff must be formally trained and provided with updated (maintenance) training on validated and normed risk/needs assessment tools
- Assessments should also be supervised and reviewed to check for inter-rater reliability
- Proper classification is necessary to determine supervision and treatment dosages (as well as targeted areas)
- Reassessment gauges what risk factors were targeted for change and whether there has been a change in the overall risk level of the offender as a result of services

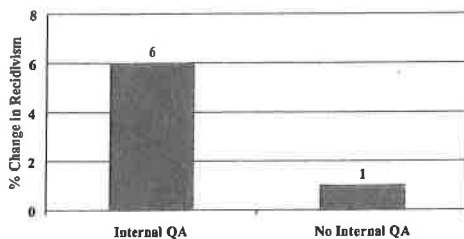
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Fidelity Principle



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Fidelity Principle



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Graduated Rewards & Sanctions

- Reactive Monitoring
 - Focus solely on compliance with conditions
 - Limited to responding only to negative attitudes and behaviors
 - Little to no rewards or incentives for compliance, positive attitudes, and positive behaviors

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Graduated Rewards & Sanctions

- Proactive Supervision
 - Focuses on goal setting, realistic steps, modeling and reinforcing prosocial attitudes & behaviors
 - Allows for responding with rewards & incentives to maintain prosocial responses

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Graduated Rewards & Sanctions

- Theoretical Constructs to Graduated Rewards & Sanction Models (Taxman, 1999)
 - Certainty, Swiftness, Consistency
 - Proportionality
 - Progressive
 - Neutrality

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The Role of Risk Assessment

- Why is offender assessment important?
 - Critical starting point for effective offender intervention as it informs and guides decision-making
 - Actuarial assessments incorporate research-based items that are also statistically related to recidivism
 - Items that are data driven, and adhere to the research and theory on what risk and needs factors have been demonstrated to be associated with offending behavior

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The Role of Risk Assessment

- Benefits of risk assessment
 - Objectivity & consistency
 - Uses research-based risk factors that are predictive of recidivism
 - Guides decision-making
 - Identifies low and high risk offenders so these groups do not receive the same interventions and services

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Assessment Practices

- Four Generations of Risk Assessment→
 - First Generation: Clinical/professional judgment
 - Second Generation: Risk Tool- static items only (criminal history)
 - Third Generation: Risk and Needs Tool- Static and Dynamic Items
 - Fourth Generation: Risk and Needs Tool- and incorporates case management strategies, responsivity factors, strengths, often automated, etc.

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Assessments- Why Fidelity Matters

- Training and implementation is not done well or is rushed.
- System is not supportive of adopting and implementing a risk and needs assessment instrument
- Policies related to the use and decision-making with the tool are developed and adopted before the training

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Assessments- Why Fidelity Matters

- The assessment is not validated or normed for the population it is being administered upon.
- Assessments are conducted but everyone gets the same treatment
 - Failure to recognize that the mixing of risk levels is problematic to the lower risk group

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Assessments- Why Fidelity Matters

- Problems with fidelity arise as staff are not trained to administer the tool and interpret and implement findings into an individualized case plan
 - Studies that have examined inter-rater reliability have concluded that improper training can have an impact on the tool's reliability and validity

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Discussion Activity

- Review the second handout using the scenario from earlier.
- First work individually to complete the form and then return to your groups to compare responses.

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Summary

- Adherence to the risk, need, responsivity, and fidelity principles will produce the best outcomes in terms of risk reduction
- Risk-based systems must start with a risk and needs assessment instrument in order to identify the risk of recidivism
- Intensive case management and interventions should be directed toward those of moderate and high risk

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Questions/Comments?

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Activity #1

Directions:

- Please silently read through the scenario below.
 - Identify what risk factors (static and dynamic) should be targeted.
 - Prioritize these factors.
 - Can you identify any factors that do not necessarily need to be targeted for interventions?
 - Discuss within your group and come to a consensus on what factors to target, their priority and which factors may not need to be addressed.
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Scenario:

Phillip [REDACTED] comes in for his initial supervision office appointment. As his officer, you have already examined Phillip's previous supervision periods on probation and parole. Phillip's two probation supervision terms appeared to go relatively successfully and these convictions were both for DUI. This is Phillip's second time on parole. His earlier prison term was for burglary. While on parole supervision for the prior burglary conviction he had several violations, which primarily were for failure to notify residential changes to his officer, three dirty UA's and failure to complete outpatient treatment. He did, however, successfully complete his supervision term. Phillip was subsequently sent to inpatient treatment as a result of this violation and did successfully complete this program. The current offense is for felony domestic violence assault, assault on a law enforcement officer and possession of narcotics and Phillip served eighteen months in prison for these convictions. Related to the felony domestic violence assault, the victim is Phillip's girlfriend and there have been multiple domestic violence arrests but no convictions involving the same girlfriend. Phillip suggested that she just mouths off and he 'popped her one.' The assault on a law enforcement officer happened at the time of the arrest for the domestic violence incident. The possession of narcotics conviction arose from the search subsequent to arrest since Phillip had cocaine on his person. Phillip described the cocaine as something a buddy of his made available to him at no cost, so he wasn't going to pass that up. While previously Phillip has maintained steady full time employment, currently, Phillip is out of work and has described that he just does not have the self esteem to keep trying to get a job because of his criminal history. Phillip came late to the appointment and said this was due to hanging out with his friend who just got out of prison and he hasn't seen him in a while. Phillip is a bit irritated that you have a problem with him being only five minutes late since 'it isn't a big deal.'

Activity #2

Directions:

- Please silently read through the items below.
 - Complete the form below individually at first.
 - Check off the risk factors (both static and dynamic).
 - Score out the tool. All circles checked are a total of one point.
 - Discuss within your group and come to a consensus on what risk factors were selected and what the total scores were.
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Criminal History:

- ☐ Previous convictions.
- ☐ Previous supervisions on probation or parole.
- ☐ Previous incarceration in prison.
- ☐ Previous completion failure while on supervision.
- ☐ Previous violations on supervision.
- ☐ Previous violent criminal history.
- ☐ Current violent conviction.

Total Criminal History Score: _____

Antisocial Personality/Behavior Pattern:

- ☐ Impulsive
- ☐ Does not display thinking through potential consequences of decisions
- ☐ Quick to anger, responds aggressively to situations and conflict
- ☐ Lacks empathy toward others

Total Antisocial Personality/Behavior Pattern Score: _____

Antisocial Attitudes

- ☐ Attitudes toward supervision are relatively poor
- ☐ Attitudes toward authority are relatively poor
- ☐ Attitudes toward criminal behavior are relatively poor
- ☐ Attitudes toward victims and others are relatively poor

Total Antisocial Attitudes Score: _____

Antisocial Peers:

- ☐ Has antisocial peers that influence antisocial behavior
- ☐ Has antisocial peers that have a criminal history
- ☐ Does not appear to have a strong influence of prosocial peers

Total Antisocial Peers Score: _____

Substance Abuse:

- ☐ Has previous criminal history problems associated with alcohol/drugs
- ☐ Has current criminal offense associated with alcohol/drugs
- ☐ Has participated in two or more treatment programs that target substance abuse
- ☐ Has previous substance abuse treatment failure

Total Substance Abuse Score: _____

Employment:

- ☐ Has previous unemployment history
- ☐ Is currently unemployed

Total Employment Score: _____

TOTAL SCORE: _____



Training Evaluation Form

We are interested in your feedback of the training provided and ask that you please complete this survey. For each statement, indicate your level of agreement ranging from strongly disagree to strongly agree. The back of this form includes sections for additional comments. Thank you for your participation.

Content Delivery

**Strongly
Disagree**

Disagree

Agree

**Strongly
Agree**

- The goals of the training were clearly defined
- The topics covered were relevant & organized
- The training demonstrated the importance of the Risk, Need, and Responsivity Principles
- The activities effectively demonstrated how to score a risk assessment tool
- The Principles of Effective Intervention along with Graduated Rewards and Sanctions will be relevant to my work
- The activities provided were helpful
- The training was straightforward & easy to understand
- The training schedule provided sufficient time to cover all activities

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Trainers

**Strongly
Disagree**

Disagree

Agree

**Strongly
Agree**

- The trainers were knowledgeable about the training topics
- The trainers were well prepared for the training
- The trainers answered questions in a complete & clear manner
- The trainers confirmed that participants understood content
- The trainers' pace was appropriate for each topic & activity
- The trainers encouraged participation & interaction
- The trainers were accessible during activities to provide feedback
- The trainers were respectful of participants' skills & contributions

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Please see reverse side for additional questions