A Hoosier Guide to System-wide Assessment

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Note – Presentation includes material provided by the University of Cincinnati and used with permission

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Outline

- Brief History
- Step 1 – Team Work
- Step 2 – Policy Development
- Step 3 – Training and Implementation
- Step 4 – Technology Development
- Step 5 – Impacts Use of EBP
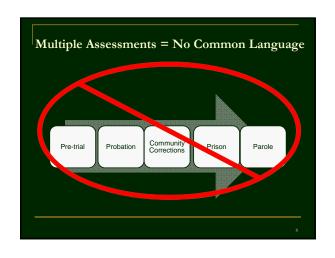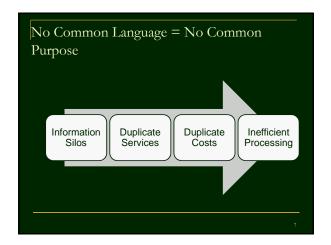- Step 6 – Continued Work

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Organization of Indiana's System

- Judicial Branch oversees
  - Probation
  - Court Alcohol & Drug Programs
  - Problem-solving Courts
- Executive Branch oversees
  - Department of Correction facilities
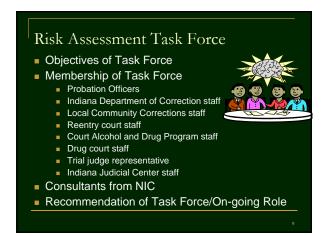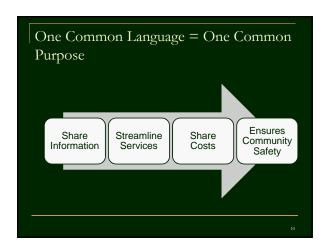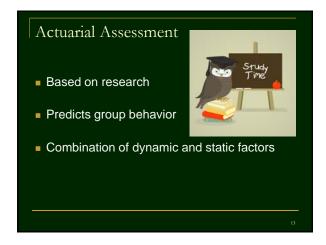 - Parole
  - Community Corrections receiving state grant funds

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The Beginning

- The previous Indiana Risk and Needs instruments were developed based on the Wisconsin model of assessments, which was created during the 1970's
- The Wisconsin model has been deemed a "second generation" tool in EBP literature
- Now, "third generation" tools have been developed

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Timeline

- **1990-1993** – Indiana Judicial Center received assistance from the National Institute of Corrections (NIC) to develop risk and needs assessment and workload measures system
- **1993** – Judicial Conference adopted the Indiana Adult and Juvenile Risk and Needs Instruments
- **1995** – Judicial Conference required probation departments to use the instruments
- **2003** – Probation Officer Advisory – begins study of utility of Indiana tools
- **2005** – Judicial Conference allows use of third generation tools
- **2006** – Judicial Center received NIC technical assistance grant and forms Risk Assessment Task Force

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Multiple Assessments = No Common Language

Pre-trial | Probation | Community Corrections | Prison | Parole

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Slide 7

No Common Language = No Common Purpose

| Information Silos | Duplicate Services | Duplicate Costs | Inefficient Processing |

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Slide 8

Step 1 –
Team Work

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Slide 9

Risk Assessment Task Force

- Objectives of Task Force
- Membership of Task Force
  - Probation Officers
  - Indiana Department of Correction staff
  - Local Community Corrections staff
  - Reentry court staff
  - Court Alcohol and Drug Program staff
  - Drug court staff
  - Trial judge representative
  - Indiana Judicial Center staff
- Consultants from NIC
- Recommendation of Task Force/On-going Role

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Slide 10

One Common Language = One Common Purpose

| Share Information | Streamline Services | Share Costs | Ensures Community Safety |

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Slide 11

Overview of Tools, Research, & Validation

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Slide 12

Current uses of Ohio Adult and Juvenile Risk Assessment Systems

- Adult Risk Assessment System - Ohio, Indiana, Arkansas, Alabama, Texas, Hawaii, Connecticut, Massachusetts, Ventura County, CA

- Youth Risk Assessment System - Ohio, Indiana, Arizona, Michigan, Ventura County, CA

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Actuarial Assessment

- Based on research

- Predicts group behavior

- Combination of dynamic and static factors

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Benefits and Goals of Assessment

- Benefits
  - Helps guide decision making
  - Helps reduce bias
  - Improves placement of offenders
  - Better utilize resources
  - Helps you know if offender has improved
  - Can lead to enhanced public safety

- Goals
  - To identify risk of recidivism
  - To identify criminogenic needs
  - To identify appropriate offenders for programs
  - To provide risk and need levels for case planning
  - To facilitate reassessment to determine offender change

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Strengths of the Assessment Systems

- Prospective Study
- Based on Ohio and Indiana Data
- Expands as needed depending on the setting
- Includes major risk & criminogenic need domains, as well as major responsivity factors
- Designed to measure change over time
- Provides a common definition of risk across settings
- Public domain

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Conducting an Assessment

- File review

- Self-report

- Interview guide

- Collateral information

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Adult Tools –
Indiana Risk Assessment System

- Pretrial
- Community Supervision
- Prison Intake
- Reentry

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Responsivity Factors

* = need further assessment

Other Areas of Concern. Check all that Apply:

_____ Low Intelligence*
_____ Physical Handicap
_____ Reading and Writing Limitations*
_____ Mental Health Issues*
_____ No Desire to Change/Participate in Programs*
_____ Transportation
_____ Child Care
_____ Language
_____ Ethnicity
_____ Cultural Barriers
_____ History of Abuse/Neglect
_____ Interpersonal Anxiety
_____ Other _____

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Juvenile Tools –
Indiana Youth Assessment System

- Diversion
- Detention
- Disposition
- Residential
- Reentry

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Responsivity Factors – Juvenile Disposition Tool

- Family
  - Supportive of change
  - Family engaged in tx
  - Family stability
  - Neglect/Abuse hx
- Peers
  - Pro-social peers
  - Manage antisocial peers
  - Pro-social leisure activities
  - Motivation to change friends

- Education/Emp
  - Motivation for ed/emp
  - Emp hx
  - IEP
  - Family supports ed/emp
- Pro-social skills
  - Manage own behavior
  - Motivated to learn
- Substance, MH, & Personality
  - Motivation to stop using
  - Sober support network
  - Stable mental health issues

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Research & Validation

- UC staff interviewed clients in Indiana for validation study
- We secured permission for recidivism checks and UC analyzed the data for Indiana's population
- UC made a number of recommendations to the Task Force as a result of the validation study

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Step 2 – Policy Development

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Policy Development

- Task Force drafted and recommended the policies to the Judicial Conference Board of Directors and Department of Correction
  - Policy for Certification and Eligibility
  - Policy for IRAS & IYAS
- Both the Board of Directors and Department of Correction adopted the same policies for Risk Assessment
- Both entities have also approved subsequent amendments over time

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Step 3 – Training and Implementation

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Training Overview

- 2010 – all current staff were trained on the risk assessment systems
  - Juvenile staff – 723 (held 32 trainings)
  - Adult staff – 1,617 (held 56 trainings)
- 2011- present – all staff were trained in Indianapolis
  - 6 juvenile sessions, 6 adult sessions, 4 for DOC adult facility staff are held each year
- Total Number of staff trained as of July 31, 2012
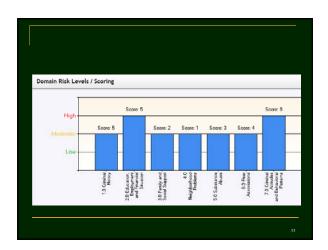 - Juvenile – 827   Adult – 2,045

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Certification Process

All practitioners must

- Complete a two-day training
- Pass an assessment exam
- Pass a written exam

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Stakeholder Training

- Judicial Education Sessions
- Reports/updates on the project at relevant conferences
- Summit on EBP and RA
- Local trainings

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Step 4 – Technology Development/Implementation

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Development and Implementation

- Workgroup formed to assist in providing feedback on the web-based system
- Pilot tested web-based system
- Launched statewide – Oct. 1, 2010 for juvenile staff; Jan. 1, 2011 for adult staff
- Current number of assessments (as of July 31, 2012)
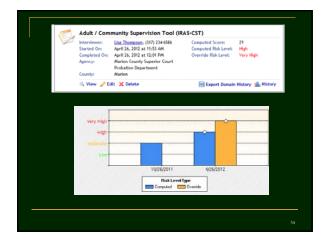 - Juvenile – 61,343   Adult – 182,953

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INcite – Indiana Court Information Technology Extranet

- Centralized, secure website developed and maintained by the Indiana Supreme Court's Judicial Technology & Automation Committee
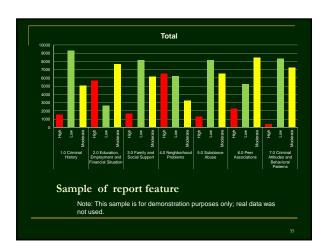- Applications include:
  - Risk Assessment
  - Presentence Investigation Report
  - Statewide Protection Order Registry
  - BMV Portal
  - Mental Health Adjudications to FBI
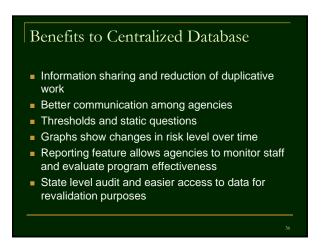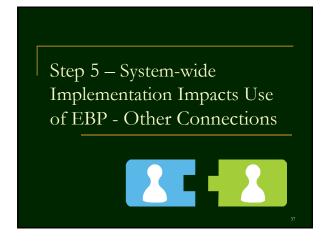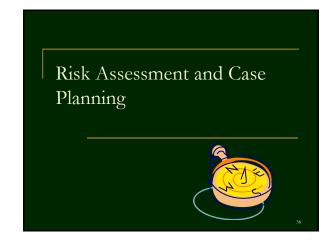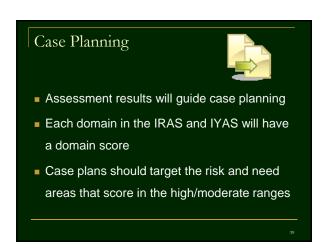 - Statistical Reporting for the courts

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1.0 Criminal History

1.1 Most Serious Arrest Under Age 18
- None - 0
- Yes, misdemeanor - 1
- Yes, felony - 2

1.2 Number of Prior Adult Felony Convictions
- None - 0
- One or two - 1
- Three or more - 2

1.3 Prior Sentence as an Adult to Jail or Secure Correctional Facility
- No - 0
- Yes - 1

1.4 Received Official Misconduct while Incarcerated as an Adult
- No - 0
- Yes - 1

1.5 Prior Sentence to Community Supervision as an Adult
- No - 0
- Yes - 1

1.6 Community Supervision Ever Been Revoked to Prison for Technical Violation as an Adult
- No - 0
- Yes - 1

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Questionnaire Overview

Current Offender:
David M Woods (88)

Assessment ID:
398

Case System:
None

Started On:
August 03, 2012 8:14 AM

Completed On:
Incomplete

Total Score:
0

Current Risk Level:
Low

Domain Scoring

1.0 Criminal History
Total: 0
Risk: Low

2.0 Education, Employment and Financial Situation
Total: 0
Risk: Low

3.0 Family and Social Support
Total: 0
Risk: Low

4.0 Neighborhood Problems
Total: 0
Risk: Low

5.0 Substance Abuse
Total: 0
Risk: Low

6.0 Peer Associations
Total: 0
Risk: Low

7.0 Criminal Attitudes and Behavioral Patterns
Total: 0
Risk: Low

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Domain Risk Levels / Scoring

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Adult / Community Supervision Tool (IRAS-CST)

Interviewer:	Lisa Thompson, (317) 234-6586	Computed Score:	29
Started On:	April 26, 2012 at 11:53 AM	Computed Risk Level:	High
Completed On:	April 26, 2012 at 12:01 PM	Override Risk Level:	Very High
Agency:	Marion County Superior Court Probation Department		
County:	Marion		

View Edit Delete   Export Domain History History

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Total

Sample of report feature

Note: This sample is for demonstration purposes only; real data was not used.

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Benefits to Centralized Database

- Information sharing and reduction of duplicative work
- Better communication among agencies
- Thresholds and static questions
- Graphs show changes in risk level over time
- Reporting feature allows agencies to monitor staff and evaluate program effectiveness
- State level audit and easier access to data for revalidation purposes

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Step 5 – System-wide Implementation Impacts Use of EBP - Other Connections

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Risk Assessment and Case Planning

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Case Planning

- Assessment results will guide case planning
- Each domain in the IRAS and IYAS will have a domain score
- Case plans should target the risk and need areas that score in the high/moderate ranges

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Sample Domain Score Grid (CST)

Domain Levels

1.0 Criminal History	Score	Failure	2.0 Education, Employment and Financial Situation	Score	Failure
	Low (0-3)	27%		Low (0-1)	21%
	Med (4-6)	46%		Med (4-6)	37%
	High (7-8)	53%		High (7-8)	55%

3.0 Family and Social Support	Score	Failure	4.0 Neighborhood Problems	Score	Failure
	Low (0-1)	32%		Low (0)	17%
	Med (2-3)	41%		Med (1)	35%
	High (4-5)	48%		High (2-3)	45%

5.0 Substance Use	Score	Failure	6.0 Peer Associations	Score	Failure
	Low (0-2)	27%		Low (0-1)	21%
	Med (3-4)	40%		Med (2-4)	43%
	High (5-6)	45%		High (5-8)	64%

7.0 Criminal Attitudes and Behavioral Patterns	Score	Failure
	Low (0-3)	24%
	Med (4-8)	44%
	High (9-13)	59%

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Sample Domain Score Grid (Disp.)

HIGH	3	4-6	4-6	3-4	3	3-6	4-5
MOD	2	2-3	2-3	2	1-2	1-2	2-3
LOW	0-1	0-1	0-1	0-1	0	0	0-1
	Juvenile Justice History	Family and Living Arrangement	Peers and Social Support	Education and Employment	Pro-Social Skill Set	Substance Abuse, Personality, and Mental Health	Values, Beliefs, and Attitudes

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Specialized Assessments - Examples

Assessment	**Assessment Area**
SASSI	Substance abuse
Static-99/RRASOR	Sex Offending
ODARA/DVSI	Domestic Violence
MAYSI -2	Mental Health (Youth)
MMPI	Personality/ Psychopathology

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Revision to Pre-Sentence Report

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Revised Indiana Presentence Report

- Links assessment results to the report
- Domain risk levels contained in domain sections
- Overall risk level in "Risk & Needs Assessments" section
- Additional assessment findings in "Complimentary Assessment Instruments"

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Domain Level Check Boxes

As it appears in the report:

☐ Low   ☐ Moderate   ☐ High   ☒ N/A(IRAS-CSST)

No numerical scores!

Screening tool used
Domain info unavailable

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☐ Low   ☐ Moderate   ☐ High   ☐ N/A(IRAS-CSST)

Risk level domain information included in the following report sections:

- Criminal History
- Family and Social Support
- Peer Associations
- Education, Employment, Financial
- Neighborhood
- Substance Abuse
- Criminal Attitudes & Behavior

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VIII. Risk and Needs Assessment

- Identifies the tool used
- Identifies the defendant's overall risk level
- Summarizes risk assessment results in any area or domain scoring moderate or high.

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IX. Evaluation Summary

Includes:

- Plans or recommendations for services to address each moderate to high risk/needs domain (case-plan)
- May also include these recommendations in Section X: Recommendation

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Risk Assessment in Sentencing

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So, How Can Judges Use Assessments in Sentencing?

- Evidence-based assessment instrument scores are not aggravating or mitigating circumstances

- Evidence-based assessment instruments are admissible and serve as significant sources of valuable information for judicial consideration in sentencing

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So, How Can Judges Use Assessments in Sentencing?

- Assessment information can be used to:
  - Decide whether to suspend all/part of sentence
  - Decide whether to assign offender to alternative treatment facilities or programs
  - Design a probation program for the offender
  - To supplement/enhance the evaluation & application of other sentencing evidence to formulate an individualized sentencing program appropriate for each defendant

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So, How Can Judges Use Assessments in Sentencing?

- Assessments are admissible at sentencing
- "Encouraged" to use by Supreme Court "as supplemental considerations in crafting a penal program tailored to each individual defendant"
- Not as aggravators or mitigators
- Can inform as to suspending or executing a sentence
- Can indicate programming or interventions appropriate for the individual offender

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Risk Assessment in Sentencing

- Identification of Risk Factors can help identify desired probation/sentencing conditions
  - Focus probation conditions on areas of need, avoid conditions on areas where there is no need
    - Consider informal probation for low risk offenders
    - More structure for medium risk offenders
    - Maximum structure/supervision/incapacitation for high risk offenders
  - Try to avoid mixing risk levels in programming!

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Step 6 –
Continued work

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Continued work

- Automating the Preliminary Inquiry, Pre-Dispositional Report, and Modification reports for juvenile cases and incorporating assessment information

- Automating the case plans so the assessment information feeds into the case plan

- Future projects: Formal Quality Assurance training for local agencies on assessments; inter-rater reliability study; recertification processes; continued stakeholder trainings; workload measures study

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Resources on EBP in Corrections

- National Institute of Corrections:
  - http://nicic.gov/ReducingRiskResearchSources
- University of Cincinnati:
  - http://www.uc.edu/corrections.html
- Probation Best Practices Guide:
  - http://www.in.gov/judiciary/center/pubs/best-practices/
- JTAC Risk Assessment Application:
  - http://www.in.gov/judiciary/jtac/2675.htm
- DOC/Community Corrections EBP Resources:
  - http://www.in.gov/idoc/2720.htm

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