1. Statement of the Problem

- *Scope of the Problem:* The problem this proposal will address is that efforts to implement evidence-based practices (EBP) in community supervision are hampered by lack of fidelity to the model after initial training occurs. This Smart Supervision proposal will address this issue by adding training and fidelity monitors to strengthen implementation of the EBP used within the MDOC's Maine Integrated Risk Reduction Model (MIRRM).

  Maine Department of Corrections (MDOC) was an early adopter of EBP related to actuarial risk assessment. In 2003, the National Institute of Corrections (NIC) selected Maine as one of two pilot states[1] to demonstrate and test an integrated approach to the implementation of EBP in community corrections. This opportunity provided Maine with the resources to build a foundation for assessing actuarial risk, develop related performance measures, and create differential supervision strategies. However, a 2011 NIC-funded case study assessment of the initiative by the Muskie School of Public Service (MSPS) found inconsistencies among probation regions in implementing the program, reducing its effectiveness.[2]

- *Population Demographics:* As of March 2014, there are 5,296 offenders under supervision in Maine. The caseload is predominantly white (92%), male (82%), and between the ages of 18 and 34 at the start of probation (59%). Between March 10, 2013 and March 11, 2014, 41.8% of total admissions to MDOC's facilities were the result of probation revocations, and revocation rates remain above goals (see Current Revocation Rate section).

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[1] The other state was Illinois.
[2] See http://muskie.usm.maine.edu/justiceresearch/Publications/Adult/Implementing_Evidence-Based_Principles_Community_Corrections.pdf

- *Current Organization/Management Structure & Demographics of Target Population:*

MDOC is organized as follows: The Commissioner, three Associate Commissioners, Wardens in each of its six facilities, Regional Correctional Administrators in each region (3), and three Regional Correctional Managers in each region; each of these directly supervises Probation Officers (PO). There are 61 POs. MDOC has also created 12 new Probation Officer Assistants (POAs) to assist in the management of lower-risk offenders. The staff/supervisee ratio is 87:1.

- *EBP/Type of Risk/Needs Assessment Instrument Utilized:*

A. **The Level of Service Inventory-Revised (LSI-R)** is used to by MDOC to assess risk, need and responsivity. Maine's LSI-R risk classifications are: Administrative (0-13), Low 14-20), Moderate (21-25), High (26-31) and Maximum (32-54). Approximately 59% of probationers are classified as moderate or higher on the LSI-R assessment. In Maine, the *risk* category drives the number of contacts the probation officer should have during a specific time period. The *needs* category assists the officer with developing case plans and identifying treatment services and/or other interventions that appropriately target identified needs. The *responsivity* principle essentially requires that offenders be provided the right treatment at the right level. MDOC can maximize offenders' ability to learn from a rehabilitative intervention by providing cognitive behavioral treatment and support, and by matching interventions to offenders' learning styles, which helps motivate them to change.

B. **Motivational Interviewing (MI), Case Planning and the Basic Framework of Principles of Effective Intervention:** All staff have been trained in Motivational Interviewing, Case Planning and the Basic Framework of Principles of Effective Intervention. MI is a person-centered, directive method for enhancing intrinsic motivation

to change by exploring and resolving ambivalence.[3] MI was introduced to the field of corrections in the 1990s as an EBP and has demonstrated strong effects, when contextual implementation factors are considered across a range of criminal justice settings.[4]

- **Current Violation/Recidivism Rate:** MDOC defines recidivism as the arrest of a probationer for a new crime (felony or misdemeanor) within one year of entering probation. Of those moderate or high offenders who entered probation in 2011, MSPS has analyzed multiple recidivism rates (see Figure 1, below) ranging from 32.9% for an arrest for a new crime up to more than 60% for an arrest for any type of crime or technical violation. The goal of this project is to reduce each of these rates by 35%, for the cohorts entering probation. This will start in 2015 and continue going forward.

Figure 1

Within 1 Year Entering Probation (2011)	N	%
Re-arrested for any type of crime	454	32.9%
Re-arrested for technical violation	573	41.5%
Re-arrested for any type of crime or technical violation	845	61.2%
Total Probation Entrants	**1,380**	

- *How the Project will Improve the Effectiveness & Efficiency of Supervision*

For the MIRRM to be most effective, fidelity to the model is paramount. Research has shown that implementation may be even more important than the program itself.[5] As Weisburd

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[3] Miller, W. R., & Rollnick, S. (2002). *Motivational interviewing: Preparing people for change.* Guilford press.

[4] Motivational Interviewing Annotated Bibliography, NIC Information Center, November 2011, Accession No. 025355. An electronic copy of this document can be found at: www.nicic.gov/Library/025355

[5] Gottfredson, G. D., Gottfredson, D. C., Czeh, E. R., Cantor, D., Crosse, S. B. & Hantman, I. (2000). National study of delinquency prevention in schools. Final Report. http://files.eric.ed.gov/fulltext/ED459409.pdf

(2000) notes, implementation integrity is difficult to assess, particularly after the fact.[6] Thus, it is important to include fidelity measures in the design of a program or model.

In 2012, MDOC created a series of strategies to help support future EBP activities, including training mid-level managers to coach probation officers, and instituting a graduated sanctions matrix to help officers respond consistently across the state to probation violations. A year later MDOC launched the Maine Integrated Risk Reduction Model (MIRRM). MIRRM is designed to help probation officers in both the adult and juvenile systems apply the risk–need–responsivity (RNR) model with probationers to reduce recidivism. MIRRM will help probation officers successfully manage clients by following a multiphasic approach: *Phase 1*: Engage and Assess; *Phase 2*: Motivate and Plan; and *Phase 3*: Implement and Reinforce. Enhancing probation officers' capacity to use engagement and assessment, motivation and case planning will allow them to implement RNR principles into their interactions with probationers, resulting in reduced recidivism rates.

The proposed project will ensure that implementation of MIRRM is done with fidelity and is effective at improving the skills of probation officers. The project will assess the benefit of having dedicated "fidelity monitors" during the implementation for model effectiveness. If the results are positive MDOC may adopt this approach in its other programming.

- *Why Federal Assistance is Required:* The department has dedicated over $200,000 to a contract with MSPS in the last three years to planning and implementing EBPs, a portion of which supported the development of MIRRM. MIRRM implementation is also requiring intensive training for all officers. Federal funds are necessary to take the model implementation

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[6] Weisburd, D. (2000). Randomized experiments in criminal justice policy: Prospects and problems. *Crime & Delinquency*, *46*(2), 181-193.

a step further and keep the focus on fidelity during its roll-out. We are proposing to add two new staff members as well as contracting with two outside organizations to ensure fidelity to MIRRM. This will require additional resources that will depend on outside funds. Should the project prove effective, MDOC may add the new staff members to its budget.

2. Project Design and Implementation

- *Project Goals and their Relation to Smart Supervision Overarching Goals:* The proposed project relates to the overarching goals by:

  1) Enhancing supervision effectiveness through fidelity to MIRRM;

  2) Monitoring implementation and execution of MIRRM through the use of Fidelity Monitors and a Fidelity Coach; and

  3) Evaluating the effectiveness of enhanced supervision techniques and skills in relation to probation officer/client interactions and probationer outcomes (e.g., reduced recidivism).

- *How Proposed Project Addresses the Mandatory Project Components:* MDOC has demonstrated significant commitment to the proposed initiative through the development and implementation of MIRRM, expending over $200,000 over the last three years to create the curriculum and train staff. Estimated costs of training all staff in the community corrections division exceed $300,000. MIRRM, if implemented with fidelity, will enhance probation officer's ability to use risk assessment and motivational interviewing EBPs in their interactions with probationers. MIRRM is ultimately about effective case-planning, which will help move supervision away from simply enforcement and toward a more evidence-based practice. We have also calculated a baseline recidivism rate to which we can compare outcomes during the grant period. Finally, we have established a partnership with Hornby Zeller Associates, Inc. (HZA) to serve as the independent research organization (see below).

- ***How Proposed Project Addresses the Allowable Uses of Funds:*** The proposed project addresses the allowable uses of funds 1, 3, & 7. Specifically, the fidelity to MIRRM project will <u>increase the capacity of MDOC to improve supervision</u> by adhering to an evidence-based case-plan model which incorporates MI and effective case-management. The project will also <u>analyze and implement changes to practices</u> brought about by implementing MIRRM (addressed below in the evaluation section), as well as how well the fidelity adherence strategy improves fidelity to MIRRM. The fidelity adherence strategy implemented in this proposed project will be evaluated by HZA and, should the results prove positive, may offer a model for improving fidelity to evidence-based models in correctional systems nation-wide.

- ***How Data Supports Program Design:*** This project will use an "action research"[7] model. This means that HZA will provide periodic and frequent feedback to MDOC, so that mid-course corrections can be made to improve performance. This is critically important to the fidelity process. An intervention may not be working because it is not being implemented as designed. HZA will try to minimize this by analyzing data providing feedback to MDOC when performance indicators show that components are lagging, such as poor DRI-R congruence, or initial recidivism outcomes. The data to be collected include fidelity measures of Probation Officer implementation of MI, DRI-R congruence measures, audits of case plans, probationer exit surveys, and recidivism rates. This is described in more detail in Sections 4 and 5, below.

- ***Roles/Responsibilities of the Research Partner, & Integration into SSP Strategy:*** HZA will serve as the research partner, helping MDOC identify data content and collection frequency, and analyzing data to determine the quality of programming provided to

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[7] Patton, M.Q., Utilization-focused Evaluation, Sage Publications, Beverly Hills, 1978.

probationers. HZA will provide quarterly feedback, as well as an interim research brief and a final report on outcomes of probationers who are under the supervision of the trained probation officers. This information will be used to improve supervision and outcomes and to help build the MIRMM model to eventually include the use of a structured cognitive behavioral therapy approach tailored for delivery by Probation Officers. The evaluation report will include results of the outcome measures, including recidivism rates, as well as a comprehensive understanding of the program's implementation.

Proposed Number of People to Receive Services: This proposal targets improving the outcomes of moderate to high risk probationers, per the discussion of Maine's violation rate on page 3. In 2011, 1,380 offenders entered probation who were categorized as moderate to high risk on the LSI-R (score of 21 or greater). Given that rate, we expect the proposed number of people receiving the benefit of enhanced probation services and greater fidelity to EBP will be between 3,600-4,500 probationers over the three year period. Lower risk clients may also experience improved outcomes as a result of improved correctional practices.

3. Capabilities and Competencies

- *Management Structure and Staffing:* MDOC is the applicant and the agency responsible for the project. The Grant Coordinator is ▮▮▮▮▮▮▮▮▮▮, who has over 25 years of experience working in evidence-based juvenile justice programs and has recently joined MDOC as the grant specialist. He will be responsible for ensuring grant activities are completed in a timely manner and for grant reporting.

   MDOC's Director of Research, Michael Rocque, will be the Research and Evaluation Coordinator. ▮▮▮▮▮▮▮ has a Ph.D. in Criminology and Justice Policy from Northeastern

University, and teaches at the University of Maine at Orono and the University of Southern Maine. ███████ will report to the Associate Commissioner of Adult Services, ███████ █n, who will assist with oversight of this project. ███████ has worked for DOC for 25 years in various officer and management capacities.

MDOC's Division of Quality Assurance and Professional Practices (QA & PP) will also have a substantial role in the project. Established in November, 2011, the Division promotes continuous improvement through the evaluation of departmental operations. The Division will set up individual contracts with the external consultants to provide programming and training, and will monitor them for compliance to ensure effective administration. The Business Department will manage payment of service contracts. See Qualifications of the SSP Research Partner, for information on the external consultants.

Capability to Implement the Project: After making an agency-wide commitment in 2003 to utilize EBPs for recidivism reduction, MDOC has emerged as a national leader in corrections. MDOC has collaborated in three National Institute of Corrections (NIC) national demonstration projects, including NIC's Implementing Effective Correctional Management of Offenders in the Community: an Integrated Model to implement best practices in adult community supervision. MDOC is also recognized nationally for its collaboration and commitment to adopting the tools, processes and technologies involved in EBP. MDOC's Corrections Information System (CORIS) is widely acknowledged as a state-of-the-art information system, and a model for using data to inform best practice in a correctional environment. MDOC has leveraged its previous work with NIC to build a robust data system for performance management and evaluation. Supervisors are able to track assessment and case plan completion rates, contact frequency, rate of technical violations, and recidivism rates, by

probation officer. The QA & PP Division has already developed several automated queries to generate data sets from MDOC's CORIS database, and can commit to these additional requests as part of the performance data reporting under the grant, including the following measures.

Re-arrest	One year	Two Year	Three Year
Arrested for any type of crime			
Arrested for felony			
Arrested for misdemeanor	Probation Entrants (2004-2012)	Probation Entrants (2004-2011)	Probation Entrants (2004-2010)
Arrested for technical violation			
Arrested for new crime or technical violation			
Arrested for a sex offense			

- *Qualifications of the SSP Research Partner:* Hornby Zeller Associates (HZA) is an S corporation incorporated in New York State. Its headquarters are in Troy, New York, with three additional offices located in Portland, Maine; Harrisburg, Pennsylvania; and Little Rock, Arkansas. HZA provides evaluation and consulting services primarily to public agencies in the areas of adult and juvenile justice, corrections, the courts, mental health, substance abuse, child welfare and other social services. Its 44 professional staff are skilled in both qualitative and quantitative research design, policy analysis, complex data analysis and software application development. The firm has had contracts with over 35 states, including Maine.

████████, MS, the proposed Principal Evaluator, is HZA's Director of Court and Corrections Research. ████████ has previously analyzed data from 2004-2012 of new entrants into probation and individuals leaving prison. In 2014, ████████ helped produce new and updated analyses on recidivism outcomes of probationers and prisoners leaving DOC facilities. He has conducted several assessments of MDOC's probation initiatives, and reviewed risk level assessments by probation officers with the Level of Service Inventory (Revised). In addition, he has provided conceptual guidance and oversight in the design and delivery of numerous evaluation and research-focused interventions across the state, including the

assessment of a pre-trial risk assessment tool for one of Maine's Bureau of Justice Assistance grants. He also coordinated the design and implementation of a cost benefit model for juvenile justice programs. He is skilled in both oral and written presentations.

The University of Southern Maine, Muskie School of Public Service (MSPS) has previously served as research partner on the NIC projects identified above. ███████ was the developer of MIRRM and is uniquely positioned to assist in the implementation of the fidelity process. She is a MSPS Policy Associate and a member of the Motivational Interviewing Network of Trainers (MINT). She will have primary responsibility for training MDOC supervisors in MI and providing feedback and coaching to the Fidelity Monitors. ███████ will oversee the tape critique analysis of POs, and will be supported by the Fidelity Monitors who will use the MITI coding system to gauge the rates of improvement of POs in MI practice.

4. Plan for Collecting Required Data for Performance Measures

- *Assessing the Project's Effectiveness:* MDOC will provide the relevant data under the Government Performance and Results Act to the Bureau of Justice Assistance on a quarterly, semi-annual and annual basis as required.

    MDOC's QA & PP Division will produce quarterly queries on the percentage and number of participants who successfully complete probation, as well as those who exit unsuccessfully. Fidelity to MIRRM must be addressed in each of the three phases described on p. 4. , and the proposed project will cover the first three years of MIRMM's implementation. The fidelity adherence model incorporates two major components: 1) the hiring of two FTE Fidelity Monitors and 2) the use of a Fidelity Coach to help train the monitors and assess progress. The Fidelity Monitors and Fidelity Coach will be hired with Smart Supervision grant funds.

The Fidelity Monitors will work directly with the Regional Correctional Managers who directly supervise probation officers. There will be three phases to fidelity adherence monitoring:

o **Phase I:** The Fidelity Monitors will assess the reliability and validity of the LSI-R to examine how risk assessment tools (RNR) are used in community supervision.

o **Phase II**: The Fidelity Monitors will utilize a modified version of the Dual-Role Relationships Inventory (DRI), developed by Dr. Jennifer Skeem. The DRI will be used to examine MIRRM performance objectives, including the extent to which probation officers (POs) balance the caring, relational aspect of their interactions with clients with their authority over them. Prior to the use of the DRI, POs will receive intensive training in the use of MI by the RCMs (who are being trained by MSPS).

o **Phase III**: Phase III will include case note auditing to ensure that planning for probationers is well-matched to their needs and risk levels. The Fidelity Monitors will complete a Case Review Worksheet for at least eight (8) randomly selected case files and meet with the PO five days after the review. This will be done for probationers who are moderate to high risk (LSI score over 20). We will also conduct a probationer exit survey at the end of each year to assess their satisfaction with the level of interaction and programming available to them during their probation.

5. Impact/Outcomes, Evaluation, and Sustainment

● *Goals and Objectives for Program Development, Implementation, and Outcomes:* The goal for this intervention is to fully embrace the principles of EBP embedded in the MIRRM. In order to meet those principles, MDOC has selected the following implementation goals.

Evidence-Based Principle	Process Goal
1) Objectively Assess Criminogenic Risks and Needs	100% offenders entering probation in 2015 and 2016 will be administered the Level of Service Inventory-Revised

	(LSI-R) while in the correctional facility, before exit from the facility and six months after release.
2) Enhance Intrinsic Motivation	75% of POs reach MI proficiency by the end of the grant
3) Target Higher-Risk Offenders	100% of mod/high risk offenders entering probation in 2015 and 2016 will have a case plan on probation
4) Address Offenders' Greatest Criminogenic Needs	100% of mod/high risk offenders entering probation in 2015 and 2016 case plan will target assessed criminogenic needs
5) Use Cognitive-Behavioral Interventions	80% of mod/high risk offenders entering probation in 2015 and 2016 receive Cognitive-Behavioral Interventions
6) Determine Dosage and Intensity of Services	80% of mod/high risk offenders entering probation in 2015 and 2016 adhere to program intensity

This intervention also has two clear outcome goals to reduce the risk of recidivism and to increase public safety:

Outcome Goal 1: 50% of offenders entering probation in 2015 and 2016 with a LSI-R risk score of 20 or higher (moderate and higher risk) will not demonstrate an increase in criminogenic risk for each individual domain on the LSI-R.

Outcome Goal 2: A 35% recidivism reduction from baseline (2011) of all offenders in 2015 and beyond with a LSI-R risk score greater than or equal to 20. Recidivism defined in multiple measures as an arrest for a misdemeanor, felony offense or technical violation.

How Performance will be Documented, Monitored, and Evaluated/Impact: HZA will

monitor, document and evaluate the project and outcome goals defined in the preceding section.

The analysis plan will take advantage of the CORIS database and the program activities (DRI,

case review audits, probationer exit survey). Evaluators will use multiple types of analyses,

depending on the evaluation component or question to be addressed. These include:

- **Descriptive statistics:** Frequencies, mean distributions and standard deviations will be used to

  describe the population receiving services as well as the control group.

- **T-tests and analysis of variance:** To determine whether client-level results can be generalized, evaluators will compare the characteristics of those who received MIRMM with a control group from previous years. Factors such as age, race, gender, ethnicity and offense type will be used. Statistical tests will be used to determine whether differences are large enough to say that they are not a function of chance. Similarly, the differences in the outcome measures will be subjected to statistical tests to determine their significance.

- **Regression analysis:** This technique will be used to determine what specific factors are most predictive of outcomes while simultaneously controlling for multiple variables. If the data show that probation revocations are down for in the post-MIRRM years, for example, regression analysis will help see which variables most heavily influence the results.

   HZA will provide quarterly status reports to MDOC, which will be used to track progress and identify activities to be conducted in future months. They will also be used to highlight successes and identify barriers. Using an action research model, HZA will suggest corrective actions when and if challenges are identified, particularly as they relate to not adhering to various aspects of the model. Quarterly reports will be submitted within ten days following the close of the month. The Final Report will cover all aspects of the project evaluation. This includes final study results as well as a detailed description of the project design, data accessed, collection methods used, an explanation of the results, and recommendations for further development of the program. HZA also will prepare summary materials for presentation and handouts.

- *Data and Information to be Collected/ Leveraged:* As an outgrowth of previous work, HZA and MDOC also have the capacity to examine CORIS' rich data source of mediating and moderating variables. A comprehensive list of the available data elements can be found below.

Probationer Data
Basic Demographics
Risk and Criminogenic Factor profile information (derived from LSI-R)
Reassessment Scores and Profiles from LSI-R
Standardized Case Plan information (case priorities, required action steps)
Length of Sentence
Supervision Contact Frequency and Durations
Treatment dose parameters (duration, total hours, adherence rates and type of treatment)
Number, dates and type of violations documented
Termination Status
12-Month follow-up for official recidivism records

Using CORIS it will be easy to track the amount of service (dosage) each probationer receives (the number of contacts, duration of contacts, case plan, services referred or delivered).

- *Evaluation Plan & Collaboration with 3rd Party Evaluator:* MDOC will provide a data extract to HZA to analyze the recidivism measures for the cohorts that enter probation in 2015 and 2016. Mr. Rubin will complete a comprehensive formative and outcome evaluation to document probationer impact.

- *Integration /Sustainment/Expected Long Term Results:* This proposal is supporting implementation of the MIRRM which is already funded by MDOC. The Smart Supervision funding will help support broader diffusion of EBP and data-informed decision-making and improved practice across the department. A dilemma that is understood widely in the corrections field is that changing practice is a formidable task that requires changes in practice behavior, program restructuring, and reallocation of resources. For staff to adapt to changing practices, they need quality training, staff coaching and measurement feedback on implementation of such practices. In the face of this daunting task, this proposal moves MDOC

closer to full EBP implementation by implementing a series of actions that connects adult community corrections staff to EBP.

The project will also seek to build internal capacity to provide fidelity monitoring of EBP and MIRRM system-wide. An analysis of the efficiency of using Fidelity Monitors as specific job functions will be performed at the end of the grant project to determine whether to make these internally funded permanent positions. One of the goals of the project is to transfer capacity for fidelity monitoring to the Quality Assurance Division so that the work is fully sustainable.

6. Budget

The attached budget supports implementation of the proposed project by requesting funds to hire and train two FTE Fidelity Monitors, and to hire consultants who will serve as the Fidelity Coach and the Principal Evaluator.

All costs were based on MDOC's staffing scale and on its experience hiring consultants. Sole sourcing the HZA contract reduces MDOC administrative time and costs, allowing the project to begin quickly, but more importantly it brings ███████████ into the project. ███████████ has extensive experience working with MDOC on similar projects. This reduces his learning curve and brings greater value to this project. Similarly, ███████████, who helped develop the MIRRRM and is a skilled MI trainer, brings substantial expertise to ensuring that the MIRRM is implemented with fidelity.

The budget includes the cost of three staff traveling to Washington DC twice for conferences. Virtually 100% of the grant will cover costs related to research, data collection, performance measurement, and performance assessment.