Plan and Approach – Outline

Progress through Phase 1 and recommendations for Phase 2 consultation

In early April 2012, it was suggested that a phased EBP implementation plan would be most beneficial to the NYC Department of Probation to ensure development of foundational policy and practice that is generalizable and sustainable throughout the entire department.   During Phase 1 it was recommended that the consultant provide ongoing face-to-face consultation to guide implementation progress through facilitated action planning first with the Commissioner's Executive team and then with Bureau Leadership from each of the five boroughs.   In addition to face-to-face interaction, ongoing action planning efforts were discussed and monitored via telephone and email.

Actions consistent with the above have begun and are in various stages of development at the end of Phase 1 (October 31, 2012). Below, progress with each of the areas of consultation is outlined and next steps/recommendations are provided.

Phase I Recommendations (April 2012)

Phase 1 – Major Deliverable Area #1

1. **Discuss pre-visit implementation checklist via conference calls and/or WebEx session(s) during weeks leading to an onsite session with the Commissioner's Executive Team – Proposed Timeline - April 9-May 1, 2012**

Major areas of discussion:

- **Development of an EBP Implementation Steering Team –** Membership of the EBP Implementation Steering Team will be assigned by NYC Probation; but it was urged strongly that membership include the Commissioner's Executive team and identified leadership from each of the five boroughs

- **Whole System Risk Screening –** Whole system risk screening **is essential** to insure that probationers are assigned to the level of intervention or supervision that is most likely to reduce further risk and harm to the community. Therefore the following implementation questions were considered:
    - What tool/method will be used to screen all NYC probationers to evaluate their risk to re-offend, when will probationers be screened, and by whom?
        - What current implementation efforts are underway?
        - When will whole system risk screening be fully operational?
        - Will whole system risk screening data be recorded and available electronically?

    - How many risk groups will be established (i.e. low, low-medium, high-medium, high)?

- What interventions or assignments will be made generally for offenders who are determined to be in each category or risk?
- What resources are available for higher risk offenders?
  - Caseload size
  - Assessment resources
  - How many cases can be handled efficiently within each risk category?
    - Unique considerations within each bureau?
    - Will all lower risk cases be handled directly or overseen by probation officers?
- What crimes, terms and conditions, or circumstances will be excluded from normal case assignment?
  - Unique considerations within each bureau?

- **Assessment of Criminogenic Risk and Need** – Once higher risk caseloads are established it is essential to manage them guided by the use of an assessment of criminogenic risk/need
  - **Implementation Status of LSI-R?**

Progress/Actions Phase 1

Three (3) face-to-face meetings occurred during April 2012 to develop an initial EBP implementation plan to be presented to Commissioner Shiraldi's Cabinet for discussion and approval during a specially scheduled cabinet meeting in May 2012. While developing the initial department-wide implementation plan, each face-to-face meeting was facilitated to ensure that NYC Probation leadership understood that without essential foundational EBP practices in place, true evidence based policy and practice could not occur, regardless of the validity of various current programmatic initiatives or practices in place or being developed.

The following broad-based action plan was developed for presentation to the Commissioner's Cabinet in May 2012:

Date	Task/Deliverable	Responsible Party/Monitor
May 31	City-wide risk assessment to begin immediately and be recorded by borough so that low, low/medium, high/medium, and high risk offenders are identified.	
June 30	Full evaluation of population risk analysis and decisions regarding: - resources necessary to case plan for higher risk offenders, - cut-points to determine which probationers are given a full risk/needs assessment (leading to targeted case planning), and - risk to reoffend treatment tracks for all offenders (inclusive of lower risk offenders who will not receive a full risk/needs assessment)	
June 30	8 NYC trainers are certified to train others to perform risk/needs assessments	
June 30	The 8 newly certified trainers develop a training schedule for each of the boroughs (with the assistance of borough leadership) to train all officers to perform risk/needs assessments - The training schedule should be prioritized so that officers who will use the assessment most frequently will be trained first	
July 5	The Cores team must identify all available evidence based services/programs being offered within each of the boroughs and correlate them with the LSI-R Domain that they are designed to address.	
July 15	IT professionals must integrate LSI-R results with the existing case planning module so that higher risk domains identified by the LSI-R are automatically correlated with specific system action or interventions. [re. 9 of the 10 domains identified by the LSI-R (criminal history can be excluded for case management purposes) must correlate with specific services designed to reduce that criminogenic need]	
July 15	Once existing programs/services are identified by the Cores team, each of these programs/services must be evaluated to determine the degree to which they function in accordance with evidence-base policy and practice.	
July 31	All officers are trained to use the Risk/Needs assessment	
August 1	City-wide roll-out of risk/needs assessments	

Phase 1 – Major Deliverable Area #2

2. **Meet with Commissioner's Executive Team to establish an agreed upon EBP Implementation Plan and timeline. Essential areas of inquiry and discussion included:**

- **Risk Screening** – Availability and use of the current risk screening tool (LSI Short Version) as a means to identify various offender groups by risk
  - o Evaluate current practice (guided by risk) for offenders of lower, medium, and higher risk groups
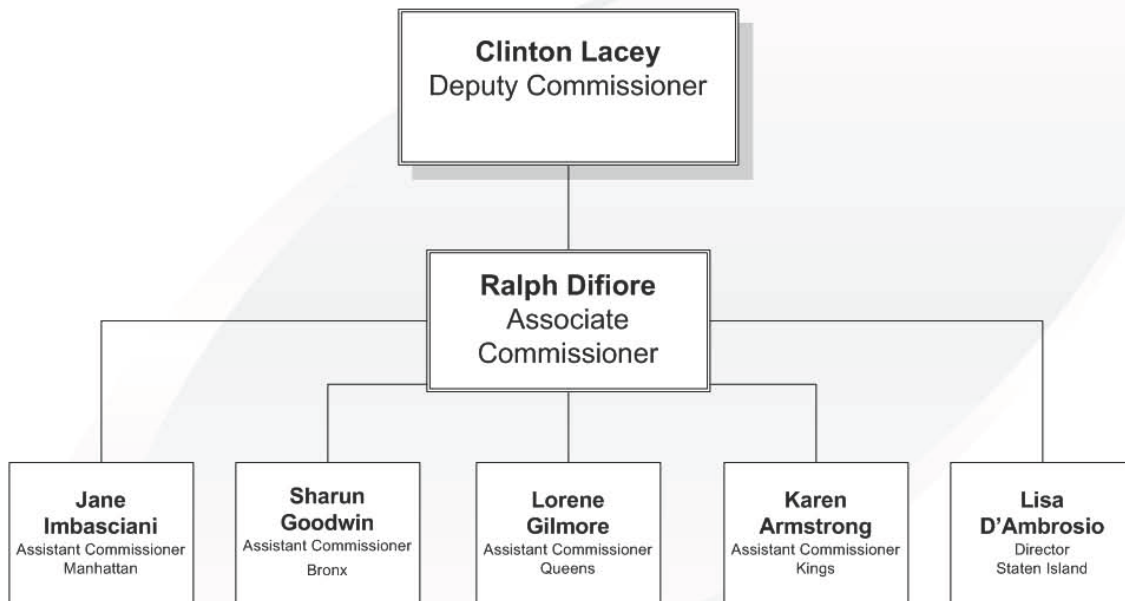
- o Establish intended practice department-wide related to risk triage (i.e. Case Processing and Case Management guided by risk to reoffend)
- o The use of risk triage to guide actions at various system decision points at which NYC probation has responsibility or control
- o Discuss special crimes, case-loads, and/or overrides relative to risk triage
- **Assessment** - Use of and/or progress in implementation of the LSI-R
  - o Evaluate current practice/process
  - o Establish offender groups on which full risk/needs assessments will be performed - guided by risk triage and/or crime
  - o Identify Needs Domains identified by the assessment
  - o Discuss additional specialized assessments utilized, desired, or needed
- **Case Planning**
  - o Evaluate current practice/process – Current and intended case loads by risk and crime type
  - o Discuss/Evaluate automated interface between current case planning tool and the risk/needs assessment
  - o Identify, evaluate, discuss, and/or develop a system service matrix corresponding to needs domains identified by the Risk/Needs assessment (i.e. Case assignment and/or placement by targeted high risk needs)
  - o Standards for the development of terms and conditions designed to improve long-term public safety (process and outcome driven)
  - o Standards for case modification as reinforcement for positive and/or negative behavior or outcomes
  - o Revocation/Violation practice
- **Programs/Assignments/Interventions**
  - o Discussion of available and utilized Programs/Assignments/Interventions and departmental means and/or methods to determine their alignment with or adherence to known best practice (evidence-based)
  - o Discussion of an EBP template for use in evaluating current or perspective programs/services
  - o Evaluate current practice for evaluating implementation and practice fidelity for programs/services/interventions
- **Outcome/Process Evaluation**
  - o Identify areas of process and outcome that will be evaluated
  - o Discuss outcome and process evaluation criteria to define and operationalize important deliverables (such as recidivism) and discuss reasonable expectations related to same
  - o Outcome/Process Evaluation at the System, Bureau, Unit, and/or Individual level
- **Evidence-Based Improvement Process** – How evidence and/or findings guide process/practice improvement and/or policy revision

- Benchmarking – Current vs. Future Outcomes
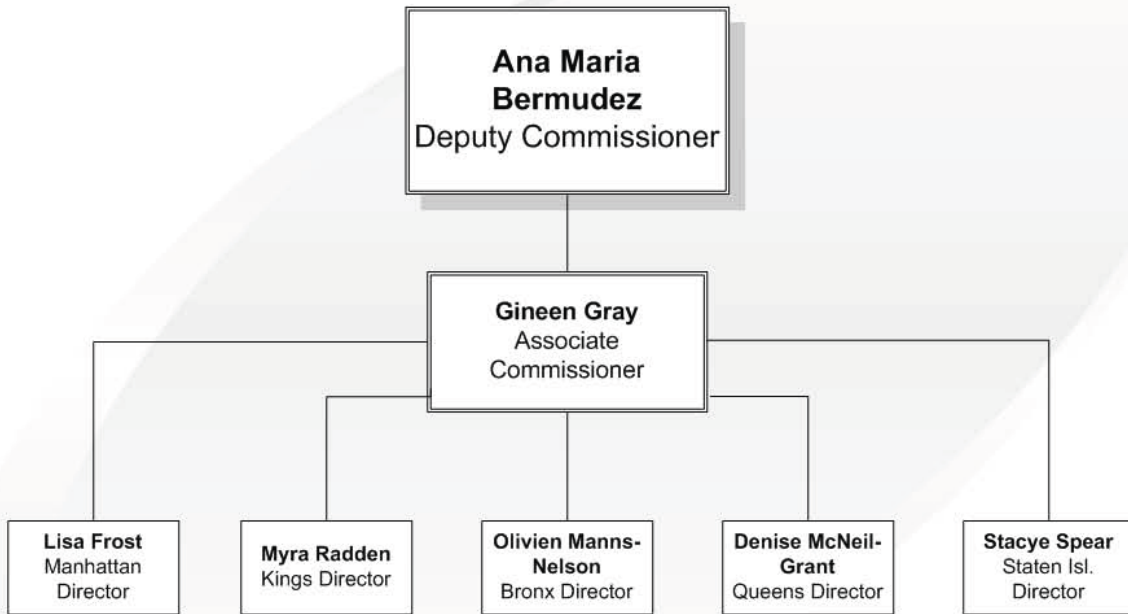- Needs for revision of current policy

Progress/Actions Phase 1

Two (2) onsite visits were completed in June 2012. On June 12, 2012, a ppt. presentation was presented to Commissioner Shiraldi's Cabinet and approval was obtained to advance the EBP implementation action plan described above. To advance EBP implementation as efficiently as possible, it was agreed that city-wide adult and juvenile steering groups (depicted below) would be developed to monitor progress within each of the 5 boroughs and report back to the Commissioner's cabinet.

NYCDOP Adult Operation

Clinton Lacey
Deputy Commissioner

Ralph Difiore
Associate Commissioner

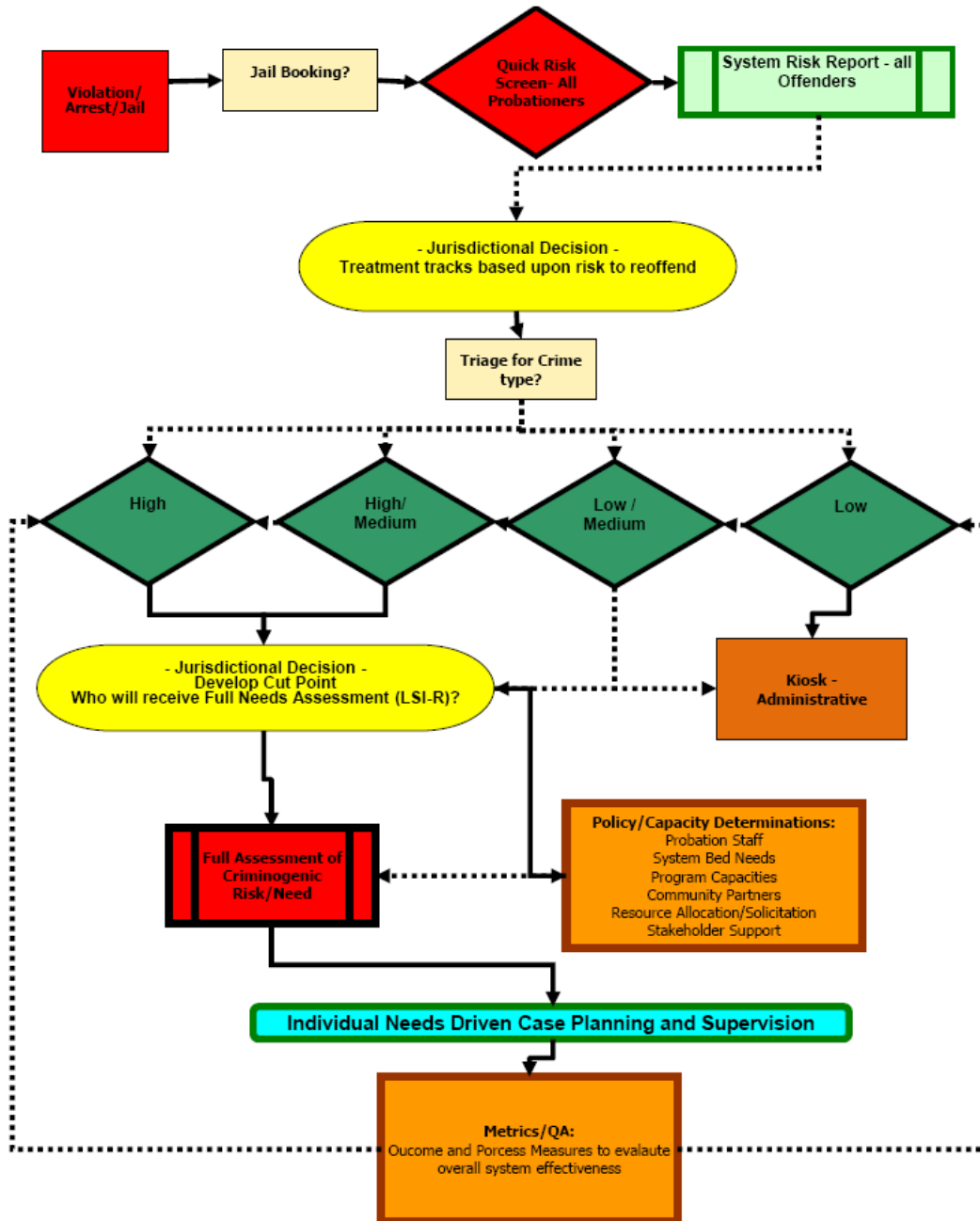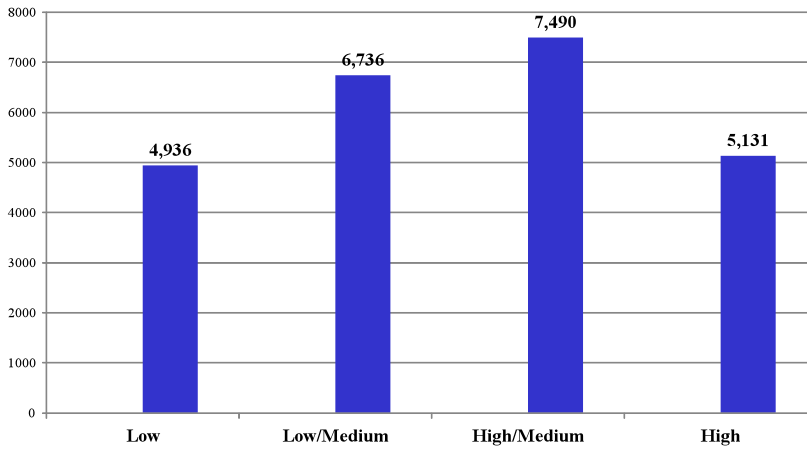| **Jane Imbasciani** | **Sharun Goodwin** | **Lorene Gilmore** | **Karen Armstrong** | **Lisa D'Ambrosio** |
| Assistant Commissioner Manhattan | Assistant Commissioner Bronx | Assistant Commissioner Queens | Assistant Commissioner Kings | Director Staten Island |

NYCDOP Juvenile Operation

It was determined that 4 general risk categories would be used within NY City (low, low-medium, high-medium, and high). An initial case flow map was developed and, for planning purposes, projected #s of clients within each borough by risk to reoffend were calculated (depicted below).

Flowchart - SYSTEM

Violation/Arrest/Jail → **Jail Booking?** → **Quick Risk Screen- All Probationers** → **System Risk Report - all Offenders**

- Jurisdictional Decision -
Treatment tracks based upon risk to reoffend

Triage for Crime type?

High — **High/Medium** — **Low / Medium** — **Low**

- Jurisdictional Decision -
Develop Cut Point
Who will receive Full Needs Assessment (LSI-R)?

Kiosk - Administrative

Full Assessment of Criminogenic Risk/Need

Policy/Capacity Determinations:
Probation Staff
System Bed Needs
Program Capacities
Community Partners
Resource Allocation/Solicitation
Stakeholder Support

Individual Needs Driven Case Planning and Supervision

Metrics/QA:
Oucome and Porcess Measures to evalaute overall system effectiveness

City-Wide Probationers by Risk to Re-Offend
n=24,317

City-Wide Probationers by Risk to Re-Offend bar chart

- Low: 4,936
- Low/Medium: 6,736
- High/Medium: 7,490
- High: 5,131

Low ——— Level of Risk to Recidivate ——— High

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Queens Probationers by Risk to Re-Offend
n=5675

Queens Probationers by Risk to Re-Offend bar chart

- Low: 1,152
- Low/Medium: 1,572
- High/Medium: 1,748
- High: 1,197
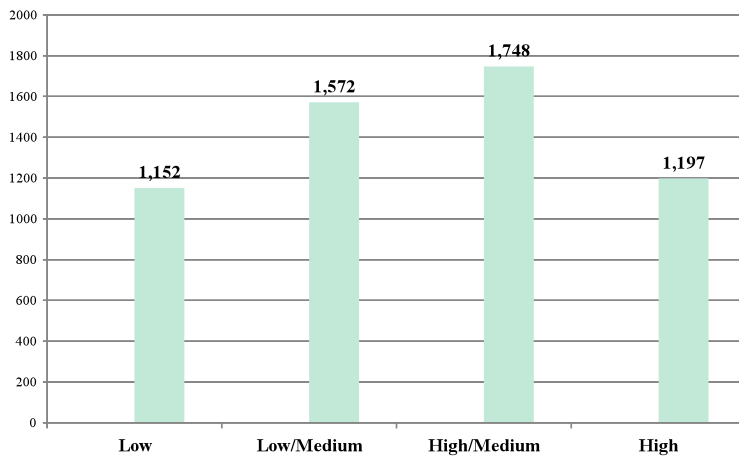
Low ——— Level of Risk to Recidivate ——— High

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Staten Island Probationers by Risk to Re-Offend
n=1264

	Low	Low/Medium	High/Medium	High
Count	257	350	389	267

Low — Level of Risk to Recidivate — High   23
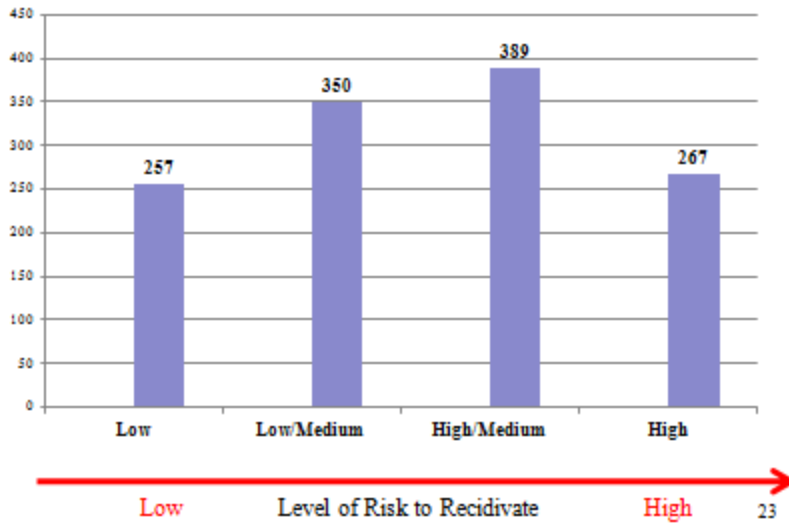
Manhattan Probationers by Risk to Re-Offend
n=4654

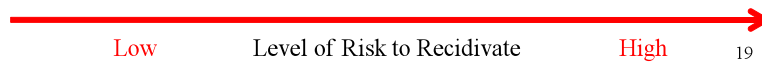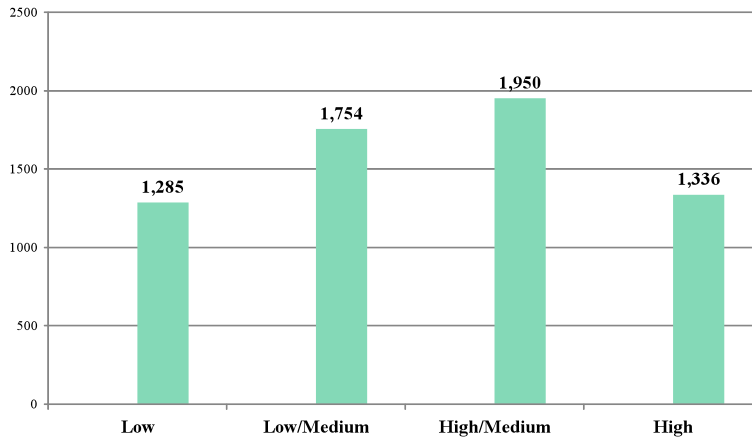|	Low	Low/Medium	High/Medium	High
Count	945	1,289	1,433	982

Low — Level of Risk to Recidivate — High   21
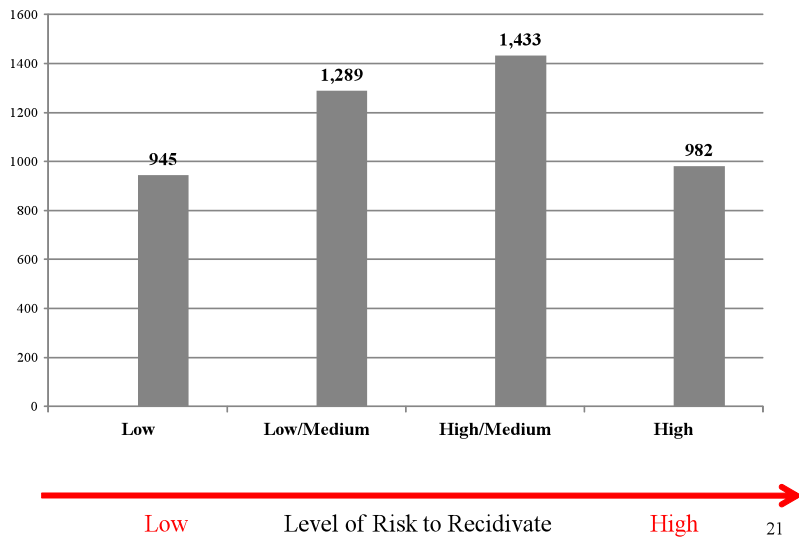
Brooklyn Probationers by Risk to Re-Offend
n=6393
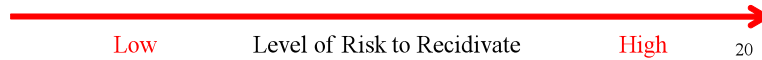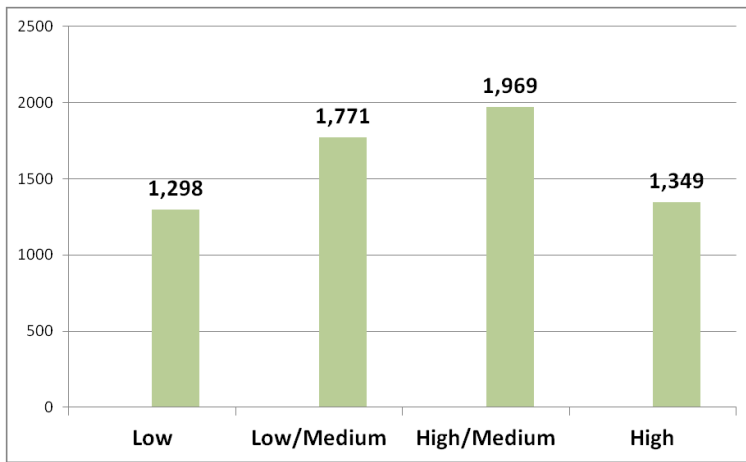
Bronx Probationers by Risk to Re-Offend
n= 6331

While all initial timelines for city-wide EBP implementation were not able to be followed due to various organizational difficulties, the following was accomplished during Phase 1.

- **The establishment of the LSI-R, LSI-SV, and the YLS as screening and assessment tools to be used city-wide**

- - Adult – Level of Service Inventory – LSI-R pilot Manhattan - November 2012.
    - Juvenile – Youth Level of Service /Case Management Inventory (YLS/CMI)
      - Juvenile staff trained and the instrument launched.
- Considering the use of assessment results to target appropriate clients to appropriate interventions through modifications in Individual Achievement Plan (IAP's).
  - Finalizing a YMI referral guide to help guide the referral process for Juveniles
- Considering the frequency of periodic reassessment to measure client progress
- Considering work with the service provider community to insure referrals to evidence based interventions and consistency of language and expectations.
  - System service providers to be evaluated to determine the extent to which they are evidence-based and the LSI-R or YLS Domains that their service is designed to affect.
- Beginning to focus services on the highest risk clients and minimize interventions with low risk, decrease barriers to reporting for low risk.
- Considering the use of cognitive behavioral techniques - review of services provided by community-based partners
- Considering the involvement of other NYC social service systems to better serve the needs of those on probation. Ongoing work with Human Resources Administration, Office of Child Support Enforcement, Department of Health and Mental Hygiene, Small Business Services, Homeless Services, Department of Correction
- Discussion for development of plans for measuring progress in every initiative (adding indicators to STARS to count community focused work).
- Identified Senior Probation Officers and Borough Chiefs as coaches of EBP
- Updating Case Management System (RCMS) to Caseload Explorer to allow for easier individual access to data, allow POs, SPOs to review their own data, outcomes for their clients.
- Considering quality assurance mechanisms to be built into supervision .

3. **Begin pilot implementation of EBP within each of the five boroughs**

- Meet with Manhattan, Brooklyn, Queens, Bronx and Staten Island Bureau Leadership to provide an orientation of the current EBP implementation planning initiative within NYC probation
  - Discuss important foundational components of evidence based policy and practice in the context of the NYC Department of Probation Plan inclusive of:
    - Details regarding screening, assessment, and targeted case planning
    - The delivery of intensive services to higher risk offender populations
    - The use of administrative or banked case loads for lower risk offenders
    - The integration of NeOn centers or other community placement or day reporting centers and their use in diversion or as alternative interventions for higher and/or medium risk offenders
    - Terms and conditions, violation rates, and/or responsivity practices and their impact on long-term public safety
  - Seek consensus approval and alignment of Bureau leadership with the overarching EBP Plan proposed by the Commissioner's Executive Team
    - Discuss organizational and/or system barriers to the proposed EBP implementation plan
    - Develop plan to overcome identified barriers
  - Develop initial action planning steps for EBP pilot implementation within each Bureau inclusive of, but not limited to:
    - Identification of lower level leadership for inclusion in the initiative
    - Orientation for staff involved in the pilot
    - Analyses of current risk screening/triage efforts
    - Analyses of needs assessment implementation progress
    - Analyses of integration and use of needs assessment information within current automated case planning system
    - Availability of an evidence-based system service matrix grouped and/or guided by responsiveness or effect on identified needs domains.
    - Analyses of available and/or needed data to aid in daily efforts as well as accommodate future evaluation of EBP fidelity and impact on long-term public safety

Progress/Actions Phase 1

Several planning sessions during the August and September 2012 resulted in the development of a presentation/facilitation template for NY City Probation senior leadership. The goals for this session (held in NYC on 10/24/12) were:

- Understanding the "big picture" plan: The implementation of Evidence-Based Policy and Practice (EBP) within New York City Probation

- Understanding the foundational tenets of EBP and its application within New York City

- Using the expertise of Senior Leadership to guide and apply EBP as effectively as possible within each of the 5 boroughs

As a result of this session, NYC senior leadership adopted the department-wide plan (outlined above) while also recognizing that EBP implementation within each of the 5 boroughs would be unique and specific to practice in that borough. To facilitate effective borough-specific EBP implementation, the development of steering/implementation teams was discussed and it was agreed by senior leadership that such teams would be essential. As it relates to the development of these teams, the following initial considerations were discussed:

- Employing the expertise of borough level leadership of all levels to assist and advance EBP implementation

    – Formal leadership – Hierarchal Leaders

    – Informal Leaders - Line Level Staff with "street credibility."

- Organizational Cultural Change

    – Evaluating current practice with the intent of changing, shifting, or modifying general, day-by-day practice as necessary to be consistent with evidence-based principles and the direction of the Cabinet.

- Building an understanding of and a means to evaluate daily practice using evidence

    – Quality assurance and the use of outcome and process measures

It was further agreed that EBP Implementation Manager Carrique will contact each of the Borough Chiefs in early November 2012 to begin team selection in each borough and develop group communication to monitor progress and share experiences during the coming months.

Revised (Current) EBP Implementation Timeline:

Date	Task/Deliverable
Nov 2012	City-wide risk assessment with LSI-SV to begin and be recorded by borough so that low, low/medium, high/medium, and high risk offenders are identified.
Nov 2012	Full evaluation of population risk analysis and decisions regarding: - resources necessary to case plan for higher risk offenders, - cut-points to determine which probationers are given a full risk/needs assessment (leading to targeted case planning), and - risk to reoffend treatment tracks for all offenders (inclusive of lower risk offenders who will not receive a full risk/needs assessment)
Sept 2012	8 NYC trainers certified to train others to perform LSI-R assessments
Oct 2012	The 8 newly certified trainers developed a training schedule for each of the boroughs (with the assistance of borough leadership) to train all officers to perform risk/needs assessments - The training schedule should be prioritized so that officers who will use the assessment most frequently will be trained first

Date	Task/Deliverable
Nov 2012	The Cores team will begin to identify all available evidence based services/programs being offered within each of the boroughs and correlate them with the LSI-R Domain that they are designed to address.
Nov 2012	IT professionals will integrate LSI-R results with the CE Connect stand alone system (and eventually with Caseload Explorer) so that higher risk domains identified by the LSI-R are automatically correlated with specific system action or interventions. [re. 9 of the 10 domains identified by the LSI-R (criminal history can be excluded for case management purposes) must correlate with specific services designed to reduce that criminogenic need]
Nov 2012	As existing programs/services are identified by the Cores team, each of these programs/services must be evaluated to determine the degree to which they function in accordance with evidence-base policy and practice.
Oct 2012	Essential officers are trained to use the Risk/Needs assessment

Phase 2 Recommendations
Meet with adult and juvenile steering groups in each borough to develop organizational communication strategies between and throughout the boroughs and the executive team that:
- Monitor city-wide progress with EBP implementation by borough
- Discuss and build strategic plans to overcome borough specific EBP implementation issues
- Discuss and manage the impact of organizational culture and related barriers to change
- Develop quality assurance practices (process and outcome) - both borough specific and city-wide and to be reported during monthly cabinet meetings and prepared for dissemination to federal funders (to chart and report implementation progress).

Work with NYC Probation Leadership and EBP Implementation Manager Carrique to develop a strategic plan to engage community partners resulting in the consistent availability of evidence based interventions. Core components of this facilitation should include:

- Information/Facilitation sessions describing for and discussing with community partners the overarching EBP implementation plan within NYC probation.
    - o All sessions should be progressive and designed to advance a common understanding of the application of evidence based policy and practice in NYC as well as build understanding of the fit and role of community providers as related to case management and system process and outcome evaluation.
- Development of an objective process to be used by NYC Probation to evaluate each program for its adherence to evidence based policy and practice.
- Development of borough specific, evidence-based system service matrices to realize consistency in probation case plans and match services with identified high need domains identified by the LSI-R and the YLS

NOTE: It is envisioned that each of the Phase 2 recommendations above will be facilitated through a series of face-to-face meetings (determined by progress and borough) and remote consultation (telephone, email, etc.). It is proposed that each of these phases begin with a city-wide meeting inclusive of top- and cabinet- level officials to ground the initiative city-wide and agree upon and adopt overarching implementation strategies. It is proposed that borough-specific meetings in each of the five boroughs would follow inclusive of borough leadership, probation staff, and service provider agencies (as needed and indicated by progress) to assist in borough-specific implementation and the development of quality assurance practices to measure progress, prompt organizational change, and report implementation progress and lessons learned to the cabinet.