

EVIDENCE-BASED PRACTICES: AN OVERVIEW

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AGENDA

- Introduction
- Why are we here?
- What are EBPs?
- Why use EBPs?
- What EBPs are currently in use?
- Online resources
- Implementation of EBPs
- Collaboration
- Conclusions

INTRODUCTION

- Who am I?
- Purpose of the presentation:
 - Better understand the federal movement towards funding EBPs
 - Provide an overview of EBPs and their potential use in the context of the Nebraska justice system
 - Provide a foundation for NCJA's upcoming presentations on:
 - 1) What works in preventing crime & delinquency
 - 2) EBP small group strategic planning
 - 3) Managing and assessing task forces

WHY ARE WE HERE?

BJA'S FOCUS ON EBPs IN THE 2013 JAG SOLICITATION

Evidence-Based Programs or Practices

OJP places a strong emphasis on the use of data and evidence in policy making and program development in criminal justice. OJP is committed to:

- improving the quantity and quality of evidence about programs and strategies that are effective in the criminal justice system;
- integrating evidence into program, practice, and policy decisions in the field; and
- improving the translation of evidence into practice.

BJA'S FOCUS ON EBPs IN THE 2013 JAG SOLICITATION

Recidivism Reduction and Justice System Realignment

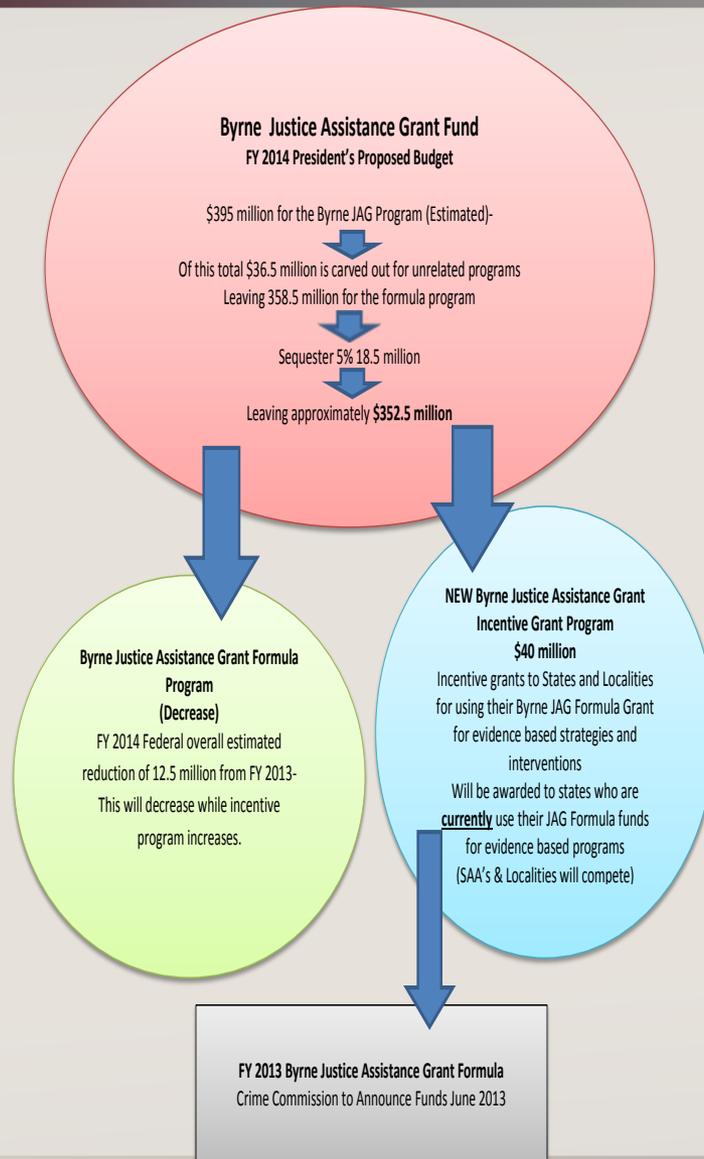
In this time of fiscal austerity and smaller state and local budgets, reducing unnecessary incarceration in a manner that promotes public safety is a paramount goal. Effective community supervision coupled with evidence-based program interventions can result in significant reductions in recidivism.

BJA'S FOCUS ON EBPs IN THE 2013 JAG SOLICITATION

Evidence-Based "Smart" Programs

As a result of the current fiscal crisis, many police departments are experiencing unprecedented budget cuts, layoffs, and reductions in force. These challenges must be met by making wider use of advancements in the law enforcement field in the last several decades which rely on use of data, crime analysis, crime mapping and other analytic tools, cutting edge technology, and research and evaluations regarding effective policing strategies and programs.

BJA encourages states to use JAG funds to support these "smart policing" strategies, including a focus on real time crime analysis centers (CACs), and effective partnerships with universities and research partners and with non-traditional criminal justice partners.



WHAT ARE EBPs?

**WHAT DO YOU THINK OF WHEN WE SAY
“EVIDENCE-BASED PRACTICE”?**

OJP DEFINITION

- OJP considers programs and practices to be evidence-based when their effectiveness has been demonstrated by causal evidence, generally obtained through one or more outcome evaluations. (From 2013 JAG solicitation)



OJP DEFINITION

- Causal evidence documents a **relationship** between an **activity or intervention** and its **intended outcome**, including measuring the direction and size of a change, and the extent to which a change may be attributed to the activity or intervention. **Causal evidence** depends on the use of **scientific methods** to rule out, to the extent possible, **alternative explanations** for the documented change. The **strength of causal evidence**, based on the factors described above, will influence the degree to which OJP considers a program or practice to be evidence-based.

WHAT DOES IT MEAN TO BE EVIDENCE-BASED

- The objective, balanced, and responsible use of current research and the best available data to guide practice decisions, such that outcomes for the target population are improved
- What is a word that is important for your work that is missing in this definition?
- Punishment? Public safety? Justice? Fiscal responsibility?

DEFINING AN EBP

- The National Institute of Corrections has also offered a definition of EBP:

“Progressive organizational use of direct, current scientific evidence to guide and inform efficient and effective correctional services.”

DEFINING AN EBP

- How do you know when you have identified direct and current scientific evidence that will result in efficient and effective correctional services?

DEFINING AN EBP

- Rosenthal (2004) argues that for an intervention or program to be identified as an EBP, it should meet the following criteria:
 - 1) Rigorously evaluated in well-designed research studies
 - 2) Studies on the efficacy of the practice are published in peer reviewed journals
 - 3) Consistently found to be effective upon consensus review.

DEFINING AN EBP

- There are two limitations for using these criteria for defining and identifying an EBP in our field:
 - 1) Relying solely on randomized controlled experiments.
 - 2) Relying solely on one study only – even if it is a randomized controlled experiment.

DEFINING AN EBP

- **Corrections is not clinical.** *Therefore, one randomized controlled experiment in corrections is not the same as one clinical trial in medicine.*
- Behavior is not equivalent to pharmacological response.
- Our “medicine” varies from place to place and person to person.
- My response and your response to Advil might be quite similar, but our responses to 50 hours of anger management training might be quite different

EBP CRITERIA

- Must be evaluated in 3 or more individual studies consisting of either randomized controlled experiments or quasi-experimental designs with statistical controls
- Studies must look at different populations
- Study follow-up period must be one year or more
- New practice or program should be guided by research and theory and not creativity alone

EXAMPLES OF EBPs

- Use of validated and normed actuarial risk and needs assessment tools
- Intensive rehabilitative/treatment supervision for high risk offenders
- Not mixing low and high risk offenders

EXAMPLES OF INEFFECTIVE PRACTICES

- Scared straight
- Military style boot camps
- Surveillance-based supervision
- Juvenile wilderness programs
- Life skills education for adults
- Mixing high and low risk offenders

WHY USE EBPs?

WHY USE EBPs?

- Why does the Office of Justice Programs believe that EBPs are a good investment?
 - U.S. spent \$48.5 billion dollars on corrections in 2010

WHY USE EBPs? AN EXAMPLE

- A 2000 report by the Institute of Medicine revealed that hospital medical errors across the nation resulted in the loss of 100,000 lives per year
- The vast majority of these mistakes were not individual incompetence but were primarily system failures
- “People working in health care are among the most educated and dedicated workforce in any industry. **The problem is not bad people**; the problem is that the system needs to be made safer.”

WHY USE EBPs? AN EXAMPLE

- To address this issue, the Institute for Healthcare Improvement launched a national campaign called the 100,000 Lives Campaign applying research-based techniques
- Viewed the problem not as something to be hidden or ignored, but as a resource that, when understood, could lead to improvement
- 3,100 hospitals enrolled in the initiative and an estimated 122,342 deaths were prevented.

WHY USE EBPs? AN EXAMPLE

- “The shared nature of our goal, and the fact that we did not seek to expose any hospital for poor performance, changed the tenor of the campaign; it was a positive initiative that called on the best in people, drawing them back to the reasons they first were interested in this work.”

~Joe McCannon, 100,000 Lives Campaign Manager

WHY USE EBPs? LESSON FOR CRIMINAL JUSTICE

- It is estimated that the U.S. could experience 1,000,000 fewer criminal victimizations (National Institute of Corrections)
- Research demonstrates that a 30% reduction in recidivism is possible if the justice system applies current knowledge consistently and with fidelity (Aos, Miller, & Drake, 2006)
- In juvenile justice, it is estimated that only about 5% of youth who should be eligible for evidence-based programs participate in one (Hennigan et al. 2007)



CURRENT STATUS OF CRIMINAL JUSTICE IN THE U.S.

- Escalating costs
- Unacceptable rates of technical violations & recidivism
- Recognition of the adverse consequences of mass incarceration
- Growing acceptance of the need for effective supervision & treatment
- Evidence-based strategies to reduce recidivism
- Focus on recidivism-reduction, limited collateral consequences, and return on investment

WHY DO POLICY MAKERS TURN TO EBP?

- Improves outcomes, especially recidivism
- Reduces victimization
- Cost-effective
- Improves collaboration
- Increases data-driven decision making
- Targets funding towards the interventions that bring the greatest returns

EVIDENCE-BASED EFFORTS

- Reduce new crime & new victims in our communities
- Demonstrate if what we are doing works, relying on facts: *better return on investment of limited resources*
- Improve outcomes: *we have an ethical commitment to do public good and not do harm* (we'll talk more about this later when we go over an example)

OBSTACLES TO EBP IMPLEMENTATION

- Financial: tax-payer savings more stem from a different organization (e.g., parole implements an EBP and corrections saves \$ in future years)
- Financial: funding streams for EBPs may currently be claimed by other, non-evidence-based programs with political or community support
- Coordination & planning: can take 2 to 4 years to implement an EBP and requires active involvement of many key stakeholders
- Staff resistance to change: if they spent their whole careers developing their own intuitive approaches, change will be threatening

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 issues
- Fidelity Principle: tells us how to do this work **RIGHT**

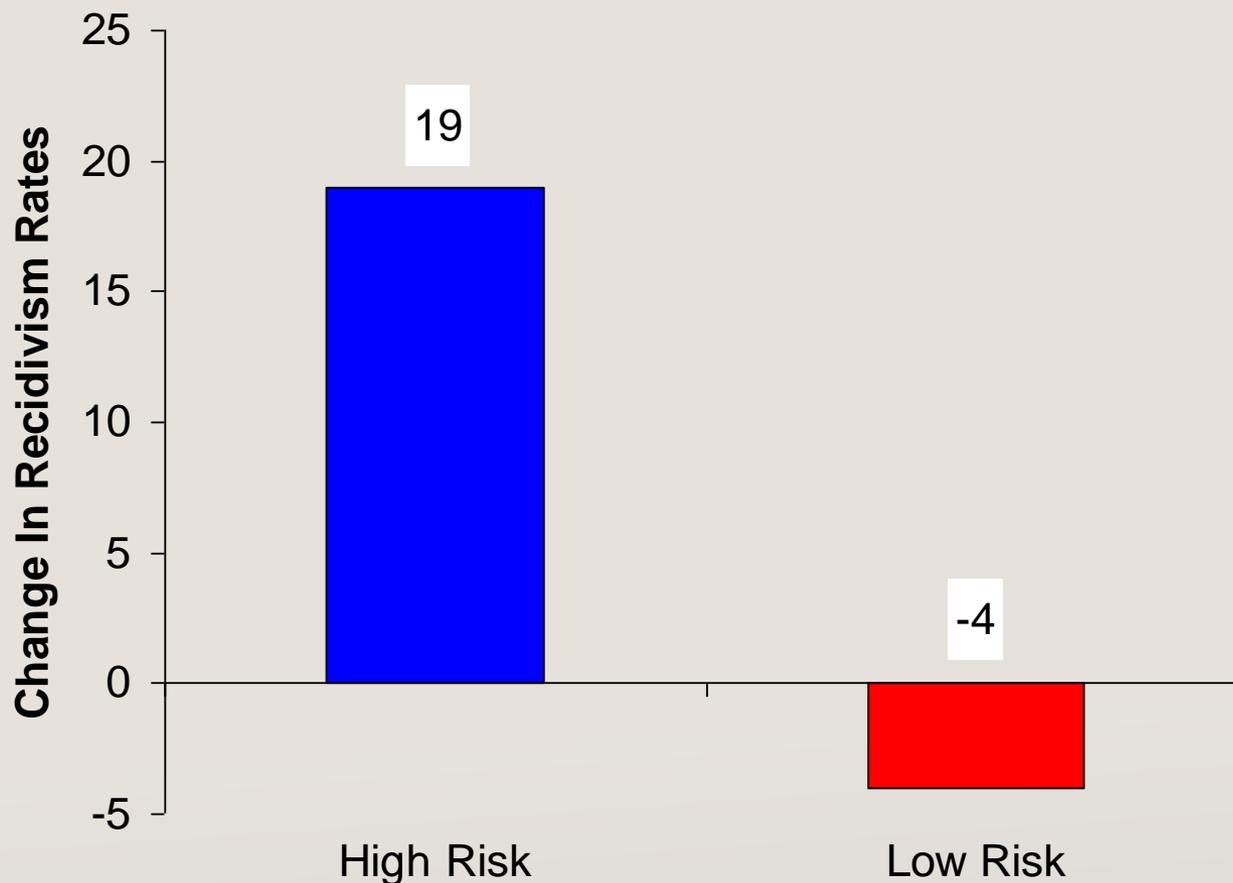
RISK PRINCIPLE

- Risk refers to risk of new crime (recidivism)
- We can predict future behavior by assessing risk factors
- Best way to assess risk factors is by using an actuarial assessment
- We want to match levels of treatment/services to the risk level of the youth or adult

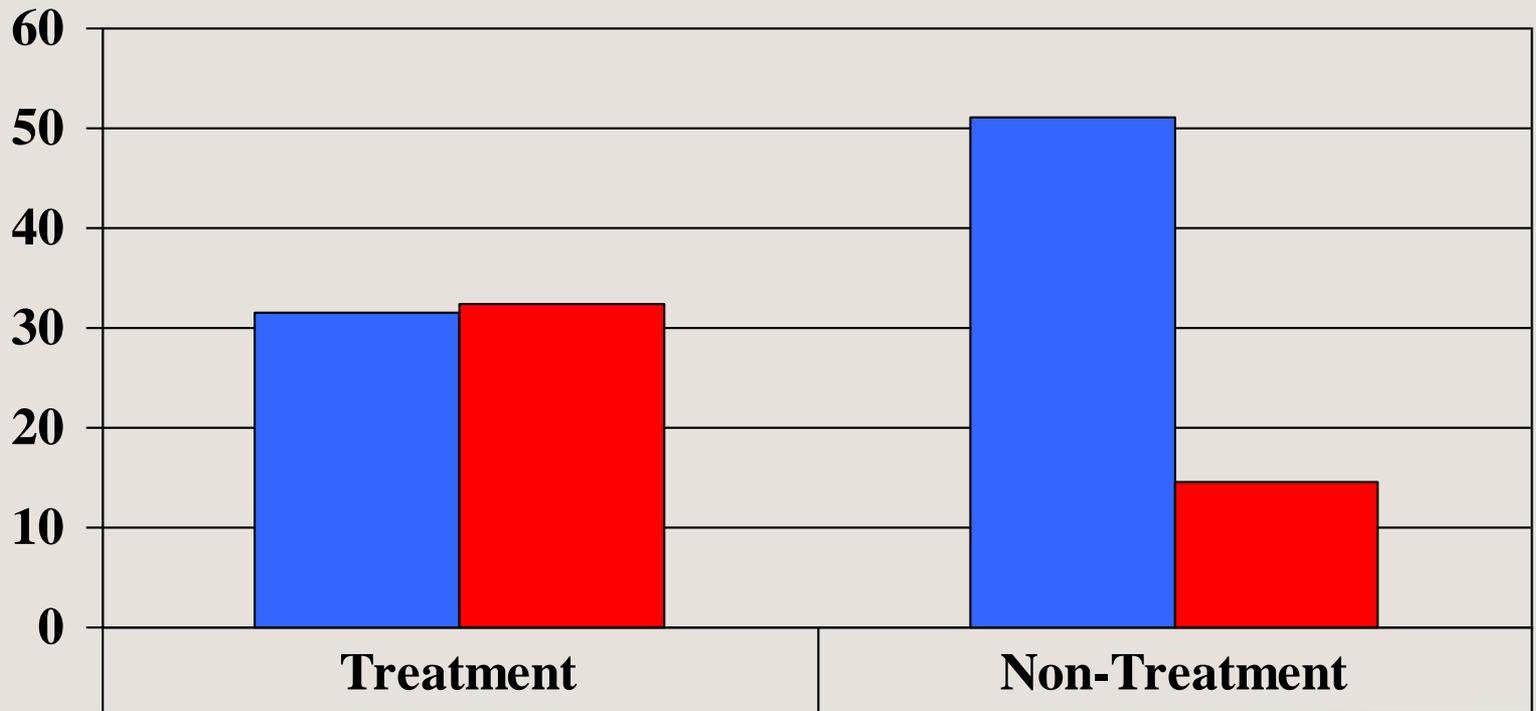
RISK PRINCIPLE

- Risk principle tells us who to target: those with the higher probability of recidivism
- High risk persons are more likely to recidivate and more active when they do recidivate
 - Require the most intensive supervision & treatment for the longest period of time
- Low risk are less likely to recidivate
 - Too much intervention for low-risk persons can increase likelihood of recidivism

CORRECTIONAL INTERVENTION RESULTS FROM META-ANALYSIS



INTENSIVE REHABILITATIVE SUPERVISION IN CANADA



 High Risk	31.6	51.1
 Low Risk	32.3	14.5

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 & Kiessling (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.

WHY MIGHT DOSAGE MATTER BASED ON RISK LEVEL?

- Low-risk offenders may learn antisocial behaviors and attitudes when engaging with high risk offenders
- While increased dosage works to disrupt antisocial networks of the high risk offenders, it decreases prosocial networks for low risk. Why?
(Latessa, 2011)
- Implications for programs like diversion?
- Implications for net-widening?

FIDELITY

- Refers to the quality of services and adherence to proven practices/programs
- Programs & practices with proven effectiveness produce desired results only when implemented as designed
- Fidelity can be improved through:
 - Training of staff
 - Supervision of staff
 - Evaluation of staff
 - Effective leadership

More about fidelity when we discuss implementation

WHAT EBPs ARE CURRENTLY IN USE?

WHAT EBPs ARE CURRENTLY IN USE?

- Examples?
- Successes?
- Challenges?
- War stories?
- Future plans?

USEFUL WEBSITES

USEFUL WEBSITES

- Office of Justice Programs' Crime Solutions:
 - www.crimesolutions.gov
- University of Colorado and the Annie E. Casey Foundation's Blueprints for Healthy Youth Development:
 - www.blueprintsprograms.com/resources/Matrix.pdf
- Office of Juvenile Justice and Delinquency Prevention's Model Programs Guide:
 - www.ojjdp.gov/mpg



EBP EXAMPLE: POLICING

Specialized Multi Agency Response Team

- Goal: Reduce drug-related problems and improve living conditions of problem sites
- Target population: Drug hot-spots
- Program activities: Police work with community stakeholders to clean up an area. Combines problem-solving tactics with traditional law enforcement. Includes a landlord training program.
- Evaluation outcomes: 45.8% of treatment sites experienced improvements in rates of contact or arrest to only 13% of treatment sites growing worse



EBP EXAMPLE: TREATMENT

Multisystemic Therapy–Substance Abuse

- Goal: Enhance families' capacity to keep track of adolescent behavior and instill clear rewards & punishments for positive and negative behavior
- Target population: Adolescents diagnosed as substance abusing or dependent according to the DSM-IV
- Program activities: Interventions concentrate on the individual, family, peer, school, and social network variables that are linked with behavioral problems. They draw heavily from strategic family therapy, structural family therapy, behavioral parent training, and cognitive behavioral therapies
- Evaluation outcomes: A strong short-term reduction in substance use that persisted at 12-months. Some evidence of reduced recidivism.

EBP EXAMPLE: COMMUNITY CORRECTIONS

Reduced Probation Caseload in Evidence-Based Setting

- Goal: Intensify the probation experience by reducing the caseloads of probation officers dealing with high-risk probationers
- Target population: Offenders are those whose risk of recidivism is highest, for whom treatment may be a requirement of their release into the community, and whose environment may also be volatile and changeable
- Program activities: Risk/needs assessments; specialized caseloads for domestic violence, sex offenders, mental health, etc.; concentrated services on assessed dynamic risks of medium- and high-risk probationers; considered responsivity; comprehensive case management
- Evaluation outcomes: At 36 months, reduced likelihood for arrest by 47% for property & violent crime

EBP EXAMPLE: CORRECTIONS

Changing Course

- Goal: Help inmates make the connection between their substance use and criminal activity
- Target population: Offenders incarcerated in a jail who have been screened or identified as having a potential substance use disorder
- Program activities: Completing a 24-page interactive journal with visually appealing images, factual information, and individual writing exercises to engage inmates. Trans-theoretical model of change views change as a process involving several stages: precontemplation, contemplation, preparation, action, maintenance, and termination. The journal provides strategies for inmates to implement selected changes
- Evaluation outcomes: Within 12 months of release, 51% of the interactive journaling group was subsequently booked at the jail, compared with 66% of the control group

IMPLEMENTING EBPs

- What do we mean by “implementation”?

IMPLEMENTING EBPs

- Clearly identify the problem and desired outcomes
- Search for the research that may help address the problem
- Assess the extent to which existing practices are consistent with identified evidence-based practices
- Develop an implementation strategy and put it to use
- Align business practices to support implementation
- Evaluate the impact of new practices on the desired outcomes

WHY DO EBPs FAIL?

- System that is unable or unwilling to practice true collaboration
- Failure to measure, reinforce, and hold everyone accountable for EBP
- Ineffective leadership
- Fidelity, fidelity, fidelity



COMMON “PLAYLIST”

- “I think I went to a training on that once.”
- “The assessment is somewhere in the file.”
- “I hate this QA stuff; too much paperwork and way too invasive.”
- “All they care about is if I meet standards.”
- “My boss says one thing and the judge says another.”
- “Just make your numbers look good.”
- “Why isn’t it happening; it’s in the policy?”
- “They do rehabilitation, we are law enforcement... we do custody and control.”

WHAT DO WE MEAN BY FIDELITY?

- *Program fidelity* is extent to which the defined core program elements of the intervention are provided as intended.
 - Correct program length?
 - Correct dosage?
 - Correct target population?
 - Adequate training of staff?

LIKE FOLLOWING A RECIPE

- If you give me your grandma's delicious chocolate cake recipe, I bake a cake from the recipe, and it tastes like sawdust, there are two relevant possibilities:
 1. I followed the recipe and your grandma's cake is yucky
 2. I failed to follow the recipe for your grandma's yummy cake



FIDELITY

- Fidelity has to do with the quality with which one implements a practice or intervention
- Fidelity is related to factors such as:
 - Commitment of leadership
 - Training of staff
 - Evaluation of staff

FIDELITY

- When university-inspired social programs are disseminated in communities, not only do they yield low penetration rates, but they also tend to degrade as a result of:
 - lower per-case funding levels
 - lower credentialing of staff
 - lower supervision
 - lower fidelity of implementation
- This is called the “scale-up penalty” and it is estimated at 50% (Welsh, Sullivan, and Olds 2010)
- For example, a 20% reduction in recidivism would fall to 10% when brought to scale

FIDELITY

➤ Process Evaluation:

- Did you follow the recipe?
- What deviations occurred?
- How can deviations be prevented in the future?

FIDELITY

➤ Outcome Evaluation:

- How did the cake turn out?
- Did you make progress towards your goals?



MAINTAIN FIDELITY THROUGH CONSTANT QUALITY ASSURANCE

1. Define your desired outcomes
2. Use logic models to connect actions to outcomes
3. Decide what to measure
4. Decide how to measure
5. Begin data collection
6. Analyze and report data
7. Put the data to use
8. Repeat



EXAMPLE: PROJECT GREENLIGHT

- Project Greenlight was an innovative, short-term, prison-based reentry program that drew extensively from the research literature
- An evaluation showed that participants had significantly higher rates of recidivism after one year (Wilson & Davis 2006)
- Project Greenlight was an 8-week program in New York State designed to improve post-release outcomes by 1) incorporating intensive multimodal treatment during incarceration and 2) providing links to families, community-based service providers, and parole officers after release

EXAMPLE: PROJECT GREENLIGHT

- Project Greenlight, as designed, included:
 - Cognitive skills component to change antisocial behaviors & thinking
 - Focus on employment, housing, drug relapse prevention, substance abuse awareness, linkages to community-based service, facilitating relationships with parole officers
 - Community coordinators that connected participants with providers
 - Family counselor & family specialist
 - Detailed release plan outlining steps to maintain success, developed by case manager & shared with PO



PROJECT GREENLIGHT: WHAT WENT WRONG?

- Reasoning and Rehabilitation cognitive skills program was designed for classes of 8 to 13, but generally held 26 participants and participants became disengaged
- The program was delivered in a shortened time-period, material crammed into meetings 4-5 days per week
- Tutor selection & training did not adhere to the suggested model
- Short-duration of the program seemed to create resistance & resentment without having time to realize a therapeutic effect
- Offenders without histories of substance abuse were required to attend substance abuse classes
- Some case managers had especially bad outcomes (research shows that working with “incompetent” counselors worsens outcomes)

PROJECT GREENLIGHT: WHAT WENT WRONG?

- Originally employed LSI-R to assess risk & need, but it was soon dropped as too cumbersome
- Program was broad-based, one-size-fits-all
- Cognitive skills program may not have been culturally appropriate for the largely inner-city minority population

Lesson learned: *The reality is that participating in poorly conceptualized, poorly implemented, or poorly run programs won't contribute to positive offender change.*

STAGES OF IMPLEMENTATION

1. Develop an agency-wide vision & process for evidence-based decision making (importance of leadership cannot be overstated)
2. Develop a plan to implement policy and procedural changes necessary to support the implementation of EBP (training, coaching, feedback loops, stakeholder communication)
3. Implement the EBP
4. Evaluate, assess, refine as needed

RECALL THOSE OBSTACLES TO IMPLEMENTATION?

- Coordination & planning: can take 2 to 4 years to implement an EBP and requires active involvement of many key stakeholders
 - How do you maintain momentum?
- Staff resistance to change: if they spent their whole careers developing their own intuitive approaches, change will be threatening
 - How is this obstacle overcome?

SOME SOLUTIONS: ALIGNMENT

- “Is the organization in alignment, so that people receive a consistent set of signals to reinforce behavior that supports the core ideology and achieves the desired progress?”

~Built to Last, Collins and Porras

KEY ELEMENTS OF ALIGNMENT

- Vision, mission, and values
- Strategic plan
- Policies & procedures
- Technology
- Budget
- Workforce development
- Communication
- Culture

CULTURE

- Develop a culture conducive to evidence-based work (leadership is essential)
- Definitions of culture:
 1. “The specific collection of values and norms that are shared by people and groups in an organization and that control the way they interact with each other and with stakeholders outside the organization.” (Hill & Jones 2001)
 2. “The way we do things around here.” (Balogun & Hailey)

CREATE A LEARNING CULTURE

- “Evidence-based management is conducted best not by know-it-alls, but by managers who profoundly appreciate how much they do not know.” (Pleffler & Sutton 2006)

COLLABORATION AND KNOWLEDGE BUILDING

COLLABORATION

- Collaboration is the process of working together to achieve a common goal that is impossible to reach without the efforts of others
- Ponder the question, “Why care?”
 - What’s in it for me?
- Patience: reform is extremely hard work
- Relationships and Trust
 - Understand the opportunities and constraints among partners

COLLABORATIONS ARE A FORUM FOR:

- Create a shared vision that supports the change effort
- Enrich the change process
- Cross-train and educate stakeholders
- Comprehensively identify, analyze, solve issues
- Reduce or eliminate barriers
- Shared information
- Reduce duplicative efforts
- Expand the capacity to achieve mutually beneficial goals
- Increase opportunities for success

COLLABORATION: THE IDEAL

- Collaboration in criminal justice addresses problem solving and solution development by bringing together stakeholders to:
 - Share information
 - Work toward the development of common goals
 - Jointly create policies to support those goals
- The collaborative process has to be perceived as fair, not dominated by one interest group, and accessible to all stakeholders (Carter et al. 2005)
- Stakeholders are defined as those who influence and have an investment in the criminal justice system's outcomes. (National Institute of Corrections)

BARRIERS TO COLLABORATION

- Power and control issues
- Absence of trust
- Fear of conflict
- Lack of commitment
- Lack of clarity in roles & responsibilities
- Unclear expectations
- Ineffective communication
- Lack of accountability for results

KNOWLEDGE SHARING

- Evaluating your use of EBPs and sharing your knowledge of the process and outcomes contributes to the profession
- In this sense, EBPs are a “public good”
- Finding practices that have evidence proving their effectiveness is one side of the coin
- Contributing to our knowledge of “what works”, “with whom” and “under what conditions” is the other side of the coin

COLLABORATION IN NEBRASKA

- Adoption of EBPs on a statewide basis requires:
 - Development of local expertise in EBP characteristics & implementation through some type of “resource center”
 - Structured involvement of all key stakeholders
 - All state & local agencies that can affect program requirements, funding, supervision, and flow of cases must be involved in the initiative (the absence or denial of support from any one of them can cause it to fail)
 - *Recruitment of champions*: expansion of EBPs in a state requires those who are willing to champion for it at the highest political levels (Greenwood & Welsh 2012)

HOW STATES CAN SUPPORT EBPs

- Special funding for designated EBPs
- Risk assessments guidance and support
- Program assessment and evaluation
- Assistance in needs assessment and program selection
- Initial piloting of new EBPs
- Technical assistance for EBPs

(Greenwood & Welsh 2012)



CONCLUSIONS

- A focus on “what works” will continue to be an emphasis of federal funding and political decisions Programs with proven effectiveness promote public safety and save public tax dollars
- Nebraska can aggressively pursue the adoption and effective implementation of EBPs or lag behind and risk the loss of future funding
- Questions?
- Comments?



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