

A Toolkit for Utah Juvenile Justice Practitioners

Utah Case Planning Toolkit



Extended Electronic Edition

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Overview of the Toolkit

Introduction

Since 1998, the [Utah Juvenile Court](#) and the [Utah Division of Juvenile Justice Services](#) (JJS) have collaborated to improve practices in working with delinquent youth by implementing [evidence-based practices](#) (EBP). The goal of this continuing process is to incorporate evidence-based practices into each component of the system and into each step of working with delinquent youth.

Utah began this transformation by creating and validating risk and needs assessments specific to the Utah juvenile population, such as the [Pre-Screen Risk Assessment](#) (PSRA) and the [Protective and Risk Assessment](#) (PRA). The next step was to develop a [Case Planning Model](#) incorporating the [“What Works” principles](#) of effective interventions.¹ Utah built upon these changes by training and certifying probation officers and managers in the Case Planning Model, and including the model into the [career track for probation officers](#). To sustain the model, Utah has developed internal capacity by recruiting and training internal case planning experts to provide ongoing training to probation officers and JJS case workers. Utah’s Juvenile Court has also collaborated with researchers in creating and implementing a continuous quality improvement process to evaluate the effectiveness of programs and interventions, and to provide feedback on outcomes to management and probation officers.

Purpose of the Toolkit

This toolkit is designed to provide in-depth information about the case planning approach used by Utah juvenile probation and Utah Division of Juvenile Justice Services. The toolkit is divided into six sections. The first section provides a brief overview of the Utah Juvenile Justice system and explains the relationship between evidence-based practices² and the “What Works” principles³, and how Utah’s Case Planning Model incorporates those principles. The next four sections outline each stage of the Case Planning Model by defining steps and processes within each stage, describing the caseworker’s duties, and explaining the importance of each step. These four sections also include tools and training materials applicable to the corresponding stage of the model. The last section of the toolkit includes a glossary of common EBP terms and information on other EBP resources.

The purpose of this extended edition of the toolkit is to assist practitioners to better understand Utah’s Case Planning Model and tools used to implement the model. This toolkit is primarily intended for Utah juvenile probation officers and JJS case workers, but can be used by management, judges, community partners, and other interested individuals.



Understanding Utah Juvenile Justice

Overview of the Juvenile Justice Process

The [Utah Juvenile Court](#) and [Juvenile Justice Services](#) are focused on providing appropriate consequences and interventions for offenders that will decrease the likelihood of future reoffending and provide restitution to victims without pushing juveniles further into the Juvenile Justice System. Many youth are diverted and held accountable or receive services prior to interaction with the juvenile court through such interventions as Youth Courts, Peer Courts, [Receiving Centers](#), or [Youth Services](#). Youth Courts and Peer Courts provide sanctions for minor offenses and are implemented and administered by local entities, which are not a part of the Utah Juvenile Court or Utah Division of Juvenile Justice Services. Receiving Centers provide a location for law enforcement to take youth after arrest for status offenses or minor delinquent acts, where Receiving Center staff work to locate parents/guardians, evaluate the youth's immediate needs for care, and provide referrals services. Youth Services provides assistance such as counseling, educational groups, and community referrals to youth who are experiencing family problems, have run away, are beyond the control of parents, or have committed other status offenses. These types of diversion interventions seek to address needs or provide consequences without further involving youth and families in the juvenile justice system.

Diversion may also occur after a referral to juvenile court. A youth may be referred to the Utah Juvenile Court by a variety of sources including law enforcement, schools, parents, or other concerned parties. A [youth may be held in detention](#) prior to his or her first contact with the court, or remain in the community. If a youth is held in detention, he or she has a hearing before a judge within two business days of intake and the youth is not usually eligible for diversion in the form of [a non-judicial closure](#).

If a youth is not in detention, he or she meets with a probation officer for a [preliminary inquiry](#). At this meeting, the probation officer determines whether the severity of the offense, prior criminal history, and other factors make the case appropriate to be handled by a judge or handled as a non-judicial closure by a probation officer. If the case receives a non-judicial closure, the youth receives sanctions through an agreement with probation. If the youth denies the allegations to the probation officer, [the case is handled in court by a judge](#). In court, a youth may admit or deny the allegations. If a youth admits to the offense or is found to have committed the offense, he or she receives sanctions from the court. If a youth denies the allegations, he or she has a right to a trial.

Services Provided by Probation

Utah juvenile probation provides case planning, case management, and supervision services for youth placed on formal probation. In addition, Utah probation manages intake cases, supervises work crews, handles non-judicial closures, and conducts classes and programs.

Services Provided by JJS

The Utah Division of Juvenile Justice Services (JJS) provides a wide variety of interventions for youth and families including such services and placements as case management, diversion, observation & assessment, home detention, Receiving Centers, Youth Services, community placements, secure facilities, and secure detention.

Using Effective Approaches

What are Evidence-Based Practices?

Evidence-based practices (EBP) are practices and approaches that have been empirically shown to improve offender outcomes and reduce recidivism through an emphasis on meta-analysis research, control of confounding variables through random assignment, and cross-site replication of results.⁴

What Are the “What Works” Principles?

The “What Works” principles are a set of evidence-based practices for reducing recidivism when working with delinquent youth. The “What Works” principles were developed based on more than thirty years of research, which suggested that programs and services had a higher success of reducing offender recidivism if four basic principles were implemented.⁵ These four principles are: **Risk**⁶, **Need**⁷, **Responsivity**⁸, and **Program Integrity**⁹, and they are often collectively referred to as the “What Works” principles of effective intervention.

Risk Principle

Interventions and services should be focused on moderate and high risk offenders and provide little intervention to low risk offenders. The intensity of services provided should match the youth’s risk to reoffend level, with the most intense services tailored to the youth with the highest risk to reoffend. Research shows that delivering high intensity services to low risk youth has the unintended consequence of increasing recidivism. Additionally, low risk youth should not be mixed with higher risk youth as it can result in peer contagion with low risk youth learning negative behaviors from higher risk youth.

Need Principle

The services provided should address criminogenic needs, which are dynamic, changeable factors most directly associated with delinquent behavior. Some examples of criminogenic needs are: pro-criminal peers, antisocial attitudes, substance abuse, and educational problems. Programs that reduce criminogenic needs are more likely to reduce recidivism.

Responsivity Principle

The services provided and the worker’s style should match the learning style of the youth. Additionally, treatment should vary according to the relevant characteristics of youth such as gender, culture, developmental stages, comprehension and reading levels, mental health diagnosis, motivation, etc.

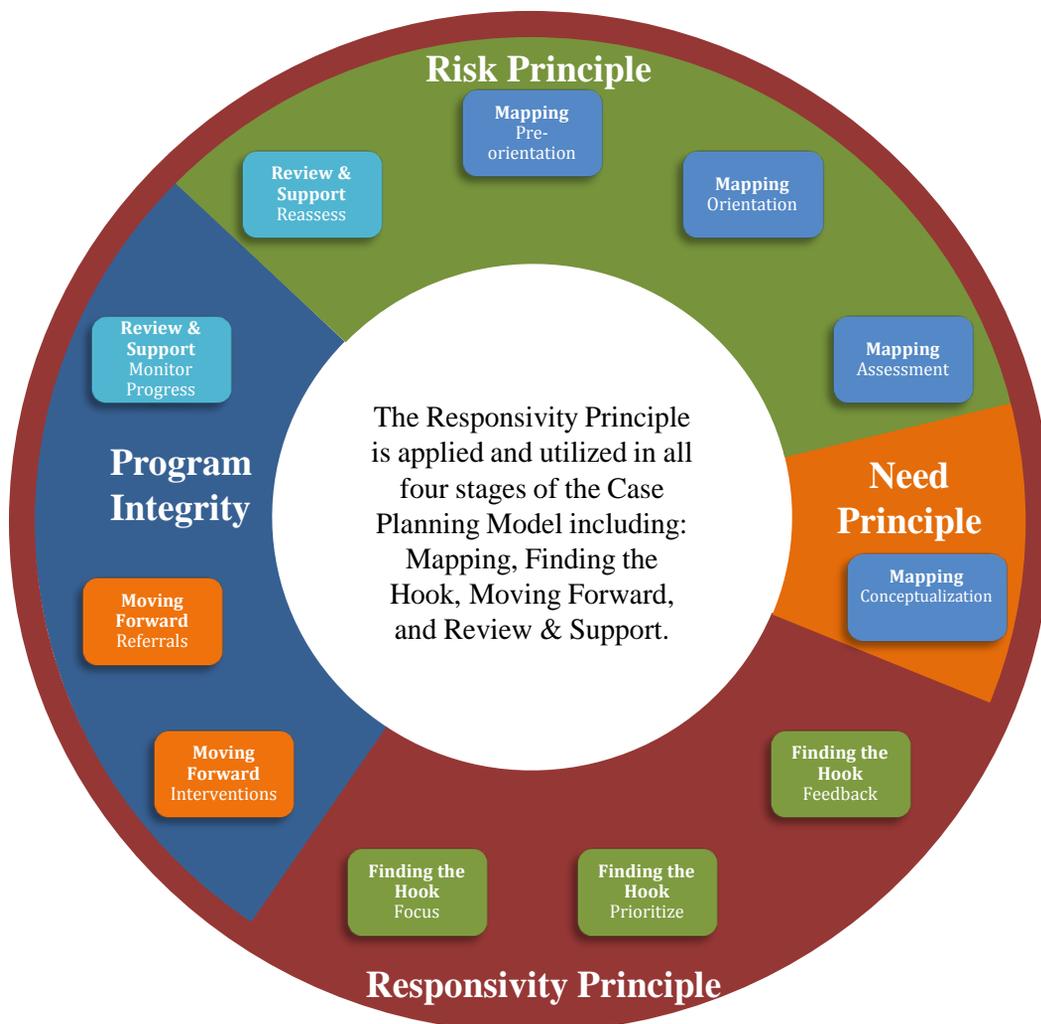
Program Integrity Principle

Programs should be monitored for implementation quality and treatment fidelity to ensure programs are delivered as designed and intended. This is necessary in order to maximize program success and recidivism reduction. Services should employ evidence-based treatment approaches such as cognitive behavioral theoretical foundations and reinforcement of pro-social behaviors. The programs should also be structured and focused on developing skills.

Understanding the Case Planning Model

What is the Case Planning Model?

The Case Planning Model is the approach workers use to assist delinquent youth in reducing delinquent behavior. The model consists of four major stages: Mapping, Find the Hook, Moving Forward, and Review and Support. Through **Mapping**, the worker gathers the information necessary to complete assessments and develop a **case plan**. In **Finding the Hook**, the worker engages the youth and family in creating an effective case plan. During **Moving Forward**, the worker assists the youth and family in receiving the appropriate services needed to develop competencies that reduce recidivism. Finally, in **Review and Support**, a continuous process of reviewing the youth's progress towards the behavior change is applied.



Utah's Case Planning Model applies evidence-based practices by incorporating the **"What Works" principles**¹⁰ into case work approach. Each core principle of this system suggests strategies that workers should consider regarding their respective roles in supporting the application of **evidence-based principles**. The Case Planning Model represents how the theoretical "What Works" principles¹¹ are integrated into every day practice.

Case Planning Model and BARJ

Why Does This Matter?

The juvenile justice system is more effective in reducing recidivism when evidence-based practices are implemented into the [Case Planning Model](#) and the needs of the victim, the community, and the offender are considered. [Evidence-based practices](#), such as the [“What Works” principles](#), and BARJ help workers identify effective approaches, and the Case Planning Model explains how these approaches should be translated into practice. Using this system enables workers to assist youth to successfully and permanently leave the juvenile justice system.

Balanced and Restorative Justice Model (BARJ)

The [Balanced and Restorative Justice Model \(BARJ\)](#) is a philosophical approach that focuses on the offender repairing the harm or damage that has been done to the victim and the community. The components of BARJ include competency development, offender accountability, and community safety. BARJ uses restorative justice principles to balance the needs of three parties:

1. Those identified as an offender or law violator
2. The crime victim
3. The affected community¹²

Are BARJ and EBP Compatible?

BARJ is a theoretical systems approach and the Case Planning Model is a set of practices. The EBP Case Planning Model transforms BARJ theories into practice. EBP and BARJ work in unison. Changing negative behaviors increases competency development and reduces recidivism, which increases community safety. By addressing risk factors and behavior change, the youth increases his or her accountability for negative behavior and accountability to victims and the community.



MAPPING



MAPPING:

Pre-Orientation and Orientation

What is Mapping?

Mapping is the process of gathering information necessary to complete assessments and develop a [case plan](#). Mapping involves Pre-orientation, Orientation, Assessment, and Conceptualization.

Pre-Orientation

Prior to meeting with the family, the worker reviews case information.

What do you do?

The worker begins pre-orientation by reviewing all documentation in the [C.A.R.E.](#) (Courts and Agencies Records Exchange) electronic file prior to the preliminary inquiry, probation, or JJS appointment. This includes a review of police referrals, evaluations, school information, case notes, prior case reports, court orders, and other documents.

Why is it important?

Effectively conducting pre-orientation increases the likelihood of accurate assessments, valid case plans, and referrals to appropriate interventions. The accuracy of these practices is critical in reducing recidivism.

Orientation

The worker introduces the youth and family to the system and describes the purpose of the meeting.

What do you do?

The worker begins orientation by preparing the youth and family for the court process. This typically happens at the initial meeting. The worker explains the youth's legal rights, the role of intake/probation/JJS, the purpose of the meeting, and general expectations. Additionally, the worker engages the youth and family by using effective interviewing skills in preparation to gather information during an assessment interview.

Why is it important?

The family is better prepared to participate in the court process. The worker starts developing a relationship with the youth and family, thereby reducing resistance.



MAPPING:

Assessment and Conceptualization

Assessment

The worker gathers information from the youth and family, which may include other professional assessments and information from collateral contacts. Two of the assessment tools used in the Utah juvenile justice system are the [Pre-Screen Risk Assessment](#) (PSRA) and the [Protective and Risk Assessment](#) (PRA). The PSRA is used to determine the youth’s risk to recidivate. The PRA is then used with moderate or high risk youth to identify protective factors and further determine intervention needs.

What do you do?

The worker uses a “behavior cycle” style of interview along with effective interviewing skills such as [OARS](#)¹³, to gather information needed to complete assessments. A Behavior Cycle includes the youth’s underlying attitudes and behaviors, and how the sequence of events led to the Presenting Offense Episode (POE). The Behavior Cycle is often referred to as “the story.”

Why is it important?

Understanding a youth’s risk level guides case planning. Completing accurate assessments is critical to the effectiveness of the [case plan](#) and selecting appropriate interventions.

FOR MORE INFORMATION:

[OARS](#) (Open Ended Questions, Affirmations, Reflections, Summaries) Pages 8-9
[Motivational Interviewing](#) Page 10

Conceptualization

The process by which the worker takes the gathered assessment information, focuses it, and integrates the results into a vision of a [case plan](#).

What do you do?

After conducting the [PRA](#), but before meeting again with the youth and family, the worker processes the information strategically by following the steps to conceptualize a case. Part of this process includes gathering information from the youth about incentives (what is important to the youth), which can be used to develop motivational strategies.

Why is it important?

Conceptualizing a case guides the worker in developing the case plan while incorporating evidence-based practices. Determining attitudes and behaviors that are connected to the offense and learning the youth’s incentives and protective factors shape the initial process of developing a case plan.

FOR MORE INFORMATION:

[Conceptualization Steps](#) Page 11
[Conceptualization/Behavior Cycle Worksheet Examples](#) Page 12-14

TOOLS FOR MAPPING

TOOLS FOR MAPPING



OARS: Open-Ended Questions, Affirmations, Reflections, Summaries

Open-Ended Questions

Affirmations

Reflective Listening

Summaries



Using OARS¹⁴ helps the worker in navigating a discussion with the youth, developing rapport and managing resistance.

Ask Open-Ended Questions¹⁵

Asking open-ended instead of closed-ended questions keeps the conversation flowing between the worker and the youth. An open-ended question is one that encourages the youth to take control of the direction of the reply, which can help the youth feel safer and better able to express themselves. Starting the conversation with several closed-ended questions is likely to cause the youth to answer in short phrases and to fall into a passive role waiting for the worker to ask for information. Conversely, by starting with open-ended questions, a worker sets an interested, open, and collaborative tone to the conversation. As such, the youth is more likely to provide honest and valuable information, explore issues of concern, and reveal what is most important. Open-ended questions often begin with *what*, *how*, or *why*.

Affirm the Youth¹⁶

In [Motivational Interviewing](#) (MI), affirmations are genuine direct statements of support that are usually directed at something specific and change oriented that the youth has done. These statements demonstrate that the worker understands and appreciates at least part of what the youth is dealing with and is supportive of the youth as a person.

For example:

- ✓ “I appreciate your honesty.” (if you know the youth is being honest)
- ✓ “I can see that it is important to you how your mother feels.”
- ✓ “Attending therapy regularly really shows your commitment.”

The point of affirmations is to notice and acknowledge the youth’s effort and strength, especially as it pertains to pro-social behaviors.

OARS: Open-Ended Questions, Affirmations, Reflections, Summaries

Listen Reflectively¹⁷

Listening reflectively and forming reflections is one way to be empathic. Listening reflectively is about being quiet and actively listening to the youth, and then responding with a statement that reflects the essence of what the worker thinks the youth stated.

The **first step** in using reflective listening is to *listen* carefully and think reflectively. The key to doing this is to think in terms of hypotheses. When the worker hears the youth say something, the worker forms a hypothesis or a best guess about what the youth means.

The **second step** is the action that results from the listening, which is forming reflections. It involves “guessing” by reflecting back what the worker thinks he or she heard. It is similar to asking: “Do you mean....?” but without putting words in question form. The intonation in reflection decreases at the end unlike the intonation in questions which increases at the end.

TYPES OF REFLECTIVE STATEMENTS:

Simple Reflection: The most basic acknowledgement of what the other person states. It is restating what the youth said without adding anything.

Complex Reflection: The worker paraphrases and reflects the underlying emotion from the youth’s statement instead of simply reflecting content.

Double-Sided Reflection: The intent of a double-sided reflection is to convey empathy and to capture both sides of a youth’s ambivalence. By using this type of reflection, the worker can reflect back the pros and cons of a change that the youth has hinted to or stated. The two sides of a youth’s ambivalence are typically joined by the phrase “on the other hand.” Double-sided reflections have the bonus of summarizing, as well as demonstrating that the worker heard the youth. Such reflections also provide the opportunity to bring together discrepant statements.

Provide Summaries¹⁸

Summaries serve several purposes:

1. Communicate that the worker has tracked what the youth said and that the worker has an understanding of the “big picture.”
2. Help structure the meeting so that the youth and the worker remain focused on important issues. The worker can also use summaries to link the youth’s current statements to information the youth offered earlier in the conversation.
3. Provide an opportunity to emphasize elements of what the youth has said. For example, providing summaries of the positive statements the youth has made about change (*change talk*) gives the youth another opportunity to hear what she or he has said in the context provided by the worker.

Motivational Interviewing

Motivational Interviewing (MI) is a style rather than a technique.¹⁹ MI is client-centered, empathetic, and yet directive interaction designed to explore and reduce inherent ambivalence and resistance, and to encourage self-motivation for positive change with youth in the juvenile justice system. Some of the main characteristics of MI are:

Collaboration²⁰: MI requires that the worker relate to the youth in a non-judgmental, collaborative manner. The youth's experience and personal perspectives provide the context within which change is facilitated rather than coerced.

Evocation²¹: The interviewer's tone is one of eliciting the youth's internal viewpoint rather than one of imparting wisdom, insight, or reality. The worker draws out ideas, feelings and wants from the youth. Drawing out motivation, finding intrinsic motivation for change and bringing it to the surface for discussion is the essence of MI.

Autonomy²²: Responsibility for change is left with the youth. Individual autonomy is respected. MI style communicates safety and support, first through an absence of confrontation or persuasion and second, by acceptance of the youth.

Roll with Resistance²³: Opposing resistance generally reinforces it. Resistance, however, can be utilized or reframed slightly to create a new momentum toward change. The worker does not directly oppose resistance, but rather rolls and flows with it. Reluctance and ambivalence are not opposed, but are acknowledged to be natural and understandable. The worker does not impose new views or goals, but invites the youth to consider new information and offers new perspectives.

The worker does not feel obliged to answer a youth's objection or resistance. In MI, the worker commonly turns a question or problem back to the youth, and relies on the youth's personal resources to find solutions to his or her own issues. Rolling with resistance includes involving the youth actively in the process of problem solving. Resistance is a signal for the worker to shift approach and how the worker responds influences whether resistance increases or diminishes.



Conceptualization Steps

Conceptualization is the process by which the worker takes the gathered assessment information, focuses it, and integrates the results into a vision of a [case plan](#). The overall goal of Conceptualization is to review the information from the [PRA](#) risk assessment and map the results with the intent to prepare the worker to provide feedback to the youth, family, and other relevant parties.

The following steps should be followed in developing an effective Conceptualization:

STEP 1. The worker reviews the Presenting Offense Episodes (POE) to ensure that it is correct and includes current offenses, probation violations, and violations of other rules. For example, a POE is “Beating up people and stealing things.” POE is stated in youth’s own terms and language the youth understand.

STEP 2. The worker identifies the youth's static and dynamic protective factors from the PRA. Some examples of protective factors are: having a pro-social friend, receiving good academic grades, or playing soccer in an organized community league.

STEP 3. The worker identifies incentives for the youth and/or family (things the youth and/or family value or want). It is important to note that incentives are identified only as possible sources for motivation, not as a focus for the correctional intervention. For example, the youth may want “more freedom in his life,” which the worker should use to motivate the youth, but not to build a case plan around.

STEP 4. The worker identifies the youth's Behavior Cycle. The Behavior Cycle documents the sequence of events, thoughts, skills, and attitudes that are linked (before, during, and after) to the POE.

STEP 5. The worker reviews the dynamic risk factors on the Conceptualization Worksheet and circles all possible items that fit into the Behavior Cycle. It may be necessary to review the youth's dynamic risk factors (STEP 5) and Behavior Cycle (STEP 4) several times to ensure that the risk items clearly fit with the Behavior Cycle.

STEP 6. The worker determines priority dynamic risk factors.

From the dynamic risk factors circled in STEP 5, the worker selects up to three dynamic risk factors that appear to have the most impact on the youth's Behavior Cycle. These are the priority risk factors.

The worker circles the [Stage of Change](#) for each of the listed priority risk factors.

The worker indicates whether Stage of Change status has to do with “lack of importance” (circle I) or “lack of confidence” (circle C). Stage of Change status may refer to the youth or the family depending on the item chosen.

Conceptualization Worksheet Examples

Protective & Risk Assessment (PRA) Conceptualization Worksheet

Step 1. POE From PRA

Physically fighting with
mom

Step 2. Protective Factors (What you've got going)

-She is passing morning
classes

-Teacher at school she likes

-Prosocial friend Hillary

-She chooses not to use
drugs

-Believes she has a future

-Feels close to brother

Step 3. Identify Incentives (What's important to you)

-She wants to be
independent

-She wants a relationship
with mom

-She wants to graduate high
school

-She would like a job

Step 4. Identify Youth's Behavior Cycle

-See attached

Conceptualization Worksheet Examples: Behavior Cycle

Behavior Cycle Example

"The Story from Katie Kennedy Interview:

STEP 1. Identify the Presenting Offense Episode:

Physically fighting between Katie and mom.

STEP 2. Identify Sequence of Events leading to delinquent behavior.

BEHAVIORS	ATTITUDES / SKILLS
<i>Physically fighting between Katie and mom</i>	<i>Doesn't know how to tell friends "NO"</i>
Identify Sequence of Events – Step Two "the story"	
Behaviors	Attitudes/Skills
<i>Woke up</i>	<i>School is important</i>
<i>Mother home - not employed</i>	
<i>Gets Katie/Sean to school</i>	
<i>Katie goes to AM classes</i>	
<i>Lunch time - walks through parking lot and runs into Harold / Trish</i>	<i>I'm so behind in my PM classes</i>
<i>Friends for last 18 months</i>	<i>No one at school cares if I'm here or not</i>
<i>Trish/Harold dropped out of school</i>	<i>Doesn't think about what will happen if she skips school</i>
<i>Goes to Trish's home</i>	<i>Doesn't think about consequences of no supervision</i>
<i>No supervision</i>	<i>Wants to be with friends</i>
<i>Friends using drugs</i>	
<i>Katie doesn't use</i>	
<i>Trish mom comes home</i>	<i>Doesn't think about consequences of driving with a guy who is using</i>
<i>Throws kids out</i>	<i>Not worried about going home.</i>
<i>Katie leaves with Harold</i>	<i>Thinks mom should not be able to tell her what to do.</i>
<i>Drives around until Harold goes to work</i>	
<i>Harold drops Katie off at home</i>	
<i>Mom at door</i>	<i>Katie thinks "You don't have the right to tell me what to do"</i>
<i>Mom - "IF you skip school again...can't live here."</i>	<i>Katie thinks "You are a loser and I am going to go in the house"</i>
<i>Katie pushes mom</i>	<i>Katie thinks "I will push past my mom and get to my room."</i>
<i>Mom pulls at Katie</i>	<i>Katie doesn't see another way to deal with mom.</i>
<i>Katie runs to room locks door</i>	
<i>Mom calls police</i>	

Conceptualization Worksheet Examples

STEP 5. Examine Criminogenic Need*

DOMAIN 05
Relations

- >>> DYNAMIC RISK ITEMS
 [32] Friends the youth spends time with
 [33] Does the youth admire or emulate
 [35] Amount of free time the youth
 [36] Strength of antisocial peer influence

DOMAIN 03
Use of Free
Time

- >>> DYNAMIC RISK ITEMS
 [60] Youth's current alcohol use

DOMAIN 07
Alcohol &
Drugs

- >>> DYNAMIC RISK ITEMS
 [6] number of unstructured recreation

DOMAIN 02
School

- >>> DYNAMIC RISK ITEMS
 [17] Does the youth believe school provides
 [21] Number of school activities the youth
 [22] Youth's conduct during the last 3 months
 [23] Youth's attendance during last 3 months
 [24] Youth's academic performance-GPA

<<<PSRA RISK LEVEL>>>

HIGH

GRADUATED SANCTIONS
SCORE=22

DOMAIN 10
Skills

- >>> DYNAMIC RISK ITEMS
 [85] Youth appropriately expresses
 [86] Consequential Thinking
 [87] Critical Thinking
 [88] Problem Solving
 [89] External Self Monitoring Skills
 [90] Internal Self Monitoring Skills
 [91] Youth sets clear steps

DOMAIN 08
Attitudes/
Behavior

- >>> DYNAMIC RISK ITEMS
 [75] Youth's sense of responsibility
 [76] Youth's empathy, remorse, sympathy
 [77] Youth's interpretation of the actions
 [78] Youth's view of pro-social rules
 [79] Youth's respect for authority figures
 [80] Youth's tolerance for frustration
 [81] Youth's belief in the use of verbal
 [82] Youth's belief in use of physical
 [83] Youth's "belief" that he or she

STEP 6. Identify Primary Criminogenic Need/Stage of Change

#23 Youth's attendance

Pre Contemp/Contempla/ Preparation/ Action [1/C]

#53 Current Level of Conflict

Pre Contemp/Contempla/ Preparation/ Action [1/C]

#86 Consequential Thinking

Pre Contemp/Contempla/ Preparation/ Action [1/C]

DOMAIN 06
Current
Living

- >>> DYNAMIC RISK ITEMS
 [43] Current family annual income
 [46] Number of current parental figures'
 [49] Number of people currently living
 [50] Current level of parental emotional
 [52] Does the current family provide
 [53] Current level of conflict between
 [54] Current parental supervision during
 [55] Youth's compliance with current parent
 [56] Appropriateness of consequences
 [57] Appropriateness of rewards

999999

Katie Kennedy
10/16/13

Dynamic Items + Conceptualization Worksheet

*On the worksheet below, dynamic risk items display partial text to illustrate how the worksheet prints from CARE. Refer to the PRA for the full list and complete text of dynamic risk items.

FINDING THE HOOK



FINDING THE HOOK

FINDING THE HOOK: Feedback and Prioritize

What is Finding the Hook?

Finding the Hook is the process of engaging the youth and family in creating an effective [case plan](#). Accomplishing case plan goals is difficult without the youth and family's "buy-in" and motivation. The worker uses the information gathered during [Conceptualization](#) to foster engagement. Finding the Hook involves the Feedback, Prioritize, and Focus steps.

Feedback

The worker uses strategic steps to review results of the conceptualized case with the youth and family.

What do you do?

Using effective [responsivity](#) skills, the worker reviews the previously conceptualized information with the youth and family, including the youth's incentives and protective factors. While re-telling their story to the youth and family, the worker highlights the identified risk factors and behaviors connected to the offense. Using the [C.A.R.E. feedback worksheet](#) may aid in this process.

Why is it important?

Feedback is a critical initial step in influencing the youth to buy into and choose steps towards the behavior change. This process is an opportunity for the worker to strategically guide the youth towards choosing appropriate risk factors during later steps in the Finding the Hook stage. It is also an opportunity for the youth to be heard and understood.

Prioritize

The process by which the worker guides the youth to select the risk item to work on.

What do you do?

Using the youth's words from "the story" (Behavior Cycle) reviewed in Feedback, the worker highlights the three identified [dynamic risk factors](#) and guides the youth in choosing one to focus on. The Behavior Cycle documents the sequence of events, thoughts, skills, and attitudes that are linked (before, during, and after) to the POE.

Why is it important?

Moderate and high risk youth present with many dynamic risk items. Prioritizing correctly makes the behavior change manageable and focuses on changing the behavior directly related to criminal offending. The youth's level of motivation and engagement in the behavior change process increases when the youth is allowed an opportunity for input.

FOR MORE INFORMATION:

[Finding the Hook Steps](#)

Page 17

[Feedback Worksheet Example](#)

Page 18

FINDING THE HOOK:

Focus

Focus

The process of [developing action steps](#) with the youth.

What do you do?

The worker assesses the level of motivation the youth has towards the selected dynamic risk item. This occurs after the youth identifies a dynamic risk item during the [Prioritize](#) step that he or she wants to work on first. The worker matches an appropriate strategy to the identified Stage of Change by using principles and strategies from Prochaska's [Stages of Change model](#).²⁴ The worker should focus on increasing the level of motivation and work towards developing *small, measurable, attainable, realistic, timely* (SMART) action steps.²⁵

The worker should document the identified risk item and the action steps in the C.A.R.E. electronic file case notes. Action steps are selected based on [barriers](#) toward making the behavior change. Barriers can be identified through the process of completing a situational analysis or a [Decisional Balance worksheet](#) with the youth.

Why is it important?

Behavior change occurs when the level of motivation increases and all barriers have been eliminated. It may be necessary to repeat the process and eliminate multiple barriers before any behavior change occurs. Once the youth is successful with the prioritized risk factor, the worker should repeat the process from the beginning with a new risk factor selected from the three factors identified during [Conceptualization](#).

FOR MORE INFORMATION:

Stages of Change Strategies	Page 19-21
Developing Action Steps Instructions	Page 22-25
Developing Action Steps Flowchart	Page 26
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Situational Analysis Example	Page 28



TOOLS FOR FINDING THE HOOK



TOOLS FOR FINDING THE HOOK

Finding the Hook Steps

Feedback Steps

The worker should:

1. Identify what brought the youth to court (*POE(s) in terms the youth understands or “people terms”*)
2. Identify “What’s important to you” (*Incentives*)
3. Identify “What you have going for you” (*Protective Factors/Strengths*)
4. Tell the “story” back to youth/family using their words

It is critical to “highlight” the identified risk factors from [Conceptualization](#) while telling the “story” back to the youth and family. Emphasizing these factors guides the youth to select a risk factor that is connected to offending behavior and that has the most impact on the youth’s [Behavior Cycle](#).

Prioritize Steps

The worker identifies how priority risk factors fit with the story (Behavior Cycle/Conceptualization process):

1. After telling the “story” back, the worker summarizes the three identified risk factors using the youth’s words.
2. The worker then asks: “_____ (*name of youth*) out of these three things (*name the identified risk factors in their words*) that seem to be leading you to _____ (*POE in “people terms”*), which is the biggest concern to you?”

Focus

The process of Focus starts once the youth **selects one of the identified dynamic risk items** during the process of Prioritize.

At this point, the worker already knows the [Stage of Change](#) on the selected identified dynamic risk factor from the Conceptualization process. Based on the youth’s Stage of Change specific to the selected risk item, the worker should choose a strategy to move the youth towards behavior change.

If the youth’s Stage of Change is [Contemplation](#) or [Preparation](#) (lack of confidence), the worker should consider using the [Decisional Balance](#) tool.

FOR MORE INFORMATION:

[Stages of Change Strategies](#)

Page 19-21

[Decisional Balance Instructions](#)

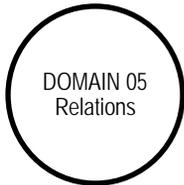
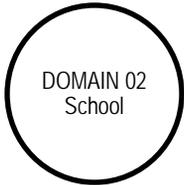
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[Decisional Balance Worksheets](#)

Page 30-31

Feedback Worksheet Example

Feedback Worksheet



Missing afternoon
classes

Fighting with
mom



What Brought You Here
<u>Fighting with mom</u>



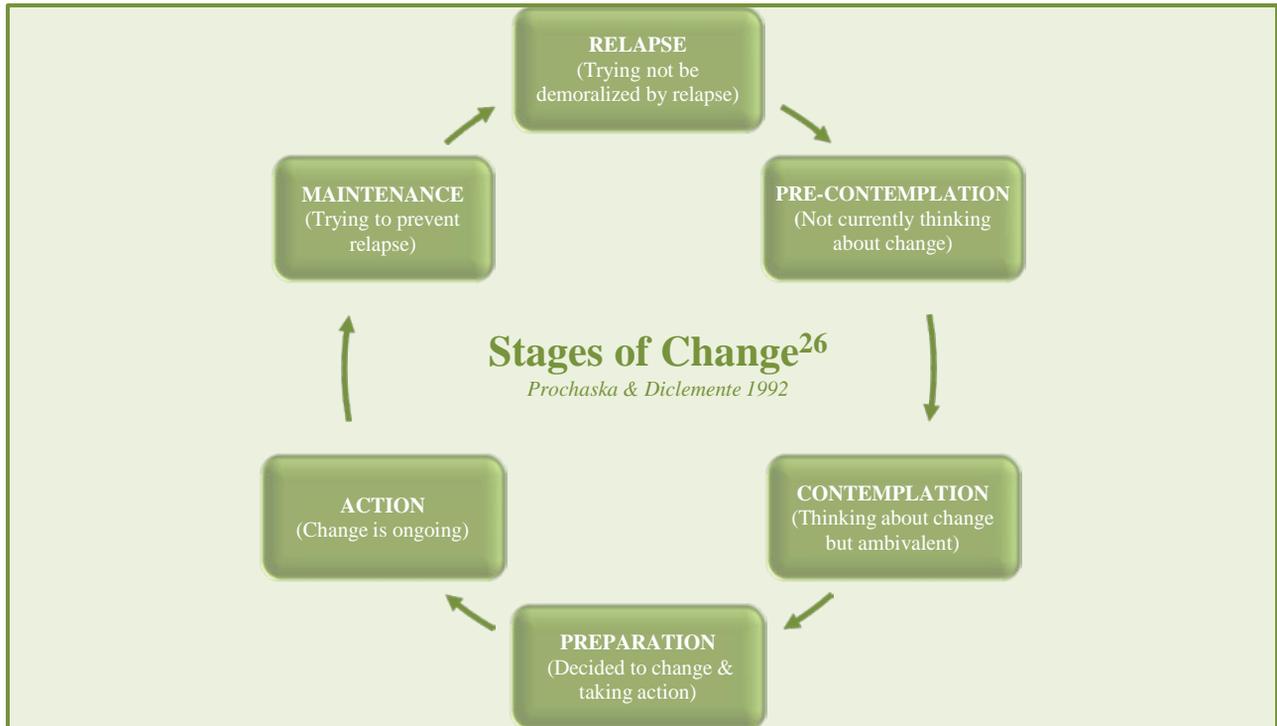
Didn't think what
would happen

Other Things To Think About
<u>Community Service</u>
<u>Fine</u>

What's Important To You
<u>-Independent</u>
<u>-Work out with mom</u>
<u>-Graduate</u>
<u>-Job</u>

What You've Got Going For You
<u>-Passing morning classes</u>
<u>-Teacher you like</u>
<u>-Don't use drugs</u>
<u>-Hope for future</u>
<u>-Like your brother</u>

Stages of Change



PRE-CONTEMPLATION²⁷

The youth is not currently considering change due to Lack of Importance.

Goal: Increase youth's perception of the problem.

Strategies:

- ✓ Ask questions to elicit concerns
- ✓ Reframe
- ✓ Develop discrepancies (utilize Incentives)

The worker should use [OARS](#) (e.g. "Tell me more...") with any strategy selected.

How to: The worker repeats and validates what the youth stated was important to him or her. The worker then points out the current behavior. This helps in raising the youth's level of awareness that the current behavior is conflicting with what is important to the youth.

Example: The youth states that graduating high school is important to her, but she is not attending her afternoon classes. To develop discrepancies, the worker can ask: "Katie, you told me that graduating high school is important to you, yet you are skipping your afternoon classes? Is that a concern for you?"

Stages of Change

CONTEMPLATION²⁸

The youth is ambivalent about change due to either Lack of Importance or Lack of Confidence. The youth is not considering change within the next month.

Goal: Increase problem recognition.

Strategies:

- ✓ Encourage evaluation of pros and cons of behavior change (e.g. use [Decisional Balance worksheet](#))
- ✓ Ask youth questions to identify a “typical day” that he or she did the behavior or did not do the behavior (looking for barriers)
- ✓ Validate lack of readiness and raise level of importance. Clarify that the youth holds the power in making a decision

The worker should use [OARS](#) (e.g. “Tell me more...”) with any strategy selected.

Example: An effective strategy to raise the importance level is the use of scaling questions. The worker can ask the youth: “On a scale of 1-10 how important is this for you? Why not a ___?” (choose a number different from the one indicated by the youth). The worker can use a number higher or lower than the number the youth identified.

PREPARATION²⁹

The youth has some experience with change and is currently trying to change. This stage involves commitment from the youth that he or she is planning to act within one month.

Goal: Assist youth in identifying the best course towards the behavior change.

Strategies:

- ✓ Identify and assist the youth in problem solving (carefully give options and advise)
- ✓ Identify [barriers](#)
- ✓ Help the youth in identifying his or her social support
- ✓ Verify that the youth has underlying skills for behavior change
- ✓ Encourage small initial steps
- ✓ Establish clear [action steps](#) (SMART)

The worker should use [OARS](#) (e.g. “Tell me more...”) with any strategy selected.

Stages of Change

ACTION³⁰

The youth is practicing new behavior for three to six months.

Goal: Support the change process.

Strategies:

- ✓ Measure progress
- ✓ Identify [barriers](#) and difficulties
- ✓ Establish next [action steps](#)
- ✓ Bolster self-efficacy for dealing with obstacles
- ✓ Combat feelings of loss and reiterate long-term benefits

The worker should use [OARS](#) (e.g. “Tell me more...”) with any strategy selected.

MAINTENANCE³¹

The youth has a continued commitment to sustaining new behavior (post six months to five years).

Goal: Develop skills for long term change.

Strategies:

- ✓ Identify high risk situations
- ✓ Identify support systems
- ✓ Develop a release plan
- ✓ Practice release plan
- ✓ Reinforce internal rewards

The worker should use [OARS](#) (e.g. “Tell me more...”) with any strategy selected.

RELAPSE

The youth resumes old behaviors.

Strategies:

- ✓ Evaluate triggers for relapse
- ✓ Reassess motivation and [barriers](#)
- ✓ Plan stronger coping strategies

The worker should use [OARS](#) (e.g. “Tell me more...”) with any strategy selected.

Developing Action Steps

Action steps are developed on barriers towards the behavior change. To be effective, action steps need to be SMART (Small, Measureable, Attainable, Realistic and Timely).³² Most youth do not progress towards the identified behavior change because there are too many things (barriers) getting in the way. A worker's role is to assist the youth in eliminating those barriers so the youth can make behavior changes.

STEP 1: The worker should start with the identified barrier from [Step 6 of the Decisional Balance worksheet](#), or a barrier that has been identified by the youth through a situational analysis.

Example: On the [Decisional Balance worksheet](#), Katie identified in step 6 that being alone in the parking lot on her way to lunch was the area of most concern.

STEP 2: The worker should use [OARS](#) and further discuss the barrier by using the [Situational Analysis](#).

Example: “Katie, you picked being alone walking through the parking lot for lunch as the area of biggest concern, tell me more about that.....”

The goal is to understand the specific situation and any thoughts or attitudes the youth may have about it. The worker should continue to assess level of motivation, listen for “[change talk](#),” and summarize what the youth states.

STEP 3: Once the worker gains a better understanding of the situation surrounding the identified barrier, the worker should ask the “**magic**” question #1: “**What would it take for you to _____?**” (*insert barrier*)

Example: “Katie, what would it take for you to not walk alone through the parking lot at lunch?”

This question sets up the exploration of the youth's level of motivation and the existence of additional barriers. The youth is likely to answer with an *idea* about what it would take, or the youth may use “*yeah buts*” (“*yeah but*” answers from the youth are indicators that there are more barriers). The worker can use one of the following strategies to respond:

Option A: If the youth uses “*yeah but*” answers, he or she is stating additional barriers. The worker should summarize the newly identified barriers and ask: “Out of these _____ (*list the barriers the youth stated*), which is the biggest concern to you?” (*narrow it down*)

Once the youth identifies one of the *new* barriers, the worker can ask the “**magic**” question #1 again: “**What would it take for you to _____?**” (*insert new barrier*)

The worker should continue this process until the youth provides an *idea of what it would take*. Once there are no more barriers or “*yeah buts*,” the worker should proceed to Option B.

Developing Action Steps

Option B: Once the youth is able to answer the question with an *idea* about what it would take for him or her to work on the barrier, the worker should follow up by using **OARS** (“tell me more about that.....”). The worker should seek to understand the youth’s *idea* and summarize what the youth states.

Example: Katie: “I may be able to meet up with my friend Hillary after 4th period.”
Worker: “Tell me more about meeting up with Hillary...”

After the worker processes the *idea* with the youth, the worker should ask the “**magic**” **question #2:** “**What could you do about _____?**” (*insert the youth’s idea*)

Example: Worker: “Katie, what could you do about meeting with Hillary after 4th period?”

This question sets up the process to develop the ACTION STEPS on the identified barrier. The worker should use **OARS** to develop the action steps.

Example: Katie: “I could maybe find her in the hallway after class.”
Worker: “You feel you could find her in the hallway after class.”
Katie: “Yeah probably.”

Once the youth gives an indication that he or she can do it, the worker should probe for any possible barriers. The worker should ask the “**magic**” **question #3:** “**Is there anything that might get in your way _____?**” (*insert action step*)

Example: Worker: “Is there anything that might get in your way or prevent you from finding Hillary after class?”

The youth is likely to answer: “No, I can do it” (commitment) or the youth may give possible things that may get in the way (more barriers).

Commitment: If the youth says “I can do it and nothing is getting in my way” or some other commitment statement, the worker should proceed to Step 4, making sure that action steps are **SMART**.

More Barriers: If the youth states something that may get in the way, the worker should continue to probe out those barriers until the youth gives a commitment and states that nothing will get in the way.

Example dialogue continued:

Katie: “The hallways are crowded and she might not see me and we may not exactly run into each other.”

Worker: “What could you do to make sure you can get together or find each other?” (“*magic question*” # 2 again)

Katie: “I guess I could tell her that I want to meet after class to go to lunch.”

Worker: “How would you tell her?”

Katie: “I could text her and ask her to meet me after class.”

Worker: “Is there anything that might get in your way of texting her?” (“*magic question*” #3 again)

Katie: “No, I can do that.” (*Commitment statement - move to Step 4*)

Developing Action Steps

STEP 4. The worker should assure that action steps meet the SMART (Small, Measureable, Attainable, Realistic and Timely) criteria.³³ To be effective, it is critical that youth work on small attainable plans. Youth also need a timeframe for accomplishing the plan and a clear understanding of what behavior is expected.

Example dialogue continued:

Worker: “Ok Katie, your plan is that you’re going to text Hillary and ask her to meet you after class so you can go to lunch together, and you feel pretty confident that you can do it.”

Katie: “Yes, I can do that.”

Worker: “When can you text Hillary?”

Katie: “I could text her tonight when I get home.”

Worker: “Is there anything that might prevent you from texting her tonight?”

The worker is again looking for either a commitment or more barriers. If the youth gives commitment, a SMART action step was developed. If the youth gives barriers, the worker should continue to work through them until the youth gives a commitment.

STEP 5. After getting a commitment from the youth about his or her actions steps and plan, the worker should summarize the process with the youth all the way back to the beginning. This step is important because it highlights again for the youth *WHY* he or she is working on changing the behavior. It is imperative to remember that people do not change a behavior if they do not have a reason to change, so the worker should remind youth of his or her [incentives](#). It is helpful to have the [Decisional Balance worksheet](#) (if completed) in front of the youth for reference on incentives.

The worker should start by summarizing the current action step/plan, transition to the behavior change, and end with incentives.

Example dialogue:

Worker: “Katie, if you text Hillary tonight like you plan and ask her to meet you after 4th period and go to lunch together, what would be good about that?” (*current action step*)

Katie: “I would probably stay for my afternoon classes.” (*behavior change*)

Worker: “What would be good about attending your afternoon classes?”

Katie: “I would raise my grades.” (*incentive*)

Worker: “What would be good about raising your grades?”

Katie: “I would graduate from high school.” (*incentive*)

Worker: “Raising your grades and graduating high school are things that you said are important to you.”

Worker: “I will call you on Thursday evening and see how your plan went.” (*opportunity to review progress*)

Developing Action Steps

STEP 6. This is the opportunity to review and monitor progress on the action steps that have been developed. Because a SMART action step was developed, a time period was established. The review reveals whether the youth was successful with the action step or not.

Successful: The worker contacts the youth for review of the action step. If the youth indicates that he or she was successful with the action step, the worker should continue to provide support, raise the level of motivation, and remind the youth of his or her incentives. The worker should regularly follow up with the youth and begin the process again with a *new barrier* (review [Conceptualization worksheet](#)).

Unsuccessful: The worker contacts the youth for review of the action step. If the youth indicates that he or she was not successful with the action step, it provides the worker with an opportunity to use [OARS](#) and review the plan. An unsuccessful action step is an indicator that there are more barriers. The worker should return to Step 2 and complete a [situational analysis](#) on how the youth was unsuccessful. After the situational analysis, the worker should continue on through the steps again.



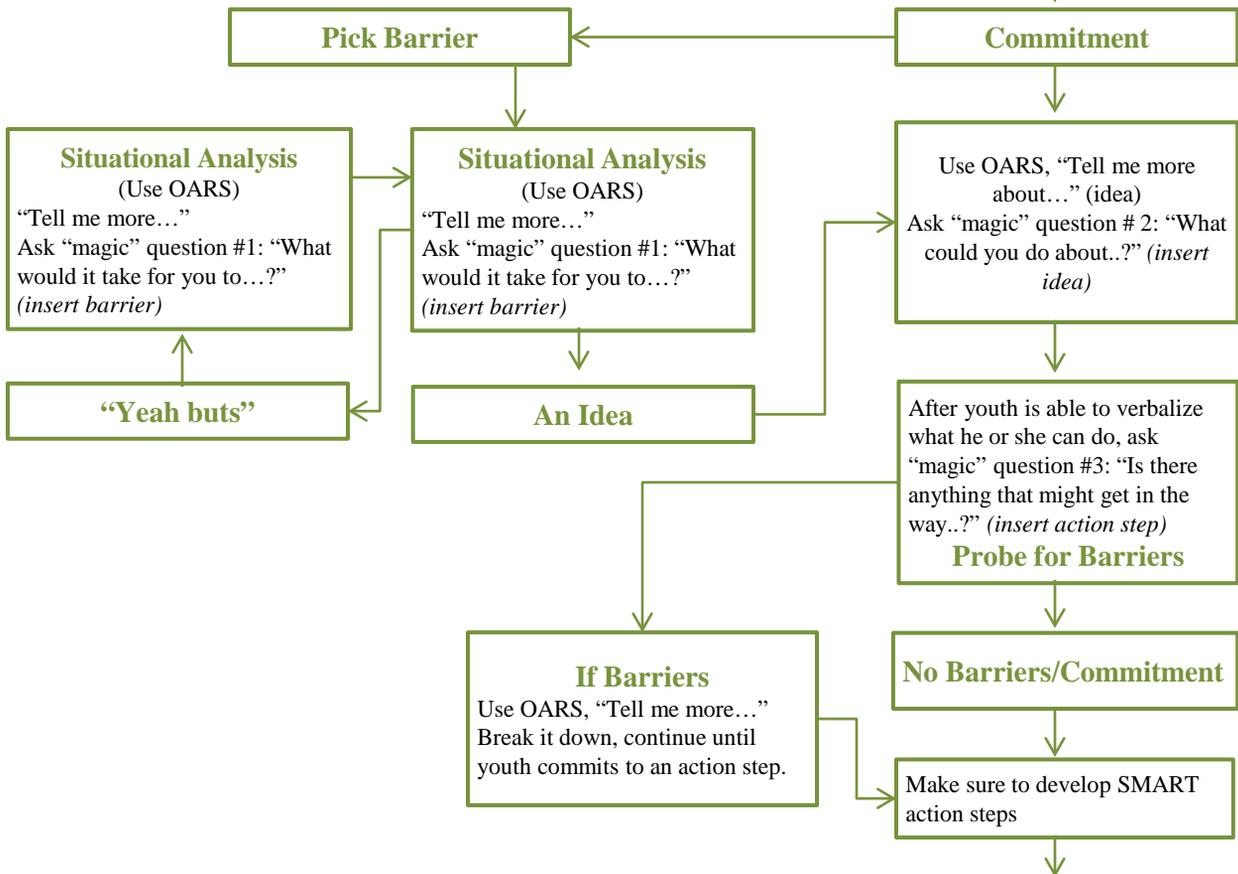
Developing Action Steps Flowchart

Finding the Hook

- ✓Feedback
 - ✓Prioritize
 - ✓Focus - Develop Action Steps - youth picks one of the Dynamic Risk Items
 - ✓“What Stage of Change is the youth in?” (identified on the Conceptualization Worksheet)
- ✓Match the correct strategy



Pre-Contemplator	Contemplator		Preparator/Action
Lack of Importance	Lack of Importance	Lack of Confidence	Commitment
Raise level of Awareness	Raise level of Awareness	Highlight Pros and Cons	Probe for barriers
Strategy: Build discrepancies until youth gives “change talk” and can see both sides (move to contemplator, lack of confidence).	Strategy: Build discrepancies until youth gives “change talk” and can see both sides (move to contemplator, lack of confidence).	Strategy: Use the Decisional Balance worksheet to identify the barriers. Pick one barrier (step 6).	Strategy: Carefully give options. Youth sets SMART action steps on the barriers.



Summarize all the way back: Use Decisional Balance worksheet

1. “If you do...” (Action Step)
2. “You will...” (Behavioral Change)
3. “Thus you will get...” (Incentives)

The goal is for youth to verbalize what he or she will gain from making the behavior change.

Decisional Balance Worksheet

Instructions

The worker introduces the Decisional Balance worksheet, and tells the youth that the goal is to explore his or her reasons for continuing the behavior and reasons for stopping the behavior. This worksheet helps the youth work through a “cost-benefit” analysis in regards to the behavior. The Decisional Balance tool also helps the worker establish actions steps on barriers that are hindering the youth’s ability to make a behavior change. This is a useful strategy if the youth has ambivalence ([Contemplation](#) or [Preparation](#) Stage of Change and Lacks Confidence).

This process is most effective if the youth completes the form and the worker only directs it. The worker should use [OARS](#) throughout the process.

TOP OF FORM

The worker should ask the youth to write down on the line (in youth’s words) the identified risk item that the youth selected from the [Focus](#) step in the Finding the Hook stage.

Example: Identified risk item: *School attendance*
In youth’s words: *Skipping School*

STEP 1: The purpose of this section is for the youth to explore the benefits of the current behavior.

Example question: “What do you like about _____?” (*fill in current behavior such as “What do you like about skipping school?”*).

The youth may answer the above question “I get to hang out with my friends.” On the form, the worker should direct the youth to write the words “hang out.”

The worker should then continue guiding the youth to list the benefits of the current behavior.

The worker should summarize benefits of the current behavior prior to transitioning to STEP 2.

STEP 2: The purpose of this section is for the youth to explore the concerns (problems) of the current behavior.

Example question: “What if anything concerns you about _____?” (*fill in current behavior such as “What if anything concerns you about skipping school?”*).

The youth may answer the above question: “My grades in those classes are not very good.” On the form, the worker should direct the youth to write the words “bad grades.”

The worker should then continue guiding the youth to list his or her concerns about the current behavior.

The worker should summarize concerns about the current behavior prior to transitioning to STEP 3.

Decisional Balance Worksheet

Instructions

STEP 3: The purpose of this section is for the youth to explore any concerns he or she has about changing the problem behavior. This section of the worksheet identifies the youth's [barriers](#).

Example Question: "Do you have any concerns if you were to _____?" (*fill in desired behavior such as "Do you have any concerns if you were to attend school?"*)

The youth may answer the above question: "My friends may tease me for not going with them." On the form, the worker should direct the youth to write the words "friends tease."

The worker should direct the youth to continue discussing the concerns as if the youth had changed the behavior.

Youths are frequently unable to verbalize concerns as if they had changed the behavior. In such cases, the worker can use a Situational Analysis, which is a process to evaluate the thoughts, attitudes and behaviors that lead to an outcome. Situational Analysis is similar to the Behavior Cycle, except that it is related to any situation discussed with the youth. Behavior Cycle is specific to the Presenting Offense Episode (POE).

SITUATIONAL ANALYSIS EXAMPLE

The worker should refer to the behavior identified by the youth and written on the top of the form and ask the youth to talk about a time when he or she did the behavior.

Worker: "Katie take me through the last time you skipped school."

Youth: "It was lunchtime, I was alone and walking through the parking lot after class. Trish and Harold came up to me and wanted me to leave with them."

Worker: (*summarize*) "You were alone at lunchtime and in the parking lot you met up with Trish and Harold."

The worker should ask the youth to write some of that conversation on the worksheet in a couple of words.

Worker: "Then what happened?"

Youth: "I went with them, and didn't go back to school."

The worker should again ask the youth to write some of that information on the worksheet in a couple of words and then ask about any thoughts or attitudes.

Worker: "Katie when they asked you to leave did you have any thoughts about that?"

Youth: "I thought it wasn't a big deal, the teachers don't care and I'm already so far behind."

The worker should then have the youth write some of those thoughts and attitudes on the worksheet.

Prior to transitioning to STEP 4, the worker should summarize the concerns about changing the current behavior as if the youth had already changed the behavior. Another option is for the worker to summarize the Situational Analysis and transition to STEP 4.

Decisional Balance Worksheet

Instructions

STEP 4: The purpose of this section is for the youth to explore any benefits of changing the behavior. This section of the worksheet identifies the youth's [incentives](#).

Example Question: “In what way would you benefit from ____?” (fill in the applicable behavior such as “In what way would you benefit from attending your afternoon classes and not going with friends?”)

The youth may answer the above question: “My grades would improve.” On the form, the worker should direct the youth to write the words “good grades.”

The worker should direct the youth to continue discussing the benefits as if the youth had changed the behavior.

Prior to transitioning to STEP 5, the worker should summarize the benefits of changing the current behavior as if the youth had already changed the behavior.

STEP 5: The purpose of this step is for the youth to select one of the benefits of changing the behavior listed in STEP 4 as the most important. The worker should remember that the goal is to help raise the youth's level of awareness and motivation to change a behavior.

After summarizing the benefits to changing the behavior at the end of STEP 4, the worker should ask: **“Out of these items that you have identified as being important to you if you changed the behavior, which is the most important?”**

Once the youth identifies one item, the worker should instruct the youth to circle that item on the form. The worker should then transition to STEP 6.

STEP 6: The purpose of this step is for the youth to identify one barrier to work on. There are usually many barriers to making a behavior change. As such, this is just a beginning of narrowing down concerns and focusing. In this section of the worksheet, the worker previously guided the youth to list barriers or things getting in the way of making the behavior change (STEP 3).

The worker should summarize those items again and ask: **“Out of these items that you identified as being a concern to you if you were to change the behavior, which is the biggest concern?”**

Once the youth identifies one item, the worker should instruct the youth to circle it on the form. If the youth has numerous items on their list, the worker may need to help the youth narrow the concerns to three items, and then have the youth select one. Once the youth selects the most important barrier, the worker has the information needed to set an action step on the selected barrier.

Following STEP 6, the worker should transition to developing action steps on the identified barrier.

Decisional Balance Worksheet

NOTE: Questions in each square of the worksheet are example questions workers can use to gather information on the benefits and concerns of current behavior and about changing the behavior.

Item Picked: _____ (*Identified Risk Item from the Focus step of Finding the Hook*)

<p>Stay The Same</p>	<p>Step 1: Benefits of current BEHAVIOR</p> <p>"What do you like about _____?" <i>(problem)</i></p> <p>"And what else?"</p>	<p>Step 2: Concerns about current BEHAVIOR</p> <p>"What if anything concerns you about the _____?" <i>(problem)</i></p> <p>"Does anyone else have any concerns about _____?" <i>(problem)</i></p>
<p>Change</p>	<p>Step 3: Concerns about CHANGING the behavior</p> <p>"Do you have any concerns if you were to _____?" <i>(behavior change)</i></p> <p>"What effects would _____ have on you?" <i>(behavior change)</i></p> <p>"What questions do you have if you were to _____?" <i>(behavior change)</i></p> <p>OR Try a Situational Analysis (a process to evaluate the thoughts, attitudes, and behaviors that lead to an outcome)</p> <p>Step 6: Summarize the items and then ask the youth to pick one that is the most concerning to him or her.</p>	<p>Step 4: Benefits of CHANGING the behavior</p> <p>"How do you think the _____ <i>(problem)</i> would improve if you were to _____?" <i>(behavior change)</i></p> <p>"In what way would you benefit from _____?" <i>(behavior change)</i></p> <p>"What would be good if you were to _____?" <i>(behavior change)</i></p> <p>Step 5: Summarize the items and then ask the youth to pick the most important.</p>

Decisional Balance Worksheet Example

Name: Katie Kennedy

Item Picked: skipping school

<p>Stay The Same</p>	<p>Step 1: Benefits of current BEHAVIOR</p> <p>Hangout Funner Teachers hate me Avoid work</p>	<p>Step 2: Concerns about current BEHAVIOR</p> <p>Bad grades Won't graduate Fight with mom Trouble with judge</p>
<p>Change</p>	<p>Step 3: Concerns about CHANGING the behavior</p> <ul style="list-style-type: none"> ✓ Lunchtime parking lot ✓ Alone ✓ Run into Trish, left school, can't catch up on school work <p>Step 6: Summarize the items and then ask the youth to pick one that is the most concerning to him or her (circled in Step 3).</p>	<p>Step 4: Benefits of CHANGING the behavior</p> <p>Better grades Graduate Off probation Less fighting with mom</p> <p>Step 5: Summarize the items and then ask the youth to pick the most important (circled in Step 4).</p>

NOTE: Worker used a situational analysis to gather information for Step 3.

After completing the Decisional Balance, transition to [Developing an Action Step](#) on the identified Barrier of being alone at lunchtime.

MOVING FORWARD



MOVING FORWARD

MOVING FORWARD: Interventions and Referrals

What is Moving Forward?

Moving Forward is the process of assisting the youth and family in receiving the appropriate services needed to develop competencies that reduce recidivism. Moving Forward includes Interventions and Referrals.

Interventions

Interventions are evidence-based resources used to target and match the identified risk item. As part of the quality assurance process, programs providing interventions are evaluated using the [Correctional Program Checklist](#) (CPC).

What do you do?

The worker selects an intervention that addresses the specific risk factors identified in the risk assessment. The worker continually assesses the level of motivation and works with youth to eliminate barriers while working towards identifying an appropriate intervention.

Why is it important?

Research has shown that using evidence-based interventions reduces recidivism. Matching interventions with identified risk items is critical to the effectiveness of the intervention. It is also important that the workers have a comprehensive knowledge of resources available in their area.

Referrals

The worker provides information about effective intervention programs, and educates the service providers about the targeted dynamic risk items.

What do you do?

The worker contacts the service provider and shares information from the [risk assessment](#) and/or the [case plan](#).

Why is it important?

Working in collaboration with the youth and the service provider increases the chance of successful behavior change.



MOVING FORWARD: Program Evaluation Process

What is the CPC Evaluation Process?

The Utah Juvenile Court utilizes an integrated program evaluation approach. This approach includes both an evaluation of the program utilizing the [Correctional Program Checklist \(CPC\)](#) and an analysis of outcome measures that examine changes in reoffending, attitudes, and behaviors.

Program Evaluation Process

The CPC is a program evaluation tool developed from research on [evidence-based practices](#). It contains items correlated with reductions in recidivism and provides a norm and standards across program types. Programs are evaluated annually and receive feedback on areas of success, areas of needed improvement, and guidance on how improvement should be achieved. The Utah Juvenile Court also collaborates with the University of Utah in order to provide ongoing research and technical support to programs to assist with improvement.

Program managers and administrators have access to an interactive website that provides program assessment results and outcome measures across time. The purpose of the Utah Juvenile Court's program evaluation process is to encourage continuous quality improvement and the effective implementation of evidence-based practices by programs.



REVIEW AND SUPPORT



REVIEW AND SUPPORT: Monitor Progress and Reassess

What is Review and Support?

Review and Support is the continuous process of reviewing the youth's progress towards the behavior change. Review and Support involves Monitoring Progress and Reassessing.

Monitor Progress

The worker reviews the youth's progress specific to the identified goals.

What do you do?

Through ongoing contact, the worker continues to assess the youth's level of motivation, works with the youth to eliminate additional barriers, and reinforces positive behavior changes.

Why is it important?

Monitoring progress enables the worker to determine if the youth is achieving pro-social goals and to make adjustments as needed.

Reassess

The process of updating the [PRA risk assessment](#) and [case plan](#), and reviewing progress.

What do you do?

The worker updates the PRA and case plan as outlined in the risk assessment policy. This process includes reviewing progress on action steps and barriers.

Why is it important?

Reassessing the PRA and the case plan enables the worker to obtain quantifiable data to determine if the youth is achieving desired results. This is also the time to review progress, make adjustments as needed, and establish new goals. Without continuous review and support from the worker, the youth's progress toward behavior change may be slower or stop altogether.



OTHER TOOLS



GLOSSARY OF TERMS

A

Action

One of the [Stages of Change](#). At this stage, the youth's ambivalence is gone; he or she begins to make changes by actively working the "plan" and finding ways to manage triggers and urges. The worker measures progress, identifies barriers and difficulties, and assists the youth to establish [SMART action steps](#).

Affirmation

A [component of OARS](#) that involves validating and providing direct statements to the youth, which contain positive words, encouragement, reinforcement, understanding and acknowledgment to help achieve his or her goals.

Ambivalence

An indicator of the [Contemplation Stage of Change](#). Here, the youth displays simultaneous conflicting feelings, hesitating and arguing against making changes while seeing some reasons to change. This is a precursor to positive behavior changes.

Assessment

The [third step of Mapping](#) in the Case Planning Model. Here, the worker gathers information from the youth, family, and collateral contacts in order to complete a [Pre-Screen Risk Assessment](#) (PSRA) or a [Protective Risk Assessment](#) (PRA).

B

Balanced and Restorative Justice (BARJ) Model

[BARJ](#) uses restorative justice principles to balance the needs of three parties: those identified as an offender or law violator, the crime victim, and the affected community. Components of BARJ are competency development, accountability, and community safety.

Barriers

Internal and external items and areas in a youth's life that prevent change. [SMART action steps](#) are developed on the barriers.

Behavior Cycle

A component of the PRA interview, it represents the youth's underlying attitudes and behaviors, and how the sequence of events led to the [Presenting Offense Episode](#) (POE). This cycle is often referred to as "the story."

Big Hammer

A non-motivational strategy that increases resistance. The worker gives an order or makes threats to encourage change in behaviors. The worker attempts to motivate the youth through shaming, power, distrust, retribution, vulnerability and external controls.

GLOSSARY OF TERMS

C

C.A.R.E. (Court and Agencies Records Exchange)

A [case management system](#) designed to be used by juvenile court judges, probation officers, JJS case workers, attorneys, and other parties. Its purpose is to manage data throughout the entire process of the youth and family's involvement with the juvenile court.

Case Plan

Also referred to as the [Probation Supervision and Correctional Plan \(PRBSCP\)](#), it is the plan created with youth's input that contains up to three dynamic risk factors that need to be addressed in order to change the targeted behavior. The plan also includes the [Presenting Offense Episode](#) (POE), the "story" (Behavior Cycle), patterns of behavior, youth's strengths and incentives, and court obligations.

Change Talk

An indicator of the [Contemplation/Preparation Stages of Change](#). The youth begins to express a desire, ability, reason, need, and commitment (DARN-C) or steps to make positive changes in his or her behavior.

Closed-Ended Question

Questions asked by the worker which allow a youth to answer with a simple "yes or no" or other brief answers. If used extensively, such questions prevent gathering of meaningful information.

Complex Reflective Statement

A [component of OARS](#) where the worker restates content of a statement, referring to the same meaning, but adds the emotions expressed by the youth.

Conceptualization

The [fourth step of Mapping](#) in the Case Planning Model, it is the process by which the worker takes the gathered assessment information, focuses it, and integrates the results into a vision of a [case plan](#).

Contemplation

One of the [Stages of Change](#) where the youth becomes aware he or she has a problem and change is necessary, but has conflicting feelings about making those changes. This is the stage of ambivalence and the youth either lacks confidence or importance to change. Here, the worker uses strategies to increase confidence or importance to move the youth to [Preparation](#).

Criminogenic Needs

Also referred to as dynamic risk items, these are dynamic, crime-producing factors that are strongly correlated with risk (e.g., anti-social attitudes, anti-social peer associations, substance abuse, lack of empathy, etc.).

GLOSSARY OF TERMS

D

DARN-C

Desire, Ability, Reasons, Need, and Commitment, these are indicators of [change talk](#) that assist the worker in evaluating the [Stage of Change](#).

Decisional Balance

Used with a youth in [Contemplation](#) who lacks confidence or with a youth in [Preparation](#). Using a [worksheet](#), the youth strategically works through positive and negative sides of current behavior and of changing the behavior. The worksheet is frequently used to identify barriers to behavior change.

Developing Discrepancies

A motivational strategy used with youth in the [Pre-Contemplation](#) and [Contemplation](#). Through questions and statements, the worker helps a youth to discover and identify ways in which the youth's behavior interferes with what he or she values and/or wants.

Discrepancy

The differences and contradictions between a youth's current behavior and his or her personal goals or values.

Domains

Sections of the [Protective Risk Assessment](#) (PRA) which include Delinquency History, School, Use of Free Time, Employment, Relationships, Environment in Which the Youth Was Primarily Raised, Current Living Arrangements, Alcohol and Drugs, Mental Health, Attitudes and Behaviors, and Skills.

Double-Sided Reflective Statement

[One of three reflective statements](#), it involves restating the content of a statement through acknowledgment and addressing the youth's ambivalence.

Dynamic Risk Items

Also referred to as criminogenic needs, these are changeable risk factors that are strongly correlated to a youth's delinquent behavior.

E

Evidence-Based Practices

Also known as [EBP](#), these are treatment and practices that have been proven by research to reduce recidivism and improve offender outcomes.

Evocative Question

A type of open-ended question and a [component of OARS](#) where the worker draws out information through questions, provoking the youth's internal viewpoint and causing him or her to think about problematic behaviors.

GLOSSARY OF TERMS

F

Feedback

The [first step of Finding the Hook](#) in the Case Planning Model, where the worker uses strategic steps to review results of the conceptualized case with the youth and family.

Finding the Hook

The [second phase of the Case Planning Model](#). This process involves engaging the youth and family in creating an effective [case plan](#) that encourages their “buy-in” and motivation. The worker uses the information gathered during [Conceptualization](#) to foster engagement. This process involves [Feedback](#), [Prioritize](#), and [Focus](#).

Focus

The [third step of Finding the Hook](#) in the Case Planning Model. It is the process of [developing action steps](#) with the youth to address the prioritized risk factor chosen by the youth.

I

Incentives

Part of conceptualizing the case and used during [Feedback](#), these are items, areas, or beliefs that a youth values, which can be used to encourage and influence motivation for change.

Interventions

The [first step of Moving Forward](#) in the Case Planning Model. They are evidence-based resources used to target the identified risk item.

L

Lack of Confidence

A characteristic of the [Contemplation](#) and [Preparation](#) Stages of Change. Here, the youth is thinking about changing behavior, but is uncertain how and believes he or she is incapable of making those changes. Common strategies a worker can use to encourage change are to probe pros and cons, rewards and barriers, use [OARS](#), use the [Decisional Balance](#) tool, etc.

Lack of Importance

The youth does not recognize the value of changing his or her behavior. Common strategies a worker can use to encourage change are to elicit concerns, [develop discrepancies](#), use [Situational Analysis](#), and use reframing. The [Pre-Contemplation](#) Stage of Change always indicates a lack of importance to change, but lack of importance can also be a characteristic of the [Contemplation](#) stage.

GLOSSARY OF TERMS

M

Maintenance

[One of the Stages of Change](#), in which the youth maintains new behavior for at least six months. The youth develops and maintains skills for the purposes of long term change and managing future problems. The worker identifies high risk situations and offers support in helping the youth to develop and practice a plan.

Mapping

The [first phase of the Case Planning Model](#), it is the method of gathering information necessary to complete assessments and a [case plan](#). Mapping consists of [Pre-Orientation](#), [Orientation](#), [Assessment](#), and [Conceptualization](#).

Motivation

A youth's internal and external forces that work together in order to facilitate change. Motivation predicts behavior and it is changeable. Powerful incentives to motivate are often intrinsic (e.g. family, children, friends, employment, or gaining respect for self).

Motivational Interviewing

[A client centered way of interacting](#), listening, and looking for ways to direct interaction toward positive talk, building internal motivation, reducing resistance, raising discrepancies, eliciting change talk, and enhancing the youth's willingness to change.

Moving Forward

The [third phase of the Case Planning Model](#), Moving Forward is the process of assisting the youth and family in receiving the appropriate services needed to develop competencies that reduce recidivism.

N

Need Principle

One of the [“What Works” principles](#), it focuses on [criminogenic needs](#) (dynamic risk items), which are dynamic, changeable needs associated with offending behavior (POE).

O

OARS

[Open-ended Questions](#), [Affirmations](#), [Reflections](#), and [Summaries](#), these are interviewing skills used by a worker to effectively gather information and motivate the youth to commit to behavior change.

Open-Ended Question

Questions asked by a worker requiring longer and more detailed answers that encourage the youth to explore, elaborate, and open up.

Orientation

In this [second step of Mapping](#), the worker explains case planning and the juvenile justice system to the youth.

GLOSSARY OF TERMS

P

Prioritize

In this [second step of Finding the Hook](#), using the youth's words from "the story" reviewed in [Feedback](#), the worker highlights the three identified dynamic risk factors and guides the youth in choosing one to focus on.

Pre-Orientation

The [first step of Mapping](#) in the Case Planning Model, it is the process of reviewing documentation in the [C.A.R.E.](#) electronic file prior to meeting with the youth and family.

Pre-Screen Risk Assessment (PSRA)

[The assessment](#) used to determine a youth's risk of reoffending.

Pre-Contemplation

[One of the Stages of Change](#) where the youth does not believe that his or her behavior is problematic (Lack of Importance) and as such, does not see a need to change the behavior. The worker uses strategies to increase problem awareness and [build discrepancies](#) in order to move the youth to the [Contemplation](#) Stage of Change.

Preparation

[One of the Stages of Change](#), here the youth prepares for change by making "a plan," asking questions, and pursuing small initial steps toward the "plan." The worker identifies and discusses the youth's barriers, and works with the youth to set action steps in the process of change.

Presenting Offense Episode (POE)

It is the current delinquency incident that brought the youth into the juvenile justice system, including information on what led the youth to commit the offense (Behavior Cycle or "the story").

Probing

A type of open-ended question, it is a strategy used in the [Contemplation](#) Stage of Change to elicit change talk.

Program Integrity Principle

One of the ["What Works" principles](#), it involves monitoring implementation quality and treatment fidelity to ensure programs are delivered as designed and intended. This is necessary in order to maximize program success and recidivism reduction.

Pro-Social

Positive ways in which a youth is involved with society, these are used in the assessment interview.

Protective Factors

Positive items or areas in a youth's life as identified by the [PRA](#) or other sources, these are used in [conceptualizing the case](#) and in [Feedback](#).

Protective Risk Assessment (PRA)

[An assessment tool](#) that combines static, dynamic, and protective factors used to determine risk and intervention needs.

GLOSSARY OF TERMS

R

Reflective Statement

A [component of OARS](#), here the worker actively listens and provides statements of repetition, rephrasing, paraphrasing, and reflecting what is heard from the youth. This disarms, affirms, and guides the conversation to continue. Reflective statements can be [Simple](#), [Complex](#), or [Double-Sided](#).

Referral

The [second step of Review and Support](#) where the worker refers youth to effective interventions, and educates service providers about the targeted [dynamic risk items](#).

Relapse

[One of the Stages of Change](#) where the youth revisits old negative behaviors after maintaining the behavior change for a prolonged period of time.

Resistance

The youth opposes, objects or demonstrates a lack of willingness to change the negative behavior.

Responsivity Principle

One of the [“What Works” principles](#). The services provided and the worker’s style should match the teaching style to the learning style of the youth. Additionally, treatment should vary according to the relevant characteristics of youth such as gender, culture, developmental stages, motivation, mental health diagnosis, history of physical or sexual abuse, etc.

Review and Support

The [fourth phase of the Case Planning Model](#), it is the continuous process of reviewing the youth’s progress toward the behavior change and reassessing the [PRA](#) and the [case plan](#).

Righting Reflex

A non-motivational strategy that increases resistance. The worker attempts to solve the youth’s problems.

Risk Factors

Static or dynamic items or areas in a youth’s life that contribute to negative behavior.

Risk Principle

One of the [“What Works” principles](#), it identifies and targets high risk offenders. Intensity of services provided should mimic the youth’s risk to reoffend, with the most intense services tailored to the highest risk youth. Little or no intervention should be provided to low risk youth and they should not be mixed in interventions with higher risk youth.

Road Blocks to Motivation

A non-motivational strategy that increases resistance. Discouraging youth’s motivation to change through ordering, warning, arguing, lecturing, judging, blaming, shaming or giving advice.

Roll with Resistance

A type of effective interviewing style. Here, the worker finds different ways to respond when a youth challenges the need for change.

GLOSSARY OF TERMS

S

Scaling Questions

A strategy used to assess the level of motivation and [Stage of Change](#). The purpose of using these questions is to establish if the youth is “ready, willing, or able” to begin making changes. The worker begins asking open-ended questions (“on a scale of 1 to 10”) in order to capture ambivalence and to allow an open discussion about the youth’s stage of change.

Simple Reflective Statement

[One of three types of reflective statements](#), it involves restating the content of a statement to reflect the same meaning in a different way.

Situational Analysis

The youth’s underlying attitudes and behaviors, and how the sequence of events led to the behavior, are addressed in a specific situation. It is similar to the [Behavior Cycle](#), except that it is related to any situation discussed with the youth. Behavior Cycle is specific to the [Presenting Offense Episode](#).

SMART Action Steps

Small, measurable, attainable, realistic, and timely action steps that are based on barriers to behavior change.

Stages of Change

[Prochaska and Diclemente’s model](#) that outlines the behavior change process. The Stages of Change are [Pre-Contemplation](#), [Contemplation](#), [Preparation](#), [Action](#), [Maintenance](#), and [Relapse](#).

Static Risk Factors

Negative areas of a youth’s life that cannot be changed.

Story

A component of the PRA interview involving the youth’s underlying attitudes and behaviors, and how the sequence of events led to the [Presenting Offense Episode](#). Also referred to as the [Behavior Cycle](#).

Summarizing

A [component of OARS](#). Here, the worker gathers information, reviewing and emphasizing the important points made by the youth.

W

“What Works” Principles

Four principles shown by research to increase the effectiveness of interventions. The four principles are: [Risk](#), [Need](#), [Responsivity](#), [Program Integrity](#), which are referred to as the “What Works” principles of effective intervention.

Resources

Listed below is a collection of resources that provide additional information on specific aspects of the case planning model and the use of evidence based practices in probation

The Achilles Heel of Evidence-Based Practices authored by W.D. Burrell. Available at: www.napehome.org.

Cutting Recidivism: What Works and What Doesn't authored by E. Latessa. Available at: <http://www.the-slammer.org/carousel/cutting-recidivism-what-works-what-doesn%E2%80%99t>.

What Works and What Doesn't in Reducing Recidivism: The Principles of Effective Intervention authored by E. Latessa. Available at: http://www.txcorrections.org/PDF/Dr._Latessa_What_works_and_What_Doesn%27t_in_Reducing_Recidivism.pdf

Exploring the Black Box of Community Supervision authored by J. Bonta, T. Ruge, T. Scott, G. Bourgon, & A. Yessine in *Journal of Offender Rehabilitation*, Vol. 47 (3), 248-270. Available at: <http://www.colorado.gov/ccjdir/Resources/Resources/Ref/OffenderRehabilitation2008.pdf>.

Guide for Implementing the Balanced and Restorative Justice Model from the *Office of Juvenile Justice and Delinquency Prevention, Department of Justice (OJJDP)*. Available at: <http://www.ojjdp.gov/pubs/implementing/intro.html>.

Implementing Evidence-Based Practices authored by F. Domurat & M. Carey of *The Carey Group*. Available at: <http://www.cepp.com/documents/Implementing%20Evidence%20Based%20Practices.pdf>.

Interventions for High-Risk Youth: Applying Evidence-Based Theory and Practice to the Work of Roca from the *Crime and Justice Institute at CRJ*. Available at: <http://cjinstitute.org/publications/highriskyouthroca>.

Overview of Motivational Interviewing. Available at: <http://www.motivationalinterview.org/Documents/1%20A%20MI%20Definition%20Principles%20&%20Approach%20V4%20012911.pdf>.

Reducing the Harm: Identifying Appropriate Programming for Low-Risk Offenders authored by C. Lowenkamp, P. Smith, K. & Bechetel in *Corrections Today*, Vol. 69 (No. 6). Available at: <http://www.aca.org/publications/pdf/Lowenkamp.pdf>.

Rehabilitating Criminal Justice Policy & Practice authored by D.A. Andrews & J. Bonta in *Psychology, Public Policy, and Law*, Vol. 16 (No. 1), 39-55. Available at: [http://www.hsicc.on.ca/Uploads/Rehabilitating%20criminal%20justice%20policy%20and%20practice%20\(Feb%202010\).pdf](http://www.hsicc.on.ca/Uploads/Rehabilitating%20criminal%20justice%20policy%20and%20practice%20(Feb%202010).pdf)

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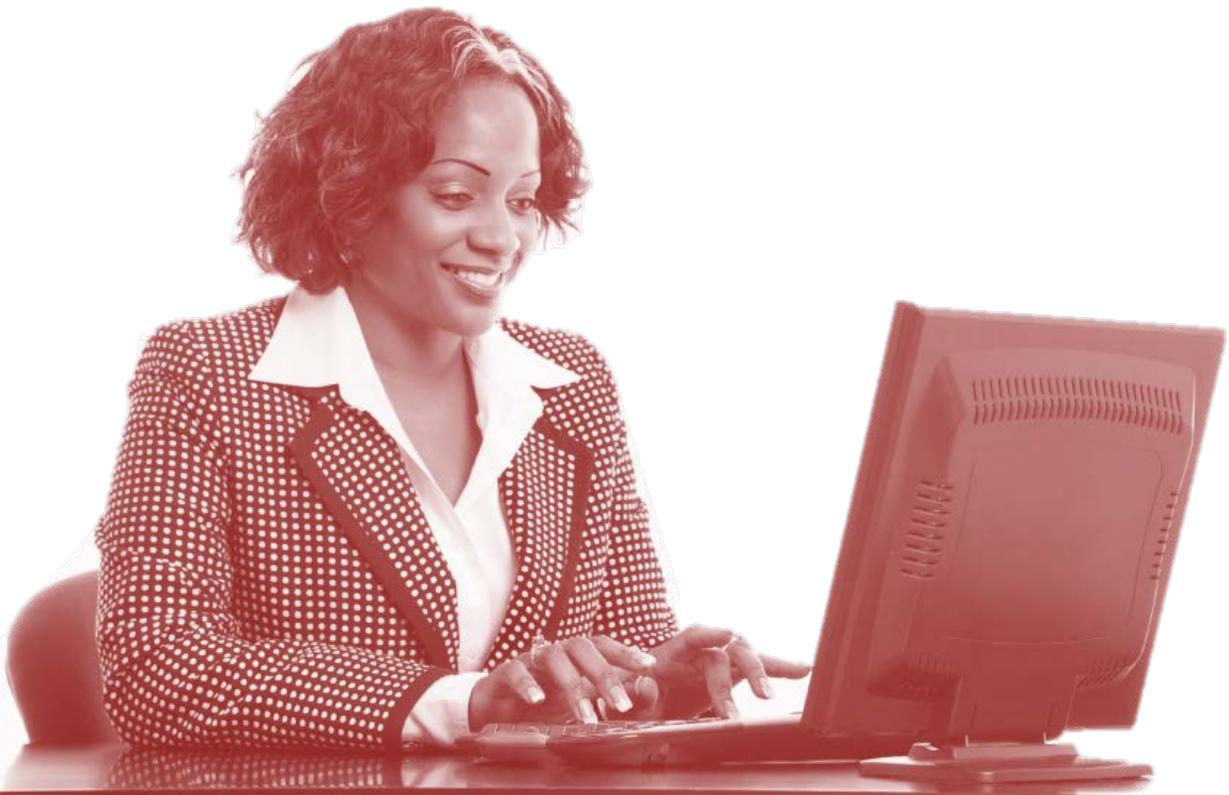
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