

JSTEPS

**Using Structured Rewards and Sanctions
in Justice Supervision Programs**

5/27/2010

Purpose of this Manual

JSTEPS is designed as a tool to adapt an evidence-based practice of Contingency Management into supervision and specialized court settings. This training manual is designed to provide users with the practical information necessary to implement the JSTEPS protocol in various justice settings. A particular focus of this manual is the use of the JSTEPS software to support the structured behavioral contract, sanctions, and rewards that define contingency management interventions.

The JSTEPS model is a modified version for justice settings based on several prior studies that have established the efficacy of improved supervision based protocols: Step ‘n Out study (Principal Investigator, Peter Friedmann, MD, MPH) which featured collaborative behavioral management (CBM) procedures; seamless systems of care (Principal Investigator, Faye S. Taxman, Ph.D.); and drug treatment courts (see Arabia, Fox, Caughey, Marlowe, & Festinger, 2008) for rewards and sanction procedures). Many of the protocols included in this manual involve adaptations of these prior studies, including contracts, structured sanctions, structured rewards, and policies to support the procedures.

Project Team

Faye S Taxman, Ph.D.
Anne Rhodes, ABD
Danielle Rudes, Ph.D.
Shannon Portillo, Ph.D.
Amy Murphy, M.P.P.
Nicole Jordan, M.S.

With consultation
Maxine Stitzer, Ph.D.
Peter Luongo, Ph.D.
Peter Friedmann, MD, MPH
Sandy Ressler, M.F.A.

Acknowledgements

This manual is funded with a cooperative agreement from the National Institute on Drug Abuse under U01 DA 16213, Advancing Treatment in the CJS; *CJ-DATS is funded by NIDA in collaboration with: SAMHSA, CDC, NIAAA, and BJA.*



Participating Locations:

U.S. District Court, Hawaii
U.S. District Court, Massachusetts
U.S. District Court, Missouri
U.S. District Court, Nevada
U.S. District Court, North Carolina

Contents

Chapter 1	6
Study Aims & Goals	6
Project Summary	7
Core Principles of Contingency Management	8
Chapter 2	12
Overview of JSTEPS Process	12
JSTEPS.....	13
The Nature of Behaviors & the Contract	16
Contracting for Behavior.....	17
Behaviors and the Contract	18
Basic Behavior Requirements	18
Orange Behaviors.....	19
Target Attendance Behaviors: Yellow Zones	20
GREEN or SUPPORTING TARGET behaviors	21
Chapter 4	23
The Initial Session.....	23
Define Roles: The Role Induction Process	25
Clarifying Requirements.....	27
Eliciting and Addressing Misperceptions.....	28
Instill Hope	29
Reinforcing Client/Offender for Work Done in Session & Checking-in.....	30
Eliciting and Problem-Solving Barriers	30
Eliciting a Commitment to Follow Contract.....	31
Chapter 5	34
Rewarding Positive Behaviors.....	34
Rewards: the Model	35
Milestones: Hitting the “Jack Pot”	37
Graduated Positive Social Responses	41
Graduated Positive Material Responses	42
Delivery of Reward	42

Chapter 6	46
<i>Sanctions: Rules of “Engagement”</i>	46
Noncompliance and Sanctions	47
Suspension Procedure	48
Sanction Schedule	48
Chapter 7	52
Monitoring the Contract & Troubleshooting	52
Client Contracts.....	53
Chapter 8	57
Developing the Rewards and Sanctions.....	57
Worksheet for Rewards and Bonuses.....	58
Appendix A: References	72
Appendix B: List of Key CM Articles	74

Chapter 1

Study Aims & Goals



Project Summary

Justice Steps (JSTEPS) is designed as an adapted Contingency Management (CM) protocol for justice settings that tailors responses to offender behavior to the needs of the individual. CM involves three main steps: 1) a behavioral contract specifying target behaviors that support certain goals (abstaining from drugs, remaining crime-free); 2) a systematic reinforcement of target behaviors with rewards to encourage positive behaviors; and 3) the use of swift and certain responses where the value of the response increases to sustain the effects. Rewards have been used widely in treatment programs and have been shown to successfully change the targeted behaviors of substance abusers, including decreasing the number of positive drug tests and increasing treatment attendance.

A similar process is recommended for justice settings, including courts and supervision, with the core principle of managing offender behavior through the use of swift and certain rewards and sanctions (Taxman, Shepardson, & Byrne, 2004). Drug treatment courts have recommended the use of structured sanctions and rewards as a key component (National Association of Drug Court Professionals, 1997). The underlying notion is that changes in behavior are more likely to occur if the response to behaviors is either an incentive towards key desired goals or a sanction of negative behaviors. In the general criminal justice or correctional setting, the tendency has been to focus on the long-term goals of being crime and drug-free, whereas the clinical literature emphasizes the small steps needed to obtain such long-term goals. These small steps are referred to as target behaviors, or the incremental steps to become crime or drug-free.

Developing and implementing CM in justice settings is the purpose of JSTEPS. In this study, through funding from the National Institute on Drug Abuse, George Mason University (GMU) will partner with participating study site teams. Each site will have a team that consists of representatives from: probation, judiciary, prosecutors or U.S. Attorney's, defenders, treatment providers, and possible other key partner agencies. The team will collectively develop the policies that guide the incentives and sanctions, and then participate in using these graduated approaches. The JSTEPS software will assist with the implementation of the protocol by providing a mechanism to develop behavioral contracts, calculate points, acknowledge when rewards should be given, and provide charts and graphs to illustrate progress.

Core Principles of Contingency Management



CM utilizes reinforcement procedures to systematically modify behaviors in a positive and supportive manner (Petry, 2000).



Behavior is a function of consequences. What people do and how they behave is predictable based on the way in which consequences to their behavior have been doled out before.



When an action is followed by a negative consequence, the individual is less likely to repeat the behavior. Negative consequences include no responses or extinction and punishing responses.



If a behavior is rewarded, it is more likely to occur in the future. People gravitate to rewards.



Shaping behavior with reinforcements for success is more likely to yield positive outcomes. Clients/offenders tend to expect negative reactions. Responding to positive steps creates an environment conducive to learning.

The CM approach involves the following steps:

1. Develop a behavioral contract that identifies the long-term goal and the short-term target behaviors (steps) to obtain the long-term goal. Ensure the client/offender agrees with and/or understands the steps that are involved in obtaining the goal.
2. For each target behavior, develop the list of responses (rewards) that will be given for each behavior, and for sustaining the behavior over time. The goal is to use rewards for sustained behaviors.
3. The responses (both rewards and sanctions) should be delivered swiftly and certainly.

The difference between CM and traditional criminal justice punishment schemes is the focus on target behaviors (the small steps) and the use of rewards for sustained positive behaviors. In Prendergast et al (2005), study findings suggest that “CM is among the more effective approaches to promoting abstinence during the treatment of substance use disorders. CM improves the ability of clients to remain abstinent, thereby allowing them to take fuller advantage of other clinical treatment components.” Traditional criminal justice responses generally focus only on non-compliance issues, and ignore positive behaviors that are commonly referred to as the “expected behaviors”.

Contingency management uses concepts of behavioral economics to alter behaviors. Individuals are rewarded for progress on a frequent basis, and the reward provides the momentum to continue making progress. The desired behaviors should be well-defined, clear, doable and visible. The individual is rewarded each time progress occurs.

The CM approach can be adapted to criminal justice settings where meaningful sanctions and rewards are available that can be used in a graduated fashion to promote behavior change. The key is to respond to the small steps that are taken in the behavioral change process.

The JSTEPS study aims are:

1. To learn about implementation of CM adaptations in real-world justice settings;
2. To examine the feasibility of using CM protocols in managing the performance of offenders in specialized offender and court programs and services;
3. To conduct a pilot of software technology to facilitate the use of CM, including a behavioral contract, use of target behaviors, and use of structured rewards and sanctions; and,
4. To develop model protocols of CM to be used in probation settings and federal reentry courts.

The study approach to JSTEPS is to provide a learning environment to improve the use of JSTEPS (CM in justice settings) as part of the normal practices of justice agencies. To do this, the teams will be involved in three processes:

1. An initial design meeting (January 2010) to develop their own site specific protocol;
2. Webinar sessions based on the interests of the collaborative; and,
3. A second meeting (January 2011) to review progress in the first year and develop an action plan to improve fit or uptake in the organization. Each study site will be given reports in November 2010 to examine their progress in implementing JSTEPS.

This is an implementation study where the goal is to learn about how organizations adopt new practices. The study will examine a number of measures of the acceptability, appropriateness, feasibility, uptake, penetration, sustainability, and fidelity of the new practices. These are all terms used to describe parts of the implementation process, and the study will measure each component:

Table 1: Terms used in the Implementation Process

ACCEPTABLE	Perception of the practice, service, or innovation as agreeable, palatable, or satisfactory, based on information about or experience with various dimensions of the practices.
APPROPRIATE	Perceived fit, relevance, usefulness, or compatibility of the innovation.
FEASIBLE	The extent to which an innovation can be successfully carried out.
ADOPTION	The initial decision of an organization to try an innovation or EBP.
PENETRATION	The proportion of an agency that is using the EBP.
SUSTAIN	The extent to which an evidence-based intervention can deliver its intended benefits over an extended period of time.
FIDELITY	The degree to which an intervention was implemented as it was prescribed in the original protocol. Fidelity compares the original and implemented intervention in terms of (1) adherence to the program protocol, (2) dose or amount of program delivered, (3) quality of program delivery, and (4) participant reaction and acceptance.

Adopted from Proctor (2009)

The techniques that will be employed include:

1. Interviews of involved justice actors at each participating site before and after the implementation of JSTEPS;
2. Surveys (with paper and pen instruments) of justice actors at each participating site before and after the implementation of JSTEPS; and
3. Collection of data on offender compliance with conditions of release (i.e., treatment attendance, supervision attendance, urinalysis findings, employment, etc.) for those where the JSTEPS protocol was used and a comparison group of similar offenders.

For the study, we intend to examine the following measures:

1. Frequency and extent of use of behavioral contracts;
2. Frequency and extent of use of rewards and sanctions;
3. Perceptions of CM (rewards and sanctions) within the Court;
4. Consistency and Timing of the use of CM;
5. Adherence to site's own CM protocol;
6. Offender drug test results;
7. Offender treatment initiation results; and
8. Offender treatment progress

The Power of the Collaborative

The GMU research team is partnering with teams at each probation/specialized court site in order to develop implementation plans for JSTEPS that both build on the available literature and findings regarding contingency management and account for how criminal justice programs are administered and how they function in real-world settings. This science-practitioner partnership allows the design of the JSTEPS program to reflect priorities from both entities and creates an

ongoing dialogue among the collaborators, rather than a more traditional intervention, which usually has less flexibility in how implementation occurs.

A second important collaboration occurs within each site team, which consists of actors from a variety of justice and community agencies, including probation, judiciary, prosecution, defense, substance abuse treatment, and other entities. These site teams, because of their interdisciplinary nature, bring a wide range of viewpoints and expertise to the development of the specialized probation or court program. This team continually works to make decisions that satisfy the majority of members.. This process will allow the implementation of JSTEPS to meet the needs of the criminal justice system in each locality.

A final collaborative in this project is the interaction among the site teams, who are an excellent resource for one another. Each site team is at a different stage in the process of developing a specialized probation or court program and each team can provide valuable assistance to the other teams as they work through the implementation of JSTEPS and struggle with how to do contingency management in a criminal justice setting.

Chapter 2

Overview of JSTEPS Process

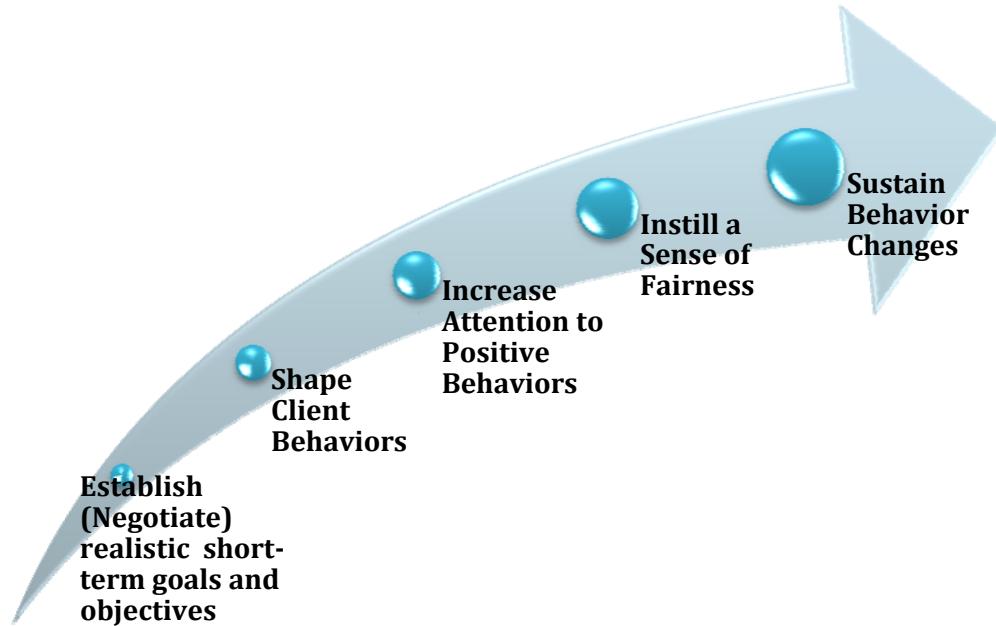


JSTEPS

JSTEPS is the process of using structured, progressive rewards to encourage targeted behaviors among offenders. There are four parts:

1. Develop the behavioral contract;
2. Work with the offender to identify key components of the contract including target behaviors (small steps) and the reward schedule;
3. Monitor and revise the contract to match progress with changes in the target behaviors; and
4. Establish behaviors that are considered “non-negotiable” and the sanctions that are delivered for these behaviors.

5 Goals of Contingency Management



“Negotiate” realistic goals and objectives (the behavioral contract): Within justice settings, there are a number of goals that offenders are expected to reach. Some are “non-negotiable” such as being crime-free. Others should depend on the criminogenic needs of the individual such as drug use, criminal peers, or impulsive behaviors. The client/offender should be involved in setting the GOALS related to criminogenic behaviors. It is important that the long-term goals be stated, and that a realistic pathway be developed to achieve those long-term goals. Short-term goals make up the pathway, and make the path seem “doable,” with realistic and explicit expectations that the client/offender can achieve within the time frame. The use of short-term goals increases the likelihood of success. Experiencing early success will increase the clients/offenders’ expectations of future success and investment in the program. Focusing on the development of realistic short-term goals can increase the perception of success, and the

client/offender's perception that s/he can make it to the finish line. Development of the contract and goals will be discussed further in Chapter 3.

Target Behaviors: Short-Term Goals for Clients/offenders



Long-Term Goals for Clients/offenders



Shape client/offender behavior (rewards): Setting clear expectations at the beginning involves establishing the incentives to stick to the plan. The goal is to shape behavior through swift, consistent, and appropriate responses (either positive or negative). The pattern of swift and certain responses is designed to help the client/offender change behavior by knowing what is expected.

Shaping is achieved by providing incentives that keep the client/offender engaged. For each client/offender, the team must ask what types of incentives are of interest to the person—both in terms of getting short term commitment and in achieving sustained behavior. Short-term positive behavior can be accomplished by valuing early success with small material and social rewards. Sustained positive behavior can be achieved by rewards such as reducing contact with the justice system and early termination from supervision. Rewards are discussed in further detail in Chapter 5.

Increase attention to positive behavior (target behaviors; use performance charts): The third aim is to “Catch People Doing Things Right” (borrowed from the Step ‘n Out study, see Friedmann, et. al., 2008). This yields several benefits:

1. It reinforces positive behavior of clients/offenders;
2. Behavior that results in positive consequences is repeated, and recognizing the positive behavior can increase the likelihood of clients/offenders continuing in this behavior; and
3. It focuses attention on and responds to positive behavior. These responses tend to improve the quality of the interactions with clients/offenders and increase the number of

positive interactions between clients/offenders and the JSTEPS team. This attention to positive behavior improves the environment because more attention is on the progress that has been made.

Instill a sense of fairness (reward and sanction schedules): Obedience to the rules is more likely to occur when a person feels that they are being treated fairly, and that all others are being treated in the same manner. This basic notion—referred to as procedural justice—is why structured responses are important. A standardized delivery of positive responses and sanctions by judges and/or probation officers can “level the playing field” by involving the client/offender in defining the rewards and/or sanctions. Involving the client/offender in the process makes the incentives known, and this is part of being transparent about the rules of success. This creates a sense of fairness and eliminates “surprises” because expectations and the consequences of failing to meet those expectations are clearly defined at the outset.

Sustain behavior change beyond the period of reinforcement (yellow and green behaviors): Ultimately, the court team wants the client/offender to participate in non-drug, non-crime related behavior, but the pathway is through short-term behaviors. Reinforcing these short-term goals over time helps the person learn to sustain the behavior.

The following chapters will illustrate the process of implementing CM in specialized programming or supervision settings. The process involves the following:

- Chapter 3: The nature of behaviors and the contract
- Chapter 4: The initial session
- Chapter 5: Rewards, how to do it
- Chapter 6: Sanctions, how to do it
- Chapter 7: Monitoring the contract and troubleshooting
- Chapter 8: Designing your own JSTEPS Rewards & Sanctions: Exercises
- Appendix A: JSTEPS Software
- Appendix B: Checklists
- Appendix C: Summary of Research

Chapter 3

The Nature of Behaviors & the Contract



Contracting for Behavior

The contract is the binding document for all parties. It establishes what the client/offender should do and how the criminal justice system will respond. To be effective, all parties need to hold up their ends. And, in this case, all parties include prosecutors, defenders, treatment providers, judges, probation agents, and other involved agencies. A few keys in contracting:

1. Identify the “non-negotiable” behaviors (i.e., arrest for a new charge);
2. Identify abstinence as a likely target behavior and no more than three other attendance or treatment goal behaviors; and
3. Establish a reward schedule that reinforces the behaviors. For sanctions, the focus should be on certainty and swiftness instead of severity.

A key component is to ensure that the client/offender is involved in the selection of target behaviors, especially those that we are referring to as yellow (attendance type), orange (substance free) and green (stabilizers) behaviors. This is critical because it gives the client/offender ownership of the contract. Compliance is gained by agreement that the target behaviors are of value to the client/offender. This project does not aim to address all standard and specialized conditions of parole. It is up to the individual officers and their agencies to monitor the general conditions of probation; for this project, we will be tracking only the selected behaviors designed to address criminogenic needs.

Behaviors and the Contract

The different types of behaviors that are a part of the conditions of supervision or a specialized court program can be broken down into categories. We have color coded these to signify the nature of the behaviors. The following chart illustrates these categories.

Red: Criminal activity compliance

This is a basic, non-negotiable requirement . Clients/Offenders should be informed that they may not engage in behaviors that should or do lead to a new arrest, such as carrying a weapon or engaging in violent behavior. They should also be told that older, pending charges will be dealt with differently than new offenses in terms of noting progress .



Orange: Abstinence from all illicit substances and alcohol

Clients/Offenders should be informed that abstinence will be verified using specified procedures such as urine testing and/or breathalyzers. The contract should specify the frequency and schedule of these test procedures. Clients/Offenders should also be informed that self-disclosure of drug or alcohol use is important and will be incorporated into the behavioral management program



Yellow: Behaviors supporting attendance at key events that are important to pursuing a drug and/or crime-free lifestyle

The primary focus of these expectations is attendance at court/supervision sessions, treatment and self-help sessions. The contract should specify frequency of session attendance and the points that are awarded for attendance.



Green: Behaviors supporting stabilization

These goals are behaviors that support stabilization efforts, such as housing and employment. It is work on these goals which is believed to be critical for ensuring that positive behavior change is sustained beyond the supervision period. Because these goals often require time to achieve, the nature of these behaviors change over time to support the person's gradual progress.

Bas

c Behavior Requirements

In this study, we refer to the basic targeted behaviors in colors. The color coding identifies those areas that can be tailored to the individual and those that cannot. The two that are generally critical for all client-offenders are to be crime- and drug-free. These behaviors ultimately affect success on probation or supervised release. It is expected that most sites will select remaining crime-free (red color) as a basic requirement. Because of this, the client-offender should understand that, in general, new criminal charges will have a more detrimental impact on their progress in the program than older charges where the infraction occurred prior to their enrollment in the program.

Orange Behaviors

Being drug and alcohol free is a major requirement for most programs. Many offenders have conditions that require being drug and alcohol free. It should be very clear to the client/offender that this is the major target behavior and points will be rewarded for being drug and alcohol free. Longer periods of abstinence should be rewarded with more points. Sustaining a drug-free (alcohol-free) lifestyle is an important part of the desired behaviors.

Yellow: Identifying Target Behaviors

The target behaviors should correspond to the client/offender's main criminogenic needs (i.e. criminal peers, substance abuse, criminal value thinking, etc.) since these are the factors that affect involvement in criminal behavior. The target behaviors should be focused on participation in activities that facilitate a crime and drug-free lifestyle. *As a general rule of thumb, no person should have more than three target behaviors that s/he is required to work on at any given time.* Three is a manageable number, especially since the client/offender is likely to have some green behaviors (or behaviors that help the person sustain in the community such as housing, etc.).

The target behaviors should focus on attendance at the required sessions (referred to as yellow behaviors), such as supervision meetings or treatment sessions that will assist with the client/offender being crime and drug-free. Verification is an important piece that contributes to a client/offender's overall compliance with behaviors that support abstinence. For example, if a client/offender's behavioral contract stipulates that he or she is to attend substance abuse treatment sessions once a week, the PO may require the offender to provide a note from the substance abuse counselor in order to verify the offender's attendance. Verification can be phased out over time; if a client/offender has shown consistent attendance, the PO may decide not to require it after several months.

The target behaviors should be linked to the conditions and/or programs with which the person is involved and they should include the program and/or supervision requirements so that points (which are used to recognize good behavior) can be assigned for fulfilling requirements.

During the initial session, clients/offenders should be informed that they will work with the judge, PO, treatment provider, and other members of the team to determine the most important priorities for achieving long-term success. The contract should reflect these priorities. In particular, this contract, very much like a treatment plan, will specify the expectations of the JSTEPS team, in terms of concrete target behaviors (e.g., remaining drug abstinent, attending

supervision and counseling sessions) that the client/offender will be required to meet. In addition, the contract will specify the consequences (rewards and sanctions) of complying or not complying with these target behaviors.

Clients/offenders should also be informed about the rationale for developing a contract. Specifically, the contract will help to:

- Establish the ground rules to meet supervision or program requirements and reinforce the importance of the supervision or program;
- Make the expectations for the program clear at the outset;
- Ensure that the expectations are realistic and achievable;
- Determine whether target behaviors are verifiable and what will be required for verification;
- Ensure that there is agreement between the team and client/offender about the priorities; and
- Help to focus on changing those areas in the client/offender's life that are likely to maintain his addiction/criminal lifestyle and that the client/offender believes are most in need of change.

All target behaviors should be described in concrete, discrete behavioral terms and should be objectively verifiable. That is, the target behaviors should be very clear since this is the best way to effect expectations. Table 2 below illustrates specific vs. vague target behaviors.

Table 2: Specific vs. Vague Target Behaviors

Vague Target Behaviors	Specific Target Behaviors
Refrain from alcohol/drug use	Submit urine screens once per week that are negative
Attend Treatment Sessions	Attend (enter number) of treatment sessions per week, and have the counselor verify it
Attend NA meetings	Attend (enter number) NA/AA meetings once per week; bring in a signed attendance sheet
Attend supervision	Attend supervision sessions that are scheduled by the PO and arrive on time
Get a job	Bring in want-ads with jobs of interest circled and discuss the efforts to get a job

Target Attendance Behaviors: Yellow Zones

The role of the yellow target behaviors is to support the client/offender's efforts to be crime and drug-free. To determine what the yellow behaviors will be, identify the criminogenic and practical needs of the client/offender and what actions will support a crime and drug-free lifestyle. For example, if the client/offender has not been successful in staying clean (testing positive for drug use), even if the person has been attending NA meetings, then new efforts should be devoted to attending an intensive outpatient substance abuse treatment program or referring the client/offender to residential treatment. Also consider the client/offender's

capabilities. If his or her driver's license has been revoked, select a treatment program that is accessible by public transportation.

When assessing client/offender performance during subsequent supervision sessions, progress/compliance with the yellow behaviors should be handled separately from orange behaviors (drug or alcohol free). For example, if the client/offender has remained clean but has missed therapy sessions, points can be earned for being clean (orange behaviors) even if the person has not met the conditions for yellow behaviors and vice versa. This rewards the person for being drug or alcohol free, even if the person has not fully committed to supervision and/or treatment.

GREEN or SUPPORTING TARGET behaviors

The green behaviors are those that affect stabilization in the community. These behaviors reflect the broader range of needs that are useful in the client/offender becoming a productive, healthy member of the community. These behaviors include employment, housing, child care, and other requirements that assist a person in meeting their ultimate goals of being crime and drug free, and support their conditions of release. While the red, orange, and yellow behaviors will not vary greatly within a site, the green behaviors should vary by person and should be tailored to her/his specific needs.

- 1. Select goals:** At the outset, the client/offender will be asked to make a wish list of things s/he would like to accomplish during supervision besides being crime and drug-free. The objective is to have the client/offender identify the ways in which s/he can increase positive and stabilizing behaviors, which will, in turn, support her or his efforts to stay crime and drug-free, thus enforcing the main goals. The goal selected should reflect (a) the client/offender's priorities, if appropriate, (b) specific aims that your site has identified, and (c) areas needing change based on the preliminary assessments conducted that will contribute to sustaining recovery. The goal selected should be concrete, that is, described in behavioral, objective terms. Although the process is collaborative, with the PO and team giving feedback and helping to focus, the client/offender should play an active role in the process of selecting and prioritizing appropriate goals.
- 2. Break the goal down into smaller, more manageable tasks:** The PO (and other interested team members) and client/offender should focus on selecting a discrete, concrete, verifiable target behavior that represents the first logical and easiest step toward accomplishing the longer-term goal. For example, if the goal is to get a job, the first target behavior might be circling jobs of interest in the "help wanted" ads or investigating prices and locations of places that offer word processing courses. As each target behavior is accomplished, a new one is developed until the long-term goal is achieved. It is crucial that the client/offender experiences success as early in supervision as possible; early success is likely to increase motivation to continue working on abstinence and other important goals. Therefore, although target behaviors should require at least some effort on the part of the client/offender, they should also be clearly achievable.

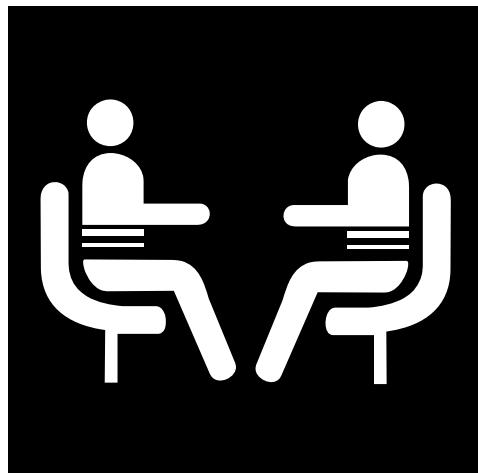
- 3. Discuss ways to verify achievement of the target behavior:** Once discrete target behaviors have been identified, the PO and the client/offender will determine ways in which their achievement will be verified. The reason for requesting objective verification is to ensure that points are awarded appropriately for compliance with the target behaviors. Continuing with the above example, the client could verify the job search by bringing the “help wanted” ads to the supervision session.
- 4. Develop a plan:** Having a plan for how the target behavior will be accomplished is particularly important because a good plan will increase the likelihood that clients/offenders will successfully accomplish their target behaviors. The PO should ask clients/offenders to decide the day and/or time of day that they will complete the target behavior. Clients/offenders should be encouraged to select an environmental stimulus to serve as a reminder that it is time to complete the target behavior (e.g., after lunch). Any barriers to completing the target behavior should be discussed and addressed in the plan. For example, if a client/offender needs help in accomplishing the target behavior (e.g., needs a ride to the employment office), s/he should make a list of people who can help and develop a plan for when and how s/he will ask for assistance.
- 5. Documentation:** All target behaviors should be recorded in the contract screen of the JSTEPS software. Judges or POs should type the plan (discussed in #4) for accomplishing green target behaviors in the notes section of the contract. The PO should print three copies of the contract, have the PO, judge, and client/offender sign it, and then give one copy of the contract to the client/offender to take with her or him to serve as a reminder of what s/he is expected to do before the next supervision meeting.

Core Principles – The Nature of Behaviors and the Contract

- Establish target behaviors in concert with the client/offender and reward these behaviors
- Break long-term goals down into targeted short-term steps that are achievable by the client/offender
- No more than 3 target behaviors for a person at one time
- Describe behaviors in concrete terms and make them verifiable

Chapter 4

The Initial Session



The development of a behavioral contract should be done in a manner that allows the client/offender to select, with assistance, the appropriate green behaviors that will be pursued. This is where the judge and/or officer should work with the client/offender to clarify the behaviors, and use motivational strategies. Other JSTEPS team members can also be involved in the process or give input. Rewards should be defined along with target behaviors to inform the client/offender of the value assigned to progress, and the schedule for issuing rewards should also be outlined. Similar attention should be given to sanctions. Keep in mind that, while JSTEPS may appear to increase the workload on the front-end but the increased compliance may result in reduced work throughout the period of supervision.

The judges, probation officers, defenders, prosecutors, treatment providers, and others involved in the process have four important goals to establish with the clients/offenders during the initial session where the target behaviors are defined, and the rewards negotiated: (1) Define Roles; (2) Clarify Demands; (3) Elicit and Address Misperceptions; and (4) Instill Hope.

Goals for the Initial Session



Using Checklists. Even experts make mistakes or overlook important activities. Pilots have long used checklists to improve safety procedures. Studies have shown that surgical teams, when given checklists to review prior to and during surgical procedures, have lower rates of medical errors and patient complications and deaths than teams that do not use any checklists (Haynes, et.al., 2009). Why? Surgery teams, like JSTEPS teams, are comprised of a number of different players, all of whom bring different expertise and play different roles in the process. Without the checklists, assumptions are made that a person is handling an issue or the “team” gets complacent and therefore then does what is needed. For example, the nurse, surgeon, and surgical intern are all capable of removing the surgical sponge, but each could assume that someone else will complete this task. This could result in no one removing the sponge, which will place the patient in danger. Likewise, in a JSTEPS team, perhaps the judge, PO, and

treatment provider are all able to update the JSTEPS software and produce reports, but they need to ensure that this task is assigned to one team member, and that team member completes the task. This ensures that the clients/offenders receive appropriate and timely feedback. The checklists serve to not only remind the team about what tasks need to be completed but also clarify who does what. To that end, we have developed a series of checklists for JSTEPS team members to utilize at the initial and subsequent sessions. These checklists are intended to guide the sessions and identify for each team member 1) what needs to be done at each session, and 2) who should do it.

Define Roles: The Role Induction Process

The beginning of any process should identify and clarify the roles of the individual players and discuss each person's expectations. It is incorrect to assume that the client/offender knows everyone's role, especially if the partners are working more collaboratively than they have previously. .

While it is often assumed in the legal system that the roles of the various players are clear to the client/offender, adherence to the contract is not often considered part of the process. The court order is considered the process but not the contract. Here, the goal is to reinforce that 1) a contract is as important as the court conditions; and 2) compliance with the contract is important.

During the session, the PO, judge and/or other team members should inform the client/offender about what s/he can expect from them as part of the process. The contract defines what supervision will be like so that there are no surprises. In addition, through the process of aligning client/offender, judge, PO, and other team member expectations about supervision, this session will help to establish rapport.

Defining Participant Roles

In defining their roles, judges and POs should emphasize that they are partners in the client/offender's efforts to successfully complete the program and/or supervision.

1. **Judges** should make clear that their responsibility is to ensure that client/offenders comply with conditions of probation/specialized programs, acknowledge client/offenders when they are doing well, and deliver sanctions if needed. Judges should indicate that they would prefer to recognize and reward positive behavior; however, they will use sanctions, if necessary, as tools to assist in getting clients/offenders back "on track." In addition, judges should inform clients/offenders that they are available to assist clients/offenders in dealing with any problems or issues that come up during their time on probation. (Refer to Checklists for Judges in Appendix B.)

Judge's Role

When a client is performing well, the judge may be called upon to deliver a social reward. Seeing the judge for positive progress is a reward since most offenders are only in court for negative events.

2. Probation Officers (POs) should indicate that they are responsible for assisting the court in facilitating clients/offenders to achieve the court-ordered conditions. And, the officers are there to sustain the contract. The focus should be on helping clients/offenders learn new skills needed to maintain a drug- and crime-free lifestyle. In addition, POs will assist clients/offenders in

Probation Officer's Role
The PO meets with clients regularly and takes primary responsibility for communicating and tracking client progress. It is likely that the clients will go to the PO more often than they will to any of the other team members.

accomplishing other important goals that support recovery or crime-free efforts (e.g., getting a job, reestablishing connections with non-drug using family members or friends). The clients/offenders should use their time on probation or in the specialized program to work through other problems or issues that interfere with a crime or drug-free lifestyle. POs should also make it clear that adherence to the contract is the client/offender's responsibility but the PO can provide assistance. (Refer to Checklists for Probation Officers in Appendix B.)

3. Prosecutors serve an important role in reinforcing the interest in the client/offender seeking a crime- and drug-free lifestyle. The prosecutor should work with the other team members to encourage responsible behavior. The role of the prosecutor should be to support the efforts of the team and provide legal input when necessary. (Refer to Checklist for Prosecutors in Appendix B).

Prosecutor's Role

The prosecutor provides legal input to the team, encourages responsible behavior, and can deliver rewards.

4. Defenders serve an important reinforcement role. The defender has a special relationship with the client/offender. This confidential relationship can be used to reinforce the importance of the behavioral contract, the rewards, and the sanctions.

Defender's Role

The defender reinforces behavioral contract with the client while still advocating for the client as needed.

The defender can emphasize the importance of adhering to the target behaviors and abstinence as part of a pathway to successful completion of the program and/or supervision, while still acting as an advocate for the client. The relationship can reinforce the importance of the client/offender compliance with the behavior contract and the goals of becoming crime and drug-free. (Refer to Checklist for Defenders in Appendix B).

5. Treatment Providers should act as partners with the judge and PO to work with the client/offender to achieve the orange, yellow, and green goals. The provider should focus on delivering the needed services, and advising the criminal justice actors as to needed changes in the plans to facilitate a crime and drug free lifestyle. The treatment providers should serve as advisors to the criminal justice system, and work with the client/offender to assist them in learning new skills to manage their behavior. (Refer to Checklists for Treatment Providers in Appendix B).

TX Provider's Role

Deliver services and provide support for client to establish and maintain sobriety. Keep PO informed of client's progress in program.

6. **Clients/offenders should** actively participate in the development of the behavioral contract, particularly in working to select the appropriate target behaviors that are meaningful to them. Most importantly the client/offender should work with the criminal justice system to select appropriate rewards for their accomplishments in

Client's Role

Develop a plan for successfully completing parole, achieving sobriety, and moving forward with life goals.

making progress on the behavioral contract. JSTEPS teams should think of the clients/offenders as a full partner in the probation process and include their input on the decisions that affect them (Refer to Checklist for Clients/Offenders in Appendix B).

As part of this discussion, judges and POs should inform clients/offenders about what information will be shared (e.g., attendance at scheduled sessions, results of urine and breath alcohol screens, involvement in criminal activity).

Clarifying Requirements

A behavioral contract should be specific in terms of target behaviors and the consequences for compliance and non-compliance. By clarifying the requirements of the court-ordered conditions, judges and POs are letting the client/offender know what is expected in terms of the behaviors that will result in successful completion. This includes the key components of any specialized program or services in which the client/offender agrees to participate and/or the requirements for supervision. This segment is not intended to inform the client/offender of the components and the methods to be successful; rather, the purpose is to define success so that the client/offender is aware of the expectations. Simple terms such as being crime-free or drug-free make it clear what success is.

The sentencing process focuses on the conditions of probation or release. When the client/offender is placed on probation, they may be involved in different programs and services that each has its own requirements. This is where clarification is needed, particularly with the requirements that may be different for each program. Many probationers have a long list of requirements that are assigned via court order, such as informing the PO of any changes in address, payment of restitution, or restriction of movement (i.e., not leaving the county or state without permission).

Depending on the person and the system, the judge and/or PO should then spend time describing the program or practices. In particular, they should discuss:

1. Frequency of expected attendance at any required court, supervision, and treatment sessions. The client/offender should be informed of what sessions are required, and how often they need to attend. The frequency of attendance may change as the person progresses in the program/time under supervision. In particular, the hours of operation of the treatment center and the availability of the treatment counselors should be shared. Information on how the client/offender can contact the PO in an emergency should also be provided.
2. Frequency and location of drug testing procedures.
3. Conditions of probation assigned by court order.

The PO or another team member should inform the client/offender that:

1. Probation/requirements are designed to help them achieve goals of behavior change.
2. Behavior change is achievable, and the best way is to “stay the course.” Problem behaviors did not develop overnight and therefore it will take time (weeks, months or even years) to resolve them. However, progress can be made and it will be recognized.
3. The client/offender is likely to experience thoughts about using drugs or engaging in criminal activity and other negative thoughts and emotions (e.g., boredom, depression, loneliness). These are a normal part of the recovery process and the client/offender needs to discuss these feelings/reactions openly with the PO, any treatment provider, and/or judge to help them stay focused and cope with the triggers.
4. The work will be shared among the client/offender, judge, PO, treatment provider, and other team members.

Eliciting and Addressing Misperceptions

This is one of the most important facets of the initial session. Many clients have been on probation or parole multiple times and are likely to have formed strong impressions about supervision. Even those who have never been on probation before are likely to have pre-existing ideas about how it will go based on what they have heard from others. Since these are likely to be negative perceptions of probation, it is vital to establish that this program is not “business as usual.” This portion of the session should start by eliciting from the client/offender their perceptions about the requirements to be successful. It should be done toward the start of the meeting to facilitate honest feedback, and to guide discussion. Clients should be encouraged to share their perceptions/experiences regardless of whether they are positive or negative.

Traditionally, POs serve both rehabilitative and law enforcement functions. In a rehabilitative role, the PO serves as a social case worker or a counselor whose primary concerns are generally in the best interest of the offender. In this role, a PO uses these skills in interviews (or face-to-face contacts), obtain facts about an offender’s background, identify and distinguish surface from underlying problems, use existing community resources, and make referrals to such resources. In the law enforcement role, the PO monitors and serves as an authoritative figure. Given these conflicting roles, today’s POs are more likely to emphasize surveillance and control functions, holding the protection of the community as a higher priority than rehabilitation. It is important to find out what role the client is expecting the probation officer to be.

The goal of this section of the discussion is to help judges and POs develop an understanding of the client/offender’s thinking so that accurate perceptions can be reinforced and that inaccurate perceptions can be addressed. Judges and POs must be willing to hear both positive and negative perceptions. Negative perceptions should be discussed without confrontation and should be carefully clarified.

Once out in the open, the negative perceptions can be discussed by the judge and PO with the client/offender and they can talk about how any legitimate concerns will be addressed. There should also be an emphasis on the judge’s and PO’s commitments to assist the client/offender in any way that they can to ensure that the client/offender successfully completes probation.

Many clients will perceive probation as an experience where countless requirements are imposed upon them and where the PO is expecting and waiting for them to fail. If clients/offenders have

such a defeatist outlook and the perspective is not addressed, then clients/offenders are more likely to fail. It is the team's responsibility to tell and show the clients/offenders *continually through the probation/specialized court process* that they want to see the clients succeed and will work to see that happen. Eliciting and addressing misperceptions is not a one-time activity—every encounter with the client is an opportunity to address issues with their perceptions of probation. For example, the PO may have explained in the initial session that they will acknowledge and affirm positive behaviors, but they will need to demonstrate this to the client at future sessions. If a client has a positive UA at a subsequent session but has also attended the treatment program and was on time for the supervision session, the PO should affirm those behaviors, either with or without points, depending on the team's point system.

Table 3. Traditional Supervision vs. JSTEPS Supervision

Old way	New way
Target behaviors are chosen by the PO, judge, and other court players and imposed upon the client	The JSTEPS team works collaboratively with the client to develop goals and target behaviors, tailoring them to the client's goals and taking his or her strengths and limitations into consideration
PO allows minor violations and positive UAs to pile up until client is eligible for revocation	PO and other team members respond to every violation and every positive UA
Client only sees the judge, AUSA, or defender when there is a threat of revocation	Judge, PO, AUSA, defender, and treatment provider act as a team and are all involved in client's progress
When a client is noncompliant with some behaviors and compliant with others, PO only addresses the noncompliance	PO still addresses noncompliance but also affirms client for positive behaviors, often with points/rewards

Instill Hope

The end of the initial session should focus on the positive—that success is possible. The judge and PO should inform the client/offender that if they are willing to put in the effort and time required, they will be able to successfully complete the requirements. The specialized court program/probation experience should help the person make meaningful and lasting positive changes in their lives. HOPE is important since it provides the person with the momentum to continue behavior change. This is central since many clients/offenders have not had many positive experiences and an important part of the process of the behavioral contract is to focus on the positive accomplishments. Identify any positive behaviors already apparent and praise.

Set Goals

As discussed in chapter 3, goals are key to the JSTEPS process. Once you have completed the earlier parts of the session, it is time to move onto goal-setting. Remember to keep the client actively engaged in the goal-setting process. For each target behavior, determine how you will verify that behavior. For example, if the client is required to attend treatment, request that s/he

procure a note or stamped paper from the counselor to verify attendance. Once a client has been compliant with this behavior for several months, you may want to reduce the need for verification.

Set Rewards

While the milestones for accessing rewards may be pre-determined at the site level, these milestones should be explained to the client/offender and a discussion should also be initiated about what specific rewards, both social and material, would be most meaningful to the client/offender (see Chapter 5 on Rewards for more information). They should be permitted to choose rewards from a pre-vetted menu, with guidance from the judge and/or PO. The client/offender should have a clear understanding of what they need to do to access the rewards and when the earliest date would be that they could receive a reward. It will be helpful to demonstrate a few screens of the JSTEPS software for the client/offender to show how it will help track progress and illustrate success with progress charts.

Wrap-Up

Reinforcing Client/Offender for Work Done in Session & Checking-in

By working to develop the contract, the client/offender has made a significant commitment to begin the success process and meet the goals of the program/supervision. Both judges and POs should acknowledge and reinforce the client/offender for efforts during the session.

Judges/POs should also take this opportunity to ask the client/offender if there are any other issues they would like to discuss before ending the session. Judges should be certain to address any issues or crises the client/offender raises at this time or schedule another session if it is appropriate. It will be necessary to use judgment in this situation. If the client/offender expresses a threat to her/himself or others, the issue will need to be addressed immediately.

If the issue is not urgent, then the PO/Judge can let the client/offender know that they are interested in helping her/him address the problem but that there is not enough time in this session. Clients/Offenders should be encouraged to add the problem to the next session's agenda, or should schedule an extra individual session to address the issue.

Eliciting and Problem-Solving Barriers

It is important to recognize that clients/offenders have a choice whether or not to attend both supervision and treatment/counseling sessions. If they encounter multiple barriers to coming into the clinic, they may decide the effort is simply not worth it, even if it might ultimately result in a sanction.

Judges and POs should spend a few minutes identifying what, if any, barriers clients/offenders might face in their efforts to attend required sessions (such as supervision, treatment, or self-help groups) and help to problem-solve ways to overcome those barriers.

Remember to discuss and address potential barriers to attendance, e.g., transportation, child care, work schedules. How can you help clients comply?

Typical barriers that might interfere with attending scheduled sessions include: lack of childcare; lack of transportation or money for transportation; uncertain work schedule; and lack of social support for involvement in treatment or recovery efforts. It is also important to remember that certain barriers do not have immediate solutions. In this instance, judges and POs should express a commitment to continue working with the client/offender to address the barrier.

Eliciting a Commitment to Follow Contract

The PO or other team members should remind the client/offender of the date and time of the next appointment and elicit a specific statement that they will attend that session. Similarly, the PO (or treatment provider, if in attendance) should remind the client/offender of the date and time of the first treatment session and elicit a commitment from the client/offender to attend that session. The attached tip sheet provides a short outline of how the initial session and subsequent sessions should be structured. Further detail on those sessions is found in the tip sheets (Attachment B).

Client/Offender Session Outline

Initial Session

Use this outline to structure the initial session

Role Induction

- Define the Roles of judges, Probation Officers, Defenders, Prosecutors, Treatment Providers, and Clients/offenders
- Clarify Demands
- Elicit and Address Misperceptions
- Instill Hope

Contracting: Setting Expectancies

- Identify and praise existing positive behaviors
- Select Target Behaviors
- Specify Consequences of Compliance or Noncompliance
- Select Milestones and Rewards
- Set Rewards
- Test urine and give a reward if negative

Wrap-Up

- Reinforce Client/Offender for Work in Session and Checking-In
- Determine and Problem-Solve Barriers
- Elicit Commitment to Follow Contract

Subsequent Sessions: Monitoring Progress

Use this outline to structure the subsequent sessions

Monitor Sessions

- Review Target Behaviors
- Review Key Milestones
- Issue Rewards
- Set Goals for Next Meeting
- Specify Consequences for Compliance or Noncompliance

Wrap-Up

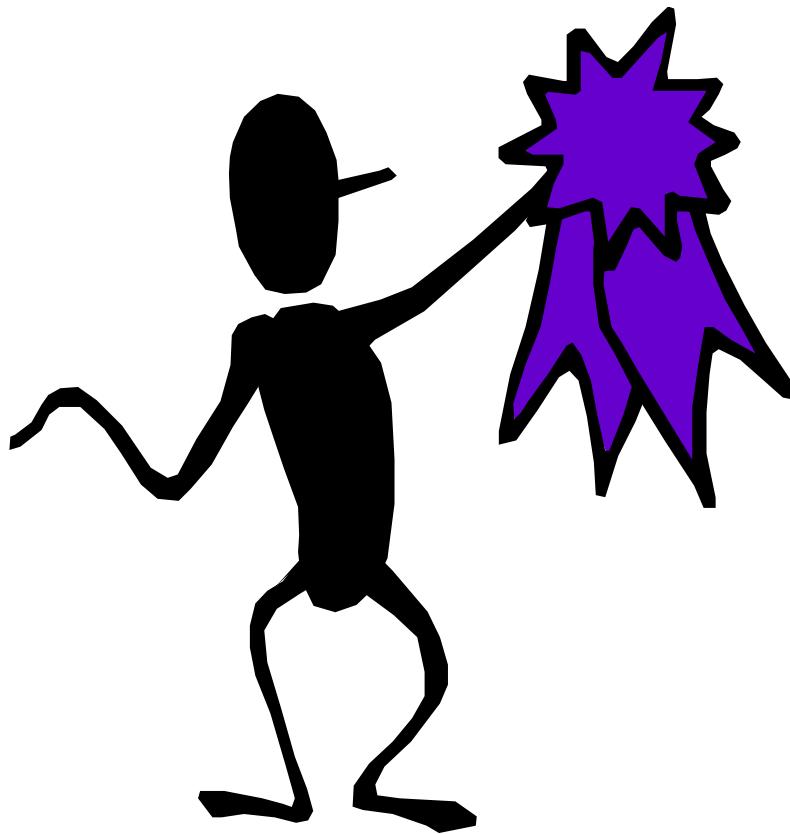
- Reinforce Client/Offender for Checking-In
- Determine and Problem-Solve Barriers
- Elicit a Commitment to Follow Contract

Core Principles of the Initial Session

- Reinforce that compliance with the contract is important
- Define roles for all those involved including judge, PO, client, and other team members
- Clarify the requirements of the program in clear, concrete terms
- Address client/offender's perceptions of program and process
- Let the client/offender know that they can complete the program (instill hope)
- Review schedule for rewards and under what circumstances sanctions will be issued

Chapter 5

Rewarding Positive Behaviors



Rewards: the Model

Incentives are important motivators. Everyone likes to be acknowledged for efforts made, and rewards provide the tool to do so. The key to rewards is finding things that are of interest to the potential recipient. It is important that the rewards are geared to the individual. The criminal justice system has two natural big rewards: reducing the number of contacts with the system and reducing the time period under correctional control. The concept of earned discharge has surfaced as a major tool in incentivizing individuals in the criminal justice system, as the individual can gain points to “earn their way” off of supervision. Reinforcing agreed-upon behaviors such as being crime-free, being drug-free, or not affiliating with a gang over a long period of time can result in the client/offender’s desired outcomes. Of course, providing rewards along the way serves to reinforce that the changed behavior and larger reward are obtainable.

As discussed in previous chapters, the model of graduated rewards and sanctions involves responding swiftly and certainly to the target behavior. The best process is to identify the behaviors that will earn rewards, such as those that reinforce supervision conditions, and the behaviors that will earn sanctions. The concept is the same—each target behavior is affiliated with a response, and the number of points rewarded will depend on the timeframe in which the behavior has occurred and the nature of the behavior. The concepts are:

- Swift: the response is delivered in close proximity to when the behavior occurs.
- Certain: the response will occur with expected actions.

Other key concepts in rewards have to do with the way that certainty is defined. As shown in Figure 1, there are a number of techniques available to deliver rewards. The typical strategy is to reward evenly for each time frame. However, other approaches have been developed, such as escalating and thinning (reducing the timing between rewards as the person progresses through the system). In either system, the incremental rewards build up to the grand finale which can be part of a pattern of reduced contacts or earned discharge.

Why Use Rewards to Shape Behaviors?

- ☛ Behavior is the result of learning. Rewards are effective ways of helping clients/offenders change their behavior. A change in thinking can change behavior. A change in behavior can change thinking.
- ☛ Rewards have to be adjusted to meet the needs of the client/offender, and the desires and goals of the local jurisdiction.
- ☛ To instill motivation in clients/offenders, POs, judges, and the court team need to create a noncompetitive, caring environment in which the client/offender feels valued, respected, and acknowledged.
- ☛ The use of rewards should always be focused on the goal of producing a long-term change in behavior.
- ☛ Rewards are beneficial because they compete with the immediate and potent reinforcement of drugs (or participation in criminal acts).

Figure 1: Commonly Used Reward Styles



Escalating Reinforcers: the increasing value of vouchers. As clients achieve longer periods of abstinence, the amount of the voucher increases. See an example of this schedule in Table 3.



Intermittent (Fish Bowl): Rather than earning a voucher worth a set monetary amount, patients earn the opportunity to draw a slip of paper from a bowl. Each draw is associated with a chance to win a prize. Half these slips are winners and the number of winning slips varies inversely in proportion to the value of the prizes. Only one slip is the big prize, 7% to 10% indicates moderate-priced prizes and the rest are small prizes.



Thinning: reinforcement gradually becomes available less often for more sustained effort. There is a shift from a dense schedule to a sparse schedule eventually moving under the control of natural reinforcers.

CM practices recognize two types of rewards: social incentives and material incentives. Both social and material incentives can be distributed using the above methods of reward styles. The difference in the two is that they provide different reinforcement for the target behaviors.

Milestones: Hitting the “Jack Pot”

Part of developing the reward schedule involves determining: 1) the value for each behavior and 2) the number of points that can be considered a milestone or sufficient enough to issue a reward. Each jurisdiction will need to determine both the value for each behavior and the milestone schedule—since this can be tied to how the probation and/or court program is structured. Then, these values can be programmed into the JSTEP system for each site where an individual judge or probation officer can adjust the value or points for the individual based on their own performance. The goal is to have an agreed upon schedule for the site, but allow for flexibility for individual clients, if needed.

Table 3 provides an example of some milestones. Judges, probation officers, and clients/offenders can choose to select a different array of milestones that can be issued as the person progresses. In selecting milestones, the team should try to set point values for earning rewards to encourage early compliance with the contract and to reinforce early success. The

points are designed to reward early success.

Specifically, rewards should be available more frequently during the beginning (i.e. first few weeks) of a program/supervision. The goal is to reinforce the progress by allowing the client/offender to earn more points during the early stage of the program. As the client/offender becomes more engaged in supervision and more committed to making positive changes (thus experiencing personal gratification from making such changes), the positive feedback can be delivered less frequently. This process of gradually reducing the frequency of positive feedback (called thinning) helps to accomplish the ultimate goal of the JSTEPS program, to ensure that positive behavior change is sustained because it is rewarding in and of itself. The goal is sustained behavior change, and not behavior as the result of the client/offender being offered material or social rewards for engaging in such behaviors. Those clients/offenders who demonstrate near perfect compliance may receive rewards early in the supervision/program period, and then are weaned from rewards later in the period.

Points and rewards are tied to specific behaviors. That is, a client/offender can be eligible for a reward or point accumulation for various behaviors. It is likely that one can be compliant for some behaviors and earn points, even if the person is not compliant with all behaviors. For example, a client/offender may have certain rewards tied to staying clean from alcohol and drugs. If the client/offender's urine tests indicate that they have been successful, then s/he is eligible for point accumulation and/or reward, regardless of whether s/he has been compliant with treatment attendance.

Table 3: Example of Milestones and Negotiated Rewards

<i>Milestones for Rewards</i>	<i>Type of Rewards</i>	<i>Example Negotiated Rewards</i>
2 points	Small positive social response	Letter congratulating client/offender on accomplishments with a copy placed in the client/offender's record; Time to use copy machine in office for resumes
6 points	Small material reward	Earn \$5 to pay for education course; money for utility bill, or other items of value; bus ticket
10 points	Small positive social response	Letter to family member/friend congratulating client/offender on accomplishments with a copy placed in the client/offender's record
25 points	Medium positive social response	Time to type up resume
35 points	Medium material reward	Partial payment for work-related tools; Gift certificate to buy flowers for mother/spouse/significant other
80 points	Medium positive social response	Joint session with family member and client/offender to assist in obtaining housing
120 points	Large Positive Social Response	Letter to judge requesting relaxation of conditions
170 points	Large Positive Social Response	Certificate indicating perfect or near-perfect compliance with the CBM program with copy placed in the client/offender's record and given to the judge or Probation Board; Relaxation of a condition of supervision (i.e. reduced visits)
200 + points	Graduation session	Invite family member to session; Certificate of successfully completion; JSTEPS certificate

At the same time that milestones are determined, clients/offenders should be asked to select the type of rewards in each category. Each area should have at least two possible responses for each category. The system should develop the menu of allowable rewards for each level, and then the

probation officer and/or judge will discuss with the client/offender the desirable award. Judges and POs will also discuss with the client/offender which condition of supervision might be targeted for relaxation as one of the large positive social responses. It makes sense to select a condition that has the highest likelihood of being relaxed at the request of the PO and for evidence of good compliance with requirements of supervision. Thus, the PO should assist the client/offender in making this decision.

Clients/offenders should also be asked to select a small and medium sized material reward that is important to them. The value for the material rewards needs to be determined by each site. In a prior study, material rewards were determined to be at the following levels: (1) not cost in excess of \$20 for a small reward or \$45 for a medium-sized reward, (2) consistent with the goals of supervision and (3) the combined value per client/offender cannot exceed \$50 per three months. Purchase of cigarettes would not be considered an appropriate use of the material rewards. Contribution toward the purchase of work-related equipment (e.g., gloves or tools), a gas gift certificate or purchase of a bus pass, partial payment of tuition or rent at a recovery house, partial payment of utility bill, movie tickets, or a gift certificate to a local establishment to take a sponsor for coffee or to lunch are examples of appropriate material rewards.

Once the client/offender has selected the positive social responses and material rewards toward which s/he want to work, these should be selected in the Rewards screen in the JSTEPS software. Clients/offenders should be informed that they will be eligible to receive their first reward at the next session if they comply fully with the target behaviors listed on the contract.

Note. Judges and POs should be prepared to reevaluate potential rewards throughout the supervision/program period. It is reasonable that a material reward the client/offender might have found reinforcing at the beginning of supervision may not be appropriate as supervision progresses. For example, a client/offender may have requested that the medium material reward be used to pay a portion of his rent at a halfway house. If, by the time they earn the material reward, they have found a job and has no difficulty paying her/his rent, then the client/offender should be allowed to select a different material reward, as long as it is consistent with the goals of supervision.

Graduated Positive Social Responses

This type of reward involves delivery of concrete social responses that are focused on the system acknowledging efforts and rewarding progress. The magnitude of the positive social response increases with sustained compliance with the contract. Examples of potential social responses that are considered small, medium, and large are included in Table 4. This list is not exhaustive and is shown as illustrative. Each jurisdiction will be asked to complete a chart that lists their preferred social rewards.

Table 4: Graduated Positive Social Responses

Magnitude	Types of Responses
Small—awarded during the early period of time	<ul style="list-style-type: none">• A handwritten letter signed by the PO specifying accomplishments to date• A handwritten letter signed by the judge specifying accomplishments to date• A telephone call from the judge and/or PO to the client/offender's family/peers (e.g., selected partner, parent or friend) to say how well s/he is doing• Access to telephone and quiet space to contact employers
Medium—awarded after some period of sustained effort	<ul style="list-style-type: none">• Certificate of achievement for perfect or near perfect compliance to date.• Secretary time to type up resume/cover letter• Client/offender earns a “bye” week (i.e., client/offender is allowed to miss a single session without consequence)
Large—awarded after a long period of sustained progress	<ul style="list-style-type: none">• Letter to the judge or Probation Board requesting that a specific condition of supervision be relaxed (e.g., that the client/offender be released from home monitoring).• Diploma and a letter from the judge, Probation Chairperson, or a Senior Correctional Official (with a copy in her/his file) for perfect or near perfect attendance to date.• Decreased reporting frequency• Reduced time on supervision

Graduated Positive Material Responses

Judicial account funds, discretionary funds, or other available resources may be used to offer material rewards to client/offenders for evidence of sustained positive behavior change. This form of positive feedback should be desirable to the client/offender. The client/offender may request rewards that are not on the list developed by the site. The reward must be justifiable in the context of the contract, and acceptable to everyone. With the assistance of the PO, the client/offender will identify at least one low magnitude reward and a medium level reward that they will work toward during supervision. Table 5 presents some examples of low and medium level material rewards that may be appropriate and useful for the client/offender.

Table 5: Graduated Positive Material Responses

Magnitude	Types of Responses
Low Level	<ul style="list-style-type: none">• A \$5 to \$20 bus pass or gas certificate to help the client/offender attend treatment, 12-step meetings• A \$5 to \$20 pass to take children to the zoo, park, movie theater, etc.• A \$5 to \$20 phone card to call AA or NA sponsor• A \$5 to \$20 coffee shop gift certificate or restaurant certificate to “take sponsor for coffee or lunch”• A \$5 to \$20 gift certificate to an office supply store to purchase fine paper for resume
Medium Level	<ul style="list-style-type: none">• A \$30 to \$45 gift certificate to nice restaurant to celebrate sobriety/abstinence• \$30 to \$45 towards work accessories such as work gloves, contribution to boots, tools, or uniform• A free tutor session to help prepare for the GED test• Provide voucher for court fees

Delivery of Reward

Rewards are delivered based on clients/offenders earning a certain number of points during their time on probation. These rewards can be timed to changes in a JSTEPS level (i.e., when a client/offender has accumulated a certain number of points and graduated to a new JSTEPS level) or merely major milestones. In JSTEPS, clients/offenders will earn points for complying with supervision and treatment goals. The number of points that clients/offenders can earn for each supervision meeting where the target behavior has been observed increases over time, as shown in Table 6 below. In this example, the number of points the client/offenders can earn increases by 1 per target behavior, for evidence of sustained compliance with the target

behaviors. The reason for increasing the number of points client/offenders can earn for compliance is to encourage sustained compliance with the contract.

Table 6: Example of Escalating Schedule of Points

Week	Maximum Points Per Target behavior	Maximum Possible Points per Week	Maximum Total Number of Accumulated Points*
1	1	3	3
2	2	6	9
3	3	9	18
4	4	12	30
5	5	15	45
6	6	18	63
7	7	21	84
8	8	24	108
9	9	27	135
10	10	30	165
11	11	33	198
12	12	36	234

*If all target behaviors were met in all previous weeks.

(Note we are merely showing the first 12 weeks but this type of schedule should be considered for at least a year). This is based on a thinning approach.

Tips for Rewards!!

- ✓ *Provide immediate rewards to shape offender behavior.*
- ✓ *Be specific so success is visible.*
- ✓ *Make the rewards meaningful to the person.*
- ✓ *Make sure that the rewards occur early in the supervision period to help the client/offender see progress.*
- ✓ *Material rewards should be determined but should be escalating up to \$20 for a small reward or up to \$45 for a medium-sized reward; they must be consistent with the goals of supervision. Determine menu of rewards with the entire JSTEPS team.*
- ✓ *Talk to other JSTEPS sites to see what rewards they have found effective.*
- ✓ *Make the rewards relevant—if client/offender’s green goal is to find a job, work with her/him to determine a reward that could help with that goal. If the goal is housing, then focus attention on rewards that would assist with stable housing.*
- ✓ *Simpler is better—make your reward system as simple as possible.*

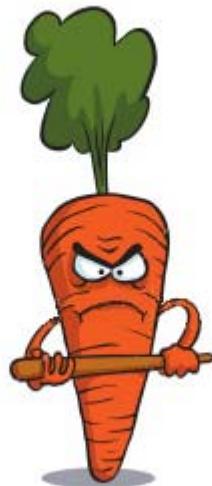
Core Principles of Rewarding Positive Behaviors

- Provide rewards for key behaviors
- Rewards should be delivered swiftly and certainly
- Client/offender should be able to choose rewards that are meaningful to them
- Allow rewards to be delivered more frequently in the beginning
- Use a mix of material and social rewards
- Escalating schedules and bonus points can be used to reward continuous periods of abstinence

Chapter 6

Sanctions: Rules of “Engagement”

Sanctions, Punishment, Suspensions



Noncompliance and Sanctions

Offenders under supervision must be crime-free and meet other conditions of release (e.g., do not use drugs, do not be involved in gangs/violence). Evidence of noncompliance will be addressed in one of three ways: (1) client/offender will enter a suspension period; (2) client/offender will receive a sanction; and/or (3) the judge, probation officer, and other members of the team (e.g., defender, treatment provider) may engage in problem-solving with the client/offender.

Addressing noncompliance means focusing on reassessing goals and progress. Since the contract provides a means to assess performance on a regular basis, the terms of the contract can be adjusted based on the performance of the client/offender. This is part of the process—to redefine the terms of the contract even if the client/offender is receiving a punishment due to periods of noncompliant behavior.

An arrest for a new criminal offense presents a challenge about how to address the client/offender. While engaging in criminal behavior violates the tenets of the contract, it should also be recognized that the real question is whether the client/offender is actually engaged in the criminal behavior. An arrest may be an indicator of negative behavior but until a conviction occurs, the client/offender should be retained in the contract with the expectation that progress should be made in being drug-free and meeting attendance requirements. That is, the client/offender should not be terminated until a conviction occurs. The JSTEPS process recommends that an arrest for a new criminal behavior result in the client/offender being unable to spend points on rewards until resolution of the arrest (conviction). As discussed below, the concept of suspension has been established—this allows the client/offender to earn points during the period of time under observation, so as to avoid penalizing a client/offender until it is clear that the person has been convicted. Being in suspension merely prevents the client/offender from cashing in any rewards that are earned.

Sanctions should be used to address re-arrests and continuous noncompliant behavior with the contract. Clients/offenders should expect some consequences for noncompliance with the orange and yellow behaviors outlined in their contracts.

For example, depending on the site's point scheme, a positive urine test or multiple positive tests could result in a suspension of points and multiple positive tests result in a sanction.

Besides focusing on punishment for the continued failure to abide by the contract, JSTEPS teams should consider noncompliance a time to problem-solve with the offender. Problem-solving is a technique to work with the client/offender on why progress is not occurring. Problem-solving involves a series of steps that are focused on the client/offender examining the contract, the different target behaviors, and then identifying revised target behaviors. The emphasis of problem-solving is to assist the client/offender in assessing why they cannot meet the target behaviors.

If the client tests positive for drugs, discuss the importance of becoming abstinent. Develop a contract for achieving abstinence with target dates. Remember to keep the target date realistic based on the client's history and criminogenic needs.

Table 7 depicts the process by which noncompliance should be managed depending upon the varying types of behaviors. As shown below, graduated sanctions should be used for red level behaviors, but these types of sanctions may be less valuable for orange and yellow behaviors. Orange and yellow behaviors should focus on problem-solving, or helping the offender learn to chart a new course to be crime- and drug-free.

Table 7: Responses to Noncompliance

Level	Points Suspended	Rewards Held	Sanctions
Red (Criminal Conduct)	Yes, until conduct verified	Yes	Use Schedule
Orange (Drug/Alcohol Use)	No	Yes	Graduated Schedule and problem solving
Yellow (Attendance)	No	No	Problem solving
Green (Stabilizers)	No	No	Problem Solving

Suspension Procedure

Continuous drug or alcohol use requires consideration of whether the person should be awarded any points or receive rewards. The notion here is that failure to adhere to the most important provision of the contract—remaining abstinent—should not be rewarded.

The best process to handle this situation is to place the client/offender in suspension. Suspension allows the client/offender to earn points for positive behaviors but does not allow him or her to cash in the points for rewards. The earned points allows the JSTEPS process to recognize the small steps to improved behaviors and ensures that the person is not terminated from valuable programs and services.

During the suspension period, the client/offender can accumulate points, but rewards cannot be issued. The accumulation of points allows the person to learn that incentives are possible but they cannot be issued until the desired behavior (no drug use, no crime) occurs. The judge or PO can decide when to start the suspension period and when to end it. Total drug and alcohol abstinence for two consecutive sessions or two weeks may be a reasonable goal. When a person is taken out of suspension, the value of the points is set back to the first week (e.g., if the client/offender was earning five points per target behavior prior to being suspended, s/he would be set back up to one point per target behavior after coming back into compliance). The client keeps all the point s/he earned. The JSTEPS software will keep track of the total number of points client/offenders can earn and whether or not the client/offender is eligible to earn a reward.

Sanction Schedule

Like rewards, the key to sanctions is swift and certain responses. Probation officers and/or judges should explain that in addition to having their points suspended, clients/offenders may also receive sanctions if they continue to use drugs and alcohol. Because JSTEPS includes the use of graduated sanctions, if the client offender is noncompliant, then the first sanction is

withholding rewards. However, continued failure can involve a progressive sanction schedule. The general emphasis should be on certain, swift punishments. For example, if you are using jury box punishments (where the client/offender is required to spend a day observing the court process), then you should begin with one day and progress to more days.

Graduated sanctions have been used widely in correctional settings since the mid 1990s. They have been used for both adults and juveniles in community corrections and have been shown to be effective when used *in conjunction with treatment* (Martin, 2008). Using a formal graduated sanctions schedule that matches violations to sanctions can help reinforce to clients/offenders that this is a new system of probation by reducing disparities, which can enhance the legitimacy of POs (Taxman, 1999; Martin, 2008).

The use of jail or incarceration can be a powerful tool to punish the person, but it should be used with caution, given that many clients/offenders have been previously incarcerated and may not necessarily feel intimidated by the prospect of jail time. Similar punishments can be the use of electronic monitoring, curfew restrictions, travel restrictions, referrals to community-based or probation-based programs, and increasing community services hours or probation requirements. The key is to withhold liberty to focus the attention on assisting the client/offender in assessing her/his own behavior and motivation to keep committed to the contract. Revocation is an option if the person does not exhibit interest in keeping the contract but the team should take into consideration: 1) whether the client/offender has had periods of compliance and what triggered the negative behaviors; 2) whether the client/offender demonstrates an interest in compliance; and 3) whether the behavior threatens public safety.

Make sure sanctions are appropriate for the transgression. Work with the client to determine what contributed to failure to comply.

Table 8: Graduated Sanction Schedule

Number of Infractions within 30 day window*	Response Options (non-incarceration)	Response Options (using short periods of detention or liberty restrictions)	Response Options (non-detention liberty restrictions)
One	Verbal reprimand by PO Written documentation	1 day in jury box or day in jail cell	11 pm curfew
Two	Written reprimand Increased or daily reporting to PO Team meeting with treatment provider Increased urinalysis Travel restrictions	3 days in jury box or days in jail cell	8 pm curfew
Three	Modify supervision conditions with increased reporting to PO Tighten the curfew	6 days of jail	House Arrest
Four	Electronic monitoring Curfews Daily reporting to PO	12 days of jail	Electronic Monitoring
Five	Attend daily reporting Center/Program, if available Curfews Report to Probation Board	30 days of jail	Jail

*Adapted from Taxman, Soule, Gelb, 1999.

*The infraction has to be within a 30-day window. Sanctions restart as long as there is a two-week period of compliance.

† The PO has discretion about the severity of the sanction chosen at each level. For example, a client/offender who has submitted five consecutive positive urines may be brought before the Probation Board. However, depending on the specific circumstances of the case, the PO may recommend that the client/offender be mandated to more intensive supervision (e.g., inpatient), to live in a halfway house, or to have her/his probation revoked. These recommendations should be based on a careful review of the case, a discussion with the judge, and the best interests and welfare of the client/offender.

Core Principles of Sanctions

- Sanctions should be used to address re-arrests and continuous noncompliant behavior with the contract
- Use suspension period as a sanction which allows accumulation of points but not access to rewards
- Sanctions should be graduated, with increased severity as noncompliance continues
- Sanctions should be appropriate for the transgression

Chapter 7

Monitoring the Contract & Troubleshooting



Client Contracts

The JSTEP behavioral contract serves three purposes: set up the original contract, monitor the progress on this contract, and redefine new target behaviors based on progress. The initial contract defines the main goals and steps. In each subsequent session, the objective is to review the contract and note progress in each area. The JSTEPS software allows the user to note success and to define the new weekly (or other chosen time period) contract at the same time. This is important since it allows the points to be awarded. The JSTEPS software and the checklists will help guide the supervision sessions. Monitoring the contract involves the following:

1. Review the current contract by going through the red, orange, yellow, and green areas.
 - a. Red: If there has been no involvement with the justice system, then this is an area to affirm the client/offender progress. The goal is to establish that there is no expected criminal involvement prior to the next meeting.
 - b. Orange: Staying clean is an important goal of success. Review the findings. If the client/offender is testing positive, then they and the JSTEPS team should determine what needs to be done to enable the client to test negative.
 - c. Yellow: “Showing up” (participation) is an important factor in life. Review the progress for each appointment—supervision, treatment, self-help groups. Set a new appointment schedule for each type of contact if the current appointment schedule is not manageable for the client/offender.
 - d. Green: Stabilize participation behaviors. Review the progress for each green area or behaviors supporting recovery. Note that these recovery behaviors are to support orange and yellow areas and discuss how they relate to the orange and yellow behaviors.

The Notes field in JSTEPS can be used to keep track of any struggles that a client is having, for example, a client may be abstinent but having trouble. Making a note will help the PO track progress on these struggles.

Review the progress charts, including the graphs, to show the client/offender the progress they have made. Provide copies of the graphs to client/offender. This can be an especially useful tool when the client/offender is making progress or struggling. In either case, the graphs are important tools to examine the progress and note patterns in the behavior of the client/offender. For example, the following graph shows a client who is making progress in the program with a few issues along the way. Hovering the mouse next to a point on the graph will tell you how many points the client had at any given point.

Figure 2: Progress Graph for Goals



The following graph tracks all behaviors—red, orange, yellow, and green. Hovering the mouse next to any part of the bar graphs shows how many points the client has earned in each category.

Figure 3: Progress Graph



- Issue rewards when the client/offender earns the points and always review positive rewards given and progress made. This emphasizes the importance of good behavior in the program. The objective is to get the client/offender to recognize the progress they have made and the hard work they have done. If the client is not eligible for rewards or points because of noncompliance, look at the surrounding behaviors. Are there any new stressors in the client's life? Have they been noncompliant with some behaviors but successful in others? Look for positive behaviors and verbally affirm them. Talk to the client about recent challenges in their life and attempt to address them. Reviewing the charts will help the client/offender understand the progress. Finally, review the current goals and determine whether they are still appropriate for the client. For example, if the client has a new job, they may not be able to attend as many treatment sessions, so consider whether greater flexibility is possible.

Some Tips to Working toward Behavior Change

Clients/offenders face challenges in complying with the guidelines set forth by probation. When these challenges arise, clients/offenders often revert back to their negative behaviors. In order to address these behaviors, the team members may use the following techniques:

... Avoid Manipulation

- Communicate clearly and openly with client/offender
- Set appropriate boundaries with client/offender and maintain them
- Set clear expectations and enforce them
- Require concrete verification of compliance with expectations
- Ignore manipulation
- Keep in mind that clients/offenders manipulate staff because it has worked in the past
- If manipulation is ignored and not reinforced, it will eventually stop

... Address Bad Attitudes

- Focus on behavior, not attitude (roll with resistance)
 - Reinforce good behavior
 - Punish bad behavior
- Paying attention to undesirable behavior reinforces it
 - Reinforcement leads to the behavior being repeated

... Be Aware of Ambivalence vs. Resistance

- Resistance – willful failure to comply with expectations
- Ambivalence – failure to act because of conflicting feelings
- Both resistance and ambivalence lead to client/offenders not complying
- Ambivalence is often viewed as resistance
- Because resistance is willful (e.g. client/offender chooses not to comply), noncompliance is punished
 - But, is it resistance or is it ambivalence?

- Ambivalence is NOT willful; client/offender feels confused or uncertain about what the best choice is.
 - Result: Client/offender does nothing
 - Result: focus on ambivalence which can contribute to doubts about whether the person can achieve success
 - Result: focus on the long hard road to recovery/crime-free life

... Be Realistic

- Remember:
 - Failure to achieve abstinence right away is not necessarily a sign of resistance or lack of effort
- Support all efforts even if they are unsuccessful
- Give treatment time to work
- No system is able to help everyone

Core Principles of Monitoring the Contract and Troubleshooting

- Software allows easy monitoring of behaviors and point accumulation
- Use the charts to show the person their progress
- Use motivational techniques to work through client/offender problems
- The charts are useful tools to remind the person of the agreed reward levels.

Chapter 8

Developing the Rewards and Sanctions



Major Principles for the Design of Rewards & Sanction Schedule

► **Rewards**

- ▶ Give points for key behavior: e.g., Drug abstinence (clean urines), treatment attendance
- ▶ Escalating schedule reinforces periods of continuous abstinence
- ▶ Thinning: Reduce amount that can be earned later in the program by reducing reporting frequency (not point value)

► **Bonuses**

- ▶ Bonus points awarded to acknowledge and reinforce periods of sustained abstinence (e.g. 4 consecutive weeks)

► **Suspension**

- ▶ Suspension penalty further motivates clients to remain abstinent
- ▶ Each positive urinalysis test results in point accrual being set back to 1 point and escalation peer week continues provided clients' urinalysis are negative

Spending Earned Points

- ✓ Clients do not ever lose points that have been earned
- ✓ But spending may be put on hold during periods of sanction for drug use or resolution of a new criminal charge

The following document is a worksheet on which you be asked to develop your site's draft system for rewards and sanctions.

Worksheet for Rewards and Bonuses

Rewards:

Sites will need to make 4 Determinations to develop their own schedule for rewards and sanctions for JSTEPS:

- What behaviors should be rewarded?
- How many points should be given for each behavior?
- What should be the escalating schedule that reinforces periods of continuous compliance such as abstinence?

- › What type of enhancement procedures should be used? For example, thinning is often used to reward early in the timeframe but then reduce the frequency to encourage sustained behaviors

Types for Determining Rewards:

- ✓ Be clear as to which behaviors are MOST important besides the non-negotiable (being crime-free).
- ✓ Give points for the desired behaviors, to reinforce the importance
- ✓ Remember: target behaviors can be added over time. During the early periods it is important to be crisp and clear as to what the most important short-term behaviors to begin the program/supervision
- ✓ The number of behaviors that earn points, affects the schedule for noting the milestones.

Worksheet on Identifying What Should Be Rewarded

Provide the rationale for whether the client/offender should be allowed to earn points for being drug-free or alcohol-free (orange behaviors).

.

Provide the rationale for whether the client/offender should be allowed to earn points for attendance behaviors, and if so which ones (supervision, court, treatment, self-help, employment program, etc.)? Define which attendance behaviors should be rewarded.

Provide the rationale for whether the client/offender should be allowed to earn points for sustaining behavior (green behaviors).

Provide the rationale for whether the client/offender should be allowed to earn points for being crime-free (red behaviors).

In the following three sections, consider how you want to handle the points for rewards. For JSTEPS, we encourage a focus on orange and yellow behaviors first.

Basic Assumptions

	Orange Behaviors	Yellow Behaviors	Green Behaviors	Red Behaviors
Initial points for the behavior				
Subsequent points issued each week the behavior is observed				
Escalation of points schedule –when should points be increased				
Thinning of points schedule or when will rate of earning points slow down				
Identify number of points needed to earn each level of a reward				
Total points possible				

Getting Past the Humps: Adding Bonuses

Beginning the change process is only the first step. The harder steps are maintaining the process and sustaining the momentum.

- Beginning a change process is hard
- Sticking to it for a period of time (such as 4 weeks, 8 weeks, 12 weeks, etc.) requires diligence and a commitment to change
- Maintaining a change process is even harder
- You can use bonus points to make the point that the initial strides and sustained behaviors are valued!

List behaviors that will earn bonus points, e.g., consecutive weeks of abstinence, admitting to drug use:

	Red Behaviors	Orange Behaviors	Yellow Behaviors	Green Behaviors
# of bonus points possible				
At what levels should it be issued				
Separate reward system or included in overall point system? (Y/N)				

What Does the Schedule Look Like?

Plot what the schedule should look like. Enter the initial points for each affirmative behavior that keeps to the contract. This includes the initial level and then subsequent points. Enter when Bonus Points should be given.

Consecutive weeks	Orange	Yellow	Green	Red	Bonus Level	Notes
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						

Consecutive weeks	Orange	Yellow	Green	Red	Bonus Level	Notes
15						
16						
17						
18						
19						
20						
21						
22						
23						
24						
25						
26						
27						
28						
29						
30						
31						
32						
33						
34						
35						
36						
37						
38						
39						
40						
41						
42						
43						
44						
45						
46						
47						
48						
49						
50						
51						
52						

Now, test out your decisions on this case. This will allow you to determine if this how you want the person to be handled.

JSTEPS—2nd Sample Case

Xavier Phillips was convicted for possession and sales of an illegal substance (heroin) and possession of a firearm. He spent five years in Federal Prison and was released to probation on January 1, 2009. This is his first time on Federal probation. He has a sentence of four years on probation supervision. The terms of his supervision include a drug testing and drug treatment condition. He has a probation RPI score of 8. Plot out your schedule for rewarding behavior. What adjustments would you like to make?

Case notes:

- Reported to probation w/in 24-hours of release from custody and had initial interview with PO at field office; positive UA; PO recommends weekly drug testing; recommends Phillips completes orientation interactive journal about what it means to be on probation supervision.
- 1/13/09: PO visits Phillips at his mother's home. He is temporarily staying there, but will need to eventually find employment and his own residence.
- 2/4/09: Phillips has started drug treatment and employment counseling. He has attended individual and group treatment sessions weekly, but had a positive UA.
- 2/16/09: Phillips again tests positive for heroin, but continues to attend weekly intensive out-patient treatment.
- 3/17/09: Phillips reports that he is taking steps to find employment and has received positive feedback from his job counselor. He has another positive UA, but this time it is marijuana rather than heroin.
- 4/15/09: Phillips has found part-time employment and has a negative UA.
- 5/15/09: Phillips is complying with all of his conditions, and has another negative UA. He is in the process of finding his own housing.
- 6/15/09: Phillips has secured his own housing, completed drug treatment and has another negative UA.
- 7/15/09: Phillips' mother passes away, he misses a meeting with his probation officer and two UAs.
- 7/30/09: Phillips has lost his job, but comes into meet with his probation officer. He has a positive UA (heroin). His probation officer recommends starting intense drug treatment again.
- 8/15/09: Phillips has gotten back on track with his treatment meetings and meetings with his probation officer, but tells the PO that he occasionally smokes marijuana.
- 9/15/09: Phillips continues with his intensive drug treatment and is again looking for a job, he again has a positive UA (marijuana).
- 9/30/09: Phillips has found part-time employment again, but has another positive UA (marijuana).
- 10/7/09: Phillips has a negative UA and remains employed.

- 11/7/09: Phillips has a negative UA and remains employed.
- 1/7/10: Phillips has a negative UA and remains employed.

Final Point: You can Add Suspensions for Yo-Yo Periods (Ups and Downs)

> Suspension penalty further motivates clients to remain abstinent

Each positive urinalysis test results in point accrual being set back to 1 point and escalation peer week continues provided clients' urinalysis are negative. What behaviors will result in suspending the client/offender in your jurisdiction? List below.

Will clients/offenders be able to earn points for other positive behaviors while in suspension? If so, which ones?

Will clients/offenders be able to spend point for rewards for other positive behaviors while in suspension? Social rewards only or material rewards too?

For your site, fill out the following in the JSTEPS site administration section to define how you want the rewards to function based on these decisions.

Add Site	
Name :	<input type="text"/>
Start Date :	<input type="text"/>
Status :	<input type="button" value="Active"/>
Reward L1 points :	<input type="text"/> the number of points to reach level 1
Reward L2 points :	<input type="text"/> the number of points to reach level 2
Reward L3 points :	<input type="text"/> the number of points to reach level 3
Reward L4 points :	<input type="text"/> the number of points to reach level 4
Reward L5 points :	<input type="text"/> the number of points to reach level 5
Reward L6 points :	<input type="text"/> the number of points to reach level 6
Reward L7 points :	<input type="text"/> the number of points to reach level 7
Reward L8 points :	<input type="text"/> the number of points to reach level 8
Reward L9 points :	<input type="text"/> the number of points to reach level 9
Reward L10 points :	<input type="text"/> the number of points to reach level 10
Number green behaviors :	<input type="text"/> the number of Green Target behaviors
Number Green Behaviors Accumulate :	<input type="text"/> Number of green behaviors that earn points
Green Additional Points :	<input type="text"/> number of additional points each week for this behavior (to accelerate point accumulation)
Number yellow behaviors :	<input type="text"/> the number of Yellow Target behaviors
Number Yellow Behaviors Accumulate :	<input type="text"/> Number of yellow behaviors that earn points
Yellow Additional Points :	<input type="text"/> number of additional points each week for this behavior (to accelerate point accumulation)
Use red points :	<input type="button" value="No"/> Give points for red behaviors
Red Additional Points :	<input type="text"/> number of additional points each week for this behavior (to accelerate point accumulation)
Use orange drug points :	<input type="button" value="No"/> Give points for negative drug test
Orange Drugs Points :	<input type="text"/> How many points for negative drug behavior.
Use orange alcohol points :	<input type="button" value="No"/> Give points for negative alcohol test
Orange Alcohol Points :	<input type="text"/> How many points for orange alcohol compliance.
Orange Drug Additional Points :	<input type="text"/> number of additional points each week for this behavior (to accelerate point accumulation)
Orange Alcohol Additional Points :	<input type="text"/> number of additional points each week for this behavior (to accelerate point accumulation)
Use Red Bonus :	<input type="button" value="No"/> Should compliance with red behavior be used for a bonus?
Red Bonus Weeks :	<input type="text"/> How many consecutive weeks necessary to get red bonus points
Red Bonus Points :	<input type="text"/> The amount of the bonus for red bonus
Use Orange Alcohol Bonus :	<input type="button" value="No"/> Should compliance with orange alcohol behavior be used for a bonus?
Orange Alcohol Bonus Weeks :	<input type="text"/> Number of consecutive weeks necessary to get orange alcohol bonus.
Use Orange Drugs Bonus :	<input type="button" value="No"/> Should compliance with orange drug behavior be used for a bonus?
Orange Drugs Bonus Weeks :	<input type="text"/> Number of consecutive weeks necessary to get orange drug bonus.
<input type="button" value="Send"/> <input type="button" value="Cancel"/>	

Sanctions

Use the following table to sketch your site's sanction system:

	Red	Orange	Yellow	Green
Will there be sanctions for noncompliance with these behaviors? (Y/N)				
Along what dimensions will sanctions be graded? (e.g., gradual restriction of freedom)				
How many levels will there be?				
At what point of noncompliance will sanctions begin? (e.g., two positive urines)				
What must occur for sanctions to be removed? (e.g., cancel sanctions for negative urine)				



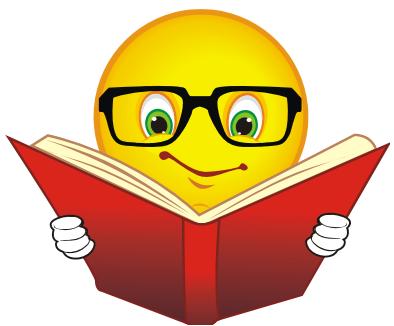
JSTEPS Action Worksheet

JSTEPS teams are urged to use this worksheet as a tool to address outstanding tasks and policy issues that need to be resolved in order to be successful in this project. On the first page, teams can list policy issues they are facing that may be barriers to successful implementation, e.g., current drug testing policy is not frequent enough, select the party or parties who will address the issue, and determine the date by which it should be completed. On the subsequent pages, teams can finalize their system of rewards, bonuses, suspensions, and sanctions and work out issues with dissemination, information sharing, and any other issues,

Tasks to Be Completed	Responsible Team Member						Date Due
	Judge	Probation	AUSA	Defender	TX Provider	Other Jurisdiction	
Rewards, Suspensions, Bonuses							
Sanctions							

Tasks to Be Completed	Responsible Team Member						Date Due
	Judge	Probation	AUSA	Defender	TX Provider	Other Jurisdiction	
Dissemination							
Information Sharing							

Appendix A: References



References

- Arabia, P.L., Fox, G., Caughey, J., Marlowe, D.B. & Festinger, D.S. (2008). Sanctioning Practices in an Adult Felony Drug Court. *Drug Court Review*, 6(1), 1-32.
- Friedmann, P.D., Katz, E.C., Rhodes, A.G., Taxman, F.S., O'Connell, D.J., Frisman, L.K., Burdon, W.M., et al (2008). Collaborative Behavioral Management for Drug-Involved Parolees: Rationale and Design of the Step'n Out Study. *Journal of Offender Rehabilitation*, 47(3), 290-318.
- Friedmann, P.D. & Richards, K. (2005). CJ-DATS Step'n Out Study: Research Protocol. Unpublished manual.
- Haynes, A.B., Weiser, T.G., Berry, W.R., Lipsitz, S.R., Breizat, A.S., Dellinger, E.P., Herbosa, T. (2009). A Surgical Safety Checklist to Reduce Morbidity and Mortality in a Global Population. *New England Journal of Medicine*, 360, 491-499.
- National Association of Drug Court Professionals, Drug Court Standards Committee (1997). *Defining Drug Courts: The Key Components*. Drug Courts Program Office, U.S. Department of Justice.
- Petry, N.M. (2000). A comprehensive guide for the application of contingency management procedures in standard clinic settings. *Drug and Alcohol Dependence*, 58, 9-25.
- Prendergast, M., Podus, D., Finney, J., Greenwell, L., & Roll, J. (2005). Contingency management for treatment of substance use disorders: a meta-analysis. *Addiction*, 101, 1546-1560.
- Proctor, E.K., Landsverk, J., Aarons, G., Chambers, D., Glisson, C. & Mittman, B. (2009). Implementation research in mental health services: an emerging science with conceptual, methodological, and training challenges. *Administration and Policy in Mental Health and Mental Health Services Research*, 36(1), 24-34.
- Taxman, F. S., Shepardson, E., & Byrne, J. M. (2004). Tools of the trade: A guide to incorporating science into practice. Washington, DC: National Institute of Corrections.
- Taxman, F.S., Soule, D., & Gelb, A. (1999). Graduated Sanctions: Stepping into Accountable Systems and Offenders. *The Prison Journal*, 79(2), 182-204.

Appendix B: List of Key CM Articles



KEY PIECES OF CM LITERATURE TO REVIEW

Festinger, D. S., Marlowe, D. B., Croft, J. R., Dugosh, K. L., Mastro, N. K., & Lee, P. A. (2005). Do research payments precipitate drug use or coerce participation? *Drug and Alcohol Dependence*, 78(3), 275-281.

This study rewarded drug abusers for their participation in the study. The researchers randomly assigned 350 drug abuse outpatients to receive payments of \$10, \$40, or \$70 in either cash or gift certificates for attending a 6-month research follow-up assessment. The incentive was awarded to the participant at the 6-month follow-up and a new appointment was scheduled for three days after this initial follow-up in order to assess any new drug use behaviors. Findings suggested that higher payments and cash payments were associated with increased follow-up rates. The researchers also obtained information on how the participants used their payment incentive. The incentives were used in the following ways: drugs, transportation, debts and bills, household and personal needs, gifts, and luxury items.

Ghitza, U. E., Epstein, D. H., Schmittner, J., Vahabzadeh, M., Lin, J., & Preston, K. (2008). Effect of reinforcement probability and prize size on cocaine and heroine abstinence in prize-based contingency management. *Journal of Applied Behavior Analysis*, 41(4), 539-549.

The researchers conducted an analysis of data from a randomized clinical trial to determine the effects of the probability of winning a prize (low vs. high) and the size of the prize won (small, large, or jumbo) on the likelihood of abstinence until the next urine-collection day for heroin and cocaine users in methadone maintenance. The study was conducted in three phases. The first phase was a 5-week baseline of standard treatment; the second phase was a 12-week experimental intervention plus standard treatment; and the third was an 8-week maintenance post-intervention phase. During the final phase, prize-based reinforcement was discontinued. A higher probability of winning was associated with a greater percentage of cocaine-negative urines. The size of the individual prizes had no effect on abstinence of either heroin or cocaine users.

Lewis, M. W., & Petry, N. M. (2005). Contingency management treatments that reinforce completion of goal-related activities: Participation in family activities and its association with outcomes. *Drug and Alcohol Dependence*, 79(2), 267-271.

This study maintains that contingency management techniques that reinforce completion of non-drug-related activities may be effective in treating substance abuse disorders. One hundred and fifty-nine cocaine-abusing adults were randomized to CM treatments in two larger studies and were categorized based on whether or not they engaged in three or more family activities in a 12-week treatment period. The two studies involved the use of two different CM interventions. One focused on the use of the fishbowl approach, and the other condition used a voucher reinforcement that could be exchanged for retail goods or services. Research findings indicated that participants (n=29) who engaged in family-related activities during CM treatments made evidence improved outcomes and reduced family conflicts.

Marlowe, D. B., Festinger, D. S., Dugosh, K. L., Arabia, P. L., & Kirby, K. C. (2008). An effectiveness trial of contingency management in a felony preadjudication drug court. *Journal of Applied Behavior Analysis*, 41(4), 565-577.

This study looks at the use of a CM program in a drug court. In order to ensure compliance, gift certificates were provided to participants at 4 to 6 week intervals. Participants in one condition earned gift certificates that increased in \$5.00 increments. Another condition provided participants with gift certificates of a higher value and the density of reinforcement was gradually decreased. No main effects were detected for the CM intervention in this study.

Roll, J. M., Huber, A., Sodano, R., Chudzynski, J. E., Moynier, E., & Shoptaw, S. (2006). A comparison of five reinforcement schedules for use in contingency management-based treatment of methamphetamine abuse. *Psychological Record*, 56(1), 67-81.

This article focuses on Voucher Based Reinforcement Therapy (VBRT) and the schedule with which reinforcement is delivered. First, reinforcement value escalated with consecutive instances of abstinence. Second, consecutive blocks of abstinence earned additional reinforcement. Finally, failure to abstain resulted in a reset in reinforcement magnitude. Results indicated that high magnitude reinforces are as effective at promoting abstinence (Schedule 4) as are escalating reinforcement magnitudes (Schedules 3 & 5). Also, schedules which combine escalating reinforcement magnitudes with reset contingencies (Schedule 5) are more likely to protect against relapse following a period of abstinence.

Five types of scheduling options:

1. A flat magnitude of reinforcement schedule with no bonuses for continuous abstinence or resets for failure to abstain;
2. Slowly escalating magnitude of reinforcement with large bonuses for blocks of abstinence and no resets for failure to abstain;
3. High initial magnitude of reinforcement with slow escalation of voucher magnitude and no bonuses for continuous abstinence or resets for failure to abstain;
4. High initial magnitude of reinforcement that decreased rapidly with moderate bonuses for blocks of abstinence and no resets for failure to abstain;
5. Low initial magnitude of reinforcement, with moderate escalation, moderate bonuses for continuous abstinence and resets in voucher magnitude for failure to abstain.