Science of the LS/CMI – A Risk and Needs Assessment Tool

Reentry from Corrections System to Community

Who conducts it and who gets it?
- Over 1,000 individuals have completed a rigorous 4-day training
  - Inmates
  - Probationers
  - Parolees

Purpose
- Implement the use of a validated risk and needs assessment tool
  - Identify criminogenic needs
  - Determine risk based on the needs
  - Create opportunities that address the needs and reduce the risk (through case management plan)
Criminogenic Needs

- Anti-social cognition
- Anti-social companions
- Anti-social personality
- Family / Marital
- Substance Abuse
- Employment
- School
- Leisure and/or recreation

LS–CMI—What is it?

- Detailed survey of risk and need factors
- Can be used in all forensic settings
- Appropriate for use with male and female offenders 16 years of age and older
- Based on North American sample of 135,791 adult offenders
- Gender and population based norms

How is it used?

- To provide a record of case information from intake to case closure.
- To provide a record of case processing and service provision.
- To supply a common language across systems.
- To link case and service information consistently.
- To link assessment and service with evidence-based approaches.
The LS/CMI™ at a Glance

A. Offender History Form
   1. General Risk/Need Factors
   2. Specific Risk/Need Factors
   3. Prison Experience – Institutional Factors
   4. Other Client Issues
   5. Special Responsivity Considerations
   6. Risk/Need Summary/Override
   7. Risk/Need Profile
   8. Program/Placement Decision
   9. Case Management Plan
  10. Progress Record
  11. Discharge Summary

Sequencing of the Sections

1. General Risk/Need Factors
2. Specific Risk/Need Factors
3. Prison Experience – Institutional Factors
4. Other Client Issues
5. Special Responsivity Considerations
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11. Discharge Summary

The “Central Eight” Criminogenic Needs

<table>
<thead>
<tr>
<th>LS/CMI™ Section 1 Subcomponents</th>
<th>The “Central Eight” Criminogenic Needs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Criminal History</td>
<td>History of Antisocial Behavior</td>
</tr>
<tr>
<td>Education/Employment</td>
<td>Education/Employment</td>
</tr>
<tr>
<td>Family/Marital</td>
<td>Family/Marital</td>
</tr>
<tr>
<td>Leisure/Recreation</td>
<td>Leisure/Recreation</td>
</tr>
<tr>
<td>Companions</td>
<td>Antisocial Associates</td>
</tr>
<tr>
<td>Alcohol/Drug Problem</td>
<td>Substance Abuse</td>
</tr>
<tr>
<td>Procriminal Attitude/Orientation</td>
<td>Antisocial Attitudes</td>
</tr>
<tr>
<td>Antisocial Pattern</td>
<td>Antisocial Personality Pattern</td>
</tr>
</tbody>
</table>
**RNR Principles** of Effective Correctional Tx

- **Risk:** The level of service should vary with level of risk
- **Need:** Appropriate intermediate targets of change (criminogenic needs)
- **Responsivity:**
  - General, use behavioral, social learning, cognitive behavioral strategies
  - Specific, match intervention modes and strategies to learning styles, motivation, and demographics of case
- **Professional Discretion:** Non-adherence for specified reasons
- **Tx Integrity:** The correct dosage delivered by qualified providers

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**Research Terms Review**

- Meta-Analysis
- Experimental & Control Groups
- Effect Size
- Valence of Effect Size

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**Meta-Analysis**

- A method of summarizing previous research by reviewing and combining results from multiple studies
- Because meta-analyses combine the results of many studies, they provide a more unbiased result than does any single study
Research Groups

- Treatment/Experimental Group: A group of study participants who receive the intervention being tested
- Control Group: A comparison group of study participants who do not receive the intervention being tested

Effect Size as a Difference in Recidivism Rates

Valence of the Effect Size: the difference between Positive and Negative
Mean Effect Size

- The mean effect size indicates the overall average difference between the recidivism rate in the comparison (control) groups and the recidivism rate in the treatment groups.

RNR Principles of Effective Correctional Tx
(Introduced in 1990)
- Risk: The level of service should vary with level of risk
- Need: Appropriate intermediate targets of change (criminogenic needs)
- Responsivity:
  - General, use behavioral, social learning, cognitive behavioral strategies
  - Specific, match intervention modes and strategies to learning styles, motivation, and demographics of case

Risk Principle
- Match level of services to level of risk
- Prioritize Supervision and Treatment Resources for Higher-Risk Offenders
**Patterns in Risk Level & Tx Intensity**

<table>
<thead>
<tr>
<th>Offender Risk Level</th>
<th>% Recidivism Tx by Risk Level</th>
<th>Authors of Study</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Minimum</td>
<td>Intensive</td>
</tr>
<tr>
<td>Low Risk</td>
<td>16%</td>
<td>22%</td>
</tr>
<tr>
<td>High Risk</td>
<td>78%</td>
<td>50%</td>
</tr>
<tr>
<td>Low Risk</td>
<td>3%</td>
<td>10%</td>
</tr>
<tr>
<td>High Risk</td>
<td>37%</td>
<td>19%</td>
</tr>
<tr>
<td>Low Risk</td>
<td>12%</td>
<td>17%</td>
</tr>
<tr>
<td>High Risk</td>
<td>58%</td>
<td>37%</td>
</tr>
<tr>
<td>Low Risk</td>
<td>12%</td>
<td>29%</td>
</tr>
<tr>
<td>High Risk</td>
<td>82%</td>
<td>29%</td>
</tr>
</tbody>
</table>

* Some studies combined Tx with supervision or other services.

**Offender Risk of Recidivism**

Resembles a Bell-Shaped Curve (Normal Distribution)

**Triage:** Cutting the “Tail” Off One End of Your Caseload

Low Risk Offender - Has less favorable pre-social functioning and therefore most likely to return to criminal activity. Collect them at the beginning of your caseload.

Divert to administrative supervision.
Need Principle

- Match Services (Interventions) to Criminogenic Needs
- Prioritize treatment to highest scoring criminogenic needs
- In the case of a tie, treat the intrinsic need first

Mean Effect Size by Specific Needs Targeted: Criminogenic Needs (the Central 8)

(K = 374)

- Antisocial Attitudes .21 (78)
- Self-Control Deficits .22 (59)
- Antisocial Associates .21 (51)
- Non-Criminal Alternative Behavior in High-Risk Situations .22 (18)
- Family Process .29 (30)
- School/Work .15 (88)
- Substance Abuse .11 (36) ns
- Leisure Recreation not tested

Mean Effect Size by Adherence to the Need Principle

<table>
<thead>
<tr>
<th>Tx programs appropriately addressing the need principle</th>
<th>Mean Effect Size</th>
</tr>
</thead>
<tbody>
<tr>
<td>(k = 169)</td>
<td>r = .19</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>Tx programs not appropriately addressing the need principle</th>
<th>Mean Effect Size</th>
</tr>
</thead>
<tbody>
<tr>
<td>(k = 205)</td>
<td>r = -.01</td>
</tr>
</tbody>
</table>

Dowden (1998)
Responsivity Principle

- General responsivity principle – use behavioral, social learning, cognitive behavioral strategies
- Specific responsivity principle – match intervention modes and strategies to learning styles, motivation, and demographics of case

Adherence with General Responsivity

- General responsivity .40
- Plus core correctional practices (relationship and structuring skills) .43
- Plus selection, training and clinical supervision of staff .46

Cognitive Behavioral Therapy (CBT) is:

- CBT treats emotional and behavioral disorders as maladaptive learned responses that can be replaced by healthier responses
- Action-oriented, using behavior modification techniques
  - Behavioral homework assignments and journal keeping
  - Rehearsal of productive thinking patterns
  - Modeling of coping skills followed by rehearsal, then coaching
Specific Responsivity Principle

- Match treatment mode to offender characteristics
- Examples – language/learning style; race/gender/ethnicity; motivational level

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Specific Responsivity Examples

Key offender characteristics being addressed by different modes of Tx:

- Psychopathy
- Motivational level
  - Gender–specific programming
  - Culturally–specific programming
  - Integrate the several personality models
  - Static and dynamic responsivity factors
  - Mental disorder

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Mean Effect Size by Adherence to RNR

![Graph showing mean effect size by adherence to RNR principles.](image)
### Program Characteristics

<table>
<thead>
<tr>
<th>Characteristics</th>
<th>Recidivism</th>
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</thead>
<tbody>
<tr>
<td>Routine Probation (P)</td>
<td>50%</td>
</tr>
<tr>
<td>P + Minimal Program</td>
<td>46%</td>
</tr>
<tr>
<td>Programs with average effect size</td>
<td></td>
</tr>
<tr>
<td>P + Best Intervention Type</td>
<td>40%</td>
</tr>
<tr>
<td>Programs with largest effect size</td>
<td></td>
</tr>
<tr>
<td>P + B + Good Implementation (I)</td>
<td>35%</td>
</tr>
<tr>
<td>P + B + I + Over 6 Months Duration</td>
<td>32%</td>
</tr>
</tbody>
</table>


#### Treatment Effectiveness

Percentage Reduction in Recidivism in 154 Controlled Studies

- Traditional Punishments (30 studies): 7%
- ISPs (47 studies): 7%
- Inappropriate Treatment (32 studies): 6%
- Unspecified Treatment (54 studies): 13%
- Appropriate Treatment (38 studies): 30%


### Recidivism Wall:

Impediment to More Pro-social Thinking & Behavior

“Central Eight” Criminogenic Needs
**Static and Dynamic Items**

**Static Items**
- Age, gender, race
- Criminal history
- Intellectual functioning

**Dynamic Items**
- Pro-criminal attitudes
- Criminal associates
- Dysfunctional family relations
- Alcohol/drug problems
- Low self-control
- Education/employment
- Leisure/recreation

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**LS/CMI™ Risk/Need Scores**

<table>
<thead>
<tr>
<th>Risk/Need</th>
<th>CH</th>
<th>EE</th>
<th>PH</th>
<th>LI</th>
<th>CO</th>
<th>ADP</th>
<th>Rk</th>
<th>AP</th>
<th>Total</th>
<th>RH</th>
<th>Override</th>
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<tbody>
<tr>
<td>Very High</td>
<td>8</td>
<td>5</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>5</td>
<td></td>
<td></td>
<td>11</td>
<td></td>
<td>Very High</td>
</tr>
<tr>
<td>High</td>
<td>6-2</td>
<td>3</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>3</td>
<td></td>
<td></td>
<td>7</td>
<td></td>
<td>High</td>
</tr>
<tr>
<td>Medium</td>
<td>4-2</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td></td>
<td></td>
<td>5</td>
<td></td>
<td>Medium</td>
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<tr>
<td>Low</td>
<td>3</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td></td>
<td></td>
<td>5</td>
<td></td>
<td>Low</td>
</tr>
<tr>
<td>Very Low</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td></td>
<td></td>
<td>4</td>
<td></td>
<td>Very Low</td>
</tr>
</tbody>
</table>

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**Semi-Structured Interviewing – Three Stages**

1. **Setup**
2. **Information-gathering (‘Funnel’)**
3. **Close-out**
Active Listening Skills (OARS)

1) Open Questions
2) Affirmations
3) Reflections
4) Summarizations
Quality Assurance

- Have the ability to run reports to gather summary information about different facilities or districts
- Have the opportunity to break down into areas in facilities or districts
Offender Risk of Recidivism
Resembles a Bell-Shaped Curve (Normal Distribution)

Numbers by Risk Category

- Get out of the way / Leave them alone
  - Intensive treatment for low risk offenders can actually INCREASE risk of recidivism
- Zero In
  - Target those with high probability of recidivism
- Live in their back pocket
  - Provide most intensive treatment and supervision available
The PSI with the LS/CMI

- THE LS/CMI* AND THE PSI IN PRACTICE
  - House Bill 463 Section 1 requires that by July 1, 2013 that sentencing judges consider the results of a validated risk and needs assessment included in the presentence investigation.

* MHS SYSTEMS, 2012

PSI with LS/CMI Progression

GOAL - Compliance with HB 463 by 7/1/2013

- Phased in approach
  - Database changes were required to enable us to combine the information
  - In the narrative recommendations section of the PSI – judges will see a graph with data directly from the LS/CMI
  - Example

What drives policy and practice?

- Balance, Reasoning and Discretion
  - No matter how many policies and practices
- Discovering and Using What Works?
  - Evidence-based practices
  - Outcome measures
- Tool Development and Utilization
  - We have been heavily involved in equipping staff and hoping they utilize what works.