


Behavioral Change Through  
the Use of  
Success Plans (Case Plans)



**PPCJI** Pennsylvania Partnership  
for Criminal Justice  
Improvement

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Webinar  
Format

- Overview of Success Planning
- Recommended Form
- Demonstration
- Tips
- Questions

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Standard B.7.  
Individualized  
Case plan

- An individualized case plan is developed for appropriate offenders as determined by the risk and need assessment. This plan is reviewed and approved by a supervisor. The offender receives a copy of the case plan. The case plan includes as appropriate:
  - the **appropriate level of supervision** as determined by the offender's **risk and need**
  - development of goals and objectives that **address community safety** and offender **needs to reduce recidivism**
  - objectives to be met by the offender and the field officer
  - services that address the offender's needs

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### Standard B.8. Case Plan Development

- Staff and offender **jointly develop** and complete the individualized case plan within **60 days of the completion of the risk and need assessment**. The case plan includes **measurable criteria** of expected behavior and accomplishments, a time schedule for achieving specific objectives and goals, and scheduled progress reviews. The case plan is documented with staff and offender **signatures**. Any change in an individualized case plan is reviewed and discussed with the offender.

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### Standard B.9. Case Plan Review, Reassessments

- Agency policy governs the **time frame** for the review, re-assessment, and modification of the individualized case plan and level of supervision. The offender's **progress** in achieving objectives is **documented**.

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### Why Is a Success Plan Important?

- Roadmap to improved outcomes and increased success
- Tool to engage people in behavioral change
- Method to monitor progress
- Way to identify red flags




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**Common Responses to Success Planning**

- "I don't have time"
- "I know what to do and don't need to complete a case plan"
- "I am not a social worker"
- "The court order is the plan"
- "This process is redundant"
- "We have no quality assurance or accountability; this is not really important to anyone"
- "No consequences if the person does not do a success plan."




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**Success Plans...**



REDUCE NEW LAW AND TECHNICAL VIOLATIONS



ENHANCE PERCEPTIONS OF FAIRNESS AND, CONSEQUENTLY, COMPLIANCE



GET BETTER RESULTS WHEN KEY PLAYERS COLLABORATE

Reardon, O'Grady et al., 2022; Long & McWhorter, 2013; Schiraldi, 2002; Thomas, 2008; Thomas & Piantoni, 2003/2004

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**Key Elements of a Success Plan**

Level of risk	Dynamic factors	Drivers
Skills	Stabilization factors	Strengths/protective factors
Responsivity factors	Barriers	Triggers

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### Success Planning Key Points




BASE ON ASSESSMENT RESULTS



FOR PEOPLE LIKELY TO SUCCEED WITH A MEDIUM OR HIGH LEVEL OF SUPPORT



CREATE COLLABORATIVELY (PO, CLIENT)



PRIORITIZE IMMEDIATE STABILIZATION FACTORS AND THEN THE DRIVER

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### Dynamic, Responsivity, and Stabilization Factors

Source: Adapted from Andrews & Bonta, 2015

Four Most Influential Dynamic Factors	Other Four Dynamic Factors	Responsivity/ Stabilization Factors
Antisocial cognition (thoughts & beliefs)	Substance misuse	Health issues
Antisocial personality/temperament (coping, self-control, problem solving)	*Employment	Mental health
Antisocial associates (peers)	*Education	Learning disability
Family/marital	Leisure	Housing instability
*Reverse order for youth		Personal distress

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### Success Planning Key Points (Continued)



INCORPORATE STRENGTHS/PROTECTIVE FACTORS



ADDRESS RESPONSIVITY FACTORS AND BARRIERS



INCLUDE COGNITIVE BEHAVIORAL INTERVENTIONS



REFER TO THE SUCCESS PLAN AT EVERY APPOINTMENT

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Use the  
Success Plan  
to Help  
You Decide...

- Which goal to work on during an appointment
- Which objective to focus on
- Which technique to use



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PPCJI  
Documents

- Memorandum
- Policy
- Template

**Memorandum**

Date: November 1, 2012  
To: County Executive Staff  
From: Evidence Based Practice Workshop 2, Team 3 Case Planning  
Subject: Proposed Success Case Plan Policy and Template

A success case plan is established by using evidence based practices with limited further judicial involvement to assist those in making positive changes in their lives and reduce their rate of recidivism which ultimately promotes public safety. Attached is a guide to develop a success case plan policy, procedure, and evidence plan for counties throughout Pennsylvania.

**SUCCESS CASE PLAN POLICY**

**Purpose:** The purpose of this policy is to establish a uniform format and content for all success case plans across the state of Pennsylvania. The policy will ensure that all success case plans are developed in a consistent manner and that all success case plans are developed in a manner that is consistent with the requirements of the Evidence Based Practice Workshop 2, Team 3 Case Planning. The policy will also ensure that all success case plans are developed in a manner that is consistent with the requirements of the Evidence Based Practice Workshop 2, Team 3 Case Planning.

**Policy:** All success case plans developed in Pennsylvania shall be developed in a uniform format and content. The policy will ensure that all success case plans are developed in a consistent manner and that all success case plans are developed in a manner that is consistent with the requirements of the Evidence Based Practice Workshop 2, Team 3 Case Planning. The policy will also ensure that all success case plans are developed in a manner that is consistent with the requirements of the Evidence Based Practice Workshop 2, Team 3 Case Planning.

**CASE PLAN/SUCCESS PLAN**

**Client Name:** \_\_\_\_\_  
**County:** \_\_\_\_\_  
**Case Manager:** \_\_\_\_\_  
**Case Manager Title:** \_\_\_\_\_  
**Case Manager Email:** \_\_\_\_\_  
**Case Manager Phone:** \_\_\_\_\_  
**Case Manager Fax:** \_\_\_\_\_  
**Case Manager Address:** \_\_\_\_\_  
**Case Manager City:** \_\_\_\_\_  
**Case Manager State:** \_\_\_\_\_  
**Case Manager Zip:** \_\_\_\_\_  
**Case Manager Mailing Address:** \_\_\_\_\_  
**Case Manager Mailing City:** \_\_\_\_\_  
**Case Manager Mailing State:** \_\_\_\_\_  
**Case Manager Mailing Zip:** \_\_\_\_\_  
**Case Manager Mailing Address:** \_\_\_\_\_  
**Case Manager Mailing City:** \_\_\_\_\_  
**Case Manager Mailing State:** \_\_\_\_\_  
**Case Manager Mailing Zip:** \_\_\_\_\_

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PPCJI  
Memorandum

- Uniform format across Pennsylvania
- Assist with making positive change
- Reduce likelihood of recidivism
- Counties are encouraged to use these resources and to modify based on the specific needs of the county



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## PPCJI Policy

- Use 4<sup>th</sup> generation
- Match interventions to risk level
- Focus on risk reduction strategies and referrals
- Adjust for responsivity factors
- Use motivational interviewing techniques
- Review at each meeting



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## PPCJI Policy Key Components

- Risk factors & needs
- Responsivity factors/barriers
- Strengths
- Objectives
- Action Steps (Individual)
- Activities (Officer)



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## PPCJI Success Plan

**PPCJI** Restorative Community for Criminal Justice Department **CASE PLAN/SUCCESS PLAN**

The case/success plan is a comprehensive plan to help an individual acquire skills for positive change while addressing criminogenic needs upon assessment. This plan will provide a collaborative approach to an individualized path for success. It will consist of specific activities the individual will engage in to reach their risk reducing goal.

Case/Success Plan Origin Date:					
Client Name:					
Need Level:					
Probation Officer:					
List the top three criminogenic needs on the Assessment Tool:					
1.					
2.					
3.					
Goal #1 (i.e., improve relationship with children)			Where applicable, select criminogenic need target:		
Select goal type:			Choose an item.		
Choose an item.			Choose an item.		
Strengths:			Barriers/Stabilization:		
Choose an item.			Choose an item.		
Action Steps (Client)	Activities (PO)	Start Date	Goal Date	Progress/Achievement Notes	Success Date

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**PPCJI Success Plan**

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Client Name:	
Need Level:	
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1.	
2.	
3.	

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**PPCJI Success Plan**

Goal #1: (i.e., improve relationship with children)	
Select goal type: Choose an item.	Where applicable, select criminogenic need target: Choose an item.

- Goals:
  - An outcome that will increase a person's likelihood of success or that may lead to restoration

Choose an item.  
 Criminogenic  
 Court Ordered  
 Client Centered

Choose an item.  
 2.0 Education, Employment, Financial  
 3.0 Family and Social Support  
 4.0 Neighborhood  
 5.0 Substance Use  
 6.0 Peer Associations  
 7.0 Attitudes and Behavioral Patterns

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**Create Success Plan Goals That Are...**

- Broad statements that are clear and concise
- Written in language that clients would use
- Tied to stabilization and dynamic factors
- Stated in the affirmative
- Reflect a behavior that will continue to benefit clients in the future

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**Sample Goals**

Thoughts and beliefs	Coping/self-control skills	Family/relationships
Accept responsibility for my actions	Think before acting	Communicate effectively with family members

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**PPCJI Success Plan**

Strengths:  
Choose an item.

Why consider Strengths

- Recognizing their strengths/protective factors can increase clients' sense of self-efficacy
- People can harness their strengths/protective factors to work toward their goals

Choose an item.

- Family Support
- Peer Support
- Motivation
- Education
- Employment
- Housing Stability

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**PPCJI Success Plan**

Barriers/Stabilization:  
Choose an item.

Why Consider Barriers/Responsivity

- Each person is unique; one size does not fit all
- Match a person's traits to services and service providers, to the extent possible
- Barriers interfere with a person's ability to work towards goal

Choose an item.

- Family Support
- Peer Support
- Motivation
- Literacy
- Cultural
- Childcare
- Housing
- Medical
- Mental Health
- Language

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PPCJI Success Plan

Action Steps (Client)	Activities (PO)	Start Date	Goal Date	Progress/Achievement Notes	Success Date

Action Steps & Activities  
A means to achieving a goal; an action step




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Success Plan Goals and Action Steps/Activities

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graph TD
    Goal[Goal] --> AS1[Action Step/Activity 1]
    AS1 --> AS2[Action Step/Activity 2]
    AS2 --> AS3[Action Step/Activity 3]
  
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SMART Action Steps & Activities

**S** SPECIFIC  
**M** MEASURABLE  
**A** ATTAINABLE  
**R** REALISTIC  
**T** TIME-BOUND

Source: Adapted from Davis, 1982; Miller & Cunningham, 1982. See also Lander & Hornsby, 2012.

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# Demonstration

A brief demonstration of an officer meeting with a person to develop a success plan

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PPCJI		SAMPLE SUCCESS PLAN	
Client Name	John Smith	Client ID	12345
Client Level	High	Client Address	123 Main St, Anytown, CA 90210
Probation Officer	Jane Doe	Client Phone	(555) 123-4567
Officer Email	jane.doe@ppcji.com	Client Email	john.smith@email.com
Officer Title	Probation Officer	Client Age	35
Officer Department	Probation Department	Client Gender	Male
Officer Supervisor	John Doe	Client Race	White
Officer Start Date	01/15/2022	Client Religion	Christian
Officer End Date	01/15/2023	Client Education	High School
Officer Status	Active	Client Employment	Unemployed
Officer Notes	Client is a high-risk individual with a history of substance abuse and mental health issues. Client is currently on probation for a DUI conviction.	Officer Notes	Client is a high-risk individual with a history of substance abuse and mental health issues. Client is currently on probation for a DUI conviction.
Officer Signature	Jane Doe	Officer Signature	Jane Doe
Officer Date	02/28/2023	Officer Date	02/28/2023

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## Tip 1: Remember Who the Success Plan Is For

- For both us and them
  - Increases engagement
  - Reduces excuses
  - Improves outcomes
  - Focuses time

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### Tip 2: Manage the Success Plan Dynamically

- Review case plans:
  - At regular meetings
  - After a new assessment
  - When needed



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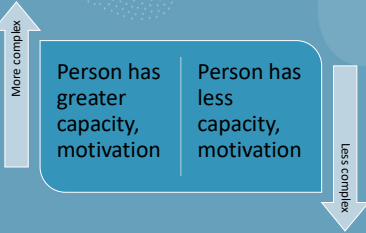
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### Tip 3: Pay Attention to Complexity



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### Tip 4: Teach and Practice Skills

- Increases people's chances of success and improves community well-being and safety



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### Tip 5: Incentivize and Reward Progress

- Tailor incentives and rewards to each person
- Reinforcements should outnumber expressions of disapproval by a ratio of at least 4:1



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### Tip 6: Involve Significant Others

- If possible, involve families/significant others in carrying out success plans



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Thank you and Questions!



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