

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

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**PPCJI** Pennsylvania Partnership  
for Criminal Justice  
Improvement



# Webinar Format

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

## 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

## 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.

## 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**.

# 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.”



# Success Plans...



REDUCE NEW LAW  
AND TECHNICAL  
VIOLATIONS



ENHANCE  
PERCEPTIONS OF  
FAIRNESS AND,  
CONSEQUENTLY,  
COMPLIANCE



GET BETTER RESULTS  
WHEN KEY PLAYERS  
COLLABORATE



# Key Elements of a Success Plan

Level of risk

Dynamic factors

Drivers

Skills

Stabilization factors

Strengths/protective  
factors

Responsivity factors

Barriers

Triggers

# 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

# 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

# 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

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



# PPCJI Documents

- Memorandum
- Policy
- Template

## Memorandum

Date: November 4, 2022

To: County Probation Chief's

From: Evidence Based Practices Workgroup 2, Team 5-Case Planning

Subject: Proposed Success/Case Plan Policy and Template

A success/case plan is established by using evidence-based practices with criminal justice involved individuals to assist them 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 written plan for counties throughout Pennsylvania.

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SUCCESS/CASE PLAN POLICY

**Purpose:**  
A success/case plan is a written document that articulates goals and activities that link a validated risk and needs assessment tool with services, aimed to improve competencies and reduce recidivism. The success/case plan goals and activities will align with the individual's criminogenic needs and meet the SMART (Specific, Measurable, Attainable, Realistic, Time-bound) objectives. The success/case plan will focus on the top two to three criminogenic needs that are likely the driving force of the individual's antisocial behavior. Each success/case plan will be individualized and performance-based, outlining specific goals and activities/action steps designed to manage the individual's risk, address criminogenic needs, and to enhance or develop strengths. The purpose of this policy is to establish uniform guidelines for conducting an assessment-driven success/case plan for improved supervision outcomes.

**Policy:**  
Supervision of criminal justice involved individuals in the community is designed to assist them in making positive changes in their lives and reduce their rate of recidivism. Part of that process involves the use of evidence-based practices and structured tools designed to direct the individual toward a targeted outcome. Success/case plans are used to accomplish this by developing specific activities and strategies for the criminal justice involved individual, to meet key objectives. Success/case planning are implemented in a manner that allows individuals to take ownership of their lives as they work toward completion of their goals. Effective plans adhere to the basic precepts of the risk and needs response principle, which includes:

- Using a validated assessment tool to determine the risk and needs of the individual.
- Matching the level of the intervention to the individual's level of risk.
- Assessing the criminogenic needs of the individual, to target these needs in goal planning (i.e., treatment, etc.).
- Adjusting interventions based on the individual's learning style, motivation to change, abilities, and strengths.

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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 the 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)					
Select goal type: Choose an item.		Where applicable, select criminogenic need target: Choose an item.			
Strengths: Choose an item.			Barriers/Stabilization: Choose an item.		
Action Steps (Client)	Activities (PO)	Start Date	Goal Date	Progress/Achievement Notes	Success Date

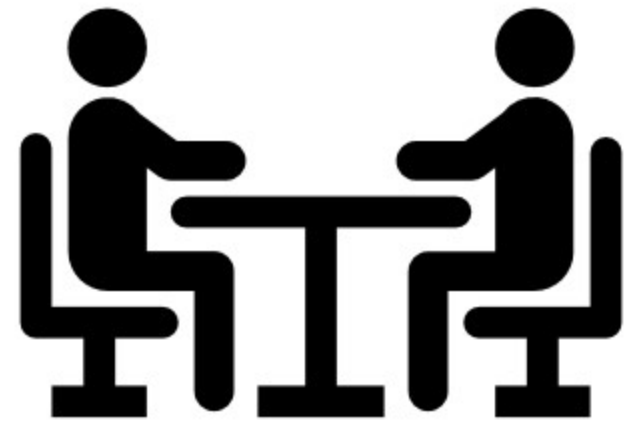
# PPCJI Memorandum

- 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



## 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





# PPCJI Policy Key Components

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



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1.	
2.	
3.	

# 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

## 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

# Sample Goals

Thoughts  
and beliefs

Accept  
responsibility  
for my actions

Coping/self-  
control skills

Think before  
acting

Family/  
relationships

Communicate  
effectively  
with family  
members

# 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

# 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



# 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



Success Plan  
Goals and  
Action Steps/  
Activities

Goal

```
graph TD; Goal[Goal] --> AS1[Action Step/Activity 1]; AS1 --> AS2[Action Step/Activity 2]; AS2 --> AS3[Action Step/Activity 3];
```

Action Step/Activity 1

Action Step/Activity 2

Action Step/Activity 3

# SMART Action Steps & Activities

S

SPECIFIC

M

MEASURABLE

A

ATTAINABLE

R

REALISTIC

T

TIME-BOUND

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# Demonstration

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



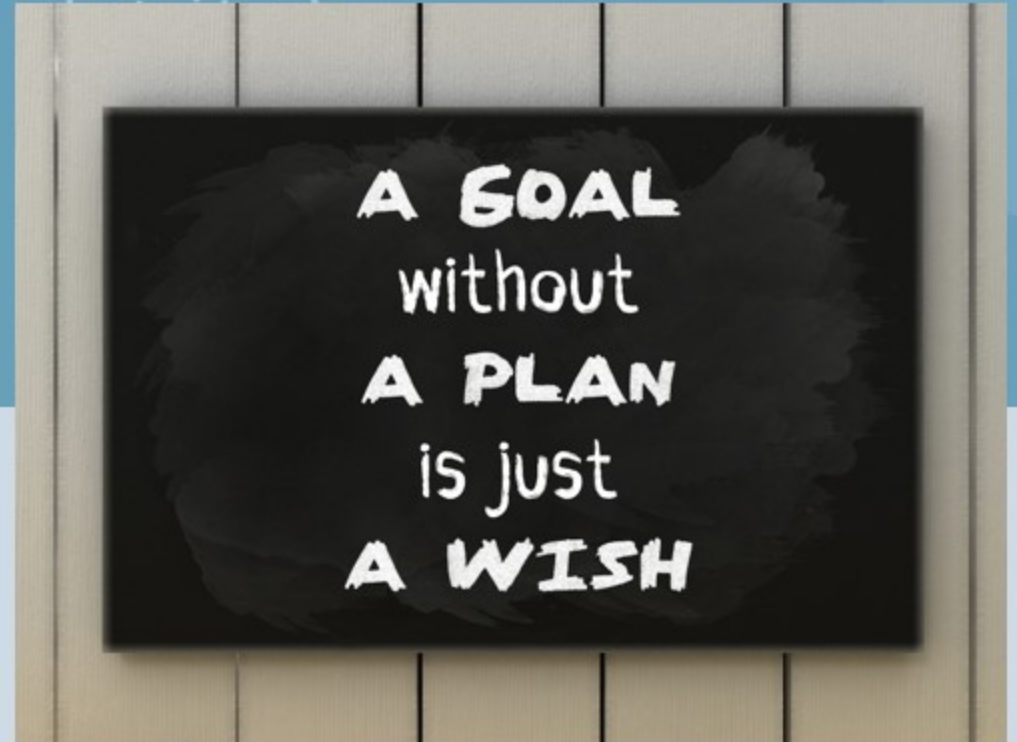
Case/Success Plan Origin Date:	5/1/23				
Client Name:	John Smith				
Need Level:	High				
Probation Officer:	Jane Doe				
List the top three criminogenic needs on the Assessment Tool:					
1.	Attitudes and Behavioral Patterns				
2.	Family/Marital				
3.	Peers				
Goal #1: (i.e., improve relationship with children)	Develop skills to better manage anger				
Select goal type: Criminogenic	Where applicable, select criminogenic need target: <b>7.0 Attitudes and Behavioral Patterns</b>				
Strengths: <b>Employment</b>		Barriers/Stabilization: <b>Childcare</b>			
Action Steps (Client)	Activities (PO)	Start Date	Goal Date	Progress/Achievement Notes	Success Date
List the pros and cons of how I treat my family and the pros and cons of treating them differently	Review pros and cons  Role Play as family member	4/1/23	5/1/23	<ul style="list-style-type: none"> <li>Very invested</li> <li>Developed better understanding of <u>family</u></li> <li>Brainstorming ideas</li> </ul>	5/1/23
Read flier on Accelerated Resolution Therapy (ART) and look at website.	Discussion on findings; provide referral as needed	5/1/23	6/1/23	<ul style="list-style-type: none"> <li>Set up meeting w/provider</li> </ul>	

Goal #2:	Improve Relationship with Children				
Select goal type: Client Centered & Criminogenic	Where applicable, select criminogenic need target: <b>3.0 Family and Social Support</b>				
Strengths: <b>Motivation</b>		Barriers/Stabilization: <b>Peer Support</b>			
Action Steps (Client)	Activities (PO)	Start Date	Goal Date	Progress/Achievement Notes	Success Date
Plan two outdoor activities for more quality time with children for the months of May and June. Consider community activities	Provide community events newsletter, Review and Discuss outcomes	5/1/23	7/1/23	<ul style="list-style-type: none"> <li>Priority</li> <li>Discussing how community events may <a href="#">help</a></li> </ul>	

Goal #3:	Improve financial independence by securing part time employment to supplement current income streams				
Select goal type: Client Centered	Where applicable, select criminogenic need target: <b>N/A</b>				
Strengths: <b>Housing Stability</b>		Barriers/Stabilization: <b>Childcare</b>			
Action Steps (Client)	Activities (PO)	Start Date	Goal Date	Progress/Achievement Notes	Success Date
Identify 5 individuals that could support you with providing childcare at no cost or at a low cost to you and their availability.	Review and Discuss; If needed, explore options in the community.	4/1/23	5/1/23	<ul style="list-style-type: none"> <li>Identified people to help</li> </ul>	5/1/23
Make a list of bills and due dates by your next appointment.	Create a budget and explore part-time job opportunities via online search engines.	5/1/23	6/1/23		

# Tip 1: Remember Who the Success Plan Is For

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



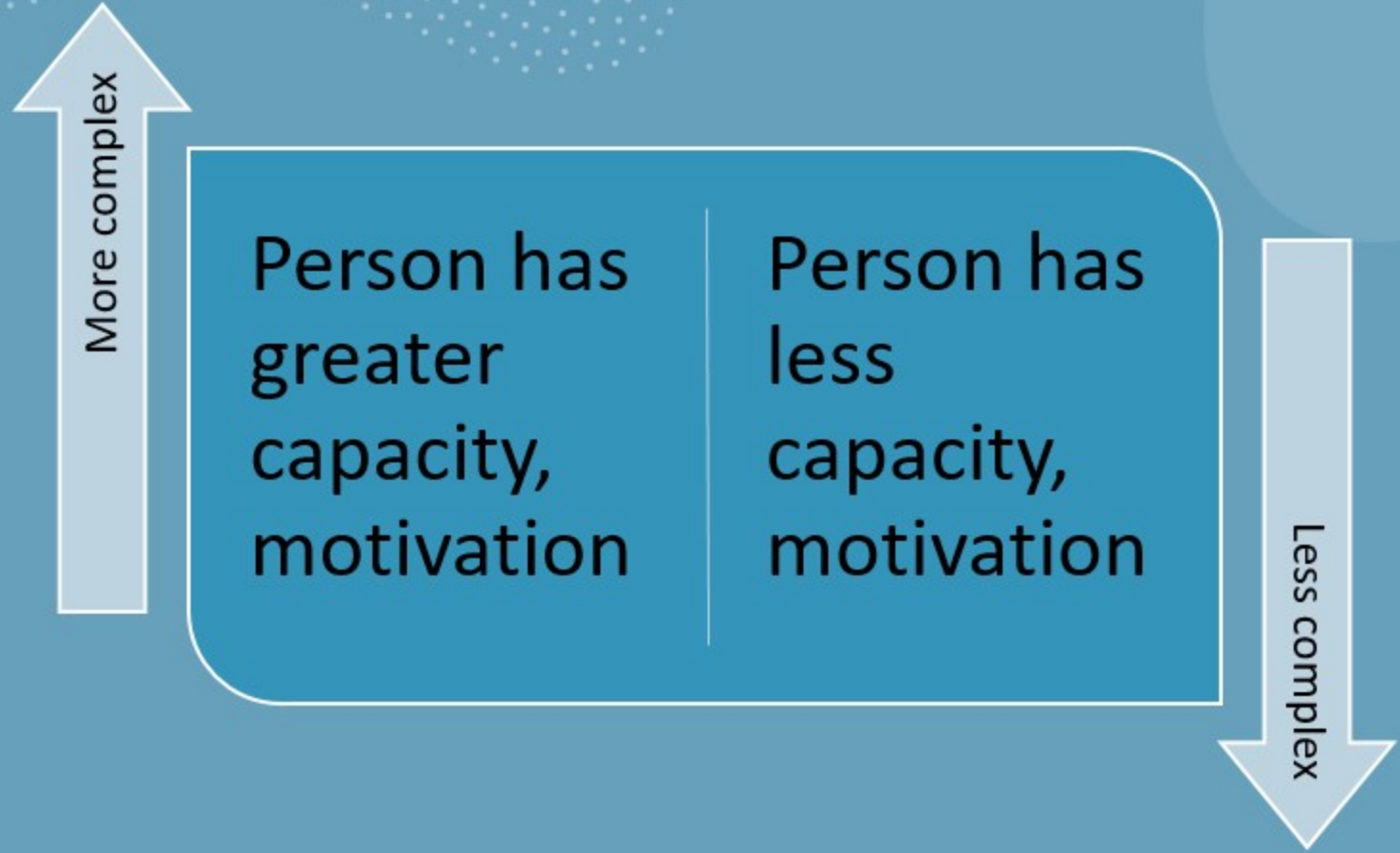
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## Tip 2: Manage the Success Plan Dynamically

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



## Tip 3: Pay Attention to Complexity





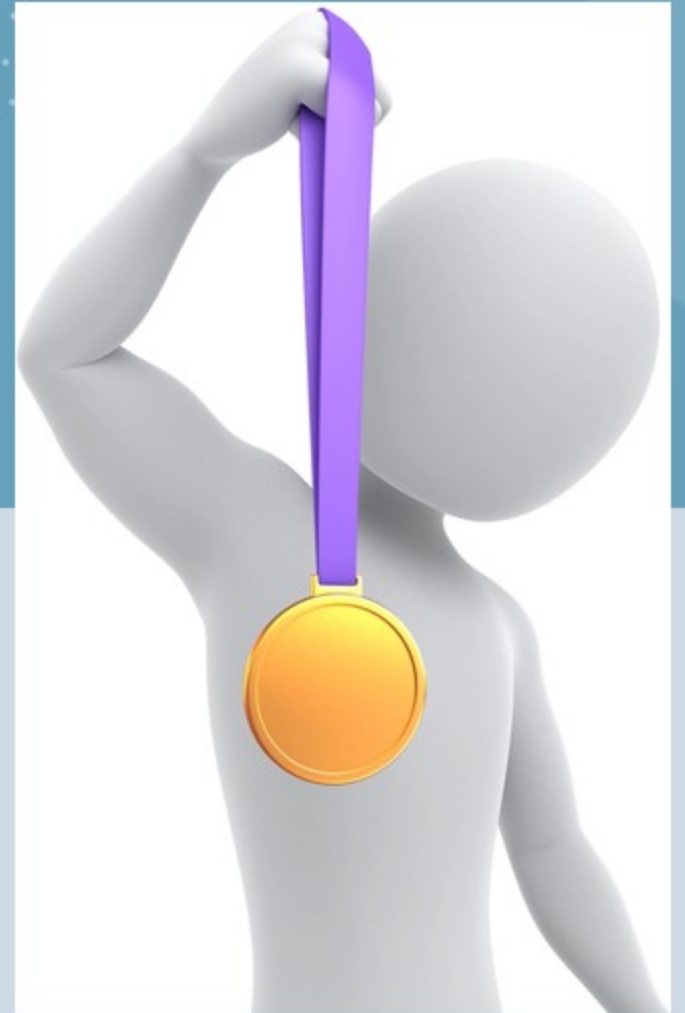
## Tip 4: Teach and Practice Skills

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



## 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



## 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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