

Incentives, Sanctions and Service Adjustments:

Maximizing participant engagement and promoting lasting behavior change – Part 2

- *Helen Harberts, M.A., J.D.*
- *Shannon Carey, Ph.D.*



Remember: Change is Hard!

- It requires motivation, learning new skills, time, and ongoing effort
- When something doesn't feel good to do, we generally don't want to
- Setbacks are inevitable and discouraging
- It's hard work!





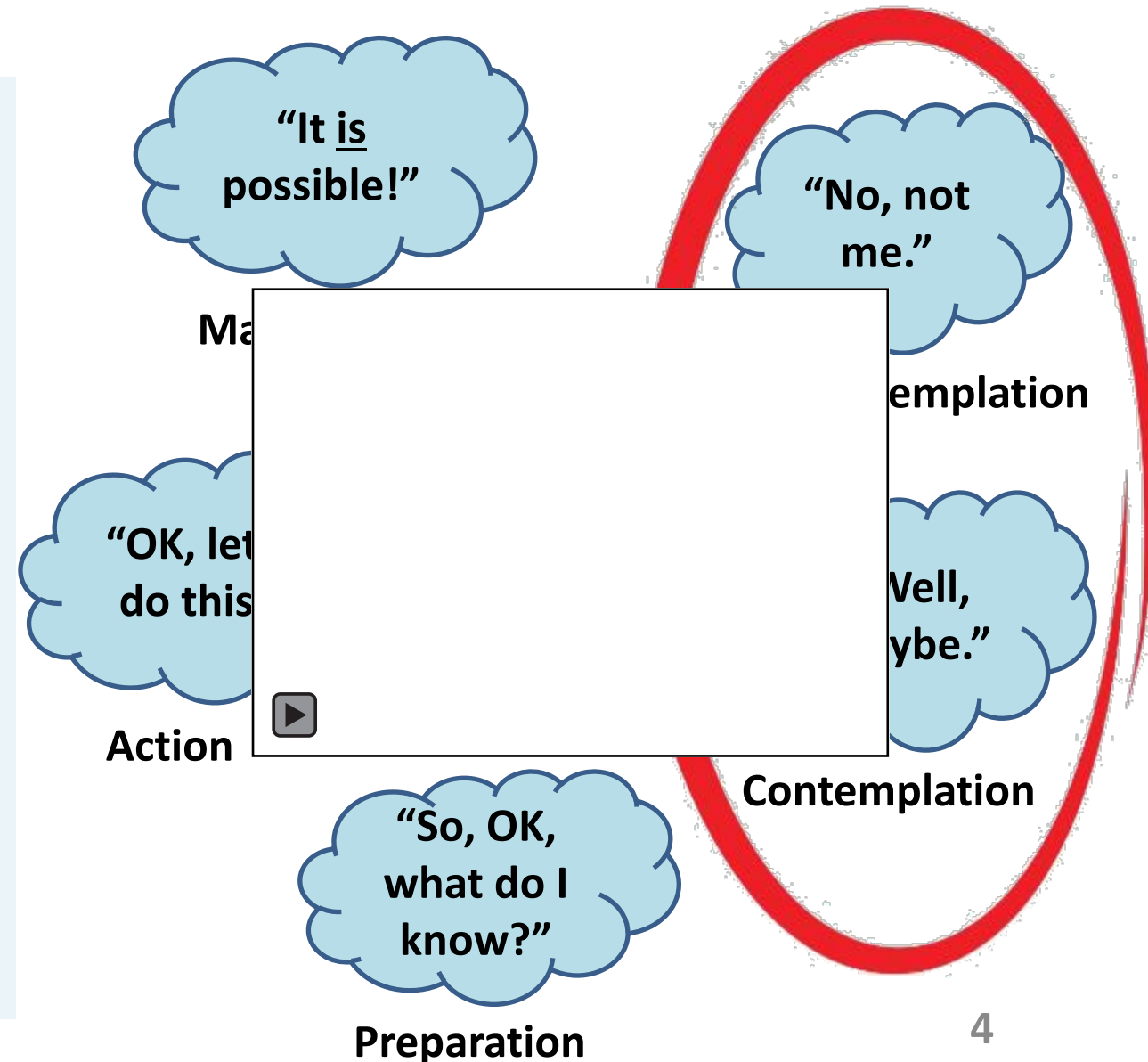
Imagine Additional Barriers to Change

- **Addiction**
- **Mental illness, trauma**
- **Lack of motivation**
- **Lack of resources**
- **Lack of support**
- **Family responsibilities**
- **Antisocial thoughts, behaviors, attitudes, peers/family dynamics**

**We must treat the whole person/family
instill hope and confidence**

How We Motivate the Unmotivated

- Incentives & sanctions – increase motivation, promote engagement
- Teaching responses teach new skills & behaviors
- Supervision allows us to detect and respond to behavior EFFECTIVELY
- Goal: “What do we want the them to LEARN?”



Remember Our Tools That Motivate Behavior Change

SERVICE ADJUSTMENTS **TEACH** NEW BEHAVIORS -THEY ARE NOT SANCTIONS, NOT INCENTIVES.

TREATMENT ADJUSTMENTS

address underlying causes,
treat behavior due to
disease, teach new skills
(HELP)

+

SUPERVISION provides
crucial information about
client behavior and
progress, holds clients
accountable (HELP)

+

LEARNING ASSIGNMENTS/ "TEACHING RESPONSES"

helps client understand
the need to change and
how to do it (HELP)

INCENTIVES increase
engagement, reinforce
prosocial behavior and
development of new skills

+

SANCTIONS stop
undesired behavior (in
the short term)

RESPONSES THAT **MOTIVATE** BEHAVIOR CHANGE

We use these tools in unison!

Using the Tools

- This week Jimmy missed a UA and lied, saying he was at the ER with his wife. He wasn't.
- He was ordered to test immediately. Subsequent test was positive for alcohol & THC
- But Jimmy went to Sober Bowling night, a community event suggested by his PO, and had a great time.

How do we respond?

- ✓ Service adjustments
 - ✓ Treatment Response
 - ✓ Supervision adjustment
 - ✓ Learning assignment (teaching response)
- ✓ Sanction
- Incentive?



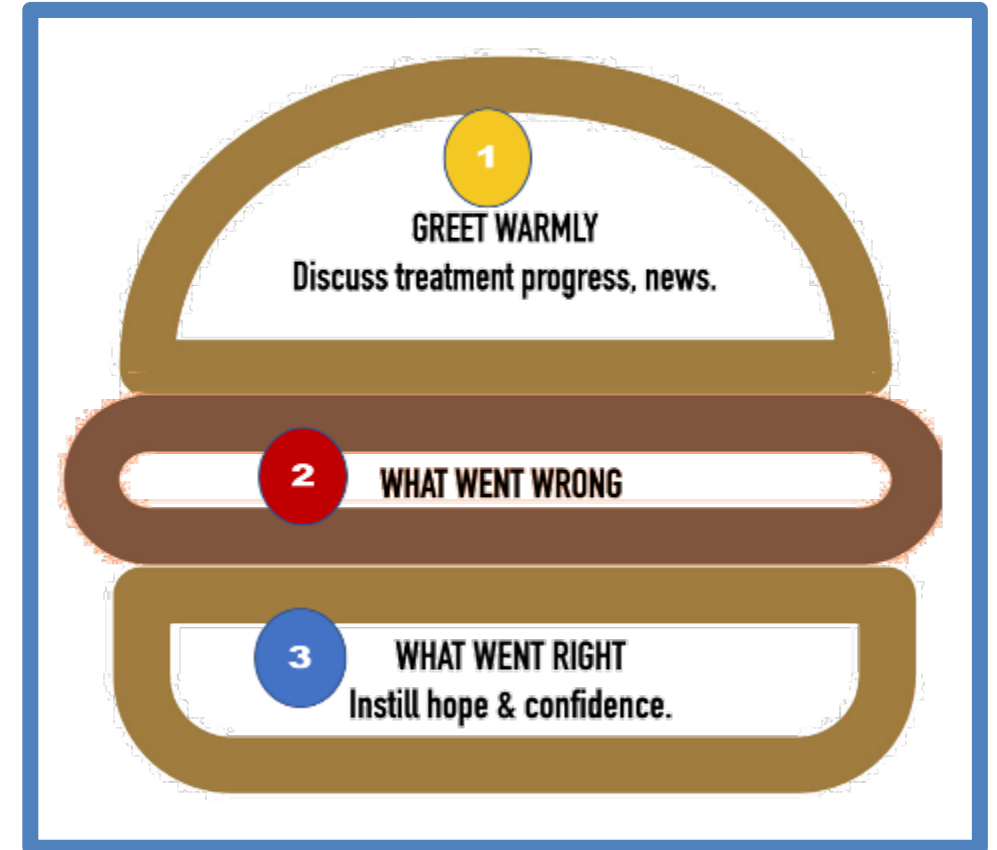
WWYD: Should Jimmy receive both an incentive and a sanction this week?

- 1. No, that would dilute the effect of the sanction and send a very confusing message to Jimmy.**
- 2. Yes, we should reward positive behaviors even if there were also problems that week.**



Receiving Both an Incentive and a Sanction? Yes!

- We never miss an opportunity to reinforce positive behavior – even if other things went wrong.
- We will carefully explain WHAT behaviors we are responding to.
 - Specifically, WHAT, WHY & HOW
- What do we want Jimmy to learn? Is our response the best way to teach it?



We avoid confusion by being SPECIFIC and helping clients see how change helps THEM achieve THEIR goals!

Staffing



Staffing is a Team Activity

*Put your heads together to
come up with the best
ideas*

*What does each team
member bring to the table?*



KEY COMPONENT #1: Big Picture Justice and Treatment Integration

- Separate and apart, neither treatment nor the courts could solve the problem
- 75% of those referred to treatment didn't go or didn't complete
- When we work together, we succeed.
- Key feature of the model is the multidisciplinary team
- Nonadversarial, collaboration, consensus
- We work as a team, and we stay in our lanes.



Know Your Role!



The people on the team who are providing direct services are usually the ones who know what is going on.

- Their recommendations are paramount.
- Unless public safety or due process is compromised, follow their lead.

Whatever your role is on the team, **YOU are the resident expert in your role.**

Expect respect. Give respect.

Know Your Role!



In a treatment court model, rather than abandoning their roles, the involved disciplines expand them. The disciplines collaborate on a single mission to create a more effective and efficient system

Effective Collaboration is Key

- Participant behavior changes rapidly.
- Responses are most effective when delivered immediately: within hours, or a few days at most

➤ **Best Practices:**

- **Team communicates throughout the week via email** to begin collaboration, foster due process
- Create a “walk in” court policy for emergencies
- **Responses to some behaviors may already have been delivered, with team input.**
- **That takes nothing away from the judge, who will review all behaviors in court.**



Decision Making In Staffing



Remember to consider participant circumstances


HOW WE DECIDE

- Responses to behavior
- Changes in treatment
- Changes in supervision



WHAT'S THE BEST FORMAT?

- Remember: Use a **separate page** for each client.
- The old docket sheet method provides very little info– mostly what went wrong.
- **We need room for: What went RIGHT!**
- **Treatment barriers & goals, progress, program compliance, testing, promotion, stage of change, etc.**
- **Response history: incentives and sanctions**
- **Little details** (weekend plans, job promotions, a new puppy) that the judge can discuss.

TREATMENT COURT CASE STAFFING SUMMARY			
	Client: Doe, Jane	DOB: 08/31/1982	Date: 4/1/2019
	SPN/Case #: 12345678 / 12345671010		Officer: Vincent
	Phase: 2	CSR Hours: 60/60	Sobriety Date: 9/15/2018 (last pos)
	Intake Date: 8/17/2018	Class A/B Misd.	Referral method: ACOCS- violations
	ODL/TDL Status: TDL eligible		Suspension dates: N/A
	Current Risk: Moderate	Current Needs: Moderate	
Risk/Criminogenic Need	Status/Progress/Plan *Focus on Goals for Top 3		
1. History of antisocial behavior (Criminal History)	Presenting charge: Forgery, possession, paraphernalia		
2. Antisocial personality patterns (Consider Trauma History)	No indication of anti-social personality		
3. Antisocial Cognition (Criminal Thinking)	On Step 2 of MRT		
4. Antisocial Associates	Jane has been spending time with some old associates from high school who are currently using and who live near mom. Jane has also participated with peer mentors at bowling night. 1. Current Goal - focus on more peer mentor activities.		
5. Family/Marital Situation	Accomplished goal! Jane moved out of her (using) boyfriend's house last weekend and is living with her mother who is supportive of treatment		
6. School/Work Performance	Making progress on her GED 2. Current Goal: Schedule math test by 3/16/2019		
7. Living Situation	Accomplished sober housing goal! Jane moved out of her (using) boyfriend's house last weekend and is living with her mother who is supportive of Jane's treatment plan.		
8. Substance Use Disorder/Treatment progress *(ASAM: 6 dimensions of clinical assessment)	Client has diagnosed severe substance use disorder (Heroin). Client is on Vivitrol and is tolerating it well. Client is in CBT and was late for last treatment session, but has attended all required sessions. 3. Current Goal: Client is engaged with treatment and is currently working through plans for responding to specific triggers.		
STAGES OF CHANGE	Jane is in the action stage on the majority of her goals and appears to have internalized the desire to make changes in her life. She is struggling with the wish to spend time with old friends, although she knows they are not good for her.		
Benchmarks accomplished towards phase advancement	Jane has completed all required Phase 2 Benchmarks and is filling out application for Phase 3		
Barriers to services and intervention/plan	Client's mother is ill and may need to move into assisted living. If this happens, client will need new housing. Will monitor mother's condition. Continue with current treatment plan.		
Summary of Successes	Jane moved away from unhealthy relationship with boyfriend and moved in with supportive mother. Accomplished sober housing goal! Completed all requirements since last court session.		
Summary of Infractions	Client is doing very well. No issues with non-adherence.		
Recommended Court Responses	Incentive: Judge acknowledgment of progress, made good decision and important progress in moving out of boyfriend's house and in with mother - 12 Hour CSR Voucher, fish bowl for completing all requirements in last two weeks. Acknowledge she is filling out application for Phase 3.		
	Other responses: Reinforce message that Jane should avoid her high school friends and focus on more peer mentor activities. Ask Jane to talk about activities she could do instead of spending time with old high school friends. Ask Jane to list her other current goals and plan for completing (see goals above and prompt her if she does not remember).		

TREATMENT COURT CASE STAFFING SUMMARY

D



Client: Doe, Jane	DOB: 08/31/1982	Staffing Date:
Family (Names/Child Ages): Jack (partner), Jerry (boy- 8yr), Jan (girl – 6yr)		Officer:
Phase: 2	CSR Hours:	Sobriety Date:
Intake Date:	Charge:	Referral method:

Risk/Criminogenic Need

Status/Progress/Plan

***Focus on Goals for Top 3**

1. History of antisocial behavior	Presenting charge: Forgery, possession, paraphernalia
2. Antisocial personality patterns (Trauma History)	No indication of anti-social personality
3. Antisocial Cognition (Criminal Thinking)	On Step 2 of MRT
4. Antisocial Associates	Jane has been spending time with some old associates from high school who are currently using and who live near mom. Jane has also participated with peer mentors at bowling night. 1. Current Goal - focus on more peer mentor activities.
5. Family/Marital Situation	Accomplished goal! Jane moved out of her (using) boyfriend's house last weekend and is living with her mother who is supportive of treatment
6. School/Work Performance	Making progress on her GED 2. Current Goal: Schedule math test by 3/16/2019
7. Living Situation	Accomplished sober housing goal! Jane moved out of her (using) boyfriend's house last weekend and is living with her mother who is supportive.
8. SUD-MH/Treatment progress *(ASAM: 6 dimensions of clinical assessment)	Client has diagnosed severe substance use disorder (Heroin). Client is on Vivitrol and is tolerating it well. Client is in CBT and was late for last treatment session but has attended all required sessions. 3. Current Goal: Client is engaged with treatment and is currently working through plans for responding to specific triggers.

STAGE OF CHANGE ON FOCUS AREAS	Jane is in the action stage on the majority of her goals and appears to have internalized the desire to make changes in her life. She is struggling with the wish to spend time with old friends, although she knows they are not good for her.
Benchmarks accomplished towards phase advancement	Jane has completed all required Phase 2 Benchmarks and is filling out application for Phase 3
Barriers to services and intervention/plan	Client's mother is ill and may need to move into assisted living. If this happens, client will need new housing. Will monitor mother's condition. Continue with current treatment plan.
Summary of Successes	Jane moved away from unhealthy relationship with boyfriend and moved in with supportive mother. Accomplished sober housing goal! Completed all requirements since last court session.
Summary of Infractions	Client is doing very well. No issues with non-adherence.
Recovery Capital Update	<p>Personal: If housing alternative needed, House of Hope has an available bed</p> <p>Social: Tx is preparing Jane for self-help groups starting next week. Peer support will contact & accompany Jane to her group/activity of choice.</p> <p>Community /Cultural: Jane is applying for Ph. 3 & is ready to develop prosocial skills. Adjusting case plan to help Jane connect with sober leisure options with community partners</p>

Recommended Court Responses	Incentive: Judge acknowledgment of progress, made good decision and important progress in moving out of boyfriend's house and in with mother - 12 Hour CSR Voucher, fish bowl for completing all requirements in last two weeks. Acknowledge she is filling out application for Phase 3.
	Other responses: Reinforce message that Jane should avoid her high school friends and focus on more peer mentor activities. Ask Jane to talk about activities she could do instead of spending time with old high school friends. Ask Jane to list her other current goals and plan for completing (see goals above and prompt her if she does not remember).

Phase Completion Date		Drug Test/Device						
Phase 1	10/15/18	Current Device	drug patch			Date Ordered:		10/15/18
Phase 2	1/15/19	Current Device				Date Ordered:		
Phase 3		Positive UA's						
Phase 4		Dilute UA's						
Residential	NA	IOP/SOP	11/14/17	Boosters		NA	DWI Edu/RO	NA
Prior Court Reviews								
Date	Incentive	Other response/sanction						
8/17/2018	Judge welcome to program							
9/1/2018	Applause and recognition of showing up	Disapproval from judge for lateness to several appointments						
9/14/2018	Applause - good decision dollars for making all appointments							
9/30/2018	Special recognition from the judge for being on time							
10/14/2018	Recognition from team and choice of gift card for accomplishing first three goals							
10/30/2018	Judge acknowledgement of attendance at all appointments, engagement in treatment plan	Behavior chain for use						

Best Practice: Determine responses using a Decision Matrix

3 STEPS to help you decide how to respond

1. Identify the behavior
2. Determine magnitude of response
3. Select the responses
 - a) Therapeutic (teaching) response
 - b) Monitoring response
 - c) Incentives and Sanctions (if appropriate)



Positive Behavior

Focus on: "What do we want the participant to learn from this?"

Step 1. Identify the Behavior

Proximal (Expect Sooner)	Moderate	Distal (Expect Later)
<ul style="list-style-type: none"> Attendance at treatment Attendance at other appointments Home for home visits Report to UA Timeliness Payment 	<ul style="list-style-type: none"> Honesty Testing Negative Participating in Prosocial Activities Attending recovery support meetings Employment Progress toward Tx Goals Progress in Tx 	<ul style="list-style-type: none"> Complete Tx LOC Extended Abstinence/Neg. Tests Treatment Goals Completed Phase Goals Completed Program Goals Completed Building a recovery support network

Step 2. Determine the Response Level (Consider participant progress and skills learned)

		Low	Moderate	High
Distal ↓ Prox	Phase 1	Level 1	Level 2	Level 3
	Phase 2	Level 1	Level 2	Level 3
	Phase 3		Level 1	Level 3
	Phase 4		Level 1	Level 3
	Phase 5		Level 1	Level 3

Step 3. Choose the Responses (Paired with Judicial Approval/Verbal Praise)

3a. Learning Assignments (Teaching Responses)

Level 1	Level 2	Level 3
<ul style="list-style-type: none"> Behavior Chain What did you learn chat 	<ul style="list-style-type: none"> Behavior Chain Cost/Benefit Analysis Reassess LOC 	<ul style="list-style-type: none"> Behavior Chain Mentor Other Participants Reassess LOC

3b. Supervision Adjustments

Level 1	Level 2	Level 3
<ul style="list-style-type: none"> Change in Curfew Status Increased flexibility in scheduling Increased choice in community service 	<ul style="list-style-type: none"> Reduced Contacts Reduction in Home Visits 	<ul style="list-style-type: none"> Reduced Contacts Reduce Home Visits Reduce External Monitoring Devices

3c. Incentive Response (Always with Judicial Approval)

Level 1	Level 2	Level 3
<ul style="list-style-type: none"> Celebratory text from judge/supervision/team member Fish Bowl Decision Dollars Handshake Small tangible items (Candy) On the A Team 	<ul style="list-style-type: none"> Choice of Gift Certificate Example for others in court Written Praise Positive Peer Board Certificate Reduction in CS hours Reduction in program fees 	<ul style="list-style-type: none"> Framed Certificate Travel Pass Larger Gift Certificate Position as Mentor to New Participants

Inappropriate Behavior

Focus on: "What do we want the participant to learn from this?"

Step 1. Identify the Behavior

Low (Less Immediate)	Moderate	High (More Immediate)	Very High
<ul style="list-style-type: none"> Late for Scheduled Event Missed payment 	<ul style="list-style-type: none"> Missed UA Failure to Complete Assignments 	<ul style="list-style-type: none"> Unexcused Absence tx Alcohol Use Drug Use Tamper with UA/device Dilute UA Dishonesty 	<ul style="list-style-type: none"> Criminal behavior (new crimes, drinking and driving) New Arrest

Step 2. Determine the Response Level (Consider participant progress and skills learned)

		Low	Moderate	High	Very High
Distal ↓ Prox	Phase 1	Level 1	Level 2	Level 2	Level 4
	Phase 2	Level 1	Level 2	Level 3	Level 4
	Phase 3	Level 2	Level 3	Level 4	Level 5
	Phase 4	Level 3	Level 4	Level 5	Level 5
	Phase 5	Level 3	Level 4	Level 5	Level 5

Step 3. Choose the Responses (paired with Judicial Verbal Disapproval and Explanations)

3a. Learning Assignments (Teaching Responses)

Level 1	Level 2	Level 3	Level 4	Level 5
<ul style="list-style-type: none"> Behavior Chain Cost/Benefit Analysis Skill Development Homework/Practice Homework chats 	<p>Level 1 plus:</p> <ul style="list-style-type: none"> Discuss treatment changes (e.g., LOC) Thinking Report Doing things for others 	<p>Level 1, 2, plus:</p> <ul style="list-style-type: none"> Discuss Referral Medication Eval Treatment Team Review/Round Table 	<p>Level 1, 2, 3, plus:</p> <ul style="list-style-type: none"> Discuss Re-Assessment 	

3b. Supervision Adjustments

Level 1	Level 2	Level 3	Level 4	Level 5
<ul style="list-style-type: none"> ≤ 1 additional report days/week Homework chats Counseled by PO Referral to specialized programming/skill building 	<ul style="list-style-type: none"> ≤ 2 additional report days/week Home Visit Curfew Travel Restrictions (FTC) Increased supervision at child visits 	<ul style="list-style-type: none"> ≤ 3 additional report days/week Continuous Testing GPS Home Visit Increase UA frequency Additional Court Report Case Conference 	<ul style="list-style-type: none"> ≤ 4 additional report days/week Electronic Monitor Device Case Conference Curfew 	

3c. Sanction Responses (Judicial Disapproval)

	Level 1	Level 2	Level 3	Level 4	Level 5
Community Service	≤ 4 hrs	≤ 8 hrs	≤ 16 hrs	≤ 24 hrs	≤ 32 hrs
Curfew	≤ 3 days	≤ 5 days	≤ 7 days	≤ 10 days	≤ 14 days
House Arrest	≤ 24 hrs	≤ 72 hrs	≤ 5 days	≤ 7 days	≤ 14 days
Jail			≤ 24 hours	≤ 3 days	≤ 5 days
Other				Review Placement	Termination

WWYD: Jimmy

- Jimmy is in Phase 1.
- He missed a UA and lied, saying he was at the ER with his kid. He wasn't.
- Subsequent test was negative.
- Jimmy went bowling with the peer mentors this week and had a great time.



Inappropriate Behavior

Focus on: “What do we want the participant to learn from this?”

Step 1. Identify the Behavior

Low (Less Immediate)	Moderate	High (More Immediate)	Very High
<ul style="list-style-type: none"> Late for Scheduled Event Missed payment 	<ul style="list-style-type: none"> Missed UA Failure to Complete Assignments 	<ul style="list-style-type: none"> Unexcused Absence tx Alcohol Use Drug Use Tamper with UA/device Dilute UA Dishonesty 	<ul style="list-style-type: none"> Criminal behavior (new crimes, drinking and driving) New Arrest

Step 2. Determine the Response Level (Consider participant progress and skills learned)

		Low	Moderate	High	Very High
Distal ↓ Prox	Phase 1	Level 1	Level 2	Level 2	Level 4
	Phase 2	Level 1	Level 2	Level 3	Level 4
	Phase 3	Level 2	Level 3	Level 4	Level 5
	Phase 4	Level 3	Level 4	Level 5	Level 5
	Phase 5	Level 3	Level 4	Level 5	Level 5

Step 3. Choose the Responses (paired with Judicial Verbal Disapproval and Explanation)

➤ Discuss any need for change in treatment modality or level of care with treatment

3a Learning Assignments (Teaching Responses)

Response Level 1	Response Level 2	Response Level 3	Response Level 4
<ul style="list-style-type: none"> • Behavior chain • Cost/benefit analysis • Skill development • Skills-homework/Skill practice • Skills-homework chats 	<p>Level 1 plus:</p> <ul style="list-style-type: none"> • Discuss treatment changes (e.g., LOC) • Thinking report • Doing things for others 	<p>Level 1, 2, plus:</p> <ul style="list-style-type: none"> • Discuss referral medication eval • Treatment team review/round table 	<p>Level 1, 2, 3, plus:</p> <ul style="list-style-type: none"> • Discuss re-assessment

3b Supervision Adjustments

Response Level 1	Response Level 2	Response Level 3	Response Level 4
<ul style="list-style-type: none"> • ≤ 1 additional check-ins/week • Skills-homework chat • Counseled by JC • Referral to specialized programming/skill building 	<ul style="list-style-type: none"> • ≤ 2 additional check-ins/week • Home visit • Curfew • Travel restrictions 	<ul style="list-style-type: none"> • ≤ 3 additional check-ins/week • Continuous testing • GPS • Home visit • Increase drug screen frequency • Additional court report • Case conference 	<ul style="list-style-type: none"> • ≤ 4 additional check-ins/week • Electronic monitor device • Case conference • Curfew

3c. Sanction/Punishment Responses (Judicial Disapproval)

	Level 1	Level 2	Level 3	Level 4	Level 5
Community Service	≤ 4 hrs	≤ 8 hrs	≤ 16 hrs	≤ 24 hrs	≤ 32 hrs
Curfew	≤ 3 days	≤ 5 days	≤ 7 days	≤ 10 days	≤ 14 days
House Arrest	≤ 24 hrs	≤ 72 hrs	≤ 5 days	≤ 7 days	≤ 14 days
Jail			≤ 24 hours	≤ 3 days	≤ 5 days
Other				Review Placement	Termination

No matter how frustrated and disappointed we are with

Jimmy's noncompliant behavior, jail is NOT an option.

A verbal reprimand (judicial disapproval) is a highly effective sanction.

When combined with supervision and therapeutic/teaching responses

there is often no need for any sanction beyond disapproval.

Positive Behavior

Focus on: “What do we want the participant to learn from this?”

Step 1. Identify the Behavior

Proximal (Expect Sooner)	Moderate	Distal (Expect Later)
<ul style="list-style-type: none"> • Attendance at treatment • Attendance at other appointments • Home for home visits • Report to UA • Timeliness • Payment 	<ul style="list-style-type: none"> • Honesty • Testing Negative • Participating in Prosocial Activities • Attending recovery support meetings • Employment • Progress toward Tx Goals • Progress in Tx 	<ul style="list-style-type: none"> • Complete Tx LOC • Extended Abstinence/Neg. Tests • Treatment Goals Completed • Phase Goals Completed • Program Goals Completed • Building a recovery support network

Step 2. Determine the Response Level

		Proximal (Expect Sooner)	Moderate	Distal (Expect later)
Distal ↓ Prox	Phase 1	Level 1	Level 2	Level 3
	Phase 2	Level 1	Level 2	Level 3
	Phase 3		Level 1	Level 3
	Phase 4		Level 1	Level 3
	Phase 5		Level 1	Level 3

Step 3. Choose the **Responses** (Paired with Judicial Approval/Verbal Praise)

➤ Discuss any need for change in treatment modality or level of care with treatment

3a. Learning Assignments (Teaching Responses)

Response Level 1	Response Level 2	Response Level 3
<ul style="list-style-type: none"> • Behavior chain • What did you learn chat 	<ul style="list-style-type: none"> • Behavior chain • Cost/benefit analysis • Reassess LOC 	<ul style="list-style-type: none"> • Behavior chain • Mentor other participants • Reassess LOC

3b. Supervision Responses

Response Level 1	Response Level 2	Response Level 3
<ul style="list-style-type: none"> • Change in curfew status • Increased flexibility in scheduling • Increased choice in community service 	<ul style="list-style-type: none"> • Reduced contacts • Reduction in home visits 	<ul style="list-style-type: none"> • Reduced contacts • Reduce home visits • Reduce external monitoring devices

3c. Incentive Response (Always with Judicial Approval)

Level 1	Level 2	Level 3
<ul style="list-style-type: none">• Celebratory text from judge/supervision/team member• Fish Bowl• Tokens (e.g., Decision Dollars)• Handshake• Small tangible items (Candy)• On the A Team	<ul style="list-style-type: none">• Choice of Gift Certificate• Example for others in court• Written Praise• Positive Peer Board• Certificate• Reduction in CS hours• Reduction in program fees	<ul style="list-style-type: none">• Framed Certificate• Travel Pass• Larger Gift Certificate• Position as Mentor to New Participants



Positive Behavior

Incentive Matrix: "What do we want the participant to learn from this?"

Step 1. Identify the Behavior

Proximal (Expect Sooner)	Moderate	Distal (Expect Later)
<ul style="list-style-type: none"> Attendance at treatment Attendance at other appointments Home for home visits Report to UA Timeliness Payment 	<ul style="list-style-type: none"> Honesty Testing Negative Participating in Prosocial Activities Employment Progress toward Tx Goals Progress in Tx 	<ul style="list-style-type: none"> Complete Tx LOC Extended Abstinence/Neg. Tests Treatment Goals Completed Phase Goals Completed Program Goals Completed

Step 2. Determine the Response Level

		Proximal (Expect Sooner)	Moderate	Distal (Expect later)
Distal ↓ Prox	Phase 1	Small	Medium	Large
	Phase 2	Small	Medium	Large
	Phase 3		Small	Large
	Phase 4		Small	Large
	Phase 5		Small	Medium

Step 3. Choose the Responses (Paired with Judicial Approval/Verbal Praise)

3a. Therapeutic/Teaching Response

	Phase 1	Phase 2	Phase 3	Phases 4 and 5
Single Event	<ul style="list-style-type: none"> Behavior Chain Cost/Benefit Analysis 	<ul style="list-style-type: none"> Behavior Chain Cost/Benefit Analysis 	<ul style="list-style-type: none"> Behavior Chain 	<ul style="list-style-type: none"> Behavior Chain
Continued Progress		<ul style="list-style-type: none"> Discuss Change in LOC 	<ul style="list-style-type: none"> Aftercare Fqcy Discuss Re-evaluating MAT/Medications 	<ul style="list-style-type: none"> Aftercare Fqcy Discuss Re-evaluating MAT/Medications

3b. Supervision Responses

Phase 1	Phase 2	Phase 3	Phases 4 and 5
<ul style="list-style-type: none"> Change in Curfew Status 	<ul style="list-style-type: none"> Reduced Contacts Reduction in Home Visits 	<ul style="list-style-type: none"> Reduced Contacts Reduce Home Visits Reduce in External Monitoring Devices 	<ul style="list-style-type: none"> Reduced Contacts Decreased Drug Testing

3c. Incentive Response

Small	Medium	Large
<ul style="list-style-type: none"> Judicial approval (always) Fish Bowl Decision Dollars Example for other participants in court Handshake Candy On the A Team 	<p>Any small and/or:</p> <ul style="list-style-type: none"> Choice of Gift Certificate Supervisor Praise Written Praise Position as Mentor to New Participants Certificate Reduction in CS hours Reduction in program fees 	<p>Any small, medium or:</p> <ul style="list-style-type: none"> Framed Certificate Travel Pass Larger Gift Certificate

Inappropriate Behavior

Sanction Matrix: "What do we want the participant to learn from this?"

Step 1. Identify the Behavior

Low (Less Immediate)	Moderate	High (More Immediate)	Very High
<ul style="list-style-type: none"> Late for Scheduled Event Missed payment 	<ul style="list-style-type: none"> Missed UA Failure to Complete Assignments 	<ul style="list-style-type: none"> Unexcused Absence bc Alcohol Use Drug Use Tamper with UA or device/dilute Dishonesty 	<ul style="list-style-type: none"> Criminal behavior (new crimes, drinking and driving) Arrest

Step 2. Determine the Response Level

		Low	Moderate	High	Very High
Distal ↓ Prox	Phase 1	Level 1	Level 2	Level 2	Level 4
	Phase 2	Level 1	Level 2	Level 3	Level 4
	Phase 3	Level 2	Level 3	Level 4	Level 5
	Phase 4	Level 3	Level 4	Level 5	Level 5
	Phase 5	Level 3	Level 4	Level 5	Level 5

Step 3. Choose the Responses (paired with Judicial Verbal Disapproval and Explanation)

3a. Therapeutic/Teaching Responses

Level 1	Level 2	Level 3	Level 4	Level 5
<ul style="list-style-type: none"> Behavior Chain Cost/Benefit Analysis Skill Development Homework/Practice Homework chats 	<p>Level 1 plus:</p> <ul style="list-style-type: none"> Discuss LOC Review Thinking Report Doing things for others (homeless kits, letters to nursing home) 	<p>Level 1, 2, plus:</p> <ul style="list-style-type: none"> Discuss Referral Medication Eval Treatment Team Review/Round Table 	<p>Level 1, 2, 3, plus:</p> <ul style="list-style-type: none"> Discuss Re-Assessment 	

3b. Supervision Responses

Level 1	Level 2	Level 3	Level 4	Level 5
<ul style="list-style-type: none"> ≤ 1 additional report days/week Homework chats 	<ul style="list-style-type: none"> ≤ 2 additional report days/week Home Visit Curfew (FTC) Increased supervision at child visits 	<ul style="list-style-type: none"> ≤ 3 additional report days/week Continuous Testing GPS/Electronic Monitoring Home Visit Increase frequency UA Test Additional Court Report Case Conference 	<ul style="list-style-type: none"> ≤ 4 additional report days/week Electronic Monitor Device Case Conference Curfew 	

3c. Sanction/Punishment Responses (Judicial Disapproval)

	Level 1	Level 2	Level 3	Level 4	Level 5
Community Service	≤ 4 hrs	≤ 8 hrs	≤ 16 hrs	≤ 24 hrs	≤ 32 hrs
Curfew	≤ 3 days	≤ 5 days	≤ 7 days	≤ 10 days	≤ 14 days
House Arrest	≤ 24 hrs	≤ 72 hrs	≤ 5 days	≤ 7 days	≤ 14 days
Jail	≤ 24 hours			≤ 3 days	≤ 5 days
Other				Review Placement	Termination

*NPC Research: Contact Shannon Carey (sacary@npcresearch.com). Adapted from a matrix originally developed by the Harris County TX Treatment Court. Training is recommended before use. Please do not change or revise without permission. While individual responses can change, the steps and their order should remain.

Link to video on using the matrix

<https://vimeo.com/547496224/d09c6d56d6>

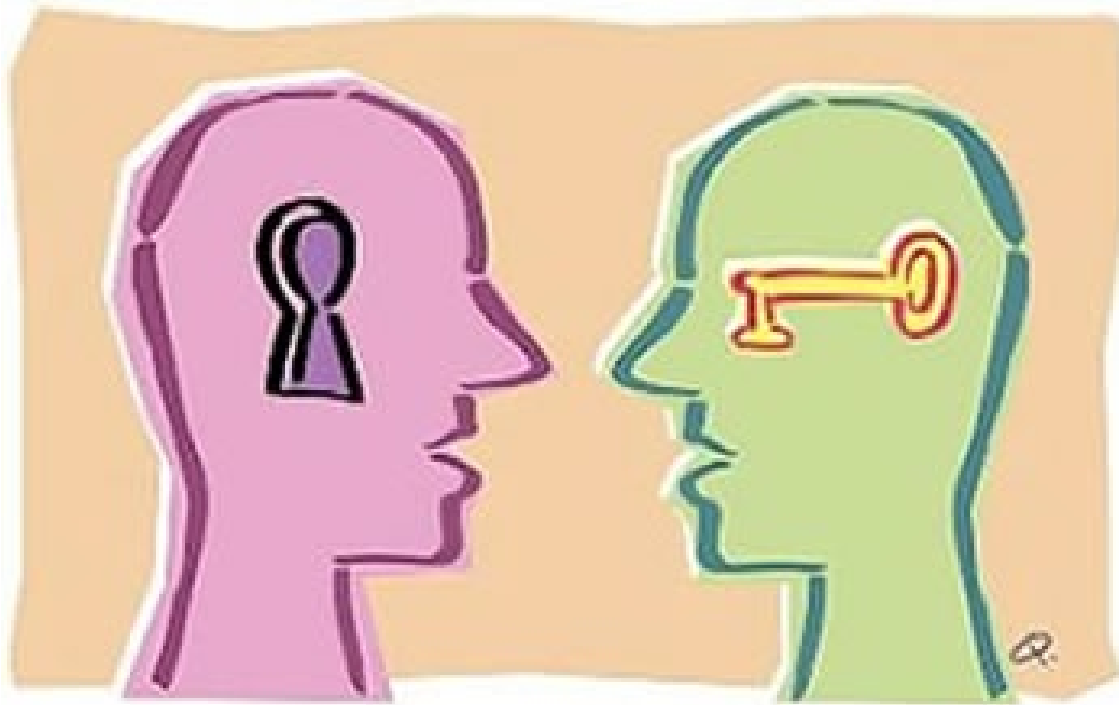
Delivery in the Courtroom



The Bench

- Cannot delegate decisions
- Should be the predominant voice in the room in Court.
- Should spend three minutes with each person...good or bad.
- Should focus on teachable moments.
- **MUST HAVE GOOD INFORMATION**

SETTING THE STAGE FOR EFFECTIVE COMMUNICATION



Establishing Trust,
Rapport and Safety





Develop Rapport (Putting clients at ease increases their ability to listen to you and understand the message)

- ***“Never forget how scary you look.”***
- **Bad experiences with authority figures, esp. - Judges, DA’s, Law enforcement, Probation, Child welfare**
- **We have the power to send them to jail, disrupt their families and their lives.**

Work on connection and demonstrating respect, understanding and positive regard

IT'S ALL IN THE DELIVERY

“Its not just what we say, it's HOW we say it.”



Tone Matters

Your face matters

- Control your face
- Watch for “leaking” body language
- Listen for the positive
- No “Judge Judy”
- No snarky comments
- No shaming, humiliating or attacking
- Be respectful (model respect)
- Expect respect
- **The judge sets the tone**



I'M SORRY FOR THE THINGS
MY FACE SAID WHILE YOU
WERE TALKING.



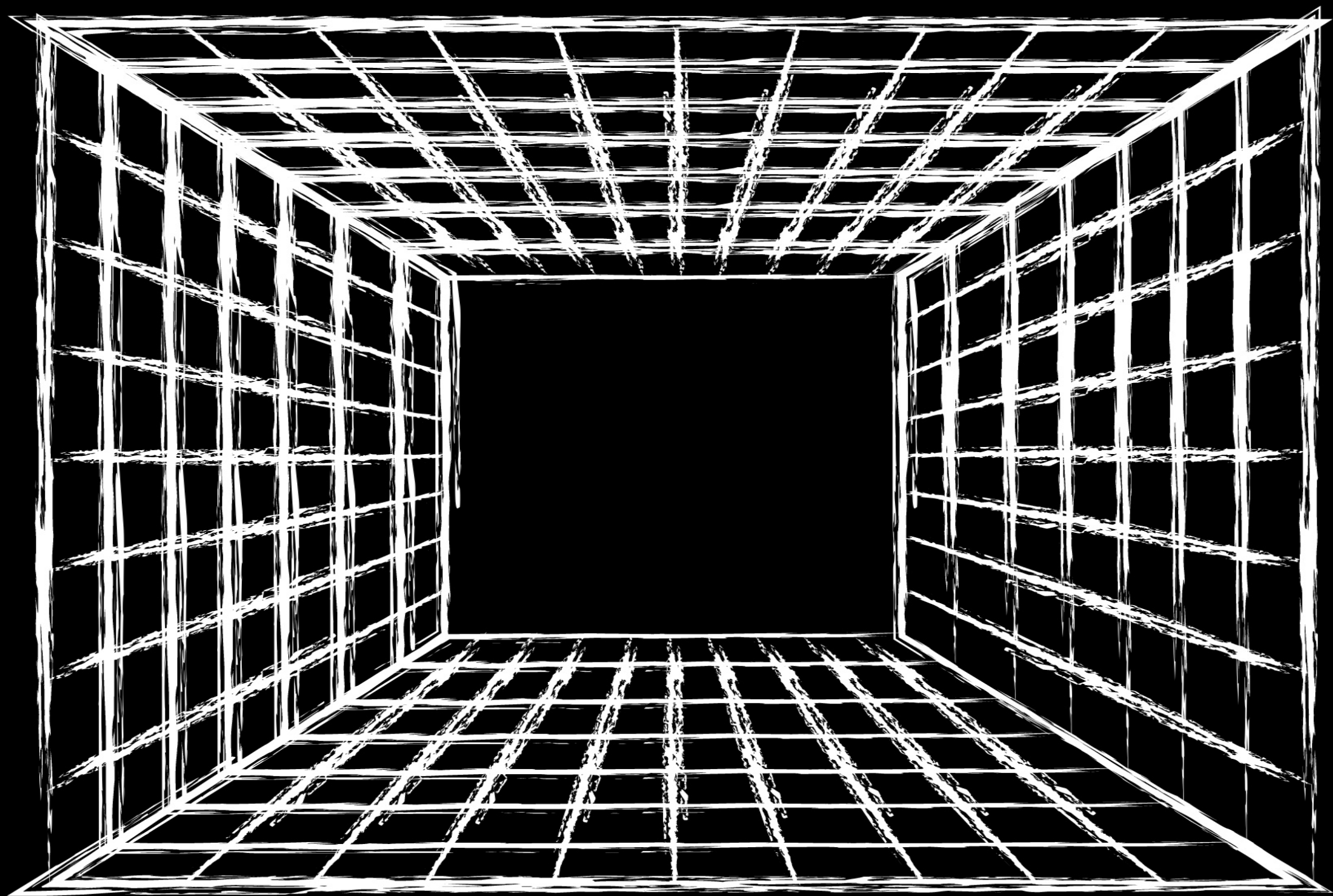
Some clients don't want to be touched. Ask treatment.

ASSUME TRAUMA

- It's not just a "female problem."
- Many do not recognize trauma.
- Many won't talk about it.

➤ **Best Practices:**

- Screen for trauma
- Gender-specific dockets
- Put all rules in writing.
 - Use sanction forms.
- Use MI techniques.



TRAUMA: WHAT HELPS

➤ APPROACH

- With caution, slowly
- Create a safe space
- Seat client “facing danger”

➤ COMMUNICATE

- What happens next
- Put rules in writing
- Calm, slow, clear
- Use MI techniques
- Instill hope

➤ AVOID

- Over-reacting (Don’t take outbursts personally)
- Sarcasm, shaming
- Triggering behavior, touch?

➤ RESPOND

- Patience
- Flexibility
- Positivity
- Gentle Humor



Deliver Responses With Care

- Be patient and explain
- Be consistent
 - When clients are treated differently, explain WHY
- Model respect
 - Speak respectfully, and expect respect in return
 - No blindsides
 - Listen, give opportunity to explain, even when clients are difficult



How To Deliver Effective Responses

A Magic Formula for Learning Opportunities:

- Identify the behavior you are responding to
- Tell the participant specifically **WHAT** behavior you liked/ disliked.
- Tell the participant **WHY** you liked/ disliked it.
- Discuss short and long-term costs/ benefits of the behavior (**HOW** it effects goals?)
- Pair the approval / disapproval with the **RESPONSE** (teaching, monitoring, incentive, sanction).



Tailor Your Response to the Participant

People are different!

- What works for one may harm another
- **Listen to your participants**
- Listen to your team



WHY WE DO IT

This method helps clients internalize:

- “I’m not just doing this to get off probation.”
- There are more intrinsic reasons for this change: boss, spouse, teacher, etc.

We must change the internal tape from:

**“I need to be on time to treatment
so I don’t get in trouble” to:**

“I NEED TO LEARN SO I CAN GET BETTER.”



Sanction Script

- It was not appropriate that you fell asleep in treatment because it's disrespectful and you missed important information that could help you succeed.
- Right now, how do you think falling asleep in treatment has or could hurt you?
- Can you see where continuing the behavior might cause any problems for you down the road?
- Let's discuss what you could've done instead, and how that would've looked (thoughts/ behavior).
- I'm going to give you a 8:00 p.m. curfew for 5 days. I recommend an early bedtime so this doesn't happen again.”

End on a Positive Note

- Ending on a negative does NOT motivate change – it stifles change
- Positive messages motivate change
- Show the client that you see the “big picture.”
- She’s a good person who made a mistake. Don’t let mistakes define the individual
- Highlight their efforts, progress– despite current setbacks.
- Talk about what she did right this week.
- Demonstrate progress HAS been made:
 - Ask, “How would you have reacted to this 6 months ago?”



Capitalizing on Hope at Court

Review

- Seeing is believing: New clients need to see it all
- Take incentives first— unless a “teachable moment.”
- Utilize mentors or your alumni group (Peer Support)
- Generously use incentives until “natural” reinforcers kick in.
- **If we do our job correctly, natural reinforcers will kick in and our clients will WANT recovery**

Sober Sisters



AA is not always a good fit for women

Questions?



Questions, Training, TA?

Contact Us:

- *Helen Harberts, J.D.*
[*helenharberts@gmail.com*](mailto:helenharberts@gmail.com)

- *Shannon Carey, Ph.D.*
[*carey@npcresearch.com*](mailto:carey@npcresearch.com)

