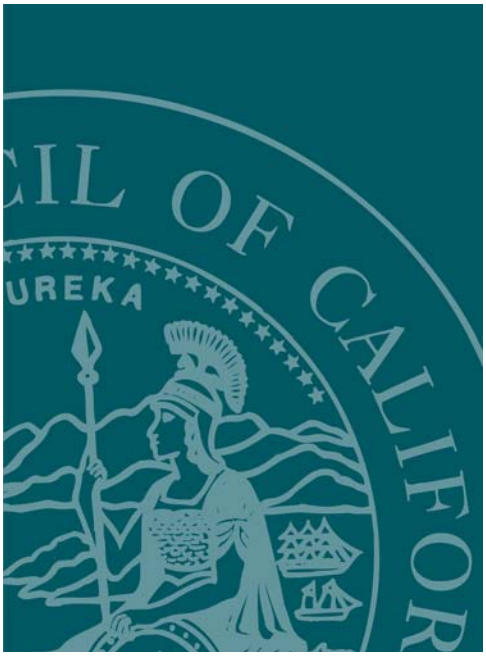


Evidence-Based Practice: Planning and Implementation

CALIFORNIA RISK ASSESSMENT PILOT PROJECT (CALRAPP)

November 3–4, 2010

Day One: 9:30 a.m.–5:00 p.m.

Day Two: 8:30 a.m.–3:00 p.m.

Sequoia Room, Third Floor
Judicial Council Conference Center
Administrative Office of the Courts
455 Golden Gate Avenue
San Francisco, CA

Breakout Sessions:

Napa County – Mojave Room

San Francisco County – Sequoia Room

Santa Cruz County – Golden Gate Room

Yolo County – Yosemite Room

ADMINISTRATIVE OFFICE OF THE COURTS

BAY AREA/NORTHERN COASTAL REGIONAL OFFICE

CalRAPP: Evidence-based Practices Action Planning
Work Session Agenda November 3 & 4, 2010

Meeting Objectives:

1) **Provide overview of NIC implementation model and planning framework**
2) **Conduct some initial prioritization of EBP implementation goals & objectives**
3) **Begin action planning**

Day 1: November 3, 2010		
Time	**Agenda Item**	**Lead**
9:30-10:00 am	**Welcome, Agenda Review & Introductions**	Lore Joplin
10:00-10:1 0am	**Introductory Remarks** • Update on CalRAPP project	Shelley Curran
10:10-10:45 am	**Work Session Model and Process Introduction** • Review the NIC's EBP implementation model • Introduction to the action planning process	Lore
10:45-11:00 am	**CalRAPP Survey Background**	Kevin O'Connell & Karen Viscia
11:00-12:00 pm	**Critical Focus Area: Organizational Management** • Alignment of EBP and mission/vision, policies & procedures, culture, communication	Marty Kirzay, Imperial Co.
12:00-12:15pm	**Lunch Break**	**All**
12:15-1:15 pm	**County Breakouts** • What does this mean in our county? • What are our organizational management priorities? • What are our implementation steps?	All
1:15-2:00 pm	**County Reports and Group Discussion** • Report out on next steps for each county	Lore, Marty & All
2:00-2:15 pm	**Break**	**All**
2:15-3:15 pm	**Critical Focus Area: Offender Supervision & Treatment** • Review of EBP in Offender Supervision • Assessment • Case planning	Natalie Pearl, San Diego Co.
3:15-4:15 pm	**County Breakouts** • What does this mean in our county? • What are our EBP priorities? • What are our implementation steps?	All
4:15-5:00 pm	**County Reports and Group Discussion** • report out on next steps for each county	Lore, Natalie, and All

Day 2: November 4, 2010		
Time	**Agenda Item**	**Lead**
8:30-8:45 am	**Reconvene and Recap**	Lore
8:45-9:45 am	**Quality Assurance and Performance Measurement** • Critical aspects of quality assurance, data collection, and utilization • Performance & outcome measurement	Shirley Hunt, Orange Co.
9:45-10:00 am	**Break**	**All**
10:00-11:00 am	**County Breakouts** • What does this mean in our county? • What are our QA priorities? • What are our implementation steps?	All
11:00-11:45 am	**County Reports and Group Discussion** • Report out on two steps for each county	Lore, Shirley & All
11:45-Noon	**Lunch Break**	**All**
12:00-12:30 pm	**Critical Focus Area: Collaboration** • Why and how is collaboration relevant?	Lore & All
12:30-1:30 pm	**County Breakouts** • What does this mean in our county? • What are our collaboration priorities? • What are our implementation steps?	All
1:30-1:45 pm	**Break**	**All**
1:45-2:30 pm	**County Reports and Group Discussion** • Report out on two next steps for each county	Lore & All
2:30-3:00 pm	**Closing Discussion** • Next Steps • Evaluation	Lore & All

Planning Session Overview

"In preparing for battle I have always found that plans are useless, but planning is indispensable."

– Dwight D. Eisenhower

Lore Joplin, MPA
Center for Evidence-based Policy at Oregon Health & Science University

Session Objectives

- Provide an overview of NIC's implementation model
- Introduce the planning framework
- Conduct initial prioritization of EBP goals & objectives
- Begin action planning

THE INTEGRATED MODEL

NIC Lessons Learned

Only healthy organizations & systems sustain change over time.

Agency Alignment

Behavior change principles apply to individuals (offenders and staff) as well as to *groups* of individuals (organizations and systems)

- Assessment,
- Stages of change,
- Performance/productivity,
- Responsivity,
- Skill training,
- Motivation,
- Measurement feedback

Elements of Organizational Alignment

- Mission/values
- Strategic planning
- Budget
- Data
- Quality Assurance
- Human Resource

Good Leaders…

. . . understand the need to plan, and implement change through strategic planning.

Strategic Planning

. . . communicates *focus & accountability*.

Action Planning

Gap analysis = comparing where you *want* to be with where you *are*.

Action Plan = how you *get* to where you want to be.

Planning Categories

- Organizational Management
- Offender Supervision
- Collaboration
- Quality Assurance in ALL AREAS

Why Plan?

- To solicit input from key stakeholders on intermediate steps and the process of the project
- To engage in a thoughtful, iterative process of determining the scope of work and the resources that must be allotted to it
- To consider the risks and uncertainties of the project, and plan accordingly

Develop a Work Breakdown Structure

An organized list of all the tasks of a project.

- **Level One: project/goal**
- **Level Two: major divisions/objectives**
- **Level Three: tasks**

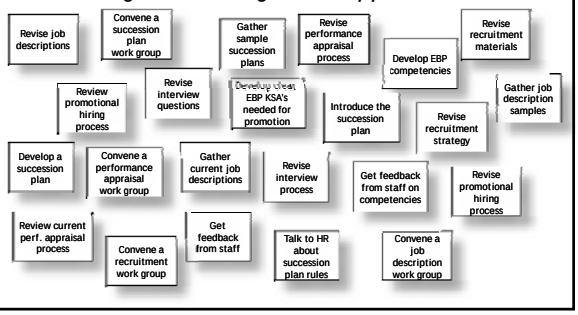
There may be further breakdowns depending on the size of the tasks.

Step 1: Identify Project/Goal

- Align mission, vision, and values statements with EBP concepts
- Align human resource strategies to support EBP
- Revise policies & procedures to reflect EBP concepts
- Ensure that training is sufficient to support EBP implementation

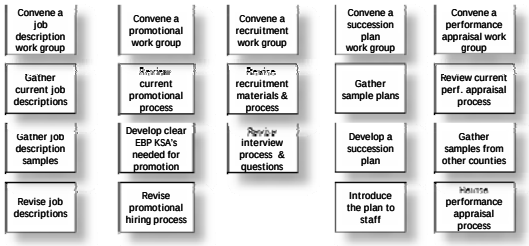
Step 2: Identify Tasks

Align HR strategies to support EBP

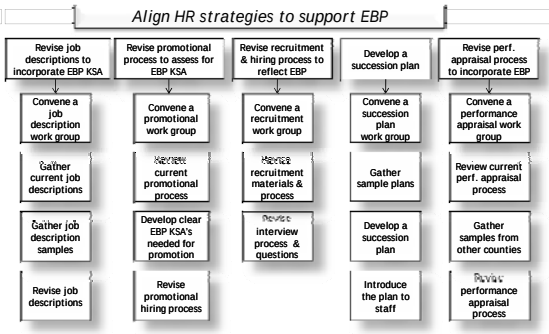


Step 3: Group Tasks

Align HR strategies to support EBP



Step 4: Define Groups/Objectives



Step 4: Develop an Action Plan

- Consider each task, and answer four questions:
  - *What staff will be assigned to take the lead?*
  - *Does the task need to be broken down further into action steps?*
  - *How much time will it take to complete? (Duration/Due Date)*
  - *What resources will be required?*

Step 5: Develop an Action Plan

Goal: Align HR strategies to support EBP

Objective	Task	Lead↓	Due Date	Resources
Revise recruitment & hiring process to reflect EBP	Convene a recruitment work group	Bob & Chris	Dec 10, 2010	Work group represents cross section of staff & includes HR
	Revise recruitment materials & process	Roger & Sharon	Jan 10, 2011	Get samples from other jurisdictions
	Revise interview process & questions	David & Barb	Jan 20, 2011	HR rules, current questions, and samples from other jurisdictions

When You're Finished Planning . . .

- You should know all of the anticipated tasks involved in your project
- You should know the resources that you need to be able to accomplish each task
- You should know the overall duration of the project, and the critical path of tasks

Evidence-Based Practice: Planning and Implementation

California Risk Assessment Pilot Project (CalRAPP)
California Administrative Office of the Courts
November 3, 2010

Set the Stage

- 1999-Broken Windows Probation
- 2000-Chief Justice Jones-Enforce Court Orders
- 2002-NIC Model of Evidence-Based Principles
- 2004-Chief Justice McGregor-"Good to Great"
  - A call for "balanced approach"
  - Arming PO's
- 2005-Yuma County Strategic Plan

- TA from National Institute of Corrections (NIC)
- Initial Planning Effort-November 2005
  - Volunteers
- Second Effort-February 2006
  - Department-Wide
  - Revised Vision, Mission and Core Values

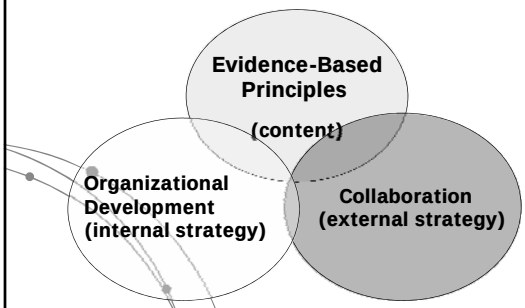
- Published Strategic Plan-May 2006
- Presentation to Judges-May 2006

Strategic Goals

- Goal #1: Promote Public Safety by Improving Probation Outcomes and Reducing Offender Recidivism.
- Goal #2: Retain, Recruit & Develop a High-Quality Staff.
- Goal #3: Improve Performance of Core Operations.
- Goal #4: Improve Customer Service and Satisfaction.
- Goal #5: Procure Facilities, Equipment and Technology to Maximize Efficiency and Effectiveness.

Goal #1: **Promote Public Safety by Improving Probation Outcomes and Reducing Offender Recidivism**

Strategy: **An Integrated Approach**



NIC/Crime & Justice Institute, 2002

The EBP Challenge…..

Shift Organizational Culture from:

……subjective assessments, treat everyone the same, compliance/enforcement orientation, zero tolerance policies, "catch them doing something wrong", service broker, focus solely on offender, high accountability (public safety)

To:

……objective assessments, differential (individual) case management, behavior change orientation, flexible policies, service broker **AND** provider, focus on offender/engage those around him, "catch them doing something right", high accountability (public safety)

Strategies

- Assessments (OST/FROST) Training
- Case Planning Training
- Motivational Interviewing (MI) Training
  - Refreshers
- Quality Control
- Moral Reconation Therapy (MRT)

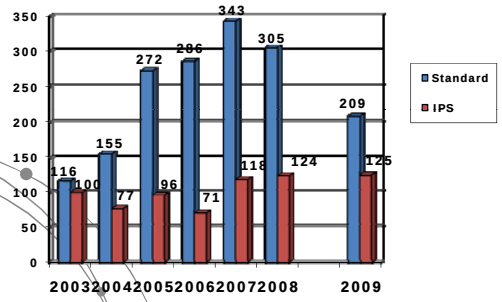
- Management Team Retreats
  - Team Building
  - Management Team Charter (handout)
- Reorganization into Teams (handout)
  - Right People in the Right Seats
- Rewards/Incentives (handout)
- Team Building-Colors (handout)
- Measure Results
  - Data Report
  - EBP Compliant Performance Appraisal (handout)

New Look: EBP Compliant Officers

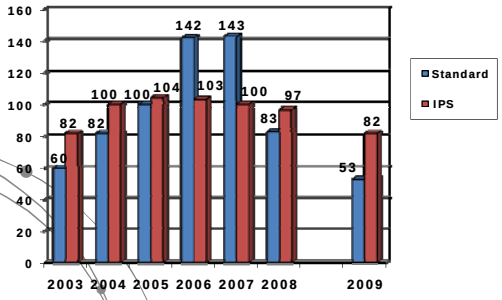
<u>Used to be</u> ..... *working solo, counting contacts, reacting, ordering, directing.*

<u>Now</u>… *case/supervision plans driven by assessment, staff skills matched to risk levels, interventions target criminogenic risk/needs, contacts with a purpose, using incentive/rewards and sanctions, motivating behavior change/enforcing court orders, facilitating cog groups, working in teams, engaging families, employers and providers, analyzing performance data, communicating/listening some more.*

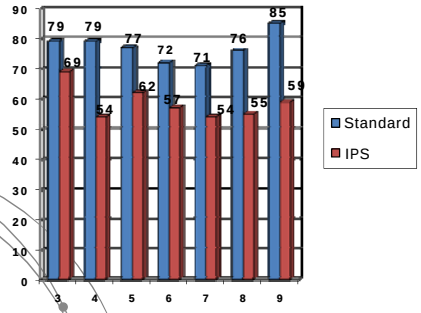
Petitions to Revoke



Revocations to Prison



Successful Completions



Lessons Learned

- LEADERS MUST MODEL BEHAVIOR CONSISTANT WITH VISION, MISSION AND VALUES-----"LEADERS LEAD"
- GOT TO HAVE A PLAN
- HIRE HARD, MANAGE EASY
- ELIMINATE OBSTANCLES
- IF YOUR LINE SUPERVISORS ARE NOT ON BOARD, YOU'RE DEAD IN THE WATER
- CHANGE THE CONVERSATIONS AT THE WATER COOLER

QUESTIONS?

Yuma County Adult Probation
Management Team Charter

Team Members:

Marty Krizay, Chief PO
Greg Stewart, Unit Supervisor
Bob Johnson, Unit Supervisor
Angenette Viall, Unit Supervisor
Anita Salisbury, Unit Supervisor
Judy Parks, Court Services Supervisor
Martin Loaiza, Treatment Services Supervisor
Steve Hardy, Deputy Chief PO
Martin Mendez, Unit Supervisor
Cathy Dryer, Unit Supervisor
Ben DeCorse, Unit Supervisor
Lori Burns, Court Services Supervisor
Robert Torres, Court Services Supervisor

Vision, Mission and Core Values:

VISION STATEMENT

LEADING THE WAY……PROBATION WORKS IN YUMA COUNTY, ARIZONA!

MISSION STATEMENT

The mission of Yuma County Adult Probation Department is to provide the highest quality service to the courts, community, victims of crime and adult offenders. This is accomplished by offering accurate, reliable information, promoting public safety through effective community-based supervision and affording offenders **a realistic opportunity to initiate positive life changes.**

CORE VALUES

As employees of the Yuma County Superior Court:

- **We believe our employees are our most valuable resource.**
- **We believe that probation supervision is a viable, cost-effective method of holding selected offenders accountable.**
- **We believe in being sensitive to the needs of victims of crime.**
- **We believe that** offenders **are capable of changing behavior and are deserving of our best efforts to facilitate life changes.**
- **We believe safety is the primary concern for ourselves and the community.**
- **We believe all individuals should be treated with dignity and respect.**
- **We believe in conducting ourselves in a manner that promotes the integrity of the Court and the credibility of probation.**
- **We believe in a style of management that involves the Court, staff, probationers and the community.**
- **We believe in creating and maintaining a supportive climate, conducive to individual growth, creativity and fulfillment.**
- **We believe that motivating change is preferable to forced compliance.**
- **We believe in an ongoing commitment to improve our services.**
- **We believe our actions reflect our values.**

Background and Goals:

A fundamental leadership/management responsibility of the Yuma County Adult Probation Department Management Team is to successfully implement the department's Five-Year Strategic Plan 2006-2011. The Management Team is committed to the achievement of the following strategic goals:

Goal #1: Promote Public Safety by Reducing Offender Recidivism

Goal #2: Retain, Recruit and Develop a High-Quality Staff

Goal #3: Improve Performance of Core Operations

Goal #4: Improve Customer Service and Satisfaction

Goal #5: Procure Facilities, Equipment and Technology

Ground Rules:
(Meeting schedule, locations, attendance expectations, agenda, communication methods, terms of decision-making, etc.)

Procedural	**Behavioral**
Meet Tuesday, 1x per month, 9am-5pm	All team members have equal standing
All Staff meetings held 2 x per year	Open disagreement is safe
Meeting locations to be set by the team	Consensus decision-making w/exceptions
Lunch from 12 noon-1:30pm	Be on time for scheduled meetings/events
Agenda items/attachments to the Chief 3 working days before meeting	Maintain confidentiality on identified sensitive issues, e.g., personnel issues
Agenda/attachments to Mgt. Team mailboxes 1 working day before meeting	Use data and performance measures as foundation for critical thinking and problem-solving
Meeting minutes to staff no later than 2 weeks after Mgt. Team meeting	The organization/department takes precedent, but recognize advocacy for unit needs.
Edited minutes due 2 working days from time received	Timely share relevant information
	Support team members and team decisions
Meeting breaks as needed	Be a good listener
Cell phones on vibrate, urgent calls outside of meeting	Keep an open mind
Supervisors hold Unit meetings 1 x per month	Be prepared to carry out decisions
No outside work during meetings	No personal attacks
Conclude all meetings on time	Participate in the discussions
Chief chairs the meeting; Dep. Chief in Chief's absence	Whenever possible, resolve conflict at source or lowest level
	Don't get defensive if ideas are challenged
	Ask for clarification; know what's expected
	Be forward thinking, but respect our history
	One person speaks at a time
	Give everyone a chance to speak

Conflict Management:

(What are potential conflicts that might arise among or between team members? How will team members deal with these and other conflicts?)

Scheduling conflicts--Manage personal/work issues around meeting schedule.

Team Member(s) are not carrying their weight and follow-through on assignments and/or commitments--Observe management ground rules.

Personality conflicts--Observe management team ground rules.

One or more team members try to over-control or dominate the group--Observe department ground rules.

Management Team Member Skill/Resource Inventory:

Anita Salisbury

Independent
Networking
Public Relations
110% effort
Staff/Officer Safety resource
Court Liaison resource
Likes change
Team player
Dedication
Go-getter/motivated to improve

Bob Johnson

Humor
DV, Sex Offender resource
Technical skills/Web design
Staff Development Resource
Flexible thinking
Non-traditional
Good advice
Detail oriented
Measured approach

Robert Torres

Resourceful in the community
"Can do" guy
Go-getter
110% effort
Passionate
Car Czar
Community restitution expert/resource
Self-motivated
Dependable

Cathy Dryer

Team player
Committed
Big picture view
Thinks "outside the box"
Assertive
Sensitive
Collaborative
Sex Offender resource
Motivational Interviewing resource

Greg Stewart

Patient
Comic
Compassionate
Drug Court resource
Sounding board
Leadership
20 yrs. Experience
Diplomatic
Congenial
Honest

Ben DeCorse

Coach
Big picture, but practical
Realist
Traditionalist
Philosophically balanced
Team player
Dependable
Honest
Committed
Sex Offender resource

Martin Loaiza

Patient
Passionate
Risk taker
Nice guy
Helpful
Solution seeker
Teflon perspective
Thinks “outside the box”
Works well under pressure
Treatment contacts/resources
Open-minded

Martin Mendez

Experience/knowledge
Leadership
Helpful
Team player
“Can do” person
Encouraging
Staff/Officer Safety resource
APETS resource
Data reports resource

Steve Hardy

Big picture perspective
Experience
Work ethic
Problem-solver
Informative
Patient
Calm under pressure
Approachable
Looks at all angles

Lori Burns

Supportive
Team player
Honest
Sensitive
Organizational efficiency

Angenette Viall

Passion
Outspoken
Sensitive
Honest
Team player
Leadership
PSI resource
Drug Court resource
Loyal

Judy Parks

Humor
APETS/ACJIS resource
Compassionate
Nice person
Helpful
Team player
Calming
Outside contacts

Marty Krizay

Risk taker
Vision
Action/Change/Outcome orientation
Passion for probation
Contacts in probation across the country
Leadership
Advocate
Critical/Strategic thinking
Public speaking
25+ yrs. experience

Standard Probation Reorganization

Level III-Maximum Group (168 cases)

Criteria:	Team Members:
Score 14 and up on OST or FROST	Alma Villalobos
3 or more criminogenic needs	Diana Corona
Requires intervention more than once a month	Frank Brown
Caseload size is average 45-50 cases	Newt Stricklin

==========

Level II-Medium Group (286 cases)

Criteria:	Team Members:
Score 7-14 on OST or FROST typically	Alicia Spencer
1-3 criminogenic needs	Matthew Meade
Requires 30-60 days intervention	Jose Lopez
Caseload size is average 65-70 cases	Domingo Flores

==========

Level I-Minimum Group (328 cases)

Criteria:	Team Members:
Score 1-10 on OST or FROST typically	Crystal Smith
0-1 criminogenic needs	Tony Gomez
Requires minimal/no intervention	Brittany Mercer
Caseload size is average 110 cases	

==========

Assessment Officer (60-75 cases)

Criteria:	Team Members:
Score 6-15 on OST	Noemi DeCorse
All new cases for 30-90day assessment period	
Caseload size is 60-75 cases	

==========

Specialized Sex Offender Caseload (32 cases)

Criteria:	Team Members:
Sex offense or sexually motivated offense	Vianett Rodriguez
Record of conviction of a sexual offense	

Specialized Domestic Violence Caseload (136 cases)

Criteria:	Team Members:
Offense is a felony domestic violence offense	Rosemarie Ochoa
2nd conviction (misdemeanor) within 7 years of a DV offense in a limited jurisdiction court	Ed Gonzalez
Ordered Special Conditions of Probation for DV	

==========

Specialized Drug Court Caseload (80 post-conviction cases/21 pre-conviction cases)

Criteria:	Team Members:
No prior/current sex offenses	Thelma Paris
No prior/current violent felony offenses or 3 or more prior violent misdemeanor convictions or a combination of both	Mike Ehrlich
No prior/current weapon offenses where use or exhibition of a deadly weapon	
No SMI cases. Some mental health issues on a case-by-case basis/no psychotropic meds	
Sales cases are case-by-case basis	
Additional information which will get a person denied/not screened: Any outstanding felony warrants Anything pending where a determination of guilt has not been found INS issues	
For Pre-Conviction cases, all of the above applies + No prior felony convictions No outstanding misdemeanor issues/warrants	

Yuma County Adult Probation Incentive Program

The Yuma County "Incentive Program" provides positive reinforcement and encouragement to offenders who are successfully progressing through medium and high levels of supervised probation (intensive and standard). The intention of the program is to utilize the OST and FROST as a baseline for desirable behavior changes. The Probation Officers involved in the incentives and rewards program will select and target the 3-4 of the highest criminogenic risks and promote individual success in each one of the areas by providing tangible and intangible incentives. Success will be measured in small but consistent efforts or by large and significant improvements in specific areas. The use of the "personal inventory of needs" will also be used to reflect progress or lack of progress. The committee will meet once a month to review progress, lack of progress and possible barriers encountered during this time and will provide a quarterly update as to the progress and success of the Probationer Incentive Program. The probation department will allocate and provided annual funding for the purchase of tangible incentive items and positive reinforcements. Additionally, local agencies will be sought for possible donations of items or access to discounted tickets.

Target behaviors;

A. Investment in recovery as reflected by:

Staying clean and sober as reflected by BT's and UA's,

Engage in recovery (MH or SA), attend treatment related services, and church

Avoiding people, places and things associated with past Alcohol and other drug use behaviors.

B. Be open and honest with his/her PO/SO and others as reflected by:

Sharing current stressors and possible plans to solve or deal with it.

Positive Feedback about efforts and progress from family, spouse, BF or GF, and employers.

Seeking help, support or guidance to improve life and lifestyle

C. Gain meaningful job skills as reflected by:

Ability to obtain and retain a job
Seek and improve opportunities for employment
Participation in trade/Job training classes

D. Be involved in Pro-social activities as reflected by:

Involvement with family or people supportive of his/her changes.
Attend other meetings or activities conducive to betterment of self or family life
Attend church, cell groups,
Engage in sports, exercise, or coaching in the community

E. Seek to enhance education as reflected by:

Working towards his/her GED or High School diploma,
Taking college, or Trade School classes (if appropriate)

F. Demonstrate positive choice making as reflected by;

Setting realistic and achievable goals,
Budgeting, and improving financial situation
Maintaining healthy boundaries from old peers and associations

H. Good overall attitude about progress while on probation as reflected by:

Make scheduled probation visits on time
Driver's license is current, or efforts to get it.
Insurance and tags on vehicle that is being driven are up to date
Plan to pay tickets or absolve any outstanding court issues
Stay current with payments of fines and fees

Incentives for accomplishing the above or doing above and beyond in any specific area:

Non Tangibles	**Tangibles**
Lift or increase curfew	Movie gift card
Praise or compliment from the Chief	Cultural event tickets
Tickets for drawing	Haircuts or makeup sessions
Verbal Praise by PO, SO	Video Rental Coupons
Certificates of Recognition	Restaurant gift certificates
Hall of Fame (star of the month)	Pizza Certificates/tokens for games
Travel Pass	Sports event tickets
Increase discretionary time "Free Time"	Pens
Bus tickets	Bike Loan Program
Visitation with Child/family	Bus Tickets
Days reduction (1 day for every 2 good days or good deeds)	Parks and recreation dept.
	Assistance with job placement
Certificate of completion of phase	Gifts to children
Postponing fees depending on circumstances	Food basket
Other	Car show tickets

Possible consequences for non complaint behaviors: (with written directives)

Stay in court to the end and write a report	Pay for positive UA's
Recommend increase on 1;1, tx sessions	Curfew times
More frequent testing	Electronic Monitoring
Work Furlough	Thought report for Technical

Lengthen time on probation due to violations
Relapse self assessment, essay on triggers and a complete relapse prevention plan
Relocation from home (shelter or transitional)
Residential Treatment (as soon as available)
Brought back to court and increase to IPS
No Travel Passes90-90 with Journaling
Attend job life-skills program
Reading book/watching video and write a report
Attend Anger management group
Letter of apology to family

Violations
Increase Community Restitution hrs
Verbal Admonishment from the Judge
More visits with PO or SO
Recommend IOP
Decrease of "Free Time"
Attend Budgeting program
Lose visitation with Child/family
Attend Relapse Prevention
Attend Parenting group
DV/DUI Impact panel

BLUE	GOLD	ORANGE	GREEN
Patty Navarro	Teresa Salgado	Jonathan Silberstein	Raul Manriquez
Margaret Castro	Jennifer Ramirez	Francisco Piedra	Everardo Rodriguez
Armando Padilla	Gabriela Leyva	Jose Ibarra	Herb Bumgart
Fernando Jimenez	Julio Coronel	Mike Lizarraga	Ernie Wyles
Saul Silva	Maria Hill	Jackie Cordova	Fernando Sandoval
Marcos Lopez	Geri Lopez	Armando Caballero	John Lacuesta
Cindy Hernandez	Jose Romero	Elisa Gonzalez	Susie Tirado
Angelica Matus	Jessica Leon	Oracio Carranza	Debbie Angulo
Lucia Sandoval	Antonio Olguin	Frank Martinez	Ramon Partida
Tommy Bowen	Juan Arvizu	Sara Zepeda	
Alex Garica	Ruben Sandoval	Antonia Mendez	
Yolanda Martinez	Gloria Muñoz	Iran Martinez	
Leticia Ayala	Gustavo Villegas	Raul Hernandez	
Silver Espinoza	Rosa Gutierrez	Marty Krizay	
Eloy Verdugo	Martha Ferrel	Diane Kodama	
Jose Duarte	Maria Torres	Adela Sanchez	
Priscilla Singh	Joaquin Montes	Jimmy Duron	
Esthela Arias	Wendy Betancourt	Pamela Littrell	
John Quintero	Grace Singh	Elizabeth Castro	
Elizabeth Velarde	Gloria Brambila	Enrique Alvarado	
Veronica Ochoa	Maria Elena Garcia		
Pete Salgado	Heather Schenck		
Fernando Moreno	Diana Salcedo		
Zulema Sandoval	Angela Moreno		
Araceli Terrazas	Rosie Nuñez		
Jose Quintero	Gabriel Ontiveros		
Jaime Martinez	Rosalva Garcia		
Maricela Solorzano			
Joan Stoveken			
Gustavo Navarro			
Marisol De Leon			

YUMA COUNTY SUPERIOR COURT
JUDICIAL EMPLOYEE PERFORMANCE EVALUATION

Name:	**Department:** Adult Probation		**Date:**	
Job Title:	**Date in Current position:**		**Date Assigned Present Job:**	
Evaluation Period From:	**To**		**Grade:**	**Step:**
Type of Evaluation: Mark (X)	**Annual :**	**Probationary:**	**Planning:**	**Other:**
Comments:				

Rating Guide:

4 – Distinguished	**Conspicuously meritorious performance. Meets performance standards of position 95-100% of the time. This employee is able to meet standards with little to no guidance.**
3 – Excellent	**Exceeds requirements with minimum of guidance. Meets the performance standards of the position 85-94% of the time. Well above average performance.**
2 – Competent	**Responsibilities are met in a wholly satisfactory manner. Meets the performance standards of the position 75-84% of the time. Normal guidance and supervision are required.**
1 – Needs Improvement	**Improvement needed in some key job areas. Meets the performance standards of the position 65-74% of the time. Considerable guidance and supervision are required.**
0 - Unacceptable	**Major shortcomings in performance. Only meets performance standards 64% or less of the time. Will require reassignment or separation if plans for progress are unsuccessful.**

==========

SECTION A

==========

1. QUALITY OF WORK:Appraise ability to implement Evidence Based Principles of Effective Intervention. Appraise the success in controlling errors, rejects, effective decision making, problem solving, consistency, writing skills, etc **Performance Rating:** **.20 x _____ = _____**	**Complete quality assessments by receiving input from the probationer and providing feedback and addressing highest criminogenic needs as identified through the Offender Screening Tool (OST) and Field Re-assessment Offender Screening Tool (FROST) Refer to policy. FROST will be completed six months after commencing probation and every six months thereafter; Enhance intrinsic motivation by engaging in conversation that is Motivational Interviewing adherent; Target interventions by establishing partnerships and collaborations with treatment providers to ensure treatment interventions are high quality, consistent with evidence-based principles and impact offender recidivism; Use cognitive behavioral treatment methods when interacting with probationers in addressing their treatment needs; Increase meaningful positive reinforcement when conversing with probationers by offering positive feedback that outweighs negative feedback by a 4:1 ratio; Engage and encourage probationers to be involved in ongoing support systems and be acquainted with the probationer's significant other and/or any collaterals that have a significant influence in the probationer's life to include educational, treatment and spiritual components.** **Your evaluation will be based on several sources of information including observations made during office visits; ride-alongs and thorough review of assessments and re-assessments, case plans, APETS, court documents and casefile reviews. Casenotes should include all pertinent information that occurred during the event and articulate the depth and substance of that interaction. A significant portion of your evaluation will be determined by the high criminogenic needs identified by the OST and FROST being addressed with the client through an effective Case Plan. The Case**

	Plan will be developed and implemented as well as monitored to ensure that strategic strategies are being adhered to by both the probationer and the supervising probation officer to maximize the probability of behavior change.
2. QUANTITY OF WORK: **Appraise the output of acceptable work.** **Performance Rating:** **.10 x _____ = _____**	**You will be expected to perform optimal and effective case management within a 40 hour work week. Ensure that compliance is met in accordance to the program rules, departmental policy, Arizona Code of Judicial Administration and Arizona Revised Statute as applicable to your respective caseload (Standard, Intensive Probation, Interstate Compact, Drug Court).**
3. JOB KNOWLEDGE: **Consider comprehension of responsibilities, duties, methods and procedures inherent in the job** **Performance Rating:** **.15 x _____ = _____**	**You will be familiar with the following: information contained in defendants' files, procedures for completing case plans, supervision strategies that focus on the criminogenic needs based on the results of the OST/FROST. You will also know the procedures on how to refer individuals to appropriate services. You will provide support and assistance as needed. Have a clear understanding of Evidence Based Principles. Demonstrate proficiency in Motivational Interviewing style of conversation. It is expected that you will have meaningful office/field visits that are focusing on criminogenic areas as well as the conditions of probation. Have a working knowledge of the stages of change and understand what applications are necessary and relevant depending on where the probationer is in this process. You will also know how to administer a urinalysis and maintain the chain of custody. It is also expected that you be able to conduct a search, make an arrest, use the radio dispatch system and use the breathalyzer. It is expected that you know the violation process and how to prepare supporting paperwork. Further, you will be able to book a probationer into the Adult Detention Facility. Have a clear understanding of the Court process and be prepared to testify in a professional manner.** **You will be knowledgeable about department policies and procedures, related statutes and Administrative Order. You will also become proficient in the use of Outlook regarding e-mail, Sheriff**

	records and APETS. You will read/review your e-mail and your mailbox located in the reception area at least once per shift. **You will be acquainted with professionals from law enforcement agencies, community restitution agencies, counseling agencies, employer and educational institutions.** **You will be familiar with the information contained in your probationers' files before doing any field work.** **Most importantly, is that you conduct yourself at all times in a safe and responsible manner. You will have participated and successfully completed the Defense Tactics and Probation Academies. You will continue to demonstrate adequate ability to use good judgment and respond to situations as you have been trained.**
4. ATTENDANCE: **Consider punctuality with regard to absence, tardiness and improper use of unauthorized sick leave.** **Performance Rating:** **.05 x _____ = _____**	**Time sheets will be submitted on the morning of Friday before payday and leave slips turned in for requested time off. Your monthly schedule will be maintained in Outlook and submitted for supervisor approval by the 25th of each month for the next month. It is expected that you will establish your schedule based on your responsibilities and obtain the supervisor's approval before changing it. Notice to be absent from the job will be relayed directly to your supervisor or a designee in a timely manner.** **Make arrangements, in concert with your supervisor, to ensure that all of your caseload responsibilities (i.e. Court appearances, submission of Court reports, monthly statistics, etc.) are adequately covered when attending training, scheduling leave, or taking sick leave.** **Attend mandated training, any training you are interested in or directed to participate in and all staff/unit meetings.**
5. HUMAN RELATION SKILLS: **Consider employee's ability to work and communicate effectively with coworkers, other court department staff and outside agencies necessary to accomplish job requirements. Consider employee's ability to effectively communicate with those individuals whom they supervise in a way that invites behavior change.** **Performance Rating:** **.15 x _____ = _____**	**Develop a professional relationship with your probationers and their significant others. You will utilize your time with your probationers that will result in effective case management and appropriate intervention. Additionally, communicate with your supervisor and all other probation staff in a professional manner. In addition to frequent and on going dialog with these people, you will need to have regular communication with court personnel, law enforcement staff, community service agencies' personnel and probation staff in other counties. All communications whether in writing, via the phone or in person, must be done in a courteous manner. Treat those whom you encounter or have interaction with dignity and respect. Any problems encountered with others (staff, probationers and/or the public) must be communicated to your supervisor in a timely manner. Dedication to the best customer service possible is what is strived for and required.**

6. USE OF WORK TIME: **Consider productive utilization of time in performance of work related responsibilities.** **Performance Rating:** **.05 x _____ = _____**	**Utilize your shift in a productive manner that will result in sound case management and effective intervention. If your schedule permits, you are encouraged to volunteer for committee work or other Department sponsored functions. Pre-approval to earn comp time must come from a supervisor.**
7. ABILITY TO MEET DEADLINES: **Consider employees ability to meet goals, assignments and tasks in an acceptable, timely, and cost effective manner.** **Performance Rating:** **.05 x _____ = _____**	**Your first priority is to meet all Court imposed deadlines. You must also adhere to all department policies and time lines imposed whether from a supervisor or designee. Any problems encountered meeting any timeliness must be communicated to the appropriate parties and supervisor in a timely manner. Stats are due by the 5th of each month. Other agencies asking for your assistance on matters and/or questions from victims/community members must also receive immediate response. Professionalism demands that you give timely response to other probation staff's requests.**
8. INITIATIVE: **Consider initiative to plan work, to generate effective suggestions and to appropriately proceed with job without extra detail.** **Performance Rating:** **.05 x _____ = _____**	**Take the initiative to ask questions and raise issues to your supervisor, other supervisors or other staff when you encounter information you do not understand. Initiate appropriate and timely EBP based supervision that effectively addresses changing criminiogenic behaviors that reduce recidivism. Other initiatives would include maintaining communications with treatment providers, encouraging pro-social activities for probationers, exploring and expounding on employment and educational opportunities for probationers, and increasing intrinsic motivation and positively reinforcing appropriate change directive behaviors.**

9. ABILITY TO FOLLOW DIRECTIONS: **Consider acceptance and comprehension of instructions and ability to follow through.** **Performance Rating:** **.05 x _____ = _____**	**Follow the directions/policies of the department, and the guidance of supervisors and assigned mentors or staff development officer, regarding the work you do. Again, it is imperative that you ask questions when you need clarity and that you understand what you are doing and why. You must follow through on requests made of you and the commitments that accompany your job duties.**
10. LEADERSHIP: **Consider employees ability to follow the Department's Core Values and Mission Statement through example and initiative.** **Performance Rating:** **.15 x _____ = _____**	**Familiarize yourself with the Department's Core Values and Mission Statement. It is expected that you conduct yourself in a manner that is in accordance with the Judicial Merit Rule Cannons, from both outside and within the Department. Be a formal and/or informal leader by whatever interpersonal and professional skills that you possess. Take the initiative to be involved with Department functions, trainings, or community events as approved by your supervisor that promote our Mission Statement.**

***Add all ten categories for score average**

Rated Score =

==========

SECTION B

==========

PLANS FOR PROGRESS: (Include specific comments to enable employee to perform at higher level. Specify needs, development activities, and timetables.)

==========

SECTION C

==========

EMPLOYEE REVIEW AND COMMENTS

This performance evaluation has been reviewed with me:

Employee Signature_____ Date_____

Remarks:

I request a further discussion of this performance review. ( ) Yes ( ) No

Completed by:_____ Date:_____

Reviewed by:_____ Date:_____

Steven W. Hardy, Deputy Chief Adult Probation Officer

Step Increase: ( ) Approved ( ) Denied (X) Not Applicable

Next Scheduled Evaluation: _____

Elected Official/Dept. Head Approval_____ Date:_____

Martin J. Krizay, Chief Adult Probation Officer

Notes:

CalRAPP Work Session
County Breakout Process Description

November 3-4, 2010

Process Item	Time	Description
Materials	**Prep**	Large format Goal Sheet, Flip chart paper, dots (2 per person), sticky notes, Action Planning Worksheet
Assignments	**2 Min**	Identify a scribe (to take notes/complete Action Planning Worksheet) and a reporter (someone to report out to the large group)
Goal Sheet Review	**5 Min**	**Purpose: Review and clarify possible goals** Briefly review the goal sheet. This is not an exhaustive list and participants may want to add one or two additional goals, if necessary.
Goal Prioritization	**15 Min**	**Purpose: Identify participant priorities** 1. Each participant has two votes (dots). Participants may place those dots on the flip chart to vote for the goals they believe should be the department's highest priorities (only one vote per goal). 2. Tally the votes, identifying & writing the total votes next to each goal. The group will begin their planning work on the goal that received the most votes.
Task Brainstorming	**5 Min**	**Purpose: Identify potential tasks needed to accomplish the goal** 1. Each participant individually writes tasks associated with achieving the goal on sticky notes (no talking). At the end of five minutes, hand completed sticky notes to facilitator.
Task Grouping	**20 Min**	**Purpose: Group the tasks and identify group headings** 1. The facilitator reads each sticky note, asks clarifying questions if needed, and places sticky note on a flip chart/white board. 2. As the facilitator reads through sticky notes, natural groupings will appear. Identify and confirm the groupings with the participants and place sticky notes within the appropriate grouping, e.g., training, communication, collaboration, policies & procedures, case planning, etc. 3. After all sticky notes have been grouped (there may be some strays and some duplicates), identify a heading that describes the content of each group, e.g., improve organizational communication, implement a case planning template, or rewrite job descriptions.

Action Planning	**10 min**	**Purpose: Develop an action plan for completing each task** Work with the participants to: 1. Determine who will take the lead role. 2. Depending on available time: a. Determine whether or not the task needs to be further broken down into steps. If so, have the group identify at least the first 1-3 steps. b. Identify resources needed to complete the task. c. Identify the due date.
Next Steps	**8 min**	**Purpose: Closing and prepare for report out** 1. Review any final questions or closing comments. 2. Review assignment for reporting out.

CalRapp Planning: Goal Prioritization

Organizational Development

***Instructions**: Vote for **two** goals which you believe should be the highest priority*

- ___ Align mission & vision align with EBP
- ___ Clearly define and align organizational goals and objectives with EBP
- ___ Develop an action plan that is specific, clear, and has cross-organizational buy-in, to support achievement of EBP-related goals & objectives.
  - Engage staff in the planning process
  - Convene a work group to develop plan
- ___ Revise policies & procedures to incorporate EBP
- ___ Develop an organizational culture that is supportive of EBP concepts
  - Hire and reward staff whose attitudes and values reflect EBP principles, including a balanced approach to offender change
  - Hold leadership and staff accountable for modeling open and honest communication
- ___ Ensure that organizational communication is effective and supports EPB implementation
  - Develop a multi-dimensional plan/strategy for communicating information regarding planning & EBP implementation internally as well as externally with stakeholders
  - Support and foster informal communication that supports EBP implementation
- ___ Develop human resource strategies for recruitment & hiring that support EBP
  - Review and revise recruiting strategies & materials to focus on the knowledge, skills, and attitudes necessary to deliver EBP
  - Review and revise job descriptions to emphasize the knowledge skills, and attitudes necessary to deliver EBP
  - Review and revise the interview & hiring processes to emphasize the knowledge, skills, and attitudes necessary to deliver EBP
  - Ensure that recruitment & promotional hiring rely on assessment of staff strengths & skills as they align with the organization's mission & EBP
- ___ Develop a succession plan that supports an ongoing emphasize on EBP and explicitly values the knowledge skills, and attitudes necessary to deliver EBP
  - Make leadership skill building opportunities available to staff whose performance & attitude are in alignment with EBP and supportive of the organization's mission.
- ___ Ensure that training is sufficient, available, and supports EBP implementation
  - Review and adjust training curricula as needed to support EBP implementation
  - Develop a training plan that incorporates initial and booster trainings for all staff in the principles and implementation of EBP.

CalRAPP Action Planning Worksheet

Goal:

Objective:

Action Plan					
Action Steps *What specific steps need to be take to accomplish this?*	**Lead** *Who is going to take the lead role in making this happen?*	**Due Date** *When can it reasonably be completed?*	**Resources Needed** *What resources (staff, time, $$) do we need to accomplish this?*	**Outcome Measure** *How will we know when it's done?*	**Progress to-date** *Have we made any progress toward completing this?*

CalRAPP Action Planning Worksheet

Goal:

Objective:

Action Plan					
Action Steps *What specific steps need to be take to accomplish this?*	**Lead** *Who is going to take the lead role in making this happen?*	**Due Date** *When can it reasonably be completed?*	**Resources Needed** *What resources (staff, time, $$) do we need to accomplish this?*	**Outcome Measure** *How will we know when it's done?*	**Progress to-date** *Have we made any progress toward completing this?*

CalRAPP Action Planning Worksheet

Goal:

Objective:

Action Plan					
Action Steps *What specific steps need to be take to accomplish this?*	**Lead** *Who is going to take the lead role in making this happen?*	**Due Date** *When can it reasonably be completed?*	**Resources Needed** *What resources (staff, time, $$) do we need to accomplish this?*	**Outcome Measure** *How will we know when it's done?*	**Progress to-date** *Have we made any progress toward completing this?*

CalRAPP Action Planning Worksheet

Goal:

Objective:

Action Plan					
Action Steps *What specific steps need to be take to accomplish this?*	**Lead** *Who is going to take the lead role in making this happen?*	**Due Date** *When can it reasonably be completed?*	**Resources Needed** *What resources (staff, time, $$) do we need to accomplish this?*	**Outcome Measure** *How will we know when it's done?*	**Progress to-date** *Have we made any progress toward completing this?*

Critical Focus Area: Offender Supervision

Natalie Pearl Ph.D. – Director of Research
San Diego County Probation Department
November 3, 2010
CalRAPP Action Planning

Principles of Effective Supervision

- Risk Principle: **(WHO)** target high risk offenders
- Need Principle: **(WHAT)** target criminogenic risk/need factors
- Responsivity Principle: **(HOW)** styles and modes of service must be matched to the learning styles and abilities of the offenders

Lowenkamp

The Risk Principle - Who

- Target those offenders with a higher probability of recidivism
- Provide the most intensive treatment to higher risk offenders
- Intensive treatment for lower risk offenders can increase recidivism

Risk

- Assessment should be done as early on in the criminal justice process as possible
- Assessment should be conducted using a validated risk and need assessment
- Sentences can be based on risk assessment
- Supervision can be based on risk assessment
- Referrals for service should be based on needs assessment
- HIGH RISK OFFENDERS receive the highest level of supervision

Lowenkamp

Applying the Risk Principle

- How is the risk principle applied in your county?
- What interferes with your ability to implement the risk principle in supervision?
- What would need to change to increase the implementation of the risk principle?

The Need Principle

- Identify criminogenic needs
- Prioritize top three criminogenic needs.
- Intervention customized to the individual
- Behavioral intervention has the most impact (CBT)
- Focus primarily on criminogenic needs

Lowenkamp

CRIMINOGENIC Needs

- Anti-Social Attitudes
- Anti-Social Associates
- History of Anti-Social Behavior
- Anti-Social Personality
- Family/Marital Problems
- Few Pro-Social Activities
- Work/Education Problems
- Substance Abuse

Applying the Need Principle

- How is the need principle applied in your county?
- What interferes with your ability to implement the need principle in supervision?
- What would need to change to increase the implementation of the risk principle?

Responsivity Principle

- Target attitudes,
- Build rapport,
- Use pro-social modeling, reinforcement and cognitive-behavioral techniques to influence change
- Use a strategic supervision structure in each individual session as well as over the entire supervision period
  - EPICS
  - STARR

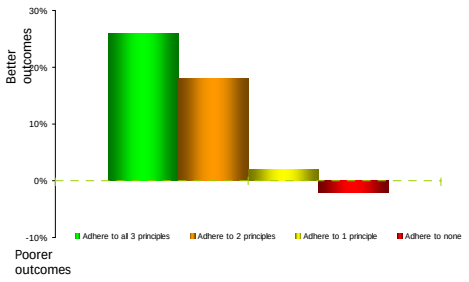
Applying the Responsivity Principle

- How is the responsivity principle applied in your county?
- What interferes with your ability to implement the responsivity principle in supervision?
- What would need to change to increase the implementation of the responsivity principle?

Dosage

- For high risk offenders, structure 40% to 70% of the offender's time for 3 to 9 months.
- How can this be accomplished?

Impact of Adhering to the Core Principles of Effective Intervention: Risk, Needs, and Responsivity*



* meta-analysis of 230 studies (Andrews et al., 1999)

So, Now What?

- Assessment must:
  - Have face validity
  - Lead to action
  - Have practical implications
- In order to be relevant to officers and probationers
- How can this be accomplished?

Face Validity

- Do officers feel that the tool accurately assesses risks and needs?
- Do officers believe that a tool is
  - Not as good as their judgment?
  - Can inform their judgment?
  - Better than their judgment?

Building a Plan

- Consider stage of change
  - Use MI to move to next stage
- Include offender in the decision-making process
- Use information from assessment + conditions of probation
- Prioritize goals
  - Work on no more than three at a time
- Update as needed – Case Plan as a living document

Tools of the Trade, Taxman

Making the Case Plan Work

- Use standard case management techniques
  - Referral (officer)
  - Intervention (probationer)
  - Monitoring (officer)
  - Evaluation (both)
  - Advocacy (officer)

The Treatment Principle

1. The most effective interventions are behavioral
   a. Focus on current factors that influence behavior
   b. Action oriented
   c. Offender behaviors are appropriately reinforced
2. The most effective behavioral models are
   a. Social learning—practice new skills and behaviors
   b. Cognitive behavioral approaches that target criminogenic needs

Lowenkamp

Key Concepts of Cognitive Theories

- Thinking affects behavior
- Antisocial, distorted, unproductive irrational thinking causes antisocial and unproductive behavior
- Thinking can be influenced and changed
- We can change how we feel and behave by changing what we think

Lowenkamp

What If?

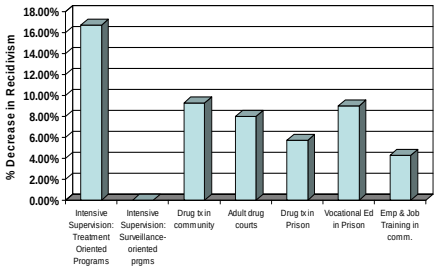
- Offender does not follow case plan?
  - Immediate and certain consequences
  - Administrative sanctioning process
  - Taking into account risk level of offender and seriousness of violation
- Probationer commits new crime?
  - Re-arrest
  - Return to court
  - Possible revocation

It all ties together….

Case Planning:
prioritized needs+conditions
• Substance abuse tx
▪GED
▪Pay restitution
▪Get *(and hold)* a job

Sanctions: *consider offender risk and seriousness of violation*
▪Random U/A
▪Increased frequency of Tx
▪1-2 nights in jail / work furlough / Work Projects

EBP Options: Effect on Recidivism



Fidelity to the Model

- IT MATTERS
- It can be measured
- Protocols can be changed
- Good protocols (based on sound theory) can substantially reduce recidivism
- We'll hear more about it in Dr. Hunt's QA session

Lowenkamp

CalRapp Planning: Goal Prioritization

Supervision & Treatment

***Instructions**: Vote for **two** goals which you believe should be the highest priority*

- ___ Align assessment practices with EBP
  - Implement use of a risk/needs assessment tool to sort, target, and develop case plans
  - Develop a plan for conducting regular reassessments
  - Validate and norm the assessment based on the local population
  - Develop a process for ensuring inter-rater reliability for assessment scoring
- ___ Develop case plans based on assessment data that assist in the management of offenders in alignment with EBP
  - Implement personalized case plans, which are developed and regularly updated
  - Develop case plans which are personalized for each offender
  - Ensure case plans target interventions based on the top criminogenic needs
  - Ensure case plans incorporate engagement of natural & community supports.
- ___ Target supervision and treatment resources toward medium and high risk offenders
- ___ Provide training to ensure staff relate to offenders in constructive ways and use techniques to enhance intrinsic motivation for behavioral change.
  - Ensure the use of positive reinforcement to support and sustain behavior change
- ___ Develop a continuum of rewards and sanctions to reinforce case plan priorities
- ___ Treatment interventions are delivered use evidence-based curricula
- ___ Develop a plan for analyzing, understanding, and meeting the treatment needs of its offenders
  - Develop an inventory of available treatment intervention
  - Assess interventions for strengths and weaknesses using an assessment tool
  - Conduct a gap analysis to compare available treatment with the identified needs of the offender population
  - Develop a plan for best meeting the treatment needs of offenders within the available resources

CalRAPP Action Planning Worksheet

Goal:

Objective:

Action Plan					
Action Steps *What specific steps need to be take to accomplish this?*	**Lead** *Who is going to take the lead role in making this happen?*	**Due Date** *When can it reasonably be completed?*	**Resources Needed** *What resources (staff, time, $$) do we need to accomplish this?*	**Outcome Measure** *How will we know when it's done?*	**Progress to-date** *Have we made any progress toward completing this?*

CalRAPP Action Planning Worksheet

Goal:

Objective:

Action Plan					
Action Steps *What specific steps need to be take to accomplish this?*	**Lead** *Who is going to take the lead role in making this happen?*	**Due Date** *When can it reasonably be completed?*	**Resources Needed** *What resources (staff, time, $$) do we need to accomplish this?*	**Outcome Measure** *How will we know when it's done?*	**Progress to-date** *Have we made any progress toward completing this?*

CalRAPP Action Planning Worksheet

Goal:

Objective:

Action Plan					
Action Steps *What specific steps need to be take to accomplish this?*	**Lead** *Who is going to take the lead role in making this happen?*	**Due Date** *When can it reasonably be completed?*	**Resources Needed** *What resources (staff, time, $$) do we need to accomplish this?*	**Outcome Measure** *How will we know when it's done?*	**Progress to-date** *Have we made any progress toward completing this?*

CalRAPP Action Planning Worksheet

Goal:

Objective:

Action Plan					
Action Steps *What specific steps need to be take to accomplish this?*	**Lead** *Who is going to take the lead role in making this happen?*	**Due Date** *When can it reasonably be completed?*	**Resources Needed** *What resources (staff, time, $$) do we need to accomplish this?*	**Outcome Measure** *How will we know when it's done?*	**Progress to-date** *Have we made any progress toward completing this?*

QUALITY ASSURANCE & PERFORMANCE MEASUREMENT

Evidence-Based Practices Action Planning

CalRAPP Workshop
November 3-4, 2010
San Francisco, CA

Dr. Shirley Hunt
Corrections Research Consultant

QUALITY ASSURANCE & MEASUREMENT

- **QA: WHAT'S IT ALL ABOUT?**
- **DEVELOPING A QA PLAN**
- **EBP PERFORMANCE & OUTCOME MEASUREMENT**
- **DATA COLLECTION AND REPORTING**

Quality Assurance: The Basics

What is "quality assurance" or QA?

"….refers to a program of systematic monitoring and evaluation of various aspects of a project, service, etc, to ensure that standards of quality are being met." (http://en.wikipedia.org/wiki/Quality_assurance)

"….an ongoing circular process that starts with identifying goals and objectives and formulating a plan; implementing the plan; checking outcomes to see whether implementation has succeeded as planned; making incremental improvements to the process as necessary to obtain the desired outcome.
(Continuous Quality Improvement definition, Dept. of Community Justice, Multnomah County, OR., http://web.multco.us/dcj/research-reports

What does Quality Assurance mean to you?

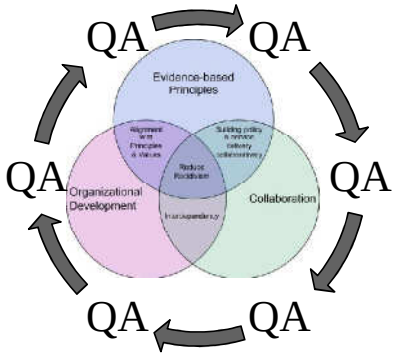
- List up to <u>five</u> things that your agency currently does which you would label "Quality Assurance"
  - Can be practices, policies, procedures, etc.

QUESTION: Where does QA fit in model?

"QA provides the evidence, the data that……

- Allows you to connect the dots between what happens on a day to day basis and the achievement of desired outcomes, and gives you the opportunity to take corrective measures as necessary.
- Ids how clients/programs improve & why
- Reduces subjective opinions about what works/what doesn't
- Helps better utilize resources and guide decision making.
- Ensures operating ***<u>with fidelity</u>*** to proven practices
- Other??

Where QA fits in integrated model



b2

Quality Assurance done well allows you to answer questions like…..

- Here's what's working…
- Here's what we're learning…..
- Here's how we've increased effectiveness and….
- This is how we know it is true….

QA is not a new concept….unfortunately, too often it looks like this….

"…*Catching people being bad leads to hide and seek behavior.."*

Kimberly Sperber, Ph.D.

CALRAPP Survey Results

Q. 74 Processes used to ensure service delivery quality.

Q. 20 Written Policy -Risk level Monitoring Req. (N=87)

20% Yes 29% No 36% Being Dev. 16% Don't Know

What does Quality Assurance mean in Your Department?

- For each QA item you've listed, evaluate it on the following scale

II. Developing a QA Plan (*)

- ✓ Convene a QA stakeholder group:
  - ✓ Define "quality
  - ✓ Identify desired outcomes and measurable indicators
- ✓ Develop a logic model (Follow-up with action plans)
- ✓ Develop a data collection plan (prioritize!)
- ✓ Develop a data utilization plan
- ✓ Begin implementation and data collection
- ✓ Complete analysis, provide feedback and reports
- ✓ Develop improvement plan and repeat

(*) For a comprehensive presentation of Quality Assurance in the Integrated model, see Howe & Joplin (2005) and Pierce-Danford & Guevara, 2010.

Convening Stakeholder Group

- Who do you consider to be the stakeholders who care about, or are impacted by, your services? Within agency; outside agency?
  - Groups most affected need a voice in the process (helps promote buy-in and infusing the "culture of quality".
- Develop agreed-upon definition of "quality"
  - Defined within the context i.e. agency/system-wide, within particular area of performance, etc.
- Define desirable/measurable outcomes i.e. how will we recognize "quality" when we see it? *(Will return to this later)*
  - Includes measures that tell you how progressing i.e. are you on track or not? (process, short-term)
  - Outcomes that measure the progress toward quality (i.e. intermediate, long-term)

Setting up a Logic Model

Inputs	Activities	Outputs	Outcomes		
			Short-Term	Inter-mediate	Long-term
What Resources Are Needed?	What Will Be Done?	How Will We Know The Activities Have Been Completed Successfully? (Process Measures)	What Will Be The Immediate Change In Attitudes, Knowledge Skills ?	What Will Be The Intermediate Behavior Change?	What Will Be The Long Term Behavior Change?

Research Based →

II. Developing a QA Plan (Part 1)

- The QA plan should be an tailored for your department.
- Result should be a product of collaboration
- Decision about leadership for QA
  - QA staff;
  - Committee

  IMPORTANT: While everyone will/should be involved and concerned about QA, imperative to identify individuals/groups/etc. with formal oversight of QA. Provide time and authority to them to set bar high and ensure able to meet responsibilities.
- Communicate early and often throughout(developing a formal/informal communication plan.)

DEVELOPING A QAP

(PART 2)

- EBP PERFORMANCE & OUTCOME MEASUREMENT
- DATA COLLECTION & REPORTING PLAN

III. BUILDING EBP PERFORMANCE & OUTCOME MEASUREMENT

- What are the desired agency/system-level outcomes?
  - Implications for Measurement at the Program, Unit level.
  - Implications for Measurement at the Individual Staff level?
- How do these outcomes transfer to performance and outcome measures across the Integrated Model?
  - Organizational Development
  - Evidence-Based Principles
  - Collaboration
- What information must be collected for these measures and how will it be reported?

III. Building EBP Performance & Outcome Measurement

Logic Model Framework

INPUTS	ACTIVITIES	Outputs (Process Measures)	Outcomes		
			Short-term	Intermediate	Long-term
		Documenta-tion of who received what services, trainings, etc.	Measures of Changes in knowledge, awareness after delivery of the training, intervention, services, etc., Policies in place	Measures of Initial Changes in Behavior i.e. progress toward overall reduction in risk or recidivism, indicators of positive progress,	Measures of Behavior Change over a longer time period during/ after the training, intervention, service,

III. Building EBP Performance & Outcome Measurement

LONG-TERM OUTCOMES

If Integrated Model implemented successfully, what are the long-term outcomes desired/expected?

INPUTS	ACTIVITIES	Outputs	Outcomes		
			Short-term	Intermediate	Long-term
					#1 *Reduce Recidivism* *#2* *#3*

b6

Establishing Performance & Outcome Measures

- How is measure going to be operationally defined?
- What's the timeframe for measurement?
- Is the measure Realistic? Attainable?

S.M.A.R.T. OUTCOMES
(S.M.A.R.T. GOALS & OBJECTIVES)

- ***S*pecific**
  Is clear & relates to identified needs, mission & goals
- ***M*easurable**
  Able to objectively determine if it has been met.
- ***A*ttainable**
  Resources, skills available to successfully accomplish
- ***R*ealistic**
  Possible to accomplish within context & constraints
- ***T*imely**
  Achievable in the timeframe established

III. Building EBP Performance & Outcome Measurement: #1 *REDUCING RECIDIVISM*

- How is "Recidivism" going to be defined/measured?
  - Arrests
  - Petitions/complaints filed
  - Convictions
  - Convictions w/custody
    - Jail
    - prison
- Will it only include New Law Violations only? Or be a measure of ALL violations, VOP/technical and new law?
- What is the Timeframe?

III. Building EBP Performance & Outcome Measurement:

Measuring Recidivism

How defined depends on where the stakeholder is in the criminal justice continuum.

- **Police – "Arrest"**
- **District Attorney – "Complaints (Petitions) filed" / Convictions**
- **Courts – Someone returning to (their) court**
- **Probation….**

******NO ONE CORRECT/ABSOLUTE DEFINITION*******

****** Consider multiple measures of recidivism to meet the vested stakeholder interests.**

III. Building EBP Performance & Outcome Measurement
LONG-TERM OUTCOMES

If Integrated Model implemented successfully, what are the long-term outcomes desired/expected?

INPUTS	ACTIVITIES	Outputs	Outcomes		
			Short-term	Intermediate	Long-term
					#1 *Reduce Recidivism* *#2 Satisfactory Probation Completion* *#3*

III. Building EBP Performance & Outcome Measurement:

#2 SATISFACTORY PROBATION COMPLETION

- **What is "satisfactory"?**
  - **Meet all terms and conditions of probation?**
  - **Reduction in Risk/Increase in Positive (e.g. pro-social attitudes, employed, substance-free)**
  - **Commit no violations while on probation?**
  - **Not sentenced to prison?**

******* Continuum of satisfactory completion *******

III. Building EBP Performance & Outcome Measurement
California Probation

- **Recidivism (Initial Measure):** **(CPOC Data Survey) (**)**

  % of terminated probationers committing new law (Felony new law) violations while under probation supervision.

- **Satisfactory Probation Completion**

  (1) # of terminated probationers NOT terminated to prison as proportion of all terminated probationers

  (2) # of felony probationers NOT sentenced to prison as proportion of all offenders on felony probation

  (3)

CPOC Data Survey, Chief Probation Officers of California, http://www.cpoc.org/php/Data/survey0910/surveyhome4.php

III. Building EBP Performance & Outcome Measurement Across the Integrated Model

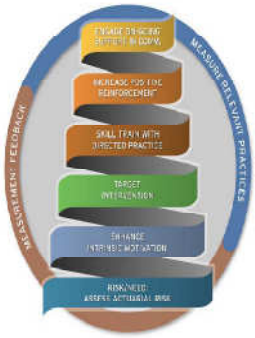
III. Performance & Outcome Measurements - Organizational Development

- **Vision and Mission alignment**
- **Leadership/management styles**
- **Strategic Plan**
- **Communication**
- **Organizational Climate/ Culture**
- **Policies and Procedures**
- **Recruitment and hiring**
- **Training/Coaching/ Mentoring**
- **Performance Management**
- **Succession Planning**

MEASURES

- ✓ **Increased communication**
- ✓ **Increased decision making using data**
- ✓ **Increased staff with <u>skills</u> in**
  - **R/N assessment**
  - **Case Plan development**
  - **Stages of changes**
  - **Motivational Interviewing**
  - **CBT**
- ✓ **Written Policies & Procedures aligned with EBP**
- ✓ **Hiring practices formally developed to reflect EBP integrated model skills**
- ✓ **Performance evaluations realigned to reflect Integrated EBP competencies**

III. Performance & Outcome Measurements - Evidence-Based Principles



- ✓ Reductions in recidivism (#, level)
- ✓ Positive changes in offenders risk & protective factors (behavioral indicators of change)
- ✓ Increased staff behavior demonstrating effective utilization
  - Assessment
  - Case Plan development
  - Stages of changes
  - Motivational Interviewing
  - CBT
  - Graduated Sanctions & Rewards

III. Performance & Outcome Measurements - Collaboration

- ❑ Judicial Personnel
- ❑ Other Criminal Justice stakeholders
- ❑ Service providers

Measures

- ✓ Stakeholder Steering Committee is Active
- ✓ Trainings Completed
  - Judicial, Other CJ system Personnel
  - Service Providers
- ✓ Increased knowledge about EBP by partners
- ✓ Indicators Demonstrating Effective Implementation of EBP
  - Incorporation of EBP in sentencing
  - Provider programs/services meet EBP quality assurance standards

III. Building EBP Performance & Outcome Measurement
Organizational Development Measure Examples

Outputs	Outcomes		
	Short-term	Intermediate	Long-term
Completed • Workplans • Strat. Plans • QAP • Org. Assmts # Numbers • Trained Written policies & Proced. Aligned w/ EBP • Perform Evals • Recruitment & Retention	Staff aware of doc, activities, policies, (e.g. verbalize, demonstrate general knowledge about) T1 to T2 changes • Org. Assmts (TCU, Likert, Employee Surveys • Pre/Post tests (Training	Observations of actions & behavior (formal & informal) support organizational movement forward	Ongoing evidence across organiza. of •A culture of quality • Embracing EBP • Transparency *(Reducing Recidivism)* *(Satisfactory Probation Completion)*

III. Building EBP Performance & Outcome Measurement
Evidence-Based Practices Measure Examples

Outputs	Outcomes		
	Short-term	Intermediate	Long-term
# Numbers of…. (PO-focused) • Assmts compltd • Med/Hi R. Prob. • Caseplans cmplt •Targeted referls • Progress docs. • Observ complt w/ feedback Formal Documt. Of (Client-focused) • Service progress & status • Violats. (level, type, dispo) • Sanctions & Rewards	(POs) % Percentage • Ontime assmts • Ontime Caseplans • Caseplans targetg top crimin. Needs • Using MI • Using CBT (Clients) % Percentage • Completing interv • Not in Violation • Involvd in Prosocl • Paying Restitution • Engaged w/ PO & caseplan [SURVEY]	% of Clients (after some specified time period…..) • Reduction in risk & criminogenic needs (changes in Assessment scores). • Positive gains in prosocial attitudes, behavior (gainful emplmt; • No violation activity, or reduction in seriousness (level/type) •	1. *Reduction in Recidivism* 2. *Satisfactory Probation Completion*

III. Building EBP Performance & Outcome Measurement
Collaboration Measure Examples

Outputs	Outcomes		
	Short-term	Intermediate	Long-term
Completion w/ stakeholders • Strat Plan (Sys) • QAP Doc. of • Meetings held (# attdg, agency) • Trngs completd (topics, # attendg) Program Quality Assmt in place (external)	T1 to T2 changes • Pre/Post tests (trgs) • Surveys (knowledge, attitudes, behavs) • Stakeholders, program providers demonstrate willingness to begin implementation (address barriers, issues; establish processes, policies, etc.)	Observations of actions & behavior support movement forward among collaborators • Judicial use (gen supported by other stakeholders) of risk assessment, EBP, in sentencing. • Providers employ EBP in treatment	Ongoing evidence across criminal justice collaborators •A culture of quality • Embracing EBP • Transparency *(Reducing Recidivism During/After Probation)* *(Satisfactory Probation Completion & Community Integration)*

Behavior Change within the Integrated Model

Level of Change	EBP	Organizational Development	Collaboration
Awareness	Increased awareness of 8 guiding principles	Increased self awareness of strengths, weaknesses	Increased awareness of societal norms for behavior, or how the correctional ystem works
Knowledge/ Skills	Understands how criminogenic factors relate to case planning	Increased knowledge of comm resources	Increased judicial understanding of offense cycle
Behavior	Increased OARS behavior	Increased autonomy in leadership skills	Increased followed recommendations from judges
Modeling Behavior	Role modeling/ Ulitizing the skills learned in MI	Contributes to the development of the competency of others	Decreased recidivism; increased productivity post placement

III. Building EBP Performance & Outcome Measurement

SETTING MEASUREMENT OBJECTIVES

Organizational Development

- **90% of all officers will have completed motivational interviewing training by June 2011.**
- **75% of all current supervision policies will be revised to be aligned with EBP by December 2011.**
- **The performance evaluation for probation officers will be revised to incorporate EBP-Based Competencies by March 2012.**

III. Building EBP Performance & Outcome Measurement

SETTING MEASUREMENT OBJECTIVES

Evidence-Based Principles

- **90% of probationers will have a completed R/N assessment Within 45 days of court.**
- **85% of completed case plans will include targeting of the probationer's top 3 criminogenic needs identified by December 2011.**
- **70% of terminated probationers will have not recidivated (committed no new law violations) while on probation.**
- **85% of terminated probationers will exit to the community (vs. prison).**

III. Building EBP Performance & Outcome Measurement

SETTING MEASUREMENT OBJECTIVES

Collaboration

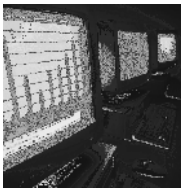
- **100% of stakeholders will complete EBP training by March 2011**
- **A formal program evaluation assessment will be implemented by July 2011.**
- **70% of judges will follow the recommendations of presentence reports incorporating risk & needs assessment 85% of the time at the closure of CalRAPP.**

Tips for Setting Benchmarks (*)

- Performance standards generally not set at 100% (rare exceptions)
- If data available for the measure, consider setting initial benchmark to meet or exceed (by a set percentage) previous performance.
- Ask the staff what their estimate is if delivery is excellent and clients complied.
- Use info from experts, research, or other programs similar to the services, what are the reasonable, appropriate benchmarks.
- Are there other external considerations? i.e. funders, stakeholders

(*) SOURCE: Orange County QA training presentation, August 2008
Charlene Rhyne, Ph.D. & Jennifer I. Cobia, M.S.

IV. DEVELOPING A DATA COLLECTION & REPORTING PLAN



IV. Developing a Data Collection & Reporting Plan

- **What data will need to be collected?**
  What's available now? What other data are needed? Who's the holder of the data? What new data/information needed?
- **How will it be collected and by whom?**
  In What Format? Any confidentiality barriers/issues?
- **How will the quality of the data be verified/monitored?**
  QA procedures identified to ensure reliability/validity? Automated capabilities built into system? Review how often?
- **Once the data are collected, what is to be done with it?**
  Analysis plan? Reports to be generated (Individual, unit, agency, external)? Procedure for Improvement Plan

STARTING LIST OF DATA ELEMENTS (CLIENT)

- **Demographic**
  - Age (DOB), gender, race/ethnicity, residence, income
- **Supervision**
  - Presenting offense, conviction date, supervision start date
  - Risk/Need assessment scores (changes over time – overall/subgroups)
  - Changes in supervision type and/or level (dates occurred)
  - Officer-Offender Interaction (contacts - #, type, quality of..)
- **Treatment/Sanctions**
  - Treatment Type/Dosage (agency, referral date, completion status, exit date)
  - Sanctions placed (causal event, date, custody days imposed, other, completion status)
- **Outcomes**
  - Arrests, violations, incarceration (type of offense, dates)
  - Length of supervision (probation termination date, type)

Putting it Altogether

EXAMPLES:

PRESENTING INFORMATION

Quality Assurance & Performance Measurement

Key Summary Points

&

Concluding Remarks

For more information, see attached references or contact
Dr. Shirley Hunt
(714) 330-2239
sjhunt@socal.rr.com

Figure 4 – 3: Virginia Roadmap Local Agency EBP Implementation Logic Model 2.1

Inputs	Activities	Outputs	Outcomes		
			Short	Intermediate	Long Term
• Allocation from DCJS • Technical Assistance from contractors • Technical Assistance from phase one sites and the steering committee • Technical assistance and support from DCJS and VCCJA • Agency employees at all levels • PTCC • CCJB • Treatment providers	**Organizational Development** • Review relevant literature • Organizational Assessment • Develop Strategic Plan and Work Plans • Develop Communication Plan • Implement Committee Structure • Implement leadership development plan	• Completed organizational assessment • Completed Strategic Plan • Completed Work Plans • Completed Communication Plan • Completed leadership development plan	• Increased knowledge of organizational and local system strengths and barriers to change • Documentation of plans to improve areas of need • Increased buy-in from employees at all levels • Improved leadership skills	• Improved organizational practices in areas of need (e.g., decision making, human resource practices, building employees efficacy, communication)	• Improved Successful Discharge Rates • Reduced Recidivism • Reduced Technical Violations • Improved Public Safety
	EBP • Review relevant literature • Plan for training • Local Policies drafted (including defined quality assurance processes) • Provide training and boosters for employees and supervisors in core EBPs (e.g., assessment, case planning, EC/MI, differential supervision and response standards) • Provide training and booster forums for EBP supervisory skills	• Training plan completed • Trainings completed • Employees trained • Policies and Quality Assurance mechanisms implemented	• Increased knowledge of the principles of EBP • Increased knowledge in conducting assessments and case planning • Increased proficiency among employees • Increased supervisory feedback and coaching skills	• Skilled employees, supervisors, and directors • Client supervision frequency according to risk • Case plans that target assessed risk and needs • Referrals made to targeted treatment • Violations responded to according to differential response standards	
	Collaboration • Informational sessions with stakeholders • Joint training sessions with stakeholders • Stakeholder participation in strategic planning process and ongoing progress discussions • Implementing collaborative evidence-based efforts	• Informational sessions completed • Joint trainings completed • Stakeholder input in the strategic plan and plans for progressing forward • Providers discussing ways to offer treatments consistent with client needs	• Increased knowledge of EBP principles and practices among stakeholders • Increased knowledge of system barriers and strategies to address them	• CCJB goal(s) or mission defined to incorporate EBP • Stakeholder relationships that discuss EBP, systems issues and improvement processes • Providers employing EBP in treatment • Court orders supportive of EBP and assessment recommendation	

SOURCE: Pierce-Danford, K. & Guevara, M. (2010). *Commonwealth of Virginia: Roadmap for Evidence-Based Practices in Community Correction.* Crime and Justice Institute at Community Resources for Justice. (pp. 76-77). http://cjinstitute.org/files/Roadmap_Final.pdf

Figure 4 – 4: Virginia Roadmap Local Agency EBP Logic Model for Risk and Need Principle Fidelity

Inputs	Activities	Outputs	Outcomes		
			Short	Intermediate	Long Term
• Clients • Employees and leadership trained in assessment, effective communication/ motivational interviewing, case planning and observation/feedback • Assessment Tools (e.g., M-OST, OST) • Policies for supervision strategies (e.g., assessment, engagement, differential supervision, case planning, etc.) • Treatment providers • Information system	• Assessment conducted and recorded by officer • Officer reviews assessment results with clients • Officer utilizes motivational and effective communication techniques • Officer develops case plan with medium and high risk clients based on top criminogenic needs • Officer assessment and case plan sessions observed and critiqued	• # of assessments completed • # of medium and high risk clients • # of medium and high risk clients with case plans completed and signed by officer and client • # of assessment feedback/case plan sessions observed and critiqued	• % of clients supervised according to risk (i.e., frequency) • % of medium and high risk clients with case plans that responsively address at least one of the top three criminogenic needs • % of clients that believe they were active participants in creating their case plan • % of officers that are proficient in assessment, EC/MI and case planning	• Risk reduced • Supervision completed without violation • Supervision completed without new charge • Improved Successful Discharge Rates	• Reduced Recidivism • Improved Public Safety
	• Officer makes appropriate referrals to treatment provider • Treatment progress is recorded by officer	• # of referrals made to targeted treatment • # of referrals with documentation of progress	• % of clients who attend at least one session • % of clients who successfully complete targeted treatment		

Figure 4 – 5: Peer Review: Client File Audit

Reviewer:_____ Date: _____

Interviewer:_____ Client Name: _____

Directions: Mark yes or no for each item. Mark N/A if the criterion in question does not apply to this case at this time. If calculating a numerical score, total all items scored and divide it by the total possible points (do not score criteria that are N/A). Complete this review on five cases for each officer then complete the Peer Review: Client File Audit Summary. Solicit officer self-critique comments after reviewing the results from all five audits. Then provide additional feedback based on reviewer observations and insights. If being used as a developmental opportunity, collaboratively create development goals.

Criteria	Yes	No	N/A
1. Intake and assessment information are complete			
2. Assessment is administered in a timely manner (e.g., per policy requirement)			
3. Top three criminogenic needs are identified			
4. Supervision level is adequate for assessed level of risk			
5. Case plan is complete (to this date)			
6. Case plan is appropriate to assessment results			
7. Case plan goals are relevant to assessed needs			
8. Case plan goals are written in clear, measurable terms			
9. Case plan is completed in a timely manner (per policy requirement)			
10. Case plan includes client signature			
11. Case plan includes target dates for case plan goals			
12. Case plan is updated in a timely manner (per policy requirement)			
13. Documentation of referrals related to case plan goals exists			
14. Referrals are made in a timely manner (per policy requirement)			
15. Documentation of progress toward case plan goals exists (e.g., record of discussion with client)			
16. Progress notes indicate case plan was implemented			
17. Progress notes indicate officer used a motivational and strength based approach with client			
18. Documentation indicates client attended at least one treatment session			
19. Documentation indicates client successfully completed treatment			
20. Progress notes indicate officer provided mechanisms for client to engage in long term pro-social support			
21. Progress reports to the court are complete and well written			
22. All required documentation is complete (per policy)			

Total number of Yes Answers/Total number of criteria scored = ☐

SOURCE: Pierce-Danford, K. & Guevara, M. (2010). *Commonwealth of Virginia: Roadmap for Evidence-Based Practices in Community Correction.* Crime and Justice Institute at Community Resources for Justice. (p. 82). http://cjinstitute.org/files/Roadmap_Final.pdf

Site: _____

ORANGE COUNTY PROBATION DEPARTMENT
CLIENT SURVEY

Please take a few minutes to complete this survey. Your responses will help the Probation Department improve its services. **All responses are anonymous.** We are not asking for your name. When you are finished, please drop the survey in the box marked "SURVEY." Thank you for your help.

1. When were you placed on probation?
   O Less than 6 months ago O 6-12 months ago O Over 1 year to 2 years ago
   O Over 2 years to 3 years ago O More than 3 years ago

2. How long have you been reporting to your current probation officer?
   O Less than 3 months O 3-6 months O 7-12 months O More than 1 year

3. When visiting my probation officer, the wait time in the lobby is usually reasonable.
   O Strongly agree O Agree O Disagree O Strongly disagree

4. The receptionist greets me in a courteous manner.
   O Strongly agree O Agree O Disagree O Strongly disagree

5. My probation officer treats me with respect.
   O Strongly agree O Agree O Disagree O Strongly disagree

6. My probation officer spends enough time with me.
   O Strongly agree O Agree O Disagree O Strongly disagree

7. My probation officer listens to me.
   O Strongly agree O Agree O Disagree O Strongly disagree

8. My probation officer and I work together to help me complete probation successfully.
   O Strongly agree O Agree O Disagree O Strongly disagree

9. My probation officer lets me know how I am doing on probation.
   O Strongly agree O Agree O Disagree O Strongly disagree

10. My probation officer asks for my input when making plans for me.
    O Strongly agree O Agree O Disagree O Strongly disagree

11. My probation officer compliments me for good behavior.
    O Strongly agree O Agree O Disagree O Strongly disagree

12. If I started having problems my probation officer would see me more often.
    O Strongly agree O Agree O Disagree O Strongly disagree

(Continued on the back)

13. Please mark an X in the box that describes how often you and your probation officer talk about the following topics:

	Very Often	Sometimes	Almost never
My Attitude			
My Choices & Decisions			
My Drug/Alcohol use			
My Education			
My Employment			
My Family			
My Friends			
My Health			
My Mental Health			
My Financial Payments			
My Residence/Address			
My Treatment Attendance			
Other: _____			

14. From the list above, which 3 do you most often discuss?

1: _____ 2: _____ 3: _____

15. How else could your probation officer help you while on probation?

Comments:

16. Please give an overall rating of your experience with the Orange County Probation Department.

O Very satisfied O Satisfied O Dissatisfied O Very dissatisfied

Comments:

17. Please answer the following questions about yourself?

a) Zip Code: ☐☐☐☐☐ b) Age: ☐☐

c) Race:
O White
O African-American
O Native American
O Hispanic
O Asian
O Other

d) Gender:
O Male
O Female

THANK YOU FOR YOUR TIME!
PLEASE PUT IN THE SURVEY BOX

42932

VICTIM SERVICES SURVEY
YEAR 2009
ORANGE COUNTY PROBATION DEPARTMENT

09/01/09

Please let us know how well we are serving you. We value your input. Your answers are completely confidential.

Instructions: Fill in your choices like ● **NOT like** ⊘ or ⊘

1. Which of the following describes the crime related to your most recent interaction with the Probation Department?

○ (1) Theft ○ (3) Vandalism ○ (5) Drinking & Driving
○ (2) Abuse ○ (4) Assault or Battery ○ (6) Other _____

2. The offender was: ○ An Adult (18 or older) ○ (2) A Juvenile (under 18)

3. The services I received from the Probation Department included: (check all that apply)

○ (1) Information ○ (2) Restitution ○ (3) Referral ○ (4) Other _____ ○ (5) None

4. As a victim of a crime, what type of contact did you have with the Probation Department? (check all that apply)

○ (1) Letter/Mail ○ (3) Telephone ○ (5) I talked to someone in person (face-to-face)
○ (2) Other _____ ○ (4) None

Please indicate how you feel about each of the following statements. Each sentence is about your interaction with Probation.	**Strongly Agree**	**Agree**	**Neutral**	**Disagree**	**Strongly Disagree**
1. I am satisfied with the victim services I received from Probation.	○	○	○	○	○
2. The information I got helped me find out about victim services.	○	○	○	○	○
3. The Probation staff listened carefully to my questions.	○	○	○	○	○
4. The staff was able to answer my questions and give me information.	○	○	○	○	○
5. Probation staff members were courteous to me.	○	○	○	○	○
6. Probation staff offered to notify me about the status of the case.	○	○	○	○	○
7. Probation staff explained how they could help collect restitution.	○	○	○	○	○
8. I had difficulty understanding the information given to me.	○	○	○	○	○
9. The staff encouraged me to give information about the crime.	○	○	○	○	○
10. The Probation Department is sensitive to the needs of victims of crime.	○	○	○	○	○

My Gender is:	**My primary language is:**	**My Age is:**
○ (1) Male ○ (2) Female	_____ (Examples: English, Spanish, Vietnamese, Korean, Chinese, Thai, etc.)	○ (1) 14 or less ○ (5) 15 - 17 ○ (2) 18 - 24 ○ (6) 25 - 34 ○ (3) 35 - 44 ○ (7) 45 - 54 ○ (4) 55 - 64 ○ (8) Over 64

PLEASE WRITE YOUR COMMENTS HERE: (or attach separate page)

PLEASE RETURN THE COMPLETED SURVEY IN THE ENCLOSED SELF-ADDRESSED, POSTAGE-PAID ENVELOPE. THANK YOU.

This Page Intentionally Left Blank

CONFIDENTIAL EMPLOYEE SURVEY 2005
(On-line Zoomerang Survey)

ORANGE COUNTY PROBATION DEPARTMENT

The management of the Probation Department is interested in your views about the department and your employment. Please take a few minutes to complete this survey. This is your opportunity to express your opinions. Your responses will provide information that will be used to help us become a more successful Department.

The survey is confidential. Please do not write your name on the form. Place your completed form in the secure location designated for survey returns at your Probation work site. An independent source will tabulate all the responses and the Research Unit will prepare a summary that will be available to all Department employees.

Thank you for taking time to complete this survey!

John Robinson, Acting Chief Probation Officer

Division
- Adult Court Services
- Adult Field Services
- Alternatives (Special Operations & Supervision)
- Juvenile Court Services
- Juvenile Supervision
- Community Programs
- Juvenile Institutions
- Support Services (A&FD, Data Sys., PS&R, & HR&T)

Position
- Manager
- Supervisor
- Line/Support Staff

Years with Department
- Less than 1 year
- 1 to 3 years
- 4 to 10 years
- 11 to 15 years
- 16 to 20 years
- Over 20 years

Years in Current Position
- Less than 1 year
- 1 to 3 years
- 4 to 10 years
- 11 to 15 years
- 16 to 20 years
- Over 20years

Job Category
- Sworn
- Nonsworn (Professional)

Gender
- Female
- Male

FOR EACH OF THE FOLLOWING STATEMENTS, PLEASE INDICATE THE DEGREE OF YOUR AGREEMENT OR DISAGREEMENT.

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
1. I am satisfied with the Probation Department as my employer.	1	2	3	4	5
2. The Department has high standards of productivity.	1	2	3	4	5
3. My supervisor values my suggestions and opinions.	1	2	3	4	5
4. I have been adequately trained to do my job.	1	2	3	4	5
5. I believe the amount of work assigned to me is appropriate.	1	2	3	4	5
6. Competent and hard working employees receive appropriate recognition from their supervisors.	1	2	3	4	5
7. The Probation Department has the capability of reducing crime.	1	2	3	4	5
8. The Department's mission and goals have been clearly communicated to me.	1	2	3	4	5
9. Management values my suggestions and opinions on improving service.	1	2	3	4	5
10. I feel the Department is genuinely committed to providing good client services.	1	2	3	4	5
11. I know what is expected of me in my job.	1	2	3	4	5
12. I am proud to be an employee of the Probation Department.	1	2	3	4	5
13. Employees who are promoted receive appropriate training for their new positions.	1	2	3	4	5

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
14. The Department offers employees opportunities to participate in the strategic planning process.	1	2	3	4	5
15. My supervisor provides me with the direction I need to do my job.	1	2	3	4	5
16. The Department makes an effort to ensure that employee discipline is fair.	1	2	3	4	5
17. My work space is adequate, clean, and well maintained.	1	2	3	4	5
18. The Department is concerned with developing its employees to their full potential.	1	2	3	4	5
19. The Department has adequately assisted me in solving problems that have arisen in my job.	1	2	3	4	5
20. I have an opportunity to give my input into the Department's planning process.	1	2	3	4	5
21. The Department is meeting its goals and the needs of the Community.	1	2	3	4	5
22. The Department's support divisions provide adequate support to the field and institutional divisions.	1	2	3	4	5
23. The Department's methods of employee communication (e.g., all-staff e-mails, Probation Update newsletter, all-staff meetings with the Chief Probation Officer, on the web site) provide useful information to staff.	1	2	3	4	5
24. I am clear about the performance standards I must meet in my job.	1	2	3	4	5
25. I believe there are reasonable career advancement opportunities available in the Department.	1	2	3	4	5
26. My co-workers and I work well together.	1	2	3	4	5
27. The Department is safety conscious.	1	2	3	4	5
28. New employees in the Department receive sufficient training for their jobs.	1	2	3	4	5
29. Promotional competitions in this Department are fair.	1	2	3	4	5
30. I enjoy what I am doing in my position.	1	2	3	4	5

A. WHAT DO YOU FIND MOST SATISFYING ABOUT WORKING IN THE PROBATION DEPARTMENT?

_____

_____

_____

B. IF THERE WAS "ONE THING" THAT WOULD SIGNIFICANTLY IMPROVE YOUR JOB SATISFACTION, WHAT WOULD THAT BE?

_____

_____

C. IS THERE ANYTHING ELSE YOU WOULD LIKE TO ADD OR ANY SUGGESTIONS YOU HAVE ABOUT HOW TO IMPROVE THE DEPARTMENT?

_____

_____

THANK YOU!

COUNTY OF ORANGE PROBATION DEPARTMENT

2010 BALANCED SCORECARD AT A GLANCE

As a public safety agency, the Orange County Probation Department serves the community using efficient and research supported corrections practices to:

• Reduce Crime • Assist the Courts in Managing Offenders
• Promote Lawful and Productive Lifestyles • Assist Victims

Score Card Codes: ⬆ Meets or Exceeds Goal ⇔ Close Monitoring ⬇ Corrective Action

	Goal	FY 08/09 Results	Results vs. Goal
COMMUNITY SAFETY KEY SERVICE AREA			
Recidivism Metrics			
% of probationers terminating probation without a new law violation.			
Adult	>60%	74%	⬆
Juvenile	>60%	67%	⬆
Recidivism Reduction: Risk Reduction/Offender Competency			
% change in adult probationers with one year satisfactory employment at beginning of probation compared to % at termination of probation supervision.	>40%	59%	⬆
% change in juvenile probationers attending school regularly at beginning of probation compared to % at termination of probation supervision.	(Measure Under Development)		
Recidivism Reduction: Compliance Monitoring	(Measure Under Development)		
COURT SUPPORT KEY SERVICE AREA			
Quality of Probation Services			
% of reports completed and delivered on time			
Adult	>95%	100%	⬆
Juvenile	>95%	89%	⇔
% of bench officers satisfied with probation services	(Measure Under Development)		
Quality Assurance Service Providers	(Measure Under Development)		
VICTIM SERVICES KEY SERVICE AREA			
Victim Satisfaction with Services			
% of victims satisfied with the quality and manner of department services provided to them	59%	55%	⇔
Victim Restitution Collected from Offenders			
Total dollars collected and paid during FY 08/09	$3.98M	$3.04M	⬇
Victim Protection	(Measure Under Development)		
WORKFORCE KEY SERVICE AREA			
Workplace Safety			
Total number of workers' compensation claims filed during FY 08/09	277	258	⬆
Recruitment, Selection and Retention			
Total number of applications for entry level peace officer position received*	7,313	3,909	⬇
Workforce Involvement, Reward and Recognition	(Measure Under Development)		
Succession Planning	(Measure Under Development)		
Workload (Caseload) Management and Planning	(Measure Under Development)		

**In 2008 a hiring freeze was put into effect due to economic conditions*

SOURCE: Orange County Probation Department. (2010) *2010 Business Plan.* (p. 18) Orange County, CA. http://egov.ocgov.com/vgnfiles/ocgov/Probation/Docs/businessplan2010.pdf

REFERENCES

Bogue, B., Diebel, J., & O'Conner, T. Combining Officer Supervision Skills. *Perspectives*,32(2) 30-45.

Center for Effective Public Policy. (2010). *A Framework for Evidence-Based Decision Making in Local Criminal Justice Systems.* An Initiative of the National Institute of Corrections. (3rd Edition). A Collaborative Project among the Center for Effective Public Policy, Pretrial Justice Institute, Justice Management Institute and The Carey Group.
http://www.cepp.com/documents/EBDM%20Framework.pdf

Crime and Justice Institute and National Institute of Corrections. (2007). Intermediate Measures Database Handbook and Instruction Manual. *Implementing Effective Correctional Management of Offenders in the Community.* **http://cjinstitute.org/files/int_measures_%20user_manual_110107.pdf**

Crime and Justice Institute and National Institute of Corrections. (2005). *Implementing Effective Correctional Management of Offenders in the Community: Outcome and Process Measures*.
http://cjinstitute.org/files/matrix110905.pdf

Crime and Justice Institute at Community Resources for Justice. (2009). *Implementing Evidence-Based Policy and Practice in Community Corrections, 2nd ed.* Washington, DC: National Institute of Corrections. **http://www.nationalinstituteofcorrections.gov/Library/024107**

Howe, M. & Joplin, L. (2005). *Implementing Evidence-Based Practice in Community Corrections: Quality Assurance Manual.* National Institute of Corrections, Crime and Justice Institute.
http://www.nicic.gov/Library/021258

Orange County Probation Department. (2010) *2010 Business Plan*. Orange County, CA.
http://egov.ocgov.com/vgnfiles/ocgov/Probation/Docs/businessplan2010.pdf

Pierce-Danford, K. & Guevara, M. (2010). *Commonwealth of Virginia: Roadmap for Evidence-Based Practices in Community Correction.* Crime and Justice Institute at Community Resources for Justice.
http://cjinstitute.org/files/Roadmap_Final.pdf

Taxman, F., Shephardson, E., Delano, J., Mitchell, S., Byrne, J. (2004). *Tools of the Trade: A Guide to Incorporating Science Into Practice.* National Institute of Corrections, U.S. Dept. of Justice, and Maryland Department of Public Safety and Correctional Services.
http://nicic.gov/pubs/2004/020095.pdf

White, T. 2006. Process and Outcome Measurement: Cornerstone or Achilles' heel of evidence-based practice. *Community Corrections Report*, 3(5): 65-90.

CalRapp Planning: Goal Prioritization

Quality Assurance and Performance Measurement

- Implement quality assurance in all aspects of department performance and service delivery
- Develop a department Quality Assurance (QA) master plan
  - Establish a stakeholder group
  - Develop a definition of "quality"
  - Identify desired agency-level performance outcomes
  - Create a system QA logic model
- Develop QA plans for major areas of the EBP Integrated model, in particular
  - Assessment tool delivery
  - Case plan development
  - Utilization of techniques, such as MI & CBT
  - Treatment intervention delivery
  - Graduated Sanctions and Rewards policies and practices
  - Training quality and delivery
- Identify outcomes measures and develop a data collection plan for major areas of the EBP integrated model, in particular
  - Assessment tool delivery
  - Case plan development
  - Utilization of techniques, such as MI & CBT
  - Treatment intervention delivery
  - Graduated Sanctions and Rewards policies and practices
  - Training quality and delivery
- Establish an information reporting plan that supports using data for learning and improvement purposes through
  - providing individualized feedback,
  - integrating data review into unit meetings and formal reports, and
  - incorporating data into budget and policy communication.

CalRAPP Action Planning Worksheet

Goal:

Objective:

Action Plan					
Action Steps *What specific steps need to be take to accomplish this?*	**Lead** *Who is going to take the lead role in making this happen?*	**Due Date** *When can it reasonably be completed?*	**Resources Needed** *What resources (staff, time, $$) do we need to accomplish this?*	**Outcome Measure** *How will we know when it's done?*	**Progress to-date** *Have we made any progress toward completing this?*

CalRAPP Action Planning Worksheet

Goal:

Objective:

Action Plan					
Action Steps *What specific steps need to be take to accomplish this?*	**Lead** *Who is going to take the lead role in making this happen?*	**Due Date** *When can it reasonably be completed?*	**Resources Needed** *What resources (staff, time, $$) do we need to accomplish this?*	**Outcome Measure** *How will we know when it's done?*	**Progress to-date** *Have we made any progress toward completing this?*

CalRAPP Action Planning Worksheet

Goal:

Objective:

Action Plan					
Action Steps *What specific steps need to be take to accomplish this?*	**Lead** *Who is going to take the lead role in making this happen?*	**Due Date** *When can it reasonably be completed?*	**Resources Needed** *What resources (staff, time, $$) do we need to accomplish this?*	**Outcome Measure** *How will we know when it's done?*	**Progress to-date** *Have we made any progress toward completing this?*

CalRAPP Action Planning Worksheet

Goal:

Objective:

Action Plan					
Action Steps *What specific steps need to be take to accomplish this?*	**Lead** *Who is going to take the lead role in making this happen?*	**Due Date** *When can it reasonably be completed?*	**Resources Needed** *What resources (staff, time, $$) do we need to accomplish this?*	**Outcome Measure** *How will we know when it's done?*	**Progress to-date** *Have we made any progress toward completing this?*

Collaboration

NIC Risk Reduction Implementation Model

2

What is Collaboration?

"Collaboration is a mutually beneficial and well-defined relationship entered into by two or more organizations to achieve common goals."

– the Wilder Foundation

- The Wilder Foundation

The relationship includes a commitment to:

- a definition of mutual relationships and goals;
- a jointly developed structure and shared responsibility;
- mutual authority and accountability for success; and,
- the sharing of resources and rewards."

3

What is Collaboration?

Collaboration is frequently misunderstood

Everyone thinks they're collaborating!

The term "collaboration" is mistakenly used to describe individual & agency relationships at *varying* stages of development.

4

Continuum of Involvement

Cooperation

Coordination

Collaboration

5

KEYWORDS	COOPERATION	COORDINATION	COLLABORATION
Characterizing Relationship	Trust, Reliability	Integrity, Discipline	*Understanding, Selflessness*
Nature of Relationship	Informal, Ad Hoc	Semi-formal	*Formal*
Involvement	As few as two people	Several, Minimum May Be Horizontal Organizational Slice	*Several, Many Horizontal & Vertical*
Resource Investment	Minimal	Minimal	*Major*
Control over Resource	Unchanged Original Organizations	Designated but controlled by original organizations	*Shared or Transfer to New Unit*
Authority to make Decisions	Retained by Original Organizations	Assigned to specific people in original organizations	*Shared or Transfer to New Unit*

Building Collaboration

Essential Elements of Successful Collaboration

1. Common Vision
2. Purpose
3. Clarity of Roles & Responsibilities
4. Healthy Communication Pathways
5. Membership
6. Respect and Integrity
7. Accountability
8. Data-Driven Process
9. Effective Problem Solving
10. Resources
11. Environment

8

Barriers to Successful Collaboration

- Lack of clarity in roles and responsibilities
- Unclear expectations for accountability
- Power and control issues
- Negative attitudes
- Unsuccessful sharing of information
- Inability to create *transparency* within agencies

24

Barriers to Successful Collaboration

- Not being thoughtful about bringing all key players to the table at the same time
- Leaving stakeholders who decide not to participate out of the loop can impede your group's efforts
  - Instead, *keep them informed* of your doings.
- *Unsuccessful* sharing of information
- Negative attitudes

25

Lessons Learned in Collaboration

- Start wherever you can.
- Communication is key.
- Forming a collaborative group is extremely hard work and will take longer than you think – *Be Patient*.
- Focus on building trust and relationships - Remember that dialog anchors beliefs.

26

Lessons Learned in Collaboration

- Capacity for change must be built; it is *not* a naturally occurring phenomenon.
- Remember that *no one* person or partner is *"in charge."*
- Develop *consensus* about what should change and how it should change.
- There's no real collaboration without negotiation and willingness to compromise.

27

Lessons Learned in Collaboration

- Have leaders who see the vision, know how to articulate it and can motivate and inspire others.
- If a pivotal leader is not on board, *the ship won't sail*.
- Capacity for change must be built; it is *not* a naturally occurring phenomenon.
- Leaders must attend to ***both*** process and outcomes.

28

Sustaining Collaboration and Agreement Between Partners

- ✓ Acknowledge the inevitability of obstacles.
- ✓ Create incentives for collaboration and change.
- ✓ Build upon "small wins." - Celebrate and advertise.
- ✓ Institutionalize changes quickly.
- ✓ Maintain the momentum for change.
- ✓ Address leadership changes.
- ✓ Take risks.

Tangible Outcomes of Collaborative Teams

Increased knowledge & understanding, - better decisions -greater political support.

Resource sharing rather than competition.

Effective system change.

Example: Full team press conference.

Example: Redeployment of monies to support a needed project

Example: Reallocation of jail bed space.

CalRapp Planning: Goal Prioritization

Collaboration

***Instructions**: Vote for **two** goals which you believe should be the highest priority*

- ___ Collaborate on a regular and ongoing basis with stakeholders to further the goal of reduced recidivism
  - Establish and participate in a local criminal justice coordinating council
  - Invite staff from partner organizations to participate in EBP-related trainings
  - Invite community-based service providers to EBP-related trainings
- ___ Work closely with judges, prosecutors, and the defense to emphasize evidence-based sentencing
- ___ Work with judges to foster judicial buy-in and increase understanding of EBP
- ___ Includes community-based and other public agency treatment providers in EBP training and other educational opportunities
- ___ Build community support and advocacy for EBP concepts
  - Establish a speakers bureau of staff to sharing information with the community
  - Develop an active relationship with local media, supporting positive stories and sharing information about successes
  - Develop a plan for actively educating and building relationships with community members, including engaging volunteers, advocacy, and faith-based organizations
- ___ Support the availability of and access to non-criminal justice related interventions for low risk offenders, e.g., 12-step programs, faith-based programs, and mentoring programs.
- ___ Support the reintegration of offenders transitioning from prison or jail to their communities, but working with these partners to build a continuum of seamless services.

CalRAPP Action Planning Worksheet

Goal:

Objective:

Action Plan					
Action Steps *What specific steps need to be take to accomplish this?*	**Lead** *Who is going to take the lead role in making this happen?*	**Due Date** *When can it reasonably be completed?*	**Resources Needed** *What resources (staff, time, $$) do we need to accomplish this?*	**Outcome Measure** *How will we know when it's done?*	**Progress to-date** *Have we made any progress toward completing this?*

CalRAPP Action Planning Worksheet

Goal:

Objective:

Action Plan					
Action Steps *What specific steps need to be take to accomplish this?*	**Lead** *Who is going to take the lead role in making this happen?*	**Due Date** *When can it reasonably be completed?*	**Resources Needed** *What resources (staff, time, $$) do we need to accomplish this?*	**Outcome Measure** *How will we know when it's done?*	**Progress to-date** *Have we made any progress toward completing this?*

CalRAPP Action Planning Worksheet

Goal:

Objective:

Action Plan					
Action Steps *What specific steps need to be take to accomplish this?*	**Lead** *Who is going to take the lead role in making this happen?*	**Due Date** *When can it reasonably be completed?*	**Resources Needed** *What resources (staff, time, $$) do we need to accomplish this?*	**Outcome Measure** *How will we know when it's done?*	**Progress to-date** *Have we made any progress toward completing this?*

CalRAPP Action Planning Worksheet

Goal:

Objective:

Action Plan					
Action Steps *What specific steps need to be take to accomplish this?*	**Lead** *Who is going to take the lead role in making this happen?*	**Due Date** *When can it reasonably be completed?*	**Resources Needed** *What resources (staff, time, $$) do we need to accomplish this?*	**Outcome Measure** *How will we know when it's done?*	**Progress to-date** *Have we made any progress toward completing this?*

CalRAPP: Evidence-based Practices Action Planning Work Session

Meeting Evaluation
November 3 & 4, 2010

Day 1: November 3, 2010

Please circle your response for each statement below:

1. The **Work Session Model & Process Introduction** presentation was worthwhile.

   Strongly Disagree *Disagree* *Agree* *Strongly Agree*

2. The **CalRAPP Survey Background Presentation** was worthwhile.

   Strongly Disagree *Disagree* *Agree* *Strongly Agree*

3. The **Organizational Management** presentation was worthwhile.

   Strongly Disagree *Disagree* *Agree* *Strongly Agree*

4. The **Offender Supervision** presentation was worthwhile.

   Strongly Disagree *Disagree* *Agree* *Strongly Agree*

5. The **County Breakout** sessions were worthwhile.

   Strongly Disagree *Disagree* *Agree* *Strongly Agree*

6. The **County Report out and Group Discussion** sessions were worthwhile.

   Strongly Disagree *Disagree* *Agree* *Strongly Agree*

7. The meeting process and facilitation were effective.

Strongly Disagree *Disagree* *Agree* *Strongly Agree*

8. I would have liked more discussion about:

9. I would have liked less discussion about:

Logistics:

10. How would you rate the food provided at the meeting?

Negatively			*Positively*
1	*2*	*3*	*4*

11. How would you rate the meeting space?

Negatively			*Positively*
1	*2*	*3*	*4*

12. Overall, how would you rate this meeting?

Negatively			*Positively*
1	*2*	*3*	*4*

Please add any other comments you think would help us improve similar meetings, presentations, and materials.

CalRAPP: Evidence-based Practices Action Planning Work Session

Meeting Evaluation
November 3 & 4, 2010

Day 2: November 4, 2010

Please circle your response for each statement below:

1. The **Quality Assurance and Performance Measurement** presentation was worthwhile.

   Strongly Disagree *Disagree* *Agree* *Strongly Agree*

2. The **Collaboration** presentation was worthwhile.

   Strongly Disagree *Disagree* *Agree* *Strongly Agree*

3. The **County Breakout** sessions were worthwhile.

   Strongly Disagree *Disagree* *Agree* *Strongly Agree*

4. The **County Report out and Group Discussion** sessions were worthwhile.

   Strongly Disagree *Disagree* *Agree* *Strongly Agree*

5. The **Closing Discussion** session was worthwhile.

   Strongly Disagree *Disagree* *Agree* *Strongly Agree*

6. The meeting process and facilitation were effective.

   Strongly Disagree *Disagree* *Agree* *Strongly Agree*

7. I would have liked more discussion about:

8. I would have liked less discussion about:

Logistics:

9. How would you rate the food provided at the meeting?

Negatively			*Positively*
1	*2*	*3*	*4*

10. How would you rate the meeting space?

Negatively			*Positively*
1	*2*	*3*	*4*

11. Overall, how would you rate this meeting?

Negatively			*Positively*
1	*2*	*3*	*4*

Please add any other comments you think would help us improve similar meetings, presentations, and materials.

The author(s) shown below used Federal funds provided by the U.S. Department of Justice, National Institute of Corrections (NIC) and prepared the following final report:

Document Title:	Implementing Effective Correctional Management of Offenders in the Community: An Integrated Model
Author(s)	Crime and Justice Institute
Accession Number:	019341
Award Number:	03C05GIW2

This paper has not been published by the U.S. Department of Justice. To provide better customer service, NIC has made this Federally-funded cooperative agreement final report available electronically.

Opinions or points of view expressed are those of the author(s) and do not necessarily reflect the official position or policies of the U.S. Department of Justice.

Implementing Effective Correctional Management of Offenders in the Community:

An Integrated Model

A Project of the National Institute of Corrections
in partnership with the Crime and Justice Institute

Overview

Since the mid-1990s, the National Institute of Corrections (NIC) has promoted evidence-based practices in community corrections through training, information sharing, and technical assistance. Now, through a cooperative agreement established in the fall of 2002, NIC has joined with the Crime and Justice Institute (CJI) to assist two pilot states (Illinois and Maine) in applying an integrated approach to the implementation of evidence-based principles in community corrections. The project model maintains an equal and integrated focus on three domains: the implementation of evidence-based principles, organizational development, and collaboration. The project vision is *to build learning organizations that reduce recidivism through systemic integration of evidence-based principles in collaboration with community and justice partners.*

This document serves to introduce the integrated model. There are three supporting documents that provide more in-depth information on each of the model components: *Leading Organizational Change and Development, Collaboration for Systemic Change in the Criminal Justice System*, and *The Principles of Effective Intervention*.

The Project

The first phase of the project brought together a national team of experts from across the country to develop an integrated model for the implementation of evidence-based practices in community corrections. This team includes practitioners, academics, and consultants knowledgeable in the areas of evidence-based practices in community corrections, organizational development, and collaboration.

During the second phase of the project, interested states submitted applications for participation. Illinois and Maine were chosen from the pool of applicants to participate in the project as pilot sites. As such, they will receive coaching and assistance designed to help them implement the integrated model to achieve lasting change.

In addition to the two pilot sites, Iowa and Oregon were awarded special status in the project. They were recognized as jurisdictions that have made significant progress toward implementation of evidence-based practices and are participating in the project as learning sites—sharing their experiences and lessons learned through years of implementation. Their participation enhances the resources and learning opportunities for the pilot sites and each other.

The third phase is focused on implementation during which the national project team will assist the pilot states to assess site-specific needs; identify strengths and weaknesses throughout the jurisdiction's community corrections system (organizational infrastructure and service delivery system); develop a plan for system enhancement; and begin implementation of that plan.

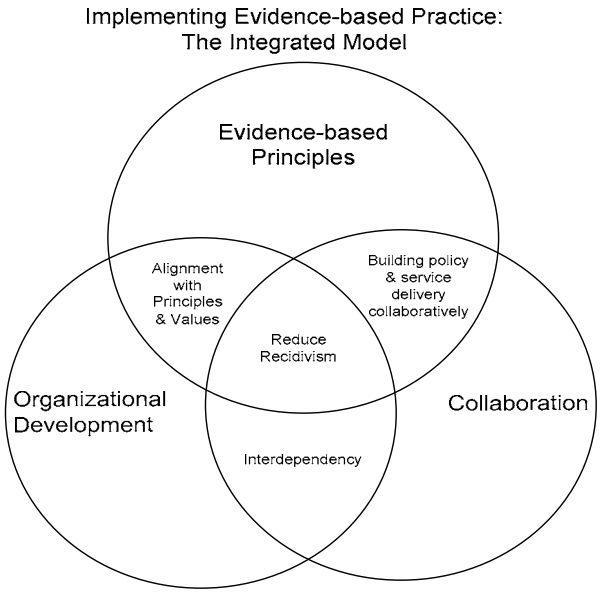
The Challenge of Implementing Evidence-based Principles

NIC, CJI, and the national project team members have all led or worked closely with organizations involved in efforts to reduce recidivism. Their experience in the field of community corrections indicates that organizations often begin implementation of evidence-based principles with the goals of reducing recidivism and making more efficient use of limited resources. Many of these organizations are able to successfully implement components of evidence-based principles, such as cognitive-behavioral programming, risk and needs assessment, and assertive case management. Unfortunately, very few organizations have successfully implemented or been able to sustain implementation of evidence-based principles throughout their operations. While some organizations may have developed a certain breadth of implementation, many have not managed to achieve the depth necessary to change the organizational culture and attain desired outcomes. As a result, change efforts often lose focus, stagnate, and are not institutionalized. An integrated approach to implementation provides the depth and breadth necessary to ensure lasting change.

The Integrated Model

The project's *Integrated Model* is based on the premise that successful implementation of evidence-based principles in community corrections can only be achieved when integrated with corresponding organizational development and collaboration. The project was designed to provide a series of needs assessment-based interventions focused on these three components; implementation of these components using an integrated model (Figure 1) will assist jurisdictions to better reduce recidivism and increase public safety.

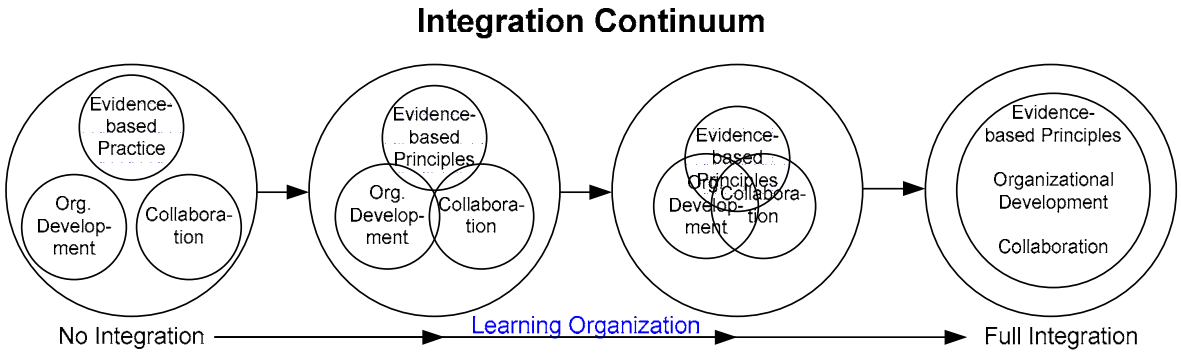
Figure 1



Many organizations are beginning to use or want to use evidence-based principles in their supervision practices and program design to better achieve reductions in recidivism. Most

organizations have spent time on organizational development initiatives and collaborations. Few organizations though, have focused their attention concurrently on these three areas. This project aims at merging the three separate areas of focus into one integrated model (Figure 2).

Figure 2



Conclusion

The research on evidence-based practices continues to emerge and organizations around the world continue to attempt implementation of these concepts. The unique feature of this model is its insistence that systemic change cannot be fully implemented or sustained without equal and integrated focus on evidence-based principles, organizational development, and collaboration. The model builds heavily on work already being done by community corrections systems. While it may not require heavy investment of new resources, it may require a change in the way existing resources are allocated, which can be just as challenging. Implementing this model requires strong leaders who are willing to challenge the status quo, advocate for better service provision, and strive for better outcomes. The research is clear about which interventions result in reduced recidivism. This model will help community corrections agencies be clear about how to implement those interventions and achieve those improved outcomes.

This article was supported under cooperative award #03C05GIW2 from the National Institute of Corrections, Community Corrections Division, U.S. Department of Justice.
Points of view in this document are those of the authors and do not necessarily represent the official position of the U.S. Department of Justice.

Implementing Evidence-Based Principles in Community Corrections: Leading Organizational Change and Development

Project Vision: To build learning organizations that reduce recidivism through systemic integration of evidence-based principles in collaboration with community and justice partners.

Changing the Way We Do Business: The Integrated Model

States across the nation are struggling to manage burgeoning offender populations in the face of major budget cuts. Prisons and jails are operating at or over capacity and the offender population continues to grow. Policy-makers are focusing increasingly on community corrections, recognizing the need to rely more heavily on less expensive and more effective methods of supervising offenders.

Community corrections leaders are being called on to alleviate system pressures by supervising increasing numbers of offenders more efficiently and effectively: maintaining public safety with a larger population of offenders and a smaller budget.

Meeting this challenge requires community corrections leaders to rethink how they do business and to lead their organizations through rapid change and innovation. Change is needed because traditional methods of offender supervision will not meet the current challenges facing community corrections agencies.

To improve supervision effectiveness and enhance the safety of our communities, agencies must adopt evidence-based principles of supervision -- principles that have been scientifically proven to reduce offender recidivism. Agency budgets can no longer support programs and supervision practices that are not proven effective.

Shifting the way community corrections agencies do business is no easy task. It requires energetic leadership with a willingness to place equal focus on evidence-based principles in service delivery, organizational development, and collaboration.

An Integrated Model

These three components form an integrated model for system reform. Each component of the integrated model is essential. Evidence-based principles form the basis of effective supervision and service provision. Organizational development is required to successfully move from traditional supervision to evidence-based practice. Organizations must rethink their missions and values; gain new knowledge and skills; adjust their infrastructure to support this new way of doing business; and transform their organizational culture. Collaboration with system stakeholders enhances internal and external buy-in and creates a more holistic system change.

Successful implementation of evidence-based principles can be achieved when equal emphasis is placed on organizational development and collaboration.

Organizational Case Management

The organizational development concepts and strategies presented here mirror the evidence-based principles of effective offender supervision. The same principles used to manage offender cases and change offender behavior can be used to manage organizations and change organizational behavior. These principles include: *assessment, intervention, and monitoring / measurement*. These concepts are broad enough to fit most in-progress organizational development efforts and yet sufficiently simple and direct to allow for guided implementation in community corrections agencies.

Shifting to an evidence-based agency management approach may require significant changes in the way business is conducted. Some changes may include how staff: are recruited and hired; conduct their job duties; receive performance feedback, and interact with each other, offenders, and system stakeholders. While the strategies that follow will help guide leaders toward the goal of implementing evidence-based practices both in offender supervision and organizational management, leaders must be prepared for the inherent challenges of conducting such a transition process.

Assessment/Diagnosis:

Assessment determines the existing status of an individual, organization, and/or practice by providing information on the potential and options for change. Assessment strategies include:

- Surveys (Gather information either through self-report or third party reporting. Survey designs can either be used *off the shelf* or customized to fit specific organizational needs.)
- Interviews
- Observation
- Data review and analysis

A Search Conference helps to create a shared future vision.

(See Appendix B.)

Intervention:

Intervention activities are designed to respond to the needs/issues identified in the assessment/diagnosis process. Intervention strategies include:

- Strategic planning
- Systems restructuring
- Change management
- Facilitation
- Team building
- Coaching and mentoring
- Education/training
- Skill building activities & competency development
- Solicit and use input from across the organization to create a sense of ownership
- Feedback activities (Designed for individuals and/or groups. Strategies include 360° feedback tools and feedback intensive programs.)
- Performance measurement
- Succession planning

Monitoring and Measuring Performance:

Monitoring and measuring performance on both a short and long-term basis provide data on changes in knowledge, skills, attitudes, and behavior. Types of measures include:

- Process measures: Provide feedback throughout change process.
- Outcome measures:
  - Individual: Measure actual change in knowledge, skills, attitudes, and/or behavior. Measurement tools include surveys, performance evaluation, and data analysis.
  - Organizational: Measure improvement in productivity as well as progress toward organizational goals. Measurement tools include surveys and data analysis.

The concept of *providing value* should drive decision-making in the public sector.

(See Appendix A.)

The same principles used to manage offender cases and change offender behavior can be used to manage organizations and change organizational behavior.

The Leadership Challenge

Leadership is the art of mobilizing others to struggle for shared aspirations.

~ Kouses & Posner,
the Leadership Challenge

The artistry of leadership exists in choosing the manner by which one will influence people. Different situations require different leadership styles and strategies. Leaders are most effective when they create a *shared desire* by a group to attain a goal or to move in a particular direction.

In the public sector, leaders are expected to articulate the values that drive their beliefs about needed change. Reiterating those values throughout the change process helps to institutionalize them.

Strong and flexible organizational leadership is key to the success or failure of any change effort. It is especially true when implementing evidence-based practices in community corrections due to the complexity of implementing change in the public safety system.

The systemic nature of the public safety system requires that leadership identify, create, and show value to internal and external stakeholders. In Mark Moore's *Creating Public Value*, he emphasizes a key assumption for any service provided by the public sector: the service or product provides value for a variety of constituents.

Public sector leaders must focus on: defining the value their organization provides to the public; building support for the organization and its services as they align with that value; and ensuring the necessary organizational capacity exists to achieve that value.

Leaders of community corrections organizations interested in building value through implementing this level of systemic change must evaluate their readiness to lead this intensive transition.

Developing and leading an organization that not only provides public value, but also functions as a learning organization, requires the capacity and willingness to practice outcome-oriented, collaborative leadership styles instead of more traditional, authoritarian styles of leadership.

The Influence of Infrastructure

Advancing the implementation of evidence-based principles in the supervision of offenders requires contemporaneous changes in the structure of human resource management systems, policies and procedures, and operational standards.

Combining this fundamental organizational change with the philosophy and policy shift of evidence-based principles enhances the opportunity to more effectively institutionalize changes. Managing this type of transition involves relentless attention to detail to advance implementation and prevent individuals and entire systems from sliding back into the comfort zone of the old ways.

Changes in hiring, training, and performance measurement will, over time, produce a critical mass of employees well-versed in the tenets of a non-traditional mindset which will signal the change from the old dispensation to the new.

Achieving and sustaining organizational change requires the realignment of organizational infrastructure. All systems and policies, particularly those within the human resources management system (HRMS), must be consistent with and supportive of the new way of doing business.

Policies for recruitment and hiring, training, job descriptions, performance measurement, promotional decisions, and reward systems must be aligned with the new models and this alignment must be circulated throughout the organization in written documents and practice.

Aligning the organization's HRMS and other infrastructure systems clarifies the commitment to organizational change and facilitates implementation of evidence-based principles.

The subsequent transformation of organizational culture relies upon this alignment of tasks, mission, and goals, and a clear nexus throughout the organization's practices. (Baron and Kreps, 1999) Failure to create this alignment can have a detrimental impact on the implementation of new operational philosophies.

Healthy organizations are more successful at achieving their goals.

(See Appendix C.)

Successful leaders have a clear vision and strategy for change.

(see Appendix D.)

Understanding how humans change their behavior is critical to managing successful transitions.

(see Appendix E.)

Step by Step

This paper is not intended to serve as a definitive treatise on organizational change, but rather as a starting point or refresher for jurisdictions working to implement evidence-based principles in community corrections.

The goal is to stimulate questions and discussion about the change process and how it might play out in different organizations.

Organizational leaders willing to undertake this level of systemic change should begin by asking themselves the questions outlined in the appendixes.

Leaders of community corrections agencies, who want to implement evidence-based principles, must be willing to extensively evaluate their own strengths and weaknesses as well as those of their organization. They must also be willing to accept the challenges of changing organizational culture in order to achieve the full benefits of the increased public safety and reduced recidivism made possible by implementing evidence-based principles in community corrections.

Infrastructure systems must be in step with evidence-based principles.

(see Appendix F.)

The project team is committed to enhancing community corrections systems to better reduce recidivism using research-supported principles.

The project model will assist leaders to:

- develop the *highest productivity climate* for implementing evidence-based principles at the organizational level;
- provide a *positive learning environment* and a focus on improving organizational capacity; and
- focus on *systemic change* versus single events.

Project Contact Information:

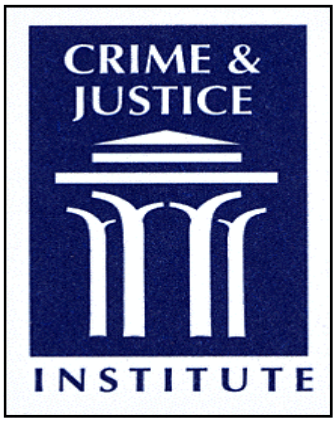
National Institute of Corrections (NIC), Community Corrections Division
WWW.NICIC.ORG

Dot Faust,
Correctional Program Specialist
dfaust@bop.gov
(202) 514-3001

Crime and Justice Institute (CJI)
WWW.CJINSTITUTE.ORG

Elyse Clawson, Project Director
eclawson@crjustice.org
(617) 482-2520, ext. 120

Lore Joplin, Project Manager
ljoplin@crjustice.org
(617) 482-2520, ext. 124



Supporting the effective management and operation of the nation's community corrections agencies

Creative, collaborative approaches to complex social issues

Special recognition and deepest thanks go to the following project team members who contributed to these documents:

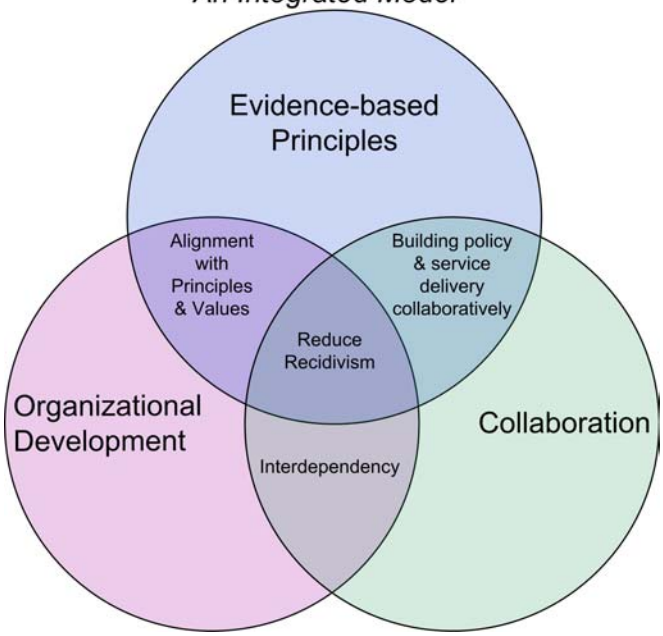
Brad Bogue, Nancy Campbell, Mark Carey, Elyse Clawson, Dot Faust, Kate Florio, Lore Joplin, George Keiser, Billy Wasson, and William Woodward

The project team is committed to enhancing community corrections systems to better reduce recidivism using research-supported principles.

List of Appendices:

- ***Appendix A*** *(pages 5-6)*:
  The Literature
- ***Appendix B*** *(pages 7-9)*:
  An Integrated Organizational Change Process Model: *Using the Search Conference*
- **Appendix C** *(page 10)*:
  The Importance of a Healthy Organization
- ***Appendix D*** *(pages 11-15)*:
  Leadership Styles & Leading Change
- ***Appendix E*** *(page 16)*:
  Managing Transitions
- ***Appendix F*** *(page 17)*:
  Structural Supports for Change
- ***References*** *(page 18)*

Implementing Effective Correctional Management of Offenders in the Community:
An Integrated Model



Appendix A: The Literature

The organizational development component of this project relies heavily on Peter Senge's *The Fifth Discipline* and Mark Moore's *Creating Public Value*. Senge's and Moore's models provide a framework upon which organizations can begin their internal work. In Senge's *The Fifth Discipline,* he introduces the concept of a *Learning Organization* – an organization that is continually aware of and working to implement evidence-based principles, develop corresponding organizational capacity, and develop collaborative relationships with public safety and community partners. The learning organization strives for alignment and parallel development in all three areas to better achieve the outcome of reduced recidivism. The alignment or intersection of these three components is the creative zone where it is most possible to reduce the recidivism of offenders and minimize the number of new or repeat victims in our communities.

The Fifth Discipline - Peter Senge

Senge highlights five disciplines as the keys to achieving the capacity of a learning organization, emphasizing the fifth discipline, *systems thinking,* as the most important:

1. ***Personal Mastery:*** Continually clarifying and deepening our personal vision, focusing our energies, developing patience, and seeing reality objectively;
2. ***Mental Models:*** Understanding the deeply ingrained assumptions, generalizations, or mental images that influence how we understand the world and how we take action (manage offenders);
3. ***Building a Shared Vision*:** Collaborative creation of organizational goals, identity, visions, and actions shared by members;
4. ***Team Learning*:** Creation of opportunities for individuals to work and learn together (collaboratively) in a community where it is safe to innovate, learn, and try anew; and
5. ***Systems Thinking:*** View of the system as a whole (integrated) conceptual framework providing connections between units and members; the shared process of reflection, reevaluation, action, and reward.

*A **Learning Organization** is continually aware of and working to implement evidence-based principles, develop corresponding organizational capacity, and develop collaborative relationships with public safety and community partners.*

Also emphasizing the importance of systems thinking, Mark Moore focuses on the leader's ability to identify, create, and show value internally and externally. A key assumption for any service provided by the public sector is that the service or product provides value for the variety of constituents. Just as in the private sector, where the goal is to provide value to the shareholder, the public sector attempts to provide value to its stakeholders. The concept of providing value should drive decision-making in the public sector.

The question that then arises is *what do citizens want or value of the services corrections has to offer?* Citizens often see the value of corrections systems as limited, confined to those convicted of a crime. Many citizens are not familiar with the complexity of corrections systems or the various options available for supervision. While it is clear that some offenders must be incarcerated based on the seriousness of the crime, in the interest of public safety, and as a consequence for their behavior, research indicates that most offenders can be more effectively and efficiently managed in the community. Clearly citizens want recidivism reduction, but they often do not understand how best to achieve this goal.

Appendix A: The Literature (con't.)

Creating Public Value - Mark Moore

> *What would it take for citizens to see community-based corrections as the preferred option for recidivism reduction?*

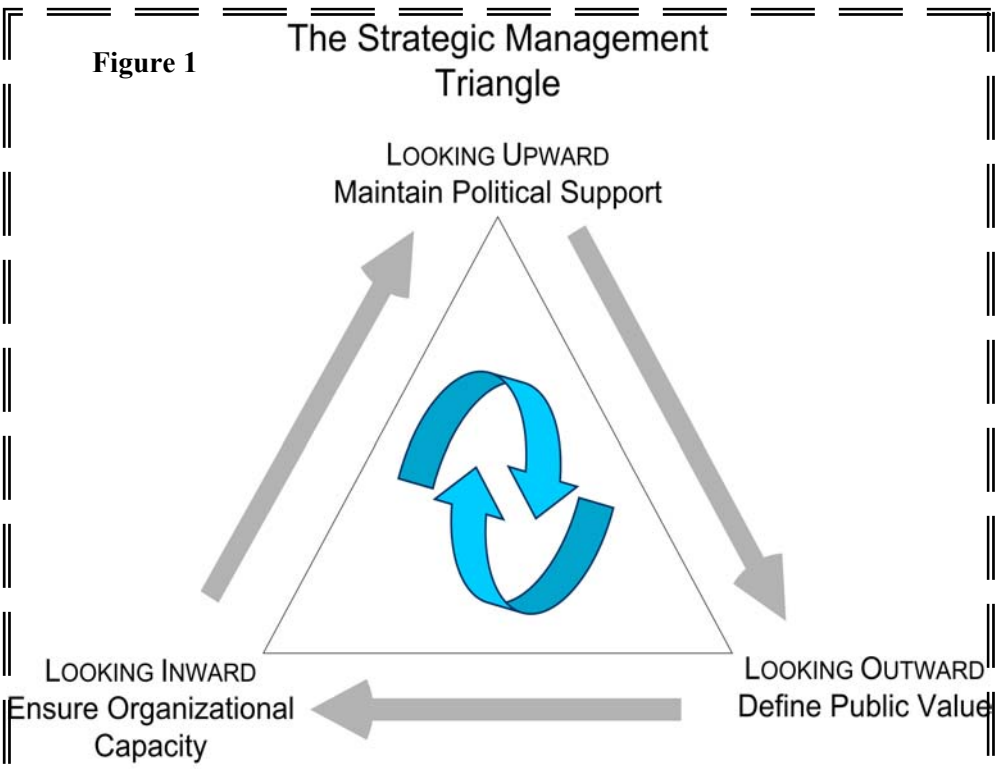
What would it take for citizens to see community-based corrections as the preferred option for recidivism reduction? To be taken seriously, the field must measure results in a way that helps citizens to understand the value of the service. Community-based corrections agencies must operate as learning organizations, constantly measuring themselves and their ability to enhance public safety and reduce recidivism. They must measure how well they are assessing and delivering *what works*, how productive the organization is, and how well it is collaborating with stakeholders.

In his book, *Creating Public Value,* Mark Moore's framework, the Strategic Management Triangle (Figure 1) provides a simple yet powerful framework that helps leaders to ensure that their organizations are *creating public value*. Public sector leaders must focus on defining public value, building support for the organization / services as they align with that value, and ensuring the necessary organizational capacity exists to achieve that value.

Moore argues that the first job of any public sector leader is to *define the value* of the services provided to key stakeholders. Unless authorizing bodies, i.e., legislative and judicial bodies, funding entities, and citizens, see the value in the services provided, they won't support the agency's efforts to acquire the resources and / or the legislative or executive mandates necessary to deliver the services. This means it is important to define for authorizing bodies why a service should be provided and funded. Collaboration and partnership building with stakeholders ensure that those entities understand *and support the organization's vision and incremental efforts.*

Second, the agency must produce the services in a way that *builds political and legal support* for the service. The service must be evaluated to ensure that it meets the interests and concerns of the citizens and their representatives. The strategic manager is adept at developing an organizational strategy that addresses the often conflicting concerns of many stakeholders. The leader must build political support for the service.

Figure 1



Adapted from Moore, Mark. *Creating Public Value: Strategic Management in Government.* Harvard University Press. October 1995.

Finally, the strategy must be one that is *administratively and operationally feasible*. The agency must be capable of executing the strategy. For example, if a leader proposes a new service, but fails to either reduce existing workload or provide new resources, staff are unlikely to be able to deliver that service well. The agency must be capable of delivering all of its services in the most effective and efficient way.

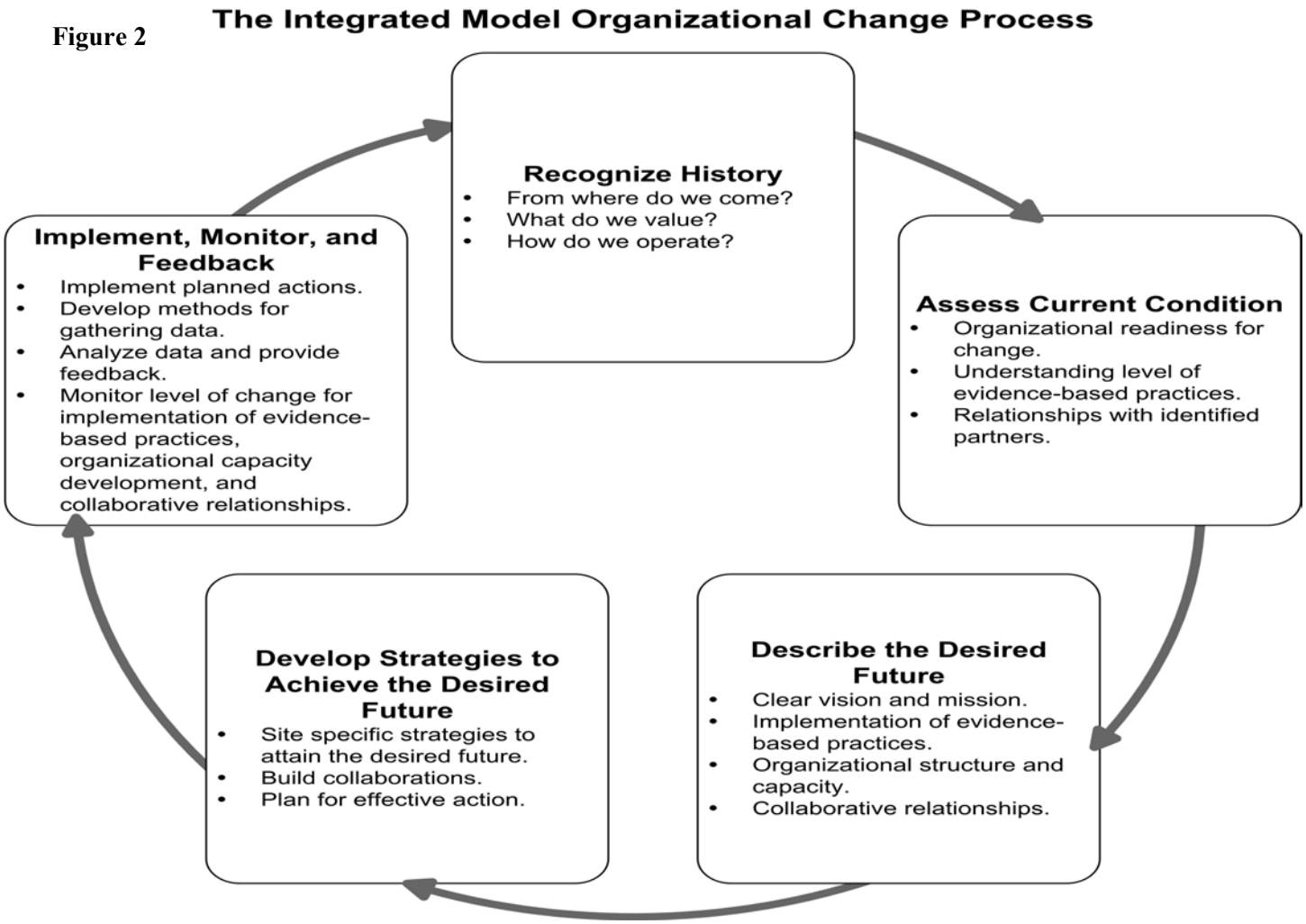
The *Strategic Management Triangle* framework reminds practitioners that to achieve the goal of reduced recidivism requires not only the implementation of evidence-based practices, but also the ability to develop the requisite organizational capacity, to build and maintain collaborative relationships with stakeholders, and to demonstrate the value of evidence-based practices to those stakeholders.

Appendix B: An Integrated Organizational Change Process Model: *Using the Search Conference*

Organizational change in public safety organizations requires a complex systemic transformation. No agency operates in isolation; therefore, the inclusion of system stakeholders is critical to the success of any such change effort. The organizational change process model in Figure 2 assumes that all stakeholders have a voice in the change process. It is based heavily on the *Future Search* model of Marvin Weisbord and Sandra Janoff. Their model uses a large group planning meeting that brings together all system stakeholders to work on a task-focused agenda.

In a future search, people have a chance to take ownership of their past, present, and future, confirm their mutual values, and commit to action plans grounded in reality.

Figure 2



Organizations implementing significant systemic change will benefit from considering each of these phases and by asking themselves the related questions prior to beginning and throughout the implementation process.

Appendix B: An Integrated Organizational Change Process Model: *Using the Search Conference* (con't.)

❖ **Recognize History:**

Organizational members must reflect on *where they come from as an organization, where they have been, and what they have experienced during that journey*. This reflection enables organizations to clarify and articulate a collective narrative and shared vision of history. This shared history can then become a launching pad for change rather than a warehouse for an uninterpretable array of artifacts and anecdotes.

Questions to Ask:

- *How did we, as an organization, arrive at our current structure, technologies, and culture?*
- *What do we value?*
- *How do we operate?*

❖ **Assess Current Condition:**

Assessment and documentation of the present condition assists the organizational members in determining *where they are at the current time and what gaps remain.* Participants must assess the degree to which the organization's beliefs, operational systems, technologies, policies, and practices are consistent with, and supportive of, evidence-based practices. Participants must pay attention to the organizational culture, as well as the quality and types of existing collaborations and partnerships with internal and external stakeholders.

Questions to Ask:

- *What is our organization's level of change readiness?*
- *How well are evidence-based practices understood and implemented in our system?*
- *Who are our partners?*
- *How well are we working with them?*

❖ **Describe the Desired Future:**

In expressing a vision for the future, the organizational members describe their ideal picture of the changed organization. The participants, along with leadership, articulate a vision for organizational change at all levels. By creating a vision of a learning organization, members become committed to the journey of change that provides value to employees, clients, and stakeholders.

Questions to Ask:

- *What do we want our organizational future to look like?*
- *What is our organizational vision and mission?*
- *At what level do we envision the implementation of evidence-based practices?*
- *What type of organizational structure is needed to best support evidence-based practices?*
- *What collaborative relationships need to be developed to strengthen implementation?*

Appendix B: An Integrated Organizational Change Process Model: *Using the Search Conference* (con't.)

❖ **Develop Strategies to Achieve the Desired Future:**

➢ Build collaborations of mutual interest. Correctional organizations relate to and are dependent on many partners throughout the public, private, and community-based sectors who share a commitment to achieving the outcomes of reduced recidivism and increased public safety.

Questions to Ask:

- *With whom does the organization partner and collaborate?*
- *How do partnerships and collaborations help members successfully achieve their goals and further their unique corporate mission?*

➢ Plan for effective action to reach the desired future. Develop a detailed, concrete plan of action that is time phased, measurable, politically and culturally competent, and includes effective, sustainable accountability and feedback loops. Clearly define the multiple roles of participants.

Questions to Ask:

- *What steps does the organization need to attain its goals?*
- *What are the specific activities needed to ensure an equal focus on evidence-based practices, organizational development and capacity building, and collaborative relationships?*

❖ **Implement, Monitor, and Provide Feedback:**

➢ Carry out the implementation**:** Planning without action often leads to desperation and hopelessness for staff and stakeholders. Successful implementation results from a broad and deep commitment throughout the organization, relentless attention to the vision, support for the change process, removal of barriers, and careful monitoring and adjustment of the change process.

Questions to Ask:

- *How will we gather data?*
- *What types of feedback are needed by which groups?*
- *How will we monitor progress and make adjustments when necessary?*

➢ Feedback**:** Gathering, sharing, assessing, and constructing a valid and shared interpretation of the information. Successful implementation results from the availability and management of information that is meaningful, timely, and accurately represents the progress made on the change plan within the unique cultural and political context of the participating site.

Appendix C: The Importance of a Healthy Organization

A healthy organization forms the foundation for an effective change process. One of the first steps in the change process — and one that must be maintained throughout the process — is ensuring the health of the organization.

The organization can survive -- and thrive -- if it can sustain itself through the inevitable ups and downs experienced during change.

Mark Carey, an expert on community justice, defines the characteristics of communities that are ready for significant change and community building. The components he describes are the same characteristics that mark a healthy organization and are critical to the success of any change effort. Leadership must foster these characteristics within the organization at all times.

- Trust among diverse groups
- Shared meaning
- Meaningful work for members of the organization
- Respect
- Commitment to the change process
- Clear communication
- Social cohesion
- Leadership and continually emerging new leadership
- Widespread participation
- Simultaneous focus on the purpose, process, and product
- Building organizational development skills
- Appropriate decision making

Appendix D: Leadership Styles and Leading Change

Leadership Style

Traditionally, public safety agencies have relied on para-military or other highly stratified command and control management models. These models hinder the successful implementation of evidence-based practices, and require significant changes in organizational structure and leadership philosophy. Changes are also required in practice, supervision, recruitment, hiring, training, work plans, and rewards systems. The illustration below (based on the work of Douglas McGregor and James Burns) highlights the shift in leadership style necessary to successfully implement this type of organizational change.

Leading Change

The role of leadership in the implementation of this level of systemic change is key to its success. Leaders must be willing to commit to the following process steps:

1. Create the vision.
2. Identify partnerships.
3. Develop strategies for achieving the vision.
4. Seek agreement with partners regarding vision & strategies.
5. Utilize process improvement strategies.
6. Identify and collect outcome data.
7. Review and refine processes and outcomes.

Appendix D: Leadership Styles and Leading Change (con't.)

Create the Vision

Before the change process begins, there must be a clear vision of what the changed organization will look like. This vision should be articulated in a concise statement describing the changed organization and how it interacts with others, including service recipients, system partners, and employees.

Strong, visionary leadership is a must. The vision for change can be formed in numerous ways by various groups, including the leadership of the organization, policymakers, or diagonal slice groups (Figure 3). No matter how the vision is formed, leadership must embrace it and take responsibility for charting the direction and change process for the organization.

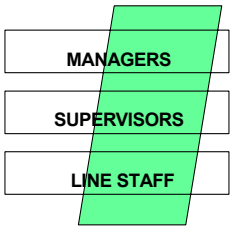
Once the leadership has crystallized the direction of change, it needs to look broadly throughout the organization and consider the many layers of change that will occur as a result of the process. The most progressive public policy direction for an organization is meaningless at the line staff and client level without leadership and strategic action to cultivate the change at all levels. True change happens at the top, at the bottom, and in between – it's up to the leadership to consider each of those layers.

Questions to Ask:

- *Is there a story or a metaphor for what the organization is trying to become? Can you draw a picture of it?*
- *If the organization achieves its goals for change, what will a client say about their experience of this organization?*
- *What will a member of the public say?*
- *What will staff say?*
- *What facets of the organization will be affected by the change?*

Figure 3

The Diagonal Slice Group



Communicating the Vision

Once the leadership clarifies the organizational goals for change, the next step is communication of the vision. Involving staff in the development of the vision leads to greater commitment from and more effective communication with those staff. Effective communication is a critical ingredient to achieving successful and long-lasting change, and leadership must model openness and ongoing dialogue. ***Communication is key.*** The clearer a leader communicates the goals of organizational change, the more helpful staff, community, clients, and policy makers can be. Once they understand what leadership seeks to accomplish, they can assist in reaching those goals.

How an idea or goal is communicated can be as important as the goal or idea itself. ***Leaders attend to both process and outcomes.*** People will draw conclusions from how the message is communicated as well as from the content of the message. For example, if a leader directly and personally communicates an idea to the organization, the message has more impact and meaning than if it comes down to line staff through *channels*. If a leader convenes a focus group of staff to discuss an issue, the importance of the issue is heightened, simply by the fact that the leader cared enough to gather a group to address it.

Leadership must also tailor communication strategies to the groups they seek to reach. Leaders need to think about their audience in advance, consider how they receive information, and strategize about how to best reach them. Communication must occur continually throughout the organization – both horizontally and vertically.

Leaders also need to pay close attention to the collective impact of seemingly minor decisions during the change process. For example, if leadership determines that those employees who actively participate and cooperate with the change process will be rewarded, that strategy must be consistent throughout the organization, even in seemingly minor decisions. One act, in one part of the organization, such as the promotion of a line staff person who is still doing business the *old way* might not seem like it could affect the change process. However, if it happens several times in different parts of the organization, these independent, unrelated decisions can collectively send a message that undermines the change process.

Questions to Ask:

- *What is your personal communication style?*
- *What are your strengths and weaknesses in this arena?*
- *How is information communicated in your organization?*
- *Are there more effective communication strategies for reaching multiple audiences?*
- *What are the greatest communication challenges for the organization?*
- *What leadership, management, and staff behavior supports the vision?*

Trust and confidence in the organization's vision and leadership is built through understanding and awareness of how decisions are made. Decisions and the process by which they are reached should be transparent to the members of the organization. Good leaders seek broad input into decision-making and encourage consideration of different perspectives. ***Diverse perspectives build strength.*** Good leaders also ensure that decisions support the stated vision, values, and direction of the organization. This requires the leader to stay in touch with decision-making at many levels in the organization in order to ensure that the organization walks its talk.

Appendix D: Leadership Styles and Leading Change (con't.)

Identify partnerships

Leaders seeking change must work closely with organization staff, other government entities, and service providers. ***Collaboration with partners is critical and powerful.*** The partners, both internal and external, can be identified using several methods. Leadership can identify partners in consultation with others. Staff can conduct system mapping to identify unusual partners. The organization can hold planning circles where partners come and identify more partners, who identify more partners, etc. All of these strategies can be effective ways to identify important stakeholders in the change process.

Internal Stakeholders: Internal stakeholder groups will be affected by organizational change, some more than others. It is important that those groups most affected have a voice in the process. ***Broad participation creates commitment.*** Leaders should consider the multiple levels of authority in the formal chain of command and classifications of employees, and then ensure that all of these groups understand the vision of change, have a voice, and a means to communicate their opinions. Diagonal slice work groups can help to achieve this goal by providing representation from throughout the organization.

Questions to Ask:

- *What diverse groups are represented in your organization?*
- *Who are the natural leaders in the organization?*
- *What groups are forgotten or feel excluded?*
- *Who can help create a buzz about the change process in your organization?*

Leaders should also consider more informal networks as they identify internal partners. While the organizational chart of an agency may show a vertical hierarchy, organizations are rarely so cleanly defined. Instead, organizations are webs, with informal leaders and power brokers throughout the organization. Leadership should think beyond the formal hierarchy to ensure they reach out to all key partners.

Diagonal slice work groups can serve a variety of roles -- as sounding boards, transition monitoring teams, steering committees with decision-making power, and implementation teams. Leadership must clearly define the roles and authority of each group, and charters should be developed upon convening work groups.

Chartering will help guide the group's efforts, provide structure, describe outcomes, clarify decision-making authority, and codify organizational and leadership support for the group's work. Communication is a key function of these workgroups and should be highlighted in their charter. A large part of their responsibility is ongoing communication with the larger organization about the change process. To enhance productivity and efficiency, all groups should be provided with a trained facilitator or be trained in the basics of group process and facilitation prior to beginning work. *(see Appendix B of the Collaboration document for more on chartering)*

External Stakeholders: The changes your organization undergoes will also affect external partners. Community corrections agencies are intertwined with a host of other criminal justice, social service, and community organizations and systems. This means that any significant, long-lasting change in your organization requires the participation of and acceptance by external entities. These organizations will need to be collaborative participants in this process every step of the way.

Questions to Ask:

- *What partnerships currently exist in your system?*
- *Where do new partnerships need to be forged?*
- *How does participation in this change process assist partners in accomplishing their mission and/or vision?*

Partner organizations need to understand the value that participation in this change process has for them. Their leaders should know how supporting your change aids them in accomplishing their organizational mission. The impact that specific changes will have on their service delivery must be completely clear. Leaders need to consider these issues and craft specific plans for engaging their partners.

Develop Strategies for Achieving the Vision

The development of strategies moves the vision from concept into action. While strategies must be broad enough to encompass the work of many parts of the organization, they must also be specific enough that objectives, outcomes, and work plans can be developed to achieve the strategies. Leaders can use many different processes to develop strategies. Tools for developing strategies must balance broad participation in decision-making with the creation of the most innovative strategies infused with best practice knowledge. The relative importance of these two issues in an organization's change process will drive the selection of the tool for strategy development.

Engaging the broadest number of internal and external partners in the development of the strategy is essential, and a system- or organization-wide development conference can be a helpful tool. This type of conference is a day- or more-long meeting where the participants gain understanding of the vision and then in smaller groups develop the strategies to accomplish this vision. Conference techniques often result in maximum participation and buy-in, and allow participants opportunities to understand best practices and expand their thinking in order to create an innovative new direction for the organization.

Questions to Ask:

- *How much participation is required to build maximum trust in the organization?*
- *How much do various stakeholders know about best practices in order to incorporate them into strategies?*
- *How can you best incorporate diverse perspectives into the strategies?*
- *How involved do policy makers wish to be in the strategy development process?*

The diagonal slice group from your organization can also be charged with creating strategies. This method provides opportunities for input from a variety of levels and perspectives in a more controlled process. It also provides an opportunity for alternative perspectives to weigh more heavily in the process. In the conference model, minority voices may not be heard.

In another method, the management team can use stakeholder groups to review and refine strategies - including the diagonal slice group. This method does not allow for as much diverse input into the strategies. However, if the management team has been intensively schooled in innovative new practices, they can still create effective strategies that are informed by the literature. The strategies must be approved and supported by the policy makers in your jurisdiction, regardless of the method chosen.

Overcoming Resistance:

Leadership and work teams need to plan strategies for overcoming resistance to change. Resistance of employees may stem from the organization's failure to consider and eliminate barriers with changing work conditions, a lack of tools to do the new job, or an inadequate understanding of the need for change. Leadership must assess worker needs in relation to the strategic implementation of change, structure the work, and provide the tools and the information required for success. For example, if leadership asks officers to spend more time out in the field and less time in the office, providing tools such as laptops, personal data assistants, and cell phones will facilitate that transition. Leadership must be empathetic and create a climate for success for workers to do their job. Culture changes are difficult for workers to accommodate but can be made easier with responsive, responsible leaders.

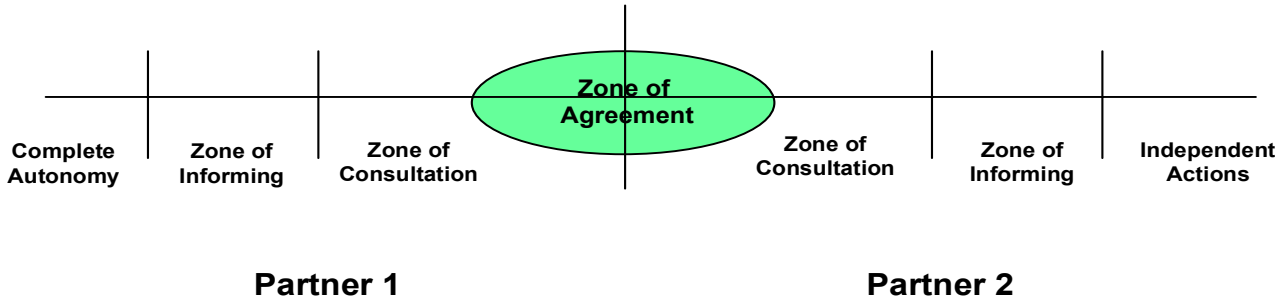
Appendix D: Leadership Styles and Leading Change (con't.)

Seek Agreement with Partners about Vision and Strategy

Relationships among partners must be based on mutual respect and understanding of the opportunities and constraints each partner faces. One tool partners can use to work on their agreements is the Zone of Agreement model (Figure 4). Groups of internal and external partners can use this model to clarify their decision making process. Partners must have a clear and common understanding of the decisions that: complete agreement is necessary; consultation with other partners is sufficient; and can be made solely by one organization, independent of their partners.

Figure 4

Zones of Agreement



Sustaining collaboration and agreement between partners

The change process can be slow and may alter direction mid-course. Given the importance of partnerships and the challenge of maintaining them, leadership must take specific steps to sustain collaborations. Some suggestions include:

- ***Build upon small wins*:**
  Identify steps that a collaboration can take together. Seemingly minor change can reward partners and solidify their commitment to the process. These wins can also persuade other partners to join and support the change process.
- ***Create incentives for collaboration and change*:**
  Align rewards, including public recognition, with the collaboration. Take time to understand the needs of internal and external partners and develop ways to meet some of them.
- ***Address leadership changes*:**
  Leadership will change during the change process. It is important to bring new leaders into the change process, share the vision and the history of the change with them, and invite and incorporate their fresh perspectives.
- ***Maintain the momentum for change*:**
  Key players and/or groups may stall changes through diversions or suggesting far-fetched scenarios. If changes can be institutionalized quickly, with some details worked out later, the system change can maintain momentum.

Appendix E: Managing Transitions

Changing an organization is complicated business and understanding how transition occurs is critical to effectively implementing change. Leaders must understand the emotional process of change and must be comfortable with working through the various stages, including the end of the old, the chaos of transition, and the new beginnings. Moving through these stages often does not occur in a linear progression. Guiding an organization through this process takes patience and perseverance.

As in substance abuse recovery, organizations can *relapse*, returning to old ways and cultural norms.

In *Managing Transitions: Making the Most of Change*, William Bridges offers an excellent analysis of organizational change and provides concrete suggestions for helping people and the organization cope with change. Bridges describes the opportunities and challenges inherent in the change process and describes three zones of transition: endings; the neutral zone; and the new beginning. He offers the following strategies for moving through each zone:

Endings:

This stage is characterized by loss: loss of comfort and security in operations; loss of practices; and possibly loss of history. Leaders can effectively manage this transitional state by addressing the following issues:

- Identify who is experiencing loss and what they are losing.
- Accept the reality and importance of subjective losses.
- Don't be surprised at *overreaction*.
- Acknowledge the losses openly and sympathetically.
- Expect and accept the signs of grieving.
- Compensate for the losses.
- Give people information, and do it again and again.
- Define what is over and what is not over.
- Mark the endings.
- Treat the past with respect; let people take a piece of the old way with them.

The Neutral Zone:

This stage follows the ending stage prior to the new beginning stage. It is in this stage that workers can slip back to the old ways or veer off the path of change. Relentless attention to details and ongoing feedback of data to management and those closest to the work can help prevent this tendency. Leaders can creatively manage the neutral zone by strengthening group connections, redefining the zone as a creative period, and focusing on the following issues:

- "Normalize" the neutral zone.
- Redefine the neutral zone.
- Create temporary systems for the neutral zone.
- Strengthen intra-group connections.
- Implement a transition monitoring team.
- Support creativity in the neutral zone.

New Beginnings:

Finally, re-visiting the purpose, providing a clear vision of the outcome, and making sure all players have a role consistent with the vision can ease the transition to the new beginning. During this period of new beginning, leaders must focus on the following:

- Clarify and communicate the purpose.
- Provide a picture of the outcome.
- Create a transition plan with specifics (a transition plan is different from a change plan – the transition plan focuses on the *process* of change, rather than the change itself).
- Give people a part to play.
- Reinforce the new beginning.
- Be consistent, ensure quick successes, symbolize the new identity, and celebrate success.

Appendix F: Structural Supports for Change

Aligning the organization's infrastructure with an intended change is essential to successfully transition an organization to a new way of doing business. In community corrections agencies, all infrastructure systems and policies, particularly those within the human resources management system (HRMS) must be consistent with evidence-based practices. Implementation work groups should be assigned the responsibility of developing or modifying the organization's HRMS to meet needs identified through organizational assessment. Policies regarding activities such as recruitment and hiring, training, job descriptions, performance appraisals, promotional decisions, and reward systems must be aligned with the new models. This alignment must also be promulgated throughout the organization in written documents and practice. Alignment in policy and practice must occur in the following areas:

- **Recruitment and Hiring**– Organizations must rethink and revise recruitment efforts, candidate screening processes, minimum criteria, and other standards. All new employees must be knowledgeable about the new vision and have appropriate skills sets for a changed work environment.

- **Training** –The importance of investing in training at all staff and management levels cannot be overestimated. Failure to provide comprehensive training can undermine even the most well conceived implementation plan. Throughout the implementation process, internal and external stakeholders should be apprised of the principles of evidence-based practices. Recruit academy, orientation, and ongoing training curricula must be restructured and infused with the philosophies of evidence-based practices. Training supports the notion that change is warranted and desirable. Training on evidence-based practices, their efficacy, philosophy, and work expectations must be part of any ongoing training curriculum.

- **Job descriptions** – Workers' tasks, skill sets, and responsibilities should be clearly linked with evidence-based practices and the agency mission and goals.

- **Performance appraisals** – Individual performance plans, appraisals, and reviews should be informed by outcome data and connected to the mission, job description, skill set requirements, and training. The use of technology to create automatic feedback systems facilitates this process by providing staff and supervisors with accurate performance measurement data.

- **Promotional decisions** – The promotional system must be structured to value organizational goals and reward desired performance. Promotion should occur when behavior is consistent with organizational goals; individual goals are achieved; and when evidence-based practices are embraced.

- **Reward systems** – Rewards can be separate or linked with promotions and appraisal systems. Publicly recognize and celebrate behavior that is desirable and refrain from the reverse.

This alignment of HRMS with evidence-based practices will ease implementation, minimize pitfalls, and create a climate that supports the new philosophy and changes in worker behavior. Failure to create this alignment can have a detrimental impact on the implementation of new operational philosophies.

References for Organizational Development

References

1. Beckland, R. & Pritchard, W. (1992). *Changing the Essence, The Art of Creating and Leading Fundamental Change in Organizations*. Jossey-Bass.
2. Bennis, W. & Nanus, B. (1985). *Leaders, The Strategies For Taking Charge*. Harper and Row.
3. Blake, R.R., Srygley Mouton, J. & Adams McCanse, A. (1989). *Change by Design*. Addison Wesley.
4. Block, P. (1981). *Flawless Consulting*. University Associates.
5. Block, P. (1988). *The Empowered Manager*. Jossey-Bass.
6. Bridges, W. (1991). *Managing Transitions, Making the Most of Change*. Perseus Books.
7. Burns, J. (1982). *Leadership.* Harpercollins.
8. Covey, S. R. (1990). *Principle-Centered Leadership*. Summit Books.
9. Fuller, J. (2001). *Organizational Change from a Leadership Perspective.* Oregon: Multnomah County Department of Community Justice.
10. Harland, A. Editor. (1996). *Choosing Correctional Options That Work*. Sage.
11. Hesselbein, F., Goldsmith, M. &Somerville I. Editors. (1999). *Leading Beyond the Walls*. Drucker Foundation.
12. McGregor, D. (1960). *The Human Side of Enterprise.* McGraw-Hill/Irwin.
13. Moore, M. (1995). *Creating Public Value.* Massachusetts: Harvard University Press.
14. Nanus, B. (1992). *Visionary Leadership*. Jossey-Bass.
15. Osborne, D. & Gaebler, T. (1992). *Reinventing Government*. Addison Wesley.
16. Rees, F. (1991). *How to Lead Work Teams, Facilitation Skills*. Pfeiffer and Co..
17. Senge, P. (1990). *The Fifth Discipline: The Art and Practice of the Learning Organization.* New York: Currency Doubleday.
18. Weisbord, M. R. (1987). *Productive Workplaces*. Jossey-Bass.
19. Weisebord, M. R. & Janoff, S. (1995). *Future Search.* Berrett-Koehler.
20. Wheatley, M. J. & Kellner-Rogers, M. (1996). *A Simpler Way*. Berrett-Koehler.

This article was supported under cooperative award #03C05GIW2 from the National Institute of Corrections, Community Corrections Division, U.S. Department of Justice.
Points of view in this document are those of the authors and do not necessarily represent the official position of the U.S. Department of Justice.

Implementing Evidence-Based Practice in Community Corrections:

The Principles of Effective Intervention

Project Vision: To build learning organizations that reduce recidivism through systemic integration of evidence-based principles in collaboration with community and justice partners.

Introduction and Background

Until recently, community corrections has suffered from a lack of research that identified proven methods of reducing offender recidivism. Recent research efforts based on meta-analysis (the syntheses of data from many research studies) (McGuire, 2002; Sherman et al, 1998), cost-benefit analysis (Aos, 1998) and specific clinical trials (Henggeler et al, 1997; Meyers et al, 2002) have broken through this barrier and are now providing the field with indications of how to better reduce recidivism.

This research indicates that certain programs and intervention strategies, when applied to a variety of offender populations, reliably produce sustained reductions in recidivism. This same research literature suggests that few community supervision agencies (probation, parole, residential community corrections) in the U.S. are using these effective interventions and their related concepts/principles.

The conventional approach to supervision in this country emphasizes individual accountability from offenders and their supervising officers without consistently providing either with the skills, tools, and resources that science indicates are necessary to accomplish risk and recidivism reduction. Despite the evidence that indicates otherwise, officers continue to be trained and expected to meet minimal contact standards which stress rates of contacts and largely ignore the opportunities these contacts have for effectively reinforcing behavioral change. Officers and offenders are not so much clearly directed what to do, as what not to do.

An integrated and strategic model for evidence-based practice is necessary to adequately bridge the gap between current practice and evidence supported practice in community corrections. This model must incorporate both existing research findings and operational methods of implementation. The biggest challenge in adopting better interventions isn't identifying the interventions with the best evidence, so much as it is changing our existing systems to appropriately support the new innovations. Identifying interventions with good research support and realigning the necessary organizational infrastructure are both fundamental to evidence-based practice.

Specificity regarding the desired outcomes is essential to achieving system improvement. -Harris, 1986; O'Leary & Clear, 1997

An Integrated Model

Scientific learning is impossible without evidence.

Evidence-Based Practice (EBP)

Evidence-based practice is a significant trend throughout all human service fields that emphasize outcomes. Interventions within corrections are considered effective when they reduce offender risk and subsequent recidivism and therefore make a positive long-term contribution to public safety.

This document presents a model or framework based on a set of principles for effective offender interventions within federal, state, local, or private community corrections systems. Models provide us with tangible reference points as we face unfamiliar tasks and experiences. Some models are very abstract, for example entailing only a set of testable propositions or principles. Other models, conversely, may be quite concrete and detail oriented.

The field of community corrections is beginning to recognize its need, not only for more effective interventions, but for models that integrate seemingly disparate *best practices* (Bogue 2002; Carey 2002; Corbett et al. 1999; Gornik 2001; Lipton et al. 2000; Taxman and Byrne 2001).

As a part of their strategy for facilitating the implementation of effective interventions, the National Institute of Correction (NIC), Community Corrections Division has entered into a collaborative effort with the Crime and Justice Institute to

(Continued on pg 2)

Evidence-Based Practice (EBP) (con't.)

(Continued from pg 1)

develop a model for implementing evidence-based practice in criminal justice systems. This *Integrated Model* emphasizes the importance of focusing equally on evidence-based practices, organizational change, and collaboration to achieve successful and lasting change. The scope of the model is broad enough that it can be applied to all components of the criminal justice system (pretrial, jail, probation, parole, private/public, etc.) and across varying jurisdictions (local, county, state, etc.).

Community corrections will only develop into a "science" as it increases its commitment to measurable outcomes.

This model recognizes that simply expounding on scientific principles is not sufficient to guide the ongoing political and organizational change necessary to support implementation of evidence-based principles in a complex system. While this paper focuses on the evidence-based principles, there are two additional papers that focus on the other model components (organizational development and collaboration).

The evidence-based principles component of the integrated model highlights eight principles for effective offender interventions. The organization or system that is most successful in initiating and maintaining offender interventions and supervision practices consistent with these principles will likely realize the greatest recidivism reductions.

Clarifying Terms:

The terms *best practices*, *what works*, and *evidence-based practice* (EBP) are often used interchangeably. While these *buzz words* refer to similar notions, pointing out the subtle distinctions between them helps to clarify the distinct meaning of *evidence-based practices*.

For example, *best practices* do not necessarily imply attention to outcomes, evidence, or measurable standards. Best practices are often based on the collective experience and wisdom of the field rather scientifically tested knowledge.

What works implies linkage to general outcomes, but does not specify the kind of outcomes desired (e.g. just desserts, deterrence, organizational efficiency, rehabilitation, etc.). Specificity regarding the desired outcomes is essential to achieving system improvement (Harris 1986; O'Leary and Clear 1997).

In contrast, ***evidence-based practice*** implies that **1)** there is a definable outcome(s); **2)** it is measurable; and **3)** it is defined according to practical realities (recidivism, victim satisfaction, etc.). Thus, while these three terms are often used interchangeably, EBP is more appropriate for outcome focused human service disciplines (Ratcliffe et al, 2000; Tilley & Laycock, 2001; AMA, 1992; Springer et al, 2003; McDonald, 2003).

Any agency interested in understanding and improving outcomes, must reckon with managing the operation as a set of highly interdependent systems.

(See Appendix A.)

Two fundamentally different approaches are necessary for such an alteration in priorities.

(See Appendix B.)

The current research on offender rehabilitation and behavioral change is now sufficient to enable corrections to make meaningful inferences regarding what works in our field to reduce recidivism and improve public safety. Based upon previous compilations of research findings and recommendations (Burrell, 2000; Carey, 2002; Currie, 1998; Corbett et al, 1999; Elliott et al, 2001; McGuire, 2002; Latessa et al, 2002; Sherman et al, 1998; Taxman & Byrne, 2001), there now exists a coherent framework of guiding principles. These principles are interdependent and each is supported by existing research. *(see Appendix A)*

Evidence-Based Practice (EBP) (con't.)

The following framework of principles is listed in developmental order and they are all highly interdependent. For example, offender assessments must consider both risk to reoffend and criminogenic needs, in that order. Research indicates that resources are used more effectively when they are focused on higher-risk rather than lower-risk offenders, therefore considering offenders' risk to reoffend prior to addressing criminogenic needs allows agencies to target resources on higher-risk offenders *(see Appendix B)*.

Eight Evidence-Based Principles for Effective Interventions

1. Assess Actuarial Risk/Needs.
2. Enhance Intrinsic Motivation.
3. Target Interventions.
   a. *Risk Principle*: Prioritize supervision and treatment resources for higher risk offenders.
   b. *Need Principle*: Target interventions to criminogenic needs.
   c. *Responsivity Principle*: Be responsive to temperament, learning style, motivation, culture, and gender when assigning programs.
   d. *Dosage*: Structure 40-70% of high-risk offenders' time for 3-9 months.
   e. *Treatment*: Integrate treatment into the full sentence/sanction requirements.
4. Skill Train with Directed Practice (use Cognitive Behavioral treatment methods).
5. Increase Positive Reinforcement.
6. Engage Ongoing Support in Natural Communities.
7. Measure Relevant Processes/Practices.
8. Provide Measurement Feedback.

1) Assess Actuarial Risk/Needs.

Develop and maintain a complete system of ongoing offender risk screening / triage and needs assessments. Assessing offenders in a reliable and valid manner is a prerequisite for the effective management (i.e.: supervision and treatment) of offenders. Timely, relevant measures of offender risk and need at the individual and aggregate levels are essential for the implementation of numerous principles of best practice in corrections, (e.g., risk, need, and responsivity). Offender assessments are most reliable and valid when staff are formally trained to administer tools. Screening and assessment tools that focus on dynamic and static risk factors, profile criminogenic needs, and have been validated on similar populations are preferred. They should also be supported by sufficiently detailed and accurately written procedures.

Questions to Ask:

- *Does the assessment tool we're using measure for criminogenic risk and need?*
- *How are officers trained to conduct the assessment interview?*
- *What quality assurance is in place to ensure that assessments are conducted appropriately?*
- *How is the assessment information captured and used in the development of case plans?*

Offender assessment is as much an ongoing function as it is a formal event. Case information that is gathered informally through routine interactions and observations with offenders is just as important as formal assessment guided by instruments. Formal and informal offender assessments should reinforce one another. They should combine to enhance formal reassessments, case decisions, and working relations between practitioners and offenders throughout the jurisdiction of supervision.

(Andrews, et al, 1990; Andrews & Bonta, 1998; Gendreau, et al, 1996; Kropp, et al, 1995; Meehl, 1995; Clements, 1996)

Eight Principles for Evidence-Based Practice (EBP) in Community Corrections (con't.)

2) Enhance Intrinsic Motivation.

Staff should relate to offenders in interpersonally sensitive and constructive ways to enhance intrinsic motivation in offenders. Behavioral change is an *inside job*; for lasting change to occur, a level of intrinsic motivation is needed. Motivation to change is dynamic and the probability that change may occur is strongly influenced by interpersonal interactions, such as those with probation officers, treatment providers, and institution staff. Feelings of ambivalence that usually accompany change can be explored through motivational interviewing, a style and method of communication used to help people overcome their ambivalence regarding behavior changes.
Research strongly suggests that motivational interviewing techniques, rather than persuasion tactics, effectively enhance motivation for initiating and maintaining behavior changes.

Questions to Ask:

- *Are officers and program staff trained in motivational interviewing techniques?*
- *What quality assurance is in place?*
- *Are staff held accountable for using motivational interviewing techniques in their day-to-day interactions with offenders?*

(Miller & Rollnick, 2002; Miller & Mount, 2001; Harper & Hardy, 2000; Ginsburg, et al, 2002; Ryan & Deci, 2000)

3) Target Interventions.

A. RISK PRINCIPLE: Prioritize supervision and treatment resources for higher risk offenders.

B. NEED PRINCIPLE: Target interventions to criminogenic needs.

C. RESPONSIVITY PRINCIPLE: Be responsive to temperament, learning style, motivation, gender, and culture when assigning to programs.

D. DOSAGE: Structure 40-70% of high-risk offenders' time for 3-9 months.

E. TREATMENT PRINCIPLE: Integrate treatment into the full sentence/sanction requirements.

a) Risk Principle

Prioritize primary supervision and treatment resources for offenders who are at higher risk to re-offend. Research indicates that supervision and treatment resources that are focused on lower-risk offenders tend to produce little if any net positive effect on recidivism rates. Shifting these resources to higher risk offenders promotes harm-reduction and public safety because these offenders have greater need for pro-social skills and thinking, and are more likely to be frequent offenders. Reducing the recidivism rates of these higher risk offenders reaps a much larger *bang-for-the-buck*.

Successfully addressing this population requires smaller caseloads, the application of well developed case plans, and placement of offenders into sufficiently intense cognitive-behavioral interventions that target their specific criminogenic needs.

(Gendreau, 1997; Andrews & Bonta, 1998; Harland, 1996; Sherman, et al, 1998; McGuire, 2001, 2002)

b) Criminogenic Need Principle

Address offenders' greatest criminogenic needs. Offenders have a variety of needs, some of which are directly linked to criminal behavior. These criminogenic needs are dynamic risk factors that, when addressed or changed, affect the offender's risk for recidivism. Examples of criminogenic needs are: criminal personality; antisocial attitudes, values, and beliefs; low self control; criminal peers; substance abuse; and dysfunctional family. Based on an assessment of the offender, these criminogenic needs can be prioritized so that services are focused on the greatest criminogenic needs.

(Andrews & Bonta, 1998; Lipton, et al, 2000; Elliott, 2001; Harland, 1996)

(Continued on pg 5)

Eight Principles for Evidence-Based Practice (EBP) in Community Corrections (con't.)

(Continued from pg 4)

c) Responsivity Principle

Responsivity requires that we consider individual characteristics when matching offenders to services. These characteristics include, but are not limited to: culture, gender, motivational stages, developmental stages, and learning styles. These factors influence an offender's responsiveness to different types of treatment.

The principle of responsivity also requires that offenders be provided with treatment that is proven effective with the offender population. Certain treatment strategies, such as cognitive-behavioral methodologies, have consistently produced reductions in recidivism with offenders under rigorous research conditions.

Providing appropriate responsivity to offenders involves selecting services in accordance with these factors, including:
a) Matching treatment type to offender; and
b) Matching style and methods of communication with offender's stage of change readiness.

(Guerra, 1995; Miller & Rollnick, 1991; Gordon, 1970; Williams, et al, 1995)

d) Dosage

Providing appropriate doses of services, pro-social structure, and supervision is a strategic application of resources. Higher risk offenders require significantly more initial structure and services than lower risk offenders. During the initial three to nine months post-release, 40%-70% of their free time should be clearly occupied with delineated routine and appropriate services, (e.g., outpatient treatment, employment assistance, education, etc.) Certain offender subpopulations (e.g., severely mentally ill, chronic dual diagnosed, etc.) commonly require strategic, extensive, and extended services. However, too often individuals within these subpopulations are neither explicitly identified nor provided a coordinated package of supervision/services. The evidence indicates that incomplete or uncoordinated approaches can have negative effects, often wasting resources.

(Palmer, 1995; Gendreau & Goggin, 1995; Steadman, 1995; Silverman, et al, 2000)

Questions to Ask:

- *How do we manage offenders assessed as low risk to reoffend?*
- *Does our assessment tool assess for criminogenic need?*
- *How are criminogenic risk and need information incorporated into offender case plans?*
- *How are offenders matched to treatment resources?*
- *How structured are our caseplans for offenders, especially during the three to nine month period in the community after leaving an institution?*
- *How are staff held accountable for using assessment information to develop a case plan and then subsequently using that caseplan to manage an offender?*

e) Treatment Principle

Treatment, particularly cognitive-behavioral types, should be applied as an integral part of the sentence/sanction process. Integrate treatment into sentence/sanction requirements through assertive case management (taking a proactive and strategic approach to supervision and case planning). Delivering targeted and timely treatment interventions will provide the greatest long-term benefit to the community, the victim, and the offender. This does not necessarily apply to lower risk offenders, who should be diverted from the criminal justice and corrections systems whenever possible.

(Palmer, 1995; Clear, 1981; Taxman & Byrne, 2001; Currie, 1998; Petersilia, 1997, 2002, Andrews & Bonta, 1998)

Eight Principles for Evidence-Based Practice (EBP) in Community Corrections (con't.)

4) Skill Train with Directed Practice (using cognitive-behavioral treatment methods).

Provide evidence-based programming that emphasizes cognitive-behavioral strategies and is delivered by well trained staff. To successfully deliver this treatment to offenders, staff must understand antisocial thinking, social learning, and appropriate communication techniques. Skills are not just taught to the offender, but are practiced or role-played and the resulting pro-social attitudes and behaviors are positively reinforced by staff. Correctional agencies should prioritize, plan, and budget to predominantly implement programs that have been scientifically proven to reduce recidivism.

(Mihalic, et al, 2001; Satchel, 2001; Miller & Rollnick, 2002; Lipton, et al, 2000; Lipsey, 1993; McGuire, 2001, 2002; Aos, 2002)

Questions to Ask:

- *How are social learning techniques incorporated into the programs we deliver?*
- *How do we ensure that our contracted service providers are delivering services in alignment with social learning theory?*
- *Are the programs we deliver and contract for based on scientific evidence of recidivism reduction?*

5) Increase Positive Reinforcement.

When learning new skills and making behavioral changes, human beings appear to respond better and maintain learned behaviors for longer periods of time, when approached with *carrots* rather than *sticks*. Behaviorists recommend applying a much higher ratio of positive reinforcements to negative reinforcements in order to better achieve sustained behavioral change. Research indicates that a ratio of *four positive to every one negative* reinforcement is optimal for promoting behavior changes. These rewards do not have to be applied consistently to be effective (as negative reinforcement does) but can be applied randomly.

Increasing positive reinforcement should not be done at the expense of or undermine administering swift, certain, and real responses for negative and unacceptable behavior. Offenders having problems with responsible self-regulation generally respond positively to reasonable and reliable additional structure and boundaries. Offenders may initially overreact to new demands for accountability, seek to evade detection or consequences, and fail to recognize any personal responsibility. However, with exposure to clear rules that are consistently (and swiftly) enforced with appropriate graduated consequences, offenders and people in general, will tend to comply in the direction of the most rewards and least punishments.

This type of extrinsic motivation can often be useful for beginning the process of behavior change.

(Gendreau & Goggin, 1995; Meyers & Smith, 1995; Higgins & Silverman, 1999; Azrin, 1980; Bandura et al,1963; Bandura, 1996)

Questions to Ask:

- *Do we model positive reinforcement techniques in our day-to-day interactions with our co-workers?*
- *Do our staff understand and use the four-to-one theory in their interactions with offenders?*

6) Engage On-going Support in Natural Communities.

Realign and actively engage pro-social supports for offenders in their communities. Research indicates that many successful interventions with extreme populations (e.g., inner city substance abusers, homeless, dual diagnosed) actively recruit and use family members, spouses, and supportive others in the offender's immediate environment to positively reinforce desired new behaviors. This Community Reinforcement Approach (CRA) has been found effective for a variety of behaviors (e.g., unemployment, alcoholism, substance abuse, and marital conflicts). In addition, relatively recent research now indicates the efficacy of twelve step programs, religious activities, and restorative justice initiatives that are geared towards improving bonds and ties to pro-social community members.

(Azrin, & Besalel, 1980; Emrick et al, 1993; Higgins & Silverman, 1999; Meyers & Smith, 1997; Wallace, 1989; Project MATCH Research Group, 1997; Bonta et al, 2002; O'Connor & Perryclear, 2003; Ricks, 1974; Clear & Sumter; 2003; Meyers et al, 2002)

Questions to Ask:

- *Do we engage community supports for offenders as a regular part of case planning?*
- *How do we measure our community network contacts as they relate to an offender?*

Eight Principles for Evidence-Based Practice (EBP) in Community Corrections (con't.)

7) Measure Relevant Processes/Practices.

Accurate and detailed documentation of case information, along with a formal and valid mechanism for measuring outcomes, is the foundation of evidence-based practice. Agencies must routinely assess offender change in cognitive and skill development, and evaluate offender recidivism, if services are to remain effective.

In addition to routinely measuring and documenting offender change, staff performance should also be regularly assessed. Staff that are periodically evaluated for performance achieve greater fidelity to program design, service delivery principles, and outcomes. Staff whose performance is not consistently monitored, measured, and subsequently reinforced work less cohesively, more frequently at cross-purposes and provide less support to the agency mission.

Questions to Ask:

- *What data do we collect regarding offender assessment and case management?*
- *How do we measure incremental offender change while they are under supervision?*
- *What are our outcome measures and how do we track them?*
- *How do we measure staff performance? What data do we use? How is that data collected?*

(Henggeler et al, 1997; Milhalic & Irwin, 2003; Miller, 1988; Meyers et al, 1995; Azrin, 1982; Meyers, 2002; Hanson & Harris, 1998; Waltz et al, 1993; Hogue et al, 1998; Miller & Mount, 2001; Gendreau et al, 1996; Dilulio, 1993)

8) Provide Measurement Feedback.

Once a method for measuring relevant processes / practices is in place (principle seven), the information must be used to monitor process and change. Providing feedback to offenders regarding their progress builds accountability and is associated with enhanced motivation for change, lower treatment attrition, and improved outcomes (e.g., reduced drink/drug days; treatment engagement; goal achievement).

The same is true within an organization. Monitoring delivery of services and fidelity to procedures helps build accountability and maintain integrity to the agency's mission. Regular performance audits and case reviews with an eye toward improved outcomes, keep staff focused on the ultimate goal of reduced recidivism through the use of evidence-based principles.

Questions to Ask:

- *How is information regarding offender change and outcomes shared with officers? With offenders?*
- *With whom do we share information regarding outcome measures?*
- *How is staff performance data used in the performance evaluation process?*

(Miller, 1988; Project Match Research Group, 1997; Agostinelli et al, 1995; Alvero et al, 2001; Baer et al, 1992; Decker, 1983; Luderman, 1991; Miller, 1995; Zemke, 2001; Elliott, 1980)

Conclusion

Aligning these evidence-based principles with the core components of an agency is a consummate challenge and will largely determine the impact the agency has on sustained reductions in recidivism. In order to accomplish this shift to an outcome orientation, practitioners must be prepared to dedicate themselves to a mission that focuses on achieving sustained reductions in recidivism. The scientific principles presented in this document are unlikely to produce a mandate for redirecting and rebuilding an agency's mission by themselves. Leadership in organizational change and collaboration for systemic change are also necessary.

The framework of principles and the developmental model they comprise can and should be operationalized at three critical levels: 1) the individual case; 2) the agency; and 3) the system. At each of these levels thorough, comprehensive, and strategic planning will be necessary in order to succeed. Identifying, prioritizing, and formulating well-timed plans for addressing such particular issues are tasks requiring system collaboration and a focus on organizational development.

A final caveat here is a caution about implementation; the devil's in the details. Though the track record for program implementation in corrections may not be especially stellar, there is helpful literature regarding implementation principles. Prior to embarking on any implementation or strategic planning project, a succinct review of this literature is recommended (Mihalic & Irwin, 2003; Ellickson et al, 1983; Durlak, 1998; Gendreau et al, 1999; Gottfredson et al, 2000; Henggeler et al, 1997; Harris & Smith, 1996).

Initial assessment followed by motivational enhancement will help staff to prepare for the significant changes ahead.
(See Appendix C.)

At an organizational level, gaining appreciation for outcome measurement begins with establishing relevant performance measurement
(See Appendix D.)

Too often programs or practices are promoted as having research support without any regard for either the quality or the research methods that were employed.
(See Appendix E.)

Project Contact Information:

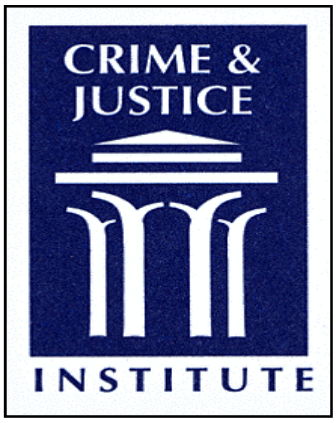
National Institute of Corrections (NIC), Community Corrections Division
WWW.NICIC.ORG

Dot Faust,
Correctional Program Specialist
dfaust@bop.gov
(202) 514-3001

Crime and Justice Institute (CJI)
WWW.CJINSTITUTE.ORG

Elyse Clawson, Project Director
eclawson@crjustice.org
(617) 482-2520, ext. 120

Lore Joplin, Project Manager
ljoplin@crjustice.org
(617) 482-2520, ext. 124



Supporting the effective management and operation of the nation's community corrections agencies

Creative, collaborative approaches to complex social issues

Special recognition and deepest thanks go to the following project team members who contributed to these documents:

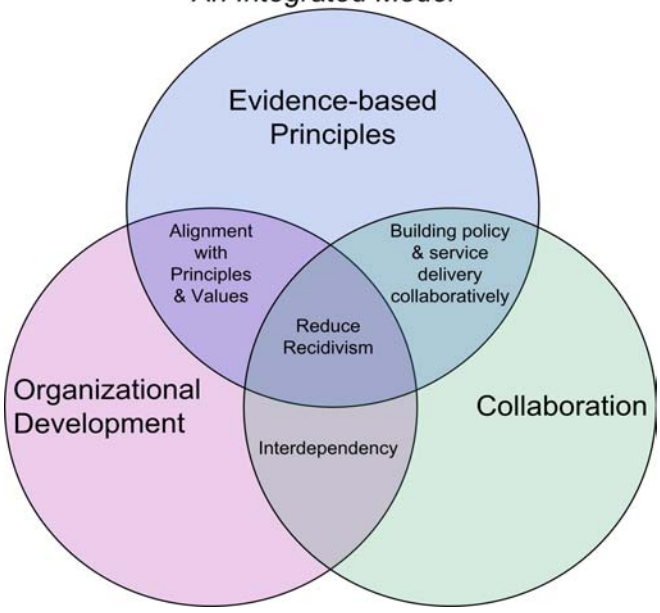
Brad Bogue (primary author), Nancy Campbell, Mark Carey, Elyse Clawson, Dot Faust, Kate Florio, Lore Joplin, George Keiser, Billy Wasson, and William Woodward

The project team is committed to enhancing community corrections systems to better reduce recidivism using research-supported principles.

List of Appendices

- ***Appendix A*** *(page 9)*:
  Components of Correctional Interventions
- ***Appendix B*** *(pages 10-11)*:
  Implementing the Principles of Evidence-Based Practice
- ***Appendix C*** *(page 12)*:
  Applying the Principles at the Case, Agency and System Levels
- ***Appendix D*** *(page13-15)*:
  Seven Recommended Strategies for Implementing Effective Interventions
- ***Appendix E*** *(page 16)*:
  Levels of Research Evidence
- ***References*** *(pages 17-19)*

Implementing Effective Correctional Management of Offenders in the Community:
An Integrated Model



Appendix A: Components of Correctional Interventions

One way to deconstruct a community corrections treatment program for planning or evaluation purposes is to consider the separate aspects of the program experienced by an offender that might affect their outcome or potential for behavioral change. Researchers and practitioners are quick to recognize a number of common elements in all programs that have some potential impact on outcomes such as recidivism:

- ⇒ **(The Skills of Staff)—**a wide array of ongoing interpersonal relations specifically pertaining to the communication skills and interactions exercised between staff and offenders;
- ⇒ **(Decisions on Program Assignment)—**continuous programmatic decisions that match offenders to varying levels and types of supervision conditions;
- ⇒ **(Programming) –** services, i.e. both treatment and monitoring interventions;
- ⇒ **(Sanctions)—**determinations of accountability for assigned obligations and accompanying compliance consequences, i.e., both positive and negative reinforcements;
- ⇒ **(Community Linkages)—**formal and informal interfaces with various community organizations and groups;
- ⇒ **(Case Management)—**a case management system that relegates individual case objectives and expectations within a prescribed set of policies and procedures; and
- ⇒ **(Organization)—**internal (operational) and external (policy environment) organizational structures, management techniques, and culture.

Each of these factors can be construed as separate processes that interact with each other continuously in any community corrections setting (e.g., probation, parole, outpatient treatment, residential, etc.). Depending on how well the processes are aligned and managed, they can either enhance or diminish successful outcomes. An agency, for example, might provide an excellent cognitive skill-building curriculum that has good research support but is delivered by staff with relatively limited clinical skills. Conversely, an agency might be structured so that there is no differentiation of services (one size fits all) and the programming has limited or negligible research support, but staff's overall skills are excellent. A broad interpretation of the existing research suggests that each of the above seven factors have their own independent effect on successful outcomes.

Any agency interested in understanding and improving outcomes, must reckon with managing the operation as a set of highly interdependent systems. An agency's ability to become progressively more accountable through the utilization of reliable internal (e.g., information) controls is integral to EBP. This approach is based on established business management practices for measuring performance objectives and achieving greater accountability for specified outcomes. Providing routine and accurate performance feedback to staff is associated with improved productivity, profit, and other outcomes.

Appendix B: Implementing the Principles of Evidence-Based Practice

Implementing the principles of evidence-based practice in corrections is a tremendous challenge requiring strong leadership and commitment. Such an undertaking involves more than simply implementing a research recommended program or two. Minimally, EBP involves:

a) developing staff knowledge, skills, and attitudes congruent with current research-supported practice (principles #1-8);

b) implementing offender programming consistent with research recommendations (#2-6);

c) sufficiently monitoring staff and offender programming to identify discrepancies or fidelity issues (#7);

d) routinely obtaining verifiable outcome evidence (#8) associated with staff performance and offender programming.

Implementing these functions is tantamount to revolutionizing most corrections organizations. Nevertheless, many agencies are taking on this challenge and have begun to increase their focus on outcomes and shift their priorities. Two fundamentally different approaches are necessary for such an alteration in priorities. One brings insights gleaned from external research evidence to bear on internal organizational practices. The other increases organizational capacity to internally measure performance and outcomes for current practice. When these two interdependent strategies are employed, an agency acquires the ability to understand what's necessary and practicable to improve its outcomes. The following describes how these approaches support EBP in slightly different ways.

Outside (Evidence) — In Approach

Adopting research-supported program models fosters an outcome orientation and minimizes the syndrome of 'reinventing-the-wheel'. Insights, practices, and intervention strategies gleaned from external research can significantly improve the efficacy any program has if implemented with appropriate fidelity.

One approach to EBP is to pay strict attention to the external research and carefully introduce those programs or interventions that are supported by the best research evidence. There are a growing number of examples of internal promotion of external evidence-based programs. The Blueprint Project, conducted by the Center for the Study and Prevention of Violence uses independent outside research to promote the implementation of effective juvenile programs.

The National Institute of Justice commissioned research investigators to conduct similar reviews of both adult and juvenile offender programming, recommending programs according to the caliber of the research support (Sherman et al, 1998). The Washington State Institute for Public Policy regularly conducts and publishes similar reviews for adult and juvenile offender programming implemented in Washington (Aos, 1998).

What these strategies have in common is the promotion of research-supported external program models within internal implementation and operations. These are *outside-in* applications striving to replicate proven models with fidelity. This approach is limited by the fact that environmental, cultural, and operational features vary between organizations and often have significant effect on program efficacy (Palmer 1995). Thus, the second *inside-out* approach to evidence-based practice attends to these internal factors.

The Blueprint Project

The Blueprint Project, conducted by the Center for the Study and Prevention of Violence (CSPV), examined literature on over 500 different program interventions with at-risk or delinquent youth. Ten programs met CSPV's strict criteria for scientific support. These were labeled *Blueprint* programs, while programs that partially met the criteria were designated *Promising* (Mihalic et al. 2001).

CSPV documented the operational details of these programs and distributed the descriptions to practitioners, emphasizing the importance of maintaining fidelity to the program models.

Programs that were scientifically determined to produce systematic and significant results were identified and promoted through a central clearing-house.

Appendix B: Implementing the Principles of Evidence-Based Practice (con't.)

Inside (Evidence) — Out Approach

Developing and maintaining ongoing internal controls, particularly information controls related to key service components (e.g., treatment dosage, treatment adherence measures, etc.) ensures greater operational ability to effect outcomes.

The program evaluation, performance, and audit research literature emphasizes that insufficient information controls not only hamper program assessment, but impede program performance (Mee-Lee et al, 1996; Burrell, 1998; Lipton et al, 2000; Dilulio, 1993). Such internal control issues appear not only in program evaluation research, but also in organizational development, business, and systems analysis.

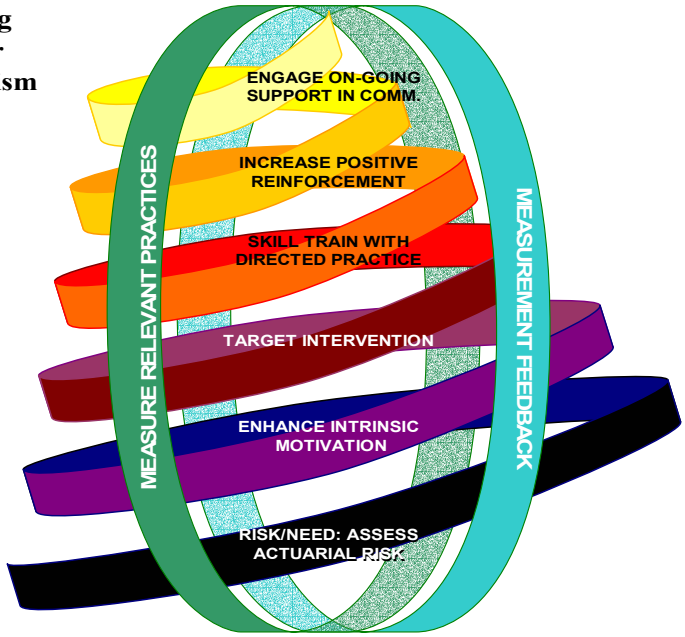
Internal controls provide information and mechanisms for ensuring that an agency will accomplish its mission (i.e., recidivism reduction). Agencies with *custodial* corrections orientations that emphasize *just-desserts* applications rarely utilize the same level of sophisticated information controls required by outcome-oriented corrections (Burrell 1998; Dilulio 1993; Lipton et al. 2000). Therefore, developing new methods for gathering operational information and then sharing and learning from them is a large part of the transition from *custodial* to outcome orientation in corrections.

Information controls necessary for implementing new or *best* practices specifically focus on key components within the desired practices. They include an ongoing process of identifying, measuring, and reporting key operational processes and functions:

⇒ **Offender measures:**	⇒ **Operational measures:**	⇒ **Staff measures:**
-Risk Level	-Program Availability	-Interpersonal skills
-Criminogenic Needs	-Program Integrity	-Abilities to discern anti-social thinking and behavior
-Motivation	-Program Quality Assurance Norms	-Attitudes and beliefs regarding interventions

Appendix C: Applying the Principles at the Case, Agency and System Levels

Eight Guiding Principles for Risk/Recidivism Reduction



The Eight Principles as a Guiding Framework

The eight principles *(see left)* are organized in a developmental sequence and can be applied at three fundamentally different levels:

1) the individual case;

2) the agency; and

3) the system.

Given the logic of each different principle, an overarching logic can be inferred which suggests a sequence for operationalizing the full eight principles.

Case Level

At the case level, the logical implication is that one must assess (principle #1) prior to triage or targeting intervention (#3), and that it is beneficial to begin building offender motivation (#2) prior to engaging these offenders in skill building activities (# 4). Similarly, positively reinforcing new skills (#5) has more relevancy after the skills have been introduced and trained (#4) and at least partially in advance of the offender's realignment with pro-social groups and friends (#6). The seventh (measure relevant practices) and eighth (provide feedback) principles need to follow the activities described throughout all the proceeding principles. Assessing an offender's readiness to change as well as ability to use newly acquired skills is possible anywhere along the case management continuum. These last two principles can and should be applicable after any of the earlier principles but they also can be considered cumulative and provide feedback on the entire case management process.

Agency Level

The principles, when applied at the agency level, assist with more closely aligning staff behavior and agency operations with EBP. Initial assessment followed by motivational enhancement will help staff to prepare for the significant changes ahead. Agency priorities must be clarified and new protocols established and trained. Increasing positive rewards for staff who demonstrate new skills and proficiency is straightforward and an accepted standard in many organizations. The sixth principle regarding providing ongoing support in natural communities can be related to teamwork within the agency as well as with external agency stakeholders. The seventh and eighth principles are primarily about developing quality assurance systems, both to provide outcome data within the agency, but also to provide data to assist with marketing the agency to external stakeholders.

System Level

The application of the Framework Principles at the system level is fundamentally no different than the agency level in terms of sequence and recommended order though it is both the most critical and challenging level. Funding, for most systems, channels through state and local agencies having either population jurisdiction or oversight responsibilities. Demonstrating the value of EBP is crucial at this level, in order to effectively engage the debate for future funding. However, as the scope and complexity increases with a system-wide application of these principles, the difficulties and challenges increase for communication, accountability, and sustaining morale. Therefore, in addition to adherence to a coherent strategy for EBP, development of implementation plans is warranted. Another distinction in applying the principles at the system level is the need for policy integration. The principles for EBP must be understood and supported by policy makers so that appropriate policy development coincides effectively with implementation. Once a system decisively directs its mission towards an outcome such as sustained reductions in recidivism, it becomes incumbent on the system to deliberately rely upon scientific methods and principles.

Appendix D: Seven Recommended Guidelines for Implementing Effective Interventions

Seven Recommended Guidelines for Implementing Effective Interventions

I. Limit new projects to mission-related initiatives.

II. Assess progress of implementation processes using quantifiable data.

III. Acknowledge and accommodate professional over-rides with adequate accountability.

IV. Focus on staff development, including awareness of research, skill development, and management of behavioral and organizational change processes, within the context of a complete training or human resource development program.

V. Routinely measure staff practices (attitudes, knowledge, and skills) that are considered related to outcomes.

VI. Provide staff timely, relevant, and accurate feedback regarding performance related to outcomes.

VII. Utilize high levels of data-driven advocacy and brokerage to enable appropriate community services.

These recommended guidelines for implementing effective interventions are based on recent preliminary implementation research as well as some of the collective experience and wisdom of the field. They are not necessarily based on scientifically tested knowledge.

I. Limit new projects to mission-related initiatives.

Clear identification and focus upon mission is critical within business and the best-run human service agencies. When *mission scope creep* occurs, it has a negative effect on progress, morale, and outcomes.

(Harris & Smith, 1996; Currie, 1998; Ellickson et al, 1983)

II. Assess progress of implementation processes using quantifiable data.

Monitoring system implementations for current, valid information regarding progress, obstacles, and direction changes is pivotal to project success. These monitoring systems can not always be designed in advance but implementation plans should include provisions for obtaining this type of ongoing information.

(Harris & Smith, 1996; Burrell, 2000; Dilulio, 1993; Palmer, 1995; Mihalic & Irwin, 2003; Gottfredson et al, 2002)

Appendix D: Seven Recommended Guidelines for Implementing Effective Interventions (con't.)

III. Acknowledge and accommodate professional over-rides with adequate accountability.

No assessment tool, no matter how sophisticated, can (or should) replace a qualified practitioner's professional judgment. In certain instances, only human judgment can integrate and make the necessary subtle distinctions to adequately recognize and reinforce moral or behavioral progress. All professional over-rides need to be adequately documented, defensible, and made explicit.

(Burrell, 2000; Clear, 1981; Andrews, et al, 1990; Kropp, et al, 1995; Gendreau et al, 1999)

IV. Focus on staff development, including awareness of research, skill development, and management of behavioral and organizational change processes, within the context of a complete training or human resource development program.

Staff need to develop reasonable familiarity with relevant research. Beginning in the 1990's there has been tremendous growth in the volume and quality of corrections related research. Much of the more recent research is directly relevant to everyday operational practice, therefore it is incumbent on professionals in the field to keep abreast of this literature. The current research literature includes *in-house* investigations, internet resources, and other public sector articles, as well as professional and academic journal publications. This literature is also evolving and becoming more international and inter-disciplinary in scope.

It is the responsibility of agency leadership to assist in the successful dissemination of recent research findings relevant to respective classes of job performers. Informed administrators, information officers, trainers, and other organizational *ambassadors* are necessary to facilitate this function in larger agencies or systems. Effective fulfillment of this principle is essential to promoting *Learning Organizations*.

(Latessa, et al, 2002; Elliott, 1980; Harland, 1996; Andrews, 1989; Miller & Rollnick, 2002; Taxman & Byrne, 2001; Taxman, 2002; Baer, et al, 1999; Gendreau, et al, 1999; Durlak, 1998)

V. Routinely measure staff practices (attitudes, knowledge, and skills) that are considered related to outcomes.

Critical staff processes and practices should be routinely monitored in an accurate and objective manner to inform managers of the state of the operation. These measures occur at multiple levels (e.g., aggregate, for example: turnover and organizational cultural beliefs; and individual, for example: interviewing skills and ability to identify thinking errors) and should be organized accordingly and maintained in ongoing databases for the purposes of both supporting management and staff development.

(Gendreau, et al, 1999; Henggeler et al, 1997; Miller & Mount, 2001)

Appendix D: Seven Recommended Guidelines for Implementing Effective Interventions (con't.)

VI. Provide staff timely, relevant, and accurate feedback regarding performance related to outcomes.

Programs and agencies that want to produce better outcomes will ultimately learn to pay closer and more attention to what is involved in generating their own outcomes. Initially, agencies have much to learn and incorporate into policy from the generic research literature in corrections. Ultimately however, in order to achieve deeper adaptations and organizational support of effective practices, immediate, objective, and internal measures of the respective agency will be routinely required.

At an organizational level, gaining appreciation for outcome measurement begins with establishing relevant performance measures. Measuring performance implies a relationship between a given activity and a given output or outcome. These types of measures can be established at either the agency (aggregate) or individual job performer levels and there are several important issues related to establishing effective performance measures:

1) If a certain kind of performance is worth measuring, it's worth measuring right (with reliability and validity);
2) Any kind of staff or offender activity is worth measuring if it is reliably related to desirable outcomes;
3) If performance measures satisfy both the above conditions, these measures should be routinely generated and made available to staff and/or offenders, in the most user-friendly manner possible.

The primary ingredients of any correctional system or treatment program are staff and offenders. Therefore when a commitment emerges to develop greater focus on outcomes, it behooves management to learn how to better measure staff, offenders, and their related interactions. The latter is an evolutionary and ongoing process rather than change of operational components. Some examples of promising performance measures at the organizational level are: proportion of resource gaps at various treatment levels; degree of implementation and program fidelity; staff turnover; and organizational cultural norms. Examples of promising job performer level measures are: adequacy of communication (motivational interviewing) skills; consistency in certain functions (e.g., assessment, case planning, treatment referrals); and caseload average *gain* scores for offender dynamic risk indicators.

(Burrell, 1998; Lipton, et al, 2000; Carey, 2002; O'Leary & Clear, 1997; Bogue, 2002; Maple, 2000; Henggeler, 1997; Miller & Mount, 2001)

VII. Utilize high levels of data-driven advocacy and brokerage to enable appropriate community services.

In terms of producing sustained reductions in recidivism, the research indicates that the treatment service network and infrastructure is the most valuable resource that criminal justice agencies can access. Collaborating and providing research and quality assurance support to local service providers enhances interagency understanding, service credibility, and longer-term planning efforts. It also contributes to the stability and expansion of treatment services.

(Corbette, et al, 1999; Gendreau & Goggin, 1995; Gendreau, et al, 1993; Meyers & Smith, 1995; Bogue, 2002; Maple, 1999)

Appendix E: Levels of Research Evidence

This paper identifies eight principles from the research literature that are related to reduced recidivism outcomes. Research does not support each of these principles with equal volume and quality, and even if it did, each principle would not necessarily have similar effects on outcomes. Too often programs or practices are promoted as having research support without any regard for either the quality or the research methods that were employed. Consequently, we have established a research support gradient (*below*) indicating current research support for each principle. All of the eight principles for effective intervention fall between *EBP (Gold)* and *Promising EBP (Bronze)* in research support.

RESEARCH SUPPORT GRADIENT

GOLD
•Experimental/control research design with controls for attrition
•Significant sustained reductions in recidivism obtained
•Multiple site replications
•Preponderance of all evidence supports effectiveness

SILVER
•Quasi-experimental control research with appropriate statistical controls for comparison group
•Significant sustained reductions in recidivism obtained
•Multiple site replications
•Preponderance of all evidence supports effectiveness

BRONZE
•Matched comparison group without complete statistical controls
•Significant sustained reductions in recidivism obtained
•Multiple site replications
•Preponderance of all evidence supports effectiveness

IRON
•Conflicting findings and/or inadequate research designs

DIRT
•Silver and Gold research showing negative outcomes

The five criteria listed above are similar to what has already been employed in a number of nationally recognized projects such as the Blueprints for Violence Prevention (Mihalic et al, 2001) and the National Institute of Justice's independent review of crime prevention programs (Sherman et al, 1998).

The highest quality research support depicted in this schema (gold level) reflects interventions and practices that have been evaluated with experimental/control design and with multiple site replications that concluded significant sustained reductions in recidivism were associated with the intervention. The criteria for the next levels of support progressively decrease in terms of research rigor requirements (silver and bronze) but all the top three levels require that a preponderance of all evidence supports effectiveness. The next rung lower in support (iron) is reserved for programs that have inconclusive support regarding their efficacy. Finally, the lowest level designation (dirt) is reserved for those programs that have research (utilizing methods and criteria associated with gold and silver levels) but the findings were negative and the programs were determined not effective.

References for Effective Interventions

Agostinelli, G., Brown, J.M. and Miller, W.R.. (1995) Effects of normative feedback on Consumption among heavy drinking college students. *Journal of Drug Education* 25: 31-40.

Alvero, A.M., Bucklin, B.R. & Austin, J. (2001) An objective review of the effectiveness and essential characteristics of perform ance feedback in organizational settings. *Journal of Organizational Behavior Management* 21(1): 3-29.

AMA. (1992) Users' Guides to Evidence-based Medicine. Nov 4; 268(17):2420-5. Copyright 1992, American Medical As sociation. Or http://www.cche.net/usersguides/ebm.asp

Andrews, D.A, J. Bonta, and R. Hoge. (1990). Classification for effective rehabilitation: Rediscovering psychology. *Criminal Justice and Behavior* 17:19-52.

Andrews, D.A. (1989). "Personality and Crime: Knowledge Destruction and Construction in Criminology." *Justice Quarterly* 6:291-309.

Andrews, D.A. & Bonta, J. (1998). *The psychology of criminal conduct*. Cincinnati: Anderson Publishing Co.

Aos, S. (1998) Watching the bottom line: Cost-effective interventions for reducing crime in Washington. Washington State Institute for Public Policy. Olympia, WA.

Azrin, N. H. and V. A. Besalel (1980). *Job club counselor's manual*. Austin, TX, Pro-Ed.

Azrin, N. H., Sisson, R. W., Meyers, R. & Godley, M. (1982). Alcoholism treatment by disulfiram and community reinforcement therapy. *Journal of Behavioral Therapy and Psychiatry* **13**(2): 105-112.

Baer, J.S., Marlatt, A.G., Kivlanhan, D.R., Fromme, K., Larimer, M.E. & Williams, E. (1992) An experimental test of three methods of alcohol risk reduction with young adults. *Journal of Consulting and Clinical Psychology* 60(6): 974-979.

Baer, J.S., D.R. Kivlahan, and D.M. Donovan. (1999). Integrating Skills Training and Motivational Therapies: Implications for the Treatment of Substance Dependence. *Journal of Substance Abuse Treatment* 17:15-23.

Bandura, A. (1996). Mechanisms of Moral Disengagement in the Exercise of Moral Agency. *Journal of Personality and Social Psychology* 71:364-374.

Bandura, A., D. Ross, et al. (1963). Vicarious Reinforcement and Imitative Learning. *Journal of Abnormal and Social Psychology* 67(6): 601-607.

Bigelow, G., E. & Silverman, K. (1999). "Theoretical and empirical foundations of contingency management treatments for drug abuse." Pp. 15-31 in *Motivating Behavior Change Among Illicit-Drug Abusers,* edited by Stephen T. Higgins & Kenneth Silverman. Washington, DC: American Psychological Association.

Bonta, J., S. Wallace-Capretta, J. Rooney and K. McAnoy. (2002) An outcome evaluation of a restorative justice alternative to incarceration. Justice Review, 5(4): 319-338.

Bogue, B. (2002). An evolutionary model for examining community corrections. Report to CT Judicial Branch Court Support Services Division, November, 2002.

Burrell, W. (1998). Probation and Public Safety: Using Performance Measures to Demonstrate Public Value. *Corrections Management Quarterly* 2:61-69.

Burrell, W.D. (2000). Reinventing probation: Organizational culture and change. *Community Corrections Report* 7:49-64.

Carey, M. (2002). Social learning, social capital and correctional theories: Seeking an integrated model. Paper presented at International Community Corrections Association conference, November, 2002.

Clear, T.R. (1981). Objectives-Based Case Planning. *NIC, Monograph 1981*.

Clear, T.R. (2002). Prisoners, prisoners, and religion: Religion and adjustment to prison. Religion, the Community, and the Rehabilitation of Criminal Offenders, Vol. 35 (3/4), pp 129-161.

Clements, C.B. (1996). Offender Classification, Two Decades of Progress. *Criminal Justice and Behavior* 23:121-143.

Corbett, R.P., D.R. Beto, B. Coen, J.J. DiIulio, B.L. Fitzgerald, I. Gregg, N. Helber, G.R. Hinzman, R. Malvestuto, M. Paparozzi, J. Perry, R. Pozzi, and E.E. Rhine. (1999). "Broken Windows" Probation: The next step in fighting crime. Center for Civic Innovation at the Manhattan Institute, New York.

Currie, E. (1998). *Crime and punishment in America.* New York, NY: Metropolitan Books.

Decker, P.J. (1983) The effects of rehearsal group size and video feedback in behavior modeling training. *Personnel Training* 36: 763-773.

References for Effective Interventions (con't.)

Dilulio, J.J. (1993). Performance Measures for the Criminal Justice System. U.S. Bureau of Justice Statistics, Washington, DC.

Durlak, J. A. (1998). Why program implementation is important. *Journal of Prevention & Intervention in the community* 17: 5-18.

Ellickson, P., Petersilia, J., Caggiano, M. & Polin, S. (1983). Implementing new ideas in criminal justice. Santa Monica, CA, The Rand Corporation.

Elliott, D., N. J. Hatot, et al. (2001). Youth violence: A report of the Surgeon General.

Elliott, D. (1980). A Repertoire of Impact Measures. *Handbook of Criminal Justice Evaluation*: 507-515.

Emrick, C.D., J.S. Tonigang, H. Montgomery, and L. Little. 1993. Alcoholics Anonymous: Opportunities and Alternatives., edited by B.S. McCrady and W.R. Miller. New Brunswick, NJ: Alcohol Research Documentation, Inc., Rutgers Center of Alcohol Studies.

Gendreau, P. and C. Goggin (1997). Correctional Treatment: Accomplishments and Realities. Correctional Counseling and Rehabilitation. P. V. Voorhis, M. Braswell and D. Lester. Cincinnati, Anderson.

Gendreau, P. and C. Goggin. (1995). Principles of effective correctional programming with offenders. Center for Criminal Justice Studies and Department of Psychology, University of New Brunswick, New Brunswick.

Gendreau, P., M. Paparozzi, et al. (1993). Does "Punishing Smarter" Work? An Assessment of the New Generation of Alternative Sanctions in Probation. Forum On Corrections Research 5: 31-34.

Gendreau, P., T. Little, et al. (1996). A meta-analysis of the predictors of adult offender

Gendreau, P., Goggin, C. & Smith, P. (1999). The forgotten issue in effective correctional treatment: Program implementation. *International Journal of Offender Therapy and Comparative Criminology* 43(2): 180-187.

Gordon, T. (1970). *Parent Effectiveness Training.* NY:NY, Wyden.

Gottredson, D. C. & Gottfredson, G.D. (2002) Quality of school-based prevention programs: Results from a national survey. *Journal of Research in Crime and Delinquency* 39: 3-35.

Hanson, R. K. & Harris, A. (1998). Triggers of sexual offense recidivism. *Research Summary: Corrections Research and Development* 3(4): 1-2.

Harland, A. T. (1996). *Choosing Correctional Options that Work: Defining the Demand and Evaluating the Supply*. Thousand Oaks, CA: Sage.

Harper, R. and S. Hardy. (2000). An evaluation of motivational interviewing as a method of intervention with clients in a probation setting. *British Journal of Social Work* 30:393-400.

Harris, P. M. & Smith, S. (1996). Developing community corrections: An implementation perspective. pp. 183-221, in Choosing correctional options that work: Defining the demand and evaluating the supply. Edited by A. Harland. Thousand Oaks, CA, Sage Publications.

Henggeler, S. W., Melton, G. B., Brondino, M.J., Scherer, D.G. & Hanley, J.H. (1997). Multisystemic therapy with violent and chronic juvenile offenders and their families: The role of treatment fidelity in successful dissemination. *Journal of Consulting and Clinical Psychology* **65**: 000-0013.

Higgins, S. T. and K. Silverman, Eds. (1999*). Motivating behavior change among illicit-drug abusers: Research on contingency management interventions.* Washington, DC, American Psychological Association.

Hogue, A., Liddle, H. A., Rowe, C., Turner, R.M., Dakof, G.A. & Lapann, K. (1998). Treatment adherence and differentiation in individual versus family therapy for dolescent substance abuse. *Journal of Counseling Psychology* 45: 104-114.

Kropp, P., Hart, S., Webster, C., Eaves, D. (1995). Manual for the Spousal Assault Risk Assessment Guide.

Latessa, E., F. Cullen and Gendreau, P. (2002). Beyond correctional quackery: Professionalism and the possibility of professional treatment. *Federal Probation*. September.

Lipsey, M. W. and D. B. Wilson (1993). The Efficacy of Psychological, Educational, and Behavioral Treatment. *American Psychologist* 48(12): 1181-1209.

Lipton, D. S., D. Thornton, et al. (2000). Program accreditation and correctional treatment. *Substance Use & Misuse* 35(12-14): 1705-1734.

Ludeman, K. (1991) Measuring skills and behavior. *Training & Development* Nov.:61-66.

References for Effective Interventions (con't.)

Maple, J. (1999). *Crime Fighter.* NY:NY, Doubleday Publishing.

McDonald, C. (2003) Forward via the Past? Evidence-Based Practice as Strategy in Social Work, The Drawing Board: An Australian Review of Public Affairs. March. Vol. 3(3): 123-142. Or http://www.econ.usyd.edu.au/drawingboard/journal/0303/mcdonald.pdf

McGuire, J. (2001). What works in correctional intervention? Evidence and practical implications. Pp. 25-43 in *Offender rehabilitation in practice: Implementing and evaluating effective programs.*, edited by D. F. Gary Bernfeld, Alan Leschied. New York, NY: John Wiley & Sons, LTD.

McGuire, J. (2002). Evidence-based programming today. Paper presented International Community Corrections Association conference, Boston, MA, November, 2002.

Mee-Lee, D., L. Gartner, et al. (1996). Patient Placement Criteria for the Treatment of Substance-Related Disorders, Second Edition. American Society of Addiction Medicine PPC-2.

Meyers, R.J. and J.E. Smith. (1995). *Clinical Guide to Alcohol Treatment: The Community Reinforcement Approach.* NY:NY, Guilford Press.

Meyers, R.J. and J.E. Smith. (1997). Getting off the fence: Procedures to engage treatment-resistant drinkers. Journal of Substance Abuse Treatment, 14, 467-472.

Meyers, R.J, W.R. Miller, J.E. Smith, and S. Tonnigan. (2002) A randomized trial of two methods for engaging treatment-refusing drug users through concerned significant others. Journal of Consulting and Clinical Psychology, Vol. 70:5, 1182-1185.

Mihalic, S., K. Irwin, D. Elliott, A. Fagan, and D. Hansen. (2001). Blueprints for Violence Prevention. U.S. Department of Justice, Washington, DC.

Mihalic, S. & Irwin, K. (2003). Blueprints for violence prevention: From research to real world settings - factors influencing the successful replication of model programs. Boulder, CO, Center for the Study & Prevention of Violence.

Miller, W.R., Sovereign, G.R. & Krege, B. (1988) Motivational interviewing with problem drinkers: II. The drinker's check up as a preventive intervention. *Behavioral Psychotherapy* 16: 251-268.

Miller, W. and S. Rollnick. (2002). *Motivational interviewing: Preparing people for change.* New York, NY: Guilford Press.

Miller, W. R. and K. A. Mount (2001). A small study of training in Motivational Interviewing: Does one workshop change clinician and client behavior? Albuquerque, NM.

O'Connor, T. & Perryclear, M. (2002) Prison religion in action and its influence on offender rehabilitation.

O'Leary, V. & Clear, T. (1997). Community corrections: Approaching the 21st century. National Institute of Corrections, Washington, DC, 1-60.

Palmer, T. (1995). Programmatic and non-programmatic aspects of successful intervention: New directions for research. *Crime & Delinquency,* 41(1): 100-131.

Petersilia, J. (1997). Probation in the United States: Practices and Challenges. *National Institute of Justice Journal*: 2-8.

Project Match Research Group (1997) Therapist effects in three treatments for alcohol problems. *Psychotherapy Research* 8(4):455-474.

Ratcliffe, M.R., Collins, S., Leach, J., Millar, R.H. and Osborne, J.F. (2000). Towards Evidence- based Practice in Science Education (EPSE) - an ESRC funded Teaching and Learning Research Network. Paper presented to the British Educational Research Association Annual Conference, University of Cardiff, 7-9 September. Or http://www.york.ac.uk/depts/educ/projs/publications.html

Ryan, R.M. and E.L. Deci. (2000). Self-determination theory and the facilitation of intrinsic motivation, social development, and well-being. *American Psychologist* 55:68-78.

Sherman, L.W., D.C. Gottfredson, D.L. Mackenzie, J. Eck, P. Reuter, and S.D. Bushway. (1998). Preventing Crime: What works, what doesn't, what's promising. National Institute of Justice.

Springer, D.W.; McNeece, C.A.; and Arnold, E.M. (2003) Substance Abuse Treatment for Criminal Offenders: An Evidence-Based Guide for Practitioners. Washington, D.C.: American Psychological Association. (RC 564 S585 2003).

Steadman, H., S. Morris, et al. (1995). The Diversion of Mentally Ill Persons from Jails to Community-Based Services: A Profile of Programs. *American Journal of Public Health* 85 (12): 1630-1635.

References for Effective Interventions (con't.)

Taxman, F. (2002). Supervision: Exploring the dimensions of effectiveness. *Federal Probation*, September-Special Issue: 14-27.

Taxman, F. and J. Byrne. (2001). Fixing broken windows probation together. *Perspectives* Spring: 23-29. Boulder, Colorado, Center for the Study and Prevention of Violence: 1-20.

Tilley, N. and G. Laycock (2001) Working Out What To Do: Evidence-based Crime Reduction. Crime Reduction Series Paper 11, London: Home Office ISSN: 1468-5205, ISBN 1-84082-792-0 Or http://www.crimereduction.gov.uk/skills14.htm

Waltz, J., Addis, M. E., Koerner, K. & Jacobson, N.S. (1993). Testing the integrity of a psychotherapy protocol: Adherence and competence ratings. *Journal of Consulting and Clinical Psychology* 61: 620-630.

Wanberg, K. and H. Milkman. (1998). *Criminal conduct and substance abuse treatment: Strategies for self-improvement and change.* Thousand Oaks, CA: Sage Publications. Washington, DC, U.S. Department of Health & Human Service: 1-176.

Williams, K.R., & D. Elliott, N.G. Guerra. (1999) The DART model: Linking development and Risk Together. The Center for the Study and Prevention of Violence, Boulder, CO.

Zemke, R. (2001) Systems Thinking. *Training* February, 39-46

This article was supported under cooperative award #03C05GIW2 from the National Institute of Corrections, Community Corrections Division, U.S. Department of Justice.
Points of view in this document are those of the authors and do not necessarily represent the official position of the U.S. Department of Justice.

Implementing Evidence-based Principles in Community Corrections:

Collaboration for Systemic Change in the Criminal Justice System

Project Vision: To build learning organizations that reduce recidivism through systemic integration of evidence-based principles in collaboration with community and justice partners.

Why Collaborate?

Criminal justice leaders are being challenged to meet the needs of increasing offender populations with decreasing budgets. Searching for more effective and efficient means of supervising offenders has led many states to focus on the use of evidence-based practices within community corrections. Evidence-based principles provide community corrections agencies with proven methods of reducing offender recidivism. These approaches, combined with the cost savings achieved by supervising offenders in the community instead of in institutions, provide states with an effective policy choice for offender supervision.

Implementing evidence-based principles requires that community corrections agencies change the way they operate and shifting the way they do business is no easy task. Change requires dynamic leadership with a willingness to place equal focus on evidence-based practices in service delivery, organizational development, and collaboration. These three components form an integrated model for system reform. Each component of this integrated model is essential: evidence-based principles form the basis of effective service provision; organizational development is required to successfully move a criminal justice or correctional system from traditional interventions to evidence-based practices; and collaboration is a critical component to implementing systemic change within the complex web of public safety agencies, service providers, and other stakeholders.

Collaboration can be defined as *coming together to work toward a common vision*. The collaborative process is intended to move participants away from the traditional definition of power as control or domination; towards a definition that allows for shared authority. This results in greater achievements than would be attained by one organization working alone. Since no public safety agency operates in a vacuum, engaging system stakeholders in change efforts helps eliminate barriers, increases opportunities for success, enriches the change process, educates stakeholders about the agency's work, and creates a shared vision that supports the systemic change efforts.

Public safety system stakeholders include a wide range of entities, from prisons and police agencies to victim advocates and faith-based community organizations. Working collaboratively with all stakeholders in the planning and implementation of systemic change in community corrections can result in a more coherent continuum of care; one that uses evidence-based principles to reduce recidivism. By collaborating with each other, governmental agencies and community-based providers can jointly provide a comprehensive and integrated array of services that could not be provided by a single agency. Access to a well-organized network of services and pro-social community connections can greatly enhance an offender's ability to succeed. Collaboration, in this context, is a constructive and useful tool of social action and recidivism reduction.

An Integrated Model

Collaboration is a mutually beneficial and well-defined relationship entered into by two or more organizations to achieve common goals.

The relationship includes a commitment to: a definition of mutual relationships and goals; a jointly developed structure and shared responsibility; mutual authority and accountability for success; and the sharing of resources and rewards.

--The Wilder Foundation (Griffith, 2000)

A group involving all the major actors in the justice system can have tremendous formal and informal authority — and its decisions, not just recommendations, can determine outcomes. Actions can be produced instead of advice.
(Feely, 2000).

Who Should Be Included?

A key concept in organizational development and the collaborative process is to ensure that those individuals and organizations most affected have a voice in the process of change. For collaboration to work, all relevant stakeholders must have a voice at the table. Since the actual number of participants must be somewhat limited to ensure efficiency, formal communication methods must be established to ensure that those unable to be at the table still have their views heard.

Leaders must assist stakeholders in understanding and appreciating the value that participation in the change process has for them. Involving external stakeholders not only increases their understanding of the system, but can also help to identify overlapping client populations and shared goals.

For example, as community corrections agencies implement evidence-based principles, they will shift their resource focus onto higher-risk offenders.

Questions to Ask:

- *What partnerships currently exist in your system?*
- *Where do new partnerships need to be forged?*
- *How does participation in the change process assist partners in accomplishing their mission and vision?*

This shift in focus often results in decreased access to treatment resources for low-risk / high-need offenders. Involving human services agencies in the change planning process can help identify other treatment resources for these offenders.

The development of a policy-level committee that includes leaders from key stakeholder organizations and community groups and helps to guide change, is an essential component of implementing change in the public safety system.

Members of the policy committee should include policy makers from key stakeholder organizations and community groups, including those supportive of the change and those who may pose potential barriers to implementation. Involving those who may not be entirely supportive of all planned changes ensures a richer policy development, educates those policy makers more fully about the system, and may potentially alleviate future barriers.

This policy committee should be charged with guiding relative system-wide policy, implementing corresponding changes in their own organizations that support the system changes, and communicating with their own organizations about the impact of system changes.

A common vision is an essential element of a successful collaboration.
(See Appendix A.)

The Need for Structure

Every collaboration needs some structure, but the degree of structure varies for each collaboration. Collaboration participants should choose a structure that supports their endeavors and fits their desired level of joint activity and risk.

Methods of developing structure, such as charters, memorandums of understanding, and partnering agreements fulfill multiple purposes. For example, they can help clarify the authority and expectations of the group, roles/functions of all participants, focus parties on their responsibilities, and eliminate miscommunication and backtracking when staff changes occur. These tools should clarify decision-making responsibility and emphasize the concept that no single agency or individual is *in charge* in the familiar sense. Instead, professionals from each *center of expertise* are empowered to do what they do best to the enhancement of the collective goal.

A charter clarifies the authority and expectations of a work group.
(See Appendix B.)

Questions to Ask:

- *What are we doing? Why are we doing it?*
- *How are we going to get it done? Who is going to do what?*
- *What are the communication pathways within our collaboration?*
- *Who has authority to make specific decisions?*
- *How do we consciously develop mutual respect within our collaboration?*

Sustaining Collaboration

Collaboration and system change are very time consuming and resource intensive processes. They require constant attention and nurturing to maintain momentum. *Acknowledging the inevitability of obstacles, admitting them when they reappear, developing collective strategies to overcome them, and having a sense of humor are all important in surviving the process* (Feely, 2000).

Working collaboratively with system partners provides a greater opportunity for successful implementation of true organizational change. With a united and common vision, the combined efforts of stakeholders can achieve more than any one organization could alone. No organization exists in a vacuum; therefore, recognizing the inherent interdependence, and including it in the development of change implementation strategies, greatly enhances the chance of success.

A Collaborative Model for Implementing Change

Collaborative endeavors must develop a balance between broad participation and the need to make decisions and take action. *The collaborative process has to be perceived as fair, not dominated by one interest group, and accessible to all stakeholders* (Carter, Ley, Steketee, Gavin, Stroker, Woodward, 2002).

It should ensure that the number of participants is small enough to allow for productivity, but broad enough to get widespread support. The collaboration model illustrated in Figure 1 can be used to implement systemic change in criminal justice systems. It identifies multiple levels of systemic involvement, both internal and external to the targeted organization. The collaborative work takes place at all levels, including policy teams, work teams, and implementation teams. Although each of these teams may share an overriding vision of system change as reduced recidivism, each team has different work to do. A collaborative policy team focuses on policy changes at a systemic level, site work teams direct the internal change work of the organization, and implementation teams are responsible for the practicalities of making change happen.

Mutual respect and understanding is key to sustaining shared authority in collaborative relationships. Borrowing from a concept developed by Michael Hammer in *Beyond Reengineering*, all partners are seen as *Centers of Excellence*, defined as *a collective of professionals, led by a coach, who join together to learn and enhance their skills and abilities to contribute best to whatever processes are being developed. Each agency is an expert at performing its piece of the work of public safety* (Carter, Ley, Steketee, et al, 2002).

In the model below, teams include representation from these *Centers of Expertise*, such as the court, prosecution, defense, corrections, law enforcement, probation, and parole. Each center may be a self-contained organization, but all are linked with the other centers through the public safety system. The collaboration participants work together towards the shared vision of enhanced service provision and reduced recidivism.

Questions to Ask:

- *Are key stakeholders / centers of expertise involved within each locus of collaborative work?*
- *Do participants at all levels understand and buy in to the vision?*
- *Do participants understand how collaboration works?*

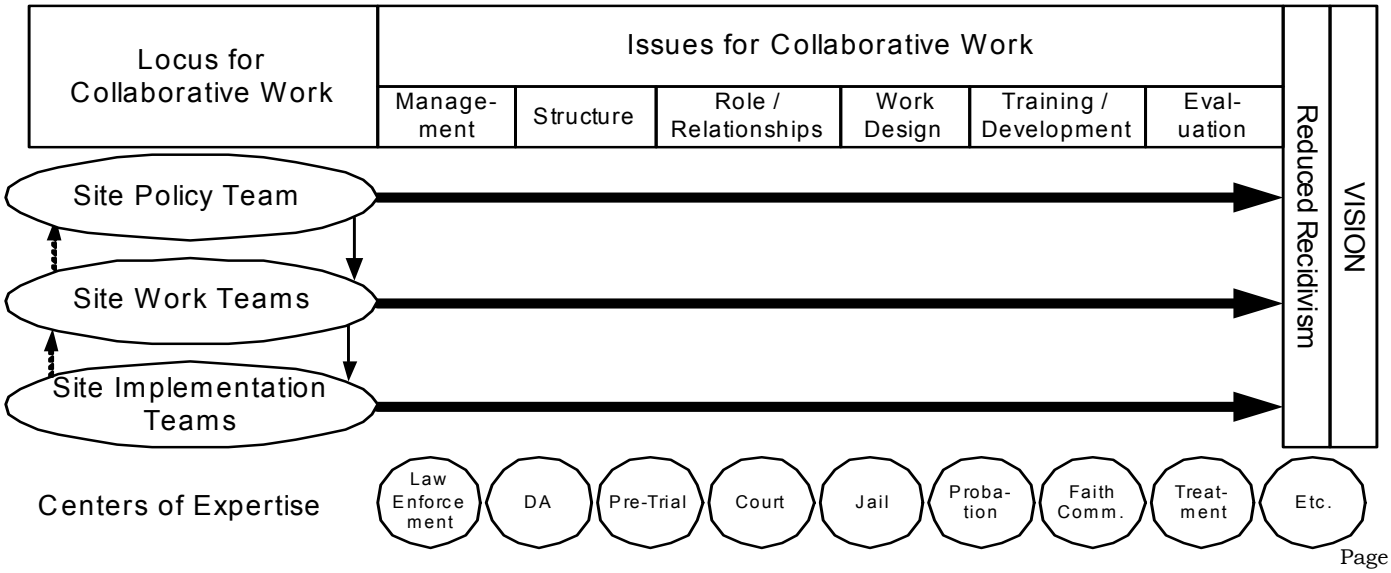
Collaborations must determine how they will make decisions.

(See Appendix C.)

Build upon *small wins*. Celebrate and institutionalize changes quickly.

(See Appendix A.)

Figure 1: Collaboration Model



Supporting the effective management and operation of the nation's community corrections agencies

Project Contact Information:

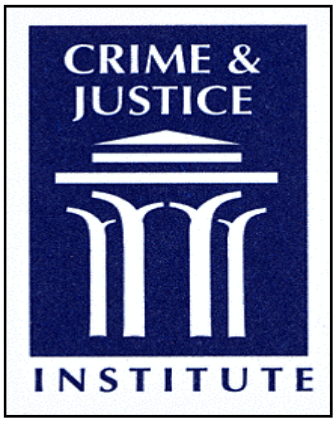
National Institute of Corrections (NIC), Community Corrections Division
WWW.NICIC.ORG

Dot Faust,
Correctional Program Specialist
dfaust@bop.gov
(202) 514-3001

Crime and Justice Institute (CJI)
WWW.CJINSTITUTE.ORG

Elyse Clawson, Project Director
eclawson@crjustice.org
(617) 482-2520, ext. 120

Lore Joplin, Project Manager
ljoplin@crjustice.org
(617) 482-2520, ext. 124



Creative, collaborative approaches to complex social issues

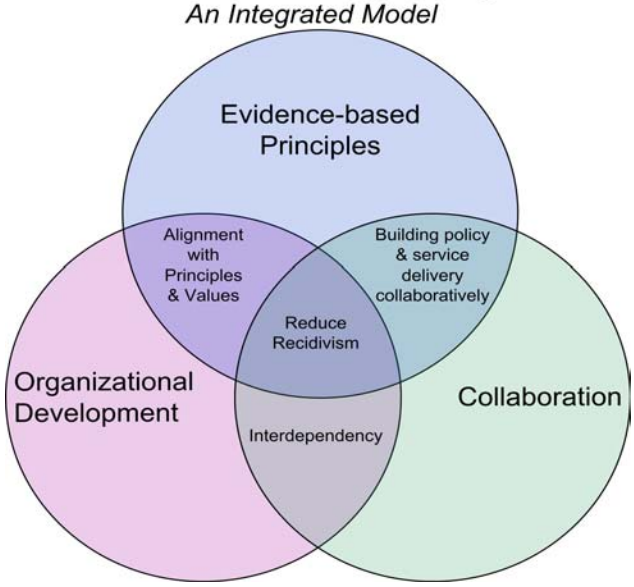
Special recognition and deepest thanks go to the following project team members who contributed to these documents:
Brad Bogue, Nancy Campbell, Mark Carey, Elyse Clawson, Dot Faust, Kate Florio, Lore Joplin, George Keiser, Billy Wasson, and William Woodward

The project team is committed to enhancing community corrections systems to better reduce recidivism using research-supported principles.

List of Appendices:

- ***Appendix A*** *(pages 5-6)*: Essential Elements of Collaboration
- ***Appendix B*** *(page 7)*: Chartering
- ***Appendix C*** *(page 8)*: Consensus Decision-Making
- ***References*** *(page 9)*

Implementing Effective Correctional Management of Offenders in the Community:
An Integrated Model



Appendix A: Essential Elements of Collaboration

The following is a compilation of elements essential to creating and maintaining a successful collaboration. The list is adapted from The Wilder Foundation and incorporates views from Kathleen Feely's *Pathways to Juvenile Detention Reform: Collaboration and Leadership, 2000* as well as Madeline Carter, Ann Ley, Martha Wade Steketee, et al's 2002 *Collaboration: A Training Curriculum to Enhance the Effectiveness of Criminal Justice Teams* and Gwendolyn Griffith's *Report to Planning Committee on the Study of Three Collaborations*, 2000.

1. Common Vision

- Define a problem to be solved or task to be accomplished that will result in a mutually beneficial outcome.
- Seek agreement regarding a shared vision to develop system-wide commitment.
- Develop strategies for achieving the vision.
- Ensure a safe environment for vocalizing differences.
- Find a common ground and keep everyone engaged and at the table.

2. Purpose

- Develop a unique purpose and clarify the need for change.
- Build concrete, attainable goals and objectives.
- Seek agreement between partners regarding strategies.
- Create incentives for collaboration and change.

3. Clarity of Roles and Responsibilities

- Value the unique strengths that each partner brings to the collaboration.
- Clarify *who does what*, and create a sense of accountability.
- Take time to develop principles defining how participants will work together and revisit them often.
- Focus on strengths.
- Listen to, acknowledge, and validate all ideas. Be inclusive.

4. Healthy Communication Pathways

- Ensure open and frequent communication.
- Establish formal and informal communication links to strengthen team bonds and direct the process.

5. Membership

- Develop an atmosphere of mutual respect, understanding, and trust that is shared between participants.
- Help participants to see that collaboration is in their self-interest.
- Develop multiple layers of decision-making or consensus-based decision-making to create ownership of the project and maintain communication.
- Ensure that members share a stake in both the process and outcomes, have the ability to make compromises, and the authority to make decisions.

6. Respect and Integrity

- Ensure that respect and integrity are integral to the collaborative relationship. A collaboration will fail without these two elements.
- View all partners as representatives of organizations and as *Centers of Expertise*.
- Ensure that all partners offer each other *procedural respect* and *role respect*.
- Overcome feelings of skepticism and mistrust. If not, they will undermine achievements of the collaboration.

7. Accountability

- In order to clarify mutual expectations, partners must explicitly understand the following: their accountability to each other, to the collaboration as a whole, and to his or her parent organization.
- In order to create mutually agreed-upon expectations of accountability, each collaborative partner must understand the others' *accountability landscape* (i.e.: their organization's history, successes, and challenges).
- Once a common understanding is achieved, the modes of attaining accountability can be developed among the partners.

8. Data-Driven Process

- Focus on data. *The centerpiece of reform implementation is a data-driven, outcome oriented, strategic planning process and a cross-agency coordinated plan* (Feely, 2002).

(Continued on page 6)

Appendix A: Essential Elements of Collaboration (con't.)

(Continued from page 5)

- Maintain a process that is flexible and adaptable to obstacles or barriers.
- Develop clear roles and policy guidelines, and utilize process improvement strategies.
- Identify and collect outcome data. *Identifying clear, measurable outcomes and charting progress toward their attainment is the most concrete and visible basis for accountability in complex change strategies* (Feely, 2002).
- Utilize data to review and refine processes and outcomes.
- Evaluate the process; self-assessment and data are essential tools for effective collaboration. The strength of the collaboration will grow as access and capacity to use data to inform policy and program decisions increases.

9. Effective Problem Solving

- Identify problems in a safe way before they become crises.
- Offer collaboration participants an agreed-upon process to resolve problems effectively and efficiently.
- Continually assess team effectiveness and take steps to strengthen their work together (Carter, Ley, Steketee, et al, 2002).
- Build upon *small wins.* Celebrate and institutionalize changes quickly.

10. Resources

- Provide sufficient funds and staffing necessary to maintain momentum.
- Use skilled convener(s), as they can help to keep leadership and working groups on task and organized.

11. Environment

- Develop a reputation for collaborating with the community.
- Be seen as a leader in collaborative work within the community.
- Develop trust, as it is a critical element in a collaborative climate.
- Develop a favorable political/social climate – a political climate that supports collaboration is one that recognizes what collaboration is, values it as a process for social action, and supports collaborative efforts.

Questions to Ask: *How Do We Know if We're Successful?* (Griffith, 2000)

Once you've begun a collaboration process, ask yourself and your collaboration participants the following questions to determine how well you're doing.

- **Reliability –** Does the collaboration consistently produce the desired substantive outcome (the work it intended to accomplish)?
- **Adaptability –** Is the collaboration adaptive to changes in its environment, in the collaboration itself, and in the problem domain? Change is inevitable, and a successful collaboration will be on the lookout for change and respond to it appropriately.
- **Legitimacy –** Do the collaboration members view each other as legitimate players in the problem domain? Do they view the collaboration as a legitimate player in the larger problem domain? How is the collaboration viewed by those not involved?
- **Efficiency –** Is the work of the collaborative performed in an efficient and cost-effective way? Is there sufficient structure to allow the members to communicate and accomplish necessary joint problem solving?
- **Accountability –** Is the collaboration accountable to the "right" people in the "right" ways?
- **Sustainability –** Is the collaborative work sustainable in the long term? Has the collaboration identified any of its vulnerabilities and/or adapted for them? Is its robustness tied to particular funding streams, people or organizations?

Appendix B: Chartering

Chartering is a technique used to guide the efforts of workgroups, providing structure and specifying outcomes, clarifying decision-making authority, and ensuring organizational and leadership support for the work of the group. The technique should be used for defining the work of all teams, especially those faced with long-term projects. Upon convening a workgroup, a charter document is written and approved by leadership. The charter document provides a *road map* for any work group, clearly identifying goals and guiding efforts to achieve those goals.
Steps to developing a charter are as follows:

Background

- Outline the problems and issues behind the organizational change effort.
- Express the commitment of management to the change effort.
- Clearly outline and communicate the purpose of the group.

Task

- Describe the importance of the group's work in relation to the organizational change effort.
- Describe, in detail, the tasks the work group is directed to complete.

Guidelines

- Describe guidelines for how the group will complete its work; and clearly indicate any internal and/or external boundaries that restrict the group's work.
- Use ground rules to describe how the group will operate in terms of decision-making and group process. The following is a list of ground rule examples:
  - Decisions will be reached by consensus.
  - One person speaks at a time.
  - All group members are equal for the purposes of the chartered work and related group activities.
  - Confidentiality must be respected in the group, i.e., what is stated in the group remains in the group.
  - Share all relevant information.
  - Open disagreement is safe.
- Guidelines should also outline how the group will interact with the rest of the organization:
  - What information should be shared with leadership and who will bring that information to them?
  - To what degree will the group engage stakeholders external to the organization?
  - How will the group celebrate its progress? Celebrate those small steps!

Chartered Work Group Membership

Work group membership, while as inclusive as possible, should be limited to a workable number. For most purposes, groups should not exceed eight to twelve members. A specific listing of the group membership should be included in the chartering document. Group member roles should be clearly identified, including how the roles of facilitator and recorder will be managed. These roles may be assigned to one particular member or rotated among members.

Resources

The charter should identify other individuals or groups that may act as resources to the group, such as an external consultant or clerical support. The group's sponsor (management / leadership) should be clearly identified. This individual will act as a liaison for the group with organizational leadership and should have the authority to allocate organizational resources that may be needed.

Due Dates

The charter should identify a timeline for the group's work and any interim status reports. The reporting format and audience should be clearly identified.

Appendix C: Consensus Decision-Making

(Primary contributor: Bob McCarthy and Co.)

Decision-making by consensus allows all group members a voice and opinion. This discussion allows for compromise to reach consensus. Consensus occurs when all group members can honestly say:

I am willing to support and implement the chosen direction.

Although the ultimate decision may not be what all group members had personally hoped for, given their knowledge on the subject, the range of opinions in the group, and the time available to work the issues and personalities involved, the decision is one that *they can live with.*

Consensus decision-making involves a cooperative effort to find a sound solution acceptable to everyone rather than a competitive struggle in which an unacceptable solution is forced on the losers. With consensus as a pattern of decision-making and interaction, group members should not fear being outsmarted or outmaneuvered. They can be frank, candid, and authentic in their interaction at all steps in the decision-making process.

The process of arriving at consensus is a free and open exchange of ideas which continues until agreement is reached. A sound consensus process ensures that the concerns of all group members are heard; and a sincere attempt has been made to take them into consideration in the search for, and the formulation of, a conclusion. The conclusion may not reflect the exact wishes of each member, but it should not violate the deep concerns of any.

Achieving real consensus requires skill in straight communication and working through differences.

The following communication guidelines assist groups to reach consensus:

- Take responsibility for what you want and do not want. Be specific about who you want it from.
- Make your position known: what do you think, want, or feel.
- Make liberal use of sentence structure: *I want/don't want x from y* and *I think/feel x*.
- Do not hide behind questions. Make proposals instead.
- Avoid *shoulds*.
- No plops! Respond to others. Do not leave them hanging.
- Talk to, not about, a person.
- Listen for feelings and try feeding them back.
- Check out assumptions, do not mind read.
- No *chicken soup:* do not smooth over problems.
- Take responsibility for your own feelings. No one *makes* you angry.

References for Collaboration

References

1. Carter, M., Ley A., Steketee, M., Gavin, F., Stroker, R., & Woodward, W. (2002). *Collaboration: A Training Curriculum to Enhance the Effectiveness of Criminal Justice Teams.* Washing ton, D.C.: State Justice Institute.

2. Clawson, E. (2002). *Collaboration Presentation.* Boston: Community Resources for Justice, Crime and Justice Institute.

3. Feely, K. (2000). *Pathways to Juvenile Detention Reform: Collaboration and Leadership.* Baltimore: Annie E. Casey Foundation.

4. Fuller, J., MSW. (2001). *Organizational Change from a Leadership Perspective.* Oregon: Multnomah County Department of Community Justice.

5. Griffith, G. (2000). *Report to Planning Committee on Study of Three Collaboratives.* Oregon: Department of Corrections.

6. Valentine, K. (2001). *How to Make Partnerships Work: Suggestions from the Field.* National Institute of Corrections: Topics in Community Corrections.

7. Woodward, W. (2001). *Collaboration: What It Takes.* National Institute of Corrections: Topics in Community Corrections.

This article was supported under cooperative award #03C05GIW2 from the National Institute of Corrections, Community Corrections Division, U.S. Department of Justice.
Points of view in this document are those of the authors and do not necessarily represent the official position of the U.S. Department of Justice.