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PERSPECTIVES

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EBP

THE IMPLICATIONS OF SUPERVISION


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PRESIDENT'S MESSAGE

SCOTT TAYLOR
President
American Probation and Parole Association

YESTERDAY, TODAY, TOMORROW

This is our summer issue and I want to acknowledge our annual celebration of Probation, Parole & Community Supervision Week (July 15th – July 21st). This is our time to recognize the contributions of community corrections to our nation's safety through the efforts of an estimated 80,000-100,000 pretrial, probation and parole professionals (staff, supervisors, and administrators), along with educators, residential and non-residential intervention staff, volunteers, and private citizens with an interest in criminal and juvenile justice.

For more than 100 years we have been steadily evolving as a profession. This year's theme of *"Yesterday, Today, Tomorrow"* is a fitting occasion to reflect on where we have been and where we are headed.

When I first began working in community corrections, the now ubiquitous term "evidence-based practice" had yet to be coined and our practices were mostly guided by the philosophy of "trail 'em, nail 'em and jail 'em." Our efforts were primarily driven by our gut instincts, the availability of resources and just general happenstance. Today, our profession is guided by a growing body of knowledge about "what works" in community corrections. Thanks to this evidence base, we now know more than we ever have before about how to be effective. Perhaps just as important, we can now more clearly identify what we still do not know but need to understand.

However, evidence-based practices are not the only driver of change. Like so many other facets of our society, community corrections has been permanently shaped by the emergence of new technologies. It's easy to forget that desktop computers were once considered revolutionary and even controversial to officers reliant on a paper-based system. I can still recall a meeting over 20 years ago in which I was trying to convince resistant officers to receive training on basic computer skills only to be told by an officer, "If you think I am going to start using a computer – well, that ain't ever going to happen!"

Of course, it did happen and we now not only embrace computers, but a vast array of tools for enhanced supervision and surveillance. The industry of electronic supervision has expanded widely in the past fifteen years. A number of new applications have surfaced: global positioning satellites (GPS), electronic monitoring (EM), ignition interlock, field alcohol and drug testing, facial recognition, phone reporting, report kiosks, automated case management systems and others. Determining how to make the most effective use of emerging technology is today's challenge and will continue to be tomorrow's challenge as well.

Another trend that is changing our profession is specialization. As society has become more complex and challenging, so have the responsibilities of a community corrections professional. We now ask much more from our officers today than we did yesterday. The required skills sets have expanded and become much more sophisticated. Our mission now extends beyond accountability to encompass the complicated goal of behavior change.

PRESIDENT'S MESSAGE

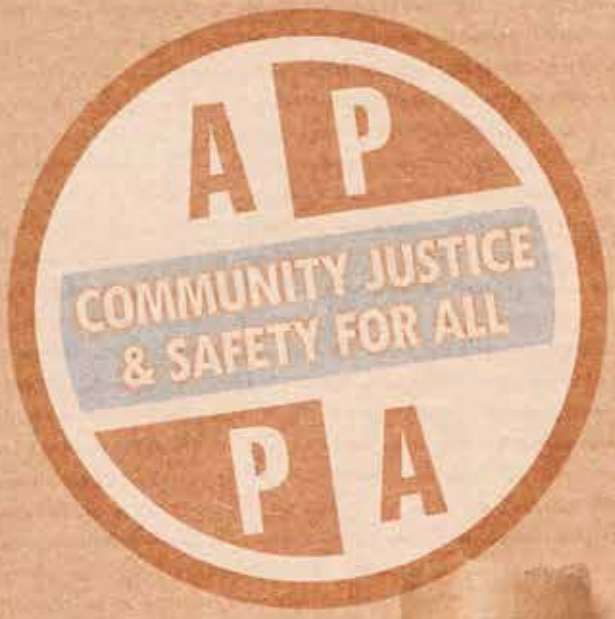
Pretrial, probation and parole officers must possess the surveillance skills of yesterday but also meet today's expectations by brokering treatment services, motivating individuals being supervised, challenging criminal thinking and promoting pro-social living. Having accomplished all of this, we will challenge them even further and ask them to modify their approach as needed to be responsive to age, gender, sexual orientation, race, ethnicity and culture. This evolution of our profession has made us more demanding of ourselves and on our outcomes.

We are also a less innocent profession. We are more aware than ever of the need to take safety precautions when supervising high-risk individuals. Today, more parole and probation officers are armed than ever before. Safety courses and training is almost universally offered and mandated. Despite the inherent dangers, we are still advocating for stronger data collection and reporting of those in our field who have been killed or assaulted (APPA 2005 resolution).

We have also developed a more sophisticated understanding of both the physical demands of the job and the inherent emotional toll on our officers. In the last decade, we have begun to see more studies demonstrating the effects of chronic and critical incident related stress on our officers. The availability of stress management and employee assistance programs is becoming more widely available.

There is no doubt that the role of probation, parole and community supervision is more complicated and demanding than ever before in our history. Yet, those in our profession continue to rise to the challenge and in doing so are making us leaders in our nation's public safety system. Our evolution has brought us to a critical crossroads in our criminal and juvenile justice systems. Today, a large number of adults jailed under the "get tough" sentencing laws are approaching release dates and will soon fall under community corrections supervision. With all that we have learned and the track record we have developed for ourselves, I am confident that we will once again rise to meet the challenges of this new era in supervision and will continue to be *a force for positive change* into tomorrow. ▹▹▵

Click here to enjoy a special video message from Scott Taylor!



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EDITOR'S NOTES

BILL BURRELL
Management Consultant

As I think about the variety of topics that we were heard and discussed at the APPA 37th Annual Institute in Indianapolis, I could not help but feel somewhat daunted. We live in a complex and ever-changing world and work in a field that is challenging and evolving.

In his International Update, Don Evans describes some of the efforts underway around the world to make sense out of our work. He calls for expanding our dialogues, being wary of simplistic solutions and easy answers, and increasing our vigor as we examine and assess new approaches. In that spirit, we have themed this issue *Evidence-based Practices: The Implications for Supervision*. The articles and features explore a number of the major issues and facets of EBP for community corrections.

It has become clear to me that for EBP to be fully successful, the line probation/parole officer's role and work have to be aligned with the principles of EBP. In their article, Guy Bourgon, Leticia Gutierrez and Jennifer Ashton address the evolution of the role of the line officer, showing how the case manager role has to evolve into a change agent. It is interesting that in his President's message in this issue, Scott Taylor identified an even earlier role for PPOs – that of "trail 'em, nail 'em and jail 'em", the surveillance and enforcement role so common in the 1980s. Some agencies may have to evolve farther than others! This new role is highlighted in the three integrated models for offender supervision – Strategic Training in Community Supervision (STICS) from Canada, Effective Practices in Correctional Supervision (EPICS) from the University of Cincinnati, and Staff Training Aimed at Reducing Recidivism (STARR) from the Federal Probation System. In all three of these models, the work of the line officer is retooled and enhanced to be a change agent. The officer becomes the intervention. The article by Bourgon and his colleagues was first published in the Irish Probation Journal and is reprinted here with permission. We appreciate the willingness of our Irish colleagues to share this important article with us.

Retooling and enhancing line officer skills is the focus of Motivational Interviewing (MI). One of the concerns with MI has been whether officers who have been trained can readily and reliably achieve competency with the MI skills. In his article about MI in Colorado, Brad Bogue demonstrates that with the proper support (coaching and feedback), large numbers of correctional staff in differing job titles across a number of agencies can reach competency. This is an excellent example of EBP

implementation. MI skills are complex but learnable, but it takes time and resources to do it well. Agency commitment and resources applied over an extended period of time are essential to success with MI, as with many other aspects of EBP.

We all owe a debt of gratitude the National Institute of Corrections (NIC) for the EBP work that they have funded in community corrections. They took the long view and provided resources to work with a number of agencies on multi-year projects to implement EBP. In her article, "The Road to EBP", Meghan Guevara summarizes much of the NIC experience with implementation. As one of the principal staff with the Crime and Justice Institute (CJI) (NIC's primary partner on the EBP work), Meghan provides sound analysis and sage advice to guide those heading down the road to EBP.

In our Research Update, we introduce our new team. Professor Faye Taxman and her staff at George Mason University have assumed the responsibility for producing the Research Update. This issue's subject is timely, exploring cognitive behavioral therapy with high risk offenders. Cognitive behavioral interventions have been a core element of the EBP/What Works model from the outset and this Update provides a cogent review of the research finding with CBT.

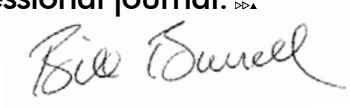
The Technology Update showcases another example of how APPA is working to meet the needs of the community corrections field. Implementing an automated case management system is a daunting task. Basic decisions such as "build or buy" get increasingly more complicated as growing numbers of vendors offer even more options. The APPA Procurement Guide is a valuable tool for agency executives and staff who are struggling with this issue. There is pretty much universal agreement that an automated system is necessary, but after that consensus evaporates and the confusion begins. The Procurement Guide is an example of APPA combining the experience of practitioners, area experts and vendors to create a valuable resource for the practitioner.

As the hard and soft technology of our field advances, we are reminded by Bob Thornton in the Safety Update of some very basic practices that we need to heed whenever and wherever we are in the field. The tragic killing of Oklahoma PPO Jeffery McCoy reminds us that the threats to our safety are not limited to the offenders we supervise.

As Scott Taylor notes in his President's Message, our field has changed a great deal during his career and all signs point to an accelerating pace of change for the foreseeable future. Even those grizzled old veterans who years ago told Scott that their using a computer "ain't never gonna happen", well…they have either retired or are now using many form of computers in all aspects of their lives. As the field of probation and parole evolves, those who can adapt and change will prosper. We hope this issue of *Perspectives* helps you as you work to adapt and change.

We are pleased to welcome Jason Dudish-Poulsen to the *Perspectives* Editorial Committee. Jason works in the Cook County (IL) Adult Probation Department and is a 2008 graduate of APPA's Leadership Institute.

As always, we welcome your feedback on *Perspectives,* your professional journal. ▸▸



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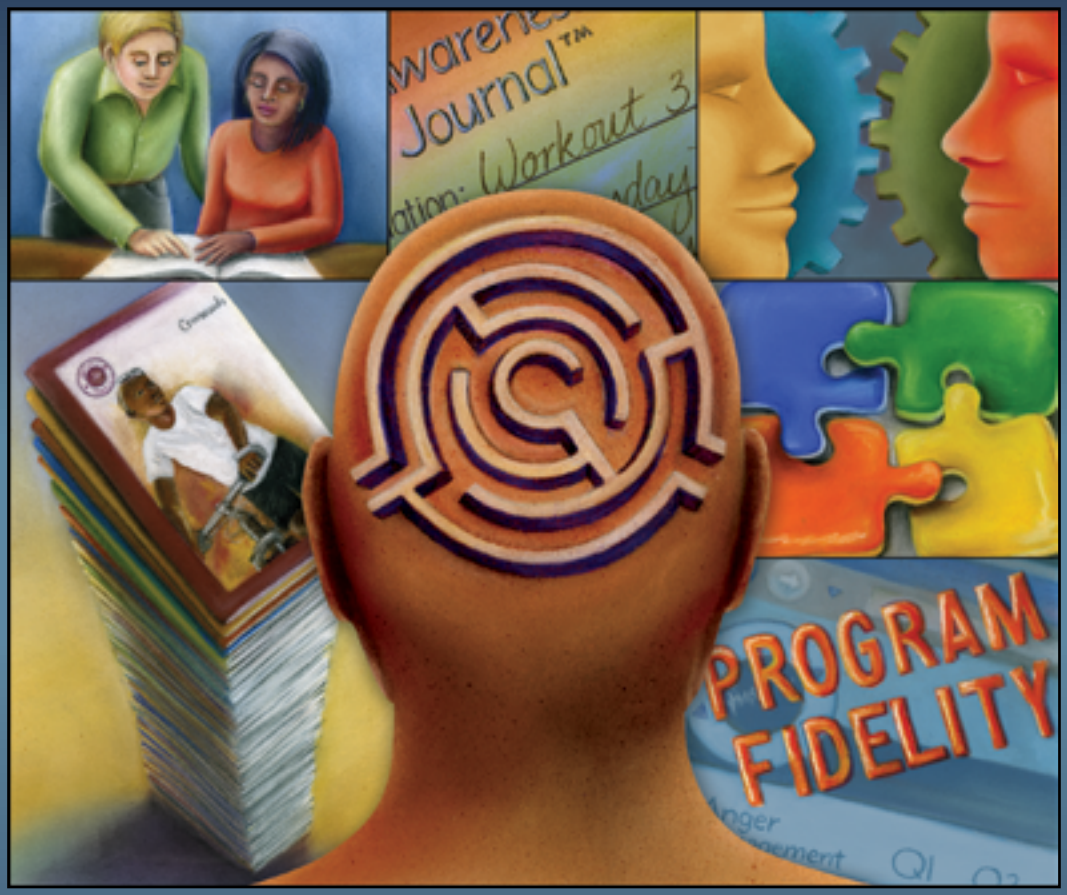

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table of contents

features

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Unless previously discussed with the editors, submissions should not exceed 10 typed pages, numbered consecutively and double-spaced. All charts, graphs, tables and photographs must be of reproduction quality. Optional titles may be submitted and selected after review with the editors.

All submissions must be in English. Authors should provide a one paragraph biography, along with contact information. Notes should be used only for clarification or substantive comments, and should appear at the end of the text. References to source documents should appear in the body of the text with the author's surname and the year of publication in parentheses, e.g., (Jackson, 1985: 162-165). Alphabetize each reference at the end of the text using the following format:

Anderson, Paul J. "Salary Survey of Juvenile Probation Officers." Criminal Justice Center, University of Michigan (1982).

Jackson, D.J. "Electronic Monitoring Devices." *Probation Quarterly* (Spring, 1985): 86-101.

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HOME CONTACTS: DANGER BEGINS AT THE APPROACH

On May 18 2012, Oklahoma Parole and Probation Officer Jeffery McCoy, age 32, was killed as he approached an offender's residence in Midwest City, Oklahoma to make a home contact. But unlike most parole and probation officers killed in the line of duty, he was not killed by his offender—he was allegedly killed by the 21 year old son of the offender's girlfriend.

While many officers and agencies tend to focus on the dangers when inside a residence, this incident highlights the need to focus on safety as we first approach the residence. Some officers interviewed by the writer have stated that they make many of their contacts at the front door of the offender's residence as they perceive it is safer than entering the residence. However, research shows that 55 percent of POs feloniously killed in the line of duty have been killed between their car and the front door of the residence they were approaching.

Our safety during home contacts begins with a "drive-by" of the residence. Appraise the safety of the location—are there people outside, dogs in the yard, or cars that you aren't familiar with or contain occupants? Park in a position, if possible, that gives you the best tactical advantage.

Decide how you will tactically approach; are there objects that can provide cover? Generally approaching at an angle to the residence gives the greatest opportunity to collect information and also provides the opportunity to retreat. Utilize all your senses to collect safety information; sight, smelling and hearing.

Once at the door, stop and listen. What do you hear, see and smell? Determine how the door will open and position yourself to the side of door that gives the greatest opportunity to collect information about what is inside the residence when the door opens. Generally this is best accomplished by standing on the door handle side for doors that open inward. The goal is to avoid being immediately visible as the door opens while having an opportunity to assess the situation and gain valuable safety information.

Whether you make the contact or not, don't forget safety as you leave. Officers tend to be good at safely approaching but get lax as they depart. Again, watch the residence as you leave and consider objects that can provide you cover. Once back in the car, consider leaving the immediate area and stopping in a more public area to make notes about the contact.

Home contacts are a vital part of supervision but statistically are the most dangerous part of parole and probation work. Think tactically as you make these contacts and focus your attention on making a safe approach and contact. You can check your Smartphone later!

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ROBERT THORNTON is the Director of the Community Corrections Institute, Springdale, Washington.

book review

by William D. Burrell

IMPLEMENTING EVIDENCE-BASED PRACTICES

Implementing Evidence-Based Practices in Community Corrections and Addiction Treatment
Faye S. Taxman and Steven Belenko
New York: Springer 2012

In community corrections, we have been into Evidence-Based Practices (EBP) for almost a decade now and a little more than two decades under 'What Works', the prior label for this body of research and practice that has been empirically proven to reduce re-offending.

During the first decade, Don Andrews and colleagues introduced us to Risk/Need/Responsivity principles, the Level of Service Inventory – Revised and cognitive behavioral programming.[1] People in the field generally "got" the risk and need principles, but did not fully understand the dimensions and complexities of the entire model.

In 2004, the National Institute of Corrections (NIC) published three briefs on effective correctional treatment in community corrections, re-branding it EBP.[2] These briefs began to illustrate how complex and interdependent the model is. The topics of those briefs hinted at a larger issue that the field was largely unaware of at the time: effective implementation. One addressed the substance of the EBP model, the other two addressed issues related to implementation.

This focus on putting EBP into operation echoed some of the wisdom of the Canadians who had been studying and championing effective correctional treatment programs. They said success required both well-designed and well-implemented programs. Nowadays, we hear a great deal about fidelity in programming – ensuring that programs are implemented as they were designed. Without attention to implementation and fidelity, it is likely that the results we get will be disappointing and well below what EBP promises.

Many in the field are probably saying: "Learning the EBP model was a challenge, but we did it. How do I figure this implementation stuff out?"

Fortunately, a great deal of work has been done on successful implementation strategies and most of it is readily available. A new resource provides a rich and very helpful guide to understanding and implementing EBPs. That resource is a new book by Faye Taxman of George Mason University and Steven Belenko of Temple University. (Full disclosure: Dr. Taxman is a colleague and a member of the *Perspectives* Editorial Committee, Dr. Belenko is a colleague with whom I worked at Temple University.)

Drs. Taxman and Belenko are highly qualified to write such a book. They are scholars who bridge the gap between the academic and practitioner worlds. They are not afraid to get their hands dirty working with practitioners in agency settings. Their specialties – Taxman in community corrections

and Belenko in substance abuse treatment – are complementary and overlapping.

This dual focus is beneficial particularly to community corrections. The field of substance abuse has about a decade or so of a head start in identifying and implementing EBPs. This is largely the result of the heavy investment of federal agencies such as the Substance Abuse and Mental Health Services Agency (SAMHSA) and the National Institute of Drug Abuse (NIDA) in program evaluation, model development and technology transfer. As a result, there is a great deal we can use and learn from in the addictions treatment field.

One of the strong points of the book is the comprehensive coverage it provides on EBP. It presents the process of determining what is an EBP – how does research become evidence and what qualifies as evidence-based? (Chapter 2) There is a chapter introducing organizational change and technology transfer (3) and a chapter that discusses the evidence around those processes (4). Separate chapters cover EBPs in substance abuse treatment (5) and in community corrections (6). At this point in the book, the reader has developed a thorough understanding of the substance of EBP and implementation issues.

The final three chapters introduce a multistage conceptual model for identifying and selecting EBPs for an agency (8), present an implementation model (9) and finally sets forth an implementation agenda in Chapter 10. The book is full of examples, checklists and practical advice.

This is a timely book, appearing as the field of community corrections is struggling mightily with the challenge of implementing a complex model for supervision of offenders. Staff at all levels will find this a useful guide, but I expect that agency executives, managers and those charged with leading EBP implementation efforts will benefit the most.

I have but one criticism of this volume and that is its price.With a list price of $129.00, it is a substantial investment that might put it out of reach of many who could benefit greatly from it. ▹▹▵

END NOTES

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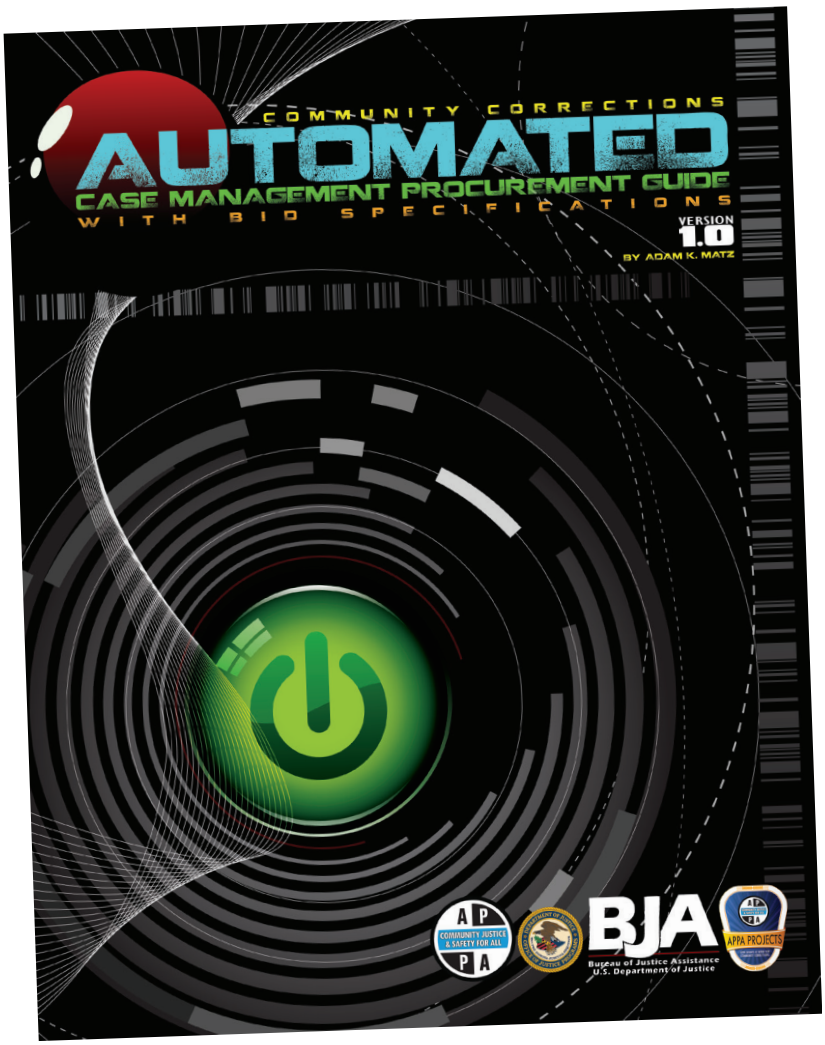
APPA RELEASES PROCUREMENT GUIDE



Recently, the American Probation and Parole Association released a report entitled *Community Corrections Automated Case Management Procurement Guide with Bid Specifications* (ver. 1.0) on the APPA homepage (www.appa-net.org). The report offers guidance to those tasked with the procurement of an automated information solution (e.g., case management system) for a community corrections agency. There has been a lack of concise literature to assist probation and parole agencies looking to procure or build systems that will support both their internal information needs and their external information sharing needs. Too often guidance has been scattered across websites of various quality full of redundancies and contradictions. Within this report the process of planning and procuring a system or solution is streamlined for the probation and/or parole professional or related information technologist. The report's focus is on helping the community corrections agency prepare for technological change by describing the procurement process from beginning to end in an easy-to-understand and straight-forward manner. As the process of developing a system is a highly individualized experience that must be unique to a given agency, it should be noted this guide provides a framework for technological advancement and not a direct solution *per se*. APPA makes no endorsement of a given technological system, understanding such decisions are solely that of the local host agency. APPA does, however, provide guidance and an extensive list of requirements (bid specs) to help agencies in their selection process. The following is an overview of the report's six chapters.

continued on page 24

Call for Papers

Perspectives is currently accepting article submissions.
Your story could be shared among APPA Members and constituents.

Readers of *Perspectives* are some of the most expert practitioners in community corrections today. Let others know about innovative programs in your agency, how you are implementing EBP or what changes you have made to survive budget cuts. Your story is important—share it with fellow readers of your premier community corrections journal, *Perspectives*.

Article Submission Guidelines:

Perspectives disseminates information to the American Probation & Parole Association's members on relevant policy and program issues and provides updates on activities of the Association. Articles submitted for publication are screened by an Editorial Committee comprised of eight members. The committee determines acceptability based on relevance of the field of criminal or juvenile justice, clarity of presentation or research methodology. *Perspectives* does not reflect unsupported personal opinions.

Articles should be written in Microsoft Word™ format and mailed to Karen Mucci, Production Coordinator, *Perspectives* Magazine, P.O. Box 11910, Lexington, KY 40578 or can be emailed to kmucci@csg.org in accordance with the following deadlines:

Spring 2013 Issue: November 12, 2012
Summer 2013 Issue: February 16, 2013
Fall 2013 Issue: May 21, 2013
Winter 2014 Issue: August 24, 2013

For more information, click here to go to page 13 of this publication for submission details and guidelines.

CHAPTER ONE: PREPARING FOR CHANGE

The first chapter starts off with a discussion on preparing an agency for change. What systems are currently in place? Agencies should ask what efficiencies have been realized as a result of the currently installed system and what potential has yet to have been realized. Much of this information can be discovered through what's known as strategic planning. A useful tool known as SWOT (Strengths, Weaknesses, Opportunities, Threats) can assist with identifying what currently works today (and incidentally what doesn't work) and what needs to be incorporated for the future vitality of the agency. That said, many agencies possess a strategic plan that outlines the agency's mission, vision, goals and objectives. This information is useful for planning for case management systems (CMS). How will this technology support your agency's overarching mission and goals? It's useful to create a sub-strategic plan specifically for IT (Information Technology) projects that outline how the technology will be used. This plan should answer basic questions such as what user needs are to be addressed, activities to be automated, standards to implement, system specifications, as well as hardware and software needs. To put this plan together a procurement team should be formulated consisting of individuals knowledgeable of technology, law, organizational politics, agency business processes and the intra-agency working culture. The team should consist of probation/parole officers and assistants (i.e., the end-users) as well as technology and legal experts/staff. In addition to internal stakeholders it is also advisable to solicit the participation of related external stakeholders such as the courts and attorneys' offices, law enforcement, institutional corrections, legislators, local and state government, community organizations, victim advocates and the general public.

CHAPTER TWO: DEVELOPMENT OR PROCUREMENT: PROS AND CONS

Chapter two concerns the decision to buy, build, or buy and customize. Each approach comes with some advantages and disadvantages. Specifically, building a CMS requires a great deal of internal resources. For small agencies building a solution may simply be out of the question. However, larger agencies with a unified state-wide structure utilizing internal technology resources and staff may allow for greater flexibility. An agency that chooses to build a solution must incur all related costs including planning, development, testing, documentation, training, implementation, and maintenance. Software providers, however, are able to offer off-the-shelf systems at lower costs because they can reuse similar case management systems and/or solutions developed for other jurisdictions. None-the-less, agencies differ and the more customization required to fit an agency's business needs the greater the cost; in general the more unique the agency and its processes the more difficult the solution and the greater the costs.

CHAPTER THREE: MAKING THE LEAP: PREPARING FOR AN RFP

Chapter three discusses the steps and tips to take prior to pulling together an RFP (Request for Proposal). Most importantly, a project plan is needed which outlines the technology project's scope and objectives, timeline, budget, potential risk factors, communication strategy and procurement considerations. As Jim McMillan and Curtis DeClue explain in their "ten tips for buying technology," agencies should 1) consider procurement strategies outside of the

NOTE

For advanced information technologist or service providers the preparatory chapters (I-IV) may be of less value as they are aimed specifically at helping community corrections agencies shape the direction of technology in line with the overarching goals and objectives of individual agencies. The agency's business should drive technology; technology should not drive the business. For this reason the focus audience for the majority of the guide is the community corrections agency. As such, the document is presented as an introductory text for officers or executive staff who may have little-to-no technological expertise. Though some may feel the text is somewhat colloquial, we cautiously avoid the technical nature of the topic as much as possible to make the product more comprehensive for agencies of all levels; state, local, or even tribal. However, that is not to say that guidance provided in the report may not be beneficial to service providers or other technologists. The template Request for Proposal (RFP) contained in Chapter V and corresponding example bid specifications and requirements listed in Appendix B may prove quite valuable.

traditional RFP, 2) try to think like a service provider, 3) limit and phase the project scope, 4) understand longer RFP's are not necessarily better, 5) determine what resources can be provided by the agency that will assist (e.g., trainers), 6) use technology to reduce costs during the RFP process (e.g., video conference meetings), 7) provide adequate time for service providers to respond to the RFP, 8) position the project so that it sets the agency up for future success, 9) use current technology standards, and 10) allow for flexibility in the RFP by allowing for "or greater" [in terms of the latest version of software and program applications] in your request(s).

CHAPTER FOUR: AN INTRODUCTION TO INFORMATION SHARING

Chapter four provides a lengthy discussion on information sharing, an important but mistakenly overlooked concept at the procurement stage. Here several tools and initiatives are introduced, inclusive of what's commonly referred to as the Global Information Sharing Toolkit (GIST), including the Global Justice Information Sharing Initiative (Global), Global Reference Architecture (GRA), National Information Exchange Model (NIEM), Information Exchange Package Documentation (IEPD), and the Justice Information Exchange Model (JIEM). In addition, other helpful initiatives and concepts include Integrated Criminal Justice Information Sharing (ICJIS), Law Enforcement National Data Exchange (N-DEx), and the Logical Entity eXchange Specification (LEXS) . Being aware of these initiatives now and taking care to implement universal language when possible will result in fewer headaches later. Further, while information sharing introduces plentiful returns it also comes with its fair share of risk. As such, agencies will also need to consider privacy, security, and quality concerns and take steps to mitigate these issues accordingly.

CHAPTER FIVE: DEVELOPING AN RFP: AN RFP TEMPLATE

Chapter five provides complete guidance on how an RFP should be organized, what it should contain, and notes concerning content. Though each respective agency will want to customize the look of their RFP accordingly, herein rests a basic template which includes a cover page, table of contents, introduction, proposal instructions, proposal response format, and proposal requirements sections. [Brackets] are used to highlight areas where agency specific information is required. Below is an overview of the main sections of the template RFP.

SECTION 1: INTRODUCTION CONCERNS project scope/scope of issue/project goal, requesting entity demographics and description, requesting-entity's computing environment, software and systems functionality, and evaluation process and selection criteria.

SECTION 2: PROPOSAL INSTRUCTIONS AND CONDITIONS concerns contract conditions, notification of intent to bid, service provider meeting(s), proposal preparation and submission, service provider's costs, schedule of events, demonstrations and site visits, contract award, proposal rejection or acceptance, operational date, certifications, warranty, and protests.

SECTION 3: PROPOSAL RESPONSE FORMAT conveys to prospective service providers the desired structure of their proposals; executive summary, background, maintenance, client list and references, cost quotations, contract terms, resumes, attachments checklist and other information, and a project plan.

SECTION 4: PROPOSAL REQUIREMENTS covers specific requirements the requesting agency must have included as part of the agreement. These requirements may concern the application software and computing environment, information quality, database technical requirements, the graphical user interface, system documentation, reporting, security and privacy, implementation and training, and more.

SECTION 5: COMPANY AND FUNCTIONAL REQUIREMENTS include all the specifications and requirements the agencies wish the prospective service provider to include. APPA has provided an extensive list of requirements in APPENDIX B of the report. Agencies should feel free to lift the requirements that fit their needs for use in their own RFPs.

SECTION 6: CONTRACT TERMS AND CONDITIONS concerns contract details specific to a given agency.

SECTION 7: ATTACHMENTS CHECKLIST AND MISCELLANEOUS INFORMATION includes any additional attachments necessary to complete the RFP proposal which may vary based on need and local rules and regulations.

CHAPTER SIX: MAKING A DECISION: EVALUATING PROPOSALS

Finally, chapter six provides general guidance on strategies for evaluating proposals. Local regulations may dictate how an agency evaluates proposals in some cases. In other cases an agency may need to develop a set of criteria and a scoring rubric. The guide provides an example of criteria and respective weights according to necessity. Such criteria range from the applicant's ability to adhere to proposal instructions to economic feasibility and justification of costs. For some agencies it may be desirable to form an evaluation team (smaller agencies may wish to reuse their procurement team for this task). This team will review each proposal, using the agreed upon criteria and scoring rubric, and select two or three of the best proposals for an oral demonstration of their proposal. The demonstrations will help narrow down a selection and improve confidence that the right proposal was selected. Once a decision has been made, a contract can be constructed with the respective service provider. Additional information on developing the contract can be found in the full guide.

It must be stressed, as highlighted in the conclusion of the report, that while the guide will take an agency up to the point of getting the contract signed the work has yet to have begun. It's then time to actually implement the case management solution and there are some tips to improve this process including the development of an implementation plan (collaboratively undertaken by the procurement team and the contracted service provider), similar to the project plan, containing a detailed timeline. Much of the information can be

lifted from the service provider agreement and previous document planning making this a less formidable challenge as what may have been experienced initially. Even if implementation appears to proceed smoothly agencies should conduct quality assurance tests. In some cases, service providers will provide these tests. If the agency possesses a technology department it would be advisable to have them perform tests as well or consider contracting a technology consultant. Finally, there will need to be ongoing long-term plans for testing and evaluating the system. It's no secret that technology has been evolving rapidly and will continue to do so. A top-of-the-line system today may be considered archaic in five years. As such, the procurement team should continue to have meetings, perhaps semiannually or annually, to review the system and survey related technological advancements in the field.

ACKNOWLEDGEMENTS

The *Community Corrections Automated Case Management Procurement Guide with Bid Specifications (ver. 1.0)* was made possible through the efforts of a specially formed APPA workgroup consisting of practitioner and technology experts from the field of community corrections. APPA wants to thank each of the workgroup members for their outstanding contributions to this project. Listed alphabetically by last name, the workgroup included Lisa Burlingame (OK DOC), Kathy Gattin (Tetrus, formerly with IJIS), Harry Hageman (ICAOS), Mark Hendershot (Maricopa County Adult Probation), Frank Lu (CSOSA), Jim McMillan (NCSC), Kelly Odestick (Westchester County DoIT), Andrew Owen (SEARCH), Robert Schwab (Loryx Systems), Peter Stoecklin (Marquis Software Development), Ted Stout (FBI N-DEx), Tom Talbot (BJA) and Ken Tomlinson (Colorado Judicial Department).

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research update

by Charlene Rhyne, Ph.D.

PREFACE

The value of research lies in answering questions. These questions can be about practice, policy or procedures regarding a particular issue or problem that seems beyond our current knowledge. Or, research can be devoted to generating knowledge in new areas. The value of research lies in better informing the field about how to address critical issues. This research column is designed to answer critical questions that pertain to the field of pretrial, probation or parole.

The Center for Advancing Correctional Excellence (ACE! www.gmuace.org; Department of Criminology, Law & Society, George Mason University) volunteered to partner with APPA's Research Committee to assist with translating research to the field. At ACE!, our research covers the following main areas:

- Experimentation which begins the process of building solid science findings using randomized clinical/controlled trials, case studies and solid research. These are generally efficacy ideas that validate a proof of concept such as randomized controlled trials. For example, Dr. Scott Walters (University of North Texas) and Dr. Faye Taxman (GMU) (funded by the National Institute on Drug Abuse) are testing an in-person or computer-based motivational component to standard probation intake in Maryland and Texas.
- Effectiveness expands research to the target or general populations with other studies and survey research. The goal is to examine effectiveness in practice settings. Drs. Rudes and Portillo use qualitative methods to better understand the contextual factors that affect effectiveness of intervention, as they have in studies of administrative processes or probation services.
- Implementation moves into the practice-oriented stage of translational science. The intended community or practitioners address issues related to practice questions, barriers and gaps related to using the science. This is a new and growing area of science.
- Sustainability is the policy research where the goal is to routinize practices and develop supporting policies and practices. The focus is on routinizing the practice into everyday behavior.
- Transportability is the organizational aspect of implementation science as to assess how different approaches are used to embrace the evidence into practices. This approach extends traditional process studies to experiment with organizational processes to improve uptakes of evidence-based practices.

Tools is the creation of various items to assist with translation and implementation. The tools are public domain with a focus on expanding the reach of EBPs by providing technology

tools for the field. Most importantly, we are testing the tools to advance our knowledge about effectiveness, transportability and sustainability. For example, we currently have funding from the Bureau of Justice Assistance to develop a RNR (Risk- Need- Responsivity) Simulation Tool to help correctional staff use key evidence-based practices to assign offenders to appropriate programs and services based on their risk level and associated criminogenic needs. We are also piloting an elearning tool—SOARING2 (another BJA funded initaititve)—designed to develop competency in the key components of evidence-based practices.

Our goal is to conduct, translate and provide research as well as communicating the growing knowledge at practitioners' fingertips. Our research portfolio emphasizes translating research into practice to sustain evidence-based practices within correctional organizations.

At ACE, we believe in and value academic-practitioner partnerships as the best method of helping generate research that is useful to the field and creating opportunities to further research practices that can inform policy and practice. Building off of Dr. Taxman's significant partnerships within correctional settings, Drs. Rudes and Portillo use a variety of qualitative methodologies to explore organizational context and organizational change with regard to EBP implementation. With this in mind, we asked the APPA Research Committee to identify a number of key topic areas over the next year to address in this column. Using this methodology, we are partnering with the APPA Research Committee on key questions that could use some translation.

Faculty at ACE have a commitment to developing the next generation of scholars to advance research and knowledge in the field. Our doctoral students from George Mason University will write the research summaries for Perspectives, and we are happy to entertain topics that are of value to the field. We hope this provides research updates that are useful to the field; this serves to train future researchers to partner with the probation and parole field to conduct meaningful and relevant research. The following research summary is from two of our doctoral students who are building their credentials as future researchers—Stephanie Ainsworth and Jennifer Lerch. Please direct any questions to ace@gmu.edu–we look forward to hearing from you.

Faye S. Taxman, Ph.D.
University Professor, GMU

Danielle Rudes, Ph.D.
Assistant Professor, GMU

Shannon Portillo, Ph.D.
Assistant Professor, GMU

By Stephanie A. Ainsworth & Jennifer Lerch

COGNITIVE-BEHAVIORAL THERAPY (CBT) FOR HIGHER RISK OFFENDERS

Cognitive-behavioral therapy (CBT) programs are considered the gold standard of interventions for criminal justice agencies trying to improve offender outcomes. Many jurisdictions are integrating CBT programs – or the underlying components of CBT programs (e.g., interpersonal problem-solving approaches, social skill development, etc.) – into daily operations. But two frequently asked questions consider whether all CBT programs are the same and what type of offenders are more likely to benefit from CBT programming?

WHAT IS CBT?

CBT programming focuses on redirecting an individual's learned negative thoughts and actions into positive or prosocial thoughts and actions (Lipsey, Landenberger, & Wilson, 2007). When negative thought processes are interrupted, offenders have the opportunity to understand the consequences of their current choices and thoughts in a way that can guide them to make better decisions in the future. CBT programming generally includes two parts: a general presentation of a skill and then process group(s) to assist individuals with learning to use the skill. The redirection of learned behavior (and thoughts and actions) occurs through the process of learning new techniques or strategies to respond to daily events.

Despite a growing understanding and use of CBT programming over the past few decades, it is only recently that this approach has focused on how specific offender populations can benefit most from these programs. There are various forms of CBT, some focus on attitudes while others focus on social, interpersonal and cognitive skills. That is, not all CBT programs are alike. Although there are several different kinds of CBT programs, one meta-analysis by Landenberger and Lipsey (2005) found that higher risk offenders had better outcomes even when controlling for type of CBT program. Rather than type of program, quality of implementation and program characteristics (i.e., interpersonal problem-solving, victim impact, and behavior modification) significantly impacted the outcome. No one CBT program stood out as having a greater impact on outcomes. This supports other reviews which have found the general elements of CBT programs are effective, rather than specifically packaged programs (Lipsey, Chapman, & Landenberger, 2001; Wilson, Bouffard, & MacKenzie, 2005).

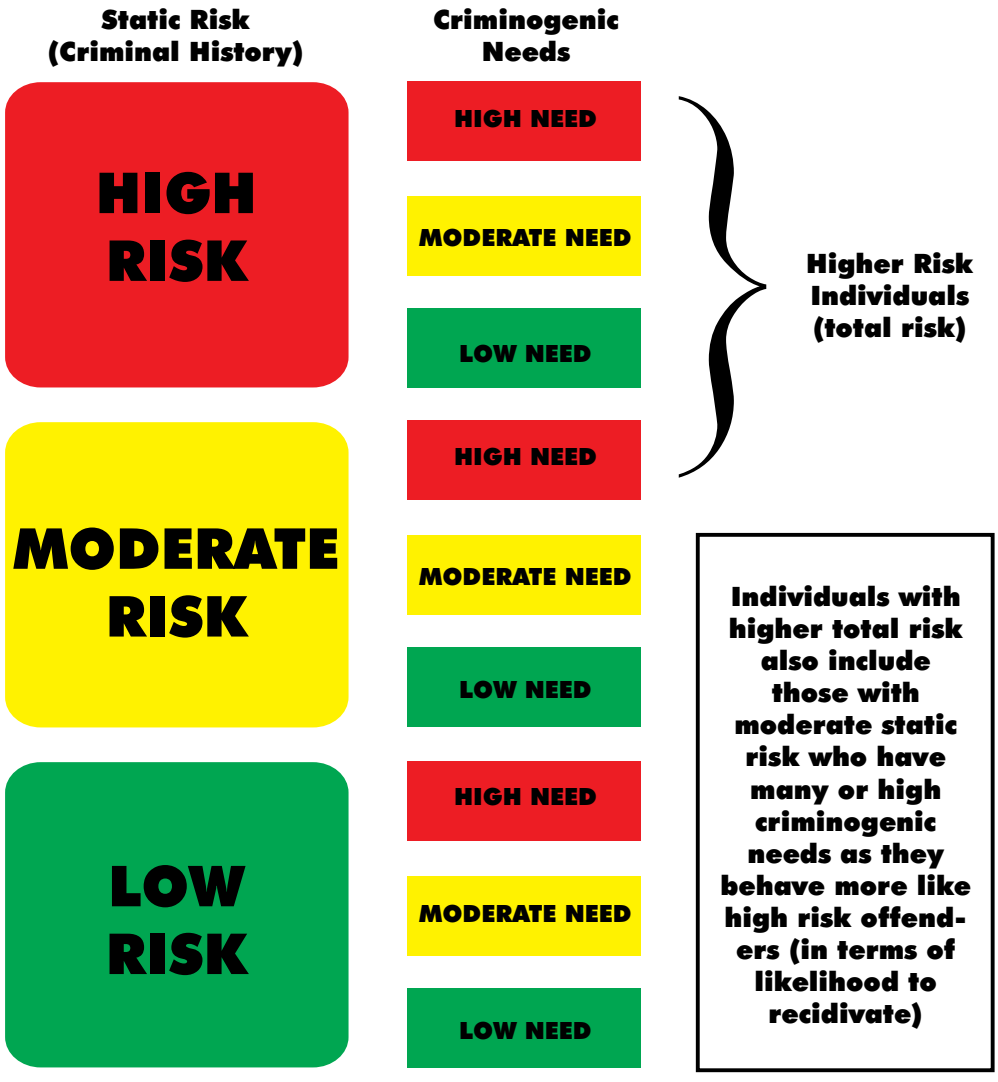
WHO SHOULD CBT FOCUS ON? THE CASE FOR HIGHER RISK OFFENDERS

Higher risk offenders pose the greatest challenge to treatment, correctional and supervision agencies. These offenders are more likely to recidivate and their past involvement in the justice system suggests that they are likely more resistant to change. Their risk level creates social and political pressure for criminal justice organizations to effectively manage them to reduce community risk. Furthermore, with tightening resources, agencies must make decisions

regarding where limited resources are most efficiently directed without compromising public safety.

A growing body of research offers support for the prioritization of higher risk offenders for programming, particularly cognitive-based programming. Such is the crux of the *risk principle,* which states that offenders assessed with a higher probability of re-offending should receive more intensive services (Andrews & Bonta, 2010; Lowenkamp & Latessa, 2004). Furthermore, the results of both meta-analytic and primary research demonstrate that CBT has a greater impact on reducing recidivism of higher risk compared with lower risk offenders (Andrews & Bonta, 2010; Andrews, Zinger, Hoge, et al., 1990; Cullen & Gendreau, 2000; Lowenkamp & Latessa, 2004).

FIGURE 1. HIGHER RISK INDIVIDUALS



In addition to addressing risk, research also indicates the importance of considering offenders' level of criminogenic need when matching to treatment programming. This is reflected in the *need principle*, which states that programming and services are best targeted at criminogenic needs, which are directly related to offending behavior (Andrews & Bonta, 2010). These needs include antisocial attitudes/values, antisocial peer and family networks, substance abuse/dependence, family dysfunction and lack of stable employment.

CBT is specifically designed to effectively target these needs to promote positive change and reduce recidivism (Andrews, Zinger, Hoge, et al., 1990; Lowenkamp, Latessa, & Holsinger, 2006).

WHO IS NOT A GOOD CANDIDATE FOR CBT PROGRAMMING?

The process of cognitive restructuring through CBT programming is not as simple as it sounds. Part of implementing effective CBT programming is the consideration of an offender's cognitive capabilities. For CBT programming to be most effective an individual has to be of a certain literacy and maturity level. Individuals under a literacy level of 5th grade are not good candidates since they do not have the ability to understand words and concepts involved in CBT programming (Kuhajda, Thorn, Gaskins, Day & Cabbil, 2011). The same is true with people with IQ levels under 90 (Taylor, Lindsay & Willner, 2008).

Individuals who have mental health disorders co-occurring with other disorders need special consideration when receiving CBT programming. That is, appropriate agency staff must choose specific CBT programming to achieve desired outcomes. In a systematic review of psychosocial interventions, Drake, O'Neal and Wallach (2008) found that group counseling, contingency management and long term residential treatment appeared promising to positively impact individuals with mental health as a dual diagnosis. This demonstrates the importance of agencies considering the offenders' specific needs characteristics before placing them in particular CBT programming.

WHAT DOES THE EVIDENCE SAY?

The evidence regarding CBTs for higher risk offenders has grown over the last several decades. A bulk of the research examining the risk principle focuses primarily on determining the soundness of the principle rather than the type of treatment provided for high risk offenders (Andrews et. al., 1990). Those studies examining the effectiveness of CBT specifically for high risk offenders demonstrate that when high risk offenders (as assessed by a validated risk/needs instrument) are targeted, recidivism can be significantly reduced (Cullen & Gendreau, 2000; Lowenkamp & Latessa, 2004). It is important to note, however, that while CBT is effective for offenders of all levels of risk (Antonowicz & Ross, 1994; Cullen & Gendreau, 2000), others caution that the intensity of CBT programming must be appropriately matched to individuals' risk levels to garner the strongest impact on recidivism (Byrne, 2009; Lowenkamp, Latessa, & Holsinger, 2006; Smith, Gendreau, & Swartz, 2009).

CONSIDERING DOSAGE AND ORDERING OF CBT PROGRAMS

While current research suggests that CBT is effective for higher risk offenders, little is known about the most effective dosage and duration of CBT to create the largest recidivism reductions. The evidence suggests that programming delivered at least twice per week for a minimum of 16 weeks will result in substantial reductions in offending behavior (Landenberger & Lipsey, 2005). However, more research is required to fully understand optimal combinations of dosage and duration, specifically for high

risk offenders. Current thinking posits that higher risk offenders should receive 300 hours of clinical services, whereas medium risk offenders need only 200 hours of such services. This suggests that treatment dosage should be tailored to the level of total risk (static and dynamic).

Researchers and practitioners also need a better understanding of how CBT is combinable with other services in a seamless system of care across incarceration and community supervision. Landenberger and Lipsey (2005) found mixed evidence of whether CBT is more effective alone or in combination with other services. Beyond looking at its use in combination, it is also important to examine the order of programming and the impact of duplicative services. Often when deciding on which CBT programs to adopt, scant attention is paid to the underlying theory of what change the program should promote and how or why the program should promote that change. The underlying theories of change for some programs may conflict with each other and actually work against one another. Inappropriately paired programming in a treatment sequence may be counterproductive to the goal of improving offender outcomes.

To begin to disentangle these complicated and unknown aspects of CBT programming and other areas of research, the Center for Advancing Correctional Excellence (ACE!) at George Mason University is compiling a knowledge base of effective interventions, issues of access, utilization enhancers and outcomes while providing practitioners, policymakers and researchers with an easily accessible and user-friendly interface through which they can become better informed about evidence-based practices. Through this effort, known as Evidence Mapping to Advance Justice Practice (EMTAP), researchers review existing systematic reviews and meta-analyses to understand the current state of knowledge and identify gaps to drive ongoing and future research. To find out more about EMTAP and how this research translation system can help your agency make better treatment choices and matches visit ACE!'s website at http://gmuace.org or contact an ACE! researcher at ace@gmu.edu.

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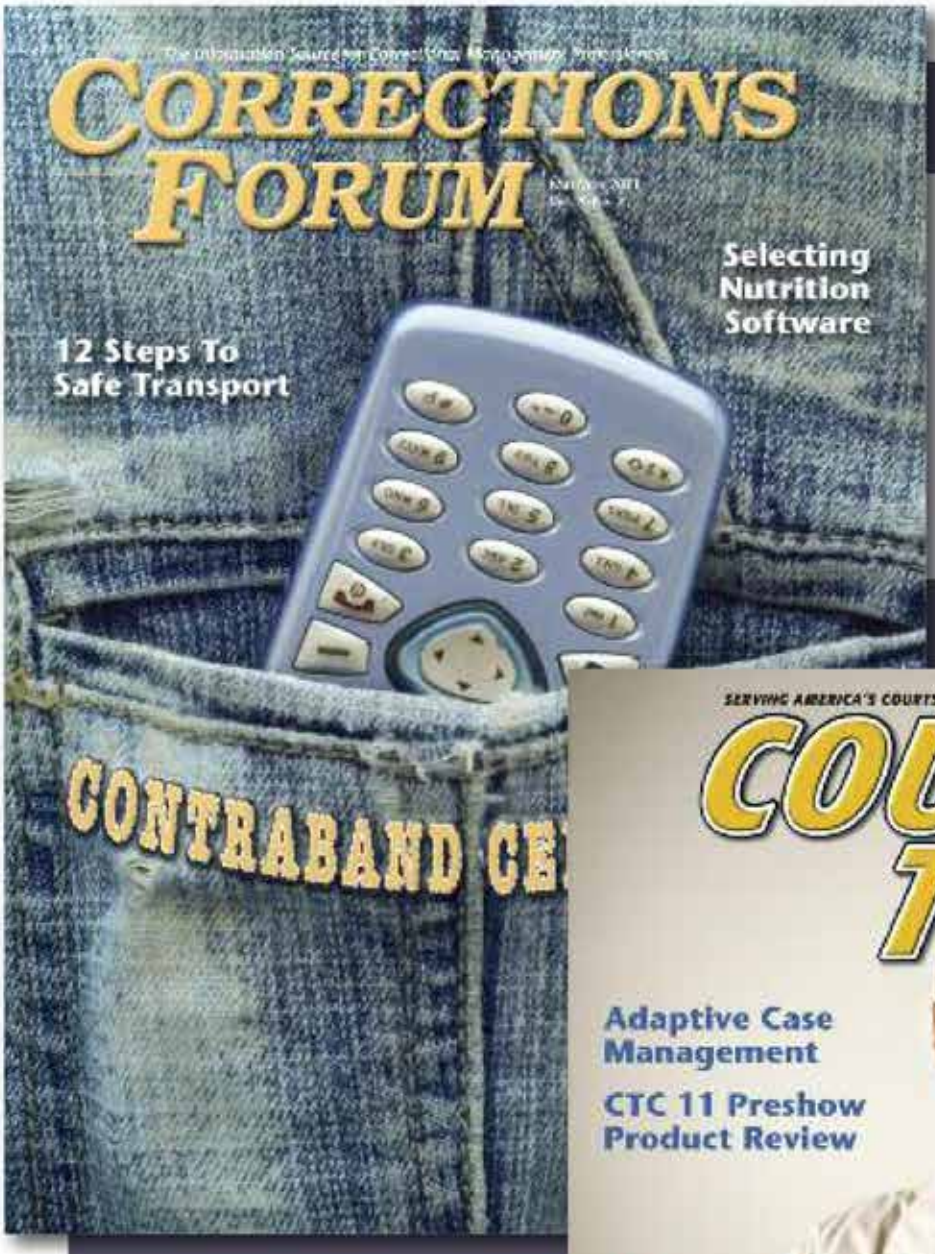

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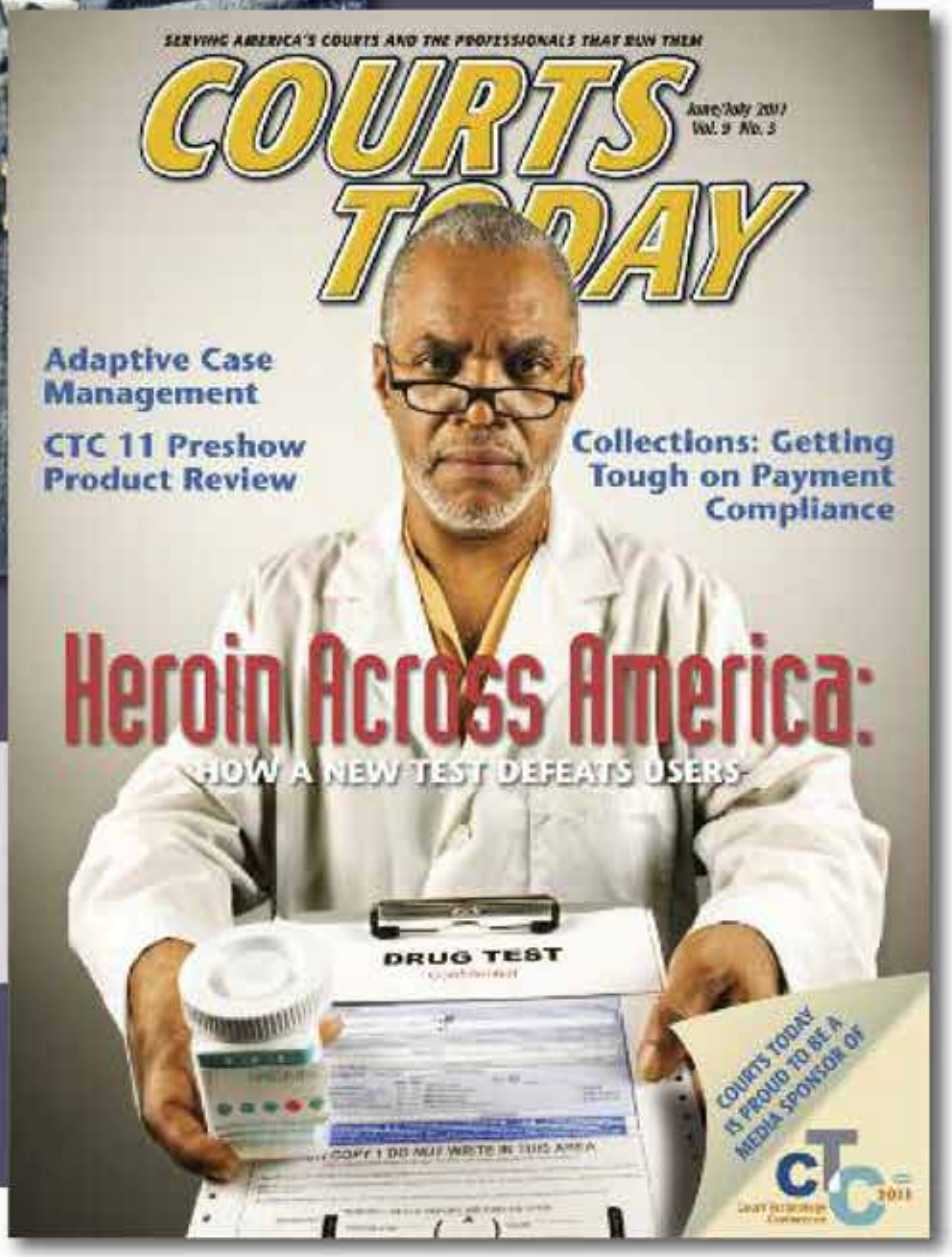

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OFFENDER SUPERVISION: COMPLEXITY, COLLABORATIVE RESEARCH AND COMMUNITIES OF PRACTICE

Over the past decade and a half, I have had the privilege of visiting a number of probation services in various countries in Europe, Asia and Africa as well as attending international corrections conferences in which the quest for best practices and the sharing of the latest research were paramount goals. On reflection of my experience, I am becoming more ambivalent about the value and the success of these information sessions. One reason is the reliance on the lack of a more rigorous theorizing about the issue of offender supervision in the community and the reliance on singular models to explain what I consider to be a much more complex and dynamic situation, namely the varieties of offenders and the types of crimes they commit! By way of example one only needs to scan the current academic journals to see the divergent opinions regarding risk assessment, restorative justice and more recently the exchange between academicians of the "risk-need-responsivity" school and the emerging "good lives" model. Most of the readers of Perspectives will know the R-N-R model has a long and rich research base informing its practices and it is the dominant evidence-based practice model currently being promulgated throughout the correctional world. The haunting question for me is: can this model answer all the issues of offender supervision or are there times when the explanatory efficacy of the theory falls short? Can it really be the answer to all offender supervision strategies worldwide regardless of legal systems and culture not to mention individual situations of the offenders themselves? What about restorative justice models, desistance theories and the technological advances in the supervision mechanisms such as drug testing, electronic monitoring as well as the use of technology to solve past crimes and bring into the system older offenders whose offenses were committed when they were young?

At a recent seminar on probation held in Bytow, Poland I was reminded again of two crucial factors, the complexity of sharing information across language and cultural boundaries and seemingly similarity of solutions being used in offender supervision. The seminar theme, "Probation in Poland and the USA—current status, cooperation, perspectives" covered topics such as: a review of probation in the USA and in Canada, development prospects of probation in Poland, the probation officer as an organizer and coordinator of activities in the local environment, the current status of community service, electronic monitoring and the issue of domestic violence. The format of the seminar (20 participants) made for a healthy exchange of ideas and robust challenges by a very committed and passionate probation officer participant group. It was clear that those working with offenders didn't view their world as black and white or either/or but rather much more gray and more than likely as comprised of "both/and" situations. Clearly simple legislative solutions or one dominant or prevailing view of how to

continued on page 38

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do supervision would appear to be unable to meet the needs or requirements of the offenders they supervised.

Another factor that is causing me to reflect on the current situation is the limitations being placed on correctional research as a result of institutional protectionism. More and more governmental bodies in the criminal justice system appear to be more risk adverse and less likely to take chances or to experiment with alternative models of offender supervision (strategies that would or should be rigorously evaluated) and as a result, prison population counts stay high in spite of declining crime rates. A very thoughtful and provocative piece by Dr. Kelly Hannah-Moffat of the University of Toronto (Hannah-Moffat, 2010:440-455) discussed challenges faced by the discipline of criminology: narrowing dialogues and institutional protectionism. She explored the effects of these challenges on the production of criminological knowledge and argues for a broader dialogue between a wider disciplinary field in order to enrich the knowledge base of criminology and other disciplines. In this article I want to explore some of the issues identified above and look at some possible strategies to assist us in our efforts to improve outcomes in offender supervision. I wish to examine three issues: complexity, collaborative research and communities of practice.

COMPLEXITY

Offender supervision has become a focus of attention in most probation and parole services especially in seeking ways to reduce recidivism. Some systems stress mechanisms of compliance to conditions as the main intervention and rely on technological methods and tools. Other systems look at change mechanisms and seek to find programs that alter an offender's behavior. Here the programs and practices derived from the "what works" literature inform these interventions. Leaving aside a discussion of the compliance or enforcement of conditions for a moment, the theories and paradigms that inform changing behavior approaches cross disciplines and sometimes the array of approaches from these theories lead to the complexity of what an officer should do with a specific offender. Theories such as behaviorism, cognitivism, constructivism and humanism all have practice and programmatic impacts depending on the practice and its application. For example, we are most familiar with one of the behaviorist approaches that is programs based on social learning theory, in terms of cognitivism we use cognition theory as a base in some of our strategies for change. Constructivism is explored in situational learning environments and forms a base for prevention strategies and of course humanistic psychology gets expressed in practices acknowledging Maslow's hierarchy of needs concept and more popular various motivational approaches. Making sense of the various paradigmatic and theoretical approaches is not an easy task and since some of these come from different specializations, disciplines and fields of inquiry, it can be a daunting task. Not to mention that there is a whole other world of sense-making that the officer needs to be aware of such as: legal theories, sociological approaches and impacts of organizational

and occupational knowledge that impact how an officer does his or her work. The knowledge bases of these latter disciplines are needed to make sense of enforcement and compliance efforts. Given the complexity of offender supervision what can be done to ensure better research efforts and improved practices? Two approaches that are being used are: collaborative research networks and the development of communities of practice around specific practice domains. I will explore these developments by looking at efforts to enhance our knowledge base and our practice relating to offender supervision.

COLLABORATIVE RESEARCH NETWORKS

Of interest to readers of Perspectives will be the formation of the Collaboration of Researchers for the Effective Development of Offender Supervision (CREDOS) established following a seminar in Prato, Italy in 2007. (McNeill, Raynor and Trotter, 2010:1-4) This network of researchers, policy and practice partners who share common interest in the development of effective offender supervision strategies aims to support, encourage and engage in quality collaborative and comparative research and scholarship that explores a variety of topics concerning offender supervision. For example, their work would examine such questions as:

- How best to measure effectiveness in offender supervision
- The nature and features of effective supervision
- The characteristics, styles and practices of effective offender supervision
- The qualities and features of effective relationship between offenders and those that work with them
- The social, political, cultural, organizational and professional contexts of effective supervision and how these contexts impact upon it.

This network seeks to fulfill its espoused task by being committed to the following approaches that:

- Pursue their research agenda through a diverse range of research methods, recognizing that methodological pluralism is necessary to yield the insights required to move policy and practice forward
- Undertake collaborative and comparative research wherever possible, so that lessons can be learned about what works in specific national and local contexts and about whether and to what extent there are practices in and approaches to offender supervision that work across diverse contexts
- Explore issues of diversity among offenders in relation to effective supervision
- Work to engage offenders and their families in the research process, recognizing the value and importance of their insights into effective practice and what works for them.

This is a very welcomed development and I am encouraged by the activities undertaken by this group since 2007. They convene a two day seminar usually held in conjunction with another major international conference in which a majority of their membership attend. (This year they are meeting in September in

Spain.) The group enables its members to engage in ongoing discussion about their work and when possible find ways to work together. The network functions by using ongoing electronic communications about relevant research. The group has, under the editorship of Fergus McNeill, Peter Raynor and Chris Trotter published a collection of papers from the earlier seminars entitled Offender Supervision: New directions in theory, research and practice. The first chapter of this book introduces CREDOS and also contains an email discussion/dialogue between some of the members that gives a picture of how the network operates. The network is inclusive regarding membership and anyone active in relevant research related to the state objectives of CREDOS would be welcome to join.

This approach is welcomed and goes a long way to avoiding "narrowing dialogues" that threaten to close off the development of better evidence and improved practice in the production of knowledge on and about offender supervision.

Dealing with complexity in offender supervision also calls for improvement in the practice realm and the development of the concept of "communities of practice" by practitioners in program areas is becoming a useful approach to improving and enhancing practitioner skill and knowledge.

COMMUNITIES OF PRACTICE

Production of knowledge is an important aspect of forming an adequate and appropriate response to the efforts of probation services to reduce offending behavior among their served populations, but it is also critical that we find mechanisms to manage the knowledge we use. In 2002, I became aware of the work of Etienne Wenger and others who promoted the concept of communities of practice as a means of managing knowledge in the workplace. Communities of Practice (CoP) are usually developed by people who are working on a particular issue or activity and who desire to engage in a process of collective learning around a shared or common domain of interest or effort. CoP's are a useful perspective on knowledge acquisition and on improved learning of both content and skill development. This approach has, according to Wenger three key elements:

- A Domain: an identity defined by a shared domain of interest
- The Community: members of the CoP engage in shared activities and share information and build relationships that enable them to learn from each other.
- The Practice: the members of the CoP are practitioners who develop a shared store of resources, experiences, tools, stories and ways of responding to recurring problems.

An example that I am familiar with is the "Level of Service Community of Users" coordinated by MultiHealth Services the publisher of the LSI-R, LSI-CMI and YLS/CMI assessment instruments. This community is made up of users of these instruments as well as leaders and researchers in Public Safety organizations around the world as a means for organizations to share best practices, research, policies and procedures

that they find effective. The community shares latest research findings, gives members an opportunity to ask questions that other members might be able to answer regarding issues emerging in the use of the assessment instruments. It is conducted by means of email exchanges. For those using these particular assessment instruments this is a very useful community of practice to the advancement of knowledge and up-to-date information.

Whatever the shared common interest or practice, is there is no doubt it would benefit from an approach like the CoP. They can make a major contribution to on-going learning and development in an agency or probation service. It is a means of creating learning webs or networks that share and collect information that will assist the development of a learning environment crucial to effective practice. There is no doubt that approaches of this nature can go a long way to managing the complexity inherit in today's environment and in our efforts to deliver effective offender supervision strategies.

As I travel to international conferences, visit probation services and other correctional sites, I am finding an interest in sharing with and learning from others that enhances the professionalism of those who work with offenders and who endeavor to make communities safer for everyone. Find a research group or a community of practice you can participate in and help the field of community corrections enlarge both its intellectual capital and its social capital.

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STRATEGIES FOR IMPROVING CORRECTIONS' CAPACITY FOR IMPLEMENTING EBPS: THE COLORADO EBP PROJECT FOR IMPLEMENTATION CAPACITY (EPIC) STAFF DEVELOPMENT SYSTEM

by Brad Bogue

Sheila wasn't a bad probation officer. She had her good and bad days like any of her co-workers. However, since she finished her pre-service academy training several years ago, she noticed she was becoming less enthusiastic about her caseload of clients and more engaged with her colleagues. Juggling different roles: cop, social worker, "parent" with the people she supervised was wearying. Deep down, she was never sure what the right role was, or for that matter, if anything really worked with these people. It seemed some clients didn't need much support while others needed everything and, either way Sheila questioned the value of what she had to offer. She came to believe, along with some of her fellow officers that her job represented some kind of invisible line for public safety; if it wasn't done, public safety wouldn't be as good. But on her good days, no matter how hard she tried she didn't find any clear-cut satisfaction. The bad guys she controlled weren't usually that bad and the good guys she seemed to help weren't that good, or were only getting incrementally better.

Early in her career she had heard other officers complain about their work and criticize others (usually people on their caseload or managers), and she remembered thinking she would never be that negative. Now she was beginning to feel that she too was hitting a wall.

EBP

THE IMPLICATIONS OF SUPERVISION

Sheila's first encounter with Motivational Interviewing (MI) was overhearing another officer snicker about how "management wants us to use this MI stuff to become therapists." At the time, Sheila felt rebellious at the thought of assuming any additional duties, especially therapy. Didn't management have a clue how hard it was to manage a caseload of these guys?

Though she was skeptical, Sheila participated in the MI training. Initially she wanted to believe the party line, voiced most strongly by the back row participants, that "there was little need or use for these so-called new communication skills – and if there really were a need, there wouldn't be enough time." However, as she watched herself and others fumble with the skills introduced in the training, it became clear there probably was a need for them. For one thing, it seemed to help more when someone was doing a decent job practicing those skills with her in "real-plays." And though few of her fellow officers seemed skillful or confident about using MI, some did. Sheila started feeling conflicted about whether to side with her co-workers' resistance to MI or trust her own direct experience. She also wondered if she should accept this sense of where her current skill limitations were or rise to the implicit challenge and improve her skills. In the end her clients helped her decide.

After the training, Sheila began practicing some of the MI skills with clients, more inadvertently than deliberately, but enough that she noticed differences in how they reacted. The more she used open questions or reflections, the more her clients tended to open up and talk freely. When she neglected to use these skills, she found her interactions with clients remained more stiff and narrow by comparison. She began consciously to experiment to confirm her impressions. Once she determined that the MI skills were working, she brought this up with some of her colleagues to see if they were experiencing the same thing. Some of her peers verified they were, and Sheila became convinced that there was some substance to this MI stuff. She began to pursue her supervision sessions with more purpose and energy to explore how she might use MI skills to help her clients find the motivation to change some of the behaviors that had gotten them in trouble.

Sheila quickly learned two things about MI. On the one hand, using the simple client-centered or active listening techniques made her interactions more engaging and interesting for both her and her clients. She caught herself becoming less critical and more interested in what her clients were experiencing and what they had to say. On the other hand, she didn't know how to deal with clients as they started talking more. Given the large caseload she had, the increased time pressures caused by her clients' more extensive talking competed with her interest and ability in engaging them. Furthermore, at some point in her sessions she still had that old stuck, not really in control feeling, but not to the same degree. She also sensed there was some skill level beyond this she might reach. She just didn't know how.

After finding her interest in MI wax and wane for several months, it slowly declined with new assignments and competing interests. Sheila never quite got to the next level of feeling empowered around MI. Then she was reassigned to the ISP unit dealing with predominantly high-risk cases, which was located in the main office.

In her new unit Sheila quickly recognized that Greg, one of her co-workers, was not only using MI skills, but using them consistently and in a way that seemed totally natural. Greg seemed to get many of his clients into pretty good conversations that focused on the important stuff, like the client's distorted thinking or crazy friends. His interactions came across as deeper and more meaningful rather than all over the place. After observing some of these interactions, Sheila became determined to review and practice her MI skills. Later, she also began talking with Greg about MI.

While Greg was encouraging, his enthusiasm for talking about MI didn't seem to match Sheila's, who wanted to share everything she knew and then some. Greg suggested she join a small group of probation officers (POs), mostly with sex offender caseloads, that met once every other week for a brown bag lunch meeting to practice different MI techniques. Sheila was apprehensive; the thought of exposing her skills to more experienced colleagues was intimidating. She decided to put off getting involved with these practice meetings until she had a better handle on her caseload. However, on the day of the next appointed meeting, Greg asked her to join him and she agreed.

In the practice meeting, Sheila was gratified to see other POs volunteering to try out new skills they weren't always good at. They all took turns and provided support for small achievements (such as use of a well-timed complex reflection) and some used humor to great effect. They also used tools for rating skills and providing feedback that were introduced in the MI training, but that Sheila had all but forgotten. Finally, most of the POs in this group seemed to be practicing and talking about MI skills that Sheila didn't readily recall from her training: things like eliciting change talk, elicit-provide-elicit (EPE), coming alongside and evoking both sides of ambivalence. Once she got over her self-consciousness, it was bracing to be a part of this group and she looked forward to the next meeting.

Sheila plugged into the group of POs who were practicing MI well. Some were more serious and dedicated to the spirit and skills of MI than others, but they all shared a passion for learning and being in a "zone" with their caseloads where they were engaged but not overwhelmed. One of the participants, a supervisor named Paul, attended sessions only occasionally but was an inspiration for nearly everyone. Paul loved it when members of the group showed videos of themselves and clients, with the PO demonstrating some specific skills. He was so affirming it was infectious, even if it wasn't your tape being viewed. Sheila learned that Paul had a long and mutually

valued relationship with several of the group members that seemed to go beyond work, different MI skills or even interest in different evidence-based practices (EBPs).

Eventually Sheila came into her own and began to receive recognition and attention, among both her peers and the POs she practiced with, as a "go-to" PO. She learned how to relinquish postures of control and build the skills needed to have influence with a great deal more of clients on her caseloads. She also finally learned how to join forces with those clients who were opening up and guide them to a sense of resolution with their commitment to various change goals. She helped start a new practice group for mostly ISP officers, and she has become an integral member of the department's planning team for integrating EBPs into the agency's evolving strategies. Sheila's career, which once was merely a job, is flourishing.

Sheila's story loosely touches on a number of principles critical for developing human capital – practical, current, valued skills and personal assets. First, individuals or groups of people seemed to nudge Sheila along at different points as she learned to collaborate more consciously. Second, she also began to recognize expertise in others and develop a sense of how, building on her existing know-how, she might build her skills to another level of mastery. Third, Sheila discovered how to work with some of her own personal issues, like pride and fear of humiliation so that as her skill level became more transparent she could really share some of her limitations with others who might help her by modeling, giving her feedback or opportunities to practice. The training, human resources and development research now indicates that systematically working with the principles of: 1) collaboration; 2) scaffolding or building larger more complex skill sets from smaller, simpler ones; and, 3) shifting the dialogue norms to become more transparent and reflective can more reliably produce the positive development experiences Sheila had. Building a model for systematically developing extraordinary corrections staff skills is the principal goal of the EBP Project for Implementation Capacity (EPIC).

PROJECT BACKGROUND

EPIC is a pilot demonstration project to test the efficacy of implementation strategies, especially ones for improving corrections' capacity for implementing EBPs. This project emphasizes building capacity to implement by focusing on developing a certain set of skills within a select set of staff in 17 different corrections organizations. The skills emphasized are offender assessment, cognitive behavioral treatment (CBT) coaching and MI. MI was selected as the primary innovation and EBP to roll out in the local pilot agencies because its applications are ubiquitous and criteria for MI fidelity are clearly established and can be monitored with adequate planning and resources. Consequently, approximately 90 staff in the various pilot site agencies received training and coaching in MI skills, MI skill critiquing based on taped supervision sessions and MI coaching as a part of this project. Those selected to receive this training and coaching

are individuals chosen to be change agents by their agency management based on their previous track records for being open, energetic, avid learners and advocates of EBP. The staff selected to be Change Agents (CAs) across the different sites are slated to receive a minimum of 25 days training and coaching during the first year of the project. The entire project is predicated on the assumption that the majority of the selected CAs can be assisted in achieving preset criteria for proficiency in MI, MI skill critiquing and MI coaching.

Developing job skills does not take place in a vacuum. A constellation of other factors are related to skill acquisition in important ways. In his unique staff performance model, Vaughn Keller (Keller (2001) argues that the following, although not an inclusive list, all have a unique and definite impact on skill development:

Skills are all the techniques, procedures, adaptations and tactics performed to accomplish someone's assigned or predetermined tasks and objectives. Skills also include the overarching style, tempo and rhythm with which workers approach their work and performance.

Roles are socially proscribed as well as prescribed behavior patterns people adopt to fulfill certain objectives. Roles can be assigned like positions on a sports team or conferred upon someone as in aspects of a job description. When an individual perceives other competing roles (e.g., PO law enforcement orientation versus case worker function), this can cause role conflict and dissonance unless the roles are deliberately integrated.

Motivation to perform runs the full range from individuals who are only motivated by external rewards (e.g., financial compensation, feedback, etc.) to people who are entirely driven by inner values and self-consequation (e.g., teaching is its own reward, self-satisfaction of doing a particular thing well). Individuals are motivated differently for certain duties, performance and activities. Their motivation for doing specific tasks can change over time. In general, research (Ryan and Deci, 2000. Deci, Cornell and Ryan, 1989) shows the greater the intrinsic motivation an individual holds for a given job or task, the greater the probability he or she has for demonstrating high levels of performance.

Socio-technical Environment is comprised of the local available resources for accomplishing assigned tasks (e.g., computers, cell and smart phones, service funds, staffing budgets, the building design and work space), and, the less tangible but no less critical, organizational culture, with all its artifacts, rituals, norms and prescribed values. The organizational culture and climate mediate or influence the speed at which staff learning can take place and, in turn, the culture is impacted by the types of learning that take place.

Traits represent the unique congenital attributes and latent personal resources each individual brings to the work situation.

These include particular temperaments (e.g., extroverted or introverted, serious or lighthearted) as well as IQ, emotional quotient (EQ), and unique innate abilities such as coordination, speed and dexterity. Personality makeup is included here as well, especially to the degree it is a function or by-product of the individual's DNA. In some sense, traits represent the raw human capital that individuals bring to the workplace.

Strategies for designing and implementing a staff development system that overlook any one of the above factors are likely to be deficient and may fail. Let's look at how the EPIC project combines these strategies into its staff development system or model.

The EPIC project is based on the work of Dean Fixsen (Fixsen, Naoom, Blase, Friedman, & Wallace, 2005) and his colleagues at the National Implementation Resource Network (NIRN), who have done ground-breaking work in building an actual science of implementation. A critical part of this emerging science is the recognition of what are called "implementation drivers," a set of seven nearly sequential tactics involved in almost any successful implementation:

- Recruitment and Selection
- Pre-service Training
- Consultation & Coaching
- Staff Performance Assessment
- Decision Support Data Systems
- Facilitative Administrative Supports
- System Interventions

These drivers typically begin when a system intervention is contemplated and planned in earnest. A cycle is complete when a system intervention implementation has successfully progressed through six stages (a second and different implementation frame, apart from the drivers) and demonstrates an effect on outcomes for the majority of staff and clients. The drivers influence how well a given implementation moves through the requisite stages of implementation (i.e., exploration, installment, initial implementation, full implementation, innovation and sustainability). Implementation drivers form a compensatory relationship to one another because one strong driver (e.g., good pre-service training with appropriate post-training follow-up and plans) can compensate for a weak driver (e.g., recruitment and selection that is too narrow or rigid and results in under-qualified new hires). Any one driver can potentially compensate for another that hasn't been activated well and no single driver is likely to compensate for several or more weaker ones. In short, an implementation program that fails to launch one or more of the seven drivers is not likely to be successful, at least as related to outcome or impact.

A key to the capacity-building strategy in the EPIC project is a concentrated effort, via a flexible staff development system, to improve agencies' ability to mobilize some of the earlier drivers in the cycle, particularly training, coaching, and staff performance assessment. If local agencies can be provided new internal capacity to train, coach, empirically assess, and reflect on relevant staff performance, all their subsequent implementation initiatives,

particularly around EBPs, have a much higher probability for success.

THREE STRATEGIES OF THE EPIC STAFF DEVELOPMENT SYSTEM

Having provided the above background, the staff development system envisioned in EPIC should assume real meaning. This system or model draws upon three key principles or stratagems:

- collaborative engagement;
- scaffolding skills and mastery;
- new norms and organizational practices that empower staff and promote transparency.

COLLABORATION

Staff development in the EPIC project emphasizes collaboration and mutual engagement at all possible levels. First, there is the inter-departmental nature of EPIC, which involves a total of four different departments of Colorado state government (Department of Corrections, Judicial Branch-based Probation, Public Safety's Community Corrections and Behavioral Health) and five divisions (DOC project involvement includes both the Parole Division and Institutions). Second, specific new overlapping structures (Advisory Committee, Transformation Team, Local Implementation Teams), again based on the Fixsen model have been created to enhance cross-agency collaboration. Third, mutual engagement across departments is the expected norm, where the only reinforced deference will be to expertise pertinent to the project (e.g., knowledge of implementation stages, drivers & science, MI skills and style, EBP familiarity). Deference to position or authority has limited value in a learning organization. Fourth is the collaboration anticipated between change agents and amongst their peers within their local agency. This kind of collaboration is most often informal and entails sharing a repertoire of emerging new techniques, tools and skills. Finally, the end-game collaboration occurs in the working relationship that probation officers and correction officers establish with their clients, the people under supervision. Research (Trotter, 1995; 1996; 1999) suggests the more the officer or case manager can establish the relationship based on mutual respect and keep it focused on purposeful interactions related to the individual client's criminogenic need (James Bonta, Rugge, Scott, Bourgon, & Yessine, 2008), the better the outcomes (J. Bonta et al., 2010).

Ultimately, new skills will be required to sustain collaboration at all the above levels. Thus, more intensive collaboration implies enriched networks and related social capital, as well as broader professional competencies and human capital for line staff involved in this model. Positive shifts in staff contacts and skills can translate into new perceived roles – such as the line officer or case manager as the intervention. When this occurs it will not only broaden the scope of contacts that CAs have, but also potentially expands their current roles in the sense that there will be a real need for them to act as "EBP ambassadors," for both their agency and the project. CA motivation for participating in a more collaborative fashion will understandably be different from

what motivates them in performing their normal assigned duties. Participating in the larger local criminal justice community will bring new opportunities for engagement as well as personal and professional validation. It will also render them more visible. If CAs are motivated and successful in these role adaptations, each local agency's organizational capacity for EBP implementation will be enhanced.

SCAFFOLDING SKILLS AND MASTERY

The 90 CAs in the EPIC project will experience a protracted and intense process of training, coaching and professional feedback based on taped-recordings or direct observation of their use of particular skills interacting with offenders. By identifying select staff as CAs, management has in effect created "acceleration pools" (Byham, Smith, & Paese, 2002) for incubating deeper skills and talent.

Developing competencies in practices that entail complex skill sets is invariably a long-term process. Complex skills are necessary across a broad array of activities, including sports (e.g., tennis, martial arts, mountain-climbing), crafts (e.g., cabinet making, pottery, fine cooking) and professions (e.g., medicine, teaching, journalism). Generally, such enterprises have identified three basic levels akin to: 1) apprentice or beginner; 2) journeyman; and, 3) expert or master. One key in identifying mastery status is the provision of formal criteria and certification between levels. Theoretically, the apprentice-journeyman-master levels of practitioner development provide a reliable framework and illustrate the concept of scaffolding comprehensive skills in a career-long process, which builds upon one level of competency and progresses from one level to the next. However, skill scaffolding also takes place in a more dynamic, lateral and unplanned fashion.

Scaffolding is involved in the learning of almost all complex skills. When it is more expedient to build upon simpler skills, step-by-step scaffolding elegantly extends the original basic skills into more elaborate and refined technical procedures. Some examples of skill scaffolding are: repetitious practice of simpler parts of speech before engaging more complex parts when learning a language; getting familiar with how a car's brake and gas pedal work prior to the clutch and gear shifter; or practicing the steps, then the shot and finally the steps and the shot for a basketball lay-up. In all examples of scaffolding, greater attention to detail, deeper integration and more fluid demonstrations of complex skills invariably follow.

Presently, the field of corrections is inundated with sets of new staff techniques from EBPs such as drug courts, (Marlowe, 2009) MI, (Walters, Clark, Gingerich, & Meltzer, 2007) and Cognitive Behavioral Treatment (CBT), (Andrews, Dowden, & Gendreau, 1999; Dowden & Andrews, 2004; Linehan, 1993; Linehan et al., 2002) that require training, practice and coaching. Mastery in these techniques depends on practice and repeated feedback and guidance from practitioners who are capable

of modeling good examples of the skill techniques. An example is Chris Trotters's (Christopher Trotter, 1995) EBP model for role clarification in probation and parole (or anywhere there are non-voluntary clients under supervision). According to Trotter, when working with non-voluntary clients there are very few safe assumptions that can be held by either the worker or the client until thorough and reoccurring role clarification has taken place. Trotter's research suggests the following role issues, if systematically discussed, result in fewer conflicts, a more effective working relationship and lower recidivism:

- Purpose of supervision
- PO's dual role as law enforcement and supportive agent of change
- Offender/Client expectations of PO and supervision process
- Nature of PO's authority and how it can and cannot be used
- What is negotiable and what isn't
- A shared vision for the outcome of supervision
- Limits of confidentiality

The techniques necessary to foster good dialogue on the above topics need to be rehearsed and practiced in a manner that engenders feedback that ultimately can shape optimum use of the skills. As practitioners become proficient in groups of specific techniques, they can then bundle them into separate interventions or steps in their repertoire of supervision tactics. The challenge for the field today is to identify and establish a lexicon of best practice skills sets. Corrections practitioners must be able to talk about a clearly defined and shared set of ideas quickly and efficiently with colleagues in order to sustain their EBP work.

Agencies that are committed to the ongoing scaffolding of skills in all staff are moving in the direction of high reliability organizations (HROs) – agencies (e.g., aircraft carriers, nuclear reactor plants, firefighters, SWOT teams, etc.) that successfully deal with potential disaster or catastrophe on a near daily basis. HROs share a common set of principles (Weick & Sutcliffe, 2001) that promote ongoing, nuanced learning:

- Preoccupation with Failure
- Reluctance to Simplify
- Sensitivity to Operations
- Commitment to Resilience
- Deference to Expertise

While all the HRO principles are relevant to developing and maintaining a hierarchy of recognizable and valued skills within staff, the final principle listed above - deference to expertise – is noteworthy. Expertise in EBPs and their related skill sets doesn't correlate so much with one's position in the hierarchy of an organization as it does with depth of experience, commitment to the skills and willingness to use feedback to forge further skill development. The latter attributes are just as apt to be found in the maintenance crew as in the administrative staff. This, therefore, places a premium on recognizing when and where someone has some unique expertise. Sheila, the woman featured in the story prefacing this article, had a turning point when she recognized a greater depth of skills in her co-worker Greg and genuine

expertise in a supervisor named Paul.

When line officers (or case managers) resolve and integrate the potentially conflicting law enforcement, social worker and resource broker roles they are inducted into while supervising non-voluntary clients and, moreover, begin to see themselves as the intervention, they are positioned to derive the utmost benefit from skill scaffolding. They also have the greatest stake in becoming master level practitioners. Historically, probation and parole officers have had difficulty in integrating law enforcement and case worker roles associated with their case management functions (Petersilia & Turner, 1993). In addition, a third role, resource broker, has emerged as the role that officers identify with most strongly in the field today (Bogue, Pampel, & Merrion, 2008; Shearer, 2001). All three roles are necessary to provide effective community supervision and none of these role adaptations is alone sufficient to make a good officer. Officers who learn how to integrate these roles in a balanced manner that allows them to adjust their orientation flexibly from one client to the next are positioned well to explore how their supervision and service skills amount to an effective intervention, irrespective of any other outside services an offender receives.

Probably no other human service workers are better equipped to have motivational conversations with offenders about their specific criminogenic issues than POs and community corrections staff. POs trained and skilled in third-generation offender assessments, who are proficient in MI and adept and familiar with CBT techniques are imminently prepared to hold the kinds of conversations with people on supervision that research (J. Bonta et al., 2010; Marlowe, 2009; Miller & Rollnick, 2002) suggests effects change. However, not only are the latter skills complex, the practitioner must learn to integrate them at progressively deeper levels (Brad Bogue, Diebel, & O'Connor, 2008), to be congruent and capable of flexibly adjusting to the range of myriad situations one confronts in a caseload of high-risk offenders. This learning requires lots of staff practice and motivation.

Learning and adopting an MI style of interaction generally requires staff to work on two fronts. First and foremost is the MI Spirit component, the individual staff member's manner of being with clients. The second learning dimension involves the technical client-centered as well counselor-directed skills. The former can often represent some "adaptive" change challenges for staff, as they learn to reconceive themselves and their roles with clients. The latter technical skills however, depend more on guided (coached) practice with feedback (tape critiques) than personal introspection. There are fidelity measures (Moyers, Martin, Manuel, Miller, & Ernst, 2007) with established thresholds for competency in both MI Spirit and technical skills.

The MI Spirit component of MI – a caring, respectful relationship - has consistently been emphasized by the authors (Miller & Rollnick - Motivational Interviewing First Edition; Second Edition; Third Edition). MI spirit involves an interest in partnering

with the client in a way that respects their autonomy and right to decide yes or no to any personal change. Keen interest in the client's potential, ideas and solutions is another aspect or indicator of MI Spirit. Together, these three global indicators represent a manner of being with clients that isn't particularly new; this way of being has been extolled on and off in the correctional literature for over 50 years as evidenced by the following quote from a 1961 Federal Probation article by Arthur Fink (Fink, 1961), where he notes that an officer's effectiveness in working with offenders will depend upon:

> *his respect for them as human beings, with all of their shortcomings; his appreciation of the uniqueness of each person with whom he is working; his belief in the capacity of people to change; and his conviction that true change must come from within. As he works on these premises he can approach each of his parolees as individuals who have difficulties of a serious nature and who need help in getting themselves straightened out – and that he has the skill to help. (p. 38)*

The MI Spirit denoted in the above quote can, at least in part, be measured based on taped supervision sessions, with a set of Global Clinical Ratings on tools the Motivational Interviewing Treatment Integrity (MITI-3), an international standard fidelity measure for MI.

The technical skills used in an MI style logically scaffold or build upon one another. The active or reflective listening skills (e.g., use of Open questions, Affirmations, Reflections and Summaries referred to as OARS) are fundamental skills used within all stages and processes of MI. Moreover the OARS skill set is a prerequisite for developing other essential counselor directive skills that serve to guide interactions out of discord and elicit change reinforcing statements (change talk) from clients. Causal-chain analysis and other sophisticated research (Moyers & Martin, 2006; Amrhein, 2004; Moyers et al., 2007), indicate that certain skill sets are positively correlated with intermediate outcomes like client change talk. Furthermore, this research suggests

1. Behavior Count or Summary Score Thresholds	1. Beginning Proficiency	2.Competency
1. MITI Global Clinician Ratings	Average of 3.5	Average of 4
2. Reflection to Question Ratio (R:Q)	1	2
3. Percent Open Questions (%OC)	50%	70%
4. Percent Complex Reflections (%CR)	40%	50%
5. Percent MI-Adherent (%MIA)	90%	100%

there are competency ranges for the various MI technical skills and thresholds and that practitioners with skill code ratings above certain thresholds, are more likely to obtain better outcomes. Therefore training and coaching staff to competency on the following established thresholds for the MITI-3 (Moyers et al., 2007) becomes a desirable, albeit ambitious goal.

MITI-3 THRESHOLDS FOR MI COMPETENCY

The EPIC strategy for effectively scaffolding staff MI skills entails an iterative cycle of submitting session tapes to raters trained in the MITI rating protocols, receiving detailed graphic and narrative personal feedback, phone-coaching sessions followed by face-to-face, on-site coaching involving real staff-client interactions. This cycle generally takes between six to twelve weeks for staff to complete and it invariably shows significant documented improvements in their skills. The goal of this strategy was to bring over 50 percent of the original 84 staff participants to full competency (above thresholds for all the above five measures). The MITI skill raters and coaches were initially provided by an outside purveyor, until the internal capacity for performing these functions was developed across the various departments.

In order for staff to scaffold up the diverse kinds of skills required, they must draw upon intrinsic as well as extrinsic motivation. Intrinsic motivation and reinforcement to perform certain tasks well comes from within and provides inner gratification that sustains staff in persevering until they have accomplished a task. External motivation such as monetary rewards, recognition for the team or the individual and anticipated removal of management pressure also serves to get staff engaged and on task. Different people doing the same tasks draw differently upon intrinsic and extrinsic motivation. In self-determination theory, (Ryan & Deci, 2000) intrinsic and extrinsic motivation are conjectured to be on opposite ends of a continuum. If a person is primarily intrinsically motivated to perform a specific task or duty, he or she will tend not to be strongly influenced by extrinsic rewards, and vice versa. The primary differences between intrinsic and extrinsic motivation is that the former tends to evoke discretionary effort beyond the minimally required task and extrinsic motivation does not. In fact, once extrinsic reinforcements are removed, the behaviors they reinforced quickly dissipate. Consequently, organizations that can support both intrinsic and extrinsic reinforcements for staff to pursue extraordinary levels of performance are likely to develop staff with more mastery, who can then mentor others.

Developing an organization's capacity to support both intrinsic and extrinsic motivation for staff development is a complex subject beyond the scope of this paper. Suffice it to say that the more the organization subscribes to values that coincide with active learning, transparency and egalitarian notions of people in general, the easier it will be to develop this capacity. A key for organizations to align their socio-technical environment to support greater staff development is creating parallel (learning) organizations within or outside the organization that enable staff to interact unconstrained by typical chain-of-

command or authority rules. The agencies that can foster "holding environments," safe havens, in which deep coaching and personal development can take place, will ultimately excel in systematically providing reinforcement for both intrinsic and extrinsic motivation to their staff.

ORGANIZATIONAL TRANSPARENCY

Transparency is at the heart of the EPIC project vision. All the project's key assumptions are related to making roles, skills, motivation and organizational culture more visible:

- intense cross-training will enhance more kinds of diverse, reflective and flexible staff thinking;
- repetitive coaching based on direct observation of in-context (office) skills will build deeper skills;
- highly visible inter-departmental structures (transformation and implementation teams) will promote inter-agency accountability.

At the individual staff level, transparency is a prerequisite for learning the complex skills necessary for supporting EBPs. The individual must receive the feedback and coaching that is essential for shaping complex new skills. Thus, there is a need for staff not only to see expertise being modeled, but also a need for the staff themselves to be seen as they practice so that they can receive appropriate (i.e., reasonably accurate, relevant and supportive) feedback. This kind of learning requires humility and/or trust on the part of the individual seeking feedback and assumes other co-workers are ready, willing and able to provide helpful feedback. These preconditions are sometimes not readily available in corrections organizations.

In order to foster the above conditions, organizations need to be willing to explore and work at transforming existing collegial norms that don't support feedback and peer coaching (e.g., "What I do with my caseload is my business, what you do with yours is your business") into shared values and routines that do support open learning, no matter how awkward. This takes initiative at all levels of the organization because it's a process that requires action – modeling transparency – more than discussion. In Sheila's story there was a pivotal point when she had a debate inside herself over whether to expose her limited skills to new co-workers. Had she been unwilling to do this she would have missed the opportunity to engage a new Community of Practice (CoP), and these CoPs are where the learning and diffusion of learning ultimately takes place.

CoPs are pervasive within and without organizations. Anywhere an informal group of people participate in a joint enterprise via mutual engagement with a shared repertoire of tools and skills, there is a CoP (Wenger, 1998; Wenger, McDermott, & Snyder, 2002). The joint enterprise can be as mundane as new members learning the ropes in a local food co-op or co-workers helping one another cope in a difficult work environment or it can also be a group driven to some higher purpose, such as a network invested in pushing back global warming or POs invested in introducing best practices, EBPs and related skills into their agencies.

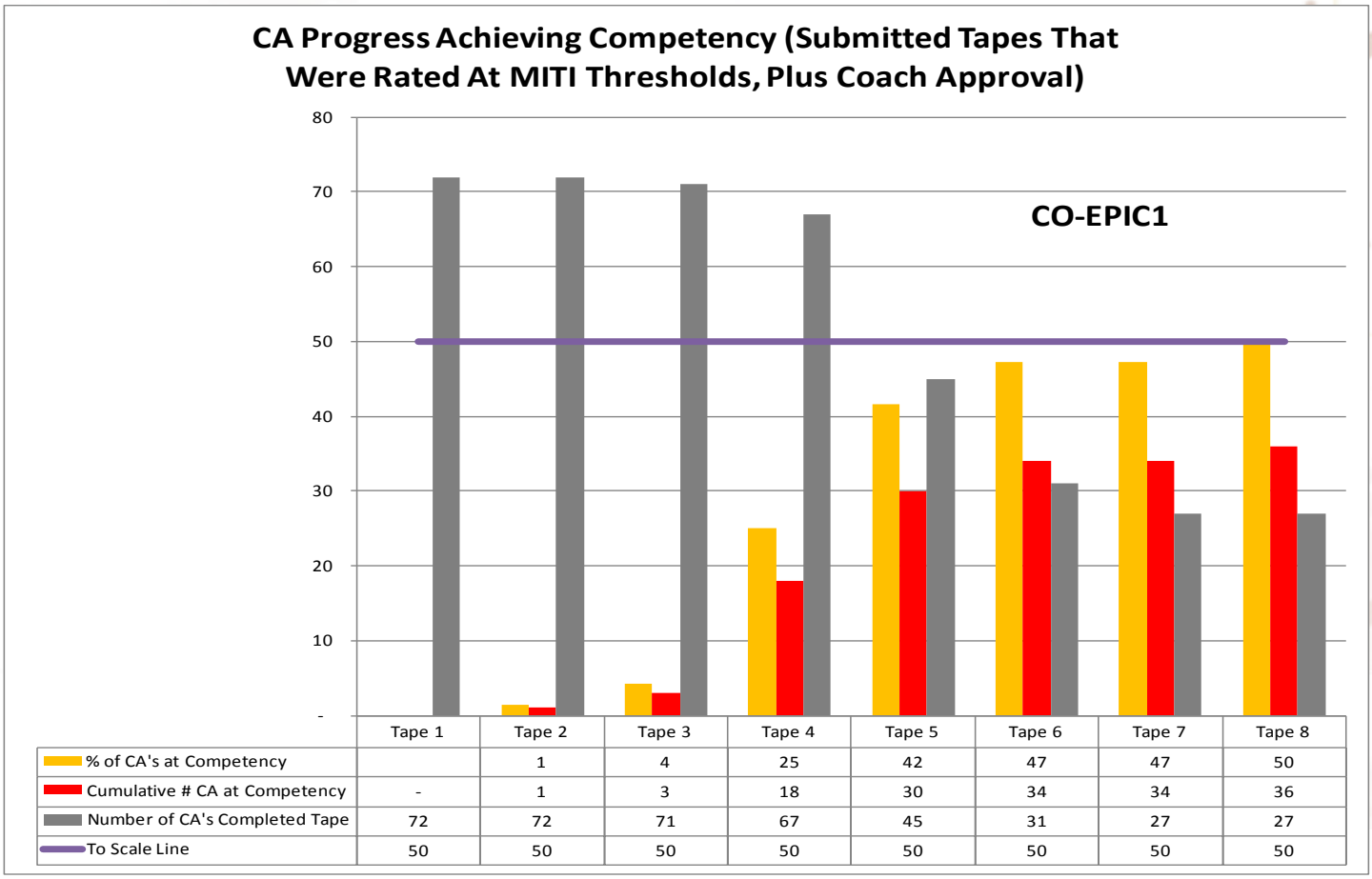
Because CoPs are dependent on mutual engagement for immediate feedback and problem-solving assistance, they tend to work around or in spite of formal hierarchies. Rather than top-down directives, CoPs are inspired more by community development models that maintain a grass-roots sense of connection. The informal nature of CoPs helps its members avoid standing on protocol and therefore enables folks to share and learn more freely in the nitty-gritty moment. And this is how CoPs promote transparency at the most granular level possible in the organization, one co-worker to the next.

Every CoP shares a common repertoire of tools, techniques, methods and tips that help the respective members achieve success in their joint enterprise. The scope and richness of these tool kits varies with the mission of each CoP. As mentioned above, currently there is a tremendous confluence of EBP skills and knowledge from various research and practice streams in corrections. However, there is also an emergent, formative quality or aspect to many of these practices, especially as they center on the-officer-as-intervention. CoPs that are beginning to focus on officer EBP skill-building may initially find it challenging to identify their priority tools and artifacts.

One top-down strategy for supporting CoPs that promises some success is the use of acceleration pools that deliberately identify a select group of staff that meet a profile associated with potential leadership talent. The selected staff, in turn, forms their own CoPs, which model terrific parallel learning organizations for the organization. The organization benefits from both individual as well as collective CoP modeling skill acquisition in specific, predetermined directions consistent with their mission.

Another aspect of transparency comes into play at a deeper level. When organizations begin to truly commit to supporting EBPs, they learn about developing greater congruency between their espoused values, models and actual practices. The more congruent an agency is, the more likely its clients will perceive it to be fair and to maintain procedural justice. Perceptions of procedural justice have been shown to be related to client receptivity and responsiveness to promising or EBP interventions (Kleiman, 1998). There seems to be a threshold effect for fairness. When clients perceive the procedural justice within an organization or system to be below a minimum expectation, they tend to disregard or discount all interventions taking place with that jurisdiction or setting.

Finally, transparency is necessary to identify the right people. If the competency and skills of line staff and mid-managers are not sufficiently visible to upper management, it becomes problematic to appoint projects and promote staff into the right positions. Agencies that lack adequate means for assessing performance are perennially handicapped when it comes to aligning human resources. In a similar fashion, it is also problematic to complete training needs assessments and gap analysis for future human resource needs. All organizations have talented staff to one degree or another, but not all can pinpoint or appropriately



	Tape 1	Tape 2	Tape 3	Tape 4	Tape 5	Tape 6	Tape 7	Tape 8
% of CA's at Competency		1	4	25	42	47	47	50
Cumulative # CA at Competency	-	1	3	18	30	34	34	36
Number of CA's Completed Tape	72	72	71	67	45	31	27	27
To Scale Line	50	50	50	50	50	50	50	50

utilize their staff talent. Agencies that can showcase their talent, such as Teach for America, the Peace Corps or top athletic teams, can also attract more talent, irrespective of their financial remuneration.

CONCLUSION

This article explains why the EPIC project is basing a pilot staff development system on three overlapping principles: collaboration; scaffolding within a hierarchy of competency and skills sets and, transparency of operations. These principles are likely interdependent and cyclical. Good collaboration invites diversity and new, better ideas and innovation. Innovation begets more skill acquisition and vice versa. Skill acquisition requires and engenders more transparency, which in turn invites more collaboration. Staff development systems can take many forms but regardless of the form, they will invariably benefit from adherence to these three principles.

The EPIC project in Colorado is a joint collaboration between four different state government departments to intentionally and strategically build their respective capacities for implementation. This project wields a multi-pronged strategy that engages staff skills, roles and motivation, as well as the organizational cultures within 17 different local agency pilot sites. There is no precedent for such a capacity-building initiative in criminal justice systems; careful measures are being collected to better understand the value and impact of establishing this model for future EBP implementation throughout the state.

While the final analysis and evaluation of this project is far from complete, scale-up (when over 50 percent of the staff selected to go to competency achieve it through independent, trained raters) was achieved December 9, 2011, approximately 16 months after initial MI training began. On average, participants required four to five cycles of taping and coaching to make it to competency. There is no evidence in the research literature that scale-up, according to these criteria for MI competency, has ever previously been achieved. ▹▹▲

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THE EVOLUTION OF COMMUNITY SUPERVISION PRACTICE: THE TRANSFORMATION FROM CASE MANAGER TO CHANGE AGENT

by Guy Bourgon, Leticia Gutierrez & Jennifer Ashton

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The work of community supervision continues to evolve and change placing greater demands on supervision officers' knowledge, skills and abilities. With the introduction of risk and need assessments into routine practice, community supervision officers are now required to administer and score these instruments. Not only must community supervision officers communicate this risk/need information to other criminal justice professionals, they are also asked to utilize this information for classification purposes and to interpret the information to develop case management plans. Officers are also asked to make efforts to maximize offender compliance, plan and manage the client's rehabilitative services and are often expected to facilitate positive pro-social changes in the clients that they work with.

With these increasing demands, community corrections agencies and their staff have paid more attention to the research on what works to reduce re-offending and in doing so, struggle with the process of bringing empirically supported practices into the everyday work of community supervision (Taxman, 2008; Taxman, Hendersen, & Lerch, 2010). In this article, we briefly review what works in offender rehabilitation and what is known about community supervision. This is followed by some reflections on what we see as an evolution of the work of community supervision officers; that is, the evolution from 'case manager' to one we term

'change agent'. This 'change agent' role asks the officer to play a more substantive and direct role in facilitating client change in, dare we say, a 'therapeutic' manner. Finally, we describe what we believe to be two key interrelated challenges that we consider to be critical in this transformation to evidence-based 'change agent'. They are: understanding the fundamentals of cognitive-behavioral interventions and clinically translating risk/need assessment into an intervention plan.

'WHAT WORKS' & COMMUNITY SUPERVISION

Over the past 30 years, the research initiated by Andrews and his colleagues in Canada on offender treatment has shown that rehabilitative efforts can reduce re-offending (Andrews & Bonta, 2010; Hanson et al., 2009; Lipsey, 2009; Lösel & Schmucker, 2005). This "What Works" body of evidence has demonstrated that rehabilitative efforts are not all equal: interventions can maximize their effectiveness via adherence to the principles of effective intervention known as the Risk-Need-Responsivity (RNR) model of correctional treatment (Andrews & Bonta, 2010). There are currently 17 principles represented in the model, however, three of these principles have been at the core since 1990 (Andrews et al., 1990). They are the Risk principle (match the level of service to the offender's level of risk; provide intensive services to higher risk clients and minimal services to lower risk clients), the Need principle (target criminogenic needs or the dynamic risk factors functionally related to criminal behavior such as pro-criminal attitudes and substance abuse), and the Responsivity principle (match the style and mode of intervention to the abilities, motivation and learning style of the offender; cognitive-behavioral interventions are generally the most effective with offenders).

In their most recent review (Andrews & Bonta, 2010), it has been shown that adherence to these three principles mediates the effectiveness of rehabilitative efforts with a step-wise reduction in recidivism with increases in adherence. Specifically, non-adherence to the three principles was actually associated with a small two percent increase in recidivism ($r = -0.02$, $k = 124$). When treatment adhered to at least one of the principles, there was a small three percent decrease in recidivism ($r = 0.03$, $k = 106$). Larger decreases were observed with increased adherence to the RNR principles with adherence to two principles demonstrating a 17 percent difference, ($r = 0.17$, $k = 84$) and three principles ($r = 0.25$, $k = 60$) showing a 25 percent difference.

Although the majority of this evidence has been gleaned from studies examining formal treatment programs that are typically group-based, it is reasonable to expect that these principles are also relevant in the case of one-on-one supervision of offenders in the community. It is believed that community supervision has positive benefits by minimizing the criminogenic effects of imprisonment and facilitating the community integration of offenders (Abadinsky, 2009;

Gibbons & Rosecrance, 2005). However, evidence on the effectiveness of community supervision questions its association with reduced offender recidivism. In a review of 15 studies that compared some form of community supervision with an alternative criminal sanction (e.g., prison sentence, fine), Bonta, Rugge, Scott, Bourgon and Yessine (2008) found that recidivism was only two percentage points lower on average for offenders under community supervision. There was no decrease in violent recidivism associated with community supervision. Such findings, which contrast to the more positive results found in reviews of the offender rehabilitation literature, beg the question of why this is so.

The answer to this question is only recently emerging as researchers begin to pay more attention to what exactly goes on behind closed doors during supervision. Bonta et al. (2008) examined case files and audio recorded supervision sessions of 62 probation officers with 154 clients in Canada. What they found was that adherence to the principles of Risk, Need and Responsivity was lacking. For example, the frequency of contact between officers and their clients was only mildly related to the offender's risk level (Risk principle) and officers rarely directly intervened to facilitate change in important criminogenic needs such as pro-criminal attitudes and friends (Need principle). Furthermore, officers exhibited cognitive-behavioral techniques of interpersonal influence in less than one-quarter of the audiotapes (Responsivity principle). The findings strongly suggested that what goes on between the officer and client during supervision should more closely adhere to the RNR principles.

Research on applying the RNR principles to one-on-one supervision is almost non-existent. This is somewhat surprising given that there is rich literature on the "core correctional practices" derived from the RNR principles (Andrews & Bonta, 2010; Dowden & Andrews, 2004). It is only recently that researchers have begun to pay more attention to the training of community supervision staff in how they interact with their clients during supervision. In 1996, Trotter developed a training program that followed some of the elements of the Responsivity principle. In this study, 30 probation officers were provided five days of training on pro-social modeling, empathy and problem-solving. After the initial training, 12 officers attended ongoing training sessions and applied the skills during supervision. The recidivism rate of 93 clients of the trained officers who continued their involvement in the ongoing training and applied these new skills was compared to 273 clients of officers who reverted to their routine supervision practices. The four year reconviction rate was 53.8 percent for the clients of the officers who continued to apply the skills taught in training as evidenced by file reviews. The recidivism rate for the clients of the officers who engaged in routine supervision practices was 64 percent.

More recently, Canadian psychologists (Bourgon et al., 2010a; Bourgon et al., 2010b; Bonta et al., 2010) developed the Strategic Training Initiative in Community Supervision (STICS). This training program included three days of training and on-going clinical support activities (i.e., refresher courses, individual feedback, and monthly meetings) with specific, practical and concrete RNR-based intervention techniques and skills. After randomly assigning officers to training or no training, the results showed that STICS trained officers significantly improved their behind closed door interactions (employed RNR-based skills and intervention techniques) with clients as measured by audio recorded one-on-one supervision sessions. When client recidivism was examined, it was found that clients supervised by STICS trained officers had a 2-year recidivism rate of 25.3 percent compared to 40.5 percent for clients supervised by the officers assigned to the control group (Bonta et al., 2010). This project has stimulated others to develop similar training programs, for example Staff Training Aimed at Reducing Re-arrest (STARR) from Lowenkamp and colleagues at the United States Office of Probation and Pretrial Services and Effective Practices in Community Supervision (EPICS) from the Corrections Institute of the University of Cincinnati. The promising results of these efforts are only beginning to emerge (Robinson, Vanbenschoten, Alexander, & Lowenkamp, 2011).

THE EVOLVING WORK OF COMMUNITY SUPERVISION OFFICERS

As our knowledge about the importance of what happens behind closed doors increases, we see a need to re-examine and re-focus the work of community supervision. Traditionally, community supervision has been dominated by a case management approach to working with clients. In this approach, officers are expected to "manage" their clients and the services they receive. At a minimum, the community supervision case manager ensures the client is complying with the sentence handed down by the court and documents the client's behavior in this regard. With the introduction of risk/need assessments into community corrections, additional tasks are demanded. The community supervision officer must conduct risk/need assessments and share the results with a variety of criminal justice partners (e.g., courts). In addition, the officer may also be responsible for more complex rehabilitative case planning that goes beyond simple compliance with the conditions of the sentence.

Case planning and the associated activities of the case manager vary considerably across different jurisdictions. For jurisdictions with a strong emphasis on public protection, the case manager is primarily concerned with how the offender will fulfill the obligations of the sentence (e.g., completing community service, urine testing), monitoring the client's compliance and conducting surveillance of the client. For those jurisdictions with more emphasis on

offender rehabilitation, the case manager identifies the client's criminogenic needs and makes efforts to connect the client with appropriate services to meet these needs. The case manager typically acts as a broker and/or advocate for the offender to utilize community-based social services such as welfare programs, employment, housing and health (e.g., addictions, mental health, and medical) services. During face-to-face supervision, the case manager may engage in problem-solving with the client to resolve various barriers and/or obstacles the client faces in obtaining such services. Motivational Interviewing techniques are also common. In terms of the work behind closed doors, the case manager primarily assists, motivates, directs, guides and supports the client to receive appropriate services. With a case management approach, the actual 'change-work' – that is the work of facilitating pro-social change – is considered to be the domain of the professionals who are actually providing the rehabilitation, treatment and/or social services as opposed to the case manager.

On the one hand, the case management model can appear to line up quite nicely to the principles of Risk and Need. In terms of the Risk principle, higher risk clients (when identified via a valid risk/need instrument) can be provided with more services through more frequent contacts and more frequent referrals and connections to treatment and social services. Basic administrative policies, such as those requiring more contact with higher risk clients, can be developed that attempt to enhance adherence to the Risk principle. The case management model can appear to adhere to the Need principle if and when officers identify specific criminogenic needs and there are efforts made to refer, connect and assist the client in obtaining services that target those criminogenic needs. Finally, a well laid out case management approach appears to adhere to a number of other more recently added principles (see Andrews & Bonta, 2010 for a full list of principles) such as the use of structured assessments and other organizational/administrative factors when the agency pays attention to such details as staff training, supervision policies and organizational practices.

On the other hand, the case management approach does lack specific attention to the Responsivity principle. The Responsivity principle is almost exclusively focused on the intervention itself regarding what goes on behind closed doors. Responsivity adherence requires the use of cognitive-behavioral interventions and structuring skills during interactions with the clients (Andrews & Bonta, 2010). In a case management approach, what exactly is the 'intervention'? In our opinion, the use of cognitive-behavioral interventions does not seem critical to case management functions where the focus is on brokerage, advocacy, support, assistance and social problem-solving. The therapeutic intervention or 'change-work' is the responsibility of the professionals providing the treatment and/or social services and the case manager is not directly responsible for facilitating change. In fact, analysis of audio recorded supervision

sessions by Bonta and colleagues (Bonta et al, 2008; Bonta et al., 2010; Bourgon et al., 2010a) suggests that community supervision officers generally do not take on an active or direct role in 'change-work' with clients unless they are specifically trained to do so.

It is the recent work of STICS (Bonta et al., 2010; Bourgon & Gutierrez, 2012; Bourgon et al., 2010a) and other similar new training initiatives (Robinson, Vanbenschoten, Alexander & Lowenkamp, 2011) suggests community supervision officers take on a more active and direct role in the change process to be more effective. A closer look at these training programs illustrates how community supervision officers are being encouraged to take on the 'change agent' role. At the heart of these training courses are fundamental therapeutic concepts, cognitive-behavioral intervention techniques and structuring skills. Officers are taught to take on a 'change agent' role where the dominant task is to actively engage in the therapeutic change process with the client while traditional case management work is viewed as supplementary. This is a new demand on community supervision officers, challenging them to work with clients in a therapeutic manner and to employ skills and techniques that are firmly rooted in RNR principles so that they can directly facilitate personal, attitudinal and behavioral change.

WHAT'S CRITICAL FOR THE 'CHANGE AGENT' COMMUNITY SUPERVISION OFFICER?

In our work with criminal justice professionals, we have noticed that this shift from a case management to a 'change agent' approach is significant and challenging. One of the major challenges that we have observed concerns officers' understanding of cognitive-behaviorism and the practical implications of this model to 'change-work' that goes on behind closed doors. Another significant practical challenge for the 'change agent' community supervision officer is translating traditional risk/need assessment information into a strategic therapeutic intervention plan. This intervention plan is not simply a case management plan, but rather one that guides the day-to-day direct 'change-work' the officer engages in with the client. Once the officer has this road map for change, the 'change agent' can now focus on initiating and facilitating attitudinal and behavioral change via cognitive-behavioral therapeutic processes. Provided these two challenges are addressed, along with learning concrete interventions and interpersonal skills and techniques, the evolution of community supervision officers from case manager to 'change agent' can begin.

For the remainder of this article, we elaborate on these two challenges. First, we discuss cognitive-behaviorism at the very practical level in terms of what goes on behind closed doors. We offer the reader what we consider to be the four fundamental steps or change tasks to facilitating change using a cognitive-behavioral model, with an emphasis on community supervision officers working with criminal justice clients. Next, we discuss the difficulties community supervision officers often have regarding translating risk/

need assessment results into a practical and useful change plan that takes into account all the pressures and realities of working with clients who are under supervision in the community. We present the STICS Action Plan to provide a concrete and practical framework to assist officers in understanding and interpreting risk/need assessments in order to develop a strategic therapeutic plan of change to work directly with the client.

COGNITIVE-BEHAVIORAL INTERVENTIONS

There is substantial empirical evidence regarding the importance of utilizing cognitive-behavioral interventions with criminal justice clients (e.g., Bourgon & Gutierrez, 2012; Cullen & Gendreau, 1989; Gendreau & Andrews, 1990; Lipsey, Chapman & Landenberger, 2001; Landenberger & Lipsey, 2005; Lösel & Schmucker, 2005; Wilson, Bouffard & Mackenzie, 2005). Often these programs use terms like 'triggers', 'thinking errors' and 'negative thoughts' and employ cognitive restructuring techniques such as 'reframing' and 'positive self-talk'. Today, it seems that just about every program and service purports itself to be cognitive-behavioral. But what does cognitive-behavioral really mean?

The simple answer is that in addition to the recognition of the fundamental principles of learning (e.g., reinforcement and punishment), cognitive-behavioral approaches recognize the role that cognitions or thoughts play in determining behavior. However, the answer to what constitutes effective cognitive-behavioral interventions in practice and behind closed doors is more complex. A few years ago, a discussion took place between the first author and his long time colleague, Barb Armstrong. At that time, it was agreed that there are four practical steps or tasks required to effectively conduct cognitive-behavioral interventions. They are: (1) Identifying with the client the link between thoughts and behavior; (2) Helping the client identify personal thinking patterns that cause that client's problem behaviors; (3) Teaching the client concrete thinking and behavioral skills and finally; (4) Facilitating the client's practice and generalization of these new skills. On the basis of these four steps/tasks, we quickly recognized that there is considerable variation in how effectively, if at all, each of these is accomplished via the multitude of programs and services that claim to be cognitive-behavioral. For officers interested in acting as change agents, we believe that it is critical to understand each of these four steps/tasks and how they can promote or hinder effective change when directly and actively facilitating client change.

We would argue that the most critical and difficult step/clinical task is illustrating to the client the direct link between thoughts and behavior. To do this effectively, this causal link must be clear, explicit and direct. In STICS, officers are taught how to show clients, in a concrete and practical manner, that the reason they behave as they do is a direct result of their thoughts alone and for no other reason. The "for no other reason" is crucial. In our experience, when a client is presented with a model of behavior that suggests, either explicitly or implicitly, that the cause for

behavior is the result of external stimuli (i.e., things outside of the individual), it reinforces his/her problematic and pro-criminal thinking patterns. We do not believe that the model presented to clients should legitimize their excuses, justifications and neutralizations for behavior.

With this in mind, the model avoids limiting the amount of personal responsibility clients can take for their thoughts, feelings and behaviors; in other words, for the choices that they make. For example, many cognitive-behavioral interventions and models suggest that the external stimuli are 'triggers' for certain thoughts and/or emotions. Clients are taught that it is their responsibility to manage the resulting events of these 'triggers'. This 'external event caused the internal event caused the behavior' outlook is exactly the kind of thinking we are attempting to change. Believing that circumstance is the reason and thus the justification for the behavior, and blaming outside forces for behavior, thoughts and feelings leads to clients believing that they cannot control what they think, feel and do (i.e., they are a victim) when in reality, the opposite is true.

In our opinion, the direct causal link of thought to behavior is the crux of the matter. Either I am responsible for all of what I think, feel and do or I am not responsible. If I am not responsible, then I have excuses. If I am responsible, then I recognize that I have choices and I cannot blame others, circumstances or anything else but myself for my problems and for my successes. Practically, this must occur before the 'change agent' can actually conduct any 'change-work'. Once clients understand the direct causal link between their thoughts and their behavior (that the only reason for behavior is the thoughts) then clients are in a position to begin to evaluate the costs and benefits of their behavior and of their thinking. In terms of change, the table is set for the client in the sense that the client is ready to accept that in order to change behavior, he/she must change his/her thoughts first. Once clients are at this stage, they are in a position to examine what it is they think and to examine the behavior that this thinking promotes.

The second step/task is helping the client to identify personal thinking patterns that cause that client's problem behaviors. In the case of criminal justice clients, problem behaviors are those behaviors empirically related to crime, essentially the criminogenic needs. As the first step/task establishes to the client (and the officer for that matter) that all behaviors are the result of the client's thoughts (of which they have choices and can exert control), the client is ready for the next step. However, identifying what thoughts, beliefs and attitudes contribute to pro-criminal behaviors (in STICS, these thoughts are called Tapes) is not an easy skill, particularly with criminal justice clients who are characterized as impulsive, with poor self reflection and self-awareness. But, it is a skill nonetheless and like all skills, it can be taught.

To accomplish these two tasks (i.e., the thought-behavior link and identifying personal thinking patterns and behaviors),

the 'change agent' provides structured activities for clients to learn and to practice self-awareness skills. This is done to identify specific thoughts and also to evaluate their contribution to specific behaviors. In addition, the 'change agent' also assists the client in recognizing and identifying the consequences of these behaviors. It is through concrete and practical examples that the client learns these skills and begins to recognize the complexity of thoughts, behaviors and consequences. For example, it is easier for the client to understand that the thought, "Taking cocaine will make me feel better" results in the choice to buy and use cocaine and that there are many short term (e.g., getting high, having fun with peers) and long term (e.g., jail, nose bleeds, paranoia) consequences. However, it is harder to see the link between the thought "It's my way or the highway" and the choice of using drugs and the consequences. The 'change agent' accomplishes this task through exercises and interventions that specifically increase the client's awareness of his/her own personal thinking patterns and abilities of observation of both internal and external events. The client is then in a position to evaluate whether or not the thinking and behaviors are 'worth it' and at the same time recognize that he/she is completely responsible for the choices made, including the choice to change.

It is at this point that the client is ready for the third task; learning cognitive and behavioral skills on how to think differently and thus how to act differently. The skills target both thinking and behavior. Given the importance of thinking, the first skill focuses on learning how to change thinking. Often referred to as Cognitive Restructuring, STICS calls this Countering. This skill should be clearly and directly linked to the change from pro-criminal to pro-social thoughts and behaviors. In addition to learning the skill of Countering, and particularly for moderate and higher risk criminal justice clients, the 'change agent' must also teach the client a variety of pro-social behavioral skills (e.g., resume writing, basic communication skills, negotiation/conflict resolution, and problem-solving). In accordance with the Responsivity principle and in order to be practical and effective, all the skills outlined above should be concrete, simple and presented to criminal justice clients in ways that are easy to learn.

The last task in effective cognitive-behavioral interventions is providing ample opportunities for clients to practice and generalize the new skills they are learning. Practice is a foundation for learning as it requires emitting behavior, receiving feedback about the behavior and using that feedback to facilitate change and reinforce new patterns of thinking and behaving. Criminal justice clients need to use the new skills they are being taught within supervision sessions (e.g., doing role plays) as well as outside of supervision (e.g., trying communication skills with their partner) so that the process of learning and generalization may take place. The task for the 'change agent' is to provide opportunities to use the skills, provide feedback and encourage and reinforce the use of these new skills.

In summary, these are the four clinical tasks that the community supervision officer needs to do if he/she is going to play a direct and active role in facilitating change. These four tasks are the fundamentals of what we believe to be truly cognitive-behavioral intervention, a foundation of the Responsivity principle of effective correctional interventions. Of course, how to actually accomplish these tasks behind closed doors is challenging and that is the majority of what is taught in our STICS training; learning the skills and tools necessary to intervene in a concrete, direct, practical and personally relevant manner for the client.

FROM ASSESSMENT TO CHANGE PLAN

Prior to embarking with a client on this process, it is considerably beneficial for the 'change agent' to have a general strategic plan for change for each individual client. This is where the assessment of the client's risk and need factors can aid the officer in developing this action plan for pro-social change. Traditionally, risk/need assessment information has primarily been used to guide a series of criminal justice decisions rather than clinical intervention strategies per se. For example, risk/need assessments are used for sentencing decisions and institutional classification. In terms of interventions, risk/need assessment information may be used to identify client needs in order to match them to appropriate services. In community corrections, the risk/need assessments are often central in determining levels of supervision (e.g., type and frequency of client contact with the officer) and guide either the courts in mandating, or the officer encouraging, client participation in specific treatment services (e.g., substance abuse treatment for addicts).

Traditionally for the case manager, the role is one of identifying the specific set of criminogenic needs and to start the referral-admission process. Making the effort to connect the client to the program(s) and supporting and encouraging (i.e., enhancing motivation) this connection is primary. It matters little which program the client gets first, second or third as most programs and services are designed to address discrete problems or needs (i.e., male domestic violent offenders, employment programs, substance abuse programs that sometimes target very specific drugs of choice like cocaine, heroin or meta-amphetamines). In this fashion, the case manager monitors and documents what needs were addressed.

The 'change agent' approach however, asks the officer to understand the risk/need assessments from a slightly different and perhaps more complex viewpoint. Here the question is not just about what the client's needs are and what services can best meet these needs but also, where to start and how to intervene with a particular client. One difficulty is that the moderate and high risk clients present with multiple needs and these needs are inter-related. So how does the 'change agent' discriminate which of the multiple needs is primary? To be strategic in facilitating change, the 'change agent' attempts to identify and then tackle the more 'basic' or primary criminogenic need which

should then influence the more 'secondary' and interrelated criminogenic needs.

To answer this question, the cognitive-behavioral model provides clear and concrete guidance for the 'change agent' on how to translate the results of a risk/need assessment into a coherent, comprehensive, strategic and practical therapeutic plan to facilitate change. Rather than view risk and needs as a set of discrete and individual criminogenic factors, the client must be viewed from a holistic perspective taking into account all of the information the risk/need assessment provides. However, there is still considerable variability and difficulty associated with translating traditional risk/need assessments into a comprehensive and practical therapeutic 'change plan'. In our STICS training, by providing officers with a solid foundation of cognitive-behaviorism, it becomes easier to see the inter-relatedness and hierarchy of different criminogenic needs. From this, we developed a helpful tool we call the STICS Action Plan which aids community supervision officers to understand and practically formulate strategic intervention plans with each client.

THE STICS ACTION PLAN

Translating risk/need information into a strategic change plan can be a complex and challenging hurdle for community supervision officers. Besides the complexity of the individual's risk/need profile, the officer must also consider additional factors. One set of factors centers around administration of the sentence. This means that there are typically sentencing requirements, such as the variety of potential conditions/restrictions that the client must comply with. There are other 'business' related details the officer must be cognizant of, such as the policy directives and practices that may be in place for certain types of offenders (e.g., specific directives regarding the supervision of sexual offenders) or for offenders of certain levels of risk (e.g., high risk offenders must report to their probation officers in person at least three times per month).

A second set of factors centers around the client's life itself. Criminal justice clients often have rather chaotic and unpredictable lives (e.g., unstable and sporadic employment, rocky relationships, unstable residences, and financial difficulties) and their situations often change frequently and dramatically over short periods of time. Probation officers must be sensitive to a client's crisis and acute needs without such crises overwhelming and preventing the officers from actually engaging in 'change-work'.

It is typically after these two sets of factors are addressed that the 'change agent' can focus on criminogenic needs and facilitating change. The officer must not only be able to identify which criminogenic needs the client has, but must also determine which ones are most salient and which take priority over others. Officers must also consider the resources at their disposal (i.e., treatment programs and related services) and the inevitable waiting list for admission. For the 'change agent', they must also take on active therapeutic work and start the process of facilitating attitudinal and behavior change.

EBP
THE IMPLICATIONS OF SUPERVISION

FIGURE 1. STICS ACTION PLAN

Instructions: Complete the form below by circling the appropriate scoring and writing any additional short notes or comments in the appropriate sections. Use all available case information (e.g., Risk/Needs Assessment Measure, case file) to score the various items.

Case Information				Decisions for Case Planning & Intervention			
1. What is the appropriate level of supervision/service for this client as indicated by the Risk Assessment measure?							
Overall Risk Level	L	M	H	LOW	MED	HIGH	Supervision Level Determination
Overall Need Level	L	M	H				Reporting Frequency (note monthly, weekly, etc.)
2. Is there any acute need or crisis requiring immediate attention?							
Crisis, Acute Needs or Concerns				NO	YES		Specify:
3. What are the client's criminogenic needs?							
a. Should intervention target procriminal attitudes & behaviors?							
Criminal History	L	M	H	NO	YES		Target procriminal attitudes & behaviors • procriminal & prosocial attitudes & behaviors • Teach core cognitive & behavioral skills
Antisocial Personality*	L	M	H				
Attitude/Orientation	L	M	H				
b. Should intervention target the client's relationships & associates?							
Family of Origin	L	M	H	NO	YES		Target interpersonal associates & relationships • procriminal & prosocial ties & associations • Teach skills & access to prosocial rewards
Marital/Significant Other	L	M	H				
Companions/Peers	L	M	H				
c. What are the specific problem behaviours that should be targeted?							
Substance Abuse/Misuse	L	M	H	NO	YES		Target substance abuse: relapse prevention skills
Aggression & Impulsivity	L	M	H	NO	YES		Target aggression: impulsivity & self-control
Employment & Education	L	M	H	NO	YES		Target employment, education & job skills
d. Are there other criminogenic needs (i.e., housing, financial, or leisure problems) that require help?							
Housing/Financial Issues	L	M	H	NO	YES		Target residence: stability, financial skills/supports
Leisure & Recreation**	L	M	H	NO	YES		Target leisure time: prosocial pursuits & activities
4. Are there any special responsivity issues and/or noncriminogenic needs to note?							
Noncriminogenic Needs				NO	YES		Specify:
Special Responsivity Issues/Concerns				NO	YES		Specify:

* Refers to a long-standing pattern of criminal behavior. Can include, but not limited to, problems with impulsiveness, self-control, self-management, aggression, and violence (general, domestic, and sexual).

** Refers to the type and frequency of organized activities individual engages when not working, evaluating the degree to which these activities are prosocial, conventional pursuits.

In order to aid the officers with this complex task, the STICS ACTION Plan (See Figure 1) provides a framework and is intended to provide an overall picture of the client's risk/need factors. It is sensitive to the community corrections policies and the complexity of client's lives and ultimately assists the officer in knowing what and where to focus 'change' efforts. The STICS Action Plan is conceptually coherent with a cognitive-behavioral model and thus, adheres to the RNR principles. In our work to date, the STICS Action Plan has been found to be a very useful and practical tool by a vast majority of the officers involved in the project. Below, we describe the steps to completing the STICS Action Plan.

The first step, following the formal risk/need assessment (typically done either immediately preceding or following sentencing), is to address the policies around supervision levels and reporting frequency. This step involves indicating what level of risk the client poses for re-offending and the overall need level (traditionally low, moderate or high) to determine the specifics of supervision (e.g., frequency of reporting in person). We recognize that there are potential reasons for overriding this level of supervision (e.g., frequently seen with sex offenders who often have higher levels of supervision than what is indicated from actuarial risk/need assessments) and the Action Plan encourages documenting such reasons.

The second step involves identifying acute needs or crises that may require immediate attention. Common examples of these include suicidal ideation or behavior and the presence of information suggesting an immediate threat of harm such as a homeless client in the middle of winter, a client who is presently psychotic or a client with a history of domestic violence with evidence of recent escalation of marital discord and conflict. In essence, this step provides the opportunity for the officer to identify issues that require immediate attention before working on long-term pro-social changes.

The third step involves conceptualizing the client's risk-need profile for intervention planning and ensuring consistency with the cognitive-behavioral model of human behavior and change. This involves answering four very basic questions regarding the client in a specific order from highest to lowest priority in terms of facilitating change. More specifically: (1) Should intervention target pro-criminal attitudes and behaviors? (2) Should intervention target the client's interpersonal relationships? (3) What are specific problem behaviors that should be targeted? and, (4) Are there other minor criminogenic needs that require help? Answers to these questions, we believe, aid the officer in conceptualizing, prioritizing and developing an overall personalized map of strategic change for each client, as well as providing concrete direction on where to start and where to proceed to facilitate cognitive-behavioral change.

As indicated by the cognitive-behavioral model, pro-criminal attitudes (i.e., thoughts, attitudes, values and beliefs that promote

pro-criminal behaviors) are considered to be the most central causal factor contributing to criminal behavior. We know from research that attitudes are one of the Big Four (along with history of antisocial behavior, antisocial personality pattern and antisocial associates) and one of the strongest predictors of re-offending (Andrews & Bonta, 2010). Unfortunately, it is our opinion that the current assessment of pro-criminal attitudes in most risk/need assessments is comparatively weaker than the assessment of other criminogenic needs.

For example, the pro-criminal attitude/orientation subscale of the LS/CMI (Andrews, Bonta, & Wormith, 2004) has four items whereas the substance abuse subscale, a weaker predictor of criminal behavior, has eight items. The employment/education section has nine items. In addition, the four items assess rather limited and very general pro-criminal attitudes; those towards crime, towards convention, towards the client's sentence and offence combined, and towards supervision and treatment combined. We believe that this weak assessment of attitudes explains why in our STICS study (Bonta et al., 2010) we found the following: of the 143 clients in the project, 55 percent were assessed as High Risk and 40 percent as Moderate Risk, but close to 60 percent of these clients were assessed as not having a problem with pro-criminal attitudes. For a cognitive-behavioral model which points to thinking as the primary determinant of behavior, it does not make sense that so few clients were assessed as having problems with pro-criminal thinking when 95 percent are moderate or higher risk to re-offend.

This seemingly contradictory information is really only a reflection of the method used to identify pro-criminal attitudes when one considers other indicators or proxy measures of pro-criminal attitudes that are available in almost all risk/need assessment instruments; namely criminal history and antisocial personality pattern. Given that behavior is a direct result of thinking, it is reasonable to evaluate client attitudes by also examining client history of criminal behavior and client antisocial personality pattern. It seems reasonable to assume that when a client's personality is antisocial and/or the client has a lengthy history of criminal behavior, then that client must also have strong pro-criminal attitudes and thinking patterns.

In the STICS Action Plan, the answer to the question of whether or not the officer should begin facilitating change in pro-criminal attitudes is answered by examining the results of three typically separate assessment sections: criminal history, antisocial personality pattern and pro-criminal attitudes. The officer need only to indicate low, moderate or high in each of these areas. Unless all three are rated low, change efforts must begin targeting the client's thinking. In virtually all the cases that should receive correctional treatment services (i.e., according to the Risk Principle, those would be clients of moderate risk or higher), the 'change agent' begins the process where it all starts: the client's thinking.

The next question regarding criminogenic needs deals with whether or not interventions should focus on the client's relationships. As in the previous section, the STICS Action Plan utilizes much of the information found in the risk/need assessment and asks the officer to rate the level of need for all the different types of interpersonal relationships. This includes family of origin, marital or present family life and the client's circle of friends and acquaintances. Using the LS/CMI as an example, the officer can look at the results of the Family/Marital section to get an idea of the criminogenic potential of the client's family of origin as well as their present family life (i.e., spouse or equivalent). The Companions subsection of the LS/CMI provides information on the client's peer group. This information is transcribed to the STICS Action Plan to aid in making efforts to address criminogenic relationships. The priority, however, remains facilitating the change in thinking as our cognitive-behavioral model holds that changing thinking leads to changing behavior, including choices regarding how and with whom the client interacts and for how long this interaction takes place.

The third section regarding criminogenic needs revolves around specific lifestyle choices. That means substance abuse, impulsive/aggressive behavioral patterns and poor education and employment lifestyle. Again, sections of most risk/need instruments directly assess these criminogenic needs. Similar to relationships, these specific criminogenic behaviors or lifestyle choices are secondary to thinking and attitudes but can provide a concrete context to facilitate change in client thinking.

The last section regarding criminogenic needs is examining highly detailed and very specific needs, which include housing, financial difficulties and leisure/recreation activities. These criminogenic needs are relatively simple targets and link very nicely with many social/welfare/community services. In our experience, they are generally easier to address after having made significant progress in changing the pro-criminal thinking.

The final and fourth section of the STICS Action Plan is the identification of specific responsivity issues. These specific responsivity issues guide the officer in the way he/she interacts with the client and how he/she may present information and facilitate learning. This would include any non-criminogenic needs such as mental health issues (e.g., schizophrenia, developmental delays, depression, anxiety and childhood trauma), physical handicaps and the like.

Overall, the STICS Action Plan was developed to be a concrete and practical tool for community supervision officers at the same time as attempting to permit the flexibility and versatility that is required when working with individuals who are under community supervision. It attempts to provide a comprehensive and holistic view of the client, encourages adherence to RNR principles and should be able to accommodate a variety of policies and practices that are inherent in community

supervision work. Most importantly, we believe it can assist the community supervision officer's evolution from case manager to 'change agent' by guiding the understanding, planning and implementation of direct one-to-one cognitive-behavioral interventions that can facilitate reductions in criminal behavior.

SUMMARY

In today's world of community corrections, professionals whose job it is to supervise offenders are being asked to assume more and more responsibilities. From traditional supervision practices to case management, the profession of community supervision officer continues to evolve. Officers are beginning to take on a more direct and active role in the therapeutic change process. This new role challenges existing skills, abilities, knowledge and resources.

To meet these new challenges of becoming a 'change agent', we have presented what we hope to be some fundamental and practical information that facilitates this evolution. Guided by the empirically derived principles of Risk, Need and Responsivity, as well as clinical experience, we have attempted to translate from theory to practice what exactly cognitive-behavioral truly means. Similarly, through the use of the STICS Action Plan, officers may practically understand risk/need assessment information from a 'change agent' perspective. We hope that this information can guide community supervision officers on the journey to becoming effective 'change agents' with the individuals they supervise.

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AUTHOR NOTES

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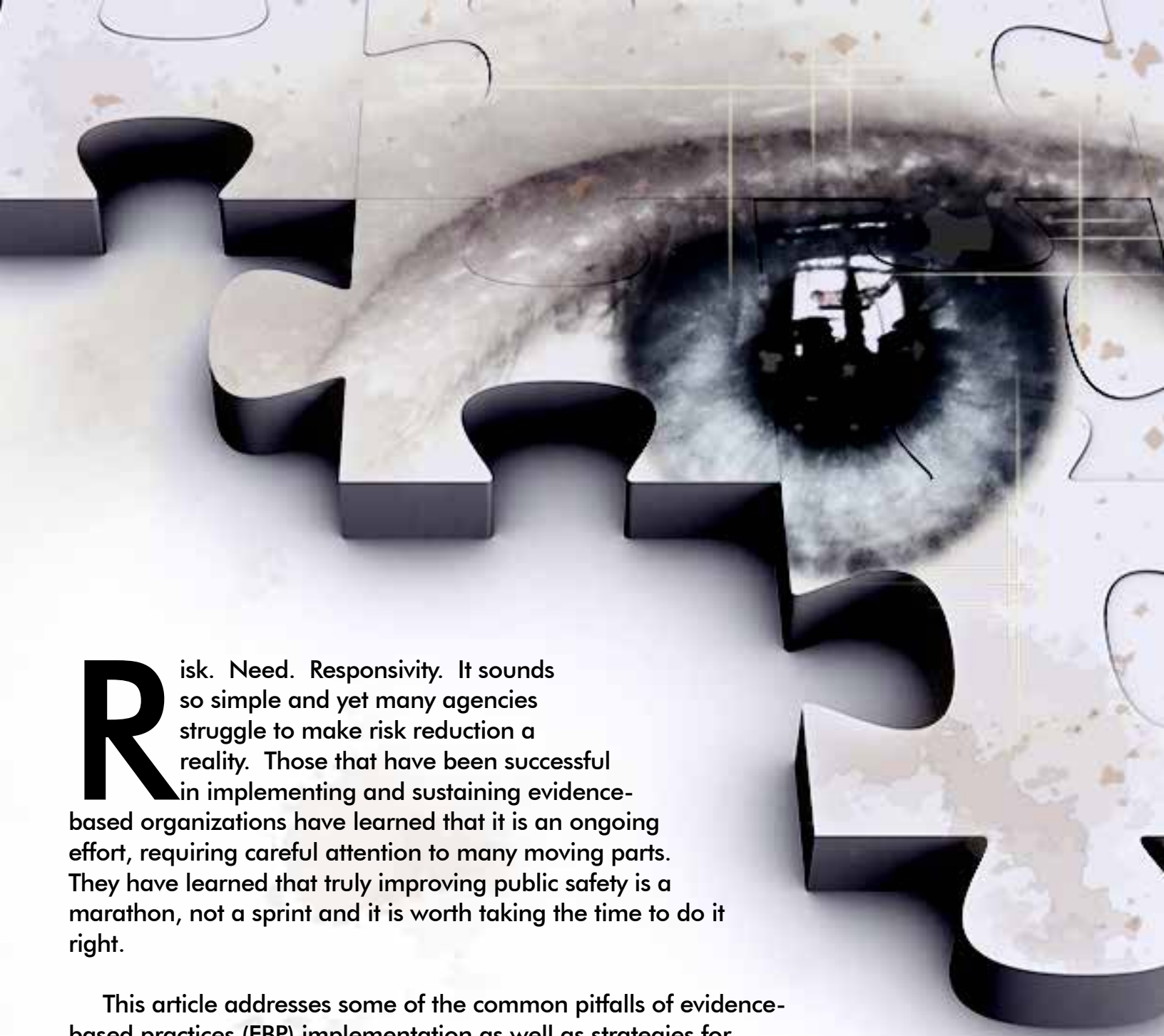
AVOIDING THE POTHOLES ON THE ROAD TO SUCCESSFUL EBP IMPLEMENTATION

by Meghan Guevara



Risk. Need. Responsivity. It sounds so simple and yet many agencies struggle to make risk reduction a reality. Those that have been successful in implementing and sustaining evidence-based organizations have learned that it is an ongoing effort, requiring careful attention to many moving parts. They have learned that truly improving public safety is a marathon, not a sprint and it is worth taking the time to do it right.

This article addresses some of the common pitfalls of evidence-based practices (EBP) implementation as well as strategies for staying on the right track. Also included are some questions to consider and reflections from professionals in the field. This is not intended to be a comprehensive planning guide, but rather to offer tools and tips at the agency level. If you are just starting down this road, this information is intended to inform your planning. If you are in the midst of implementation but want to make adjustments, this article offers some options. Being evidence-based is, after all, about seeking improvement. Dot Faust, Director of Second Judicial District Department of Correctional Services in Iowa, advises, "Be willing to admit missteps and then implement a 'do-over.' Get used to constant change."

BUT AREN'T WE ALREADY DOING THIS?

When the idea of EBP is first introduced, it is often greeted with furrowed brows and the assertion that "we're already doing that." How do you know what needs to change and how to move forward? All community corrections professionals are in the business of reducing crime and improving public safety. Those using "traditional" supervision practices, though, do business in a very different way than those using EBP. EBP requires a significant shift in mindset and behavior and also calls into question what experienced, hard-working, well-meaning people have been doing for years. Preparing professionals for this transition and identifying what will change and what will stay the same can get implementation started on the right note.

In order to know what needs to change, you need to assess where you are. Talk to employees. Review case files. Sit in on trainings. Review available data on treatment compliance, violation rates and new crimes. If you'd like to take a more formal route, conduct focus groups or employee surveys, such as the Texas Christian University Organizational Readiness for Change survey. This information helps to clearly identify what is being done well and where gaps exist in current practice, as well as allowing you to "take the temperature" of the organization – is the majority ready for what EBP will bring?

Once you know where you are, you need leaders to take you where you want to go. Leaders are found throughout your organization, including the experienced officer who mentors new staff and the hardworking frontline supervisor, as well as senior managers. "Develop both breadth and depth in your organization," says Elyse Clawson, former Director of Community Justice in Multnomah County, Oregon. You need a critical mass of people to make changes." Recruit those leaders to manage your EBP initiative and prepare them well, including training on the "hard skills" of EBP and the "soft skills" of managing change, coaching staff and communicating effectively. Engage them in conversation about the new vision and mission of the organization and have these leaders bring the conversation back to their colleagues. As the work of EBP progresses, your leaders will serve as ambassadors for change, and they will apply their diverse operational knowledge to timely, feasible implementation.

WAIT A SECOND, WHY ARE WE DOING THIS?

When you have a group committed to EBP implementation, it is easy to dive into training staff, choosing risk assessment instruments and searching for more drug treatment providers. It is just as easy to lose sight of why you are undertaking EBP and what the long-term goals are. A written strategic plan allows your agency to thoughtfully consider what you want to accomplish and the steps you will take to get there. Strategic plans serve as a roadmap for the next three to five years, so they encourage you to take a comprehensive approach and consider a timeline and sequencing. Your strategic plan may focus specifically on EBP, or you may

develop a plan for all operations that ensures evidence-based approaches are being used whenever possible. Many resources are available to assist with a strategic planning process. Some agencies complete strategic plans internally, while others utilize an outside facilitator; either approach can be successful.

The strategic plan provides the big picture; it communicates where you are going and how to get there. Once the strategic plan is finalized, an action plan is needed for each strategic goal. This planning can be delegated to the people responsible for operationalizing each goal, with some oversight from agency leadership. The table below includes some strategic objectives that may be included in an evidence-based planning process. While the elements included here are all essential for the long-term, the sequencing and pacing will vary widely from agency to agency.

Now you have a plan and are ready to move forward with implementation. On your journey to risk reduction, watch out for some common mistakes….

TOO MANY EMAILS, NOT ENOUGH COMMUNICATION

A frequent complaint within agencies implementing EBP is a lack of communication. Those who are leading the planning and implementation process feel saturated with EBP, while others are unsure what is going on and where they fit in. *Why are these trainings happening? Where is the money coming from? When am I supposed to have time for this?* Improved communication is always needed; a few people will feel like they are doing nothing other than

EVIDENCE-BASED STRATEGIC OBJECTIVES	
CONSIDER FOR YEAR ONE	CONSIDER FOR YEAR TWO
• Educating and Engaging Staff and Stakeholders • Reviewing and Revising Policy and Procedures • Developing Leaders • Strengthening Criminal Justice Collaboratives • Enhancing Information Systems • Collecting Data for Quality Assurance • Implementing a Risk and Needs Assessment • Formalizing Responses to Client Behavior • Improving Interactions with Clients • Training, Coaching and Feedback • Developing Supervisors as Leaders • Implementing Strategies for Managing Change	• Aligning Budget with Evidence-based Practices • Developing the Workforce • Tracking Performance Measures for Quality Assurance • Engaging Service Providers • Updating Internal and External Policy • Advocating for Collaborative System Change • Using Information Systems to Track Data, Generate Reports and Share Results • Implementing Risk-Based Case Planning • Continuing Training, Coaching and Feedback

talking about EBP so that others are well informed. A communication plan identifies key messages, avenues of dissemination and specific strategies (e.g., newsletters, websites, unit meetings, etc.) for information sharing. Communication planning is often overlooked, but taking the time to complete a brief, matrix-style, bulleted plan can go a long way in accessing and engaging staff.

First and foremost, choose your message. Whether you call your work implementing evidence-based practices, building a research-based organization or reducing recidivism, it is essential for staff and stakeholders to know what you are doing and why you are doing it. A brief tagline (Fewer Crimes, Fewer Victims; Being Smart on Crime) or brand can keep the message front and center, while one-pagers, newsletter articles or web postings can offer information on the agency's plans and goals.

Once the message is clear, make details accessible and demonstrate how the working parts fit together under the umbrella of the strategic plan. Consider the communication methods available to you; if you brainstorm a list, you will likely be surprised by the number of options. Print your mission statement on business cards. Attach invitations to participate in strategic planning to paystubs. Provide talking points for unit meetings. Record a brief video. Consider all of the functional units in your organization and the type of communication they can access. Prioritize your messages, and assume that individuals will need to receive important

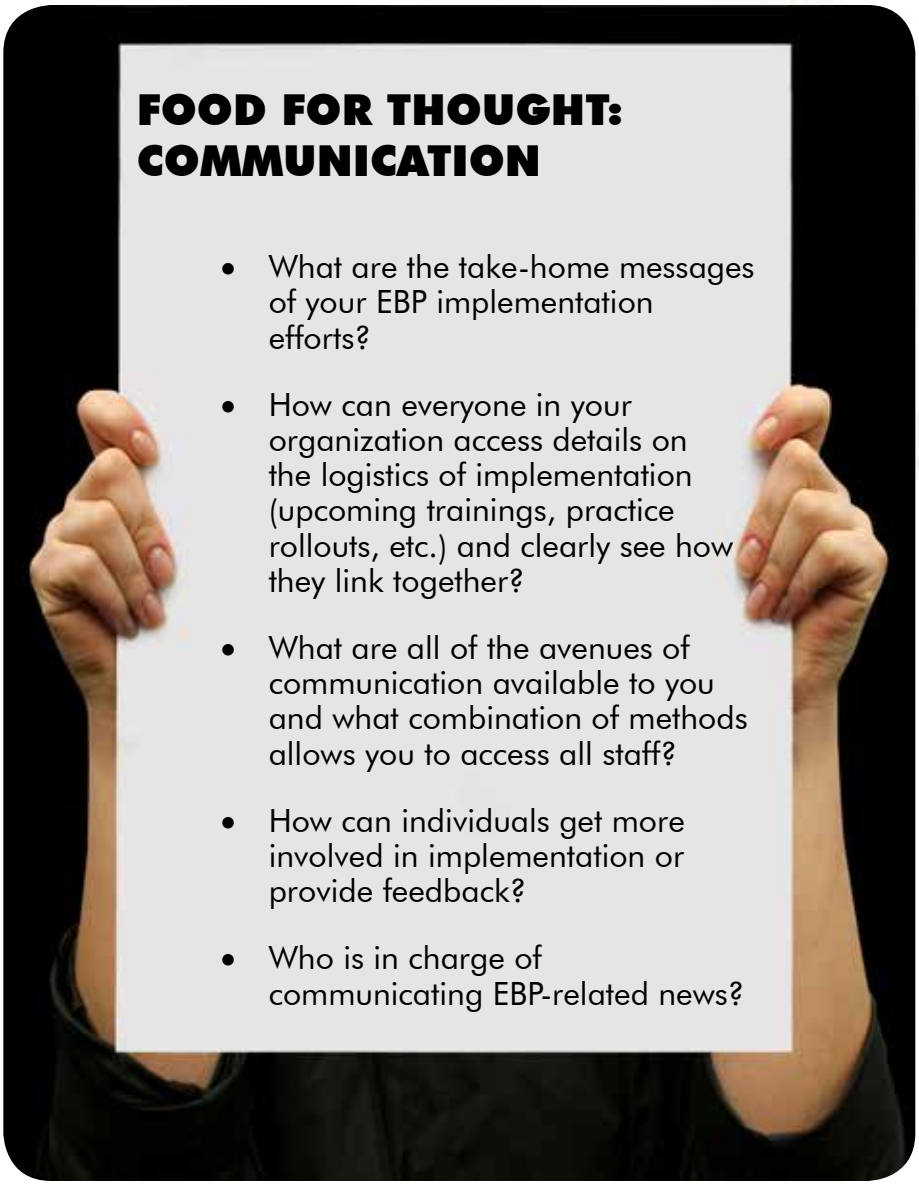
information by more than one avenue. Whatever you do, don't just send out emails!

Finally, make sure that communication is a two-way street. Create opportunities for all staff to provide feedback on implementation efforts and use that feedback. Can members of the EBP leadership team attend unit meetings regularly? Can comments be posted on the staff area of the website? Can employees sign up for implementation committees? However feedback is solicited, make sure that it is heard, and that individuals know when you take action on their suggestions. The only thing more frustrating than not being able to give feedback is knowing that your feedback is falling on deaf ears.

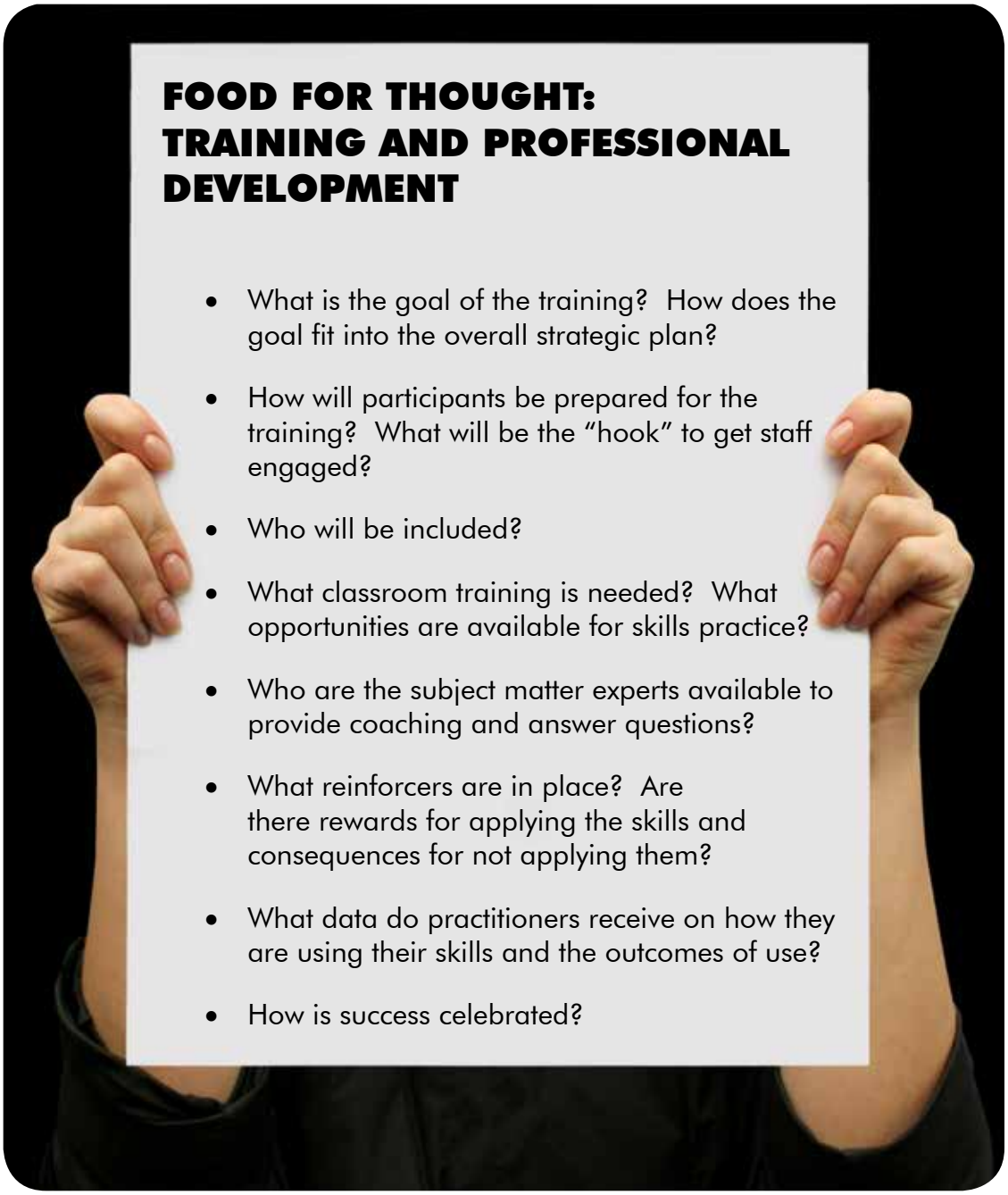
TOO MUCH TRAINING, NOT ENOUGH FOLLOW-UP

EBP requires changing behavior, first on the part of corrections professionals and then on the part of offenders. Training is an important starting point, but research tells us that skill practice and reinforcement are necessary for behavior change. A stand-alone classroom training, whether it is a few hours or a few days, will not solidify new skills or change the way people do their work. Your strategic plan will likely include several components that require significant training initiatives and those initiatives need to go beyond the classroom.

Training opportunities can be maximized by incorporating skill practice into daily work and by integrating training efforts. Integration allows staff to see how the pieces fit together and it more accurately reflects how the



skills are used in the real world. Reginald Prince of Ramsey County, Minnesota shared the evolution of training in his agency. "From a training perspective, we are constantly upgrading the content and delivery of the curricula for EBPs. For example, with motivational interviewing (MI), we began with 'standup' trainings that were both lecture and practice based, then moved to more informal coaching and discussion formats. We have further evolved into open discussions around real world applications of MI within a normal staff meeting. The biggest goal is to remove the compartmental nature of the EBPs and help staff to understand how these are cooperative practices that when used in tandem can affect recidivism."



Given the volume of training that EBP implementation requires, does this multifaceted approach to training seem overwhelming? Then slow down. Take the time to ensure that staff are mastering skills, rather than just checking trainings off your list. Too many organizations have invested heavily in basic training, only to find a few months later that employees are not using the skills. Training then gets a reputation as a waste of time.

Training also falls into the

broader category of workforce development and many of your workforce efforts will likely need to be revisited for alignment with EBP. Do your job descriptions, hiring and promotional practices and performance appraisals all reflect a focus on evidence-based approaches? Are you hiring people with the competencies to be successful in this new environment? Are EBP-related skills an asset in seeking promotion? Consider what you can do to emphasize that EBP is the path to success.

TOO MANY PROGRAMS, NOT ENOUGH FIDELITY

While intervention programs are not the only component of EBP, they are a very important component. Risk assessment and case planning are meaningless if effective, targeted interventions are not available to address criminogenic needs. A review of your risk and needs assessment information can provide a profile of the types of services that your offender population needs, but it cannot tell you whether the drug treatment program down the street is making your client better or worse. To ensure quality treatment, you must establish criteria for effective programming and put processes in place to assess the effectiveness of treatment providers. This clarifies roles and expectations, as well as allowing your agency to hold providers accountable for outcomes.

There is often a hesitation to hold providers accountable for fear of losing them, especially in smaller communities. The key to overcoming this is partnership. Rather than instituting evidence-based requirements in an antagonistic way, start with education and conversation. Share the risk reduction research and talk about how to reconcile corrections models with other EBPs in addictions treatment, public health, etc. Provide examples of effective curricula. As new program models are implemented, share data on outcomes so that providers are able to see the impact that they are having. This type of collaborative approach can bring many providers along for the next phase of implementation. (If you still have a need for more providers, think about your internal capacity. Probation and parole officers and other professionals can successfully run cognitive behavioral treatment groups and have a significant impact on recidivism at a low cost.)

Once you have established your criteria for quality treatment, that quality can be assessed in different ways. If your agency funds providers, include provisions in contracts that require providers to document their approach and demonstrate its efficacy. Develop a system for reviewing treatment materials, sitting in on groups or reviewing program data. Formal, validated program assessment tools are also available, such as the Correctional Program Checklist (CPC) and Correctional Program Assessment Instrument (CPAI). Assessment results can be used to inform program improvements or to influence referral choices or funding decisions.

When providing feedback to programs for improvements, the human principles of positive reinforcement and skill practice apply. Provide constructive feedback that motivates providers to change and offers the support they need to make that change. Dr. Matt Davis of the Utah Criminal Justice

Center reflected on Utah's use of the Correctional Program Checklist. "At first, we gave providers only a lengthy written report with feedback. This was not effective and didn't result in positive change. We learned to hold feedback meetings, prioritize the report recommendations to a few select areas and provide ongoing technical assistance to providers." An iterative performance feedback process enhances provider motivation and increases the value of treatment programs in reducing recidivism.

TOO MANY NUMBERS, NOT ENOUGH INFORMATION

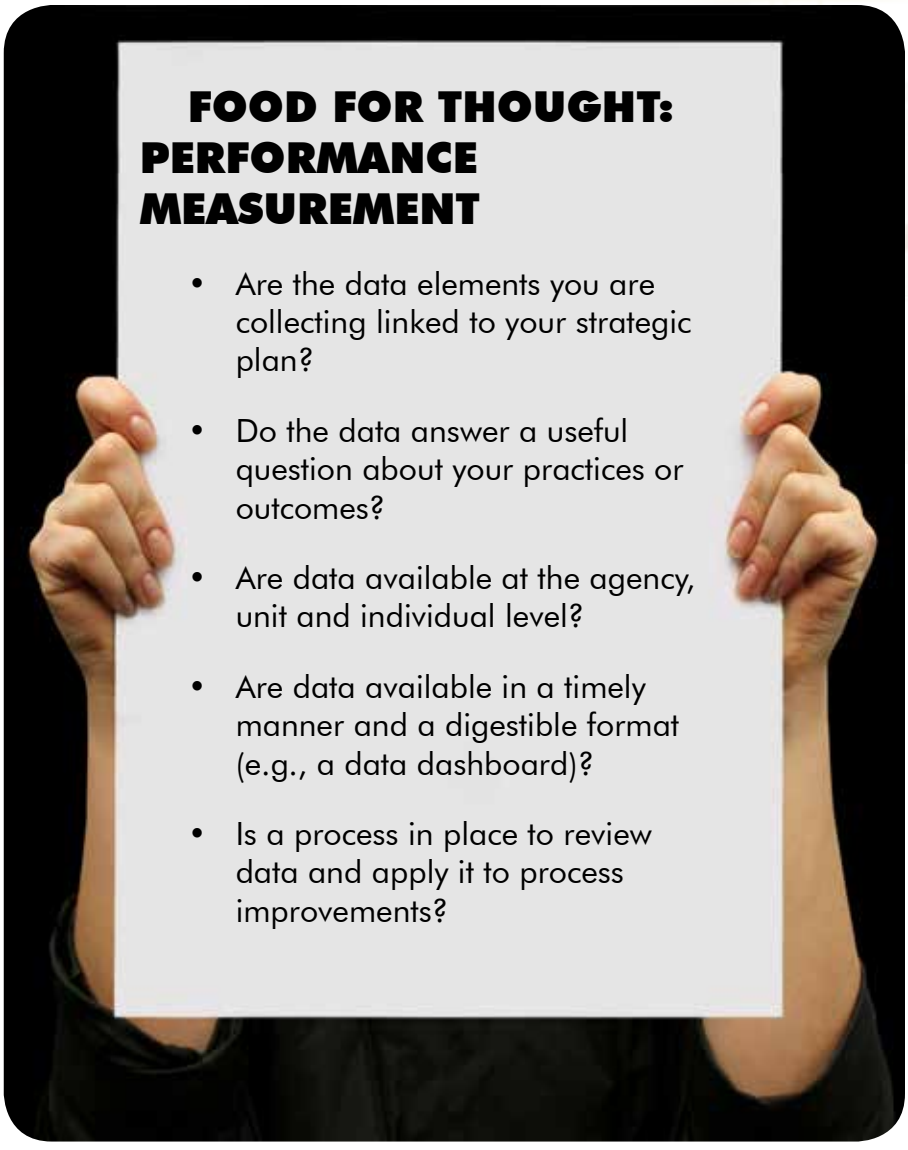
Data is the foundation of evidence-based practices, and regular management data along with periodic evaluations of practice are essential for building an evidence-based organization. However, considering the nearly infinite universe of data that can be collected, where do you start? Measurement efforts are frequently stymied by a desire to be comprehensive; the resulting data plan overwhelms the capacity of the agency to collect the data and the ability to act on what the data have to say.

Instead of trying to identify, define and measure every data element related to EBP, look at your strategic plan and ask, "How will we know if we are doing this, and how will we know if we are doing it well?" Judy Sachwald, former Director of Parole and Probation in Maryland, looked to the frontline. She asked, "What do line officers need to know to do the best job they possibly can?" Keeping officers well informed on EBP allowed them to contribute to decision making about data elements and data presented to the line was rolled up to agency and county level measures. Data that informed case planning, such as offender risk level, treatment compliance and violations, also informed agency level outcomes such as risk reduction and recidivism.

Aim to develop a data dashboard. Like the dashboard in your car, a data dashboard provides a few key pieces of information to tell you whether everything's running smoothly or if there's a problem "under the hood" of the agency. The dashboard will likely contain a few measures related to your mission, such as recidivism, and it will contain some measures that describe your daily operations. Just implemented a risk assessment instrument? Start with the basics, like whether assessments are being completed, then move to measures of quality, like the link between risk assessment, case plan goals and treatment referrals. As your use of EBP becomes more advanced, your dashboard can evolve.

Unfortunately, agreeing on dashboard elements and figuring out how to define them is another issue. Many agencies get stuck on recidivism, which can be defined in a dozen different ways. You have to get over it or the debate could go on forever. Pick a reasonable definition that everyone can get behind and that is feasible to collect data on and go with it. As Ramsey County's Reggie Prince puts it, "The way we measure complete success is yet to be finalized. We have established short, medium and long term goals for all our EBPs with the long term goal being dynamic as we learn from efforts. That said, we have some interim markers for success in specific EBPs that are promising. Around adaptive practices we set goals of proficiency that [a percentage of workers will reach] levels of competency in applying the skills. When those levels are achieved we know we have success."

Sharing the dashboard widely and discussing it frequently sends a message about what the agency considers to be important and it also provides information about how to improve practice.



However, the ability to read, interpret and apply data, as well as the skill to give or receive difficult feedback, is not something that necessarily comes naturally. Plan to provide training and coaching on data as well; you will be rewarded with an appetite for data, where what you supply is never enough to satisfy curiosity.

In addition to management measures, formal evaluation is needed to determine whether specific practices are correlated with improved offender outcomes. If your agency develops new practices and wants to determine whether they are evidence-based or if you are replicating existing EBPs and need to determine their efficacy with your population, investment in a skilled evaluation is essential.

ARE WE THERE YET?

There is no end to EBP implementation. Even agencies that have been engaged in this work for ten to fifteen years are continuing to evolve with the latest research and are refining their approaches when data reveals a dip in performance. The good news is that ongoing change can mean ongoing improvements, ongoing challenges and an ongoing contribution to improved public safety. While EBP implementation can be daunting, it can also be invigorating.

How can you maintain excitement and enthusiasm? First, follow the evidence-based principle of positive reinforcement and celebrate your successes. While monetary rewards aren't usually feasible, a public acknowledgement, certificate of appreciation, pat on the back or pizza party can go a long way. Ask your colleagues how they like to be recognized and file that information away for use when risk assessment benchmarks are achieved, when violations are reduced or when offenders give positive feedback on their supervision. Use celebration as a motivator to attain your next goal.

When you are facing challenges and roadblocks, remember that you are not alone. Corrections professionals around the country are dealing with similar issues and most appreciate the opportunity to share their successes or engage in problem solving. Reach out to others through professional organizations, federal agencies or by picking up the phone and calling the Chief that made a good presentation at a conference. With new agencies embarking on EBP each year and many others that are committed for the long haul, the community keeps growing and someone can help you find the path to the next celebration. ▹▹▲

MEGHAN GUEVARA is a Managing Associate at the Crime and Justice Institute at CRJ, and co-author of Putting the Pieces Together: Practical Strategies for Implementing Evidence-Based Practices.

FOR MORE INFORMATION:

Implementing Evidence-Based Practices in Community Corrections, 2nd Edition

Correctional Program Checklist and Correctional Program Assessment Inventory: *University of Cincinnati Center for Criminal Justice Research*

Putting the Pieces Together: An Implementation Manual

Texas Christian University Organizational Readiness for Change Survey

Crime and Justice Institute and Meghan Guevara et al. (2010). *Putting the Pieces Together: Practical Strategies for Implementing Evidence Based Practices.* Washington, DC: National Institute of Corrections.

EBP IMPLEMENTATION TEAM EAR ONE COMMUNICATION PLAN

WHAT? Brainstorm what information needs to be relayed.	Overview of EBP Initiative	Update of Mission Statement to Reflect EBP	Implementation of Risk/Needs Assessment
WHO? Brainstorm the stakeholder groups that need to receive information on the change	**HOW?** For each matrix square of stakeholder and information, list a tactic and frequency for communicating about the change. For key information, multiple tactics will be needed. The type and frequency of communication will likely change over time, so the communication plan will be a dynamic document. Include dates and individuals responsible when possible. (Once the matrix has been completed, look for overlap where one tactic can serve multiple functions. For example, if several stakeholders will benefit from regular email updates, then a monthly e-newsletter on the change initiative may be most effective and efficient.)		
All Staff	• All-staff meeting to present vision, research, plan (1/year, chair) • Brown-bag discussions at unit meetings (3/year, EBP committee members) • Video of chief on website providing overview (1/year, webmaster)	• Forum on website to get input on mission revisions (1/year, committee members) • Nomination of staff to participate in mission retreat. (1/year, division directors) • Email from Chief presenting revised statement (1/year, chief) • Outreach packet for supervisors to discuss revised mission at unit meetings. (1/year, with quarterly check-ins, mission subcommittee)	• Introduction and presentation of rollout plan • (1/year, assessment subcommittee) • Training for all intake and field staff (1/year, training unit) • Discussion in EBP newsletter column (4/year, Sandy Adams) • Talking points for division meetings (4/year, subcommittee) • Boosters for unit meetings (2/year, training unit)
Field Supervision Staff			
Field Supervision Supervisors			
Senior Management			
Community Treatment Providers			
Judges and Court Officers			
Elected County Officials			
Victims and Victim Service Providers			
Community Members			

NOTE:

After brainstorming, the communication plan may contain more elements than the organization can commit to. If that is the case, prioritize based on the importance and urgency of the information and the resources needed to convey it.

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2012 Jail to Community Reentry, American Jail Association, Williamsburg, VA
www.aja.org

OCTOBER 3-5, 2012

Indiana Criminal Justice Association 2012 Annual Conference, Indianapolis, IN
http://indianacorrectionalassociation.org/annualconference.htm

OCTOBER 7-10, 2012

40th Annual Texas Chief Probation Officers Conference, Galveston, TX
http://www.cmitonline.org/cal/?mode=view&item=551

OCTOBER 14-18, 2012

18th National Symposium on Juvenile Services, National Partnership for Juvenile Services, Las Vegas, NV
http://www.npjs.org/symposium.php

OCTOBER 15-17, 2012

Interstate Commission for Juveniles 2012 Annual Business Meeting, Kansas City, MO
http://www.juvenilecompact.org/home.aspx

OCTOBER 17-19, 2012

Illinois Probation and Court Services AssociationFall 2012 Conference, Rockford, IL
http://www.ipcsa.org/

OCTOBER 20-24, 2012

National Conference on Correctional Health Care, Las Vegas, NV
http://www.ncchc.org/education

NOVEMBER 4-9, 2012

Texas Juvenile Probation Officer Basic Training, Huntsville, TX
http://www.cmitonline.org
cal/?mode=view&item=583

NOVEMBER 9, 2012

Minnesota Association of County Probation Officers 11th Annual Support Staff Training, St Cloud, MN
http://www.macpo.net/pdf/MACPO12_SSFlyer.pdf

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