

PERSPECTIVES

the journal of the American Probation and Parole Association



w w w . a p p a - n e t . o r g
Volume 39

Number 2

Spring 2015

DRIVING EVIDENCE BASED SUPERVISION TO THE NEXT LEVEL

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president's message

"Nobody can go back and start a new beginning, but anyone can start today and make a new ending." Maria Robinson

A Word From *Carmen*



CARMEN RODRIGUEZ

President

American Probation and Parole Association

Spring is such a promising time of the year! It provides us with much needed respite from the challenging winter months. Spring invites renewal and rejuvenation as flowers bloom and trees reclaim their foliage. This spirit of renewal and rejuvenation should also be applied to our personal and professional lives and even within our beloved organization, APPA.

As we all know too well, the field of community corrections has one of the highest burnout rates in the nation. Whether it is triggered by high caseloads, compassion fatigue or exposure to violence and trauma, our profession must consistently take extra steps to recognize, address and develop steps to prevent burnout. Otherwise, we will continue struggling to overcome high and costly turnover, potentially adverse health issues and compromised service delivery.

What better time than now, the season of new growth and cleansing, to focus our attention on healthy approaches to stress management. Certainly, ignoring this significant and foundational issue could have devastating impacts. Let's make the commitment to develop innovative and effective strategies to address staff burnout. Are you up for the challenge?

Spring is also a great time to renew our commitment to our members, to focus on further advancing our profession and to ensure that our training is on pace with current trends in evidence based practices. Your Executive Committee and Board of Director's members will take advantage of this time to take a closer look at how we are doing business, to ensure that we remain inclusive and committed to the needs of our members and profession. We will also work to guarantee that we are giving community corrections professionals the tools they need to keep the community safe and to deliver excellent service.

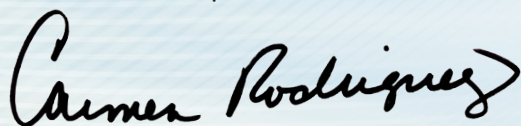
I am appreciative of the atmosphere of renewal and rejuvenation that I feel in the spring. APPA continues to renew its commitment to move toward the future. This particular season propels us to reflect and create strategies that will continue to make APPA stronger and more relevant. I invite each of you to explore this future with me. I am grateful for the talent and experience of our association.

As APPA's president, I want to tap into you as a resource in imagining what APPA will look like as we continue to grow into the 21st century. Please send me your ideas and thoughts about how APPA can advance the community corrections field. Send your ideas to appa@csg.org. We will select and publish the five most innovative ideas in the next issue of Perspectives. These ideas may also be incorporated with the APPA Board of Directors in strategic planning as we create a vision for 2025.

Summer is quickly approaching, so please take advantage of this spring season to rejuvenate your personal, professional and organizational goals. Most importantly, promote health and well-being in your personal and professional life.

Thank you for the courageous and meaningful work that you do every day. You inspire me! I look forward to your responses and participation. I look forward to seeing you in Los Angeles, California as we celebrate our 40th Annual Training Institute. That's 40 years of cultivating leaders, front line workers and emerging trends in the field of community corrections nationally and internationally!

Until then take care,

A handwritten signature in black ink that reads "Carmen Rodriguez". The signature is written in a cursive, flowing style.

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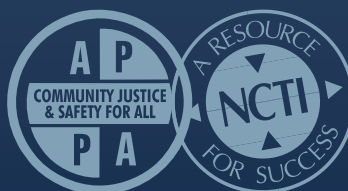
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FAYE S. TAXMAN

Editorial Chair for *Perspectives*
American Probation and Parole Association

A continued interest is in advancing the use of practices in community supervision that will reduce recidivism. This is a topic dear to the hearts of most of us, and especially to the American Probation and Parole Association. After all, the effectiveness of supervision is critical in this era of ongoing discussion about changing mass incarceration policies and practices. Reducing the use of incarceration will require community supervision agencies—pretrial, probation, parole, community corrections, and alternative to incarceration—to handle more diverted, adjudicated or released individuals. While the efforts to reduce mass incarceration should have a demonstrative impact on supervision agencies, the preparedness of supervision agencies for the changes over the next few years should be recognized. In *Perspectives*, we will be devoting the upcoming editions to how to help supervision agencies to prepare for the changes in the size and shape of the populations that will be managed by supervision agencies.

In this edition, we have two main feature articles that speak to some of the challenges that supervision agencies need to address. Melissa Alexander (Chief U.S. Probation Officer in Middle District North Carolina) and her colleagues guide us in applying the risk-need principles in supervision. They devote attention to how to use the risk need assessment tool (in the federal system it is the PCRA) in supervision. Similarly Maria Aguilar-Amaya discusses the importance of how to align leadership and management practices with evidence-based supervision. The alignment principles she provides should be useful to supervision agencies to consider how to adjust to effectively implement evidence-based supervision.

We have two other efforts to advance the use of technology. The Working Group on DWI System Improvements of the Traffic Injury Research Foundation (TIRF) proposes a Dashboard that can be useful

to monitor DWI issues. Dashboards are useful tools to manage organization—performance measures basically provide the means to identify “what needs to get done”. The dashboard guides us in this manner. And, in our Technology Report the summary of the Rand and University of Denver’s report on Fostering Innovation in Community and Institutional Corrections: Identifying High-Priority Needs for the U.S. Corrections Sector. This report makes many recommendations for the use of technology to advance the field of corrections. Adding to the information on new patterns and trends is a Research Update by Liana Taylor and a National Institute of Justice Update on Offender Rehabilitation.

The big news is that after the Summer Institute, the World Congress on Community Corrections will be held. The agenda for this special meeting will feature Laurence Steinberg, Ph.D., Jennifer Skeem, Ph.D., and Fergus McNeill, Ph.D.—they will all give thought provoking talks on topics that are important for community supervision. The World Congress will be an opportunity to highlight trends in the field including new initiatives in supervision, markers to measure supervision, and trends in supervision around the world. This is a meeting that all community corrections professionals should attend.

We remind everyone of our themes for the next few issues. We are trying to have each Perspectives devoted to a theme to advance the practice of supervision. The following are the dates for submission. **Send your material in as soon as possible!**

Affordable Healthcare	Fall 2015	August 1, 2015
Juvenile Justice	Winter 2016	October 1, 2015
Decarceration	Spring 2016	December 1, 2015

See you this summer!



EDITORIAL COMMITTEE

Faye S. Taxman, Ph.D.
Editorial Chair
University Professor
Criminology, Law & Society
Director, Center for Advancing
Correctional Excellence
10519 Braddock Road, Ste 1904
Fairfax, VA 22030
Phone: (703) 993-8555
ftaxman@gmu.edu

Brian Lovins
Editorial Vice Chair
1201 Franklin St, 12th Floor, #12140
Houston, TX 77002
Phone: (713) 755-2134
Brian.Lovins@csc.hctx.net

Arthur J. Lurigio, Ph.D.
Dept. of Criminal Justice
Loyola University of Chicago
820 N. Michigan Ave.
Chicago, IL 60611
Phone: (312) 915-7564
alurigio@luc.edu

Jason D. Stauffer
Division Director
Bureau of Offender Reentry
Coordination
PA Board of Probation and Parole
1101 South Front Street, Suite 5500
Harrisburg, PA 17104
Phone: (717) 787-5699
jastauffer@state.pa.us

Susan V. Burke
Director
Division of Juvenile Justice Services
195 North 1950 West
Salt Lake City, UT 84116
Phone: (801) 538-8224
sburke@utah.gov

Susan Blackburn
Juvenile Court Consultant
Pennsylvania Juvenile Court Judges
Commission
1871 Old Main Drive
Shippensburg, PA 17257-2299
Phone: (717) 277-1411
sblackburn@state.pa.us

Geraldine F. Nagy, Ph.D.
heartfeltnagy@austinrr.com

Jason Dudish-Poulsen, Ph.D.
Cook County Probation
2650 S California
Lower Level
Chicago, IL 60608
Phone: (773) 674-7279
Jdpoulsen2@comcast.net

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INSTRUCTIONS TO AUTHORS

PERSPECTIVES disseminates information to the American Probation and Parole Association's members on relevant policy and program issues and provides updates on activities of the Association. The membership represents adult and juvenile probation, parole and community corrections agencies throughout the United States and Canada. Articles submitted for publication are screened by an editorial committee and, on occasion, selected reviewers, to determine acceptability based on relevance to the field of criminal justice, clarity of presentation or research methodology. PERSPECTIVES does not reflect unsupported personal opinions. Submissions are encouraged following these procedures: Articles can be emailed to kmucci@csg.org in accordance with the following deadlines:

Fall 2015 Issue: August 1, 2015

Winter 2016 Issue: October 1, 2015

Spring 2016 Issue: December 1, 2015

Summer 2016 Issue: May 19, 2016

Unless previously discussed with the editors, submissions should not exceed 12 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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Communications should be addressed to:
 American Probation and Parole Association
 C/O The Council of State Governments
 P.O. Box 11910, Lexington, KY 40578-1910
 Fax: (859) 244-8001, E-mail: appa@csg.org
 Website: www.appa-net.org

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APPA *We see a fair, just and safe society*

vision

*where community partnerships are
 restoring hope by embracing a
 balance of prevention, intervention
 and advocacy.*

We seek to create a system of Community Justice where:

A full range of sanctions and services provides public safety by insuring humane, effective and individualized sentences for offenders and support and protection for victims;

Primary prevention initiatives are cultivated through our leadership and guidance;

Our communities are empowered to own and participate in solutions;

Results are measured and direct our service delivery;

Dignity and respect describe how each person is treated;

Staff are empowered and supported in an environment of honesty, inclusion and respect for differences; and

Partnerships with stakeholders lead to shared ownership of our vision.



The American Probation and Parole Association is an affiliate of and receives its secretariat services from the Council of State Governments (CSG). CSG, the multibranch association of the states and U.S. territories, works with state leaders across the nation and through its regions to put the best ideas and solutions into practice.



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Kerri Ryan
Director of Marketing and Business Development
3M Electronic Monitoring
1838 Gunn Hwy.
Odessa, FL 33556
Phone: (813) 749.5454 x1275
Fax: (813) 749.5474
Email: kerri.ryan@mmm.com
Website: www.mmm.com



Corrections Software Solutions, LP

James Redus
President
316 North Lamar Street
Austin, TX 78703
Phone: (512) 347-1366
Fax: (512) 347-1310
Email: jredus@correctionssoftware.com
Website: www.correctionssoftware.com



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Phone: (818)943-9944
Fax: (212) 898-1388
Email: josh@jpay.com
Website: www.jpay.com



Alkermes

Jeffrey Harris
Director, Public Policy
852 Winter Street
Waltham, MA 02451
Phone: (617) 852-7356
Email: jeffrey.harris@alkermes.com
Website: www.alkermes.com



CISCO

Daniel Stewart
Sr. Justice Advisor, Connected Justice
170 West Tasman Drive
San Jose, CA 95134
Phone: (347)443-7432
Email: danieste@cisco.com
Website: www.cisco.com



Journal Technologies

Jacoba Poppleton
Marketing Manager
843 S. 100 W
Logan, UT 84321
Phone: (435) 713-2100
Fax: (603) 308-8138
Email: jacoba@journaltechnologies.com
Website: www.journaltechnologies.com



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125 Clairemont Avenue, Suite 400
Decatur, GA 30030
Phone: (800) 359-4208
Fax: (404) 687-1152
Email: info@anytrax.com
Website: www.anytrax.com



CorrectTech

Eric Tumperi
CEO
1450 East 62nd Avenue
Denver, CO, 80216
Phone: (303) 586-6551
Email: etumperi@correcttech.com
Website: www.correcttech.com



Marquis Software

Ben Harrell
Director of Sales and Marketing
1611 Jaydell Circle, Suite G
Tallahassee, FL 32308
Phone: (850) 877-8864 x 123
Fax: (850) 877-0359
Email: ben.harrell@marquisware.com
Website: www.marquisware.com



Capita Technologies, Inc.

Jim Newman
VP of Sales
4000 Westerly Place, Ste 110
Newport Beach, CA 92660
Phone: (949) 260-3002
Email: jnewman@capita.com
Website: www.capita.com



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319 East McDowell Road, Suite 200
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Phone: (602) 252-3100
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Email: gbushkin@ncti.org
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Email: jmill@alcoholmonitoring.com
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Galit Mendelson
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New York, NY 10003
Phone: (212) 675-4606
Email: galitm@supercom.com
Website: www.supercom.com



Track Group

Steve Hamilton
Chief Marketing Officer
1215 N. Lakeview Court
Romeoville, IL 60446
Phone: (877)260-2010
Email: steve.hamilton@trackgrp.com
Website: www.trackgrp.com



Smart Start, Inc.

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Grapevine, TX 76051
Phone (919) 604-2513
Email: jsheehy@smartstartinc.com
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For more information on
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Karen Mucci, APPA
c/o The Council of State Governments
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APPA SPECIALIZED TRAINING SPOTLIGHT

by Jeanie Cisco-Meth



HAVE YOU OR SOMEONE YOU KNOW EXPERIENCED BULLYING?

WOULD YOU LIKE TO KNOW WHAT TO DO TO END BULLYING?

If you answered yes to either one of these questions, then you are in the right place at the right time. This training is based on 15 years of research done while I was an educator and my own life experiences.

Statistics show that one in four individuals is bullied. For my training, I researched the three in four, the ones who said they weren't bullied. I saw this empowered group suffer the same kinds of insults the bullied group had endured. What was the difference? *Bully Proofing You: Improving Confidence and Personal Value from the Inside Out* explains the difference.

This training is an engaging, step-by-step guide to preventing and dealing with bullying. It uses time-tested and researched techniques for improving self-esteem, dealing with bullies face-to-face, and protecting others from being bullied. It features real-life examples in a lighthearted, friendly tone. You will find a new understanding and the practical tools needed to deal with this widespread problem.

TRAINING OBJECTIVES

OBJECTIVE ONE

The student will be able to define bullying.

OBJECTIVE TWO

The student will be able to describe why people bully.

OBJECTIVE THREE

The student will be able to express their feelings in writing their own experiences with bullying.

OBJECTIVE FOUR

The student will differentiate between a victim mindset and an empowered mindset.

OBJECTIVE FIVE

The student will make a decision and put it in writing of the mindset they choose.

OBJECTIVE SIX

The student will be able to construct planned responses to use in a bullying situation.

OBJECTIVE SEVEN

The student will practice constructed responses.

TESTIMONIALS

"Thank you for the support and positive influence you have been for Regan. I know you have helped him become better equipped to be a productive citizen and a good man." Alyson O'Steen, Parent

"You did an outstanding job as a coach but even more so as a teacher..." Rick Majerus, Head Basketball Coach, University of Utah

"...she generates enthusiasm by her mere presence." Tommy Connor, Assistant Basketball Coach, University of Utah

"...dependable, efficient, and extremely conscientious." Susan Kocher, Recreation Program Coordinator, Northwest Multipurpose Center, Salt Lake City, Utah

"WOW! That's all I have to say about your amazing class. You are one of those teachers that students will remember forever..." Jessica Allen

BIOGRAPHY

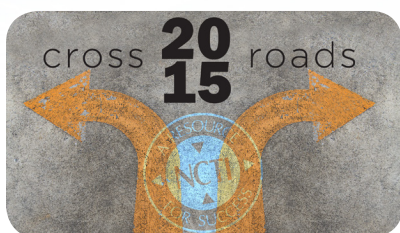
Jeanie Cisco-Meth has been helping people overcome fear caused by bullying for over 25 years.

As a bullying survivor, parent, and high school teacher, she saw firsthand the damage that can be done to a community by bullies and had to do something to stop it. She developed the training and wrote the book *Bully Proofing You: Improving Confidence and Personal Value from the Inside Out*.

Jeanie Cisco-Meth is an author, professional speaker, experienced educator, and mentor. She was recently interviewed on ABC 4. She has been quoted in Forbes and been a contributing author for many magazines. She has been on radio stations across the nation as well as KSL, a local television station in Utah.



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BUILDING AN INNOVATION AGENDA FOR CORRECTIONS

Author's Note: Findings and conclusions reported in this article are those of the authors and do not necessarily represent the official position or policies of the U.S. Department of Justice.

Building a road map for innovation in corrections is an ambitious task. Such was the focus of a new joint RAND and University of Denver study, *Fostering Innovation in Community and Institutional Corrections: Identifying High-Priority Needs for the U.S. Corrections Sector*,¹ funded through the National Institute of Justice (NIJ).

The field of corrections faces a variety of significant challenges to its mission of facilitating behavioral change while protecting the public. Even in the best of times this can be daunting. Given the current climate of extremely large populations and constraints in state and local budgets it is more important than ever for corrections

agencies to embrace innovation – changes in technologies, policies, training and practices – to enhance mission performance.

Identifying opportunities for innovation requires a strong understanding of the current state of affairs which provides a foundation from which to start. To accomplish this, the researchers conducted a literature review on the challenges facing corrections, available technologies and previous needs assessment activities. More importantly, however, such an effort depends heavily upon the insight of seasoned correctional professionals. To that end, the researchers convened a Corrections Advisory Panel, a group of 25 professionals from across the country.² Advisory panelists were carefully selected to provide representation from the various components within the corrections enterprise (e.g., prisons, jails, parole, probation, pre-trial), levels of government, geographic locations, agency sizes and position within the organization to provide a deep and broad knowledge base. Further, involvement with national associations and working groups was desired as that indicated a perspective not necessarily limited to the panelist's particular agency. Indeed, several panelists are active members of the American Probation and Parole Association.

Researchers led the advisory panel through a variety of highly structured exercises designed to elicit information

about the greatest challenges facing the field – referred to as problems or opportunities – and specific needs that should be addressed in order to overcome these challenges. It is important to note that unlike previous efforts by NIJ that focused solely on technology issues, this project examined challenges from a wider perspective.

One exercise focused on the generation of problems. Panelists were assigned into two sub-groups, one focusing on institutional corrections and the other on community corrections. Each sub-group was led through the same, structured process. First, using a variety of different lenses, the panelists were asked to identify the pain points that impact the ability to accomplish the agency's mission. For example, during a typical day, what are the most pressing issues, difficulties or inefficiencies? What other concerns arise in a crisis or emergency situation? Using a different approach, panelists were asked to identify pain points related directly to the high-level objectives of corrections agencies.

For each "problem", the sub-group was led through a process of identifying the associated need to be met in order to address the issue.

In total, the advisory panel generated over 200 needs. The needs were prioritized based on a few different measures. First, the needs were scored based on how they contributed to one or

more corrections objectives (ranging from facilitating change in offender behavior to conserving public resources). Based on the views of the panel, needs that contributed to more, or more important objectives, were ranked higher. Next, panelists ranked each need across two dimensions. One measure asked panelists to estimate the probability that the need, if implemented, would address the problem. Similarly, panelists were asked to estimate the probability that the need would be broadly adopted by agencies. These measures were scored and the needs were ranked in tiers. In light of the readership of *Perspectives* the following discussion will focus on some of the “top-tier” needs articulated by the community corrections sub-group.

Risk assessment was a major theme for community corrections and several problems and associated needs were articulated. This is notable because while risk assessment has been a focus of research for many years, panelists still had concerns. They noted the lack of effective validation techniques for risk and needs assessment tools and expressed that agencies need more guidance regarding which tools are appropriate in which settings. Further they expressed concern that many agencies are using instruments in ways inconsistent with their intended purpose, are outdated or were never validated. Panelists also called for the development of dynamic risk assessment models which incorporate near-real-time indicators to continuously update scores.

Information sharing and data system interoperability represented another major theme. Panelists described the current state as fragmented noting the lack of easy access to critical information in national, state and local databases across agencies. Further, there is a need for an integrated justice approach which allows practitioners and treatment providers ready access to information that can help guide supervision and service delivery. Associated needs included the continued promulgation of the use of National Information Exchange Model (NIEM) Information Exchange Package Documentation (IEPD) guidelines in corrections and the establishment of gateways that can translate and exchange corrections data between agency systems and state and nationwide databases.

Panelists also identified a number of problems related to training deficiencies. In particular, more resources are required to help agencies plan for and recover from large-scale incidents like a natural disaster. A second issue, which was also articulated by the institutional corrections sub-group, acknowledged challenges to the effective management of offenders with mental illness. The associated needs for both groups focused on improved and increased staff training.

Interestingly, some of the problems identified independently by the two groups were inter-related. For example, the institutional corrections group noted that state prison population

reduction strategies (e.g., California's realignment efforts), have created jail space management challenges. One associated need was the development of new alternatives to incarceration options to manage certain offenders in the community. Not coincidentally, one of the problems identified by the community corrections group was the release of more dangerous, higher-risk offenders into the community as a result of prison/jail overcrowding. The associated need was the dedication of more targeted resources to community-based agencies.

CONCLUSION

As discussed, the corrections profession faces daunting challenges. The sector is charged with a difficult mission and must achieve multiple, sometimes conflicting objectives simultaneously. Innovation is required to enhance mission performance and enhance public safety. There are a number of entities involved in corrections innovation and each can benefit from the information in this report. Agency decision makers themselves are innovators and problem-solvers. The panelists who came together to identify the problems and associated needs outlined in this research are innovating every day. The issues raised by the panel can assist the broader sector in thinking about the problems faced and ideally encourage the sharing of innovations developed as a result. Private industry can gain valuable insight into the needs of its customer base as articulated by the end-users themselves. Ultimately, the products and services developed to

address these needs obviously benefit the sector. Finally, governmental agencies can leverage the information in this report to help shape their research and development agendas. For agencies like NIJ, the results can be a starting point in determining specific areas to target through their research solicitations.

It is important to note that the needs identified were the result of the deliberations of a single advisory panel at a single point in time, nevertheless they represent a useful measure of the requirements of the field. Further, the innovation agenda offered is intended to be an initial step in the process of capturing the input of the corrections community and making those needs and priorities known to decision-makers across the spectrum.

For further information on the APPA Technology Committee please feel free to contact Joe Russo at jrusso@du.edu. ▷▷▲

NOTES

1 Jackson, Brian A., Joe Russo, John S. Hollywood, Dulani Woods, Richard Silbergliitt, George B. Drake, John S. Shaffer, Mikhail Zaydman, Brian G. Chow, *Fostering Innovation in Community and Institutional Corrections: Identifying High-Priority Needs*, Santa Monica CA: RAND Corporation, 2015; available at www.rand.org/t/rr820.

2 A detailed description of the Corrections advisory Panel and ranking process is provided in the appendices to this report.

JOE RUSSO is Director of the NLECTC – Corrections Technology Center of Excellence in Denver, Colorado and is chair of the APPA Technology Committee.

IT'S NOT THE TOOLS—IT'S THE TACTICS

As supervision practices have evolved there has been an increasing emphasis on getting out in the community and interacting with offenders in the field as opposed to spending time on office contacts that, while beneficial, do not represent the whole picture of the environment in which those we supervise function. With more time in the field, predictable and hazardous duty statistics confirm that hazardous duty situations will increase. In looking at deaths of parole/probations officers, home contacts are the second most dangerous duty officers perform (driving accidents remain number one).

From this fact a logical continuum has arisen. As officers incur a greater number of safety related incidents, the emphasis on personal safety has increased. With this increased emphasis on personal safety there has been an increase in various tools and training officers' requests (e.g., tactical training, the issuance of OC spray, batons, handcuffs and firearms).

Fortunately, most agencies that issue such equipment realize the responsibility to provide training on the use of the equipment. As outlined in the landmark case of *Davis v. Mason County*, an agency has the obligation to not only train the skill (control tactics or the use of a piece of safety equipment), the agency must also train the constitutional limits of application of that skill or tool.

In a recent study by Force Science Institute, which will be published in an upcoming issue of the *International Journal of Police Science and Management*, Dr. William Lewinski and his research team found that while police officers receive training on firearms in academies and through on-the-job instruction, in ranges of three



to 15 feet, where most felonious attacks against parole and probation officers occur, there was little difference in hit rates between “expert” shooters and novices. Expert shooters would hit major-damage zones on the target “with eight out of nine bullets fired” while novices hit the same major-damage zones with “seven out of nine bullets fired”. ((Robert Farago, Study: Why Police Training Sucks, www.thetruthaboutguns.com , 2015).

At a Force Science certification program last year, Dr. Lewinski stated there is no definitive research to either prove or disprove the theory of “contagious fire”, that is, an officer fires their weapon not based on their own threat evaluation, but because their partner officer fired. This issue was also raised in a recent expert witness case I was involved with where a probation and parole officer and a law enforcement officer shot an individual and a lawsuit was filed in Federal Court by the person the officers shot.

Dr. Lewinski’s comment and my involvement in the officer involved shooting case prompted Community Corrections Institute (CCI) to embark on a study to explore the validity of the “contagious fire” theory. To date, as part of tactical training CCI has provided to three probation agencies that carry firearms; two county agencies and one federal. CCI has had 40 officers participate in our study on contagious fire. All participant officers have been certified by their agencies

to carry firearms and have completed firearms training. The study scenario, conducted with live participants, involves the study participant probation officer and a partner contacting an offender under the partner officer’s supervision.

In the study, S.I.R.T. laser guns are provided to the officers and their shots. Time between firings and shot placement are recorded by the use of a shot recording system. As part of the overall tactical training, officers have previously been advised that Airsoft weapons will be part of the overall training. In the study, the officers are given protective eyewear, thus leading them to believe they may be exposed to Airsoft rounds.

In the scenario, the contact officer, who is part of the scenario team, comes upon their offender. The offender has a bulge in his right front pocket. As the offender moves his hand towards the pocket, the scenario team contact officer draws his weapon and begins to fire. The question is whether the partner (cover) officer will chose to fire or not fire. With the 40 cover-participant officers that have participated so far, 42.5 percent of the partner (cover) officers drew their weapon and fired multiple shots at the offender. They averaged over an 87 percent hit rate.

However, the only thing the offender had in his pocket was a small bottle of water. The participant officers are then asked why they fired. The responses are generally, “I fired because my partner

spotlight on safety

did.”; “The offender didn’t do what he was told to do”; and in two situations the officer said they saw a weapon (although none was present).

While the study group is currently too small to make definitive findings, so far it appears that hitting the target at relatively close range isn’t a problem, the issues surfacing are how good are tactics the officers use, are they making decisions based upon their independent threat evaluation, and if they shoot, what is their rationale for shooting?

While the study group is currently too small to make definitive findings, so far it appears that hitting the target at relatively close range isn’t a problem, the issues surfacing are how good are tactics the officers use, are they making decisions based upon their independent threat evaluation, and if they shoot, what is their rationale for shooting?

Although not part of this study, other scenario situations with armed officers have resulted in incidents where officers have shot role-players that did not pose a lethal force threat, but where the role-players provided merely verbal resistance and refused to do what the officers instructed them to do, without posing a lethal threat. Why are these false threat evaluations occurring with an alarmingly high percentage?

It is too early to make definite observations, but the results tend to support the theory that officers know how to use the tool (in this study a firearm) but they lack the tactical and decision making training to avoid improper use of the tool. What has led to this?

In Dr. Lewinski’s previously referred to study, he offers that regarding shooting skills, there are two factors at play.

1. *Currently, instructors tend to use “block education.”* He describes block education as a teaching format where skills are broken down, taught and

repetitively practiced in “long duration” sessions over a short period of time (i.e., academies, week-long trainings, etc.).

2. *Internal focus*; a predominant concentration on his or her weapon and body. “Here officers’ attention is on themselves, on the grip, trigger press, stance, sight alignment, etc.”

“They haven’t had enough practice to move past this concern about the manipulation of their weapon to an *external* attention focus, where their visual and cognitive concentration is on their target and their situation.”

But it is not just about firearms. In the deployment of any tool—OC, baton or personal weapons (our hands, elbows, knees, etc.)—the officer must be familiar enough with the skill or tool so that they don’t have to focus on the tool, they can focus on pre-attack indicators and immediate decision-making skills.

It is not just over-reaction that is a concern. In studying line of duty felonious deaths of probation/parole officers, in many situations it appears officers under-reacted and the outcome may have been different if “better” tactics had been used.

Tactical skills can only be achieved with realistic, relevant tactical training taught with increasing complexity and through spaced repetition. It’s relatively easy to teach an officer how to deploy

OC, deliver a strike, how to strike with a baton and even how to fire a weapon with reasonable accuracy. The test determines if the officer correctly evaluates the threat, correctly evaluates their ability to disengage from the threat, and, if disengagement isn’t a viable option, if the officer responds with a “reasonable” degree of force in keeping with the law and agency policy.

As Ron Scheidt, Lead Natural Response Control Tactics Instructor states, “It’s not the how—it’s the *why* and the *when*.” >>>▲

RESOURCES

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



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Twelve (12) typed pages, double spaced

FOR MORE INFORMATION, CLICK HERE TO GO TO PAGE 11 OF THIS PUBLICATION FOR SUBMISSION DETAILS AND GUIDELINES.



Time for feedback

RESEARCH BRIEF: FEEDBACK FROM THE APPA MEMBERSHIP ON PSN TRAINING AND TECHNICAL ASSISTANCE

In 2013 an online questionnaire was disseminated to the APPA membership concerning involvement in Project Safe Neighborhoods (PSN) and related training or technical assistance (T/TA) needs. This update provides an overview of PSN, briefly summarizes the results of the survey, and provides information on seeking out PSN T/TA support.

WHAT IS PSN?

Project Safe Neighborhoods (PSN) is a Bureau of Justice Assistance (BJA) funded nationwide anti-gun and anti-gang initiative initiated in 2001. Building on the framework espoused by a variety of programs in the 1990s, PSN adapted many elements from programs such as Boston's Operation Ceasefire, Richmond's Project Exile, and New York City's Compstat (DeMichele & Matz, 2012). The foundation of PSN is predicated on three

core elements. Specifically, local initiatives must be comprehensive, coordinated and community-based. In other words, a PSN task force in a given Federal District must incorporate prevention, intervention and suppression strategies. These strategies must be coordinated across a multitude of agencies (i.e., law enforcement, prosecutor, probation/parole, community/faith-based organizations). Finally, strategies utilized must be tailored to the needs of the community being served. These strategies are, ideally, guided by five components that include partnerships, strategic planning, training, outreach and accountability.¹

Though PSN programs vary by jurisdiction, Chicago's PSN program is a particularly noteworthy example. In this initiative four intervention strategies were utilized including increased federal prosecutions for illegal firearms possession, lengthier sentences associated with federal prosecution for felons found possessing a firearm, offender notification meetings and gun seizure

strategies (Papachristos, Meares, & Fagan, 2007). An evaluation by Papachristos and colleagues revealed a 37 percent drop in quarterly homicide rates for PSN intervention jurisdictions, reflecting an overall decline in gang homicide rates of about 12 percent. The strongest aspect of the intervention was the offender notification meeting, followed by gun seizures. The number of federal prosecutions and length of sentences were shown to have limited-to-no impact on homicide rates. Parolees were randomly selected to attend notification forums based on 1) residence in the PSN area, 2) having at least one weapons-related offense, and 3) having been released from prison in the prior nine months. Parolees were sent an invitation by letter and a follow-up call from their parole officer. Though attendance was voluntary, Papachristos and colleagues reported 98 percent of those contacted participated. The notification meetings consisted of, on one hand, a deterrence message conveyed by law enforcement, prosecutors and parole agents that they were being watched closely. On the other hand, the meetings also connected parolees to services provided in the community by including representation of community-based and faith-based organizations. A variety of PSN and other anti-gang/gun programs, each possessing their own unique goals and strategies, exist across the nation (for further discussion see McGarrell et al., 2013).

THE MEMBERSHIP'S EXPERIENCE WITH PSN

A brief web-based questionnaire was shared with the APPA membership in 2013 that inquired as to probation/parole agencies' experiences in working with a PSN Task Force, as well as having requested and received training or technical assistance (Full results available in Table 1 and Table 2). Of the roughly 90 respondents, about 30 percent indicated they are actively involved with a PSN Task Force (Figure 1). Fifty-eight percent were involved in other multi-agency collaborations (e.g., Ceasefire) (Figure 2). About 74 percent of respondents indicated they were not aware of the availability of training or technical assistance from BJA (Figure 3). Of the 22 individuals that indicated they were knowledgeable of such assistance, only a third of them had been a recipient of such support. There was only one case in which assistance was requested but was not received. About a

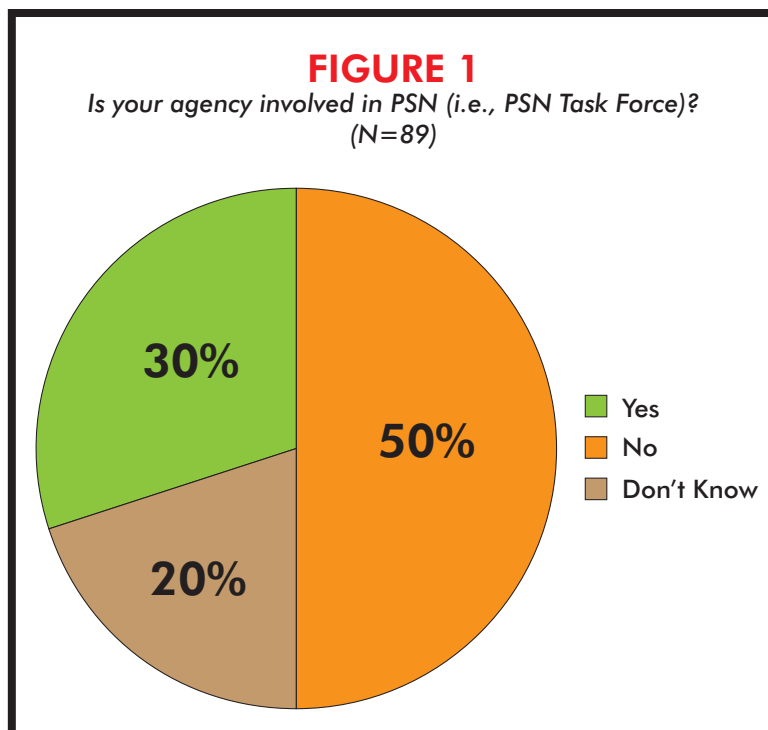
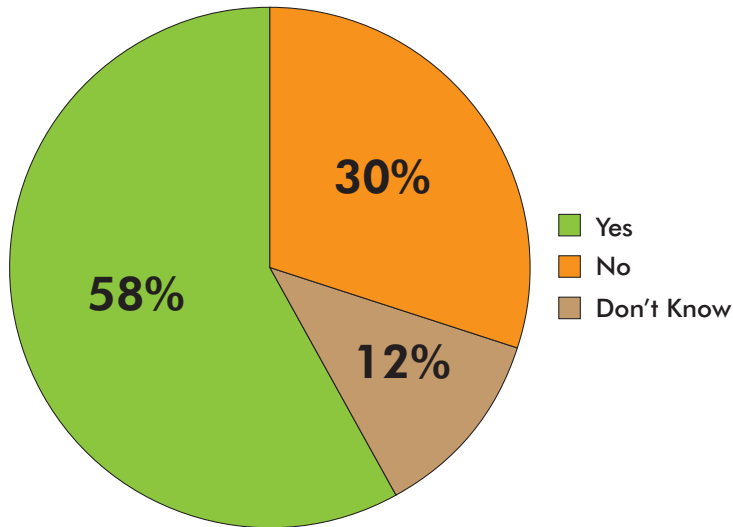


FIGURE 2

Is your agency involved in other agency collaborations (e.g., Ceasefire)?
(N=90)

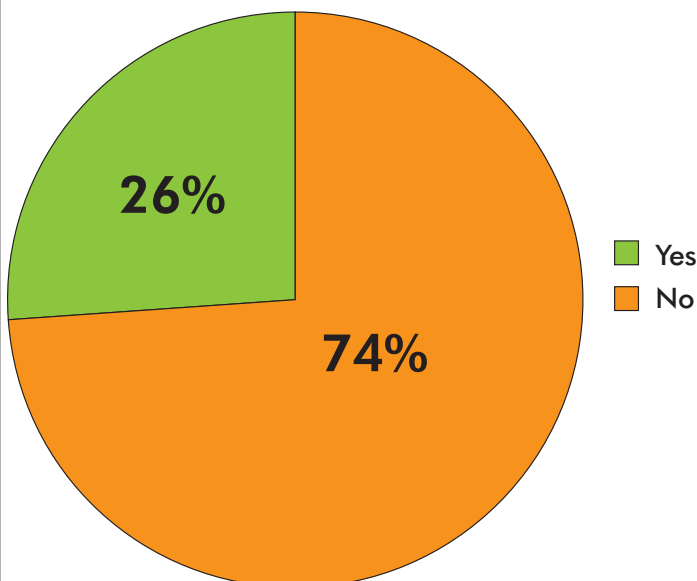


quarter of these respondents indicated they were unsure if their agency had requested assistance. When asked about interest in pursuing PSN T/TA in the future, over half of the respondents agreed they would be interested (Figure 4).

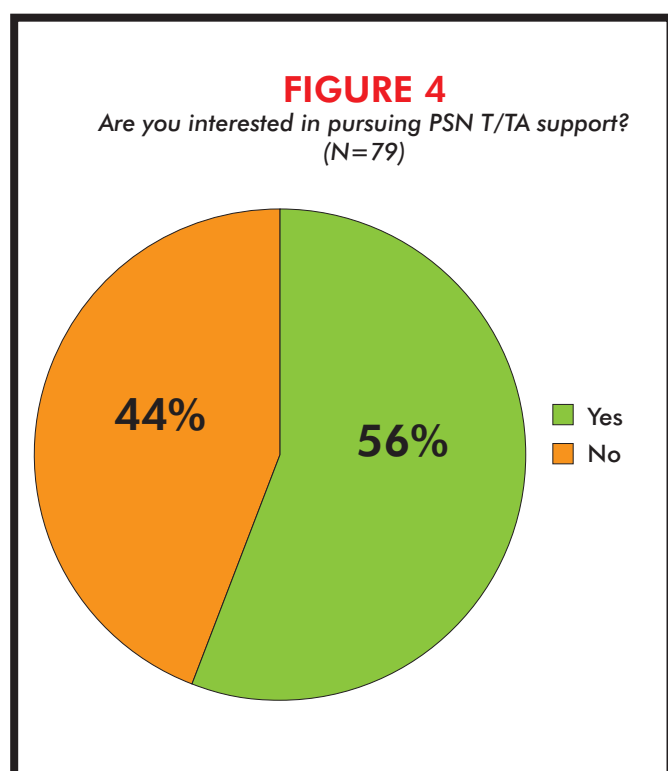
Of those agencies that indicated receiving training previously through PSN, the most commonly mentioned training provided was safe search and seizure trainings.² In terms of difficulties in requesting assistance, the most common barrier was the willingness of law enforcement agencies to partner with probation or parole.

FIGURE 3

Prior to taking this questionnaire, were you aware of opportunities for PSN sponsorship for T/TA from BJA?
(N=86)



Looking at future T/TA of interest, agencies cited managing gang members, natural responses control tactics, safe search and seizure and formalized partnerships with law enforcement. Interestingly, the issue of role conflict was reiterated throughout the comments and the need to balance compliance enforcement with rehabilitative goals, especially when working in partnership with law enforcement. Another common concern among respondents was understanding their role and how they can contribute to the larger multi-agency partnership, despite regular attendance of PSN Task Force meetings. In some cases, frustration appears to exist in regards to strained relationships between organizations within a partnership. Notably, this



frustration tended to focus on the local-to-federal interagency relationships more so than relationships between local partners. Another source of frustration expressed was the lack of funding for probation or parole agencies to support their staff's participation in Task Force meetings and activities. Finally, the reduction of federal funds was attributed to the cessation of many partnerships and related anti-gang programs. That said, a consensus from the respondents is that PSN support, funding and T/TA, is needed and assistance would be greatly appreciated.

GETTING PSN SUPPORT

The American Probation and Parole Association, a PSN T/TA provider for nearly a decade, no longer possesses funds to support training and technical

assistance.³ However, other PSN T/TA partners include the Community Corrections Institute (CCI), International Association of Chiefs of Police (IACP), Michigan State University (MSU), National Crime Prevention Council (NCPC), National District Attorneys Association (NDAA), National Gang Center (NGC), Regional Information Sharing Systems (RISS), and Winston Salem State University (WSSU), some of which may or may not still have PSN funding available. Agencies interested in applying for support in anti-gang or anti-gun training/technical assistance should work with their Federal District's PSN Coordinator to request assistance through BJA. A PSN T/TA request form is available online from BJA that provides specific guidance on how to request support.⁴ ▷▷▲

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TABLE 1: SUMMARY OF RESULTS

Item	Yes (%)	No (%)	Don't Know (%)
1. Is your agency involved in PSN (i.e., PSN Task Force)? (N=89)	27 (30%)	44 (49%)	18 (20%)
2. Is your agency involved in other interagency collaborations (e.g., Ceasefire)? (N=90)	52 (58%)	27 (30%)	11 (12%)
3. Prior to taking part in this questionnaire, were you aware of opportunities for PSN sponsorship for T/TA from BJA? (N=86)	22 (26%)	64 (74%)	n/a
3a. [If yes to #3] Have you been the recipient of PSN T/TA support from BJA previously? (N=21)	7 (33%)	9 (43%)	5 (24%)
3b. [If yes to #3] Have you requested PSN T/TA support previously but did not receive it? (N=21)	1 (5%)	17 (81%)	3 (14%)
4. Are you interested in pursuing PSN T/TA support? (N=79)	44 (56%)	35 (44%)	n/a

ENDNOTES

1 Learn more about PSN at https://www.bja.gov/ProgramDetails.aspx?Program_Id=74

2 The Community Corrections Institute (CCI), often in conjunction and partnership with the American Probation and Parole Association (APPA), provides safe search and seizure trainings.

3 For more on APPA's involvement in PSN please see our PSN-dedicated website at <http://www.appa-net.org/psn/>

4 Please find the PSN T/TA Request Form at https://www.bja.gov/Programs/PSN/psn_ta_request_frm.pdf

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ADAM K. MATZ is a Research Associate for the American Probation and Parole Association, Lexington, Kentucky.

TABLE 2: DEMOGRAPHIC INFORMATION

Item/Response Set	N (%)
1. Please indicate the type of supervision field(s) that best describes your agency (mark all that apply).	
Pretrial	17 (24%)
Probation	65 (93%)
Parole	22 (31%)
Other	8 (11%)
2. Please indicate the appropriate jurisdiction level of your supervision agency.	
Local/Municipal	29 (41%)
County	10 (14%)
State	28 (40%)
Federal	2 (3%)
Other	1 (1%)
3. Please indicate the general age (i.e., adult/juvenile) of the population your agency serves.	
Adult Only	36 (52%)
Juvenile Only	4 (6%)
Adult and Juvenile	26 (42%)
4. Please indicate the type of geographic region(s) that best describes the jurisdiction your agency serves.	
Urban	41 (59%)
Small City	22 (31%)
Rural	30 (43%)
Not Applicable	3 (4%)
5. Does your supervision agency possess a specialized gang unit?	
Yes	13 (19%)
No	54 (77%)
Don't Know	2 (3%)
Not Applicable	1 (1%)



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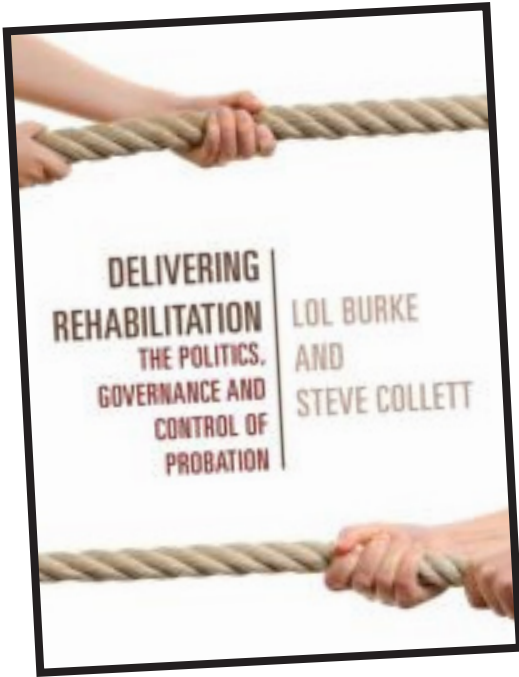
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DELIVERING REHABILITATION: THE POLITICS, GOVERNANCE AND CONTROL OF PROBATION

Lol Burke and Steve Collett,
Routledge, London. 2015, pk.
pp. 200

Probation Services in the majority of jurisdictions have experienced major changes in the way they deliver services as a result of legislative, economic and security pressures mostly driven by political short-termism. Depending on where the probation service is located they have had their programs restructured, changed oversight bodies, introduced new methods (EPB) or had programs outsourced. They have also had to respond to demands to reduce reoffending and to provide alternatives to imprisonment to assist in the reduction of prison populations. The majority of these efforts have met with various levels of outcomes, some positive and some not so positive. Unfortunately for most of these changes whether positive or negative there is very little documentation or evaluation of the change and therefore it is hard to make an adequate assessment of the value of the changes or of the impact on crime reduction or on prison populations. One probation service that has undergone an enormous amount of change in both structure and program emphasis is in England and Wales. It is also a jurisdiction that has had considerable documentation and academic comment of the processes and programs that have emerged and is definitely a “living lab” for change in our field.

The changes have been going on for over twenty-five years and have accelerated in the last five years. One result was to move away from

the traditional client focused approaches towards risk-based and offence-focused approaches and to look to the market for “rehabilitative services”. So from the latter part of 2014 to early 2015 the probation service in England and Wales was dissolved and replaced by Community Rehabilitation Companies that will take over three quarters of work with offenders considered “low risk” and the National Probation Service will keep responsibility for high-risk offenders. These changes in probation in England and Wales are the subject of a very timely and informative book by Lol Burke, a Senior Lecturer in Criminal Justice at Liverpool John Moores University and Steve Collett, who has four decades of work in probation and after retiring has kept connections with the academic community, most recently as an Honorary Fellow of Liverpool John Moores University. Both authors have strong connections to probation work which informs their approach in this book.

Delivering Rehabilitation: the Politics, Governance and Control of Probation consists of eight chapters covering issues such as; the governance and performance of probation, occupational culture and professional identity, issues related to the market revolution in corrections, partnerships and the role of civil society. In the introduction the authors provide a brief overview of their intentions and explain what they mean by probation and structure the debate for the reader. They define probation as:

“An umbrella for the rehabilitative endeavour because our understanding of the practical and professional world of probation and the Probation Service is one of a complex value-laden and politicised environment within which committed work with individuals is undertaken on the personal and bureaucratic level to deliver rehabilitation.”

This book is about delivering rehabilitation and the first two chapters set out the concepts and the contexts for this effort. The authors deal with the environment impacting rehabilitation and signaling events that have had a significant effect on rehabilitative efforts. They also demonstrate how the mixture of ideology and politics, personalities and events have helped shape probation and led to the present structure of probation under the current Government’s *Transforming Rehabilitation* agenda. Burke and Collett cover a lot of interesting aspects of rehabilitation and what it means. One fact stands out and that is the notion that rehabilitative efforts are long-term, not short-term, and thus at odds with the need for quick fixes to crime reduction and public safety. They pose a very interesting question regarding imprisonment when they ask “whether the dominance of imprisonment is tolerated as a relatively cheap alternative to longer-term social and economic change”.

The one thing to keep in mind at the heart of the rehabilitative approach is the current emerging research finding that: “the relationship between worker and offender remains critical to successful outcomes”.

The theme of the fourth chapter looks at the occupational culture and professional identity of those staffing the probation service. They try to understand why so much attention and consideration has been given to a national service that has been constantly undergoing change and reorganization since its creation in 2001. The authors examine how workers reconcile their personal and professional values around such issues as care and control and the changing nature of contemporary policy and practice. In the fifth chapter Burke and Collett explore and discuss the use of the marketplace as a means to establish competitive approaches to the delivery of rehabilitation services. This includes a discussion of the emphasis on payment for results schemes and the use of new financial instruments (social impact bonds). This chapter includes an informed discussion of the role of the state and the private sector in the “delivery of core tasks of offender management and whether or not the arrangements envisaged will lead to greater effectiveness or dangerous fragmentation”.

In the chapter *Widening Rehabilitation* the authors examine what has become a key feature of modern criminal justice planning; partnerships, localism and civil society. These are attempts to control crime through partnerships involving government, private and voluntary agencies. This chapter looks at the use of multi-agency partnerships and specific legislative efforts aimed at ensuring public safety. The attempt to tackle local problems locally runs up against the sentencing framework that is meant to cover England and Wales. Localism, the authors consider, has potential but the tension between acting locally and the sentencing framework needs some resolution. In the seventh chapter Burke and Collett are interested in looking at how the concept of “responsibilisation moved beyond the individual to agencies of the state including probation”. Using the 2011 riots in England

they explore the response and uncover a process of apportioning blame on various elements in society. This included blaming probation! The chapter looks at the citizenship and exclusion and the role of the state.

In the conclusion the authors take an optimistic stance towards the future of probation and begin a discussion on reimagining rehabilitation. They warn of the not so hidden dangers of commercializing our services. The optimism for the authors is at the margins! They believe that there is still room for community and citizen engagement. There have been significant advances in working with difficult high-risk offender groups and the use of multi-agency approaches continue to show promise. And despite all the changes, both coercive and cooperative, probation has adapted. The one thing to keep in mind at the heart of the rehabilitative approach is the current emerging research finding that: “the relationship between worker and offender remains critical to successful outcomes”.

This is a readable and well referenced book ideal for criminology, social work students, probation officers and correctional administrators. In fact it is recommended that anyone involved in policy development related to community corrections should read this book! >>>▲

DONALD G. EVANS is a Past President of the American Probation and Parole Association, Toronto, Canada.



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SECOND *World Congress* ON COMMUNITY CORRECTIONS WESTIN BONAVENTURE HOTEL AND SUITES JULY 14-16, 2015 LOS ANGELES, CALIFORNIA, USA

Representatives of community corrections from around the world will gather at the Second World Congress on Community Corrections in Los Angeles July 14-16th at the Westin Bonaventure Hotel. The Congress will commence immediately following the APPA Annual Training Institute.

The pathway of collaboration to make this possible is an interesting and compelling story. The first World Congress on Probation was held in London in October of 2013. Several APPA leaders attended, including President Carmen Rodriguez, Past Presidents Scott Taylor and APPA Past President Don Evans, Perspectives Editor William Burrell, and APPA member Bob Brown. Mr. Burrell made a plenary presentation at the Congress as the sole American on the program. Scott Taylor was President of APPA at the time the first World Congress took place. At that Congress, Marc Ceron, President of the Confederation of European Probation (CEP) and one of the organizers of the London Congress suggested that APPA host a second World Congress somewhere in the United States.

Carmen Rodriguez and Scott Taylor decided to discuss the idea of hosting the World Congress at the Past Presidents meeting at the Annual Institute in Baltimore. Mr. Burrell and APPA staff including Executive Director Carl Wicklund attended the meeting. Marc Ceron made a special trip to the United States, spoke to the Board of Directors about

the World Congress and met with the Past Presidents. Questions such as cost, attendance, location, sponsorships and other details were discussed at the meeting. The Past Presidents were interested in making this one of their “projects”. The idea was taken to the Board of Directors and approved unanimously. Thus, the Second World Congress (WC2) was born and the hard work started!

As the chair of the Congress, Scott Taylor began to put together a team of people who would work on the Congress. Early on, he contacted Phil Nunes, President of the International Community Corrections Association (ICCA), to explore the idea of ICCA co-sponsoring the World Congress. ICCA was very interested and their Board approved the co-sponsorship of the event. Scott decided that it would be helpful to have a project director for the World Congress, and asked Thanh Dang, of the Multnomah County Department of Community Justice to serve in that role. He then asked ICCA to take the lead in finding sponsors for the event and asked APPA Vice President Susan Burke to take on the responsibility of handling publicity for the Congress. Lastly, Scott asked APPA Past President Ray Wahl to chair the Program Committee. Throughout the planning there have been many APPA staff involved but of particular note is that both Carl Wicklund and Diane Kincaid have been involved in all aspects of the planning. As is typical of each APPA Institute, Yolanda Kennison has been the


person dealing directly with the hotel on the myriad logistical issues involved in an event of this scale.

The general format of the Congress is an opening reception for the delegates and presenters in the Expo Hall on Tuesday, July 14th. On Wednesday morning the APPA Institute will conclude in its final session, which World Congress participants will attend. Immediately following, the World Congress will open. It will feature 3 plenary speakers, 20 workshops, two luncheons and a dine-around organized by the Past Presidents. The County of Los Angeles Probation Department will be offering tours of local facilities and have been very supportive of the World Congress.

While some of the details of the conference planning are still on-going, this article will focus on the process of planning the program. Early on, the discussion with the Congress planners was to model the process after that of the first Congress. As the Program Committee was formed, the following people expressed interest in serving: William Burrell, Don Evans, Phil Nunes and other ICCA representatives including Linda Connelly and Lusanne Green, CEP Board members Sue Hall and Ioan Durnescu, Julie Truschel who is a member of the APPA International Relations Committee and project manager Thanh Dang.

A process was developed to send out a Call for Presenters, similar to that

international update



of the first World Congress. The committee realized that one of the things that needed to be worked on first was to find Plenary Speakers. The committee agreed to identify people who would challenge the conventional wisdom in the field of community corrections. William Burrell did a tremendous amount of leg work on plenary speakers and we think we have outstanding ones. The first plenary speaker on July 15th will be Dr. Laurence Steinberg from Temple University, who will speak on Adolescent Brain Development. There will be two plenary sessions on July 16th. The first will be delivered by Dr. Jennifer Skeem of the University of California, Berkeley, familiar to APPA Institute attendees, who will be discussing the community supervision of offenders with mental health issues. Last but certainly not least, the final plenary speaker will be Fergus McNeill of the University of Glasgow, familiar to international attendees, who will be discussing desistance and his international work on offender case management and supervision strategies.

In response to the Call for Presenters, 61 proposals were received. About one-third of these were international proposals and represented countries such as the United Kingdom, Scotland, Ireland, Canada, Poland, Romania, Hungary, Jordan, South Korea, Taiwan, Japan, Thailand, the Philippines, Africa, Ghana and the Netherlands. The goal of the program committee was to have a strong international flavor to the program. The Program Committee met on January 9th in Tampa prior to the APPA Winter Training Institute. The Committee faced a welcome but interesting challenge—to select the best proposals to form an intriguing and compelling program for the Congress. All members came prepared to discuss the workshops and after six hours, arrived at the 20 selected workshops and four alternates. Program themes included

advancing practices, administrative/policy innovations, juvenile and family justice innovations, restorative justice, behavioral health, desistance and the retreat from mass incarceration. By far, the most workshop proposals were in the area of advancing practices.

As of February 6th, the following program was placed on the World Congress website. Please refer to this link to look at the complete workshop list <http://worldcongressoncommunitycorrections.org/program.html>

The Program Committee would like to take this opportunity to thank all those people who submitted a workshop proposal. There were many excellent workshops that we were unable to approve for the program. We would

also like to thank the APPA staff for their support and professional expertise as the program was developed. Finally, we want to thank all those APPA and ICCA members, and international community corrections professionals who have shown a strong interest and commitment to attend the World Congress. We feel that for some, attendance will be a once in a lifetime opportunity and we want to make it the best experience possible. We want to encourage people to go to the World Congress website and register. Los Angeles awaits the field of professionals in Community Corrections in July! ▷▷▲

RAY WAHL is the Deputy State Court Administrator for the Utah State Courts. He is also a Past President of the American Probation and Parole Association, and the Program Chair for the Second World Congress on Community Corrections.

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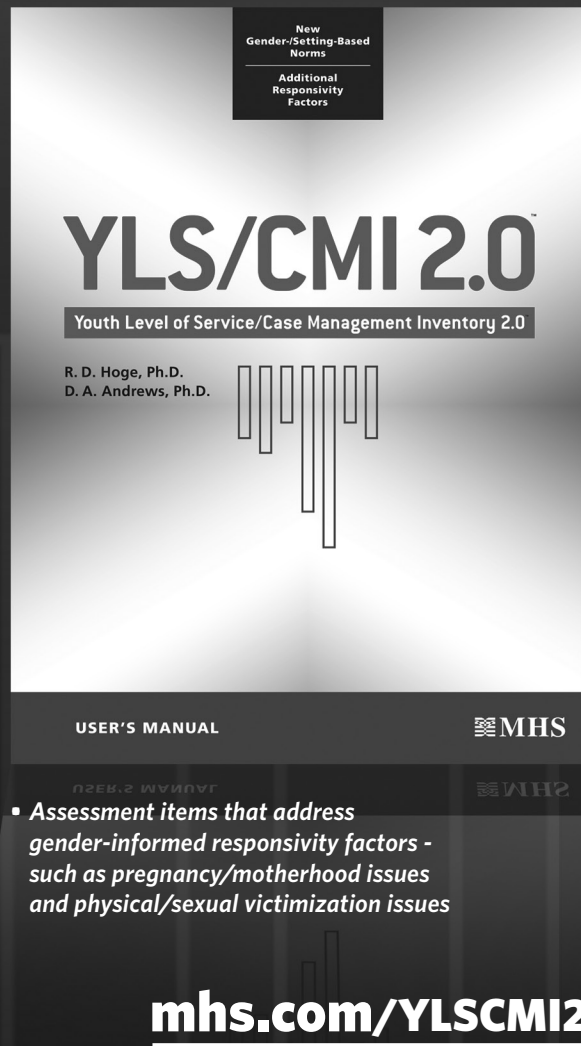
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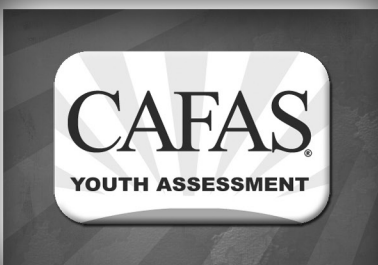
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STATE OF THE RESEARCH: THE RESPONSIVITY PRINCIPLE

Although the Risk-Need-Responsivity model has been extensively researched, the responsivity principle remains understudied (Andrews, & Bonta, 2010; Polaschek, 2012; Vieira, Skilling, & Peterson-Badali, 2009; Taxman, 2014). Dowden (1998) conducted a meta-analysis of the risk, need and responsivity principles and reported that the mean effect size for adherence was 0.23, as compared to a 0.04 effect size for non-adherence to the principle. Therefore, there is promise for the effectiveness of the responsivity principle, but there lacks a concerted effort to expand upon the existing research. The current review provides a summary of the research on the general responsivity principle to date and concludes with the next steps for research.

The responsivity principle provides guidance for how correctional programs should be designed and includes two sub-principles: general responsivity and

specific responsivity. General responsivity pertains to the overall structure of the program and Andrews and Bonta (2010) assert that programs using cognitive-behavioral or cognitive-social learning models are more effective than programs using other treatment models. They also state that programs that adhere to the general responsivity principle will include techniques such “role-playing, modeling, repeated practice of alternative behaviors, cognitive restructuring to modify thoughts/emotions, skills building or reinforcement” (Andrews & Bonta, 2010, p. 50). Specific responsivity pertains to how treatment is adjusted to meet the needs of individual participants. It is through adherence to the specific responsivity principle that non-criminogenic needs, such as learning ability, gender-specific needs and trauma-history, are addressed. However, despite exposition on these principles by Andrews and Bonta (2010), it remains unclear how the responsivity principle should be executed in a real world setting (Covell

& Wheeler, 2011). Although Polaschek (2012) did note a growing body of research on the principle, more research is needed to further clarify it.

Bourgon and Gutierrez (2012) examined the responsivity principle in the context of community supervision using audio-recorded sessions between the probation officer and client. Officers who were trained in routine supervision skills were compared with those who were trained in the Strategic Training Initiative in Community Supervision (STICS), which is a supervision model based on the RNR principles. Results showed that officers who had been trained in the STICS model used cognitive interventions significantly more and the use of the cognitive techniques was significantly associated with lower recidivism (Bourgon & Gutierrez, 2012). The same was true for the application of RNR in the proactive community supervision model (Taxman, 2008). The responsivity principle therefore applies not only to treatment programming but also to interactions between supervision staff and justice-involved individuals.

Other research supports the possibility that the responsivity principle works best in conjunction with the risk principle. For example, Bonta & Andrews (2007) found a stronger treatment effect when a program adheres to multiple principles. More specifically, when comparing probationers participating in structured, cognitive-behavioral treatment with non-

participants, McGuire, Bilby, Hatcher et al. (2008) observed a stronger treatment effect for higher risk participants of the program (McGuire et al., 2008). Thanner and Taxman (2003) examined the responsivity principle in conjunction with the risk principle. Although it is impossible to identify the unique effect of responsivity adherence, the results did show small-to-moderate effect sizes for cognitive-behavioral treatment compared to the traditional system. A treatment effect was also found when risk level was taken into account. High-risk offenders benefited from the high-intensity, cognitive-behavioral programming compared to those in the control group and moderate-risk offenders did worse in high-intensity, cognitive-behavioral programming as compared to their counterparts in the traditional system (Thanner & Taxman, 2003).

However, there are studies available that support the general responsivity principle but were not specifically designed to test the principle (Dutra, Stathopoulou, Basden et al., 2008; Izzo and Ross, 1990; Landenberger and Lipsey, 2005). Izzo and Ross (1990) examined juvenile correctional programs that included a cognitive component in treatment. They found a stronger treatment effect for the programs with a cognitive component. Dutra, Stathopoulou, Basden et al. (2008) conducted a meta-analysis of 34 randomized controlled studies, of which 13 were cognitive-behavioral and two were cognitive-behavioral with

contingency management. Approximately 27 percent of the participants who received cognitive-behavioral therapy abstained from substance use. Although, they did note that the highest effect sizes were among the studies that included cognitive-behavioral and contingency management therapy and low-to-moderate effect sizes were found for cognitive-behavioral therapy (Dutra et al., 2008).

**Further, as the
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and specific responsivity
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possibly improve the
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other.**

Landenberger and Lipsey (2005) conducted a meta-analysis to examine the effects of cognitive-behavioral therapy on recidivism. The sample was comprised of 58 experimental and quasi-experimental studies, of which 17 included juvenile offenders and 41 included adult offenders. Although the results did show positive effects for cognitive-behavioral programs, several moderator variables were also identified, including risk level, implementation integrity and anger management and relational treatment elements. Once these moderators were included, there was no significant difference between cognitive-behavioral and non-cognitive-behavioral programs (Landenberger & Lipsey, 2005).

NEXT STEPS

To further explore the general responsivity principle, more research is needed on the techniques highlighted by Andrews and Bonta (2010). As it stands, they named the following techniques: “role-playing, modeling, repeated practice of alternative behaviors, cognitive restructuring to modify thoughts/emotions, skills building or reinforcement” (Andrews & Bonta, 2010, p. 50), but they did not note whether all or some of the techniques are needed to effectively reduce recidivism, or whether certain combinations will be most effective.

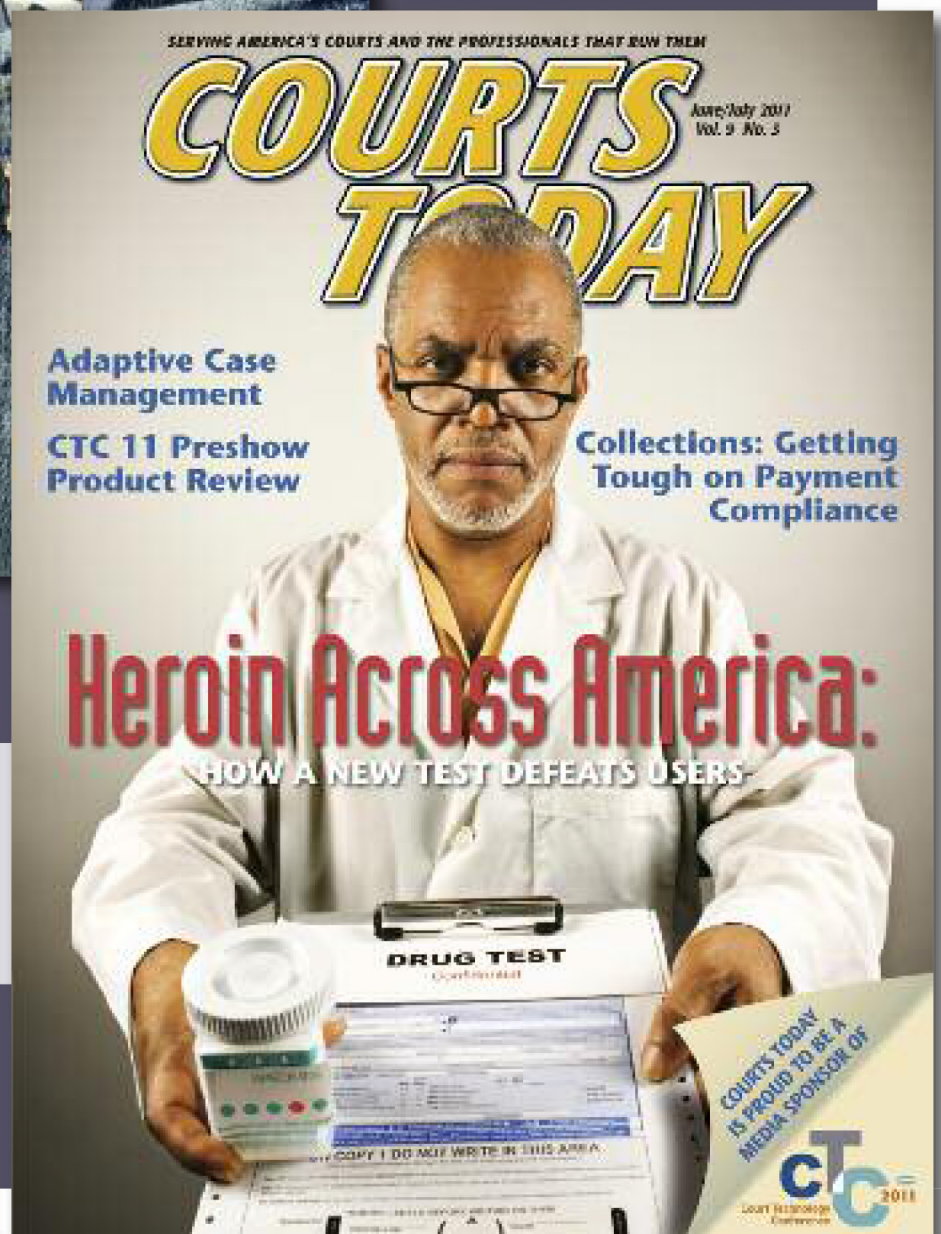
Additionally, although Andrews and Bonta (2010) highlight the effectiveness of cognitive-behavioral and cognitive-social learning models, it is unclear whether those are the only models that adhere to the responsivity principle or whether other models also meet the criteria of adherence to the responsivity principle.



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Further, as the responsivity principle includes both general and specific responsivity principles, it will be essential to examine both, to determine how they may possibly improve the effectiveness of the other. As the responsivity principle describes how programs should be designed, this includes both the overall structure as well as the more specific modifications that are adjusted to individual participants. Therefore, as the overall program is comprised of individual clients, and as the individual clients do not operate in a vacuum, considering the general and specific responsivity principles together could also help to advance the understanding of how both principles can be implemented in the real world setting. >>>▲

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LIANA TURNER Ph.D., is a postdoctoral researcher in Criminology, Law and Society at George Mason University in Virginia.

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USING SCIENCE TO INFORM OFFENDER REHABILITATION

Author's Note: *The opinions, findings, and conclusions or recommendations expressed in this article are those of the author and do not necessarily reflect those of the U.S. Department of Justice.*

As members of APPA know, the outlook for offenders returning to their communities is not encouraging. The majority are rearrested for a new crime within three to five years of release (Durose, Cooper, & Snyder, 2014). A careful look at the scientific evidence related to rehabilitation holds promise for improvement.

Here is what we know: Almost seven million persons were under criminal justice jurisdiction at year-end 2013 (Glaze & Kaeble, 2014), one in every 35 American adults were under some form of correctional supervision and one in every 51 American adults were on probation and parole.

Here is something else we know: the field of criminal justice has moved beyond the adage that 'nothing works' made famous by Martinson in 1974. Forty years and numerous studies of offender rehabilitation later, scholars and practitioners have taken great steps in understanding offender rehabilitation and what works to reduce reoffending. Many contemporary scholars conclude that rehabilitation is possible. As an

example, Professor Francis Cullen, who has studied corrections for over 30 years, makes several compelling suggestions in a recent essay (Cullen, 2013).

Below is an overview of how the author views the impact these suggestions may have on the future of offender rehabilitation:

Offender rehabilitation is here to stay. In recent years, policymakers and the public have expressed continued support for assisting offenders who are transitioning from prison or jail back to the community. Flanagan and Longmire found that 54 percent of the American public supports spending money on social and economic problems to lower crime, compared to 31 percent who endorse more funding for the criminal justice system (Flanagan & Longmire, 1996). In the 20 years since Flanagan and Longmire's findings, there continues to be support for social intervention and rehabilitation and the wealth of research on 'what can work' for offenders has continued to grow.

Evidence-based risk assessment models, such as the Risk-Need-Responsivity (RNR) paradigm, are key to reducing reoffending. They provide a wealth of information to practitioners and service providers about what works to reduce reoffending. Training probation and parole officers how to apply the core components of the RNR paradigm to their work could aid their interactions with offenders under their supervision.

Understanding the importance of desistance-based models of criminality is key. Former offenders are not created equal: some will continue to engage in criminal behavior, while others will not. Like the RNR paradigm, desistance-based models may provide insight into how one's experiences link to change and which treatments are most effective.

Early evidence-based intervention for troubled youth is essential to interrupting possible long-term criminality. To provide appropriate treatment and interventions, practitioners must view adolescence and adulthood as a continuum rather than as distinct phases of growth. The investment in youth must begin early.

Offenders who have been rehabilitated should be viewed as rehabilitated. Contemporary societies are "particularly bad at reintegrating and re-accepting individuals who have committed offenses back into wider society," according to some scholars (Maruna, 2011). This is true even when data show that after a certain point, certain offenders, based on offense type, are no more likely to commit crime than their crime-free counterparts (Blumstein & Nakamura, 2010). How do we make it clear that these individuals are indeed redeemed and rehabilitated? One suggestion comes from Bushway and Apel who note that voluntary participation in training programs and employment can signal prospective employers that

individuals are ready to work and remain crime-free (Bushway & Apel, 2012).

Money (can) talk. Providing organizations and agencies with financial incentives may increase the likelihood of developing and implementing evidence-based practices. “Pay for Success” is a recent example of investing in a program that receives rewards when it can show it has successfully reduced recidivism. Low rates of reoffending can equate to possible financial investments in program expansion, research on the effectiveness of said programs, and importantly, making profits through effective interventions.

So where do these important insights leave us? How do we embed the tenets of rehabilitation into our work so that offenders who are released have a chance to succeed? How can research and science help?

A great first step is to view rehabilitation in the context of the medical model, one size does not fit all so that treatments must reflect the individual’s needs. Thus, offender treatment should be individualized. An individualized approach would be quite cumbersome given the 4.7 million individuals under community supervision (Herberman & Bonczar, 2014), but some attempts, on a larger scale, have been made. For example, electronic monitoring using Global Positioning Systems (GPS), is one of many tools probation and parole agencies are finding useful. Results from

one NIJ-sponsored study found that GPS can be useful in identifying problematic behavior for certain high-risk offenders (Gies et al., 2012). Technology works, but not for everyone, which is a key factor in deciding how to use technology to go beyond monitoring and use it to support rehabilitation.

Scientific studies of risk assessment tools have shown them to be effective at identifying appropriate levels of supervision and services. In Philadelphia, the Adult Probation and Parole Department worked with researchers at the University of Pennsylvania to create a risk model that accurately predicted which high-risk violent offenders would be most likely to recidivate within two years of release from custody (Barnes & Hyatt, 2012). The tool is not meant to accurately predict recidivism 100 percent of the time; like other tools, it provides valuable information parole and probation agencies can use to enhance the rehabilitation process.

Improving the rehabilitation experience for offenders requires continued commitment to scientific principles and the rehabilitative ideology. Science and reason not only help us make better decisions that improve public safety, but more importantly, they give former offenders the opportunity to succeed and contribute to their communities. ►►▲

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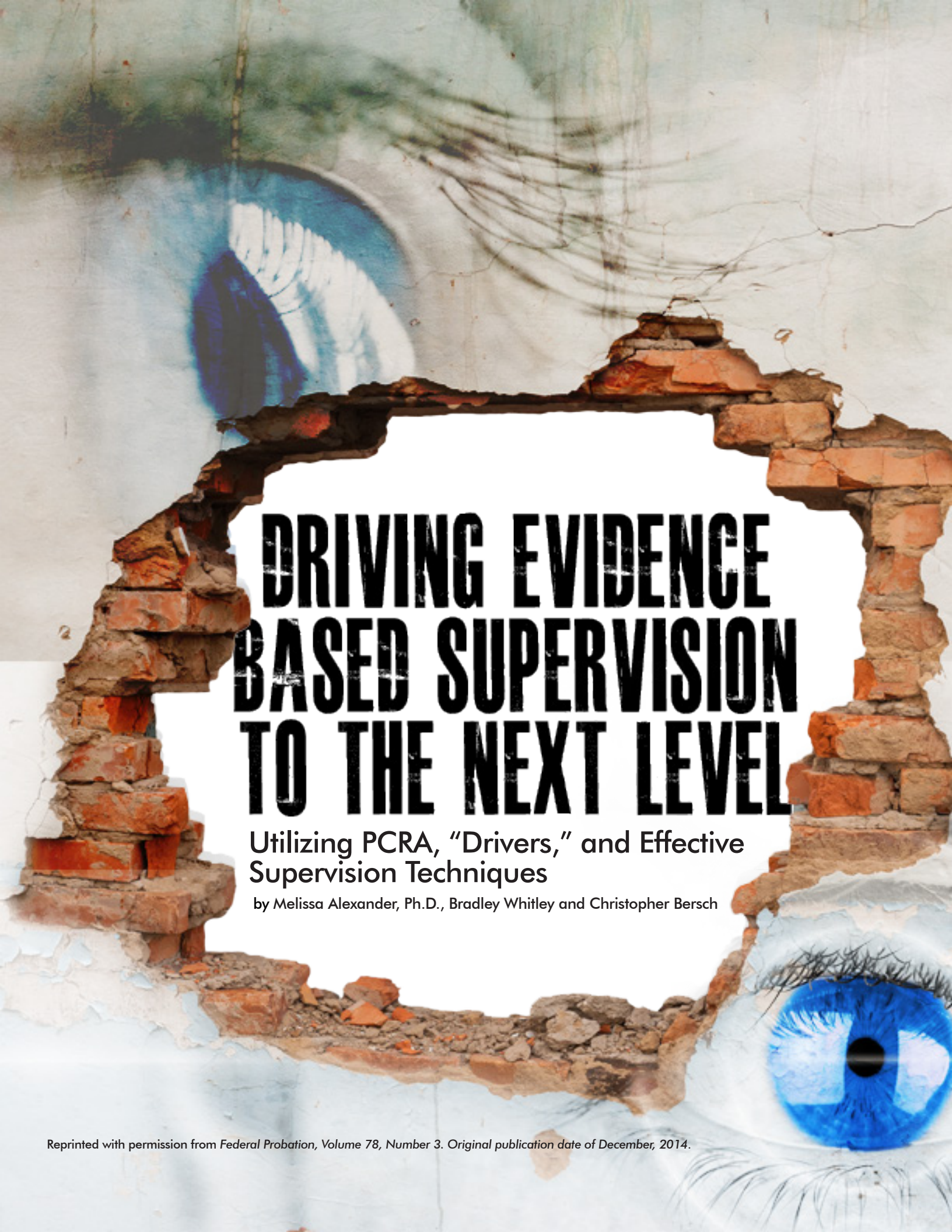
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Marie Garcia is a Social Science Analyst at the National Institute of Justice.



DRIVING EVIDENCE BASED SUPERVISION TO THE NEXT LEVEL

Utilizing PCRA, "Drivers," and Effective
Supervision Techniques

by Melissa Alexander, Ph.D., Bradley Whitley and Christopher Bersch

The idea of evidence-based supervision has been a part of the correctional landscape for years, but only in the past decade has the idea of evidence-based practice taken hold in the United States federal probation system. This development began with the movement towards a sophisticated risk assessment tool that provides information on dynamic risk factors and assists in case planning. VanBenschoten (2008) laid out the possibilities of such a tool, and that goal became a reality with the development of the Post Conviction Risk Assessment (PCRA; Johnson, Lowenkamp, VanBenschoten, & Robinson, 2011), which was made available to federal probation offices beginning in 2010. Since the publication of the PCRA, federal districts around the country have focused on training officers on its use. Over the past four years supervision officers within the federal system have received training on the basic tenets of risk assessment, the reliability/validity of the PCRA, the dynamic risk factors included in the PCRA, and scoring of the tool. The PCRA is now being completed on 95 percent of the more than 121,000 active supervision cases nationwide (DSS, June 2014). Now that it has reached this level of adoption, it is time to take the PCRA to the next level: to ensure use of the PCRA in daily supervision tasks, through a more sophisticated analysis of the dynamic risk factors, including how the factors may be most effectively addressed during supervision and how supervisors can support the development of evidence-based supervision.

In this article we will outline what we see as the untapped potential of the PCRA as a basis for effective supervision, including what we have termed the potential “drivers” of the risk factors captured by the PCRA, as well as examples of interventions officers may consider using to effectively address the drivers. Finally, we discuss ways supervisors can encourage officers in the use of risk assessment in their daily supervision tasks.

PCRA: THE BEGINNING

The PCRA was developed from a data set that included information on roughly 100,000 offenders in the federal system. Based on existing research, items were developed that were classified into five major categories: criminal history, education and employment, substance abuse, social networks and attitudes. The tool contains items rated by the officer, as well as an 80-item self-report questionnaire that assesses criminal thinking, based on the Psychology Inventory of Criminal Thinking Styles (PICTS, Walters, 2002). Scoring results in offenders being placed in one of four risk categories: High, Moderate, Low/Moderate, and Low. Additionally, the top three dynamic risk factors are noted. Research to date on the tool indicates that it is a reliable and valid assessment of risk (Johnson et al., 2011; Lowenkamp, Johnson, Holsinger, VanBenschoten, & Robinson, 2013).

IMPLEMENTATION OF “TRUE” RISK ASSESSMENT

Although many probation departments, both state and federal, have claimed to use risk assessments in supervision for decades, in most cases the reality is that they administer risk assessments but fail to use them to adjust supervision commensurate with risk. Rather, officers continue to see offenders at the same rate (typically monthly) despite differing risk levels, and generally concentrate on monitoring compliance with conditions of supervision, rather than on targeted, proactive efforts to reduce risk. Given this history, during the implementation of PCRA our district made a focused effort to stair-step officers into risk-based supervision. The first step involved ensuring that officers truly understood the PCRA. Officers were trained not only to correctly score the PCRA, but also to understand the rationale behind why specific items were included in the tool. The PCRA manual does an excellent job of noting for each item the research that supports its use, but our experience was that few officers actually read those sections of the manual. Thus, a concerted effort was made to ensure that officers understood the rationale of the individual items included on the PCRA.

Following initial training, we developed a specific implementation plan, with a focus on the quality of the administration and scoring of the PCRA. While we wanted to take the PCRA to

scale, developing expertise in scoring the PCRA was viewed as more important than rushing to complete PCRA on all offenders under our supervision. To attain this goal of expertise in scoring, officers were instructed to complete a minimum of three PCRA on moderate- to high-risk cases over six weeks, and supervisors reviewed those cases for accuracy and understanding. Any scoring errors were noted, and commonly seen errors were addressed during a booster session held after the six-week period. For the next three months, officers completed a minimum of one PCRA per week, and officers were placed into a “peer review” rotation where they reviewed each other’s cases for PCRA accuracy. Anecdotal conversations with officers indicate that this peer review process resulted in significant knowledge gains about the PCRA, as officers had to explain to one another why a PRA was scored a certain way.

Incremental additions were made to the requirements for PCRA completion, with realistic targets for both accuracy and completion (i.e., no more than one point difference in PCRA scoring for 85 percent of cases scored, 50 percent of cases having a completed PCRA within nine months of initial training). Once the majority of cases had PCRA completed, the focus shifted to ensuring that officers actually used the information. Officers were instructed on ways to provide feedback on the PCRA to offenders, and were encouraged to have collaborative

conversations with offenders about the risk factors and what they might mean. Admittedly, this was extremely challenging for many officers. Many did not feel comfortable telling an offender they were “high risk” (though they aren’t required to use that terminology) and worried that they would not be able to adequately explain the dynamic risk factors. Although some officers continue to struggle with providing this feedback to offenders, many have developed a “script” for explaining the PCRA.

For example, one officer tells the offender: What the risk assessment does for us is provides us with a road map for your success. It shows us different areas of your life that may hinder your success. If we start addressing and eliminating these risk factors, we can reduce your risk, which statistically speaking gives you a better chance of success and reaching your goals.

The officer then discusses each risk factor that was elevated on the PCRA, including a discussion of the “drivers” (discussed in greater detail below). The officer specifically asks the offender to come up with ways to address each factor, in order to develop a sense of ownership and also encourages putting a plan in place, including a timeline, to start addressing each risk factor.

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THE COMPLEXITY OF DYNAMIC RISK FACTORS

Once PCRA implementation was complete—that is, almost all cases had a PCRA score—a shift was made to more fully understand the dynamic risk factors. Although two offenders may have the same PCRA risk level and the same top three risk factors, the presentation of those factors can be very different. What “drives” the risk factor? We made a concerted effort to move beyond simply noting which PCRA items were scored and instead took a holistic view of each dynamic risk factor. A list of potential drivers for each factor was developed, though officers are encouraged to include any additional ones that may pertain to a particular case. The major drivers for each dynamic risk factor are outlined below.

COGNITIONS

Cognitions refers to an individual’s thinking and thinking patterns. There are two main drivers identified for cognitions:

1. The inability to monitor thinking. Many offenders simply react impulsively and are unaware of any thoughts they have prior to behaving. These individuals may say things like “I wasn’t thinking, I just reacted.” In reality, they did have internal thoughts prior to the behavior, but simply have not slowed down enough to pay attention to them. Alternatively, offenders may be aware of their thoughts (“I thought he disrespected me so I punched him”) but lack the skills necessary to analyze those thoughts and replace antisocial thinking with more prosocial thoughts.

2. Antisocial thinking. In addition, or alternatively, the offender may exhibit minor to severe antisocial thinking. The PCRA uses both officer observation and offender self-report to identify potential antisocial thinking. The offender self-report breaks down antisocial thinking into several facets:

a. Proactive vs. Reactive. Is the thinking purposeful and goal-directed (i.e., “I deal drugs because I can make a lot of money”), or an impulsive reaction to a situation (“I assaulted him because he disrespected me”)?

b. Specific criminal thinking style. The self-report identifies eight potential thinking styles and an offender may have any combination of them. Each is briefly described below:

i. Mollification: Blaming Others, Making Excuses; “Everyone in my neighborhood sold drugs.”

ii. Cutoff: Ignoring responsible actions; “F\$@% it.”

iii. Entitlement: I should get what I want, feeling above the law; identifies wants as needs; “I’ve done my time and the system owes me.”

- iv. Power orientation: Asserting power over others, attempt to control people and environment; "If I let someone control me, I'm a nobody."
- v. Sentimentality: Self-serving acts of kindness that negate antisocial behavior; "I help out all the old people on my street."
- vi. Superoptimism: Getting away with anything; "My officer will let me get away with one positive UA, plus I know when I'm going to get tested."
- vii. Cognitive Indolence: Lazy thinking; "I can't work in fast food. I can get more money hustling with my boys."
- viii. Discontinuity: Getting sidetracked; "I was clean for a week. I can celebrate with my friends tonight."

SOCIAL NETWORKS

The social networks category impacts a significant number of our offenders, yet officers rarely address it. When they do address social networks, they most often do so in the form of a directive, such as "You aren't allowed to hang out with convicted felons." An analysis of the drivers for this risk factor is particularly important because the items on the PCRA for this factor are limited. In fact, one of the most common reasons this factor is elevated is because the individual is single, so officers often jokingly ask, "So am I supposed to find them a girlfriend?" Officers have learned to view this item in a more complex way: that marriage is typically a prosocial relationship which provides support in decision-making, support of feelings and assistance with responsibilities; models prosocial behaviors; keeps us in check; gives us feedback and advice and occupies a majority of our free time. Without that type of relationship, an offender has an abundance of time that may not be occupied. Thus, we try to bring awareness of an offender's free time and how that time needs to be occupied with prosocial people, relationships and/or activities. A thorough analysis of the social arena can reveal several additional potential areas for intervention:

1. Antisocial Attitudes: One potential reason for antisocial networks may actually be the offender's antisocial thinking. The offender may think "it's no fun being straight" and thus actively seek out antisocial peers.
2. Antisocial peers and/or family: The offender may only be exposed to antisocial peers, i.e., "Everyone I know is on probation."
3. Lack of contact with prosocial people/environments: Similar to item #2 above, the offender may not have contact with any prosocial peers, nor be aware of places or resources from which they may find and develop prosocial relationships.
4. Interpersonal Skills Deficit: An offender may lack the social skills necessary to attract prosocial peers. In thinking about this driver, one may ask: "Would I want to be

friends with him?” Similarly, the offender may have poor conflict-resolution skills, get angry easily and get into verbal/physical altercations. These characteristics and lack of skills will make him unattractive to prosocial peers.

SUBSTANCE ABUSE

Similar to the social networks risk factor, substance abuse may be the result of one or a combination of drivers. The most common ones include:

1. **Antisocial Attitudes:** The offender harbors antisocial thinking such as “drugs should be legal” or “the government can’t tell me what to do with my free time.”

2. **Poor Coping Skills:** Some offenders may use substances in order to deal with their daily lives, e.g., “I need to have a few drinks after a stressful day at work,” to deal with physical pain, or to deal with other issues for which they have no effective coping mechanisms.

3. **Social Networks:** Use may be related to whom the offender is spending time with (for example, “all my family drinks”) or offenders may feel pressure from peers to use when they are together.

4. **Mental Health:** Some offenders may use substances to deal with various mental health conditions, such as depression.

5. **Physical Addiction:** Some offenders may be physically addicted to a substance, such as heroin, where individuals use the substance to avoid withdrawal symptoms.

EDUCATION/EMPLOYMENT

This risk factor includes both educational and employment issues. To date, we have identified seven potential drivers:

1. **Educational deficit:** Many offenders have limited employment opportunities because they have less than a GED or only a GED and no additional training.

2. **Vocational skill deficit:** Offenders may have a high school diploma or GED, but no other vocational skills. Or, they may have some level of trade skills, but not the necessary certifications to obtain employment.

3. **Interpersonal Skills Deficit:** An offender may have interpersonal skill deficits that interfere with being a good employee, and/or result in problems on the job. For example, he or she may have a sense of entitlement (e.g., “my boss can’t tell me what to do”) or poor conflict-resolution skills that lead to verbal altercations with coworkers, customers, etc.

4. **Distorted/antisocial attitudes towards employment:** The offender may feel that minimum-wage positions are “beneath” him or her, or feel that making money dealing drugs is better than working 40 hours a week or have a host of other attitudes that impede employment.

5. **Substance abuse:** Offenders with active, untreated substance abuse problems will be unable to sustain educational programs or employment.

6. Medical/Mental Health: An offender may have medical conditions that prevent him or her from completing essential job tasks, depression that results in calling in sick frequently (leading to loss of a job), or other medical/mental health conditions that will be problematic if not addressed.

7. Logistical barriers: There may be legitimate barriers such as transportation and childcare that need to be addressed.

An example of how drivers may impact cases differentially may be helpful. Consider these two (actual) cases, both moderate risk according to the PCRA, and both having risk factors of social networks, education/employment and substance abuse. In case #1, the social network scoring item is that the offender is single, but he also reports that he has no prosocial peers and lots of antisocial peers. He lacks a high school diploma or GED and is unmotivated to improve his education. He also lacks any work history. He has poor coping skills, leading to alcohol/drug use and also has several peers that use. In contrast, case #2 is also single, but has several female partners (with six children and one on the way) and no prosocial support. He has an associate's degree but lacks significant work history. He has previously been fired for play-fighting at work, suggesting potential antisocial attitudes and/or poor interpersonal skills and also regularly uses marijuana (so would be unable to pass a drug test, often required as a condition of employment). He also has a felony voluntary manslaughter charge from age

16 on his criminal record. He has poor coping skills (regarding the stress of having 6 children and one on the way) and has peers that use, in addition to a potential addiction to marijuana. Case #2 also has elevated criminal thinking styles of Super Optimism, Entitlement and Cutoff.

The drivers in these cases will impact the supervision strategies in a multitude of ways, from how often contact is made to what issues are addressed first to what interventions/strategies may be used. For example, in the first case the focus might begin on building motivation for education so he may obtain employment, while in the second case antisocial attitudes would need to be addressed first, since they impact his attitudes towards work and possibly his ability to relate to a boss and/or coworkers.

Discovering which driver(s) may impact an individual offender is a collaborative effort between the officer and the offender. Too often, officers have been the "expert" in what an offender should do, when in reality the offender should be an integral part of the risk-reduction strategy. One officer noted that this collaboration begins when PCRA feedback is given to the offender. After providing a brief explanation of the risk assessment process, the officer asks the offender what he thinks about the information provided, especially the idea that he can actively change his

chance of success on supervision. Another officer reported making a concerted effort to discuss social networks, probing for ideas about the benefits of prosocial peers (avoiding negative influence, maintaining sobriety, job leads), asking the offender to think about ways to build a network of prosocial peers and talking about hobbies, community activities, church and any other activities that may help structure free time.

TARGET INTERVENTIONS BASED ON RISK FACTORS/DRIVERS

The analysis of risk factors/drivers should in turn drive the specific intervention strategies used during supervision. These may include a variety of what have traditionally been called “controlling” and “correctional” strategies. For instance, consider an offender with a long criminal history of dealing drugs. The PCRA risk level is high, with cognitions, social networks and education/employment as the risk factors. The driver analysis indicates significant antisocial thinking, an abundance of antisocial peers, no work history, and antisocial attitudes about work (“I’m not working a regular job, I make too much money dealing”). The officer’s strategies would likely include a significant amount of monitoring/surveillance such as unannounced field visits at non-traditional hours and potentially even a search if the offender has a special condition and it is warranted (Le., officer suspects continued dealing). Additionally, the officer may start using various STARR (Staff Training

Aimed at Reducing Rearrest; Robinson, Lowenkamp, VanBenschoten, Alexander, Holminger, & Oleson, 2012) techniques, such as teaching/applying the cognitive model, in order to try to break down some of the antisocial thinking.

An officer recently presented another example of a case that, for him, helped underscore the change from the “old” way of supervision to the risk-based, evidence-based way. The offender is in his 20s, a gang member, chronic marijuana user, unemployed with very little job history and has antisocial thinking patterns. Not surprising to the officer, this offender scored relatively high on the PCRA (moderate, only because he did not have a significant prior criminal history), with dynamic risk factors of cognitions, social networks and alcohol/drugs. The officer stated:

These results were not surprising by any means; however, the risk factor that I would have normally overlooked in my “old” way of supervision, cognitions, was identified as the top risk factor. I normally would have pressed the issue of employment, not realizing that if the other risk factors were not addressed, he would never be able to maintain employment, let alone find it. I could have also easily jumped into addressing with whom he associates or his marijuana problem, but through what I have learned through the implementation of the PCRA and STARR, if I can assist the offender in addressing the way he thinks and recognize some

of his destructive thought patterns, it will be much easier for me to work with him in addressing the other risk factors. The PCRA results also prompted me to dig deeper into what was driving these risk factors, and with this particular offender, I did not have to dig very far. He was very blunt on how he lived his life leading up to his instant offense. Though he had a supportive family, he often spent time with his fellow gang members or those involved in criminal activities. This led to him developing a “street mentality” of how society works. He had the view that it was okay to commit crime at someone else’s expense as long as it benefitted him or his friends, that fighting was the way to solve problems and that marijuana use was not illegal but more of a way to “chill with my people.” These conversations helped me with my supervision strategy for this offender, in that my primary focus would be on the drivers of his cognitions and social networks issues, as these were essentially the drivers of his marijuana use.

Given this history, the officer focused on using location monitoring to limit associations with negative peers, while simultaneously teaching the cognitive model (a STARR technique), which helped the offender become more aware of his own criminal thinking as well as the negative influence of his friends. The location monitoring also forced him to spend more time with prosocial influences, his family. The officer reported that he also used STARR techniques of

effective reinforcement and disapproval to further influence prosocial behaviors and decrease antisocial ones. Finally, the officer reported learning more about the offender’s ethnic culture and the high respect he had for his family, specifically his mother and thus was able to get his mother involved in some of the strategies. The officer helped the mother understand her son’s risk factors so she could assist, such as keeping him busy at home or how to talk to him in a way where he would be more receptive to her feedback, based on his thinking patterns. The officer readily admits that he initially thought there was “no way” this offender would make it through supervision. However, as a result of the officer using the information gleaned from the risk assessment, along with new intervention strategies such as STARR, the offender has now completed half of his five-year term. The officer has noted a significant change in the offender’s attitude and thinking, particularly his view of his responsibilities as an adult. His priorities have now shifted from reputation, pride, and money to family, job and future outside the criminal lifestyle. The offender has a stronger relationship with his mother, a better understanding of who his prosocial peers are and comprehends the negative effects of marijuana use. He has discovered the importance of employment, which included working at McDonald’s, a humbling experience that he would have never allowed himself at the beginning of supervision. His last two PCRA assessments have yielded a Low/Moderate

risk level, with a continued risk factor being social networks. The supervision strategy for this risk factor has changed from the offender having to avoid his negative peers, to now addressing the driver of a need for more prosocial people in his life outside his family.

MANAGEMENT COACHING: THE CRITICAL LINK

As with any change initiative, it is imperative that officers are actively supported when trying to change their supervision strategies. Our front-line supervisors have been critical in this support role. First and foremost, supervisors have focused on education and training in the PCRA, the dynamic risk factors and the drivers, with a focus on how the risk level and risk factors should drive supervision contacts, conversations and activities.

The first step in this process is simply encouraging officers to begin talking about risk and risk factors in their contacts. In one office, the supervisor has piloted several specific strategies to provide encouragement and coaching. Perhaps one of the most powerful tools implemented was in fact a very simple one: Officers were instructed to include the PCRA risk level and top three risk factors in every chronological narrative (chrono) of a contact with an offender. Requiring officers to do so forced them to at least think about the factors at each contact, even if they didn't address every one of them. An example noting a

traditional chronological narrative versus a risk-based one showcases the difference this change can make:

Traditional chrono: Offender reported to the office, reports no changes. He advises that he has mailed his monthly supervision report. He was confronted about his alcohol use. Offender did admit that he has consumed beer in the last several weeks; however, indicated no other alcohol use. He was issued a verbal reprimand. Indicated I did not like him using any form of alcohol and that it has caused problems for him in the past. He indicated that he understood, but had things in check. Offender submitted to a handheld UA, result was negative.

Risk-based chrono: Risk category of Moderate. Risk Factor Social Networks: Driver of this factor appears to be multifaceted. Offender has a large portion of free time outside of work that is unoccupied by any prosocial activities. Offender remains by himself at his apartment. Offender also has very few prosocial contacts. Offender admits that hanging around antisocial peers drove him to many of his arrests and "definitely" led to him using and abusing alcohol and illegal substances. Offender has family in the area, but has not made contact with them since his arrest for the instant offense over 10 years prior. Offender reports his only prosocial contacts are his former case manager at the reentry center and his supervisor at Goodwill. Offender is currently single and has had no past

relationships. Offender understands he needs to begin establishing some prosocial activities outside of work and is looking to possibly volunteer or locate a second job. Offender did express some interest in reestablishing contact with his sisters, who he reports are a good influence. Offender states he is fine being a loner and wants to focus on bettering himself right now, rather than being involved with other people. Officer to counsel offender on this aspect of his life and encourage offender to begin seeking out other relationships and activities that can occupy his time. Risk Factor Alcohol/Drugs: Driver of this factor is offender's very long history of drug and alcohol abuse. Offender admits that his drug use negatively impacted many parts of his life and states his use primarily came from involvement with drug abusing peers, unemployment and boredom. Offender states he is highly motivated to never engage in drug or alcohol use again and states his last use of any substance was 10 years prior (while in custody of the Bureau of Prisons). Offender states he understands his triggers as stated above and states he will work towards removing these triggers. Officer to continue these discussions in the future to monitor his progress and if he has encountered any risky situations. Officer will continue random UAs in the office and community. Officer will encourage offender to seek out AA/NA or other support networks and will refer offender for treatment upon any positive UA. Handheld UA obtained this date with negative results.

As officers begin to look more closely at risk factors and drivers, they may feel at a loss as to "what to do" regarding certain issues. To address this, we have developed multiple resources to assist them in identifying appropriate interventions. One example of such a resource, which lists various options for interventions/activities through the case plan and case plan review, is included in the appendix. Supervisors also support officers' selection of interventions/activities through the case plan and case plan review. Again, a comparison of traditional case plans and a risk-based case plan may be helpful. Since the current automated case plan in the federal case management system (PACTS) is not particularly conducive to risk-based supervision, officers have begun using the supervision focus section of the case plan to note risk-based supervision strategies.

Traditional supervision plan focus: Monitor for mental health and substance abuse issues that may arise. Maintain contact with employer and fiancé for collateral reports.

Risk-based supervision plan focus: PCRA Risk Score Low/Moderate. Risk Factors = Cognitions, Social Networks, Education/Employment. Elevated Thinking Styles = Entitlement, Mollification, Superoptimism. Cognitions: Will introduce the cognitive model and ask offender to apply to at least three situations over next two months. Officer will also work with offender on decision making, using the cognitive model, as well as using STARR

techniques to reinforce positive behaviors and address negative ones. Social Networks: The driver of this risk factor appears to be "single" status, indicating free time and also suspected occasional association with negative peers. Will encourage offender to cut all ties with old negative peers. Will brainstorm potential prosocial options including spending time with his children and church activities with family members. Offender is currently employed, which occupies a lot of free time, is a prosocial activity and keeps him exposed to prosocial peers. Education/Employment: Offender dropped out of high school in the 10th grade and earned his GED in 2005. Will encourage offender to further his education by attending college or obtaining a vocational certification.

Supervisors also provide feedback during both the initial case plan review and subsequent reviews in order to further encourage risk-based supervision. Often this will be communicated in an email notifying the officer that the initial case plan has been approved. The supervisors try to lead with positive reinforcement for items noted and then follow with suggested additions. An example email is noted below:

Initial case plan approved. PCRA Moderate with risk factors of Social Networks (single/engaged, free time, history of negative peer association, antisocial beliefs). Supervisor notes the excellent conversation and role

play with offender about free time and negative peer avoidance plan. Awesome job!! Keep these conversations alive. Supervisor encourages officer to challenge offender to name/identify prosocial peers/relationships over next 90-120 days and to effectively reinforce (via STARR skill) prosocial activities/people that occupy his free time. Concerning Risk factor of Alcohol/Drugs, officer has identified why risk factor scoring on the PCRA (due to history of use). Supervisor encourages conversation with offender to target why the use started and what sustained it over the years (negative peers, boredom, antisocial thoughts/beliefs? Coping issues re: stress/death of family members?). Need to know what triggered his use and fueled it so we can monitor for situations that may lead to relapse. In terms of Education/Employment risk factor, what is the driver? Educational/vocational deficit, unemployed, job readiness/resume? Good referral to NC Project Re-Entry for readiness assessment/assistance. Continue to monitor and assess for progress and effort.

Through regular feedback on chronos and case plans, supervisors are able to immediately reinforce risk-based interventions, while also providing coaching and feedback. As officers reach each milestone (e.g., first regularly talking about risk), the supervisor moves to focus on even more sophisticated risk-based supervision, including coaching on deeper assessments of what is driving the risk, more collaborative conversations with offenders about risk factors, preventative plans that

focus on addressing the risk factors long-term, use of STARR skills to address risk factors and assessment/documentation of the offender's understanding of the drivers and ability to link them to past and current behaviors. As officers become better in these areas, the focus moves to consistency in use of risk-based supervision.

The final way in which supervisors coach officers is through the performance evaluation process. Several items in the performance evaluation specifically address the use of risk assessment and risk-based interventions. Supervisors use the tool to provide a summary of the feedback/coaching provided to date and to collaboratively develop future goals with the officer. One example of this targeted growth focus is included below:

Targeted Performance Growth
Suggestions: (1) 100 percent breakdown of Risk Factors and their Driver(s)/Root Cause(s). Clear conversation and narrative of that breakdown discussion with the offender much like a physician would discuss with a patient. Clear conversation and narrative of the offender's understanding, acceptance/buy-in and joint discussion/ideas of how to address or maintain. (2) Maximize the opportunities for STARR Skill Use! Now that you are clearly identifying the risk factors, their drivers, and setting goals/activities to address them, the opportunities to effectively reinforce, disapprove, teach the cognitive model, clarify your role, and

problem solve are endless! Let's set a goal to double STARR efforts to approximately 50 percent over the next review period. (3) Consistently tie and document how your efforts, referrals, conversations, and activities are directed at and related to the risk factors, drivers.

RISK-BASED SUPERVISION: THE PAYOFF

Ultimately, the goal of this type of supervision is more effective supervision that results not only in fewer violations/revocations during supervision, but also in a long-term change in offender behavior. While we are actively collecting data to track the impact of these changes on outcomes, we have seen this goal come to fruition anecdotally in a number of cases, perhaps most poignantly during a phone conversation with an offender who was terminating supervision. During the conversation he was asked specifically about supervision and whether it seemed "different" than previous ones (he had been on state supervision multiple times, as well as a previous federal term for which he was revoked). He indicated that the supervision this time was quite different from what he had experienced previously, and in particular noted the importance of learning the cognitive model (one of the STARR techniques used with him), which he reported using to help him make decisions in high-risk situations. Here is an excerpt from his comments:

It (supervision) has helped me a whole lot because not only, you know supervising somebody on probation yeah that's their job but by them actually wanting to know how I'm feeling, as far as different situations, lets me know that ok they're not just doing their job, they showing that they care, they showing that they want to see me to do better, so it has helped me to think differently and react to a lot of different things in more positive ways, as far as a lot of the questions and I think it's called cognitive thinking that is very helpful because it helps you look at the ins and outs before you react to something.

For one I was always the type of person to where I would do something and think about, you know, the consequences of it later. ...let's say someone makes me mad and I want to punch this person in the face, well as soon as I feel that I want to punch this person in the face I go on and punch him in the face, that's how I used to do, versus now the thought comes up I want to punch him in the face but then I stop and think ok now if I punch this person in the face it can lead to us fightin', police comin' or him shootin' me or us shootin' at each other and what am I gonna get from all this a charge, locked up, hurt, possibly dead, so then I just sit and think ok now if I don't hit him in the face and I just go on about my business then, I'll be ok ain't gotta worry about the police, I ain't gotta worry about gettin' shot, ain't gotta worry about him trying to come back later on with a few of his friends, so basically I go with the positive

side, so it actually help me to stop, think, then react.

In addition to helping offenders long-term, the risk-based supervision strategies have proven to be invaluable to officers. When we began implementing evidence-based practices, one officer stated, "I'm willing to try anything, I'm tired of writing 12Cs (violation reports)!" Anecdotally, officers and supervisors have noted a significant drop in violation reports to the court, as officers now have a wider range of interventions that may be used, and have noticed that these interventions are making a difference. Officers have also noted an increase in job satisfaction secondary to this approach, both in terms of managing cases and in terms of their own attitudes towards their work. One officer noted how rewarding it was to be able to "move" a case from a PCRA High to a PCRA Moderate or Low/Moderate. He noted that you actually "see" the success visually in the changes of the scores, as well as having reduced requirements (such as fewer contacts) for a case. Another noted, "Although I always believed I tried to the best of my ability to supervise offenders and support their positive changes, I never felt terribly effective." She admitted that when evidence-based practices was introduced she was skeptical, stating, "Risk-based supervision was introduced as I was nearing my 20-year anniversary. It was difficult to believe that anyone could suggest a new way of supervising offenders that could really impact the work I did with my clients and

their success rate.” However, she now notes that she is having “conversations that we never had before.” Instead of being the “expert” and telling offenders what they should and shouldn’t do, she partners with them to openly discuss pitfalls and barriers and make plans together to address those issues. She summed up the change it has made for her personally by saying,

I always knew that being a probation officer was my calling, but I had no idea the level of job satisfaction would be so incredible by using risk-based supervision and interventions. I feel a connection with my clients, one that offers guidance, support and encouragement, while also maintaining the much-needed level of accountability.

IT’S A MARATHON, NOT A SPRINT

The road to evidence-based supervision has been, and will continue to be, a work in progress. Officers are learning to be more sophisticated in their analyses of risk and developing more and better interventions to try. Management is learning ways to coach officers in their development, ways to reward the use of risk-based supervision, and ways to measure our efforts so we can make changes as needed. The financial crisis of the past few years has only underscored for us the importance of developing the most effective and efficient ways of supervising clients. Our revocation rate has dropped over 30 percent over the

past four years, and time will tell if our efforts payoff in the long-term, in terms of reduced rearrest rates for our offenders both during and following supervision. Ultimately, we hold ourselves to the fundamental principle of evidence-based practice: Keep learning, keep trying and keep developing into the best we can be. Society deserves no less from us. ▷▷▲

APPENDIX 1. PREVENTATIVE SUPERVISION MEASURES TO ADDRESS RISK FACTORS

SOCIAL NETWORKS

- Communicate & explain why this is a risk factor.
- Assess & discuss current associations & relationships. Is there prosocial support? Family support?
- Monitor associations through observations, offender discussions and 3rd-party contacts (family, significant others, employer).
- Assess/discuss their amount of free time and if there is wise use of their free time.
- Discuss, identify and encourage any identified prosocial interest. Is there a referral that can be made secondary to their interests?
- Model and commend prosocial activities and associations.
- Identify and hold accountable for negative associations and activities.
- Consider a well-thought-out/meaningful community service placement to introduce offender to prosocial models, relationships, and activities.
- Have offender identify their prosocial relationships and activities. Help them create “their plan or goal” to address this risk factor.
- Continuously assess their motivation to change/address this risk factor.

ALCOHOL/DRUGS (BEGIN ADDRESSING BEFORE USE/VIOLATIONS OCCUR)

- Communicate and explain why this is a risk factor.
- Identify current/active use vs. history of use.
- Assess cause of the offender’s use (antisocial attitude, poor coping skills, social networks, mental health, physical addiction).
- Discuss and monitor the offender’s identified relapse triggers.
- Refer for treatment and monitor attendance/participation.
- Encourage/Partner with treatment provider to address identified risk factors.
- Discuss and review what is learned and discussed in treatment with the offender.
- Consider sit-in at treatment session(s) with higher-risk offenders.
- Random/Scheduled testing (urinalysis, sweat patch, breath).
- Monitor for use through 3rd-party contacts (family, employer, significant others).
- Acknowledge milestones and accomplishments.
- Acknowledge and address warning signs/red flags.
- Continuously assess their motivation to change/address this risk factor.

EDUCATION/EMPLOYMENT

- Communicate and explain how this is a risk factor.
- Review and discuss work history for pattern of behavior that negatively impacted previous jobs.
- Assess education/employment interest.
- Identify and discuss obstacles (transportation, resume, interview skills, appearance, communication skills, authority issues, team issues, timeliness, effort, work ethic, etc.).
- Develop plan to address (referrals, Second Chance Act Funds, soft skills, job search).
- List/Discuss benefits of employment vs. cons of supporting self through crime.
- Set goals and commend accomplishments.
- Assess stability of employment when secured (free time, income vs. expenses).
- Continuously assess their motivation to change/address this risk factor.

COGNITION

- Identify antisocial attitude/thinking styles through PCRA/Comments/Actions.
- Assess attitude toward supervision.
- Practice/Use cognitive behavior model and worksheets.
- Reward prosocial thoughts, comments, and behaviors.

- Refer for Cognitive Behavior Therapy (CBT) and share PCRA results with provider.

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MELISSA A. ALEXANDER Ph.D., is the Chief United States Probation Officer, Middle District of North Carolina in Greensboro. **BRADLEY G. WHITLEY** is the Supervisory U.S. Probation Officer, Supervision Services Unit, Middle District North Carolina in Greensboro, North Carolina. **CHRISTOPHER M. BERSCH** is a U. S. Probation Officer for the Middle District of North Carolina in Greensboro.



Aligning leadership management

**ALIGNING
LEADERSHIP AND
MANAGEMENT
PRACTICES WITH
EBP**

By Dr. Maria Aguilar-Amaya

When we think of EBP (evidence-based practices), we often think of how probation officers are applying evidence based principles into their daily supervision practices. Much of the literature out there on EBP focuses on program outcomes and supervision. There is sparse literature when it comes to EBP and leadership and management practices. The following focuses on aligning management practices with EBP. Before we get into the meat of this article, let's take a brief walk down memory lane as to how we got here.

Historically, there has been a willingness to punish individuals who break the law that has been rooted in the American culture (Crime and Justice Institute, 2008). Although this punitive culture has not been successful in reducing crime rates of individuals placed on community supervision, we see that departments throughout the country continue to go down this path by training their officers using outdated skills and techniques. We cannot expect to get positive results with tools that are centuries old. Public safety agencies have relied on hierarchical and other highly stratified command and control management models which hinder the successful implementation of EBP and require significant changes in organizational structure and leadership philosophy to determine when hierarchy is appropriate and when participatory decision making is needed (USDOJ & NIJ, 2009, p. 34). Now let us take a look at our current reality. According to the Bureau of Justice Statistics (2015), at the end of calendar year 2013, there was an estimated 4,751,400 adults under some form of community supervision. This is equivalent to approximately 1 in every 51 adults in the United States.

WHAT EXACTLY IS EBP?

EBP had its origins in the medical field. "Starting around the mid-1930s, a growing minority of clinicians began to use science not only as a source for new weapons against disease, but to measure how far those weapons were effective" (Hart, 1997, p. 623). Although decision analysis appeared in clinical literature in 1973, it was not until the 1980s and 1990s that the medical field began to advocate the approach of evidence-based medicine (Elstein, 2004). "Evidence-based approaches have been developed in most health fields, including evidence-based dentistry, nursing, public health, physiotherapy and mental health" (Trinder & Reynolds, 2000, p. 1). The primary reason for the rapid use of evidence-based practices in the medical field was due to lack of research-based information to support clinical decision-making (Sackett as cited in Xiaoshi, 2008). Implementing evidence-based practices throughout many disciplines has been a slow, yet ongoing process in the United States in comparison to many other countries (Johansson, Fogelberg-Dahm, & Wadensten, 2009; Shera, 2008; Walters, Crisp, Rychetnik, & Barratt, 2009; Xiaoshi, 2008). The USDOJ and NIC (2009) defined evidence-based practices as the objective, balanced, and responsible use of current research and the best available data to guide policy and practice decision, such that

outcomes for consumers are improved; and the approach used focuses on effective empirical research and not anecdote or professional experience alone (USDOJ & NIC, 2009). It is important to keep in mind that EBP is not tangible. EBP is a way of doing things, a school of thought, a philosophy that dictates doing what research and/or scientific evidence indicates works or has proven results. You can compare EBP to the wind...you can't see it, but you know it's there by the effects it has.

The greatest challenge with evidence-based practices is the implementation (Trinder & Reynolds, 2000). Transforming an organization requires employees to find new ways of thinking about and responding to opportunities and problems (McCauley & Van Velsor, 2004). Leaders must be committed to implementing evidence-based practices if they expect to have an impact on the organizational culture (Shera, 2008). To promote the implementation of evidence-based practices, leaders should find ways to remove obstacles and provide a supportive culture that encourages positive attitudes towards evidence-based practices (Gioia & Dziadosz, 2008).

LEADERSHIP STYLES

Since leadership is associated with individual and organizational performance, it is likely that the leader's leadership style will influence employees' attitudes towards implementation of

evidence-based practices (Aarons, 2006). There is no right or wrong leadership style. There are only times where the wrong leadership style is being used based on the circumstances of the organization or the behavior of those being lead. Recognizing change and the ability to adapt to environmental changes inside and outside of the organization are critical factors that leadership must be able to recognize along with the needs of the staff. "Leadership is not restricted to the influence exerted by someone in a particular position or role; followers are part of the leadership process too" (Wren, p. 43).

Four types of leadership styles are often seen within many organizations: transactional, transformational, contingency and situational. Transactional leadership focuses on an exchange between the leader and follower. The "leader offers rewards for performance of a desired behavior" (Clawson, 2006, p. 392). Transformational leadership focuses on an all-inclusive structure for the organization. Leadership puts the interest of the organization above its own and "has the ability to inspire trust, loyalty and admiration" along with motivation (Clawson, 2006, p. 392). As stated by Wren (1995), "The transformational leader has transformed followers into more highly motivated followers who provide extra effort to perform beyond expectations of leader and follower" (p. 104). Contingency leadership is when the leader's behavior is contingent upon the

existing situation that arises. Situational leadership is when the leader adapts to situations that arise. Flexibility is crucial as outcomes can vary within units since leadership is adapting to various groups of individuals.

FILLING THE LEADERSHIP GAP

The missing link that is needed for leaders who desire to transform their agency using EBP is transformational leadership. Clawson (2006) identified seven attributes of transformational leaders.

- They see themselves as agents of change.
- They are not afraid to take risks, but are not reckless.
- They believe in people and are attentive to their needs.
- They are able to identify and articulate their own set of core values.
- They are flexible; open to new ideas.
- They are careful and disciplined thinkers.
- They trust their own intuitions

As evidenced by any leader who has implemented EBP, I am sure they will agree with me when I say they manifest all seven attributes outlined by Clawson. Additionally, several qualities of leadership were outlined by the USDOJ and NIC (2009) for what leadership needs when leading organizational change.

These qualities supplement attributes which Clawson outlines. They are: the ability for reflection (critical thinking); acknowledgement of personal strengths and weaknesses; willingness to take risks and receive feedback; ability to motivate others; visionary; and demonstration of the fundamental principles of honesty, openness, respect and trust. It is important to remember that the success or failure of any change is dependent on the flexibility and strength of leadership.

TYPES OF ORGANIZATIONAL CULTURE

There are three types of cultures I have identified that are seen in many organizations. Although I have labeled these cultures according to how I view them, keep in mind that it's the behavior behind the culture you want to be able to identify. The three cultures are: the fitters, the rule followers and the taskers (Aguilar-Amaya, 2010). Rules and policies of the organization are often not followed in the culture of fitters. Employee empowerment is low and teamwork is not valued unless employees are fitters. The culture of fitters is made up of the following:

Social Identity – when employees have a high level of social identity with the organization.

Community Identity – when employees have a high level of community identity with other fitters.

Quality – when quality is sometimes compromised due to fitters making decisions to satisfy personal needs or the needs of other fitters.

Trust – when trust is high amongst those who have the right fit.

Within the culture of rule followers policy and process manuals dictate employee behavior. There is little deviation from the practices of the organization. This type of culture supports bureaucracy. Stability and predictability are valued and are high. Teamwork is guided by rules. Skilled and technical employees are valued in this culture. Change is difficult and when it occurs it comes with a high level of resistance. Employees walk a tight and straight line within the organization. The culture of the rule followers is made up of the following:

Policy – When change occurs, it is conformed into policy to ensure employees follow the changes.

Rules – Employee behavior is guided by numerous rules.

Guidelines – Projects are completed according to what is allowed. Creativity is low within this culture.

Titles – Titles are important and valued as they show employee competence.

Hierarchy – Hierarchy is strong and valued. Job roles are defined and followed.

Within the culture of the taskers team work is highly valued and produces quality outcomes. Rules are respected by all. The culture of taskers is made up of the following.

Result – Results flourish as a whole and individually.

Performance – Creativity, talent, and new ideas overflow in this culture. Promotions are dependent on high levels of performance.

Knowledge – Knowledge is power in this culture and highly valued because employees in this culture have the skills and knowledge to produce quality results.

Trust – Trust is high; employees can count on one another to get the job done.

Faux Boss – Independence with individual work causes some employees to break away from the feeling of being connected to coworkers. A mentality of “know it all” and “I’m my own boss” creeps in.

FINDING THE RIGHT FIT

Now we can put the pieces of the puzzle together. Which one works and which one doesn't? Well, there is no right or wrong culture. It is important for leadership to make sure that the culture that exists within their organization is the culture that produces results and creates harmony amongst employees. Remember EBP is the objective, balanced and responsible use of current research and the best available data to guide policy and practice decision, such that outcomes for consumers are improved; and the approach used focuses on effective empirical research and not anecdote or professional experience alone (USDOT & NIC, 2009). Now in order to get there, we need to create a culture that will sustain EBP. We need to take a little away from each of type of culture if success is to occur. But how do you know what to take from where? Consider the following as an example:

From the fitters one can take the social identity – employees have a high level of social identity with the organization. It is important that employees feel a sense of identity with the organization because in doing so, employees are loyal to the organization. From the rule followers one can take a few things. Policy – when change occurs, it is conformed into policy to ensure employees follow the changes. As leadership brings in EBP, it is important to put the new practices (changes) into policy. Job roles are defined and followed

– in some cases bringing in EBP to an organization may require changes to job roles. Skilled and technical employees are valued in this culture – it is important that leadership equip its employees with the necessary training and skill development in order to effectively practice EBP.

WHAT EBP INVOLVES

At a minimum, EBP involves developing employees' knowledge, skills and attitudes congruent with current research-supported practice; implementing offender programming consistent with research recommendations; sufficiently monitoring employee actions and offender programming to identify discrepancies or fidelity issues and routinely obtaining verifiable outcome evidence associated with employee performance and offender programming. Leadership must keep in mind that implementation requires an investment of time and people, but it pays dividends through improved outcomes.

There is no need to reinvent the wheel when implementing EBP. Following are 10 basic steps to help guide the process of implementing EBP: 1) become EBP knowledgeable, 2) identify your organization's culture and leadership, 3) don't be afraid to do your own research; after all that's what EBP is all about, research, 4) utilize in-house skills, knowledge, and talent, 5) develop self-managed teams; not a committee, not a group, but rather empower your employees to become a team, 6) appoint

someone as a project manager to oversee the roll out, training, and outcomes, 7) engage in strategic planning and document your process while setting milestones and share your progress with the entire organization not just with those involved; 8) seek out the resources of other departments, 9) begin developing your own EBP toolbox for reference, and 10) begin effecting change within your organization and the field of community supervision.

Historically probation supervision practices have created a culture that sustains transactional leadership and lacks transformational leadership (Aguilar-Amaya, 2013). A paradigm shift must occur from current supervision practices to new practices incorporating EBP. Transformation of an organization and the leader is challenging, as it requires remaking of employee skill sets and a radical change in the organization's culture (Hacker & Roberts, 2004). A true leader will persist and not give up when faced with challenges; he or she is relentless in pursuit of the intended goal (Palmisano, 2008). A leader cannot truly lead if he or she lacks the ability to produce the intended change through creative innovation (Burns, 2003). Implementing evidence-based practices in an organization requires transforming the organization's culture and building competence through development of employees' skill sets (USDOJ & NIC, 2009). "Transforming change transforms people and their situations" (Burns, 2003, p. 151). ▸▸▲

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MARIA AGUILAR-AMAYA Ph.D., is a Researcher/Data Analyst with the Arizona Supreme Court. She is President and Owner of JDM Consulting, LLC in Phoenix, Arizona.



DWI DASHBOARD REPORT

A TOOL TO MONITOR IMPAIRED DRIVING PROGRESS

EXECUTIVE SUMMARY

By Robyn Robertson

The Working Group on DWI System Improvements¹ is a prestigious coalition of senior leaders of organizations representing frontline professionals in all segments of the DWI² system. The initiatives undertaken by the Working Group in the past decade have demonstrated the need for increased understanding of operational and system practices associated with proven countermeasures. More recently, the Working Group has turned its attention to the need for robust and comparable performance measures in all segments of the DWI system with linkages to traffic safety measures.

In 2013, this series of activities culminated in a project undertaken by the Traffic Injury Research Foundation (TIRF), with support from the Working Group, and funded by Anheuser-Busch. It involved the development of a user-friendly, flexible tool designed to capture information that jurisdictions can use to increase understanding of why they are or are not making more progress in reducing impaired driving prevalence, deaths and injuries.

Performance indicators of impaired driving typically include: the annual number of alcohol-impaired driving fatalities and injuries; fatalities per vehicle miles travelled (VMT), and criminal justice performance indicators (e.g., impaired driving arrests and/or convictions). Although these indicators provide important insight and are helpful to measure progress nationally as well as to facilitate comparisons across jurisdictions, they reveal little about how or why progress is, or is not, occurring within jurisdictions. This incomplete picture of the problem makes it challenging for jurisdictions to determine what action to take, particularly in an era when most jurisdictions have implemented a comprehensive array of proven countermeasures³ and interventions (e.g., alcohol interlocks, DWI courts, substance abuse treatment). Compounding this issue are factors related to the context of the jurisdiction (e.g., cultural aspects, population, geography, resources, political environment), and the actual quality of interventions (e.g., use of program features, evidence-based practices, fidelity to the model).

These gaps make it challenging for jurisdictions to make informed decisions about impaired driving priorities, and to strategically pursue those that are most achievable and that represent the most

efficient use of dwindling resources. Ultimately, this hampers the ability of jurisdictions to capitalize on their strengths, or to target problem areas that can have the biggest impact and are most amenable to change.

GOALS AND METHODS

The goal of this work was to enable jurisdictions to gain insight and understanding into how and why progress is, or is not, being achieved in reducing impaired driving in their individual jurisdictions, and to inform decision-making about strategies to address the problem. This was achieved with the development of a dashboard tool that jurisdictions can use biennially (every two years) or annually to monitor their own progress in preventing and reducing impaired driving.

The tool was created using a broad model⁴ that was based on existing research, expertise and practice relating to the wide array of factors that can, to varying extents, influence progress in reducing impaired driving. It included traditional measures of impaired driving, the presence, characteristics and quality of proven countermeasures, and a diversity of both environmental and contextual measures. This model was then applied in eight jurisdictions (Minnesota, Mississippi, Montana, New York, Oklahoma, Utah, Washington, and West Virginia) that were selected because they had made either a lot or very little progress to reduce impaired driving in the past five years.

Each jurisdiction participated in the data collection process by sharing state data and reports, participating in phone interviews with key representatives of the DWI system, and a focus group involving a broad cross-section of stakeholders. These data were synthesized to create the DWI Dashboard. It contains a select number of the most relevant indicators of progress and is based upon input and feedback from experienced practitioners in the eight states and then reviewed by the DWI Working Group at their annual meeting in Phoenix, Arizona (November 2013) along with representatives of the Highway Safety Office in the eight states.

USING THE DASHBOARD

For the purposes of this report, the tool has been developed in a paper-format. This presentation was chosen in order to facilitate discussion about, and sharing of, the tool. TIRF's planned next step is to transition the DWI Dashboard to an online, automated format. While this will require additional time, resources, and testing, it will serve to greatly facilitate the ease of use and the ongoing application of the Dashboard by jurisdictions despite changing staff and enhancements to countermeasures. It will also

make possible more precise comparisons of progress across jurisdictions in relation to individual facets of the DWI system and enable jurisdictions to better understand how and why some countermeasures are working better in other jurisdictions. Finally, such automation will create an easy point of reference for jurisdictions at any given time and enable them to review their progress over a period of years to examine trends.

WHY SHOULD JURISDICTIONS USE THE DWI DASHBOARD?

The use of the Dashboard underscores the importance of concerted and coordinated efforts on the part of political leaders, government officials across different systems, external stakeholders and grassroots organizations. Partnerships and coordination across people, organizations and systems play a fundamental role in achieving progress, and represent the next important step toward reducing impaired driving. One of the most important benefits that this tool can offer is the opportunity to build much-needed relationships with non-traditional partners whose activities can influence impaired driving, and whose input is essential to gain a complete picture of impaired driving in a given jurisdiction. The use of the Dashboard also makes it possible to identify critical but subtle gaps in DWI system processes. Moreover, the Dashboard can help to identify potential gaps before they fully emerge and help

jurisdictions anticipate what strategies may be needed in the long-term to avoid such problems.

WHO CAN USE THE DWI DASHBOARD?

The DWI Dashboard can be used by DWI task forces or committees, highway safety offices, criminal justice practitioners, treatment professionals, and licensing agencies. The outcomes of the tool should help all these practitioners develop priorities, strategies and activities across the DWI system and at an agency level. Ideally, the Chair of a state DWI Task Force or Committee, in cooperation with the Impaired Driving Coordinator of the State Highway Safety Office, is best positioned to lead and coordinate the use of the Dashboard. Such leaders can identify the individuals who are best able to complete applicable sections of the Dashboard. It is important to note that some components of the Dashboard can be most easily and efficiently applied by individual agencies within the DWI system. In relation to some sections (e.g., countermeasures, data collection, environmental conditions) it may be practical to have more than one individual complete questions. Ultimately, using this approach enables jurisdictions to maximize the accuracy and efficiency of data collection while minimizing the workload associated with doing so. There are also a range of other government staff who, while not directly implicated in impaired driving issues, may be able

to provide guidance and insight into government practices and processes that are relevant to the application of the Dashboard.

WHEN SHOULD THE DWI DASHBOARD BE USED?

The DWI Dashboard was designed to be applied biennially, annually, or on a continuous basis in accordance with the individual needs of jurisdictions. For some jurisdictions, progress in reducing impaired driving has been nominal or non-existent for several years despite their best efforts. Among them, there may be a more pressing urgency to find tangible solutions to reverse this trend in the near-term. Jurisdictions are encouraged to consider at the outset the most appropriate timing to use the Dashboard.

As familiarity with the tool increases, or as situations change, the Dashboard can be adapted to use on a more continuous basis to help monitor progress and inform decision-making.

The DWI Dashboard was designed to be applied biennially, annually, or on a continuous basis in accordance with the individual needs of jurisdictions.

HOW IS THE DWI DASHBOARD STRUCTURED?

The DWI Dashboard is based upon a two-tiered structure of questions. The first tier represents more general state-level measures that are designed merely to gauge whether an issue requires closer examination. For example, it seeks to determine whether education/training and or resources have generally declined throughout the DWI system in the past few years, or whether there is limited data automation across the DWI system. It is not

intended to capture distinctions across specific agencies in relation to a specific topic (e.g., training, data collection, resources). The second tier represents agency-level measures that acknowledge differences across agencies with respect to a particular topic. The objective of Tier 2 questions is to determine where in the DWI system and why a gap is occurring.

This structure enables jurisdictions to first identify whether there are general gaps in the DWI system associated with fundamental issues related to the delivery of DWI countermeasures that require further investigation. Based on this general identification, jurisdictions can then better pinpoint where and why these issues are occurring, as well as evaluate which issues are more practical and feasible to tackle (e.g., training for law enforcement, lack of court automation, public attitudes towards impaired driving in rural areas).

There are different groups of stakeholders who may be able to provide useful information to complete the tool, including:

- highway safety offices;
- law enforcement agencies;
- prosecution;
- courts;
- correctional and community supervision services;
- assessment and treatment;
- grassroots/advocacy organizations; and,
- driver licensing agencies.

WHAT DOES THE DWI DASHBOARD CONTAIN?

The Dashboard⁵ measures factors pertaining to the current state of DWI countermeasures or practices along with

barriers or gaps that exist. These measures are related to the following issues:

1. Traditional indicators of impaired driving such as fatalities, injuries, arrests and convictions in the past three years.
2. Leadership by governments, politicians and agencies.
3. Resources allocated to DWI initiatives including funding, staffing, training and equipment.
4. Data collected regarding DWI and its availability, accessibility and use to inform decision-making.
5. Communication and information-sharing within and across agencies and practitioners to share and exchange knowledge, information and experience.
6. Practitioner education, training, experience and staff turnover.
7. DWI countermeasures in terms of use, quality of implementation, program measures, level of oversight and participation rates.
8. Education and prevention efforts for the general public and for young persons aged 20 and younger combined with prevailing local attitudes in urban and rural areas.
9. Environmental and contextual issues pertaining to the presence and enforcement of alcohol ordinances, the role of rural jurisdictions in DWI initiatives, discussions and partnerships with tribal entities on

DWI issues, and the availability of alternative transportation options across the jurisdiction.

10. Total costs to DWI offenders in terms of programmatic and licensing fees and costs, recent trends in relation to costs, and the extent to which offenders are able to complete the re-licensing process.

NEXT STEPS

It is anticipated that the Dashboard will be further improved based upon the initial application of the Dashboard in individual participating jurisdictions in the coming year. In conjunction with the finalization of the tool, the development of an accompanying piece for the DWI Dashboard to assist jurisdictions in addressing gaps was anticipated and developed during the 2014 Working Group meeting. This accompanying piece is forthcoming and contains the key components of a strategic plan to address each of the DWI system gaps identified by the Dashboard. These strategies correspond to specific DWI system gaps that are identified by the Dashboard, and relevant considerations and caveats are noted as part of the plan. In summary, this anticipated 2014 document provides guidance for states at an operational level (i.e., “what to do” and “how to do it”). Plans are general enough so as to be relevant to a broad cross-section of states.

Strategies provide jurisdictions with the following:

- The steps necessary for the successful implementation of a countermeasure/strategy if it does not currently exist within the state.
- Methods to enhance a countermeasure/strategy that already exists within a state.
- A list of appropriate criminal justice professionals who should lead and be involved in each effort.
- A list of resources (e.g., staffing, funding, and equipment) that will be required to enhance a countermeasure/strategy.
- Priority contextual considerations and caveats which are relevant to the development and/or implementation of a countermeasure/strategy.
- The tools, models, and templates that currently exist to guide these efforts.

Additionally, these efforts will create opportunities to form partnerships among criminal justice practitioners, including the defense bar if appropriate, who are often involved in the delivery of countermeasures, and the highway safety offices who are held accountable for the lack of progress in reducing impaired driving. The Dashboard, and its follow-up strategic planning document from the 2014 Working Group meeting, to be released in 2015, marks an important

milestone in the field to help build bridges between criminal justice and highway safety partners. ▷▷▲

ENDNOTES

1 This coalition was formed in 2003 to advance the recommendations stemming from the DWI System Improvements report series. The efforts of the Working Group on DWI System Improvements have served to identify critical system needs, to make needed educational materials available, to articulate the complex issues associated with the implementation of programs and policies embedded within broader systems, and to give voice to the concerns of practitioners in the DWI system and identify achievable solutions.

2 The abbreviation DWI (driving while impaired or intoxicated) is used throughout this report as a convenient descriptive label and to create

consistency, even though some states use other terms such as OWI (operating while impaired or intoxicated) or DUI (driving under the influence), and in some states they refer to different levels of severity of the offense.

3 Countermeasures include but are not limited to those described by National Highway Traffic Safety Administration (NHTSA) in its report Countermeasures that Work (2013).

4 The complete model developed as a foundation for the DWI Dashboard can be accessed in the full report at www.dwiwg.tirf.ca.

Anna McKiernan and Erin Holmes were authors on the full report on which the article is based.

ROBYN ROBERTSON is President and CEO of the Traffic Injury Research Foundation in Ottawa, Ontario Canada. A complete copy of the DWI Dashboard can be accessed at www.dwiwg.tirf.ca.



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JULY 12-16, 2015

United States Deputy Wardens Association Conference 2015, Bloomington, Minnesota. For more information: <http://www.usdwa.com/>

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New York State Probation Officers Association, Inc. Annual Conference Syracuse, New York. For more information: http://nyspoa.com/conference_information.htm

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International Gang Specialist Training Conference, Chicago, Illinois. For more information: <http://www.ngcrc.com/2015.conference.html>

AUGUST 14-19, 2015

American Correctional Association's 145th Congress of Correction, Indianapolis, Indiana. For more information: http://register.aca.org/ACA_Prod_IMIS/Conference_Prod/Home/Conference_Prod/Home.aspx

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The California Probation, Parole & Correctional Association 84th Annual Training Conference, Pomona, California. For more information: <http://www.cppca.org/84th-annual-training-conference-vendor-show>