

PERSPECTIVES

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O R G
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IMPLEMENTATION

A PERSPECTIVES SPOTLIGHT



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VIVITROL® (naltrexone for extended-release injectable suspension) is a nonnarcotic, nonaddictive, once-monthly medication indicated for¹:

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- VIVITROL should be part of a comprehensive management program that includes psychosocial support

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Contraindications

VIVITROL is contraindicated in patients:

- Receiving opioid analgesics
- With current physiologic opioid dependence
- In acute opioid withdrawal
- Who have failed the naloxone challenge test or have a positive urine screen for opioids
- Who have exhibited hypersensitivity to naltrexone, polylactide-co-glycolide (PLG), carboxymethylcellulose, or any other components of the diluent

Prior to the initiation of VIVITROL, patients should be opioid-free for a minimum of 7-10 days to avoid precipitation of opioid withdrawal that may be severe enough to require hospitalization.

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(naltrexone for extended-release injectable suspension)

VIVITROL® (naltrexone for extended-release injectable suspension)
Intramuscular

BRIEF SUMMARY See package insert for full prescribing information (rev. Dec. 2015).

INDICATIONS AND USAGE: VIVITROL is indicated for the treatment of alcohol dependence in patients who are able to abstain from alcohol in an outpatient setting prior to initiation of treatment with VIVITROL. Patients should not be actively drinking at the time of initial VIVITROL administration. In addition, VIVITROL is indicated for the prevention of relapse to opioid dependence, following opioid detoxification. VIVITROL should be part of a comprehensive management program that includes psychosocial support.

CONTRAINDICATIONS: VIVITROL is contraindicated in: patients receiving opioid analgesics, patients with current physiologic opioid dependence, patients in acute opioid withdrawal, any individual who has failed the naloxone challenge test or has a positive urine screen for opioids, and patients who have previously exhibited hypersensitivity to naltrexone, polylactide-co-glycolide (PLG), carboxymethylcellulose, or any other components of the diluent.

WARNINGS AND PRECAUTIONS: Vulnerability to Opioid Overdose: After opioid detoxification, patients are likely to have reduced tolerance to opioids. VIVITROL blocks the effects of exogenous opioids for approximately 28 days after administration. However, as the blockade wanes and eventually dissipates completely, patients who have been treated with VIVITROL may respond to lower doses of opioids than previously used, just as they would have shortly after completing detoxification. This could result in potentially life threatening opioid intoxication (respiratory compromise or arrest, circulatory collapse, etc.) if the patient uses previously tolerated doses of opioids. Cases of opioid overdose with fatal outcomes have been reported in patients who used opioids at the end of a dosing interval, after missing a scheduled dose, or after discontinuing treatment. Patients should be alerted that they may be more sensitive to opioids, even at lower doses, after VIVITROL treatment is discontinued, especially at the end of a dosing interval (i.e., near the end of the month that VIVITROL was administered), or after a dose of VIVITROL is missed. It is important that patients inform family members and the people closest to the patient of this increased sensitivity to opioids and the risk of overdose. There is also the possibility that a patient who is treated with VIVITROL could overcome the opioid blockade effect of VIVITROL. Although VIVITROL is a potent antagonist with a prolonged pharmacological effect, the blockade produced by VIVITROL is surmountable. The plasma concentration of exogenous opioids attained immediately following their acute administration may be sufficient to overcome the competitive receptor blockade. This poses a potential risk to individuals who attempt, on their own, to overcome the blockade by administering large amounts of exogenous opioids. Any attempt by a patient to overcome the antagonism by taking opioids is especially dangerous and may lead to life-threatening opioid intoxication or fatal overdose. Patients should be told of the serious consequences of trying to overcome the opioid blockade. **Injection Site Reactions:** VIVITROL injections may be followed by pain, tenderness, induration, swelling, erythema, bruising, or pruritus; however, in some cases injection site reactions may be very severe. In the clinical trials, one patient developed an area of induration that continued to enlarge after 4 weeks, with subsequent development of necrotic tissue that required surgical excision. In the post marketing period, additional cases of injection site reaction with features including induration, cellulitis, hematoma, abscess, sterile abscess, and necrosis, have been reported. Some cases required surgical intervention, including debridement of necrotic tissue. Some cases resulted in significant scarring. The reported cases occurred primarily in female patients. VIVITROL is administered as an intramuscular gluteal injection, and inadvertent subcutaneous injection of VIVITROL may increase the likelihood of severe injection site reactions. The needles provided in the carton are customized needles. VIVITROL must not be injected using any other needle. The needle lengths (either 1 1/2 inches or 2 inches) may not be adequate in every patient because of body habitus. Body habitus should be assessed prior to each injection for each patient to assure that the proper needle is selected and that the needle length is adequate for intramuscular administration. Healthcare professionals should ensure that the VIVITROL injection is given correctly, and should consider alternate treatment for those patients whose body habitus precludes an intramuscular gluteal injection with one of the provided needles. Patients should be informed that any concerning injection site reactions should be brought to the attention of the healthcare professional. Patients exhibiting signs of abscess, cellulitis, necrosis, or extensive swelling should be evaluated by a physician to determine if referral to a surgeon is warranted.

Precipitation of Opioid Withdrawal: The symptoms of spontaneous opioid withdrawal (which are associated with the discontinuation of opioid in a dependent individual) are uncomfortable, but they are not generally believed to be severe or necessitate hospitalization. However, when withdrawal is precipitated abruptly by the administration of an opioid antagonist to an opioid-dependent patient, the resulting withdrawal syndrome can be severe enough to require hospitalization. Review of postmarketing cases of precipitated opioid withdrawal in association with naltrexone treatment has identified cases with symptoms of withdrawal severe enough to require hospital admission, and in some cases, management in the intensive care unit. To prevent occurrence of precipitated withdrawal in patients dependent on opioids, or exacerbation of a pre-existing subclinical withdrawal syndrome, opioid-dependent patients, including those being treated for alcohol dependence, should be opioid-free (including tramadol) before starting VIVITROL treatment. An opioid-free interval of a minimum of 7–10 days is recommended for patients previously dependent on short-acting opioids. Patients transitioning from buprenorphine or methadone may be vulnerable to precipitation of withdrawal symptoms for as long as two weeks. If a more rapid transition from agonist to antagonist therapy is deemed necessary and appropriate by the healthcare provider, monitor the patient closely in an appropriate medical setting where precipitated withdrawal can be managed. In every case, healthcare providers should always be prepared to manage withdrawal symptomatically with non-opioid medications because there is no completely reliable method for determining whether a patient has had an adequate opioid-free period. A naloxone challenge test may be helpful; however, a few case reports have indicated that patients may experience precipitated withdrawal despite having a negative urine toxicology screen or tolerating a naloxone challenge test (usually in the setting of transitioning from buprenorphine treatment). Patients should be made aware of the risks associated with precipitated withdrawal and encouraged to give an accurate account of last opioid use. Patients treated for alcohol dependence with VIVITROL should also be assessed for underlying opioid dependence and for any recent use of opioids prior to initiation of treatment with VIVITROL. Precipitated opioid withdrawal has been observed in alcohol-dependent patients in circumstances where the prescriber had been unaware of the additional use of opioids or co-dependence on opioids. **Hepatotoxicity:** Cases of hepatitis and clinically significant liver dysfunction were observed in association with VIVITROL exposure during the clinical development program and in the postmarketing period. Transient, asymptomatic hepatic transaminase elevations were also observed in the clinical trials and postmarketing period. Although patients with clinically significant liver disease were not systematically studied, clinical trials did include patients with asymptomatic viral hepatitis infections. When patients presented with elevated transaminases, there were often other potential causative or contributory etiologies identified, including pre-existing alcoholic liver disease, hepatitis B and/or C infection, and concomitant usage of other potentially hepatotoxic drugs. Although clinically significant liver dysfunction is not typically recognized as a manifestation of opioid withdrawal, opioid withdrawal that is precipitated abruptly may lead to systemic sequelae including acute liver injury. Patients should be warned of the risk of hepatic injury and advised to seek medical attention if they experience symptoms of acute hepatitis. Use of VIVITROL should be discontinued in the event of symptoms and/or signs of acute hepatitis. **Depression and Suicidality:** Alcohol- and opioid-dependent patients, including those taking VIVITROL, should be monitored for the development of depression or suicidal thinking. Families and caregivers of patients being treated with VIVITROL should be alerted to the need to monitor patients for the emergence of symptoms of depression or suicidality, and to report such symptoms to the patient's healthcare provider. **Alcohol Dependence:** In controlled clinical trials of VIVITROL administered to adults with alcohol dependence, adverse events of a suicidal nature (suicidal ideation, suicide attempts, completed suicides) were infrequent overall, but were more common in patients treated with VIVITROL than in patients treated with placebo (1% vs 0). In some cases, the suicidal thoughts or behavior occurred after study discontinuation, but were in the context of an episode of depression that began while the patient was on study drug. Two completed suicides occurred, both involving patients treated with VIVITROL. Depression-related events associated with premature discontinuation of study drug were also more common in patients treated with VIVITROL (~1%) than in placebo-treated patients (0). In the 24-week, placebo-controlled pivotal trial in 624 alcohol-dependent patients, adverse events involving depressed mood were reported by 10% of patients treated with VIVITROL 380 mg, as compared to 5% of patients treated with placebo injections. **Opioid Dependence:** In an open-label, long-term safety study conducted in the US, adverse events of a suicidal nature (depressed mood, suicidal ideation, suicide attempt) were reported by 5% of opioid-dependent patients treated

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with VIVITROL 380 mg (n=101) and 10% of opioid-dependent patients treated with oral naltrexone (n=20). In the 24-week, placebo-controlled pivotal trial that was conducted in Russia in 250 opioid-dependent patients, adverse events involving depressed mood or suicidal thinking were not reported by any patient in either treatment group (VIVITROL 380 mg or placebo).

When Reversal of VIVITROL Blockade Is Required for Pain Management:

In an emergency situation in patients receiving VIVITROL, suggestions for pain management include regional analgesia or use of non-opioid analgesics. If opioid therapy is required as part of anesthesia or analgesia, patients should be continuously monitored in an anesthesia care setting by persons not involved in the conduct of the surgical or diagnostic procedure. The opioid therapy must be provided by individuals specifically trained in the use of anesthetic drugs and the management of the respiratory effects of potent opioids, specifically the establishment and maintenance of a patent airway and assisted ventilation. Irrespective of the drug chosen to reverse VIVITROL blockade, the patient should be monitored closely by appropriately trained personnel in a setting equipped and staffed for cardiopulmonary resuscitation.

Eosinophilic Pneumonia: In clinical trials with VIVITROL, there was one diagnosed case and one suspected case of eosinophilic pneumonia. Both cases required hospitalization, and resolved after treatment with antibiotics and corticosteroids. Similar cases have been reported in postmarketing use. Should a person receiving VIVITROL develop progressive dyspnea and hypoxemia, the diagnosis of eosinophilic pneumonia should be considered. Patients should be warned of the risk of eosinophilic pneumonia, and advised to seek medical attention should they develop symptoms of pneumonia. Clinicians should consider the possibility of eosinophilic pneumonia in patients who do not respond to antibiotics.

Hypersensitivity Reactions Including Anaphylaxis: Cases of urticaria, angioedema, and anaphylaxis have been observed with use of VIVITROL in the clinical trial setting and in postmarketing use. Patients should be warned of the risk of hypersensitivity reactions, including anaphylaxis. In the event of a hypersensitivity reaction, patients should be advised to seek immediate medical attention in a healthcare setting prepared to treat anaphylaxis. The patient should not receive any further treatment with VIVITROL.

Intramuscular Injections: As with any intramuscular injection, VIVITROL should be administered with caution to patients with thrombocytopenia or any coagulation disorder (eg, hemophilia and severe hepatic failure).

Alcohol Withdrawal: Use of VIVITROL does not eliminate nor diminish alcohol withdrawal symptoms. **Interference with Laboratory Tests:** VIVITROL may be cross-reactive with certain immunoassay methods for the detection of drugs of abuse (specifically opioids) in urine. For further information, reference to the specific immunoassay instructions is recommended.

ADVERSE REACTIONS: Serious adverse reactions that may be associated with VIVITROL therapy in clinical use include: severe injection site reactions, eosinophilic pneumonia, serious allergic reactions, unintended precipitation of opioid withdrawal, accidental opioid overdose and depression and suicidality. The adverse events seen most frequently in association with VIVITROL therapy for alcohol dependence (ie, those occurring in $\geq 5\%$ and at least twice as frequently with VIVITROL than placebo) include nausea, vomiting, injection site reactions (including induration, pruritus, nodules and swelling), muscle cramps, dizziness or syncope, somnolence or sedation, anorexia, decreased appetite or other appetite disorders. The adverse events seen most frequently in association with VIVITROL therapy in opioid dependent patients (ie, those occurring in $\geq 2\%$ and at least twice as frequently with VIVITROL than placebo) were hepatic enzyme abnormalities, injection site pain, nasopharyngitis, insomnia, and toothache.

Clinical Studies Experience: Because clinical trials are conducted under widely varying conditions, adverse reaction rates observed in the clinical trials of a drug cannot be directly compared to rates in the clinical trials of another drug and may not reflect the rates observed in practice. In all controlled and uncontrolled trials during the premarketing development of VIVITROL, more than 1100 patients with alcohol and/or opioid dependence have been treated with VIVITROL. Approximately 700 patients have been treated for 6 months or more, and more than 400 for 1 year or longer.

Adverse Events Leading to Discontinuation of Treatment:

Alcohol Dependence: In controlled trials of 6 months or less in alcohol-dependent patients, 9% of alcohol-dependent patients treated with VIVITROL discontinued treatment due to an adverse event, as compared to 7% of the alcohol-dependent patients treated with placebo. Adverse events in the VIVITROL 380-mg group that led to more dropouts than in the placebo-treated group were injection site reactions (3%), nausea (2%), pregnancy (1%), headache (1%), and suicide-related events (0.3%). In the placebo group, 1% of patients withdrew due to injection site reactions, and 0% of patients withdrew due to the other adverse events.

Opioid Dependence: In a controlled trial of 6 months, 2% of opioid-dependent patients treated with VIVITROL discontinued treatment due to an adverse event, as compared to 2% of the opioid-dependent patients treated with placebo.

DRUG INTERACTIONS: Patients taking VIVITROL may not benefit from opioid-containing medicines. Naltrexone antagonizes the effects of opioid-containing medicines, such as cough and cold remedies, antidiarrheal preparations and opioid analgesics.

USE IN SPECIFIC POPULATIONS: Pregnancy: There are no adequate and well-controlled studies of either naltrexone or VIVITROL in pregnant women. VIVITROL should be used during pregnancy only if the potential benefit justifies the potential risk to the fetus. **Pregnancy Category C:** Reproduction and developmental studies have not been conducted for VIVITROL. Studies with naltrexone administered via the oral route have been conducted in pregnant rats and rabbits. **Teratogenic Effects:** Naltrexone has been shown to increase the incidence of early fetal loss when given to rats at doses ≥ 30 mg/kg/day (11 times the human exposure based on an AUC(0-28d) comparison) and to rabbits at oral doses ≥ 60 mg/kg/day (2 times the human exposure based on an AUC(0-28d) comparison). There was no evidence of teratogenicity when naltrexone was administered orally to rats and rabbits during the period of major organogenesis at doses up to 200 mg/kg/day (175- and 14-times the human exposure based on an AUC(0-28d) comparison, respectively).

Labor and Delivery: The potential effect of VIVITROL on duration of labor and delivery in humans is unknown. **Nursing Mothers:** Transfer of naltrexone and 6-naltrexol into human milk has been reported with oral naltrexone. Because of the potential for tumorigenicity shown for naltrexone in animal studies, and because of the potential for serious adverse reactions in nursing infants from VIVITROL, a decision should be made whether to discontinue nursing or to discontinue the drug, taking into account the importance of the drug to the mother.

Pediatric Use: The safety and efficacy of VIVITROL have not been established in the pediatric population. The pharmacokinetics of VIVITROL have not been evaluated in a pediatric population. **Geriatric Use:** In trials of alcohol-dependent subjects, 2.6% (n=26) of subjects were >65 years of age, and one patient was >75 years of age. Clinical studies of VIVITROL did not include sufficient numbers of subjects age 65 and over to determine whether they respond differently from younger subjects. No subjects over age 65 were included in studies of opioid-dependent subjects. The pharmacokinetics of VIVITROL have not been evaluated in the geriatric population.

Renal Impairment: Pharmacokinetics of VIVITROL are not altered in subjects with mild renal insufficiency (creatinine clearance of 50-80 mL/min). Dose adjustment is not required in patients with mild renal impairment.

VIVITROL pharmacokinetics have not been evaluated in subjects with moderate and severe renal insufficiency. Because naltrexone and its primary metabolite are excreted primarily in the urine, caution is recommended in administering VIVITROL to patients with moderate to severe renal impairment. **Hepatic Impairment:** The pharmacokinetics of VIVITROL are not altered in subjects with mild to moderate hepatic impairment (Groups A and B of the Child-Pugh classification). Dose adjustment is not required in subjects with mild or moderate hepatic impairment. VIVITROL pharmacokinetics were not evaluated in subjects with severe hepatic impairment.

OVERDOSAGE: There is limited experience with overdose of VIVITROL. Single doses up to 784 mg were administered to 5 healthy subjects. There were no serious or severe adverse events. The most common effects were injection site reactions, nausea, abdominal pain, somnolence, and dizziness. There were no significant increases in hepatic enzymes. In the event of an overdose, appropriate supportive treatment should be initiated.

This brief summary is based on VIVITROL Full Prescribing Information.

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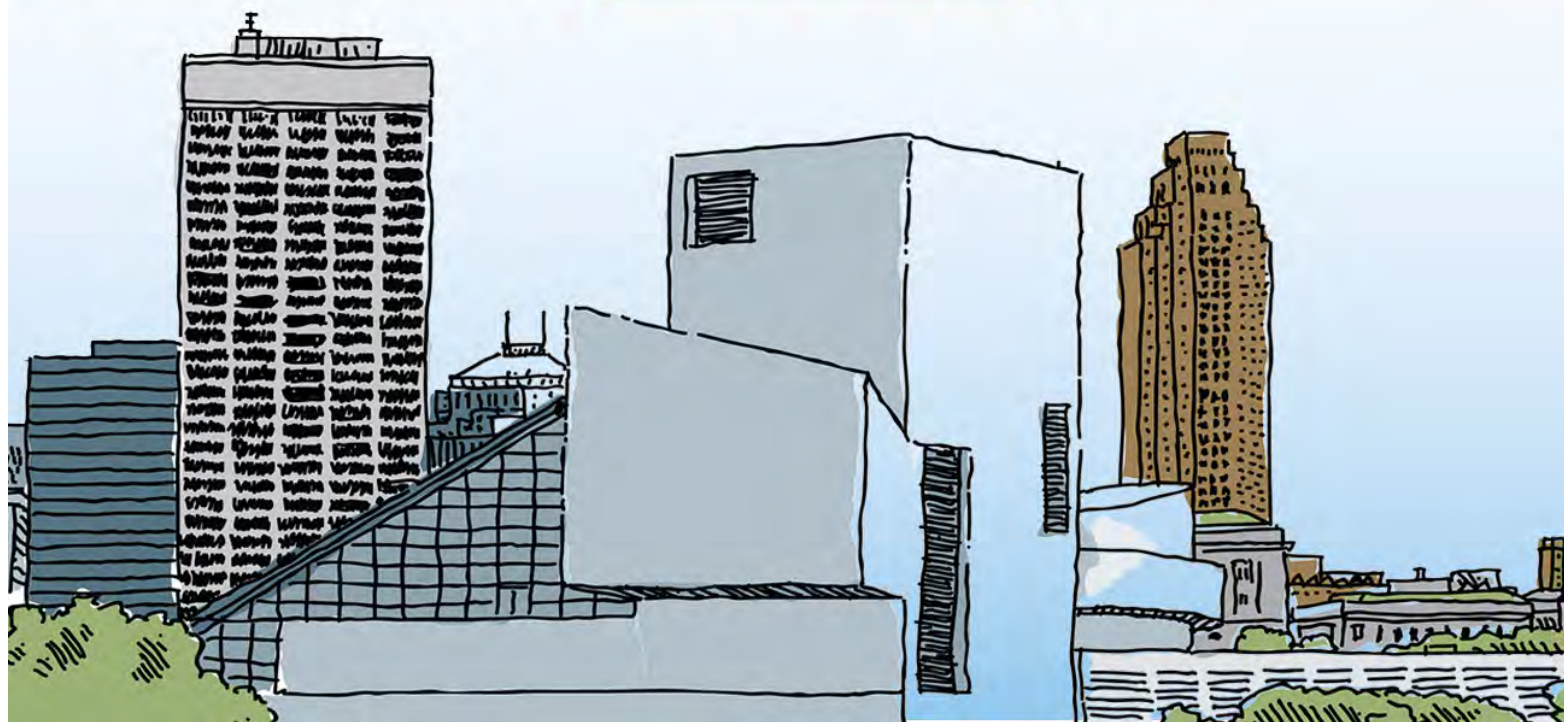
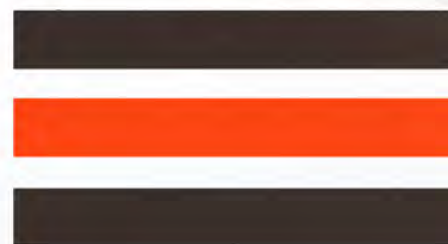
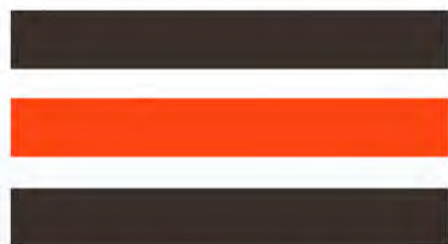
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president's message

It was dark red with a touch of sparkle. The banana seat was slender and long, with just the right width for a six year old's behind. It beckoned me every day after school and all day long on the weekends. I would touch it, look at it, or sit on it and pretend I was cruising down the street with my pigtails flying. But I didn't know how to ride.

After several weeks of longing, I told myself I had waited long enough. I stood alongside the bike, gripping the handlebars. I then took off at a run. After 10 yards, I jumped on and began to pedal wildly, only to crash into the side of the garage. Undeterred, I picked myself and the bike up. Run, jump on, ride for a few yards, crash, repeat. Until it magically happened. I was riding. It was a wonderful thing.

The actual effort of learning how to ride was not as wonderful. It took blood, sweat, and, yes, some tears. Learning something new is often like that. The idea is grand, the execution not so pretty.



SUSAN BURKE
PRESIDENT

This would not be the last time I crashed into a proverbial garage. There was the time I decided that retiling the kitchen floor on my own was a good idea. And that was before YouTube! More recently this happened at work. I joined with other members of our executive team in voting to eliminate a short-term residential program and to instead offer the same services to court-involved youths while they resided at home. This change was in line with research which pointed to increased risk for recidivism when low-risk youths are placed in residential programs. A consultant team that examined the residential program also recommended its elimination.

A year later, our planned transition to home-based services has yet to be carried out. Why? We learned there was strong opposition to eliminating the residential program, which many viewed as a necessary "time out" for youths, research literature and consultants be damned. While we are still committed to making this change, I realize now that we ignored a critical first step in its successful implementation: We failed to gain and shore up the necessary support to move from idea to reality. It's a common mistake.

Fortunately, the body of research on implementation science is growing. The literature is also becoming increasingly focused on community corrections and effective practices. We no longer have to make a daredevil jump onto a bike and hope we can keep our balance. With judicious use of data from the experts, we have sound grounding in knowing what it takes to achieve the outcomes desired, and training wheels are not even required!

A handwritten signature in black ink that reads "Susan Burke".

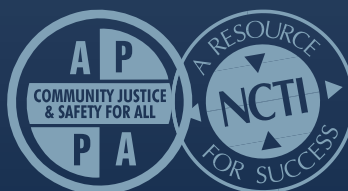
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IMPLEMENTATION

A PERSPECTIVES SPOTLIGHT

IMPLEMENTATION: THE HEART OF THE MATTER



FAYE S. TAXMAN

EDITORIAL CHAIR FOR *PERSPECTIVES*

As more is being learned about evidence-based practices and “what works,” more attention is also being given to effectively using such information. What is the best way to introduce new ideas or practices into an organization and, of equal importance, what is the best way to sustain evidence-based practices after the initial training has occurred? Generally, over all fields, it takes about 17 years for new ideas to move from the scientific lab to the field, and even then only a fraction of the ideas tend to be effectively integrated into daily operations and procedures on a long-term basis. The lengthy timeline for implementation coupled with the low dispersion into routine practice is problematic and can create a sense of weariness about the organizational change process.

Implementation is the new buzz word, and more effort is being directed towards effective change strategies such as technical assistance, training, coaching, and aligning practices to context. Additionally, a new science devoted to implementation has been growing, with research efforts underway to identify the best means to build a capacity for adopting innovations and

changes in practices as well as to build the resiliency to sustain such practices. The goal of these efforts is to learn the most effective processes for speeding up the uptake and continued use of “what works.” One important focus of research efforts is advancing our understanding of how the leadership and staff of an organization and interagency groups can provide support for testing new ground. Within the next five years, we should have more information about the best techniques for facilitating adoption, implementation, and sustainability of different change practices.

This edition is devoted to the current models for implementation of various justice reforms. Angela Hawkins and Jonathan Kulick provide a description of implementing the Swift, Certain and Fair (SCF) initiative in several jurisdictions. This interesting piece provides an overview of some of the procedural, interagency, and resource barriers affecting the ability of jurisdictions to use the SCF model. The lessons from these jurisdictions should provoke thoughtful consideration of the factors that must be addressed in the planning process but even more so in pre-planning, such as in making an initial assessment of the transportability of the SCF initiative to a particular agency.

The important subject of how to educate and prepare staff for a new initiative is examined by Jillian Eidson and Anthony Fattizzi of the Philadelphia Probation Department. The authors outline the steps involved in adopting a new agency-wide approach to identifying and responding to criminogenic needs. This multifaceted project included an ambitious electronic training component and the adoption of a new customized needs assessment tool and complementary case planning component. This article discusses the preparatory work needed to ready supervisors and staff for these changes and to help them develop the knowledge and skills to “do” evidence-based

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supervision. Richard Castle, Denise Hayes, and Tracey Lavelly of the Virginia Department of Corrections discuss the importance of infrastructure, vision, and content expertise in promoting the successful adoption of new procedures. They give considerable credit to that agency's Evidence-based Practice Unit and its EBP Managers--a group of ten managers who acted as internal consultants to guide implementation across all 44 district offices. The progress in one office, located in Fairfax County, is chronicled in some detail. This interesting case study gives useful ideas on how to use consultants as well as how to maximally benefit from local coaching using peer and supervisory coaches who can provide content expertise and ongoing support to staff.

Finally, Erin Crites, Thomas Harbaugh, Russha Knauer, Brandy Lewis, and Dana Wilks from the Colorado Division of Probation Services identify various strategies to sustain evidence-based practices and good quality supervision. They present an excellent overview of both the quick and dirty approach and the slow and steady approach for implementing new policies as well as the leadership development strategies used to affect practice. Their experience with both approaches enables them to analyze the differing impacts each had on enabling staff to adopt change and use best practices. Learning the benefits and drawbacks of each approach will be useful for planners.

These represent a few lessons on implementation. Let us know if your agency is pursuing different strategies, and we can incorporate your information into future editions.





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table of contents

features

64

IMPLEMENTATION ISSUES IN SWIFT CERTAIN FAIR SUPERVISION

BY ANGELA HAWKEN AND JONATHAN KULICK

78

BALANCING IMPLEMENTATION SCIENCE WITH PRACTICAL REALITIES OF STATE PROBATION

BY ERIN CRITES, PH.D. AND THOMAS HARBAUGH

88

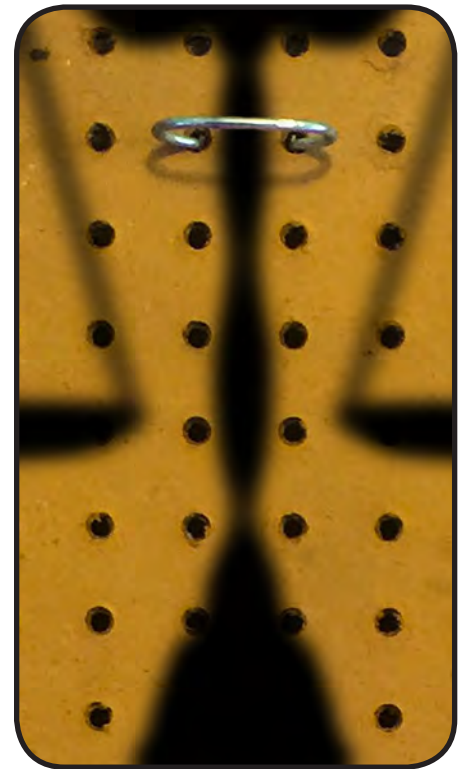
MOVING FROM RISK TO RNR: PHILADELPHIA ADULT PROBATION AND PAROLE'S SHIFTING FOCUS TOWARDS ADDRESSING CRIMINOGENIC NEEDS

BY JILLIAN EIDSON AND ANTHONY FATTIZZI

99

AN OVERVIEW OF EVIDENCE-BASED PRACTICE INITIATIVES BY THE VIRGINIA DEPARTMENT OF CORRECTIONS

BY RICHARD CASTLE, DENISE HAYES, AND TRACY LAVELY



departments

- 20** TECHNOLOGY UPDATE
- 26** SPOTLIGHT ON SAFETY
- 38** INTERNATIONAL UPDATE
- 42** PSN UPDATE
- 48** RESEARCH UPDATE
- 54** TRAINING AND TECHNICAL ASSISTANCE UPDATE

plus!

- 18** APPA CORPORATE MEMBERS
- 34** BOOK REVIEW
- 107** CALENDAR OF EVENTS

about the cover

IMPLEMENTATION

A PERSPECTIVES SPOTLIGHT

The cover for this issue of *Perspectives* is an abstract on the definition of "Implementations". As stated in Webster's Dictionary, Implementation means "a device used in the performance of a task; one that serves as an instrument or tool". The creative thought was to devise a visual that would encompass the rather broad interpretation of using a tool to implement an idea or process. The empty tool silhouette (in this case the scales of justice) on a pegboard implies that this tool has been implemented to solve a challenge or assist in issues concerning Community Justice.

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 abroad. 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 perspectives@csg.org in accordance with the following deadlines:

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All submissions must be in English and in American Psychological Association (APA) Style. 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., to (Mattson, 2015, p. 73). Alphabetize each reference at the end of the text using the following format:

Mattson, B. (2015). Technology supports decision making in health and justice. *Perspectives*, 39(4), 70-79.

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FACILITATING OFFENDER TRACKING INFORMATION SHARING

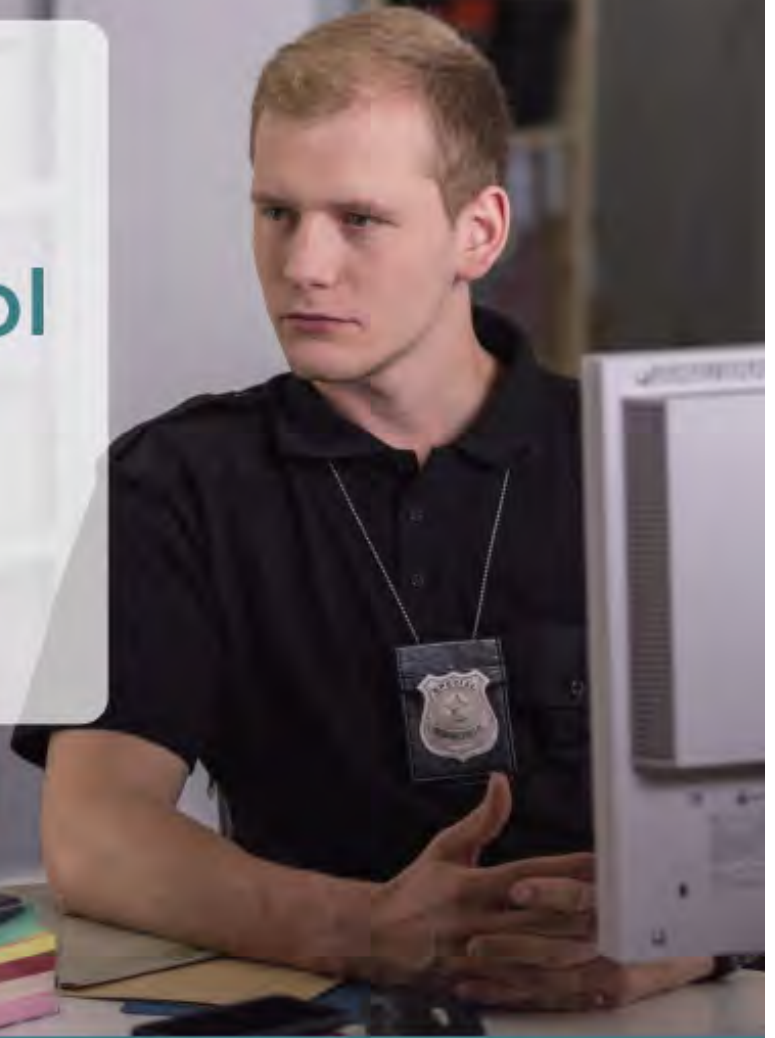
Community corrections professionals funded by the National Institute of Justice (NIJ) have been working to establish performance standards for offender tracking systems. As they noted in the development phase of this project, offender tracking systems generate vast amounts of data, but it is often difficult to share these data. This problem is most clearly manifested in cases where an agency is ending its contractual relationship with one provider and moving to another. Agencies have expressed a desire to automatically transfer as much information as possible (e.g., demographic, location, violation, and alert data) from a previous provider to populate the data fields of the new provider's system. This capability would allow the accurate retention of important historical data and streamline the client re-enrollment process.

The Corrections Technology Center of Excellence of the National Law Enforcement and Corrections Technology Center (NLETC) worked with the National Consortium for Justice Information and Statistics (SEARCH) on this project. They succeeded in developing models and technical components—in the form of a service specification—that are specific to transferring offender-tracking information. The goal of this project was to



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develop a Global Reference Architecture (GRA) Service Specification Package (SSP) that allows transfer of records from one offender tracking system to another. Further, it is envisioned that this SSP could provide a foundation for future information exchange initiatives between multiple criminal justice agencies and the various offender tracking system providers that operate in this country. The capability for automated information sharing of offender tracking information across jurisdictions and provider software platforms would increase both efficiency and public safety.

TRACKING INFORMATION MODEL DEVELOPMENT

A core component of this SSP is the information model. The information model documents the nature and structure of the specific data elements that comprise the information transferred between systems in the form of messages. In order to develop an offender tracking information model that would be representative of most offender tracking systems, SEARCH assembled 10 subject-matter experts from community corrections agencies to assist in the development of an initial offender tracking information model in the form of a spreadsheet. SEARCH subsequently modified this spreadsheet based on feedback and offender tracking system information provided by these experts. The information model development process aimed at producing a

FIGURE 1. OFFENDER TRACKING INFORMATION MODEL SPREADSHEET

Offender Tracking Information Model Mapping		
Elements	Element Description	NIEM 3.1 XPath
DOCUMENT		
Document Creation Date	Date document was created	/exchange:OffenderTrackingInformation/nc:DocumentCreation
Document ID	Document ID	/exchange:OffenderTrackingInformation/nc:DocumentIdentific
Type of Document	Type or category of the document	/exchange:OffenderTrackingInformation/nc:DocumentIdentific
Sequence Number	Document sequence ID	/exchange:OffenderTrackingInformation/nc:DocumentSequenc
TRACKING ASSIGNMENT		
Tracking Start Date	The date a offender is enrolled in a tracking program	/exchange:OffenderTrackingInformation/ext:TrackingAssignme
Tracking End Date	The end date for a offender tracking program	/exchange:OffenderTrackingInformation/ext:TrackingAssignme
Date/Time Added to System	The date/time a tracking program is added to the tracking system	/exchange:OffenderTrackingInformation/ext:TrackingAssignme
Agency		
Agency Name	Name of the tracking agency	/exchange:OffenderTrackingInformation/ext:TrackingAssignme
Agency Phone Number	Telephone number	/exchange:OffenderTrackingInformation/ext:TrackingAssignme
Type of Phone	Type of Telephone Number (e.g., home, work, pager, etc.)	/exchange:OffenderTrackingInformation/ext:TrackingAssignme
Agency ORI	Agency ORI	/exchange:OffenderTrackingInformation/ext:TrackingAssignme
	Contact person phone number	/exchange:OffenderTrackingInformation/ext:TrackingAssignme
Primary Contact Person	Contact person	/exchange:OffenderTrackingInformation/ext:TrackingAssignme
Tracking Supervision		

final model that included approximately 90% of the information contained in the majority of offender tracking systems. While the remaining 10% of information would typically be considered to be vendor specific, it could also be included in the form of information model extensions.

SEARCH subsequently used the information model spreadsheet to “map” the business elements in the model (e.g., agency name, tracking data, and tracking zone) to the National Information Exchange Model (NIEM), version 3.1 (Figure 1). SEARCH next used the mapping spreadsheet to develop a NIEM Information Exchange Package Documentation (IEPD), which is a collection of artifacts and XML schema that represent an information model to be used in an information exchange message. The NIEM IEPD in its entirety is included in the SSP. The NIEM data format provides an information sharing standard that can be used to map any data.

In an effort to verify the information model, four vendors volunteered

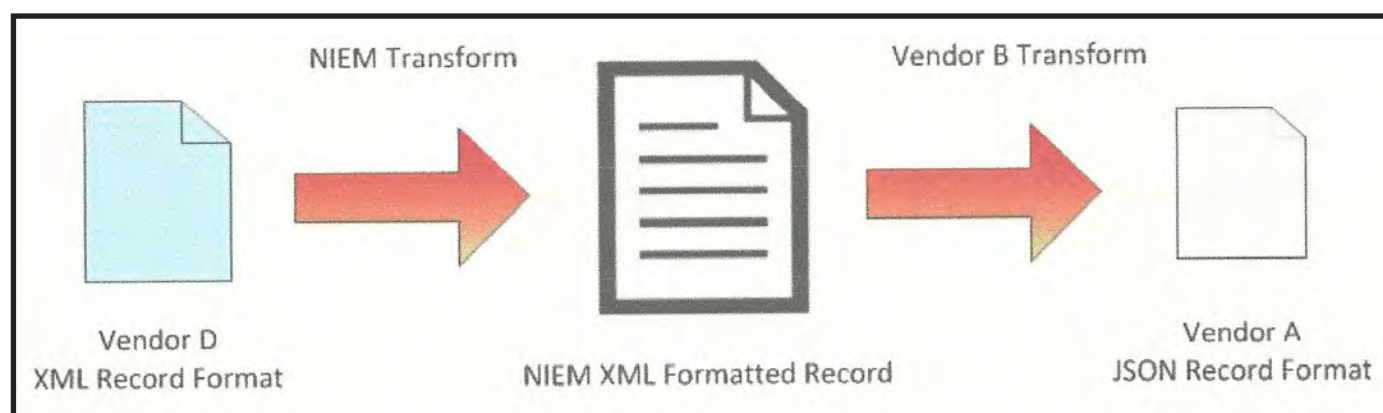
to provide offender tracking system information extracts to map to the NIEM offender tracking information model. The vendors provided these extracts in various formats, including XML, comma-delimited, and JavaScript Object Notation (JSON). SEARCH used the mapping spreadsheet to map each vendor extract.

Data elements that were not in the existing information model were added as vendor extensions to the NIEM model. The result was an updated mapping spreadsheet that mapped four vendor data extracts to the offender-tracking NIEM model. Using the completed mapping spreadsheet, SEARCH created a NIEM XML representation (i.e., XML schema sample instance) for each vendor extract. All XML files are included in the NIEM IEPD as required.

DATA TRANSFORMATION

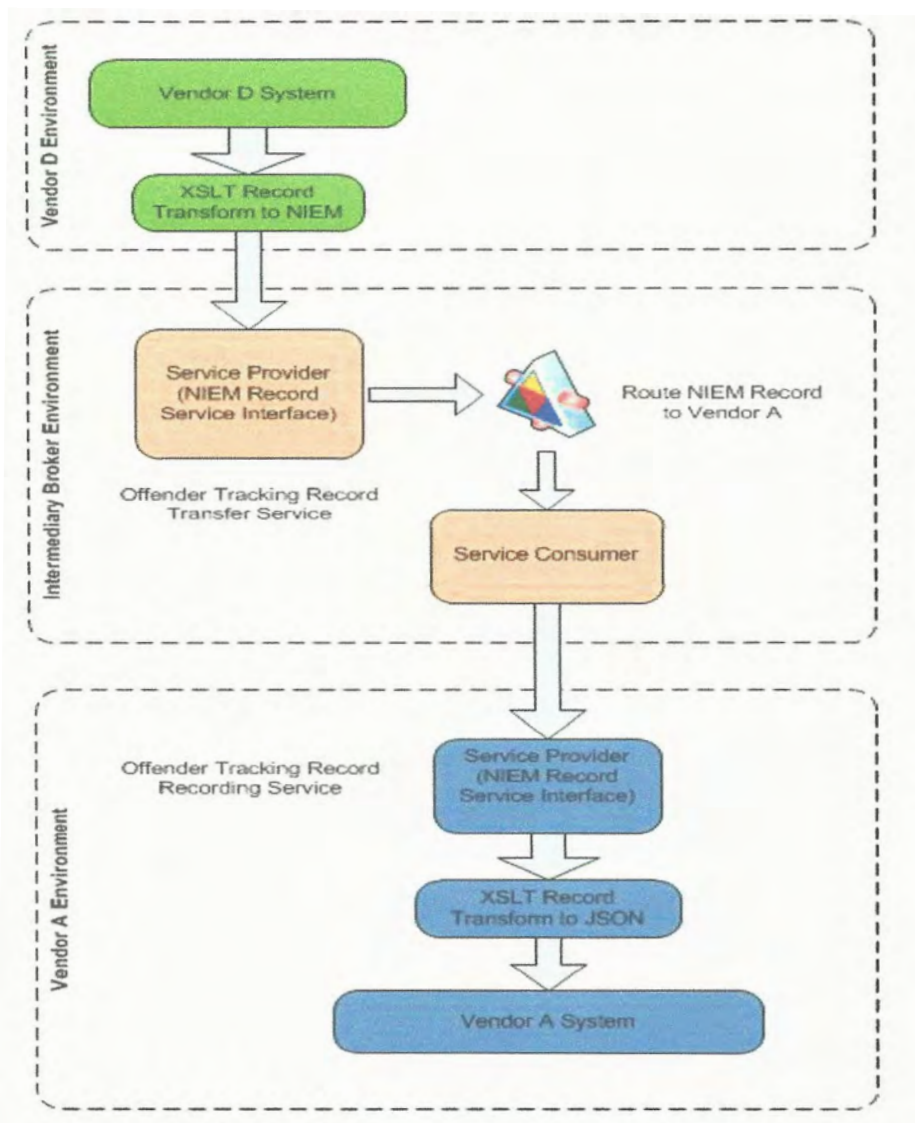
A high-level view of the flow in a service implementation of the SSP is provided in Figure 2.

FIGURE 2. OFFENDER TRACKING RECORD TRANSFORMATION FLOW



By using the NIEM IEPD as the standard format of the offender tracking record, we have an intermediate format to map any vendor extract and avoid the need for a one-to-one mapping of vendor data.

FIGURE 3. SERVICE IMPLEMENTATION FLOW DIAGRAM.



SERVICE SPECIFICATION IMPLEMENTATION EXAMPLE

Figure 3 illustrates an implementation of the SSP in accordance with the GRA. In this example, an intermediary implementation of the Offender Tracking Record Transfer Service receives a NIEM-formatted record transformed by the service consumer client (e.g., Vendor D). The intermediary “routes” the NIEM record to Vendor A, hosting an Offender Tracking Record Recording Service. This service receives the NIEM record from the intermediary and transforms the record to the Vendor A JSON format for importation into the Vendor A Offender Tracking System.

STATUS

The Offender Tracking Record Transfer SSP was formally adopted by the Global Standards Council as a reference service specification in March 2016 and is available online at <http://www.it.ojp.gov/GIST/186/Offender-Tracking-Record-Transfer-Service-Specification--Version-1-0>.

This SSP will allow agencies and vendors to migrate offender tracking information from one system to another. The SSP contains all artifacts; including a NIEM IEPD, a sample of vendor offender tracking system records, and a record transformation example that may be useful in facilitating implementation of the service in a real-world environment. Reference service specifications are provided that should meet the majority of service requirements for a typical exchange, but they may also need to be customized locally with modifications that satisfy specific policies and requirements encountered upon implementation. In other words, the reference specifications are intended to address as many requirements as possible up front while also aiding practitioners nationwide in accelerating their own service specification development.

CONCLUSION

The Offender Tracking Record Transfer SSP can now be used as a template for implementing the real-world service of transferring offender tracking records between systems. Agencies are encouraged to reference the SSP in any future Requests for Proposals when seeking to acquire an offender tracking system. That will ensure they can reap the efficiency and safety benefits that will result from preserving current offender tracking records.

Looking forward, it is hoped that the Offender Tracking Record Transfer SSP can also serve as a foundation for information-sharing initiatives across public safety agencies, regardless of which vendor provides the service. As we have learned from high-profile cases, offender associations can be very difficult to identify, especially when they are supervised by different agencies using different tracking systems. Information exchange protocols can help to overcome some of these challenges and enhance public safety.

For further information on the APPA Technology Committee please contact Joe Russo at jrusso@du.edu.

JOE RUSSO is Corrections Technology Lead for the Justice Technology Information Center (JTIC), a component of the NLECTC, and is chair of the APPA Technology Committee. **JIM DOUGLAS** is an Information Sharing Systems Specialist for SEARCH.



IS SAFETY TAKING A BACK SEAT TO EVERYTHING ELSE?

Professionals in the field of community corrections are inundated on a daily basis with listserv messages, website postings, and media outlet notices, and we are also exposed to numerous surveys, studies, and research projects that emphasize evidence-based practices (EBP). However, rarely do we see the topic of staff safety at the forefront of any of the aforementioned communication sources. As a result, staff safety trainers and other professionals in probation, parole, and community corrections have sometimes questioned whether safety is being emphasized by agency administrators to a lesser extent now than in past years. Quite simply, is safety taking a back seat to everything else that officers are expected to accomplish on any given day? While this is a difficult question to answer, it may be beneficial to review some of the available officer safety data as well as looking at efforts that are underway to collect and compile more comprehensive data. We should also consider ideas for making the optimal use of such information.



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American Probation and Parole Association **Community Corrections Buyers' Guide**



The Community Corrections Buyers' Guide is the information resource that our 37,000 members and other industry professionals have asked for, providing them with a one-stop resource to find the products and information they need.

It's been over two decades since Philip J. Bigger, former Vice President of the Federal Probation and Pretrial Officers Association, completed (1993) and published (1995) his *National Study on Serious Assaults* based on data collected from most states and territories of the United States. Prior to Bigger's study, there had been no nationwide research to determine the true extent of hazardous duty incidents experienced by staff.

The study was conducted via a survey distributed to municipal, county, state, and federal systems for both juveniles and adults in which pretrial, probation, and parole officers were employed. The survey form requested information on incidents in the previous 12 calendar years (1980 through 1992) and specifics on the type of each incident, including the following categories of injury:

murder, rape, other sexual assault, shot and wounded, use of blunt instrument, slashed and stabbed, use of a car as weapon, punched-kicked-choked-other use of body, use of caustic substance, use of incendiary device, abducted or held hostage, and other (unspecified) assaults. Unsuccessful attempts to commit such acts were also included but were tallied separately. In all, 955 agencies were contacted and 459 (48%) agencies responded. The results reflected that there were 1,818 completed assaults that fell into the categories contained on the survey form plus 792 attempted acts, for a total of 2,610 incident reports. In his conclusion, Bigger noted that the results "probably under-represent the actual

number of assaults occurring," since a few states and territories, a large number of local jurisdictions, and some major metropolitan areas (e.g., City of New York) did not respond.

In 2003, a monograph titled *Staff Safety: New Approaches to Staff Safety* was completed by Robert L. Thornton and funded by the National Institute of Corrections. This revised and updated a previous (1993) publication on the topic of staff safety. In this revised monograph, federal hazardous duty incidents were reported for the years 1984-1999, with 1,823 incidents, spread across 40 incident categories, reported by staff during this 16-year period. Annual statistics showed a low of 40 reports in 1985 and a high of 194 reports in 1994.

Another contribution to the available data is an unpublished report completed in 2013 by Ronald G. Schweer. This document details the hazardous incident filings submitted by federal probation and pretrial officers from January 1, 2000, to April 30, 2009. In all, 1,164 hazardous incidents in 26 incident categories were reported by staff from 91 of the 94 districts. Schweer included information related to the day of week, time of day, location, and initiator of these incidents.

The above overviews are useful, but what about the ongoing collection of data, especially in recent years? The Federal Bureau of Investigation (FBI) is the entity responsible for collecting and

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The most sobering reminder of the officer safety issues is when an officer dies in the line of duty.

reporting information pertaining to hazardous incidents and violent acts committed against traditional law enforcement officers and agencies. It issues reports on both a monthly and annual basis. The *FBI's Law Enforcement Officers Killed and Assaulted* provides abundant information regarding assailant profiles, officer profiles, weapons used, officer responses, time of day, and a myriad of other data elements which can assist law enforcement officers to prepare for the unexpected. Unfortunately, officers performing duties in the field of community corrections, including pretrial, probation, parole, and community corrections officers, are not tracked or recorded in these FBI reports.

The need for a similarly comprehensive national database for staff safety incidents has been a topic of the American Probation and Parole Association Health and Safety Committee for more than a decade. Currently, the field of community corrections relies on individual, city, county, and state agency processes to collect and compile hazardous incident data. Many of these jurisdictions do not have a reliable mechanism in place to allow staff to report incidents as they occur, and they may also have insufficient means to compile any hazardous incident data that are collected. There is at least one significant exception, however, and again it is at the federal level. Specifically, the Probation and Pretrial Services Office (PPSO), a division of the Administrative Office of the United States Courts, has collected and assessed a significant amount of data regarding hazardous duty incidents experienced by staff in the 94 judicial districts, which includes all states and territories of the United States.

The PPSO has compiled data on hazardous incident reports filed by the 94 federal judicial districts since 1981. The first published statistics were for calendar years 1981 through 1983 and were based on 114 incident reports filed during that three-year period. Quarterly reporting of hazardous incidents commenced in 1984. Incident report statistics for calendar years 1984 through 1999 were published in the agency News and Views newsletters. On May 1, 2009, the PPSO began using a new electronic database for filing of all future hazardous incident reports, the

Safety Information and Reporting System (SIRS). This provided an electronic means to file reports and track, upgrading from the previous hard copy reports mailed to PPSO. Concurrent with the launch of SIRS, the number of hazardous incidents has been reported annually in the *News and Views* newsletter. The SIRS reports show 12 incident categories, with chronological totals for calendar years 2009 through 2014 of 195, 369, 333, 386, 367 and 347. The report interval changed in 2015 from a calendar year to a federal fiscal year (October 1-September 30), with a hazardous incident total for federal fiscal year 2015 (ending September 30, 2015) of 477. The total number of incidents reported between 2009 and 2015 is 2,474, with some overlap of reporting between October 1 and December 31, 2014, resulting from the shift to fiscal year reporting. Based on these data, the total number of hazardous incident reports filed by federal probation and pretrial services officers since 1981 is 5,575.

The most sobering reminder of the officer safety issues is when an officer dies in the line of duty. The National Law Enforcement Officers Memorial in Washington, D.C., dedicated on October 15, 1991, honors federal, state, and local law enforcement officers who have made the ultimate sacrifice for the safety and protection of our nation and its people. Carved on the marble walls of the Memorial are the names of more than 20,000 officers who have been killed in the line of duty throughout the

history of the United States. Among these memorialized public servants are the names of 30 probation and parole officers who carried peace officer status in their jurisdictions. This represents about 63% of the 48 probation and parole officers who are documented to have been killed in the line of duty or under unusual circumstances. Some of the 18 not listed on the monument did not have peace officer status in their agency of employment, and for others a final determination of whether their death was work related has not been made due to the circumstances of their deaths. The overwhelming majority (45) died in the United States, with two dying in Canada and one in the Philippines. The defendant/offender was identified as the assailant in 13 of the 48 deaths, with an additional three officers killed by a third party assailant. Two of the deaths remain under investigation and will continue to appear on the list of line-of-duty deaths until a conclusive determination is made regarding whether or not the officers' deaths were work related.

As previously noted, the FBI maintains an extensive database on law enforcement officers killed in the line of duty. The *Officers Feloniously Killed* section of the 2014 *Law Enforcement Officers Killed and Assaulted* report identifies six separate categories for the status of assailants at the time of the incident, the most pertinent one for our focus being "under judicial supervision." This category includes sub-categories of probation;

As our profession continues to stress the use of EBP in supervision and delivery of treatment services, shouldn't we apply the same standards to the safety training we provide for our officers?

parole; halfway house; escapee from penal institution; and conditional release, pending criminal prosecution. During the 10-year period covered by the report (2005-2014), there were 563 known assailants identified as responsible for killing officers. If we look at the sub-categories directly related to community release (probation; parole; and conditional release, pending criminal prosecution), then 139 of the 563 officers feloniously killed (24.7%) had had their lives ended by an assailant who was subject to some form of probation, parole, or pretrial supervision at the time the act was committed.

Stories promulgated via mass media are a final reminder of the hazardous situations that may be faced by probation, parole, pretrial, and community corrections officers. During the first months of this year, at least 12 serious incidents were reported in the media that involved community corrections officers. These incidents and others should remind us all that we face situations of high risk on a daily basis. One story illustrates that the risk may apply not only during our work hours but when we are off duty at home as well. A recent incident was reported in the media that involved two offenders allegedly plotting a home invasion of an assigned officer's residence with intent to bind, torture, sexually assault, and murder the officer. The scheme was discovered before the intended crimes were committed, and both offenders are facing new charges. In addition, reports often surface in the various media which describe incidents where home contacts can result in the plain view discovery of firearms, drugs, drug paraphernalia, active methamphetamine labs, stolen property, dangerous weapons, and potentially violent subjects. Other reports detail incidents that occur in the public and private building locations and offices

occupied by community corrections staff. The bottom line is that officers must bring their A-game to work every day and be aware that the risks associated with the community corrections profession may literally extend beyond the walls of work and follow them home.

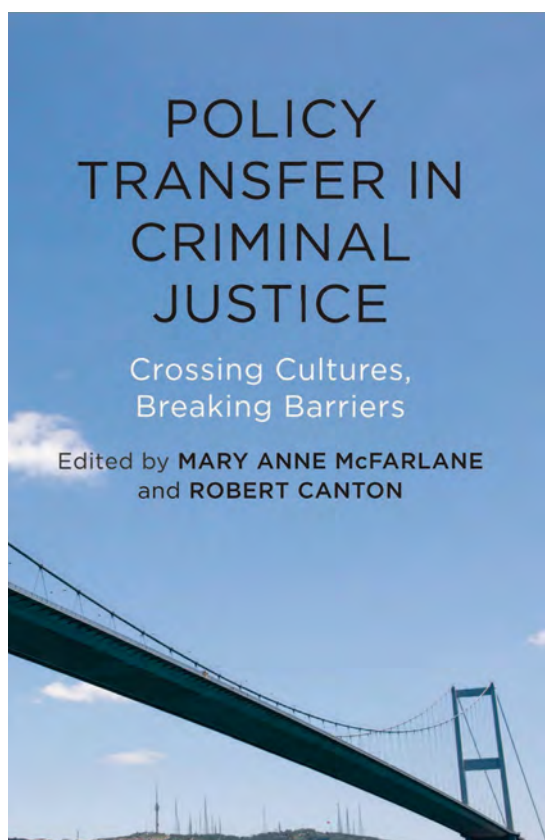
As our profession continues to stress the use of EBP in supervision and delivery of treatment services, shouldn't we apply the same standards to the safety training we provide for our officers? To effectively provide relevant training, we would definitely benefit from statistical information and details regarding what threats officers are actually encountering, both at local and national levels. Training time and resources are too limited for us to provide training that is not relevant and realistic. More effort must be put into comprehensive and accurate data collection.

We should also look at how training is being carried out. Limiting safety education to classrooms is not enough. We should consider supplementing classroom training with lessons conducted in the types of environments that provide more impact and realism, exposing the trainees to the types of situations that research shows they are likely to encounter, or in which they may run into difficulties. Further, they must be provided performance-based feedback from trainers who are truly subject matter experts—feedback that stresses what they did well but also suggests specific areas that need improvement. Such training has been shown to enhance the skills of officers as well as reducing liability for both the agency and the officer in the areas of judgment and use of force.

The bottom line is that if safety is taking a back seat, then that must stop. The prevention of serious injury or death of even one officer, or avoidance of even one finding of liability against an officer and/or agency, may pay for years of safety training. Let's set the same standards of quality for officer training that we have set for delivery of offender services, providing the officers with the tools they need for their own protection and the protection of the community.

A version of this article originally appeared in the Spring 2016 issue of *Executive Exchange*, the publication of the National Association of Probation Executives. It is reprinted with permission.

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**POLICY TRANSFER IN
CRIMINAL JUSTICE:
CROSSING CULTURES,
BREAKING BARRIERS**

EDITED BY MARY ANNE MCFARLANE
AND ROB CANTON
PALGRAVE MACMILLAN, UNITED
KINGDOM, 2014. 336 PP. HBK.

Over the past two decades, I have noticed increased interest on the part of my peers regarding how different countries around the world approach probation, especially countries in Eastern Europe and Asia. Both the amount of information sharing and the number of affiliations between established probation associations, services, and university communities have grown considerably during this time period. In addition, international associations that are committed to the exchange of information between governments and non-governmental agencies are now available to facilitate encounters between those in many countries—whether practitioners or academics—who pursue excellence and enhanced effectiveness of probation work. I have also noticed a revival of interest in comparative criminology and corrections/probation theories. It is clear that we can learn more about our own approaches when we make the effort to understand other probation services and correctional systems.

What is perhaps lacking is serious reflection on the consequences of what we have learned and of what we would like to share. In particular, do we sufficiently understand all the implications of policy and program transfer to other countries—or even to other jurisdictions in our own countries? *Policy Transfer in Criminal Justice: Crossing Cultures, Breaking Barriers* may help with this. This

is an excellent compilation of articles by individuals who participated in a major project to assist the Turkish Probation Service in developing policies and practices. Both editors have considerable experience in international work. Mary Anne McFarlane is currently an international criminal justice advisor who specializes in probation, community courts, and multi-agency solutions to criminal justice issues. Rob Canton is a Professor of Community and Criminal Justice at De Montfort University (Leicester, United Kingdom) and has worked extensively with the European Union and the Council of Europe to develop penal practices in a number of European countries. These editors provide an introduction to a variety of instructive articles written by those directly involved in this challenging cross-cultural project. The contributors describe both their involvement and their perception of final outcomes. Some writers are also able to compare and contrast their experiences in Turkey with work done in other countries.

At the outset, it should be understood that the editors accept the Turkish Probation Service Project as an instance of policy transfer, and it is from that perspective that they comment on the various descriptions and reflections of the participants. Specifically, under McFarlane and Canton's working definition, policy transfer is a process that allows knowledge concerning ideas, institutions, policies, and programs in one country to enter policy-making activity regarding the development and change of policy and programs in another country. McFarlane and Canton note that the unique nature and public policy issues of each country or jurisdiction will inevitably create distinctive challenges for effective policy transfer from an outside country or jurisdiction. This certainly happened in Turkey. They remind us that "any project that sets out to influence policy and practice in another country must create its own way of undertaking its work and establish its own character, there can be no one best way of going about such an undertaking.") Notwithstanding the fact that there is no perfect template for such a project, this book does point out useful guidelines and important considerations that, if heeded, can aid in producing a successful outcome.

**It is clear
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systems.**

I would recommend this book to any probation administrator or practitioner who is interested in probation internationally and/or who is interested in working abroad or advising probation services in other countries.

The editors have organized the 17 chapters into four sections that cover various aspects of the project team's work. The first chapter provides an introduction to the project and describes the process that led to the development of a working relationship between the United Kingdom and the Turkish Probation Service. Included is a brief overview of Turkish history as well as that country's efforts to prepare for potential accession to the European Union.

Part One of the book contains four chapters describing management, language, and cross-cultural issues. The chapters cover broad themes such as change management through international assistance, developing management skills within the Turkish Probation Service, and the role of language and the interpreter in the transfer of policy and practice formulations and techniques. Included is an interesting piece by Leyla Welkin titled "Why work across cultures?" Welkin is a clinical cross-cultural psychologist born in Turkey and educated in the United States. She hones in on relational skills, social responsibility, respect for human rights, and individual capacities as important factors for cross-cultural work. Welkin does a fine job of describing how insights from different cultural traditions can produce effective and creative solutions.

The six chapters in Part Two deal with the transfer of policy and practice pertaining to work with juvenile offenders. These personal reflections on how various project participants handled their particular challenges make an interesting read. These chapters also provide an excellent introduction to working with policy makers

and practitioners from other cultural and legal traditions, with a major emphasis on the importance of collaboration. Some key focus areas in these accounts include:

- Language use and the time it takes to agree on correct terminology;
- Differences in law and legal traditions;

- The need for listening and learning skills as well as the ability to be flexible in adapting programs;
- Critical focus on capacity building; and
- Managing the tension between advising and leading.

Part Three, with three chapters, covers the transfer of policy and practice in working with victims of crime. Included are discussions on the experience of helping develop programs for victims of domestic abuse and sexual violence as well as the writing of training manuals regarding support work with victims. The challenges faced by these participants included the need to understand cultural differences while at the same time respectfully questioning cultural approaches that could jeopardize human rights. I believe that the honest discussion of such issues as presented in these chapters is a useful contribution to a much needed dialogue in this important—albeit sensitive—area.

The final section of the book addresses the international context of partnership development and how to make a penal reform message relevant, and some reflections on policy transfer in penal reform are included as well. The concluding chapter summarizes key themes that emerged as the contributors reflected on this extensive international assistance project. It is clear that the blueprint for any such future project

should consider a clear definition of the beneficiary's needs, sustainability, capacity and skill building, language/culture awareness issues, and practical needs such as timescales, adhering to the contract, and handling interpretation.

I would recommend this book to any probation administrator or practitioner who is interested in probation internationally and/or who is interested in working abroad or advising probation services in other countries. The book is noteworthy in particular because: (1) It adds the voice of the practitioner to the discussions occurring in academic circles and (2) it provides a special case study of how Western legal concepts and practices into an Eastern culture. *Perspectives* readers who attended the Second World Congress on Community Corrections in Los Angeles last July will find much in this book that reinforces the importance of having an international vision for probation.

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COMMUNITY SUPERVISION PRACTICES IN PARIS: INTERVIEW WITH DIRECTOR PATRICK MADIGOU



APPA President Susan Burke recently vacationed in Paris. During that time, she had the wonderful opportunity to meet with Director Patrick Madigou from the Service Pénitentiaire d'Insertion et de Probation (SPIP) de Paris ("Penitentiary Integration and Probation Department of Paris"). Knowing that our International Relations Committee has been gathering information from different countries regarding community supervision practices, she personally reached out to get a series of questions answered on the committee's behalf. The results of that interview are presented here.

WHERE DO PROBATION AND PAROLE SERVICES FIT WITHIN YOUR POLITICAL STRUCTURE?

The French Ministry of Justice oversees SPIP, which has responsibility for diversion, pretrial, probation supervision, and community reintegration. SPIP also operates prisons.

WHAT EFFORTS ARE BEING MADE TOWARD ADVANCING BEST PRACTICES?

SPIP utilizes a risk assessment tool to guide its work with probationers. The department also assigns officers to work with each member of the prison population scheduled to be released from the prison. Staff members focus on individualizing their responses, with an emphasis on ensuring proper socialization of the individuals under their jurisdiction. These efforts benefit from strong collaboration between the Ministry of Justice and two other French ministries: the Ministry of Labor, Employment, Vocational Training and Social Dialogue and the Ministry of Culture and Communication. These partnerships are designed to get individuals successfully reintegrated through training, education, work, and social activities.

SPIP also has an electronic monitoring program for lower-risk individuals. Director Madigou's section of SPIP currently has the capacity to monitor approximately 130 individuals. Because of its success, they want to expand this program but will need funding to do so.

HOW HAVE YOUR SERVICES BEEN IMPACTED BY THE GLOBAL BUDGET CRISIS?

Funding for programs and services has definitely been impacted by budget issues, along with the ability to recruit qualified staff. However, Director Madigou indicates they have managed to maintain and even improve their level of service, in part due to effective collaboration and in part because lower numbers of individuals have been placed in prison and on probation in the last couple of years.

Like many probation agencies across the world, SPIP would like to lower officer caseloads. Its goal is to achieve a caseload of 60 probationers per officer, down from the current 80-90 per officer.

WHAT ARE CURRENT WORKLOAD ISSUES?

Like many probation agencies across the world, SPIP would like to lower officer caseloads. Its goal is to achieve a caseload of 60 probationers per officer, down from the current 80-90 per officer. Obtaining funding for new officers has been difficult, however, as the agency has been allocating considerable funds to replace aging prison facilities, some of which date back to the 1800s.

Even if funding were available for more officers, recruitment is another problem. Individuals who are interested in becoming probation officers must first graduate from a local university and then apply to work in civil service. If accepted, a recruit is paid to attend school for another two years before actually commencing work as a probation officer. While the job provides many benefits, the pay is viewed as low, which makes it difficult to attract applicants.

ADDITIONAL INFORMATION

It should be noted that SPIP probation officers are not armed; in France only police officers are armed.

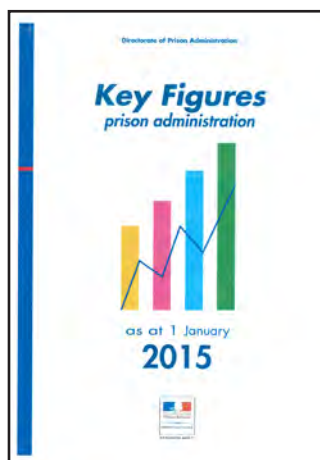
Unlike the United States, the use of illegal drugs is not considered a major problem for the justice/penal system, since treatment is readily available. The health care system in France supports medically assisted treatment protocols for addiction. A more serious problem for them has been the rate of domestic violence, much of it associated with alcohol. When the economy struggles, the rate of domestic violence also increases.

Director Madigou shared that the recent terrorist attacks in Europe involved some individuals who were known to the correctional system. European nations have taken note that some of these individuals were radicalized while incarcerated. Efforts are underway to address this serious issue.

In conclusion, this brief overview may provide some idea of commonalities and differences in our systems. As indicated above, Director Madigou emphasizes that SPIP definitely promotes an individualized approach to probation. Each person they work with is viewed as someone who has the potential to succeed.

Information provided by Susan Burke, Director of Juvenile Justice Services, Utah Department of Human Services and is the current APPA President.

JULIE TRUSCHEL is the Chair of the APPA International Relations Committee.



For more information, please click on the report Key Figures in Prison Administration 2015, prepared by the Directorate of Prison Administration.



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THE PREVALENCE OF POLICE-PROBATION/PAROLE PARTNERSHIPS IN PENNSYLVANIA

In the previous *PSN Update*, Matz and Kim (2016) examined probation/parole leaders and officers' perceptions of partnerships with law enforcement, garnering national-level feedback from individuals associated with the APPA membership (see also Matz, 2016). In this issue the authors briefly examine the results of new research conducted in the State of Pennsylvania that involved surveying police chiefs and chief probation/parole officers about their attitudes, experiences, and interest in police-probation/parole partnerships (for full results see Kim, Matz, & Lee, 2016). Specifically, the authors sought to

- identify patterns of police-probation/parole partnerships (in Pennsylvania);
- compare benefits and challenges as perceived by police chiefs and chief probation/parole officers; and
- develop an understanding of what variables most influenced those perceptions.

SAMPLE AND RESPONDENT CHARACTERISTICS

The State of Pennsylvania possesses 1,124 municipal police departments, the most of any state. With assistance from the Pennsylvania Chiefs of Police Association (PCPA), 1,110 contacts were located for police leaders. Utilizing a random sample, 119 out of 281 (42.3%) contacts reached completed a paper-based survey concerning partnerships with probation and parole agencies.

Juvenile and adult probation in Pennsylvania is generally regarded as a county-based judicial function. That said, the Pennsylvania Board of Probation and Parole (PBPP) provides adult probation service for two counties, Mercer and Venango. Parole, on the other hand, is administered at the state level as an executive function. This study utilized contact lists gathered from the Juvenile Court Judge's Commission (JCJC), PBPP, and the County Chief Adult Probation and Parole Officers Association of Pennsylvania (CCAPPOAP). A total of 67 contacts were located for juvenile probation leaders, 65 for adult probation (with 35 jurisdictions supervising both adults and juveniles), and 53 for parole. Surveys were completed by 82 (55.4%) of the probation/parole leaders contacted.

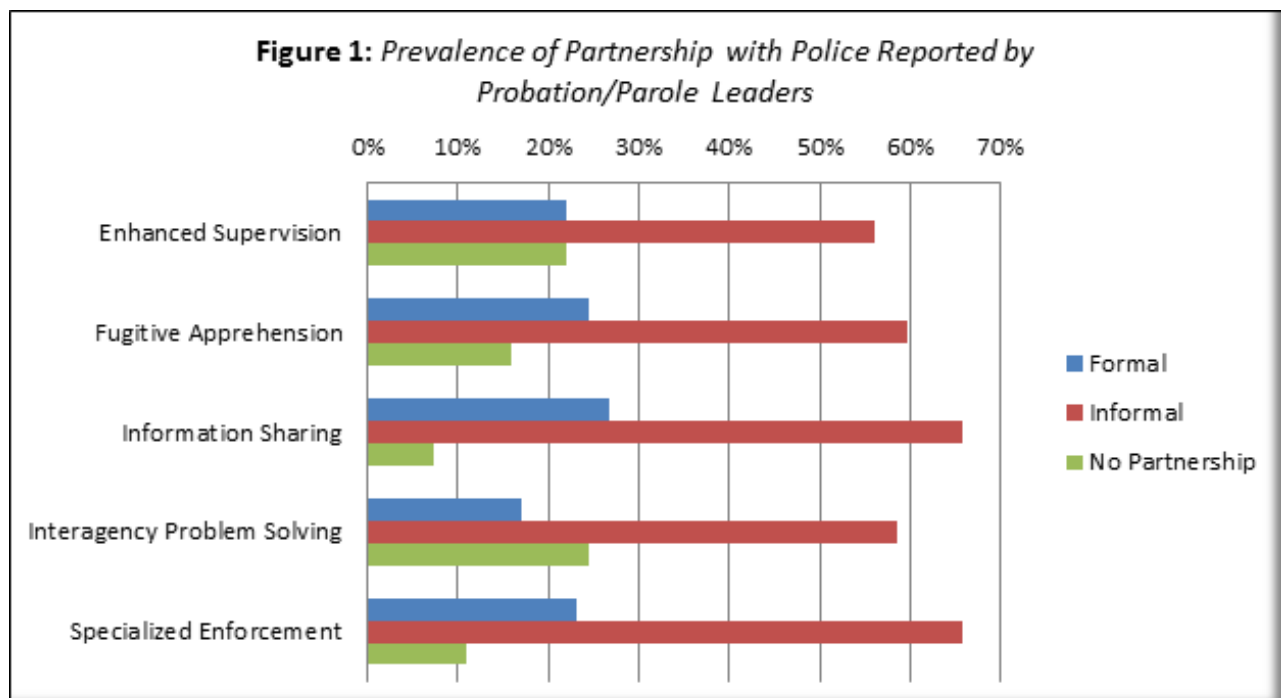
In terms of demographics, police, probation, and parole respondents possessed roughly 20 years or more of experience in their current department, in their respective field, and in criminal justice more broadly. Interestingly, police chiefs with less experience in their current leadership position were more likely to be engaged in partnerships. It was also found that probation/parole agencies with larger numbers of probationers/parolees were more likely to be engaged in partnerships with police.

PARTNERSHIP PREVALENCE

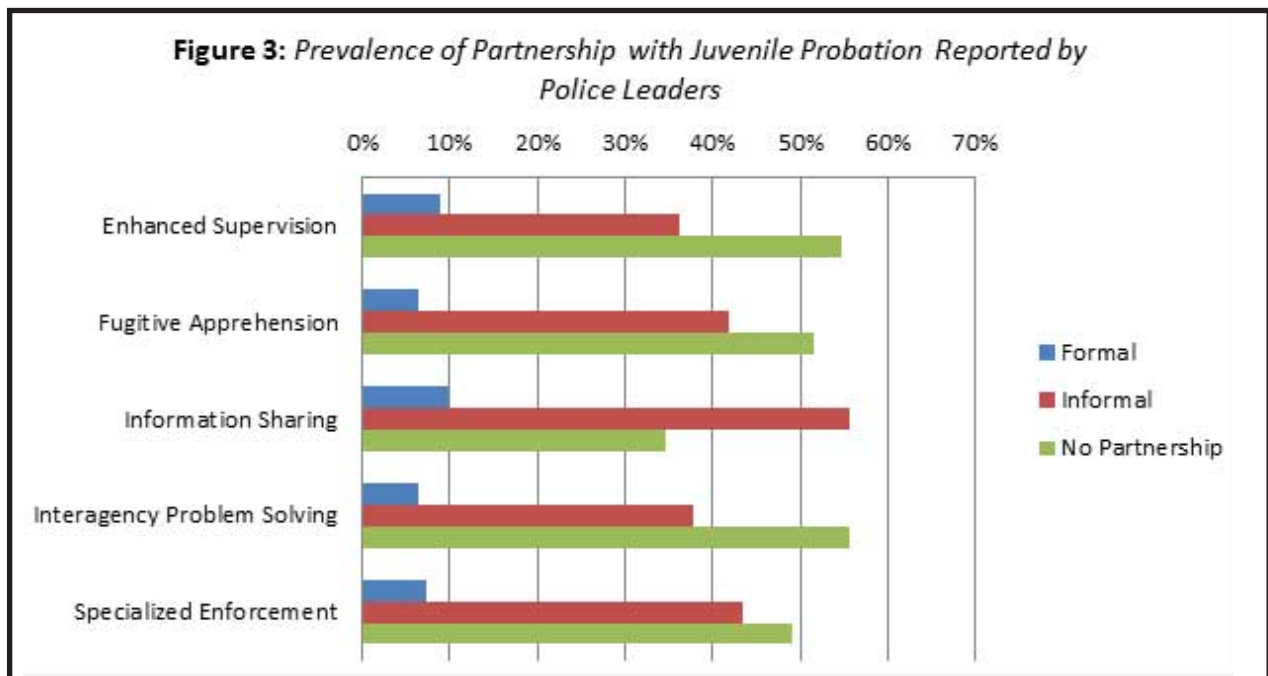
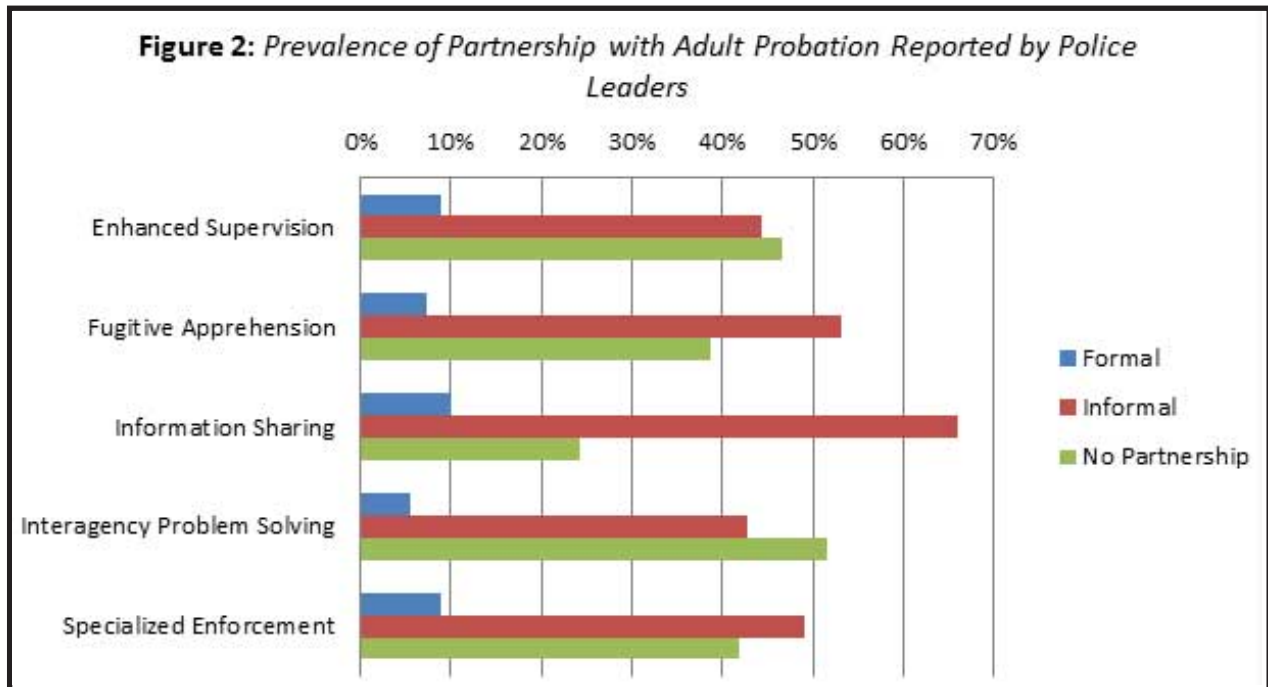
Figure 1 displays the prevalence of police-probation/parole partnerships reported by probation/parole leaders in terms of five previously established categorizations: enhanced supervision,

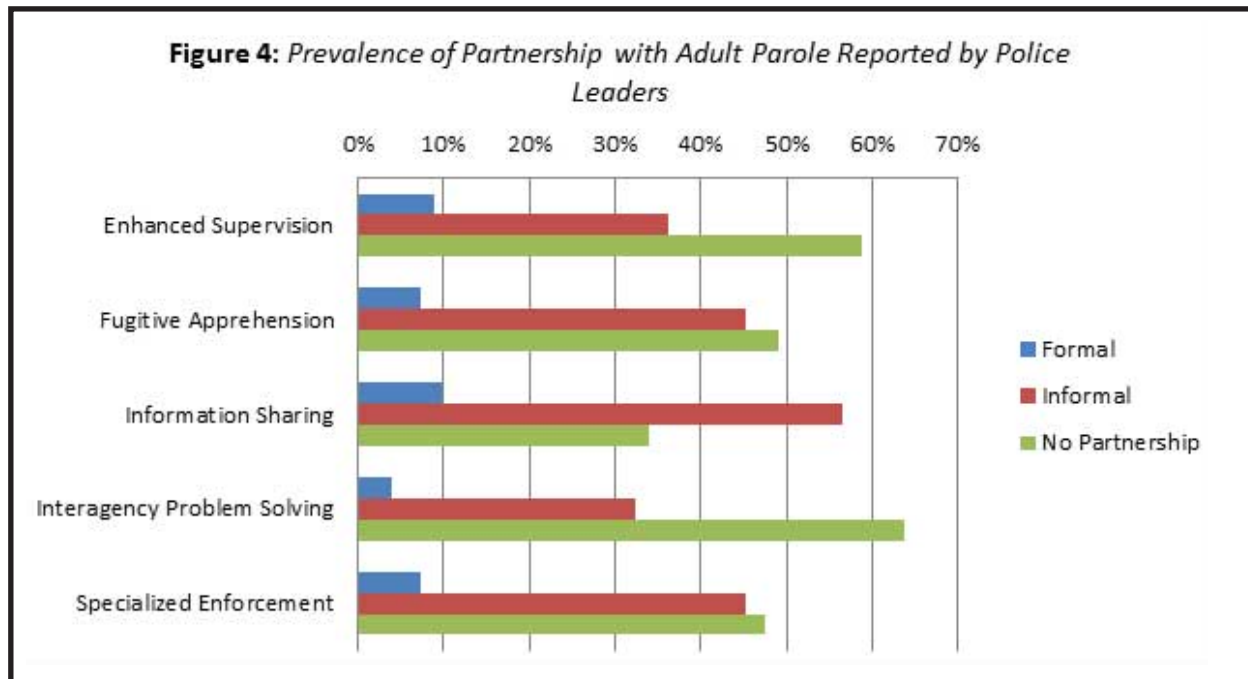
fugitive apprehension, information sharing, interagency problem solving, and specialized enforcement (Parent & Snyder, 1999). In all cases, the majority of respondents (ranging from about 55-65%) indicated they are engaged in informal partnerships (partnerships predicated on the existence of personal connections between members of the respective departments). A small percentage (about 15-25%) indicated the existence of formalized partnerships (partnerships associated with an established interagency agreement or memorandum of understanding).

Figure 2 shows the prevalence of partnerships with adult probation as reported by police chiefs. Again, informal partnerships are quite prevalent, while



formalized partnerships are rare. Figures 3 and 4 demonstrate that a similar trend exists with juvenile probation and adult parole, with partnerships less likely than for adult probation.





BENEFITS AND CHALLENGES OF PARTNERSHIP

Leadership support was a statistically significant variable associated with the likelihood of agencies to be engaged in formalized partnerships for probation and parole respondents. This finding is consistent with prior qualitative interview research conducted in an unnamed Pennsylvania county by Alarid, Sims, and Ruiz (2011). Simply put, if leadership is not actively engaged or supportive of the partnership, then its progress will remain minimal, at best.

That said, while respondents were supportive of partnerships, they were uncertain as to the extent to which their officers were interested in developing such collaborations. Only a third or less of the respondents indicated they felt confident their officers and staff were supportive of police-probation/parole partnerships.

Ironically, the national-level survey by Matz (2016) showed officers were supportive yet questioned the interest of their leadership (Matz & Kim, 2016).

Further, only about a third or less of police respondents felt partnerships could have a substantive impact on crime or recidivism, with many noting their collaborations lacked measureable goals from which to document their impact. Probation and parole respondents were generally more supportive, with roughly half demonstrating a positive belief in the ability of partnerships to impact probationer/parolee behavior.

As mentioned previously, agencies with a larger number of probationers/parolees were more likely to be engaged in partnerships, a reflection of too few resources to provide adequate supervision in the community. In addition, police

agencies with more officers were also more likely to engage in partnerships; no doubt the development of partnerships requires the capacity and staffing available to do so.

FACTORS THAT MOST INFLUENCE PARTNERSHIP

Kim et al. (2016) utilized a statistical procedure known as ordinary least square (OLS) regression to determine what variables most influence respondents' perceptions of benefits and challenges associated with partnership. For community corrections, none of the agency characteristics or respondent demographics possessed a significant influence on their perceptions. While probation/parole leaders had positive perceptions of informal and formal enhanced supervision partnerships, formal specialized partnerships possessed a negative association. Finally, probation/parole respondents who were more concerned about *stalking horse* issues (the notion that law enforcement may abuse the partnership by using it as a means to gain unlawful access to a probationer/parolees' person or residence without a warrant or probable cause) were more likely to have negative views of partnerships (for more on *stalking horse* concerns see prior PSN update by Matz, Turner, & Hemmens, 2015; see also Turner, Hemmens, & Matz, 2014).

In terms of police respondents, positive perceptions shared a relationship with engagement in formal/informal enhanced supervision and informal interagency

problem-solving partnerships with adult probation. In other words, police agencies engaged in such partnerships with adult probation displayed more positive perceptions and a greater favorability towards future partnerships, suggesting they had positive experiences with adult probation in the past. In contrast, police respondents' perceptions of partnerships with juvenile probation were only significantly influenced by the existence of information-sharing partnerships, for which there was a negative statistical association. Finally, police respondents' attitudes towards partnerships with adult parole were positively influenced by prior engagement in formalized partnerships and possessing a perceived organizational culture that supports offender reentry and interagency cooperation.

CONCLUDING REMARKS

Despite the growth of formalized partnerships in the mid-to-late 90s, the majority of partnerships between police and probation/parole agencies remain informal endeavors predicated on working relationships built between individuals. This has led to a paucity of evaluation research on their effectiveness, as reflected in the ambiguity of respondents' views about their outcomes. Nonetheless, such partnerships have considerable promise when considering the difficulty many supervision agencies have in actively supervising their probationers/parolees in the community. Further, it is evident from these results that law enforcement as well as probation and parole agencies sees positive value and potential in working

together, and many have generally had positive experiences in the past. Kim et al., (2016) recommend that more should be done early on to introduce prospective officers to the potential of interagency partnerships through undergraduate and graduate-level courses in criminal justice, as well as the addition of entry-level training curriculum in police academies (see International Association of Chiefs of Police [IACP], 2007). Further, in-service training should be provided for each jurisdiction suited to the unique needs of their jurisdiction (Jannetta & Lachman, 2011). Indeed, many jurisdictions share resources between police and probation/parole agencies currently, but they may or may not place adequate emphasis on partnerships in the field.

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ENDNOTES

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For a copy of the full report on partnerships in Pennsylvania, or inquiries, please contact Dr. Bitna Kim at bitna.kim@iup.edu.

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UTILIZING DIALOGUE TO ENHANCE PARTNERSHIPS BETWEEN CRIMINAL JUSTICE EDUCATORS, RESEARCHERS, AND PRACTITIONERS



The APPA research committee is committed to enhancing research focused on the needs of practitioners and agencies as well as making existing research more useful to those working in the criminal justice field. These efforts include the creation of “Get Smart About” (a series of one page overviews of key evidence-based practice issues), the dissemination of information through the *Perspectives* magazine, and an ongoing effort to bring together academics and practitioners to discuss the research needs of community corrections agencies across the county.

The latest effort, led by Dr. Brett Garland, began with the creation and dissemination of a brief web-based survey. The survey was sent via email to active APPA members in leadership positions, asking them to consider the following questions.

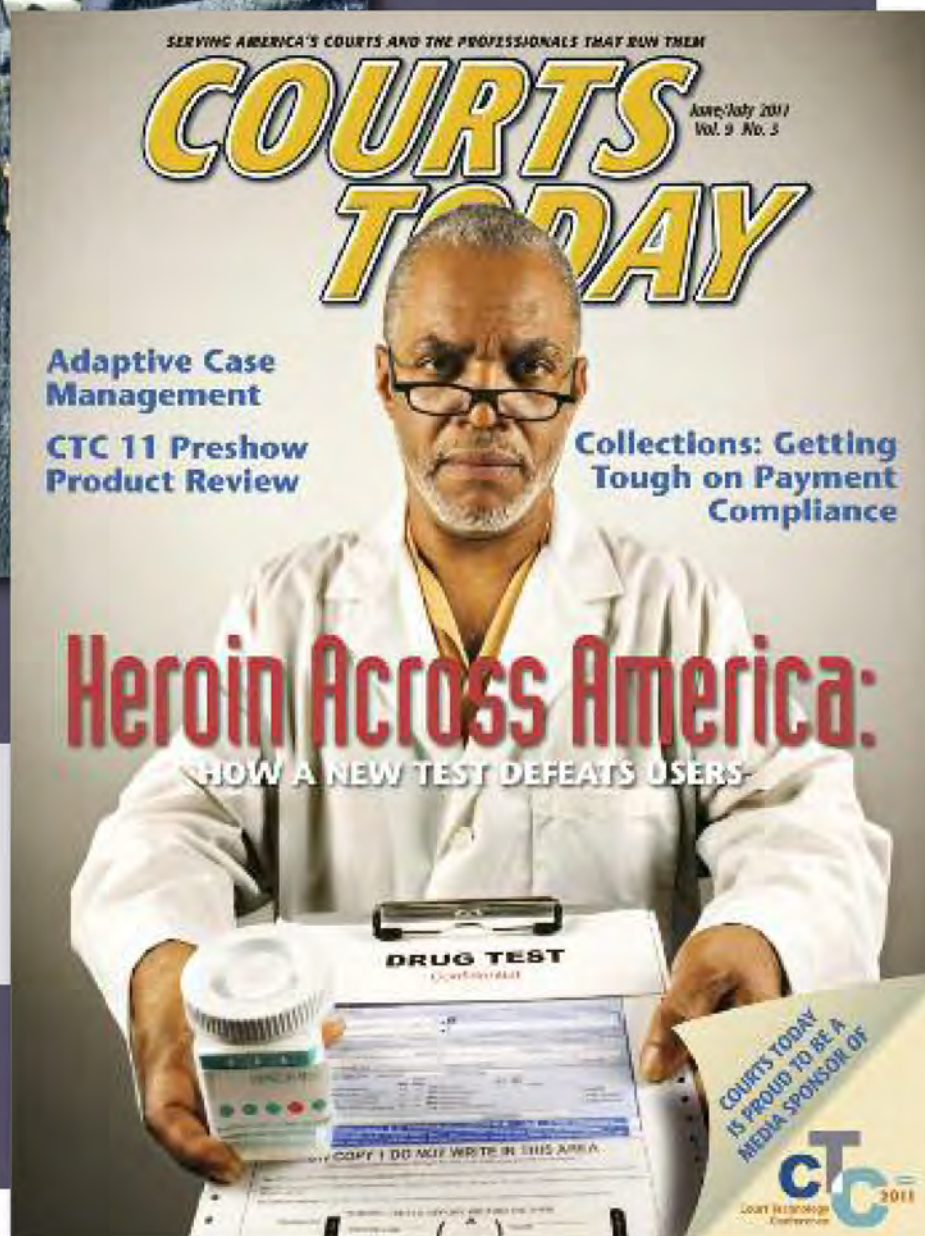
1. What types of knowledge or information could be generated through research that would most benefit your specific agency in accomplishing its mission and goals?
2. What types of knowledge or information could be generated through research that would help you do your specific job more effectively?



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A total of 101 responses were received and reviewed by members of the APPA research committee, with each developing a list of common themes. These lists were then compiled, compared and collapsed to create a quantitative coding scheme. The coding was used to develop a *word cloud*, presented in Figure 1, with more prominent and recurring themes represented proportionally larger than those of less prevalent themes.

FIGURE 1: WORD CLOUD OF MOST PROMINENT RESEARCH NEEDS



The results of the survey, while not surprising, serve to provide an empirical roadmap as to the research areas that remain important to practitioners who want to lead agencies that help in the reduction of recidivism. Practitioners are aware that many day-to-day functions of community supervision work have little research behind them. Specifically, respondents noted the need for outcome evaluation as it pertains to several fundamental aspects of probation and parole work including the impact of telephone as opposed to face-to-face contacts, increased safety and compliance associated with the use of identifiable markings (e.g., departmental logos on clothing, visible badges, marked cruisers), and the efficacy of drug testing. In addition, practitioners are interested in outcome research as it pertains to the impact of specific treatment programs on recidivism, understanding how and when risk and need assessments are most useful (including validation studies), and how agencies can best respond to violations of the conditions of supervision. Implementation fidelity, as well as understanding its impact on the reduction of recidivism, is also a pressing issue for many community supervision agencies.

While the proliferation of evidence-based practices (EBP) is visible in community supervision, its practical application remains an area of concern. In particular, the notion of responsivity remains an underdeveloped concept. In many agencies risk is the main factor in classification and probationer/parolee management, while needs and responsivity may have a peripheral focus. Further, a great deal of discussion has centered on the appropriate dosage of services necessary to achieve the desired impact. Other important areas highlighted include skill development for staff and the most effective use of incentives and sanctions.

While the proliferation of evidence-based practices (EBP) is visible in community supervision, its practical application remains an area of concern. In particular, the notion of responsivity remains an underdeveloped concept.

While program outcomes and supervision practices were paramount, a notable emphasis was placed on organizational needs, including hiring practices, workload and caseload considerations, cultural diversity training, management of organizational change, and staff wellness and safety. These areas have received very little attention in the empirical literature.

CREATING A DIALOGUE

The next step was to bring these findings to the academic community to begin a dialogue. This took place in March 2016 at the annual meeting of the Academy of Criminal Justice Sciences (ACJS), in a featured seminar and roundtable where the seminar panel and audience engaged in a lively discussion regarding the survey results. Notably, the seminar was attended by ACJS Executive Director Mary Stohr and the current ACJS President, Brandon Applegate, as well as by other prominent community corrections researchers such as Leanne Alarid from the University of Texas at El Paso and Eric Wodahl from the University of Wyoming. The discussion focused on identifying specific gaps in the research literature requiring the most urgent attention and exploring methods for addressing the gaps. The group expressed agreement that academic researchers should be more involved in the conceptual and evaluative framing stages of research,

giving attention to specific jurisdictional needs, and also should address practical concerns often overlooked in academic journals, such as workload, case planning, and effective personnel management. Suggestions were made that researchers should strive to build stronger ties and long-term relationships directly with community-based agencies so that research benefits can be maximized at the local level.

NEXT STEPS

In addition to the presentation at ACJS, the APPA research committee intends to share these findings and encourage greater dialogue with educators and researchers by submitting briefs to the association newsletter, *ACJS Today*. The research committee will also explore the feasibility of building a database of researchers specializing in specific community corrections areas to facilitate researcher-practitioner connections.

Dr. Garland will continue to serve as an official liaison on behalf of ACJS, attending each of the APPA institutes.

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IMPROVING TRAINING OUTCOMES THROUGH BLENDED LEARNING

When most people think of the traditional way to train and educate staff, they envision live, classroom-based/onsite settings. It's the way most people have always learned, and it's worked. However, technological advances are adding new possibilities and dimensions to the way training is conducted and learning is achieved.

FACTORS PROMOTING INCREASED OPENNESS TOWARDS ONLINE AND BLENDED LEARNING

As recently as five years ago, the use of online methods of instruction was not nearly as commonplace as it is becoming today. The easiest way to see the growth in online learning is by looking at the way colleges and universities (including traditional universities that have historically used campus-based instruction) have increased their online courses and degree program offerings as a way to appeal to a broader base of students and learning styles. As a result, instructors and professors in higher institutions of learning are also becoming more creative in their use of blended learning approaches in their classes, mixing classroom-based and technology-based instruction.

From a professional development training standpoint, travel budgets in government agencies took a big hit when the economy took a downturn in the mid-2000s. Training dollars were among the first budget items cut, making it more difficult to provide onsite training for staff. At the same time, advances in technology—specifically, online learning technology—began to make alternatives to onsite training more affordable and viable. With other industries leading the way, the comfort level and acceptance of online learning as a method for providing instruction began to increase. It is not surprising that more community corrections agencies began to see the potential role that online training could play in the professional development process for their staff.

However, it is important to note that online training is not always meant to supplant onsite training. Rather, online training should generally be viewed as a tool to supplement and enhance onsite training. This article will examine the advantages and disadvantages of online and onsite approaches. It also will explore how a blended

training approach can leverage the best of both of these training methods to facilitate better training outcomes.

WHAT DOES ONLINE TRAINING OFFER?

Online training is an effective way to provide knowledge-based information to individuals about a topic. For example, if a probation agency is moving toward implementing more evidence-based practices and desires to get its staff up to speed about the topic, it would be very practical to offer a self-paced online course focused on the major principles of evidence-based practice in community supervision.

Onsite learning can be time-consuming and schedule restrictive, because it requires all participants to meet at the same location at the same time. By offering instruction online, all staff are afforded an opportunity to take the course, not just those who are available on the day of the live training. It also offers the agency a potential cost savings by not having to bring in a subject matter expert. For agencies required to meet mandated training standards to obtain or maintain industry accreditation or certification, online learning can be particularly helpful. Online learning can allow individual employees to get the training they need at any given time instead of having to wait until scheduled group training times. Having the ability to provide training to new or existing employees on demand can significantly

increase your agency's rate of compliance.

Another substantial benefit of online training (or any pre-recorded training method) is that the content can be standardized, ensuring all training participants receive identical information, regardless of when they take the training, thereby maintaining the fidelity of the training program. In a classroom setting, the nature of the content and how it is delivered may vary depending on the occasion or instructor, introducing the possibility of some participants receiving watered down, incomplete, or differing information. For example, content lacking importance to a particular instructor may be skimmed over or skipped altogether according to that instructor's preference. Online training eliminates this risk and provides uniform, consistent, and comprehensive content to all learners.

Furthermore, people do not all learn at the same pace, and they rarely arrive at a training session with the same level of knowledge or skill, regardless of what topic is being covered. Online learning, particularly self-paced courses, offers individuals a chance to move more quickly through familiar material that is a review for them while taking their time or revisiting sections with new or challenging content. A course can have the added benefit of having built-in incentives for the students to truly master the material in the form of short quizzes at strategic points during the lesson. They will receive immediate feedback on how much they gleaned from the content just presented,

and if they don't provide correct answers, they can review the course content again.

Similarly, with online training it is easy to include a computer-based test at the end of the lesson or course. Indeed, the use of pre- and post-tests in online courses is a common way to demonstrate whether there was knowledge was attained as a result of someone taking the course. This type of process can be duplicated in onsite training programs; however, for in professional development training programs it is not always standard to include this type of assessment to gauge training effectiveness and measure learner knowledge gains. The trainee beginning a module can be made aware that course credit is dependent on passing the post-test. This adds a new layer of accountability and motivation for the student to take responsibility for mastering the material.

Finally, it cannot be denied that online training takes advantage of—and suits—today's tech-savvy minds, particularly in the younger generations in the workforce. This is true for Generation X but particularly pertinent to Millennials and those in Generation Z who will join the workforce by the end of the decade. Today's younger workers have grown up with technology pervading most facets of life. Online training plays into a method of learning with which they are familiar, thereby reducing boredom and increasing participant focus and the likelihood of training success.

IS ONLINE TRAINING ONLY CONDUCTIVE TO KNOWLEDGE-BASED LEARNING?

Although online training is extremely suited for presenting knowledge-based content, it can also be used for developing skills. Chances are you have used online videos and tutorials to help you troubleshoot and fix a problem or learn a new skill. For example, have you ever used online videos (e.g., YouTube) to help you learn how to fix a leaky faucet or to knit a blanket? You may have never fixed a leaky faucet or knit a blanket before, but with the help of online videos you can master the basic skills needed to do so and save money by not having to call in a professional plumber or attend a special class. You also usually have the luxury of multiple videos demonstrating the same technique, making it more likely you will find one to meet your specific needs.

Video demonstrations of pretrial, probation, or parole officers conducting intake interviews or assessments can be one method by which to begin familiarizing staff on the purpose of such interviews and how they can be performed most effectively. Alternatively, within a self-paced online course on a community corrections-related topic, initial skill development can occur through responses the learner makes to various scenarios based on the specific set of facts presented (similar to situational judgment tests). Sophisticated branched scenarios can be created, so that each time a learner chooses one

option, a specified consequence occurs and yet more decisions must be made. Based on the decisions made, the options and consequences of the learner's actions in the scenario are adjusted to present how this type of response could play out in the work setting. Scenarios can also be set to allow users to repeat a scenario, offering them a chance to see what might happen if they made different choices. This can be an interesting and interactive way for learners to witness how different responses can yield different results—especially given that there is not always a right or wrong answer for how to handle some situations (particularly in a community corrections setting). Sometimes it just may take longer to reach the desired result based on the way situations are handled.

More sophisticated online simulation training is also available; for example, online simulations for medical practitioners are designed to assist them in practicing certain types of skills. However, most online simulation training for community corrections professionals has not reached this level of skill training, due in large part to the expense of producing such simulations. Moreover, even when online simulations are offered, they cannot and should not totally replace the need for hands-on practice and immediate personal feedback from instructors. Online elements should complement and enhance that which is being taught in a classroom or lecture setting.

WHAT DOES ONSITE TRAINING OFFER?

Onsite training is most useful for skill development, practice, and immediate feedback. For those who learn best verbally and visually, they can benefit greatly by hearing and seeing an instructor present a lecture or provide direction on how to perform a skill. The level of real-time interaction made possible by classroom training can help to ensure proper comprehension and retention of information presented. It also offers the opportunity to have any question that may arise answered immediately.

Questions fielded during onsite training also provides opportunities for instructors to make last minute adjustments to what is being taught to make it more relevant to the learners and their specific work circumstances. For example, a course on officer safety can be adapted to include information specific to the laws and policies for that state or jurisdiction.

Many experienced workers in the field are most familiar with, so it may provide a level of comfort and receptivity that may not be present with newer training methods. Reduced usage of technology can mean fewer technical issues with which to contend, although the classroom itself is not always free of technical glitches.

The level of both learner-to-learner as well as instructor-to-learner interaction in classroom-based training is very difficult to replicate online. Often individuals who attend classroom based training programs indicate they learned just as much from their fellow participants as they did from the instructor. The ability to network with peers during breaks and during off hours, as well as the opportunity to participate in small group and large classroom discussions with other learners during a course, adds a rich dynamic to any learning environment.

It is apparent that each training method offers its own distinct advantages and disadvantages. The key to training success is learning how to maximize the respective strengths of online and onsite formats through a blended learning approach, thereby saving time and money and improving the quality of training.

WHAT DOES BLENDED LEARNING OFFER?

Blended learning refers to technology-based learning that is combined with instructor-led, face-to-face classes (Silberman, 2006). Driscoll (2002) discusses how such blended or hybrid courses can be used to offer more cognitive or knowledge-based content online in order to allow for more time to focus on active learning techniques during face-to-face classes. When it comes to professional training, blended learning offers an opportunity to take the fullest advantage of each training method and

offers more practical and cost-saving options to inform and educate work staff.

For example, suppose a state-operated probation or parole agency has limited funds for onsite training. It wants to educate new staff this year on motivational interviewing but lacks funds to bring in qualified instructors for the normal full week of training that has been offered in the past on this subject. It has funds for three days of onsite training and must figure out whether there is a way to provide this needed training within their financial constraints. With the buy-in and assistance of the instructors, they locate several online courses (some reasonably priced) that can provide a foundation and background knowledge on motivational interviewing. The instructors create a syllabus for the participants outlining the prerequisite required readings and/or online courses they are to take prior to the onsite training. The intent is to use these alternative methods to cover the majority of the knowledge-based content that would have been addressed via lecture in the onsite training. The instructors also develop a post-test for the prerequisite materials that is administered via an online survey tool to hold participants accountable for completing their required pre-work. At appropriate points during the onsite training, the instructors make reference to the information that was learned during the prerequisite readings/training and ask participants if they have follow-up questions or need additional clarification on points discussed. After

briefly addressing any leftover questions or training needs, the instructors are then able to move more quickly into the practice and application aspects of motivational interviewing during the three-day onsite portion of the training.

In this example, several advantages to both online and onsite training have been leveraged to achieve the desired training outcomes within the budget. The online course component was used to teach knowledge-based information, while the onsite portion of the training focused on the practice and application of motivational interviewing skills. Although there may be some costs incurred for the time the instructors needed to help identify alternative informational resources, develop a syllabus, create a post-test, and re-design their onsite lesson plans, those costs will typically be less than needed to cover the time and expense of two extra days of onsite training. An under-recognized benefit of blended training programs is that participants of the training come to the onsite portion more prepared and ready to learn. Because of the pre-training they complete online, they know what the training they are going to be attending onsite is about. They have a better framework for learning and are in a good position to think about the subject and connect it to their own experiences before they get to the onsite class. The learning and interaction that occurs onsite continues to build on that foundation and improves the training experience overall.

USE OF ONLINE SOCIAL NETWORKING SITES TO EXPAND LEARNING OPPORTUNITIES

Online social networking sites also can be used to enhance knowledge acquisition both before and after any actual training sessions. In onsite training programs, the relationships built among participants are often one of the most beneficial aspects of the learning experience, but it can be difficult to maintain these connections once participants return to their homes and work. As a result, good ideas that begin to percolate during onsite training can be left hanging or get lost in the shuffle of every day responsibilities. Online social networking sites offer promise as a means for helping training participants stay connected and share information after an onsite training ends. For example, special discussion threads or posts can be used to engage individuals in conversation and information sharing through comments. Certain social networking sites also allow users to create private forums and groups if the group prefers not to engage in public online conversation, particularly when dealing with sensitive topics.

While used more often as a tool to extend the learning process after a formal training session, social networking sites also offer ways to gather information from participants or inform participants in advance of onsite training regarding topics that will be addressed in the training program. Trainers can use information

gathered from the discussions to modify the training to fit the participants' needs more thoroughly, gauge interest around topic areas, etc.

Online social networking sites also offer an interesting strategy for attempting to overcome the isolation barrier often cited around self-paced online training. For example, people who take an online training course can be directed to a site where they can answer questions, share information, or get input from a moderator/instructor on the topic they just studied.

COMMUNITY CORRECTIONS CONNECT

The American Probation and Parole Association (APPA), through funding from the Bureau of Justice Assistance (BJA), has implemented an online professional development networking site called Community Corrections Connect (CCC). The site was designed as a means to provide individuals who have participated in various training programs (both online and classroom) with a way to continue to network and share ideas through designated and moderated discussion threads as well as by uploading and sharing documents. The site offers includes features that allow members to create documents through a collaborative online process, administer polls, etc.

With BJA funds, APPA also developed a series of online courses that incorporate an individual activity component that

requests participants to post responses on the appropriate training discussion thread for the course. Its specific intent is to help individuals taking the self-paced courses to engage with their peers around subjects/topics in community corrections that are of mutual interest, share information, and engage in peer problem-solving.

APPA has taken the discussion threads and file gallery one step further by encouraging ongoing dialogue with participants who participate in some of its onsite training programs. Incorporating this type of online component after the class has ended provides a cost-effective way to extend the learning process and help maintain synergy from the training event. APPA's online learning partner, Relias Learning, hosts CCC through its Relias Connect online community. When privacy was desired by instructors or training participants, Relias has also allowed APPA to create additional private groups via the CCC site, accessed by invitation only, for specific training programs.

Although a variety of social networking sites exist (including CCC), the use of social networking sites is still a new phenomenon in online professional development training. However, this method shows promise of growing in the coming years as more individuals entering the workplace have experience and increased comfort level using social media as a communication tool and as

instructors and trainers become more creative and open to experimenting with this medium in training. Information on how to access Community Corrections Connect is found in [Appendix C](#).

HOW CAN BLENDED LEARNING BE EFFECTIVELY INCORPORATED INTO MY AGENCY'S TRAINING PROGRAM?

One significant advantage of blended learning is how flexible and adaptable it is. Ultimately, the training director and/or instructors determine how blended learning fits into their training puzzle. The decision whether to use exclusively online, exclusively onsite, or a blended approach to training comes down to what they want or expect participants to master as a result of participating in the training. If they just want them to recall facts and figures and general information about concepts within community corrections (e.g., a general understanding of the Risk Need and Responsivity model or a grounding in the history of probation and parole), then online training courses may be the most cost-effective and efficient way of helping staff learn. If they want someone to be able to learn a new skill or enhance an existing skill (e.g., motivational interviewing or how conducting a risk assessment), onsite training is likely going to be necessary to reach the full training outcomes. Most of the time, both the transfer of knowledge and the acquisition or refinement of a skill are desired training outcomes. Therefore,

blending the training experience, in most situations, may be the optimal approach to meeting training goals and objectives. In the end, it all comes down to a well-planned instructional design.

One example of blended learning is for an agency to require pertinent employees to complete an online course. Once all learners have successfully passed the online course, an in-person follow-up may be scheduled to discuss the course's content. This meeting provides an excellent opportunity to further elaborate on the information presented in the course, answer any questions learners may have, and lay out the practical application within the agency of the course content. This would also be the appropriate time to clarify any course content presented which may differ from established organizational policy or protocol and therefore should not be applied on the job. This same type of approach can be taken with live or recorded webinars. [Appendix A](#) includes some additional ways that APPA has implemented the blended learning approach within some of its training programs.

The possibilities regarding augmentation of blended learning are relatively endless. The goal is to determine which combination of learning mediums will achieve your desired training outcomes.

ADDRESSING CONCERNS AND QUESTIONS ABOUT IMPLEMENTATION OF BLENDED LEARNING

When any new system, method, or technique is introduced within an organization, there will inevitably be questions and concerns. If an agency already has an established training development department that creates and approves all training content, its staff may wonder how blended learning can be successfully integrated into their established programs. The good news is that it's relatively easy to add elements of blended learning to existing training content. There's no need to get stop using existing courses. Rather, training staff should review each course to determine how it can be enriched by adding various forms of electronic media.

Although, it may be necessary to develop some new online course content to meet specific training needs, many times existing content can be found and used to meet training needs. There are numerous resources already available (including federal government websites) with online courses on a variety of topics related to corrections. As indicated above, APPA has partnered with Relias Learning, and one of the results is that Relias hosts and provides online courses on a variety of community corrections-related topics and is developing and releasing new community corrections online courses periodically throughout the

year on a variety of topics. For example, several online courses hosted on the APPA Relias Academy website have been developed using BJA grant funds and are free for learners. These cover topics such as community corrections partnerships, hiring and retaining quality staff, using sanctions and incentives to shape behavior, developing policy around the use of social media in investigations and supervision, provisions for improving outreach and enrollment of individuals on community supervision in healthcare coverage through the Affordable Care Act, understanding the importance of therapeutic alliance, and how to improve rapport between officers and probationers/parolees. Each of these BJA-funded courses also has activities included within the course related to discussion threads on Community Corrections Connect (as discussed on above). More information about resources available through APPA's partnership with Relias Learning can be found in [Appendix B](#).

If concerns surface about pre-recorded, national-based training formats being too generalized to be useful, know that blended learning allows for in-person discussions regarding all aspects of the information provided, including assessment of its relevance in correlation with organizational policy. Comparing and contrasting local policies with those in the training videos may also provide an excellent opportunity to review your agency's existing protocols.

If a course needs to be developed on a new topic and in-house staff do not have expertise in designing and developing online training, consider reaching out to organizations, such as APPA, for help in producing new online courses specific to your needs. Any initial expense associated with development of new online course(s) will be defrayed in part by your having an end product that that you can re-use over time to maximize its cost effectiveness, while enhancing training outcomes.

CONCLUSION

The information age is an exciting time for trainers, instructional designers, and learners. With advances in technology, people have more control over their learning process than ever before. Instructors, trainers, and curriculum/instructional designers have a whole new set of tools that can be used to enhance the training experience, and ultimately (with well thought-out and executed instructional design) improve training outcomes. Onsite, online, and blended learning methodologies open the door to new ways of making training more accessible, cost-effective, and time-efficient, without compromising the quality of the training experience.

If you have questions or ideas about information presented in this paper, please go to the Community Corrections Connect site and post your comments/

questions in the training forum for Blended Learning to extend this learning opportunity. Information on how to access Community Corrections Connect can be found in [Appendix C](#).

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IMPLEMENTATION ISSUES IN SWIFT CERTAIN FAIR SUPERVISION

BY ANGELA HAWKEN AND JONATHAN KULICK

ssible

Community supervision is intended to deter reoffending, rehabilitate offenders, and protect public safety while avoiding the fiscal, personal, and social costs of incarceration. Offenders at high risk of recidivating are ill-served by the all too common tendency for inconsistent monitoring and the use of revocation as the enforcement for failure to comply with conditions of supervised release—a failure of community supervision on all counts. Swift-certain-fair (SCF) is an approach to community supervision based on the premises that “close monitoring with consistent and proportionate sanctioning works better than random severity” (Kleiman, Kilmer, & Fisher, 2014, p. 71) and that a common perception of fairness is essential to the legitimacy of criminal justice practices (Packer, 1968).

Interest in SCF is rapidly growing in the United States and several other countries, and the implementation of increasingly diverse programs that embody SCF principles is beginning to shed light on what particular policies and practices are appropriate in different circumstances. We can describe the principal features of some recent experiences with SCF-based programs in hopes of providing a general overview as well as lessons for practitioners and policymakers considering SCF for their jurisdictions or organizations.

HOPE

While the principles of swiftness and certainty in relation to severity in criminal justice have been well recognized for decades, most efforts to operationalize swift, certain, and modest sanctions in community corrections have failed to take hold. Some yielded poor or inconclusive outcomes, while others lacked political or institutional support to be sustained beyond a pilot (Hawken, Davenport, & Kleiman, 2014). The first operationalization of swift and certain sanctions that demonstrated success and was sustained was Hawaii's Opportunity Probation with Enforcement (HOPE), created by Judge Steven Alm in 2004.¹ HOPE has become so well known that the acronym is, to many, synonymous with "swift and certain sanctions." HOPE in Hawaii has been well documented (see Alm, 2012, 2013; Hawken, 2010b; Hawken & Kleiman, 2009; Institute for Behavior and Health, 2015a), so we will not retell the story at length here. A few salient features of HOPE and of Hawaii are, however, important to bear in mind when considering SCF implementation more broadly.

Judge Alm devised HOPE to address a particular set of circumstances: Hawaii had a large population of methamphetamine users on probation. Offenders charged with drug possession

were being aggressively prosecuted and sentenced. Probation revocations accounted for a large share of prison entries in Hawaii, with long open term sentences and a very high prison-bed-day cost. Moreover, revocations typically came after a long string of technical violations to which there had been no previous response. Judge Alm thought that many revocations could be avoided if all technical violations—principally positive drug tests and failures to appear—were responded to quickly. In creating HOPE, the rationale was that a credible system of close monitoring with swift and certain responses would deter many violations or, viewed more positively, promote compliance. If so, the sanction response could be modest as compared to the prevalent open term or long jail sanctions for repeated violations.

Of course, if the principal source of technical violations (whether from positive drug tests or no-shows due to efforts to evade testing positive) was methamphetamine use, then the credible threat of certain detection and jail sanction might not be sufficient to deter use by those with a serious substance-use disorder. The prior presumption was that all methamphetamine users were addicts and required treatment. As it happened, the HOPE regimen turned out to be effective in distinguishing those users who could desist of their own volition from

those who could not; Hawken coined the term “behavioral triage” to describe this phenomenon (Hawken, 2010a). Scarce treatment resources were reserved for those who specifically requested treatment, either at the outset, or at any point during their supervision, and for those who had three positive drug tests in a short period; these amounted to only a small share of the total—half never had a single positive drug test.

HOPE’s demonstrated success in reducing drug use, recidivism, and incarceration was not an ineluctable outcome of its conceptual design. Its implementation required the coordination and cooperation of multiple individuals and institutions: the court, the probation department, law enforcement agencies, jail operators, prosecutor’s public defender’s offices, and treatment providers. This coordination, in turn, required a program champion and institutions with the authority, willingness, and resources to participate. Hawaii had all these necessary attributes; some by happenstance (e.g., no statutory impediment to a judge independently imposing brief jail sanctions in lieu of a revocation hearing) and some willful (e.g., the probation office was moved into the courthouse to facilitate immediate arrest and swift hearings after positive drug tests). The HOPE court in Honolulu had other particularities that primed it for

success. In particular drug charges were aggressively pursued (e.g., possession of a pipe containing drug residue is a C felony) and contributed substantially to jail and prison days, so reducing drug use in itself caused a reduction in incarcerations.

EXPANSION

Swift, certain, and fair community supervision, including replications and adaptations of the HOPE model as well as independently derived models, is now in use in some 30 states and an American Indian nation (see Institute for Behavior and Health, 2015b; Pearsall, 2014).² These implementations include probation, parole, pretrial supervision, juvenile probation, and diversion for DUI offenders (24/7 Sobriety).³ The Bureau of Justice Assistance (BJA) has funded many of these, initially in a Demonstration Field Experiment (DFE), strictly replicating HOPE, and subsequently via three rounds of SCF awards aimed at expanding the scope of implementation to efforts embodying the *principles* of swiftness, certainty, and fairness in community supervision but with a variety of strategies.

These burgeoning implementations vary in many respects:

- **The role of the court.** The HOPE model entails the judge hearing all violations and imposing all sanctions. Some implementations

provide for administrative sanctions, with authority delegated to probation officers, and some require a judge's signature on a violation report and commitment order. In parole implementations the court typically has no role at all, with sanctions imposed by parole officers or supervisors, by hearings officers, or by the parole board.

- **The role of counsel.** The HOPE model entails the prosecution and defense involved in all violation proceedings, but the prescriptive, predictable sanctions scheme yields, in most instances, a swift and minimally adversarial process. Some implementations do not involve counsel in routine violation proceedings, and some require most of the trappings of criminal hearings. In parole implementations, again, there is typically no role for counsel.
- **The role of the supervisory officer.** The HOPE model entails the probation officer managing probationers' cases and reporting violations to the court and law enforcement agency. In some implementations, supervisory officers have arrest powers and serve their own bench warrants and in others they have authority to impose intermediate sanctions (in some cases needing a supervisor's approval). These differences in authority bear significantly on workload and the number of SCF cases an officer can comfortably supervise.
- **Drug testing and treatment.** The HOPE model entails frequent, random drug testing of all probationers (at least at the outset) and referrals to treatment for all whose test results demonstrate need or for those who request such treatment. Some implementations do not employ frequent, random drug testing, and some do so only for those offenders assessed as having a substance abuse problem. Implementations vary in the drugs for which they test and in whether alcohol use is allowed or tested for. Jurisdictions vary in the kind, extent, and cost (whether free to subject) of drug treatment available.
- **The use of sanctions and rewards.** The HOPE model entails brief jail sanctions for nearly all technical violations; certain minor violations are met with confinement for several hours in the courthouse cellblock. Incentives for compliance are reduced drug testing frequency and early termination of probation. Implementations using jail sanctions vary, whether by statute or program design, regarding their schedules of jail days imposed for different types of violation, whether to escalate sanctions for repeated violations, and how many violations or total jail days are allowed before revocation. Some implementations

routinely employ non-jail sanctions, both custodial and non-custodial, and some provide explicit, swift and certain incentives for compliance and accomplishments.

A complete accounting of all the variations in implementation policies and practices, and of challenges faced and outcomes, is beyond the scope of this article. In the next sections we highlight a few current programs to illustrate the diversity of SCF approaches and some promising innovations, driven by philosophy, evidence, and circumstances.

IMPLEMENTATIONS

DEMONSTRATION FIELD EXPERIMENT

Following on promising outcomes of HOPE as implemented in Honolulu, and in view of its growing adoption by other jurisdictions, the U.S. Department of Justice (DOJ) sought to formally evaluate replications of HOPE (renamed “Honest Opportunity Probation with Enforcement”) on the mainland. While some proponents saw HOPE as a potential solution to their problems with recidivism and incarceration, many others were skeptical that the outcomes could be repeated outside Hawaii. DOJ’s list of “evidence-based practices” in criminal justice (see crimesolutions.gov) labeled HOPE as “promising.” It is always prudent to test new approaches and practices in a variety

of circumstances before concluding that they are robust and broadly applicable. In this instance, the fact that the original program was created and implemented in Hawaii and was distinctive in so many ways was further reason to conduct a more extensive test of HOPE.

The HOPE Demonstration Field Experiment solicited proposals to *replicate* HOPE; the intention was to wholly adopt the policies and procedures from Hawaii that were evaluated in Hawken and Kleiman (2009) and to test them in four mainland jurisdictions with randomized controlled trials. Four jurisdictions were selected by the BJA based on their capabilities to implement a HOPE probation program and on having sufficiently large caseloads to provide the sample sizes required for an evaluation: Saline County, Arkansas; Salem, Massachusetts; Clackamas County, Oregon; and Tarrant County, Texas. BJA selected a team from Pepperdine University to provide training and technical assistance to the DFE sites, and the National Institute of Justice (NIJ) selected a team from Research Triangle International and Pennsylvania State University to conduct an evaluation. Results are expected to be released in 2016 (some preliminary process evaluation findings are in Zajac, Lattimore, Dawes, & Winger, 2015).

The mandate for replication of HOPE met with some challenges to implementation, some owing to inherent differences between the DFE sites and Oahu and some stemming from local relations among stakeholder organizations. The elements of the HOPE model that were to be implemented with fidelity were:

- A warning hearing on entry to HOPE.
- Frequent, random drug testing on a color-code hotline (with frequency reduced with continued compliance).
- Immediate arrest for positive drug tests (unless result is denied).
- Drug treatment for those with a demonstrated need or requesting it.
- Swiftly held violation hearings.
- Brief jail sanctions for all technical violations.
- A sanctions schedule that rewards honesty and taking accountability for missteps.
- Aggressive pursuit of bench warrants for absconding.

As implemented in the four DFE sites, local circumstances required some deviations from strict replication of each component of the HOPE model. In one

site, immediate arrest on a positive drug test (with admission) was not practicable due to statutory and logistical constraints. At this site, probationers testing positive were issued a summons to appear the next day for a court hearing, where they could expect to be arrested and jailed; approximately 95% did so.

At another site, many of the subjects were under the sanctioning authority of the probation department, which agreed to have the judge conduct violation hearings and recommend a sanction. At this same site, a strict statutory limit on total jail sanction days that could be imposed before terminating probation (as compared with Hawaii's multiple year open terms) limited the deterrent value of jail sanctions. The judge parceled out longer sanctions into multiple shorter jail stays, which probationers found more disruptive.

At a third site, a statute did not allow for frequent, random testing as a standard condition of probation, so only those probationers assessed as having a substance use disorder or whose drug use was a nexus to the controlling charge were on the color-code hotline. At this same site, a statute did not allow for the imposition of short jail sanctions for technical violations (the only sanction recourse available was revocation of probation, with the entire suspended

sentence imposed); a solution was found in brief detentions on probable cause of a violation, pending a revocation hearing (at which probation was continued).

In addition to these deviations from the HOPE model, variations in circumstances presented some operational challenges not found in Hawaii. In Hawaii, methamphetamine was by far the most prevalent illicit drug. At one of the DFE sites, heroin and other opiates were dominant. Opiate users may experience a difficult withdrawal (for themselves and for jail staff) during short jail stays and are at serious risk of overdose if they resume their accustomed dose on release, with reduced tolerance. It also appears that opiate users may be less responsive to the logic of swift and certain sanctions, with a greater tendency to abscond than other users, despite the clear adverse consequences of absconding.

Another factor is that the workload implications for probation officers varied considerably by site. At all the DFE sites, as in community supervision generally, compliant probationers take less of an officer's time than noncompliant ones with similar risk/needs-based supervision levels, but the extent to which a noncompliant probationer increases workload burden depends on the officer's role. At one site, drug testing was conducted by a central office, bench

warrants were executed by the sheriff's department, and a dedicated court officer attended violation hearings, thereby freeing up the officers' time for case management and office and field contacts. At another site, officers conducted their own drug tests and executed bench warrants. At a third site, officers had to be present in court to provide sworn testimony for probable cause hearings. All of these factors influence the manageable caseload for an SCF officer.

WASHINGTON SWIFT AND CERTAIN

The Washington State Department of Corrections (DOC) Community Correction Division (CCD) supervises all felons on supervised release (what would be considered probation or parole elsewhere) and has full sanctioning authority. Following a small SCF pilot study in Seattle (Hawken, 2012), the legislature passed a bill to establish what was called Swift and Certain (SAC), requiring the DOC to use SAC to supervise nearly all high-risk offenders (Hamilton, Jacqueline van Wormer, Campbell, & Posey, 2015). The key features of SAC were the Behavior Accountability Guide (BAG) (which specified the type, severity, and means of a sanctions response) and a requirement that sanctions be imposed swiftly after an arrest.

In Hawaii, a notable outcome was reduced drug use in response to closer monitoring coupled with swift responses and rapid referrals to treatment when needed.

The BAG provided for three levels of sanction. For a first low-level violation, the sanction was a stipulated agreement. For the second through fifth low-level violations, the violator faced a short range of jail days (up to three days) imposed by a community corrections officer (CCO) with a supervisor's approval. For subsequent low-level and any high-level violations, the sanction was a longer range of jail days imposed by a DOC hearings officer (up to 30 days).

The legislation required DOC to roll out SAC statewide within a few months. Through the efforts of a first-rate implementation team, drawn from across the agency and given authority outside the usual chain of command, CCD met this challenge and implemented SAC as designed. An early process evaluation yielded two main findings on CCO workload and job satisfaction. First, the immediate, short jail sanctions presented challenges for some rural field offices who had to use a distant jail (in one office, transporting one offender for a two-day jail sanction would take the two CCOs an entire day).

Second, and more systemically, the sanctions prescribed by the BAG were based on the initial violation, without regard to whether the offender subsequently took responsibility. So, for example, consider an offender failing to appear for an office visit. Whether he turned himself in two days later or was picked up a month later on a warrant for absconding, the sanction for failing to appear was the same. Consequently, and not surprisingly, absconding was rampant, consuming DOC resources on warrant service and undermining the behavior modification intentions of SAC. After review, the BAG was modified to increase the sanction for absconding. Initially, this was a costly revision, as many bed days were used for absconding sanctions, but after an adjustment period, the absconding rate came down, as did incarceration.

In Hawaii, a notable outcome was reduced drug use in response to closer monitoring coupled with swift responses and rapid referrals to treatment when needed. In Washington, by contrast, most offices did not adjust their drug-testing policy under SAC implementation, instead simply continuing with monthly scheduled tests and the routine testing for cause. It was found that drug use continued to be the dominant technical violation in Washington, although total technical violations and incarceration were reduced (Hamilton et al., 2015). Evaluating the recent criminal justice reforms in Washington also become more complicated due to other consequential reforms implemented in the same period, not least of which was state-level marijuana legalization and WA DOC's subsequent decision to discontinue testing for marijuana use.

NEW YORK RESET

The New York State Department of Corrections and Community Supervision (DOCCS) is conducting a pilot of a comprehensive parole reform program called Recidivism Elimination Supervision Enhancement Teams (RESET). SCF is one of three components that make up the RESET model, along with place-based supervision and individualized case management. These three facets are complementary, with SCF intended to improve compliance generally so that

parolees are present and sober and thus able to take advantage of the other services available.

RESET is being piloted in two bureaus, Manhattan and Rochester. DOCCS has full authority on supervision and sanctions, without the involvement of courts. RESET employs a range of responses, including noncustodial sanctions and "change of residence" to a DOCCS facility for misbehaviors (DOCCS is not using local jails for sanctions) and a large menu of swift rewards for continued compliance and for achievements (that is, not simply following the rules but making an extra effort, such as volunteer activity or obtaining a driver's license). The DOCCS leadership team has made a concerted effort to integrate parole officers' perspectives into the RESET program design and included its strong DOCCS research and policy team from the outset in shaping programming changes.

OHIO SCF

The Ohio Department of Rehabilitation and Correction (ODRC) is conducting SCF probation pilots in four counties. These are being administered under the auspices of the ODRC Adult Parole Authority, which provides probation services to Courts of Common Pleas in many counties and has administrative sanctioning authority. Due to jail capacity and other logistical constraints, in three of these counties ODRC is using

non-jail sanctions. Specifically, in one county the SCF sanction is placement in a residential facility (with the caveat that those with an opiates-use violation first detoxify in an adjacent county jail—not part of the sanction); in another, electronic home monitoring is used; and in the third the sanction is direct-intervention day reporting.

The socially optimal sanction is therefore the smallest sanction dose that motivates the desired behavior change or deters an unwanted behavior.

In each of the four counties, including the one using jail, the sanction duration is the same. Although the counties differ in many respects, so these pilots don't constitute a rigorous comparison of the four sanctions approaches, we expect to learn a great deal about the suitability of non-jail, lesser-custodial sanctions from these pilots.

LOOKING AHEAD

Our BJA-supported SCF Resource Center has identified several priority areas over the next few years. These include helping jurisdictions introduce swiftness, certainty, and fairness into their operations, with an emphasis on complementing rather than supplanting their existing successful practices, and working with jurisdictions to test whether SCF adoption is an improvement over the status quo. At the same time, we are looking for opportunities to innovate and learn alongside our practitioner partners. Here we describe a few areas where we will be focusing our efforts.

OPTIMAL SANCTIONS

New implementations provide an opportunity to learn. An unanswered empirical question is how to determine the minimal effective sanction—i.e., “How low can we go?” Sanctions are expensive for the criminal justice system to mete out and unpleasant for recipients and their loved ones. The socially optimal sanction is therefore the smallest sanction dose that motivates the desired behavior change or deters an unwanted behavior (in this case, compliance with the terms of supervision and desistance from involvement in future crimes). SCF implementations allow judges and other

stakeholders to experiment with smaller sanction doses. Under 24/7 Sobriety, for example, one night in custody is used to motivate sobriety, and a typical HOPE model relies on a couple of nights in jail for most low-level violations, not to mention the increasing use of non-custodial alternatives. Early indications suggest diminishing returns with increased dose. As more data become available from these implementations, we will learn more about dose effects, and that in turn has the potential to influence policy for community corrections and criminal justice more generally.

ATMOSPHERE MATTERS

The SCF Resource Center has afforded us the privilege of working with practitioners in a variety of settings. We have a renewed appreciation for the importance of local conditions and how they affect implementation. Seemingly peripheral policies can be consequential and—more than we ever anticipated—we have observed how much atmosphere matters. Both the manner in which probation and parole officers interact with their clients and the way in which the practices surrounding swiftness, certainty, and fairness are described and reinforced can alter client perceptions of the program and the sense of legitimacy that attaches to it. SCF implementations are better suited to jurisdictions that value staff-client engagement.

REVISITING THE “FAIR” IN SWIFT-CERTAIN-FAIR

A sanctioning policy is better respected by the citizenry, and more consistently adhered to by those imposing sanctions, if it is regarded as fair and legitimate. With regard to the issue of legitimacy, Packer (1968) argues that justice must be fair, but must also be *perceived* as fair. To date, the “fair” component of SCF is the least well developed. As SCF moves into a new phase of innovation, we are launching *Deliberative Fairness*. We contend that everyone involved (including offenders under supervision) should have a voice in defining what is fair, under what conditions misbehaviors beget consequences, and what those consequences should be. All stakeholders—both professionals in corrections and criminal justice and citizens (including but not limited to offenders and their families and crime victims and their families)—will be included in a conversation that brings all parties together to deliberate on what matters to them.

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ENDNOTES

1 The nearly identical SWIFT probation was started independently of HOPE, in the same month, by the probation chief, Leighton Iles, in Fort Bend County, Texas.

2 A dozen or so implementations have been formally evaluated, with varying degrees of rigor. The evaluation reports are available at scfcenter.org.

3 SCF is now being implemented in prisons in three states with the goal of addressing behavioral violations and reducing the use of restrictive housing as a punishment.

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BALANCING IMPLEMENTATION SCIENCE WITH PRACTICAL REALITIES OF STATE PROBATION

BY ERIN CRITES, PH.D., THOMAS HARBAUGH, RUSSHA KNAUER, M.CJ, BRANDY LEWIS, M.CJ AND DANA WILKS, M.A.

Implementing innovations, especially within a bureaucracy resistant to change, is challenging—and criminal justice organizations are no exception. One of the major challenges is how to balance the best practices of implementation science, as based on research evidence (see Fixsen, Naoom, Blase, Friedman, & Wallace, 2005), with the practical needs of an agency. Policy and procedure shifts are often the result of measured and highly structured planning. On the other hand, organizational and political demands can unexpectedly impact when and how implementation of new initiatives occurs, demanding immediate training and execution.

Over the past five years, the Colorado Division of Probation Services (DPS) has undertaken two projects that have exemplified the practical challenges of program implementation. Both involved major modifications in probation practices, but each had markedly different characteristics in the manner in which it was developed and disseminated. For the first of these, implementation science was applied in rolling out a program designed to change the way officers respond to probationer





Implementing innovations, especially within a bureaucracy resistant to change, is challenging—and criminal justice organizations are no exception.

behaviors. Staff reactions to the use of implementation science with this project tended to be “Why is this taking so long? When will this get to my department?” The second was a case that demonstrated the need to design and present training in a short time span due to a legislative mandate pertaining to a probation program. During this process, officers and managers often reacted with “What’s the hurry? Why are we moving so fast?” All in all, these two examples provide insights into some of the unique consequences of different approaches to implementation.

To provide context, a brief background on probation practices in Colorado is necessary. Colorado has 23 probation departments, located within 22 judicial districts. Each district is managed by a Chief Probation Officer who is appointed by the district’s Chief Judge. The DPS, located within the State Court Administrator’s Office, provides training, technical assistance, and evaluation support to all 23 departments. It is responsible for rolling out statewide initiatives and operationalizing new legislation. DPS also collaborates with probation staff to develop ways to increase the use of evidence-based and evidence-informed practices throughout the state.

When possible, DPS employs implementation science to assist in moving a new initiative from adoption through implementation to sustainability (Taxman & Belenko, 2011). This is accomplished by creating a detailed implementation plan that includes training, technical assistance, and coaching, with necessary modifications following a Plan-Do-Study-Act approach for process improvement (Capoccia, Cotter, Gustafson, Cassidy, Ford, Madden, et al., 2007). When this approach is not practically feasible, DPS is often forced to rely on a “train and pray” approach, providing technical assistance, as requested or as needed, following any evaluation of how well the new program is being implemented. Typically, this approach is less effective at ensuring long-term changes in staff skills (Fixsen et al., 2005;

Joyce & Showers, 2002; Miller & Mount, 2001). As we describe our two recent experiences with implementation, it will become clear how they highlight the benefits and drawbacks of each of these different approaches, providing context for a discussion of what is required from the organization and its leadership when implementing new practices.

SLOW AND STEADY

Both research and experience suggest that training alone does not lead to adoption and implementation of changes in practice (Miller & Mount, 2001; Miller, Yahne, Moyers, Martinez, J., & Pirritano et al., 2004). Policy directors and trainers who are familiar with implementation science will presumably be sensitized to the complexities involved in launching new policies or procedures in a large organization, especially one spread out in many offices over a state. By using implementation science to inform how innovations are adopted, they will know that success entails considerable planning and extended education efforts that go well beyond the typical one-shot method of training. That was the case in Colorado when DPS relied on implementation science advances in developing its plan for rolling out a new computerized behavior response matrix.

With the goal of getting all officers familiarized with new matrix and meeting

usage goals, DPS developed a detailed plan that outlined nine steps for moving each probation department through the stages of adoption, implementation, and sustainability. These steps were specifically intended to facilitate district readiness for adoption, to identify and create a local implementation team (LIT), and to provide technical assistance to encourage sustainability. Additional training and skill practice was to be provided for the LIT members to ensure that they would be available at the local level to provide technical assistance and sufficient coaching. The final stage of the implementation plan was to provide additional, tailored technical assistance to the districts at a follow-up interval of approximately six months after completion of the initial training. This outreach was to be designed in coordination with the individual districts to ensure that their needs were met.

Using a detailed plan like this creates a slow and steady process for disseminating the desired innovations, though in the end it also is intended to ensure maximally effective implementation of the planned changes, which, again, is consistent with implementation science research (Fixsen, et al., 2005). In totality, the implementation plan in Colorado took approximately 28 weeks (not including technical assistance) to complete with each district. Although lengthy, the time

invested had several benefits. To begin, this process provided the opportunity to create internal expertise to implement and sustain the innovation over time, through the creation and training of the LIT. Having the LIT available addressed a common barrier to implementation identified by Latessa, Sleyo, and Schweitzer (2016), namely, the lack of internal supports for ensuring fidelity. LIT members can provide the internal fidelity monitoring and coaching needed to increase the likelihood of implementing a sustainable change. Building local expertise is important for three reasons: it allows for late adopters to have coaching; it provides support, as staff work toward integration; and it creates ongoing fidelity monitoring. This plan also builds in goal setting, with time to achieve and celebrate goals. These benchmarks create an opportunity for leaders to demonstrate support for the change and reinforce staffs' efforts at integrating the change.

Admittedly, there are some drawbacks to this formal, highly structured implementation process. These do not necessarily offset the advantages, but they need to be taken into account. Specifically,

An implementation process like this is very time intensive. For example, five of the nine steps in the implementation plan took place on site in the probation department. This meant the DPS team

could not work in multiple districts simultaneously.

The implementation process is also resource intensive. Among other things, the increased time required to move from a one-time training model to a plan with activities spanning over six months increased the workload for officers and managers.

Probation departments experienced frustration and a loss of momentum as they waited for the innovation to reach them. This loss of momentum has the potential for affecting department readiness and likelihood of implementing the innovation.

Despite these drawbacks, the DPS experience is that all probation departments reached implementation or sustainability benchmarks within 6 to 12 months of training. This process may have moved too slowly to suit many local departments that were ready to implement this new innovation but had to wait. Nevertheless, in the end it was effective at achieving program implementation.

QUICK AND DIRTY

Most large organizations have some level of self-determination that affects how and when policy changes are implemented, but there is always the

potential for external forces to come into play. The second program implementation undertaken by Colorado DPS had to be rolled out in what might be called a “quick and dirty” fashion as the result of legislation that required probation departments to adopt a new intensive supervision program far more quickly than originally planned. The new program’s guidelines were a departure from the previous surveillance-based standards. Although cognitive-behavioral groups were part of earlier guidelines, the new program added structured, cognitive-based appointments to address the “Big Four” criminogenic risk factors, as well as integrated new acceptance criteria and contact standards. The program had been under development as part of a long-term typology project, initiated four years earlier, but the legislative mandate certainly accelerated the jump from development to statewide implementation.

In an effort to ready probation staff for the impending change, traditional training methods were deployed, including classroom lectures, limited skill practice, and simple role play. Subsequent to the initial wave of training, several months passed before officers began receiving their first cases. This lag between training and disposition of the initial cases added to the challenges for officers. It is believed that implementation problems arose as a result of the predictable learning loss

following one-time training (Miller & Mount, 2001; Miller et al., 2004; Taxman & Belenko, 2011).

After the first year of the program, DPS conducted a process evaluation to determine whether the new intensive program was being implemented with fidelity. Specifically, the evaluation was designed to determine understanding of program requirements, adherence to acceptance criteria, and the average length of stay for program participants. It was carried out using officer surveys, case narrative reviews, and surveying of case management data. Implementation problems were quickly identified. In particular, the data reflected poor adherence to the new program requirements even though the officers reported high levels of understanding and confidence in implementing the program. It appeared that the quick shift from an old intensive program to a new way of doing business was not readily accepted or implemented.

Faced with an unacceptable amount of implementation drift, a spontaneous workgroup consisting of officers and managers was formed to address some of the emerging structural and practical concerns. This workgroup suggested that both the rapid shift in program requirements and the fact that the requirements were covered during a

relatively brief training had left many officers unsure of how to integrate the new requirements and skills. In response to this feedback, booster training sessions were developed and delivered. In addition, DPS offered all districts an opportunity for tailored technical assistance to address the implementation drift. The challenge with offering technical assistance on the back end of implementation is that probation departments must request or accept an offer for this assistance. When requested, technical assistance generally consisted of a series of meetings with content experts to discuss local concerns and deficient practices, as identified through the process evaluation. Discussions centered on data entry, the structure of cognitive-based appointments, acceptance criteria, and phase movement.

To help correct the lack of fidelity that resulting from rapid implementation, some departments requested coaching for managers as a means to improve their ability to coach their staff and improve skill development. Coaching is an important component for skill transfer (Olivero, Bane, & Kopelman, 1997; Showers & Joyce, 1996) but has some challenges. It requires coordinating schedules of all the involved parties. It requires finding probationers willing to have that many professionals attending their probation appointment. It requires having staff who

are willing to be observed and coached. In particular, many officers appear unsettled to have a manager provide direct observation and feedback regarding their appointments. In this context, both the content expert who is providing the coaching and support as well as the manager must take the responsibility for creating a safe environment for coaching to take place. Centering coaching and feedback on one skill at a time appears to put officers at ease and reduce stress. In the end, the efforts that were made appeared to have increased staff confidence with program requirements and helped them develop the skills necessary to achieve sustainable fidelity to the model.

The lesson learned here is that program fidelity suffered—and booster training and technical assistance ended up being necessary—due to the fact that the initial implementation strategy, one of “train and pray,” was insufficient on its own for building the skills needed to execute this new program (Miller & Mount, 2001; Miller, et al., 2004). This should not be surprising, as this finding is consistent with much training transfer and implementation science research.

BALANCED APPROACH: IT'S ABOUT LEADERSHIP

These two different experiences in Colorado hopefully will provide

insight into what is needed to balance implementation science with the practical realities of state probation. Engaging probation departments in a lengthy implementation process is challenging. Department staff must commit to completing surveys and undergoing training and coaching. Planning involves developing processes for ensuring fidelity and monitoring implementation. Many aspects of the implementation will be time consuming and will lead to a protracted timeframe for the innovation to reach the entire state. Nonetheless, this approach makes it more likely that the innovation will progress with fidelity from adoption to sustainability.

While such an implementation process is rather onerous, it is also a luxury, or at least can be perceived that way if planning time is truncated in the face of an unexpected and relatively short implementation deadline. In Colorado's second implementation example, DPS was given approximately four months to implement a new supervision program. Probation officers were provided training but experienced a lag between the training and opportunities to use their new skills. As a result, fidelity to the program was not achieved. To remedy this, booster trainings and technical assistance had to be offered long after the program was implemented.

Regardless of the process that is followed, leadership within the agency plays a critical role in the success of implementation. Colorado's experience revealed that leadership and management alignment are paramount. Those with positional authority must understand what the change is, why it is needed, and why it is of value to all stakeholders. This information needs to be communicated to staff and supported by the management structure. Moreover, when leaders set clear goals and define responsibilities, staff know the expectations for implementing the innovation. Observing and coaching can be used to teach and evaluate staff on their use of the innovation, motivating staff to continue their efforts and providing direction to make necessary adjustments. Consistent follow-up solidifies the message that the change is a priority.

During the DPS rollout of the computerized behavior response matrix, the initial districts experienced slow uptake or had early implementation success thwarted by decreasing use. Two events made a great difference in changing the trajectory of the project. One was the fact that management set and monitored usage goals. The second was having the chief probation officer take measures to align the management team and actively support the implementation. As a result, DPS backtracked to all initial districts and

IMPLEMENTATION

A PERSPECTIVES SPOTLIGHT

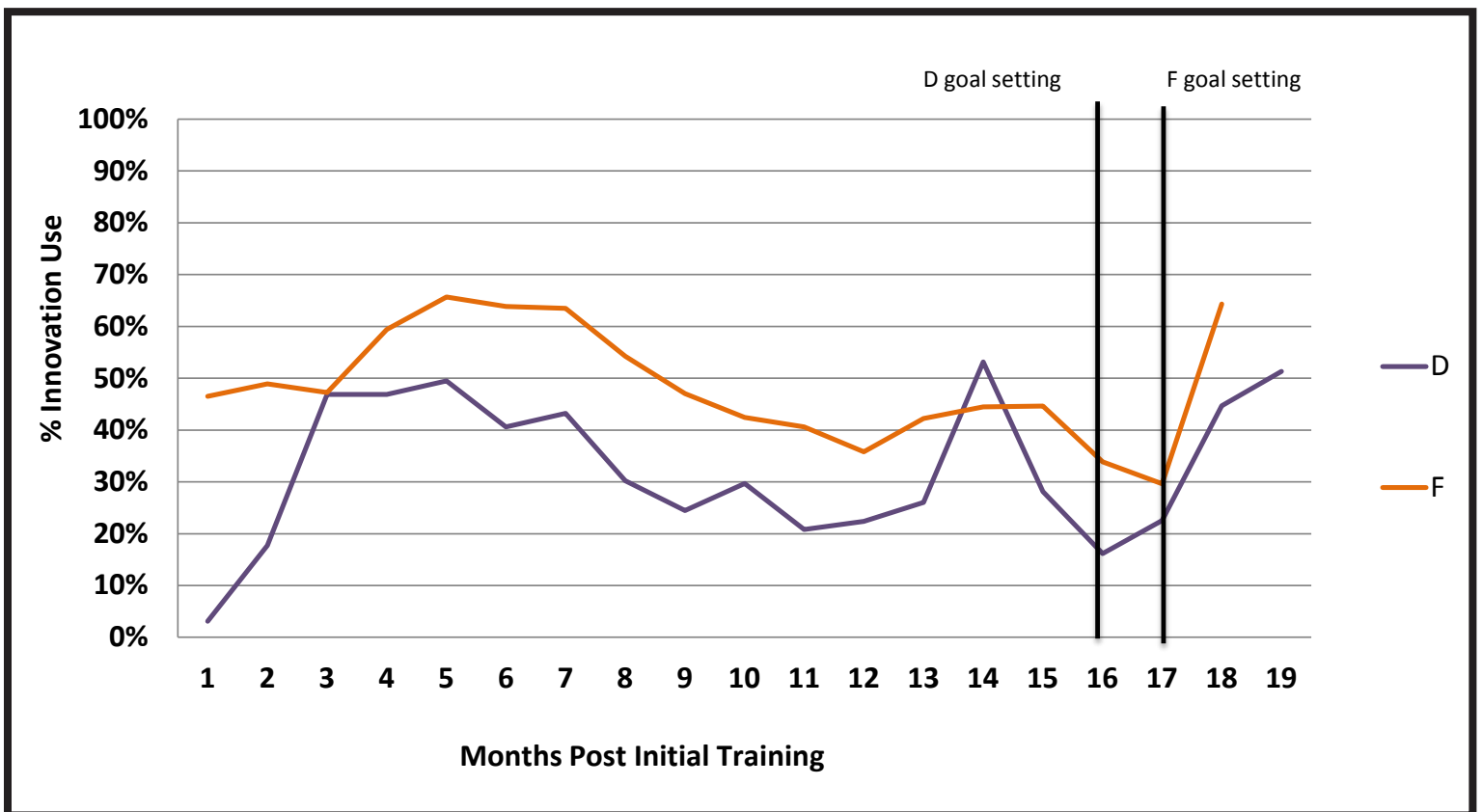
repeated the goal-setting process, as well as emphasized the need for management to hold staff accountable to their goals. As seen in the figure below, these steps made a significant and visible difference in the use of the new innovation. After goal setting occurred in each district, in month 16 in district D and month 17 in district F, their rates of use of the innovation sharply increased. Since that time, all districts trained in the program have reached a

level of implementation or sustainability. Goal setting and management alignment are now a crucial part of the written implementation plan, as the result of the PDSA approach.

CONCLUSION

Although challenging, introducing innovations in community supervision is possible. In some instances, a detailed implementation plan closely aligned with

FIGURE 1: CHANGE IN INNOVATION USE FOLLOWING GOAL SETTING



implementation science can be followed. In other instances, internal or external pressures may force a “train and pray” approach. In either case, local leadership is also critical in ensuring an effective outcome. It was not until local leadership overtly supported and monitored implementation that probation officers began to fully adopt the computerized behavior response matrix. Likewise, until department supervisors coached staff on applying the new intensive program standards, many officers missed key pieces of the new program requirements, often unknowingly. What Colorado has learned from both of these experiences is that no matter how well developed an implementation plan is, and no matter what modifications are made to improve the execution of that plan, without the support of local leaders, implementation will falter. Additionally, even less than ideal implementation processes can be effective if local leaders demonstrate their support by means of coaching their staff and ensuring that appropriate technical assistance is received.

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MOVING FROM RISK TO RNR: PHILADELPHIA ADULT PROBATION AND PAROLE'S SHIFTING FOCUS TOWARDS ADDRESSING CRIMINOGENIC NEEDS

BY JILLIAN EIDSON AND ANTHONY FATTIZZI



A photograph of the Philadelphia skyline at sunset. The sky is a mix of orange, yellow, and light blue. Several skyscrapers are visible, including the Comcast Center (formerly One Liberty Place) on the right, the Comcast Tower (formerly PNC Tower) in the center, and the Comcast Center (formerly One Liberty Place) on the left. A bridge is visible in the foreground on the left.

For an agency that supervises 45,000 probationers and parolees on average and employs over 300 probation officers, supervisors, and administrators, any change in protocol or practice is a tremendous undertaking. Not only does it require a substantial amount of planning and effort, but it also demands persistence and patience. In this case, however, the change did not involve just one policy. The Philadelphia Adult Probation and Parole Department (APPD) aimed to change the entire manner in which it identified and responded to the criminogenic needs presented by its supervision population. These changes enabled APPD to continue to carry out its mission competently, efficiently, and fairly. APPD learned much from this process and now seeks to share that knowledge with other agencies and researchers interested in similar evidence-based reforms.

SCOPE OF THE PROJECT

Since 2009, APPD has used an actuarial risk tool constructed by criminologists and statisticians from the University of Pennsylvania to forecast the likelihood of serious and non-serious future offending. Although this instrument has helped the agency better direct its limited resources to high and moderate risk offenders, it does not assess criminogenic needs. With support from a Smart Supervision grant from the Bureau of Justice Assistance (BJA), and with new partnerships with academics from George Mason University (GMU) and Temple University (TU), APPD sought to systematically identify and respond to its supervision population's criminogenic needs. Given the implementation focus of this article, two specific objectives from this project will be described in further detail. A major element of the grant was agency-wide training in Skills for

IMPLEMENTATION

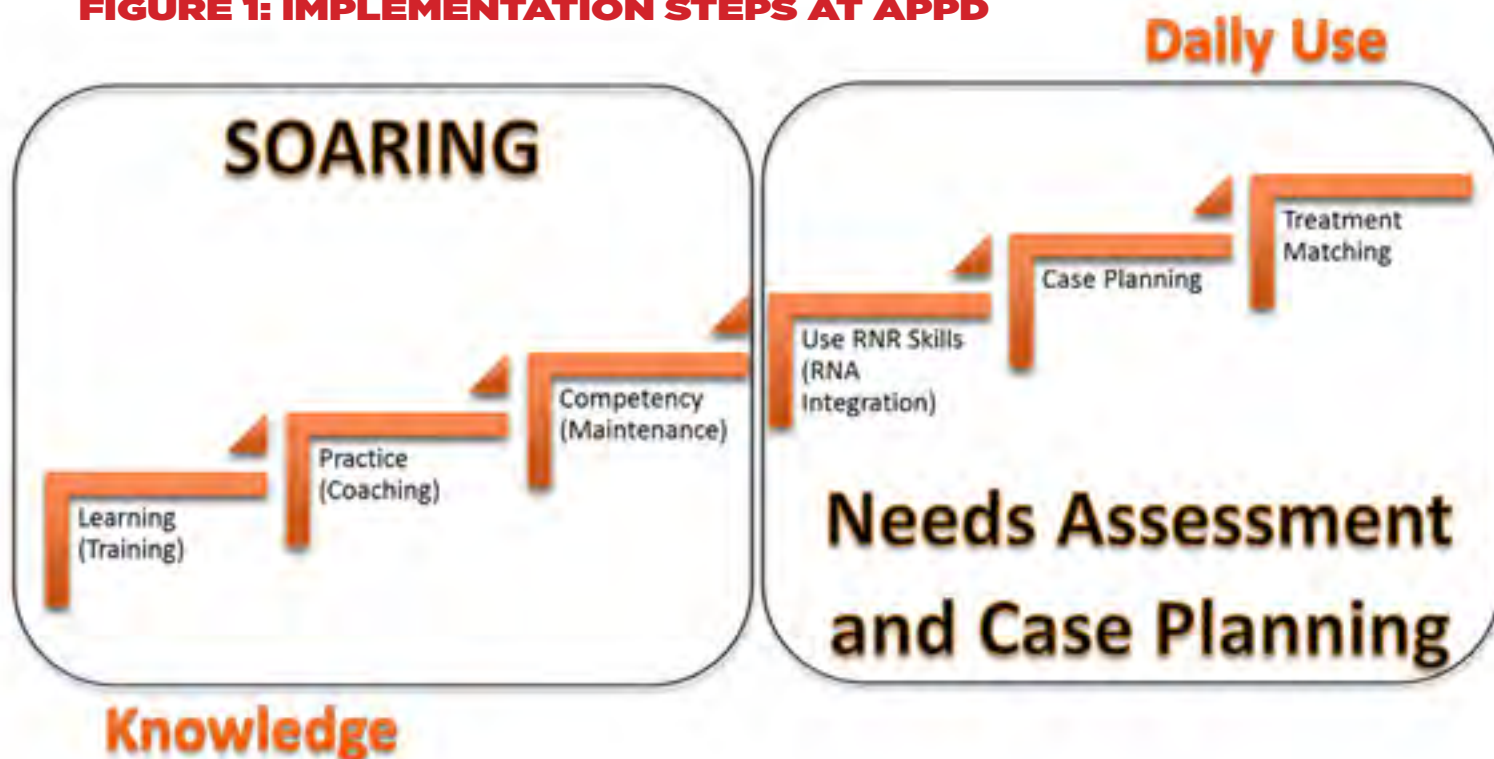
A PERSPECTIVES SPOTLIGHT

Offender Assessment and Responsivity in New Goals (SOARING 2), GMU's electronic curriculum that promotes probation officer skill development in the identification of criminogenic needs and engagement techniques (Center for Advancing Correctional Excellence, 2014). Upon completion, staff began using a customized needs assessment tool that incorporated a complementary case planning component to serve as a supervision guide.

What follows is a detailed account of the implementation of each item along with the lessons we learned along the way. Figure 1 illustrates the step-by-step

process APPD took to implement these new procedures. First, it was important to build knowledge about risk, need, and responsivity (RNR) principles and interviewing techniques through the SOARING 2 eLearning modules and related officer observations. This was followed by getting staff to start using the needs assessment and case plan to identify criminogenic needs and facilitate treatment matching. Adhering to these chronological steps ensured that before we expected our staff to use the tools on a daily basis, they had amassed important foundational knowledge about evidence-based practices (EBP).

FIGURE 1: IMPLEMENTATION STEPS AT APPD



SOARING 2

At the beginning of the project our entire line staff, their supervisors, and the department administrators completed the SOARING 2 eLearning curriculum. The program consists of five separate training modules on RNR principles, motivation and engagement, case planning, problem solving, and desistance. Together these components help build officers' abilities to use evidence-based skills in the daily management of their caseloads.¹ This important component was meant to develop agency-wide foundational knowledge in EBPs and criminogenic needs.

Given the size of the agency and the amount of investment this training required, the department had staff complete the modules in stages. Administrators completed the modules first, followed by supervisors, and then by line staff. Supervisors fulfilled additional responsibilities by constructing an appropriate grading rubric for the written quiz components and grading these completed exercises for the officers they supervised. Each supervision division was given a specific time frame to complete the modules and respective quizzes. The supervisors were then given one month to do their allotted grading. All staff had to meet a predetermined performance benchmark, with a requirement to repeat

quizzes in areas where that expectation was not met. Upon completion of the modules, staff were awarded training credit. APPD's research division monitored overall progress and provided updates and encouragement. Once the entire department had completed the modules, APPD administration and the internal activities committee sponsored an event to recognize the accomplishment. To date, 320 staff have completed SOARING 2. APPD plans to continue using this curriculum, and it is now a required part of the training module for new probation officers.

To ensure that the skills learned from these eLearning modules were being used with the supervision population, supervisors were trained as curriculum coaches and received additional instruction on conducting assessments of probation officer and probationer interactions. Every 3 months supervisors observe 3 to 5 office visits per officer. Although having their presence noticed is inescapable, supervisors are not supposed to interject themselves into the interaction between the probationer and probation officer. The supervisor then rates the probation officer on 20 different skill areas covered in the SOARING 2 curriculum. After the visit concludes, the supervisor engages in a feedback session with the probation officer, acknowledging officer strengths and suggestions for

IMPLEMENTATION

A PERSPECTIVES SPOTLIGHT

areas of improvement. This coaching opportunity allows the probation officers to practice their newly acquired skills. There are multiple benefits to this process of training. First, it encourages fidelity to training on needs identification and offender engagement. Second, the focus on new skill development and, in many cases, advanced skill acquisition increases the professional ability of the probation officers while making them accountable to their supervisors and the agency. Third, the process also provides real-time data on an individual and agency-wide basis to help highlight overall proficiency in the skills and identify areas for improvement.

Because this process required many changes to agency procedures and expectations, feedback from the supervisors was sought throughout its implementation. We expected to receive a variety of responses from them, but overall we were impressed with their ability to embrace the agency changes and perform a large number of observations within the allotted timeframe. Positive feedback about the process mainly centered on the excellent work the officers were doing to engage the offenders. In many cases, these skills were apparent prior to the beginning of the SOARING 2 training. There were several instances, however, when supervisors were surprised by an officer's abilities, which would have otherwise gone unnoticed. Supervisors also appreciated the opportunity to

identify areas where staff needed additional instruction. Some supervisors who were originally skeptical of the SOARING 2 techniques, including asking open-ended questions, were impressed with the offenders' responses to the new interviewing style.

With all the positive aspects of the SOARING 2 process, it is not without its issues. The SOARING 2 curriculum is labor intensive on the front end for the numerous probation officers who need to complete the training. In an agency of APPD's size and diversity, time is usually scarce, so managing that process in addition to other responsibilities was challenging. There is also a steep learning curve for both the probation officers and supervisors. After learning the various skills, proceeding with the next steps of integrating them into daily office visits and identifying when they are applicable takes time. For the supervisors, time management was challenging as well, as they needed to continue with their usual daily obligations while undertaking this new task of observing all the probation officers in their unit. After receiving feedback from the supervisors regarding these time pressures, APPD administrators gave them more flexibility with regard to when they could complete their observations during each quarter, reworded some parts of the ratings forms, and simplified the data entry process.

Since June of 2015 over 2,100 observations have been completed and documented. An analysis of the first quarter of observations showed three areas of particular strength. These skills included encouraging probationers to be involved, demonstrating a firm but fair supervision style, and respectfully encouraging the probationer to speak within the session.

NEEDS ASSESSMENT AND CASE PLANNING

After APPD's staff received training in EBP's and were routinely practicing these skills with their caseloads, we were ready to implement the customized needs assessment and case plan. In order to find the best fit for APPD, two groups of probation officers were selected to pilot different versions of GMU's Assess an Individual (AAI) tool. One of these groups

tested the off-the-shelf version of the AAI and the other used a more comprehensive assessment that was based on the AAI but also incorporated revisions suggested by the officers. Based on the assessments done during the several month long pilot period, the developers made changes related to content, wording, and functionality of the AAI.

During the course of the pilot period, feedback was sought from the two groups in order to track their progress and document their reactions to and inquiries about the tools. Through these feedback sessions, it was determined that the more comprehensive version of the AAI better assessed the needs of APPD's population while keeping the amount of time and effort required to conduct the assessment within reason. We also developed a complementary case plan template that

FIGURE 2: AN EXAMPLE OUTPUT FROM THE AAI



was to be completed with the probationers after they were assessed. The case plan template was designed to be directly informed by the results of an individual's needs assessment.

Data collection from the assessments during the pilot was a very important aspect in the development of our AAI. The analysis of these data helped us parameterize the scales used in the tool and determine appropriate point thresholds, which then generated the target need areas. Given the size of the agency and the number of probation officers, APPD decided that it was necessary to establish objective, preset cut-off points to ensure consistency in the way the answers to the questions corresponded with the outcomes of the tool.

AGENCY-WIDE IMPLEMENTATION

Once the needs assessment tool and case plan were finished, the research and training division provided instruction to the staff in the proper usage and techniques of the program. During a 6-week period, approximately 250 probation officers and supervisors who worked with high risk, moderate risk, and specialized supervision populations were trained on the instruments. The decision to roll out this new process slowly was a

deliberate decision so that it was not an overwhelming experience for our staff and we could collect information from them about the tools' functionality and any constructive suggestions they could offer. Assessments were completed on a prospective basis with new probationers and existing probationers with new cases. One month after training was complete; the research division visited the different departmental units to follow up on how the implementation was going. They were asked about their use of the tool and what they thought about the process.

To make the process more seamless, an automated data transfer procedure was put in place. Since the website used for the needs tool is separate from APPD's internal case management system, it was important to be able to capture all information in one central location so that the officers could stay organized and not have vital case information stored in two separate electronic systems. The needs assessment and case plan data are now transferred electronically on a daily basis into APPD's case management system. During the transfer process, these data are formatted into a formal document that can be viewed and printed by the officer, if need be. After the probation officers conducted a substantial number of needs assessments and case plans, the automated transfer procedure went live.

ONGOING EFFORTS

J-STEPS (CONTINGENCY MANAGEMENT)

Work on this project is continuing. With the help of our implementation and research partners, we continue to design and implement a contingency management system referred to as J-STEPS.² This system provides an incentive structure that offers non-monetary, social rewards to probationers when they hit designated milestones related to their continued compliance with supervision. Different goals and time intervals correspond with graduated incentives. Once this system is developed, it will be piloted in the department and evaluated in a randomized controlled trial.

In order to keep this process as simple as possible, J-STEPS functionality will be incorporated into the case plan template. This complementary aspect will be useful so that the experimental probation officers do not have to learn a new interface. The established point structure and reward levels will be programmed into the system, so the officers who need to award points for compliance will be prompted when the time comes to give a reward. We currently have an electronic prototype in place and are fine-tuning our points-and-reward structure.

LESSONS LEARNED

Developing and implementing a system in which criminogenic needs are adequately addressed involves a lot of moving parts. APPD found success with this process because of the specific manner in which components were introduced and implemented. This allowed for full integration of knowledge and tools. Incorporating aspects of the RNR model should take place as a series of building blocks. As aspects are added, it will build on itself, piece by piece, and become an extremely valuable tool kit. APPD created an efficient way for busy probation officers to assess and begin to address criminogenic needs.

Some roadblocks did arise during the implementation process. Obtaining the proper buy-in from line staff and supervisors was challenging at times. This resistance came from the view that the changes were not necessary or not the best course of action. As indicated previously, until recently APPD did not have a systematic way to determine its probationers' criminogenic needs and instead predominantly relied upon the judgments of its probation officers and what was specified in the court orders to address these areas. Some officers thought the existing process was sufficient

and viewed the new procedures as additional responsibilities which did not add much value. We attempted to alleviate these concerns through group training sessions and informal discussions with individual officers. Staff members voiced similar sentiments about the appropriateness of APPD's risk tool when it was implemented. After the model demonstrated its accuracy, and as officers became more familiar with the new supervision protocols, their concerns dissipated. APPD is optimistic that, over time, we will see the same acceptance of the new needs assessment procedures.

We have also struggled with trying to adjust the overall agency culture surrounding the importance of needs assessment, the goal being to maintain these improvements for the long term as opposed to benefiting from a temporary climate shift until the end of the grant. Since this process was such a big change for our agency, it is hard to ascertain whether the supportive comments expressed to the implementation staff are genuine or if we are just being told what the staff members think we want to hear. The latter sentiment would indicate a temporary shift in climate, while the former provides the first evidence that the principles of RNR are truly beginning to drive actions and thought processes in the day-to-day duties of our staff, a shift in the ongoing culture within the agency.

SUGGESTIONS FOR OTHER AGENCIES EMBARKING UPON SIMILAR JOURNEYS

Given APPD's experiences, we can provide the following insight for agencies who have similar goals. Before any big change it is imperative that buy-in for that change trickles down from high level administrators all the way to members of the line staff. Having leadership support and demonstrate the changes that they want to see is vital to an effort of this magnitude. To promote acceptance of any new mentality, the agency should convene a diverse implementation or change team. Members of this team should include administrators, management, and line staff who are supportive of the effort. In addition to providing their own feedback, they can also champion the cause with their colleagues and lead by example. They should be active in and consulted throughout all stages of the process.

Whether they are members of the implementation team or not, the agency should identify and highlight members of the supervisory and line staff who embrace the forthcoming changes. When possible, administrators should bring notice to those who are not afraid to try something new. We found that having probation officers who were receptive to the changes assist in our department-wide training sessions was extremely helpful in taking the burden off of the training staff and presenting a corresponding viewpoint from an alternate source.

It is also important to take things slow. As Guevara (2012) notes, agencies that have implemented successful EBPs know that “truly improving public safety is a marathon, not a sprint and it is worth taking the time to do it right” (p. 83). Slow periods should be anticipated in any long-term changes. These dormant times are necessary to allow new procedures to sink into the mindsets of the performers and provide them with time to slowly adapt. These periods also allow time for the implementation team to solicit feedback, conduct multiple iterations of testing, and make any necessary changes.

Finally, every agency should think about sustainability of the effort from its first stages. Even though this project is officially bound by the period of the grant award, APPD intends for its focus on RNR to continue indefinitely. Making this a reality depends upon us finding the funding to support our continued access to the tools that have been developed throughout the project and incorporating these changes into everyday policy. The agency must also make an ongoing commitment to collect data and feedback from staff about any new procedures and to adjust them as needed. Keeping in mind how feasible each element of a project is in the long term will substantially reduce the burden later on after the formal support for the innovations ends.

CONCLUSION

This article outlined the many stages of a massive effort to incorporate EBPs into the day-to-day business of a bustling metropolitan probation and parole department. Though we have not finished the effort, we are thrilled with the progress we have made thus far. We hope that this accounting of our process, successes, challenges, and lessons learned will be beneficial to other corrections agencies that similarly hope to impact recidivism by assessing and responding to offender needs.

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ENDNOTES

- 1 See the ACE website at <https://www.gmuace.org/tools/> for more information about the program
- 2 For more information about J-STEPS see https://www.gmuace.org/tools_jsteps.html (Center for Advancing Correctional Excellence, 2011).

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AN OVERVIEW OF EVIDENCE-BASED PRACTICE INITIATIVES BY THE VIRGINIA DEPARTMENT OF CORRECTIONS

BY RICHARD CASTLE, DENISE HAYES, AND TRACY LAVELY



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Since 2006, the Virginia Department of Corrections (VADOC) has made an organizational commitment to implement Evidence-Based Practices (EBP) that have been shown to reduce recidivism for corrections populations. This commitment includes: (1) the use of a standardized risk and needs assessment instrument (COMPAS); (2) the creation of a state-of-the-art Corrections Information System (VACORIS) to capture and gather case management data in order to inform best practices and evidence-based case planning; (3) the training and coaching of staff on core correctional practices, effective communication skills, and motivational interviewing in order to enhance officers' abilities to elicit information and conduct structured interviews and interventions; (4) collaboration with local jurisdictions, community partners, and other state entities through the National Institute of Corrections' Evidence-Based Decision Making initiative; and (5) the creation of an EBP Unit in 2012 to manage the successful implementation of EBPs.

In recent years, VADOC has introduced several initiatives, including Dialogue, EPICS-II (Effective Practices in Correctional Settings-II), and SOARING 3 (Skills for Offender Assessment and Responsivity in New Goals & Effective Supervision), that have been woven together to form the fabric of how business is conducted throughout the agency. These operational changes affect not only how supervision is

IMPLEMENTATION

A PERSPECTIVES SPOTLIGHT

tailored to reduce recidivism, but also how staff communicate and share ideas with each other, learn collaboratively, and provide supervisory coaching and feedback. When combined with VADOC's commitments to collaboration and to the ongoing implementation of EBP, these shifts in organizational practice have positioned the agency as a leader in positive behavior change, recidivism reduction, and safer communities.

Many of VADOC's accomplishments implementing EBPs over the last several years can be attributed to the infrastructure, vision, and content expertise provided by its EBP Unit. This unit, under the direction and leadership of the agency's director and executive staff, has collaborated with unit heads, middle managers, and front-line staff to develop a cadre of both peer and supervisory coaches to provide ongoing support for the agency's recent EBP initiatives. An examination of these coaching practices, alongside the additional strategies implemented by this unit, is warranted in order to share lessons learned and plans for ongoing sustainability.

The VADOC EBP Unit operates within the Reentry and Programs Unit and is directed by an EBP Operations Administrator, who oversees all EBP operations across the agency in both community and facility settings and who provides oversight and support to

the team of EBP Managers. Generally speaking, the EBP Managers are assigned to oversee the implementation of EBPs at units within specific geographic regions and work primarily with either institutions or community corrections. However, in the spirit of oneness embraced by the agency, they also function as a cohesive team providing support to their peers across all regions and settings. The EBP Managers are responsible for coordinating EBP efforts with unit heads to facilitate learning processes within the specific units, for designating and training staff to serve as coaches and subject matter specialists (SMS), and for monitoring the fidelity of EBP practices.

Coordinating efforts with a unit head begins with a conversation regarding the rationale for the particular EBP policy or practice being implemented and its relationship to the larger mission and vision of the agency. These discussions naturally shift toward the specific culture of that individual unit, focusing on unique strengths, challenges, and potential impediments to successful implementation. EBP Managers collaborate with unit leadership to develop site-specific strategies to maximize local strengths and resources, while also problem solving to manage anticipated roadblocks. Examples of these site-specific strategies will be outlined in the following section, *SOARING 3 and EPICS Implementation in Fairfax (District 29)*.

The critical need for support, direction, and vision from unit leadership during this process begins during the initial contact with the EBP Managers and never stops. One perspective on the role of leadership is provided in the following comment from Tracy Lavelly, Chief Probation Officer, in District 29 Fairfax:

A key early step for facilitating the learning processes within a specific unit is for the EBP Managers to work with unit leadership to identify intrinsically motivated staff who can serve in specified roles as a SMS, EPICS coach, or SOARING coach. Staff serving in any of these roles must possess a solid understanding of evidence-based correctional principles and practices, as well as some natural coaching ability, and they must exemplify the agency's values and be respected by their peers. Learning and transfer of knowledge into practice is facilitated through individual or group coaching (by EPICS and SOARING coaches) and through participation in learning teams (by SMSs). Individual staff follow coaching schedules developed collaboratively with their coach, and all staff participate in learning team meetings twice a month.

EBP Managers develop each SMS by providing foundational training on EBP, effective communication, group facilitation skills, and dialogue in order to prepare them to coordinate and facilitate learning

I have learned many critical things during my tenure as Chief in Fairfax when trying to implement EBPs. It is particularly important to have a Vision. You have to know where you want to go and prepare your staff for what's coming. Take the necessary time to develop your organizational structure. Hire and promote people who believe people can change and who want to learn. Intentionally create your team by bringing people together that are knowledgeable, excited, and who buy-in to the mission. You must support, encourage, motivate and be present with staff during the process. Finally, have continued expectations and integrate those expectations within your organization for continued sustainability. Fairfax has really made some exciting progress and the culture has changed in a positive way. We are always looking forward to the next opportunity to keep us moving forward. Probation work has evolved across the Commonwealth of Virginia and we are happy to be a part of it.

-TRACY LAVELLY, CPO D-29 FAIRFAX

teams within their unit. Learning teams are designed to provide staff with a safe environment to practice new skills, deepen their understanding of EBP, and share ideas related to best practices and unit policy. In order to achieve this, SMSs must facilitate group learning, support their team members, and maintain the integrity of the group process. EBP Managers routinely meet with SMSs to process group experiences and problem-solve identified concerns, as well as to provide additional training, coaching, and resources.

EPICS coaches are developed by EBP Managers through a two-step training and coaching process. First, prospective coaches receive foundational training in EBP, effective communication, and core correctional practices (EPICS-II). Next, as an immediate follow-up to the basic EPICS II curriculum, they receive coaching and feedback with an emphasis on the application of EPICS-II skills. Prospective coaches who demonstrate a strong aptitude for EPICS-II skills then move into the second step of the process and receive advanced training on the application of EPICS-II skills and coaching. They are assigned staff members within their units to coach, and the EBP Managers, in turn, provide them coaching and feedback on their coaching skills as an immediate follow-up to their advanced EPICS-II coaching training. Those who demonstrate a strong aptitude for coaching become

certified as EPICS coaches and move on to coach additional peers on the application of the EPICS-II skills. Similar to the ongoing support provided to each SMS, the EBP Managers routinely meet with the EPICS coaches to process coaching experiences and provide additional training and resources.

Unlike SMSs and EPICS coaches, SOARING 3 coaches are identified by their role as supervisors in a specific unit. It is important to note that while supervisors have always completed evaluations of their staff, they have not been formally expected to provide routine coaching on EBP or departmental procedures. SOARING 3 provided VADOC with a valuable opportunity to incorporate coaching into the supervisory relationship in a structured, consistent manner that has improved both outcomes and working relationships. The specific responsibilities of the SOARING 3 coaches will be described in the following section, which takes a closer look at implementation strategies in a large urban district.

SOARING 3 AND EPICS IMPLEMENTATION IN FAIRFAX (DISTRICT 29)

The Fairfax Probation and Parole Office, a district with the Virginia Department of Corrections, has a diverse population of nearly 2,000 clients and a staff of more than 50. Fairfax County,

Virginia, is located in the suburbs of Washington, DC, and has more than a million residents. In January 2014, Fairfax Probation embarked on the new SOARING initiative mentioned at the beginning of this paper. SOARING was developed by George Mason University (GMU) with the purpose of sustaining the use of core correctional practices by means of coaching from supervisors. In order to ensure that staff have a basic understanding of EBPs, SOARING consists of an eLearning component with five modules: Risk/Needs, Motivation, Case Planning, Problem Solving, and Desistance. Our EBP Senior Probation Officer worked diligently with GMU and EBP Managers to ensure that the information in the modules reflects relevant correctional practices. Each module has a basic and intermediate level and includes multiple choice questions about base knowledge and scenario questions. Advanced modules include vignettes with short answer questions, with answers subsequently graded by a SOARING 3 coach/supervisor. Initially, all supervisors were required to complete the eLearning modules and receive feedback from the EBP Managers. In March 2014, all supervisors received training with the EBP Managers to improve inter-rater reliability and to discuss the importance of coaching.

In Fairfax, we decided to integrate the SOARING modules into our learning teams. Our SMSs attended the coaches training and completed their modules at an accelerated schedule. Each SMS reviewed the basic information from each module topic at the beginning of each month. In April 2014, we held a kickoff meeting with all staff and informed them of all the aspects of the new initiative and incentives for module completion. The learning team whose members completed their module first for the month received their choice of incentives. The staff began completing one module per month for the next five months. The SOARING 3 coaches and supervisors met monthly in a study hall format to assist with grading advanced modules for support and consistency.

As the initiative began, it became clear that officers would benefit from additional training in EPICS II. The Chief designated one of our EPICS coaches to increase his number of mentees by reducing his caseload. This allowed for several more officers to attend each training class. The management set a priority list for those who would receive training: Senior Probation Officers, Probation Officers, Pre-Sentence Report Writers and Surveillance Officers, and lastly new hires. Every four to five months another group of six to eight mentees would receive training with the expectation that they would certify in the

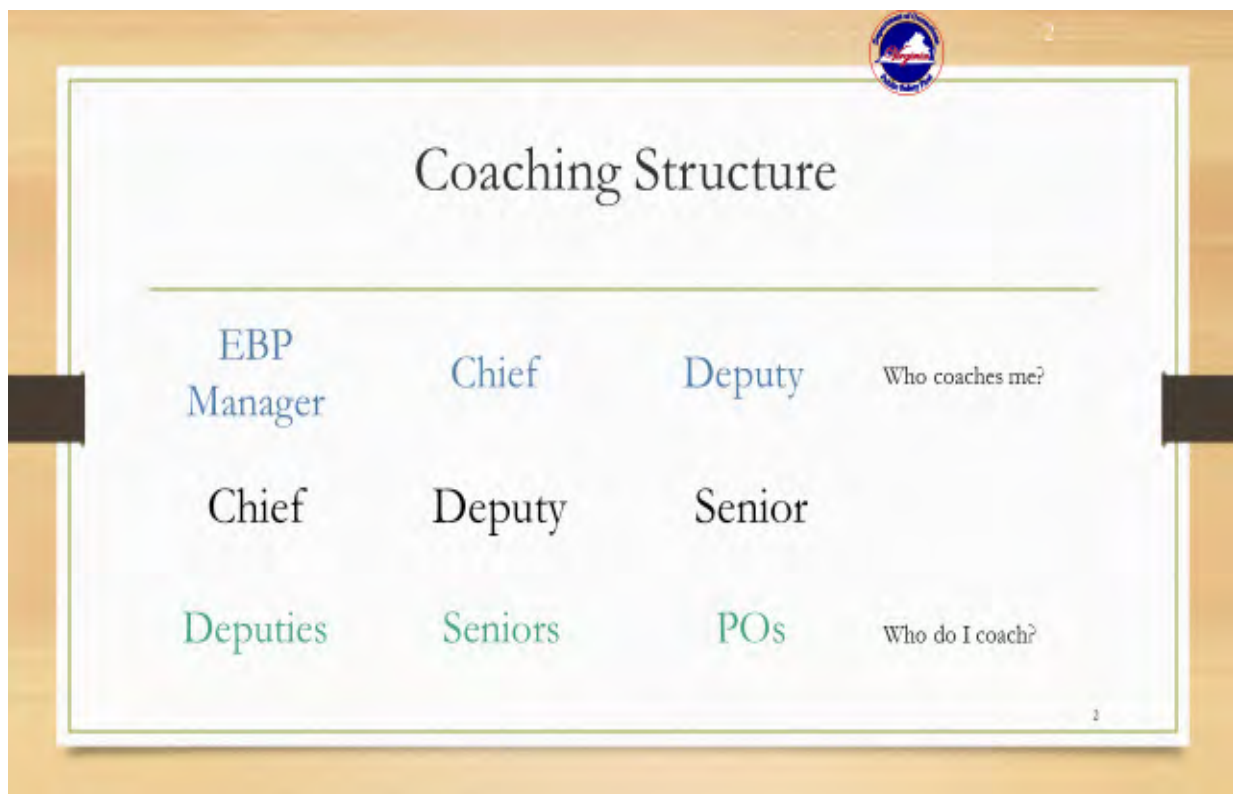
IMPLEMENTATION

A PERSPECTIVES SPOTLIGHT

requisite skills within the next five months according to their coaching plan. All supervisors had attended EPICS training by March 2015. At this time, Fairfax has trained more than 80% of its staff, with approximately 70% certified in EPICS skills, despite the challenge of high turnover.

In October 2014, the second phase of SOARING began with observations. With the assistance of GMU, the EBP Managers had developed a scoring matrix of 66 key skills that could be utilized during officer contacts. The skills were organized into the following categories: Working Relationship Skills, Role Clarification Skills (EPICS II), COMPAS Assessment, COMPAS Reassessment, Case Planning

Skills, Case Plan Driven Supervision Skills, Effective Use of Reinforcement (EPICSII), Effective Use of Disapproval (EPICS II), and Intervening with Problem Behaviors and Violations (EPICS II). The coach was instructed to score all sections that were relevant in the contact. In order to prepare for the next phase, refresher training was held for coaches to review the scoring process and feedback model to again improve consistency and coaching skills. Additionally, observational kickoff meetings were held with staff to inform them of expectations during the observations and to model the feedback process. A description of the coaching hierarchy is provided below.



All SOARING 3 coaches were required to conduct three to five observations of each staff member quarterly. It was requested that these observation sessions take place over the space of a morning or an afternoon. After each contact, the coach was to provide immediate feedback consistent with the feedback model. The coach would then score the contacts in the SOARING module, determine an overall score for that quarter's observations, and review these overall observation scores with the officer within 48 hours. The purpose of this coaching was to highlight overall strengths as well as any improvements made from the immediate feedback given during the session. Additionally, the coach would give specific examples of what officers could do to improve their scores. The scoring and feedback documents were also provided to each SMS to review in learning teams in order to provide staff members a further opportunity to relay any concerns about the new process.

During this first cycle, 13 supervisors conducted more than 75 observations for 24 officers. All levels were observed, from the Chief Probation Officer down to Probation Officers. Each supervisor observed at least one staff member, with some observing as many as four officers per quarter. In order to assist coaches with taking on this new task, the Chief and Deputies worked with their staff to

assist with other administrative work. After a couple of observation cycles, the data showed that our officers had a strong understanding of Working Relationship Skills but did not appear to be incorporating some of the more difficult skills. In the spring of 2015, staff and coaches were informed that a minimum of two skills needed to be scored for every observation, and if staff were EPICS II trained, then at least one EPICS skill had to be scored in each coaching session. Also in this quarter, additional staff were added to the observation process, including Pre-Sentence Report Writers, Surveillance Officers, and newer Probation Officers, bringing the number of staff observed to 40, with 120 observations conducted. These adjustments explain the slight dip in overall scores for Fairfax that quarter. Table 1 shows the overall scores for each quarter of observations.

The incorporation of coaching by supervisors within the SOARING 3 initiative has greatly increased the use of core correctional practices in the day-to-day work of the Fairfax Probation Office. The continued support from SMSs in learning teams and EPICS coaches who conduct monthly meetings with mentees has also assisted in creating a culture conducive to adoption of these practices. These efforts were recognized recently during a Regional Operation Assessment in which a team from outside the district

IMPLEMENTATION

A PERSPECTIVES SPOTLIGHT

reviewed more than 100 cases for progress and fidelity with EBP. That team's comments noted that the staff in Fairfax had "Excellent use and documentation of EPICS skills and Motivational Interviewing." Despite the many challenges of high caseloads and turnover, Fairfax has succeeded in achieving the vision established by its Chief Probation Officer, Tracy Lavelly, in 2010.

SUMMARY

As demonstrated by the agency overview and the specifics of implementation in Fairfax, successful implementation of EBPs in a large correctional agency—while exceedingly complicated and challenging—is achievable and rewarding. Successful

implementation requires the agency to adopt a systems perspective that not only addresses evidence-based principles and practices but also incorporates strategies aimed at organizational development and collaboration. The Virginia Department of Corrections remains committed to sustaining evidence-based practices and associated coaching strategies in order to further its vision of being a leader in the correctional field and to continue to reach its goal of creating safer communities and fewer victims.

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TABLE 1

FAIRFAX	OCT-DEC 2014	JAN-MAR 2015	APR-JUNE 2015	JULY-SEPT 2015	OCT-DEC 2015
# of Staff Observed	24	25	40	40	29
# of Observations	72	75	120	120	84
Working Relationship Avg	2.39	2.49	2.62	2.60	2.66
Overall Average Score	2.47	2.62	2.55	2.86	2.65

calendar of events

JULY 25-26, 2016

2016 Drug Impact Conference
San Antonio, TX
<http://www.cmitonline.org/cal/?mode=view&item=815>



JULY 27-29, 2016

New York State Probation Officers Association 2016 Training Conference
Niagara Falls, NY
http://www.nyspoa.com/conference_information.htm

AUGUST 28-31, 2016

American Probation and Parole Association 41st Annual Training Institute Cleveland, OH
<http://www.appa-net.org/institutes/2016-Cleveland/Attend/>

AUGUST 5-10, 2016

American Correctional Association 146th Congress of Correction
Boston, MA
http://www.aca.org/ACA_Prod_IMIS/ACA_Conference/Event_Details/ACA_Conference/Event_Details.aspx?hkey=8ee4b921-bc5a-449a-b2b8-e61428c19bd1

2017 WINTER TRAINING INSTITUTE



JANUARY 8-11, 2017

American Probation and Parole Association 2017 Winter Training Institute Reno NV

AUGUST 8-11, 2016

28th Annual Crimes Against Children Conference Dallas, TX
<http://www.cacconference.org/>



AUGUST 25-28, 2017

American Probation and Parole Association 42nd Annual Training Institute New York City NY
<http://www.appa-net.org/>