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IMPLEMENTING EVIDENCE-BASED POLICY AND PRACTICE IN COMMUNITY CORRECTIONS

Second Edition

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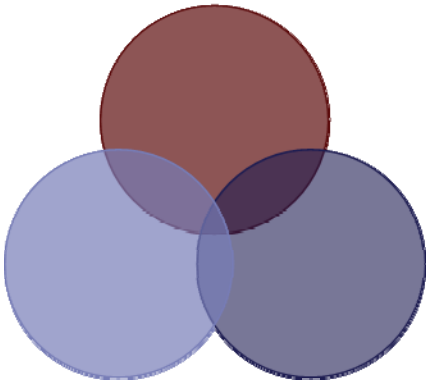

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This paper was developed as part of a set of papers focused on the role of system stakeholders in reducing offender recidivism through the use of evidence-based practices in corrections.

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TABLE OF CONTENTS

ACKNOWLEDGEMENTS vii

EXECUTIVE SUMMARY ix

INTRODUCTION ..... - 1 -

CHAPTER 1: WHAT IS EVIDENCE-BASED PRACTICE? ..... - 3 -

CHAPTER 2: THE INTEGRATED MODEL ..... - 7 -

CHAPTER 3: THE PRINCIPLES OF EFFECTIVE INTERVENTION ..... - 11 -
1. Eight Evidence-Based Principles for Effective Intervention ..... - 11 -
2. The Principles and Effective Relationships ..... - 17 -

CHAPTER 4: IMPLEMENTING EVIDENCE-BASED PRINCIPLES ..... - 21 -
1. Understanding the Components of Correctional Interventions ..... - 21 -
2. Translating the Principles into Practice ..... - 22 -
3. Applying the Principles at the Case, Organization and System Levels ..... - 25 -
4. Recommended Guidelines for Implementing Effective Interventions ..... - 26 -

CHAPTER 5: LEADING ORGANIZATIONAL CHANGE AND DEVELOPMENT ..... - 31 -
1. Organizational Case Management: Assessment, Intervention, & Monitoring/ Measurement ..... - 32 -
2. Leading Organizational Change ..... - 33 -
3. The Importance of a Healthy Organization ..... - 41 -
4. Aligning Business Practices ..... - 42 -
5. Managing Transitions ..... - 43 -
6. Program Fidelity ..... - 45 -
Further Reading ..... - 46 -

CHAPTER 6: COLLABORATION FOR SYSTEMIC CHANGE ..... - 47 -
1. Who Should be Included? ..... - 48 -
2. The Need for Structure ..... - 49 -
3. The Essential Ingredients ..... - 51 -
4. Consensus Decision-Making ..... - 53 -
Further Reading ..... - 55 -

CONCLUSION ..... - 57 -

APPENDIX A: RESEARCH SUPPORT GRADIENT ..... - 59 -

APPENDIX B: THE SEARCH CONFERENCE ..... - 61 -

APPENDIX C: KEY CONCEPTS IN ORGANIZATIONAL DEVELOPMENT ..... - 65 -

REFERENCES ..... - 69 -

Community Resources for Justice (CRJ) and its Crime and Justice Institute (CJI) and the National Institute of Corrections (NIC) are proud to present this series of eight whitepapers - known as the *Box Set* – that focus on the application of evidence-based principles for reducing recidivism. The papers are addressed to various criminal justice stakeholders and discuss how the implementation of evidence-based practices (EBP) and a focus on recidivism reduction affect areas of expertise in community corrections, pretrial services, judiciary, prosecution, defense, jail, prison, and treatment.

This initiative stems from a cooperative agreement established in 2002 between CRJ and NIC entitled *Implementing Effective Correctional Management of Offenders in the Community*. The goal of this project is reduced recidivism through systemic integration of EBP in adult community corrections. The project's integrated model of implementation focuses equally on EBP, organizational development, and collaboration. It provides a framework for incorporating data-driven, evidence-based policies and practices into corrections organizations and systems. Previously piloted in Maine and Illinois, the integrated model is currently being implemented in Maricopa County, Arizona and Orange County, California. More information about the project, as well as the Box Set papers, is available on the web sites of CJI (www.cjinstitute.org) and NIC (www.nicic.org).

CJI is a division of Community Resources for Justice (CRJ), a nonpartisan nonprofit agency that aims to make criminal justice systems more efficient and cost effective in order to promote accountability for achieving better outcomes. Through consulting, research, and policy analysis services, CJI strives to improve public safety throughout the country. In particular, CJI is a national leader in developing results-oriented strategies and in empowering agencies and communities to implement successful systemic change. Its parent corporation, Community Resources for Justice, has been providing direct care and supportive services to society's most challenged citizens for over 130 years. CRJ's direct service programs range from residential homes for developmentally disabled adults to programs serving troubled youth and men and women returning home from prison. More information on CRJ's programs can be found at www.crjustice.org.

NIC Correctional Program Specialist Dot Faust and CJI Executive Director Elyse Clawson originally envisioned the creation of a set of papers for each of the eight criminal justice stakeholders most affected by the implementation of EBP. This vision was carried out through the hard work and dedication of each of the authors. In addition, our formal reviewers - all of whom contributed a great amount of time and energy to ensure the success of this product - deserve recognition and great appreciation. We would also like to express our gratitude to NIC for funding this project and to George Keiser, Director of the Community Corrections Division of NIC, for his support.

It is our sincere belief and hope that the Box Set will be an important tool for agencies making the transition to EBP.

Sincerely,

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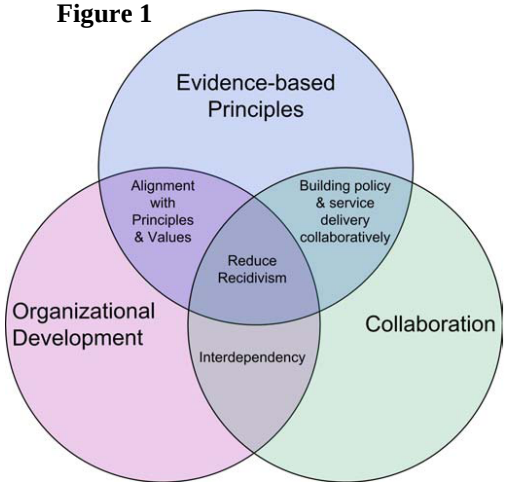
EXECUTIVE SUMMARY

Introduction

Across the country, community corrections agencies are struggling to do more with less. Offender populations continue to grow, and policymakers and corrections officials look to community corrections to alleviate overcrowding in prisons and jails. In the face of shrinking budgets, community corrections agencies as well as elected and appointed government officials are looking for innovative solutions to reduce new crimes and new victimization. Fortunately, a substantial body of literature exists on cost-efficient practices that are proven to reduce offender risk.

Unfortunately, knowledge of these evidence-based practices is not sufficient to implement and sustain this new way of doing business. Agencies and systems must have the capacity to undergo a significant shift in their business practices and organizational culture; they require a framework to guide this change. Through a cooperative agreement with the National Institute of Corrections, the Crime and Justice Institute and its partners developed the Integrated Model for the implementation of evidence-based policy and practice (Figure 1). The Model incorporates both research on effective corrections practice and practical approaches needed to create and sustain an evidence-based organization. The Model has three components: Evidence-Based Practice, Organizational Development, and Collaboration. The purpose of this paper is to outline the theoretical and empirical support for the model, as well as practical strategies for its implementation in community corrections settings.

Figure 1



What is Evidence-Based Practice?

Evidence-based practice (EBP) is the objective, balanced, and responsible use of current research and the best available data to guide policy and practice decisions, such that outcomes for consumers are improved. In the case of corrections, consumers include offenders, victims and survivors, communities, and other key stakeholders. Used originally in the health care and social science fields, evidence-based practice focuses on approaches demonstrated to be effective through empirical research rather than through anecdote or professional experience alone.

An evidence-based approach involves an ongoing, critical review of research literature to determine what information is credible, and what policies and practices would be most effective given the best available evidence. It also involves rigorous quality assurance

and evaluation to ensure that evidence-based practices are replicated with fidelity, and that new practices are evaluated to determine their effectiveness.

The Integrated Model

To facilitate the implementation of effective interventions in corrections, the *Integrated Model* emphasizes the importance of focusing equally on evidence-based practices, organizational development, and collaboration to achieve successful and lasting reform. It acknowledges the fact that scientific evidence is not sufficient to support the development of evidence-based organizations. The model incorporates best practices from corrections, social sciences, business, and other disciplines, and it provides a framework for sustaining effective interventions across the criminal justice system.

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

Investment in the Integrated Model offers many benefits. The model is clearly evidence-based, having been developed from empirically tried and tested practices. It also provides for an efficient use of resources, fosters responsible practices, promotes accountability, and creates a learning organization of informed policymakers, practitioners, and consumers. Ultimately, implementation of the model should result in improved functioning within agencies and across systems, as well as improved public safety outcomes for offenders and communities.

The Principles of Effective Intervention

Current research points to eight principles that, when taken together, increase the likelihood of offender risk reduction. Though not all of the principles are supported by the same weight of evidence, each has a sound empirical or theoretical basis. In addition, new evidence is always emerging, so the state of the art in risk reduction is likely to evolve over time.

The eight principles are:

1. Assess Actuarial Risk/Needs
2. Enhance Intrinsic Motivation
3. Target Interventions
    - *Risk Principle*: Prioritize supervision and treatment resources for higher risk offenders.
    - *Need Principle*: Target interventions to criminogenic (correlated to crime) needs.

- *Responsivity Principle*: Be responsive to temperament, learning style, motivation, culture, and gender when assigning programs.
- *Dosage*: Structure 40-70% of high-risk offenders' time for three to nine months.
- *Treatment Principle:* Integrate treatment into the full sentence/sanction requirements.

4. Skill Train with Directed Practice (e.g., use cognitive behavioral treatment methods)
5. Increase Positive Reinforcement
6. Engage Ongoing Support in Natural Communities
7. Measure Relevant Processes/Practices
8. Provide Measurement Feedback

To be effective, these principles must be reflected in the policies, procedures, and day-to-day work of community corrections agencies. In addition, the success of offenders is highly dependent on the rapport developed between officers and clients. Officers are most successful when they: strike a balance between an enforcement and intervention role; clarify their role with the client; model pro-social behaviors, show empathy without diminishing accountability; and focus interactions on problem solving and addressing criminogenic needs.

Implementing the Principles

Aligning the eight evidence-based principles with the core business practices of an organization is an ongoing challenge requiring careful planning. Correctional interventions are composed of dozens of interlocking parts that have the ability to impact recidivism, including employee skills, case management strategies, community linkages, and the policy environment. Depending on how well the processes are aligned and managed, they can enhance or diminish successful outcomes. Any organization interested in understanding and improving outcomes must manage the operation as a set of highly interdependent systems, and must have the data needed to monitor and improve processes.

Minimally, EBP involves:

- Developing employees' knowledge, skills, and attitudes congruent with current research-supported practice;
- Implementing offender programming consistent with research recommendations;
- Sufficiently monitoring employee actions and offender programming to identify discrepancies or fidelity issues; and
- Routinely obtaining verifiable outcome evidence associated with employee performance and offender programming.

Two fundamentally different approaches are necessary for such an alteration in priorities. One, the *outside/in* approach, brings insights gleaned from external research evidence to bear on internal organizational practices. The other, the *inside-out* approach, increases organizational capacity to internally measure performance and outcomes for current practice. When these two interdependent strategies are employed, an organization

acquires the ability to understand what is necessary and practicable to improve its outcomes.

All of these elements cannot be put in place overnight. It is up to each organization to determine a pace of implementation that is appropriate to its level of readiness and the resources available. Implementation requires an investment of time and people, but it pays dividends by through improved outcomes.

"ESSENTIAL INGREDIENTS" FOR EFFECTIVE INTERVENTIONS

- **Incorporate Policy and Practice**: consider evidence-based changes to external statutes and regulations as well as internal policy and procedure.
- **Develop an Organizational Case Plan:** assess organizational needs, create a strategic plan, and implement the plan. Align all business practices with the evidence, not just supervision strategies.
- **Build on Risk, Need, Treatment, and Fidelity:** The pillars of evidence-based practice are effective assessment, case plans focused on criminogenic needs, effective treatment, and a quality assurance process that ensures all facets are being implemented according to research.
- **Prioritize the Workforce:** Focus on employee development, including awareness of research, skill development, and management of behavioral and organizational change processes, within the context of a complete training program and supportive human resources practice. Develop leaders at all levels of the organization.
- **Measure for Accountability and Improvement:** Assess baseline and subsequent progress using quantifiable data. Routinely measure employee practices (attitudes, knowledge, and skills) that are related to outcomes.
- **Use Data:** Provide employees timely, relevant, and accurate feedback regarding performance related to outcomes. Utilize extensive data-driven advocacy and brokerage to enable appropriate community justice/correctional services.
- **Engage and Communicate:** Internal and external stakeholders require constant communication on the process of EBP implementation, their role in it, the vision for the future, and the outcomes that are realized. You can never have too much effective communication!

Leading Organizational Change and Development

In order to successfully move towards effective evidence-based supervision and service provision, significant organizational change and development is required. Organizations must critically examine their missions and values; gain new knowledge and skills; adjust their infrastructure to support new ways of doing business and transform their organizational culture. Shifting to an evidence-based organizational management approach may require significant changes in the way business is conducted.

The three steps of assessment, intervention and monitoring/measurement are critical to organizational change and development in the same way they are integral to client

intervention. Assessment determines the existing status of an individual, organization, and/or practice by providing information on the potential and options for change. Intervention activities are designed to respond to the needs/issues identified in the assessment/diagnosis process. Monitoring and measuring performance on both a short and long-term basis provide data on changes in knowledge, skills, attitudes, and behavior.

Strong and flexible organizational leadership is fundamental to the success or failure of any change effort. It is especially true when implementing evidence-based practices due to the complexity of initiating change in the public safety system. The nature of the system requires that leaders identify, create, and show value to internal and external stakeholders. Leaders must also be willing to accept the challenges of changing organizational culture in order to achieve the full benefits of increased public safety and reduced recidivism made possible by implementing evidence-based principles in community corrections.

It is also important to recognize that different styles of leadership are required to achieve successful change. *Coercive leaders* demand immediate compliance. *Authoritative leaders* mobilize people toward a vision. *Affiliative leaders* create emotional bonds and harmony. *Democratic leaders* build consensus through participation. *Pacesetting leaders* expect excellence and self-direction. And *coaching leaders* develop people for the future. The research indicates that leaders who get the best results don't rely on just one leadership style; they use most of the styles regularly.

The Role of Leadership	
▪ Create the vision	▪ Identify and collect outcome data
▪ Identify partnerships	▪ Review and refine processes and outcomes
▪ Develop strategies for achieving the vision	▪ Seek agreement with partners regarding vision & strategies
▪ Utilize process improvement strategies	

Advancing the implementation of evidence-based principles in the supervision of offenders requires the realignment of organizational infrastructure, and contemporaneous changes in the structure of human resource management systems, policies and procedures, and operational standards. All systems and policies, particularly those pertaining to the workforce, must be consistent with and supportive of the new way of doing business.

Combining this fundamental organizational change with the philosophy and policy shift of evidence-based principles enhances the potential to more effectively institutionalize changes. Managing this type of transition involves relentless attention to detail, as well as an understanding of how individuals and groups experience change to advance implementation and prevent individuals and entire systems from sliding back into the old ways.

Collaboration for Systemic Change

Collaboration is defined as *coming together to work toward a common vision*. This results in greater achievements than would be attained by one organization working alone. Since no public safety agency operates in a vacuum, engaging system stakeholders in change efforts helps eliminate barriers, increase opportunities for success, enrich the change process, educate stakeholders about the organizational's work, and create a shared vision that supports the systemic change efforts.

Collaboration and system change are very time consuming and resource intensive processes. They require constant attention and nurturing to maintain momentum. Collaborative endeavors must develop a balance between broad participation and consensus-building and the need to make decisions and take action. In addition, all affected stakeholders need a voice at the table. Any process should ensure that the number of participants is small enough to allow for productivity, but broad enough to hear diverse perspectives and get widespread support.

An effective collaboration requires structure. Methods of developing structure, such as charters, memoranda of understanding, and partnering agreements fulfill multiple purposes. These tools should clarify decision-making responsibility and emphasize the concept that no single organizational or individual is in charge in the familiar sense. Instead, professionals from each center of expertise are empowered to do what they do best to the enhancement of the collective goal.

Essential Ingredients of Collaboration	
▪ Common Vision	▪ Accountability
▪ Purpose	▪ Data-Driven Process
▪ Clarity of Roles and Responsibilities	▪ Effective Problem Solving
▪ Healthy Communication Pathways	▪ Resources
▪ Membership	▪ Environment
▪ Respect and Integrity	

A successful collaborative often meets the following criteria: the group is efficient and reliable; it adapts to changing circumstances; it is viewed as legitimate among members and stakeholders; it is accountable for its work; and its efforts are sustainable. Successful collaboration requires a thoughtful, sustained effort among partner organizations. Maintaining a productive collaboration that supports a shared vision is often challenging, but it yields great benefit when member organizations are collectively engaged in the change process.

Conclusion

To improve supervision effectiveness and enhance the safety of our communities, evidence-based approaches are sorely needed. Organizational budgets can no longer support programs and practices that are not proven effective in reducing new crime: practices proven effective must be replicated, and new practices must be evaluated for efficacy.

This report provides a guide for agencies to transform themselves into evidence-based organizations. By providing an integrated model, it maps out the essential ingredients for a successful transition: evidence-based practice, organizational development, and collaboration. It is vital that each component is given equal weight and importance. Simply implementing one without the others is not sufficient to achieve positive results.

Implementing evidence-based policy and practice is not a simple task; it requires a fundamental change in the way community corrections does business, and a shift in the philosophies of those doing this work. However, the benefits are substantial. Evidence-based approaches create safer communities, while often offering cost savings to communities in the long term. The Integrated Model can allow jurisdictions to make significant strides toward improving public safety, holding offenders accountable, and wisely investing public resources.

INTRODUCTION

States across the nation are struggling to manage burgeoning offender populations in the face of major financial challenges. Prisons and jails are operating at or over capacity, and the offender population continues to grow. Policy-makers are focusing increasingly on community corrections as a solution to overcrowding, recognizing the need to rely more heavily on more economical methods to safely supervise offenders, reduce re-offending, and stop offenders from cycling through the criminal justice system.

Community corrections leaders are being called on to alleviate system pressures by supervising increasing numbers of offenders more efficiently and effectively: maintaining public safety with a larger population of offenders and a smaller budget. Traditional methods of offender supervision will not meet the current challenges facing community corrections agencies. Leaders must rethink how they do business and lead their organizations through rapid change and innovation.

Historically, community corrections suffered from a lack of research that identified proven methods of improving public safety. Recent research efforts based on meta-analysis (the syntheses of data from many research studies) (Andrews & Dowden, 2006; Burke, et al, 2003; Landenberger & Lipsey, 2005; McGuire, 2002; Sherman et al, 1998), cost-benefit analysis (Aos, 1998; Milkman & Wanberg, 2007) specific clinical trials (Burke et al, 2003; Henggeler et al, 1997; Meyers et al, 2002) and effective implementation (Fixen et al, 2005) have broken through this barrier and are now providing the field with guidance on how to better reduce re-offending and support offenders on the path to productive citizenship.

An evidence-based approach not only meets the public's expectations for quality, efficiency, and effectiveness but also reflects fairness, justice and accountability. Accordingly, all employees, from Probation Officers to Chiefs, can contribute to meeting these goals and must share a common commitment to constantly utilize new knowledge to enhance practice

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

The integrated model was developed by the Crime and Justice Institute and its partners through a cooperative agreement with the National Institute of Corrections. The vision for the model development was "to build learning organizations that reduce recidivism through systemic integration of evidence-based principles in collaboration with community and justice partners." This model is being implemented in corrections

agencies throughout the country as a framework for sustainable system reform. The model has three components: evidence-based principles, organizational development and collaboration.

The primary purpose of this paper is to introduce the accumulated body of knowledge regarding correctional practice that promotes offender behavior change and ultimately improve policy and practice outcomes. Though focused on community corrections administrators and staff, the content may be useful for anyone involved in corrections policy development, administration, or direct practice. The report begins with chapters that explain what is meant by evidence-based practice and provides more detail about the merits of the Integrated Model. Each of the three components of the integrated model is then examined individually, including the rationale, supporting literature, and strategies for implementation. In addition, the chapters on organizational development and collaboration provide suggestions for further reading. Ideally, this paper will serve as a starting point for individuals, organizations, or collaboratives to develop an understanding of the integrated model and its potential benefits, as well as providing a cursory roadmap for action.

CHAPTER 1: WHAT IS EVIDENCE-BASED PRACTICE?

The term evidenced-based practice is often used in medical and social science disciplines, as well as by policy makers to support new reforms. But what does it actually mean for people working in corrections?

There are, of course, different forms of evidence. The least tested and least reliable form is anecdotal evidence. The most tried and tested, most reliable form is empirical evidence, often based on results from controlled studies. Evidence-based practice (EBP) draws on the highest form of empirical evidence. It is the objective, balanced, and responsible use of current research and the best available data to guide policy and practice decisions, such that outcomes for consumers are improved. In the case of corrections, consumers include offenders, victims, communities, and other key stakeholders.

EBP was originally conceived in the healthcare field and emphasized the use of the best current research results in making clinical decisions for individual patients and wider health policy decisions for communities. Ultimately it was an approach to decision-making in which the clinician uses the best evidence available, in consultation with the patient, to decide upon the option that suits the patient best (Gray, 2001).

This research indicates that certain programs and intervention strategies, when applied to a variety of offender populations, reliably produce significant reductions in recidivism. The conventional approach to supervision in this country emphasizes individual accountability from offenders, and officers were expected to rely on their personal experience and instincts to determine the most effective interventions for their clients. Though individuals were making their best efforts, they were not provided with the full range of information needed to implement risk-reduction strategies. Despite the evidence that indicates otherwise, officers continue to be trained on standards that stress quantity rather than quality of interactions with clients, rather than balancing both. Officers are not so much clearly directed what to do, as what not to do.

This approach has been defined as 'correctional quackery' which, according to Latessa, et al (2002), is:

> *…dismissive of scientific knowledge, training, and expertise. Its posture is strikingly over-confident, if not arrogant. It embraces the notion that interventions are best rooted in 'common sense,' in personal experiences (or clinical knowledge), in tradition, and in superstition…. 'What works' is thus felt to be 'obvious,' derived only from years of an individual's experience, and legitimized by an appeal to custom.*

Latessa, et al conclude: *"Correctional quackery*, therefore, is the use of treatment interventions that are based on neither 1) existing knowledge of the causes of crime nor 2) existing knowledge of what programs have been shown to change offender behavior" (Latessa, Cullen, & Gendreau, 2002).

Evidence-based practice is the opposite of 'correctional quackery'. It is the body of research and replicable clinical knowledge that describes contemporary correctional assessment, programming and supervision strategies that lead to improved correctional outcomes such as the rehabilitation of offenders and increased public safety. A significant trend throughout all human service fields that emphasize outcomes, it is based on the notion that interventions within corrections are considered most effective when they reduce offender risk and subsequent recidivism and therefore make a long term contribution to public safety.

Clarifying Terms

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

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

What works implies linkage to general outcomes, but does not specify the kind of outcomes desired (e.g., just desserts, deterrence, organizational efficiency, rehabilitation, etc.). Specificity regarding the desired outcomes is essential to achieving system improvement (Harris 1996; O'Leary and Clear 1997).

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

Within the field of corrections, evidence-based practices can involve research tested principles that guide intervention, or they can refer to specific intervention models proven to lead to desirable outcomes. Ultimately, developing evidence-based approaches to correctional services is about taking an *objective, balanced, and responsible* review and use of the professional literature to find good evidence, and then using it effectively to support policy and practice. It does not mean that all research findings pertaining to a specific intervention or strategy must reach the same conclusion for *all* samples and across *all* settings. It also does not mean that additional findings cannot provide refuting evidence at a later stage. In other words, once evidence-based is not always evidenced-based.

Most importantly, adopting evidence-based practices is not an indication that correctional services are going "soft" on crime or criminals. In fact it is quite the opposite. Evidence-based practice provides more assurance that professionals are using the 'right' strategies and approaches, which will result in reduced misconduct and enhanced safety for all.

Finally, it is important not to oversell what can be achieved by assuming that any specific evidence-based intervention or strategy is guaranteed, failsafe, or a 'magic bullet'. Reducing recidivism is a complex process that depends on a number of variables. In addition, evidence-based practices must be implemented with fidelity to the original approach in order to replicate the results. A commitment to continuous quality improvement is needed both to ensure that interventions are replicated with fidelity and that new evidence is incorporated as it becomes available. The "best available evidence" evolves as the body of corrections research grows.

CHAPTER 2: THE INTEGRATED MODEL

To facilitate the implementation of effective interventions in corrections, the *Integrated Model* emphasizes the importance of focusing equally on evidence-based practices, organizational development, and collaboration to achieve successful and lasting reform. The scope of the model is broad enough that it can be applied to all components of the criminal justice system (pretrial, jail, probation, parole, private/public, etc.) and across varying jurisdictions. It provides a framework for effective interventions within federal, state, county, local or private corrections systems.

Figure 2

The Integrated Model described in this report recognizes that simply expounding on scientific principles is not sufficient to guide the ongoing political and organizational change necessary to support implementation of evidence-based principles in a complex system. It requires the integration of seemingly disparate best practices from a number disciplines, a development that is gradually being recognized in the field of community corrections, in order to achieve better outcomes (Bogue 2002; Carey 2002; Corbett et al. 2000; Lipton et al. 2000; Taxman and Byrne 2001). Fundamentally it is designed to achieve lasting change in both practice and policy.

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

There are a number of reasons why the Integrated Model is a worthwhile long term investment:

- **The model is clearly evidence-based, having been developed from empirically tried and tested practices**. It does not require risky 'trial and error' approaches with offenders but instead builds on lessons learned from previous policy and practice. By adopting the model, employees are required to question and challenge the blind adoption of practices, countering a naïve adherence to the status quo, which often unintentionally does harm by producing poor results. So called 'pop' psychology is eliminated and there is greater consistency across organizations. Consequently, it

gives correctional employees a clear rationale and mission for the work they are doing.

- **The model provides for the demonstration of public value.** At a time of fiscal constraint it is necessary to invest limited resources wisely to ensure the best return on investment. The model is based on the premise that funding will be targeted on the interventions that bring the greatest returns. In the long term there should be significant financial savings from adopting policies and practices that have proven outcomes, and are worthy of public and political support.

- **The model fosters responsible practices and promotes accountability**. It ensures that employees are accountable for their actions and that correctional departments are more accountable to their local communities. In relations with internal and external stakeholders it also ensures that there is greater understanding and support for practices and decisions.

THE ROLE OF POLICY

The Integrated Model is a systemic approach, and its implementation requires a critical review the way a system does business. Often, implementation of evidence-based practices focuses on the day-to-day procedures and practices within community corrections agencies. However, true systemic change requires reflection on the big picture: *are the policies governing corrections practice, include statutes, regulations, and judicial guidelines, in line with the evidence?*

Thoughtful review of policy and the implementation of evidence-based policy change can promote coordinated implementation, create a sense of urgency, and provide and avenue for holding system stakeholder accountable. Policy change can be complex, and change may take time, but the long-term impact can be significant.

Some examples of evidence-based policy change:

- Statutes requiring or encouraging reductions in revocation to prison or jail;
- Statutes requiring funding to be used for evidence-based programming;
- Statutes or administrative policies requiring structured responses to probation or parole violations;
- Statutes allowing for earned early release from incarceration or supervision for compliant behavior;
- Use of actuarial risk/needs assessment tool for supervision and caseplanning;
- Use of Criminal Justice Coordinating Councils or other collaborative bodies for criminal justice system planning, decision-making, and resource allocation.

For more information on evidence-based policy change, please see the Policy Framework to Strengthen Community Corrections from the Pew Center on the States, Public Safety Performance Project (2008).

- **The model creates a learning system of informed policymakers, practitioners, and consumers**. They are more knowledgeable not only about what works in their field, but also about the effectiveness of their own practices due to regular review of

data. Consequently they are able to make better informed decisions that are likely to result in better outcomes.

Ultimately the model should result in improved measurable outcomes in terms of reduced recidivism, improved public safety, and improved social outcomes for offenders in relation to education, training and employment, housing, substance misuse and health needs. There are also additional improved organizational outcomes as a result of effective collaboration with stakeholders, higher quality data and information sharing, better decision making and a more productive organizational culture. The community also benefits from a collaborative approach, where the perspectives of system stakeholders, victims, and the public are taken into consideration when making public safety decisions. The subsequent sections of this paper describe the components of the integrated model in detail, and their role in creating and sustaining evidence-based organizations and systems.

CHAPTER 3: THE PRINCIPLES OF EFFECTIVE INTERVENTION

The current research on offender rehabilitation and behavioral change is now sufficient to enable corrections to make meaningful inferences regarding what works in the field to reduce recidivism and improve public safety. Based upon previous compilations of research findings and recommendations (Aos et al, 2006; Andrews and Bonta, 2006; Burrell, 2000; Carey, 2002; Currie, 1998; Corbett et al, 2000; Gendreau & Andrews, 2001; McGuire, 2002; Latessa et al, 2002; Sherman et al, 1998; Taxman & Byrne, 2001), there now exists a coherent framework of guiding principles. This chapter describes those principles, as well as effective approaches for interacting with offenders. However, the principles should be reviewed with the caveat that while they represent the state of the art in corrections at the time this paper was written, research is always evolving, and principles of effectiveness will change with time.

Research does not support each of these principles with equal volume and quality, and even if it did, each principle would not necessarily have a similar impact on outcomes. Too often programs or practices are promoted as having research support without any regard for either the quality or the methodology of the underlying research. As part of the model development process, a research support gradient was established, indicating current research support for each principle (see Appendix A). All of the principles outlined in this chapter fall between the gold standard and the bronze standard set out in the research support gradient.

1. Eight Evidence-Based Principles for Effective Intervention

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

The listing of these eight principles is not meant to imply a temporal order to their implementation, or a hierarchy of importance. The principles are mutually reinforcing, and coordinated implementation brings the benefits of each. However, research does indicate that the targeting of interventions is the core of evidence-based practice. Research indicates that resources are used more effectively when they are focused on higher-risk rather than lower-risk offenders, therefore considering offenders' risk to reoffend and subsequently addressing criminogenic needs allows agencies to target resources on higher-risk offenders.

1) Assess Actuarial Risk/Needs.

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

Questions to Ask:

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

Offender assessment is as much an ongoing function as it is a formal event. Case information that is gathered informally through routine interactions and observations with offenders is just as important as formal assessment guided by instruments. Formal and informal offender assessments should reinforce one another. They should combine to enhance formal reassessments, case decisions, and working relations between practitioners and offenders throughout the term of supervision.
(Andrews & Bonta 2006; Bonta 1996; Gendreau, et al, 1996; Hollin, 2002; Hubbard et al 2001)

2) Enhance Intrinsic Motivation.

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

interviewing depends on a patient process of helping offenders to see discrepancies between how they behave and what they say they want. Research strongly suggests that motivational interviewing techniques, rather than persuasion tactics, effectively enhance motivation for initiating and maintaining behavior changes.
(Burke et al 2003; Clark et al 2006; Ginsburg, et al, 2002; Miller & Rollnick, 2002)

Questions to Ask:

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

3) Target Interventions.

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

B. NEED PRINCIPLE: Target interventions to criminogenic needs.

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

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

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

a) Risk Principle: prioritize primary supervision and treatment resources for offenders who are at higher risk to re-offend. Research indicates that supervision and treatment resources that are focused on lower-risk offenders tend to produce little if any net positive effect on recidivism rates. Shifting these resources to higher risk offenders promotes harm-reduction and public safety because these offenders have greater need for pro-social skills and thinking, and are more likely to be frequent offenders. They are also more likely to be in need of structured pro-social activities, versus low risk offenders who may already be positively engaged in the community. Reducing the recidivism rates of these higher risk offenders reaps a much larger return on investment, since they contribute to the greatest percentage of repeat offenses. Successfully addressing this population requires smaller caseloads, the application of well-developed case plans, and placement of offenders into sufficiently intense cognitive-behavioral interventions that target their specific criminogenic needs.
(Andrews and Dowden, 2006; Gendreau, 1996; Lowenkamp et al, 2006: McGuire, 2001)

b) Criminogenic Need Principle: address offenders' greatest criminogenic needs. Offenders have a variety of needs, some of which are directly linked to criminal behavior. These criminogenic needs are dynamic risk factors that, when addressed or changed, affect the offender's risk for recidivism. According to meta-analytic research, the eight most significant criminogenic needs are: antisocial behavior; antisocial personality; criminal thinking; criminal associates; dysfunctional family; employment and education; leisure and recreation; and

substance abuse. Based on an assessment of the offender, these criminogenic needs can be prioritized so that services are focused on the greatest criminogenic needs.
(Andrews & Bonta, 2006; Harland, 1996; Ward & Stewart, 2003)

c) **Responsivity Principle*:* consider individual characteristics when matching offenders to services.** These characteristics include, but are not limited to: culture, gender, motivational stages, developmental stages, and learning styles. These factors influence an offender's responsiveness to different types of treatment. The principle of responsivity also requires that offenders be provided with treatment that is proven effective with the offender population. Certain treatment strategies, such as cognitive-behavioral methodologies, have consistently produced reductions in recidivism with offenders under rigorous research conditions. Providing appropriate responsivity to offenders involves selecting services in accordance with these factors, including: a) Matching treatment type to offender; and b) Matching style and methods of communication with offender's stage of change readiness.
(Andrews & Kiesling, 1980; Birgden, 2004; Miller & Rollnick, 2002; Prochaska & DiClemente, 1984)

Questions to Ask:

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

d) **Dosage: providing appropriate quantities of services, pro-social structure, and supervision is a strategic application of resources.** Higher risk offenders require significantly more initial structure and services than lower risk offenders. During the initial three to nine months on post-release supervision, 40%-70% of their free time should be clearly occupied with delineated routine and appropriate services, (e.g., outpatient treatment, employment assistance, education, etc.) Certain offender subpopulations (e.g., severely mentally ill, chronic dual diagnosed, etc.) commonly require strategic, extensive, and extended services. However, too often individuals within these subpopulations do not receive a coordinated package of supervision/services. The evidence indicates that incomplete or uncoordinated approaches can have negative effects, often wasting resources. In addition to referring offenders to treatment and other structured activities, the officer must

determine whether offenders are engaging in these activities and attending and completing treatment.
(Bourgon & Armstrong, 2005; Gendreau & Andrews 2001; Palmer, 1995)

e) **Treatment Principle: treatment, particularly cognitive-behavioral types, should be applied as an integral part of the sentence and sanction process.** In addition to considering risk and seriousness of offense, integrate treatment into sentence and sanction requirements through assertive case management (taking a proactive and strategic approach to supervision and case planning). Delivering targeted and timely treatment interventions focused on criminogenic needs will provide the greatest long-term benefit to the community, the victim, and the offender. This does not necessarily apply to lower risk offenders, who should be diverted from the criminal justice and corrections systems whenever possible. When low risk offenders attend treatment that exposes them to higher risk offenders, the benefits of the treatment are negligible while the exposure to higher-risk peers can be detrimental. In addition, treatment attendance, while offering needed structure for high-risk offenders can disrupt existing involvement in prosocial community activities among low-risk offenders.
(Lipsey et al, 2001; MacKenzie, 2006; Milkman & Wanberg, 2007; Taxman & Byrne, 2001)

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

Provide evidence-based programming that emphasizes cognitive behavioral strategies and is delivered by well-trained employees. These strategies can be applied in treatment settings, but also in routine interactions between officers and offenders. To successfully deliver this intervention to offenders, employees must understand antisocial thinking, social learning, and appropriate communication techniques, and be able to identify and redirect anti-social thinking. Skills are not just taught to the offender, but are practiced or role-played and the resulting pro-social attitudes and behaviors are positively reinforced by employees. Correctional agencies should prioritize, plan, and budget to predominantly implement programs that have been scientifically proven to reduce recidivism.
(Allen et al, 2001; Landenberger & Lipsey, 2005; Lipsey et al, 2001; Milkman & Wanberg, 2007; Sundel & Sundel, 2005)

Questions to Ask:

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

5) Increase Positive Reinforcement

When learning new skills and making behavioral changes, human beings respond better and maintain learned behaviors for longer periods of time, when approached

with carrots rather than sticks. Behaviorists recommend applying a much higher ratio of positive reinforcements to negative reinforcements in order to better achieve sustained behavioral change. Rewards do not have to be applied consistently to be effective (as negative reinforcement does) but can be applied randomly.

Increasing positive reinforcement should not be done at the expense of or undermine administering swift, certain, and real responses for negative and unacceptable behavior. Offenders having problems with responsible self-regulation generally respond positively to reasonable and reliable additional structure and boundaries. Offenders may initially overreact to new demands for accountability, seek to evade detection or consequences, and fail to recognize any personal responsibility. However, with exposure to clear rules that are consistently (and swiftly) enforced with appropriate graduated consequences, offenders and people in general, will tend to comply in the direction of the most rewards and least punishments. This type of extrinsic motivation can often be useful for beginning the process of behavior change. (Gendreau, 1996; Gendreau & Andrews 2001; Higgins & Silverman, 1999; Sundel & Sundel, 2005)

Questions to Ask:

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

6) Engage On-going Support in Natural Communities

Realign and actively engage pro-social supports for offenders in their communities. Research indicates that many successful interventions with extreme populations (e.g., inner city substance abusers, homeless, dual diagnosed) actively recruit and use family members, spouses, and supportive others in the offender's immediate environment to positively reinforce desired new behaviors. This Community Reinforcement Approach (CRA) has been found effective for a variety of behaviors (e.g., unemployment, alcoholism, substance abuse, and marital conflicts). In addition, relatively recent research now indicates the efficacy of twelve step programs, religious activities, and restorative justice initiatives that are geared towards improving bonds and ties to pro-social community members. This is especially important for offenders who are returning to the community from prison or jail.
(Azrin et al, 1982; Braithwaite, 1989; Higgins & Silverman, 1999; Lattimer et al (2005); Meyers et al, 2002 & 2005; O'Connor & Perryclear, 2003; Smith & Meyer, 2004)

Questions to Ask:

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

7) Measure Relevant Processes/Practices

Accurate and detailed documentation of case information, along with a formal and valid mechanism for measuring outcomes, is the foundation of evidence-based practice. Agencies must routinely assess offender change in cognitive and skill development, and evaluate offender recidivism, if services are to remain effective. In addition to routinely measuring and documenting offender change, employee performance should also be regularly assessed Employees that are periodically evaluated for performance achieve greater fidelity to program design, service delivery principles, and outcomes. Employees whose performance is not consistently monitored, measured, and subsequently reinforced work less cohesively, more frequently at cross-purposes and provide less support to the organization's mission.

Questions to Ask:

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

(Bernstein et al, 2001; Dilulio, et al 1993; Gendreau and Andrews, 2001; Henggeler et al, 1997; Quay, 1977; Lowenkamp et al, 2006; Milhalic & Irwin, 2003; Waltz et al, 1993)

8) Provide Measurement Feedback

Once a method for measuring relevant processes/practices is in place (principle seven), the information must be used to monitor process and change. Providing feedback to offenders regarding their progress builds accountability and is associated with enhanced motivation for change, lower treatment attrition, and improved outcomes (e.g., reduced drink/drug days; treatment engagement; goal achievement). The same is true within an organization. Monitoring and evaluating delivery of services and fidelity to procedures helps build accountability and maintain integrity to the organization's mission. Regular performance audits and appropriately applied case reviews with an eye on improved outcomes, keep employees focused on the ultimate goal of reduced recidivism through the use of evidence-based principles.

Questions to Ask:

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

(Alvero et al, 2001; Gendreau & Andrews, 2001; Harris and Smith, 1996; Klein & Teilmann 1980; Ludeman, 1991; Quay, 1977; Zemke, 2001)

2. The Principles and Effective Relationships

The lynchpin of effective practice is the relationship between corrections professionals and clients. Offenders' attitudes and behavior can be influenced by their interactions with supervision officers and treatment providers. The use of specific skills by corrections employees to develop effective relationships with clients that reinforce the principles outlined above are therefore critical to reduced recidivism and improved public safety. In fact, the importance of a good working relationship can be a key component for achieving successful outcomes. This relationship includes demonstrating respect, building rapport, balancing enforcement with treatment, and maintaining focus on criminogenic needs. (Andrews & Bonta, 2006; Bonta et al, 2008; Skeem and Manchak, 2008; Gendreau, et al 2002; Taxman, 2002; Trotter 1996, 1999, 2000).

A well-known model of intervention focused on the supervisory relationship, rather than on the features of a given intervention program, is that developed by Chris Trotter (1999, 2000). The central principles of Trotter's pro- social modeling approach include:

• **Role clarification**: involving frequent and open discussions about roles, purposes, expectations, the use of authority, negotiable and non-negotiable aspects of intervention and confidentiality.

• **Pro-social modeling and reinforcement**: involving the identification, reward and modeling of behaviors to be promoted and the identification, discouragement and confrontation of behaviors to be changed.

• **Problem solving**: involving the survey, ranking and exploration of problems, goal setting and contracting, the development of strategies and ongoing monitoring.

• **Relationship**: involving the worker being open and honest, empathetic, able to challenge and not minimize rationalizations, non-blaming, optimistic, able to articulate the client's and family members' feelings and problems, using appropriate self-disclosure and humor.

The development of effective relationships requires the use of communication, engagement, counseling and inter-personal skills. Attempts to influence offenders positively require these skills to be deployed as part of relationships based on moral legitimacy in the eyes of offenders. These relationships are important to creating an environment where offenders feel they can trust the officers, and to a large extent have some desire to comply with their conditions.
It is unlikely that anything can be achieved in work with offenders unless and until such effective working relationships are first established and then maintained (McNeil et al, 2005).

At the same time, it is important to recognize that for offenders the process of change is a difficult and lengthy one, interrupted by frequent reversals and relapses. This may require correctional employees to use their relationship skills to work with offenders to develop new accounts or 'narratives' about their own identity and their ability to take charge of

their own lives rather than remain victims of circumstances (Maruna, 2000; Farrall, 2002; Burnett, 2004).

Emerging research in the area of officer-client relationships describes the dual role of community corrections officers and its importance to offender success (Paparozzi and Gendreau, 2005; Skeem and Manchak, 2008). Community corrections officers often struggle with defining their role: should their focus be on law enforcement and accountability, or rehabilitation and social support? The answer is both. A balance between supervisory and relational approaches yields optimal outcomes.

Case Study: Maryland's Proactive Community Supervision

In Maryland, a proactive community supervision (PCS) model has been developed to work with offenders. The model adopts a risk-need-responsivity approach where the agency uses a risk and need tool to identify appropriate treatment and control services and then assigns offenders to such services. As part of the approach a social learning environment is created that makes supervision officers active in facilitating offender change.

The social learning environment uses research-based behavioral management strategies to work with supervisees identifying realistic and pertinent behavioral goals, and implementing strategies for supervisees to achieve these goals. The process is designed to engage supervisees in the supervision process and increase their commitment to and ownership of the goals. Supervisees tailor the supervision period to their own personal needs and goals while also satisfying the public safety purposes of supervision. The goal is to empower the offender.

Staff take on the role of a behavioral manager who helps supervisees in learning about their own behavior; understanding the links between their behavior and their involvement with the criminal justice system, and crafting responses to their behavior. It is a move away from traditional accountability mechanisms to shared decision-making models where the offender weighs the methods to ameliorate negative outcomes.

The results have been impressive. Evaluation found that offenders who were supervised under the PCS model were less likely to be rearrested and less likely to have a warrant issued for technical violations. It has led to staff perceiving their job to be facilitators of offender change, and working with offenders to improve supervision outcomes. Staff have developed techniques that led to them working with more difficult cases for longer periods of time to assist the offender in efforts to address criminogenic risk/need factors.

(Taxman 2008; Taxman and Thanner, 2004; Sachwald et al 2006)

Taken together, these principles have the potential to improve public safety outcomes and to ensure that resources are being used efficiently. However, knowledge of the principles is not enough to ensure their effectiveness. Correctional systems and their component organizations must put the systems in place to support the principles, employees must have the skills they need to implement the principles, and the quality of implementation must be regularly monitored so that improvements can be made. This requires a fundamental change in the way organizations do business. The next chapter describes

approaches for EBP implementation, followed by a chapter on developing an evidence-based organization.

CHAPTER 4: IMPLEMENTING EVIDENCE-BASED PRINCIPLES

Aligning the eight evidence-based principles with the core business practices of an organization is a significant challenge and will largely determine the impact the organization has on sustained reductions in recidivism. In order to accomplish this shift to an outcome orientation, practitioners must be prepared to dedicate themselves to a mission that focuses on achieving sustained reductions in recidivism, and to operationalize that mission at the individual, organizational, and system levels. At each of these levels, thorough, comprehensive, and strategic planning will be necessary in order to succeed. Identifying, prioritizing, and formulating well-timed plans for addressing such particular issues are tasks requiring system collaboration and a focus on organizational development (see Chapters 5 and 6).

An essential caveat here is a caution about implementation; the devil is in the details. However, there is helpful literature regarding implementation principles. Prior to embarking on any implementation or strategic planning project, a succinct review of this literature is recommended (Bernstein et al, 2001; Durlak, 1998; Ellickson et al, 1983; Gendreau et al, 1999; Henggeler et al, 1997; Harris & Smith, 1996; Mihalic & Irwin, 2003; Mihalic et at, 2004; Burke, 2008; Crime and Justice Institute, 2009). This chapter offers some suggestions on approaching the challenge of implementation.

1. Understanding the Components of Correctional Interventions

Initially it is instructive to consider the components of corrections services and how they should relate to each other. One way to deconstruct a community corrections intervention for planning or evaluation purposes is to consider the separate aspects of the intervention that might influence an offender's potential for behavioral change. Researchers and practitioners are quick to recognize a number of common elements in all programs that have some potential impact on outcomes such as recidivism:

- **The Skills of Employees—**a wide array of ongoing interpersonal relations specifically pertaining to the communication skills and interactions exercised between employees and offenders;

- **Decisions on Intervention Assignment—**continuous case management decisions that match offenders to varying levels and types of supervision conditions;

- **Programming –** services, i.e. both treatment and monitoring interventions;

- **Sanctions—**determinations of accountability for assigned obligations and accompanying compliance consequences, i.e., both positive and negative reinforcements;

- **Community Linkages—**formal and informal interfaces with various community organizations and groups;

- **Case Management—**a case management system that relegates individual case objectives and expectations within a prescribed set of policies and procedures; and

- **Organization—**internal (operational) and external (policy environment) organizational structures, management techniques, and culture.

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

Any organization interested in understanding and improving outcomes must reckon with managing the operation as a set of highly interdependent systems. An organization's ability to become progressively more accountable through the utilization of reliable internal controls (e.g., data) is integral to EBP. This approach is based on established business management practices for measuring performance objectives and achieving greater accountability for specified outcomes (for example, Continuous Quality Improvement or Results Based Accountability). Providing routine and accurate performance feedback to employees is associated with improved productivity, profit, and other outcomes; without regular access to data, employees will not have the information they need to change their behavior and improve their practices. Data is also useful when advocating for certain practices with policymakers, stakeholder groups, and the community.

2. Translating the Principles into Practice

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

- Developing employee competencies (knowledge, skills, and attitudes) congruent with current research-supported practice (principles #1-8);

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

- Sufficiently monitoring employee actions and offender programming to identify discrepancies or fidelity issues (#7);

- Routinely obtaining verifiable outcome evidence (#8) associated with employee performance and offender programming.

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

Outside/In Approach

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

One approach to EBP is to pay strict attention to the external research and carefully introduce those programs or interventions that are supported by the best research. There are a growing number of examples of internal promotion of external evidence-based programs. The Blueprint Project, conducted by the Center for the Study and Prevention of Violence, uses independent outside research to promote the implementation of effective juvenile programs (Mihalic et al. 2001).

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

What these strategies have in common is the promotion of research-supported external program models within internal implementation and operations. These are *outside-in* applications striving to replicate proven models with fidelity. This approach is limited by the fact that environmental, cultural, and operational features vary between organizations and often have significant effect on program efficacy (Palmer 1995; Mihalic & Irwin,

2003). Thus, the second *inside-out* approach to evidence-based practice attends to these internal factors.

THE BLUEPRINTS PROJECT
The Blueprint Project, conducted by the Center for the Study and Prevention of Violence (CSPV), examined literature on over 500 different program interventions with at-risk or delinquent youth. Ten programs met CSPV's strict criteria for scientific support. These were labeled *Blueprint* programs, while programs that partially met the criteria were designated *Promising* (Mihalic et al. 2001). CSPV documented the operational details of these programs and distributed the descriptions to practitioners, emphasizing the importance of maintaining fidelity to the program models. Programs that were scientifically determined to produce systematic and significant results were identified and promoted through a central clearing-house (Mihalic et al, 2004).

Inside/Out Approach

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

The program evaluation, performance, and audit research literature emphasizes that insufficient information controls not only hamper program assessment, but impede program performance (Bernstein et al, 2001; Burrell, 1998; Dilulio et al, 1993; Gendreau & Andrews, 2001; Lipton et al, 2000; Mee-Lee et al, 1996;). Such internal control issues appear not only in program evaluation research, but also in organizational development, business, and systems analysis.

Internal controls provide information and mechanisms for ensuring that an organization will accomplish its mission (i.e., recidivism reduction). For agencies with historically "command and control" corrections orientations, the transition to outcome-oriented corrections is often significant (Burrell 1998; Dilulio et al 1993; Lipton et al. 2000). Therefore, developing new methods for gathering operational information and then sharing and learning from them is a large part of the transition from custodial to outcome orientation in corrections.

Information controls necessary for implementing new or best practices specifically focus on key components within the desired practices. They include an ongoing process of identifying, measuring, and reporting key operational processes and functions. An organization or organization has many options regarding what to measure. Some examples are:

- **Offender measures, such as** risk levels, criminogenic needs, and motivation.

- **Operational measures,** such as assigning caseload by risk, referring to appropriate interventions, program availability, program integrity, and program quality assurance norms.

- **Employee measures, such as** interpersonal skills, abilities to discern anti-social thinking and behavior, and attitudes and beliefs regarding interventions.

Though many examples of potential measures are available in the literature, it is ultimately the decision of each organization as to what data is available and most useful for monitoring progress.

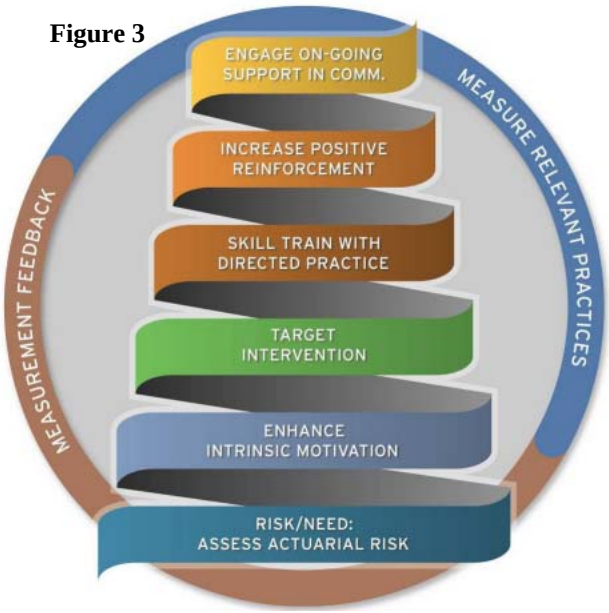
3. Applying the Principles at the Case, Organization and System Levels

The eight principles provide a roadmap for intervention at the level of an individual case, with the potential to reduce the likelihood of reoffending. However, in many ways the principles are universal to human and organizational behavior, and they can also be applied to agencies and systems that are attempting to change their collective behavior. Below, the application of the principles at the case, organization, and system levels are described.

Case Level

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

Figure 3



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

System Level
The application of the principles at the system level is fundamentally no different than the organizational level. Funding, for most systems, channels through state and local agencies having either jurisdictional or oversight responsibilities. Demonstrating the value of EBP is crucial at this level in order to effectively make the argument for increases in future funding. Another distinction in applying the principles at the system level is the need for policy and practice integration. The principles for EBP must be understood and supported by policy makers so that appropriate policy development coincides effectively with implementation. Once a system decisively directs its mission towards an outcome such as sustained reductions in recidivism, it becomes incumbent on the system to deliberately rely upon scientific methods and principles. This will require coordinated implementation plans, communication, cross-training and accountability, as well as maintaining morale as organizations struggle with the complexities of EBP implementation.

4. Recommended Guidelines for Implementing Effective Interventions

Below are seven recommended guidelines for implementing effective interventions based on the collective wisdom and experience of professionals in the field. These guidelines are based on recent preliminary implementation research; they are not necessarily based on scientifically tested knowledge. (For additional discussion of research on implementation, please see Fixen et al., 2005)

I. Limit new projects to mission-related initiatives.
Clear identification and focus upon mission is critical within business and the best-run public agencies. When mission scope creep occurs, it has a negative effect on progress, morale, and outcomes.
(Ellickson et al, 1983; Harris & Smith, 1996;)

II. Assess progress of implementation processes using quantifiable data.
Monitoring system implementations for current, valid information regarding progress, obstacles, and direction changes is pivotal to project success. These monitoring systems cannot always be designed in advance but implementation plans should include provisions for obtaining this type of ongoing information.
(Burrell, 2000; Dilulio et al, 1993; Gottredson & Gottfredson, 2002; Harris & Smith, 1996; Klein & Teilmann 1980; Mihalic & Irwin, 2003; Mihalic et al, 2004; Palmer, 1995)

III. Acknowledge and accommodate professional overrides with adequate accountability.
No assessment tool, no matter how sophisticated, can (or should) replace a qualified practitioner's professional judgment. In certain instances, only human judgment can integrate and make the necessary subtle distinctions to adequately recognize and reinforce moral or behavioral progress. All professional overrides, both to higher and lower supervision levels, need to be adequately documented, defensible, and made explicit.
(Andrews, et al, 1990; Burrell, 2000; Clear, 1981; Gendreau et al, 1999)

IV. Focus on employee development, including awareness of research, skill development, and management of individual and organizational change processes, within the context of a complete training or human resource development program.
Employees need to develop reasonable familiarity with relevant research, and they need to be actively engaged in the change process. Beginning in the 1990s there has been tremendous growth in the volume and quality of corrections related research. Much of the more recent research is directly relevant to everyday operational practice; therefore it is incumbent on professionals in the field to keep abreast of this literature. The current research literature includes *in house* investigations, internet resources, and other public sector articles, as well as professional and academic journal publications. This literature is also evolving and becoming more international and inter-disciplinary in scope. It is the responsibility of organizational leadership to assist in the successful dissemination of recent research findings relevant to respective classes of job performers. Informed administrators, information officers, trainers, and other organizational *ambassadors* are necessary to facilitate this function in larger agencies or systems. Effective fulfillment of this principle is essential to promoting *Learning Organizations*.
(Andrews, 1989; Baer, et al, 1999; Durlak, 1998; Gendreau, et al, 1999; Harland, 1996; Klein & Teilmann 1980; Latessa, et al, 2002; Taxman & Byrne, 2001; Taxman, 2002 and 2008)

V. Routinely measure employee practices (attitudes, knowledge, and skills) that are considered related to outcomes.
Critical employee processes and practices should be routinely monitored in an accurate and objective manner to inform managers of the state of the operation. These measures occur at multiple levels (e.g., aggregate, for example: turnover and organizational cultural beliefs; and individual, for example: interviewing skills and ability to identify thinking errors) and should be organized accordingly and maintained in ongoing databases for the purposes of both supporting management and employee development. This may include

a review of assessment and case plan information for accuracy and alignment with offender needs; observation and feedback on officer interaction techniques; or evaluation of the implementation of cognitive behavioral treatment groups. Measurement and feedback should be conducted in the spirit of continuous quality improvement.
(Bernstein, 2001; Gendreau, et al, 1999; Henggeler et al, 1997; Miller & Mount, 2001)

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

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

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

The primary ingredients of any correctional system or treatment program are employees and offenders. Therefore when a commitment emerges to develop greater focus on outcomes, it behooves managers and employees at all levels to learn how to better measure employees, offenders, and their related interactions. The latter is an evolutionary and ongoing process rather than change of operational components. Some examples of promising performance measures at the organizational level are: proportion of resource gaps at various treatment levels; degree of implementation and program fidelity; employee turnover; and organizational cultural norms. Examples of promising job performer level measures are: adequacy of communication skills; consistency in certain functions (e.g., assessment, case planning, treatment referrals); and caseload average *gain* scores for offender dynamic risk indicators.
(Burrell, 1998; Bogue, 2002; Carey, 2002; Henggeler, 1997; Lipton, et al, 2000; Maple, 2000; O'Leary & Clear, 1997; Taxman 2008)

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

In terms of producing sustained reductions in recidivism, the research indicates that the treatment service network and infrastructure is the most valuable resource that criminal justice agencies can access. Collaborating and providing research and quality assurance support to local service providers enhances interagency understanding, service credibility, and longer-term planning efforts. It also contributes to the stability and expansion of treatment services.
(Bogue, 2002; Corbett, et al, 2000; Gendreau 1996; Maple, 1999; Meyers et al Smith, 2005)

These elements cannot be put in place overnight. It is up to each organization to determine a pace of implementation that is appropriate to the organization's level of readiness and the resources available. Whatever the pace and the tactics employed, an organization must be prepared to dedicate people and time to this effort. Developing and sharing a plan that spells out detailed strategies and timelines for implementation will smooth both communication and the implementation itself. Many agencies find it helpful to dedicate a employee to oversee the initiative, keep it on everyone's radar, and move implementation forward. Implementation requires an investment of time throughout the organization, but it pays dividends by reducing the amount of time spent on ineffective and unnecessary work.

CHAPTER 5: LEADING ORGANIZATIONAL CHANGE AND DEVELOPMENT

In order to successfully move towards effective evidence-based supervision and service provision significant organizational change and development is required. Organizations must rethink their missions and values; gain new knowledge and skills; adjust their infrastructure to support new ways of doing business and transform their organizational culture. These are challenging tasks that require energetic, dynamic leadership with a willingness to place equal focus on evidence-based principles in organizational development as well as service delivery.

This chapter relies heavily on Peter Senge's *The Fifth Discipline* (1990) and Mark Moore's *Creating Public Value* (1995). Senge's and Moore's models provide a framework upon which organizations can begin their internal work and thereby apply evidence-based principles to achieving organizational change (see Appendix 2).

The organizational development concepts and strategies set out in the chapter mirror the evidence-based principles of effective intervention set out in previous chapters. Many behavior change principles apply to all people, offenders and non-offenders alike, so parallel approaches can be used to manage offender cases and change offender behavior as well as to manage organizations and change organizational behavior (Latessa, 2004). These principles include: *assessment, intervention, and monitoring/measurement*. The concepts are broad enough to fit most in-progress organizational development efforts and yet sufficiently simple and direct to allow for guided implementation in community corrections agencies.

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

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

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

The goal is to stimulate questions and discussion about the change process and how it might play out in different organizations. Organizational leaders willing to undertake this level of systemic change should begin by asking themselves the questions outlined in the chapter.

1. Organizational Case Management: Assessment, Intervention, & Monitoring/ Measurement

The three steps of assessment, intervention and monitoring/measurement are critical processes to follow to deliver successful organizational change and development in the same way they are integral to client intervention.

i) Assessment/Diagnosis

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

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

ii) Intervention

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

- Strategic planning
- Systems restructuring
- Change management
- Team building
- Coaching and mentoring
- Education/training
- Skill building activities & competency development
- Soliciting and using input from across the organization to create a sense of ownership
- Feedback activities, such as 360° assessments (assessments of leadership from multiple viewpoints) for individuals or groups
- Succession planning

iii) Monitoring and Measuring Performance

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

- Process measures provide feedback throughout change process.
- Outcome measures demonstrate impact at the individual and organizational level.

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

The scale of these three steps varies across organizations, but implementing a process to assess and address key organizational issues is essential to creating an environment conducive to change.

2. Leading Organizational Change

> Leadership is the art of mobilizing others to struggle for shared aspirations.
> (Kouzes & Posner, 2007)

Certain qualities of leadership are essential to managing organizational change: ability for reflection; acknowledgement of personal strengths and weaknesses; willingness to take risks and receive feedback; the ability to motivate others; and demonstration of the fundamental principles of honesty, openness, respect and trust.

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

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

Strong and flexible organizational leadership is key to the success or failure of any change effort. It is especially true when implementing evidence-based practices in community corrections due to the complexity of implementing change in the public safety system (Latessa, 2004).

The systemic nature of the public safety system requires that leaders identify, create, and show value to internal and external stakeholders. In Mark Moore's *Creating Public Value*, (1995) he emphasizes a key assumption for any service provided by the public sector: the service or product provides value for a variety of constituents.

Figure 4

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

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

Leaders of community corrections organizations interested in building value through implementing this level of systemic change must evaluate their readiness to lead an intensive transition. This requires extensively evaluating their own strengths and weaknesses as well as those of their organization. Developing and leading an organization that not only provides public value, but also functions as a learning organization, requires the capacity and willingness to practice outcome-oriented, data driven, collaborative leadership styles instead of more traditional, authoritarian styles of leadership.

Leaders must also be willing to accept the challenges of changing organizational culture in order to achieve the full benefits of increased public safety and reduced recidivism made possible by implementing evidence-based principles in community corrections.

Leadership Style

Traditionally, public safety agencies have relied on hierarchical and other highly stratified command and control management models. These models hinder the successful implementation of evidence-based practices, and require significant changes in organizational structure and leadership philosophy to determine when hierarchy is appropriate and when participatory decision making is needed. Changes are also required in practice, supervision, recruitment, hiring, training, work plans, and rewards systems.

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

- Create the vision
- Identify partnerships
- Develop strategies for achieving the vision
- Seek agreement with partners regarding vision and strategies
- Utilize process improvement strategies
- Identify and collect outcome data
- Review and refine processes and outcomes

Creating the Vision

Before the change process begins, there must be a clear vision of what the changed organization will look like. This vision should be articulated in a concise statement describing the changed organization and how it interacts with others, including service recipients, system partners, and employees. For example, the vision statement for the Maryland Department of Public Safety Division of Parole and Probation is as follows:

> *It is the vision of the Division of Parole and Probation to become a comprehensive*
> *community corrections agency that works in collaboration with criminal justice agencies, communities and service providers to prevent and interrupt the criminal behavior of probationers, parolees and other supervisees. The Division will identify and implement evidence-based practices to facilitate the successful reintegration of supervisees into their families and communities. The Division will develop a safe and supportive work environment that encourages all employees to achieve their maximum professional potential.*

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

Questions to Ask:

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

Once the leadership has crystallized the direction of change, it needs to look broadly throughout the organization and consider the many layers of change that will occur as a result of the process. The most progressive public policy direction for an organization is meaningless at the line staff and client level

without leadership and strategic action to cultivate the change at all levels. True change happens at the top, at the bottom, and in between – it's up to the leadership to consider each of those layers.

Communicating the vision

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

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

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

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

Questions to Ask:

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

these independent, unrelated decisions can collectively send a message that contradicts and undermines the change process.

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

Identifying partnerships

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

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

Questions to Ask

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

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

Diagonal slice work groups can serve a variety of roles -- as sounding boards, transition monitoring teams, steering committees with decision-making power, and implementation

teams. Leadership must clearly define the roles and authority of each group, and charters should be developed upon convening work groups.

Chartering will help guide the group's efforts, provide structure, describe outcomes, clarify decision-making authority, and codify organizational and leadership support for the group's work (see Chapter 6). Communication is a key function of these workgroups and should be highlighted in their charter. A large part of their responsibility is ongoing communication with the larger organization about the change process. To enhance productivity and efficiency, all groups should be provided with a trained facilitator or be trained in the basics of group process and facilitation prior to beginning work.

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

Questions to Ask

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

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

Developing Strategies for Achieving the Vision

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

Engaging the broadest number of internal and external partners in the development of the strategy is essential, and a system- or organization-wide development conference can be a helpful tool. This type of conference is a day- or more-long meeting where the participants gain understanding of the vision and then in smaller groups develop the strategies to accomplish this vision. (see Appendix B, the Search Conference, for one approach). Conference techniques often result in maximum participation and buy-in, and

allow participants opportunities to understand best practices and expand their thinking in order to create an innovative new direction for the organization.

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

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

Questions to Ask

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

Overcoming Resistance

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

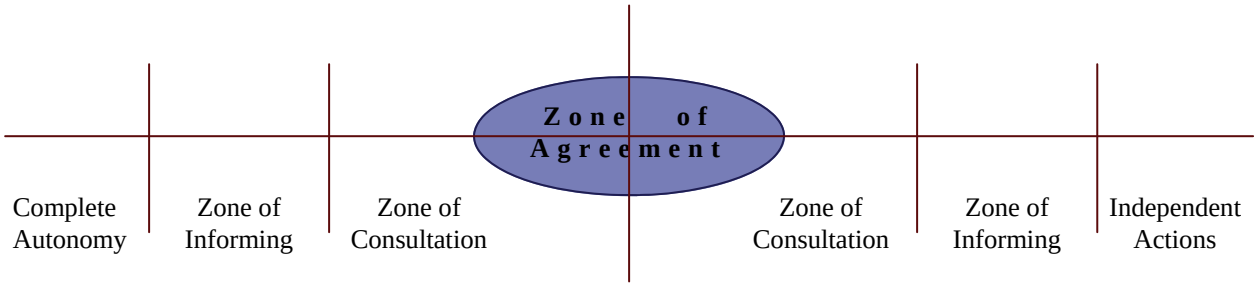
Seeking agreement with partners about vision and strategy

Relationships among partners must be based on mutual respect and understanding of the opportunities and constraints each partner faces. One tool partners can use to work on their agreements is the Zone of Agreement model (Figure 5). Groups of internal and external partners can use this model to clarify their decision making process. Partners

must have a clear and common understanding of the decisions for which complete agreement is necessary; consultation with other partners is sufficient; and can be made solely by one organization, independent of their partners.

Figure 5

Zones of Agreement



Sustaining collaboration and agreement between partners

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

- **Build upon and celebrate small victories**
  Identify steps that a collaborative can take together. Seemingly minor change can reward partners and solidify their commitment to the process. These wins can also persuade other partners to join and support the change process.

- **Create incentives for collaboration and change**
  Align rewards, including public recognition, with the collaboration. Take time to understand the needs of internal and external partners and develop ways to meet some of them. Recognize employees that bring new partners to the table.

- **Address leadership changes**
  Leadership will change during the change process. It is important to bring new leaders into the change process, share the vision and the history of the change with them, and invite and incorporate their fresh perspectives.

- **Maintain the momentum for change**
  Key players and/or groups may stall changes through diversions or suggesting far-fetched scenarios. If changes can be institutionalized quickly, with some details worked out later, the system change can maintain momentum.

Using different leadership styles

It is also important to recognize that different styles of leadership are required to achieve successful change. Goleman (2000) has identified six distinct leadership styles, each one

coming from different components of emotional intelligence. Each style has a distinct effect on the working atmosphere of an organization and its results.

Coercive leaders demand immediate compliance. *Authoritative leaders* mobilize people toward a vision. *Affiliative leaders* create emotional bonds and harmony. *Democratic leaders* build consensus through participation. *Pacesetting leaders* expect excellence and self-direction. And *coaching leaders* develop people for the future.

The research indicates that leaders who get the best results do not rely on just one leadership style; they use most of the styles regularly. Goleman details the types of business situations for which each style is best suited, and explains how leaders who lack one or more of these styles can expand their repertoires. He maintains that with practice leaders can draw upon all leadership styles to produce powerful results.

3. The Importance of a Healthy Organization

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

Mark Carey (2002) defines the characteristics of communities that are ready for significant change and community building. The components he describes are the same characteristics that mark a healthy organization and are critical to the success of any change effort. Leadership must foster these characteristics within the organization at all times.

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

In addition to these characteristics, all employees must be empowered participants in the change process, and everyone must understand the mission and vision of the organization, and make decisions that support the mission and vision.

As is the case with individuals, organizations require regular checkups to diagnose any issues and develop a plan for recovery. The assessment process provides the opportunity to take an organization's temperature and prescribe appropriate remedies. Hopefully, this avoids more serious issues later in the process.

4. Aligning Business Practices

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

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

Achieving and sustaining organizational change requires the realignment of organizational infrastructure. All systems and policies, particularly those pertaining to the workforce, must be consistent with and supportive of the new way of doing business. Changes in hiring, training, and performance measurement will, over time, produce a critical mass of employees well-versed in the tenets of a non-traditional mindset, which will signal the change from the old dispensation to the new. Policies for recruitment and hiring, training, job descriptions, performance measurement, promotional decisions, and reward systems must be aligned with evidence-based approaches, and this alignment must be circulated throughout the organization in written documents and practice. Aligning the organization's human resource system and other infrastructure systems clarifies the commitment to organizational change and facilitates implementation of evidence-based principles.

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

This alignment must also be promulgated throughout the organization in written documents and practice, and county or state support must be garnered when needed. Alignment in policy and practice must occur in the following areas:

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

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

Job descriptions – Workers' tasks, required competencies, and responsibilities should be clearly linked with evidence-based practices and the organizational mission and goals.

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

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

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

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

5. Managing Transitions

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

individuals may be at different stages at any given time. Guiding an organization through this process takes patience and perseverance.

In *Managing Transitions: Making the Most of Change*, William Bridges (1991) offers an excellent analysis of organizational change and provides concrete suggestions for helping people and the organization cope with change. Bridges describes the opportunities and challenges inherent in the change process and describes three zones of transition: endings; the neutral zone; and the new beginning. He offers the following strategies for moving through each zone.

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

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

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

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

New Beginnings: Finally, re-visiting the purpose, providing a clear vision of the outcome, and making sure all players have a role consistent with the vision can ease the

transition to the new beginning. During this period of new beginning, leaders must focus on the following:

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

6. Program Fidelity

Successful organizational change also depends on effectively implementing evidence-based programs and working models to reduce the likelihood of implementation failure. It is critical to ensure that every effort is made to provide for program fidelity as research shows that only then will positive results be delivered. In fact studies have found that there is a relatively strong correlation between program integrity, i.e., quality implementation of program design, and reductions in recidivism (Lowenkamp at al, 2006; Landenberger and Lipsey, 2005).

Achieving quality implementation of program design depends upon achieving a successful organizational transition as well as implementing reforms in accordance with their design and principles. It is not just a case of 'cherry picking' an empirically tested method. There needs to be an organization-wide approach to reform that is evidence driven. Programs are more likely to fail if they are delivered within organizational cultures that fail to embody the principles of evidence-based change and effective correctional interventions (Gendreau, 1996).

Furthermore, given that program integrity clearly matters, it is important that leaders ensure it is monitored and measured and informs further development and implementation. Assessing program integrity can facilitate change in the management and delivery of correctional programs. Assessment data can be used to identify areas of success and areas of improvement so that service delivery can be enhanced. Continuous quality improvement is a key element of becoming an evidence-based organization.

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CHAPTER 6: COLLABORATION FOR SYSTEMIC CHANGE

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

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

> *Collaboration is a mutually beneficial and well-defined relationship entered into by two or more organizations to achieve common goals. The relationship includes a commitment to: a definition of mutual relationships and goals; a jointly developed structure and shared responsibility; mutual authority and accountability for success; and the sharing of resources and rewards.* (Griffith, 2000)

Collaboration and system change are very time consuming and resource intensive processes. They require constant attention and nurturing to maintain momentum.

> *Acknowledging the inevitability of obstacles, admitting them when they reappear, developing collective strategies to overcome them, and having a sense of humor are all important in surviving the process.* (Feely, 2000)

Collaborative endeavors must develop a balance between broad participation and the need to make decisions and take action.

> *The collaborative process has to be perceived as fair, not dominated by one interest group, and accessible to all stakeholders* (Carter et al, 2005).

Any process should ensure that the number of participants is small enough to allow for productivity, but broad enough to generate diverse ideas and yield widespread support.

Mutual respect and understanding is key to sustaining shared authority in collaborative relationships. Borrowing from a concept developed by Michael Hammer in *Beyond Reengineering*, all partners are seen as *Centers of Excellence*, defined as *a collective of professionals, led by a coach, who join together to learn and enhance their skills and abilities to contribute best to whatever processes are being developed. Each agency is an expert at performing its piece of the work of public safety* (Carter et al, 2005).

Working collaboratively with system partners provides a greater opportunity for successful implementation of true organizational change. Recognizing the inherent interdependence of justice organizations, and including it in the development of change implementation strategies, greatly enhances the chance of success.

1. Who Should be Included?

For collaboration to work, all relevant stakeholders must have a voice at the table. Since the actual number of participants must be somewhat limited to ensure efficiency, formal communication methods must be established to ensure that those unable to be at the table still have a mechanism to express their views.

Leaders must assist stakeholders in understanding and appreciating the value of participation in the change. Involving external stakeholders not only increases their understanding of the system, but can also help to identify overlapping client populations and shared goals. For example, as community corrections agencies implement evidence-based principles, they will shift their resource focus to higher-risk offenders. This shift in focus often results in decreased access to treatment resources for low-risk/high-need offenders. Involving human services agencies in the change planning process can help identify alternative treatment resources for these offenders.

The development of a policy-level committee is an essential component of implementing change in the public safety system. Members of the policy committee should include policy makers from key stakeholder organizations and community groups, including those supportive of the change and those who may pose potential barriers to implementation. Involving those who may not be entirely supportive of all planned changes ensures richer policy development, educates those policy makers more fully

Questions to Ask

- *What partnerships currently exist in your system?*
- *Where do new partnerships need to be forged?*
- *How does participation in the change process assist partners in accomplishing their mission and vision?*
- *Are key stakeholders / centers of expertise involved within each locus of collaborative work?*
- *Do participants at all levels understand and buy in to the vision?*
- *Do participants understand how collaboration works?*

about the system, and may potentially alleviate future barriers. This policy committee should be charged with guiding system-wide policy initiatives, implementing corresponding policy and practice changes in their own organizations, and communicating with their own organizations and the public about the impact of system changes.

2. The Need for Structure

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

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

Questions to Ask:

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

Chartering

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

Steps to developing a charter are as follows:

Background

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

Task

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

Guidelines

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

Chartered Work Group Membership

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

Resources

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

Due Dates

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

3. The Essential Ingredients

Once a collaborative group has been chartered and is ready to begin its work, it must consider the principles and tactics that will encourage success. There are a number of elements essential to creating and maintaining a successful collaboration. Those that follow are adapted from The Wilder Foundation and incorporate views from Feely (2000), Carter et al (2005) and Griffith (2000).

THE ESSENTIAL INGREDIENTS

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

1. Common Vision

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

2. Purpose

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

3. Clarity of Roles and Responsibilities

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

4. Healthy Communication Pathways

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

5. Membership

- Develop an atmosphere of mutual respect, understanding, and trust that is shared between participants.
- Help participants to see that collaboration is in their self-interest.
- Develop multiple layers of decision-making or consensus-based decision-making to create ownership of the project and maintain communication.

- Ensure that members share a stake in both the process and outcomes, have the ability to make compromises, and the authority to make decisions.

6. Respect and Integrity

- Ensure that respect and integrity are integral to the collaborative relationship.
- View all partners as representatives of organizations and as *Centers of Expertise*.
- Ensure that all partners offer each other *procedural respect* and *role respect*.
- Overcome feelings of skepticism and mistrust. If not, they will undermine achievements of the collaboration.

7. Accountability

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

8. Data-Driven Process

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

9. Effective Problem Solving

- Identify problems in a safe way before they become crises.
- Offer collaboration participants an agreed-upon process to resolve problems effectively and efficiently.
- Continually assess team effectiveness and take steps to strengthen their work together (Carter et al, 2005).
- Build upon *small wins.* Celebrate and formalize changes quickly.

10. Resources

- Provide sufficient funds and staffing necessary to maintain momentum.

- Use skilled convener(s), as they can help to keep leadership and working groups on task and organized.

11. Environment

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

What are the Signs of Success?

Once a collaboration process has begun, collaboration participants should ask themselves the following questions to determine their progress (Griffith, 2000).

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

4. Consensus Decision-Making

Collaborations must determine how they make decisions that are inclusive of all participants and lead to effective outcomes.

Decision-making by consensus allows all group members a voice and opinion. This discussion allows for compromise to reach consensus. Consensus occurs when all group members can honestly say: *I am willing to support and implement the chosen direction.*

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

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

Achieving real consensus requires skill in straight communication and working through differences. The following communication guidelines assist groups to reach consensus:

- Each individual must take responsibility for what each wants and does not want, and what each is willing to support.
- Each individual must make their position known.
- Participants can make liberal use of the sentence structure: "I want/do not want x from y and I think/feel x."
- Do not hide behind questions. Make proposals instead.
- Avoid "shoulds."
- Respond to others. Do not leave them hanging.
- Talk to, not about, a person.
- Listen for feelings and try feeding them back.
- Check out assumptions, do not attempt to mind read or attribute motives to others.
- Do not smooth over problems; address them.
- Each individual must take control of their own feelings.
- Offer solutions.

Though consensus represents the ideal, it is not feasible to put every decision to a group, nor is it always possible to have every relevant stakeholder at the table. One the primary responsibilities of a collaborative's leadership is to determine which decisions should go to the group and which decision making structure is most desirable. For decisions affecting many stakeholders, consensus is often the answer, especially when time allows for the group to work through a consensus process. However, when emergency action is required, or when one or two stakeholders are determined to impede the process, a more directive style may be required.

Successful collaboration requires a thoughtful, sustained effort among partner organizations and/or internal stakeholders. Maintaining a productive collaboration that supports a shared vision is often challenging, but it yields great benefit when member organizations are collectively engaged in the change process and engaging in activities that are mutually reinforcing.

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CONCLUSION

To improve supervision effectiveness and enhance the safety of our communities, agencies must adopt evidence-based principles in service delivery and commit resources to organizational development and collaboration. Organizational budgets can no longer support programs and practices that are not proven effective in reducing new crime.

This report provides a guide for agencies to transform themselves into evidence-based organizations. By providing an integrated model it maps out the essential ingredients for a successful transition. It is vital that each ingredient is given equal weight and importance. Simply implementing one without the others is not sufficient to achieve positive results.

The scale of the task should not be underestimated. It is not about implementing a few evidence-based programs or taking greater interest in the research literature. It requires a wide-ranging reform initiative. A fundamental change in direction is necessary, supported by visionary leadership that has the ability to deliver lasting structural and cultural reform.

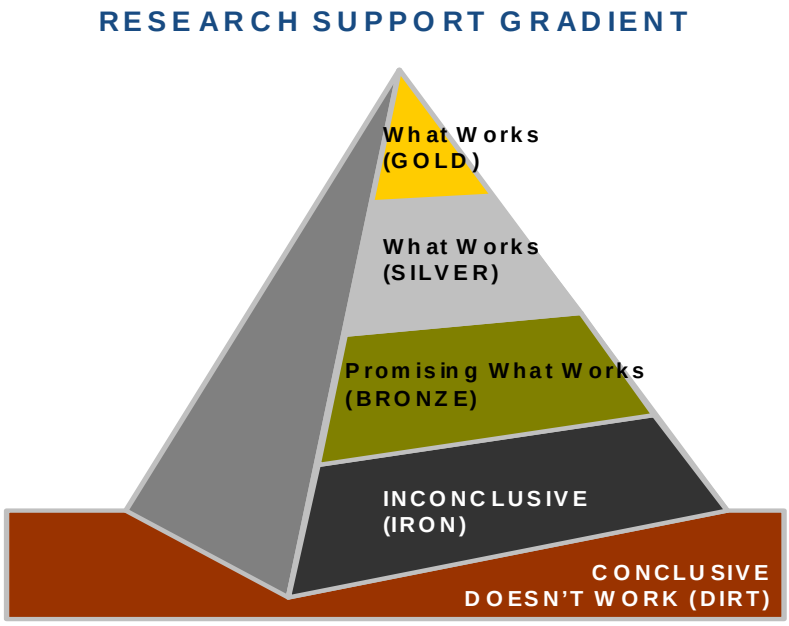
There are great benefits to be reaped from implementing the integrated model. It has the potential to significantly impact public safety by substantially reducing re-offending and preventing new victimization. It also can result in a more efficient use of resources by investing limited funds wisely in interventions and practices that bring the greatest returns. In the long term, correctional agencies, and ultimately taxpayers, will get the most "bang for their buck." What's more, by ensuring that agencies become learning organizations, employees will be in a position to continually benefit from implementing the latest research findings on what works in reducing recidivism.

The introduction of evidence-based policies and practices will not solve all future problems, but it does provide solutions to many of the current challenges facing states that continue to see offender populations rise while budgets shrink. The stakes for not practicing what the evidence tells us are too high for the criminal justice system to simply continue on its current path without radically rethinking its approach.

APPENDIX A: RESEARCH SUPPORT GRADIENT

Evidence-based practice is not simply the replication of a static group of practice. It is the ongoing critical review of the latest research and determination as to whether policy and practice needs to be updated based on new information. However, not all research is created equal, and each new study does not necessarily represent an improvement on past research. When evaluating practices for their basis in research, the level of rigor of the research design must be considered in addition to the reported efficacy of the intervention. The more rigorous the research design, i.e., the closer to a "gold standard" of research, the more likely the results will be replicable.

Figure 6



GOLD

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

SILVER

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

BRONZE

- Matched comparison group without complete statistical controls

- Significant sustained reductions in recidivism obtained
- Multiple site replications
- Preponderance of all evidence supports effectiveness

IRON
- Conflicting findings and/or inadequate research designs

DIRT
- Silver and Gold research showing negative outcomes
- Conclusively doesn't work

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

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

APPENDIX B: THE SEARCH CONFERENCE

Organizational change in public safety organizations requires a complex systemic transformation. No organization operates in isolation; therefore, the inclusion of system stakeholders is critical to the success of any such change effort. The organizational change process model in Figure 7 assumes that all stakeholders have a voice in the change process. It is based heavily on the *Future Search* model of Marvin Weisbord and Sandra Janoff (Weisbord, 1987; Weisbord and Janoff, 1995) and is based on the notion that assessment, intervention, and monitoring/ measurement are all required as separate logical stages. The model uses a large group planning meeting that brings together all stakeholders to work on a task-focused agenda. This is just one of many potential planning methods, but is provides a roadmap for assessing a system's needs and developing a strategic plan to address them. The description below refers to organizational stakeholders, but the process is also relevant to system-level planning.

In a *future search*, people have a chance to take ownership of their past, present, and future, confirm their mutual values, and commit to action plans grounded in reality. Organizations implementing significant systemic change will benefit from considering each of the phases set out in the model (see Figure 7) and by asking themselves a series of related questions prior to and throughout the implementation process.

- **Recognize History**

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

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

- **Assess Current Condition**

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

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

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

Questions to Ask:

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

- **Develop Strategies to Achieve the Desired Future:**
  Build collaborations of mutual interest. Correctional organizations relate to and are dependent on many partners throughout the public, private, and community-based sectors who share a commitment to achieving the outcomes of reduced recidivism and increased public safety (see Chapter Six for more on Collaboration).

Questions to Ask:

- *With whom does the organization partner and collaborate?*
- *How do partnerships and collaborations help members successfully achieve their goals and further their unique corporate mission?*
- *What are the strengths of our collaborations? What needs improvement?*

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

Questions to Ask:

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

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

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

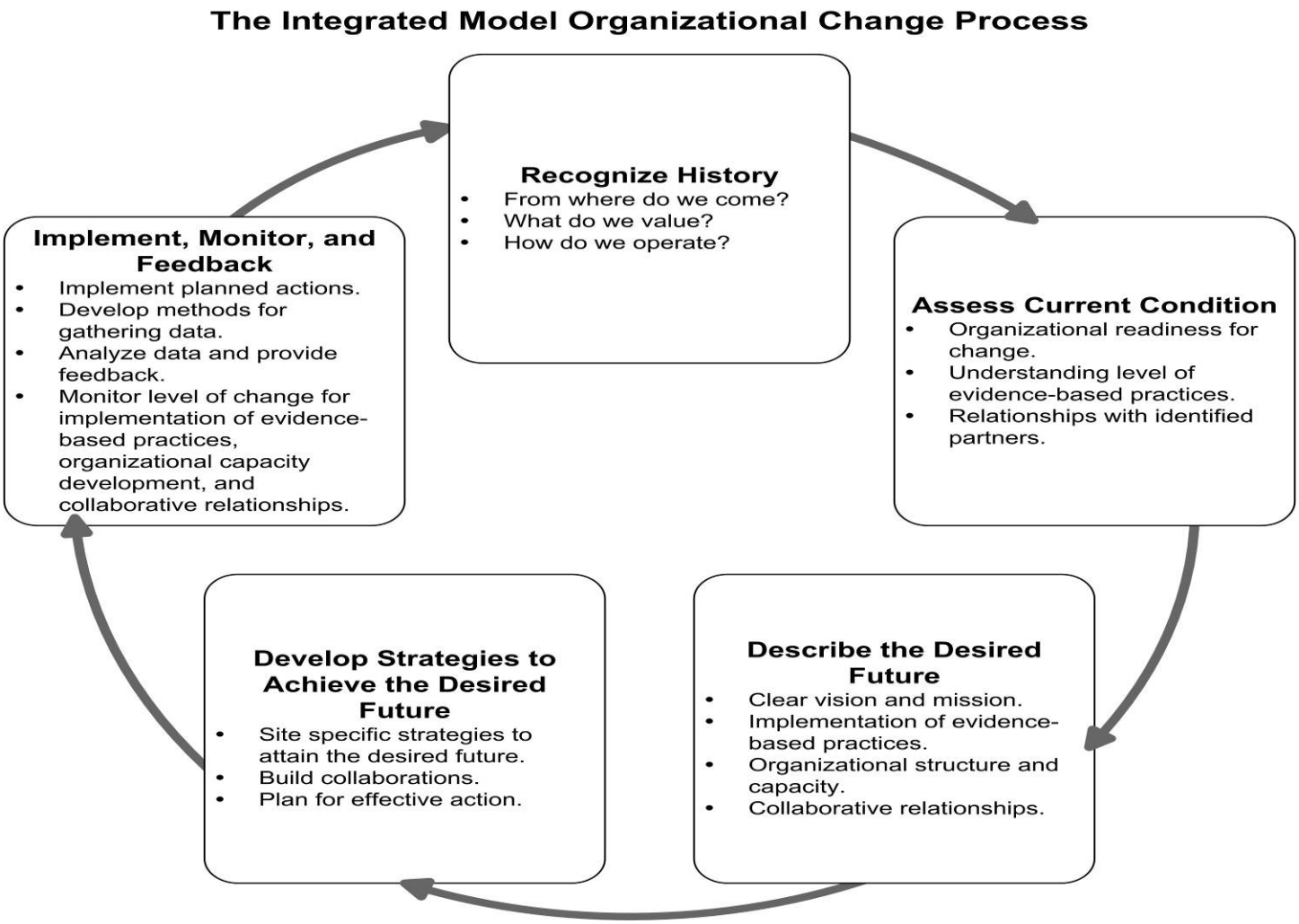
  Feedback: Gathering, sharing, assessing, and constructing a valid and share interpretation of the information. Successful implementation results from the availability and management of information that is meaningful, timely, and accurately represents the progress made on the change plan within the unique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

Questions to Ask:

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

The results of this process can provide the foundation of a strategic plan and/or workplan for the implementation of evidence-based practices. This plan may stand alone or as a component of a larger strategic plan for an organization, or it can be incorporated into the plan for all organizations in a collaborative.

Figure 7: Future Search Model



APPENDIX C: KEY CONCEPTS IN ORGANIZATIONAL DEVELOPMENT

The organizational development component of this report (Chapter 5) relies heavily on Peter Senge's *The Fifth Discipline* (1990) and Mark Moore's *Creating Public Value* (1995). Senge's and Moore's models provide a framework upon which organizations can begin their internal work to transition to evidence-based organizations. While this represents a very small segment of relevant organizational literature in business and the social sciences, these two frameworks provide a useful starting point.

The Fifth Discipline: Peter Senge

In Senge's *The Fifth Discipline,* he introduces the concept of a *Learning Organization* – an organization that is continually aware of and working to implement effective change, develop corresponding organizational capacity, and develop collaborative relationships with partners. When applied to the arena of community corrections, the learning organization strives for alignment and parallel development in all three areas to better achieve the outcome of reduced recidivism. The alignment or intersection of these three components is the creative zone where it is most possible to reduce the recidivism of offenders and minimize the number of new or repeat victims in our communities.

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

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

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

Creating Public Value: Mark Moore

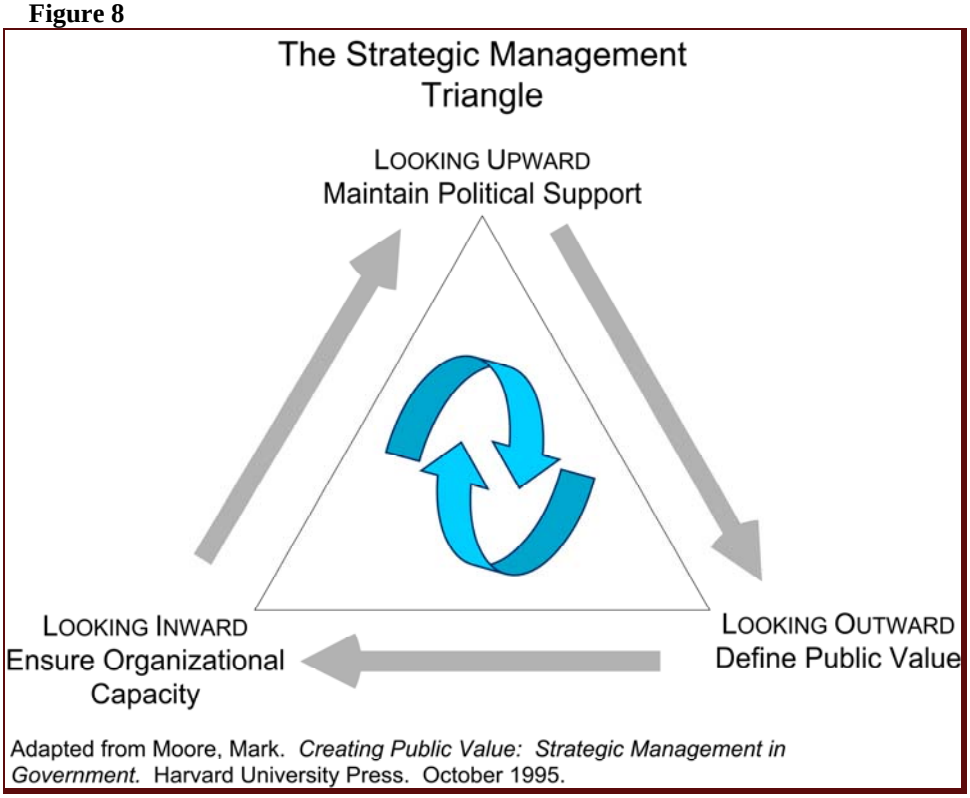
Also emphasizing the importance of systems thinking, Mark Moore focuses on the leader's ability to identify, create, and show value internally and externally. A key assumption for any service provided by the public sector is that the service or product provides value for the variety of constituents.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

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

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

In his book, *Creating Public Value*, Mark Moore's Strategic Management Triangle (Figure 8) provides a simple yet powerful framework that helps leaders ensure that their organizations are creating public value. Public sector leaders must focus on defining public value, building support for the organization and its services as they align with that value, and ensuring the necessary organizational capacity exists to achieve that value.

Figure 8



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

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

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

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

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