Community Safety Through Successful Offender Reentry:

An Agencywide Training Curriculum for Corrections

CONTENT DEVELOPERS

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TABLE OF CONTENTS

PREFACE

Institutional and community supervision agencies have historically defined their primary missions as providing secure and safe custody for incarcerated offenders, assuring compliance with the conditions of release, and returning post release condition violators to the appropriate authority for revocation. In recent years, however, the national momentum in the criminal justice arena has shifted away from heavy reliance on incarceration as a solution to crime to a new focus on successful offender reentry as a means to enhancing public safety.

Such a heavy reliance on incarceration has resulted not only in a record number of incarcerated Americans but also in an increase in the number of offenders returning to our communities. While 2.1 million Americans were in prison or jail in 2005 (Harrison & Beck, 2006), it is estimated that 95% of these prisoners will be released into the community, most on parole supervision (Hughes & Wilson, 2005). Approximately 650,000 people are released from prison each year, with 500,000 being released to parole supervision (see Harrison & Beck, 2006; Glaze & Bonczar, 2006; Glaze & Palla 2005).

Outcome measures indicate that most offenders released from prison are not successful in reintegrating back into the community. Over two-thirds of inmates released from state prisons are rearrested within 3 years (Langan & Levin, 2002), and failing offenders make up a substantial proportion of state prison admissions each year. Over the last decade, for example, approximately one-third of state prison admissions included offenders who violated their parole conditions (Harrison & Beck, 2006).[*]

In response to rising recidivism and the growing impact of revocations on incarceration rates, many states are examining and redefining the mission and function of their corrections agencies, and are exploring how their institutional, releasing, and community supervision policies, practices, and resources can be integrated into a more coherent effort. Corrections agencies – both institutional and community – are recognizing their equal, yet crucial roles in enhancing the likelihood that adult and juvenile offenders will be successful in the community once released from confinement. Since effective offender reentry relies on early and coordinated planning, *those responsible for preparing offenders to reenter the community* and

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[*] Sources: Glaze, L.E. & Bonczar, T.P. (2006). *Probation and Parole in the United States, 2005.* Washington, D.C.: U.S. Department of Justice, Bureau of Justice Statistics.

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Harrison, P.M., & Beck, A.J. (2006). *Prison and Jail Inmates at Midyear 2005*. Washington, D.C.: U.S. Department of Justice, Bureau of Justice Statistics.

Hughes, T., & Wilson, D.J. (2005). *Reentry Trends in the United States.* Washington, D.C.: U.S. Department of Justice, Bureau of Justice Statistics. http://www.ojp.usdoj.gov/bjs/reentry/reentry.htm

Langan, P.A., & Levin, D. (2002). *Recidivism of Prisoners Released in 1994*. Washington, D.C.: U.S. Department of Justice, Office of Justice Programs.

those responsible for supervising offenders once released must work together to achieve increased public safety.

In an effort to encourage and support these efforts, the U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance (BJA) sponsored the development of this training curriculum under the Serious and Violent Offender Reentry Initiative. This curriculum has been developed by the Center for Effective Public Policy and its partners to provide the leadership and staff of institutional and community supervision agencies with increased knowledge and skills to support effective offender reentry efforts in their agencies and jurisdictions.

The Center for Effective Public Policy first piloted this curriculum in partnership with the Wisconsin Department of Corrections in October, 2005, and has since tailored and conducted the training curriculum in four other states including Massachusetts, Kansas, Oklahoma, and Oregon. In response to both the success of the piloting of this training and the increased need of correctional agencies to create culture change within their organizations toward offender reentry as a new way of doing business, a number of additional training events are currently being planned. For additional information on conducting this training, contact Madeline Carter, Principal and Project Director, at 301-589-9383 or cartermm@cepp.com.

| CHAPTER 1: INTRODUCTION TO THE CURRICULUM |

Need for Curriculum

In recent years, offender reentry has risen to the top of the list of priority needs and concerns for criminal justice systems. Statistics demonstrate the growing urgency of the problem:[*] According to the U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Statistics, in 2005 there were more than 2.1 million prisoners in United States prisons and jails (Harrison & Beck, 2006). Ninety-five percent of these individuals will be released (Hughes & Wilson, 2005), at a rate of more than 650,000 each year, with approximately 500,000 being released to parole (see Harrison & Beck, 2006; Glaze & Bonczar, 2006; Glaze & Palla, 2005). The adult parole population has increased annually by an average of 2.5% over the last decade, with a total of 784,408 adults on parole in 2005 (Glaze & Bonczar, 2006). Of those released from parole supervision in 2005, only 45% successfully completed their supervision, with most returning to prison (Glaze & Bonczar, 2006).

As corrections agencies broaden their mission – from providing secure and safe custody for offenders in institutions and assuring offenders' compliance with the conditions of supervised release – to one that incorporates the successful reintegration of offenders into communities, they must clearly articulate to their staff this new direction in policy and strategy, and engage their employees in the process of change. Without the support and enthusiasm from all staff levels, organizational change will not occur. The energy and creativity of all staff – including policymakers, mid-level managers, and line staff – are essential for agencies to respond to the complex needs of incarcerated and released offenders, to ensure that appropriate policy and practice changes are made to successfully impact public safety.

Overview of the Curriculum

This curriculum provides institutional and community supervision agency policymakers with instruction on how to train staff on critical issues related to offender reentry and engage them in the process of change.

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[*] Sources: Glaze, L.E. & Bonczar, T.P. (2006). *Probation and Parole in the United States, 2005.* Washington, D.C.: U.S. Department of Justice, Bureau of Justice Statistics.

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Harrison, P.M., & Beck, A.J. (2006). *Prison and Jail Inmates at Midyear 2005*. Washington, D.C.: U.S. Department of Justice, Bureau of Justice Statistics.

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http://www.ojp.usdoj.gov/bjs/reentry/reentry.htm

Langan, P.A., & Levin, D. (2002). *Recidivism of Prisoners Released in 1994*. Washington, D.C.: U.S. Department of Justice, Office of Justice Programs.

This chapter will review the purpose of the curriculum, list the individuals who will benefit from using this curriculum, provide some additional training resources, and outline the intended outcomes. In addition, suggestions for a planning process are provided.

Chapter 2 will introduce *The Agencywide Training* event by reviewing its purpose, audience, general format and content. In this chapter, users will find a brief explanation of the role that work groups will play in this training event to produce work products useful to agency leadership as they move forward towards their vision.

Chapter 3 provides information on *Resources and Tools* for the conduct of the training. Examples of breakout and work group exercises and other course materials are provided here.

Chapter 4 provides sample slides for the training's plenary presentations.

Purpose of the Curriculum

This curriculum provides a framework for institutional and community corrections agencies for developing and conducting an agencywide training event for corrections staff on successful offender reentry. The curriculum includes a brief description of the planning process recommended to users, including information regarding how to tailor the general content provided herein to accommodate an agency's specific training requirements. The curriculum is intended to assist corrections agencies in providing staff at all levels with the knowledge and skills critical to successful offender reentry efforts, and to engage staff in the agency's change process.

Intended Users of this Curriculum

The intended audience for this training curriculum includes those agencies responsible for the supervision of offenders during incarceration and after returning to the community following a period of confinement in an adult correctional facility. In some jurisdictions, incarceration (and the concomitant task of preparing offenders for an eventual release), and community supervision functions are the responsibility of a single agency; in others, these functions may be housed in separate agencies.[1]

Successful offender reentry requires that offender reentry activities commence long before community supervision begins. Enhancing public safety through successful offender reentry requires those responsible for *preparing offenders to reenter the community* and those responsible for *supervising the offender within the community* to work together to provide the offender with access to the services and resources necessary to succeed. ***Therefore, it is imperative that agency staff responsible for either of these activities be included in the conduct of this training curriculum.***

The users of this curriculum should include agency leaders who are in charge of guiding the agency in its rational planning process. It is critical that agency leadership

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[1] In cases where these functions are the responsibility of more than one agency, all agencies should participate in this training.

play an active role in the implementation of this curriculum, whether this includes engaging in the rational planning process, participating in the *Strategic Planning Session*, taking part in the training planning process, or demonstrating leadership support during the *Agencywide Training*.

Intended Curriculum Outcomes

This training curriculum is designed to do more than just provide training participants with new information; it is also designed to assist agency policymakers by generating a work product that simultaneously engages participants in the change process and provides direction regarding how to move forward with the refinement and implementation of their strategic plan.

At the end of the implementation process outlined in this curriculum, users will have:

- Increased staff understanding of how the agency currently operates in relation to offender reentry principles;
- Engaged all levels of staff in the change process to assist the agency in embracing successful offender reentry as a means to increased public safety;
- Solicited, from all levels of staff, more comprehensive and creative strategies to address the challenges faced by the corrections agency regarding offender reentry;
- Increased the motivation of staff to engage in this work; and
- Formulated a plan for the agency to move forward with the information provided by staff participating in the training.

KEY POINTS

- The curriculum provides a framework for the development and conduct of an agencywide training event designed to provide participants with the knowledge and skills necessary to the implementation of successful offender reentry efforts.
- The curriculum is designed to be tailored by the agency to address the specific training needs of its staff.
- The intended users of this curriculum include both institutional and community supervision agency staff.
- The outcomes of using this curriculum include increased knowledge of offender reentry issues, as well as a more refined and informed strategic plan for achieving offender success.

Planning for the Training

The *Agencywide Training* has potential to generate enthusiasm and motivate staff toward change; a core goal of the training is to engage participants in the agency's process of change and in carrying out its vision of offender success. It is important that leadership be clear about where they want to target that energy so that resources are not wasted on unfocused efforts, and to ensure that staff expectations about the purpose and outcomes of the training are clear.

Strategic Planning Session

This curriculum encourages users to evaluate their current strategic plan for successful offender reentry prior to the development and conduct of the training by holding a *Strategic Planning Session* to bring together key leadership to begin a critical assessment of the agency's strengths and gaps, and to consider the role the *Agencywide Training* can play in the agency's change process. During the *Strategic Planning Session,* agency leaders should consider how to use the *Agencywide Training* as an opportunity to clearly articulate the agency's vision for offender reentry, to gather input on the challenges facing the agency and opportunities for change from additional perspectives (mid-level management and line staff), to solicit recommendations for moving forward with the agency's change process, and to further refine the agency's strategic plan based on staff input. It is not uncommon for key leadership to determine, through the *Strategic Planning Session*, that critical changes must be implemented prior to the conduct of the *Agencywide Training*, to ensure that the information and messages provided to staff during the training are consistent with current policy and practice. When this is the case, leadership is encouraged to take the time to consider and implement these changes to ensure a clear and focused message is provided to staff during the training.

It is important for leadership to understand the critical role they play in the success of the *Agencywide Training* through the investment of their time in a rational planning process, and their demonstrated commitment to reentry as an organizational philosophy. Staff will invest in the philosophy of successful offender reentry only to the extent that they believe the agency's leaders are equally invested and committed to change.

Planning Team

Users are also encouraged to engage a select group of staff from all levels in the planning and development of the training. Tailoring the curriculum to meet the specific needs identified by leadership through the *Strategic Planning Session* is a function best shared among members of a team, who can provide perspective and insight into the selection of training topics, the organization of the agenda, the selection of participants, and the determination of the training's work product.

Below is a suggested process and timeline for the development and implementation of the curriculum.

Curriculum Implementation Process*

Review the agency's vision for reentry and strategic plan

Increase staff knowledge

Assess current policies and practices and determine gaps to be addressed through training

Make necessary policy and practice changes prior to training event

Share vision, mission for reentry with staff

Increase staff knowledge and buy-in

Receive staff input

Review staff recommendations and make policy and practice changes accordingly

Monitor progress

Revise policies and practices as necessary

| Strategic Planning Meeting (1.5 days) | Agencywide Training Preparation (3 – 6 months or more) | Agencywide Training Event (3 days) | Post-Agencywide Training Activities (ongoing) |

* Prior to using this curriculum, it is assumed that the user agency has already created a vision for successful offender reentry and a strategic plan for reaching that vision.

Additional Training Resources

Users of this agencywide curriculum may also be interested in the *Community Safety Through Successful Offender Reentry: A Training Curriculum for Corrections Policymakers*, developed by the Center for Effective Public Policy and sponsored by the U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance. The policymaker's curriculum is designed to promote collaboration and information sharing between agency policymakers, and to encourage problem solving and the development of creative solutions to offender reentry issues.

There are a number of additional tools and resources available through the Center for Effective Public Policy's Web site at www.cepp.com that users may wish to consult in organizing this training event. These include:

- Carter, M. (2005). *Collaboration: A Training Curriculum to Enhance the Effectiveness of Criminal Justice Teams*. Silver Spring, MD: Center for Effective Public Policy.
- *Center for Effective Public Policy (2008). Increasing Public Safety Through Successful Offender Reentry: Evidence-Based and Emerging Practices in Corrections. Silver Spring, MD: Author.*
- *Center for Effective Public Policy (2008). The National Institute of Corrections TPC Case Management Handbook: Case Management within the Transition from Prison to the Community (TPC) Model. Silver Spring, MD: Author.*
- *Center for Effective Public Policy (2008). The National Institution of Corrections TPC Reentry Handbook: Implementing the NIC Transition from Prison to the Community (TPC) Model. Silver Spring, MD: Author.*
- McGarry, P., and Ney, B. (2006). *Getting It Right: Collaborative Problem Solving for Criminal Justice*. Silver Spring, MD: Center for Effective Public Policy.

Post-Training Activities

The *Agencywide Training* is designed to provide participants with specific knowledge and skill sets to enable them to promote success in their work with offenders. It was also developed to solicit input and "buy-in" from the participants through their involvement in small group work and in creating a work group product. Following the training, a leadership committee should review the information gathered as part of the training, determine its impact on the jurisdiction's strategic plan for reentry, and inform participants that their input has been received and how it will be used by leadership staff.

It is critical to take advantage of the momentum generated by the training by acting quickly on the feedback received from the work groups, and turn that momentum into effective action. This can be accomplished in a variety of ways: by implementing immediately some of the changes suggested, or by creating other committees to study further and act upon the recommendations or action plans. The specific manner in which the information is received and acted upon must ultimately be determined by the agency; however, users are encouraged to demonstrate clearly to participants that their work product is valued by the leadership of the agency. Doing so will ensure participants' continued enthusiasm and commitment to successful offender reentry.

KEY POINTS

- The curriculum is designed to engage participants in the agency's process of change and in carrying out its vision of offender success.

- Key leadership is encouraged to engage in a *Strategic Planning Process* prior to the training to conduct a critical assessment of the agency's strengths and gaps, and to consider the role the *Agencywide Training* can play in the agency's change process.

- The demonstration of leadership and commitment by key agency staff is critical to the success of the *Agencywide Training.*

- Users are encouraged to engage a select group of staff in the planning and development of the training.

- Following the training event, leadership staff should act upon the recommendations or action plans developed by participants that positively impact the agency's strategic plan for reentry.

CHAPTER 2: THE AGENCYWIDE TRAINING EVENT

Conducting the *Agencywide Training* event is an appropriate next step once agency leadership have revised their vision and mission for offender reentry, have determined the role of the *Agencywide Training* in furthering their successful offender reentry strategy, and have made the necessary changes to policy and practice prior to engaging all staff in this effort. Users are reminded that this training event should be viewed as only one step in a larger strategic planning process towards organizational change.

Purpose of the Training

Ultimately, this *Agencywide Training* event should be utilized by institutional and community supervision agency policymakers as an opportunity to train staff on critical issues related to offender reentry and engage them in the process of change. This event is intended to serve as a vehicle to support organizational change within an agency looking to refine and implement a vision for successful offender reentry.

Therefore, the general purpose of this *Agencywide Training* is twofold:

- To provide corrections staff at all levels with the knowledge and skills needed to support effective offender reentry efforts in their agencies and jurisdictions; and
- To assist agency leadership in reviewing and changing policy and practice that conflict with their vision for successful offender reentry.

Goals

The *Agencywide Training* event will serve to accomplish a number of goals for those in attendance. The goals for this multi-level staff training event include:

- Sharing the agency's vision for community safety through successful offender reentry;
- Considering together why a reentry strategy is essential to the successful management of offenders, and how such a strategy enhances increased public safety;
- Developing a shared understanding of the components of a successful reentry strategy and placing the agency's reentry efforts within the context of a national reconsideration of effective offender management;
- Acknowledging the agency's progress to date with regards to effective offender management and reentry, and the changing culture within the agency that recognizes offender success as a means of increasing public safety;
- Considering together the implications of the empirical knowledge on effective offender management, reentry, and success-oriented supervision practices;
- Reviewing the agency's plan for implementing a successful offender reentry strategy, and considering its implications for the roles and responsibilities of individual staff across all levels;

- Considering the need for effective collaboration both within the agency and with the agency's external partners;
- Providing an opportunity for staff input regarding the agency's plan; and
- Engaging participants in the agency's process of change and in carrying out its vision of offender success.

Training Audience

Since this training is intended to serve as a vehicle for attaining organizational change, it is critical that the intended audience include staff members who are most capable of making change happen within the organization. Given this, it is recommended that the audience composition include:

- Staff representation from *both* institutions and community corrections to ensure that transition and reentry issues can be adequately explored;
- Staff members who are considered leaders in the agency, both formally and informally (i.e., staff who are looked up to by other staff in the organization); and
- A mixture of staff members who are advocates of successful offender reentry as a goal of the agency, as well as staff who believe custody and control are their main job responsibilities.

Furthermore, the training curriculum is tailored to an audience representing *all levels* of the agency, and provides an opportunity to collect input (in the form of recommendations or localized action plans) from specific staff groups within agencies responsible for offenders in institutional and community settings. These three specific staff groups include:

- Agency leadership and key management staff;
- Mid-level supervisors and managers; and
- Staff who have direct responsibility for day-to-day offender management.

Appropriate staff may include correctional officers, parole or probation officers, managers within institutions and parole and probation agencies, wardens, and directors and other policymaking staff. This training should not be limited to staff whose job responsibilities formally include the responsibility of "offender transition" to the community, but must also include staff whose job responsibilities are focused on custody and security.

Since it is not possible to train every single staff member in the agency, users must make some decisions regarding the type of staff they want to attend. It is recommended that users select an audience ranging in size from 150 – 250 participants, depending on available funding and agency size. This audience size is ideal for maintaining an organized and interactive event, without resulting in an enormous or unmanageable work product. Users are strongly encouraged to consider the above recommendations in order to select staff who are best positioned to provide valuable recommendations during the event, as well as promote change within the organization after the training's conclusion.

Agencywide Training Event

<u>Target Audience:</u>

Institutional and community supervision agency staff at all levels, including leadership and management staff, mid-level supervisors and managers, and line-level staff

<u>Key Agenda Items:</u>

A National Overview of Offender Reentry
The Agency's Vision for Offender Reentry
The Framework of an Effective Offender Reentry Strategy
Evidence-Based Practices and Offender Reentry
Assessment and Case Management
The Agency's Progress with Offender Reentry
Personal Leadership and Individual Responsibility in the Change Process
Enhancing Capacity through Collaboration
Building Effective Offender Outcomes
Work Group Action Planning: Generating Recommendations for Moving the State Forward

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Training Format

The *Agencywide Training* is intended to span three days in length, with time allotted for breaks between sections of the agenda to encourage networking among participants. The training design includes plenary discussions to provide all participants with an opportunity to learn about offender reentry in a presentation format.

The agenda begins with presentations intended to establish a common language for offender reentry, and frames reentry as a national effort that includes a number of more specific activities (e.g., see *A National Overview of Offender Reentry* and *The Framework of an Effective Offender Reentry Strategy*). Later presentation material focuses more specifically on these activities, including evidence-based practice, assessment, and case management.

The training format is consistent with adult learning principles that indicate that professionals learn more effectively when they are able to process information and discuss with their peers how it relates to their own personal experiences. Participants will partake in various breakout sessions to provide them with alternative methods of learning:

- Participants will have the opportunity to participate in a Work Group, which meets numerous times throughout the training to generate a work product.
- During one Work Group Session, facilitators are encouraged to conduct an experiential exercise on offender reentry.

- A set of Concurrent Sessions will allow participants an opportunity to select a topic of interest to them and participate in a less formal discussion with an expert in the topic area, as well as their peers.

- After the plenary session on the topic of Collaboration, participants will attend a Collaboration Breakout Session with a randomly selected group of staff.

KEY POINTS
- The training in this curriculum is intended to be a three-day event.
- The format of the training includes plenary sessions and breakout sessions.
- Participants will meet with a Work Group which will be tasked with generating a work product by the end of the event.

Work Groups

The majority of the learning by participants is achieved through the use of multiple work group sessions, where participants are led through an interactive, group process to consider the information presented during the training. This format is one of the most effective aspects of this training event given that the interactive group process engages participants in the process of change. Additionally, the work group process provides important opportunities to consider modifying and enhancing the agency's strategic plan for offender reentry (i.e., through the creation of recommendations for policy changes or a local action plan).

Composition

Work Groups can be constructed in a number of ways to allow for the sharing of information. Users may group participants by level of authority so that line staff, mid-level managers, and policymakers form separate groups comprised of their peers. Work Groups may also be constructed geographically or in a way that makes sense for the transition of offenders from institutions to the community (e.g., community corrections staff from a certain jurisdiction may be grouped with staff from a "feeder" institution from which a majority of released offenders return).

Work Groups should *always* contain a mixture of staff from institutions and community corrections, so that both essential partners in offender reentry are brought to the table and that gaps and solutions can be identified within the institutions, during transition, and after release to the community.

Work Product

Work Groups are tasked with processing the information presented and creating a Work Product by the end of the three-day training that will enable the agency to move forward in changing policy and practice towards a vision of more successful offender reentry. This product may include recommendations generated on a predetermined set of reentry topics for consideration by the state's executive or management team. It may also include the development of action plans to enhance local collaboration between institutions and community corrections.

KEY POINTS

- Each participant will be assigned to a work group with whom they will process the information provided during the training.
- Work Groups should develop a work product that has the potential to advance the vision of enhancing public safety by achieving more successful outcomes with offenders.

Training Content

Although this training is intended to be tailored to the jurisdiction in which it is held, users are encouraged to include the following key agenda pieces in their training event in order to provide the most comprehensive and useful instruction to their staff on effective offender reentry. The following outlines the components of the training, along with recommended time allotments:

Day 1

15 minutes   **Welcome; Keynote Speaker**

Purpose: Set the tone for the training and provide an additional perspective on offender reentry from outside of the agency.

Description: At the start of the training, the Director of the organization conducting the training should briefly welcome participants and introduce the Keynote speaker. The Keynote speaker should speak briefly on an aspect of offender reentry.

15 minutes   **Review of Goals and Agenda**

Purpose: Orient participants to the goals for the training and the scheduled sections of the agenda, and provide any logistical information needed for the conduct of a smooth training event.

Description: The lead facilitator should review the goals and the agenda so that participants know what to expect over the next three days. The facilitator should also review the layout of the meeting space and direct participants to the helpful information provided in their packets.

30 minutes   **Plenary: A National Overview of Offender Reentry**

Purpose: Place the agency's reentry efforts within the context of a national reconsideration of effective offender management.

Description: This presentation will discuss the conditions that have led to a national focus on offender reentry and demonstrate the ways in which the state's efforts fit into this broader national context.

15 minutes   **Plenary: The Agency's Vision for Offender Reentry**

Purpose: Ensure that all participants understand the vision of offender reentry held by the agency, and acknowledge the changing culture within the agency that recognizes offender success as a means of increasing public safety.

Description: During this session, the Director of the agency will set forth the agency's vision and mission for successful offender reentry and will reiterate with participants that they play a crucial role in the success of the agency in reaching this vision. The Director may also briefly review some of the accomplishments by the agency regarding successful offender reentry (however, a more detailed review of the activities underway should come under a separate presentation on the second day).

15 minutes   Break

45 minutes   Plenary: The Framework of an Effective Offender Reentry Strategy

Purpose: Develop a shared understanding of the components of a successful reentry strategy.

Description: This presentation will review the elements of an effective reentry approach (leadership and organizational change, engaging in a rational planning process, collaboration, and implementing evidence-based offender management practices), and will establish a framework for the discussions to follow and the ongoing work of the agency.

15 minutes   Plenary: Introduction to the Training's Work Groups

Purpose: Ensure that participants are clear about the format of the training, including its emphasis on work groups, and the reasons for such an emphasis.

Description: The lead facilitator will orient training participants to the work group process, work group membership, and the purpose and responsibilities of these groups. At this time the participants should be informed of the *leadership committee* that will receive the product generated by their work group.

60 minutes   Lunch

45 minutes   Work Group Session #1: Orientation to the Group Process

Purpose: Work groups will convene for the first time to meet their colleagues and group facilitator, discuss the expectations of work groups and the product each group will produce by the training's conclusion, and establish ground rules for the group's work together.

Description: The facilitator will start introductions, review the schedule of work group sessions, go over room assignments, and lead the work group in establishing ground rules.

60 minutes **Offender Reentry: An Experiential Group Exercise**

Purpose: Challenge participants to think about offender reentry in a more concrete and personal way that is congruent with an experiential learning model (which states that when individuals have a concrete experience, they reflect on that experience, abstract from it, and then act on their learnings).

Description: Work Group facilitators will lead work group members in an experiential group exercise conducted during the first small group session. This exercise will ask participants to make choices that are realistic to an offender's situation when transitioning back into the community from prison, while holding only limited amounts of resources. During the exercise debriefing, they will be asked to think about some of the specific challenges faced by offenders as they reenter the community.

60 minutes **Plenary: Evidence-Based Practice and Offender Reentry**

Purpose: Consider together the implications of the empirical knowledge on effective offender management, reentry, and success-oriented supervision practices.

Description: A clear definition of evidence-based policy and practice will be followed by a summary of the empirical literature on effective interventions with adult offenders. The relevance of this body of knowledge to offender reentry will be emphasized.

15 minutes **Break**

90 minutes **Work Group Session #2: Evidence-Based Practice and Offender Reentry**

Purpose: Provide participants with an opportunity to discuss the information presented and the implications of the research on the agency's current policies and practices.

Description: Work groups will convene to assess the extent to which current policy and practice in the state comports with an evidence-based approach to offender reentry, the strengths of the current approach, and the greatest opportunities for change in this area.

Day 2

15 minutes **Welcome; Review of the Day's Agenda**

60 minutes   **Plenary: Assessment and Case Management**

Purpose: Provide participants with a vision for effective assessment and case management policies and practices in the state, including the use of a single, dynamic case management plan that follows the offender from the institution into the community.

Description: This session will emphasize the purposes of a comprehensive assessment, the uses of assessment data, and the intrinsic relationship between assessment and case management. The elements of an ideal model of case management and the critical steps in the implementation of such a model will be examined.

15 minutes   **Break**

90 minutes   **Work Group Session #3: Assessment and Case Management**

Purpose: Discuss the strengths and gaps of the state's current assessment and case management approach, and identify the modifications in policy and practice that would be necessary to transition the agency to the use of an "integrated assessment and case management" model.

Description: Facilitators will lead participants through a strengths and gaps analysis of the agency's current assessment and case management policies and practices in regards to three phases: intake and incarceration, pre-release planning, and reentry and post-release supervision. Participants will be asked to begin forming recommendations for critical changes that must be made based on their analysis.

45 minutes   **Plenary: The Agency's Progress with Reentry**

Purpose: Review the agency's plan for implementing a successful offender reentry strategy, and consider its implications for the roles and responsibilities of individual staff across all levels.

Description: This session will provide an overview of the state's progress thus far in implementing a systemic and evidence-based approach to offender reentry, and include a discussion of new initiatives, working groups, and changes within policies and practice. The session is intended to build upon the presentation given by the agency Director by focusing more specifically on activities currently underway.

60 minutes   **Lunch**

105 minutes   **Concurrent Sessions**

Purpose: Provide participants with the opportunity to select a topic of interest to them and participate in a less formal discussion with an expert and their peers on a certain aspect of offender reentry.

Description: A number of sessions may be conducted (depending on meeting space and faculty expertise) on various topics related to reentry such as sex offender reentry or considering the needs of victims.

15 minutes   **Break**

45 minutes   **Plenary: Personal Leadership and Individual Responsibility in the Change Process**

Purpose: Inform participants of their crucial roles and responsibilities – regardless of staff level – in moving the agency forward through the cultural change process towards a vision of public safety through offender success.

Description: This presentation will describe the critical importance of leadership in an organizational change strategy and emphasize particularly the need for each individual involved in the process to assume personal responsibility for the success of the desired change.

90 minutes   **Work Group Session #4: Leadership**

Purpose: Discuss the critical importance of leadership in an organizational change strategy and emphasize particularly the need for each individual involved in the change process to assume personal responsibility.

Description: Facilitators will lead participants in a discussion of the most important leadership issues the agency must address in order to move forward with efforts to realign the agency's activities around offender success. Participants will be asked to provide specific action steps the agency must take, as well as specific actions that participants as individuals can do immediately to demonstrate leadership.

Day 3

15 minutes   **Welcome; Review of the Day's Agenda**

30 minutes   **Plenary: Enhancing Capacity through Collaboration**

Purpose: Consider the need for effective collaboration both within the agency and with the agency's external partners.

Description: This presentation will provide a definition of collaboration (in contrast to other forms of working together), a review of the

research on collaboration, and the rationale for a collaborative approach to offender reentry.

90 minutes   **Collaboration Breakout Session: Building Collaborative Partnerships**

Purpose: Provide staff with an opportunity to meet and network with a randomly selected group of individuals, and identify the ways in which their work with offenders – whether in an institutional setting or in the community – can be enhanced by establishing or building partnerships with others.

Description: Participants will be assigned to a breakout group to work with a new set of colleagues to identify the ways in which collaborative relationships are effectively used in the offender management and reentry process, and identify improvements that can be made in the state.

15 minutes   **Break**

60 minutes   **Plenary: Building Effective Offender Outcomes**

Purpose: Review the critical issues discussed over the last few days as they relate to encouraging more positive behavior from offenders and reducing the likelihood of failure.

Description: This session will highlight the outcomes we seek to achieve in our work with offenders and challenge participants to consider their personal role in aiding offenders to achieve success.

15 minutes   **Plenary: Action Planning**

Purpose: Inform participants of what is expected from them during the last work group session and describe how the training will conclude.

Description: The lead facilitator will review the charge to work groups and the expectations for each group's report-out.

15 minutes   **Working Lunch**

Participants will pick up boxed lunches to take back to their group sessions.

135 minutes   **Work Group Session #5: Action Planning**

Purpose: Engage participants in the agency's process of change and provide an opportunity for staff input regarding the agency's plan for offender success.

Description: During this session, participants will complete their discussions about the material presented at the training, and generate

their final work products. They will also prepare a brief report-out on their activities and select a group member to serve as the group's reporter.

30 minutes   Plenary: Work Group Report Outs

Purpose: Inform all participants of the work that was accomplished by other work groups during the training and provide some momentum for moving forward.

Description: During this session, each work group's reporter will share with the larger group the specific ideas that came out of their work group sessions. It is recommended that the seating is arranged appropriately so that group reporters are able to address the agency director and the *leadership committee* charged with receiving the training work products.

15 minutes   Closing Remarks

Purpose: Thank the participants for their efforts, reiterate the importance of their work throughout the training, and assure them that their input will be considered as the agency moves forward.

Description: The Director of the agency should share some final thoughts about the training and the State's future efforts with regard to offender reentry. He or she should also thank participants for their work and inform them of the agency's intent to use the work products to move the agency forward towards its vision of offender success.

For resources and tools for conducting this training, including a sample agenda and exercises, see Chapter 3. Examples of presentation slides for a number of plenary sessions can be found in Chapter 4 of this curriculum.

Additional Guidelines for Tailoring the Training to Your Jurisdiction

This section provides further guidance on creating specific content for select plenary and breakout sessions.

The Agency's Vision for Offender Reentry

Agencies are encouraged to include a presentation on the agency's vision and goals related to offender reentry as part of the agenda to ensure that participants understand the vision of offender reentry held by the agency. Such a presentation is particularly effective when conducted by the agency's director, who can use this opportunity to demonstrate leadership and commitment to offender success as a means of increasing public safety, and to acknowledge the changing culture within the agency. The director may choose to take this time to inform staff of their vital roles in the agency's reentry efforts, and to emphasize that participants were chosen to attend this event to engage them in a change process. The Director also may choose

to review briefly some of the agency's accomplishments regarding successful offender reentry

Many corrections agencies may already have a pre-prepared presentation on their agency's vision and goals related to offender reentry. It is recommended that – at a minimum – the presentation used for this training event include:

- The agency's vision and mission statements related to offender reentry;

- Why the agency is interested in increasing successful offender reentry (i.e. increased public safety, better use of resources, etc.);

- Information on where the agency currently stands in relation to their vision; and

- Statistical information on offender populations, releases, recidivism, revocation rates, or other related numbers (e.g., number of offenders who complete parole successful in a certain length of time).

A more detailed review of the activities underway – or how the agency intends to reach its vision, including specifics about the state's strategic plan – should be presented at a later time in the agenda.

Introduction to the Training's Work Groups

During this short plenary session, the lead facilitator should review for the entire audience the work group process, the intent behind the creation of the groups, and the types of products each group is expected to generate by the end of the training event. It is recommended that users give a short presentation outlining this information, and provide participants with a handout describing the overall work group process, including the intent behind having participants work together in this fashion, and the products that the work groups will create.

An example of an introductory handout on the Training's Work Groups – as well as handouts for each Work Group Session – are included in Chapter 3.

Handouts should be altered to reflect the desired work group products (e.g., action plans or a set of recommendations on a certain topic). It is important that participants clearly understand what they are tasked with in order to solicit the best input from agency staff on the agency's current approaches to offender reentry.

Offender Reentry: An Experiential Group Exercise

During the first Work Group Session, users are encouraged to develop and conduct an experiential group exercise.[2] This exercise not only serves to "break the ice" between members of the group at the start of their work together but also enhances adult learning. Providing an exercise in which participants can imagine "being in an offender's shoes" will help them to begin thinking about the challenges faced by offenders from a different viewpoint.

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[2] Such an exercise would include a more "hands-on" activity, where participants have the opportunity to learn by direct experience. A good example of an experiential exercise would be a role-playing activity.

During the piloting of this curriculum, an experiential exercise was conducted in which participants were asked to make choices that are realistic to an offender's situation when transitioning back into the community from prison, while holding only limited amounts of resources. Users are encouraged to develop their own experiential exercise – relevant to the challenges faced by reentering offenders in their jurisdiction – and ask facilitators to conduct the exercise with their Work Groups on the first day of the training.

The Agency's Progress with Reentry

This presentation should be created with the intent to build on the information presented on the first day by the director in *The Agency's Vision for Offender Reentry.* While the director's presentation should focus on where the agency currently stands and where it wants to go, this presentation should clarify how the agency plans to achieve its goals.

Ideally, this presentation should be given by one or more staff members of the agency who are knowledgeable about all of the agency's reentry activities and possess excellent presentation skills.

The information in this presentation should include:

- The progress made by the agency in its work to implement a systemic and evidence-based approach to offender reentry;

- Information on new initiatives, working groups, and changes within policies and practice towards this effort;

- An explanation of how efforts around the state fit together into a cohesive plan that establishes successful offender reentry as a new way of doing business for the agency (i.e., emphasis should be placed on reentry as a philosophy as opposed to a number of discrete programs); and

- Clarification on individual roles and responsibilities of agency staff in this larger agency effort.

The presenter(s) may also choose to provide more in-depth information about local issues affecting jurisdictions in the state. If agency leadership has already formed a detailed strategic plan for implementing effective reentry policies and practices in the state, this is a great opportunity to unveil this plan to a large number of agency staff. Finally, this may be an appropriate time to inform participants of what will happen to the recommendations they generate during the training event.

Action Planning and Work Group Report-Outs

Before sending participants to their last work group session, the lead facilitator should review the charge to the work groups, whether this includes the expectation that work groups will produce an action plan with goals and objectives, or that they will generate recommendations to the leadership committee.

The next chapter contains two examples of the Action Planning Exercise. The first includes instructions for the development of recommendations; the second outlines the process for developing an action plan. In tailoring this curriculum to best suit the needs of the agency, thoughtful consideration should be given to which of these two work products would be most beneficial to the agency's reentry efforts.

During this plenary session, the lead facilitator should inform participants that – in addition to creating their work product – they will also be preparing one report per group for a report-out.

Facilitators may refer the audience to the exercise on Action Planning, where the specific questions to be answered for the report-out are listed. These include:

The most significant idea that the group is taking away from the training;
An example of their work product (whether it is a priority recommendation or one goal from an action plan); and
One change the group decided that they can make immediately in the way they carry out their individual responsibilities

The report-out will take place after the last work group session in the plenary room as the final session of the training. It is recommended that the director of the agency and the leadership committee charged with receiving the work products be present during this last session to hear the work groups' formal report out.

Concurrent Sessions

This training curriculum includes a 90 minute section on the agenda reserved for the conduct of concurrent sessions. These sessions provide participants with the opportunity to receive in-depth information on specific offender reentry topics. Although these sessions may vary in format, the time allotted generally allows for a formal presentation by a faculty member with expertise in the area, and enough time for a less formal, open discussion with participants following the presentation. Presenters may also choose to engage participants in a learning activity or provide a more in-depth review of related resources on the topic.

During the piloting of this curriculum, a number of concurrent sessions were conducted, depending on the needs and interests of pilot jurisdictions. Session presenters may introduce a new aspect of offender reentry to participants, or may serve to build upon previous information presented during the training (e.g., a more in-depth discussion of assessments or the implementation of evidence-based practices). The presentations described here are not intended to be a comprehensive list of each aspect of offender reentry, but instead may be used to inform the user in selecting concurrent session topics and materials that are agency appropriate. Users are encouraged to develop and conduct concurrent sessions on reentry topics that are relevant and of interest to staff in their jurisdiction:

- **Offender Assessment: An Ongoing Dynamic Process**
  Offender assessment is an ongoing, dynamic process that involves multiple information sources and collaborative partners. This presentation highlights the sources of information that form the basis of an assessment, the individuals

involved in gathering and evaluating that information, and the key role assessment plays in forming and keeping current an effective case management plan.

- **Ensuring the Quality of Offender Assessment and Case Management Plans**
  Adherence to the principles of evidence-based practice requires a commitment to assuring the quality of the work conducted. This presentation focuses on methods for developing and implementing quality assurance protocols for assessment and case management planning.

- **Effective Interventions: Applying the Research to Practice**
  This presentation provides an overview of the research and practice on utilizing effective interventions with offenders that are multimodal and integrated, cognitive-behavioral, skills-oriented, linked with parallel services in the community, matched to offenders based on risk, needs, and responsivity factors, and monitored and evaluated.

- **Sex Offender Reentry**
  Sex offenders pose perhaps the greatest level of concern with regard to offender reentry. This presentation provides an overview of current research and emerging practices relative to sex offender management, and provides participants with the opportunity to discuss common challenges and effective solutions to sex offender management and reentry.

- **Understanding the Principles of Gender Responsiveness and How They Go Hand in Hand with a Reentry Model**
  Women offenders face challenges that are distinct from men as they prepare for their return to the community. This presentation reviews the principles of gender responsiveness and specific strategies that will enhance the likelihood that women will be successful following their release to the community.

- **Considering the Needs of Victims in the Reentry Process**
  It is critical that corrections professionals recognize the importance of considering the victim's voice in the reentry process. This presentation highlights methods to assure a victim-centered approach to offender reentry and to engage victims and advocates as partners in this work.

- **The Risk, Needs, and Responsivity Principles**
  This session might include a review of the literature on offender recidivism reduction by targeting interventions for offenders based upon their assessed level of risk and criminogenic needs, and enhancing the likelihood of the effectiveness of those interventions by providing them in a manner that is responsive to their temperament, learning style, motivation, gender, and culture.

- **Motivational Interviewing**
  Users may feel that a session on building staff skills in using motivational interviewing may be warranted. During this session, participants could be provided with instruction on how to use motivational interviewing in their work with offenders and be allowed an opportunity to practice implementing this technique.

- **Offender Employment: Training, Job Readiness, and Retention**
  Description: A session on employment may include information on the relationship between meaningful, stable employment and successful offender outcomes, and may focus particularly on the role of vocational training, job readiness and appropriate job placement on job retention. Collaborative partnerships among criminal justice agencies, workforce and labor partners, and employers may also be emphasized in this presentation.

- **Engaging Family Members in Reentry**
  This session might include discussion about the identification of social networks, understanding social networks from a strength perspective and engagement of those support systems during the incarceration and transition into the community. Such a session might focus on the role of families as a support system, or might focus more on other informal networks.

- **The Role of Informal Networks in Successful Reintegration**
  Establishing positive networks of support for offenders returning to the community is critical to offender success. The role of public agencies, communities, mentors, faith-based organizations, families, and peers in supporting offender success may be discussed. This presentation might also include a discussion of promising approaches statewide or even nationwide.

- **Developing Appropriate Housing for Returning Offenders**
  One of the most significant barriers to offenders returning to the community is the ability to secure appropriate, permanent housing. This presentation could provide an overview of barriers to offender housing and highlights promising approaches.

Materials for these topics are not included in this curriculum; however, users are encouraged to reference the available literature and local and national experts on these topics to create presentation material that is current and relevant to their jurisdiction.

CHAPTER 3: RESOURCES AND TOOLS

In this chapter, users will find a set of tools and resources. The following sample materials illustrate the type of information participants should receive at the beginning of the *Agencywide Training*. This chapter includes general meeting information to inform participants what they may expect from the training and what is expected from them in return, as well as exercise instructions.

For sample plenary session presentation slides, see Chapter 4.

These materials should not be considered comprehensive. Users are encouraged to include additional information that may be relevant to a training event on successful offender reentry in the specific jurisdiction where it is held. For example, additional handouts on agency-specific information may include:

- The agency's vision, mission, and goals;
- Statistics on institutional releases, revocation rates, and offender population profiles;
- Information on the agency's processes, programs, private and public partners, and available resources;
- A listing of accomplishments the agency has made towards more effective offender reentry policies and practices; and
- Information on initiatives, and established working groups in the state related to offender reentry.

This chapter contains the following:

- Training Goals
- Training Agenda
- Introduction to the Training's Work Groups (handout)
- Work Group Session #1: Orientation to the Group Process
- Work Group Session #2: Evidence-Based Practice and Offender Reentry
- Work Group Session #3: Offender Assessment, Case Management, and Engagement
- Work Group Session #4: Leadership
- Collaboration Breakout Session: Building Collaborative Partnerships
- Work Group Session #5: Action Planning (for groups tasked with making recommendations)
- Work Group Session #5: Action Planning (for groups tasked with creating action plans)
- Selected Resources (list)
- Training Evaluation Form

AGENCYWIDE TRAINING

Date
Meeting Location
City, State
TRAINING GOALS

The agency has brought together a representative group of staff to participate in a working session on successful offender reentry. The goals of this session are to:

- Share the agency's vision for increased public safety and the successful management of all offenders both while in custody and under supervised release;

- Consider why a reentry strategy is essential to the successful management of offenders, and how such a strategy enhances increased public safety;

- Develop a shared understanding of the components of a successful reentry strategy and place the State's reentry efforts within the context of a national reconsideration of effective offender management;

- Acknowledge the agency's progress to date with regards to effective offender management and reentry, and the changing culture within the agency that recognizes offender success as a means of increasing public safety;

- Consider together the implications of the empirical knowledge on effective offender management, reentry, and success-oriented supervision practices;

- Review the agency's plan for implementing a successful offender reentry strategy, and consider its implications for the roles and responsibilities of individual staff across all levels;

- Consider the need for effective collaboration both within the agency and with the agency's external partners;

- Provide an opportunity for staff input regarding the agency's plan; and

- Engage participants in the agency's process of change and in carrying out its vision of offender success.

Agencywide Training

Date
Meeting Location
City, State
Training Agenda

Day 1

8:00 a.m.   Registration

9:00 a.m.   Welcome; Keynote Speaker

Director of Institutional or Community Supervision Agency

Keynote Speaker

9:15 a.m.   Review of Goals and Agenda

Lead Facilitator

9:30 a.m.   Plenary: A National Overview of Offender Reentry

Faculty

10:00 a.m.   Plenary: The Agency's Vision for Offender Reentry

Director of Corrections Agency

10:15 a.m.   Break

10:30 a.m.   Plenary: The Framework of an Effective Offender Reentry Strategy

Faculty

11:15 a.m.   Plenary: Introduction to the Training's Work Groups

Lead Facilitator

11:30 a.m.   Lunch

12:30 p.m.   Work Group Session #1: Orientation to the Group Process

Work Group Facilitators

1:15 p.m.   Offender Reentry: An Experiential Group Exercise

Work Group Facilitators

2:15 p.m.   Plenary: Evidence-Based Practice and Offender Reentry

                 Faculty

3:15 p.m.   Break

3:30 p.m.   Work Group Session #2: Evidence-Based Practice

                 Work Group Facilitators

5:00 p.m.   Adjourn

Day 2

8:00 a.m.   Welcome; Review of the Day's Agenda

8:15 a.m.   Plenary: Assessment and Case Management

               Faculty

9:15 a.m.   Break

9:30 a.m.   Work Group Session #3: Offender Assessment, Case Management, and
               Engagement

               Work Group Facilitators

11:00 a.m.   Plenary: The Agency's Progress with Reentry

               Faculty

11:45 a.m.   Lunch

12:45 p.m.   Concurrent Sessions

               • Session 1
                   Faculty

               • Session 2
                   Faculty

               • Session 3
                   Faculty

2:30 p.m.   Break

2:45 p.m.   Plenary: Personal Leadership and Individual Responsibility in the
               Change Process

               Faculty

3:30 p.m.   Work Group Session #4: Leadership

               Work Group Facilitators

5:00 p.m.   Adjourn

Day 3

8:00 a.m.   Welcome; Review of the Day's Agenda

8:15 a.m.   Plenary: Enhancing Capacity through Collaboration

               Faculty

8:45 a.m.   Collaboration Breakout Session: Building Collaborative Partnerships

               Breakout Group Facilitators

10:15 a.m.   Break

10:30 a.m.   Plenary: Building Effective Offender Outcomes

               Faculty

11:30 a.m.   Plenary: Action Planning

               Lead Facilitator

11:45 a.m.   Working Lunch
               Participants will pick up boxed lunches to take back to their group
               sessions.

12:00 p.m.   Work Group Session #5: Action Planning

               Work Group Facilitators

2:15 p.m.   Plenary: Work Group Report Outs

               Work Group Reporters

2:45 p.m.   Closing Remarks

               Director of Institutional or Community Supervision Agency

3:00 p.m.   Adjourn

INTRODUCTION TO THE TRAINING'S WORK GROUPS

Introduction to the Work Group Process:

One of the primary goals of this training is to consider those strategies *the Agency* might employ or enhance to increase the likelihood that offenders will be successful following their release into the community.

To this end, training participants have been assigned to a work group consisting of approximately *#* individuals who represent *the Agency*. Over the course of # work group sessions, participants will be asked to discuss – with the assistance of a skilled facilitator – the information presented in plenary and concurrent sessions, and consider its implications for potential changes in policy and practice in *State*. Each work group is tasked with accomplishing several specific goals by their final work group session.

Work Group Goals and Products:

By the conclusion of the training, each work group will have:

- Considered together all of the information presented in plenary and concurrent sessions;

- Developed a list of recommendations for the *leadership committee* to consider regarding specific policy and/or practice changes or enhancements that have the potential to advance **State's** vision of enhancing public safety by achieving more successful outcomes with offenders;

- Prepared this list in such a way that it can be forwarded immediately the committee for review and consideration;

- Identified change strategies each individual participating in the training – and the staff group they represent – can adopt immediately to advance this vision;

- Prepared the work group's report out – in response to a specific question posed to the group – for the final report out session on *Day, start time – end time*; and

- Selected an individual to serve as the group's reporter.

WORK GROUP SESSION #1
ORIENTATION TO THE GROUP PROCESS

Session Goals:

The purpose of this first work group session is to provide work group participants and their facilitator with an opportunity to:

- Get to know one another;
- Review the goals of and the products to be produced as a result of the work group process;
- Review the work group schedule and discuss specific information;
- Establish ground rules for the group's work together; and
- Conduct an experiential group exercise.

Session Instructions:

1. The facilitator will begin by introducing him/herself and by reviewing the goals of the work group process and the products to be produced (these are noted in the document entitled *Introduction to the Training's Work Groups*).

2. The facilitator will ask work group members to introduce themselves to one another.

3. The facilitator will review the work group schedule, which is as follows:

   a. Each work group will meet a total of five times for facilitated discussions. The schedule, as noted in the agenda, is as follows:
      Session #1: *Day, start time – end time*
      Session #2: *Day, start time – end time*
      Session #3: *Day, start time – end time*
      Session #4: *Day, start time – end time*
      Session #5: *Day, start time – end time*

   b. In addition, participants will be assigned to a breakout session on *Day (start time – end time)* to discuss building collaborative partnerships. Because participants will not be with their work groups for these discussions, they should make note of specific thoughts and ideas about the topic of partnerships and collaboration, and bring these back to discuss with their work group members.

   c. Participants will also attend a concurrent session on *Day (start time – end time)* designed to provide further information about a specific aspect of offender management and reentry. Participants will not be with their work groups for these sessions and, as with the breakout session on collaboration, they should make note of specific thoughts and ideas about the topic covered in their session and bring these back to discuss with their work group members.

4. The facilitator will review the work group's room assignment; the room assignment will stay the same for the # work group sessions.

5. The facilitator will lead the group through a process to establish ground rules for the group's work together in the coming days.

6. During the last 60 minutes of the session, the facilitator will lead participants through an experiential group exercise on offender reentry. This exercise will ask participants to make choices that are realistic to an offender's situation when transitioning back into the community from prison, while holding a limited number of resources. During the exercise debriefing they will be asked to think about some of the specific challenges faced by offenders as they reenter the community.

WORK GROUP SESSION #2
EVIDENCE-BASED PRACTICE AND OFFENDER REENTRY

Session Goal:

In the preceding plenary session, a definition of evidence-based practices was presented, along with an overview of the empirical literature on effective interventions with offenders. The goal of this work group session is to provide participants with an opportunity to review the information presented, discuss the implications of the research on the **State's** current policies and practices, and generate recommendations about potential changes that might further enhance the **State's** work in the area of evidence-based practices.

Session Instructions:

1. Participants should each take a few minutes to fill out the chart below by assessing how well the **State's** policies and practices, staff skills, and staff attitudes/beliefs align with each evidence-based practice:

1 = Describes agency completely[*] 2 = More or less describes agency 3 = Neutral; both describes agency and does not 4 = More or less does not describe agency 5 = Absolutely does not describe agency	POLICIES/ PRACTICES	STAFF SKILLS	STAFF ATTITUDES/ BELIEFS
1. Empirically-based risk/needs/responsivity assessment tools are used at admission to prison	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐
2. Reassessments are conducted at appropriate intervals during incarceration	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐
3. An array of interventions are available to address offenders' varying dynamic risk factors	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐
4. Higher risk offenders are prioritized for more intensive services	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐
5. Offenders are placed in programs based upon their criminogenic needs	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐
6. Interventions are matched to offenders based on responsivity factors (such as learning style, level of motivation, mental health symptoms, and cognitive functioning)	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐	1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐

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[*] Consider *both* institutional and community supervision agencies, as applicable, when responding to these questions.

1 = Describes agency completely* 2 = More or less describes agency 3 = Neutral; both describes agency and does not 4 = More or less does not describe agency 5 = Absolutely does not describe agency	POLICIES/ PRACTICES					STAFF SKILLS					STAFF ATTITUDES/ BELIEFS				
	1	2	3	4	5	1	2	3	4	5	1	2	3	4	5
7. Institutional interventions are linked to community interventions to ensure continuity of treatment	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
8. Regular monitoring and evaluation occurs for offender progress and for intervention impact	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
9. Reassessments are conducted prior to release	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
10. Reassessments are conducted following release, at appropriate intervals	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐

2. Following participants' individual completion of this inventory, the facilitator will lead participants through a discussion of their responses.

- To what extent do responses vary, or is there a great deal of consensus? If responses vary, what accounts for these different perceptions?

- In what ways do the State's policies and practices, staff skills, and staff attitudes/beliefs most strongly align with evidence-based practices?

- What are the most significant gaps? Are these gaps most significant in the area of policy and practice application, staff skills, or staff attitudes/beliefs?

3. As a result of this discussion, identify the three gaps that are most significant and create recommendations the group would like to advance to the leadership committee.

WORK GROUP SESSION #3
OFFENDER ASSESSMENT, CASE MANAGEMENT, AND ENGAGEMENT

Session Goals:

The goals of this session are to provide participants with an opportunity to process the information presented in the previous plenary sessions by discussing an ideal approach to offender assessment and case management, identifying the strengths and gaps of the State's current assessment and case management approaches, and generating recommendations for potential changes in policy and practice that might further enhance the State's assessment and case management processes.

Session Instructions:

1. Participants should each take a few minutes to fill out the chart below by assessing how well **the State's** policies and practices, staff skills, and staff attitudes/beliefs align with the implementation of an ideal assessment and case management approach:

1 = Describes agency completely[*] 2 = More or less describes agency 3 = Neutral; both describes agency and does not 4 = More or less does not describe agency 5 = Absolutely does not describe agency	POLICIES/ PRACTICES	STAFF SKILLS	STAFF ATTITUDES/ BELIEFS
1. Assessment results form the basis of the offender's case management plan	1 2 3 4 5 ☐ ☐ ☐ ☐ ☐	1 2 3 4 5 ☐ ☐ ☐ ☐ ☐	1 2 3 4 5 ☐ ☐ ☐ ☐ ☐
2. Case management plans describe a strategy for the delivery of services (based upon level of risk, criminogenic needs, and responsivity factors) from admission to prison until the termination of community supervision	1 2 3 4 5 ☐ ☐ ☐ ☐ ☐	1 2 3 4 5 ☐ ☐ ☐ ☐ ☐	1 2 3 4 5 ☐ ☐ ☐ ☐ ☐
3. Offenders are engaged and active participants in creating and updating case plans; staff use effective motivational techniques to engage offenders in their treatment and reentry plan	1 2 3 4 5 ☐ ☐ ☐ ☐ ☐	1 2 3 4 5 ☐ ☐ ☐ ☐ ☐	1 2 3 4 5 ☐ ☐ ☐ ☐ ☐
4. Case management planning is an inclusive process, involving those most actively involved in the individual offender's case	1 2 3 4 5 ☐ ☐ ☐ ☐ ☐	1 2 3 4 5 ☐ ☐ ☐ ☐ ☐	1 2 3 4 5 ☐ ☐ ☐ ☐ ☐
5. Information in the case management plan is made readily available to those	1 2 3 4 5 ☐ ☐ ☐ ☐ ☐	1 2 3 4 5 ☐ ☐ ☐ ☐ ☐	1 2 3 4 5 ☐ ☐ ☐ ☐ ☐

[*] Consider *both* institutional and community supervision agencies, as applicable, when responding to these questions.

1 = Describes agency completely[*] 2 = More or less describes agency 3 = Neutral; both describes agency and does not 4 = More or less does not describe agency 5 = Absolutely does not describe agency	POLICIES/ PRACTICES	STAFF SKILLS	STAFF ATTITUDES/ BELIEFS
working with the offender			

2. Following participants' completion of this inventory, the facilitator will lead participants through a discussion of their responses.

- To what extent do responses vary, or is there a great deal of consensus? If responses vary, what accounts for these different perceptions?

- In what ways do **the State's** policies and practices, staff skills, and staff attitudes/beliefs most strongly align with an ideal approach to assessment and case management?

- What are the most significant gaps? Are these gaps most significant in the area of policy and practice application, staff skills, or staff attitudes/beliefs?

3. Next, participants should review the five characteristics required for effective correctional treatment (as described in Dr. Craig Dowden and Dr. D.A. Andrews research article entitled *The Importance of Staff Practice in Delivering Effective Correctional Treatment: A Meta-Analytic Review of Core Correctional Practice*).

Five Dimensions of Effective Correctional Treatment	
Effective use of authority	• Firm but fair approach • Make rules clear, visible, understandable • Compliance through positive reinforcement • Keep focus of message on behavior, not person • Use of normal voice • Give choices with consequences • Guide offender toward compliance
Modeling and reinforcing prosocial attitudes	• Positive/negative reinforcement • Model and rehearse pro-social behavior in concrete and vivid way • Immediate feedback on why behavior is approved/disapproved • Offender encouraged to think about why certain behavior is desirable • Role playing with increasingly difficult scenarios
Teaching concrete problem solving skills	• Engage offender in resolving issues that reduce satisfaction and rewards for non-criminal pursuits • Help offender develop a plan, clarify goals, generate options/alternatives, evaluate options
Advocacy/ brokerage of community resources	• Arrange the most appropriate correctional service • Speaking on behalf of client at home, school, work or other

Relationship factors	• Open, warm, genuine, and enthusiastic communication • Self-confident • Empathetic • Flexible • Mutual respect and liking • Directive, solution focused, structured, non-blaming, contingency based communication

Facilitators should take a few minutes to clarify any questions about these five dimensions.

4. Participants should each take a few minutes to fill out the chart below by assessing how well **the State's** policies and practices, staff skills, and staff attitudes/beliefs align with the implementation of these five dimensions of effective correctional treatment:

1 = Describes agency completely[*] **2** = More or less describes agency **3** = Neutral; both describes agency and does not **4** = More or less does not describe agency **5** = Absolutely does not describe agency	POLICIES/ PRACTICES	STAFF SKILLS	STAFF ATTITUDES/ BELIEFS
1. Effective use of authority	1 2 3 4 5 ☐☐☐☐☐	1 2 3 4 5 ☐☐☐☐☐	1 2 3 4 5 ☐☐☐☐☐
2. Modeling and reinforcing prosocial attitudes	1 2 3 4 5 ☐☐☐☐☐	1 2 3 4 5 ☐☐☐☐☐	1 2 3 4 5 ☐☐☐☐☐
3. Teaching concrete problem solving skills	1 2 3 4 5 ☐☐☐☐☐	1 2 3 4 5 ☐☐☐☐☐	1 2 3 4 5 ☐☐☐☐☐
4. Advocacy/brokerage of community resources	1 2 3 4 5 ☐☐☐☐☐	1 2 3 4 5 ☐☐☐☐☐	1 2 3 4 5 ☐☐☐☐☐
5. Relationship factors	1 2 3 4 5 ☐☐☐☐☐	1 2 3 4 5 ☐☐☐☐☐	1 2 3 4 5 ☐☐☐☐☐

5. Following participants' completion of this inventory, the facilitator will lead participants through a discussion of their responses.

- To what extent do responses vary, or is there a great deal of consensus? If responses vary, what accounts for these different perceptions?

- In what ways do **the State's** policies and practices, staff skills, and staff attitudes/beliefs most strongly align with these dimensions of effective correctional treatment?

- What are the most significant gaps? Are these gaps most significant in the area of policy and practice application, staff skills, or staff attitudes/beliefs?

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[*] Consider *both* institutional and community supervision agencies, as applicable, when responding to these questions.

6. As a result of these discussions on assessment, case management, and offender engagement, identify the three gaps that are most significant and create recommendations the group would like to advance to the leadership committee.

WORK GROUP SESSION #4
LEADERSHIP

Session Goal:

In the preceding plenary session, the concepts of leadership and leadership principles were described. The goal of this work group session is to discuss the critical importance of leadership in an organizational change strategy and emphasize particularly the need for each individual involved in the change process to assume personal responsibility.

Session Instructions:

The facilitator will lead the work group through the following discussion questions:

1. Reflect on a person who you believe was a strong and effective "leader." What are some of the qualities or actions demonstrated by this person that you thought were most impressive or important?

2. As you consider the 10 leadership principles that were described concerning Lewis and Clark, which three do you think will be most important for your agency to focus on in order to move forward with efforts to realign the organization's activities around offender success? Why?

    As a reminder, the 10 leadership principles are:
    -   Imagine your destination
    -   Have a passionate purpose
    -   Develop shared leadership
    -   Engage in "future think"
    -   Honor differences on your team
    -   Demonstrate equitable justice
    -   Lead from the front
    -   Engage in realistic optimism
    -   Be willing to engage in rational risk
    -   Cultivate team spirit

3. Focusing on the three key leadership principles you have identified as most important for the agency, what are some specific steps or actions that could be taken to help promote positive change in the offender reentry area? Who in the agency is best positioned to take these specific steps or actions?

4. It was noted that "little" things can mean a lot. What are three or four small things that you could begin doing immediately as individuals to demonstrate leadership in the agency and among your peers on the issue of offender reentry?

COLLABORATION BREAKOUT SESSION
BUILDING COLLABORATIVE PARTNERSHIPS

Session Goal:

The purpose of this session is to provide staff with an opportunity to identify the ways in which their work with offenders – whether in an institutional setting or in the community – can be enhanced by establishing or building partnerships with others. Participants will be asked to identify steps that can be taken to begin to build or enhance those partnerships.

Session Instructions:

1. The facilitator will begin the session by clarifying who we mean by collaborative partners:

   Our "partners" may be our colleagues who work with us and have a similar role or those who have a role that is different from ours; they may be our colleagues who work in other divisions; and they may be individuals who work with other agencies who can provide information, support, or resources that are likely to enhance the success of offenders. Our partners may even be those who have no agency affiliation whatsoever.

2. Participants will be asked to brainstorm a list of "partners" (roles or agencies such as "correctional officers," "contracted mental health providers," and "workforce development specialists who provide pre-employment services").
   a. Who should be involved with offenders at intake and during incarceration?
   b. During the pre-release planning phase?
   c. At reentry and during post-release supervision?

3. Referring to this list, participants will be asked to identify the partnerships that are most in need of improvement. Focusing on these particular partnerships, teams will discuss the following questions:

   a. How *should* these relationships work?
   b. What stands in the way of these relationships working as effectively as they might?
   c. What are three strategies that might be employed to enable the department to realize the potential of these relationships for effective exchange of information and coordinated, goal-driven work with offenders?

4. Continue this discussion for each of the identified partnership groups.

5. As time permits, continue to discuss priority change areas and identify steps the agency and/or participants could take immediately to make the identified changes possible.

6. In the final work group session, participants will revisit this session's work with their work group as they formulate recommendations.

WORK GROUP SESSION #5

ACTION PLANNING

(FOR GROUPS TASKED WITH MAKING RECOMMENDATIONS)

Session Goals:

Work groups have been tasked with formulating specific recommendations that will be forwarded to *leadership committee* for review and consideration. These recommendations will assist the committee in its mission of identifying ways to advance **the State's** work in promoting public safety by enhancing the likelihood of offender success.

The purpose of this final session of the work groups is to enable work group members to complete their discussions about the material that has been presented at the training, and formulate their final recommendations, with specific action steps that can be taken. Work groups will also prepare a brief report-out on their activities and select a group member to serve as the group's reporter.

Session Instructions:

Recording Recommendations

As a method for organizing the recommendations generated by the work groups, facilitators should record recommendations on the flipcharts posted around the room. Flipcharts will be labeled with the following headings. An "other" category can be created if necessary:

- Leadership and Organizational Change
- Assessment and Case Management
- Evidence-Based Practices
- Collaboration
- Training and Staff Development
- Addressing the Needs of Victims
- Staff-Offender Interactions
- Enhancing Motivation
- Community Supervision
- Responding to Infractions and Violations

Flipcharts will be collected and transcribed at the conclusion of the training. Recommendations should be prepared in such a way that they can be easily transcribed without need for interpretation.

General Assignment

Work groups will be tasked with generating recommendations on one assigned topic (on which they will report out to the training audience and the *leadership committee* following this

work group session) and then generating recommendations on the topics that are of greatest interest to them, as time allows.

Facilitators will begin by asking participants to prioritize the topics they would most like to discuss and on which they would like to generate recommendations. Work groups may want to refer to the Discussion Questions at the end of this exercise to stimulate dialogue on these topics.

Specific Assignment

1. The facilitator should refer to the group's assigned topic (as listed below).

Work Group #	Report Out Topic
1	Leadership and Organizational Change
2	Assessment and Case Management
3	Evidence-Based Practices
4	Collaboration
5	Training and Staff Development
6	Addressing the Needs of Victims
7	Staff-Offender Interactions
8	Enhancing Motivation
9	Community Supervision
10	Responding to Infractions and Violations

The work group should ask themselves the following questions:

- What are the strengths of our current approach in this area in both our institutional and community work with offenders?

- What are the gaps in our work in this area in both our institutional and community work with offenders?

- What specific steps could the agency take to address these gaps?

  o What specific changes would be made in the institutions? In the community? How would these changes enhance our ability to work more effectively with offenders?

  o What specific change strategies do we want to recommend?

2. Refer now to the group's top ranked topic. The work group should ask themselves the following questions:

- What are the strengths of our current approach in this area in both our institutional and community work with offenders?

- What are the gaps in our work in this area in both our institutional and community work with offenders?

- What specific steps could the agency take to address these gaps?

COMMUNITY SAFETY THROUGH SUCCESSFUL OFFENDER REENTRY:
AN AGENCYWIDE TRAINING CURRICULUM FOR CORRECTIONS

o What specific changes would be made in the institutions? In the community? How would these changes enhance our ability to work more effectively with offenders?

o What specific change strategies do we want to recommend?

3. Continue this process for the next highest ranked category(s) as time permits.

4. Next, the facilitator will guide the group through the preparation of its report-out (see below).

5. Finally, participants are asked to complete evaluations of the training.

Report-Out:

In the final plenary report-out *(Day, start time – end time)*, each work group will be represented on a panel by one of its members. Each panelist should be prepared to address three questions. (Regarding question b below, note that each work group will focus on a different substantive area. These are noted in the chart above.) To prepare for the final report-out, facilitators will guide work groups through a discussion to answer, by consensus, the following three questions. Panelists will have no more than three minutes during the report-out to respond to these questions, so responses should be concise:

a. The most significant idea that our group is taking away from this training is_____
_____.

b. Our group was asked to synthesize and report out on its recommendations in the area of _(see the chart above)_. Our priority recommendation(s) in this area are:
_____.

c. Our group discussed some of the changes we could make as individuals in the way we carry out our responsibilities. We have agreed that one change we can make immediately is_____.

Discussion Questions:

Training and Staff Development

1. What implications does the discussion on promoting successful offender outcomes have on the training needs of staff?

    a. What types of training currently exist that are helpful in preparing staff to undertake this work?
    b. What types of training do you think will need to be developed?
    c. Are there some types of training that could be reduced or eliminated?
    d. What recommendations do you have for the leadership committee for changes that might be implemented in this area?

2. The culture of an organization can have a significant impact on the success of initiatives. In light of that:

    a. What thoughts do you have about the way that individuals are hired, promoted, recognized, or rewarded in your organization?
    b. What types of staff or offender activities are highlighted in publications?
    c. How could the agency modify its decisions, methods of recognition, or public announcements to encourage staff to promote more successful offender outcomes?
    d. What recommendations do you have for the leadership committee for changes that might be implemented in this area?

Addressing the Needs of Victims

1. Increased victim safety and, where possible, the opportunity to make victims whole is an important aspect of an effective offender reentry strategy.

    a. What thoughts do you have about the current ways in which the agency addresses the needs of victims while offenders are incarcerated, in planning for an offender's successful release and reintegration into the community, and during the offenders period of community supervision?
    b. Does the agency's current practice include soliciting victims' input in order to assess an offender's risk or to construct an effective case management plan?
    c. Could the agency improve its response to victims' needs? How?
    d. What recommendations do you have for the leadership committee for changes that might be implemented in this area?

Enhancing Motivation

1. In the plenary session on "Building Effective Offender Outcomes," information was presented on modifying offender behavior by focusing on methods of encouraging positive actions.

    a. What incentives, rewards, or benefits does the agency currently offer to offenders to take positive actions that will increase the likelihood of their success?

b. Do the agency's current classification practices, programs, privileges, and supervision strategies encourage offender success?

c. Are staff encouraged to use positive techniques to enhance offender motivation?

d. What recommendations do you have for the committee for changes that might be implemented in this area?

Community Supervision

1. The principles of effective interventions stresses the importance of enhancing intrinsic motivation, targeting interventions using the risk, need, and responsivity principles, and adjusting dosage to the individual needs of each offender. Further, we know that a strength-based approach to community supervision and continuity of care (including information flow and coordination of services) enhances the likelihood of a successful period of supervision.

a. Is release planning conducted with the offender well in advance of release?

b. Are both institutional and community supervision staff involved in release planning to assure a smooth transition of the case from the institution to the community?

c. Does the agency's current approach to community supervision promote the success of offenders by embracing the principles described above?

d. Are the conditions of release tailored to promote success with each offender?

e. Are resources deployed in an effective manner, based on risk, need, and responsivity?

f. What recommendations do you have for the leadership committee for changes that might be implemented in this area?

Responding to Infractions and Violations

1. Promoting successful offender outcomes includes thoughtful and effective responses to infractions while offenders are in custody and to violations of their conditions of release once offenders are in the community. Given the information you have received over the course of the training:

a. What thoughts do you have about the current ways in which the agency sanctions offenders for infractions and violations?

b. Are infractions and violations consistently responded to, and are these responses designed to encourage success rather than strictly punish failure?

c. Does current practice allow for a continuum of intermediate sanctions, offering a range of interventions that can be directed to offenders according to the severity of their offenses and the risk they present for re-offending?

d. Does the current system of sanctions for the violation of community supervision conditions provide for alternatives to re-incarceration?

e. Could the agency's responses to infractions and violations be modified to promote greater opportunities for offender success?

f. Do new methods of responding to offender infractions and violations need to be developed?

g. What recommendations do you have for the leadership committee for changes that might be implemented in this area?

WORK GROUP SESSION #5

ACTION PLANNING

(FOR GROUPS TASKED WITH CREATING ACTION PLANS)

Session Goals:

The implementation of a successful offender reentry strategy in *State* will impact the roles and responsibilities of individuals and their work as a team.

The purpose of this final session of the work groups is to enable work group members to complete their discussions about the material that has been presented at the training (60 minutes), and develop a local action plan that will include goals and timelines for future offender reentry effort advancement (60 minutes). During this exercise, your team will be asked to identify priority goals and objectives – action steps – to assure that these goals are carried out. Work groups will also prepare a brief report-out on their activities and select a group member to serve as the group's reporter (15 minutes).

Session Instructions:

First, facilitators will build on past discussions to guide participants through a series of additional questions designed to surface critical gaps and needs in the current approach to offender reentry. Second, facilitators will guide teams through a series of steps that will result in the development of a local action plan.

Brainstorming (60 minutes)

1. Over the course of this training, we have discussed the components of an effective offender reentry strategy and a number of specific topics that contribute to effective offender reentry efforts. These include:

   - Leadership and Organizational Change
   - Assessment and Case Management
   - Evidence-Based Practices
   - Collaboration
   - Training and Staff Development
   - Addressing the Needs of Victims
   - Staff-Offender Interactions
   - Enhancing Motivation
   - Community Supervision
   - Responding to Infractions and Violations

2. Working individually, identify for yourself the change strategies you think would most significantly advance your work and the work of the agency as it strives to enhance public safety through successful offender reentry.

- Considering the topics we have discussed during this training, what do you believe are some of the most critical "gaps" in your agency's efforts to promote successful outcomes with offenders? Note your top 3-5 responses on a sheet of flipchart paper.
- Next to each, associate your idea with one of the categories listed above. For example, perhaps you believe that one of the greatest advancements would be additional training for institutional staff on evidence-based practices. In this case, note: "Training – More training for correctional officers on evidence-based practices." (Participants should note that all recommendations will be compiled and forwarded to the *leadership committee* along with any action plans.)

3. As you personally reflect on the goal of enhancing offender success, what one thing could the individuals in this group do differently to create positive change?   Note your response to this question on your flipchart as well.

4. Next, each participant will be asked to post and report out on their list.

Local Action Plan Development (60 minutes)

1. Looking around the room at the various suggestions made, group members will be asked to identify three action items they agree must be addressed to advance offender reentry efforts of *State*.
   - One way to do this is simply through group discussion.
   - Another is through group prioritizing. You may need to discuss what constitutes a "priority" and agree on a mutual definition before proceeding. The best way to determine the strength of the consensus in your group may be to provide each member the opportunity to vote for three priority goals. To accomplish this, ask each member to place check marks next to their top three priority items.

2. Agree on a set of priorities. If there is disagreement around the priorities, talk through all of the items that received votes and attempt to develop consensus on the top three.

3. Finally, develop an action plan to address the top three priority goals. Identify what the objectives for each goal are, who is responsible for ensuring each objective is accomplished, when each objective will be accomplished, and if any additional resources or external support from the agency or its partners is needed. Continue your action planning with the remaining goals as time permits.

Report-Out:

In the final plenary report-out (*Day, start time – end time*), each team will be represented on a panel by one of its members. To prepare for the final report-out, facilitators will take the last 15 minutes of this session to guide work groups through a discussion to answer, by consensus, the following three questions. Panelists will have no more than three minutes to respond to these questions, so responses should be concise. Each group will be asked to respond to the following three questions:

a. The most significant idea our group is taking away from this training is _____.

b. Our priority goal for our local action plan is _____. We will achieve this goal by accomplishing the following three objectives: _____ _____ .

c. Our group discussed some of the personal commitments each of us could make in the way we carry out our responsibilities. We have agreed that one change we can make immediately is _____ .

AGENCYWIDE TRAINING

Date
Meeting Location
City, State

SELECTED RESOURCES

Offender Reentry Web Sites

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AGENCYWIDE TRAINING

Date
Meeting Location
City, State

TRAINING EVALUATION FORM

Thank you for participating in this training and for completing this evaluation form. We will review your feedback carefully in order to identify ways in which we can improve the training.

Day 1

PLENARY SESSIONS

A National Overview of Offender Reentry	Yes	No
• Was the session effective in providing an overview of the national reentry effort?	❑	❑
• Did the information presented enhance your understanding of the benefits associated with enhancing public safety through successful offender reentry?	❑	❑
• Was the presenter effective in delivering the information?	❑	❑

The Agency's Vision for Offender Reentry	Yes	No
• Was the session effective in describing the agency's vision?	❑	❑
• Was the presenter effective in delivering the information?	❑	❑

The Framework of an Effective Offender Reentry Strategy	Yes	No
• Was the session effective in outlining a framework for an effective reentry strategy?	❑	❑
• Did the framework presented provide you with a mechanism for considering systemic change regarding the implementation of successful reentry strategies and the more effective management of offenders?	❑	❑
• Was the presenter effective in delivering the information?	❑	❑

Evidence-Based Policy and Practice and Offender Reentry	Yes	No
• Was the session effective in providing an overview of evidence-based practices as they relate to offender reentry?	❑	❑
• Did the information provided enhance your ability to understand the need for and use of evidence-based practices?	❑	❑
• Was the presenter effective in delivering the information?	❑	❑

	Yes	No
OFFENDER REENTRY: AN EXPERIENTIAL GROUP EXERCISE		

- Was the exercise effective in demonstrating the challenges to success encountered by offenders reentering the community? ❑ ❑

- Did the exercise challenge any of your conceptions about the ability of offenders to succeed in the community? ❑ ❑

- Were the presenters effective in facilitating the exercise? ❑ ❑

Day 2

PLENARY SESSIONS

Assessment and Case Management   Yes   No

- Was the session effective in describing assessment and case management?   ❑   ❑

- Did the information presented enhance your understanding of the key role of   ❑   ❑
  assessment in successful offender reentry strategies?

- Did the information presented enhance your understanding of the role of a   ❑   ❑
  single dynamic case management approach to promoting successful offender
  reentry?

- Was the presenter effective in delivering the information?   ❑   ❑

The Agency's Progress with Reentry   Yes   No

- Was the session effective in highlighting the progress the agency has made   ❑   ❑
  toward enhancing successful offender reentry?

- Did the information presented enhance your knowledge and understanding of   ❑   ❑
  the efforts underway in the agency to promote successful offender reentry?

- Was the presenter effective in delivering the information?   ❑   ❑

Personal Leadership and Individual Responsibility in the Change Process   Yes   No

- Did the information presented enhance your understanding of effective   ❑   ❑
  leadership, and its role in carrying out systemic change?

- Was the session effective in emphasizing the importance of personal   ❑   ❑
  responsibility in the change process?

- Was the presenter effective in presenting the information?   ❑   ❑

CONCURRENT SESSIONS

Please indicate which session you attended: _____

Please indicate the presenter for that session: _____

(This information is necessary to interpret your feedback.)

                                                                                Yes   No

- Did the information presented enhance your understanding of the subject   ❑   ❑
  matter?

- Will the information presented assist you in playing your role in the successful   ❑   ❑
  implementation of effective strategies to reduce risk and enhance offender
  success in reentry?

- Was the presenter effective in delivering the information?   ❑   ❑

Day 3

PLENARY SESSIONS

Enhancing Capacity Through Collaboration	Yes	No
• Was the session effective in describing the importance of collaborative partnerships in reentry?	❑	❑
• Did the information presented enhance your understanding of effective collaboration and provide you with methods to understand the effectiveness of collaborative partnerships?	❑	❑
• Was the presenter effective in delivering the information?	❑	❑

Building Effective Offender Outcomes	Yes	No
• Was the session effective in identifying the importance of effective and purposeful interactions with offenders and responses to non-compliance/violations?	❑	❑
• Did the information provided enhance your ability to engage offenders in effective and purposeful interactions?	❑	❑
• Did the information provided enhance your ability to respond effectively and constructively to instances of offender non-compliance/violations?	❑	❑
• Was the presenter effective in delivering the information?	❑	❑

BREAKOUT GROUP : BUILDING COLLABORATIVE PARTNERSHIPS	Yes	No
• Did you find the discussion group on collaboration to be helpful in identifying important collaborative partnerships for the agency?	❑	❑

WORK GROUP SESSIONS # 1 - 5

Who was your work group facilitator? _____

What was your work group number? _____

(This information is necessary to interpret your feedback.)

	Yes	No
• Did you find the work group exercises helpful in processing the information received during the plenary sessions?	❑	❑
• Did you find the work group sessions to be effective in encouraging discussion among participants?	❑	❑
• A key focus of the work group process was to develop recommendations for the leadership committee to strengthen the statewide reentry effort. Were you satisfied with the recommendations that your group developed?	❑	❑

GENERAL OBSERVATIONS

	Yes	No
• Did you find this training effective as a method to assist the agency in its efforts to implement effective strategies to enhance offender success in reentry?	❑	❑
• Did your participation in this training help clarify the roles you and others in the agency play in the successful implementation of effective strategies to enhance offender success?	❑	❑
• Did your participation in this training provide you with new information and/or tools that will assist you in your work?	❑	❑
• What information presented during the training did you find most useful? *(Select no more than three.)*	☑	
• A National Overview of Offender Reentry	❑	
• The Agency's Vision for Offender Reentry	❑	
• The Framework of an Effective Offender Reentry Strategy	❑	
• Evidence-Based Policy and Practice and Offender Reentry	❑	
• Assessment and Case Management	❑	
• The Agency's Progress with Reentry	❑	
• Personal Leadership and Individual Responsibility in the Change Process	❑	
• Enhancing Capacity Through Collaboration	❑	
• Building Effective Offender Outcomes	❑	

Please note other comments about the training or the agency's reentry effort you would like to share.

CHAPTER 4: PRESENTATION SLIDES

In this chapter, users will find a set of sample slides for plenary presentations. This chapter includes presentation material on offender reentry (including broad, framework information and material on the specific activities that encompass a successful offender reentry strategy).[3]

This chapter contains the following:

- Presentation Slides: A National Overview of Offender Reentry
- Presentation Slides: The Framework of an Effective Offender Reentry Strategy
- Presentation Slides: Evidence-Based Practice and Offender Reentry
- Presentation Slides: Assessment and Case Management
- Presentation Slides: Personal Leadership and Individual Responsibility in the Change Process
- Presentation Slides: Enhancing Capacity through Collaboration
- Presentation Slides: Building Effective Offender Outcomes
- Presentation Sources

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[3] Users of this curriculum are encouraged to select faculty members who are knowledgeable about and interested in the topic on which they are presenting, who are able to build upon the material based on their own experiences working in this area, and who can supplement the basic information provided in this curriculum.

PRESENTATION SLIDES: A NATIONAL OVERVIEW OF OFFENDER REENTRY

A National Overview of Offender Reentry

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Scope of the Problem (cont.)

■ Approximately 105,000 youth are housed in juvenile residential placements – primarily secure custody facilities – on any given day.

(OJJDP, 2001)

■ For juveniles under 18 years of age, new admissions to correctional facilities have increased 65% over the past 15 years.

(Sickmund, 2004)

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Scope of the Problem

■ The United States leads the world in incarceration rates.

(Walmsey, 2003)

  – European countries - 1:1,000

  – United States - 1:143

■ There are nearly 7 million adults under some form of correctional supervision in the United States today.

(BJS, 2004a & 2004b)

  – This is a marked increase from 1.8 million in 1980.

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Release Trends

■ 97% of individuals incarcerated in state prison will be released at some point.

(Barnett & Parent, 2002)

■ Over 650,000 individuals are released from prison each year.

(Harrison & Beck, 2005)

  ■ It is estimated that roughly 1/3 of released offenders are younger than 24 years of age.

■ Approximately 100,000 juveniles are released from institutional custody annually.

(Sickmund, 2000)

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Are Offenders Adequately Prepared for their Return to the Community?

Up to 1/3 of all adult offenders within correctional institutions have a diagnosable mental disorder… yet appropriate in-prison services are lacking.

(BJS, 1998)

Approximately 60-80% of youth in the juvenile justice system have mental health difficulties…yet each day, only 1/3 of all youth in need of mental health services actually receive the necessary interventions.
(NMHA, 2004)

Roughly 3 out of 4 adult inmates have substance abuse problems… yet only about 10% receive formal treatment while incarcerated.
(Hammett, 2000; BJS, 1999)

Approximately 40-70% of youth in juvenile correctional facilities have substance abuse difficulties …yet many do not receive treatment.

(NIJ, 2002)

Of the incarcerated adults and juveniles with mental health difficulties, between 60-75% have co-occurring substance abuse difficulties.
(The National GAINS Center, 2001; 2002)

40% of adults released from correctional placement have not obtained a GED or high school diploma.

(BJS, 2003)

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Only 1 out of 3 inmates receives vocational training while incarcerated.

(Steurer, Smith, & Tracy, 2001)

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Roughly 30-50% of youth within juvenile justice or correctional placements have special educational needs, although when considering any disorders that interfere with educational performance and achievement, the percentage increases to approximately 75-80%.

(Rutherford et al., 2002)

However, more than 25% of these youth are placed in facilities that do not assess academic or other special needs.

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55% of inmates have children under 18 years of age.

(Travis et al., 2003)

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For children and adolescents, having an incarcerated parent is a significant risk factor for delinquency.

(Waul et al., 2002)

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The Rising Costs of Incarceration

■ Spending on corrections has been among the fastest growing items in state budgets over the last 15 years.

■ American taxpayers spent $9 billion for corrections in 1982; by 2001, this figure rose to $60 billion.

– These figures do not include the costs of arrest, prosecution, or court processing, the costs to victims, or other collateral costs.

(BJS, 2004c)

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Impact on State Budgets

■ Between 1977 and 2001, total state and local expenditures for corrections increased 1,001%, compared to:
- −448% for education
- −482% for hospitals and healthcare
- −617% for public welfare

(Lotke et al., 2004)

Expenditures in the Juvenile Justice System

Approximately $10-15 billion is spent annually on juvenile justice… and most of these funds are used for institutional confinement.

(CASA, 2004)

Expenditures in the Juvenile Justice System

The average cost to incarcerate one juvenile for a single year is between $35,000 and $60,000.

(Wilson & Howell, 1993)

The Central Question

Have states improved public safety through their incarceration efforts?

"It has been suggested that we have reached a point of diminishing returns on our investment in prisons."

-James Q. Wilson

"Our resources are misspent, our punishments too severe, our sentences too long."

-Justice Anthony M. Kennedy, August 9, 2003, in a speech to the American Bar Association

"This year, some 600,000 inmates will be released from prison back into society. We know from long experience that if they can't find work, or a home, or help, they are much more likely to commit more crimes and return to prison. So tonight, I propose a four-year, 300 million dollar Prisoner Reentry Initiative to expand job training and placement services, to provide transitional housing, and to help newly released prisoners get mentoring, including from faith-based groups. America is the land of the second chance – and when the gates of the prison open, the path ahead should lead to a better life."

- President George W. Bush, 2004 State of the Union Address

Re-Incarceration Trends

- 30% of adult offenders released from state prisons are rearrested within the first six months following their release.
  (BJS, 2002)
  - Within 3 years of release, this number increases to 2 out of 3 rearrested.
- Between 50 – 70% of young offenders released from institutional custody are rearrested within 2 years.
  (Brown et al., 2002)
- Revocations are the fastest growing category of prison admissions – parole violators account for 35% of new prison admissions today, as compared to 17% in 1980.
  (Travis & Lawrence, 2002)

Thus far, our efforts have not been successful at reducing returns to institutional confinement.

Given the complexities and challenges associated with reentry – and in light of our historically unsuccessful approaches – the need for a new strategy is evident.

The National Picture: Interrelated Efforts

- National Governors Association's Prisoner Reentry Policy Academy (NGA)
- National Institute of Corrections' Transition from Prison to Community Initiative (TPC)
- U.S. Department of Justice, Office of Justice Programs' Serious and Violent Offender Reentry Initiative (SVORI)
- Council of State Governments, Justice Center Projects: Re-Entry Policy Council and Justice Reinvestment Initiative
- Private Foundations at the national (JEHT Foundation, others) and local levels

Areas of Convergence

- Each of these initiatives recognizes:
  - Successful reentry is a legitimate and important goal

  - The need to promote and maintain offender success
    - Offender success translates into community safety

Areas of Convergence (cont.)

– Common barriers and challenges to reentry
  • Fragmentation within and across agencies and systems
  • Organizational culture
  • Incompatible policies and practices

– A critical need for multiple stakeholders across disciplines and agencies to be involved collaboratively

In Conclusion

■ We are in a time when the nation is focused on reentry as a major public policy initiative.

■ Empirical research and practical experiences are available to guide your course.
  – There is much to learn from others.
  – Others will learn much from you!

PRESENTATION SLIDES: THE FRAMEWORK OF AN EFFECTIVE OFFENDER REENTRY STRATEGY

1. What is the Emerging "Vision" Regarding Offender Reentry?

- There is a growing consensus amongst state entities involved with SVORI, TPC, NGA and other reentry initiatives that their vision is to develop collaboratively strategies that will promote a greater likelihood of offender success after release to the community.
- Having a greater percentage of offenders successfully reintegrate into communities means a reduction of recidivism and enhanced public safety (fewer crimes, fewer victims).

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Offender Success and Public Safety

- In creating a vision in which promoting the success of adult and juvenile offenders is a key to promoting public safety, jurisdictions are considering:
  - Recent research in the areas of offender risk, needs, and responsivity;
  - The emergence of evidence-based practice information;
  - The belief that agencies and entities can work together in order to create a more seamless and effective overall system for managing offenders; and
  - An appreciation of the results that our current practices have on the allocation of existing resources

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How Does This Relate to Your Vision?

- In order for these reentry efforts to be successful, the vision and beliefs of the leaders of institutional and community supervision entities, state and local providers of various types of services or assistance, and community groups or other interested parties will be critical. How does the idea of working to help generate more offender success fit with the goals of your organization?

- What is your vision in this area? How is your vision conveyed to staff? How does this vision affect the way that work gets done?

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A Look Backward

- Over the past 20 years, our field has seen an enormous growth in our offender populations, often without a corresponding increase in our resources.

- For a variety of reasons, we have seen the emergence of many "get tough" approaches regarding the management of offenders. These have included "3 strikes" laws, the decline of discretionary release options, and the emergence of surveillance and control activities or programs.

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Looking Forward

- The desire to increase public safety by focusing on activities that can increase the likelihood of offender success offers a different way of achieving your public safety objectives.

- Even though the end result you seek may be the same, the actions you take, methods you use and systems that you design may be quite different than those currently in use. To make changes in your system, leadership will be required.

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2. The Critical Role of Leadership

- Leadership is, at least in part, the ability to help create meaningful change by:

  - **Setting the context**: Starting with the end in mind and communicating where you want the organization to go;
  - **Aligning work to fit the vision**: Helping people do the critical things that must be done in order for the organization to move in your intended direction (such as prioritizing work activities); and
  - **Encouraging and rewarding the outcomes that you seek**: Considering the impact that your hiring, promotional and training programs have on staff.

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Changing Tires on a Moving Car

- Few things may be harder to do in government than trying to get people who have been doing a job one way to accept the need or value of doing it a very different way.

- Everyone is busy. How can we take on new work or make changes while we're so busy?

- Everyone knows that things change, but most people resist changes in their work activities unless they see these changes as desirable.

4 Levels of Non-Response

1. **Evasion** – "I didn't know what you were talking about."

2. **Denial** – "This will never happen. This is just talk."

3. **Resistance** – "This is a bad idea. I'm not going to go along with this."

4. **Minimal Compliance** – "I'll only do what I have to until this goes away."

Combating Non-Responsiveness: Every Drop of Rain Matters

1. People don't listen. So don't let people leave the room until they understand what you said.
2. Put changes in writing. Revise policies, change position descriptions, issue memos, etc.
3. Confront resistance. Require staff to tell you what they don't like. Have those who raise issues get involved in developing ways to fix problems.
4. Reward/praise those who do what you want done. Give staff what they need to succeed.

3. Your Organization's Actions and Activities Reveal its Beliefs

- In light of your vision concerning offender transition and reentry, consider the following:
  - What do you appear to value in your employees? Who is hired/promoted/recognized?
  - How do staff spend their time?
  - How is staff time prioritized?
  - What do you train staff to do?
  - What do your policies express regarding the management or supervision of offenders?

Appreciating the Importance of Organizational Culture

- Work activities can be identified and linked together to help achieve particular outcomes that are consistent with your vision.

- But attitudes, beliefs, methods, and choices made by individual staff, or by groups of staff, create the climate in which this work gets carried out. This climate can support and promote the changes that you wish to see – or it can prevent or delay the results for which you had hoped.

4. The External Environment

- In moving forward with your intended changes, it is also important to consider the perspective of individuals and groups that are not part of your organization.
- Key government officials, personnel from other state agencies, victims, community providers, and many others may have specific interests or concerns that may need to be considered and incorporated into your final products.

78

5. Preparing for Change

- Therefore, as you begin this journey, you need to determine several things:
  - Where you want to end up;
  - The best route to take to your destination;
  - The best ways to prepare and equip your employees for possible changes in their work; and
  - How to successfully involve and utilize input from many possible sources.

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What Types of Changes Might Occur?

- Rather than simply responding to offender failure, we now see some jurisdictions taking a more active role in trying to systematically promote more success (and thereby prevent failures) by offenders.

- There is no doubt that the best possible protection of the public occurs when no crime is committed. Prevention, rather than responding to failure, can become the focus for our work.

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How a Focus on Prevention Can Alter Our Approach to Work

- Identifying offender success and prevention as our desired outcomes may cause us to rethink how certain aspects of our work are approached. For instance:
  - Specific risk, needs, and transition issues must be appropriately identified and attended to by institutional staff long before the offender's release.
  - Staff need to be armed with all of the pertinent information necessary to effectively manage or supervise the offender.

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How a Focus on Prevention Can Alter Our Approach to Work (cont.)

- Institutional and community corrections staff, along with community providers and others, will have to work in harmony to develop and carry out appropriate supervision plans.
- Staff may have to change the nature or substance of their interactions with offenders.

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"You might be on the right track, but you'll still get run over if you just sit there."

-Will Rogers

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Leadership and Organizational Change

Offender Management Practices

Rational Planning Process

Multi-Agency Collaboration

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Developing a Rational Approach to Making Organizational Changes

- As we contemplate moving forward in this area, we need to have a system or method that we can employ to rationally consider where we are, what we have, and how this compares to where we want to be.

- The objective identification of issues, gaps, problems, and opportunities will give our organizations the ability to move constructively in the desired directions.

Why a Rational Planning Process?

- Even with the best of intentions, it is common for agencies and organizations to make changes prematurely in an attempt to achieve a specific goal or outcome:
  - In a reactionary manner, in response to a critical incident
  - Due to external pressures
  - Because of a new and promising idea or popular trend
  - Based on a suspicion, belief, or assumption that a problem, need, or gap exists
- Consequently, these attempts to promote system change – though laudable – do not produce the desired results.

Why a Rational Planning Process? (cont.)

- Reasonable, effective, and lasting change is more likely to occur when we understand fully and agree upon:
  - Precisely what we want to achieve or accomplish – or where we ultimately want to be (vision)
  - Where we are currently in relation to that vision
  - Existing strengths of the system upon which we can build
  - Needs or barriers in policies, procedures, or resources that hinder our ability to advance
  - The most critical priorities
  - The specific strategies that will be most powerful and impacting for *our* agency

Planning for Change

- Agencies that are most successful in achieving identified goals or outcomes invest the time and resources needed to conduct a deliberate, thorough, and critical self-assessment and to plan for change accordingly.

"Give me six hours to chop down a tree, and I will spend the first four hours sharpening the axe."

- *Abraham Lincoln*

Critical First Steps for Agency Leaders

- First – and perhaps most importantly – clearly articulate the vision for your agency relative to promoting successful reentry.

- Second, identify strong and committed leaders within your agency to assist in the planning and implementation process.

- Third, become fully informed about the strengths and needs within your system.

Assessing the Strengths and Needs Within Your Agency

- Charter a strategic planning team – be clear about their role and your expectations of them.

- Review – and revise, if necessary – your agency's vision to ensure that it is clear and compelling.

Assessing the Strengths and Needs Within Your Agency (cont.)

- Task the team with developing a detailed and thorough understanding of:
  - The offender population within your agency and/or jurisdiction;
  - The activities and services available – both within the agency and within the jurisdiction – to manage this population;
  - The policies and procedures within your organization that describe how offender management currently occurs; and
  - The empirically-based research on offender management practices, as well as the lessons emerging from national experience on innovative approaches to offender management and reentry.

Facilitating Lasting and Impactful Change

- Once the team is equipped with this information and data, task them with:
  - Critically assessing the most significant needs – those that, if addressed, are likely to result in the greatest impact;
  - Identifying detailed and specific strategies to address the prioritized needs;
  - Overseeing the careful implementation of these strategies;
  - Monitoring the results to determine the extent to which the desired change – and movement toward your vision – is occurring; and
  - Using the results to inform continued efforts or potential changes to your strategies in order to ensure successful outcomes.

Leadership and Organizational Change

Offender Management Practices

Rational Planning Process

Multi-Agency Collaboration

Reentry Barriers are Multifaceted

- Limited housing
- Unemployment
- Educational needs
- Mental health difficulties
- Healthcare needs
- Financial instability
- Family concerns
- Public sentiment

Collaborative Partnerships are Essential

- The number and nature of reentry barriers extend far beyond the boundaries of the criminal and juvenile justice systems.
- Successful reentry cannot be achieved through the efforts of any single agency.
- Multi-agency, multi-disciplinary collaboration is vital to overcome these barriers.
- A combination of traditional and non-traditional partnerships is required.

Two Levels of Multi-Agency Collaboration

- State, regional, or local policy teams
  - Individuals that have decisionmaking or policymaking authority
- Case management teams
  - Individuals providing direct services to offenders and their families

Who Should be Involved?

- Individuals, agencies, and organizations that:
  - Have a vested interest in community safety;
  - Are directly or indirectly responsible for offender management;
  - Work closely with – or advocate for – victims;
  - Can provide mentoring or positive social supports;
  - Offer educational and vocational services;
  - Can promote access to appropriate and affordable housing;
  - Deliver healthcare services;
  - Provide mental health services;
  - Have the ability to facilitate access to employment; and
  - Can provide support and assistance to children and families of formerly incarcerated individuals.

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Examples of Key Stakeholders

- Criminal courts
- Adult corrections agencies
- Community supervision agencies
- Paroling authorities
- Mental health agencies
- Public health departments and other healthcare agencies
- Veterans affairs officials
- Housing authorities
- Employment agencies
- Social services agencies
- Faith-based partners

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A Shared Vision

- These diverse agencies and organizations often have individual visions and missions that may not complement or support one another.
  - Competing policies and practices may actually become barriers to successful reentry.
- To ensure successful reentry, it is possible – *and essential* – to create a shared vision across agencies.
- Through a shared vision, key stakeholders are able to find common ground that can serve as a catalyst for promoting offender success and ensuring public safety.
  - Each stakeholder begins to recognize their unique role.
  - The cumulative energy and effort becomes powerful.

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Multi-agency partnerships can ensure that the necessary supports, services, and offender-management practices are provided in a manner that promote offender success and community safety.

"You could have the best bunch of individual players in the world, but if they don't play like a team, they won't be worth a dime."

- Babe Ruth

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Leadership and Organizational Change

Offender Management Practices

Rational Planning Process

Multi-Agency Collaboration

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Evidence-Based vs. Promising Practices

- There is empirical support for several of the offender management practices (i.e., "evidenced-based approaches").
  - Researchers have confirmed specific and defined outcomes (e.g., reductions in recidivism, increased employment rates, behavioral improvements).
- Other elements have not been empirically tested, but there is general agreement among experienced professionals that these offender management practices are important and beneficial (i.e., "promising practices" or "best practices").

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Key Offender Management Practices

- Early and ongoing assessment to identify risk and criminogenic needs, both within the institutional/residential setting and the community
- Evidence-based interventions within the institutional/residential setting
- Proactive transition and release planning
- Informed release decisionmaking

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Key Offender Management Practices (cont.)

- Success-oriented supervision approaches that reinforce desired behaviors and include graduated responses to violations
- Evidence-based interventions in the community
- Services and supports in the community
- Planning for ultimate release from the authority of the correctional, juvenile justice, or supervision agency
- Monitoring and evaluating policies and practices

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Conclusions

- We must identify how we want to do business and what we want to accomplish. Do we want our work to be driven by a desire to promote offender success or by expectations for offender failure?
- We must recognize that working in isolation will not allow us to effectuate successful reentry. As such, we must make a commitment to work closely with other key agencies, organizations, and individuals.
- We must challenge ourselves to ensure that our practices are state-of-the-art, empirically supported, and effective. As we identify "what works" (and what isn't working), we must be willing to adjust our strategies to ensure maximum impact.

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Conclusions

- We cannot allow ourselves to become complacent or to be satisfied with the status quo. We must appreciate our overall goals, examine critically our organizational culture, current policies and practices, and our actual impact.
- And keep in mind that:

  "Obstacles are those frightful things you see when you take your eyes off your goals."
  — *Henry Ford*

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PRESENTATION SLIDES: EVIDENCE-BASED PRACTICE AND OFFENDER
REENTRY

**Evidence-Based Practice
and Offender Reentry**

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The Problem

■ Offenders returning to communities:
  – Have high levels of untreated substance abuse difficulties;
  – Have a high prevalence of undiagnosed and untreated mental health issues;
  – Have low levels of educational attainment;
  – Are often disconnected from prosocial peers/families;
  – Continue to hold antisocial values and attitudes;
  – Experience housing and employment difficulties; and...

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The Problem (cont.)

Are returning to incarceration at an alarming pace and at staggering rates

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The Goals

■ Reduced recidivism, safer communities
■ Successful, productive, and contributing ex-offenders
■ Healthy and stable children and families

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A Critical Part of the Solution:

Evidence-Based Practices

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What is Evidence-Based Practice?

- The objective, balanced, and responsible use of current research and the best available data to guide practice decisions, such that outcomes for consumers are improved.
  - In our case, consumers include offenders, victims, communities, and other key stakeholders.

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Put Simply:

Evidence from relevant literature should support policy and practice decisions.

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Why Evidence-Based Practice in General?

- Challenges the blind adoption of practices, counters naïve adherence to the status quo
  - Especially when we can't explain the rationale for our practices

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Why Evidence-Based Practice in General? (cont.)

- Helps provide clarification about why we do what we do (or why we should be doing something *different*!)
  - Evidence (or lack thereof) on which our practices are based
  - Soundness of that evidence
  - Strength of inferences or conclusions that can be drawn from this evidence

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Why Evidence-Based Practice in General? (cont.)

- Enhances our ability to have better results
- Promotes accountability
- Creates a system of informed policymakers, practitioners, and consumers

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Why Evidence-Based Practice in Corrections?

■ To end the risky "trial and error" approaches we've used with offenders in the past
- Builds on the lessons learned from our predecessors
- Promotes consistency
- Fosters responsible practices

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Why Evidence-Based Practice in Corrections? (cont.)

■ **To invest limited resources wisely**
- Getting the most "bang for our buck"

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Why Evidence-Based Practice in Corrections? (cont.)

■ To maximize the likelihood of offender success
- Equipping them with skills/competencies needed to reintegrate
- Moving beyond "get out and stay out"

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Why Evidence-Based Practice in Corrections? (cont.)

■ To ensure that internal and external stakeholders understand and support our practices and decisions
- Increases accountability

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Why Evidence-Based Practice in Corrections? (cont.)

■ **To better our chances of reducing crime**
- Creating safer facilities
- Creating safer communities

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Defining "Evidence"

■ Something helpful in forming a conclusion or judgment
■ An outward sign
■ Something clearly indicative, or that furnishes proof

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Evidence or Proof of WHAT?

That what we are <u>doing</u> relative to offender reentry is leading to the desired outcomes!

What Constitutes Good Evidence?

Good Evidence?

- 1,200 offenders received prison-based substance abuse treatment.
- 5 years post-release, these offenders had a recidivism rate of only 10 percent.
  - Is this "evidence" to support the treatment program? Why or why not?
  - How else could the low recidivism rates be explained?

Good Evidence?

- 450 juveniles who completed a cognitive skills program were compared to 500 youth who did not participate in the program.
- The "treated" youth had only a **12%** recidivism rate, compared to a **37%** recidivism rate for the "untreated" youth.
  - Is this "evidence" to support the treatment program? Why or why not?
  - How else could the low recidivism rates be explained?

Good Evidence?

- 20 sex offenders received specialized treatment within a prison-based therapeutic community.
- They were compared to a matched group of 20 sex offenders who received no treatment.
- No differences in recidivism rates were found 4 years post-release.
  - Does this evidence suggest that treatment is ineffective?
  - Why or why not?

The Best Evidence Comes From…

- Large sample sizes
- Random assignment
- Control over confounding variables
- Consistency of findings
- Cross-site replication

How Much Evidence Is Enough?

How Much Evidence Is Enough?

- 3 out of 4 studies?
- 4 out of 5 studies?
- 9 out of 10 studies?

Beware:

There is almost always some research to support either side of an argument!

The Key:

An <u>objective, balanced, and responsible</u> review and use of the professional literature to find good evidence.

Meta-Analysis: A Promising Method of Evaluating Evidence

- Moves beyond the traditional critical literature review
- Statistically synthesizes the results of multiple studies into a "single" average intervention effect size

"Evidence-Based" Does *Not* Mean

- All research findings pertaining to a specific intervention or strategy must reach the same conclusion for *all* samples and across *all* settings.
- Additional findings cannot provide refuting evidence down the road (i.e., once evidence-based, always evidence-based).

"Evidence-Based" Does *Not* Mean (cont.)

■ That we are getting "soft" on criminals... quite the contrary!
  – Evidence-based practice provides more assurance that we use the "right" strategies and approaches that will lead to offender accountability and success.
  – This translates into:
    ■ Reduced institutional misconduct and enhanced institutional safety; and
    ■ Reduced community misconduct and enhanced community safety.

"Evidence-Based" Does *Not* Mean (cont.)

■ Any specific evidence-based intervention or strategy is guaranteed, failsafe, or a "magic bullet"

■ Nothing else will ever "match" or "surpass" the impact of a current evidence-based intervention or strategy

Because we are using *current* research and *best available* data, we should expect to adjust our practices over time!

Three decades ago…

■ The evidence base in criminal and juvenile justice seemed bleak
  – "With few and isolated exceptions, the rehabilitative efforts that have been reported so far have had no appreciable effect on recidivism."
  (Martinson, 1974, p. 25)

Currently…

■ There is a growing evidence base that suggests:
  – Some interventions and strategies do not lead to the desired outcomes; and
  – Some interventions and strategies do!

For which interventions and strategies is the evidence less than favorable?

Impact of Sentence Length on Recidivism
(Smith, Goggin, & Gendreau, 2002)

Impact of Punishment-Driven Strategies on Recidivism: Adults
(Smith, Goggin, & Gendreau, 2002)

Impact of Punishment-Driven Strategies on Recidivism: Juveniles
(Smith, Goggin, & Gendreau, 2002)

Impact of Intermediate Sanctions on Recidivism: Adults
(Aos et al., 2001, 2006; Gendreau et al., 2000)

Impact of Intermediate Sanctions on Recidivism: Juveniles
(Aos et al., 2001; Lipsey & Wilson, 1998)
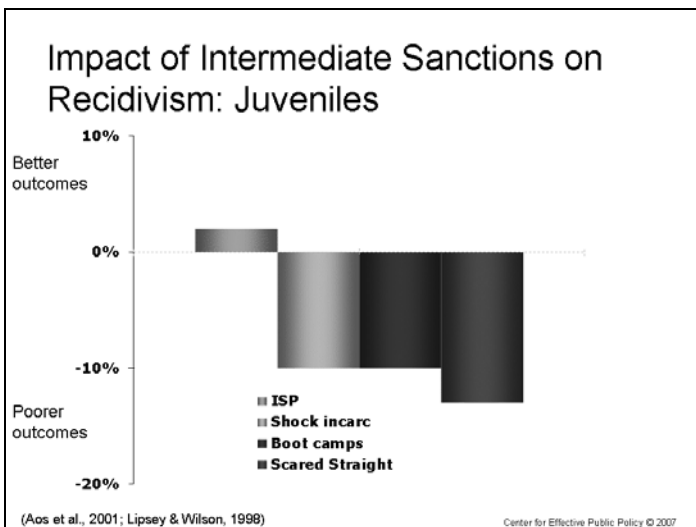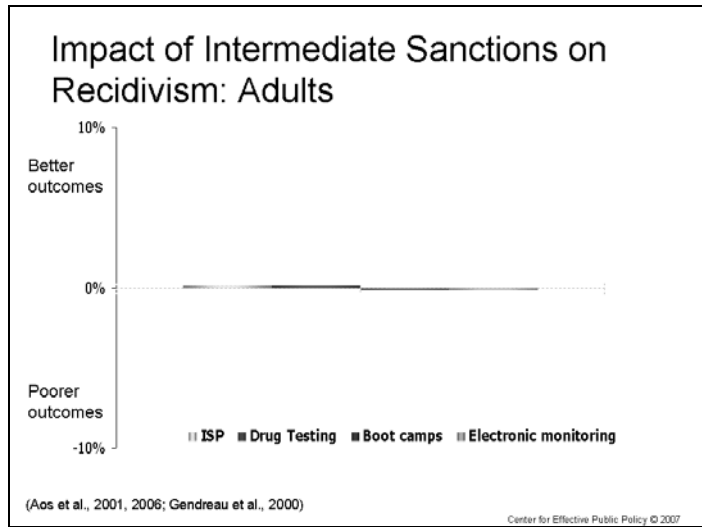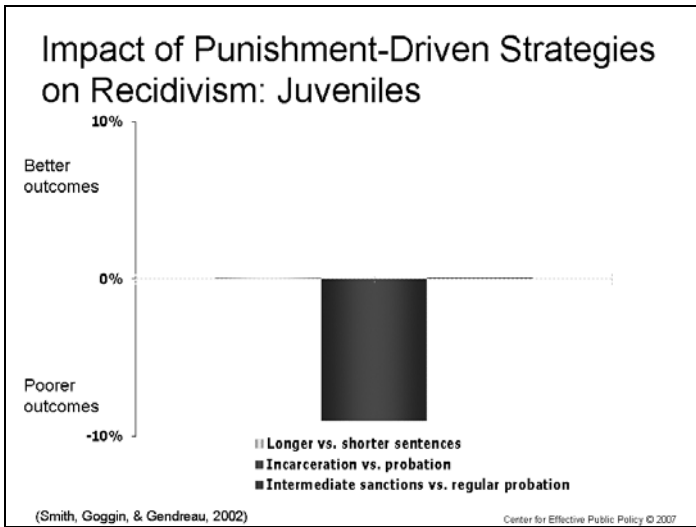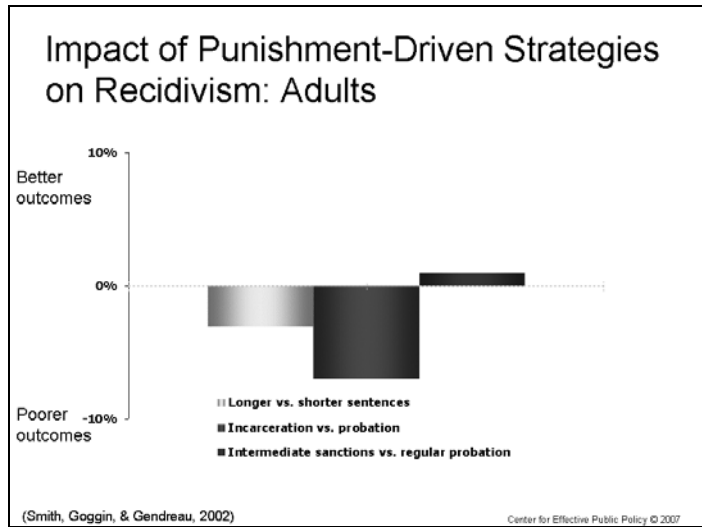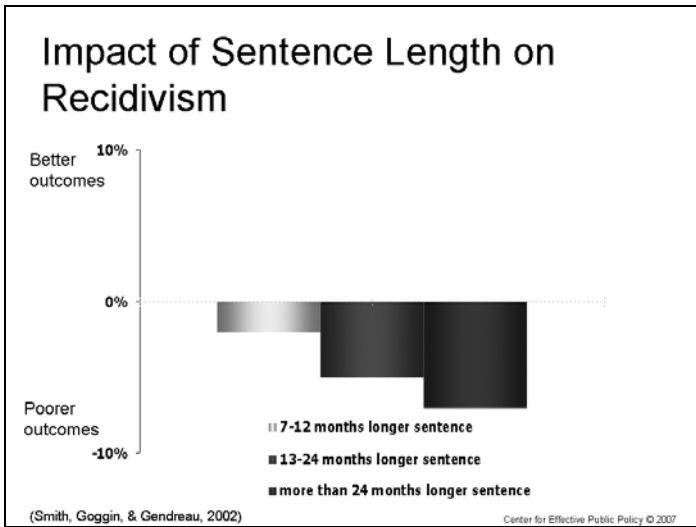
Pairing Rehabilitative Interventions with Supervision/Sanctions

- Research demonstrates that punishment and deterrence-driven approaches used in isolation have
  - Negligible impact;
  - No impact; or
  - Negative impact.

(see Aos et. al, 2006; Cullen & Gendreau, 2000; MacKenzie, 1998; Petersilia & Turner, 1993)

Pairing Rehabilitative Interventions with Supervision/Sanctions (cont.)

■When paired with prosocial or rehabilitation-oriented interventions (e.g., treatment, education, community service):

– Recidivism rates are reduced significantly; and

– Re-arrests are as much as 20 percent lower.

(see Aos et al., 2006; Cullen & Gendreau, 2000;
MacKenzie, 1998; Petersilia & Turner, 1993)

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Intervention Effects by Supervision Approach
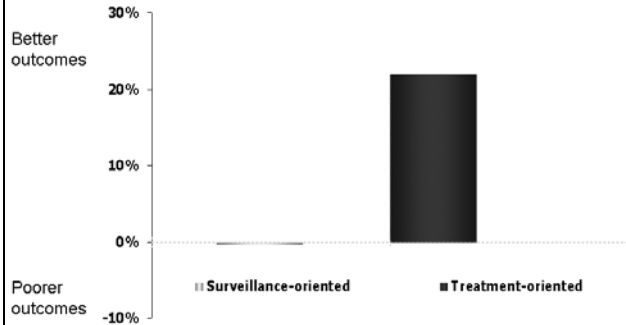
(Aos et al., 2006)

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Which interventions and strategies have evidence to support the desired outcomes?

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Impact of Effective Interventions: Adults

Well-designed and well-delivered programs can reduce recidivism by as much as 30% for adult offenders.

(see, e.g., Lowenkamp & Latessa, 2005; Andrews & Bonta, 2003;
Andrews et al., 1990; Cullen & Gendreau, 2000; Gendreau, Smith, &
Goggin, 2001)

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Intervention Effects for Adult Offenders:
Cognitive Skills/Cognitive-Behavioral Programs
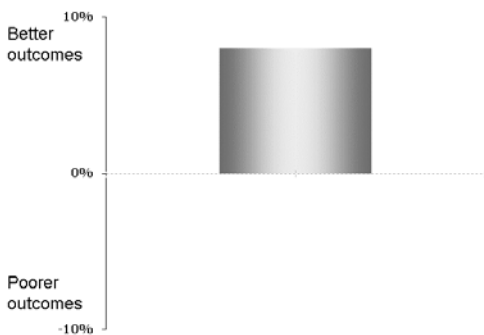
(Aos et al., 2001, 2006)

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Intervention Effects for Adult Offenders:
Substance Abuse Treatment

(Aos et al., 2001, 2006)

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Intervention Effects for Adult Offenders: Education/Vocational Programs and Services

- Job Srch/Couns for Exiting Offenders
- Work Release (vs. Incarceration)
- Correctional Industries
- Adult Basic Education
- Vocational Education
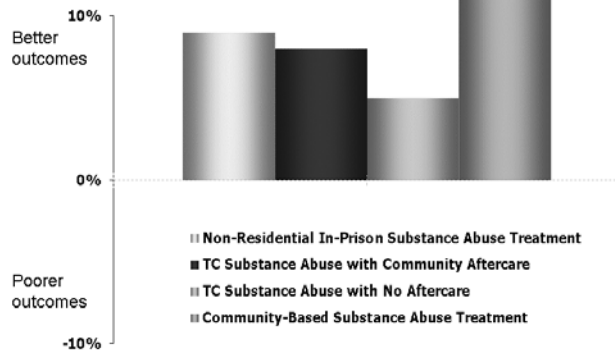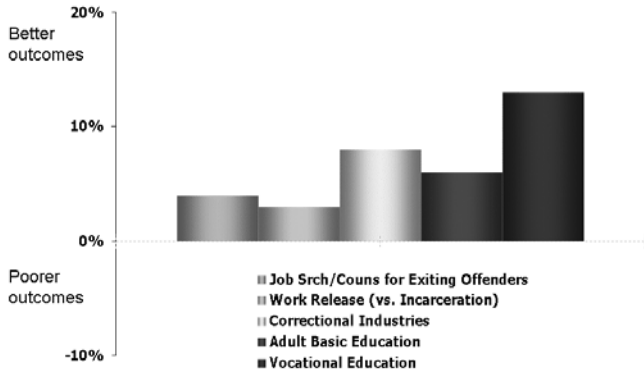
(Aos et al., 2001, 2006)

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Impact of Effective Interventions: Juveniles

Estimates across meta-analyses suggest that interventions overall can result in up to 30% reductions in problem behaviors and recidivism for juveniles.

(see, e.g., Lipsey, 1992; Lipsey & Wilson, 1993, 1998; Losel, 1995: MacKenzie, 1998)

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Intervention Effects for Juvenile Offenders: Cognitive-Behavioral

- Behavioral programs
- Aggress Rplcmt
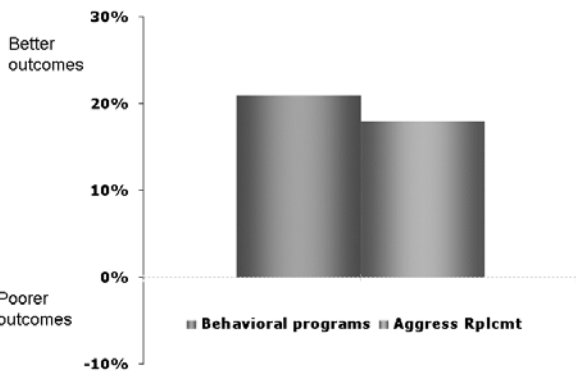
(Aos et al., 2001; Lipsey & Wilson, 1998)

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Intervention Effects for Juvenile Offenders

- Multimodal
- Wraparound
- Other family-based
- Aggress Replacement
- Behavioral
- FFT
- MST
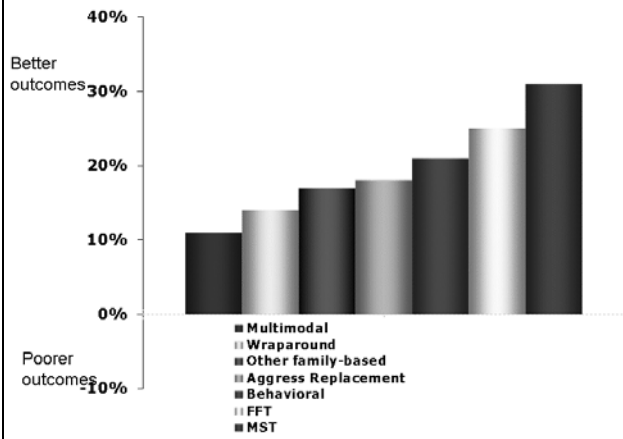
(see, e.g., Aos et al., 2001; Lipsey, 1992; Lipsey & Wilson, 1993, 1998)

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So if your offender management system includes:

- Substance abuse treatment
- Mental health services
- Educational and vocational programs
- Cognitive-behavioral programs
- Family interventions
- Special needs services
- Balanced supervision strategies

...then you're all set, right?

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Not necessarily!

- Not all interventions and strategies are created equal.
- Many factors can have a significant impact on the ultimate outcomes of these interventions.

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What separates the effective from the ineffective interventions?

The Principles of Effective Correctional Intervention

(see, e.g., Andrews & Bonta, 1998, 2003; NIC & CJI, 2004;
Clawson et al., 2005; Cullen & Gendreau, 2000)

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Risk Principle

- Assess offenders' risk and criminogenic needs
  - Via actuarial risk assessments
- Target higher risk offenders
  - More significant reductions in recidivism are likely to be realized
  - Targeting offenders who are already at low risk for recidivism is impractical
    - May actually increase likelihood of recidivism

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Risk Principle

- Ensure appropriate dosage
  - More intensive services for higher risk and higher need offenders
    - Duration of 3 to 9 months
    - Occupy 40-70% of offenders' time

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Need Principle

- Target dynamic risk factors (i.e., criminogenic needs)
  - Behavioral history
  - Attitudes, values, beliefs
  - Personality, temperament
  - Family
  - Peers
  - Vocational achievement

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Responsivity Principle

- Match interventions to responsivity factors
  - Learning style
  - Motivation
  - Mental health symptoms
  - Cognitive/intellectual functioning

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Responsivity Principle (cont.)

- Use multimodal, behavioral and cognitive-behavioral interventions that
  - Promote intrinsic motivation
    - Include more positive reinforcers than punishers
    - "Carrots versus sticks"

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How do the core principles measure up?

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

- Adhere to all 3 principles
- Adhere to 2 principles
- Adhere to 1 principle
- Adhere to none
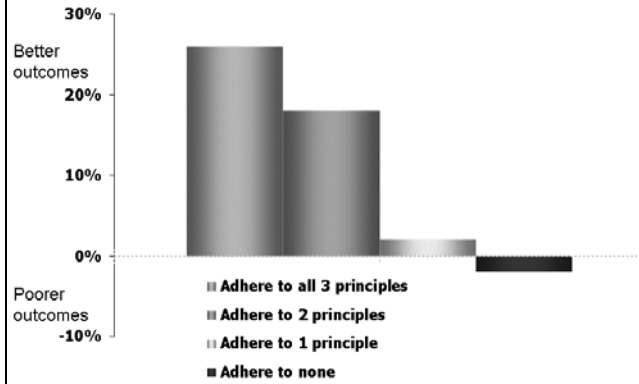
(Andrews & Bonta, 2003; Lowenkamp & Latessa, 2005)

Halfway Houses to Promote Reentry: Efficacy as a Function of Offender Risk*
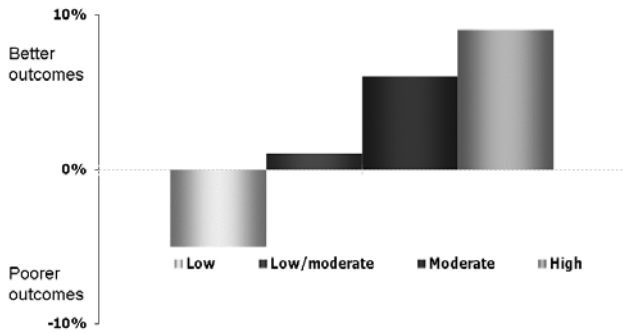
 Low   Low/moderate   Moderate   High

* Approx. 3,500 offenders placed in halfway houses, compared to 3,500 not placed in a halfway house

(Lowenkamp & Latessa, 2005)

Targeting Criminogenic and Non-Criminogenic Needs

Is More Better?

Prison Misconduct Reductions as a Function of Targeting Multiple Criminogenic Needs*

- 3-8 Criminogenic needs
- 1-2 Criminogenic needs
- 0 Criminogenic needs, up to 6 non-crim needs
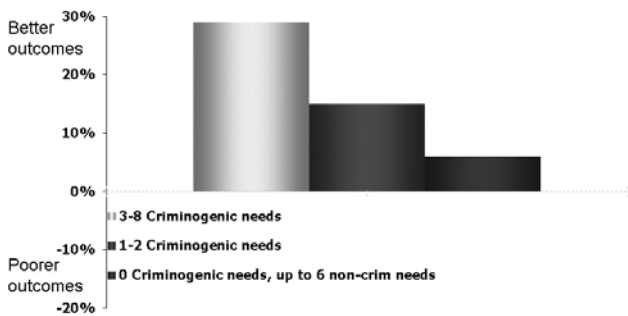
* Meta-analyses including over 13,000 offenders

(French & Gendreau, 2003)

Recidivism Reductions as a Function of Targeting Multiple Criminogenic vs. Non-Criminogenic Needs

 6   5   4   3   2   1   0   -1   -2   -3

More criminogenic than non-criminogenic needs

More non-criminogenic than criminogenic needs
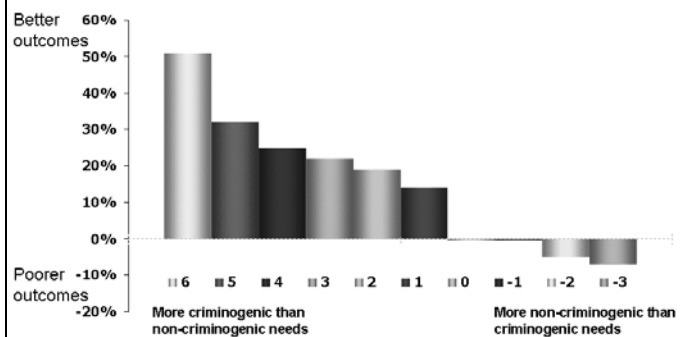
(Andrews, Dowden, & Gendreau, 1999; Dowden, 1998)

Halfway Houses to Promote Reentry: Efficacy as a Function of Number of Services Targeting Criminogenic Needs*

* Approx. 3,500 offenders placed in halfway houses, compared to 3,500 not placed in a halfway house

(Lowenkamp & Latessa, 2005)

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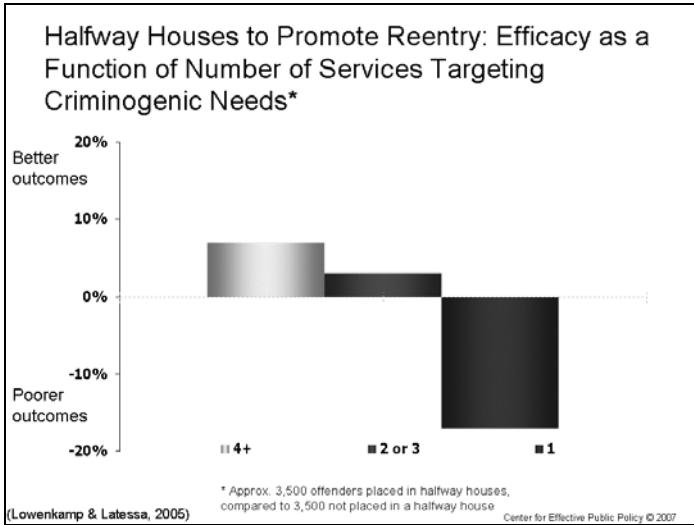
Additional Principles

- Link institutional programs and services to community-based interventions
  - Continuity of care
- Engage prosocial community influences to support interventions
  - Foster positive ties in the community

(see, e.g., Andrews & Bonta, 1998, 2003; NIC & CJI, 2004; Clawson et al., 2005; Cullen & Gendreau, 2000)

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Additional Principles (cont.)

- Ensure program integrity
  - Solid program theory
  - Fidelity of implementation
  - Program climate
  - Well-trained staff

(see, e.g., Andrews & Bonta, 1998, 2003; NIC & CJI, 2004; Clawson et al., 2005; Cullen & Gendreau, 2000)

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Additional Principles (cont.)

- Monitor and evaluate
  - Staff performance (provide feedback and reinforcement)
  - Within-treatment changes
  - Outcome evaluations

(see, e.g., Andrews & Bonta, 1998, 2003; NIC & CJI, 2004; Clawson et al., 2005; Cullen & Gendreau, 2000)

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Correctional Programs' Adherence to the Principles of Effective Intervention*: Percentage Classified by Overall CPAI Rating

(Matthews, Jones-Hubbard, & Latessa, 2001)   *N=86

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Efficacy of Halfway Houses as a Function of Adherence to the Principles of Effective Intervention: Overall CPAI Rating*

* Approx. 7,300 offenders placed in halfway houses, compared to 5,800 not placed in a halfway house

(Lowenkamp & Latessa, 2005)

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The Challenges of Implementing Evidence-Based Practices

- Requires a dedicated commitment to change by managers, line staff, and everyone in between
  - *Not just in corrections agencies, but in all service delivery agencies*
- Requires an increased emphasis on accountability for our work – individual and collective
- Requires us to reconsider current practices and let go of the "that's always how we've done it" philosophy
- Requires us to confront and address resistance

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Key "Take Away" Points

- Be aware of the "what works" literature and its special application.
- Become familiar with programs/services within your institutions and local communities.
- Develop collaborative case management plans that can serve as a roadmap for offenders and system actors from the point of entry into prison through reentry.
- Ensure critical sharing of information/documentation about offenders' participation and progress in prison-based services.
- Link offenders with parallel services in the community post-release.

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Key "Take Away" Points (cont.)

- Dedicate more intensive resources for offenders who pose a greater likelihood of recidivism.
- Remember that "more" is not necessarily "better" for every offender.
- Consider responsivity factors when developing and implementing case management strategies.
- Build incentives into case management plans and reward positive behaviors.
- Evaluate what is and is not "working" for offenders in your jurisdiction – prioritize for change those strategies demonstrated to be most effective in reducing recidivism.

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PRESENTATION SLIDES: ASSESSMENT AND CASE MANAGEMENT

Assessment and Case Management

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Assessment and Case Management:

Essential Elements in Any Strategy for Reentry and Risk Reduction

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Reentry and Risk Reduction

Assessment – What we do to understand an individual offender

Case Management – The strategic use of resources at the case level to accomplish the goals of successful reentry and risk reduction

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Assessments in the Past

- Used to identify and manage risk
  - Institutions – assess for risk of violence, escape, disciplinary problems, and to establish custody level and housing assignment
  - Probation and Parole – assess for risk to establish level of supervision

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Assessments in the Past (cont.)

– Conducted at single points in time, unrelated

– Geared to targeting custody, control, and supervision

– Measured largely static, unchanging factors

– "Put in the file"

Now, We are Seeing More

• Periodic assessments shared across time and across boundaries

• Empirically-based, validated assessments of risk and need

• Measurement of dynamic factors

• Used to target security, custody, supervision AND programmatic interventions to reduce risk

Case Management in the Past

• Institutions were managed for safety and security.
• There was little overlap in role of "custody" staff and "program" staff.
• There was little communication between prisons and post-release supervision – or between corrections and other systems.
• Programmatic interventions were based on availability without clearly targeting risk and criminogenic need.

Case Management in the Past (cont.)

• Institutional case managers and PO's typically handled cases as "their" cases.
• PO's focused primarily on monitoring compliance with conditions and returning offenders who were non-compliant to proper authority.
• Offenders were required to be compliant with conditions.
• Handling of infractions and violations focused on accountability.

Now We are Seeing More

– Institutions seeking successful reentry and recidivism reduction IN ADDITION to safety and security.

– Case management being viewed as a "seamless" continuum beginning at admission to prison and CONTINUING through release preparation, release, community supervision, discharge, and beyond.

– Infractions and violations being seen in larger context of REDUCING RISK.

Now We are Seeing More (cont.)

– Institutional staff and community supervision staff exchanging information and collaborating on case management.

– Custody and supervision staff learning skills to assist in engaging offenders in change.

– Team approaches to case management.

– Inclusion of non-correctional partners – public agencies, non-profits, community organizations, informal networks, and families.

Now We are Seeing More (cont.)

- Focus on targeting of higher risk offenders and their criminogenic needs for interventions.
- Use of staff/offender interactions as "interventions" in themselves.
- Articulation of "engaging offenders in the process of change" as a role of correctional staff – in addition to providing custody, security, and supervision.
- Offenders expected to actively participate in case planning, implementation, and risk reduction – in addition to compliance.

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Sources of Input about Assessment and Case Management

- Review of the literature
- Assembly of information from operating agencies about innovations, tools, frameworks, new language
- Developmental work emerging from SVORI, CSG, NGA, and NIC's TPC Initiative

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Emerging Best Practice

Integrated Case Management and Supervision

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Goal

The most important facet of the Integrated Case Management and Supervision (ICMS) model for Reentry is that its goal is:

Community Safety and Crime Prevention.

It seeks this goal through enhancing the ability of offenders to successfully reintegrate into the community by reducing their risk of reoffending.

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In Order to Do that it Integrates:

Evidence AND Practice

Assessment AND Interventions

Institutions AND Field supervision

Custody/monitoring AND Support for change

Community safety AND Offender success

PO/case manager AND Others in a team

Case management AND Efforts of offenders

Formal programs AND Informal support

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Core Principles

- *Employ* a coherent and integrated case management effort from admission to prison, or before, through discharge in the community, and beyond.

- *Use* the principles of evidence based practice.

- *Base the supervision and case management plan* on empirically-based and validated assessments of risk and criminogenic need.

- *Define supervision and case management as a collaborative process* that involves correctional staff (institutional staff WITH field/community staff) as well as community service providers, and informal networks of support
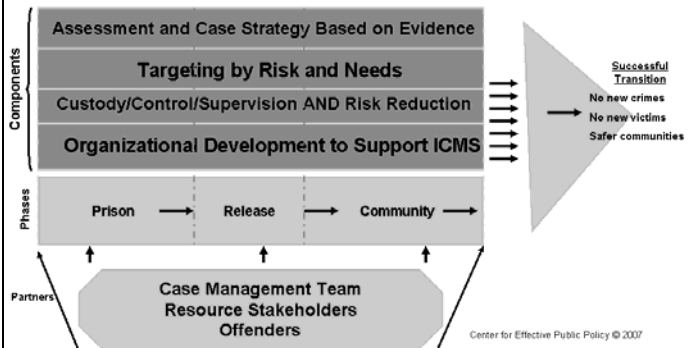
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Core Principles (cont.)

- *Target supervision and case management by risk and needs* to have maximum impact on reduction of recidivism and community safety

- *Engage the offender in the process of change* by using supervision and case management interactions

- *Form multi-disciplinary supervision and case management teams* to work with the offender through assessment, case planning and implementation.

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Integrated Case Management and Supervision (ICMS) for Reentry and Transition

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Phases of the Integrated Case Management and Supervision Model

- Phase I: Institutional Phase
  - Admission to Prison (or before) through the beginning of the "release" phase. (up to 6 – 12 months prior to anticipated release)
- Phase II: Release Phase
  - The 6-12 month period prior to Release and extending 6 months after Release
- Phase III: Community
  - From the end of the Release Phase through discharge of offender from criminal justice supervision
  - Continuing through community "aftercare"

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The Integrated Case Management and Supervision (ICMS) Model for Reentry and Transition
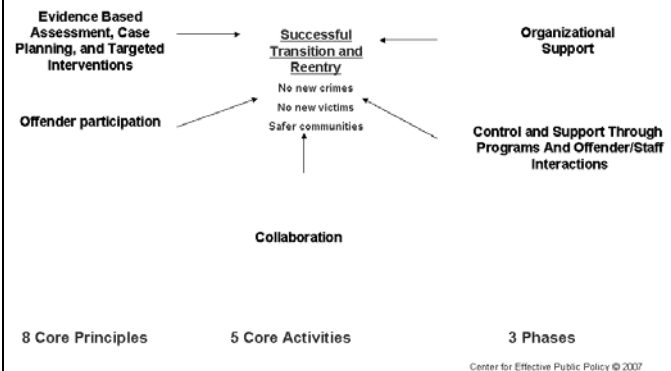
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Assessment and Interventions Based on Evidence

- Empirically-based, validated assessments of risk and criminogenic need
- Conducted periodically to update information
- Shared across institution and field
- Identifying top 3 or 4 "domains" of need for case management focus
- Paired with specialized clinical assessments and information from other sources
- Automated and shared across agency boundaries

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Case Management as an Intervention

- Targeted by risk and criminogenic needs – lower risk offenders receive least control/monitoring/programming
- Interactions with offenders geared to engage offenders in the process of change by increasing motivation
- Involving a team – corrections (field and institution), other agencies, informal networks

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Offender Participation

- Offender participates in assessment – self assessment
- Offender identifies risky behaviors, his/her objectives, and action plans
- Offender enters into an "agreement" about behavior
- Offender is responsible for compliance
- Offender is involved in risk reduction activities

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Collaboration

- Custody and program staff within prisons
- Prison and post-release supervision staff
- Correctional and other service providing organizations
- Public and community organizations
- Case Management Team
- Informal networks of support
- Offender

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Organizational Supports for ICMS

- Vision and Mission of the organizations must include the principles and goals of ICMS
- Clear definition of roles and responsibilities—for line officers, first line supervisors, middle management, and senior management
- Specific staff development efforts to define, develop, reinforce the skills and perspectives required by ICMS
- Performance appraisal systems to reinforce expectations for performance
- Policies and procedures
- Assessment protocols/practices in place
- Access to interventions appropriate to criminogenic needs of the population
- Definition of "tracks"
- Contact standards
- Specific support for collaboration at the case level across traditional boundaries

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Organizational Change Strategy

- Assessments adopted and put into place
- Case management approach implemented and supported by information technology
- Program interventions accessible
- Interagency agreements in place
- Case audit/quality control system in place
- Skills training and tools available to line staff

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Core Activities
(in prison, at release, and during post release supervision and beyond)

- Engage and assess the offender's risk, needs, strengths, and environment
- Enhance motivation
- Develop and implement a transition accountability plan
- Provide programmatic interventions to address highest areas of risk and criminogenic need
- Review progress periodically

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Targeting – a Key Strategy

- Definition of categories or groups of offenders with similar levels or types of risk/needs (e.g., levels, tracks, etc.)
- Lowest risk offenders would receive minimum control and minimum "risk reduction" resources – lowest supervision levels, few risk reduction program resources, discharge at the earliest possible date, but would receive linkages and access to community resources.
- Higher risk offenders would receive higher levels of control and risk reduction resources provided/funded/accessed by correctional agencies and their case management partners.
- All offenders receive "survival" resources and supports – identification, entitled benefits, etc.

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Phase I: From Admission to Prison until Release Phase Begins

(From admission to 6 months prior to release)

- Early assessment, both for custody/classification AND for risk/needs
- Programming to address risk and needs
- Development and implementation of a reentry case plan addressing time while incarcerated, in anticipation of release
- Use of incentives and positive reinforcements for desired behavior
- Creation of Case Management Team, including custody staff, program providers, led by Institutional Case Manager
- Offender engaged in setting goals and participating in implementing the Case Plan
- Milestones: Assessment Complete; Reentry Case Plan developed; Reentry Case Plan (Phase I) completed; Offender prepared for the Release Phase

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Phase II: Release Phase

(From 6 months prior to release through 6 months after release)

- Possible use of special housing units or transition institutions
- Case Management Team joined by field supervision officer, community resources, and informal support networks – In-reach prior to release/continuing contact after release
- Reassessment of risk and needs
- Release Case Plan developed/updated by Team, including the offender
- Use of incentives and positive reinforcements for desired behavior
- Programming continues, establishing links with community resources to follow – front-load services in first six months
- Survival needs addressed – identification, housing, job, treatment, medication if necessary
- Milestone: Offender prepared for the Community Phase
- Careful monitoring of stabilization for first 6 months on supervision

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Phase II: Release Phase

(From 6 months prior to release through 6 months after release)

- Case Management Team joined by field supervision officer, community resources, and informal support networks – In-reach prior to release/continuing contact after release
- Reassessment of risks and needs
- Release Case Plan developed/updated by Team including the offender
- Use of incentives and positive reinforcements for desired behavior
- Programming continues, establishing links with community resources to follow – front-load services in first six months
- Survival needs addressed – identification, housing, job, treatment, medication if necessary
- Milestone: Offender prepared for the Community Phase
- Careful monitoring of stabilization for first 6 months on supervision

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Required Tools for Line Staff

- Assessment protocols
- Case plan format(s)
- Interagency agreements/partnerships that provide access to case team partners and resources
- Job descriptions
- Performance Appraisal System/Quality Assurance
- Policies and procedures
- Access to interventions
- Skill sets – interpersonal communication, assessment and case planning, and motivational interviewing
- Case management time line and routine activities
- Case management tools that enable collaboration at the case level across traditional boundaries

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Organizational Development Strategy

- Formation of "vertical slice" implementation team
- Enhance analytic and collaboration skills
- Assess current practices/structure against the model
- Identify gaps and targets of change
  - Staff development
  - Organizational supports
  - Tools

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PRESENTATION SLIDES: PERSONAL LEADERSHIP AND INDIVIDUAL RESPONSIBILITY IN THE CHANGE PROCESS

Personal Leadership and Individual Responsibility in the Change Process

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Rethinking Our Approach to Offender Management

- Research findings, new information, and our experience is causing us to rethink some of our public policy approaches to the management of offenders, and to consider our broader goals and objectives in the offender reentry area.

- As our policies or approaches to offender management change, so must our practices. It is unlikely that we will be able to achieve new goals using only old methods.

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It Comes Down to Leadership

- Making effective modifications to our offender reentry practices or systems will require us to have a clear understanding of how we want things to be, and a determination to make the necessary changes to get there.

- In other words, it will take leadership.

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Leadership vs. Management

- In carrying out our work, it is easy to confuse the terms leadership and management. One way to think about the difference between these concepts is that:

  "Leadership is doing the right things; management is doing things right."
  -Peter Drucker and Warren Bennis

- Perhaps we could say that leadership is about determining where we should go, generating enthusiasm for that destination, and creating an environment that makes the journey possible; management is focused on how best to get there.

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Who Exercises Leadership?

- When we talk about leadership, we often focus on the person who is in charge of an organization. This is "positional" leadership – derived from the nature of their position.

- Under certain circumstances, specific individuals might also be granted or assume special responsibilities or authority. This might be termed "situational" leadership.

Personal Leadership

- But in addition to the authority that comes with a position, or special situations in which people may be asked to carry out certain responsibilities, every individual has an opportunity to demonstrate personal leadership.

- Personal leadership is not about the position that you might hold – it is about how you choose to act.

How Do Leaders Act?

- If everyone can demonstrate leadership, then what does leadership look like? Perhaps good leaders demonstrate the following qualities:

  - They focus on the future and can prioritize work.
  - They have a willingness to listen and learn.
  - They put their egos aside and develop partnerships.
  - They have a passion for their work and display positive attitudes.
  - They act honorably and build trust.

A. Focus on the Future and Prioritize Work Activities

- Leaders have a clear focus on how things could be – you could call it a preferred future. They understand the present, and they believe that if certain things changed then their organization could advance in the direction of that preferred future. This might concern broad issues, or specific tasks – but it is focused on tomorrow.
- In order to move forward, there must be a plan that identifies what needs to change to reach the desired outcome. To make changes in our work, we must understand our priorities.

Don't Just Add Work – Change It

- The major resource that we have in the criminal justice field is our staff. But staff may resent change if it simply looks like extra work - there is only so much time in which to get everything done.
- Good leaders must help staff to prioritize work, reduce time spent on less important tasks, or eliminate work requirements. We often don't have time to do more of one thing unless we spend less time on something else. Figure out what the "something else" is, and get rid of it.

B. A Willingness to Listen and Learn

- While the intended destination may be clear, leaders must involve and listen to others in order to determine the best ways to get there.
- Discussing ideas and getting feedback from staff, using focus groups, creating pilot projects, or having various types of meetings can be important ways of receiving feedback about possible changes. In moving forward, the good leader demonstrates consistency of direction, but flexibility in method.

The Carpenter's Rule

- Before we launch into our changes, we need to carefully consider the feedback we've received, and determine if we are tackling the right issues in the right way.

  - "Remember the Carpenter's Rule: measure twice and cut once."
    -Stephen Covey, The 7 Habits of Highly Effective People

C. Put Egos Aside and Develop Partnerships

- You've probably never heard of some of the most successful business leaders in the country. That may be because they think it is more important for their organizations to succeed than for them to be well known.
- The offender reentry area requires organizations to work collaboratively in order to identify and solve many long standing issues. Team work, rather than individual success, is clearly required in this area. As meaningful partnerships expand, so will the desired results.

Productive Partnering

- It is sometimes easy to see other individuals, or other agencies or organizations, as rivals for resources or for recognition. What we know about offender reentry work is that we can only achieve moderate successes on our own – meaningful successes will require many individuals and organizations pulling in the same direction.
  - "We must all hang together or we will certainly all hang alone."
    -Benjamin Franklin

D. Display a Positive Attitude and Passion for Your Work

- Have you ever met anyone who truly disliked what they were doing, had a horrible attitude, but they were successful at it anyway? If no one comes to mind, there may be a reason. Our enthusiasm and interest in what we do is more important – and more obvious to others – than we realize.
- Attitudes about our work are contagious. If we want to have a great work environment, it's up to each of us to create it and maintain it.

Avoid the Negative Prophecy

- Some people are constantly pointing out what can't be done. If they believe that, then it won't be done by them.
- Avoid the negative prophecy. Don't ask if something can be done – ask for the best way to get it done.
  - "If you say you can, or you say you can't, then you're right."
    -Henry Ford

E. Building Trust

- Building and maintaining the trust of others is a critical component of effective leadership. Without trust, people will not listen to you, or follow you.
- How do you build trust with those who work inside or outside of your organization? Perhaps by demonstrating:
  - A willingness to tackle difficult matters
  - Honesty and sincerity with what you say
  - Enthusiasm and commitment for ideas and work
  - Consistency in your statements

Creating Team Spirit

- Creating an inclusive environment, in which staff are consulted and advised at appropriate times, helps maintain the spirit of a team.
- Remember that "little" things mean a lot. It's not always about position or money – praise, recognition, or how some sensitive issue is dealt with can have a large impact on how you are perceived by others. It is easier for people to follow you, or forgive your mistakes, when you treat them with dignity and respect.

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A Focus on the "Middle"

- When planning activities that are intended to help build support for changes, focus on the employees in the "middle." Some employees will need little help in adjusting to change - and other employees may resist changes for a long time.

- What will ultimately matter most is how the majority of employees in the "middle" – those who are willing to change practices if it seems reasonable and beneficial – react to the intended changes. Plan your change strategy so that you address the issues that are likely to be raised by the employees in the middle. Their support will make lasting change possible.

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Dealing with Changes at Work

- For employees who will be impacted by change, consider these three things:
  - Your attitude is the only thing that you truly control. Why not make it a positive one?
  - If you want to improve a situation, explain your concerns to the people who can impact the resolution of your issues. If you want to make it worse, complain to everybody else.
  - Appreciate the fact that no one ultimately succeeds if they simply stand still. Commit yourself to helping your organization to move forward and succeed.

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Individual Responsibility

- Taking responsibility for your own actions will help your organization make positive changes. These include:
  - For upper management - having a clear idea of where you want the organization to go, clearly communicating your direction, and instilling in others an interest in making necessary changes.
  - For managers - listening to and involving staff, and remaining flexible in your methods.
  - For everyone - acting and communicating honestly, building collaborative teams, and maintaining a positive outlook.

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A Practical Example of Leadership in Action – Lewis and Clark

As a practical example of leadership in action, let's consider some of the leadership principles demonstrated by Lewis and Clark during their journey of discovery.

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Leadership Lessons from Lewis and Clark

In 1804, Lewis and Clark set off to explore the western United States – from St. Louis to the Pacific Ocean. President Jefferson had numerous reasons for asking them to undertake this expedition to relatively uncharted territories. Their task must have seemed incredibly daunting – and yet, perhaps in large part because of their leadership actions, they were successful.

-From "Into the Unknown" By Jack Uldrich

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1. Imagine Your Destination

- Leaders focus on the future. They are able to identify fundamental purposes and the desired direction of work.
- Leaders are able to articulate a positive vision that others can understand and embrace.
- Before setting out on their journey, Lewis and Clark were clear about the purposes and desired outcomes of their trip – and they were able to communicate this effectively to others and generate interest in their journey.

2. Have a Passionate Purpose

- Do you truly believe in the value and benefit of the vision you are pursuing? How do you demonstrate this belief? Perhaps by what you say and do, and by how you allocate your time, energy, or resources towards this effort.
- Lewis and Clark were willing to dedicate themselves entirely to a difficult and dangerous task – their passion towards this task was evident in every action that they took.

3. Develop Shared Leadership

- "Productive partnering" will help you to develop new ideas, get work done, and share the load when issues arise. One person (or one organization) can only do so much.
- Involving others in the establishment of a direction or in key decisions creates "buy in" and the potential for a better outcome.
- After being placed in charge of the expedition, the first thing that Lewis did was invite Clark to be co-leader. Perhaps this was the most important decision that Lewis would make.

4. Engage in "Future Think"

- Strategic preparation will help you to anticipate and overcome obstacles. Plan your journey well, and continue to plan ahead once you reach certain milestones. Engage in a rational planning process – once your intended destination is clear, map your system, identify strengths, barriers and gaps, and strategically attack the most important or logical issues.
- Lewis read everything that he could find on subjects ranging from medicine to boat building. Clark talked to every trapper and trader who traveled up the Missouri. Preparation was key.

5. Honor Differences on Your Team

- Look for talents and skills in others (or in other organizations) that you do not have and that will be needed for your journey. Involve individuals who possess these needed skills, and respect the differences that exist within your group.
- In identifying the best individuals to take on the expedition, Lewis and Clark looked for a variety of skills – but perhaps above all else, they looked for people who had positive attitudes.

6. Demonstrate Equitable Justice

- Find creative ways of rewarding those who deserve recognition. Others will measure you by how you deal with the best and worst members of your team.
- At various times during the journey, Lewis and Clark took measures intended to maintain both enthusiasm and discipline. Choose your actions carefully – and remember that little things mean a lot.

107

7. Lead From the Front

- Take responsibility for your decisions and your actions. Show your team that you are willing to share in the most difficult work.
- Leaders exert influence through their actions, and are followed because of their credibility.
- By sharing in the most arduous tasks, Lewis and Clark gained respect and trust from their team members.

8. Engage in "Realistic Optimism"

- Never underestimate the power that positive comments, and positive attitudes, have on an endeavor. Your team will need encouragement that is real, focused and positive. If you want to instill a positive attitude in others, start with your own attitude – it's more transparent than you think.
- Lewis and Clark never gave up on their intended outcome – their belief in what was possible affected the attitudes of their team members.

9. Engage in Rational Risk Taking

- Making decisions based on calculated risks is one of the core elements of effective leadership. Get all the information that you can, weigh it in light of what you know, and move forward.
- If you make what turns out to be a poor decision, accept it, learn from it, correct it, and move on.
- Lewis and Clark made many mistakes on their journey – taking wrong forks in the river is but one example - but they made rational decisions and learned from mistakes as they went forward.

> "Anyone who has never made a mistake has never tried anything new."
> -Albert Einstein

10. Cultivate Team Spirit

- Finally, on their expedition, every member of the team was treated with equal respect – regardless of their background.
- Avoid the things that destroy team work – favoritism, ignoring those who deserve praise, focusing on yourself, etc. Create the team that everyone wants to have – where everyone is listened to, contributes equally, is valued, and treated with respect.

Conclusions

- Applying the above principles to your work will allow you to exhibit the types of leadership skills that help organizations to survive the challenges that they face.

- It will especially help you to explore new horizons.

PRESENTATION SLIDES: ENHANCING CAPACITY THROUGH
COLLABORATION

Enhancing Capacity Through Collaboration

Session Overview

* *What* is collaboration?

* *Why* should we collaborate?

* *Who* should we partner with?

* *How* do we get started?

The Problem with Collaboration

* **Is that everyone thinks they are doing it!**
* **"Collaboration" has become the "buzz word" of today.**
  * **We sign MOU's.**
  * **We meet once or periodically.**
  * **We go on doing what we've been doing for the most part, and believe we are collaborating.**

Collaboration Versus…

* In fact, most people do not truly collaborate, and this inhibits their ability to become a highly effective team.

* Rather, most of us are accustomed to:
  * Networking (exchanging information);
  * Coordinating (slightly altering activities); and/or
  * Cooperating (sharing resources).

* Collaboration reaches beyond the concepts of networking, coordinating, and cooperating.

A Working Definition of Collaboration

Collaboration is working together to achieve a common goal that cannot be achieved without our partners.

Why is collaboration important to effective offender reentry?

Reentry Barriers are Multi-Faceted

- Limited housing
- Unemployment
- Educational needs
- Mental health difficulties

- Healthcare needs
- Financial instability
- Family concerns
- Public sentiment

No single agency can effectively address these issues alone.

Multi-agency collaboration is essential.

Collaboration is Required on Several *Different* Levels

Case Management Teams

- Individuals providing direct services to offenders (and their families) can:
  - Provide additional information/perspective on offender needs.
  - Assist in the development of appropriate intervention strategies.
  - Provide access to services and supports to supplement those available within corrections.
  - Support ongoing monitoring and follow up activities.

- Case management plans that are developed with input from all of the key individuals involved in the management of the case will:
  - Be broader and more comprehensive; and
  - Provide for greater coordination and continuity in care.

State, Regional, and Local Policy Level Teams

- Individuals that have policy and decisionmaking authority can:
  - Open access to new resources or services previously unavailable to offenders returning from confinement.
  - Promote joint efforts in public and policymaking discussions.
  - Assure access to line staff so that they are able to serve as members of case management teams.

Who Should be Involved?

* Individuals, agencies, and organizations that:
  * Have a vested interest in community safety;
  * Are directly or indirectly responsible for offender management;
  * Work closely with – or advocate for – victims;
  * Can provide mentoring or positive social supports;
  * Offer educational and vocational services;
  * Can promote access to appropriate and affordable housing;
  * Deliver healthcare services;
  * Provide mental health services;
  * Have the ability to facilitate access to employment; and
  * Can provide support and assistance to children and families of formerly incarcerated individuals.

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Examples of Key Stakeholders

Juvenile Reentry
* Juvenile and Family Courts
* Juvenile Corrections or Youth Services agencies
* Social services agencies
* Child welfare and family services agencies
* Education partners
* Employment officials
* Releasing authorities
* Health and behavioral health representatives
* Mentors
* Faith-based partners

Adult Reentry
* Criminal Courts
* Adult Corrections agencies
* Community supervision agencies
* Paroling authorities
* Mental Health agencies
* Public Health departments and other healthcare agencies
* Veterans Affairs officials
* Housing authorities
* Employment agencies
* Social Services agencies
* Faith-based partners

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Making Collaboration Work

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Lawson and LaFasto
The Evidence-Basis for a Collaborative Approach

Lawson and LaFasto studied the characteristics of effective teams by sampling a divergent sample of teams:

* Executive Management Teams, for example:
  * Baxter International
  * Dun and Bradstreet Corporation
  * Mt. Sinai Hospital
* Project Teams, for example:
  * McDonald's Chicken McNugget Team
  * IBM PC Team
  * Boeing 747 Airplane Project
* Hypothesis Testing
  * Disaster teams
  * Theatre productions
  * USS Kitty Hawk
  * Presidential Cabinets
  * GAO and Congressional investigation teams
  * U.S. Navy Strike Warfare Center

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Characteristics of Successful Teams

* A clear and elevating goal
* A results-driven structure
* Competent team members
* Unified commitment
* A collaborative climate
* Standards of excellence
* External support and recognition
* Principled leadership

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A Clear and Elevating Goal

* High performance teams have both a clear understanding of the goal to be achieved and a belief that the goal embodies a worthwhile or important result.

  * **The greater the clarity of understanding regarding the nature of the problem being addressed, the more effective people are at solving the problem.**

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What Does the Research Say?

- The most effective teams are those who are focused squarely on the result because *whether or not the team succeeds clearly makes a difference.*

- The greatest threat to successfully working toward a clear and elevating goal is *politics and personal agenda.*

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A Results-Driven Structure

- The importance of structure is not in its presence or absence. *More important is whether a structure is in place that is appropriate for the achievement of the performance objectives.*

- To be successful, a team's structure should be designed around the results to be achieved.

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What Does the Research Say?

A results-driven structure makes the achievement of a clear, elevating goal possible.

- Clear roles and accountabilities;
- An effective communication system;
- Monitoring performance and providing feedback; and
- Fact-based judgments.

    These become the framework through which the clear, elevating goal can be achieved.

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Competent Team Members

- "Competent" team members are those who are best equipped to achieve the team's objectives.

- Competency is defined as the necessary skills and abilities to achieve the desired objective (technical competencies) and the personal characteristics required to achieve excellence while working well with others (personal competencies).

- Technical competencies are minimal requirements of any team. They include substantive knowledge, and skills and abilities related to the specific tasks at hand.

- Personal competencies refer to the qualities, skills, and abilities necessary for the individual team members to identify, address, and resolve issues and to be successful working in a collaborative environment.

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What Does the Research Say?

- When strong technical skills are combined with a desire to contribute and an ability to be collaborative, the observable outcome is an elevated sense of confidence among team members.

- This confidence translates into the ability of a team to be self-correcting in its capacity to adjust to unexpected adversity and emergent challenges.

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What Does the Research Say?

- When team members believe:
  - In each other;
  - That each team member will bring superior skills to a task or responsibility;
  - That disagreements or opposing views will be worked out reasonably;
  - That each member's view will be treated seriously and with respect;
  - That all team members will give their best effort at all times; and
  - That everyone will have the team's overall best interest at heart ...
- *...then excellence becomes a sustainable reality.*

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112

Unified Commitment

- Perhaps this is the most elusive of the eight traits. It is best characterized by:
  - Team spirit;
  - A sense of loyalty and dedication to the team;
  - An unrestrained sense of excitement and enthusiasm about the team;
  - A willingness to do anything that has to be done to help the team succeed;
  - An intense identification with the people who *are* the team;
  - A loss of self (there is no "I" in T-E-A-M); and
  - The unique (oftentimes emotional) experience of being a part of something special, something productive, something worthwhile.

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Features of 'Unified Commitment'

- Commitment
  - **Teams do not excel in the achievement of a clear, elevating goal without significant individual investment of time and energy.** Genuine dedication to the goal and a willingness to expend the necessary amount of energy to achieve it are essential.

- Unity
  - **Group spirit and teamwork are indispensable to superior performance.**
    - Both come about as a result of one's identification with a team.
      - In that identification, there is a relinquishment of self – not a denial of self – but a voluntary redefinition of self in this particular context.
      - Boundaries between self and others become blurred – there is an increase in emotional commerce, an open exchange between self and others.
      - Emotional bonding and identification with the team are the result.

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It is Challenging to Build a Unified Commitment Deliberately and Systematically

- **There is a direct positive relationship between involvement and commitment.** Participation increases motivation, effort, and ultimately, success.

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What Does the Research Say?

- One of the most serious threats to a team is the *conflict between individual and team goals.*

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A Collaborative Climate

- The whole is greater than the sum of the parts.
- Working well together.
- Characterized by structural differentiation (roles, responsibilities, accountabilities), and a climate created among the leader and all team members.
- Trust is a mainstay virtue.

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Trust is Produced in a Climate that Includes Four Elements

- **Honesty** – Integrity, truthfulness
- **Openness** – A willingness to share and be receptive to new ideas
- **Consistency** – Predictable behavior and responses
- **Respect** – Dignity and fairness

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What Does the Research Say?

- Collaboration flourishes in a climate of trust.
- Trust allows team members to stay problem-focused.
- Trust promotes more efficient communication and coordination.
- Trust improves the quality of collaborative outcomes.
- Trust leads to compensating (one team member picks up the slack when another team member falters).
  - Compensating has a very positive relationship to success. Teams that are able to function in this way are able to achieve higher levels of performance.

Standards of Excellence

- A standard is the pressure to achieve a required or expected level of performance.

- Standards define those relevant and very intricate expectations that eventually determine whether the level of performance is acceptable.

Standards Establish the…

- Type of technical competency required;
- Amount of initiative and effort required;
- Group's expectations regarding how members will behave toward one another;
- Firmness of deadlines; and
- Ways in which results will be achieved.

Standards are primarily, if not completely, driven by members' values and principles.

Pressure to Perform Comes from a Variety of Sources

- The personal standards of individual group members.
- The consequences of success or failure.
- External pressure.
- The team leader.
- Team pressure.

What Does the Research Say?

- **Three variables are integral to establishing and sustaining standards of excellence**
  - The extent to which:
    - Standards are clearly and concretely articulated.
    - Team members require one another to perform according to the established standards of excellence.
    - A team exerts pressure on itself to make those changes that will improve the performance standards.
      - Successful teams do not become complacent. They actively work at finding reasons to be dissatisfied with their performance. Each performance is an opportunity to discover ways of doing it better next time.

External Support and Recognition

- The team is given the resources it needs to get the job done.
- The team is supported by those individuals and agencies outside the team who are capable of contributing to the team's success.
- The team is sufficiently recognized for its accomplishments.

What Does the Research Say?

- External support and recognition seems to be more *an effect* of team success than *a cause* of it.

Principled Leadership

- Effective leaders draw people together – they inspire vision and they promote confidence in the opportunity for change, and the ability to meaningfully involve others in the change process.

What Does the Research Say?

- The most effective leaders are those who:
  - **Create attention through vision** – Creating a focus that is compelling and results-oriented
  - **Create meaning through communication** – The capacity to relate a compelling vision powerfully enough to induce enthusiasm and action
  - **Establish trust through positioning** – Assuring the leader's behavior exemplifies the ideals of the group and the vision
  - **Subjugate themselves** – Cast aside their own egos in favor of the group's goal

The Benefits of Collaboration

- The quality of our results increase when a problem is addressed through collaboration. *Why is this so?*

  - **Individuals and organizations who work jointly, rather than independently, are likely to analyze problems and opportunities more comprehensively.**

  - **More comprehensive analyses are likely to generate more creative and impactful solutions.**

  - **Sharing information and working together helps to eliminate duplication of effort — something no one can afford, particularly in an environment of scare resources.**

  - Individuals and organizations who work jointly are also more likely to have at their disposal complementary resources that expand our capacity to accomplish critical tasks.

Key Points

1. **Start wherever you can — collaboration can begin at the "top" or at the ground level.**

2. **Begin clearly focused on the goal you are working to achieve. Your "vision" will keep the group motivated and inspire others to join you.**

3. **Be patient. True partnerships take time to build.**

4. **Focus on building trust and relationships. These are the single most important ingredients to a successful collaboration.**

   - Trust must be based upon mutual respect and an understanding of the opportunities – and limits – each partner brings to the table.

5. **The capacity for change must be built**; it is not a naturally occurring phenomenon.

6. Be aware of, and understand, historical relationships between groups of people and agencies. **Be informed by your history, not shaped by it.**

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www.collaborativejustice.org

Research synthesis on collaboration
Models of collaboration in criminal justice
Tools and resources for building effective teams

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PRESENTATION SLIDES: BUILDING EFFECTIVE OFFENDER OUTCOMES

Building Effective Offender Outcomes

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Public Safety is the Goal

- One of the primary objectives of correctional organizations is to enhance public safety.   But how do we best accomplish this objective?
- A significant number of adult offenders – over 650,000 - will be released from state prisons to their communities this year. Many of them will fail in the community and be returned to institutions.

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Recidivism: Released Prisoners
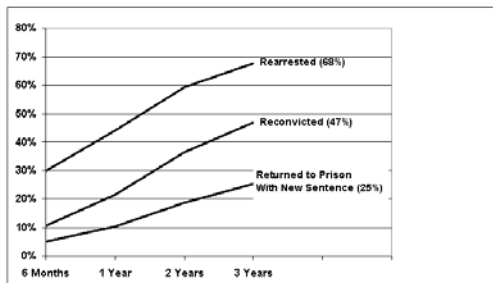
(BJS, 2002)

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National Overview

- 30% of adult offenders released from state prisons are rearrested within the first six months following their release.
  (BJS, 2002)
  - Within 3 years of release, this number increases to 2 out of 3 rearrested.
- Revocations are the fastest growing category of prison admissions – parole violators account for 35% of new prison admissions today, as compared to 17% in 1980.
  (Travis & Lawrence, 2002)

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Why is There So Much Failure?

- Some of the reasons that offenders fail to succeed in the community are relatively easy to predict in light of the national statistics that show:
  - 40% of released offenders have no GED or high school diploma
    (BJS, 2003)
  - Only one-third of adult offenders receive vocational training during their incarceration
    (Steurer, Smith, & Tracy, 2001)
  - 1/3 of adult offenders and up to 80% of juveniles possess various mental health conditions
    (BJS, 1998; NMHA, 2004)

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More National Data

- Approximately 70% of offenders have substance abuse problems – and many of those with mental health issues have co-occurring substance abuse problems.
  (Hammett, 2000; BJS, 1999; NIJ, 2002; The National GAINS Center, 2001; 2002)
- Up to 70% of juvenile offenders have special education needs or have disorders that interfere with educational performance or achievement.
  (Rutherford et al., 2002)
- 55% of adult inmates have children under 18, and having an incarcerated parent is a significant risk factor for delinquency.
  (Travis et. al, 2003; Waul et al., 2002)

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Factors Associated with Failure

- Risk assessment instruments help us to understand that certain situations or factors contribute to the likelihood of success or failure. Some dynamic factors that impact risk include:
  - Being productively employed
  - The nature of the person's social network and associations
  - The offender's attitude and decision making processes
  - Substance abuse use
  - Stability regarding housing

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Part A. An Overall Approach to Managing Offenders

- We know that if offenders behaved lawfully and properly in their communities, and while incarcerated, that everyone would benefit. Fewer crimes means fewer victims. Fewer community failures means safer communities.
- If we could impact the behaviors of offenders in ways that encourage them to act more lawfully and properly then we would help decrease their risk of failure and promote greater public safety.

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KEY CONCEPT #1
Seek to Encourage Offender Success

- When we engage in specific methods that are calculated to decrease the likelihood of an offender failing in the community or causing future harm, then we are attempting to promote the success of that offender – and through his or her success we improve the safety of our institutions and communities.
- While the offender's success may benefit him or her, we largely seek this outcome in order to impact the greater or broader public good.

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Imagine This

- Imagine offenders who have been released from custody working at meaningful jobs, going to school, paying taxes, supporting dependents, not breaking the law or victimizing citizens. Imagine offenders becoming assets to their communities, mentors to other offenders, and positive influences on their children and the children of others.
- Imagine incarcerated offenders acting appropriately, respectfully, working, attending programs, and being a positive influence within the facility.
- Is it possible for us to impact the behavior of offenders so that they are more likely to succeed?

"You cannot depend on your eyes when your imagination is out of focus." - *Mark Twain*

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What Works?

- Studies over the past several years have begun to indicate the types of initiatives that have an impact on offender behavior and recidivism. These studies suggest that, contrary to the work of Martinson and others in the 1970s, some approaches can truly impact the success of an offender.

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"What Works" Research

- Recent studies have found that:
  - For most offenders, prisons do not show a deterrent effect.
  - Longer prison sentences are not associated with reduced recidivism.
  - Longer sentences are associated with a 3% rise in recidivism.

(Smith, Goggin, & Gendreau, 2002)

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What Has Been Found to Reduce Recidivism?

- "The evidence is persuasive. If we are to enhance community safety, offender rehabilitation programs that follow the principles of effective treatment are most likely to meet with success."

- James Bonta, Ph.D. Offender Rehabilitation: From Research to Practice, 1997

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Research-Based Principles of Effective Interventions with Offenders

Gendreau, Little, and Goggin (1996) identified 8 principles that impact the likelihood of recidivism. These are:

1. Match supervision and treatment intensity with risk level.
2. Target interventions to criminogenic needs that can be changed and are directly linked to continued criminal behavior.
3. Match offender characteristics with change-agent characteristics and program types.

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8 Principles of Effective Interventions (cont.)

4. Blend correctional supervision and services with programs.
5. Focus services and supervision on cognitive behavioral outcomes.
6. Sanction behavior in a timely, progressive manner.
7. Train staff to relate to offenders in sensitive and constructive ways; offer professional training, and provide proper staff supervision.
8. Replace the offender's anti-social network of people, places and things with pro-social alternatives and structured services and activities.

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National Institute of Corrections/ Crime and Justice Institute Findings

NIC and CJI (2004) identified the following "principles of effective interventions":

- Assessing criminogenic risk/needs
- Enhancing intrinsic motivation
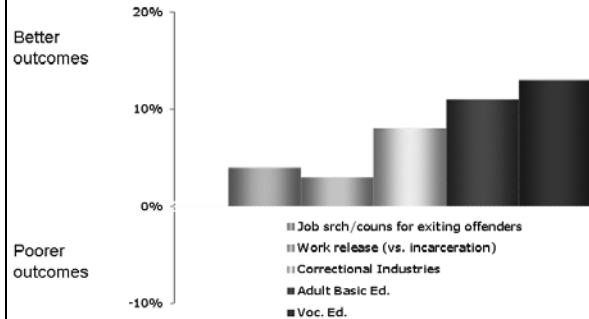- Targeting interventions using risk, need, responsivity, and dosage considerations

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NIC/CJI Findings

- Skill train with directed practice (cognitive behavioral methods)
- Increase positive reinforcement
- Engage ongoing support in natural communities
- Measure relevant processes/practices
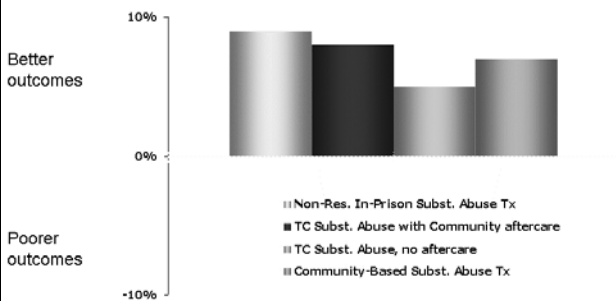- Provide measurement feedback

Intervention Effects for Adult Offenders: Education/Vocational Programs and Services

Better outcomes
Poorer outcomes

- Job srch/couns for exiting offenders
- Work release (vs. incarceration)
- Correctional Industries
- Adult Basic Ed.
- Voc. Ed.

(Aos et al., 2001)

Intervention Effects for Adult Offenders: Substance Abuse Treatment

Better outcomes
Poorer outcomes

- Non-Res. In-Prison Subst. Abuse Tx
- TC Subst. Abuse with Community aftercare
- TC Subst. Abuse, no aftercare
- Community-Based Subst. Abuse Tx

(Aos et al., 2001)

Targeting Criminogenic Needs: Results from Meta-Analyses

Reduction in Recidivism
Increase in Recidivism

0.32

-0.01

Target 1-3 more non-crim. needs   Target at least 4-6 more crim. needs
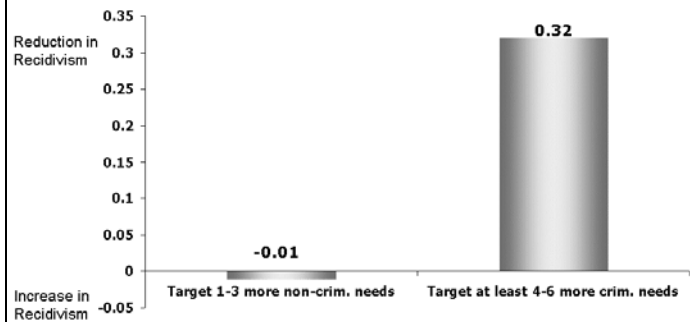
(Gendreau, French, & Taylor, 2002)

Working Towards Success

- In light of the above, it appears that you can strive to improve public safety by taking steps that will help encourage more successful offender outcomes.
- The question then becomes, do your systems and actions help you to accomplish this overall objective?

Part B. Looking at Your System

- In order to positively impact some of the issues associated with offender success or failure, we have to take a hard look at how we are using our time and energies.
  - First, are we identifying the factors that we think might contribute to offender success or failure?
  - Next, are we constructively addressing these factors during and after incarceration through appropriate interventions?
  - Third, do our actions, attitudes, methods, and systems work to encourage or discourage more offender success?

Some Thoughts About Systems

- A system is something that may have numerous components, but these parts work in harmony to accomplish some desired end result.

- If our desired end result (encouraging offender success to promote greater public safety) is clear, then we must analyze our system parts to see if they operate in harmony to help achieve this outcome.

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Let's Consider the System's Parts

- In our system, offenders might:
  - Start at an institutional intake center where we could identify various risks and needs;
  - Move to institutions where some of these risks and needs can be addressed;
  - Participate in some transitional preparation programming;
  - Get released and have various conditions imposed related to their risks and needs; and
  - Be supervised in the community with special attention paid to how various risks and needs are addressed. Sometimes, the offender will be returned to an institution, and the cycle can be repeated.

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Working Together

- It is critical that all of the components of our system work together to accomplish the desired results. Towards this end, you could:
  - Share information across divisional/office lines;
  - Use compatible approaches in programming;
  - Build on each other's work; and
  - Have a common focus for all efforts.

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The Importance of a Common Focus

- During the 1960s, at the height of the "space race," NASA was intent on trying to carry out President Kennedy's statement that we would land a man on the moon by the end of the decade.
- During a visit, a reporter asked a janitor what his job was. While sweeping the floor, he indicated that his job was to help land a man on the moon. That's a clear focus.

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What if We Tried to Generate Failure?

- If you tried to invent a correctional system that did not encourage offender success – one that even encouraged failure, what would it look like?
- Would it:
  - Prevent many inmates from moving to lower institutional classifications such as work release or pre-release?
  - Fail to identify and address criminogenic risks/needs?
  - Engage in little or no transitional planning?
  - Impose numerous and unrealistic supervision conditions?
  - Offer inmates little assistance in overcoming their problems?

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Release Conditions

- With release conditions, some jurisdictions really "load up the offender's wagon" - electronic monitoring, in-patient treatment programs, day reporting requirements, pay restitution, report each week, etc. What are we trying to accomplish with each condition? Can they all be met at the same time? Are we imposing these conditions for the right reasons and on the right offenders?
- The result of these numerous and sometimes conflicting requirements can be to help create unnecessary supervision failures.

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121

KEY CONCEPT #2
Link Your Efforts, Prioritize Your Resources, and Spend Time Wisely

- In order for components to work in harmony, they must work towards the same end and engage in the right kind of activities.
- When we don't prioritize our program slots for high risk offenders, when we don't prepare offenders for release, when we place too many conditions on released offenders, when we spend too much time on lower risk offenders, and when we don't work together – then we're not operating like a good system.

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Prioritizing Resources

- It is clear that some offenders pose a greater likelihood of failure, or pose greater risk, than others. We can use tools and instruments to help us identify which offenders pose greater risk, and we can devote our time and energies to managing these offenders and trying to reduce their likelihood of failure.
- But there is only so much staff time, and so much programming availability. The question becomes, how do we prioritize what we have, and how do we eliminate actions or processes that are not helping us to best achieve our goals?

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Eliminate Unproductive Work

- Once your goal and priorities become clear, it then becomes possible to identify and eliminate less productive activities.
- For some reason, most agencies have a very difficult time eliminating work – but getting rid of certain tasks and responsibilities is the best way to free up staff time to do work that is more important to the overall goals or objectives.

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Low Risk Offenders

- Research suggests that placing low risk offenders in programs – even programs that appear appropriate to address some of their needs – can result in an increase in their failure. This information should aid us with our prioritization of program placements, the imposition of conditions, and our supervision activities.
- When we impose numerous conditions on a low risk offender, watch the person closely, and catch them violating a condition, are we really improving public safety?

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High Risk Offenders

- When we focus our time and energies on reducing the risks and likelihood of failure posed by higher risk offenders, then we are taking the most appropriate steps to enhance public safety.
- Our supervision time, conditions, and attention should be devoted to impacting higher risk offenders in ways that make them less likely to commit infractions or violations.

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A System for Managing Offenders and Focusing on the Right Issues

- If your system is focused on accomplishing certain end results, and staff time is prioritized or made available so that more work can be done in the most important areas, then your system will be improved.
- Similarly, your system will benefit by efforts to eliminate communication barriers, link the efforts of staff who are dealing with a common offender, and to reach out to other partners to help you strengthen your approach or possibilities. It can be done.

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Part C. Supervision Strategies

- When the offender is placed back in the community, we want the offender to stop committing crimes and to abide by various rules. If we impose many conditions, and watch the offender closely enough, we will probably detect some violations. Catching offenders while they are failing is not very difficult.
- The harder work is to consider what we can do to help more offenders engage in appropriate behaviors – and succeed – both while incarcerated and after release.

Waiting for Failure?

- In many situations, state and local personnel may be in a very reactive posture – waiting and responding to failure by the offender.
- We have become so good at responding to community supervision failure that, nationally, revocations are the fastest growing category of prison admissions (18% in 1980, up to 34% today).
- Responding to failure can take up a significant part of our front line staff's time - filling out forms, participating in hearings, etc. Perhaps this time could be used more productively.

High Need Areas

- Many offenders leaving institutions have issues concerning companions or associations, family/marital relationships, alcohol or drug use, employment, vocational training, and education.
- How are we organized and deployed to work on these types of issues? How strong is our communication between institutional programming and community programming? If we had the time, what could we be doing to attend to these issues?

KEY CONCEPT #3
Utilize Proactive Approaches

- As an alternative to the reactive offender management approach, we can invest more time trying to prevent offender failure. As police organizations discovered with "community policing," it is always better to prevent a crime or violation than to respond to it after the fact.
- Prevention can be our watchword. Preventing crimes, failure, violations, or infractions by offenders will help us to achieve our goal of enhancing public safety, and can help us to have safer communities and safer working environments.

Plan for Supervision Before Release

- Most community supervision failures occur early (within the first six months) and involve the violation of technical conditions.
- Therefore, the offender's preparation for release, transition planning, and the beginning of supervision should be coordinated. Involving the supervision agent prior to the offender's release may help create a stronger release-supervision link, and could help promote more offender success.

Identifying the Keys to Success

- Offenders have specific risk and needs factors that will require attention. These factors should be identified and become the focus of a unified case plan.
- Most people would agree that, for a person who is able to work, being employed is a critical element of success. What credentials, training, and education does a person need to get a job? How will they get to work? Many offenders have substance abuse, mental health, or specific health issues. Until these are resolved, employment may not be possible or practical.
- Whatever the offender's principal issues may be, they must be articulated so that they can be overcome.

A Roadmap for Success

- Many offenders have had very little success at any lawful activity. Many offenders being released have a poor or no clear idea of how they will succeed.
- Offenders need a roadmap – they need to see progress – they need to realize results. Offenders should participate in the development of this plan and it should follow them from incarceration to the community. This roadmap can form the basis of institutional and community supervision efforts, and help lead the offender to the successful completion of supervision.

Carrots and Sticks

- So how do we influence offenders to behave properly, to get into the mainstream of success? One way is to review and perhaps modify our system of rewards and punishments.
- While most correctional systems invest great time and energy responding to the consequences of misbehavior, they often do not give an equal amount of time to considering how positive offender behavior can be encouraged. In your experience, do incentives, or disincentives, seem to have the most impact on the future behavior of individuals?

KEY CONCEPT #4
Appreciate the Value of Incentives

- Research indicates that people are four times more likely to modify their future actions in response to positive, as opposed to negative, reinforcement.
- Which would have more impact on your future behavior – someone telling you that they wish all employees were as good as you and that you are a role model for others, or that you better keep up your good work or you will be disciplined?

The Lesson of Incentives

- If we want to modify inmate behavior, then we should not limit ourselves to the consequences of failure. We should focus on methods of encouraging positive actions.
- What incentives, rewards, or benefits do we offer? Do offenders see the connection between their behavior and these outcomes? What else could we do? This clearly has implications for our classification system, our programs, privileges, and supervision strategies.

Incentives Can Be Used

- Within an institution, do we focus on incentives, or on the avoidance of disincentives? What incentives could we develop?
- For supervision entities, the early termination of supervision is always a powerful incentive. Is it being adequately used? Additional incentives might include:
  - Certificates of completion
  - Letters of recognition
  - Being asked to serve as a mentor to other offenders
  - Rewards involving the attainment or maintenance of employment, satisfactory completion of programming or services, or paying financial obligations on time.

Who Else Can Help You Encourage Positive Offender Behavior?

- Many offenders know someone who can have great influence over their actions. A parent, spouse, friend, etc., can be a meaningful ally in helping to generate positive behaviors if they understand your system and encourage positive actions.
- How do these individuals currently view your efforts? Could they be informed or involved in ways that would help achieve your goals?

What Can You Do to Encourage Positive Offender Behavior?

- In your interactions with offenders, how do you behave? Are you pretty successful at getting offenders to behave in appropriate ways?
- In your interactions with offenders, you can demonstrate the demeanor you wish to see in others. Your attitude and your behavior can be reflected by offenders.
- Every discussion with an offender, or a staff member, can be a training opportunity. What kinds of training messages are we delivering in our interactions?
- Finally, what incentives are there for staff to use incentives with offenders?

Personal Power

- We often underestimate the impact that one individual can have on another. Many of you have the opportunity in your work to set an appropriate tone for interactions with offenders.
- If we accept the goal of trying to encourage more offender success in order to promote public safety, then personal interactions with the offender can be critical to its achievement - an important weapon in your arsenal.

  - "You must be the change you wish to see in the world." - *Mahatma Gandhi*

Part D. Responses to Violations

- As mentioned above, staff may often spend a good deal of their time responding to violations of rules or conditions. In many jurisdictions, the number of violations is increasing, with more staff time being devoted to this area each year.
- If we want offenders to behave properly, and their misbehavior is increasing, does that tell us anything about our methods?

Building a Better Violations System

- Let's assume that you want to reduce the number of violations or failures that occur – both in institutions and in the community – in order to promote better public safety.
- If you are clear about your objective, your institutional and supervision components are working in harmony, staff are being proactive, and you are utilizing incentives, how can our violation system contribute to the achievement of the overall goal?
- We often know those who are most likely to fail, and can often predict why. How can we use all of our information to build a better violations system?

KEY CONCEPT #5
See Your Violations System as an Extension of Supervision

- Offenders will violate rules and conditions. You should expect it. You should plan for it. Your violations response system should be seen as a logical and integral part of your supervision activities.
- This means that, as with supervision, your goal in the violations area is to help promote offender success. To do this, your violation responses should be appropriate, immediate, proportional to the violation, and consistent.

1. Examine Your Rules/ Conditions, and their Use

- Consider all of the rules or conditions that you have, their purpose, and how they are applied.
  - Could some of these rules or conditions be clarified, simplified, or eliminated?
  - What is the purpose of each rule or condition?
  - Do staff have a common understanding about the meaning of the various rules or conditions?
  - Are the rules in writing, written in a 6th grade reading level?
  - How are these rules explained to offenders – how about those offenders with language or learning difficulties?

2. Don't Wait for Failure

- We have a pretty good idea about the types of violations that will occur, and perhaps even who will commit them. If we wait, these violations may very well happen. Taking the proactive approach to offender management, we can anticipate failure and intervene in appropriate ways to make the violation less likely.

- This may require us to give more thought to, and spend more time with, those offenders who appear most likely to violate rules or conditions.

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3. Respond to Every Violation

- In order to demonstrate commitment to your rules or conditions, you should respond to every violation promptly.

- You want to be clear in the message that you send to offenders (and staff) about rules. Rules or conditions are taken seriously (so create or impose them wisely). Ignoring violations only encourages more violations – and promotes failure rather than success.

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Be Flexible in Your Response

- But responding to every violation promptly does not mean that we must be harsh in our consequences. The value in responding to minor violations is so the offender knows that you know what he or she is doing. Your response to this misbehavior should be proportional to the wrong-doing.

- If your goal is to encourage more offender success, then your responses should take that into account. If you only have a hammer, then you see every violation as a nail.

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4. Empower Staff to Act in Appropriate Ways

- You have many options that can be used. Allowing front line staff and supervisors to impose certain types of sanctions in response to inappropriate behavior can have many positive benefits. It can:
  - Resolve problems at the lowest possible level
  - Eliminate certain future tasks for staff
  - Demonstrate the importance of proper behavior to the offender

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Linking Responses to Goals

- In light of these options, how do you help staff to impose the most appropriate response to a violation? Your policies and procedures provide considerable guidance. For instance, community supervision violations are considered along three dimensions: control the offender; correct the behavior contributing to the violation; and hold the offender accountable.

- Perhaps the key lies in seeing your offender management, supervision, and violations systems as part of a whole, with the expectation that your violation actions will assist you in carrying out your overall case management plan.

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Use More Positive Reinforcement

- Front line staff could also be empowered to give positive reinforcement to offenders. A positive comment, compliment, certificate, etc., can have more impact than you might realize. But whether sanctions or praise are being given, the goal is to help promote proper thinking, action, or behavior on the part of the offender next time.

- Linking our use of minor sanctions or incentives by front line staff/supervisors to our overall goal of promoting offender success can have significant impacts on the nature of the job that is performed by these staff.

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126

Institutional and Community Supervision Managers

- In addition to front line staff and supervisors being empowered to take certain actions, managers or hearing officers can also be given the authority to dispose of certain violations.
- In reviewing institutional or community supervision violations, managers could be given the authority to impose various sanctions in order to eliminate the need for further action. Similarly, hearing officers could be given the authority to impose various types of sanctions in order to resolve the case.

5. Use Guidelines to Encourage Consistent/Proportional Responses

- Some of the goals associated with a violation response system should be to impose proportional and consistent sanctions, in light of the risks posed by the offender and the seriousness of the violation.
- In order to achieve these goals, it can be helpful to use a violation matrix or guideline.
- The guideline can be used to identify the types of violations that can be handled at various levels, and the sanctions that can be imposed.

Violation Guidelines as Part of Your Offender Management Strategy

- Guidelines for responding to misbehavior will help staff properly identify the true nature of the situation. How dangerous is this particular offender in light of his or her past and recent behavior? How serious is this particular violation?
- Having a guideline helps create a common language, and some common expectations, when staff talk about a particular violation.

Tying it All Together

- In sum, here are 5 things to consider about violations:
  - You can eliminate some violations from ever occurring by not imposing unnecessary conditions, and by explaining your expectations to offenders.
  - Anticipate failure, and be proactive in managing the offender. When violations do occur, respond immediately.
  - Empower front line staff to resolve violations quickly.
  - Appropriate responses to violations are those that consider the offender's risk, severity of the violation, and the overall objectives of the case plan.
  - Use guidelines that help staff to be consistent and proportional in their responses to violations.

Conclusions

- In going forward in this area, it is important to stay focused on the overall goal – promoting public safety by encouraging offender success.
- Systems, methods, policies, strategies and actions that are not consistent with this goal will have to be examined and modified. The key is developing harmony between your system goals and your actions.

Conclusions

- By utilizing proactive supervision strategies, focusing energies and programs on higher risk offenders, and making full use of incentives, you can encourage more positive behavior and reduce the likelihood of failure.
- Your violations response system should work towards the same objectives as the other parts of your system, and should encourage appropriate, proportional, immediate, and consistent responses to violations.

Changing your System for the Better

- By focusing your energies in a concerted and specific way, linking successful activities that promote your desired outcomes, and harnessing the abilities and efforts of your capable staff, you will see changes in the way that work gets done and in the outcomes associated with particular offenders.

- It starts with good planning. But it must end with good action. As Ben Franklin said, "Well done is better than well said." And you have the chance to take action every day, for as Abraham Lincoln observed:

> *"The best thing about the future is that it comes one day at a time."*

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131

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