PUTTING THE PIECES TOGETHER

Practical Strategies for Implementing Evidence-Based Practices

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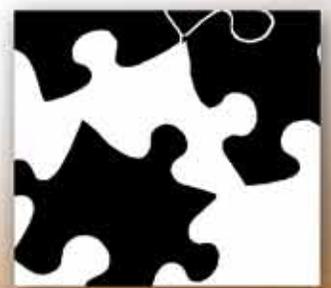
A Project of the National Institute of Corrections
in partnership with the Crime and Justice Institute
at Community Resources for Justice

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CONTENTS

Now that the term "evidence-based practice" (EBP) has become part of the professional dialogue about corrections across the country, it seems that many jurisdictions have gone beyond merely disseminating knowledge about EBP to actually applying evidence-based principles in the field. Knowing about existing research is one thing, and successfully obtaining measureable outcomes on the basis of that research is something else.

Throughout the years, beginning with the joint *Core Papers on the Principles of Effective Intervention* in 2002, the National Institute of Corrections and the Crime and Justice Institute at Community Resources for Justice have recorded, observed, and assessed the efforts of numerous jurisdictions of various sizes and organizational structures in implementing EBP. The analysis of countless lessons learned has led to the development of this manual by the Crime and Justice Institute and other professionals involved in these efforts over the past several years. This manual is for jurisdiction administrators who understand the research and recognize the importance of implementing it with fidelity.

The original integrated implementation model presented in the *Core Papers* stressed solid management through the use of organizational development. Since inception of this work focused on EBP, administrators have begun to recognize its importance. The significance of paying attention to the basics of managing an organization for results has become more prominent as agencies strive for increasingly better recidivism outcomes.

The National Institute of Corrections hopes this manual will serve both as a checklist of key management concepts and as a reminder of important organizational issues that need to be addressed to achieve positive public safety outcomes in an evidence-based environment.

Morris L. Thigpen
Director
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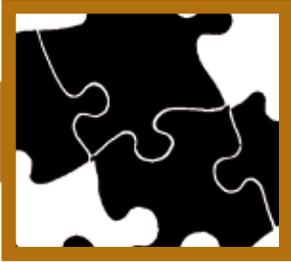
Dear Colleagues:

The Crime and Justice Institute (CJI) at Community Resources for Justice (CRJ) and the National Institute of Corrections (NIC) are pleased to publish this Implementation Manual on Evidence-based Practices (EBP) in Adult Community Supervision. The manual's content was substantially influenced by cooperative agreements with community corrections agencies in Illinois, Maine, Maricopa County, Arizona and Orange County, California, as well as the "learning sites" of Oregon and Iowa. These agencies enthusiastically stepped forward to adopt all elements of EBP with assistance and with a commitment to evaluation and transparency. They have been the nation's EBP learning labs.

In addition, there are many other agencies that contributed to the manual's content in indirect but important ways. These courageous agencies launched bold efforts to incorporate scientifically proven methods and measurement into their supervision practices in order to produce better outcomes for victims, offenders and the general public. Some of these agencies' efforts were groundbreaking and produced impressive reductions in criminal activity. Some may not have produced the hoped-for results, but nonetheless help to inform and strengthen the EBP body of the knowledge. If EBP is to help us to reduce crime and its wide swath of damage, we must remain on the cutting edge of innovation and research.

The seeds of EBP were first planted in other fields of behavioral study, but this implementation manual represents the latest harvest from the cooperative tending and nurturing by CJI and NIC. Beginning in 2002 with an agreement entitled *Implementing Effective Correctional Management of Offenders in the Community,* this initiative aimed to reduce the occurrence of repeat offences through systematic and systemic integration of EBP in adult community corrections. The initiative's equal focus on effective supervision practices, organizational development and collaboration recognizes the swift changes taking place in the community corrections workforce as well as the compelling need for the community at-large to be engaged in community supervision. More information about the implementation sites and related EBP efforts is available on the web sites of CJI (www.cjinstitute.org) and NIC (www.nicic.org).

CJI is a division of Community Resources for Justice (CRJ), a nonpartisan nonprofit organization that aims to make criminal justice systems more efficient and cost-effective to promote accountability for achieving better outcomes. Through consulting, research, and policy analysis services, CJI strives to improve public safety throughout the

country. CJI is a national leader in developing results-oriented strategies and in empowering agencies and communities to implement successful systemic change. Its parent corporation, Community Resources for Justice, has been providing direct care and supportive services to society's most challenged citizens for over 130 years. CRJ's direct service programs range from residential homes for developmentally disabled adults to programs serving troubled youth and adults returning home from prison. Information on CRJ's programs can be found at www.crjustice.org.

Sincerely,

John Larivee
Community Resources for Justice
Chief Executive Officer

Elyse Clawson
Community Resources for Justice
Executive Director, Crime and Justice Institute
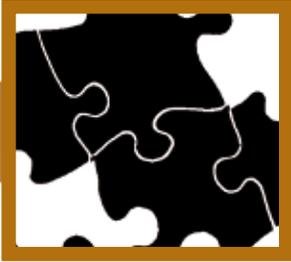
The Crime and Justice Institute at Community Resources for Justice would like to acknowledge the following individuals for their contributions to this manual:

Martin Krizay
Chief Probation Officer
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Steve Liday
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Ingrid Sharos
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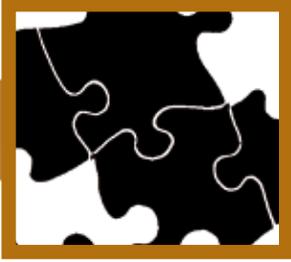
This manual is dedicated to the memory of:

Cheryl Marie Barrett

Assistant Director of the Probation Services Division, Administrative Office of the Illinois Courts.

A champion of evidence-based practice in Illinois, Cheryl approached her work and her life with grace, courage, compassion and determination. She will be greatly missed by everyone who had the pleasure of knowing her.
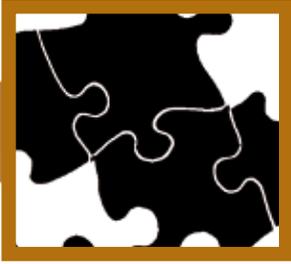
Congratulations on your courage and pioneering spirit! If you have started reading this manual, you are most likely a dedicated and hardworking community corrections leader. You probably believe community corrections agencies could do a better job in a number of areas:

• Protecting victims from further harm

• Preventing crimes that create new victims

• Identifying offenders who cannot become responsible and productive without intervention and supervision

• Serving as a vehicle for the prompt removal of offenders who are endangering the public

• Improving public safety

You also probably believe that community corrections agencies can serve as the catalyst for change. That's great; you are well on your way to being an outspoken advocate for evidence-based policy and practice (EBP). Be sure to remember that long lasting successful reform will bring other public agencies, private and non-profit organizations as well as community activists and volunteers to the table to discuss the issues and approve the plan of action.

For some time, you may have wanted your organization to be more of a leader in reducing recidivism and more responsive to victims' concerns, or you may already be familiar with evidence-based policies and practices of supervision and be engaged in planning or training activities to implement EBP in your organization. Either way, this manual was written to help you organize and focus your organization's efforts on the activities that will optimize success, hold offenders accountable to victims and the community, engage the broader community in this extensive undertaking, and ultimately restore communities to safe and healthy places to work, live and raise a family.

As you gauge how to get started, you should acknowledge that there are some anomalies in the traditional and current operations of community supervision. Most professions interested in modifying human behavior rely on research in their own and related fields to guide their daily practices. These committed professionals look for high quality studies with experimental and comparison groups as well as findings that have been reproduced in similar studies. They attempt to make new practices universal. For example, a doctor in one part of the U.S. would not advise a patient with high cholesterol and a family history of heart disease to watch her diet and exercise more frequently while a doctor hundreds of miles away advised the patient not to change anything but come back in five years for another screening. Doctors have standards of practice. These are not dictates that eliminate professional judgment, but general standards to guide patient care.

In community corrections, there is often no standard of care, national guideline or even a generally accepted method. Often in community corrections, policy or practice is changed because of the most recent case that went awry, the latest good or bad headlines, anecdotes from the person in the office with the most experience, advice from vendors at the last conference we attended, a presentation made by a dynamic speaker whose stories may be imprecise, or instructions from well-meaning appointed or elected officials who may or may not know what's been proven effective. How can appointed or elected officials know what is right when there are such extreme

variations in practice among our community corrections agencies? EBP gives us the opportunity to simultaneously strengthen public safety, develop reliable supervision methods and transform our profession.

This manual describes a generalized process for adopting and implementing principles that underlie evidence-based practice. The evidence-based policies and practices discussed in this manual are derived from high-quality research and have been embraced by criminologists, other social scientists and respected practitioners. The research and the theoretical underpinnings of EBP are described in a companion document, *Implementing Evidence-Based Policy and Practice in Community Corrections.* This manual is intended to offer a practical guide to their application. The principles and the activities for implementation described in this manual are not intended to squelch creative thinking, enthusiasm or innovation. Your innovations will inspire the hypotheses that lead to further research, more effective implementation strategies and perhaps even additional principles. EBP is an evolving body of knowledge and practice. It is less like a roadmap and more like the table of elements many of us studied in high school. First introduced by Dmitri Ivanovich Mendeleev in 1869, the table had just sixty elements. As of July 2009, there are 118 elements on the table and more are likely to be discovered.

> *We have recognized that no program or strategy, however effective, can be expected to forever meet all the challenges of community supervision. We cannot turn back now from an awareness that the stability and comfort of tradition is an unacceptable justification for continuing along paths that do not lead us toward our goals. Our needs, and those of the communities we serve, are constantly shifting and evolving and we must evolve as well. We must constantly monitor and analyze our efforts to confirm their continued effectiveness. We must always remain flexible and open to refining our policies and procedures on the basis of our growing knowledge and experience.*
>
> (Sachwald and Eley, "Proactive Community Supervision: A Second Chance for Community Corrections and Supervisees," American Probation and Parole Association, *Perspectives,* Summer 2007.)

As a community corrections leader, it will be your role to craft a vision of an evidence-based system, and to serve as a champion within and outside your organization. As you start talking to colleagues and community partners, you may need to emphasize that the adoption of EBP is not an indication that your organization is "soft" on crime. In fact, evidence-based policy and practice provides more assurance that professionals are using proven strategies and approaches, which will result in reduced misconduct and enhanced safety for all. Often, requiring an offender to confront and change criminal behavior is far more intimidating than allowing the offender to "do time" or coast through traditional community supervision. It is difficult to admit that our behavior is flawed and even more difficult to learn alternate methods for coping and to practice those methods often enough that they become second nature.

Finally, it is important not to oversell what can be achieved by assuming that any specific evidence-based intervention or strategy is guaranteed, failsafe, or a "magic bullet". Reducing recidivism is a complex process that depends on a number of variables. In addition, evidence-based policy and practice must be implemented with strict attention to the details of the original approach, or the participants may not benefit from the intervention or could even be made worse. A commitment to quality improvement is needed both to ensure that interventions are replicated accurately and that new evidence is incorporated as it becomes available.

In many ways, the implementation of evidence-based policy and practice focuses on the attitudes and behavior of human beings. The one on which we generally focus attention is offender attitudes and behavior. But, equally important are the attitudes and behaviors of an organization's employees at all levels, as well as the countless service and treatment providers in our communities. For this reason, you will see parallels throughout this manual between steps to follow for planning and carrying out effective offender supervision and those recommended for diagnosing your organization's strengths and opportunities and identifying the actions needed to maximize your outcomes. Whenever individuals are asked to change habits, they progress through stages. They need to consider

the change, decide to change, prepare, and take action; and even then, there is still the chance to lapse back to the old ways of doing things.[1] To bring an organization through change, you must be prepared to lead your colleagues through this process.

Implementing evidence-based practices requires a shared vision throughout the organization and the tenacity to keep making adjustments until the outcomes are satisfactory. While the dedication of many people is needed to achieve this vision, strong visionary leadership is a keystone of this effort. This manual will help you get organized for one of the most challenging, high stakes initiatives of your career.

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[1]James O. Prochaska and Carlo C. Diclemente, *Changing for Good* (Published by arrangement with William Morrow & Company, 1994).
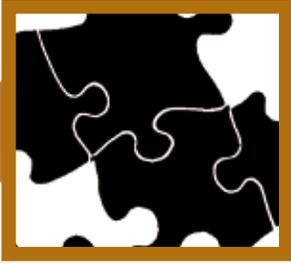
Creating Evidence-Based Community Corrections Systems

Leaders and employees of evidence-based organizations continually ask themselves, "I know we are doing good work, but how can we do better?" Fortunately, there is a growing body of research on effective corrections practice, and new information frequently emerges on how to do this work more effectively. Unfortunately, changing the way corrections does business is not as simple as reading an article. The path from exposure to new information to on-the-ground application of effective new practices is long and complex, and it repeats itself over and over as agencies move toward an evidence-based approach. If you are considering taking that path, you may be wondering if it's worth the effort and where to begin. This chapter depicts the evidence-based organization you can become, as well as an overview of the principles and approaches that can get you there.

What Does an Evidence-Based Organization Look Like?

- **Everyone Shares a Common Mission and Vision.** In many organizations, the mission and vision statements are just something that hangs on the wall. In an evidence-based organization, they are part of daily work, and all employees from the receptionist to chief knows how their work helps to achieve that mission. How do they know? Because they talk about it. It only takes a few minutes to ask the question, "How does this support our organization's mission?" The answers to this question helps weed out work that is not proven to achieve the organization's primary function.

- **Resources Are Used Effectively and Efficiently.** When scarce dollars are put towards proven practices, and when innovations are evaluated and only continued if they work, taxpayers can feel

confident they are reaping the maximum benefit for the funds they invest in community corrections.

- **Offenders Are Held Accountable.** Evidence-based organizations are not soft on crime. They expect offenders to be active participants in treatment and work to reduce risk. They respond swiftly, certainly and appropriately to violations and incarcerate offenders when necessary. However, they also reinforce and reward positive behavior change to increase the likelihood that the new behavior will continue.

- **Data Drives Decisions.** Another common question in evidence-based organizations is, "What does the data say?" Rather than making decisions blindly or based on gut feelings or anecdotes, the organizations look at the hard facts. Data is used as a learning tool and key data elements are condensed to easy-to-follow data reports for regular review.

- **Learning and Innovation Are Welcome.** Evidence-based organizations don't just replicate what has been done elsewhere. They use the research to develop innovative approaches to changing offender behavior and maintaining public safety, and then they measure their outcomes. Employees are encouraged to develop new approaches. If it works, they keep doing it and share it with others. If it doesn't work, they change or stop it, even if it is popular.

- **System Players Communicate and Collaborate.** Very often, the corrections system is not actually a system; it is more a network of independent players who interact on a case-by-case basis. In evidence-based systems, everyone needs to be on the same page about the role of the system and work together to integrate policies and practices in the way that best promotes public safety. That

requires a lot of talking, finding common ground and making decisions together. It does not mean that due process or the court's adversarial system is compromised. It does mean that everyone works together to ensure that offenders on supervision are held accountable for their crimes and violations and supervised in a way that promotes prosocial lifestyles.

At the end of the day, evidence-based organizations stay focused on the big picture and make sure they have the information they need to keep driving toward their mission. If that sounds like the type of organization you want to build, keep reading.

What Is the Evidence?

Evidence-based policy and practice is focused on reducing offender risk, which in turn reduces new crime and improves public safety. Of the many available approaches to community supervision, a few core principles stand out as proven risk reduction strategies. Though not all of the principles are supported by the same weight of evidence, each has been proven to influence positive behavior change. To organize the research, these core principles have been compiled by CJI/NIC into the eight principles of evidence-based practice in corrections described below. *(See Exhibit 1-1: Eight Guiding Principles for Risk/Recidivism Reduction.)*

Evidence-Based Principles

1. **Assess Actuarial Risk/Needs:** Use research-based tools to determine an individual's likelihood of re-offense and to identify factors that are amenable to treatment and risk reduction.

2. **Enhance Intrinsic Motivation:** Apply specific communication techniques to identify an offender's own reasons for change and to engage offenders as partners in their treatment.

3. **Target Interventions:** Structure treatment, supervision and responses to offender behavior based on their risk level, needs and personal characteristics. This includes:

   • *Risk Principle:* Prioritize supervision and treatment resources for higher risk offenders;

Exhibit 1–1: Eight Guiding Principles for Risk/Recidivism Reduction
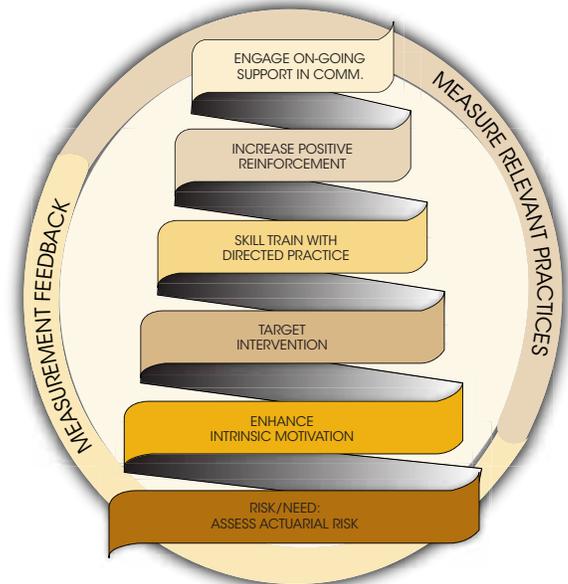
• *Need Principle:* Target interventions to criminogenic needs, which are behaviors correlated to crime;

• *Responsivity Principle:* Be responsive to temperament, learning style, motivation, culture and gender when assigning programs;

• *Dosage:* Structure 40-70% of high-risk offenders' time for three to nine months; and

• *Treatment Principle:* Integrate treatment into the full sentence/sanction requirements.

4. **Skill Train With Directed Practice:** Use cognitive behavioral treatment methods to disrupt criminal thinking and provide offenders with the opportunity to practice and apply pro-social behaviors.

5. **Increase Positive Reinforcement:** Emphasize, affirm and reward compliant behavior to promote pro-social behavior change. While offenders are still sanctioned for non-compliant behavior, a greater focus is placed on recognizing and rewarding the positive.

6. **Engage Ongoing Support in Natural Communities:** Connect offenders to pro-social family, friends and activities in the community

so their time is structured positively during and beyond the period of supervision.

7. **Measure Relevant Processes/Practices:** Collect data on the effectiveness of your work to answer the questions: (1) Are we doing evidence-based work? (2) Are we doing it well? and (3) Is it leading to desired outcomes?

8. **Provide Measurement Feedback:** Use data to provide feedback to systems, organizations, teams and individuals with the goal of improving practice.

This is a cursory overview of the principles. For more information on the principles of evidence-based practice, as well as the Integrated Model described in the next section, please read the companion document *Implementing Evidence-Based Policy and Practice in Community Corrections, second edition,* available through the Crime and Justice Institute and the National Institute of Corrections.

How Do We Take a Comprehensive Approach?

Some organizations have been able to use research to create sustainable change, while others have made attempts only to see their efforts die on the vine. It was clear that more than research was needed to change the way corrections does business, and in 2002, NIC and CJI set out to identify and describe the elements that need to be in place to create an evidence-based organization. An expert team of researchers, practitioners and consultants was assembled to create a model for evidence-based change, and the result was the *Integrated Model*. (See Exhibit 1-2: The Integrated Model.)

The *Integrated Model* incorporates research and theory from criminal justice, business and behavioral sciences and considers not just what needs to be changed in community corrections, but how to bring about the change and ensure that it is sustainable. It considers individual organizations, broader systems and the political context in which they function.

The model is composed of three equal components: evidence-based principles, organizational development and collaboration. EBP focuses on the principles described above. Organizational development

Exhibit 1–2: **The Integrated Model**
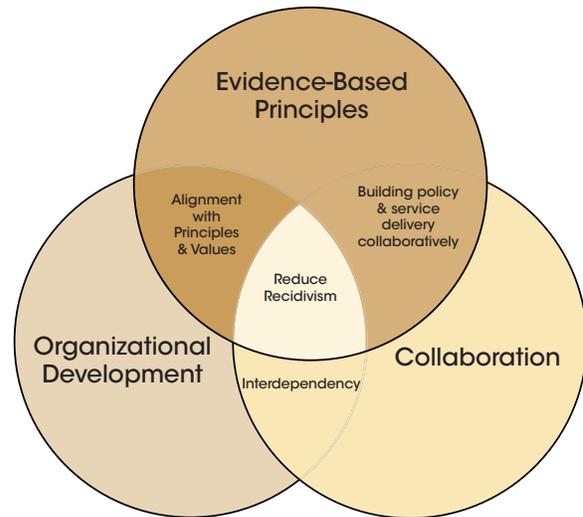
considers the organizational culture and climate and its ability to sustain change. It includes elements such as:

- Mission, vision, and strategic plan

- Leadership

- Communication and decision-making structures

- Policies and practices

Fundamentally, if the organization is healthy, and if everyone is on the same page about the organization's purpose and direction, change will be easier to sustain.

Collaboration applies within and across organizations. Community corrections employees and partners are most effective when there is a shared sense of purpose, shared authority and shared decision-making when possible.

The three components of the model each need to be addressed in your EBP implementation process, but they are not mutually exclusive. For example, implementing a graduated responses grid is evidence-based, but it also requires collaboration with the judiciary and other officers of the court. Putting in place state-level EBP guidelines requires collaboration among state and local agencies, organizational development within each organization, and the

evidence-based principles themselves. A comprehensive implementation plan requires goals related to each element of the model, as well as strategies for connecting the dots between them. The next section provides more detail on how the model translates into practice.

What Are the Essential Steps?

Every organization is different in terms of culture, context, and priorities, so the steps needed to become an evidence-based organization differ across jurisdictions. There is not one "right" way to do this work. For that reason, this manual does not dictate rigid steps for implementation. However, it is not necessary to create an implementation plan from scratch. After nearly two decades of efforts in the field, many lessons learned are available from corrections practitioners, as well as in the literature. Following are some of the "key ingredients" for implementation. You can choose when and how to implement these steps, but each of them will bring you closer to the goal of being an evidence-based organization.

Where Do We Start?

Becoming an evidence-based organization is a long-term commitment. While your organization can accomplish a great deal in the first year or two, there will still be much left to do. It is a new way of doing business rather than a project with a start or end date. If you are ready to get started, turn to Chapter Two for the first steps. As you move forward, you will:

- Choose the right person to manage your initiative.

- Begin a process of education, communication, and engagement. Provide information on EBP, both the big picture and the details. Let all stakeholders know what their role will be and how applying evidence-based approaches will help them to contribute to public safety.

- Assess your organization and/or system to determine priority areas of change.

- Develop a strategic plan that includes annual efforts on approximately 4-6 major change initiatives, which will likely each contain many smaller pieces.

- Create a workplan and work teams to achieve your goals.

- Track your progress, celebrate success and continue to improve.

Becoming an evidence-based organization takes a great deal of effort, but is highly rewarding. An investment in evidence-based practice not only makes the community safer, but it also allows all community corrections employees to know that they are personally making a difference in their community.

Key Ingredients: The Big Picture

It is easy to get caught up in the details of evidence-based practice and lose sight of why you're here and where you're going. The steps below are ongoing and will help to keep your organization and your system focused on your goals.

- **Craft a Vision**

  With input from employees and partners, paint a picture of what your organization or system will look like when it is evidence-based. Connect all activities to the vision and how each step brings the vision closer to reality. Post it in your offices. Reinforce it at meetings. It is the role of the leader to consistently promote the vision.

- **Create a Sense of Urgency**

  If everything seems fine, there is usually little desire to change. Find the reasons for change that will motivate your system to move, such as high re-offense rates, budget cuts or prison overcrowding.

- **Connect the Dots (Ongoing Education)**

  As new pieces of EBP are introduced, describe how they are connected to other pieces and how they help to achieve organizational and systemic goals.

- **Consider Policy as Well as Practice**

  Community corrections practice is influenced by state statute, county and municipal regulations and judicial guidelines as well as organization policy and procedure. Consider how all levels of public policy support or inhibit evidence-based approaches and include short- and long-term strategies for needed policy change in your strategic plan.

- **Communicate, Communicate, Communicate**

  To get and remain engaged, internal and external stakeholders need initial briefings, to be kept up to date on progress, and have opportunities for input. Create a communication plan to get the message out in a variety of ways.

- **As You Add Work, Take Work Off the Table and Prioritize What Is Left**

  EBP provides guidance on what to do and what not to do. As you add new evidence-based policies and practices, discontinue ineffective ones. Invite suggestions from frontline employees, and offer concrete guidelines.

- **Stay Focused on Mission and Strategic Goals**

  Your strategic plan should have cross-outs and coffee stains. Refer back to it constantly, make changes as needed, and as you go about your daily work, ask, "Is this helping to achieve our mission?"

- **Use Data To Drive Decisions**

  When making decisions about business practices, ask for the data about effectiveness. Eventually, this becomes a habit, and people will demand data before making decisions. Distribute data widely and promote transparency.

Key Ingredients: Organizational Development

- **Give Your Organization a Physical**

  Conduct regular formal and informal assessments to "take the temperature" of your organization. Consider your progress to date on EBP, organizational climate, statutory authority, budget, and other internal and external factors that affect the way you do business. *(See Chapter Three for more details.)*

- **Develop Leaders at All Levels**

  Creating evidence-based organizations is a daunting challenge for all leaders, from directors of state oversight agencies to frontline supervisors in local community corrections offices. Offer leaders the opportunity for self assessment and ongoing professional development, including not only the "hard skills" of EBP but also the critical "soft skills" of managing change.

- **Align Business Practices**

  Evidence-based practice goes beyond supervision strategies to all aspects of your business. Ensure that:

  - The organization's mission, vision, and strategic plan reflect EBP.

  - Policies and procedures are revised to include EBP.

  - You have the technological infrastructure to support data-driven decision making.

  - Your budget supports evidence-based interventions and de-funds ineffective practices.

  - Your human resource practices reflect the new way of doing business *(see next bullet)*.

- **Plan for the Future Workforce**

  EBP leads to a fundamental shift in the way employees are expected to do their jobs. Revise human resources policy and practice to ensure that current employees have the skills they need and newly hired and promoted employees are the right fit for the job and successfully complete robust entry-level training.

- **Engage Employees and External Stakeholders as Partners**

  Ongoing communication, training and collaborative decision-making among internal and external partners increases buy-in to the change process.

- **Manage the Change Process**

  The process of change is challenging at the individual and organizational level. Planning for it and acknowledging its stages makes it easier for everyone to work through it. Leaders can begin by exploring their own ability to change.

- **Celebrate Successes**

  Positive reinforcement is a strong motivator. When your organization reaches important milestones in EBP implementation, be sure to celebrate!

Key Ingredients: Evidence-Based Practice

- **Implement a Risk/Need Tool and Supervision Plan**

  Accurate assessment of risk, need and strengths in concert with appropriate treatment and supervision is the foundation of evidence-based community corrections. Ensure that employees have the skills they need to implement effectively.

- **Supervise Cases Based on Risk**

  Focus time and resources on medium- and high-risk offenders while providing minimal supervision to low-risk offenders. Establish evidence-based treatment.

- **Create Quality Interactions With Offenders**

  Rapport between employees and offenders is crucial to successful supervision. Provide training and feedback on motivational techniques and communication skills for balancing accountability with support.

- **Develop and Implement an EBP-Aligned Training Plan**

  Ensure that employees have the training they need to implement EBP, including chances to refresh skills. Periodically assess understanding and application. Provide supervisors and/or peer trainers with advanced training so they can serve as coaches.

- **Implement a System of Graduated Responses**

  Provide officers with a framework of options of incentives for responding to pro-social behaviors and graduated sanctions for anti-social behaviors based on risk level and severity of behavior. Clarify options for administrative sanctions versus return to court. Monitor and report usage at the individual, unit and department level.

- **Create a Data Dashboard**

  Data can easily get overwhelming, both in volume and in detail. Select a few key process and outcome measures that tell you how well your organization is running, and review those measures weekly or monthly. If concerns pop up, dig deeper into the data.

- **Focus on Quality**

  Collect data to ensure that practices are implemented with fidelity and are effective. Partner with evaluators, universities or graduate students to develop measurement processes.

- **Partner With Providers to Align Treatment**

  Risk assessment and supervision planning are only useful if they lead to effective, responsive treatment. Work together to align provider treatment modalities with the evidence, measure outcomes and provide feedback, and establish clear performance measures in contracts, where applicable.

Key Ingredients: Collaboration

- **Develop Internal Collaboration**

  Collaboration needs to include all organization employees. The EBP implementation structure should encourage cross-functional interactions through training, working groups, etc. Internal collaboration encourages a shared vision throughout the organization and cohesion among employees as well as buy-in across functional units.

- **Develop External Collaboration**

  Bring together system stakeholders, ideally in a formal structure like a Criminal Justice Coordinating Council, to encourage corrections to work as a system.

- **Develop Shared Vision, Purpose, and Plan**

  To get work done, members of collaboratives need to be on the same page about their mission and goals as public safety agencies and the vision of what they have come together to accomplish. Once everyone is on the same page, it is easier to decide on action steps for system improvement.

- **Charter Working Groups**

  At their best, collaborative teams foster engagement and commitment. At their worst, they are a series of pointless meetings. Provide working groups with detailed charters and a skilled chairperson to establish clear goals and keep work on track.

- **Engage in Group Problem Solving**

  Use a structured decision making process (ideally, consensus) to address systemic issues, generate policy and practice recommendations and implement systemic change. Respond with a single point of contact when use of EBP is questioned, such as during a crisis when a significant probation violation makes headlines. Develop and put in place a formal review process that can provide critical feedback for improvement.

- **Create Transparency**

  Communicate about current policy and practice in each organization and share data about outcomes. EBP champions will likely have to model transparency to encourage others to get on board.
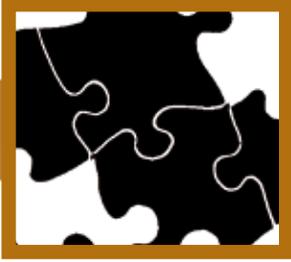
Getting Started

This section will provide you with some guidance on how to get started on the process of becoming an evidence-based organization, as well as more detail on how to use this manual.

As you explore the manual, please remember that the Integrated Model looks different in every jurisdiction, and yours will not be an exception. Please modify the approach to make it your own. Though there are some essential ingredients, like risk assessment and using data, you select the elements that are key to making EBP work in your organization. Also, the manual describes a process for implementation, but it is only the tip of the iceberg on EBP, organizational development and collaboration. Plan to do additional reading and have many conversations with colleagues in the field to keep up on the lastest research and how it applies to your system.

Getting Started Checklist

As you begin, or continue, your system change efforts, the following elements will help to establish a strong and enduring foundation. As an executive, you set the tone for change; without strong leadership, none of this work will be possible. At the same time, much of the day-to-day work must be delegated to committed, knowledgeable, organized employees who can translate a plan into action. The checklist below identifies some key elements to consider for organizations embarking on evidence-based system change, as well as those in the process of change that are looking to enhance their efforts.

While some of the items on the checklist reflect one-time events, many are ongoing efforts that will support your implementation, such as education, communication, and data driven decision making. Once you have begun those efforts, though, your organization will soon be ready for more. The

remainder of this manual prepares you to launch your EBP initiative, and offers a step-by-step description of that process. The manual is geared toward the project manager and the working group, but can be useful to anyone who wants to know what comes next. Ultimately, implementation needs to be a priority and shared responsibility at all levels of the organization. *(See Exhibit 2-1: Getting Started Checklist.)*

Four Steps to an Evidence-Based Organization

The *Four Steps to an Evidence-Based Organization* are designed to assist your organization with putting research into practice. The four steps, Assessment, Strategic Planning, Workplan Development, and Implementation and Quality Improvement, provide a broad framework to plan for change, make change and ensure that the change is sustained. The steps also stress both quality and quantity of new practices. As changes are implemented, they should contribute to improved outcomes for victims, offenders and the community. These four steps apply to each of the three domains of the Integrated Model: Evidence-Based Practice, Organizational Development and Collaboration. This process is outlined below. *(See Exhibit 2-2: Four Steps to an Evidence-Based Organization.)*

Within each of the four steps is a menu of options and your organization can tailor the approach that works best for you. For example, "Assessment" can include review of a wide range of data, from budget allocations to employee satisfaction to annual prison commitments. You determine which information is most critical for you to understand how your system currently functions identify priorities for change. "Workplan Development" offers dozens of activities that could move your organization toward becoming

Exhibit 2–1: Getting Started Checklist

For Executives

- **Be a Champion, and Recruit Others**

  Implementing evidence-based policies and practices is a collaborative effort, but a courageous and charismatic leader can be integral in getting and keeping the ball rolling. You may be the champion in your jurisdiction, though it is helpful to find another credible authority figure, such as a judge, who is willing to be a "face" of the work and share the vision throughout the system. If you are initiating this work at the state level, then local champions are essential.

- **Model the Way**

  Model the new behaviors that are expected from employees. Engage in open communication, dialogue, and debate, and provide support and positive reinforcement as employees take action.

- **Identify a Project Manager**

  This work is time-consuming and complex, so a talented person is needed to keep the effort organized and moving forward. The ideal project manager has authority and credibility within the department and the system, can maintain productive relationships, and has the ability to coordinate the many projects that are part of EBP implementation. The project manager will also be the go-to person on EBP, so will hopefully be well versed in the literature and excited about the work. Most importantly, the project manager needs the time to do this work. It should be part of his or her job responsibilities, not a supplement to full-time responsibilities.

For Project Managers

- **Assemble a Working Group**

  This effort can't rest on the shoulders of one to two people, so bring together a team. Use the working group to discuss opportunities and barriers to EBP, brainstorm next steps, and begin the process of education and communication. Try to include representatives from across the organization. (This group may stay intact through implementation or membership may evolve over time.)

- **Learn About Evidence-Based Policy and Practice**

  The project manager, executive team and working group members will need a strong knowledge of the EBP basics in order to plan next steps and be the "go-to" people for their colleagues. Start reading articles, attending conferences and training, and talking to colleagues in other jurisdictions about their experience with EBP. There is a lot of information out there, and it will take some time to absorb.

- **Talk About Evidence-Based Practice**

  Led by the champion, working group members will be the ambassadors for EBP. Start talking with staff about EBP and the Integrated Model and what it means. Begin with a basic introduction to the EBP principles and what they would mean for the organization. Start making the case for EBP and sharing the vision of what this will mean for the system.

- **Keep Talking About Evidence-Based Practice**

  Hearing about EBP once is not enough. Find different opportunities to talk about it with colleagues: share articles, have discussion groups at staff meetings, provide trainings, hold a conference, etc. Diverse opportunities for discussion will encourage learning, as well as send the message that EBP is here to stay.

- **Explore and Discover**

  Just reading about EBP is often not enough to get a real sense of what it looks like in practice, so members of the working group may want to do some reconnaissance. Make a site visit to a jurisdiction that is farther down the road with EBP. Send a few scouts to training on motivational interviewing, cognitive-behavioral training or other evidence-based programming. Talk with experts about what an assessment package for your organization might look like or what the costs might be. Try to preview implementation.

Exhibit 2–1: Getting Started Checklist (continued)

- **Dabble With Data**

  Using data to inform decisions is a key element of evidence-based policy and practice. Developing a comprehensive plan for data collection and application takes time, but it only takes one or two data elements to get started. What data are you curious about? Looking at data such as caseload size, revocation rates, prison or jail crowding, etc. can help to make the case for EBP and can help point you in the direction of desired outcomes, like reducing revocations to prison.

- **Don't Forget the Integrated Model**

  Evidence-based supervision and interventions are only part of the story. Once your working group is feeling comfortable with the ABC's of EBP, start diving into the literature on organizational development, collaboration and managing change. That information will come in handy for the next step.

- **Jump in With Both Feet**

  EBP is not for the faint of heart. Becoming evidence-based requires a substantial commitment to truly change the way your organization does business. Minimal or halfhearted efforts, like isolated, disconnected training events, can be a waste of resources if the new ways of doing business are not advanced. Be prepared to commit to a comprehensive plan for change at a pace that works for your system.

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evidence-based, but you choose what you would like to tackle given your goals and your resources. Throughout the manual, you will also read quotations from colleagues in their field, sharing their perspectives on the process.

And finally, if you are feeling overwhelmed at any time throughout this process, remember:

Rome Wasn't Built in a Day…
And neither are evidence-based organizations. A comprehensive approach takes years to implement, and evidence-based practice is a philosophy and a new way of doing business. Focus on doing a few things well so that they can be sustained.

Don't Let Perfection Be the Enemy of Progress
Whenever you change practice to improve outcomes, you're being evidence-based. Incremental improvement is okay, as long as you're moving in the right direction. If you can't develop case plans for all medium- and high-risk offenders, start with the high-risk. If you don't have the resources to train all of your employees, start with some high-performing offices. It's a step in the right direction, as long as you keep moving toward excellence.

You Can't Please All of the People All of the Time
(Lincoln)

No matter how good of a job you do making the case for EBP, some employees and partners are still

Exhibit 2–2: Four Steps to an Evidence-Based Organization

ASSESSMENT		
EVIDENCE-BASED PRACTICES	ORGANIZATIONAL DEVELOPMENT	COLLABORATION

STRATEGIC PLANNING		
EVIDENCE-BASED PRACTICES	ORGANIZATIONAL DEVELOPMENT	COLLABORATION

WORKPLAN DEVELOPMENT		
EVIDENCE-BASED PRACTICES	ORGANIZATIONAL DEVELOPMENT	COLLABORATION

IMPLEMENTATION AND ONGOING QUALITY IMPROVEMENT		
EVIDENCE-BASED PRACTICES	ORGANIZATIONAL DEVELOPMENT	COLLABORATION

going to resist the change, and that's ok. As long as a "critical mass" of people is moving forward, you can achieve change. Don't dedicate too much energy to winning over resisters and ignore those who are already on board.

Plans Are Useless, But Planning Is Indispensible
(MacArthur)

Your EBP plan will not survive intact. Changing circumstances will require your plan to evolve. However, don't give up on the planning! The planning process establishes a vision for the work and

long-term goals, so that even when circumstances and plans change, you can stay focused on the goal and hold employees and partners accountable for desired outcomes.

Remember the Carrots as Well as the Sticks
As a learning organization, you will always find things that you could be doing better. Don't forget to pause regularly to celebrate what you have accomplished!

Luck Has Nothing To Do With It
If you follow the data, your community will be safer, and you'll have the numbers to prove it. Some offenders will still commit new crimes, and some will put your department on the front page of the newspaper. That doesn't detract from the overall improvement in public safety that results from EBP. Make sure you have that message ready when you need it.
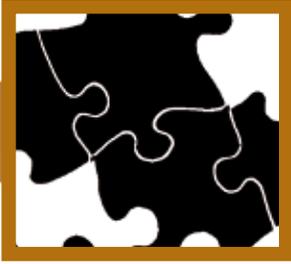
Organizational Assessment

To Know Where You're Going, You Need to Know Where You Are

Assessment: Why?

When you commit to becoming an evidence-based organization, you commit to changing the way your organization does business. Based on your experience, you probably have some ideas about what needs to change—policies that need to be updated, or new practices that need to be implemented. You also probably have ideas of the barriers to be overcome—employees who are skeptical about this new process or outdated performance expectations. You may also have questions: Are most employees ready to do this? Do we have the training resources we need to prepare everyone? Are employees engaged in this process?

In order to develop a plan for achieving your desired change, you need to get the full picture of where your organization is now. The assessment process combines professional experience, objective data and input from employees and stakeholders to paint a picture of the current organization, identify strengths and guide what needs to change. In general, the purpose of assessment is to understand and respond to areas of need, which is not unlike the principles of risk, need and responsivity that you are applying to clients.

The assessment of an organization is similar to your annual physical. Your doctor checks on your overall health, follows up on any outstanding health issues and works with you to resolve any problems or improve your health in general. The doctor uses your observations, her professional expertise, and objective data, like blood tests, to identify issues and create a treatment plan. When you give your organization a physical, you can uncover problems that are affecting your productivity and ability to change and develop improvement plans.

Assessing your organization for the purpose of decision-making will drive and inform the change process through strategic planning, work planning and quality improvement. To achieve change, you must assess where you are in all three areas of the *Integrated Model:* Organizational Development, Evidence-Based Practices and Collaboration. As with your health, without accurate and empirically derived information you won't unable to apply the correct treatment.

Assessment: Who?

Assessments can be conducted by individuals within or outside your organization. The choice of who will perform the assessment will depend on the expertise

Lessons Learned From the Field:

- "This took more time than we anticipated; however, it was the key for where we went and where we ended up."

- "This phase can be exhausting—just when you think you have a handle on things, something changes and you must go back and re-adjust, but it's worth it."

- "This required honest organizational self-reflection, which was extremely difficult when ways in which we were operating needed to change."

needed, the complexity of the assessment and the level of anonymity desired. Internal administrators offer detailed knowledge of the department, while external administrators are able to offer a broader view of the assessments and their implications. There also may be circumstances, such as demanding data collection requirements or the need for advanced statistical analysis, in which targeted outside expertise may be needed even though most of the work is done in-house.

Assessment: How?

Two types of information will be useful to your assessment process: formal and informal. Formal assessments will include organizational surveys and review of data, such as caseload sizes, revocation rates, and recidivism. Most of this chapter focuses on the collection of formal data, because that is often the most complex part of the process. However, informal data is also very valuable for "taking the temperature" of the organization. Informal discussions and focus groups with employees can bring key issues to light and can provide context for formal assessments. The six-step process described below can guide your data collection and presentation. At the end of the process, you will have a picture of your organization's health and readiness for EBP implementation. The information you gather will supply you with all the tools you need to move into the strategic planning, work planning and ongoing quality improvement.

Six Steps to Assessment

Step 1: Decide What You Want to Know

A comprehensive organizational assessment requires the commitment to collect information from all employees (i.e. probation officers, administrative and

support staff, supervisors, management, executive management) to measure attitudes; beliefs; knowledge and views regarding organizational health and dynamics, correctional research and evidence-based practices; and the state of collaboration within the organization and across other stakeholder agencies. By collecting this data, you can analyze the climate within the organization as a whole, across different staffing levels and divisions and across partner agencies (e.g. substance abuse, mental health, health, etc).

The first step of this process is for the working group to brainstorm what you want to know about the organizational climate and the state of evidence-based policies and practices and collaboration in your organization. This may include questions like:

- Have our prison revocations been increasing over the past several years?

- Are the treatment programs that we fund evidence-based?

- Are our judges familiar with evidence-based policy and practice, and do they support it?

- What is the risk profile of our offender population?

- Is our executive team ready to take this on?

Lessons Learned From the Field:

- "At this point of the initiative we really needed some formal assistance to move us forward. We were primed but a little stale."

- "In some organizations it was the senior management staff who solicited technical assistance. Once it was obtained, they began the process of educating up and down the organization about the benefits of this approach."

Once you have created this list, you will need to prioritize those questions that must be answered to further the implementation process, questions that would be nice to have answered and questions that are the least important in terms of furthering the initiative. This pruning process will make the assessment phase more manageable, timely and cost-effective. (If you are unsure about the right questions to ask, review available assessment instruments for ideas.)

The questions that must be answered will form the core of the assessment content. The next step is to clearly define what you mean when you ask the question. For example, "collaboration" means different things to different people, so the question, "How well do we collaborate?" may need to be clarified as, "Do the members of our coordinating council share resources to meet common goals?" You will need to make further decisions regarding what information is needed from various assessment participants. While questions about organizational communication are relevant to everyone, supervisors will have different needs for management assessment than executives.

Without clearly defining what you mean when you say something (e.g., recidivism), you run the risk of not having sufficient data to answer your questions. With a clear definition you have converted a concept that can be defined multiple ways into a concept with a common definition that all participants share. Documenting these decisions will be helpful in selecting the right assessment tools, which is discussed in the next section.

Let's consider the example of recidivism. You could measure recidivism as violations while under supervision, new arrests within one year after terminating supervision, new convictions up to three years after termination, etc. Maybe you want multiple measures. There is not necessarily a "right" definition of recidivism; what is important is that everyone in your organization is on the same page about what is being measured.

Once you have determined your questions, you need to consider how you are going to collect the information. Some of your questions will likely pertain to the organization as a whole, and will require the collection of information from all employees, or a sample of employees. The remainder of this chapter is focused on answering these types of questions. Questions on other topics, such as revocations, recidivism rates, budget allocations, etc. are equally as important to the planning process. Individuals or groups with the proper expertise should be assigned to find the information needed to answer those questions, and bring those answers to the strategic planning process (see Chapter 4).

Step 2: Find the Right Assessment Tool(s)

In selecting assessment methods, you want to consider formal and informal methods that will get your questions answered and also the methods that will encourage participants to be forthcoming. In general, a variety of approaches is best. Some participants will appreciate the anonymity of an online survey, while some will be more comfortable with the informality of a focus group.

You can find a range of assessment tools in academic literature, via the Internet, through consultation with other organizations or you may have tools that you have used in the past and are interested in using again to measure change. Chances are that there will be many tools available for your use. Look first for tools that will answer your questions and secondly for the tools that have the best research supporting them. If a research-based tool is not available, use the tool that is best able to offer the information you need.

Other factors to consider include:

• Is the tool too long and complicated for ease of administration?

• Will the instrument answer your questions?

Lesson Learned From the Field:

• "We did not do a good enough job of operationalizing (putting into practice) everything we did: written protocols, definitions, policies, etc. We ended up backtracking and doing this anyway. Makes a big difference when everyone is working on the same page."

- Is the instrument designed to measure change over time?

- Does the instrument apply to the organization as well as individual respondents?

- Have these tools been used by other correctional agencies for similar purposes?[2]

You may administer more than one instrument depending on your area of assessment interest. *(See Exhibit 3-1: Example Assessment Tool for Organizational Development, Collaboration, EBP Knowledge, Skills, and Attitudes.)*

If your list of potential instruments is too extensive, this is another point at which you can prioritize. In addition to not wanting to over-survey employees, it is only possible to respond to a limited amount of survey information in any given year. Consider the information that is truly necessary given your stage of EBP implementation. For example, if EBP is a new concept, it may be more important to measure employee support for offender behavior change rather than evidence-based supervision skills. Make it easy for employees to respond. Help them find time to complete the survey. Make computers available to employees who may not have easy access.

Step 3: Develop Data Collection Methods and Timelines

After finding the right tool(s) to assess your organization, develop a survey plan that includes who will be surveyed and how the results will be shared with your organization. If your organization has the resources, it is best to assess every employee and/or collaborative member. However, some organizations may not have the resources to assess everyone. Sampling may be an easier way to identify who to assess. A simple method of sampling can be done in-house by selecting the number of employees you would like to survey, creating a list of employees and selecting every nth employee from the list. For example, in an organization of 1,000 employees that would like to survey 25 percent, every 4th employee would be selected from a list. Alternately, a research partner can assist with random sampling.

Once you have identified the sample to be surveyed, you need to determine the method of survey administration. Many options are available, each with benefits and drawbacks. You can select the method that is most feasible for you to implement and that offers employees a comfortable level of confidentiality. Options include:

- Paper or electronic surveys

- In-person administration (such as at a staff meeting) or distributing surveys for return

- Administering the survey internally or hiring a third party

The next step in this process is to establish a timeline for data collection. Timelines are heavily influenced by the length of the assessment, the workload of respondents, organizational culture and the level of investment staff have in the assessment process. The amount of time that is reasonable for assessment administration and return is a discussion for the working group. Generally, two to three weeks is an appropriate amount of time to complete surveys by mail or online.

Regardless of how the survey is administered, you should prepare an introductory letter, email or video explaining why your organization is conducting these surveys, what surveys are included and when they should be completed, along with assurances of confidentiality. This is also a chance to remind invitees that participation is voluntary, and if they choose not to respond, there will be no negative consequences. A sample invitation letter is provided below. *(See Exhibit 3-2: Sample Invitation for Data Collection.)* This can also be combined with other engagement activities, such as presentations or videos from the chief or director, or an assessment kickoff activity.

No one likes to complete a survey or provide any other type of feedback if his/her perspectives will be ignored, or if there could be retaliation for expressing reservations. To reassure potential participants, decide in advance how the assessment results will be used and shared, how confidentiality will be protected and how respondents will learn the results of their input. Thinking through the next steps, communicating them to employees and following through on the plan will encourage respondents to trust the process.

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[2] How to Choose Tools, Instruments, & Questionnaires for Intervention Research & Evaluation, http:wilder.dom.com/tools/toolshowchoose.html

Exhibit 3–1. Example Assessment Tool for Organizational Development, Collaboration, EBP Knowledge, Skills, and Attitudes

Tool	Purpose of Tool	Who Is Surveyed
ORGANIZATIONAL DEVELOPMENT		
Likert Survey of Organizational Climate *(Rensis Likert, modified by Crime and Justice Institute)* Validated	The assessment measures key group dynamics, organizational climate and productivity	All employees
Survey of Organizational Functioning, Criminal Justice Version *(Texas Christian University)* Validated	Measures organizational readiness for change, job attitudes, workplace practices, motivational factors, program resources, staff attributes, and organizational climate	All employees, or those employees currently applying evidence-based practices
360° Management and Leadership Assessments *(Various)* Level of validation varies by tool	Measures management and leadership competencies; specific competencies vary by tool selected	Supervisors, mid-managers, and executives
Team Health Report Card *(Campbell and McTavish)* Validation in Progress	Measures how your traits, habits, personality, experience, etc., impact your team	Executives or other internal teams
COLLABORATION		
Working Together: A Profile of Collaboration *(Larson and Chrislip)* Validated	Measure staff perceptions regarding the effectiveness of your collaborative group	Formal collaborative committees
EVIDENCE-BASED PRACTICE		
Evidence-Based Practice Skills Assessment (EBPSA) *(Crime and Justice Institute)* Validated	Measures line staffs skills in the areas of communication, interviewing, problem-solving, analytical thinking, critical thinking, attitudes of EBP, change behavior, positive reinforcements and ethics	Employees currently applying evidence-based practices
Case Assessment Vignette *(University of Cincinnati)* Validated, though jurisdictions may opt to use tailored vignettes	Measures EBP-aligned case planning skills	Employees currently applying evidence-based practices
IMPLEMENTATION OF THE INTEGRATED MODEL		
Implementation Checklist *(Crime and Justice Institute)* This is not a validated instrument; it is a management tool to gauge EBP alignment and priorities for change.	Subjectively reviews current organization policy and practice to determine alignment with EBP and target areas for development	Executive team and/or a cross-section of organization employees

Exhibit 3–2: Sample Invitation for Data Collection

SAMPLE INVITATION LETTER

Sample Sergeant
Department of Corrections
2277 Anywhere Boulevard
Anywhere, USA 21215

Friends of the Department
2518 Anywhere Avenue
Anywhere, USA 20784

Month, Day, Year

Dear Friends,

WE WANT TO KNOW WHAT YOU THINK!

Our organization is participating in an initiative to support the implementation of Evidence-based Practices (EBP).We are developing a three-year plan for how to move forward, and we want you to have a voice in the process.

To include as many perspectives as possible, employees are being asked to complete a series of online assessments. The purposes of these assessments are to record your perceptions regarding organizational climate, organizational change, job-related tasks, and characteristics of managers and employees that relate to EBP. The assessments will be completed on-line (i.e., web-based) through a secure site that is password protected and located on our server. Only research staff will have access to the data you provide as part of these assessments. The summary information gathered from these assessments will be used to inform and prioritize our organizational development efforts (communication and information sharing, decision-making strategies, and leadership). Your responses, along with the responses of others, will be statistically summarized and displayed in an aggregate form without identifying you individually; this is completely CONFIDENTIAL. No one outside of the research unit will see your individual responses. The results will be used to identify areas for improvement in the way the department functions overall, and the way EBP is being implemented.

You will receive and email from the research team on [date] providing you with instructions on the assessment process and asking for your participation in three confidential assessments. We understand that you are very busy, but this feedback is essential for providing direction to this department. Our hope is this process will help us meet your expectations and improve our services and outcomes.

Look for results of the survey in *Probation News* in January, and the opportunity to discuss the results with the Chief during an all-staff meeting.

Thank you,

Sample Sergeant
Department of Corrections

Step 4: Prepare the Data for Analysis

Before you analyze your data, you need to create a data file to help you organize the information you collected. This step can be completed by your organization's research staff, university partners or external consultants. This is also a suitable project for graduate students who have some experience with research methodology. If your organization does not have access to one of these resources, this section is designed to provide you with the basics of preparing your data for analysis. For more information, please see Appendix B.

Step 5: Breaking Down the Results

Once the data are entered and checked for accuracy they are ready to be analyzed. This is another step where a graduate student or university partner can be valuable. In deciding how to analyze and present data, the most important question to ask is: How can I make this data useful to the target audience and facilitate the implementation of EBP? The answer to this question can determine the level of detail in the analysis and the format of your presentation.

The first step in analyzing the assessment data is to examine the responses to each question. A commonly used method of calculating responses is to look at the percentage of participants who chose each response. For example, if the question asked about level of satisfaction and the responses were very satisfied, satisfied, neutral, unsatisfied, very unsatisfied you could examine the data to present the number or percentage of respondents who were very satisfied, etc. *(See Exhibit 3-3: Response Distribution Graph.)*

Another way to look at this type of response is to combine categories into very satisfied and satisfied; neutral; and unsatisfied and very unsatisfied to reduce responses to three. Often it is easier for the reader to digest and understand patterns of response when they are fewer categories. *(See Exhibit 3-4: Collapsed Response Distribution Graph.)*

Finally, this type of response set can be reviewed by assigning a number to each response, for example very satisfied = 5, etc., which allows you to present averages and other measures of trends toward high or low responses. You can use this strategy in any response set in which a hierarchy is implied. *(See Exhibit 3-5: Average Response Graph.)*

Exhibit 3–3: Response Distribution Graph
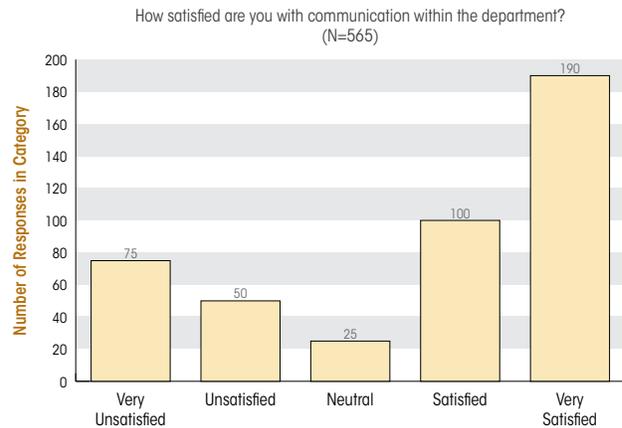
How satisfied are you with communication within the department?
(N=565)

Exhibit 3–4: Collapsed Response Distribution Graph

My supervisor is available to discuss my work performance
(N=565)

Exhibit 3–5: Average Response Graph

1= Very Unsatisfied to 5= Very Satisfied
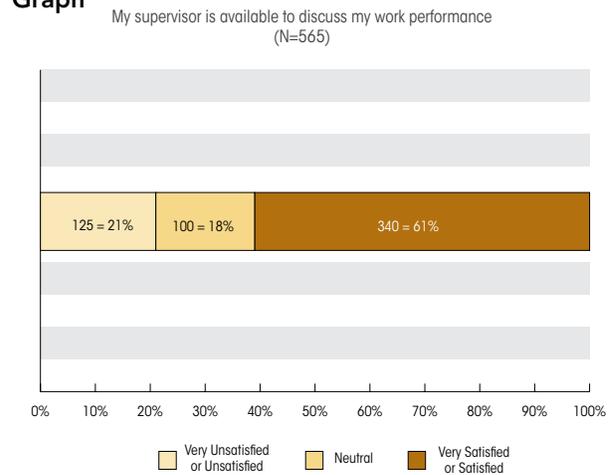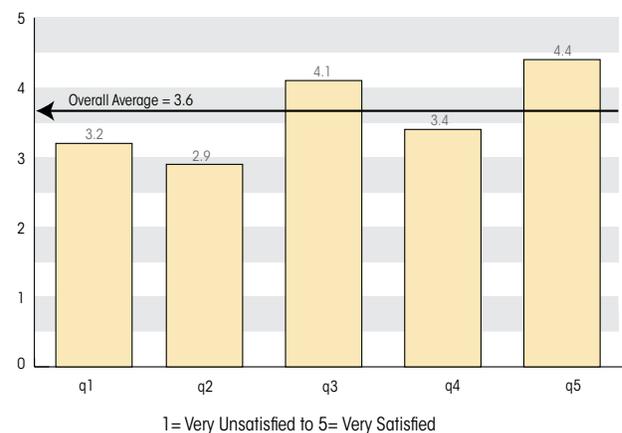
After analyzing questions for the overall sample, data are broken out by demographics such as male vs. female, management vs. line staff, etc. to begin to explore differences between and among groups. *(See exhibit 3-6: Average Response by Gender Graph.)*

The following is an example of demographic questions that could be asked to differentiate your results. *Note: when selecting demographic questions, be sure that the answers will not allow you to identify individual staff members.* For example, if there is only one African American male working in your department, then that individual would have a legitimate concern that he could be identified based on answers to these questions. *(See Exhibit 3-7: Sample Demographic Information.)*

Once the data have been analyzed across all groups of interest, a more robust pattern of analysis can begin. This is the comparison of responses to one question with the responses to another, either overall as represented by the organization or by certain demographic groups. Are supervisors more comfortable with change than line officers? Are employees dissatisfied with training in general or with certain areas specifically? Asking probing questions about what the data mean will help you to define areas for improvement and shape your strategic goals. If possible, provide everyone in the organization with the opportunity to ask questions and receive answers (within reason); this will make the data more accessible and trustworthy.

Step 6: Summarize Your Results With a Presentation

Once you have analyzed the assessment results, the final step of the process is to summarize the results in a presentation your audience can easily review and understand. This is particularly true during the early stages of the implementation process. Providing clear and simple data results will reduce the

Exhibit 3–6: Average Response by Gender Graph

1= Very Unsatisfied to 5= Very Satisfied
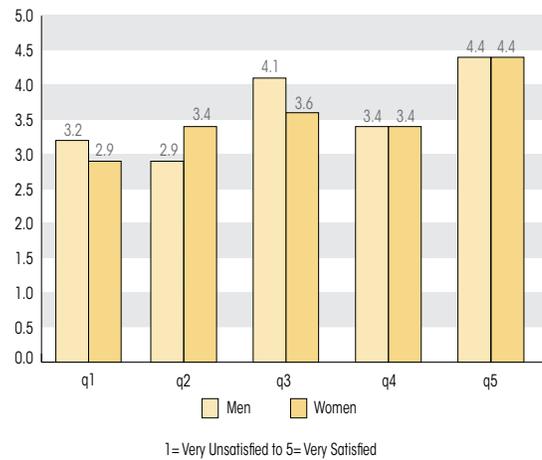
likelihood of overwhelming or confusing the audience. While some people may have experience understanding and interpreting results, others may not. Keeping the results straightforward is your best approach.

After your audience has been identified, you need to consider the most appropriate visual format to present your data results. The goal of your visual aids is to present answers to your assessment questions and to provide guidance as you move toward strategic planning. Graphing and/or charting are very useful methods to help present the data you collect. A graph can highlight certain aspects of the data more clearly and meaningfully by showing patterns, trends and/or summaries. *(See Exhibit 3-8: Sample Graphical Representation of Summary Data.)*

In some circumstances, a table is the most appropriate means of displaying data. This is often the case when you have more complex data with multiple levels that you want to present to your audience. *(See Exhibit 3-9: Sample Tabular Representation of Summary Data.)*

Lesson Learned From the Field:

- Assessment study reports provided an insightful and balanced look at the information, and were user-friendly for all levels of staff."

Exhibit 3–7. Sample Demographic Information

Are you: ☐ *Male*   ☐ *Female*

Do you consider yourself Hispanic or Latino? ☐ *No*   ☐ *Yes*

Are you: [MARK ONE]

☐ *American Indian/Alaska Native*   ☐ *White*

☐ *Asian*   ☐ *More than one race*

☐ *Native Hawaiian or Other Pacific Islander*   ☐ *Other (specify):* _____

☐ *Black or African American*

Highest Degree Status: [MARK ONE]

☐ *No high school diploma or equivalent*   ☐ *Bachelor's degree*

☐ *High school diploma or equivalent*   ☐ *Master's degree*

☐ *Some college, but no degree*   ☐ *Doctoral degree or equivalent*

☐ *Associate's degree*   ☐ *Other*

Position:

☐ *Manager*   ☐ *Field Supervisor*   ☐ *Field Officer*

☐ *Facility Supervisor*   ☐ *Facility Officer*   ☐ *Clerical/Support Worker*

☐ *Other*

How many years of experience do you have in this field?	|__|__| YEARS	|__|__| MONTHS
How long have you been working at this organization?	|__|__| YEARS	|__|__| MONTHS
How many clients do you directly supervise currently (i.e., your caseload)?		|__|__|__|

Exhibit 3–8: Sample Graphical Representation of Summary Data
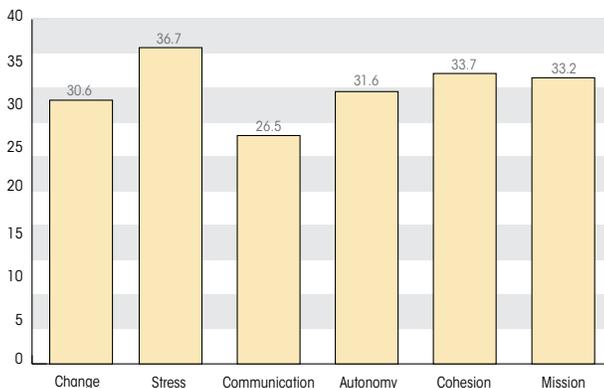
Exhibit 3–9: Sample Tabular Representation of Summary Data

ORGANIZATIONAL CLIMATE DATA	*Category*	*Response Rate*
	Mission	33.2
	Cohesion	33.7
	Autonomy	31.6
	Comm	26.5
	Stress	36.7
	Change	30.6

Once the data have been formatted for presentation, it is time to disseminate the findings throughout the organization and, in some cases, to external stake-holders as well. This is one of many opportunities to emphasize communication. Because it is easy for information to fall through the cracks, it is important to develop a communication plan and monitor that plan to ensure needed information is getting out to all who have been designated to receive it. Communication among all stakeholders is an opportunity to consider who needs information, what they need and how to best convey the information.

Align the Assessment Results and Prepare for Strategic Planning

When you develop a comprehensive assessment package that will guide your strategic planning process, you should assess all three components of the Integrated Model: organizational development, evidence-based practices and collaboration. You can assess these components sequentially when simultaneous assessment is not necessary or feasible. The following excerpt is from a comprehensive assessment report which focused primarily on organizational development and EBP. *(See Exhibit 3-10: Sample Organization Assessment Findings and Recommendations.)*

Exhibit 3–10: Sample Organization Assessment Findings and Recommendations

Findings and Recommendations

This document summarizes the findings of the Example County Probation Department organizational assessments, along with recommendations for next steps from the project team at the Crime and Justice Institute (CJI). The assessment data includes: Likert survey data from executives, supervisors and line staff (all levels); Texas Christian University Survey of Organizational Functioning data from all levels; case vignette data from supervisors and line staff; focus group data from supervisors; and aggregate 360° management assessment data from supervisors. This data addresses primarily organizational factors, due to the content of the assessments. It does not comprehensively address issues of evidence-based practices implementation or collaboration, which also need to be considered in the Department's workplan.

The data is organized under headings (goals) that were identified by Example County Adult Probation as key themes. Under each heading, three informational groupings are offered: highlights from the survey findings; recommendations for how to address those survey findings based on CJI's experience; and specific references to the example workplan and how it might be impacted by these recommendations.

Goal One: Improve Multidirectional Communication

FINDINGS

- Forty-five percent of line staff is satisfied with communication channels, while 50% of executives and 41% of supervisors are not.
- Fifty percent of executives feel that staff is kept well informed, while 64% of supervisors and 51% of line staff do not.
- Executives and supervisors saw top-down communication as a developmental area, according to the Likert Survey.
- Staff at all levels feel that more communication is needed about organization issues.
- Staff at all levels feel that they communicate accurately to management, and that being involved in decision making contributes to their motivation.
- Fifty-one percent of line staff feels free to ask questions and express concerns in this organization, while supervisors and executives were divided on this issue.
- Focus group participants felt that communication on policy change was ineffective. Staff was unsure how their feedback on draft policies was being used. Participants also felt that management forums could be used more effectively to discuss upcoming departmental changes.
- According to aggregate 360° assessment scores, communicating information and ideas is one of the most important skills for supervisors. In addition, making a point to a resistant audience, public speaking, and handling confrontation were overall developmental needs for supervisors.

RECOMMENDATIONS

- Use management forums, division meetings, and unit meetings as an opportunity for true conversations about organization issues, goals, and performance.
- Utilize multiple communication pathways for key information, including meetings, trainings, intranet, newsletter, videos, emails, memos, and word of mouth.
- When presenting information and soliciting feedback, be clear on how the information will be used at the outset, and provide feedback on how input was used.
- Identify informal communication structures, and involve key communicators in reform activities.
- Once communication pathways have been identified, provide coaching for individuals responsible for communication and opportunities for practice. This also includes clarifying the roles of committee members, i.e. that they are representing constituents in the organization and need to communicate about the work of the committee.
- Conduct regular communication surveys to explore what information is being conveyed to staff and what formats are successful.

SUPPORTING DATA
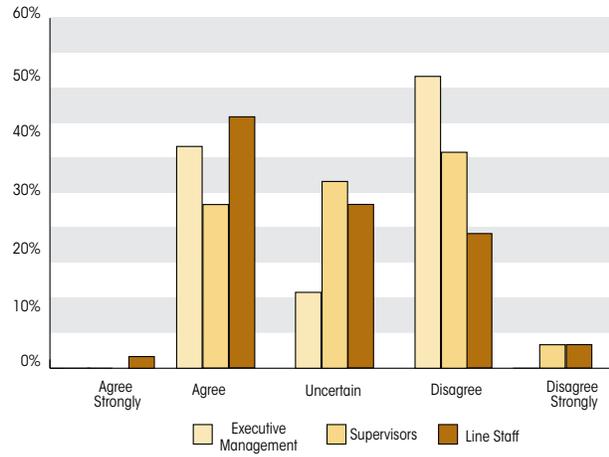
	Executives	Supervisors	Line Staff
Agree Strongly	0%	0%	2%
Agree	38%	28%	43%
Uncertain	13%	32%	28%
Disagree	50%	37%	23%
Disagree Strongly	0%	4%	4%
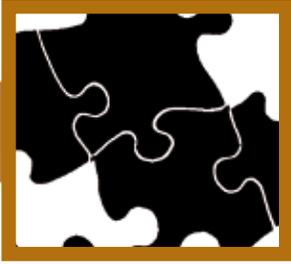
Strategic Planning
Choosing Your Destination

Strategic Planning: Why?

If you've reached the point of asking the question, "Where do we go from here?" or "What is this going to look like in a few years?", then you are ready for strategic planning. A strategic plan provides the direction for an organization or collaborative and links its role in the community with the steps that will be taken to fulfill that role. The process of strategic planning creates an opportunity for colleagues to come together, reflect on the goals and direction of their work and reach consensus on how the organization or collaborative will move forward.

The strategic planning process is important, if:

• Your organization does not currently have a strategic plan.

• A strategic plan is in place, but it does not incorporate goals related to evidence-based practice.

• EBP implementation is a collaborative effort among several agencies, and a plan is needed to guide the collective work.

If the strategic plan is being developed for an entire organization, then it is likely the plan will contain a variety of important goals unrelated or tangentially related to EBP, such as safety issues or maintenance of physical plant. The process described below is applicable to all strategic goals. If a strategic plan is already in place, it may not be necessary to restart the process from scratch; a review and modification of the current plan may suffice.

Strategic planning also provides an opportunity for education on evidence-based practice and the Integrated Model. Planning team members must have a working knowledge of the model and how it is put into effect in an organization in order to proceed.

NINE STEPS TO STRATEGIC PLANNING

1. Decide on a Planning Structure
2. Select a Planning Team
3. Provide Background Information
4. Develop Vision and Mission Statements
5. Environmental Scan and Gap Analysis
6. Develop Strategic Goals
7. Develop Objectives
8. Document and Disseminate
9. Go To Work

This can occur through formal training, review of documentation from other jurisdictions and consultation with EBP experts or practitioners with implementation experience.

Strategic Planning: Who?

Strategic planning should include representatives from a cross section of the organization or agencies participating in EBP implementation. Executive management must be at the table, and mid-level managers, supervisors, and line staff can be represented in a variety of ways. The team should also be cross-functional; for example, if your organization includes field and facility functions, both should be represented. The team that develops the plan will be deciding the organization's direction for the next several years, so the group must have the authority and operational knowledge to complete the task. In addition, the strategic plan will be a guide for all employees, and a well-respected planning group

that seeks input from constituents is an important first step.

In addition to the planners, a neutral facilitator can help you with the process. The facilitator can be someone from inside your organization who is not part of the planning team and is willing to focus solely on managing the process, or someone brought in from outside who has little or no knowledge of your group and no stake in the outcome. It is also possible to assign a person from the planning team to be the facilitator or to rotate facilitation responsibilities, though that makes it more difficult for the facilitator to participate in the discussions. Advisors from private business or university business schools can also help you structure the process.

When developing a strategic planning team, size is an important consideration. There is no magic number; the group should be large enough to represent diverse constituencies in the organization or collaborative, but small enough to be productive. If more than twenty or thirty people want to be directly involved in the process, a tiered approach may be needed. For example, a small planning team may draft goals and objectives and bring them to a larger group for feedback, or once objectives are selected, more inclusive working teams may be formed to develop tasks and timelines.

If evidence-based practices are new to the organization or collaborative, then you can engage employees in EBP by including them in the strategic planning process and provide some education on how implementation will unfold. This is an opportunity to include those who are knowledgeable proponents of EBP implementation and also those who are skeptical and oppositional. Including naysayers allows concerns to be aired and addressed at this early phase in the process and encourages the development of a plan that will be palatable to a larger segment of the organization.

When individuals are selected to participate in a planning committee, they often represent a group of their peers. It is important that committee members are clear on their role at the table. The Maryland Department of Public Safety and Correctional Services, Professional Development and Training Division, for example, developed a description of the expectations of committee members, so that committee members could fulfill expectations. *(See Exhibit 4-1: Guidelines for Being an Effective Committee Member.)*

Strategic Planning: How?

There are many documented approaches to strategic planning, but they all follow the same basic regimen:

- Determine the purpose of the organization.

- Assess the current climate.

- Defining goals and action steps for future business activity.

If your organization has a functioning process in place for strategic planning, EBP can be infused into that approach. If not, you can use the process described below for the development of a new strategic plan and the review and modification of an existing plan.

Developing A Strategic Plan

STEP 1: Decide on a Planning Structure

Before you can begin planning, you need to determine a structure for planning so planning sessions can be scheduled and participants have a clear understanding of their commitment. The process is likely to take a total of 4-5 days, with legwork in between sessions. The sessions may be conducted in 3-4 hour segments over several days or weeks or

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Lessons Learned From the Field:

- Many jurisdictions reported the lack of mid-manager involvement in planning and implementation as a definite barrier to success. They noted the importance of getting staff input.

- "Do not fail to engage organization staff from the beginning."

Exhibit 4–1: Guidelines for Being an Effective Committee Member

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Benefits of Committees to Organizations

Committees can be extremely effective ways to organize projects. They allow us to tap into the many diverse skills and talents of employees, producing a result superior to what any one individual would be capable. Committees are particularly usefully when a complex problem needs to be solved and innovation and creativity are required. Using a group process also creates an investment in the outcome and a sense of ownership of the project by committee members. People are committed to what they have created.

Benefits of Committees to Committee Members

Committees provide opportunities for individuals to develop knowledge and skills in areas to which they may not normally be exposed. They also provide a chance for staff to get to know employees in other parts of the organization. Thus, serving on committees can be very helpful in advancing in your career, as well as giving you a chance to have a significant impact on your organization.

To Be An Effective Committee Member:

- *Approach your appointment to a committee with a positive attitude.* Remember that you were selected for this assignment because your skills and talents were viewed as being valuable to the project.

- *Be familiar with the purpose of the committee.* If the committee goals are not clear to you, ask for clarification. The chances are if you do not understand the committee's purpose, other members are equally confused. A clear statement of purpose is essential for committees to be productive.

- *Be clear about the fact that you represent more than just yourself on a committee.* Committee members are generally selected to represent some segment of the organization (e.g., a particular unit or organization, a Division, a job classification, etc.) Once you know what group you represent, find ways to get input from others in the group you represent.

- *Attend meetings regularly and be on time.* One of the biggest frustrations for committee leaders is poor attendance. It is up to each member to be responsible for showing up for meetings and for being on time. This is essential if the committee is to be successful.

- *If you are unable to attend a meeting, find out what is expected.* Who should you notify that you will be absent? Should you send a substitute? How can you submit any assignments that are due that meeting? How can you make arrangements to get minutes or an update on what happened at the meeting you missed?

- *Willingly volunteer to complete assignments between meetings.* It is usually impossible to complete all of the work a committee needs to do during the time allotted for meetings. Therefore, members are frequently required to complete assignments between meetings. All members should be prepared to share in taking on these assignments.

- *Be responsible in meeting deadlines for assignments accepted.* Missed deadlines present a major problem for committees. It slows down the process and creates irritation among the members who do submit their assignments on time. You can avoid this problem by being realistic about deadlines to which you agree, and then following through as promised.

- *Pair up with someone who has a skill you would like to develop.* Sometimes committees need to form sub-groups to complete various tasks. Use this opportunity to work with other members from whom you can learn. Likewise, be willing to share your particular expertise with others.

- *Volunteer for roles you do not normally take.* There are various roles that need to be filled on committees (leader, timekeeper, scribe, etc.). Consider volunteering for a role that will be a stretch for you. This is a good way to develop new skills.

- *Speak up and give your thoughtful opinions about matters being discussed.* You have been asked to serve on a committee because your input is valued. This is not the time to hang back. Speak up and be heard.

- *Be respectful when other committee members are speaking.* One of the benefits of committees is the ability to bring together the collective thinking of a diverse group of people. For this to be effective, all members must have an equal voice.

A Final Thought

The success of a committee is highly dependent upon the full participation of its members. Committee work can be very demanding, but the potential rewards are numerous.

as 1-2 day retreats. Conducting the sessions off-site may help to increase focus on the tasks at hand.

You also need to develop a decision-making structure so participants are aware of their role and authority. Some potential options are:

• The planning team develops a draft plan that must be approved by the executive team. The approved plan is then rolled out to constituents.

• The planning team drafts goals and objectives, which are then taken to constituents for discussion. Feedback from constituents is incorporated into the final draft of the plan, and the executive team agrees to accept the plan put forward by the planning team.

• The planning team drafts goals, and the additional constituents are recruited to work on committees to develop objectives, tasks, timelines, and persons responsible. The planning team then rolls the plans together and presents one plan to the executive team for approval. The approved plan is then rolled out to constituents.

• The planning committee includes the entire executive team as members, and the plan is reviewed by key stakeholders.

• The collaborative planning team drafts a plan, which is then submitted to the executive teams of the member agencies. Those executives must agree to the plan in order for it to be considered approved. This could be a process of consensus or majority vote.

If developing a decision structure is challenging or there is significant disagreement, a neutral facilitator can be helpful in determining options and selecting an approach.

STEP 2: Select a Planning Team

As mentioned above, the size and composition of the planning team can vary depending on the needs of your organization. If planning is being done for an organization, the team should include senior management and representatives from each major organizational division, as well as representatives from each staffing level. If planning is at the collaborative level, then each organization should be represented by an individual or team. If a team approach is taken, it should include someone with the authority to commit the organization to action, such as a chief or deputy chief, team members with operational knowledge, such as a division director and a supervisor, and any needed advisors, such as an administrative director or legal counsel.

Team members can be selected, asked to volunteer, or offered membership as a developmental opportunity, and the group may be composed of both selected members and volunteers. If two field supervisors are needed for the team, volunteers could be selected from among all supervisors. If union representation is requested and one union representative has made valuable contributions to previous planning groups, then you can ask the union for that particular individual's involvement.

STEP 3: Provide Appropriate Background Information

In order to develop an evidence-based strategic plan, the planning team must have contextual information about the organization or collaborative, and they must have background information on EBP and the Integrated Model. The organizational context can be provided by the organizational assessment results and any supplemental data you have collected. (Refer back to the questions you posed in

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Lessons Learned From the Field:

• "We conducted initial assessments but did not think through where we were going to take the information—we needed a strategic plan."

• "The formal structure of a plan helps keep a pulse of what is happening in agencies."

Chapter 3, like recidivism rates.) You can find background on EBP in publications, formal training and talking with people who have experience implementing EBP at other sites. In addition, some planning teams choose to include internal or external content experts who can provide input as needed.

STEP 4: Develop Vision and Mission Statements

A vision statement describes what will be achieved when the organization achieves its purpose. In corrections, it answers the question, "What will the community, including offenders, victims and citizens, look like if the organization achieves its goals?" A mission statement describes the purpose of an organization to employees and the outside world. Together, they define why the organization exists and serve as a guide for daily work: all activities, from greeting clients at the door to collecting specimens for drug testing, should be in support of the mission and vision.

The organization vision statement is the ideal to which the organization aspires. The development of the vision statement is an opportunity to think about how the organization contributes to the community and what it values. Corrections agencies often talk about concepts like public safety or victim restoration. When developing your vision statement, solicit input from employees and stakeholders about what success looks like for community corrections and what the community/country/world would look like if the system were successful.

The organization mission statement is one of the most important tools for driving evidence-based system reform. When discussed frequently, it is reminder to the entire organization of the reason that employees get out of bed and come to work in the morning. It is a guide for prioritizing work. Often, mission statements are allowed to age and become irrelevant. But times change and mission statements need to keep up with those changes. They are also frequently invisible, either a faded poster on the wall or the small type at the top of letterhead. Revising the mission statement, and then disseminating and frequently discussing it, can set the tone for a shift in organization climate and can provide the connecting thread between the new policies and practices that are implemented as part of EBP. When employees become frustrated and wonder why they are being asked to do something new, the connection to the organization's mission can provide the answer.

You can develop the mission statement with input from the planning team, or other staff and stakeholders may be included. Begin with the question, "What is the purpose of our work?" or "Why does the organization exist?" and have participants brainstorm concepts that answer that question. Reviewing sample mission statements in advance also may be helpful. Assign some participants to answer the question through the eyes of stakeholders, such as clients, community members, families, the courts, etc. Also, review any documentation that speaks to your mission, such as the statutory authorization for your organization, or the charter authorizing your collaborative.

Lessons Learned From the Field:

- "Earlier planning would have resulted in a faster change process."

- "You need to be ready as a leader to lead the process. If you want to implement EBP but don't want to do work, and, say, move the responsibility to your deputy in the hope it implements itself, it will not work."

- "Ideally, Probation alone should not drive the reform efforts…it should be a partnership with the other stakeholders, and we never seemed to achieve that."

Once you have finalized the list of concepts, review them with the group and allow participants to advocate for those they consider important. Then use a narrowing technique, such as group discussion or prioritizing, to select the most essential concepts for inclusion in the statement. The group can then work together on developing a final statement, or a smaller group can take the concepts and develop the statement later. Before the statement itself is drafted, you should determine who will approve the final version. It could be consensus of the whole group (which can often be time consuming) or review and feedback from the group with final approval by organization leadership. *(See Exhibit 4-2: Sample Vision* and *Mission Statement: Maryland Division of Probation and Parole* and *Exhibit 4-3: Sample Mission Statement: Multnomah County, Oregon Department of Community Justice.)*

Some organizations or collaboratives like to include a statement of values with their vision and mission statements. This sends a message to community members, clients and employees about what types of behavior and philosophy are held in highest regard by the organization. It also sends a message when values change; for example, an evidence-based organization may value doing no harm or promoting positive behavior change. This can be linked to the selection of practices proven to improve outcomes for offenders and the community and the rejection of practices that are not proven to do so. Values can be developed in a process similar to the mission—posing the question of what is most valued by the organization, brainstorming concepts, advocating for the strongest ideas, and selecting a final set through voting or consensus. Four to six values is generally a manageable number, though as you see in the examples presented in this chapter, there can be more.

When employees are asked to support something, they need to understand why it is important and what end it will achieve. When everyone shares a clear mission and vision for their work, it is easier to create a shared commitment to goals that help to achieve that mission.

Exhibit 4–2: **Sample Vision and Mission Statements: Maryland Division of Probation and Parole**

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

Mission
The Division of Parole and Probation will ensure the safety of its employees and enhance public safety by holding supervisees accountable to victims and the community and by helping supervisees through the process of becoming law-abiding and productive.

Professional Principles
The Division of Parole and Probation recognizes that all of its employees are essential to achieving the mission and embraces these principles:

- **DIGNITY** — We respect the dignity of each individual.
- **PRIDE** — We take pride in our ability to work together as a team.
- **HUMOR** — We maintain perspective on our task, ourselves, and each other.
- **INTEGRITY** — We value honesty in all we do.
- **ACCOUNTABILITY** — We measure ourselves according to our highest standards.
- **CREATIVITY** — We encourage and support innovations based on evidence.
- **LEADERSHIP** — We strive for excellence in the criminal justice community.

STEP 5: Conduct an Environmental Scan and Gap Analysis

The Vision and Mission Statements provide guidance on where an organization wants to go. The Environmental Scan and Gap Analysis determine where the organization is now and what it will take to move toward achieving the mission and vision. The gap analysis requires a significant investment of time and energy, but it is an important starting point for setting strategic goals. Again, there are many potential approaches to this step, and extensive literature is available in the business field on options. The approach described here is the SWOT (Strengths, Weaknesses, Opportunities, and Threats) Analysis, a popular matrix approach to assessing the internal and external environment.[3]

You will need many different types of data to prepare for the environmental scan, and it is helpful for planning team members to have assignments to bring and present data. This is not necessarily numerical data—it is data in the broadest sense, any information that will guide and enrich that process.

Some examples of valuable data include:

• Results from organizational assessments

• Survey data from employees, clients and the public

• Data on client outcomes

• Budget projections

• Current or pending legislation

• Strategic plans of partner organizations

• Organizational policies and procedures

Consider the Integrated Model here: what data will be helpful to determine where the organization is in regard to EBP, OD, and Collaboration? Also, return to your initial assessment questions; the answers should be on the table as part of the environmental scan.

In some cases, this data will be readily available; in others, you will have to gather it. The data may not even exist and the group will need to agree on a substitute measure. It is up to the planning team how much effort should go into data gathering, but the group should make sure that key elements (such as the data elements listed above) are there. For example, if the legislature just passed a bill requiring a reduction in revocations to prison, then the

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Exhibit 4–3: Sample Mission Statement: Multnomah County, Oregon Department of Community Justice

Mission
Our mission is to enhance community safety and reduce criminal activity by holding youth and adults accountable in a fair and just manner, assisting them to develop skills necessary for success, and effectively using public resources.
Values and Principles
• Change and Rehabilitation   • Strong Families   • Professionalism   • Information-Based Decisions   • Collaborative Relationships   • Restitution to Victims and Communities   • Diversity   • Financial Accountability   • Investing in Employees

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[3] Albert Humphrey, *SWOT Analysis* (Standford University, 1960).

planning group needs to be familiar with the legislation in order to develop implementation strategies. If employees cite workload as a significant issue, then data on caseload should be available.

As discussed above, how you present the data is an important consideration, especially when a group is being asked to absorb a large quantity of unfamiliar information at once. Graphical presentation or bullet points are always appreciated, with more detailed information available for those who desire it. If the planning group does not want to attempt to master all of the information available, then working groups may be assigned to be topic experts in certain areas, such as policy, organization operations or evidence-based practices, and they are charged with bringing needed information to the table.

Once the information is on the table, the SWOT can begin. Participants may complete a SWOT individually before the group discussion, or the SWOT can be a group exercise. The SWOT process requires a facilitator, preferably someone who is not part of the process. The matrix is generally constructed as follows *(Exhibit 4-4: SWOT Analysis)*.

Based on the data, the group identifies conditions to place in each square of the matrix. Once the group has exhausted each section of the matrix, the items can be prioritized for inclusion in the strategic plan. Several factors should be considered:

- What does the group have the authority to influence?

- What items are most urgent to address in order to move forward?

- What are most important to lasting system change?

- Are all three areas of the Integrated Model addressed?

Select ten to twelve priority areas that you want to address in your strategic goals. For example, "high caseloads" may be listed as a weakness that needs to be addressed. If it is selected as a priority area, your team will then create a strategic goal to address the issue.

STEP 6: Develop Strategic Goals

The strategic goals represent the major policy or practice changes your organization wishes to investigate or implement in the upcoming years. When creating a plan for implementing evidence-based practice, consider both the gaps identified in the SWOT analysis (e.g., top-down decision making that negatively impacts organizational climate) and steps that are necessary to implement the Integrated Model, such as implementing a risk/needs assessment tool. From those gaps and necessary steps, develop goals.

Every system is unique, so the process for implementing the Integrated Model will vary. The challenge for the strategic planning team will be to determine what to tackle and how much is reasonable to accomplish in a given period of time. Evidence-based supervision is challenging, and employees will need time to learn and incorporate new skills. Aiming for four to six significant changes in a year (i.e., implementing a risk/needs assessment, convening a coordinating council) is usually reasonable. The larger the organization or system, the longer it takes to roll out and reinforce change. The plan may also include ongoing efforts, like maintaining employee safety.

Strategic goals are broad, but they establish a specific result that you want to attain within a set period of time. The goal setting phase translates gaps and needs into these specific conditions. For example, if prison overcrowding is an issue, a goal might be to reduce revocations to prison by 20 percent in two

Exhibit 4–4: Strengths, Weaknesses, Opportunities, and Threats (SWOT) Analysis

STRENGTHS	WEAKNESSES
Internal conditions, resources or capacity that will assist in reaching your goals.	Internal conditions that could prevent you from reaching your goals. This could also include a lack of resources or capacity.
OPPORTUNITIES	**THREATS**
External resources or conditions that will assist you in reaching your goals.	External conditions that could prevent you from reaching your goals, including lack of resources or capacity.

years, or it may be simply to explore the reasons for prison admissions over the next six months. If inconsistent responses to violations are an issue, then your goal may be to recommend or implement a revised policy on graduated responses. It is up to the strategic planning team to determine how ambitious the efforts should be and what can be accomplished in a given time frame. This is often a balancing act; goals should be ambitious without being unattainable. They should also be a mix of short and long-term; it will be difficult to maintain momentum for EBP if all goals will take five years to achieve.

STEP 7: Develop Measurable Objectives and Assign Responsibility

Once you have established goals, the team should consider the intermediate steps needed to implement the goals. These objectives should be SMART: Specific, Measurable, Attainable, Realistic, and Time-bound, and describe the key "chunks" of work needed to achieve the goal. It is possible that you have not yet discovered all the objectives needed to achieve the organization's goals. Investigation of appropriate implementation steps may be needed first.

It is also helpful to assign benchmarks of quality for each goal or objective. How will you know it's been done, and how will you know that it's been done well? Measuring progress towards your strategic goals serves several functions:

- It demonstrates the productive value of the work.

- It holds individuals and teams responsible for their assigned objectives.

- It begins the process of embracing data-driven decision making.

STEP 8: Document and Disseminate the Plan

Once the plan is finalized, share it widely and give employees and stakeholders the opportunity for questions and discussion. A user-friendly plan is more likely to be read and digested. A brief, matrix-style strategic plan, like the example below, is often the most effective presentation. This is another opportunity to make use of the communication plan that was discussed in Chapter 2.

The ability of frontline supervisors and mid-level managers to comprehend, present and apply the strategic plan is critically important. Not everyone will be skilled in this process. Take plenty of time to review the plan, answer questions and develop talking points that will be presented in a consistent manner.

STEP 9: Go to Work

Once the plan is in place, it's time to translate it into specific actions steps. The strategic planning team can handle this or a new implementation team can be formed. Forming an implementation team is often used when the strategic planning team is composed of high-level managers or policymakers and implementation is to be carried out by operational managers and staff. The next chapter details how to translate the strategic plan into a workplan.

The strategic plan is a dynamic working document, and it should be continually referenced to ensure that organizational activities are aligned with the goals and progress is being made toward benchmarks. Periodic updates on the strategic plan will

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Lessons Learned From the Field:

- "This is/was a challenge. But we made it through and developed our plan. "

- "There was not necessarily agreement on what a strategic plan should look like. Some wanted to go slower and some faster. It became difficult."

- "I think it can help tremendously and it takes much more discipline than most of us understand."

- "Sometimes this planning becomes too rigid and thus is not seen as guidelines but as definitives."

keep employees and stakeholders on the same page about the goals of the department and its progress. The strategic plan may also need updates as circumstances change or tactical issues arise. *(See Exhibit 4-5: Evidence-Based Strategic Goals and Exhibit 4-6: Sample Probation Department Strategic Plan FY 2010-2011.)*

Lesson Learned From the Field:

- "Good strategic planning takes time and process, given the realities of the normal organizational requirements. It needs to become a commitment for the organization. The one thing I would do is have someone from the outside lead this process and continue leading for three years."

Exhibit 4–5: Evidence-Based Strategic Goals

Year One	
Education and Engagement	Before change can happen, internal and external stakeholders need an opportunity to learn about EBP and be brought on board. Create a plan to spread the word; this may include hosting conferences, making presentations or developing electronic or print materials.
Policy and Procedures	Review policies and procedures for alignment with evidence-based practice and develop strategies for updating those that are not. This may include strategies for changes in statutes or regulations. *For more information on options for evidence-based policy change, please see the Pew Policy Framework for Community Corrections.*
Leadership	Comprehensive organizational change requires strong leadership and stepping into new leadership roles. Assessment and competency development among leaders at all levels build capacity for change.
Criminal Justice Collaboratives	A structured, functioning collaborative, such as a criminal justice coordinating council, can offer a venue for integrated, systemic change. Year One can be an opportunity to charter a collaborative, or if one already exists, to engage in training, collaborative planning, and/or collective policy and practice changes.
Information Systems	Information systems are essential to efficient evidence-based practices, both to automate practice and generate data. System upgrades are often required, and goals may include allocating funding, upgrading infrastructure, expanding IT capacity, or working with vendors on new software applications (i.e. case management software).
Quality Assurance and Data	Measure baselines of performance as a snapshot of where the department is now and establish benchmarks of where it wants to be. Create a plan to collect data on progress towards those goals and prioritize based on resources. Incorporate data into presentations to begin to de-mystify it. *For more information, see Chapter 6 and CJI's Quality Assurance Manual.*
Risk and Needs Assessment	Assessment of risk and needs is a starting point for providing appropriate intervention, so tool selection should be an early action step. A variety of tools are available for free or at varying cost, for both adults and juveniles. Review the options and select a tool that best meets the needs of the system.
Response to Client Behavior	How officers respond to current behaviors, both positive and negative, can significantly impact future behaviors, but responses often vary widely among officers and focus on the negative. Review current responses to violations and compliant behavior with the goal of creating a flexible, evidence-based responses grid that includes positive reinforcement.
Client Engagement and Motivation	The quality of interactions between staff and clients are essential to client engagement and ultimate behavior change. Introducing and reinforcing skills such as Motivational Interviewing[1] and Core Correctional Practices[2] can have an immediate and visible impact on the quality of client contacts, as well as longer term impact on client behavior.
Training	Review current training practices for alignment with evidence-based practices and implement revisions to training curricula that are not EBP-aligned. Introduce training on EBP and related topics.

[1] Stephen Miller and William R. Rollnick, *Motivational Interviewing: Preparing People for Change* (Guilford Press, 2002).

[2] *Cognitive-behavioral treatment: A review and discussion for corrections professionals*, National Institute of Corrections. http://nicic.gov/Library/021657.

Exhibit 4–5: Evidence-Based Strategic Goals (continued)

Supervisors	Frontline supervisors are essential to managing organizational change and supporting the implementation of new practices. Involve supervisors early and regularly. They will likely require additional training and coaching beyond what all frontline employees are receiving in EBP, as well as training in change management and/or project management. *(For more information, see CJI's Supervisors Leadership Academy, and NIC's EBP for Supervisors E-Learning Module.*
Managing Change	Change is more successful when attention is paid to the process of transition, including what employees are giving up and the various demands of doing work in a new way. Awareness of the change process through training, discussions, and activities that facilitate transition can ameliorate concerns and increase the likelihood of success.
Year Two	
Budget	As part of the budget process, analyze how resources are being allocated and whether or not the allocations support EBP. Consider where reallocations can be made internally and where the department may want to seek alternate allocations from funding agencies. Also consider a zero-based budgeting approach—building an EBP-aligned budget from a blank canvas.
Workforce	Review human resources policy and practice to see if it is aligned with EBP. Do job descriptions, performance appraisals, promotion practices, etc. reinforce the competencies needed in an evidence-based workplace? *For more information, see CJI's Community Corrections Workforce Manual.*
Quality Assurance and Performance Measures	After establishing baseline measures and benchmarks, plan to create a "dashboard" of key measures and discuss them regularly throughout the department and the system. Provide training on quality assurance for those needing to interpret data, facilitate data discussions and apply data to operations. Use data as an opportunity for positive reinforcement and modeling desired behaviors.
Service Providers	Assessment and case planning are only as good as the treatment available to address criminogenic needs. Involve treatment providers in training and education efforts and work collaboratively to assess current services and address gaps where services are not evidence-based. Plan to revise contract requirements or referral guidelines.
Training	Continue to update basic training and incorporate new evidence-based training. Provide booster training on concepts introduced in the previous year. Develop capacity to sustain training programs in-house that are being provided by external consultants.
Policy and Procedures	Return to your review of policy and procedures from year one and continue to identify, amend and implement policy changes. Collaborate with external bodies such as county commissions, judicial councils, etc. on policies promulgated outside of the department.
Criminal Justice Collaboratives	Building on the work of year one, use the collaborative to develop and implement integrated practice changes and/or system level policy changes, such as strategies to reduce revocations.
Information Systems	Increase capacity for automated reporting and dissemination of data. This may involve development of existing capacity or expanding the current MIS system.
Case Planning	Once an offender assessment tool has been selected, a case planning process can be put in place (which may be packaged with the assessment or may be separate). Implementation includes policy development, training, quality assurance, and MIS development. Also, accuracy of case plans and availability of treatment referrals are essential to success. The goal may be for full implementation or piloting and fine tuning before full implementation.

Exhibit 4–5: Evidence-Based Strategic Goals (continued)

Follow-Up on Year One	To sustain change, follow-up efforts are needed. Initial training may require boosters, stakeholders may need more information, assessments may need to be automated, etc. As each milestone is met, objectives can be taken to the next level.

Exhibit 4–6: Sample Probation Department Strategic Plan, FY 2010-2011

| Strategic Goals	Objectives	Person Responsible	Quality Benchmark
1) By the end of FY 2010, all probation staff and key external stakeholders will have received education on evidence-based policies and principles.	1-1) Develop and implement a detailed outreach strategy for external stakeholders, including interaction opportunities and education/engagement. 1-2) Develop and implement a training plan for all probation department staff, including presentations, unit level discussions, and materials.	Deputy Director for Administration	1-1) When surveyed, external stakeholders indicate support for EBP. 1b) When tested, employees retain EBP knowledge.
2) By the end of FY 2011, the probation department will have fully implemented an automated risk/needs assessment and case management system.	2-1) Select a risk/needs tool and case management system. 2-2) Develop policy, procedures, implementation strategy, and quality assurance measures. 2-3) Train staff 2-4) Implement tools throughout dept.	Deputy Director for Operations	2-1) Intake and supervising officers complete assessments and case plans accurately and on time.
3) By the end of FY 2011, the Coordinating Council will have developed draft graduated response guidelines for submission to the sentencing commission, as well as recommendations for legislation on Earned Time Credit to be presented in the 2012 legislative session.	3-1) Review current policies and practices on positive reinforcement and graduated responses for EBP alignment. 3-2) Engage a committee of internal and external stakeholders to recommend changes to statute and sentencing guidelines regarding graduated responses. 3-3) Submit recommendations on graduated responses to Sentencing Commission. 3-4) Develop outreach strategy to approach judiciary committee on draft ETC legislation.	Department Counsel	3-1) Revised policy on graduated responses will be approved.

Exhibit 4–6: Sample Probation Department Strategic Plan, FY 2010-2011 (continued)

Strategic Goals	Objectives	Person Responsible	Quality Benchmark
4) By the end of FY 2010, recommendations for a revised basic and annual training curriculum will be presented to the state training certification board.	4-1) Provide extensive EBP training to Training Dept. 4-2) All training curricula will be reviewed for alignment with EBP, and recommendations developed to modify or eliminate existing training. 4-3) When needed, new training curricula will be acquired or developed. 4-4) A comprehensive proposal will be submitted to the certification board for approval. 4-5) An implementation plan will be developed in anticipation of approval.	Training Manager	4-1) External audit will indicate that revised training curricula are evidence-based.

Note: This is not a comprehensive plan; it is a sample of evidence-based goals.
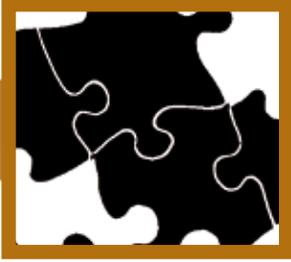
Mapping the Route

Developing a Workplan

Develop A Workplan: Why?

You know where you're going, and now you're ready to map out your route and get moving. Workplan development establishes the tactics, timeline, and teams for getting the work done. However, this step is not just the development of a document;   it is the time when the people who will be leading implementation explore alternatives, take part in education and develop expertise in their area of focus. In some cases, developing the workplan steps will be easy, because you will already know exactly what steps to take. In others, determining the steps will be your first order of business, and the process will involve reading, training, phone calls, discussion and consensus-building to determine next steps.

The workplan often has a smaller scope than the strategic plan: one to two years rather than three to five. This allows for a more manageable document, since the workplan is more detailed than the strategic plan, and also allows the strategic plan to evolve; it can be reviewed and updated annually based on progress and new information.

Once completed, the workplan provides the road-map for implementation, and you can use it both to guide work and to communicate the plan and progress toward completing the steps. *(See Exhibit 5-1: Sample Workplan.)*

Develop A Workplan: Who?

Though most of the work of implementation is completed by individuals and committees, you need some oversight to ensure that the work is coordinated, that it aligns with the mission and strategic plan, and individuals and committees are completing their assigned objectives. This over-sight committee may be called a Steering Commit-tee, Implementation Team, etc. It may be a natural continuation of the work of your Strategic Planning Team, or be a new group.

Like the Strategic Planning Team, the composition of this team is very important. Though many of the same individuals may serve on both teams, the Implementation Team is often more operationally fo-cused and may involve fewer policy-level executives.

Lessons Learned From the Field:

- "We had a strategic direction but not a plan. We had a goal and vision but not a plan. Developing the plan tied everything together."

- "You have to decide that this is the thing you are going to make happen as a leader; realize this is not an outcome but a process and that it will never go away."

- "It is critical that this process happens with managers and supervisors involved."

- "For implementation to be effective, field supervisors must feel empowered and responsible."

For example, the Chief Justice may be involved with setting strategic goals, while a representative from the Court Administrator's office may be involved in workplan development. Also, membership may change as a result of the type of goals you select. If many goals are focused on external policy or collaboration, the steering committee may need to be a collaborative group with political expertise. If your plan is focused on community corrections policy and training, your team will require operational expertise. Ideally, your goals will be diverse and require a diverse team.

Some key characteristics of team members are:

- Those with the authority to authorize implementation, either within or across agencies

- Those with the technical knowledge to guide workplan development and implementation

- Those responsible for carrying out key goals and objectives

- Those who can provide cross-sectional representation from participating agencies

Develop A Workplan: How?

Step 1: Convene the Implementation Team

The committee will likely meet frequently as the workplan is being established and then monthly or quarterly thereafter to track progress on the plan, communicate results, and make adjustments to the workplan or strategic plan as needed. This group can also be responsible for oversight on quality assurance and for any re-assessment of the organization.

SIX STEPS TO WORKPLANNING

1. Convene an Implementation Team
2. Do Your Homework
3. Delineate Tactics, Timelines, and Teams
4. Form Work Committees
5. Develop Reports and Status Updates
6. Implement, Review, and Update

Step 2: Do Your Homework

This is the investigative stage. Because of the depth and breadth of system reform based on the Integrated Model, the constant evolution of both research and practice, and the unique nature of your strategic plan, it is impossible to offer advice on what steps make the most sense in your jurisdiction. However, below are some helpful sources of information:

- **The National Institute of Corrections and other public agencies.** Many publications and tools are available though NIC and other federal, state and local agencies, such as the Washington State Institute for Public Policy. The NIC information center offers online searches and the services of reference librarians to track down resources on assessment, motivational interviewing, quality assurance, cognitive-behavioral programming and many others. Specialists at public agencies can also be a source of technical knowledge or referrals to other professionals in the field.

Lessons Learned From the Field:

- Many jurisdictions reported the lack of mid-manager involvement in planning and implementation as a definite barrier to success. They noted the importance of getting staff input.

- "Do not fail to engage organization staff from the beginning."

Exhibit 5–1: Sample Workplan

Strategic Goal: By the end of FY 2011, the probation department will have fully implemented an automated risk/ needs assessment

(Note: The organization decided to divide the assessment and case planning functions for purposes of the workplan and committee structure.)

Objective	Tactics	Person Responsible	Timeframe	Status as of 11/1/09
1) Select a risk/ needs tool and case management system.	• Charter assessment committee • Research assessment tool options • Meet with vendors • Review budget implications • Committee recommends tool to exec team • Exec team reviews options • Chief selects final tool	• Deputy Director • Gloria S. • Gloria S. • Mark X. • Gloria S. • Deputy Dir. • Director	Jul 09 Jul 09 Aug 09 Aug 09 Sep 09 Sep 09 Oct 09	Chief approved selection of tool recommended by committee.
2) Develop policy, procedures, implementation strategy, and quality assurance measures.	• Develop written implementation policy • Committee meets with IT vendor about integration • IT vendor develops online assessment system • Assessment goes live • Committee develops communication plan • All staff receive introduction to assessment • All staff receive regular updates on assessment process • Three units selected to pilot assessment • Pilot officers implement assessment • Pilot inter-rater reliability is assessed • Pilot units give feedback • Technology is updated • All units implement assessment • Inter-rater reliability is assessed • Committee develops quality assurance plan	• P & P Committee • Sergio R. • Sergio R. • Gloria S. • Chris L. • Chris L. • Chris L. • Mike N. • Mike N. • Jennifer R. • Mike N. • Sergio R. • Mike N. • Jennifer R. • Gloria S.	TBD Nov 09 Dec 09-Jan 10 Feb 10 Sep 09 Oct-Nov 09 Dec 09-Jun 11 Dec 09 Feb-Apr 10 Apr 10 May 10 May-Jun 10 Aug 10-Feb 11 Mar 11 Oct 10-Jan 11	Gloria Sanchez is attending P & P committee meetings to assist in policy development. Software updates have begun. Chief presented assessment intro to all staff

Exhibit 5–1: Sample Workplan (continued)

Objective	Tactics	Person Responsible	Timeframe	Status as of 11/1/09
3) Train staff	• Pilot officers receive training	• Donna H.	Jan 10	
	• Training is updated if needed	• Donna H.	May-Jun 10	
	• All other units are trained (two per month)	• Donna H.	Jul-Dec 10	
	• Committee develops booster training sessions	• Judy C.	Feb-May 11	
	• Train the trainer is completed	• Judy C.	May-Jun 11	

• **Training.** In-person or online training may be available on your topic of focus.

• **Universities and researchers.** Universities with criminal justice departments or centers, such as the University of Cincinnati or the Muskie School of Public Service at the University of Southern Maine, can be a valuable source for the latest research and connections to jurisdictions involved in EBP implementation.

• **Colleagues in the field.** Many jurisdictions are in the process of implementing evidence-based practices and are happy to share their experiences. Contact practitioners who have written articles in trade publications. Track down presenters from conference workshops. Google organizations that are referenced in NIC and CJI documentation. See the Network of Practitioners listed at the end of this document.

• **Professional organizations.** Organizations like the American Probation and Parole Association and International Community Corrections Association have played a valuable role in disseminating information about evidence-based practices. Professional organizations can provide publications, toolkits and contacts with additional sources of information.

• **External consultants, trainers, and vendors.** Though they are often promoting particular products and services, vendors and consultants can offer expertise in their own areas of specialty. Soliciting information from private agencies and/or contracting for outside services are avenues for input.

• **Your organization.** Your data can provide a great deal of information on what is effective in your community. Where possible, map the interventions you currently use and review any outcome data you have available. For successful populations, analyze what is contributing to that success.

• **Partner agencies.** Other agencies, such as treatment providers, may have expertise in evidence-based services.

The amount of information you collect will vary greatly depending on the strategic goal. Gather enough information so your committee can make an informed decision and you can justify the decisions to other stakeholders. In some cases, the data will be definitive, and in others you may be working with emerging evidence. Use the data and your professional judgment to make the best decision you can.

Step 3: Delineate Tactics, Teams, and Timelines

Once the committee has been formed and preliminary investigation has been completed, the group can outline the elements of its workplan, which include:

• The tactics or activities that will be completed;

• The people responsible; and

• The timeline for completion.

Let's look at each of these in more detail.

- **Tactics:** The tactics outline the steps you need to take in order to achieve the objectives delineated in the strategic plan. They should be specific and measurable, and there should be a clear link between the activities and the desired outcome: "If we complete A, this will allow us to implement B, which research shows will lead to C."

When developing workplans, aim to describe one to two years of tactics. However, this will not always be possible for two reasons: the work may take less than a year, or the trajectory of the work may not be clear. If the work is short-term, then clearly define when the work will be finished. When it is finished, celebrate and stop having meetings. If the trajectory is unclear, describe the steps as clearly as you can, as well as what will need to happen for the work to move forward. For example, the committee may be charged with making recommendations for a revised basic training curriculum. An implementation plan cannot be developed until the revised curriculum is approved, so the final step on the workplan may be "develop implementation plan based on approved curriculum." The next steps can then be filled in.

- **Teams:** It is rarely realistic to expect one or two people to be able to accomplish all the tasks needed to achieve an objective. After the tasks have been enumerated, assign each to the person with the best balance of interest, time and expertise. In some cases, tasks may be used as a growth opportunity for someone who is not yet an expert, but wants to learn. In other cases, no one in the organization may be an expert yet. You may need to recruit additional team members in order to have the skills and time needed to achieve the desired objective.

- **Timelines:** A dream becomes a plan when it's given a deadline. Timeframes are important to create a sense of urgency and accountability and also to paint the picture of how implementation is going to move forward and how the pieces are going to fit together. In some cases, timelines may be very clear. You may be implementing a new training, and fifty people will complete the training per month for six months. In other cases, the timelines

may be more blurred. How long will it take to educate and engage the judiciary in evidence-based practice? It is tempting in those cases to leave timeframes blank. It is better, however, to make an educated guess, and then update the timeline as more information becomes available. (*See Exhibit 5-2: Sample Gantt Chart.*)

Once timelines, tactics, and teams have been established, the workplan is essentially completed. (The final element, quality assurance, is discussed in the next chapter.) You may also need a feedback loop. After conducting research and defining tasks, the committee may find that the timeline established in the original goal may be unrealistic. For example, you may have allotted one year in your original strategic plan, but investigation reveals that the task is likely to take two years. In that case, the strategic plan may need to be revised.

Step 4: Form Work Committees

Committees are often the most efficient way to address simultaneous objectives and bring individuals with diverse expertise into the process. You can form committees around individual objectives or groups of related objectives. Alternately, an organization or system may already have committees in place that can be charged with implementing strategic objectives. Part of the role of the Implementation Team will be to determine how many committees are needed, who will be tasked with leading them, and what objectives the committees need to fulfill. The committee itself will then develop its own action steps and present them to the Implementation Team as part of the larger workplan.

Selecting committee chairs is an important decision. The chair must be someone who has the technical knowledge to tackle the given objectives and the ability to manage the team, including developing productive agendas, running good meetings, and holding team members accountable. The best chair for the group is not always going to be the most senior person on the committee, but the chair must have clear authority from senior administration.

Exhibit 5–2: Sample Gantt Chart: Implementation of Risk/Needs Tool, Year One

The Gantt chart provides another option for graphically representing the tasks and timeline of the workplan.

Months	1	2	3	4	5	6	7	8	9	10	11	12
Research assessment tool options	▪											
Meet with vendors		▪										
Review budget implications		▪										
Committee makes recommendations to exec team			▪									
Exec team reviews options			▪									
Chief selects final tool				▪								
Committee meets with IT vendor about integration					▪							
IT vendor develops online assessment system						▪	▪					
Assessment goes live								▪				
Committee develops communication plan			▪									
All staff receive introduction to assessment				▪	▪							
All staff receive regular updates on assessment process						▪		▪		▪		▪
Three units selected to pilot assessment						▪						
Pilot officers receive training							▪					
Pilot officers implement assessment								▪	▪	▪		
Inter-rater reliability is assessed										▪		
Pilot units give feedback											▪	
Training is updated if needed											▪	▪
Technology is updated if needed											▪	▪
All other units are trained (two per month)												
All units implement assessment as training is completed												
Inter-rater reliability is assessed												
Committee develops quality assurance plan												
Committee develops booster training sessions												
Train the trainer is completed												

It may be helpful to establish a charter for each committee. The charter defines the role of the committee and what it is expected to accomplish. It ensures that committees have a clear purpose and they are supporting the strategic plan and workplan. If the committee becomes unproductive, or if it experiences scope creep, the charter can be used to refocus efforts.

Charters can take a variety of forms, but they may include:

- Version number and/or date

- Authorization for the formation of the committee from the Implementation Team or Executive Team, and grant of authority to the committee chair

- Any guidelines for time, cost, or quality

- Deliverables to be completed and milestones to be achieved

- Process for changing the charter

- Approvals and signatures

A sample charter appears below. *(See Exhibit 5-3: Disproportionate Minority Contact Subcommittee Charter.)*

Step 5: Develop a Process for Reporting and Status Updates

Communication is one of the major challenges of implementation. Once subcommittees have started their work, it is easy for efforts to become fragmented and for information on any given objective to reside with only a few people. This can lead to duplication of effort and uncoordinated work. For example, if four different committees have a training step in their plan, and they are not communicating with the committee responsible for training, there is the potential for chaos. Sharing meeting minutes and status reporting provides a way for the Implementation Team to stay up-to-date on what various committees are doing and also provides a way to share information across committees. The reports could be monthly or quarterly, depending on what is needed. Reports do not need to be long—the shorter and more straightforward a report is, the more likely it will be filled out, read and used. Highlights can also be shared across the organization. *(See Exhibit 5-4: Sample Quarterly Update.)*

Step 6: Implement, Review, and Update

At this point, the committees get to work on their action steps and bring their work before the Implementation Team as needed. Meetings of the Implementation Team do not need to be a report of every activity that has taken place. Written reports can serve as updates on day-to-day activities, while meetings can be used to review the work of committees that are presenting recommendations, requesting approval to change the scope of their work, looking for guidance on issues and setbacks, etc. Meetings can also be used to recognize and celebrate successes.

A comprehensive review of the workplan should be undertaken periodically to refine the steps underway and to add next steps. Questions to consider in the review include:

- How are current committees progressing on their action steps? Do any additions or changes need to be made? Are any committees finished with their work and ready to be disbanded?

- Are committees ready to tackle additional objectives on the strategic plan? How should those assignments be made?

- Do further assessments of the organization or the system need to be undertaken to determine where you are now?

- Is your structure still working? Do you need to adjust how implementation is being overseen? For example, if systemic collaboration is increasing, you may want to shift from an intra-organization team to an inter-organization team.

- Has any new evidence or new strategies for implementation emerged from other jurisdictions?

- Has the climate changed substantially so that you need to rethink your goals and objectives? For example, elections or budget crises can require a change of course.

- How are you progressing on quality assurance? Are you ready to add benchmarks if they are not in place already?

- How do you want to communicate your progress? A comprehensive document like an annual report can keep stakeholders up-to-date on progress and also make the case for future support of the initiative.

Answering these questions may require a team retreat. One to two days of thoughtful reflection and revision will ensure that the plan remains a living document and your organization and system are continuing to move in your desired strategic direction.

There is no "end" to implementing evidence-based practices. New practices and research will evolve and with that will come opportunities to improve the quality of your work. Rather than thinking of work planning as a project, consider it the way your organization thrives and part of ongoing efforts to improve public safety in your community.

Exhibit 5–3: Sample Disproportionate Minority Contact Subcommittee Charter

Disproportionate Minority Contact Subcommittee Charter
Version 1, March 13, 2007

PURPOSE

The purpose of the Subcommittee is to assess how current policy and practice result in the overrepresentation of youth of color in the juvenile justice system, to make recommendations to the Statewide Steering Committee as to how disproportionality can be reduced and cultural competency can be improved, and to evaluate the impact of interventions in regard to disproportionality.

COMMITTEE MEMBERSHIP AND ORGANIZATION

Committee membership is voluntary, and open to any juvenile justice stakeholders. The Committee seeks individuals with experience or expertise in the juvenile justice decision making process, the collection of race and ethnicity data, cultural issues, and disproportionality. Specifically, involvement from community groups, the District Attorney, the defense bar, the Juvenile Court, and state agencies.

MEETINGS

The Committee shall meet monthly, and more often if necessary to perform the Committee's work.

COMMITTEE RESPONSIBILITIES AND AUTHORITY

The Committee shall have the following authority and responsibilities:

• Review the definitions of race and ethnicity currently used by juvenile justice agencies, and make recommendations on how that data can be compiled and integrated in a useful way.

• Collect data on race and ethnicity at each juvenile justice decision point, and report on potential points of intervention.

• Review information on DMC reforms implemented in this and other jurisdictions.

• Develop recommendations for the statewide steering committee on policy and practice changes that may reduce DMC.

• As needed, coordinate trainings on DMC and cultural competency at the state and local level.

• For recommendations that the Statewide Steering Committee wishes to adopt, develop an implementation plan and oversee implementation.

• Monitor the impact of policy and practice changes, report results, and make any needed changes.

DELIVERABLES

• Subcommittee Workplan

• Disproportionate Minority Contact Data Report

• Recommendations for Disproportionate Minority Contact Reductions

• DMC Monitoring Report

Authorizing Signatures

As the chair of the Statewide Steering Committee (SSC), I authorize the members of this Subcommittee to fulfill the role(s) described above for as long as this charter remains in effect.

_____   _____
SSC Chair   Date

As the chair of the Disproportionate Minority Contact Subcommittee, I accept responsibility for the tasks above, and will regularly report progress to the SSC.

_____   _____
Disproportionate Minority Subcommittee Chair   Date

Exhibit 5–4: Sample Quarterly Update

Please complete this report by the 2nd Monday of each quarter and submit to _____ .

Goal/Objective:

Individual/Committee Responsible:


Objectives/Tasks achieved to date:

Summary of progress made in the last quarter:

Exhibit 5–4: Sample Quarterly Update (continued)

Description of barriers encountered:

Description of next steps:

Additional comments:
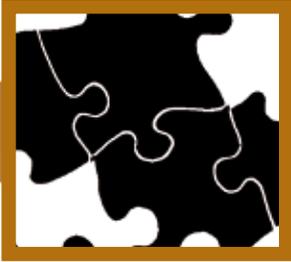
Are We There Yet?

Ongoing Quality Improvement

Quality Improvement: Why?

When you are in the thick of implementing your workplan, it is easy to lose sight of the forest for the trees. The goal of implementing evidence-based practice is to improve public safety outcomes, so the final part of the journey is ensuring that your organization is following the evidence and that you are achieving improved outcomes. Continually ask yourself:

• Are we doing evidence-based practice?

• Are we doing it well?

• Are we improving outcomes?

As you routinely ask and answer these questions, you can figure out what is working and what can be improved. This is the cornerstone of Quality Improvement.

> What gets measured and reinforced gets managed, and what gets managed gets improved.

What Is Quality Improvement?

Implementing Quality Improvement (QI), also referred to as Quality Assurance (QA), in corrections gives your organization the chance to identify ways to improve efficiency and effectiveness. QI provides tools to:

• Enhance existing interventions

• Foster a collaborative work environment

• Tap into the expertise of staff and stakeholders

QI embodies the continuous commitment to improve the services you provide to the clients and community. It is a hands-on endeavor by employees who are invested in their work and strive to improve themselves and their productivity. For more extensive information on implementing a QI process, you can read the *Implementing Evidence-Based Practices in Community Corrections: Quality Assurance Manual* developed by the Crime and Justice Institute in partnership with the National Institute of Corrections at http://cjinstitute.org/files/QAmanual_122705.pdf.

What gets measured and reinforced is what gets done. When you collect and review data on aspects of systems' operations, you send the message that the work is important and the organization expects quality efforts and measurable results. Once an "appetite for data" has been created, employees and partners expect data and want to focus their efforts on practices that are effective. This will result in a culture where connecting the dots between QI and public safety results in improved outcomes for clients, victims, and the community and improved efficiency of services.

Lessons Learned From the Field:

• "QI [Quality Improvement] was the key because we kept feeding back to staff what was happening."

• "I like figuring out if what we are doing is making a difference. We need to get beyond collecting numbers just for the sake of collecting data. We need to measure so I know there is a difference."

Quality Improvement: Who?

Everyone should be involved in this effort. QI techniques can help increase the number of well-trained, motivated employees by directly involving them in designing and assessing the interventions with which they are involved, creating a sense of buy-in. Every employee should be receiving data on their performance at some level. The data collection and feedback process can be led by research staff, supervisors who give feedback within their units or across units, peers at the frontline level, or by specially designated quality assurance staff. You should consider who has the time and the skills in your organization to collect, interpret and discuss data in a constructive way. Most importantly, quality improvement leaders must have credibility with their colleagues, and the ability to establish constructive collaborative relationships.

QI provides you with opportunities for communication, decision-making and collaboration internally and externally. When you involve all employees, you create a common understanding of service delivery processes. Ideally, everyone in the organization will be receiving data on overall organization outcomes, as well as data pertinent to their function.

Developing a QI Committee

A team approach is a good way to include a cross section of your organization, disseminate information and monitor improvement. The QI committee can be a subcommittee of your Implementation Team, and its role is to develop the QI plan for each element of your workplan, oversee data collection and disseminate the data. The team also ensures that the data is linked back to the workplan and strategic plan, so the organization is able to track its progress.

Who Should Be Involved?

- Management Teams

- All Levels of Organization Staff

- Members of Advisory Boards

- External Stakeholders, including Client Advocates

The work of the QI committee will be ongoing, but as the collection of individual data elements becomes routine, they may not need to oversee those elements. For example, a QI team may establish a process for reviewing data on reassessment and client risk reduction, but once managers are in the habit of regularly reviewing the data and establishing improvement plans when needed, regular committee involvement may not be necessary.

Quality Improvement: How?

Once you have chartered a QI committee and developed measures to determine the impact of new practices, the next step is to test change in the work setting. There are many potential approaches to QI. The option described here is The Plan-Do-Study-Act (PDSA) cycle. This is a process testing change—by planning it, trying it, observing the results, and acting on what is learned. Developed by Walter Shewhart[4] and modified by W. Edwards Deming,[5] PDSA is an iterative process of ongoing improvement. You can begin by examining a few business practices and expand the breadth and depth of your QI process over time. This is another area where an outside expert, graduate student or university

Lessons Learned From the Field:

- "Dedicating resources to QI sends a strong message of its importance."

- "I would design systems that give me quick and accurate data."

- "During early QI implementation we decided that implementation was going to be in the hands of mid-managers. They would decide on the tactical operations and the steering committee would remain strategic.

[4] Shewhart, Walter Andrew (1980). *Economic Control of Quality of Manufactured Product/50th Anniversary Commemorative Issue.* American Society for Quality. ISBN 0-87389-076-0.
[5] Deming, W. Edwards (1986). *Out of the Crisis.* MIT Center for Advanced Engineering Study. ISBN 0-911379-01-0.

partner may be helpful. *(See Exhibit 6-1: Sample Plan, Do, Study, Act Worksheet.)*

Plan, Do, Study, Act

Plan

- Identify and/or clarify what is not working, slows things down, adds unnecessary steps or does not meet client needs or requirements. Define the problem and the aim. Where are we now, and where do we want to be? (This is analogous to the steps you took in the assessment and strategic planning phases.)

  For example, an organization may have implemented a risk assessment instrument, but it does not appear to have changed the way officers supervise cases or the types of treatment referrals that are being made. The organization may wish to review current practices to determine whether assessments are being used effectively to target interventions.

- Design a "best-guess" solution—a new process based on evidence. Research the literature and talk to colleagues about their approaches to similar work. Use the literature or the outcomes of others as a benchmark. (This is analogous to your workplan development.)

  In the example above, the organization may set the benchmark that treatment referrals correspond to at least two of the top three criminogenic needs identified by the assessment.

- Consider the time and resources needed to implement the change and the impact on employees. Secure any needed buy-in for the process.

  In order to review the match between criminogenic needs and treatment referrals, MIS staff need to develop a new report based on extracted assessment and supervision plan data, and supervisors must commit to reviewing the data with employees. This process could potentially be viewed as intrusive by officers, since their supervision plans have not been reviewed this extensively in the past. The QI team must be thoughtful about how the process is rolled out and solicit input from officers on how to make the data reports most useful.

Do

- Carry out your change, perhaps on a pilot or small-scale basis.

- Collect the minimum amount of data you need to quickly check the outcome and how it adds value. Is it increasing or decreasing frustration, productivity, cost or outcomes?

- Correct mistakes as you go.

- Roll out the new process o*rganization-wide.*

  In the example above, all officers with standard, intensive, and sex offender caseloads are given a booster session on matching criminogenic needs to treatment goals in supervision plans and then given three months to work with their supervisors to improve their planning. At the end of three months, supervisors begin to receive monthly

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Lessons Learned From the Field:

- "[We] tried to create intermediate measures but were unable to deliver them regularly. [We] needed to plan how to use the data we were collecting."

- "If we had more resources I would have dedicated them to more data tracking and reporting back to staff what the data show. This "shoulda-coulda" happened. It is important to find the resources for this vital function."

- "We do quality assurance and provide outcome measurement data in real time so that officers, supervisors and directors can tell how we are doing."

reports on all new cases and the match between case plans and treatment referrals.

- Check in on how well the process is working with employees. Explore reasons for overrides and potential areas for improvement.

- Change the process based on the feedback until you have reached your benchmark for performance.

- Share data with those doing the work. Individuals generally will move themselves toward best practices or the best solutions for problem solving if presented with meaningful data in a non-judgmental way. If something isn't working, allow them to be part of generating an improvement strategy.

- Allow for time to improve performance.

   In our example, supervisors discuss results with officers on a monthly basis. Supervisors discover some systemic issues, like the lack of available sex offender treatment slots in rural areas and uncertainty regarding when cognitive-behavioral treatment is appropriate. They also develop individual improvement plans with some officers who are not entering case plan data into the data system or are still developing plans by "gut" rather than assessment and offer letters of commendation to those who are able to meet the benchmarks over six months.

Study

- Monitor change, both positive and negative (i.e., consumers/staff doing better or worse, other stakeholders unhappy or happy, the process/system not doing well).

- Ask the end-users again for ways to improve the process.

   In our example, each quarter, supervisors review unit-level data with their units, and organization-level data are reviewed by all managers, the EBP implementation team, and the Chief. At the end of the first year, the supervision plan data is compared to client re-assessment data to determine if matching services results in reduced risk. Overall, the results are positive, except for sex offenders. The Chief begins conversations with county officials and service providers and uses the data to make the case for additional sex offender treatment. The Chief also makes the case for reducing resources for substance abuse treatment, after data showed that offenders with any drug history were being referred to treatment, even if they did not have current needs in that area.

Act

- Act on what you have learned. Continue to make improvements in the process by going through the cycle again, starting at "Plan." Remember a good outcome starts with a good process.

   At the end of the first year, the organization has met its benchmarks on treatment referrals, and the QI team hands off the monitoring process to operations. Now, they are concerned about the quality of treatment being offered and wonder if offenders who receive treatment from different providers have different outcomes. The team decides to explore treatment quality, and the process begins again.

Lesson Learned From the Field:

- "[E]vidence…makes change visible and supports the maintenance of change."

Exhibit 6–1: Sample Plan, Do, Study, Act Worksheet

Phase	Phase Activities	Actions/Observations	Person Responsible/ Completion Date
Plan	**The change:** • What are we testing, and who is conducting the test? • Who are we testing the change on? • When are we testing? • Where are we testing? **Predictions:** • What do we expect to happen? **Data:** • What data do we need to collect? • Who will collect the data? • When will the data be collected? • Where will the data be collected?		
Do	• What was actually tested? • What happened? • What was observed? • What were the challenges or problems?		
Study	• What data was collected? • What did you learn? • How do your results compare to your predictions? • What changes need to be made?		
Act	• What strategies will be used for change? • What is the plan for monitoring practice improvements?		

Bringing It All Together

Ideally, you will have quality measures in place for all elements of your workplan. Tracking all of those measures can be a messy process and can potentially overwhelm employees with endless data entry or a barrage of reports. Below are a few suggestions for streamlining the process.

- **Coordinate QI plan development with workplan development.** The organization's key strategic objectives are also the key elements for quality improvement, so QI planning and strategic planning/workplanning should go hand in hand. The best way to determine if your objectives are measurable is to develop the measurements at the same time. The end product may be a workplan that has measurements and benchmarks embedded in it or a separate QI plan that accompanies the workplan.

- **Automate measurement whenever possible.** Automation is not required for a QI process, but investment in automated processes often saves resources in the long run. Collecting data manually is time-consuming and makes it more difficult to manipulate and analyze. Automation allows data to be available in real time across the organization and for reports to be generated more quickly and efficiently.

- **Collect and review multiple data elements at the same time.** Data collection is a time for multitasking. Whenever possible, combine multiple data elements into the same collection process. For example, if supervisors are going to observe officer interactions with clients, they could provide feedback on the content of the interview, the use of motivational interviewing skills, and the officer's documentation of the interaction.

- **Develop a "dashboard" of key measures.** Data is only useful if people understand and use it. A brief report describing whether or not quality benchmarks are being met can provide managers and employees with an update on what is going well and what needs attention. A brief report is also easily reviewed in the context of a unit, division or management meeting and is more likely to be discussed rather than just filed away. There may

be some resistance to sharing information across the organization. Focus on the role data plays to inform the organization and the community about public safety, rather than spotlighting a specific officer or case. *(See Exhibit 6-2: Sample Data Dashboard: Multnomah County, Oregon.)*

- **Prioritize measures on an annual basis.** It will not be possible to measure everything, so annual prioritization can promote ongoing improvement. Early measures may be focused on data quality and measures of implementation, while later measures may focus on the replication of practices that have shown improved outcomes or targeting specific services for populations that have not shown positive outcomes. Also, it takes time to make improvements that are reflected in the data, so review of data elements can be rotated. For example, in each quarter, spend one month reviewing assessment data, one month reviewing case plans, and one month reviewing treatment data, then start again. This type of process makes the workload more reasonable for employees and managers and allows for improvement time before returning to the same data element. *(See Exhibit 6-3: Sample of Data Discussion Process.)*

Creating A Culture Of Quality

Ultimately, QI creates a culture where everyone is committed to ongoing improvement and team members seek out data on performance. This moves the organization toward achieving its goals. Employees want to spend their valuable time on interventions that work and discontinue practices that are ineffective. Though QI does hold individuals accountable for fidelity to evidence-based practices, it also creates a supportive environment for coaching, learning and performance improvement. As agencies develop a process for data collection and feedback measures, engagement and communication with staff are extremely important for creating an "appetite for data" rather than a "gotcha" environment. Starting small, getting everyone on board, and expanding in response to demand will yield more benefit in the long run than creating a complex plan up front that has little support.

Exhibit 6–2: Sample Data Dashboard: Multnomah County, Oregon

Measure Description	*Why Important*	*Discussion*
This is an overall portrayal of the performance of Multnomah County as compared to State averages across the eight performance measures that are monitored and reported. Multnomah County is held accountable for performance through the Memorandum of Understanding between the County and the State.	In addition to fulfilling contractual obligations, these measures represent important factors in reducing recidivism and retaining system integrity.	Multnomah County performance is below baseline in three measures, nearing baseline in two measures and above baseline in three of the eight measures. State performance exceeds Multnomah County in five measures and is below Multnomah County in three of the eight measures.
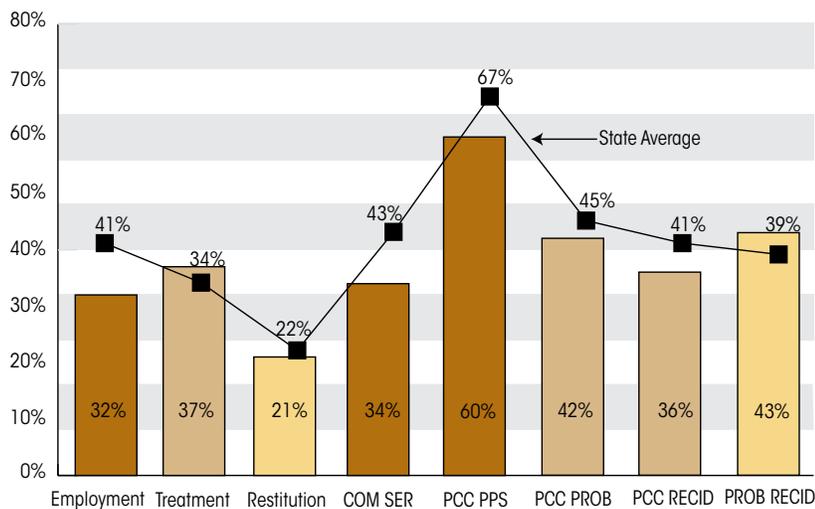
Data Source: Data are generated from CMIS. Detail of each measure follows. Population of reporting is community corrections caseload as of 12:01 AM on day of report run.

Exhibit 6–3: Sample of Data Discussion Process

Accountability Through Intermediate Measures (AIM)

WHAT IS AIM?

A transparent, structured process of reviewing key success indicators for the purpose of improving clearly defined targeted outcomes. It does this by:

- Eexamining progress made;
- Making incremental service and policy changes;
- Holding those responsible accountable; and
- Celebrating improvements.

The Accountability Through Intermediate Measures (AIM) process helps to ensure fidelity to evidence-based practice, establish clearer performance expectations, and improve offender outcomes by structuring decision making based on data. Based on the Compare Statistics (CompStat) model of the New York City Police Department, the process involved regular, structured data audits where managers are expected to explain performance data for their division, identify solutions, and then update the group on progress. It stresses a focus on the organization's clearly defined primary purpose, visibility and transparency, continuous quality improvement, accountability, and positive reinforcement.

Aim Process: Who?

Minimally, the meeting should include:

- The manager in charge of operations;
- The front line supervisors;
- A cross section of line staff; and
- The data manager.

You may also wish to include treatment managers, the organization director, service providers, etc.

Aim Process: What?

- Select key indicators to review
- Present data in user-friendly tables and graphs
- Present analysis of trends over time
- Present data along with benchmarks, both incremental goals and long-term targets

Aim Process: How?

- Select a Chair for the group who is knowledgeable and respected, and is able to facilitate well and offer genuine praise. The Chair should have authority in the group, but does not necessarily have to be the most senior manager.
- Structure of meeting in four sections: setting the tone; an overview of the big picture, data review and accountability, and wrap up, assignments, and next steps.
- When data results are good, attempt to pinpoint causes (attitude, culture, quality assurance, supervisor, communication, etc.), praise and reward, and use success to teach others.
- When data results are poor, attempt to pinpoint causes, respectfully express disapproval (when appropriate given circumstances); avoid public blame, provide clear direction on improvement plan; and use the experience as a teachable moment, if appropriate.

Exhibit 6–3: Sample of Data Discussion Process (continued)

Getting Started

- Be clear about your goals
- Identify a limited number of key indicators to track on regular basis
- Collect data and clean it up until you are confident it is accurate
- Develop benchmarks (your expectations) and targets (your goal over a period of time)
- Hold AIM meetings on regular basis
- Alter organization practice to reach expected outcomes
- Eventually, establish performance measures (at the organization and individual levels)

Aim Do's

- Empower staff and managers to address deficiencies and meet goals
- Give staff and managers time between meetings to address deficiencies and meet goals
- Give managers time to review the data and to prepare for the meeting
- Emphasize strengths, affirmations, and praise
- Expect results and hold everyone to high standards
- Focus on teamwork and problem solving
- Hold staff accountable for outcomes that they can influence
- Learn from others who have succeeded
- Reinforce EBP principles (i.e., using motivational interviewing and positive reinforcement)

Aim Don'ts

- Play power games, belittle, or punish
- Ignore missed assignments or lack of effort
- Let the meetings become a drag
- Deal with minutia that could be resolved outside the meeting
- Allow excuses rather than explanations
- Allow person responsible to blame bad data on others

Note: Adapted from a presentation by Mark Carey of the Carey Group for the Crime and Justice Institute.
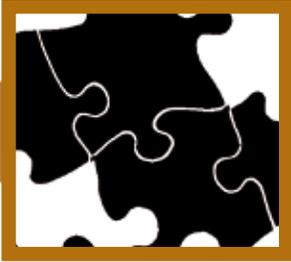
Commencement

It is implicit throughout this manual that the process of becoming an evidence-based organization has no defined ending, and so this manual closes with a brief commencement message rather than a typical conclusion. Commencement exercises are the time for celebrating important achievements and launching a new phase in the graduates' lives. The implementation of evidence-based practices is filled with commencement moments.

First and foremost, the successful implementation of evidence-based practices will hold offenders accountable for their criminal behavior and work to provide the victims of their crimes with peace of mind. Ideally, effective implementation of EBP will interrupt the criminal behavior cycle of supervised offenders and thwart future criminal behavior.

There will many benefits from the successful implementation of EBP, including:

- A safer general public

- Healthier and more economically viable corrections agencies

- The opportunity to redirect taxpayer dollars to prevention, early intervention, and education

- Offenders who are law abiding and productive citizens who can support themselves and their families

As your organizational climate improves, the organization will be a more attractive place to work. You will not only invest in employees' physical safety but also demonstrate that the organization values a workplace environment that embraces intellectual and professional safety.

Intellectual safety will translate into encouraging employees to:

- Think creatively, solve problems and make suggestions

- Participate in development of new programs and practices

- Ask questions about new policies and procedures without worrying about job security

Professional safety will mean employees will be provided with a reasonable period of time to master and demonstrate new skills. They will be open to candid, constructive feedback from supervisors. In addition, employees will be encouraged to request additional or booster training or to receive coaching or mentoring from a more experienced peer. The initial investment your organization made in its employees will be maximized, and employees will evolve to meet the challenges of this work throughout their careers.

The stakes in community corrections are simply too high not to apply an evidence-based approach. Business as usual has yielded high rates of new crime and more victims at a high cost to the community. EBP can improve the quality of your work and your system, while increasing safety and satisfaction among employees, colleagues and citizens. It is a wise investment in your community and one well worth the hard work required to successfully implement this new approach.
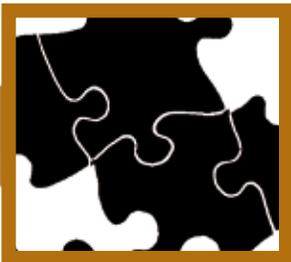
The best source of information on the reality of implementing evidence-based practices is the practitioners who are engaged in the process themselves. The agencies listed below currently doing this work, and can serve as a valuable resource to you. This is far from an exhaustive list; conferences, trainings, and professional organizations are other avenues to find advice, information, and support in your EBP efforts.

**Administrative Office of the Illinois Courts
Cynthia Cobs, Director
3101 Old Jacksonville Road
Springfield, IL 62704
Phone: (217) 558-4490
Fax: (217) 785-3905
Web: http://www.state.il.us/court/default.asp

**Iowa Department of Corrections
John Baldwin, Director
510 E 12th Street
Des Moines, IA 50319
Phone: (515) 725-5701
Web: http://www.doc.state.ia.us/

**Maine Department of Corrections
Harold Doughty, Associate Commissioner
Tyson Bldg, AMHI Campus, Augusta
State House Station 111
Augusta, ME 04333
Phone: (207) 287-4340
Web: http://www.state.me.us/corrections/

**Maricopa County Adult Probation Department
Maricopa County, AZ
Barbara Broderick, Chief
Mark Hendershot, Project Manager

620 W Jackson Street
Phoenix, AZ 85003-2204
Phone: 602-506-0320
Email: mhender@apd.maricopa.gov
Web: http://www.superiorcourt.maricopa.gov/adultProbation/

**Orange County Probation Department
Orange County, CA
Colleene Preciado, Chief
Micheal Collins, Project Manager
1001 S. Grand Avenue
Santa Ana, CA 92705
Phone: 714-667-7723
Email: Micheal.Collins@prob.ocgov.com
Web: http://egov.ocgov.com/ocgov/Probation

**Oregon Department of Corrections
Ginger Martin, Assistant Director for Transitional Services
2575 Center Street Northeast
Salem, OR 97301-4600
Phone: (503) 945-9090
Email: Ginger.Martin@doc.state.or.us
Web: http://www.oregon.gov/DOC/

Maryland Department of Public Safety and Correctional Services, Division of Parole and Probation
Ernest Eley, Jr., Deputy Director-Special Programs
6776 Reisterstown Road, Suite 212A
Baltimore, MD 21208-2310
Phone: 410-585-3529
Email: Eley@dpscs.state.md.us
Web: http://www.dpscs.state.md.us/locations/dpp_offices.shtml

*Kansas Department of Corrections, Community Corrections Division
Kathleen Graves, Director
900 SW Jackson
Topeka, KS 66612
Phone: 785-296-4538
Email: kathleeng@doc.ks.gov
Web: http://www.dc.state.ks.us/
community-corrections

Travis County, TX Community Supervision & Corrections Department
Dr. Geraldine Nagy, Director
Ms. Rosie Ramon-Duran, Assistant Director
411 W. 13th St., Ste. 400
P.O. Box 2245, Austin, TX 78768
Phone: 512-854-7694
Email: Geraldine.Nagy@co.travis.tx.us
Email: Rosie.Ramon-Duran@co.travis.tx.us
Web: www.co.travis.tx.us/AdultProbation

Multnomah County, OR Department of Community Justice
Scott Taylor, Director
501 SE Hawthorne Blvd., Suite 250
Portland, Oregon 97214
Phone: 503-988-5590
Email: scott.m.taylor@co.multnomah.or.us
Web: http://www.co.multnomah.or.us/dcj/

Grant County, IN Correctional Services
Cindy McCoy, Director
501 S. Adams St.
Marion, IN 46952
Email: cmccoy@grantcounty.net
Email: c.mccoy56@hotmail.com

*Imperial County, CA Probation Department
Martin Krizay, Chief Probation Officer
Pete Salgado, Chief Deputy Probation Officer
324 Applestill Road
El Centro, California 92243
Phone: 760-339-6202
Email: petesalgado@co.imperial.ca.us

*San Diego County, CA Probation Department
Mack Jenkins, Chief Probation Officer
Phone: 858-514-3200
9444 Balboa Avenue, Suite 500
San Diego, CA 92123
Email: Mack.Jenkins@sdcounty.ca.gov
Web: http://www.sdcounty.ca.gov/probation/

*San Luis Obispo County, CA Probation Department
Jim Salio, Chief Probation Officer
2176 Johnson Avenue
San Luis Obispo, CA 93408
Phone: 805-781-1039
Email: jsalio@co.slo.ca.us
Web: http://www.slocounty.ca.gov/San_Luis_
Obispo_Probation_Department.htm

5th Judicial District, IA Department of Correctional Services
Sally Kreamer, Director
604 Locust St, Suite 317
Des Moines, IA 50309
Phone: 515-280-4223
Email: Sally.Kreamer@iowa.gov
Web: http://www.fifthdcs.com/

Virginia Dept. of Criminal Justice Services
Jana Braswell, EBP Program Coordinator
1100 Bank Street, 11th Floor
Richmond, VA
Phone: (804) 371-0531
Fax: (804) 786-9656
Email: Jana.Braswell@dcjs.virginia.gov

Yavapai County Adult Probation Department
Billie Grobe, Chief Probation Officer
255 E. Gurley St, 2nd floor
Prescott, AZ 86301
Phone: (928) 771-3332
Email: billie.grobe@co.yavapai.az.us
Web: http://www.co.yavapai.az.us/ap.aspx

State of Hawaii
Cheryl Marlow
Interagency Council on Intermediate Sanctions (ICIS) Coordinator
Kaahumanu Hale
777 Punchbowl Street
Honolulu, Hawaii 96813
Phone: (808)539-4567
Email: Cheryl.R.Marlow@courts.state.hi.us
Web: www.hawaii.gov/icis

**Implementation and Learning Sites for the CJI/NIC Initiative, *Implementing Effective Correctional Management of Offenders in the Community.*

* Evidence-Based Strategic Planning Sites using the CJI/NIC *Integrated Model.*
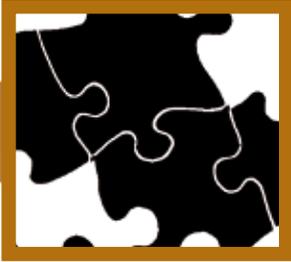
The following resource list is designed to give practitioners a variety of literature pertaining to the Eight Guiding Principles of Effective Intervention and the Integrated Model.

Websites

American Probation and Parole Association explores issues relevant to the field of community based corrections. www.appa-net.org

Bureau of Justice Assistance (Solutions for Safer Communities) provides information on reducing crime while improving the criminal justice system. www.ojp.usdoj.gov/BJA/topics/ilp.html

Crime & Justice Institute is a non-profit agency that provides consulting, policy analysis, and research to improve public safety. www.cjinstitute.org

Motivational Interviewing provides general information about this approach, MI resources, and information on reprints and recent research. www.motivationalinterview.org

National Criminal Justice Reference Service presents many reports about crime and justice-related research, policy, and practice. www.ncjrs.gov

National Institute of Corrections lists resources on criminal justice research, training, services, communities, and projects. www.nationalinstituteofcorrections.gov

Pew Charitable Trusts Public Safety Performance Project "applies the power of knowledge to solve today's most challenging problems," including criminal justice issues. www.pewpublicsafety.org

Texas Institute of Behavioral Research at Texas Christian University studies addiction treatment in community and correctional settings. www.ibr.tcu.edu/

University of California Irvine Center for Evidence-Based Corrections evaluates juvenile and adult prison programs. http://ucicorrections.seweb.uci.edu/

University of Colorado provides research information from the Center for the Study and Prevention of Violence. www.colorado.edu/cspv

United States Department of Justice is a comprehensive web site in the field of criminal justice with a list of agencies, resources, and articles. www.usdoj.gov

University of Cincinnati Corrections Institute disseminates best practices for changing offender behavior in communities, facilities, and agencies. www.uc.edu/corrections/

Washington State Institute for Public Policy is a research-based information web site on adult and juvenile offenders. www.wsipp.wa.gov

Online Resources on Evidence-Based Practices and the Integrated Model

Developing an Evidence-Based Community Corrections Workforce. A step-by-step guide for indentifying the competencies needed by employees in an evidence-based organization, and applying those competencies to all workforce development practices. http://cjinstitute.org/publications/ccworkforce

Evidence-Based Boxed Set for Stakeholders. A series of white papers describing the use of evidence-based practice from the perspectives of various stakeholders. http://cjinstitute.org/boxset

Guidelines for Developing a Criminal Justice Coordinating Committee. An overview of the role of a coordinating committee and how to assemble an effective committee. http://nicic.gov/Library/017232

Implementing Evidence-Based Policy and Practice in Community Corrections. A description of the Integrated Model, its theoretical underpinnings, and its application in community corrections. www.cjinstitute.org/files/AmericanStudiesJrnl Article091504.pdf

Implementing Evidence-Based Policy and Practice in Community Corrections Implementation Check-list. A reference tool of key elements of evidence-based practice, including an area for rating organizational readiness. www.in.gov/idoc/files/ EBPEBPChecklist.pdf

Lighting the Way: Improving Corrections Policies and Practices. A brief overview of evidence-based practices and the Integrated Model. www.cjinstitute.org/publications/ebpbooklet

Policy Framework to Strengthen Community Corrections. An overview of evidence-based community corrections policies. www.pewcenteronthestates.org/uploadedFiles/ Policy%20Framework.pdf

Supervisors Leadership Academy: Cultivating an Evidence-Based Organization. A training curriculum to prepare frontline supervisors for leadership roles in EBP implementation. www.cjinstitute.org/"publications/supvistraining

Tools of the Trade: A Guide to Incorporating Science into Practice. A practical guide for frontline application of evidence-based practices. www.nicic.org/pubs/2004/020095.pdf

TPC Reentry Handbook: Implementing the NIC Transition from Prison to the Community Model. A reentry implementation guide. http://www.nicic.gov/Library/022669

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Birgden. 2004. Therapeutic jurisprudence and responsivity: Finding the will and the way in offender rehabilitation. *Psychology, Crime & Law,* 10: 283-295.

Burke, B. Arkowitz, H., and Menchola, H. 2003. The efficacy of motivational interviewing: A meta-analysis of controlled clinical trials. *Journal of Counseling & Clinical Psychology,* 71: 843-861.

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Walters, S.T., Clark, M.D., Gingerich, R., and Meltzer, M. 2007. *Motivating Offenders to Change: A Guide for Probation and Parole.* National Institute of Corrections. http://nicic.gov/Library/022253

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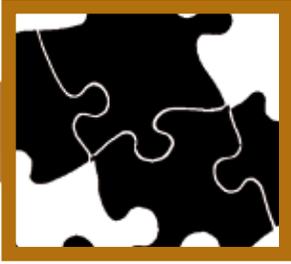
Evidence-Based Practice Employee Tip Sheets

Implementing Evidence-Based Practices as Administrative and Support Staff

The roles of administrative and support staff vary widely in community corrections, which offer numerous opportunities for contributing to evidence-based organizations. From receptionists to dispatchers to probation aides, all employees in support roles have the ability to improve the efficiency and effectiveness of their organization through the use of data. The tips below will help you to define your role in your evidence-based organization.

- **Explore Your Mission and Vision**

    Mission guides the evidence-based organization. Your mission statement describes how you agency contributes to public safety, and all activities should support that mission. Discuss how you contribute to the mission of your organization, directly or indirectly, and how you improve public safety outcomes.

- **Learn the Basics of Evidence-Based Supervision**

    Participate in trainings and other learning opportunities on the fundamentals of EBP in community corrections. Understanding the "big picture" of community corrections research and how EBP is being implemented in your organization will make the organizational change process more manageable, and allow you to better support your colleagues.

- **Model Positive Rapport**

    Positive relationships that balance support and accountability can help to facilitate behavior change. As a member of an evidence-based organization, you have the opportunity to model

positive rapport with colleagues and offenders. This will help to create an environment where everyone is striving to improve.

- **Communicate, Communicate, Communicate**

    A significant challenge in organizational change is maintaining communication about new policies and practices. Administrative and support staff are often key information conduits, and you can serve as an information source as well as a contributor to your agency's formal communication plan.

- **Use Data To Innovate and Excel**

    Regardless of your role in the organization, you are able to use data to improve your performance. Ask yourself, what information do I need to know how well I am doing now, and how I can do better? Work with your supervisor and manager to collect the information that you need, and to use that data to try new ways of doing your work more effectively.

Implementing Evidence-Based Practice as a Probation Officer

Probation officers are the heart of EBP supervision. You have the opportunity to provide direction and motivate offenders toward behavior change, thereby reducing recidivism and guiding offenders through the process of becoming productive members of the community. You are able to identify offender needs that are specifically related to recidivism risk factors, develop individualized supervision/treatment plans, and create an environment that promotes law-abiding behavior. By implementing the following evidence-based approaches, you can contribute to positive behavior change.

- **Assess Offender Risk and Needs**

An essential component of EBP is identifying the dynamic risk factors that relate to offender criminal behavior. Use motivational interviewing techniques and assessment questions to learn about offenders and their behavior. Utilize risk/needs assessments to help identify key areas in which offenders can improve. Ask offenders what are their personal priorities for change.

- **Develop Case Plans and Target Interventions**

Using information collected during the risk/needs assessment process, create a comprehensive case plan. Think of the case plan as a roadmap that directs the offender toward treatment pertaining to needed behavior change. Create the case plan with the offender. Ask the offender what he/she thinks are realistic goals, and weave the offender's goals into the case plan when they are consistent with the requirements of supervision. Match offender needs with appropriate treatment in the department or the community. Monitor treatment compliance and progress toward goals. Case plans should include the potential negative and positive actions you will take in response to the offender's behavior. Explain the case plan to the offender and provide the offender with a copy or a list of "to do's".

- **Build Rapport and Enhance Offender Motivation**

Offenders vary widely in their readiness to change. Assess where the offender is in regards to behavior change (e.g., stages of change) and incorporate the level of change into the case plan, and consider individual characteristics such as gender, language, and intellectual ability Offenders do not always have the tools to change; offer guidance as to what tools will help build their skills. As a probationer officer, your role requires balance between enforcer of court orders and a facilitator of treatment and behavior change. Achieving that balance and building effective rapport with offenders will allow you to best promote public safety.

- **Apply Cognitive-Behavioral Treatment Strategies**

Offenders are usually on probation because of destructive and habitual patterns of thinking and acting. Using cognitive-behavioral techniques, you can help restructure offender thinking and change

behaviors. Provide opportunities for offenders to try new skills. You can do this by teaching them different skills, role-play learned skills, have them try the skill in their environment, and discuss what worked and did not work. This can provide offenders with the opportunities to problem-solve, cope, and self-manage in a more constructive and positive way.

- **Provide Positive Reinforcement**

As offenders move through treatment, monitor their progress toward case plan goals and provide continuous feedback. Providing positive feedback will promote behavior change. Encourage program participation, reinforce positive change and commend offenders for using new skills.

- **Use Data To Make Enhancements to Your Service Delivery**

Data is essential to understanding how effective your efforts are. Be open to learning new things about how interventions are being delivered and what impact they are having on offender behavior change. Be creative in finding new ways to refine or change intervention delivery to increase positive outcomes. Continually ask the question "How can we do things better?"

Implementing Evidence-Based Practice as a Supervisor

As a supervisor you play a pivotal role in implementing Evidence-Based Practice (EBP) and facilitating a healthy and vibrant work environment. As coaches and mentors, you need the skills to conduct client interviews, assess risk needs, and develop case plans. Your role as a supervisor also includes monitoring the quality of implementation, using data to improve the effectiveness of your unit, and developing employees' skills. You are the link between implementing EBP on a daily basis by supporting your staff and improving public safety outcomes. The following tips will provide you direction as you embark on implementing EBP as a supervisor:

- **Be a Coach**

As a supervisor you will often need to act as a coach to help develop employees' EBP skills. This will enable learning and development to occur, thus improving employee performance. To be a

successful EBP coach requires a knowledge and understanding of EBP as well as the variety of styles, skills, and techniques that allow you to build effective relationships with employees. It is important to understand the learning styles of your employees and how they respond to feedback, and to collect data on individual and team or unit performance. Understanding the strengths and areas of improvement for each employee and team promotes positive professional development.

- **Be a Mentor**

  As a supervisor you have the opportunity to be a teacher and facilitator of the EBP process, allowing grapple with problems and find solutions. As a supervisor you can ask questions, provide challenges, and share decision making. Motivational Interviewing and Stages of Change are useful tools to assist employees in exploring new ways to do business, and build their self-efficacy to apply EBP.

- **Assist Employee Skill Development**

  Employee development is always important and is especially important when implementing EBP. To assist employees in developing EPB skills, set challenging, yet attainable, performance goals and focus on guiding employees to excel. Collect and review data on progress, celebrate milestones with employees and recognize and reward them when they have reached goals.

- **Monitor the Quality of EBP Implementation**

  Using data to inform your unit decisions is a key element of EBP. Data provides a starting point for EBP discussions and learning opportunities for you and your employees. Collecting data takes time, but collecting just a few key areas to monitor is a good way to get started. Get the employees involved. Ask your employees what information will be most useful to them, and communicate with employees on their areas of strength and developmental needs. Celebrate your successes and develop improvement plans for areas needing additional attention.

- **Provide a Safe Environment**

  It is important to provide a safe environment that allows employees, along with you, to make mistakes and learn from those mistakes. Implementing EBP is a dynamic process where everyone is learning, including supervisors, directors, and executives. As a supervisor creating an environment that allows employees to try new techniques is an important part of the development process, (as long as the practice is informed by research and does not harm clients or the community).

Implementing Evidence-Based Practice as a Division Manager

As a Division Manager you have a multifaceted role in implementing Evidence-Based Practice (EBP) and creating a learning environment. You are often a bridge between leadership teams, stakeholders and supervisors and officers. You provide executives and stakeholders information about the successes of your division, share lessons learned and are part of brainstorming for new innovative ideas. You are also a coach and mentor to your supervisors. You are the key to providing supervisors information from your leadership team that will show your support for EBP, create buy-in from the employees in your chain of command as well as others, and create a two-way learning environment. The following tips will provide you direction as you embark on implementing EBP as a division manager:

- **Support and Communicate Your Organization's Mission and Vision**

  As a division manager you have the responsibility to support and communicate your organization's mission and vision to your employees. Post the mission and vision statements in areas where employees will see them regularly. Talk about how your division's work fulfills the organization's mission and vision. Revisit the services your division performs regularly to make sure they align with the organization's mission and vision. By conveying and reinforcing a clear mission and vision, you can powerfully communicate your organization's intentions, and motivate your team toward implementing EBP.

- **Educate and Engage Stakeholders**

  Stakeholders will be affected by organizational changes. Educate your stakeholders, internal and external, about EBP and how it impacts the service delivery your organization provides and expects. Engage stakeholders in the process by giving

them a voice to express what is working and what is not working based on data. Work with them to create a collaborative environment. Conduct assessments to identify the dynamics of groups, knowledge of EBP, and readiness for change. This can help guide collaborative groups in setting goals and moving forward to work together.

- **Be a Coach**

  As a division manager you will often need to act as a coach to help develop supervisors' EBP skills. This will enable learning and development to occur and thus improve supervisors' performance in coaching their employees. To be a successful EBP coach requires knowledge and understanding of EBP as well as the variety of styles, skills, and techniques that allow you to build effective relationships with employees. It is important to understand the learning styles of your supervisors and how they respond to feedback, and also to have methods for collecting information on division performance. Understanding the strengths and areas of improvement for your division promotes positive professional development and improves the overall effectiveness of EBP implementation.

- **Be a Mentor**

  As a division director you have the opportunity to be a facilitator of the EBP process. Provide opportunities for supervisors to grapple with problems and find solutions on their own so they can learn and grow professionally. Ask questions, provide challenges, and share decision making with your supervisors. Motivational Interviewing and Stages of Change are useful tools to assist supervisors in exploring new ways to do business, and building their self-efficacy to apply EBP in their units.

- **Monitor the Quality of EBP Implementation**

  Using data to inform your division's decisions is a key element of EBP. Teach your supervisors the importance of data and how to use it to make informed decisions. You can use data as a tool to encourage EBP discussions and learning opportunities for you and your supervisors. Collecting data takes time, but collecting just a few key areas to monitor is a good way to get started. Get the supervisors involved. Ask your supervisors what areas are important to them to know and communicate with employees on where they are being

effective and areas where improvement is needed. Celebrate your successes and develop improvement plans for areas needing additional attention.

- **Provide a Safe Environment**

  It is important to provide a safe environment that allows all employees, along with you, to make mistakes and learn from those mistakes. Implementing EBP is a dynamic process where everyone is learning, including supervisors, managers, and executives. As a division manager creating an environment that allows employees to try new techniques is an important part of the development process, as long as the practice is informed by research and does not harm clients or the community.

Implementing Evidence-Based Practices as the Executive Team

Implementing evidence-based practices (EBP) is not just about the day-to-day supervision of offenders, but also integrating EBP into all aspects of your organization's operations. Executive teams have the responsibility to create an evidence-based environment. Essential components for creating this include EBP-aligned vision and mission, goals, policies and procedures, and performance measures. You are the champion of evidence-based practice; use evidence in all aspects of community corrections to guide your organization toward the best possible outcomes, and promote effective approaches inside your organization and across the system.

- **Create an Evidence-Based Vision and Mission**

  Create vision and mission statements that incorporate evidence-based practices as a means to achieve public safety goals. This can provide guidance to your organization and give employees a framework for the importance of the work they do. When developing your vision and mission statement, solicit input from staff and stakeholders about what success looks like for your organization. Post it throughout the organization and discuss it frequently.

- **Create a Learning Environment**

  Evidence-based organizations evolve. They use research to develop innovative approaches to

maintaining public safety, and then they measure outcomes. If an intervention works, keep doing it, and share it with others. If it doesn't work, then change or stop it, even if it is popular. Encourage employees to try new things and learn from their accomplishments along with their mistakes. Create a trusting environment where employees at all levels are empowered to make decisions. Be a role model for ongoing learning, engage in constant communication and provide positive reinforcements.

• **Collaborate With Stakeholders**

Many stakeholders have a vested interest in community corrections and its ability to provide for public safety. Educating and engaging stakeholders in evidence-based practices and their contribution to public safety will allow system players to work toward similar outcomes. Approach all stakeholders, not just the ones that have supported you in the past. An unengaged stakeholder can soon become a negative force in the community.

• **Create EBP Policy and Procedures**

Create policy and procedures that promote EBP. Develop a workgroup that can review and evaluate current policy and procedures, develop a plan that identifies areas where EBP needs to be incorporated, field test new policies as needed, and make enhancements. Include employees and stakeholders in the development process. Ask employees to identify current practices that could be discontinued without harming public safety.

• **Use Data**

The foundation of EBP is ***evidence.*** The research is available to the field, and it is up to you to apply it and see what works in your organization. Surround all employees with data and be sure that they understand it. Use your data to answer: are we actually doing evidence-based practices, are we doing it well, and are we improving our outcomes? Monitor progress toward your goals. Involve your team in using data to drive decisions. Teach them to practice using data with their units and divisions. Use data for positive reinforcement and constructive learning, not a "gotcha" tool.
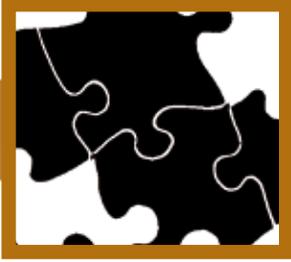
Preparing Data for Analysis

If you are not fortunate enough to have administered the survey in a manner that will deliver a data file, someone will need to take the completed surveys and transcribe the answers into an application that can be used for analysis. Commonly used applications include Excel, Access, SPSS or SAS. A data file can be created by following these steps.

1. **Create a codebook.** This is a written structure of the data file which has the numeric or alpha codes that respond to each of the answers for each of the questions in the survey. For example, if the survey answers are "Agree," "Neutral" or "Disagree," they may be coded as 1=Agree, 2=Neutral, etc., so that they can be statistically analyzed.

2. **Establish rules for irregularities.** Unfortunately questionnaires can include ambiguous answers and/or missing answers. Rules will ensure consistency in data entry. For example, how will you code responses that are left blank, or where two answers are given?

3. **Assign a unique identifier.** This is a unique descriptor assigned to each returned survey. Typically it is a sequential number that provides ease in identification of surveys should analysts need to go back and review the survey. Also, a date field can be date of administration, completion or receipt. So, if "Mike Jones" returns the first survey, it may be coded as 1001, and "Susan Vasquez" returns the second survey, coded 1002.

4. **Enter data.** Data entry consistency is a high priority when this process is undertaken. Consistency is best achieved by limiting the number of staff entering data into the data file. Accuracy must be checked either through duplicate data entry or a random sampling of cases by an employee who did not participate in the data entry.
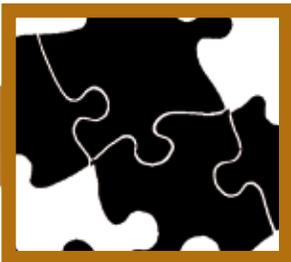
Communication Plan

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

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

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