Making it Stick!

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Acknowledgements

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- BJA: 2009-DG-BX-K026; SAMHSA: 202171
- Maryland Department of Public Safety and Correctional Services
The New Technology of Corrections

- Risk and Needs Assessment: focusing on their unmet or antisocial needs
- Case Planning: engaging offenders in their own plans
- Cognitive Programming—Thinking for a Change, other curriculums: using state-of-the-art strategies to improve offender outcomes
- Core Correctional Practices: managing offenders through core practices
- Rewarding offenders for “doing what we expect”
Recidivism is a Function of Responsivity: “Fit Matters”

- Therapeutic Community: 26% Reconvicted with High LSI-R Need, 55% Reconvicted in Program Overall
- Life Skills: 24% Reconvicted with High LSI-R Need, 73% Reconvicted in Program Overall
- Education: 31% Reconvicted with High LSI-R Need, 53% Reconvicted in Program Overall
More Principles = More Effective

Recidivism Reduction by Adherence to RNR Principles

- 0 principles adhered: 0.2%
- 1 principle adhered: 2%
- 2 principles adhered: 18%
- 3 principles adhered: 26%

Andrews & Bonta, 2006; 2010
Business leaders, political leaders military leaders, entrepreneurs all need to learn. And practice the same fundamental rule of thumb: Ask the last question first. And that is: **What’s the point of this exercise?**

If you do not begin a new campaign, enterprise, military engagement or business launch with a clear definition of victory, you’ve set yourself for failure. If you don’t know what success is, how do you know when you’ve achieved it? If you don’t know if your strategy and tactics will take you there? If you don’t have a clear understanding of what you hope to achieve, how will you be able to justify the time, energy, and human and financial resources you commit to the effort?

It’s the lesson that the United States learned in the Vietnam War, in which we managed to win every battle and still left the country having lost the war. The critical missing element to that ill-conceived war was a lack of clear definition of victory.

_Alan Webber, founder of Fast Company Magazine_, Washington Post, Sun Aug 30, 2009
What is the point of this exercise?

Victory is...
Sustainability
Uptake

The long and winding road
RNR Supervision
Behavioral Management Strategies

- Unclear rules
- Discretionary procedures
- CJ Procedures
- Focus on Conditions, not goals
- Outlaw persona

- Deportment/Respect
  - Office Decorum
  - Citizen persona

- Social Learning Model
  - Mutually Develop Plan Tied to Criminogenic Traits
  - Feedback on Risk/Need, Supervision Plan, Progress
  - Focus on Prosocial Networks
  - Tie to Stages of Supervision
  - Positive Reinforcers

- Clarify Expectations for Success
Process for Offender Change

Engagement

- Assessment & Case Planning
  - Expectations & Ground Rules
    - Express Empathy
    - Avoid Argumentation
    - Roll with Resistance
    - Deploy Discrepancy
    - Support Self-Efficacy

Change

- Better Case Information
  - More Vested Offender
- Formal Controls
- Informal Controls
- Sufficient Retention

Sustained Change

- Behavioral Change
- Natural Support Systems
- Reduced Crime
- Reduced Drug-Use
- Improved Family/Community

Deportment

- 4 Months
- 12 Months
- 18 Months
What did we do in MD PCS project?

- **Phase 1** (1 year)
  - Design the PCS Model (Mental Model with Proximal Goals)
  - Market the PCS Model in the Agency (Leadership, Supervisors)
  - Learn MI modified for Probation Environment Practice
  - Have Supervisors Measure Skills (QCS)

- **Phase 2** (2 years)
  - Learn Risk, Need, Responsivity (mental model)
  - Learn and Practice Level of Service Inventory-R
  - Learn and Practice Case Planning
  - “Book Club” (reinforcement)
  - Measure Outcomes of Case Plans

- **Continued Organizational Development** (ongoing)
  - Train Supervisors in Coaching Skills
  - Conferences, Meetings, etc.
  - Work on culture issues
## Practice Guidelines

<table>
<thead>
<tr>
<th>Typology</th>
<th>Supervision Plan Focus</th>
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<tbody>
<tr>
<td>Disassociated</td>
<td>Developing a social network</td>
</tr>
<tr>
<td>Domestic Violence</td>
<td>Addressing violent tendencies, power and control issues, and substance abuse issues</td>
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<tr>
<td>Drug-Involved</td>
<td>Addressing addiction issues</td>
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<tr>
<td>Mental Health</td>
<td>Finding treatment and care for mental health issues</td>
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<td>Sex Offender</td>
<td>Including controls and treatment to address sexual deviancy</td>
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<tr>
<td>Violent Offender</td>
<td>Internal and external controls for violent behaviors</td>
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## QUALITY CONTACT STANDARDS

### Department and Manner of Being With an Offender

1. Introduced self or greeted offender in a confident, friendly manner and thanked them for their time and effort when closing the session.

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2. Posture and physical gestures (e.g., hand shakes, eye contact, non-verbal communication) were deliberate, dignified, and conveyed interest and respect.

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3. Was organized and prepared with case materials, recent test results, and session goals.

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### Assessment and Planning

5. Used appropriate communication skills to decrease tension and reinforce positive behavior, minimize interruptions and avoid raising voice.

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6. Reviewed and updated the offender’s progress towards previously established goals.

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7. Explored and conducted on-going assessments for offender’s ambivalence (to change), criminogenic needs and relevant circumstances of the case.

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### Treatment and Service Referral

9. Maintained focus for change on offender and their problem-solving ability.

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10. Adequately discussed referral needs, and jointly planned goals & obstacles with offender and guided through the stages of change.

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### Sanctions and Ground Rules

11. When necessary, appropriately reminded offender of ground rules for effective supervision and legal consequences for non-compliance.

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12. Evaluated offender’s compliance with ground rules and sanctions and decided if additional action is needed.

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**Agent Name:** ____________________________________________________
Implementation Activities

- Officer Responsibilities
- Typologies
- Risk and Needs Assessment
- Entered into computer

% Completed
## Characteristics of Sample

<table>
<thead>
<tr>
<th>Characteristics</th>
<th>PCS (n=274)</th>
<th>Non-PCS (n=274)</th>
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</thead>
<tbody>
<tr>
<td>% Male</td>
<td>83</td>
<td>83</td>
</tr>
<tr>
<td>% African American</td>
<td>85</td>
<td>85</td>
</tr>
<tr>
<td>% Unemployed</td>
<td>62</td>
<td>69</td>
</tr>
<tr>
<td>% &lt;30 years old</td>
<td>53</td>
<td>54</td>
</tr>
<tr>
<td>% Single</td>
<td>83</td>
<td>86</td>
</tr>
<tr>
<td>% Probation</td>
<td>88</td>
<td>88</td>
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<tr>
<td>Mean No Prior Arrests</td>
<td>7.1</td>
<td>6.8</td>
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</table>
Requests for VOP Warrants

Warrant Rates*

*p<.05

40% Reduction in Odds of VOP Warrants
Positive Findings for new Behavioral Management Strategies

- Reduced Recidivism
- Increased Access to Treatment
- Increased Retention in Treatment

38% Reduction in Odds of Rearrest Rates

*\( p < 0.01 \)
What does it take for caseworkers to: 1) develop a case plan based on the risk of an individual and their criminogenic needs? 2) to refer/place the person in appropriate services and use appropriate controls?
Study Design

Statewide Survey of CMs in all 33 Offices
- CM Best Practices
- Organizational Measures

Office Random Assignment + Stratification
- CM Practices
- Org Measures
- Office Size
- Location (urban, suburban, rural)

4 Control Offices
- MI 1 day training only

4 Standard Training Offices
- MI 1 day
- JARPP 3 day
- Booster training

4 Enhanced Training Offices
- MI 1 day
- JARPP 3 day
- “Procedural” boosters + mentors
Rapport Building 1-Day Session
- Refresh, Clarify Goals
- Skills

Skill Building: 3-Day Session
- Rapport
- Use of Risk & Need Tools
- Case Plan

Enhanced (4 sessions)
- Rapport
- Use of Risk & Need Tools
- Rehearse, Learn: Case specific

Standard (4 sessions)
- Standard Boosters
- Skill-focused

Control
- None

Increase in:
- Organizational Commitment (Staff/Mgrs)
- Goal Cohesion (Staff/Mgrs)
- Service Utilization (Staff/youth)
- Case Planning (Staff)

Decrease in:
- Referrals
- Arrests

Management Initiative to Support RNR Goals

NIDA, R01 DA18759
## Odds of Impact Based on Youth Handled After period of Training

<table>
<thead>
<tr>
<th>Group (versus control)</th>
<th>Re-Referrals 12 Months</th>
<th>Placement in 12 months</th>
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<tbody>
<tr>
<td>Enhanced Cohort 1</td>
<td>↓29</td>
<td>↓31</td>
</tr>
<tr>
<td>Enhanced Cohort 2</td>
<td>↓41</td>
<td>↓47</td>
</tr>
<tr>
<td>Standard Cohort 1</td>
<td>↓25</td>
<td>↑24</td>
</tr>
<tr>
<td>Standard Cohort 2</td>
<td>↓18</td>
<td>0</td>
</tr>
</tbody>
</table>
Enhanced key components

- Juvenile Justice Specialists: Create in-house experts on techniques and application
- Booster Sessions were focused on combination of applied skills and case conferencing
- Social networks where consultant had monthly phone sessions, easy access; quarterly meetings
- Address time management, multitasking, reconcile agency priorities
- Focus on value clarification and organizational commitment
What Matters in Adoption of EBPS?
Overview of NCJTP Findings

Qualities of Leaders

1. Community Setting
2. Administrator:
   - Human Services
   - Increased Knowledge of EBPs
   - Supports Rehabilitation
   - Pursue Reforms from Clinical Perspective
3. State Executive Support (even for county)

Organizational Culture & Climate

- Learning
- Performance
- Emphasis Quality
- Tx
- State Support*

Training Resources

- Secure Physical Facilities
- Internal Support
- Training
- Resources

Network Connections

- Integration

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Friedmann, Taxman, & Henderson, 2007; Henderson, Taxman & Young, 2008
MOVING AHEAD
Training and technical assistance?

- One session is ineffective-less than 10% on knowledge, less on utilization
- Knowledge $\neq$ utilization
- Need mental model of the “vision”

Training =

- declarative knowledge (“what”, facts)
- procedural knowledge (“how”)
- strategic knowledge (when to apply the technique)
Implementation in the Criminal Justice System

- Complexity of criminal justice system requires implementation to be a process (not an event)
- Create learning organization
- Share information through feedback loops
- Partnerships and teamwork to build the future
- Fidelity to the EBP main guidelines to ensure outcomes
- Develop internal coaching for expertise
Taxman & Belenko, 2011
Interagency Efforts to Build Coalitions

Stages of implementation

Key Binders

Taxman & Belenko, 2011
Build Capacity

- Clarify Values
- Advance Knowledge Sharing Among Stakeholders
- Work on Skills Needed for EBPS
- Establish benchmarks
- Clarify Outcomes
- Begin Social Messages (Consumer Orientation and Audience Segmentation)
Process for Offender Change

Engagement

Assessment & Case Planning

- Better Case Information
- More Vested Offender

Expectations & Ground Rules

Change

Formal Controls

- Sufficient Retention

Informal Controls

Sustained Change

Behavioral Change

Natural Support Systems

- Reduced Crime
- Reduced Drug-Use
- Improved Family/Community

Deportment

Express Empathy
Avoid Argumentation
Roll with Resistance
Deploy Discrepancy
Support Self-Efficacy

4 Months

12 Months

18 Months
Build Resiliency

- Observable and Trialability
- Test EBPS
- Monitor Benchmarks
- Monitor EBP Fidelity
- Adjust work processes and procedures
- Develop interagency processes
- Sustain resources
Quality Improvement Process

- Plan_Do_Study_Act: quick turnaround
  - Walk the “walk”
  - Set benchmarks
  - Try new ideas
  - Coalesce, adjust and refine

- Example: JSTEPS: Design Incentives to Fit the Setting, varies by site (Rudes, et al., 2011)

- NIATx: Improves treatment access by 25% without adding new resources; improves treatment retention (Ford, et al. 2007; McCarty, et al. 2008)
Feedback, Information Builds Capacity

- Myths are built on misconceptions
- Feedback—building the data collection and sharing data—can then be used to address misconceptions
- Feedback is an important process to building continued support
- Allows the potential to address problem areas
- Feedback allows to assess Fidelity
Steps for Implementation

1. Skill(s) Development
2. Know the Facts
3. Fits into Plan
4. Fits into Daily Work Processes

Feedback Loops
Skill(s) Development

- What are you doing?
- Motivational Interviewing or techniques
- *Thinking for a Change*—Cognitive Restructuring
- Officer Skills (Effective Correctional Practice)
- Techniques
  - Coaches (internal)
  - Internal Experts
  - External Facilitators
Know the Facts

- Geared for:
  - Managers
  - Supervisors
  - Line staff

- Feedback on Each Phase of Implementation

- What does ...... mean?
  - Risk-Need Assessment (risk vs. offense history vs. crime)
  - Case Planning/Responsivity (what are the needs)
  - Compliance Management (how well are people doing)
  - Deportment (is there rapport)
Fit in the Organization

- Does it match the plan
- Strategic Plans for
  - Assessment
  - Case Planning/Responsivity
  - Compliance Monitoring
  - Deportment
- Identify benchmarks of progress
- Partnerships
Fit Daily Work Processes

- “How”
- Organizational culture
- Organizational Learning models
- Facilitated Coaches
- Move policies into practices
- Improve partnerships
- Feedback loops/management information
Community corrections programs are emerging as an effective alternative to incarceration for drug-involved offenders, to reduce recidivism and improve public health and public safety. Since evidence-based practice is gaining recognition as a success factor in both community systems and substance abuse treatment, a merger of the two seems logical and desirable. But integrating evidence-based addiction treatment into community corrections is no small feat—costs, personnel decisions, and effective, appropriate interventions are all critical considerations.

Featuring the first model of implementation strategies linking these fields, Implementing Evidence-Based Practices in Community Corrections and Addiction Treatment sets out criteria for identifying practices and programs as evidence. The book’s detailed blueprint is based on extensive research into organizational factors (e.g., management buy-in) and external forces (e.g., funding, resources) with the most impact on the adoption of evidence-based practices, and implementation issues ranging from skill building to quality control. With this knowledge, organizations can set realistic, attainable goals and achieve treatment outcomes that reflect the evidence base.

Included in the coverage:

• Determining evidence for “what works.”
• Organizational change and technology transfer: theory and literature review.
• The current state of addiction treatment and community corrections.
• Unique challenges of evidence-based addiction treatment under community supervision.
• Assessing suitability of evidence-based practice in real-world settings.
• A conceptual model for implementing evidence-based treatment in community corrections.

Implementing Evidence-Based Practices in Community Corrections and Addiction Treatment is a breakthrough volume for graduate- and postgraduate-level researchers in criminology, as well as policymakers and public health researchers.

“Such a book could not be more timely. Community-based sanctions are attracting widespread attention, and many hope they will reduce recidivism and costs. But that won’t happen unless we pay attention to implementation, the black box that Taxman and Belenko have unpacked in this outstanding book. Changing practice is more than just changing policies. Real change requires engaging community correctional agencies and their partners in the implementation process. This book provides new insights and a comprehensive framework for delivering programs that work and are sustainable. Any agency involved in implementing rehabilitation programs will be well advised to read this book closely. I highly recommend it.”

Joan Petersilia
Adelbert H. Sweet Professor of Law and Co-Director, Stanford Criminal Justice Center, Stanford Law School