

## **Evidence-Based Offender Management Guidelines Supplement to OP-160103, “Supervision of Offenders”**

To reduce offender risk and the likelihood of future criminal behavior while enhancing public safety, evidence-based offender management applies a framework of scientifically validated principles to change offender attitudes and behaviors. (4-APPFS-2A-07)

The principles of evidence-based practices are interdependent and are applied in developmental order:

- Assess actuarial risk and need
- Enhance intrinsic motivation
- Target interventions
- Skill training with directed practice
- Increase positive reinforcement
- Engage ongoing support in natural communities
- Measure relevant processes/practices
- Provide measurable feedback

*(Implementing Evidence-Based Practice in Community Corrections: The Principles of Effective Intervention, National Institute of Corrections & Crime and Justice Institute 2004)*

These principles can be viewed as components of supervision involving assessment, transition planning, suitable referral and monitoring, appropriate response to offender behavior, and capable guardianship.

Supervision also entails motivating offenders to change, helping offenders acquire pro-social skills, and ensuring compliance with goal-oriented objectives addressing criminogenic needs.

# CHAPTER ONE

## BEHAVIORAL MANAGEMENT APPROACH TO COMMUNITY SUPERVISION

### SECTION ONE

#### UNDERSTANDING THE CHANGE PROCESS

The core components of behavior change involve a series of interactions that provide the offender the opportunity to learn about his/her behavior, acquire new skills to address problematic issues, and develop tools to ensure long-term success. It should be understood that offenders are to be held responsible and accountable for their own actions, including the willingness to change. Offenders cannot be treated as passive participants inundated with services or as misfits incapable of leading productive lives. Staff should be proactive in motivating offenders to change while offenders participate in the change process or face consequences.

*(Tools of the Trade: a guide to incorporating science into practice, National Institute of Corrections & Maryland Department of Public Safety and Correctional Services)*

Every person has a set of attitudes, beliefs, and patterns that combine to form his/her cognitive structure. Cognitive structure influences the actions that people pursue. For every person, this cognitive structure is a self-fulfilling cycle, which means that whatever an offender believes will eventually be validated in his/her own mind as being right or just. Criminal thinkers do not see fault with their actions. Without this internal control, they are more likely to engage in further criminal actions, given the means and opportunity.

Not all offenders are criminal thinkers. Some have made bad decisions but do not have distorted thinking patterns that will result in similar decisions in the future. It is important to determine how much of the offender's behavior is poor decision making and how much can be attributed to a distorted thinking pattern. Typically, higher risk offenders display patterns of criminal thinking.

Many offenders have not had the opportunity to learn appropriate problem solving skills. This lack of problem solving skills, in many cases, contributes directly to decisions made by the offender that result in criminal behavior. The ability to evaluate a situation and make a decision based on weighing appropriate options can serve to assist the offender in managing a problem situation and divert potential criminal activity. Problem solving involves six steps that include:

- identifying the goal;
- assessing current circumstances;
- identifying different options and solutions;
- analyzing solutions;
- selecting a strategy;
- developing an action plan

It is critical for staff to understand the underpinnings of criminal behavior, that is, what makes a “ready offender.” While the entire spectrum of human behavior cannot easily be summarized, research has consistently identified a set of characteristics that are common among criminal offenders and relate closely to re-offending. These characteristics, which both predict and influence criminal behavior, are often called risk factors or criminogenic needs. Non-criminogenic needs may be concerns for offenders to address, but they are not related to re-offending.

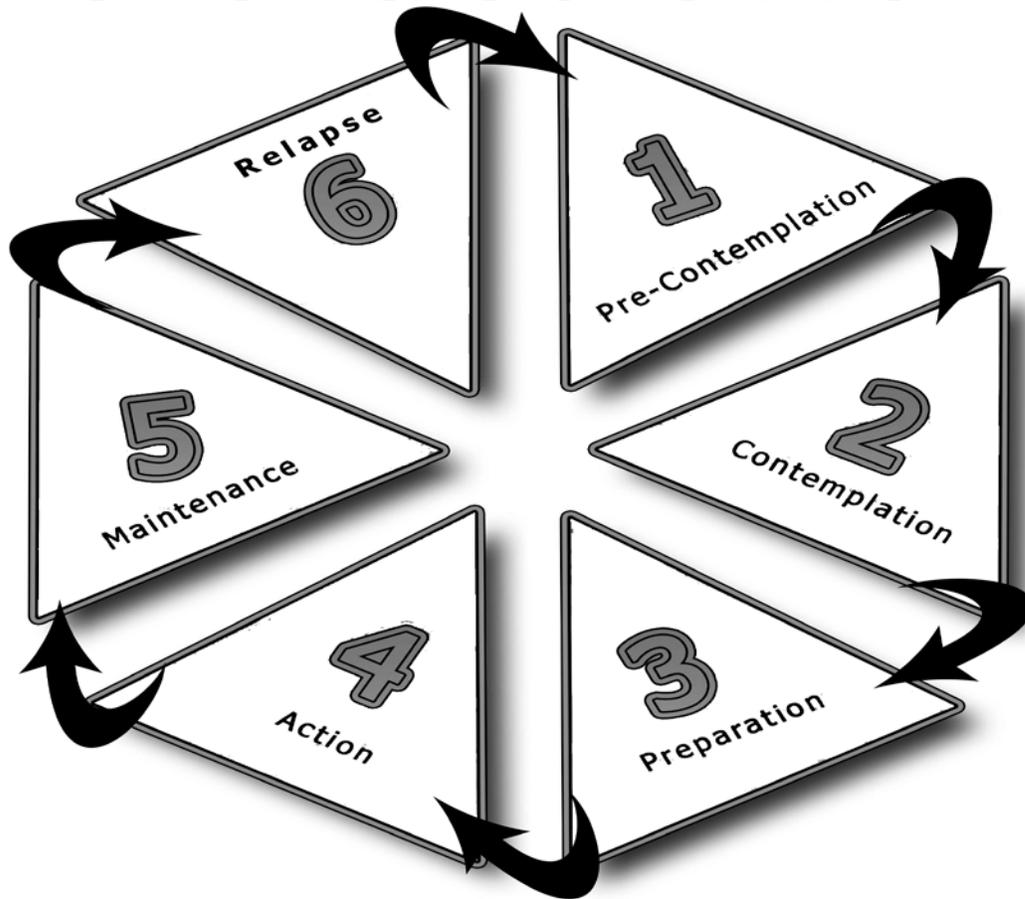
Every interaction with the offender provides valuable information regarding the offender’s degree of motivation and willingness to engage in the behavioral change process. The first objective for staff is engagement of the offender in the change process. This sets the premise for the offender assuming full responsibility for a pro-social lifestyle.

## **SECTION TWO**

### **THE STAGES OF CHANGE**

The “Stages of Change” model developed by Prochaska, DiClemente, and Norcross best demonstrates the sequence of behaviors leading to change. This model identifies six stages in the behavioral change process. The officer can identify each stage from statements the offender makes during an interaction. Each stage necessitates a different approach from the officer to help move the offender through the “Stages of Change.”

## SIX STAGES OF CHANGE



In this model, the behaviors fall into six identifiable stages:

1. An offender in **pre-contemplation** typically denies that a problem exists. Through conversation with the offender, the officer must lead the offender in developing the discrepancy between the current behavior and future goals. It is the development of this discrepancy that motivates change and leads the offender into contemplation. Frequent contact is required with offenders in this stage. This contact serves to maintain the offender's focus on the behavioral issues that have contributed to criminal behavior. The officer's role is to assist the offender in the objective evaluation of the problem behavior to assist the offender's progression in the change process.

Some techniques that can be utilized with offenders in the pre-contemplation stage include:

- Exploring the meaning of events that brought the offender to supervision
  - Eliciting the offender's perceptions of the problem
  - Offering factual information about the risks of continued behavior
  - Providing personalized feedback about assessment findings
  - Exploring the pros and cons of continued behavior
  - Helping a significant other/capable guardian intervene
  - Examining discrepancies between the offender's and other's perceptions of the problem behavior
  - Use of change readiness evaluation tools and techniques
2. An offender in **contemplation** realizes a problem may exist but is ambivalent about it. Ambivalence is a normal stage in the process of change, but it can be paralyzing, preventing movement. The officer's discussion with the offender will focus on the offender's statements about the problem. Resolving ambivalence is the key to change and should not be forced. It must be explored so the offender's increased awareness can facilitate the process of change. The goal is to reinforce the offender's reasons to change and move him toward the preparation stage.

Some techniques that can be utilized with offenders in the contemplation stage include:

- Eliciting and weighing pros and cons of the problem behavior
  - Eliciting a change from extrinsic to intrinsic motivation
  - Examining the offender's personal values in relation to change
  - Emphasizing the offender's free choice, responsibility, and self-efficacy for change
  - Eliciting self-motivational statements of intent and commitment from the offender
  - Eliciting ideas regarding the offender's perceived self-efficacy and expectations regarding supervision
  - Summarizing self-motivational statements
3. An offender in **preparation** recognizes the problem behavior and begins to make a commitment to change. There may still be obstacles. The officer and the offender work together from a menu of options to develop a plan supporting the offender's commitment to change. The offender now moves to the action stage.

Some techniques that can be utilized with offenders in the preparation stage include:

- Clarifying the offender's own goals and strategies for change
- Offering a menu of options for change
- Offering expertise and advice
- Negotiating a change plan and behavior contract
- Helping identify barriers to change and develop strategies to address them
- Helping to identify and elicit social support
- Exploring supervision expectancies and the offender's role

- Eliciting from the offender what has worked in the past either for him or others whom he knows
  - Assisting in identifying and diminishing potential barriers
  - Having the offender share with family or friends the plan to change
4. An offender in the **action** stage of behavior change is implementing the negotiated plan and requires continuous positive reinforcement from the officer. The officer will increase his/her efforts to enlist the support of capable guardians in providing additional reinforcement. Once the offender has successfully worked the plan for a period of six to nine months, he progresses to the maintenance stage.

Some techniques that can be utilized with offenders in the action stage include:

- Engaging the offender in program involvement and reinforce the importance remaining in the program
  - Supporting a realistic view of change through small steps
  - Acknowledging difficulties for the offender in early stages of change
  - Helping the offender identify high-risk situations through a functional analysis and develop appropriate coping strategies to overcome these
  - Assisting the offender in finding new reinforcements of positive change
  - Helping the offender assess family and social support
5. An offender in the **maintenance** stage has met key milestones in changing the factors associated with his/her criminal behavior. The milestones are often dependant on the length of time that the offender has abstained from the behavior and made a change. The rewards of the new behavior now outweigh the rewards of the old behavior. The old behavior has been extinguished. The officer will stress the importance of supports in the community that the offender can turn to when trouble arises. Through communications with the offender and capable guardians, the officer will reinforce the milestones attained to ensure maintenance. The officer will be prepared to support the offender through events that could lead to a lapse or relapse.

Some techniques that can be utilized with offenders in the maintenance stage include:

- Helping the offender identify and sample new pro-social behaviors
  - Supporting lifestyle changes
  - Affirming the offender's resolve and self-efficacy
  - Helping the offender practice and use new coping strategies to avoid a return to criminal behaviors
  - Maintaining supportive contact
  - Developing a plan if the offender resumes criminal behavior
  - Reviewing long-term goals with the offender
6. An offender may experience a lapse, which can be a one-time event or a series of mishaps. A prolonged period of return to problem behavior is considered a

**relapse.** A lapse does not mean the offender has failed or that a complete relapse is inevitable. Each slip requires care and attention to its causes and the development of a plan to address the people, places, or situations that triggered the slip.

Some techniques that can be utilized with offenders in the relapse stage include:

- Helping the offender reenter the change cycle and commend any willingness to reconsider positive change
- Exploring the meaning and reality of the recurrence as a learning opportunity
- Assisting the offender in finding alternative coping strategies
- Maintaining supportive contact

An offender's stage of change in reference to a given criminogenic need is a responsivity issue and when accurately identified and addressed (EBP Principle #2) can lead to more successful change outcomes. Responsivity is a Principle 3 consideration. Information regarding the offender's current stage of change, basis for the determination and techniques being used to progress forward will be documented in the case notes.

Research has shown that the following elements of motivational interventions are most effective in moving offenders toward positive change:

- The FRAMES approach (detailed below)
- Decisional balance exercises
- Creating discrepancies between personal goals and current behavior
- Flexible pacing (allowing offenders to move through stages at their own pace)
- Frequent contact with offenders who are not in the action stage of change

The **FRAMES** approach to motivational interactions uses the following elements:

- **F**eedback regarding personal risk or impairment is given to the offender following assessment of criminogenic patterns and associated problems
- **R**esponsibility for change is placed squarely and explicitly on the offender
- **A**dvice about changing criminogenic behavior is clearly given to the offender in a nonjudgmental manner
- **M**enus of self-directed change options and alternatives are offered to the offender
- **E**mpathetic interventions (showing respect and understanding) is emphasized
- **S**elf-Efficacy or optimistic empowerment is created in the offender to encourage change

## **CHAPTER TWO**

### **GETTING STARTED**

The orientation process will include a structured interview focusing on the offender's crime and the motivators for the criminal behavior. The offender will be advised of the expectations of supervision and will be encouraged to discuss with the officer his or her own goals for the supervision period. The officer will discuss with the offender the importance of pro-social support and will assist the offender to identify possible capable guardians. The orientation interview will be conducted within 15 working days of the offender being received for supervision.

This orientation process affords the supervising officer the opportunity to begin developing rapport with the offender and to begin discussing strategies for successful completion of supervision. The officer should begin to ascertain the offender's readiness to change, begin to encourage and develop open communication, and provide any educational material that could help to move the offender forward in the change process. Tools such as the URICA and/or SOCRATES may be useful during this time to engage the offender in a self-evaluation of their readiness to change.

For offenders transitioning from a period of incarceration, the supervising officer will review all continuums of care processes and determine if the offender has been involved in a wraparound services team or reentry project. All institutional re-entry plans will be reviewed and considered for inclusion in the transition plan.

#### **ADULT OFFENDER STANDARDIZED ASSESSMENT (AOSA)**

EBP Principle #1 is to assess actuarial risk and need. In order to maximize the predictive accuracy of the assessment process, it is necessary to evaluate on domains most relevant to the criterion, review a number and variety of risk factors, and conduct multi-method assessments.

The LSI-R is conducted using a semi-structured interview, which involves set-up, information gathering, and closing. This framework provides guidelines that set the general course of the interview without confining the officer to an exact set of verbatim questions. It allows the officer the freedom to gather information from offenders using motivational interviewing. This semi-structured interview technique helps officers gather and process information quickly, accurately, and completely.

The officer will examine the criminal history records in conjunction with a review of an existing assessment, or prior to the initiation of the Adult Offender Standardized

Assessment (AOSA) process. The LSI-R interview usually takes place in the probation office or the county jail. Both locations create an intimidating environment for the offender and can cause anxiety that may lead to defensiveness. To overcome, or at least attempt to overcome this initial handicap, the interview setting must be made as non-threatening as possible. Officers can create a favorable private interview environment by taking steps to minimizing distractions such as phone calls or interruptions from co-workers. This reinforces the importance of the interview. The LSI-R interview should not be conducted during the orientation stage of supervision. Research supports the finding that as rapport improves between the officer and the offender, the offender's defensiveness is reduced and the quality and validity of the information provided to the officer increases, thus enhancing the effectiveness of the interview.

A critical feature of a successful interview is the manner in which the officer communicates with the offender. EBP Principle #2 is enhancing intrinsic motivation. Motivational interviewing has proven to be a communication style that not only helps the officer to reduce the offender's defensiveness but also improves the information exchange. This less intimidating approach to offender-officer interaction permits the offender to be more open to discussing criminogenic issues.

The following six steps are utilized to accomplish the AOSA:

**Step 1. Set-up** - The purpose of the interview set-up is to lessen the offender's anxiety and defensiveness. There are three steps in this process. First, explain the purpose of the interview in general and positive terms. This helps to establish an amicable climate for the meeting as well as for subsequent interactions. Next, inform the offender that multiple sources will be used to verify the information obtained during the interview. Finally, if the offender is interested, the officer will provide him with normative feedback (EBP Principle #8) on the assessment and how he compares to a standardized group. Providing feedback will assist in developing the discrepancy between where the offender is and where he thinks he is in order to move him through the stages of change.

While gathering information, the officer learns about the immediate circumstances of the offender's life that would indicate criminogenic needs. The interview is arranged to move from general impersonal questions to more specific personal issues. The information gathering stage also yields the opportunity to explore with the offender the identified areas of criminogenic needs. It is also used to help to identify the offender's stage of change in relation to each need and to enhance the offender's intrinsic motivation to change. When the officer is reasonably satisfied that he has collected all of the information necessary to score the LSI-R, he should conclude the interview.

**Step 2. ASUS** - The ASUS is a self-administered assessment. However, prior to initiating the assessment, the officer must carefully explain the guidelines for completing each section. The offender completes the ASUS while the officer

manually obtains a preliminary score for the LSI-R using the “Data Entry Sheet.” The results of the ASUS will be entered into EZAssess.

**Step 3. Compare Information** – Particular sections of the LSI-R and the ASUS correlate with one another. Therefore, the officer will examine the LSI-R and the ASUS for discrepancies which should be explored with the offender.

**Step 4. Close Out** – This step includes utilizing magic questions (questions that are geared to make the offender consider change in reference to his/her criminogenic need), addressing any hot cognitions (thoughts or ideas revealed during the interview that are pressing, important, and require some form of decision or action), and providing feedback (impersonal, non-judgmental, and recognizes the offender’s individuality). Feedback provided in a motivational style enhances commitment to change and improves outcomes.

**Step 5. Verify information from assessments** – The information gained during the LSI-R interview must be verified. Verification includes review of the criminal records check previously obtained. Suggestions for additional collateral verification can be found in the AOSA interview and scoring guide. Once verified, the LSI-R interview information is entered into the EZAssess program for automated scoring.

**Step 6. EZAssess** – EZAssess is a web-based program developed to score both the LSI-R and ASUS, provide certain quality assurance functions, and to serve as a repository for information obtained during the assessment process. It is imperative that all data be verified prior to entry and that the information be entered accurately. Once the officer has entered the information into this system, there is a 48-hour window to edit. The EZAssess system drives placement into the transition modules and inaccurate information will result in false placements and inappropriate use of resources.

## **PROGRAMMATIC MODULES**

If the sentencing court has ordered special conditions that were not identified by the LSI-R, the supervising officer shall require the offender to submit to a specific assessment to evaluate need in the ordered area. This referral will be made during the offender orientation, or as soon as the officer has knowledge of the order. If the assessment indicates a programmatic need, the offender will be placed into the appropriate programmatic module. If the assessment indicates no treatment need, the court shall be advised and supervision will be terminated.

### **Employment Module**

Stable and satisfying employment is a primary component of socialization and provides a source of social bonding. Employment stability depends on the pro-social rewards received. Lack of consistent employment indicates a higher risk for criminal behavior. Because of this, the employment module serves as a protective factor for an offender.

Mandatory placement in this module is driven by the scoring of LSI-R elements 12 (Frequently unemployed) and 13 (Never employed for a full year). These elements reflect an offender's difficulty in maintaining stable and satisfying employment. The officer will review the reason for the offender's inability to keep a job. The officer should be able to articulate how the offender's explanation relates to the "Big 6" predictors of criminal behavior:

- Poor self-control skills (as demonstrated in criminal history)
- Alcohol or other drug (AOD) use
- Pro-criminal attitudes, values, and beliefs
- Pro-criminal peers
- Poor family support relationships
- Callous personality

Optional placement in the employment module requires review of LSI-R elements 11 (Currently unemployed), 18 (Participation and performance), 21 (Problems), and 22 (Reliance on social assistance). This review should focus on offender behaviors or circumstances that caused these elements to score and how the behaviors are connected to the "Big 6." One way to accomplish this is to search for antecedents and consequences of the scoring behaviors. Antecedents are sometimes referred to as "triggers" or "cues", which may be people, places, items, or thoughts. Consequences are rewards or costs associated with the behavior. Rewards increase the likelihood the behavior will be repeated whereas costs decrease the likelihood the behavior will be repeated.

If LSI-R element 11 scores, the officer will determine why the offender is currently unemployed and consider the relationship between the unemployment and current motivators for involvement in the criminal behavior. If element 18 scores and the offender is currently employed consider why it scored. It may have scored because of the offender's attitude toward work in general or towards the current job in particular. It may have scored because of anger management issues or AOD use. If the offender also scored on element 12, 13, or 14, consider how the offender's attitudes, values, and beliefs impact the scoring of these elements. Consider how these elements and behaviors interrelate. If element 21 or 22 scores, review the criminogenic implication.

### **Education Module**

Academic achievement provides stability and reduces the likelihood of continued criminal activity.

Placement in the education module is predicated on the scoring of LSI-R elements 15 (Less than regular grade 10) or 16 (Less than regular grade 12) scoring in combination with one or more of elements 10, 11, 12, 13, 14, and/or 17. The officer should first consider the level of education completed by the offender and how this level relates to

the offender's involvement in criminal behavior. The officer will consider how additional education would help reduce the offender's likelihood to re-offend.

### **Substance Abuse Module**

Substance abuse facilitates or instigates criminal behavior, erodes significant pro-social bonds resulting in increased criminal risk, interferes with protective factors created through work or school, and is associated with poor self-regulation skills and long-term health problems. Mandatory placement occurs when LSI-R element 39 (Alcohol problem, currently) or 40 (Drug problem, currently) and 41 (Law violations) score. The officer should understand how the offender's personal consumption of AOD relates to the law violation which prompted the scoring of element 41.

Optional placement in the substance abuse module could follow a review of the relationship between either LSI-R element 39 or 40 and any of the elements 42 through 45. The officer must determine whether or not the relationship is criminogenic for the offender. If not criminogenic, criminal justice resources should not be used to provide treatment.

### **Cognitive – Mental Health Module**

Severe emotional and cognitive problems interfere with an individual's ability to cope with life's stressors and can significantly increase the risk of criminal behavior. Mild anxiety and mild depression can interfere with an individual's ability to appropriately respond to occupational, social, and psychological stressors. Offenders exhibiting symptoms of mental illness may need immediate professional intervention. Mandatory placement in this module follows the scoring of LSI-R elements 47 (Severe interference, active psychosis) or 50 (Psychological assessment indicated).

Optional placement may be warranted by the scoring of LSI-R element 46 (Moderate interference) or 49 (Mental health treatment, present). As with optional placement in other modules, the officer will be able to articulate how the elements are criminogenic for the individual offender before placement occurs.

### **Cognitive – Anger Management Module**

Conflict resolution through personal acts of aggression and violence is a cognitive distortion reflective of poor self-regulating skills, non-consequential thinking, and poor decision-making.

Placement in this module is predicated on the scoring of a combination of several LSI-R elements: 8, 9,10,14,17, 19, 20, 23, 36, 42, 43, 51, 52, 53, and 54. While it is unlikely an offender would be placed in this module for scoring on any of the elements individually, it is important for the officer to look for common antecedents to and consequences of the behaviors that caused the elements to score. The identification of

these common "triggers" and rewards/costs could be cause for placement in the module.

### **Cognitive – Behavior Enhancement**

Cognitive interventions are based on the theory that how people think determines how they act and that all people are capable of changing their thought processes and, thereby, their behaviors. Thinking errors can be the result of attitude, lack of motivation, or social skills.

Placement in the Behavioral Enhancement module is prompted when any of the following LSI-R elements score: 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 12, 13, 14, 15, 16, 33, 34, 39, 40, and 51. This is not intended to be a catch-all module. The elements listed represent behaviors possibly caused by thinking errors which, if changed, should reduce the offender's likelihood of continued involvement in the criminal behavior.

### **NEGOTIATING THE TRANSITION PLAN**

It is the blue print for building character, promoting pro-social behavioral change, and reducing the likelihood of the offender's continued involvement in a criminal lifestyle. Negotiating (EBP Principle 2) a plan engages offender participation and results in higher rates of compliance. The transition plan outlines responsibilities for the officer as well as the offender for accomplishing the desired behavior. Ultimately, however, the responsibility for making a lifestyle change is up to the offender.

### **How to Negotiate the Plan**

COMIT, through retrieval of LSI-R elements, will identify the programmatic modules most likely to address the criminogenic need(s) of each offender. Optional programmatic module placement occurs only when the supervising officer determines that the need is criminogenic for that offender. (4-APPFS-2A-06) COMIT is a tool to assist the officer in identifying offender need areas. COMIT identifies mandatory modules and modules that are recommended but not mandatory.

During the feedback portion of the AOSA (EBP Principle #8), the officer and the offender discuss criminogenic issues and problem behaviors identified during the LSI-R interview (EBP Principle #1 & #2). The officer will acquire knowledge of the offender's stage of change for each problem behavior and gauge the offender's readiness to change. The officer will anticipate areas of offender resistance and develop appropriate strategies for diffusion. The officer and the offender will consider possible roadblocks to successful engagement in the transition plan and make a list of ways the roadblocks can be removed or lowered. The list should become a part of the transition plan file. (4-APPFS- 2A-09)

The officer will identify the items to be negotiated during the development of the transition plan. By developing a tentative plan, the officer makes mental or written notes on important transition plan issues (i.e., possible interventions, how to deal with

anticipated areas of resistance, and strategies to deal with areas requiring compromise). (4-APPFS-2A-08)

### **Non-negotiable Issues**

The officer will consider non-negotiable issues, such as:

- Dictates of the law
- Standard rules of probation/parole
- Institutional/residential rules
- Court-ordered conditions
- Behavior that poses a threat to the client or others

### **Negotiation Process**

- State the purpose of the transition plan
- Find areas of agreement
- Reframe areas of disagreement
- Reality check

## **DEVELOPING THE TRANSITION PLAN**

Upon completion of negotiation and consideration of the offender's stage of change in his/her various criminogenic need areas, the transition plan is developed. EBP literature suggests the following four items must be addressed in the development of an effective transition plan:

- Problem Statement
- Behavioral Objective
- Offender Action Steps
- Officer Action Steps

**Problem Statement** - The problem statement addresses the identified criminogenic need(s) and includes:

- Antecedents to the behavior
- The undesirable behavior
- The offender need being served by that behavior (rewards)
- The undesirable results for the offender (costs)

Problem statements should be behaviorally based and measurable.

**Behavioral Objective** - The behavioral objective specifies what alternative behavior the offender will use. In developing objectives, the officer will consider the offender's abilities and skill level.

**The supervision process is dynamic. Transition plans should accurately reflect supervision realities and must remain dynamic as well. (4-APPFS-2A-11)**

### **Finalizing the Transition Plan**

Offenders are also required to meet certain responsibilities ordered by the court. While EBP indicates that outcomes are linked to the offender's addressing criminogenic needs, these needs cannot be addressed if the offender is incarcerated for failing to comply with court ordered conditions. Prioritizing is a difficult task and includes examining the different responsibilities, placing them in order of importance.

The officer should explain his/her support role, review supervision requirements, and discuss the transition plan. The officer will utilize this opportunity to observe indicators of the offender's life-style including use of time, social needs, and family support structure.

# CHAPTER THREE

## OFFICER ACTION STEPS

### ACTION STEPS FOR MODULES

#### *Employment Module*

During every interaction, the officer will review the negotiated activities included in the transition plan, discussing and documenting the following suggested items: (4-APPFS-2A-10. 4-APPFS-2D-02)

- Gauge the offender's current stage of change
- Interact with family/community resource(s) to solicit/maintain assistance and support from these capable guardians
- Review the offender's access to such basics such as clothing, transportation, hygiene items, child care, etc., to support full-time employment
- Listen and elicit change talk
- Provide positive feedback and encouragement
- Review employment contacts and applications
- Help offender with resume
- Involvement in job readiness workshop
- Program involvement
- Identify and remove new barriers that hinder progress, modifying action steps as needed
- Apply incentives or sanctions as appropriate

#### *Education Module*

During every interaction, the officer will review the negotiated activities included in the transition plan, discussing and documenting the following suggested items: (4-APPFS-2D-03)

- Gauge the offender's current stage of change
- Interact with family/community resource(s) to solicit/maintain assistance and support from these capable guardians
- Review the offender's access to financial aid, supplies, transportation, childcare, etc., to support additional education
- Discuss attendance and progress in educational classes
- Provide positive feedback and encouragement
- Reinforce the value and importance of educational advancement in relation to the offender's goal(s)
- Identify and remove new barriers that hinder progress, modifying action steps as needed

- Apply incentives or sanctions as appropriate

### **Substance Abuse Module**

During every interaction, the officer will review the negotiated activities included in the transition plan, discussing and documenting the following suggested items:

- Gauge the offender's current stage of change
- Interact with family, treatment providers, and community resource(s) to solicit/maintain assistance and support from these capable guardians
- Review the offender's access to adequate finances, transportation, childcare, etc., to support treatment participation
- Discuss attendance and progress in substance abuse education or treatment
- Provide positive feedback and encouragement
- Reinforce the value and importance of abstinence in relation to the offender's goal(s)
- Identify and remove new barriers that hinder progress, modifying action steps as needed
- Apply incentives or sanctions as appropriate

### **Cognitive – Mental Health Module**

During every interaction, the officer will review the negotiated activities included in the transition plan, discussing and documenting the following suggested items: (4-APPFS-2A-10, 4-APPFS-2E-10)

- Gauge the offender's current stage of change
- Review the continuum of care plan with family, treatment providers, and community resource(s) to solicit/maintain the support of these capable guardians
- Review the offender's access to adequate finances, transportation, childcare, etc., to support treatment participation
- Discuss attendance and progress in mental health treatment
- Provide positive feedback and encouragement
- Emphasize the necessity of following the prescribed medication regimen
- Reinforce the value and importance of abstinence from self-medication
- Review the continuum of care with offender and provider
- Identify and remove new barriers that hinder progress, modifying action steps as needed
- Apply incentives or sanctions as appropriate

### **Cognitive - Anger Management Module**

During every interaction, the officer will review the negotiated activities included in the transition plan, discussing and documenting the following suggested items: (4-APPFS-2A-11, 4-APPFS-2E-10)

- Gauge the offender's current stage of change
- Interact with family/community resource(s) to solicit/maintain assistance and support from these capable guardians
- Review the offender's access to finances, transportation, childcare, etc., to support program participation
- Discuss attendance and progress in treatment
- Provide positive feedback and encouragement
- Reinforce the value and importance of treatment goals in relation to impulse control
- Identify and remove new barriers that hinder progress, modifying action steps as needed
- Apply incentives or sanctions as appropriate

### **Cognitive - Behavioral Enhancement Module**

During every interaction, the officer will review the negotiated activities included in the transition plan, discussing and documenting the following suggested items: (4-APPFS-2E-01)

- Gauge the offender's current stage of change  
Interact with family/community resource(s) to solicit/maintain assistance and support from these capable guardians
- Review the offender's access to finances, transportation, childcare, etc., to support program participation
- Discuss attendance and progress in educational intervention
- Provide positive feedback and encouragement
- Reinforce the value and importance of recognizing thinking errors, improving self-control skills, and modifying non-consequential thinking
- Identify and remove new barriers that hinder progress, modifying action steps as needed
- Apply incentives or sanctions as appropriate

## **SECTION TWO**

### **INCENTIVES, INTERVENTIONS, AND SANCTIONS (4-APPFS-2E-01)**

The officer shall initiate appropriate response to significant offender actions, positive and negative. Positive reinforcements with the offender will be utilized at a higher ratio than negative reinforcements. Responding to offender behavior may be accomplished individually by the officer or through the use of a staffing. Officer discretion is imperative for an appropriate response to offender behavior. In selecting the response, whether

an incentive or sanction, the officer needs a clear understanding of the offender's behavioral objectives as addressed in the transition plan and his/her current position in the stages of change.

**Research indicates higher successful outcomes result the ratio of incentives to sanctions is 4:1.**

The most effective incentives and sanctions are:

- **Timely** – the reinforcement should occur as closely as possible to the behavior to be reinforced or extinguished
- **Proportionate** - the incentive or sanction should be balanced and increasingly progressive
- **Consistent** – the behavior(s) should be acknowledged and reinforced or sanctioned each time it occurs
- **Individualized** – the incentive or sanction should be meaningful to the offender and appropriate for the behavior exhibited

### **Incentives**

Offenders need clear rules that are consistently and swiftly enforced with appropriate responses. Increasing positive reinforcement is the fifth principle in EBP. For offenders, positive reinforcement helps insulate, protect, and motivate them as they work on internalizing pro-social behaviors. Positive reinforcement effectively supports EBP Principle four (skill training with directed practice) and principle six (engage ongoing support from natural communities). The more instances of positive reinforcement, the more effective the total approaches to combating re-offending. Incentives are actions used by an officer to immediately reinforce positive offender behavior and compliance.

Awarding of one or more incentives may be warranted by offender behaviors such as:

- Compliance with rules and conditions
- Accomplishing benchmark(s) of transition plans/programmatic modules
- Successful completion of optional supportive programming

Each district will develop incentives and implement a process to award them.

**Offenders who reach major milestones along the path of behavior change should receive significant positive reinforcement. These rewards shape offender behavior.**

### **Interventions and Sanctions**

Interventions and sanctions are tools used by officers to respond to an offender's behavioral lapse or relapse. Interventions are specific actions an officer takes in an effort to modify the offender's behaviors. The officer will employ appropriate behavior-targeted responses that are swift, consistent, and proportionate to the action. Corrective responses that influence the behavior of offenders in the community serve as an effective alternative to probation acceleration/revocation to prison or parole revocation without compromising public safety. The offender must be aware there are consequences to non-compliant behavior. The officer's response should redirect the offender to positive behaviors. The consequences should be only coercive enough to be meaningful to the offender and to move him into compliant behavior.

**When violations occur, alternatives to revocation and incarceration will be considered and utilized to the extent that public safety allows. (4-APPFS-2B-11)**

### **Awarding of Incentives**

Incentives within an officer's discretion include, but are not limited to:

- Positive recognition such as letters, certificates, or phone calls
- Verbal affirmations
- Acknowledgment of birthdays and special events (sobriety)
- Decreased reporting requirement
- Reduction of previously imposed sanction

As offender behavioral objectives are attained, certain benchmarks warrant recognition by the immediate supervisor as well as by the supervising officer. If the offender is involved in treatment, the treatment provider should also be invited to participate. Incentives requiring a staffing with the offender, the officer, and the immediate supervisor include, but are not limited to:

- Recommendation for modification of conditions
- Positive recognition such as letters, certificates, or phone calls
- Offender Hall of Fame (display of photographs, news articles)
- Give-Aways
- Advance/Statutory termination of supervision
- Waiver/reduction/refund of supervision fees
- Recommendation to district supervisor for advance/statutory termination of supervision
- Special report to the court recommending case dismissal or modification of supervision requirement

### **Imposition of Interventions and Sanctions**

Interventions and sanctions within an officer's discretion include, but are not limited to:

- Verbal admonishment
- Curfews
- Itineraries
- Travel restrictions

Some behaviors are serious enough to justify a staffing, a meeting with the offender, the supervising officer, and the immediate supervisor. If the offender is involved in treatment, the treatment provider should also be invited to participate.

The immediate supervisor is involved because the offender's non-compliant behavior is escalating and because the interventions and sanctions are more restrictive and may involve liberty interests. Interventions and sanctions requiring a staffing include, but are not limited to:

- Modification of supervision fees
- Recommendation to the sentencing/releasing authority for additional conditions
- Day reporting or other structured activities
- Modification of action steps of the transition plan
- Written warning, letter of concern, or letter of reprimand
- Continued supervision in lieu of statutory termination
- Violation report with recommendation of acceleration or revocation to jail/prison

## **SECTION THREE**

### **MODULE MOVEMENT AND COMPLETION**

Action steps may need to be modified as a result of:

- Offender change has occurred
- Offender change has not occurred
- Offender's circumstances have changed
- Other responsivity issues have developed
- Lapse or a relapse
- Successful completion of benchmarks

Movement from one module to another may occur as a result of successful completion of the currently assigned module. If the transition plan has consecutive modules requiring completion, the offender would move on to the next (most salient) module. If the offender has the ability, multiple modules may be assigned simultaneously. Upon module completion, the supervising officer will ensure the assigned modules are closed in the COMIT system.

When an offender has satisfied all requirements within an assigned module, the officer will review the negotiated transition plan and the offender's risk level. If additional module placement is warranted based upon identified criminogenic need factors and LSI-R element scoring criteria, the offender may be placed in an additional module. (4-APPFS-2A-11)

## **CHAPTER FOUR**

### **COMMUNITY RESOURCES AND PARTNERSHIPS**

To support the comprehensive management of offenders, district supervisors will ensure officers have knowledge of available community resources and maintain contact with agencies (EBP Principle #6: Engage on-going support in the community) providing treatment, education, employment, health education, financial, housing and leisure activity-related services. (4-APPFS-2D-01) Officers shall maintain contact with employment agencies and local businesses to obtain information and create job opportunities for offenders. (4-APPFS-2D-02)

Building community partnerships is an important component of the NIC/CJI integrated model of implementing effective correctional management of offenders in the community. (4-APPFS-1A-01) Collaboration with external stakeholders is crucial to sustaining long term commitment to the model. (4-APPFS-1A-02) In keeping with EBP Principle #3 resources, must be matched to individual risk, need, and responsivity. Community treatment providers must be aware of and offer programs consistent with EBP Principle #4: Skill train with directed practice. (4-APPFS-1A-03)

**Offenders are eligible to receive services through a cooperative agreement with the Department of Mental Health Substance Abuse Services (DMHSAS). Treatment providers must be identified from the DMHSAS Special Population Treatment Unit (SPTU) Providers.**

**Indigent offenders (both probation and parole) are eligible to receive services in accordance with OP-160901 entitled "Parole Treatment, Sanctions, Warrants, Revocations and Intermediate Sanctions."**