

# Equipping Supervisors with Tools to Thrive in a Risk-Reduction Environment

**OJDDA Conference  
Participants' Manual**

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## Criminogenic Need Preferred Response Guidelines – Version Two

*Items listed in the table are for illustration only and would need to be tailored to the local jurisdiction*

### Anti-Social History

| Preferred Response  | Description   |
|---|---|
| <ul style="list-style-type: none"><li>• Electronic monitoring</li><li>• Day reporting</li><li>• Curfew</li><li>• Community service</li><li>• Carey Guides: Violence and lethality, Dosage and intensity, or Responding to violations</li><li>• Structured time calendar</li></ul> | <p>Offenders' past behavior is not changeable and is therefore a criminogenic risk rather than a criminogenic need (which is changeable). However, past behavior is a powerful predictor of future behavior and provides important insight into degrees of risk and criminogenic needs. If offenders began committing illegal acts when they were very young, have a persistent pattern of delinquent/criminal behavior, have a high number and variety of offenses, and/or have absconded, been revoked, or had new offenses while under supervision, they are at a greater risk of recidivism. If, however, offenders have cooperated when under supervision, followed the rules, and possibly been discharged early for good conduct, or if offenders' current offenses were triggered by destabilizing situations rather than being part of persistent patterns, they are at a lesser risk of recidivism.</p> |

### Anti-Social Beliefs and Values

| Preferred Response  | Description  |
|---|--|
| <ul style="list-style-type: none"><li>• T4C</li><li>• MRT</li><li>• Carey Guides: Anti-social thinking, Moral reasoning, Drug dealers</li><li>• Thinking report</li></ul> | <p>Offenders are more likely to recidivate if their attitudes and beliefs justify harmful behaviors that result in illegal activities. These attitudes include minimizing the consequences of their actions, blaming others, exerting control and power over others, projecting a sense of entitlement, and displaying egocentrism. Offenders with attitudes that put them at risk for illegal behavior often view the world as being unfair, which leads them to rationalize stealing or hurting others, or they believe that "it's a dog eat dog" world, where only the strongest survive. Offenders who do not engage in justifications or make excuses for their behavior, who respect the justice system and think that it is mostly fair, and who regret their past illegal behavior are more likely to avoid crime.</p> |

## Anti-Social Peers

| Preferred Response  | Description   |
|---|---|
| <ul style="list-style-type: none"><li>• T4C</li><li>• MRT</li><li>• Guns and Gangs CBT</li><li>• Carey Guides: Anti-social peers, Engaging prosocial others</li><li>• Referral to YMCA/YWCA</li></ul> | <p>Associates and peers can have a significant influence on offenders' behavior. Prosocial companions can discourage illegal behavior and reward prosocial conduct, while antisocial companions can both encourage criminal/delinquent conduct and reward it. Having meaningful relationships with prosocial associates and peers reduces the likelihood that individuals will commit illegal acts. Offenders with many antisocial companions are more likely to remain entrenched in a life of crime or delinquent behavior.</p> |

## Anti-Social Personality, Temperament, and Regulation Skills

| Preferred Response   | Description   |
|--|---|
| <ul style="list-style-type: none"><li>• ART</li><li>• CALM</li><li>• T4C</li><li>• Moving On</li><li>• Life Skills</li><li>• Carey Guides: Empathy, Anger, Problem solving, Interpersonal skills</li></ul> | <p>Many higher-risk offenders are impulsive and take risks, acting with little thought of the consequences. They can be impatient, easily bored, and easily angered, and they are poor problem solvers. As a result, their lives are frequently unstable and they tend to do things that harm others. For these offenders, their personality pattern is a criminogenic need. On the other hand, offenders who have self-management skills think before acting, consider the consequences of their actions, and are good problem solvers are at a lesser risk to reoffend.</p> |

## Family Conflict and Lack of Support

| Preferred Response  | Description  |
|---|--|
| <ul style="list-style-type: none"><li>• Teaching Family Model</li><li>• Springboard</li><li>• Carey Guides: Involving families, Overcoming family challenges, and</li></ul> | <p>Family members or intimate partners can be sources of a criminogenic need for offenders if</p> <ul style="list-style-type: none"><li>• their relationships with offenders are marked by high levels and protracted periods of stress and conflict (e.g., tension, arguments, physical, sexual, or emotional abuse);</li></ul> |

Intimate family violence

- there is neglect and avoidance (e.g., individuals do not feel cared for or supported); or
- family members and intimate partners engage in illegal or otherwise destabilizing behaviors or support antisocial attitudes.

For youth, family could be additionally problematic if the custodial parents provide little supervision or are harsh or inconsistent in their discipline. On the other hand, family and intimate partners can be strengths if they are readily accessible, emotionally and physically supportive, warm, encouraging, engaged, interested in offenders' well-being, prosocial role models, and accountable to one other.

## Substance Abuse

| Preferred Response   | Description   |
|--|---|
| <ul style="list-style-type: none"><li>• Janus Outpatient</li><li>• Langer MH</li><li>• Carey Guides: Substance abuse, Co-occurring disorders, Impaired driving, and Meth users</li><li>• AA/NA</li></ul> | <p>Offenders who have substance abuse disorders are at a higher risk to recidivate than offenders who do not. The instability that tends to result from substance abuse weakens ties with prosocial families, intimate partners, and friends and often encourages ties with antisocial people. The instability also makes it difficult to pursue education or maintain employment. Without a legitimate source of income, offenders may turn to illegal behavior. The tendency of substance abusers to become impulsive and erratic and to do things under the influence that they might not do if they were sober or straight further increases the chances that they will reoffend. In addition, the use of certain drugs and the underage use of alcohol are illegal behaviors in and of themselves.</p> |

## Lack of Educational and Employment Achievement

| Preferred Response  | Description   |
|---|---|
| <ul style="list-style-type: none"><li>• Workforce Center</li><li>• Leppe Learning Center</li><li>• Carey Guide: Reentry</li></ul> | <p>Offenders who are successfully involved in school or employment recidivate less often than offenders who are not. If offenders go to school and view education as important, or if they have stable employment and take satisfaction in their work, they will have the opportunity to develop social and life skills that can help them succeed, nurture relationships with prosocial associates and peers, foster prosocial attitudes and beliefs, and garner the resources to support themselves and their families. On the other hand, offenders who lack education or stable, legal employment have a great deal of unscheduled time which they often spend with antisocial associates and peers. They frequently turn to illegal behavior as a quick and easy way to get money.</p> |

## Lack of Appropriate Leisure Outlets

| Preferred Response  | Description  |
|---|--|
| <ul style="list-style-type: none"><li>• YMCA/YWCA</li><li>• Carey Guide: Prosocial leisure activities</li></ul> | <p>If offenders spend their free time engaged in rewarding activities with prosocial people, they are likely to learn positive skills, attributes, and ways of thinking, such as cooperation, self-control, and problem solving, that can help them succeed in life. Offenders who have a great deal of unstructured free time are more likely to associate with antisocial people and engage in illegal activities.</p> |

## Skill Audit (Direct Observation)

| Direct Observation Checklist   |       |                          |   |       |
|--|-------|--------------------------|---|-------|
| Performance Measure  | Notes | 3 = Exceeds Expectations |   |       |
|  |       | 2 = Meets Expectations   |   |       |
|  |       | 1 = Needs Improvement    |   |       |
|  |       | N/A = Not Applicable     |   |       |
| <b>Introduction/Session Preparation</b>  |       |                          |   |       |
| Greeted client   |       | 1                        | 2 | 3 N/A |
| Prepared for and organized the session well  |       | 1                        | 2 | 3 N/A |
| Controlled the learning conditions   |       | 1                        | 2 | 3 N/A |
| Reviewed what was discussed in previous session  |       | 1                        | 2 | 3 N/A |
| <b>Relationship and Communication (Rapport and Eliciting Change)</b>   |       |                          |   |       |
| Used good verbal communication skills (listened well, did not interrupt, reflected back, listened more than spoke)   |       | 1                        | 2 | 3 N/A |
| Non-verbal skills conveyed interest and respect (posture, physical gestures, facial expressions)   |       | 1                        | 2 | 3 N/A |
| Used motivational enhancement techniques (open-ended questions, affirmation, reflection, roll with resistance, avoid power struggles/argumentation, summarizing, increase ambivalence, elicit change talk) |       | 1                        | 2 | 3 N/A |
| Exhibited empathetic, warm, genuine approach; non-judgmental   |       | 1                        | 2 | 3 N/A |

|  |  |   |   |   |     |
|--|--|---|---|---|-----|
| When necessary, reduced tension  |  | 1 | 2 | 3 | N/A |
| Appropriately used authority (firm but fair, set boundaries, made rules clear when needed, did not lecture or threaten but gave choices)                   |  | 1 | 2 | 3 | N/A |
| <b>Effective Case Management Techniques<br/>(Emphasis on Criminogenic Needs, Case Plan Goals, and Behavioral Techniques)</b>                               |  |   |   |   |     |
| Focused on the most important issues (major criminogenic needs, especially the driver) and in proper sequence  |  | 1 | 2 | 3 | N/A |
| Established realistic session goals (addressed a limited number of key issues; worked to drive learning deep but was compatible with learning capacity)    |  | 1 | 2 | 3 | N/A |
| Increased skill building by demonstrating and teaching skills, role modeling, conducting practice session(s), giving feedback, and providing encouragement |  | 1 | 2 | 3 | N/A |
| Reinforced self-efficacy (demonstrated that offender has or can acquire tools to successfully change)  |  | 1 | 2 | 3 | N/A |
| <b>Appropriate Use of Rewards and Sanctions</b>  |  |   |   |   |     |
| Rewarded prosocial attitudes/behaviors appropriately through affirmation and other means; 4:1 ratio  |  | 1 | 2 | 3 | N/A |
| When appropriate, provided incentive(s)  |  |   |   |   |     |
| Expressed disapproval for anti-social attitudes/behaviors; corrected/redirected without shaming  |  | 1 | 2 | 3 | N/A |
| When necessary, provided appropriate sanction(s)   |  | 1 | 2 | 3 | N/A |
| <b>Closing</b>   |  |   |   |   |     |
| Achieved goal of meeting   |  | 1 | 2 | 3 | N/A |
| Assigned homework appropriately  |  | 1 | 2 | 3 | N/A |
| Closed session with review of action steps, case plan, and expectations  |  | 1 | 2 | 3 | N/A |

| <b>NARRATIVE COMMENTS</b>                |  |  |
|--|--|--|
| Summary of areas mastered:               |  |  |
| Summary of areas in need of improvement: |  |  |
| Professional Development Plan:           |  |  |

## Professional Alliance Traits

Below are descriptions of those traits that make up an effective professional alliance aimed at reducing risk for reoffense. They constitute a compilation of research from Andrews, Bonta, Gendreau, Trotter, and Miller. Use these at staff meetings and during coaching sessions to help staff identify their alignment with these traits.

**Attentive:** Corrections professional's non-verbal communication is one of alertness including direct eye contact, head nods where appropriate, body leaning forward, etc. Is not easily distracted and when distraction occurs he/she quickly returns to the interview.

**Authentic:** Is honest and upright with comments and actions. Does not use manipulation or half truths in order to gain compliance. Says what he/she means and means what he/she says.

**Caring:** Genuinely cares for the offender. Is clear that he/she likes the individual as a person even if the behavior that landed the offender on probation was troubling. Wants what is best for the offender and communicates that effectively.

**Confident:** Is not wishy-washy about what he/she says. Knows the business of corrections and communicates it without hesitation or apology. Is comfortable saying "I don't know" but then will find out the answer if needed. Gives offender confidence in his/her knowledge and ability.

**Directive:** Is clear about what is expected and communicates these expectations with clarity. Leaves the offender with behavioral choices but is clear what the consequences will be for each choice acted upon. When there is no choice offered to the offender the rules are clearly articulated without apology.

**Empathetic:** Understands the offender's past and present circumstances and what is often an immense set of difficulties due to barriers and history. Does not accept misbehavior but can relate to how that behavior comes about. Recognizes that behavior is heavily influenced by internal and external conditions and that not all people have similar abilities and talents to overcome those circumstances requiring different interventions. Is non-judgmental, but does not excuse anti-social or criminal behavior or sympathize with it.

**Enthusiastic:** Is glad to see the offender and believes that behavioral change is possible. Discusses skills and information enthusiastically thereby encouraging engagement and hope on the offender's part.

**Flexible:** Is able to change the strategy as soon as there appears to be reason to do so. Does not get stuck on one approach when that approach is not working. Recognizes that offender circumstances often change and that case planning should change with it.

**Listens effectively:** Is highly attuned to the offender's words and non-verbal communication. Employs good motivational interviewing techniques to encourage the offender to speak candidly. Asks open ended questions and listens non-judgmentally.

**Optimistic:** Believes that the offender can change and communicates this belief with conviction. Provides the offender with some reason to try programs and techniques around behavioral change especially ones that stretches the comfort zone.

**Respectful:** Is mindful of the difficulty of being on probation and making behavioral changes. Respects the offender's time and effort. Treats the individual with dignity. Does not use name calling or talk about one's bad character. Focuses on the behavior, not the person. Uses manners and civility as if the individual was an acquaintance.

**Sense of humor:** Is able to enjoy interactions with offenders and make light of situations when warranted. Recognizes that humor can be used effectively to diminish stress, reduce conflict, and shed light on a subject.

**Strength based:** Knows the offender's strengths and encourages the offender to use them to accomplish goals and overcome barriers. Recognizes that strengths are often untapped because offenders don't always know how to transfer those strengths to deal with current problems. Is able to link the strengths to a current offender issue.

**Verbal:** Is able to communicate freely and with sufficient detail to provide comprehension and understanding. Does not speak in short utterances but comprehensively. This does not mean that the corrections professional dominates a discussion or is verbose. It means that he/she is capable of communicating effectively and provides sufficient context for true communication to occur.

## Professional Alliance

**Instructions:** In your groups read Interaction One and then identify what the officer did well and not well. Each of the traits under “Did Well” and “Did Not Do Well” are traits associated with effective relationship building.

| Interaction One   | Did Well   | Did Not Do Well  |
|---|--|--|
| <p>Ben (probation officer) and Jerry (offender)</p> <p>J: I had some trouble last week. I ran into some issues with the police.</p> <p>B: You had some trouble. What happened?</p> <p>J: I got into a fight with my wife and I took the car to my friend’s house. He wasn’t home and I was so pissed that I just drove as fast as I could and got pulled over.</p> <p>B: What happened next?</p> <p>J: I got a ticket for going 90 MPH in a 55 MPH zone.</p> <p>B: So, you got into an argument with your wife and felt frustrated so you drove too fast resulting in a ticket. Tell me about the encounter with the police officer. What was that like?</p> <p>J: It went fine. I was pretty mad at myself. I deserved the ticket, though I was secretly hoping he would give me a break. I was very cool headed. As soon as I saw the red lights I knew I had screwed up. I deserve what I got.</p> <p>B: Tell me about the argument</p> <p>J: It was stupid. We were fighting over her jealousy. She thought I leer at women and she keeps telling me that I am not faithful to her. I get so tired of her BS. I guess I just flipped.</p> <p>B: You are getting fed up with her jealousy and you flipped out. So now what? What do you want to do about this?</p> | <p>Attentive</p> <p>Authentic</p> <p>Caring</p> <p>Confident</p> <p>Directive</p> <p>Empathetic</p> <p>Enthusiastic</p> <p>Flexible</p> <p>Listens effectively</p> <p>Optimistic</p> <p>Sense of humor</p> <p>Strength based</p> <p>Verbal</p> | <p>Attentive</p> <p>Authentic</p> <p>Caring</p> <p>Confident</p> <p>Directive</p> <p>Empathetic</p> <p>Enthusiastic</p> <p>Flexible</p> <p>Listens effectively</p> <p>Optimistic</p> <p>Sense of humor</p> <p>Strength based</p> <p>Verbal</p> |

|  |  |  |
|--|--|--|
| <p>J: I don't know. I gotta do something. I have been messing up lately and it always seems to center around issues with my wife.</p> <p>B: You have made an important discovery here. You understand that your decision making tends to get messed up when you fight with your wife. That is a big step in and of itself. Can I offer you an observation?</p> <p>J: Sure</p> <p>B: You actually have a lot going for you. You coach your son's baseball team. You have told me how the parents of the other kids get on your case and how frustrated you are with them. But, you are very calm and hold back any harsh words or actions because you know that won't help. You actually do possess the skills to control yourself. How is it that situations with your wife cause a different response?</p> <p>J: I hadn't really thought about that before. I guess I do have the capability but I just haven't done it with her for some reason.</p> |  |  |
|--|--|--|

| Interaction Two  | Did Well  | Did Not Do Well   |
|--|---|---|
| <p>Bill (probation officer) and Hillary (offender):</p> <p>B: Hi Hillary. It is good to see you again. It has been four weeks hasn't it? I enjoy our discussions and am always glad when you come in to see me. Thanks for being on time. That means a lot to me.</p> <p>H: Thank. I actually don't mind these meetings either. They are much less painful than I thought they would be.</p> <p>B: I'm glad. Although today we need to talk about something a bit less enjoyable. You failed your last</p> | <p>Attentive</p> <p>Authentic</p> <p>Caring</p> <p>Confident</p> <p>Directive</p> <p>Empathetic</p> <p>Enthusiastic</p> | <p>Attentive</p> <p>Authentic</p> <p>Caring</p> <p>Confident</p> <p>Directive</p> <p>Empathetic</p> <p>Enthusiastic</p> |

|  |  |  |
|--|--|--|
| <p>drug screen. Are you aware of this?</p> <p>H: I guess so. I had hoped it would have been different.</p> <p>B: What do you mean?</p> <p>H: I had hoped that I was going to slide by on this one. I had one hit on a joint, knew I shouldn't do it and then stopped. I had hoped it would have not shown up on the test.</p> <p>B: You know that you can't do this, right? You leave me no choice. I can help you or I can make your life miserable. You are forcing me to take action on this.</p> <p>H: It was just one hit and then I stopped.</p> <p>B: Apparently you are not listening to me. I told you in the beginning that if you do this I would revoke your probation.</p> <p>H: I know but I just....</p> <p>B: Stop right there. I am not interested in excuses. I was clear and your behavior has spoken much more strongly than your words.</p> <p>H: Let me just say one thing. I have this friend that has been with me every time I mess up. I have been thinking about what you said in the past about my choices in friends and I realize that I need to change the people I hang around with.</p> <p>B: Too little, too late. Do what you have to do. But right now I need to start the revocation proceedings.</p> | <p>Flexible</p> <p>Listens effectively</p> <p>Optimistic</p> <p>Sense of humor</p> <p>Strength based</p> <p>Verbal</p> | <p>Flexible</p> <p>Listens effectively</p> <p>Optimistic</p> <p>Sense of humor</p> <p>Strength based</p> <p>Verbal</p> |
|--|--|--|

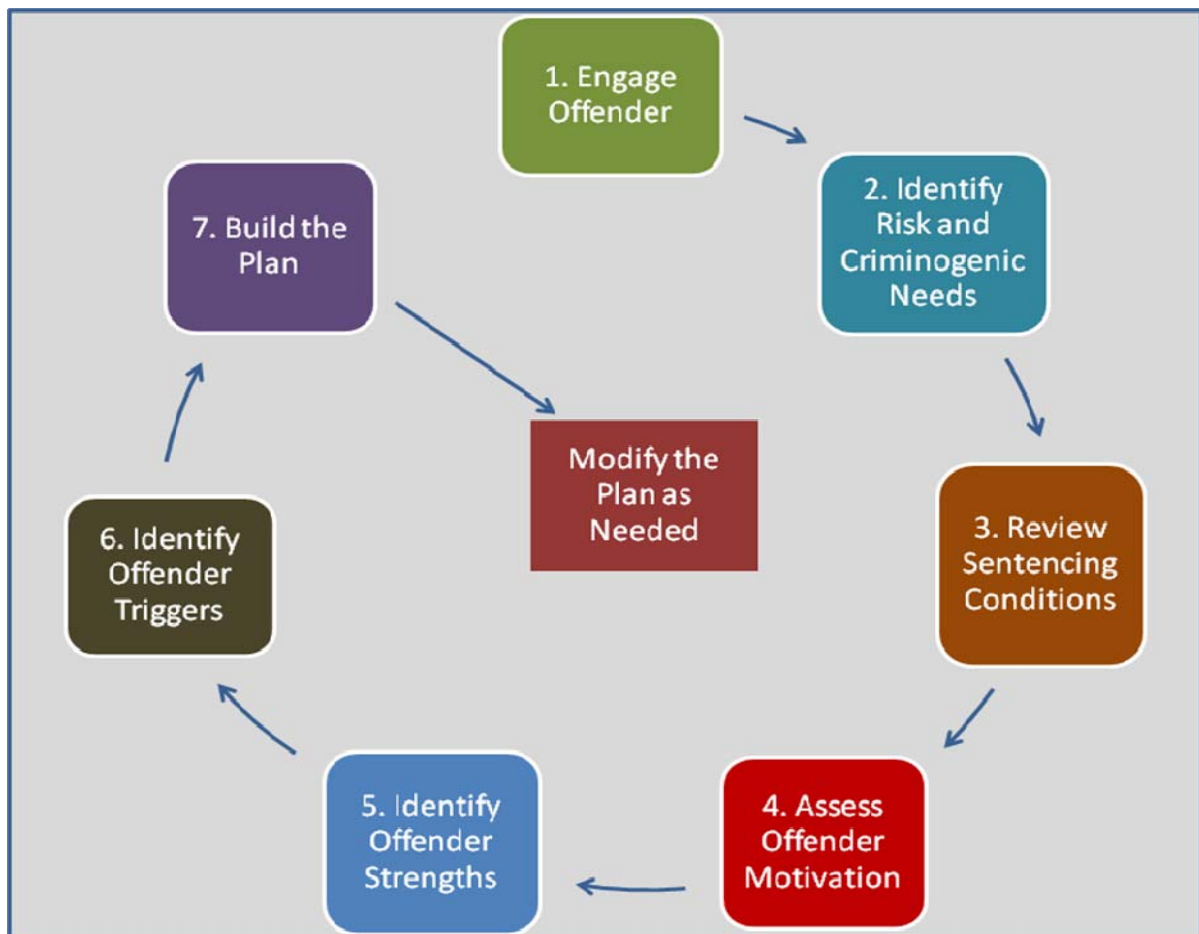
| Interaction Three   | Did Well   | Did Not Do Well  |
|---|--|--|
| <p>Bonnie (probation officer) and Clyde (offender)</p> <p>C: I need to talk to you about my treatment counselor. I really can't stand him. He is totally disrespectful and dismisses me every time I talk about my ADHD symptoms.</p> <p>B: OK. Tell me what happens.</p> <p>C: Well, we are supposed to role play in these groups and I really want to practice the stuff we are learning but when I am not in the role play I have a hard time just watching. I get impatient and distracted and then I am asked to make these observations and I can't really do it.</p> <p>B: So, you find it hard to do these role plays when you are an observer due to your ADHD. What do you tell the counselor?</p> <p>C: I tell him about how ADHD affects me and he just cuts me off and says that I should talk to physician about my ADHD about it but it is not his problem.</p> <p>B: I am glad you are discussing this with me. What do you need from me at this point?</p> <p>C: I hate to ask you to do this but can I get another counselor?</p> <p>B: You think changing counselors is the best solution?</p> <p>C: Yes, I mean, don't you?</p> <p>B: Well, it is certainly one way we can handle it. Are you open to other suggestions?</p> <p>C: Sure</p> <p>B: I'd like to go through a problem solving exercise with you. It is really quite simple as long as you can be patient enough with it.</p> <p>C: Of course, I only get impatient with some people.</p> | <p>Attentive</p> <p>Authentic</p> <p>Caring</p> <p>Confident</p> <p>Directive</p> <p>Empathetic</p> <p>Enthusiastic</p> <p>Flexible</p> <p>Listens effectively</p> <p>Optimistic</p> <p>Sense of humor</p> <p>Strength based</p> <p>Verbal</p> | <p>Attentive</p> <p>Authentic</p> <p>Caring</p> <p>Confident</p> <p>Directive</p> <p>Empathetic</p> <p>Enthusiastic</p> <p>Flexible</p> <p>Listens effectively</p> <p>Optimistic</p> <p>Sense of humor</p> <p>Strength based</p> <p>Verbal</p> |

|  |  |  |
|--|--|--|
| <p>B: Basically, what I am going to do is to show you a step by step problem solving model. Once I am done showing that to you I am going to give you an example of a problem that can be worked out through this model. Then we will apply your situation to the model and identify all the various solutions, including the one you offered. The model will include pros and cons to each solution which will allow you to pick the one that makes the most sense.</p> <p>C: OK, I am game. I will try anything.</p> <p>B: Anything?</p> <p>C: (Laughing) OK, maybe not anything.</p> <p>B: I am suggesting we do this because I have used this model for many situations, both for myself, and with those who I work with and it is amazing how helpful it can be. I now have probationers like yourself coming in to see me who pull it out after using it at home. It seems to work well for anyone who wants to use it.</p> <p>C: OK, let's go</p> |  |  |
|--|--|--|

## Case Plans Step by Step



Case planning is most effectively conducted through a process which engages the offender, properly targets the needs for intervention, is flexible and adaptable, and used as a form of “contract” between the supervising officer and probationer. The following graphic shows a seven step process to conduct case planning followed by a description of each step. Community corrections agencies in Virginia are encouraged to follow this model to enhance the effectiveness of case planning that leads to risk reduction.



## Case Plans Step by Step

For those offenders who are medium to high risk and who will be on supervision go through these steps in this sequence when developing a case plan.

| Step              | Description   |
|-------------------|---|
| <b>1</b>          | <b>Engage the offender</b> by describing what you will be doing, information you will be sharing, roles of each, expectations of supervision, and consequences for misconduct. Emphasize that you want the offender to succeed and the case plan process will serve as a roadmap to increase the likelihood that they will be successful.   |
| <b>2</b>          | <b>Identify the risk and criminogenic needs.</b> Divert the low risk from intensive case planning. Use case plans for medium and high risk. Sort the needs for sequencing so that the driver and the most influential criminogenic needs are worked on first.   |
| <b>3</b>          | <b>Review the sentencing conditions</b> that must be met. These conditions may not coincide with the assessed criminogenic needs. If they are different, make sure offenders understand that BOTH the sentencing conditions AND the criminogenic needs will be addressed throughout their supervision.  |
| <b>4</b>          | <b>Assess the offender's motivation</b> to work on the criminogenic needs through motivational interviewing (MI) or structured means such as the decisional balance. If the motivation level is low it may be necessary to apply a motivational enhancement strategy either through MI skills or a short intervention. Caution should be exercised in delaying work too long on needs that are drivers if the risk to reoffend is high.                 |
| <b>5</b>          | <b>Identify the strengths</b> of the offender and use them to help motivate and give the offenders confidence that they can achieve success with their case plan goals.   |
| <b>6</b>          | <b>Identify the triggers</b> (or the "invitation" which is a term that acknowledges that they have control over their decision) and a response plan. Triggers are those people, places, and things that tend to stimulate anti-social behavior or lead to destructive decision making.  |
| <b>7</b>          | <b>Build the plan.</b> Complete the plan with the offender so they are a full participant. Seek to increase motivation as the plan is being built. Customize the plan based on responsivity factors. Do not exceed two goals at any one time. Make sure the plan follows the SMART guidelines. Have the offender sign the plan and give him/her a copy.   |
| <b>Thereafter</b> | <p><b>Use the plan at every session</b>, adjusting it as the situation dictates. Make sure you</p> <ul style="list-style-type: none"> <li>• Reward/affirm progress on the plan</li> <li>• Sanction/express disapproval for anti-social acts</li> <li>• Modify the plan as the need arises</li> <li>• But, above all else, stay focused on the plan as the addressing of the criminogenic needs is what will ultimately drive recidivism down</li> </ul> |

**Tips for Supervisory Officers  
Supervising Evidence-Based Case Planning (EBCP)**

| <b>Tip</b>  | <b>Explanation</b>  |
|---|---|
| Be the first to know                                    | It is difficult to supervise line officers in evidence-based case planning, if you do not know what it is. Insist on being trained on EBCP prior to its being introduced to your staff and acquire mastery of the subject so you can provide effective coaching.  |
| Understand the purpose and how it fits into the mission | As with the introduction of any new technique or process, staff will want to know why they are being asked to do EBCP. Be prepared to provide them with good answers and an explanation of how it aligns with the mission of the agency. Be prepared to customize the response based on what is important to the individual.              |
| Get staff prepared                                      | Now that you know what EBCP is and why it is being done in your agency, get staff prepared for their training. Discuss the meaning and purpose of EBCP in staff meetings and field any questions that staff might have about the reason for sending them to this training.  |
| Speak positively about EBCP                             | We have all been to classes where the trainer has started by telling us how boring the session will be, but we have no choice but to sit here because it is mandated. Setting a negative tone for any new initiative is a certain kiss of death for its success.  |
| Support the transfer of learning to the workplace       | When staff come back from training, they are often enthusiastic about what they have learned, but are skeptical about having the opportunity to apply it on the job. Provide your staff with ways to use immediately the knowledge and tools that they have brought back from the classroom to make their jobs easier and more effective. |

|   |   |
|---|---|
| <p>Do the role plays required for offender learning</p>         | <p>If staff do not use quickly what they have learned in training, their mastery of the skill will quickly deteriorate and eventually extinguish. Do role plays with staff, both in staff meetings and individually, to practice the skills that they will be expected to use with offenders in terms of EBCP.</p>  |
| <p>Review staff behavior as well as the paper in case files</p> | <p>Reviews sometimes are viewed negatively in our profession. They are seen as some form of test designed to “catch us doing it wrong.” In reality they should be treated as a source of knowledge, derived from personal observation of officer behavior and case reviews, for continually improving what we do with offenders. Without such knowledge we can never know how well we are doing and how to make our application of EBCP even better.</p>  |
| <p>Catch them doing it right</p>                                | <p>The science of behavioral change tells us that new behaviors will never be mastered unless they are positively reinforced, over and over again. This is why we need to change our supervisory culture so that we constantly “catch staff doing EBCP right,” rather than obsessing with ways they are not doing it perfectly. Such an approach will allow you to provide feedback for improvement in a non-threatening fashion through coaching and role modeling.</p>  |
| <p>Never give up and always recognize how far you have come</p> | <p>At times it will seem like your staff and you will never master EBCP. As levels of frustration rise when your staff just does not seem “to get it,” think about when you were learning how to drive with one of your parents. If your mother or father lost their patience and shouted at you after the third or fourth time you failed to parallel park correctly, you shut down and became resistant. If they encouraged you even when you made mistakes, you tried again and finally put that car perfectly in the space by the curb. So it is with mastering EBCP. In the rush to get to the goal, we often lose patience at the small size of the steps we have taken. Just remember, that every pace forward, no matter how small, is another step towards achieving the goal.</p> |

## Case Plan Template

|             |         |
|-------------|---------|
| Client Name | Offense |
|-------------|---------|

| Date of Court Order     | Risk Factors                | ✓ Med or High | Other Factors       | ✓ Med or High |
|-------------------------|-----------------------------|---------------|---------------------|---------------|
| OST Score               | Vocational/Financial        |               | Phys Health/Medical |               |
| ASI Score               | Education                   |               | Mental Health       |               |
| SASSI Score             | Family/Social Relationships |               | Criminal Behavior   |               |
| SSI Score               | Residence/Neighborhood      |               | Other               |               |
| DVI (write in percent)  | Alcohol                     |               | Other               |               |
| -Truthfulness _____     | Drug                        |               | Other               |               |
| -Alcohol _____          | Attitude                    |               | Other               |               |
| -Control _____          |                             |               |                     |               |
| -Drug _____             |                             |               |                     |               |
| -Violent _____          |                             |               |                     |               |
| -Stress coping _____    |                             |               |                     |               |
| Court Order/Conditions: |                             |               |                     |               |

|                   |   |
|-------------------|---|
| Goal One:         | Stage of Change (circle one)                      |
| Risk Factor _____ | Not ready<br>Ambivalent<br>Ready<br>Already begun |
| Activity          | To be completed by (date)                         |
| 1.                |   |
| 2.                |   |
| 3.                |   |
| Comments:         |   |



## Decisional Balance

Name: \_\_\_\_\_ Date: \_\_\_\_\_

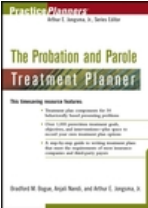
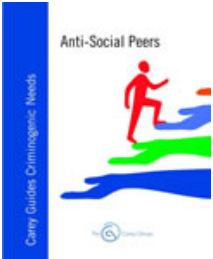
Target Area: \_\_\_\_\_

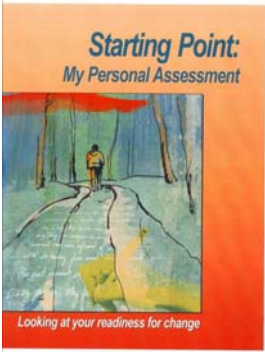
**Purpose:** This tool can be used with offenders to help them explore why they may want to change a behavior or attitude. The goal is to help offenders increase awareness of how and why certain behaviors and positions might be in their best interest to change, what they may lose if they do change, and how they might reduce the negative consequences of those losses. It also helps offenders identify their level of motivation and confidence in moving to action.

| Deciding Not to Change   |              | Deciding to Change |              |
|--|--------------|--------------------|--------------|
| Benefits (+)   | Concerns (-) | Concerns (-)       | Benefits (+) |
|  |              |                    |              |
|  |              |                    |              |
|  |              |                    |              |
|  |              |                    |              |
|  |              |                    |              |
| <p><b>How confident are you that it is possible to change the behavior?</b></p> <p style="text-align: center;"> <span style="margin-right: 10px;">1</span> <span style="margin-right: 10px;">2</span> <span style="margin-right: 10px;">3</span> <span style="margin-right: 10px;">4</span> <span style="margin-right: 10px;">5</span> <span style="margin-right: 10px;">6</span> <span style="margin-right: 10px;">7</span> <span style="margin-right: 10px;">8</span> <span style="margin-right: 10px;">9</span> <span style="margin-right: 10px;">10</span> </p> <p style="text-align: center;"> <span style="margin-right: 100px;">Not Confident</span> <span>Very Confident</span> </p> |              |                    |              |
| <p><b>How important is it to you to change the behavior?</b></p> <p style="text-align: center;"> <span style="margin-right: 10px;">1</span> <span style="margin-right: 10px;">2</span> <span style="margin-right: 10px;">3</span> <span style="margin-right: 10px;">4</span> <span style="margin-right: 10px;">5</span> <span style="margin-right: 10px;">6</span> <span style="margin-right: 10px;">7</span> <span style="margin-right: 10px;">8</span> <span style="margin-right: 10px;">9</span> <span style="margin-right: 10px;">10</span> </p> <p style="text-align: center;"> <span style="margin-right: 100px;">Not Important</span> <span>Very Important</span> </p>                |              |                    |              |

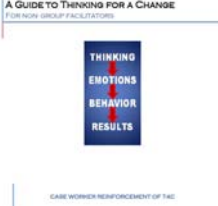
## One-on-One Practitioner Tools

The following are a few examples of practical Tools for Correctional Practitioners Seeking to Implement Effective One-On-One Interventions Designed for Risk Reduction

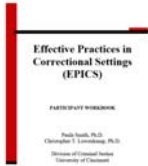
| Resource/Author  | Cover of Document   | Short Description   |
|--|---|---|
| <p><b>The Probation and Parole Treatment Planner</b> by Brad Bogue, Anjali Nandi, and Arthur Jongsma</p>   |    | <p>This book provides the probation and parole officer with tips on how to deal with specific case management and criminogenic needs in their one-on-one setting.</p>   |
| <p><b>Where to find:</b> <a href="http://search.barnesandnoble.com/The-Probation-And-Parole-Treatment-Planner/Brad-M-Bogue/e/9780471202448">http://search.barnesandnoble.com/The-Probation-And-Parole-Treatment-Planner/Brad-M-Bogue/e/9780471202448</a></p> |   |   |
| <p><b>Carey Guides:</b> The Carey Group, authored by numerous practitioner specialists. Produced by Carey Group Publishing</p>   |  | <p>The Guides are short booklets designed for corrections professionals that work with juvenile and adult offenders. Thirty-three Guides are available which provide two or more worksheets for offenders to complete as a means of helping the corrections professional address the more difficult criminogenic factors that lead to recidivism.</p> |
| <p><b>Where to find:</b> <a href="http://www.thecareygroup.com/thecareyguides.htm">http://www.thecareygroup.com/thecareyguides.htm</a></p>   |   |   |

|   |   |   |
|---|---|---|
| <p><b>Interactive Journals.</b><br/>Published by The Change Companies</p> |  | <p>The Change Companies®<sup>1</sup> Interactive Journaling® approach offers a change-focused, participant-driven resource for guiding targeted populations through the process of life change. They are designed to enhance the therapeutic engagement between providers of service and participants. Through journaling, participants map out where they have been, where they are now, where they wish to go and how to get there.</p> |
|---|---|---|

**Where to find:** <http://www.changecompanies.net/criminal-justice.php>

|   |  |  |
|---|--|--|
| <p><b>A Guide to Thinking for a Change: For Non-Group Facilitators</b> by Christine Toner, The Carey Group.</p> |  | <p>This handbook is written for the supervision officers and case managers of offenders who are participating in the cognitive behavioral program Thinking For A Change. It provides the non-facilitator with information about what is being taught in T4C week-by-week so the officer or case manager can reinforce the learning and use common language and concepts.</p> |
|---|--|--|

**Where to find:** For a copy of the guide contact Mark Carey at 651-226-4755 or [mark@thecareygroup.com](mailto:mark@thecareygroup.com)

|  |   |   |
|--|---|---|
| <p><b>Effective Practices in Correctional Settings (EPICS)</b> by University of Cincinnati</p> |  | <p>EPICS is a curriculum designed to teach the correctional practitioner in how to use the core correctional practices in their supervision contacts.</p> |
|--|---|---|

**Where to find:** Contact University of Cincinnati Corrections Institute at 513-556-1913 or <http://www.uc.edu/corrections/>

## Writing a SMART Case Plan

**Instructions:** Individually, review the case of Brandon and fill out the case plan using the Virginia case plan model and SMART guidelines. When everyone is done, as a group write up a consensus-based case plan using the SMART guidelines.

Brandon is a nineteen- year old male. He was first arrested as a juvenile at age for Armed Robbery and Assault. He served a term of Juvenile Correction and he reports the probation was successful. Further elaboration reveals he was on house arrest and just “stayed in his house.” He moved to Richmond six months from the Baltimore area in order to live with his aunt. He reports his mother was evicted from her residence.

Brandon is on probation for Trespassing, the charge was reduced from Burglary. Client reports he was not trying to steal anything, but was with individuals who were attempting a theft. Brandon reports difficulties establishing positive relationships since his move to Richmond.

Brandon graduated high school and is unemployed and reports no work history. He has no medical conditions that would interfere with employment or probation. He reports no mental health history. He is not in a relationship with anyone and reports strained relationships with most of his family.

Brandon reports daily marijuana use and first used five years ago. He reports stopping while on Juvenile probation. He is not interested in treatment and reports he can stop on his own. He reports no alcohol use. He does not view his marijuana use as an issue or obstacle in his life.

Brandon does not have any positive goals for the next one to five years and reports he is living day to day just “trying to survive”.

His probation conditions require the completion of 50 Community Service Hours and do not allow further mandated intervention.

Brandon scored 20 on the OST, medium risk but may actually be high risk. He scored above the 60% threshold on the OST in the categories of Vocational/Financial, Family/Social Relationships, Drug Abuse and Attitude.

## Behavioral Chronos

| Date | Behavioral Description of Contact  | Criminogenic Need Addressed   | Affirmations/<br>Rewards       | Practice Session |
|------|--|---|--------------------------------|------------------|
| 4/2  | <p>Met with Dane in the office. He got into trouble with his friends last week. Hanging out at the pool bar, they “ended up” throwing rocks at the establishment breaking a window. Ran off. Does not think it was going to get reported to police. Dane said it was a “wake up” call that he has to pick better friends. Discussed why it has been so hard to do this. Says he can’t seem to shake them. They keep showing up and then he agrees to do stuff he doesn’t want to do. We practiced an assertiveness skill around breaking up friends. He will be trying it between meetings and report back on how it went. I also told him that we needed to work on getting new friends. He agreed.</p> | <p>Anti-Social Beliefs<br/> <span style="border: 1px solid black; border-radius: 50%; padding: 2px;">Anti-Social Peers</span><br/>                     Temperament<br/>                     Family<br/>                     Substance Abuse<br/>                     Education<br/>                     Employment<br/>                     Leisure</p> | <p>2 affirmations (verbal)</p> | <p>1</p>         |
| 4/18 | <p>Discussed his homework. He was able to voice his objection to his friendship with Jeff. Jeff did not accept it well and got Dane to withdraw his demand. They went out that night and shot pool. Dane still wants to break this friendship. We practiced it again using Jeff’s words that got Dane to back off. After about three attempts Dane sounded much more clear and resolved. He is going to try it again and report back.</p>  | <p>Anti-Social Beliefs<br/> <span style="border: 1px solid black; border-radius: 50%; padding: 2px;">Anti-Social Peers</span><br/>                     Temperament<br/>                     Family<br/>                     Substance Abuse<br/>                     Education<br/>                     Employment<br/>                     Leisure</p> | <p>1 affirmation (verbal)</p>  | <p>1</p>         |
| 5/5  | <p>Did a home visit. Dane has now been arrest free for 8 months. He had 14 UA tests and was negative on all of them. We discussed the reasons he has been able to remain sober so long. He has completed all of his conditions of probation. He still has a number</p>   | <p>Anti-Social Beliefs<br/>                     Anti-Social Peers</p>   | <p>1 reward (curfew)</p>       | <p>0</p>         |

|  |  |  |  |  |
|--|--|--|--|--|
|  | <p>of things to work on in his case plan. But he is doing much better and seems sincere. I eliminated his curfew requirement. He has not had a chance yet to talk with Jeff.</p> | <p>Temperament<br/>Family<br/>Substance Abuse<br/>Education<br/>Employment<br/>Leisure</p>   |  |  |
|  |  | <p>Anti-Social Beliefs<br/>Anti-Social Peers<br/>Temperament<br/>Family<br/>Substance Abuse<br/>Education<br/>Employment<br/>Leisure</p> |  |  |
|  |  | <p>Anti-Social Beliefs<br/>Anti-Social Peers<br/>Temperament<br/>Family<br/>Substance Abuse<br/>Education<br/>Employment<br/>Leisure</p> |  |  |

## Use of Rewards and Sanctions

**Instructions:** Individually read the case of Donnie. Then, as a small group, answer the questions below about the use of rewards and sanctions.

Donnie P. is a 24 yr. old male on probation for two (2) counts of Assault & Battery (bar fight). He has a prior conviction for A & B and was just convicted of two (2) more counts of A & B amended from Rape and Abduction (he and an 18 yr. old female acquaintance had consensual sex but her parents found out and she told police she was drunk and didn't know what she was doing).

Donnie has a history of alcohol abuse and completed 26 weeks of outpatient substance abuse treatment in April 2009. He was recently convicted of his second DUI and has a third pending. He has never tested positive for drugs.

Donnie lives with his mother and has been working full time for the past three (3) months. . .the most stable employment he's ever had. Although he admits he has an alcohol problem, he still frequents bars and sees no problem in doing so saying his friends make sure he doesn't drink. (His friends are mostly younger and have unstable lives enjoying the party scene.) Donnie is willing to re-enter SA treatment but only due to the DUI and desire to have his operator's license. He believes he can abstain from alcohol on his own. His OST score was 18, medium risk.

- A. List three behaviors that, if Donnie exhibited, would be worthy of some form of reward or incentive. List what you think would be an appropriate reward if Donnie exhibited that behavior

| Behavior | Reward |
|----------|--------|
| 1.       |        |
| 2.       |        |
| 3.       |        |

B. Review the three circumstances below. Based on these circumstances what do you think would be an appropriate sanction, if any, to use?

| Violation Behavior   | Appropriate Sanction Response, if any |
|--|---------------------------------------|
| <p>1. Positive UA. Had been drug/alcohol free for six months leading up to this dirty UA.</p>  |                                       |
| <p>2. Positive UA. It is his third one in the past six months. Each time he says that he slipped up and plans on taking care of it and staying sober. He seems genuine but keeps getting into situations where he claims that he is tempted beyond his ability to control.</p> |                                       |
| <p>3. Leaves the treatment facility after two weeks saying that he has learned all he needs to learn and that he wants a chance to prove himself without treatment.</p>  |                                       |