

# **Proactive Community Supervision in Maryland: Changing Offender Outcomes**

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## **Proactive Community Supervision in Maryland**

With over 70,000 adult offenders under community supervision in the late 1990s, and more than 100 offenders assigned to each probation/parole agent, Maryland faced challenges similar to other states regarding the most effective strategy for supervising offenders in the community. In response to the 2000 Joint Chairmen's Report, the Maryland Division of Parole and Probation (MDPP) developed a strategy to reengineer supervision by integrating research-based findings pertinent to protecting community safety and returning offenders to a more prosocial lifestyle. The strategy, called Proactive Community Supervision (PCS), has three goals: protect public safety; hold offenders accountable to victims and the community; and help offenders become responsible and productive (Sachwald, 2000). These goals are accomplished through the five major components of PCS: 1) identify criminogenic traits using a valid risk and need tool; 2) develop a supervision plan that addresses criminogenic traits employing effective external controls and treatment interventions; 3) hold the offender accountable for progress on the supervision plan; 4) use a place-based strategy wherein individual probation/parole office environments are engaged in implementing the strategy; and 5) develop partnerships with community organizations who will provide ancillary services to supervisees. Collectively, these five tenets are based on findings from research studies identifying crime reduction strategies over the last 30 years.

Funds to implement the PCS strategy were appropriated for State Fiscal Year 2002. To allow MDPP to change the context of supervision, caseload sizes for intensive supervision by probation/parole agents were to be reduced from 100 to 55 in four areas: Mondawmin in Baltimore City, Hyattsville in Prince George's County, Silver Spring in Montgomery County, and all of Caroline County. With PCS, probation/parole agents are armed with a research-based strategy regarding how to address the criminogenic traits that propel individuals to continue their involvement in criminal behavior. PCS offers a holistic approach for probation/parole agents to facilitate offender change while emphasizing accountability and public safety.

This report presents an overview of the impact of the PCS strategy on key offender outcomes--rearrest rates, warrants for violation of probation, and adherence to offender supervision plans. To determine whether the PCS process achieves the intended goals, a team of researchers from the University of Maryland and Virginia Commonwealth University evaluated the impact of the PCS process on offender outcomes.

The evaluation study used an individual match design that compares the outcomes of 548 offenders—274 randomly selected offenders supervised in PCS areas with 274 matched offenders in areas that use the traditional supervision model. The researchers found that participation in PCS had a positive effect on offender outcomes. In particular, regardless of the criminal history of the offender or risk level, the rates of rearrest and warrants filed for technical violations were significantly lower for offenders that were supervised under the PCS strategy. The PCS model has shown to have statistically significant outcomes for offenders compared to traditional methods of supervision.

## What is Proactive Community Supervision?

The Proactive Community Supervision (PCS) strategy adopts the tenets of science-based research into reframing supervision services for offenders. The emphasis of the strategy is on the nature and intent of the contacts between the offender and his/her probation/parole agent. The contacts are central for the agent to facilitate change in three ways: 1) to engage the offender in a change process that focuses on obtaining prosocial skills; 2) to commence the offender change process by using supervision tools and treatment interventions to address criminogenic traits; and 3) to assist the offender in sustaining change through positive involvement with community support networks like family/associates, mentors, and civic associations. That is, the agent's role has been broadened from surveillance of the offender to engaging the offender in the change process and facilitating the offender's involvement in treatment programs and prosocial activities that focus on building skills to be productive in society.

The probation/parole agent role is essentially defined as a behavioral manager who works with the offender to understand the factors that influence the offender's continued involvement in crime and criminal behavior and develop an action (or supervision) plan focused on addressing criminogenic factors. The agent monitors progress on the action plan and works jointly with the offender to: 1) revise the action plan to address issues that are precursors to further involvement in criminal behavior, e.g., substance abuse, mental health issues, or violence; and 2) develop prosocial networks in the community. The behavioral manager role encompasses both the law enforcement and social work skills that are needed in protecting the public (Taxman, Shepardson, & Byrne, 2004). This framework is consistent with the research literature that identifies treatment and accountability as the critical ingredients to achieving improved offender outcomes and reducing criminal behavior (Sherman et al., 1997; MacKenzie, 2000; Marlowe, 2003).

The PCS strategy reflects the behavioral management theoretical model, and PCS incorporates its main ingredients in the following components of the process:

- Use of the Level of Service Inventory-Revised (LSI-R) instrument to assess the criminogenic risk and need factors affecting the offender's involvement in criminal behavior;
- Development of a case plan that is responsive to the criminogenic traits identified in the assessment process, which includes the LSI-R and other objective information (e.g., home environment, criminal record, offender self-identified interest areas, and drug test results), and that also addresses goals that are specific to the offender's criminogenic traits;
- Referral to the appropriate array of treatment, educational, vocational, and other services to assist the offender in developing new skills to be a productive citizen;
- Use of the supervision process to assist the offender to learn about the triggers (e.g., people, places, or situations) that affect involvement in criminal behavior;
- Use of incentives and sanctions to shape offender behaviors;
- Timely communication with the offender to review progress on the case plan and achievement of supervision goals; and,
- Emphasis on desistance from criminal lifestyle and conduct.

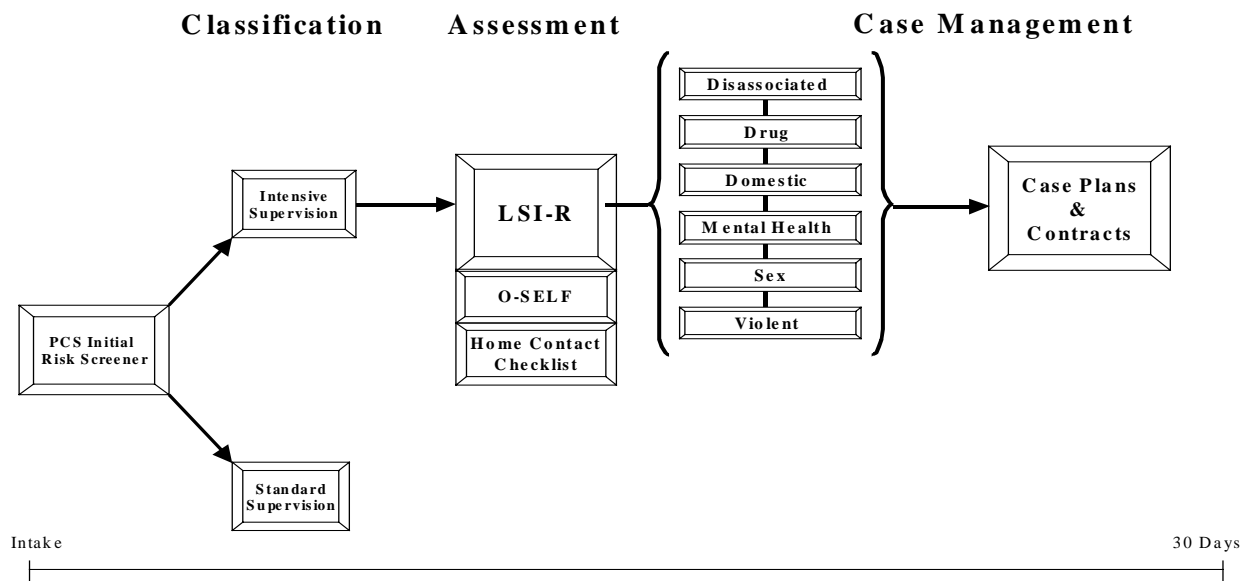
MDPP used typologies to guide the supervision plans given to the most prevalent type of offenders. Seven main typologies were identified to assist agents to understand that different offenders have different drivers affecting their involvement in criminal behavior. The typologies are: drug-involved addict or entrepreneur, violent offender, disassociated offender, sex offender, mental health offender, and domestic violence offender. Each of these types of offender has different emphases for the supervision plan due to the unique factors affecting criminal behavior. See Table 1 for examples of the identified goals of the supervision plan.

**Table 1. Goals of Supervision Plan**

<b>Type of Offender</b>	<b>Emphasis of Supervision Plan</b>
Disassociated	Develop prosocial social support network
Drug-involved Addict	Achieve abstinence from illicit drug use
Drug-involved Entrepreneur	Obtain prosocial employment
Violent	Address violent tendencies
Domestic Violent	Control power and control issues
Mental Health	Address mental health issues
Sex	Control sexual deviance behaviors

The organization of supervision plans around typologies (and key supervision goals) provides the framework for MDPP to develop partnerships with other agencies and organizations to further the services and programs that are available to the offender population as part of a strategy to reduce crime and to increase public safety. MDPP has developed over 90 partnerships with local organizations to provide services to the offender population (Eley, 2005). The partners provide services that MDPP cannot offer due to the limited funds available in the agency's budget for services (see Appendix A). Less than one percent of MDPP's budget is available for drug treatment and educational services. Partnerships have been developed in all four PCS areas to expand the ability of MDPP to integrate key services to address criminogenic traits within the supervision plans of offenders. Figure 1 depicts the PCS process.

**Figure 1.  
PCS Model of Supervision: Defining a Case Plan**



## How Was PCS Implemented?

During the first three years of the implementation of PCS, MDPP developed policies and procedures and trained staff in the model. PCS implementation was staged to accompany the development of new communication, interviewing, and contingency management skills needed by probation/parole staff to be successful as behavioral managers. First, MDPP introduced motivational interviewing and other communication strategies to provide probation/parole agents with interviewing and verbal communication techniques, which are not typically provided in pre-service or in-service training<sup>1</sup>. Along with the communication strategies, MDPP also established guidelines regarding the use of socially acceptable decorum for dealing with offenders such as using salutations to address offenders and establishing eye contact with offenders. These techniques were designed to ensure that MDPP created an office environment where offenders could learn social skills through interactions with their agents. MDPP employed a coaching model where front-line supervisors used the Quality Contact Standards (QCS) form to monitor agents' use of the techniques and as a structured mechanism to provide feedback to develop staff skills. (See Appendix B.)

The next level of staff development involved using the Level of Service Inventory-Revised (LSI-R) instrument and developing case plans. These efforts focused on identifying criminogenic traits through interviewing the offender and addressing these traits in the

<sup>1</sup> Few probation/parole agencies provide staff with training in interviewing or communication strategies in working with offenders. Motivational interviewing is a well-recognized technique that is consistent with working with offenders/clients on behavioral change issues.

resulting case plan. The supervision goals articulated in Table 1 define the main purpose of the supervision plan, and, along with the supervision toolbox (e.g., drug tests, community services, treatment, vocational education, employment, and support networks), ensure that a proper mix of external and internal controls are part of the supervision plan. The emphasis on staff development was to acquaint the staff with the toolbox and on how the different tools can be used for the purpose of improving offender outcomes. To ensure that staff would use the tools in a case plan, they were provided with a software package--MDPP Offender Case Planning Software for Empowerment (MOCSE)-- that required front-line supervisors to certify the case plan. Requiring supervisor certification was a strategy to engage staff throughout the organization in the core principles of PCS.

As part of Managing for Results, MOCSE integrates a series of offender performance indicators to be used by supervisors to monitor outcomes. The goal is to provide front-line supervisors with easy access for monitoring the performance of their units. The PCS strategy involves not only equipping staff with new skills, but also equipping the organization with the means to focus on recidivism reduction strategies. This is the strategy that the National Institute of Corrections is using in their pilot projects on evidence-based practice in Maine and Illinois (Faust, 2004), which focuses on strengthening the organization to ensure implementation of new innovations. The building of an organizational strategy has been reinforced by other related efforts of MDPP management such as sponsoring executive and leadership training.

## **Study Design**

The purpose of the evaluation study of the PCS strategy was to determine whether the implementation of the PCS core concepts had an impact on offender outcomes, particularly on rates of rearrest and warrants for violation of probation/parole. The overriding issue is whether the use of the behavioral management components in PCS was sufficient to achieve measurable differences in offender outcomes. The sample size for the study is 548, which is considered respectable and has the statistical power to detect a difference between the PCS and non-PCS areas (Cohen, 1998).

The study used a random selection-individual match design, which is considered the quasi-experimental design that closely approximates random assignment. Since PCS was implemented in four areas, all offenders screened high risk in any of the four areas were eligible for the PCS study. The other areas were not considered to be part of the PCS project because they are not using the PCS tools such as LSI-R instrument, case planning, or the progress monitoring process; and staff in these areas were not trained in these tools. The individual match design allowed researchers to select offenders for a comparison group that had the same characteristics as those offenders served in the PCS areas.

### *Sample Selection*

Using the Offender-Based State Correctional Information System-II (OBSCIS-II), researchers randomly selected 335 PCS and 335 non-PCS cases from a total of 89,275 offenders who entered supervision in the State of Maryland from January through December

2004. The researchers began with four selection criteria. To be included in the study, offenders must have: 1) started supervision during calendar 2004; 2) served a minimum of six months on supervision (to ensure exposure to the core of the PCS process); 3) been rated high risk for recidivism using the MDPP risk screener;<sup>2</sup> and 4) been active on parole, probation, or mandatory release. After eliminating the cases that did not meet the four eligibility criteria, researchers used a random number generator to select a sample of 335 individuals from the four PCS areas. The number of cases selected from each area was proportionate to the total number of PCS cases entering supervision in each area. The distribution of cases per area is listed in Table 2. The non-PCS cases were required to meet the same four eligibility criteria to be considered for the study and to be in the same geographical environment with potential matches from the PCS areas. The second column in Table 2 identifies the area selected to match the PCS cases. The final sample was reduced to 274 PCS and 274 non-PCS cases due to the inability to match unique offender characteristics (e.g., a female sex offender- 6 cases) or the PCS offender was not under active supervision for at least 6 months due to premature termination (58 cases), or the sentence was interrupted by the offender's removal from the community (i.e., incarceration, hospitalization, etc.). Whenever a PCS case was eliminated from the sample, the matching non-PCS case was also deleted.

**Table 2. Distribution of PCS Cases in the Study by Area**

PCS Area	Number of PCS Cases	Non-PCS Match Area	Number of Non-PCS Cases <sup>3</sup>
Mondawmin area of Baltimore City	143	Preston Street for probationers/ Guilford Avenue for parolees	113/ 30
Hyattsville	83	Upper Marlboro	83
Silver Spring	38	Gaithersburg	38
Caroline County	10	Glen Burnie	10
<b>Total</b>	<b>274</b>		<b>274</b>

The study design called for each individual offender in a PCS area to be matched to an individual offender in a non-PCS area on the following criteria: gender, race, age, type of supervision, and category of instant offense. As described below, the matching criteria are variables that have been empirically linked to criminal outcomes in the research literature. If the PCS and non-PCS individuals share these common traits, there is a better chance of isolating the effects of the PCS protocol.

<sup>2</sup> The intent was to select individuals whom MDPP had classified during intake as requiring intensive supervision. We selected individuals classified as intensive at their most recent classification. We note that 79 individuals included in the study, who were classified as standard at the beginning of their parole/probation sentence, were switched to intensive supervision at some later, undetermined point (44 PCS and 35 non-PCS). We conducted separate analyses based on the supervision classifications and, upon exclusion of the individuals who began their parole/probation sentence under standard supervision, did not find any different outcomes.

<sup>3</sup> We attempted to draw the matched sample from one geographical area and were successful with 97% of the cases. For the Mondawmin area, 1% of the cases were matched at a location other than Preston Street, and for Hyattsville, 11% of the cases were matched elsewhere than Upper Marlboro.

**Gender.** Males and females differ on the nature of their criminal behavior, criminal histories, and supervision needs.

**Race.** Research suggests that race is a proxy for other variables that might explain criminal conduct. The PCS sample included offenders of two predominate races: African-American and Caucasian.

**Age.** Age affects involvement in criminal behavior. While the association between age and crime is not directly linear, researchers differentiated between older and younger individuals. First, individuals were divided into two groups, over 30 and under 30. For those in the over 30 age group, PCS cases were matched to non-PCS individuals who were within 6 to 10 years of their age.<sup>4</sup>

**Category of Instant Offense.** The nature of the current conviction charge affects both supervision needs and involvement in criminal behavior. Current convictions were grouped into the following categories: violent, property, drug distribution, drug possession, domestic violence, driving under the influence (DUI), technical violations, and a category termed “broken windows”, which combined public nuisance offenses such as vandalism, prostitution, disorderly conduct, disabled motor vehicle, hit and run, littering/trash dump, reckless driving, loitering, rogue and vagabond, aggressive panhandling, animal bite, animal complaint, drunk, and fires (not arson).

### *Sample Characteristics*

Table 3 compares the PCS and non-PCS groups at the time of intake according to selected individual characteristics.

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<sup>4</sup> We relaxed the age criteria in order to improve the proportion matched to 88 percent. The majority of the remaining 12 percent were matched after relaxing the distinction between mandatory release and parole (6 cases) and the categories for instant offense (28 cases); four cases remained unmatched.



**Table 3. Group Characteristics for PCS and Non-PCS at Time of Intake**

<b>Group Characteristics</b>	<b>PCS</b>	<b>Non-PCS</b>	<b>n</b>
Gender - % Male	82.8	82.8	274
Race - % Black	85.0	85.0	274
Employment Status - % Unemployed	61.1	69.5	167
Age - % Over 30	53.3	54.0	274
Marital Status - % Single	82.5	78.6	154
Education Categories -% At Least High School Diploma	62.1	60.6	132
Mean Number of Arrests Prior to Supervision Intake	7.41	6.83	259
Supervision - % Probation	88.0	87.6	274
Supervision - % Parole/Mandatory Release	12.0	12.4	274

The matching criteria were intended to define key behavioral characteristics linked to recidivism. There was also equivalency between PCS and non-PCS individuals on variables that were not used in the individualized match.<sup>5</sup> For employment status, marital status, education level, and prior arrest history, there are no statistically significant differences between the PCS and non-PCS groups.

Statistically significant differences in offender characteristics did emerge when comparing across PCS areas. The parolee population from the Mondawmin area is unique because it has the highest proportion of individuals who are male, black, unemployed, over the age of 30, and with the greatest number of prior arrests. The only other location approximating these characteristics is the matched comparison group. Another unique group is the Caroline County group, which has the smallest proportion of individuals who are black, unemployed, and single. The only other location with a similar group composition is Caroline County's comparison group.

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<sup>5</sup> Since these other characteristic variables were not used for selection into the study, there were missing data for many of the individuals. In addition to excluding PCS cases with missing data from the comparison in Table 3, the researchers excluded PCS cases for which the non-PCS match had missing data.

## Implementation of PCS Core Components

The first question in the evaluation study was to determine the degree to which the PCS areas implemented the core components of the PCS strategy. The researchers focused on whether the following actions were taken: completion of the LSI-R, identification of the offender's typology and triggers of criminal behavior, development of a case plan, and implementation of the case plan.

In the PCS strategy, the first core step is the completion of an LSI-R-based assessment. The supervision plan and progress monitoring cannot occur without substantive information from the LSI-R or another intensive assessment tool; otherwise the probation/parole agent is using a "generic" model of supervision instead of focusing the supervision on addressing the criminogenic traits of the individual offender. In this cohort, 70 percent of the offenders had an LSI-R; the remaining 30 percent did not. The average LSI-R score was 15.6, with a standard deviation of 7.9. This average score corresponds to a rating of medium risk in the community, according to the national standards for the LSI-R (Andrews & Bonta, 2003). About 30 percent of the offenders scored under 11, which indicates low risk; 29 percent scored 11-17, indicating medium risk; 28 percent scored 18-25, which is moderate to high risk; and 13 percent scored 26 or more, reflecting high risk<sup>6</sup>.

Overall, typologies were assigned in 56 percent of the PCS cases, including 79 percent of the cases in which an LSI-R was completed. The cases with typologies assigned were distributed as follows: 46 percent disassociated, 24 percent drug-involved, 20 percent violent, and 10 percent sex offenders, mental health, or domestic violence. For all but five of the cases for which a typology was assigned, the agent also identified the offenders' triggers. In the following analyses for the PCS areas, researchers assumed that the 44 percent of PCS cases without a typology were handled by traditional supervision methods that do not target the specific criminogenic traits of the individual offender.

Once an offender's typology and triggers have been identified, agents are responsible for working with the offender to create a case plan that assigns specific responsibilities to the agent and offender. If a typology has been assigned, the agent can choose from a set of responsibilities tailored to that typology as well as specify additional responsibilities. If a typology has not been assigned, the responsibilities are generally based on court orders.

Table 4 below presents a comparison of the implementation of the PCS strategy across the four areas in terms of the responsibilities assigned and completed. Again, the unidentified group was considered to approximate traditional supervision.

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<sup>6</sup> Offenders who scored in the highest category of risk on the LSI-R had the highest rate of rearrest (45.0%) during the observation period, while those who scored in the low risk category had the lowest rate of rearrest (19.3%). These findings validate the LSI-R instrument.

**Table 4. Development and Implementation of Responsibilities in Case Plans**

	Typology				Typology Unidentified (n=121)
	Disassociated (n=71)	Drug Involved (n=36)	DV/MH/ Sex* (n=16)	Violent (n=30)	
Mean # of Agent Responsibilities in Case Plan	3.4	6.4	4.3	2.9	0.5
Mean # of Offender Responsibilities in Case Plan	3.8	5.0	4.2	4.0	2.0
Mean # of Responsibilities Agent Took Action	2.3	4.2	3.1	2.5	0.3
Mean # of Responsibilities Action by Offender Was Taken	1.7	2.2	2.7	2.0	0.9

\* Combines Domestic Violence (DV), Mental Health (MH), and Sex Offender (Sex) typologies.

Table 4 shows that offenders under PCS supervision have more responsibilities, and that they tend to have a greater number of actions taken on the case plan. For the most part, offenders have more requirements that are geared to their criminogenic traits, and additional offender responsibilities generally include contacts with the agent. PCS offenders tend to have between 90 percent (disassociated) and 150 percent (drug) more responsibilities in their case plans that reflect goals to achieve to address criminogenic traits than those under traditional supervision. The PCS message of accomplishing supervision goals appears to be translating into more actions taken by both agents and offenders—offenders generally take action on 90 to 200 percent more responsibilities for the case plan than traditional supervision.

Table 5 examines whether having a typology affected the average contacts per month between the agent and the offender. Contacts include face-to-face and telephone contacts between the agent and the offender as well as agent collateral contact with the offender’s close family and associates. The mean number of contacts per month is higher for offenders with a typology as compared to offenders without a typology ( $p < .01$ ). Similarly, for offenders with drug testing conditions, tests are performed more frequently on the offenders that have a typology assigned than on offenders without a typology ( $p < .05$ ). In PCS, offenders had more frequent contact with their agent than under traditional supervision.

**Table 5. Supervision Contacts and Drug Tests**

	Had a Typology	
	Yes	No
Mean Number of Contacts per Month	1.7	1.3
Mean Number of Drug Tests per Month for Offenders with Court-Ordered Conditions	2.0	1.3
Mean Days Between Contacts	24	48

The average PCS offender had a greater number of responsibilities to achieve to be successful on supervision. Other studies have shown that increasing the number of conditions placed on offenders results in more infractions and more violation of probation/parole for failure to abide by the conditions (Petersilia, 2000; Petersilia & Turner, 1993). In this study, it appears that the increased conditions do not necessarily result in increased noncompliance. As shown in Table 6, except for drug offenders (with the greatest mean number of conditions), all other typologies had a greater percentage of offenders that complied than the traditional supervision group. Surprisingly, the PCS cohort appears to be more compliant than the traditional supervision group.

There is no significant difference across typologies in the mean number of incidents of noncompliant behavior such as missed appointments, failures to appear for drug tests, positive drug tests, and failures to conform to court ordered provisions ( $p < .05$ ), despite the fact that the PCS group had a far greater number of conditions. Proportionately, the PCS group is actually attending to the components of the case plan at a greater rate. Not surprisingly, drug-involved offenders tended to have more incidents of noncompliance including attendance at treatment, and violent offenders had fewer. The difference between the traditional group (mean of 18.8 incidents per case) and the combined group of offenders who were assigned typologies (combined mean of 17.5 incidents per case) was not statistically significant. Again, with the increased number of responsibilities one would have expected the PCS cases to have had more noncompliant incidences.

With respect to agents' responses to noncompliant behavior, the differences across typologies and between the unidentified group and the group of offenders with typologies assigned were not statistically significant. While agents may provide more scrutiny over offenders for whom they have designated a typology, they are not more likely to sanction these offenders for noncompliant behavior.

**Table 6. Noncompliant Behaviors and Sanctions**

	Typology				Typology Unidentified (n=121)
	Disassociated (n=71)	Drug Involved (n=36)	DV/MH/ Sex* (n=16)	Violent (n=30)	
No Noncompliant Behaviors - %	17	6	13	17	9
Mean Number of Noncompliant Incidents	19.2	26.1	11.3	6.3	18.8
Noncompliant Incidents Sanctioned - %	33	27	44	26	39

\* Combines Domestic Violence (DV), Mental Health (MH), and Sex Offender (Sex) typologies.

## The Impact of PCS: Comparing Outcomes

### *Likelihood of Successful Supervision*

The individual match design allows us to determine if there are any statistically significant differences between the group that was exposed to PCS goal-driven case plans and offenders under traditional supervision. The careful selection of like offenders in both groups, using an individual match approach, is similar to randomization in that the researcher selects offenders to be part of the study design. No self-selection occurs that could bias the outcomes. Since characteristics are consistent across the groups, outcome differences can be attributed to exposure to PCS.

We compared the PCS and non-PCS group according to three outcomes: positive drug tests, new arrests, and requests for warrants (proxy for technical violation or non-criminal behavior acts that are violations of orders of release). The drug test data were derived from the University of Maryland Automated Tracking System, also known as HATS. Arrest data were obtained from the Maryland Criminal Justice Information System (CJIS), a central repository for criminal histories in Maryland. OBSCIS-II provided information on requests for warrants for technical violations on probation and/or parole.

The analysis plan uses two main strategies to determine whether the PCS process has differential outcomes from the non-PCS process. Bivariate and logistic regression models were used to determine whether differences between the PCS and non-PCS groups are statistically significant. The logistic regression models were used to test for statistical significance controlling for variables that were not used in the case selection process that might be relevant to outcomes such as the number of days under supervision and criminal history of the offender (number of prior arrests). We used the covariate of number of days under supervision to ensure that we removed the “exposure” period as a possible explanation for any differential effects (if they occur). Then we examined whether the differences affected the time that the offender is successful on supervision (survives).

**Drug Test Results.** Court-ordered drug testing conditions were in place for 48.9 percent of the PCS offenders and 62.8 percent of the non-PCS offenders. Statistical tests indicated that there are no differences between the two groups in terms of failure to appear for testing or positive drug tests.

Table 7 reports the findings from a logistic regression that determined participation in PCS had no effect on the likelihood of having a positive drug test, controlling for the influence of time on supervision and prior arrests. The results of these analyses suggest that PCS did not have an effect on the drug consumption patterns of those in our sample with a court-ordered mandate for drug testing.<sup>7</sup>

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<sup>7</sup> All of the logistic regression models were run adding in the covariate of a court-ordered condition for drug testing. The assignment of a court-ordered condition for drug testing did not explain any variance in the arrest and warrant for violation of probation/parole models, and the covariate was not statistically significant.

**Table 7. Results for the PCS vs. Non-PCS Cases on Key Outcomes: Drug Testing Results, Rearrests, and Warrants for Violation of Probation/Parole**

	PCS	Non-PCS	Odds Ratio <sup>8</sup>
<b>Drug Testing Results</b>			
Positive %	22.8	25.4	1.12
FTA for Testing- %	50.0	53.6	
<b>Rearrest for New Crime</b>			
New Arrest* - %	32.1	40.9	0.62
Mean Number of New Arrests*	0.45	0.65	
<b>Warrants for Violation of Probation/Parole</b>			
Warrant Filed* - %	20.1	29.2	0.60

\*p<.05

Notes:

1. For drug test results, the sample size was 94 PCS offenders and 106 non-PCS offenders. For failure to appear, the number is 99 PCS and 121 non-PCS.
2. For all other measures, the sample size was 274 PCS and 274 non-PCS.

**Rearrest Rates.** The PCS group was statistically less likely to be arrested than the non-PCS group; 40.9 percent of the non-PCS group was arrested as compared to 32.1 percent of the PCS group. Individuals in the PCS group had a mean number of arrests that was 30.7 percent lower than the non-PCS group.

Two logistic regression models were developed to assess the impact of PCS on rearrests. In these models, researchers controlled for length of time on supervision and prior criminal history since these were not part of the original selection criteria. The results in Table 7 illustrate that offenders participating in PCS were significantly less likely to be rearrested during the study period. The odds-ratio of 0.62 means PCS offenders have 38.3 percent less chance of being rearrested for new criminal behavior than the non-PCS group.

**Warrant Filed for Violation of Parole/Probation.** As shown in Table 7, 20.1 percent of the PCS cases and 29.2 percent of the non-PCS cases had a warrant filed, a statistically significant difference (p<.05). Supervision agents for PCS cases filed a warrant when the offender had a median of 17 noncompliant behaviors for missing appointments, failing to inform the agent of location, failing to comply with court-ordered conditions of supervision (such as paying fines or attending drug treatment), testing positive at urinalysis, absconding from supervision, and failing to report for drug testing.

Findings from the logistic regression reveal an odds ratio of 0.60, which means that

<sup>8</sup> The odds ratio of 1.12 indicates that there is essentially minimal difference overall between PCS and non-PCS. When the odds ratio hovers around 1, this indicates that there is little impact. The odds ratios of 0.62 and 0.60 indicate that the PCS group has a lower probability of being arrested and violating parole/probation than the non-PCS group. Odds ratios can be converted into probabilities, which can be more easily interpretable, using the formula  $OR/(1+OR)$ .

participation in PCS resulted in a 38 percent reduction in the probability of a warrant being filed for technical violations. Further, this finding was statistically significant, controlling for the number of days on supervision and the number of arrests prior to the current sentence.

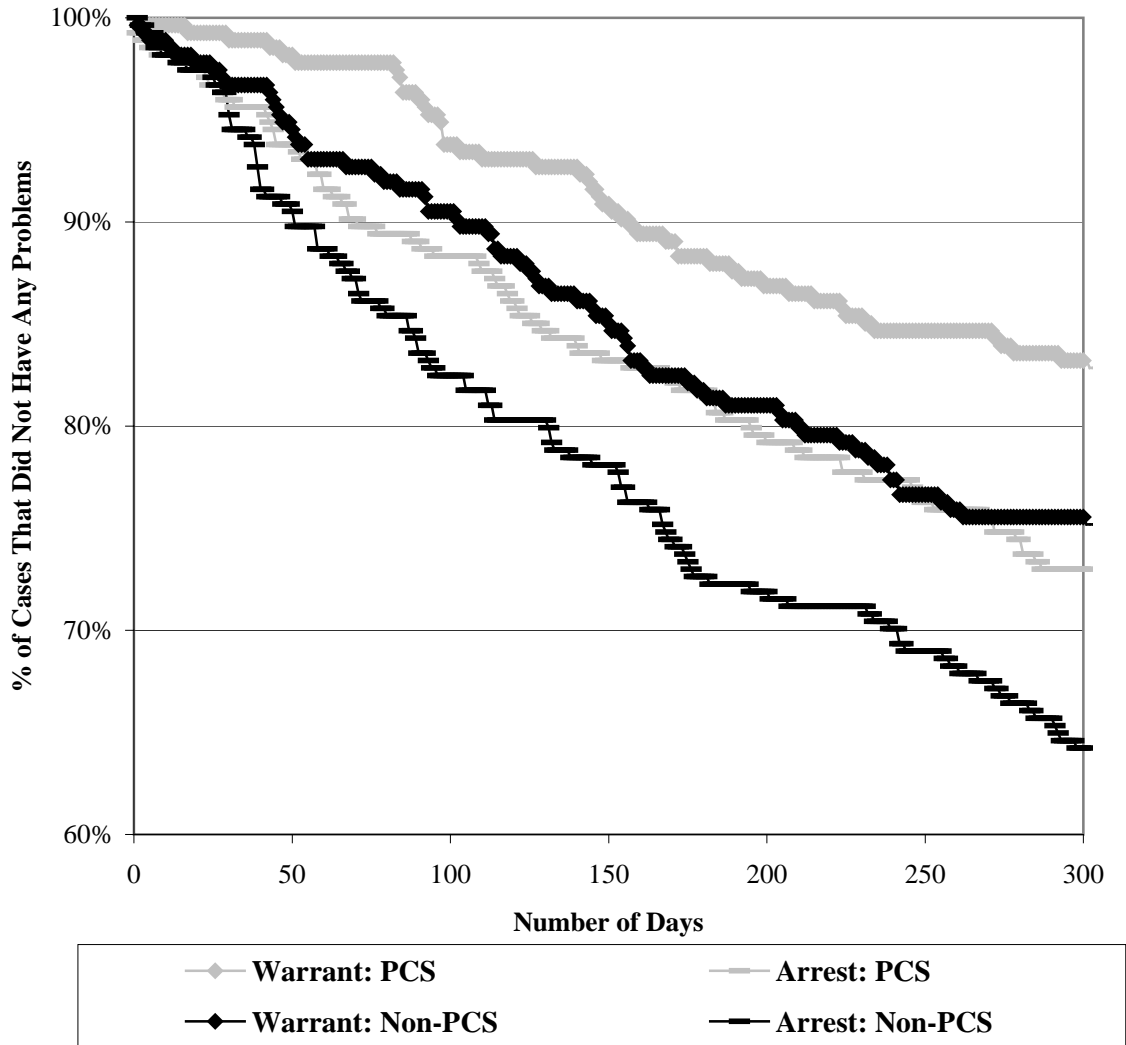
### *Length of Time in Successful Supervision*

The logistic regression findings were replicated in the analyses that examined the length of time until offenders started to be unsuccessful on supervision; no differences occur in the length of time to first positive drug test or failure to appear for a drug test. Yet, PCS cases tended to be successful by being on supervision longer until they started to have serious misconducts such as new arrests or misbehaviors that result in warrants being filed.

Figure 2 illustrates the results from a Cox regression comparing differences in the length of time until the first rearrest for PCS and non-PCS, controlling for the number of days on supervision and the number of prior arrests. The two groups had similar survival rates for the first month on supervision with roughly 95 percent of both groups remaining without an arrest. After 40 days on supervision, non-PCS survival rates began to diminish at a rate faster than those under PCS. By the first year, 62 percent of the non-PCS group was arrest-free compared to 71 percent of the PCS group.

Similar results are presented for the length of time until a warrant request is filed for the PCS and non-PCS groups. For example, by the 50<sup>th</sup> day on supervision, 5.5 percent of the non-PCS group already had a warrant filed against them compared to 2 percent of the PCS group. By the first year, 28.5 percent of the non-PCS group had warrants filed against them compared to 20 percent of the PCS group.

**Figure 2.**  
**Length of Time to Warrant and Arrest**  
**for PCS and Non-PCS Cases**



- Warrant:** By the **50<sup>th</sup>** day on supervision, differences between PCS and non-PCS are apparent with 5.5 percent of the non-PCS group having a warrant compared to only 2 percent of the PCS group. By the **300<sup>th</sup>** day, 80 percent of the PCS group remained without a request for a warrant as compared to 71.5 percent of the non-PCS group.
- Arrest:** After **40 days** on supervision, the non-PCS group started to quickly diminish where 62 percent were arrest-free by the **300<sup>th</sup>** day on supervision. The proportion of the PCS group that remained arrest-free by the **300<sup>th</sup>** day was 71 percent.



## Offender Interviews

Onsite interviews of 50 offenders participating in the PCS process were conducted during November 2005 at the parole/probation offices serving the areas listed in Table 8. Respondents volunteered to participate and were compensated with \$10 grocery cards.

**Table 8. Number of Offender Interviews by Location**

Parole/Probation Area	Number of Interviews
Caroline County	10
Hyattsville	10
Mondawmin – Parole	10
Mondawmin – Probation	10
Silver Spring	10

The characteristics of the group responding to the survey were slightly different than those in the outcome study. For those interviewed, 68 percent were African American compared to 85 percent in the outcome study. Another slight difference is that 90 percent of the interviewees reported having been assessed using the LSI-R, compared to only 70 percent of the randomly selected group. The interviews were conducted to learn more about the offenders' experiences on supervision.

The main survey question regarded what the agents had informed the offender about their process to be successful on supervision. Forty-eight survey participants responded to this question and indicated that the agents told them to keep all of their appointments, provide negative drug tests, and seek or maintain employment. There were also instances where agents stressed special conditions with their clients (i.e., taking medication or attending treatment). The survey revealed that overall offenders are aware of the change in the rapport with the probation/parole agent, and overall seem favorable to the PCS strategy.

## What Have We Learned?

Over the last 30 years, the area of community supervision has seen experiments in caseload size, intensive supervision (more face-to-face contacts), case management, and specialized programs (e.g., electronic monitoring, day reporting). With few exceptions, the literature has shown that increasing the intensity of supervision through a variety of external controls has not improved offender outcomes. In fact, similar results are likely to occur or enhanced technical violations due to the detection that occurs from increased surveillance of the offender. PCS provided a new model for supervision consisting of goal-directed supervision plans that are tied to specific criminogenic traits. The agents used behavioral management strategies—valid risk and needs tools, case plans, and compliance management strategies—in an environment where the focus was on resocializing the offender to be a productive member of the community. This strategy for supervision is theoretically sound, as it is based on the literature on behavioral change and conditioning as well as organizational change. PCS results illustrated that a goal-focused supervision plan can reduce the likelihood of arrest and technical violations that result in warrants and often

revocation. Even more importantly, the results suggest that more productive, goal-centered contact between the offender and agent can have a positive outcome.

PCS encompasses the key components of effective interventions: targeting high risk behaviors, focusing on key criminogenic traits, managing progress, using place-based strategies, and engaging the organization in change. The results illustrate the following:

- An assessment instrument, in this case the LSI-R, can be used to develop case plans that are meaningful to offenders;
- Case plans can target different goals based on criminogenic traits;
- Offenders will take responsibility for conditions in their case plan if they understand the rationale;
- Offender non-compliance can be managed in a way to reduce warrants for technical violations but ensure public safety; and
- Adherence to case plans can reduce rearrest and technical violation rates.

The PCS strategy resulted in increased numbers of: target conditions, actions taken by the offender on those conditions, and offenders who were compliant during the supervision period.

Participation in PCS had a positive effect on offender outcomes. Comparing the results of the 274 PCS cases, of which 30 percent were only partially exposed to PCS due to implementation flaws, the study still obtained statistically significant differences in rearrest and warrants for technical violation rates. Regardless of the criminal history of the offender, the PCS strategy was shown to intervene in those patterns. Even more remarkable is that one of the jurisdictions (Baltimore City) had heightened law enforcement activity during the study period, which should have meant that probationers/parolees under supervision who are involved in criminal activities would have had an increased likelihood of arrest. But this did not occur for the PCS group at all—the PCS strategy appears to be addressing criminogenic traits.

An advantage of place-based strategies is that the organizational unit is involved in the change process. The PCS strategy involved MDPP's central administration, regional directors, and assigned PCS areas. Central administration had two senior staff members devoted to developing partnerships to expand services and linkages to key organizations in the four areas implementing PCS. Each PCS area engaged in a holistic training process that involved redefining the role of agency supervisors and unit directors. The use of Managing for Results was vital in assisting each unit to be held accountable. Outside evaluators monitored the progress of using MOCSE and the PCS strategy during the first two years to ensure that the process was being implemented. Collectively, this place-based strategy affected successful implementation in three of the four areas. Implementation in most of the areas was over the benchmark of 50 percent of the cases receiving an LSI-R, case plan, and compliance management strategies in an environment that encouraged offender change. One area had tremendous management and turnover problems that resulted in reduced implementation at the 20 percent level.

Overall, the findings support that improvements can be made in supervision to impact the outcomes of offenders. The tools of the trade, which are empirically-based such as

assessment, case plans, accountability and compliance management techniques, and a learning environment, have been shown here to be both feasible and effective. While the work is ongoing, the implementation strategy appears to be promising. Supervision can be its own intervention when supervision staff employ the skills to facilitate offender change.

## **Next Steps**

While good progress has been found in this study, implementation of the PCS strategy is still on-going. This study revealed some areas of growth and development that MDPP should consider as it continues implementing PCS. Below are several recommendations.

- Develop specific staff expertise in typologies and how they relate to different controls and services that can further improve offender outcomes. Case plans currently reflect an attention to key goals, but it is apparent that further work is needed to understand some of the more difficult, entrenched offender behaviors. The typologies that appear to need more refinement are disassociated, violent, and entrepreneur drug offenders.
- Develop management strategies for staff who are not following all of the PCS processes including a set of compliance management strategies.
- Develop a process for using trigger analysis in the case monitoring process to ensure agents are working with offenders on high-risk situations that affect their outcomes.
- Develop supervisor expertise in areas of case planning and monitoring offender progress to further the skill development of line staff. Use the coach model for different components of the process.

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## **Appendix A. MDPP Partners**

## **DIVISION OF PAROLE AND PROBATION**

### **PARTNERSHIPS AND COLLABORATIONS**

Effective utilization of existing community resources is key to reducing offender risk factors and improving desired outcomes. In each PCS community, DPP has actively pursued the development of formalized relationships with a number of community partners in government, private industry, education, non-profit organizations, and the faith community.

These relationships are important because they: 1) put the offender in contact with the community and assist the offender in forming relationships with non-criminal justice agencies; 2) use the existing community resources to address risk factors; 3) build on the expertise of different organizations in the community to provide a pro-social environment; and 4) focus on specific issues that will allow the offender to become a productive member of the community.

The following is a list of partnerships and developing relationships, and the type of services provided.

#### **FEDERAL GOVERNMENT AGENCIES**

**United States Department of Justice Project Garrison** – Federally funded Weed and Seed program:

- Workforce development training
- Job referrals
- Counseling service for females involved in Prostitution
- Alternative community worksites for agents working in the Liberty/Garrison corridor

**United States Department of Labor**

- Tax credits for hiring offenders under criminal supervision
- Federal bonding program

**Social Security Administration**

- Apply for and obtain social security card for employment and identification purposes

## **STATE GOVERNMENT AGENCIES**

**Department of Labor, Licensing and Regulation - One-Stop CareerNet Centers** (Baltimore City, Caroline, Montgomery and Prince George's, St. Mary's, Charles and Calvert Counties)

- Initial assessment of skills, knowledge and abilities
- Résumé preparation and application completion
- Interviewing techniques
- Employment readiness training
- Pre-GED and GED classes
- Job search and placement assistance
- Access to online computerized job bank network
- List of community resource
- Tax credits for employers who hire offenders under supervision

**Department of Human Resources** – Access to Temporary Assistance to Needy Families (TANF) funds for Baltimore City, Montgomery County and Prince George's County offenders for:

- Employment training programs (Strive, Inc)
- Fatherhood programming (parenting skills)
- Social services
- Health screenings
- Housing
- Family counseling
- Tax Credit Incentives for Employers who hire offenders under supervision
- Maryland Energy Assistance Program - Identifying/screening offender eligibility for energy assistance

**Governor's Advisory Council on Offender Employment Coordination** (Statewide) – This particular relationship focuses on identifying private employers who will employ offenders under community supervision and pre-trial release.

## **Department of Health and Mental Hygiene**

- STD/HIV/AIDS Prevention, Testing, Education and Referral Services

## **LOCAL GOVERNMENT AGENCIES**

**Mayor's Office of Employment Development (MOED)**

- Initial assessment of skills, knowledge and abilities
- Résumé preparation and application completion
- Interviewing techniques
- Employment readiness training
- Pre-GED and GED classes
- Job search and placement assistance
- Access to online computerized job bank network
- List of community resource
- Tax credits for employers who hire offenders under supervision

A formalized agreement and the addition of a staff person at the Northwest Career Center has resulted in the following for 2004:

- 1264 referrals from agent staff
- 1201 serviced (assisted by DPP Resource Coordinator)
- 1191 referred to employers
- 192 placed in jobs
- 244 referred to educational services
- 19 enrolled in GED program

### **Baltimore City Police Department**

- Joint home contact with agents and officers, upon request
- Designated liaison agent and officer in each office and district station for swift exchange of information and warrant service
- Sharing digital photographs of offenders
- Safe havens in police district stations (work areas to accommodate agents while in community)
- Meetings with new offenders in district stations (including service providers, parole and probation and police)
- Cross-training for officers and agents in each agency's processes

Agents have access to space in the Western, Northern, and Northwest Police District stations. Staff utilizes the space on a weekly basis (including weekends) to meet with offenders and to dialogue with police partners.

DPP staff began training police staff on the use of Offender Based State Correctional Information System II (OBSCIS).

**Baltimore Ex-Offender Task Force** – Consortium of approximately 70 organizations in Baltimore City working to remove barriers to the successful re-integration of offenders into the community. The focus is on employment, housing, health, social services, and education.

**Baltimore City State's Attorney's Office** – working relationship with partnership coordinator and community advocates to:



- Identify and resolve community issues relating to offenders under supervision

### **Prince George's County Department of Corrections**

- Pretrial services
- Aftercare and transition services
- Psychiatric referrals

### **Prince George's County Police**

- Joint home contact with agents and officers, upon request
- Designate liaison agent and officer in each office and district station for swift exchange of information and warrant service
- Sharing digital photographs of offenders
- Alternative community worksites in police district stations (work areas to accommodate agents working while in community)
- Meetings with new offenders in district stations (including service providers, parole and probation and police)
- Cross-training for officers and agents in each agency's processes

### **Adams House – Funded by Prince George's County Health Department:**

- Employment
- Interpersonal skills
- Fatherhood and parental responsibility
- Health screening

### **Laurel Police Department**

- Alternative community worksite in district station where agents regularly meet with offenders

### **Hyattsville Police Department**

- Alternative community worksite for agents to meet with offenders
- Expedited warrant services

### **Prince George's County State's Attorneys Office**

- Access to employment and workforce development opportunities
- Utilization of alternative community worksites

### **Montgomery County Police Department (MOU pending signature)**

- Joint home contact with agents and officers, upon request
- Designate liaison agent and officer in each office and district station for swift exchange of information and warrant service
- Sharing digital photographs of offenders
- Alternative community worksites in police district stations (work areas to accommodate agents working while in community)
- Meetings with new offenders in district stations (including service providers, parole and probation and police)
- Cross-training for officers and agents in each agency's processes

### **Montgomery County Department of Parks and Recreation**

- Alternative community worksites for agent staff
- Location for face-to-face community meetings with offenders

**Montgomery County Collaboration Council for Children, Youth and Families** – Group composed of county agencies seeking to address at-risk youth and adults and working to provide opportunities for success by focusing on:

- Eliminating gang violence
- Family issues
- Educational opportunities

**Caroline County local police agencies** - (Greensboro, Preston, Denton, Marydel, Federalsburg and Ridgely)

- Alternative community worksites for agent staff to meet with offenders in the community
- Joint home contact with agents and officers, upon request
- Cross-training for officers and agents in each agency's processes

**Caroline County Detention Center** - DPP conducts a Release Workshop at the detention center for inmates within 90 days of release to:

- Discuss their Conditions of Release
- Answer general questions regarding parole supervision and what will be expected of them for the duration of their supervision status

## **NON-PROFIT ORGANIZATIONS**

**Maryland New Directions for Women** – Services targeted for female offenders:

- Job search and support group
- Job readiness skills training
- Individual career counseling
- Weekly and monthly computer training
- Life management skills
- Job coaching
- Follow-up retention and support services

**People Encouraging People** – Maryland’s largest community support program for persons with mental illness:

- Education
- Job training and placement
- Community housing
- Independent living skills and training
- Case management
- Transportation services

**Northwest Baltimore Corporation** – Umbrella organization that represents 72 community associations (approximately 45,000 families).

- Adult literacy programs
- Computer instruction
- Job referral for offenders residing within the catchment area

**Strive, Inc.**

- Transitional employment training
- Pre-GED and GED services
- Employment retention and support services
- Employment training
- Job placement
- Placement and social support services to limited number of offenders in the Mondawmin area

**Project Second Chance** – Provides counseling services to offenders with mental health needs

- Employment services
- Mental health services
- Assistance with housing

**Genesis Group, Inc.**

- GED classes
- Workforce development
- Fatherhood program
- Life skill classes
- Transitional housing
- Debt leveraging program

### **Associated Black Charities**

- STD/HIV/AIDS Prevention, Testing, Education and Referral Services for incarcerated and community-based offenders
- Case Management Support Services
- Mobile Van/Outreach Team
- Re-Entry Services Support Groups
- Housing for HIV Positive Women and their Children

### **NAACP National Prison Project** – The focus of this partnership are:

- Employment
- Education
- Housing and health care for offenders under community supervision in Baltimore City.

### **Laurel Advocacy Referral Services**

- Employment
- Housing

### **Women Accepting Responsibility (WAR)** – for female offenders

- STD/HIV/AIDS Prevention, Testing, Education and Referral Services
- Case Management Support Services
- Mobile Van/Outreach Team
- Re-Entry Services Support Groups
- Housing for HIV Positive Women and their Children

### **Family Crisis Center of Prince George's County**

- Public safety concerns in domestic violence cases
- Anger management classes
- Family counseling

### **Montgomery County Literacy Council**

- Pre-GED and GED programs for offenders

## **Montgomery County Community Conferencing Council**

- Conflict resolution
- Mediation services
- Problem Solving strategies

## **Christopher Place Employment Academy (new partnership in development)**

The following services will be provided to males in a residential setting:

- Employment
- Housing
- Addictions recovery

**Episcopal Services of Maryland** - provides the following services to ex-offenders who are veterans of the armed forces:

- Employment
- Workforce development
- Addictions treatment services
- Housing
- General medical and mental health care and counseling

## **FAITH-BASED**

### **Project Arise: Faith-Based Community Outreach Program**

- Educational services
- Offender links to substance detoxification
- Treatment providers and counselors
- Assistance with finding shelter for the homeless
- Transitional or permanent housing
- Assistance with finding employment

### **New Shiloh Community Development Corporation**

- Employment
- Support groups

### **Catholic Charities/ St. Jude's Employment Center of Baltimore:**

- Workforce development
- Job training and placement
- Job search services (free) – phone, copier, fax, e-mail, Internet access

**Catholic Charities Fatherhood Initiative** – Assistance for non-custodial fathers:

- Workforce development
- Parenting skills

**Catholic Charities - Montgomery County**

- Workforce development
- Job training and placement
- Job search services (free) – phone, copier, fax, e-mail, Internet access

**The Caroline Center**- This partnership targets female offenders in Baltimore City. This organization provides educational and job training opportunities in the areas of:

- GED
- Nursing Assistant
- Computer/Business/Clerical
- Upholstery
- Certified Child Care Provider

**New Revival Church**

- Venue for staff to meet with offenders in the community
- Alternative community worksites for agent staff to conduct work

**Sacred Zion Church** – Safety Counts Program

- STD/HIV/AIDS Prevention, Testing, Education and Referral Services
- Case Management Support Services
- Client Advocacy
- Sisters Helping Each Other (SHE) -- Support Group for female offenders
- Food/Clothing Distribution

**PRIVATE INDUSTRY**

**Kelco, Inc.** – Sheet Metal Manufacturer has employed offenders under community supervision and willing to hire more.

**Holly Poultry, Inc.** – Distributes and processes chicken, beef and pork products. Employs offender on parole supervision and willing to hire additional offenders under community supervision.

**M&T Bank**

- Financial Literacy Classes
- Budget Management

**Nestle Inc.**

- Employment opportunities for offenders under supervision

**EDUCATION**

**Coppin State University**

- Employment and education opportunities for offenders
- Internship opportunities for criminal justice students
- Utilization of facilities for community activities for offenders under community supervision

**Prince George's Community College**

- Employment and education opportunities for offenders
- Internship opportunities for criminal justice students

**Montgomery County Department of Education**

- Adult education and literacy classes
- Pre-GED and GED classes for offenders

**Montgomery County Community College – Educational Opportunities Center**

- Adult education and literacy classes
- Pre-GED and GED classes for offenders

**Montgomery County Community College – Takoma Park Campus**

- Adult education and literacy classes
- Pre-GED and GED classes for offenders

**Community College of Baltimore County – Catonsville**

- Occupational skills training and programming opportunities

- Job placement and financial aid assistance unemployed and under-skilled parolees and probationers
- Alternative community worksites for agent staff

**Goucher College (new partnership in development)**

- Still in discussion on specific services

**Proactive Community Supervision Internship Program – Recruitment of** interns from Maryland universities, law schools and community colleges resulted in the assignment of approximately 60 interns to DPP offices throughout the state. Three (3) interns became agents. DPP has a relationship with the following universities and colleges for student internship opportunities:

Bowie State University  
Coppin State University  
Harford Community College  
Loyola College  
McDaniel College  
Morgan State University  
Salisbury State University  
University of Baltimore  
University of Maryland Baltimore County  
University of Maryland College Park  
University of Maryland Eastern Shore  
University of Maryland Law School



## Appendix B. Quality Contact Standards Form

### QUALITY CONTACT STANDARDS

Agent Name: \_\_\_\_\_

#### Department and Manner of Being With an Offender

1	<i>Introduced self or greeted offender in a confident, friendly manner and thanked them for their time and effort when closing the session.</i>									
LOW	1	2	3	4	5	HIGH				
2	<i>Posture and physical gestures (e.g., hand shakes, eye contact, non-verbal communication) were deliberate, dignified, and conveyed interest and respect.</i>									
LOW	1	2	3	4	5	HIGH				
3	<i>Was organized and prepared with case materials, recent test results, and session goals.</i>									
LOW	1	2	3	4	5	HIGH				
4	<i>Achieved goal of meeting and closed session with review of immediate action plan for offender.</i>									
LOW	1	2	3	4	5	HIGH				

#### Assessment and Planning

5	<i>Used appropriate communication skills to decrease tension and reinforce positive behavior, minimize interruptions and avoid raising voice</i>									
LOW	1	2	3	4	5	HIGH				
6	<i>Reviewed and updated the offender's progress towards previously established goals.</i>									
LOW	1	2	3	4	5	HIGH				
7	<i>Explored and conducted on-going assessments for offender's ambivalence (to change), criminogenic needs and relevant circumstances of the case.</i>									
LOW	1	2	3	4	5	HIGH				
8	<i>Verified current case information and status (e.g., address, employment) and record case information that reflects minimal supervision standards.</i>									
LOW	1	2	3	4	5	HIGH				

#### Treatment and Service Referral

9	<i>Maintained focus for change on offender and their problem-solving ability.</i>									
LOW	1	2	3	4	5	HIGH				
10	<i>Adequately discussed referral needs, and jointly planned goals &amp; obstacles with offender and guided through the stages of change.</i>									
LOW	1	2	3	4	5	HIGH				

#### Sanctions and Ground Rules

11	<i>When necessary, appropriately reminded offender of ground rules for effective supervision and legal consequences for non-compliance.</i>									
LOW	1	2	3	4	5	HIGH				
12	<i>When appropriate (dictated by sanction contract), provided sanctions clearly in a fair manner.</i>									
LOW	1	2	3	4	5	HIGH				

TOTAL	+	+	+	+	+	=				
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