

# **MACCAC Evidenced Based Practices Continuous Quality Improvement Plan**

**Last Revised September 5, 2011**



## Introduction

The evolution of Evidence-Based Practices (EBP) in the field of corrections has significantly changed the methods by which we provide services to clients. Agencies are well on their way developing competencies in core EBP skill areas and, subsequently, are better equipped to promote positive changes in their client populations. The application of Motivational Interviewing, Effective Alliance, Risk Assessment, Case Planning, and Cognitive Interventions is essential to the success of EBP implementation. However, simply launching these initiatives is not enough. Agencies must invest in sufficient staff training, reinforce methods of continuous improvement, and measure outcomes in order to assure quality services and programming. Research shows that when delivered with fidelity, Evidence-Based Practices will enhance public safety through sustained reductions in recidivism.

The Minnesota Association Community Corrections Act Counties (MACCAC) EBP Quality Improvement Work Group was established to assemble known elements of quality assurance into a format designed to promote agency alignment on a state-wide basis. What follows is a macro-level description of significant elements of a QA plan as it concerns overall outcomes and internal processes. Findings suggest that the following overarching standards must be in place to adequately initiate and support an EBP culture within an organization:

- The organization maintains a comprehensive staff development program. Staff and supervisors receive initial training and annual booster sessions on key service components from qualified instructors.
- The organization exposes staff to continuous opportunities to learn and practice through peer review, coaching, supervisor observations, booster sessions, skills training, etc.
- The organization routinely evaluates staff practices. Administrators and supervisors consistently monitor services and procedural compliance on an agency level. A systematic approach to case auditing and individual employee performance expectations are EBP-specific.

The Continuous Quality Improvement (CQI) document is divided into five phases. Within each phase, there are five Evidenced-Based Practices listed that include: (a) effective alliance; (b) motivational interviewing; (c) risk assessments; (d) case plans; and (e) cognitive behavior skill development.

Phase One is designed to measure and prepare your agency for implementing Evidenced-Based Practices. Each MACCAC agency is expected to report all of the objectives listed in Phase One within their comprehensive plan. This ensures that agencies have set a strong foundation in which their efforts in EBP can be successful.

In Phase Two, the outcomes are designed to measure adequate training among staff in the five EBP principles and ensure the agency has put a process in place for measuring staff's use of EBP skills.

Phase Three is designed to have each agency measure staff's quality in delivering EBP principles with fidelity. In Phase Four, the agency is expected to conduct a retrospective look at its outcomes and Quality Improvement processes to see if adjustments need to be made. The focus of Phase Five is to measure the agency's overall implementation of EBP practices department-wide while maintaining fidelity.

In Phases Two, Three and Five, each EBP principle is broken out by objectives, data baseline, target, and outcome. The objectives are defined as core operating principles for implementing EBP with fidelity. The agency sets the data benchmark based on their current status with regard to implementation of an EBP principle, while the target is where they hope to be after training efforts and working with staff in the delivery of EBP. The agency outcomes are defined as how the organization did in comparison to the target. With flexibility in target and outcomes, this allows each agency to set the pace and expectations based on resources available to support implementing EBP.

After reporting on Phase One within the comprehensive plan, each MACCAC agency will be expected to report in future plans the target outcomes starting with Phase Two and progressing to Phases Three through Five based on competency and meeting target objectives. Within each phase and EBP principle, agencies are expected to report on all outcomes listed as mandatory. However, agencies have the choice to report on optional outcomes or other outcomes listed in additional phases based on organizational competency achievement of an EBP principle.

Many agencies have a strong interest to implement Evidence-Based Practices with fidelity but lack the resources to internally measure, collect data, and support fidelity in the manner suggested in this CQI plan. Evaluating staff practices has mainly been a supervisory responsibility in our field. The quality improvement measures proposed in this plan are suggested to provide a road map for agencies to move forward, and yet the writers acknowledge there are many limitations regarding each individual agency's ability to evaluate staff practices in a manner that is evidence-based.

**Phase One-Agency Preparedness Vision: MACCAC agencies are prepared to foster EBP with quality assurance as a priority.**

<i>Objectives</i>	<i>Narrative Update</i>
Assess the agency's mission/vision and operating principles/policies for alignment with EBP practices	
Conduct an organizational assessment and evaluate the culture/structure support for implementation of EBP	
Develop an EBP plan to guide implementation strategies and progress	
Ensure staff's participation in EBP through communication strategies and/or involvement in a task force	
Develop a plan that outlines methodology for tracking outcomes	
Define actual outcomes to establish a baseline and to establish a process to measure outcomes annually	
Ensure hiring strategies and performance expectations are aligned with EBP	

## PHASE TWO - EBP Implementation with Quality Improvement Measures

**Phase Two-Effective Alliance Vision: All agents are proficient in professional, effective alliance techniques.**

<i>Objectives</i>	<i>Agency Determined Data/Benchmarks/Baseline</i>	<i>Target</i>	<i>Agency Outcomes</i>
	( Example)	<b>Mandatory:</b>	<b>Mandatory:</b> (Example)
Define agent/client relationship	<i>23% of agents are familiar with 14 traits and use them in their interactions with clients</i>	XXX% of agents are trained in effective alliance	<i>50% of agents are trained in effective alliance</i>
Establish standards for effective alliance as adopted at the agency level	<i>10 % of corrections staff have completed booster sessions.</i>	XXX% of corrections staff have completed booster sessions	<i>35 % of corrections staff have completed booster sessions</i>
Train agents on the 14 effective alliance traits	<i>10 % of staff have been observed to assess effective alliance skills</i>	XXX% of staff have been observed to assess effective alliance skills	<i>25% of staff have been observed to assess effective alliance skills</i>
Implement semi-annual boosters			
Implement an offender survey tool			
Establish supervisory assessment/audit plan	<i>Effective alliance client surveys were completed on 5 % of corrections staff</i>	Effective alliance client surveys were completed on XXX % of corrections staff	<i>Effective alliance client surveys were completed on 10% of corrections staff</i>
Launch direct observation			

**Phase Two-Motivational Interviewing Vision: All designated probation & corrections officers effectively engage the client in targeting those behaviors and criminogenic needs that impact recidivism.**

<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>
<p>Establish standards for MI as adopted at the agency level</p> <p>Provide training for all staff on MI by certified trainers</p> <p>Establish supervisory expectations for coaching staff</p> <p>Continue applied skill practice and feedback in order to retain MI skills</p>	TBD	<p><b>Mandatory:</b></p> <p>XXX% of targeted staff receive the initial MI training by a certified trainer using best practices curriculum ( Current standard is 32 hours)</p> <p>XXX% of targeted staff attend yearly booster trainings</p> <p>XXX% of corrections staff are assessed by an evaluation method including observation</p>	TBD
		<p><b>Optional:</b></p> <p>XXX% of agency’s supervisors receive the initial MI training by a certified trainer and curriculum</p>	

## PHASE TWO - EBP Implementation with Quality Improvement Measures

<b>Phase Two-Risk Assessment Vision: All targeted clients' criminogenic risk &amp; needs factors are properly assessed.</b>			
<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>
<p>Establish standards for risk assessment as adopted at the agency level</p> <p>Implement an initial criminogenic risk/needs assessment on targeted cases</p> <p>A pre-screening tool is utilized on clients who otherwise would not receive an initial risk/needs assessment</p> <p>Persons yielding a high score are referred for a full assessment</p> <p>Appropriate trailer assessments are completed on clients involving sex crimes and/or domestic violence</p> <p>A re-assessment of criminogenic risk/needs is completed on clients with an active case plan</p> <p>Risk/needs scores drive level of supervision</p> <p>Professional override decisions are limited to exceptional situations</p>	TBD	<p><b>Mandatory:</b></p> <p>XXX % of the target population with an initial risk/needs assessment completed within XX days of client availability</p> <p>XXX% of target population with a pre-screen completed within 30 days of referral</p> <p>XXX% of staff are evaluated by an inter reliability method in their scoring of risk/need assessment tools</p> <hr/> <p><b>Optional:</b></p> <p>XXX% of clients assigned and supervised according to the appropriate level of supervision as identified on the risk assessment</p>	TBD

## PHASE TWO - EBP Implementation with Quality Improvement Measures

**Phase Two-Case Plan Vision: All targeted clients' dynamic criminogenic risk factors are addressed.**

<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>
<p>Identify a target population requiring a case plan</p> <p>Establish standards for a criminogenic based case plans as adopted at the agency level</p> <p>Complete agent skill training</p>	TBD	<p><b>Mandatory:</b></p> <p>XXX% of completed case plans on target population</p> <p>XXX% of case plans audited annually for quality assurance</p> <p>XXX% of targeted agents receiving annual effective case management booster sessions</p>	TBD
		<p><b>Optional:</b></p> <p>XXX% of case plans targeting criminogenic needs</p>	

## PHASE TWO - EBP Implementation with Quality Improvement Measures

**Phase Two-Cognitive Behavior: All targeted clients are taught new skills so they can effectively manage their thoughts and behaviors and avoid recidivism.**

<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>
<p>Establish standards for cognitive behavior interventions as adopted at the agency level</p> <p>Select research based cognitive behavior curriculum(s) based on target population</p> <p>Train cognitive behavior facilitators by a master certified trainer</p> <p>Implement a screening process to ensure clients are properly targeted for cognitive behavior interventions</p> <p>Utilize a pre-and post-test/survey to evaluate client's learned competences based on the group curriculum</p> <p>Train staff in using cognitive behavior skills exercises in individual meetings with clients that contain modeling, skill practice and reinforcement</p>	TBD	<p><b>Mandatory:</b></p> <p>XXX% of staff facilitating cognitive behavior groups are trained by a master certified trainer</p> <p>XXX% of staff facilitating cognitive behavior groups where their delivery of the curriculum was assessed for quality by either an offender survey or observation tool</p> <p>XXX% of staff members that have been trained in cognitive behavior skill strategies for working with clients on an individual basis</p> <p>XXX% of high risk cases where an offender survey, case audit tool, or observation tool was used to gauge staff's delivery of individual cognitive behavior skill exercises with offenders</p>	TBD

<p>Assess staff in their use of cognitive behavior skill exercises during individual meetings with clients</p>		<p><b>Optional:</b></p> <p>XXX% of clients are screened by defined guidelines for a cognitive behavior group</p> <p>XXX% of high risk clients that participated in a cognitive behavior skill exercise in an individual meeting</p>	
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## PHASE THREE - EBP Implementation with Fidelity

<b>Phase Three-Effective Alliance Vision: All agents are proficient in professional, effective alliance techniques.</b>			
<i>Objectives</i>	<i>Agency Determined Data/Benchmarks/Baseline</i>	<i>Target</i>	<i>Agency Outcomes</i>
Review staff training compliance  Enhance booster session content  Review client surveys for staff having effective alliance traits	TBD	<b>Mandatory:</b>  Based on an observation tool XXX% of corrections staff were assessed at competency level or above for effective alliance traits  XXX% of corrections staff have completed booster sessions  Effective alliance client surveys were completed on XXX% of corrections staff	TBD
		<b>Optional:</b>  XXX% of target population have been issued a survey and XXX% of clients report satisfactory levels or above in corrections staff having effective alliance traits	

## PHASE THREE - EBP Implementation with Fidelity

<b>Phase Three-Motivational Interviewing Vision: All designated probation &amp; corrections officers effectively engage the clients in targeting those behaviors and criminogenic needs that impact recidivism.</b>			
<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>
<p>Provide training for all staff on MI by certified trainers</p> <p>Establish supervisory expectations for coaching staff</p> <p>Continued role modeling and skill practice by officer in order to retain MI skills</p> <p>Increased competency in staff's use of MI</p>	TBD	<p><b>Mandatory:</b></p> <p>XXX% of targeted staff receive the initial and MI Phase Two training by a certified trainer and curriculum</p> <p>XXX% of targeted staff attends yearly booster trainings</p> <p>XXX% of corrections staff are assessed as competent based on evaluation method</p>	TBD
		<p><b>Optional:</b></p> <p>XXX% of agency's supervisors have received the initial MI and MI Phase Two training by a certified trainer and curriculum</p>	

## PHASE THREE - EBP Implementation with Fidelity

<b>Phase Three-Risk Assessment Vision: All targeted clients' criminogenic risk &amp; needs factors are properly assessed.</b>			
<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>
<p>Persons yielding a high score are referred for a full assessment</p> <p>Increased scoring proficiency on risk//needs tools</p> <p>A re-assessment of criminogenic risk/needs is completed on clients with an active case plan</p> <p>Accurate risk//needs assessments scores accurately drive level of supervision</p> <p>Professional override decisions are limited to exceptional situations</p>	TBD	<p><b>Mandatory:</b></p> <p>XXX% of trailer assessments completed within XX days of client availability</p> <p>XXX% of target population with a re-assessment completed at least annually</p> <p>XXX% of targeted agents that demonstrate scoring proficiency</p> <hr/> <p><b>Optional:</b></p> <p>XXX% of overrides (target should be no more than 10%)</p>	TBD

## PHASE THREE - EBP Implementation with Fidelity

<b>Phase Three-Case Plan Vision: All targeted clients' dynamic criminogenic risk factors are reduced.</b>			
<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>
<p>Properly execute case plans that include SMART goals</p> <p>Ongoing boosters and a menu of resources for staff to support ongoing skill development</p> <p>Observation provides feedback on skill progressions/agency assessment</p> <p>Increased feedback to staff from supervisors on effective relationship with clients</p> <p>All case plans address responsivity, triggers, client strengths, drivers and dosage</p>	<b>TBD</b>	<p><b>Mandatory:</b></p> <p>XXX% of case plans completed on target population</p> <p>XXX% of the case plans audited for quality improvement meeting agency established criteria for competency</p> <p>XXX% of targeted agents receiving annual ECM booster sessions</p> <hr/> <p><b>Optional:</b></p> <p>XXX% of average risk reduction based on initial and final re-assessment on closed cases</p> <p>XXX% of staff members have been observed at least annually in their negotiation of case plans and goals with clients</p>	TBD

## PHASE THREE - EBP Implementation with Fidelity

<b>Phase Three-Cognitive Behavior: All targeted clients are taught new skills so they can effectively manage their thoughts and behaviors and avoid recidivism.</b>			
<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>
<p>Establish yearly booster sessions for trained facilitators</p> <p>Staff facilitating cognitive behavior groups are engaging clients and delivering the curriculum with fidelity</p> <p>Staff members are assessed as using cognitive behavior skill exercises with fidelity during individual meetings with clients</p>	TBD	<p>XXX% of staff facilitating cognitive behavior groups where the offender rated the group as beneficial</p> <p>XXX% of high risk cases where an offender survey, case audit tool, or observation tool demonstrated that staff were effectively working with offenders during individual meetings to enhance their cognitive behavior skills</p> <hr/> <p><b>Optional:</b></p> <p>XXX% of the staff facilitating cognitive behavior groups where the staff members were observed adhering to the curriculum and engaging offenders</p>	TBD

## PHASE FOUR - EBP Implementation Evaluation

<b>Phase Four-To review agency's process outcomes for fidelity in effective alliance, risk assessment, MI, case plans, and delivery of cognitive skills techniques.</b>	
<i>Objectives</i>	<i>Narrative</i>
Identify and develop strategies to improve agency's EBP targeted goals as defined in Phase One through Phase Three	
Assess current EBP practices for new innovations and technologies	
Review EBP training delivery model for efficacy in skill development	
Review client exit survey for potential change in practices/policies	
Review agency's auditing/assessment process for EBP fidelity	
Review all goals as defined in Phase One	

## PHASE FIVE - EBP Implementation with High Fidelity

<b>Phase Five-Effective Alliance Vision: All agents are proficient in professional effective alliance techniques.</b>			
<i>Objectives</i>	<i>Agency Determined Data/Benchmarks/Baseline</i>	<i>Target</i>	<i>Agency Outcomes</i>
<p>Review staff training compliance</p> <p>Enhance booster session content</p> <p>Review client surveys</p>		<p><b>Mandatory:</b></p> <p>Based on an observation tool 100% of corrections staff were assessed at competency level or above for effective alliance traits</p> <p>100% of corrections staff have completed booster sessions</p> <p>Effective alliance client surveys were completed on 100% of corrections staff</p>	<p><b>Mandatory:</b></p> <p>Based on an observation tool XXX% of corrections staff were assessed at competency level or above for effective alliance traits</p> <p>XXX% of corrections staff have completed booster sessions</p> <p>Effective alliance client surveys were completed on XXX% of corrections staff</p>
		<p><b>Optional:</b></p> <p>100% of target population have been issued a survey and 100% of clients report satisfactory levels or above in corrections staff having effective alliance traits</p>	<p><b>Optional:</b></p> <p>XXX% of target population have been issued a survey and XXX% of clients report satisfactory levels or above in corrections staff having effective alliance traits</p>

## PHASE FIVE - EBP Implementation with High Fidelity

Phase Five-Motivational Interviewing Vision: All designated probation & corrections officers effectively engage the client in targeting those behaviors and criminogenic needs that impact recidivism.			
<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>
<p>Provide training for all staff on MI by certified trainers</p> <p>Establish supervisory expectations for coaching staff</p> <p>Continued role modeling and skill practice by officer in order to retain MI skills</p> <p>Increased competency in staff's use of MI</p>		<p><b>Mandatory:</b></p> <p>100% of targeted staff receive the initial and MI Phase Two training by a certified trainer and curriculum</p> <p>100% of targeted staff attends yearly booster trainings</p> <p>100% of corrections staff are assessed as competent based on evaluation method</p> <p><b>Optional:</b></p> <p>XXX% of agency's supervisors have received the initial MI and MI Phase Two training by a certified trainer and curriculum</p>	<p><b>Mandatory:</b></p> <p>XXX% of targeted staff receive the initial and MI Phase Two training by a certified trainer and curriculum</p> <p>XXX% of targeted staff attends yearly booster trainings</p> <p>XXX% of corrections staff are assessed as competent based on evaluation method</p> <hr/> <p><b>Optional:</b></p> <p>XXX% of agency's supervisors have received the initial MI and MI Phase Two training by a certified trainer and curriculum</p>

## PHASE FIVE - EBP Implementation with High Fidelity

<b>Phase Five-Risk Assessment Vision: All targeted client's criminogenic risk &amp; needs factors are properly assessed.</b>			
<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>
<p>Persons yielding a high score are referred for a full assessment</p> <p>Increased scoring proficiency on risk//needs tools</p> <p>A re-assessment of criminogenic risk/needs is completed on clients with an active case plan</p> <p>Accurate risk//needs assessments scores accurately drive level of supervision</p> <p>Professional override decisions are limited to exceptional situations</p>		<p><b>Mandatory:</b></p> <p>100% of trailer assessments completed within XX days of client availability</p> <p>100% of target population with a re-assessment completed at least annually</p> <p>100% of targeted agents that demonstrate scoring proficiency</p> <hr/> <p><b>Optional:</b></p> <p>10 % of risk need tool have overrides</p>	<p><b>Mandatory:</b></p> <p>XXX% of trailer assessments completed within XX days of client availability</p> <p>XXX% of target population with a re-assessment completed at least annually</p> <p>XXX% of targeted agents that demonstrate scoring proficiency</p> <hr/> <p><b>Optional:</b></p> <p>XX % of risk need tool have overrides</p>

## PHASE FIVE - EBP Implementation with High Fidelity

<b>Phase Five-Case Plan Vision: All targeted clients dynamic criminogenic risk factors are eliminated.</b>			
<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>
<p>Properly execute case plans that include SMART goals</p> <p>Ongoing boosters and a menu of resources for staff to support ongoing skill development</p> <p>Observation provides feedback on skill progressions/agency assessment</p> <p>Increased feedback to staff from supervisors on effective relationship with clients</p> <p>All case plans address responsivity, triggers, client strengths, drivers and dosage</p>		<p><b>Mandatory:</b></p> <p>100% of case plans completed on target population</p> <p>100% of the case plans audited for quality improvement meeting agency established criteria for competency</p> <p>100% of targeted agents receiving annual ECM booster sessions</p> <hr/> <p><b>Optional:</b></p> <p>100% of average risk reduction based on initial and final re-assessment on closed cases</p> <p>100% of staff members have been observed at least annually in their negotiation of case plans and goals with clients</p>	<p><b>Mandatory:</b></p> <p>XXX% of case plans completed on target population</p> <p>XXX% of the case plans audited for quality improvement meeting agency established criteria for competency</p> <p>XXX% of targeted agents receiving annual ECM booster sessions</p> <hr/> <p><b>Optional:</b></p> <p>XXX% of average risk reduction based on initial and final re-assessment on closed cases</p> <p>XXX% of staff members have been observed at least annually in their negotiation of case plans and goals with clients</p>

## PHASE FIVE - EBP Implementation with High Fidelity

<b>Phase Five-Risk Assessment Vision: All targeted client's criminogenic risk &amp; needs factors are properly assessed.</b>			
<i>Objectives</i>	<i>Agency Determined Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>
<p>Persons yielding a high score are referred for a full assessment</p> <p>Increased scoring proficiency on risk//needs tools</p> <p>A re-assessment of criminogenic risk/needs is completed on clients with an active case plan</p> <p>Accurate risk//needs assessments scores accurately drive level of supervision</p> <p>Professional override decisions are limited to exceptional situations</p>		<p><b>Mandatory:</b></p> <p>100% of trailer assessments completed within XX days of client availability</p> <p>100% of target population with a re-assessment completed at least annually</p> <p>100% of targeted agents that demonstrate scoring proficiency</p> <hr/> <p><b>Optional:</b></p> <p>10 % of risk need tool have overrides</p>	<p><b>Mandatory:</b></p> <p>XXX% of trailer assessments completed within XX days of client availability</p> <p>XXX% of target population with a re-assessment completed at least annually</p> <hr/> <p>XXX% of targeted agents that demonstrate scoring proficiency</p> <hr/> <p><b>Optional:</b></p> <p>XX % of risk need tool have overrides</p>

## EBP Supervisor Quality Assurance Improvement Outcomes-Optional

<b>Vision: Supervisors are trained in Evidence Based Practices Principles.</b>			
<i>Objectives</i>	<i>Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>
Supervisors are assessed in their understanding of evidenced based practices		<b>Mandatory:</b> XXX% of supervisors have been assessed in their understanding of EBP principles	
Supervisors are trained and have a strong knowledge base of Evidence Based Practices		XXX% of supervisors are trained in Effective Alliance, Motivational Intervening One and Two, Risk Assessments, Effective Case Management, and the delivery of cognitive behavior skills to clients	
Supervisors have a strong knowledge base and are trained in quality assurance methods		XXX% of supervisors that have been trained in quality assurance/ continued quality improvement techniques	
Supervisors are trained in providing feedback individually and in group settings with staff on Evidence Based Practices		XXX% of supervisors that have been trained in providing feedback to staff individually and in group settings when reviewing staff's cases.	

## EBP Supervisor Quality Assurance Improvement Outcomes-Optional

**Vision: Supervisors are assessing and supporting evidence based practices through coaching, role modeling, educating, praising and reviewing staff and cases from a continued quality improvement perspective.**

<i>Objectives</i>	<i>Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>
<p>Supervisors have reviewed staff's strengths and growth areas on EBP and have developed individual development plans with staff for continued quality improvement</p> <p>Supervisor's time has shifted mainly from administrative duties to working with staff in the delivery of evidence based practices</p> <p>Supervisors are observing staff and providing feedback on their delivery of EBP</p>		<p><b>Mandatory:</b> XXX% of staff that have been assessed in EBP delivery and had a development plan drafted which contains specific strategies on enhancing staff's EBP skills</p> <p>XXX% of staff that had their cases reviewed every six months by a case audit tool</p> <p>XXX% of staff that had cases plans formally reviewed monthly in an individual or group setting and specific feedback was provided on strategies to address criminogenic risk and need areas</p> <p>XXX% of staff observed by their supervisor delivery of EBP twice yearly</p>	<b>TBD</b>

## EBP Supervisor Quality Assurance Improvement Outcomes-Optional

<b>Vision: Supervisors are provided ongoing support in their skills in assessing and providing feedback to staff on evidence based practices.</b>			
<i>Objectives</i>	<i>Data/Benchmarks</i>	<i>Target</i>	<i>Agency Outcomes</i>
<p>Supervisor’s time have shifted mainly from administrative duties to working with staff in the delivery of evidence based practices</p> <p>Supervisors are observed in their skills in providing feedback and support to staff in the delivery of evidence based practices</p> <p>Supervisors attend ongoing booster trainings on quality improvement methods</p> <p>Supervisors each year have developed strategies with their supervisor to enhance their assessment and support of EBP</p>		<p><b>Mandatory:</b> XXX% of supervisors time each month that is dedicated to assessing and providing support to staff in the delivery of EBP</p> <p>XXX% of supervisors at least twice a year that were observed providing feedback to staff on EBP principles</p> <p>XXX% of supervisors that attended booster trainings on EBP</p> <p>XXX% of supervisors who had an individual development goal each year that focused on enhancing their skills in continued quality improvement on EBP principles</p>	<p><b>TBD</b></p>

# EBP Quality Improvement Plan

Phase	Outcome	How	System used	Fields
<b>Phase One:</b>	Assess the department's mission/vision and operating principles/policies for alignment with EBP practices			
	Conduct an organizational assessment and evaluate the culture/structure support for implementation of EBP			
	Develop an EBP plan to guide implementation strategies and progress			
	Ensure staff's participation in EBP through communication strategies and/or involvement in a task force			
	Ensure hiring strategies and performance evaluations are aligned with EBP			
	Define actual outcomes to establish a baseline and to establish a process to measure outcomes annually			
	Develop a plan that outlines methodology for tracking outcomes			

<b>Phase Two:</b>	XX% of agents are trained in effective alliance	Training Spreadsheet	Excel	
	XXX% of corrections staff have completed booster sessions	Training Spreadsheet	Excel	
	XX% of files have been assessed for QA	SharePoint List for EBP	SharePoint	

	XXX% of staff have been observed to assess effective alliance skills	SharePoint List for EBP	SharePoint	
	Effective alliance client surveys were completed on XXX % of corrections staff	SharePoint List for EBP	SharePoint	
	XX% of targeted staff receive the initial MI training by a certified trainer using best practices curriculum	Training Spreadsheet	Excel	
	XX% of targeted staff attend yearly MI booster trainings	Training Spreadsheet	Excel	
	XX% of corrections staff are assessed by an evaluation method including observation	SharePoint List for EBP	SharePoint	
	XX% of agency's supervisors receive the initial MI training by a certified trainer and best practices curriculum	Training Spreadsheet	Excel	
	XX % of the target population with an initial risk/needs assessment completed within XX days of client availability	Agent work code determines start and end date. Agent Work is added to the client when they are first available to Community Corrections.	CSTS	Agent Work Code
	XXX% of staff are evaluated by a inter reliability method in their scoring of risk/ need assessment tools	Training Spreadsheet	Excel	
	XX% of target population with a pre-screen completed within 30 days of referral	Risk tool score recorded in Other ID's.	CSTS	Other ID's

	XX% of clients assigned and supervised according to the appropriate level of supervision as identified on the risk assessment	Matching Risk Level to Supervision Level in CSTS. Adding Supervision Levels, ex. "High - Override."	CSTS	Risk Level and Supervision Level
	XX% of completed case plans on target population	Case plan - Short term goals = document, where Long term goals= Conditions where authority is Case plan or PO. User Defined field in Condition dictating Criminogenic need that it targets	CSTS	Condition: User defined, Authority
	XX% of case plans audited annually for quality assurance	Supervisor Audit Report. Ex. Client has reviewed Case Plan - Activity. This can then be pulled with Supervisor Audit Report	CSTS	Depending on the need.
	XX% of targeted agents receiving annual ECM booster sessions	Training Spreadsheet	Excel	
	XX% of average risk reduction based on initial and final re-assessment on closed cases	Tracked in Other ID's - score changes and reassessments	CSTS	Other ID's and Agent Work Code
	XX% of case plans that targeting criminogenic needs	User defined field dictating the Criminogenic field that it targets. Authority is Case Plan	CSTS	Condition: User defined, Authority
	XX% of staff facilitating cognitive behavior groups are trained by a master certified trainer	Training Spreadsheet	Excel	
	XXX% of staff facilitating cognitive behavior groups where their delivery of the	Training Spreadsheet	Excel	

	curriculum was assessed for quality by either an offender survey or observation tool			
	XXX% of staff members that have been trained in cognitive behavior skill strategies for working with clients on an individual basis	Training Spreadsheet	Excel	
	XXX% of high risk cases where an offender survey, case audit tool, or observation tool was used to gauge staff's delivery of individual cognitive behavior skill exercises with offenders	Adding Agent Work Codes and Outcomes, that state what type of observation was done and Outcome	CSTS	Agent Work – Outcome
	XXX% of clients are screened by defined guidelines for a cognitive behavior group	Adding Agent Work Codes for screening sessions with client	CSTS	Agent Work
	XXX% of high risk clients that participated in a cognitive behavior skill exercise in an individual meeting	Adding an Agent Work code for the cognitive exercise completed	CSTS	Agent Work

<b>Phase Three:</b>				
	Based on an observation tool XXX% of corrections staff were assessed at competency level or above for effective alliance traits	SharePoint List for EBP	SharePoint	
	XXX% of corrections staff have completed booster sessions	Training Spreadsheet	Excel	
	Effective alliance client surveys were completed on XXX% of corrections staff	SharePoint List for EBP	SharePoint	

	XXX% of target population have been issued a survey and XXX% of clients report satisfactory levels or above in corrections staff having effective alliance traits	Adding Agent Work Codes and Outcomes, that state what type of survey was done and Outcome of survey	CSTS	
	XX% of targeted staff receive the initial and MI Phase Two training by a certified trainer and curriculum	Training Spreadsheet	Excel	
	XX% of targeted staff attends yearly MI booster trainings	Training Spreadsheet	Excel	
	XX% of corrections staff are assessed as competent on MI based on a evaluation method	SharePoint List for EBP	SharePoint	
	XX% of agency's supervisors have received the initial MI and MI Phase Two training by a certified trainer and curriculum	Training Spreadsheet	Excel	
	XX % of the target population with a reassessment completed at least annually	Risk tool score recorded in Other ID's. Agent work code determines start and end date. Agent Work is added to the client when they are first available to Community Corrections.	CSTS	Other ID's and Agent Work Codes
	XXX% of targeted agents that demonstrate scoring proficiency	SharePoint list for EBP	SharePoint	

	XX% of trailer assessments completed within XX days of client availability	Risk tool score recorded in Other ID's. Agent work code determines start and end date. Agent Work is added to the client when they are first available to Community Corrections.	CSTS	Other ID's and Agent Work Codes
	XX% of overrides (target should be no more than 10%)	Overrides would need to be marked with-in the supervision level. Ex. High - Override	CSTS	Supervision level
	XX% of case plans completed on target population	Tracking that a case plan was done with Agent Work, and then also the criminogenic needs in the condition and user defined field in the condition	CSTS	Conditions and Agent Work
	XXX% of the case plans audited for quality improvement meeting agency established criteria for competency	SharePoint list for EBP	SharePoint	
	XXX% of targeted agents receiving annual ECM booster sessions	Training Spreadsheet	Excel	
	XXX% of average risk reduction based on initial and final re-assessment on closed cases	Risk tool score recorded in Other ID's. Agent work code determines start and end date. Agent Work is added to the client when they are first available to Community Corrections.	CSTS	Other ID's and Agent Work Codes

	XXX% of staff members have been observed at least annually in their negotiation of case plans and goals with clients	SharePoint list for EBP	SharePoint	
	XXX% of staff facilitating cognitive behavior groups where the offender rated the group as beneficial	SharePoint list for EBP	SharePoint	
	XXX% of high risk cases where an offender survey, case audit tool, or observation tool demonstrated that staff were effectively working with offenders during individual meetings to enhance their cognitive behavior skills	Adding Agent Work Codes and Outcomes, that state what type of observation was done and Outcome	CSTS	Agent Work and Outcomes of Agent Work
	XXX% of the staff facilitating cognitive behavior groups where the staff members were observed adhering to the curriculum and engaging offenders	SharePoint list for EBP	SharePoint	

<b>Phase Four:</b>	Identify and develop strategies to improve agency's EBP targeted goals as defined in Phase One through Phase Three			
	Assess current EBP practices for new innovations and technologies			
	Review EBP training delivery model for efficacy in skill development			
	Review client exit survey for potential change in			

	practices/policies			
	Review agency's auditing/assessment process for EBP fidelity			
	Review all goals as defined in Phase One			

<b>Supervisor</b>				
	XXX% of supervisors have been assessed in their understanding of EBP principles	SharePoint list for EBP	SharePoint	
	XXX% of supervisors are trained in Effective Alliance, Motivational Intervening One and Two, Risk Assessments, Effective Case Management, and the delivery of cognitive behavior skills to clients	Training Spreadsheet	Excel	
	XXX% of supervisors that have been trained in quality assurance/ continued quality improvement techniques	Training Spreadsheet	Excel	
	XXX% of supervisors that have been trained in providing feedback to staff individually and in group settings when reviewing staff's cases.	Training Spreadsheet	Excel	
	XXX% of staff that has been assessed in their delivery of EBP and a staff development plan has been drafted that contain specific strategies on enhancing staff's EBP skills	SharePoint list for EBP	SharePoint	
	XXX% of staff that had their	SharePoint list for	SharePoint	

	cases reviewed every six months by a case audit tool	EBP		
	XXX% of staff that had cases plans formally reviewed monthly in an individual or group setting and specific feedback was provided on strategies to address criminogenic risk and need areas	SharePoint list for EBP	SharePoint	
	XXX% of staff members at least twice a year who were observed by their supervisor in the delivery of EBP	SharePoint list for EBP	SharePoint	
	XXX% of supervisors time each month that is dedicated to assessing and providing support to staff in the delivery of EBP	SharePoint list for EBP	SharePoint	
	XXX% of supervisors at least twice a year that were observed providing feedback to staff on EBP principles	SharePoint list for EBP	SharePoint	
	XXX% of supervisors that attended booster trainings on EBP	Training Spreadsheet	Excel	
	XXX% of supervisors who had an individual development goal each year that focused on enhancing their skills in continued quality improvement on EBP principles.	SharePoint list for EBP	SharePoint	

# EBP Quality Improvement Plan

## Exhibit Documents

### Organizational Health Exhibits

#### **Exhibit 1.0 Likert Survey Implementing Effective Correctional Management of Offenders in the Community**

##### Background

The National Institute of Correction and the Crime and Justice Institute's initiative Implementing Effective Correctional Management of Offenders in the Community is intended to reduce offender recidivism by using an integrated model to implement evidence-based practices in corrections. The model focuses concurrently on evidence-based practices, organizational development and collaboration. The Initiative's National Project Team has chosen to conduct Rensis Likert's Organizational Climate Survey with participating organizations as a means to measure organizational productivity and change over time.

Rensis Likert is one of the founders of business management theory and an applied psychologist. He is best remembered for his research in organizational management and the development of the Likert Survey Scale. Likert developed the survey scale as a means of measuring attitudes while completing his thesis work at Columbia University in 1932. In 1967, he published *The Human Organization: Its Management and Value* in which he developed theories of business management.

##### The Survey Structure

Likert used his own categorization system, breaking management styles into the four systems described in Figure 1. These four management systems provide the overall structure for the Likert Organizational Climate Survey.

The fourth system, participative, is described as the ideal system for human-concerned organizations.<sup>1</sup> In this system, leadership has confidence in their staff, personnel at all levels feel real responsibility for organizational goals, there is strong communication, and a substantial amount of cooperative teamwork.

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Boston, Massachusetts 02116 phone 617.482.2520  
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CJI is a division of Community Resources for Justice.

Likert Organizational Climate Assessment Survey

Figure 1 Organizational and Performance Characteristics of Different Management Systems				
System	Description	Trust	Motivation	Interaction
System 1: Exploitative- Authoritative	Threats from management serve as the motivation to those in the lower levels of the system.	No trust	Fear, threats, punishment	Little interaction, always distrust
System 2: Benevolent- Authoritative	A less tyrannical system than the first, but one in which there is still a significant lack of communication between the lower and upper levels of the system.	Master / Servant	Reward, punishment	Little interaction, always caution
System 3: Consultative	Marked increase in communication between levels from the previous two groups.	Substantial but incomplete trust	Reward, punishment, some involvement	Moderate interaction, some trust
System 4: Participative (This is the system that Likert describes as ideal.)	People on all levels of the system have responsibility and work together to achieve common goals. Value must be placed on each individual and the importance of respect at all levels of the organization.	Complete trust	Goals based on participation and improvements	Extensive interaction, friendly, high trust

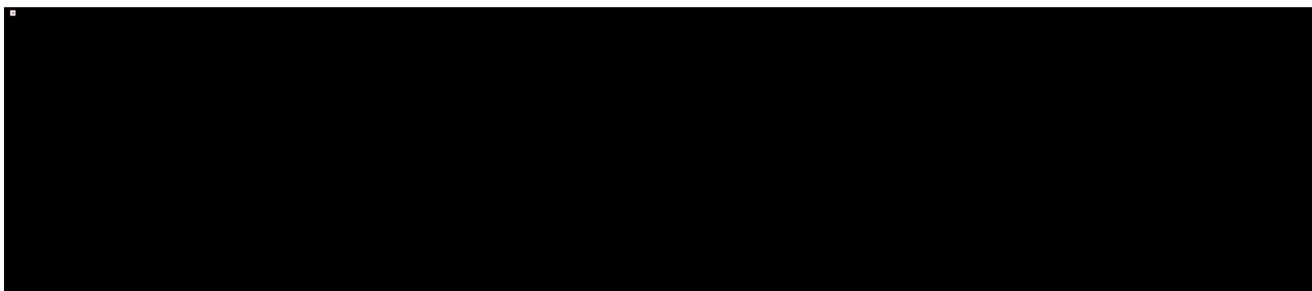
Likert emphasized the importance of the informal structure of the organization and suggested some important aspects of the informal structure that can modify, supplement, or replace the more traditional structural designs used in business and government. His suggestions are based on his research into the following organizational and performance characteristics:

- Leadership processes
- Character of communication process
- Character of motivational forces
- Character of interaction-influence processes
- Character of decision-making processes
- Character of goal setting or ordering
- Character of control process

These characteristics form the question categories in Likert's Organizational Climate Survey. Each response continuum is divided into four intervals relating to the four management styles / systems (Figure 2). In completing the survey, participants are asked to place an "X" on the continuum at the point which best describes their organization. Responses which fall to the left of the center of the continuum are indicative of an authoritative system of management while those that fall to the right of center indicate a system which is more participative. Likert found that the lowest productivity organizations fall to the left of the continuum and that the organizations falling to the right of the continuum have the highest productivity.

However, each organization is different and has different productivity indicators. Therefore, the assessment is structured so that organizations are measured against their own notion of "ideal" in each of the 18 questions. Each question is answered two ways, first, how things are now and second, the perceived "ideal" for that question. By allowing each organization to set its own benchmark "ideal," the survey honors the specific needs of the specific correctional agency surveyed.

Figure 2. Likert's Management Systems <sup>2</sup>



Survey participants are then asked to place an "O" on the continuum at the point which best describes their ideal organization. There is often a gap between survey participants' description of their current organization and their ideal organization. This gap can then be used to identify and prioritize areas in which an agency can focus its organizational development efforts. Surveys conducted at regular intervals can be used to identify trends and measure progress of these organizational development efforts.

---

2

**Exhibit 1.1 CJ Survey of Organizational Functioning (TCU CJ SOF)**

The anonymous participate code below will be used to match data from different evaluation forms without using your name or information that can identify you.

Please complete the following items for your anonymous code:

First letter in your mother's first name: \_\_\_\_\_

First letter in father's first name: \_\_\_\_\_

First digit in your social security number: \_\_\_\_\_

Last digit in your social security number: \_\_\_\_\_

Today's Date: |\_\_|\_\_||\_\_|\_\_||\_\_|\_\_|  
                  MO      DAY      YR

Your Birth Year: 19 |\_\_|\_\_|

Are you:  Male  Female

Are you Hispanic or Latino?  No  Yes

Are you: [MARK ONE]

- American Indian/Alaska Native
- Asian
- Native Hawaiian or Other Pacific Islander
- American Indian/Alaska Native

- White
- More than one race
- Other (specify):  
\_\_\_\_\_

Highest Degree Status: [MARK ONE]

- No high school diploma or equivalent
- High school diploma or equivalent
- Some college, but no degree
- Associates degree

- Bachelor's degree
- Master's degree
- Doctoral degree or equivalent
- Other (medical assistant, RN, post-doctorate)

Discipline/Profession: [MARK ONE]

- Addictions Counseling
- Other Counseling
- Education
- Vocational Rehabilitation
- Criminal Justice
- Psychology

- Social Work/Human Services
- Physician Assistant
- Medicine: Primary Care
- Medicine: Psychiatry
- Medicine: Other
- Nurse

- Nurse Practitioner
- Administration
- None, unemployed
- None, student
- Other (specify):  
\_\_\_\_\_

**Certification Status In Your Field: [MARK ONE]**

- Not certified or licensed*
- Previously certified or licensed, not now*
- Currently certified or licensed*
- Intern*

**How many years of experience** do you have in your field or profession? ..... YEARS MONTHS | | | |

How long have you been **working at this agency?** ..... YEARS MONTHS | | | |

**How many offenders** do you directly supervise currently (i.e., **your caseload?**)? . | | | |

**PLEASE FILL IN THE CIRCLE THAT SHOWS YOUR ANSWER TO EACH ITEM**

<i>Disagree Strongly (1)</i>	<i>Disagree (2)</i>	<i>Uncertain (3)</i>	<i>Agree (4)</i>	<i>Agree Strongly (5)</i>
--------------------------------------	-------------------------	--------------------------	----------------------	-----------------------------------

**Your agency needs additional guidance in -**

- |  |                       |                       |                       |                       |                       |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 1. assessing offender needs.....   | <input type="radio"/> |
| 2. matching needs with services .....  | <input type="radio"/> |
| 3. increasing supervision compliance by offenders.....                       | <input type="radio"/> |
| 4. measuring offender rehabilitation.....                                    | <input type="radio"/> |
| 5. developing more effective supervision strategies.....                     | <input type="radio"/> |
| 6. raising overall quality of offender supervision.....                      | <input type="radio"/> |
| 7. using offender assessments to guide supervision<br>decisions .....        | <input type="radio"/> |
| 8. using offender assessments to document supervision<br>effectiveness ..... | <input type="radio"/> |

**You need more training for -**

- |  |                       |                       |                       |                       |                       |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 9. assessing offender problems and needs .....                           | <input type="radio"/> |
| 10. increasing offender participation in<br>rehabilitation programs..... | <input type="radio"/> |
| 11. monitoring offender progress .....                                   | <input type="radio"/> |
| 12. improving rapport with offenders.....                                | <input type="radio"/> |
| 13. improving offender thinking and problem<br>solving skills.....       | <input type="radio"/> |
| 14. improving behavioral management of offenders.....                    | <input type="radio"/> |
| 15. improving cognitive focus of offenders during<br>supervision.....    | <input type="radio"/> |
| 16. using computerized offender assessments.....                         | <input type="radio"/> |

**Current pressures to make agency changes  
come from -**

- |  |                       |                       |                       |                       |                       |
|--|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 17. offenders.....                       | <input type="radio"/> |
| 18. employees.....                       | <input type="radio"/> |
| 19. supervisors or managers .....        | <input type="radio"/> |
| 20. judges.....                          | <input type="radio"/> |
| 21. community groups and the media.....  | <input type="radio"/> |
| 22. funding and oversight agencies ..... | <input type="radio"/> |
| 23. the State .....                      | <input type="radio"/> |

<b>How strongly do you <u>agree</u> or disagree with each of the following statements?</b>	<b><i>Disagree Strongly</i> (1)</b>	<b><i>Disagree</i> (2)</b>	<b><i>Uncertain</i> (3)</b>	<b><i>Agree</i> (4)</b>	<b><i>Agree Strongly</i> (5)</b>
24. You feel overwhelmed by paperwork.....	O	O	O	O	O
25. Your offices and equipment are adequate.....	O	O	O	O	O
26. You have the skills needed to do your job effectively .....	O	O	O	O	O
27. Some employees get confused about the main goals for this agency .....	O	O	O	O	O
28. Employees here all get along very well .....	O	O	O	O	O
29. You are satisfied with your present job .....	O	O	O	O	O
30. You would like to find a job somewhere else.....	O	O	O	O	O
31. Employees understand how this agency fits as part of the criminal justice system in your community....	O	O	O	O	O
32. Supervision planning decisions for offenders here often have to be revised by a supervisor.....	O	O	O	O	O
33. Employee training and continuing education are priorities at this agency .....	O	O	O	O	O
34. Facilities here are adequate for conducting offender supervision.....	O	O	O	O	O
35. You frequently share your job knowledge with other employees.....	O	O	O	O	O
36. You were satisfied with the training offered at workshops available to you last year .....	O	O	O	O	O
37. You used the Internet (World Wide Web) to communicate (e.g., list serves, bulletin boards chat rooms) with other professionals in your field in the past month.....	O	O	O	O	O

How strongly do you <u>agree</u> or disagree with each of the following statements?	<i>Disagree Strongly</i> (1)	<i>Disagree</i> (2)	<i>Uncertain</i> (3)	<i>Agree</i> (4)	<i>Agree Strongly</i> (5)
38. Management here fully trusts your professional judgment .....	0	0	0	0	0
39. You feel appreciated for the job you do .....	0	0	0	0	0
40. There is too much friction among employees.....	0	0	0	0	0
41. Employees at this agency make a conscious effort to coordinate with others professionals in their field	0	0	0	0	0
42. Ideas and suggestions from employees get fair consideration by management .....	0	0	0	0	0
43. Employees generally regard you as a valuable source of information.....	0	0	0	0	0
44. You have easy access for using the Internet at work	0	0	0	0	0
45. The employees here always work together as a team .....	0	0	0	0	0
46. Offender assessments here are usually conducted using a computer.....	0	0	0	0	0
47. Your duties are clearly related to the goals of this agency .....	0	0	0	0	0
48. You learned new skills or techniques at a professional conference in the past year .....	0	0	0	0	0
49. You consistently plan ahead and carry out your plans.....	0	0	0	0	0
50. You are under too many pressures to do your job effectively .....	0	0	0	0	0
51. Employees here are given broad authority in supervising offenders.....	0	0	0	0	0

How strongly do you <u>agree</u> or disagree with each of the following statements?	<i>Disagree Strongly</i> (1)	<i>Disagree</i> (2)	<i>Uncertain</i> (3)	<i>Agree</i> (4)	<i>Agree Strongly</i> (5)
52. This agency encourages and supports professional growth.....	O	O	O	O	O
53. You like the people you work with.....	O	O	O	O	O
54. You read about new techniques and supervision information each month.....	O	O	O	O	O
55. Employees here are always quick to help one another when needed .....	O	O	O	O	O
56. Computer problems are usually repaired promptly at this agency .....	O	O	O	O	O
57. Novel treatment ideas by employees are discouraged.....	O	O	O	O	O
58. There are enough employees here to meet current offender needs.....	O	O	O	O	O
59. The budget here allows employees to attend professional conferences each year.....	O	O	O	O	O
60. You have enough opportunities to keep your job skills up-to-date .....	O	O	O	O	O
61. Mutual trust and cooperation among employees in this agency is strong .....	O	O	O	O	O
62. Most offender records here are computerized .....	O	O	O	O	O
63. You are willing to try new ideas even if some employees are reluctant .....	O	O	O	O	O
64. Learning and using new procedures are easy for you .....	O	O	O	O	O
65. This agency operates with clear goals and objectives.....	O	O	O	O	O

<b>How strongly do you <u>agree</u> or disagree with each of the following statements?</b>	<b><i>Disagree Strongly</i> (1)</b>	<b><i>Disagree</i> (2)</b>	<b><i>Uncertain</i> (3)</b>	<b><i>Agree</i> (4)</b>	<b><i>Agree Strongly</i> (5)</b>
66. Employees often show signs of stress and strain.....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
67. You feel like you aren't making a difference .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
68. You usually accomplish whatever you set your mind on.....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
69. It is easy to change procedures here to meet new conditions.....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
70. Employees here often try out different techniques to improve their effectiveness.....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
71. You used the Internet (Word Wide Web) to access work-related information in the past month .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
72. The formal and informal communication channels here work very well .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
73. Most employees at this agency are cordial .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
74. Offices here allow the privacy needed for supervision of offenders .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
75. You are sometimes too cautious or slow to make changes .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
76. Employees are given too many rules here .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
77. You feel that it is a real effort to come into work.....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
78. Employees here design programs together .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
79. Employees are always kept well informed .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
80. The heavy workload here reduces effectiveness.....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
81. You regularly read professional journal articles or books related to your field or profession.....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

<b>How strongly do you <u>agree</u> or disagree with each of the following statements?</b>	<b><i>Disagree Strongly</i> (1)</b>	<b><i>Disagree</i> (2)</b>	<b><i>Uncertain</i> (3)</b>	<b><i>Agree</i> (4)</b>	<b><i>Agree Strongly</i> (5)</b>
82. You feel depressed.....	O	O	O	O	O
83. Other employees often ask your advice about procedures.....	O	O	O	O	O
84. More open discussions about agency issues are needed here .....	O	O	O	O	O
85. This agency holds regular in-service training.....	O	O	O	O	O
86. You give high value to the work you do here.....	O	O	O	O	O
87. You frequently hear good employee ideas for improving supervision .....	O	O	O	O	O
88. Other employees often ask for your opinions about agency issues.....	O	O	O	O	O
89. You are effective and confident in doing your job ...	O	O	O	O	O
90. You have a computer to use in your personal office space at work .....	O	O	O	O	O
91. Everybody here does their fair share of work.....	O	O	O	O	O
92. A larger support staff is needed to help meet agency needs.....	O	O	O	O	O
93. The general attitude here is to use new and changing technology .....	O	O	O	O	O
94. You do a good job of regularly updating and improving your skills.....	O	O	O	O	O
95. Employees always feel free to ask questions and express concerns in this agency.....	O	O	O	O	O
96. You have the skills needed to conduct effective offender supervision .....	O	O	O	O	O

<b>How strongly do you <u>agree</u> or disagree with each of the following statements?</b>	<b><i>Disagree Strongly</i> (1)</b>	<b><i>Disagree</i> (2)</b>	<b><i>Uncertain</i> (3)</b>	<b><i>Agree</i> (4)</b>	<b><i>Agree Strongly</i> (5)</b>
97. Employee frustration is common here .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
98. You feel tired .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
99. Management here has a clear plan for this agency ...	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
100. You often influence the decisions of other employees here .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
101. You are proud to tell others where you work .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
102. You have convenient access to e-mail at work.....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
103. You are encouraged here to try new and different techniques .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
104. You are able to adapt quickly when you have to shift focus .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
105. You feel disillusioned and resentful .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
106. You are viewed as a leader by other employees here .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
107. Computer equipment at this agency is mostly old and outdated.....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
108. This agency provides a comfortable reception/ waiting area for offenders.....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
109. Employees here feel comfortable using computers.....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
110. Frequent employee turnover is a problem for this agency .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
111. Employees here are able to spend enough time with offenders .....	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

How strongly do you <u>agree</u> or disagree with each of the following statements?	<i>Disagree Strongly</i> (1)	<i>Disagree</i> (2)	<i>Uncertain</i> (3)	<i>Agree</i> (4)	<i>Agree Strongly</i> (5)
---	---------------------------------	------------------------	-------------------------	---------------------	------------------------------

- |   |   |   |   |   |   |
|---|---|---|---|---|---|
| 112. Support staff here have the skills they need to do their jobs.....                 | 0 | 0 | 0 | 0 | 0 |
| 113. Employees here are well-trained .....  | 0 | 0 | 0 | 0 | 0 |
| 114. The director and employees collaborate to make this agency run effectively.....    | 0 | 0 | 0 | 0 | 0 |
| 115. More computers are needed in this agency for employees to use.....                 | 0 | 0 | 0 | 0 | 0 |
| 116. You were satisfied with the training opportunities available to you last year..... | 0 | 0 | 0 | 0 | 0 |
| 117. You feel that talking to offenders is a waste of time.....                         | 0 | 0 | 0 | 0 | 0 |

<i>None</i>	<i>1</i>	<i>2</i>	<i>3</i>	<i>4 or More</i>
-------------	----------	----------	----------	------------------

- |   |   |   |   |   |   |
|---|---|---|---|---|---|
| 118. In the last year, how often did you attend training workshops held within 50 miles of your agency?.....      | 0 | 0 | 0 | 0 | 0 |
| 119. In the last year, how often did you attend training workshops held more than 50 miles from your agency?..... | 0 | 0 | 0 | 0 | 0 |
| 120. How many workshops do you expect to attend in the next 12 months?.....                                       | 0 | 0 | 0 | 0 | 0 |
| 121. In the last year, how many times did outside trainers come to your agency to give workshops?.....            | 0 | 0 | 0 | 0 | 0 |
| 122. In the last year, how many times did your agency offer special, in-house training? .....                     | 0 | 0 | 0 | 0 | 0 |

	<i>Never</i>	<i>Rarely</i>	<i>Sometimes</i>	<i>A lot</i>	<i>Almost Always</i>
--	--------------	---------------	------------------	--------------	----------------------

123. When you attend workshops, how often do you try out the new interventions or techniques learned? .....
124. Are your offenders interested or responsive to new ideas or materials when you try them? .....
125. In recent years, how often have you adopted (for regular use) new interventions or techniques from a workshop? .....
126. When you have adopted new ideas into your offender supervision, how often have you encouraged other employees to try using them? ...
127. How often do new interventions or techniques that the employees from your agency learn at workshops get adopted for general use?.....
128. How often do new ideas learned from workshops get discussed or presented at your staff meetings?.....
129. How often does the management at your agency recommend or support new ideas or techniques for use by all employees? .....

<b>How strongly do you <u>agree</u> or disagree with each of the following statements?</b>	<i>Disagree Strongly</i> <i>(1)</i>	<i>Disagree</i> <i>(2)</i>	<i>Uncertain</i> <i>(3)</i>	<i>Agree</i> <i>(4)</i>	<i>Agree Strongly</i> <i>(5)</i>
--	--	-------------------------------	--------------------------------	----------------------------	-------------------------------------

**My supervisor –**

130. Inspires others with his/her plans for this agency for the future.....
131. Leads by example.....
132. Gets people to work together for the same goal ....

How strongly do you <u>agree</u> or disagree with each of the following statements?	<i>Disagree Strongly</i> (1)	<i>Disagree</i> (2)	<i>Uncertain</i> (3)	<i>Agree</i> (4)	<i>Agree Strongly</i> (5)
---	---------------------------------	------------------------	-------------------------	---------------------	------------------------------

**My supervisor –**

- |   |   |   |   |   |   |
|---|---|---|---|---|---|
| 133. Insists on only the best performance .....   | O | O | O | O | O |
| 134. Treats each of us as individuals with different needs, abilities, and aspirations .....                              | O | O | O | O | O |
| 135. Takes time to listen carefully to and discuss people’s concerns .....  | O | O | O | O | O |
| 136. Encourages new ways of looking at how we do our jobs .....   | O | O | O | O | O |
| 137. Gives special recognition to others’ work when it is very good .....   | O | O | O | O | O |
| 138. Provides well-defined performance goals and objectives .....   | O | O | O | O | O |
| 139. Emphasizes using new ideas, services, administrative techniques, etc., before most other agency supervisors do ..... | O | O | O | O | O |

**In the past year, you have –**

- |  |   |   |   |   |   |
|--|---|---|---|---|---|
| 140. Invited someone in to help enhance your job performance .....               | O | O | O | O | O |
| 141. Had colleagues observe your job performance .....                           | O | O | O | O | O |
| 142. Received meaningful feedback on your performance from co-workers .....      | O | O | O | O | O |
| 143. Observed other colleagues’ performance .....                                | O | O | O | O | O |
| 144. Received useful suggestions for supervising offenders from co-workers ..... | O | O | O | O | O |

How strongly do you <u>agree</u> or disagree with each of the following statements?	<i>Disagree Strongly</i> (1)	<i>Disagree</i> (2)	<i>Uncertain</i> (3)	<i>Agree</i> (4)	<i>Agree Strongly</i> (5)
145. Many employees in this agency set high standards for themselves.....	0	0	0	0	0
146. Employees support the supervisor in enforcing policies and rules.....	0	0	0	0	0
147. When making important decisions, the agency always focuses on what's best for offender improvement.....	0	0	0	0	0
148. In the past year, you have had frequent conversations with co-workers about the goals of this agency .....	0	0	0	0	0
149. A conscious effort is made by employees to make new employees feel welcome here .....	0	0	0	0	0
150. In the past year, you have had frequent conversations with co-workers about what helps offenders improve .....	0	0	0	0	0
151. Experienced employees invite new employees to observe, give feedback, etc.....	0	0	0	0	0
152. In the past year, you have had frequent conversations with co-workers about development of new ideas.....	0	0	0	0	0
153. Many employees in this agency feel responsible that all offenders improve.....	0	0	0	0	0
154. Agency employees regularly discuss assumptions about supervision and behavior change.....	0	0	0	0	0
155. Workdays are organized to maximize offender supervision time .....	0	0	0	0	0
156. This agency sets high standards for offender improvement.....	0	0	0	0	0

How strongly do you <u>agree</u> or disagree with each of the following statements?	<i>Disagree Strongly</i> (1)	<i>Disagree</i> (2)	<i>Uncertain</i> (3)	<i>Agree</i> (4)	<i>Agree Strongly</i> (5)
157. Many employees in this agency feel responsible to help each other do their best.....	O	O	O	O	O
158. Many employees help maintain discipline in the entire agency, not just their office .....	O	O	O	O	O
159. Many employees in this agency take responsibility for improving the agency.....	O	O	O	O	O
160. At this agency, employees work together to do what is “best for the offenders” .....	O	O	O	O	O
161. This agency has well-defined expectations for all offenders.....	O	O	O	O	O
162. Employees talk about supervisors in staff meetings, in the break room, etc.....	O	O	O	O	O

The CJ Survey of Organizational Functioning (TCU CJ SOF) and Scoring Guide were developed as part of NIDA Grants R37 DA13093, *Transferring Drug Abuse Treatment and Assessment Resources*, and R01 DA014468, *Organizational and Resource Assessments for Treatment Providers*.

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# Case File Review Exhibits

## Exhibit 2.0 Coaching Packet Case File Audit Checklist

Exhibit 2.0: Case File Audit Checklist					
Measure	Target: Percentage of Cases in Which Activity is Applied	5 = On Target 4 = Largely on Target 3 = Partially on Target 2 = Largely Not on Target 1 = Not on Target			
<b>Intake/Assessment</b>					
Risk/need assessment completed	90%	1	2	3	4 5
Responsivity factors identified	80% M/H risk	1	2	3	4 5
Strengths identified	50% M/H risk	1	2	3	4 5
Triggers identified	75% M/H risk	1	2	3	4 5
<b>Case Plan and Case Management</b>					
Case plan completed	90% M/H risk	1	2	3	4 5
Case plan contains top three criminogenic needs	90% M/H risk	1	2	3	4 5
Case plan included family participation where possible and appropriate	20% M/H risk	1	2	3	4 5
Case plan includes trigger(s) and relapse plan	75% M/H risk	1	2	3	4 5
Case plan goals meet the SMART guidelines	75% M/H risk	1	2	3	4 5
Case plan developed with offender input	90% M/H risk	1	2	3	4 5
Case plan includes offender signature	90% M/H risk	1	2	3	4 5
Program intervention matches risk, need, and responsivity factors	75%	1	2	3	4 5
Program intervention sequenced properly with emphasis on the drivers and top criminogenic needs	65% M/H risk	1	2	3	4 5
Case plan reflects appropriate dosage/intensity of intervention	80% M/H risk	1	2	3	4 5
Case notes reflect staff are using a strength-based approach	50% M/H risk	1	2	3	4 5
Case plan is updated every 90 days	75% M/H risk	1	2	3	4 5
<b>Supervision Strategies</b>					
Frequency of offender contacts is in accordance to risk level	90%	1	2	3	4 5
Length of offender contacts is in accordance to risk level	90%	1	2	3	4 5
Type/frequency/duration of field visits conducted is in accordance with risk level	90%	1	2	3	4 5
Incentives and rewards are appropriately used	75%	1	2	3	4 5
Disincentives and sanctions are appropriately used	75%	1	2	3	4 5
Case notes indicate frequent use of behavioral techniques such as modeling, use of practice sessions, skill building, homework	75% M/H risk	1	2	3	4 5
Case notes indicate program learnings are reinforced in one-on-one sessions	50% M/H risk	1	2	3	4 5
Case notes indicate use of stages of change techniques to enhance motivation	65% M/H risk	1	2	3	4 5

Case notes reflect routine involvement of family in intervention strategies/case management plan as appropriate	35% M/H risk	1	2	3	4	5
<b>NARRATIVE</b>						
Summary of areas mastered:						
Summary of areas in need of improvement:						
Professional Development Plan:						

Reference: Mark Carey, Coaching Packet Continues Quality Improvement, Page 26  
2010 Center for Effective Policy <http://www.cepp.com/documents/Continuous%20Quality%20Improvement.pdf>

## Exhibit 2.1 Dodge, Filmore, Olmsted Case File Audit

**Introduction:** The following guidelines are intended to sustain proper training, support, and supervision of Evidence Based Practices. They are not intended to cover every possible contingency, but will provide a foundation from which to promote and evaluate effective case management through proper documentation. Case reviews are applicable to cases involving a minimum of 6 months individualized, direct supervision.

- I. **Assessments** should be completed in accordance with the following policy beginning with the date the client was most recently opened/reopened.

Adults:

1. A Proxy must be completed on all offenders, regardless of offense level.
2. An initial LSI-R must be completed on all felony offenders (as part of a PSI if applicable), on all M/GM person offenders, and on all M/GM non-person offenders with a high proxy score.
3. The LSI-R must be completed within 45 days of assignment unless a previous LSI-R was completed within the preceding 6 months.
4. The above requirements apply to transfer-in cases that are accepted for supervision. An exception to #1 applies if a current LSI-R has already been completed.
5. An LSI-R reassessment must be completed at least annually, when a new offense is committed, and/or when a supervision level is changed.
6. Appropriate trailer assessments will be completed on specific offender types (sex offender, domestic offender, etc.).

Juveniles:

1. A YLS-PS must be completed on all offenders, regardless of offense level.
2. An initial YLS must be completed on all felony offenders (as part of a PDR if applicable), on all M/GM person offenders, and on all non-person offenders with a high YLS-PS.
3. The YLS must be completed within 45 days of assignment unless a previous YLS was completed within the preceding 6 months.
4. The above requirements apply to transfer-in cases that are accepted for supervision. An exception to #1 applies if a current YLS has already been completed.
5. A YLS reassessment must be completed at least annually, when a new offense is committed, and/or when a supervision level is changed.
6. A Mental Health Screening (P.O.S.L.T.) shall be completed pursuant to Unit policy.
7. Appropriate trailer assessments will be completed on specific offender types (sex offender, etc.).

2. **Case Plans** are required in all cases assigned to direct supervision.
  - a. The plan must first address criminogenic risk/needs from the top 6 LSI/YLS domains.
  - b. Responsivity factors should be documented in the case record. Adherence to proper levels of dosage and treatment should also be considered.
  - c. Referral to cognitive skills programming should be a priority when appropriate.
  - d. The plan must be completed within 45 days of availability for supervision.
  - e. Plan reviews should occur at each meeting with the offender.

- f. Updates/revisions to the case plan should be made as needed.
3. **Client contacts** should include Motivational Interviewing, Skill Training, proper use of rewards/sanctions (4:1), and engagement of community supports. Evidence of these contact qualities should be reflected in chronos. Contacts should be at a frequency designated by the respective Unit.
  4. **Collateral contacts** should be initiated and received by the officer as necessary to support elements of the case plan. Important elements of these contacts, including the opinions of other professionals (if applicable) should be summarized in chronos.
  5. **Monitoring** compliance with sanctions, restrictive conditions (including drug/alcohol use), attendance to outside appointments, etc., should be a regular function of the officer and performed at an appropriate level and method. Documentation of these activities should be recorded in chronos.
  6. **Chronos** must be current and reflect adherence to established guidelines. Narratives should reflect attention given to case-plan goals/objectives, monitoring activities, etc .
  7. **Records/file maintenance:**
    - a. Supervision Agreement-Must be completed within 30 days of the offender's availability for supervision.
    - b. Privacy Act Statement (Tennessee Warning)-Must be completed on all offenders at intake.
    - c. Drug Testing Acknowledgement Form-Must be completed on all adult offenders at time probation agreement is discussed and signed.
    - d. Release of information Forms-Must be signed prior to releasing private or confidential data and should be current (no more than one year old) if information is being released.
    - e. Restitution Payment Plan - Must be in place and documented.
    - f. Risk and Supervision Levels - Must be properly designated in the CSTS Detail Screen.
    - g. DNA and/or Predatory Offender Registration-Must be current (if applicable).
    - h. Documents created by staff (court reports, correspondence, etc.) - Must be stored in CSTS.
  8. **Reports to supervising authority** should be formatted in a version accepted by the respective Unit. Narrative should include information relative to case plans and other evidence-based principles.

## Exhibit 2.1 (cont.) Dodge, Filmore, Olmsted Case File Audit Form

Agent: \_\_\_\_\_ Offender: \_\_\_\_\_

1. This case review covers the supervision during the period from \_\_\_\_\_ to \_\_\_\_\_

2. Assessments- Have the following been completed per DFO policy?

Adults:

- |    |                                   |     |    |
|----|-----------------------------------|-----|----|
| a. | Proxy                             | Yes | No |
| b. | Initial Assessment                | Yes | No |
| c. | Reassessment                      | Yes | No |
| d. | Specialized trailer assessment(s) | Yes | No |

Comments:

Juveniles:

- |    |                                   |                         |    |
|----|-----------------------------------|-------------------------|----|
| a. | YLS-PS                            | Yes                     | No |
| b. | Initial Assessment                | Yes                     | No |
| c. | Reassessment                      | Yes                     | No |
| d. | Mental Health Screen              | Yes date ____/____/____ | No |
| e. | Specialized trailer assessment(s) | Yes                     | No |

Comments:

3. Case Plan Review:

- |    |  |     |    |
|----|--|-----|----|
| a. | Addresses appropriate criminogenic risk/needs?               | Yes | No |
| b. | Proper consideration given to:                               |     |    |
|    | Responsivity issues? Yes No Dosage? Yes No Treatment? Yes No |     |    |
| c. | Is the case plan regularly reviewed and updated?             | Yes | No |

Comments:

4. Review of case contacts:

- |    |  |     |    |
|----|--|-----|----|
| a. | Evidence of MI techniques used?                          | Yes | No |
| b. | Evidence of cognitive-behavioral skill training?         | Yes | No |
| c. | Appropriate use of rewards/sanctions?                    | Yes | No |
| d. | Proper engagement/collaboration with community supports? | Yes | No |
| e. | Offender contact standards met (frequency)?              | Yes | No |
| f. | Appropriate level of surveillance/monitoring activity?   | Yes | No |

Comments:

5. Chronos Review:

- |    |  |     |    |
|----|--|-----|----|
| a. | Entries are timely?  | Yes | No |
| b. | Appropriate quality, quantity, and clarity (per guidelines)? | Yes | No |

Comments:

6. File Management:

Are standards met concerning the following:

a. Supervision Agreement	Yes	No	
b. Tennessen Warning	Yes	No	
c. Drug Testing Acknowledgement	Yes	No	
d. Release of Information forms	Yes	No	
e. Restitution Payment Plan	Yes	No	
f. Risk and Supervision levels in CSTS	Yes	No	
g. POR Registration current	Yes	No	N/A
h. Documents in CSTS	Yes	Nb	

Comments:

7. Reports:

a. Appropriately formatted?	Yes	No	
b. Is there an adequate reflection of evidence-based practices being utilized?	Yes	No	

Comments:

## 2.2 Ramsey County Case/File Review Audit Sheet and EBP Worksheets

Client Name \_\_\_\_\_

Date of Review: \_\_\_/\_\_\_/\_\_\_

Unit : \_\_\_\_\_

PO: \_\_\_\_\_

Case Number(s): \_\_\_\_\_

	EBP Worksheet	Compliance			Compliance	
		Yes	Other		Yes	Other
<u>RISK ASSESSMENT</u>				<u>RECORDS</u>		
Risk assessment completed per policy; Date: _____				File Organization		
Re-assessment completed per policy; Date: _____				Supervision Agreements		
Other assessment completed				DNA		
Scoring supported through notes				POR/PSI/Attachments		
				Court Orders		
				UA Protocol		
<u>CASE MANAGEMENT</u>	Pages 16, 18, 26, 32, 76, 83			Confidentiality Waiver		
Domains/Which Domains are target of change plan?				Education/Other Reports		
Chronos entries are accurate and detailed				Treatment Reports		
Rewards/Sanctions are appropriately administered and included in Chronos	Page 94			Collaboration/ Professional Contacts		
				Release of Information		
				Notice of Supervision Fees		
<u>CASE PLANNING</u>	Page 38 and 49			Probation Violation		
S.M.A.R.T. Case plan present	Page 65			Transfer Summary		
Case plan completed with XX days				Address/Phone current		
Case Plan Contains Signatures and Dates				Adherence to contact standards HIGH MEDIUM LOW	H___ M___ L___	
Case plan contains signatures/dates				<u>SPECIALITY</u>		
				ISR – Rules and Regulations		
				Sex offender forms (Registration)		



## Exhibit 2.3 Sample Case Management Audit Instructions

### 5<sup>th</sup> Judicial District Dept. of Correctional Services (Des Moines, Iowa)

NOTE: This case management audit pertains to case management issues only. Other issues related to supervision but not to case management can be audited according to local policy.

1. Were the LSI, CMC/Jesness, and case plan completed within the prescribed time frames?
  - a. Focus: 60 days field and 30 days residential from date of assignment.
  - b. Source: Compare date of assignment and dates on LSI, Jesness, and case plan.
2. Is the problem prioritization consistent with LSI and CMC/Jesness?
  - a. Focus: Problems listed on front page of case plan should reflect results from LSI and CMC/Jesness. Were the Big 4 (criminal history, anti-social companions, anti-social personality, and attitudes) considered in prioritization?
  - b. Source: Case plan, LSI, CMC, Jesness, generic notes, ask officer to explain rationale for prioritization (SAQI, ranking, Big 4).
3. Is the problem behavior and the need that it serves correctly identified?
  - a. Focus: Behavior that is illegal or which leads directly to illegal behavior. What are needs being met by illegal behavior or conditions under which illegal behavior occurs?
  - b. Source: LSI interview notes, PSI, case plan, generic notes from meeting negotiating case plan, ask officer to articulate needs and/or conditions, observation of negotiation session.
4. Does this section contain the undesirable results of the offender's behavior as articulated by the offender (their motivation to change)?
  - a. Focus: Look at offender's entire experience with CJ System – what is significant negative result of this experience. From offender's perspective!
  - b. Source: LSI interview guide, PSI, generic notes describing meeting when case plan negotiated, observation of negotiation session, other evaluations.
5. Is the goal reasonable and measurable?
  - a. Focus: Medium or long term behavior change that is a result of intervention. Must fit offender's capabilities. Stated in a way that attainment of goal can be measured. Internalized, not superficial. Include timeframes.
  - b. Source: LSI interview guide, Jesness, PSI, chronos describing meeting when case plan negotiated, observation of negotiation session, other evaluations.
6. Do offender interventions, tasks, activities appropriately relate to goals? Do the interventions, tasks, activities contain the methods, techniques, resources, and timeframes the offender will use to achieve the stated goal?
  - a. Focus: Are tasks/activities consistent with and supportive of goals and

- interventions? Does officer spell out how task will be completed and what resources will be used? Are there time frames? Are they realistic?
- b. Source: Case plan, chronos documenting sessions where tasks are discussed.
7. Does the benefits section clearly show meaningful/positive behavioral changes/rewards for the offender? Are the benefits in contrast to undesirable results and do the benefits bear a relationship to the prioritized need?
    - a. Focus: Congruency between undesirable behavior and the prioritized needs. Is the benefit meaningful to the offender?
    - b. Source: LSI, CMC/Jesness, case plan, generic notes, observation of negotiation session, ask officer to articulate.
  8. Does the case management plan reflect intervention and supervision/monitoring strategies consistent with the CMC/Jesness?
    - a. Focus: congruency between interventions, techniques, strategies, resources, goals, tasks.
    - b. Source: CMC/Jesness type, wording of case plan components, specificity of goals, tasks, expectations. Generic notes describing negotiation session. Observe negotiation session. Ask officer to articulate how CMC/Jesness type specifically applies to offender.
  9. Do interventions target the criminogenic need in the right intensity and does the intervention use the methods and strategies needed by the offender based on risk, need, and responsivity? Are contacts appropriate and meaningful given the risk, need, and responsivity issues of the offender?
    - a. Focus: Intensity of interventions and supervision, amount of detail in tasks, degree of planned follow-up/documentation, type and amount of planned contacts with offender. How many contacts are personal vs. collateral? How long are personal contacts? What is discussed in personal sessions? How often are contacts? Do all of these things fit with CMC/Jesness type?
    - b. Source: LSI, CMC/Jesness, case plan, generic notes, observation of meetings, ask officer to describe issues mentioned in focus section.
  10. Is the case reviewed on an ongoing basis and does officer make appropriate ongoing case adjustments, i.e. minor violations, rewards, case plan revisions, techniques, strategies?
    - a. Focus: Regarding case review: does officer go back periodically and review entire case to get big picture of case performance. Review should emphasize congruency between LSI, CMC/Jesness, case plan, response to supervision and treatment. Has case stayed on the course first set out by case plan? Should it have? Regarding ongoing case adjustment: focus is not on major responses to major events. Rather, as officer learns more about offender and offender exhibits behavior during course of supervision, does officer make appropriate adjustments in approach, type of contacts, content of contacts, motivational techniques, rewarding techniques, etc.
    - b. Source: Generic notes, case plan, LSI, CMC/Jesness, staff case with officer (ask what has learned about offender and how have made case adjustments).

11. Are critical incidents handled timely and appropriately, given risk, need, responsivity, and other circumstances?
  - a. Focus: Critical incidents refer to those events that relate to case management issues. Are they handled in a timely manner with risk, need, and responsivity factored into immediate and subsequent responses.
  - b. Source: LSI, CMC/Jesness, chronos, ask officer.
  
12. Is the officer communicating with appropriate sources in order to have current, relevant knowledge of the offender's performance in programs?
  - a. Focus: Are lines of communication opened and maintained? Look at frequency and content of contact and whether responsivity is considered.
  - b. Source: Generic notes, ask officer, ask program staff, attend staffings.
  
13. Does the officer have a basic understanding of the programs in which the offender is participating and is this knowledge reflected by reinforcing programming goals in meetings with the offender?
  - a. Focus: Does officer understand programs well enough to have meaningful conversations with program staff about performance and reinforcement? Does officer understand programs well enough to have meaningful conversations with offender about progress in program and to reinforce what ought to be reinforced?
  - b. Source: Chronos, training records, staffings, observe meetings, ask officer to explain program to supervisor.
  
14. Is there a relapse prevention plan that is understood by the officer and discussed with the offender during meetings?
  - a. Focus: Relapse prevention plan in global sense. Does a plan exist in some form? Does officer understand dynamics of offender's criminal behavior and what behaviors to watch for to determine if offender is staying on right path or starting down path to illegal behavior? Is officer anticipating behaviors based on his/her understanding of offense dynamics? Are they initiating interventions as early as possible and are they reflective of risk and responsivity? Is the plan discussed with offender at meetings? Is there follow-up and verification?
  - b. Source: Chronos, staffings, discuss with officer, observation of meetings.

(auditing instrument follows on next page)

**5<sup>th</sup> JUDICIAL DISTRICT DEPT. OF CORRECTIONAL SERVICES (Des Moines, Iowa)**

**Sample: CASE MANAGEMENT AUDIT**

Case Manager Name: \_\_\_\_\_ Date: \_\_\_\_\_

Offender Name/ICON Number: \_\_\_\_\_

Reviewer \_\_\_\_\_ Date of Review \_\_\_\_\_

1. Were the LSI, CMC/Jesness, and Case Plan completed within the prescribed time frames?			<b>Score</b>
5 CMC/JESNESS/LSI and Case Plan completed with 30 days (residential), 60 days (field) of case assignment or reassessment.	3 CMC/JESNESS/ LSI and Case Plan completed within 45 days (residential), 75 days (field) of case assignment or reassessment.	0 CMC/JESNESS/ LSI + Case Plan completed later than 45 days (residential), 75 days (field) of case assignment or reassessment	_____ (1)
2. Is problem prioritization consistent with LSI and CMC/Jesness?			_____ (2)
5 Problem prioritization consistent with needs identified by LSI, CMC & JESNESS.	3 Ranking questionable or not supported by officer or documentation.	0 Problem ranking inconsistent with identified needs in assessments.	
Base ratings on items 3 through 7 on all active action plans.			
3. Is the problem behavior and the need it serves correctly identified?			_____ (3)
5 Problem behavior and need it serves clearly identified and articulated on plan.	3 Only one criterion met or not clearly articulated on plan.	0 Neither criteria met and not clearly articulated on plan.	
4. Does this section contain the undesirable (worst) results of the offender's behavior as articulated by the offender? (their motivation to change)			_____ (4)
5 Results identified clearly specify the undesirable consequences of the behavior as articulated by the offender.	3 Results identified however the relationship to offender's stated consequences is unclear.	0 Results not identified and/or bear little if any relationship to offender's stated consequences.	
5. Is the goal reasonable and measurable?			_____ (5)
5 Goal focuses on the behavior changes the offender is capable of achieving and expected to make as an outcome of the case management interventions. Clearly stated so as progress or completion can be measured.	3 Goal focuses on merely attendance/ completion not behavior change or not clearly stated thus progress hard to measure.	0 Goal does not meet either criteria.	
6. Do interventions, tasks, and activities appropriately relate to goals? Do the interventions, tasks, and activities contain the methods, techniques, resources, and time frames the offender will use to achieve the stated goal?			_____ (6)
5 Interventions, tasks and activities detail how the offender will achieve and verify the behavior changes. Resources are identified and the frequency/duration of the tasks/activities are identified.	3 Only one of the criterion is met.	0 Interventions, tasks and Activities section meets neither criteria.	

7. Does the benefits section clearly show meaningful/positive behavioral changes/rewards for the offender? Are the benefits in contrast to undesirable results and do the benefits bear a relationship to the prioritized need?			
5	Benefits contain meaningful positive behavioral changes, which are in direct contrast to the undesirable behavior and are clearly tied to the prioritized need.	3 Only one of the criterion is met.	0 Benefits do not reflect positive behavioral outcomes and do not relate to the prioritized need.
			(7)
8. Does the case management plan reflect intervention and supervision/monitoring strategies consistent with the CMC/Jesness?			
8	Case plan interventions, supervision and monitoring activities are consistent with those most effective with the identified CMC/Jesness type.	4 Only one criterion is met.	0 Neither criterion is met.
			(8)
9. Do interventions target the criminogenic need in the right intensity and does the intervention use the methods and strategies needed by the offender based on risk, need, and responsivity? Are contacts appropriate and meaningful given the risk, need, and responsivity issues of the offender?			
10	Criminogenic need targeted in right intensity. Intervention uses appropriate methods and strategies.	5 Intensity okay or methods/strategies okay.	0 Neither intensity nor strategies appropriate.
			(9)
10. Is the case reviewed on an ongoing basis and does officer make appropriate ongoing case adjustments, i.e. minor violations, rewards, case plan revision, techniques, strategies?			
10	Case adjustments ongoing and appropriate.	5 Some problems with timeliness and /or appropriateness.	0 Significant problems with timeliness or appropriateness.
			(12)
11. Are critical incidents handled timely and appropriately, given risk, need, responsivity and other circumstances?			
9	Handled timely and appropriately with all-important factors considered.	5 Some timeliness and/or appropriateness problems.	0 Significant problems with timeliness or appropriateness
			(13)
12. Is the officer communicating with appropriate sources in order to have current, relevant knowledge of the offender's performance in programs?			
9	Ongoing communication. Knowledge of performance relevant and current.	5 Sporadic communication. Problems with quality of knowledge of performance.	0 Little or no communication. Knowledge of performance not current.
			(14)
13. Does the officer have a basic understanding of the programs in which the offender is participating and is this knowledge reflected by reinforcing programming goals in meetings with the offender?			
9	Thorough understanding of programs. Goals reinforced in meetings.	5 Some problems with degree of understanding and/or goals reinforced sometimes.	0 Little understanding of programs and/or goals not discussed or reinforced.
			(15)
14. Is there a relapse prevention plan that is understood by the officer and discussed with the offender during meetings?			
10	Plan exists, is understood by officer, and discussed with offender.	5 Plan exists but understanding insufficient and/or not often discussed with offender.	0 No plan, little or no understanding, little or no discussion with offender.
<b>TOTAL</b>			

Reference: Implementing Evidence Based Practices in Community Corrections NIC Quality Assurance Manual pages 24-28

**Exhibit 2.4 SAMPLE PEER REVIEW AUDIT SHEET (FY 2004)**

*Open Case o*

*Closed Case o*

**Section 1: Demographics**

Client Name: \_\_\_\_\_

Client Codap Number: \_\_\_\_\_ Date of Review: \_\_\_/\_\_\_/\_\_\_

Site:  Program 1  Program 2  Program 3

Primary CSP: \_\_\_\_\_

Client Race/Ethnicity:

- Caucasian  African American  Hispanic-American  
 Native American/Eskimo  Asian American  
 Pacific Islander  Biracial  Other

**Section 2: Intake/Assessment**

**Yes No**

- |   |                          |                          |
|---|--------------------------|--------------------------|
| 1. Consent to treatment is complete within 2 business days of admission.  | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. The client is appropriate for the program and should have been admitted.                                     | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Intake section of record is complete, in proper sequence, and documented in a timely manner.                 | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Release/agreements section of the record is complete, in proper sequence, and documented in a timely manner. | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. Chemical dependency assessment is complete within 14 days of admission to program.                           | <input type="checkbox"/> | <input type="checkbox"/> |

**Total**

\_\_\_\_\_

**Section 3: Treatment Planning**

**Yes No**

- |   |                          |                          |
|---|--------------------------|--------------------------|
| 6. Treatment plan is appropriate to assessment.   | <input type="checkbox"/> | <input type="checkbox"/> |
| 7. Treatment goals are pertinent to assessed needs.   | <input type="checkbox"/> | <input type="checkbox"/> |
| 8. Treatment goals are written in measurable/objective terms.   | <input type="checkbox"/> | <input type="checkbox"/> |
| 9. Individualized treatment plan is written within 7 days of completion of the assessment and contains:<br>a) signatures and dates ____<br>b) target dates for objectives/goals ____<br>c) reviewed and signed ____ | <input type="checkbox"/> | <input type="checkbox"/> |
| 10. Treatment plan revisions are appropriate and completed every 30 days.   | <input type="checkbox"/> | <input type="checkbox"/> |

**Total**

\_\_\_\_\_

**Section 4: Treatment Management**

**Yes No**

- |  |                          |                          |
|--|--------------------------|--------------------------|
| 11. There is adequate documentation in clinical record describing client status and service interventions.                                       | <input type="checkbox"/> | <input type="checkbox"/> |
| 12. Continued treatment and receipt of program services are appropriate.   | <input type="checkbox"/> | <input type="checkbox"/> |
| 13. Adequate quantity and quality of physician and other types of consultation according to recommendations within service plans are documented. | <input type="checkbox"/> | <input type="checkbox"/> |
| 14. Clinical section of the record is complete, in proper sequence, and documented in timely manner.   | <input type="checkbox"/> | <input type="checkbox"/> |
| 15. Service Delivery section of record is complete, in proper sequence, and documented in timely fashion.  | <input type="checkbox"/> | <input type="checkbox"/> |
| 16. Individual progress notes reflect treatment plan implementation.   | <input type="checkbox"/> | <input type="checkbox"/> |
| 17. All documentation is signed and the appropriate credentials are held by the person providing or supervising the service.                     | <input type="checkbox"/> | <input type="checkbox"/> |
| 18. The service provider is only providing services authorized by the governing authority.   | <input type="checkbox"/> | <input type="checkbox"/> |

**Total**

\_\_\_\_\_

**Section 5: Discharge Planning**

**Yes No**

- |  |                          |                          |
|--|--------------------------|--------------------------|
| 19. Appropriate continuity of care provided from assessment through treatment, to discharge.   | <input type="checkbox"/> | <input type="checkbox"/> |
| 20. Discharge summary is complete and contains:<br>a) dates ____<br>b) signatures and credentials ____<br>c) reviewed and signed ____<br>d) level of care/services provided ____<br>e) client's response to treatment ____<br>f) recommendations/referrals ____<br>g) client ID ____ | <input type="checkbox"/> | <input type="checkbox"/> |

**Total**

\_\_\_\_\_



**SAMPLE: PROGRAM/UNIT NAME PEER REVIEW TRACKING FORM**

**For the Month of:**

Client ID	Reviewer	Primary PO	Date Peer Review	Date Due

Reference: Implementing Evidence Based Practices in Community Corrections NIC Quality Assurance Manual Pages 29-31  
<https://forums.doc.state.mn.us/site/ebp/Shared%20Documents/THE%20INTEGRATED%20MODEL/NIC%20QUALITY%20ASSURANCE%20MANUAL.pdf>

**Exhibit 2.5 Anoka County Case Audit**

**Community Corrections – Case Management Audit**

**AGENT:** \_\_\_\_\_ **DATE:** \_\_\_\_\_ **SUPERVISOR:** \_\_\_\_\_

**OFFENDER:** \_\_\_\_\_ **OFFENSE(S):** \_\_\_\_\_

**CURRENT RISK LEVEL/ASSESSMENT SCORE:** \_\_\_\_\_

- I. **Contact and Supervision Standards** – *Agent contacts meet unit/department policy standards for risk/supervision level. (See chronos or CSTS Last Chrono Date Report)*

Contact Type	Yes	No	Date of last contact	Comments
Office Visits				
Home Visits				
Collateral/Telephone				

- II. **Case Documentation** – *Agent chronos meet unit/department policy standards. Reports meet standards for quality and content. CSTS data updated timely and accurately.*

	Yes	No	Comments
Chrono documentation timely and up to date			
Chronos clear and sufficiently detailed			
Evidence of case planning/Sup strategy (In chronos or written plan)			
Identifies criminogenic needs/sup targets			
Negotiated SMART goals and clear directives			
Chronos reveal condition monitoring/accountability			
Documented appropriate and timely response to non-compliance			
CSTS conditions closed timely w/documentation			
CSTS address current			
Case reports sufficiently detailed, well-written			

- III. **Direct Observations of Agent/Offender Contact(s)** – *Agent demonstrates effective alliance with offender; motivational communication style; utilizes evidence-based strategies including case planning, modeling, skill practice, and appropriate use of rewards/sanctions to promote positive change; appropriately directive with accountability/enforcement when necessary.* (Supervisor directly observe agent interact with offender and process feedback following visit. It may not be possible to observe all of the following skills during one session. Supervisor may require additional observation time to fully evaluate. When not possible, discuss the skills with the agent and/or consider seeking peer or offender feedback. )

<b>General Demeanor and Style of Interaction with Offender</b>	<b>1 – Poor 2- Good 3 – Excellent N/A</b>	<b>Comments/Feedback</b>
Intro/greeting confident and friendly		
Agent organized and prepared for meeting – explained purpose and goals		
Non-verbal communication conveyed interest/respect		
Talked in non-judgmental, non-condescending or threatening tone		
Encouraged offender to participate in discussion; allowed time to express opinions		
Responded appropriately to offender questions/concerns		
Use of affirmations vs. criticisms (4:1)		
Used language appropriate for offender’s level of understanding		
Closed meeting with clear expectations for offender		

**Traits of Effective Alliance with Offender** (Circle any observed)

Attentive	Directive	Listens effectively	Strength-based
Authentic	Empathetic	Optimistic	Verbal
Caring	Enthusiastic	Respectful	Client-focused
Confident	Flexible	Sense of Humor	

**Use of Effective Interviewing Skills using Active Listening Skills (O.A.R.S.)** (Note or tally if/when agent uses these skills during the interview)

Asks <b>Open-ended questions</b> – invites conversation	
Asks Closed-ended questions – Yes/No responses	

Uses <b>Affirmations</b> – affirms hardships/successes in caring, respectful manner	
Uses <b>Reflections</b> – repeating back the content or feeling of offender’s words	
<b>Summarization</b> – Paraphrase offender’s main points, “Let’s see if I’ve got this...”	
Teaching/Advice – modeling, skill practice preferred	
Confrontation/Directive approaches – Avoid confrontation whenever possible	

<b>Case Planning Skill Practice Use of Rewards/Sanctions Cognitive Approaches</b>	<b>1 – Poor 2 – Good 3 – Excellent N/A</b>	<b>Comments/Feedback</b>
Agent identifies offender’s top criminogenic needs		
Agent shares assessment results/identifies targets for change with offender		
Agent identifies offender’s readiness/motivation for change		
Negotiates SMART goals with offender input		
Agent provides clear, reasonable expectations for offender		
Agent discusses offender progress toward goals		
Agent identifies barriers to change		
Agent identifies offender strengths/assets		
Agent models pro-social alternatives		
Makes necessary and appropriate referrals to address needs		
Offender directed to practice skills/complete homework		
Agent engages offender in role-play of pro-social, problem solving scenario		
Agent challenges offender’s anti-social statements, behaviors, thinking-errors		
Agent utilizes incentives “rewards” to motivate		
Appropriate use of consequences - “sanctions”		

**IV. Risk/Needs Assessments – Agent produces accurate and reliable assessments adhering to scoring rules and social-learning philosophy. Assessments based on solid interviewing skills and collateral**

**documentation.** (Supervisor should review assessment scoring sheet, interview guide, and supporting documentation. Discuss assessment results with agent. Consider peer review and feedback as well.)

	Yes	No	Comments
Current assessment completed w/in past 6 months			
Assessment appears accurately scored – “If/Then” rules			
Agent uses collateral info and supporting documentation			
Agent easily identifies offender’s risk and top criminogenic needs			
Agent shares assessment results with offender and provides feedback			
Interview skills reflect active listening and motivational style			
Case planning targets top criminogenic needs			

References: Some information noted above is based on reference materials from The Carey Group, “Direct Line Supervisors Training Competencies” Participant Manual – March 2010. <http://thecareygroup.com/>

Specifically:

Pgs 82-83 – Ongoing Case Management Form (CSOSA)

Pgs 84-86 – Quality Contact Standards Checklist (Virginia Community Corrections)

Pg 130 – Tool 3: Professional Alliance Traits of an Effective Probation Officer (Carey Group)

Pgs 133-138 – Clinical Skills Assessment (Carey Group)

# Quality Improvement Observation Exhibits

## Exhibit 3.0 Coaching Packet Direct Observation Checklist

Exhibit 3.0 Core Correctional Practices 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 (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 pro-social 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:					

Reference: Mark Carey, Coaching Packet Continues Quality Improvement, Page 27  
2010 Center for Effective Policy <http://www.cepp.com/documents/Continuous%20Quality%20Improvement.pdf>

**Exhibit 3.1 Ongoing Case Management Form**

**PO:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Offender:** \_\_\_\_\_

**In my observation of the PO's interaction with the offender, the PO**

1=Poor; 2=Good; 3=Excellent

- 1. Explained the purpose of the interview/meeting to the offender.....1.....2.....3
- 2. Had a structure for the interview/meeting... .....1.....2.....3
- 3. Used open-ended, probing questions with the offender.....1.....2.....3
- 4. Appropriately followed up with the offender on responses to questions.....1.....2.....3
- 5. Encouraged offender to discuss thoughts about situations versus feelings.....1.....2.....3
- 6. Focused on offender's behaviors, not the individual.....1.....2.....3
- 7. Talked to offender in a non-judgmental, non-condescending or threatening tone.....1.....2.....3
- 8. Used language appropriate to the offender's level of understanding.....1.....2.....3
- 9. Used techniques appropriate to foster open communication with the offender.....1.....2.....3
- 10. Consistently applied appropriate consequences for non-compliant behavior.. .....1.....2.....3
- 11. Used positive reinforcement to encourage the offender to maintain compliance. ....1.....2.....3
- 12. Closed meeting with a clear understanding of expectations for the offender.....1.....2.....3

**TOTAL:** \_\_\_\_\_/36= \_\_\_\_\_%

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Reviewer:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**In my review of the PO's case management, the PO:**

- 1. Identified a strategy for addressing the offender's criminogenic needs.....1.....2.....3
- 2. Appropriately identified the offender's stage of change. ....1.....2.....3
- 3. Identified and assessed the offender's motivation for change. ....1.....2.....3
- 4. Prioritized the offender's needs on the Prescriptive Supervision Plan (PSP).....1.....2.....3
- 5. Identified and developed with the offender a plan that removes barriers that might affect the offender's success under supervision.....1.....2.....3
- 6. Developed a relapse prevention plan for the offender. ....1.....2.....3
- 7. Planned meetings focused on the offender's change process, consistent with the PSP plan.....1.....2.....3
- 8. Identified and discussed the offender's thinking errors as noted in the running record and/or PSP.....1.....2.....3
- 9. Assisted the offender to establish pro-social contacts in the community.....1.....2.....3
- 10. Swiftly administered sanctions for each act of non-compliance. ....1.....2.....3

**TOTAL:** \_\_\_\_\_/30= \_\_\_\_\_%

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Reviewer:** \_\_\_\_\_

**Date:** \_\_\_\_\_

### Exhibit 3.2 Quality Contact Standards Checklist

**Type of Review:** Self \_\_\_ Peer \_\_\_ Supervisor \_\_\_

**Officer's Name:** \_\_\_\_\_

**Client's Name (last, first, MI):** \_\_\_\_\_

**Reviewer's Name:** \_\_\_\_\_

**Date of Review:** \_\_\_\_\_

**I. Demeanor & Style of Interaction with Client:**

**Yes    No    Unsure    N/A**

Introduced self or greeted client in a confident and friendly manner \_\_\_\_\_

Thanked him/her for his/her time or effort \_\_\_\_\_

Non-verbal communication (posture, gestures & eye contact) conveyed interest & respect \_\_\_\_\_

Organized and prepared with relevant service progress reports/updates, test results, & meeting goals \_\_\_\_\_

Expressed sympathy \_\_\_\_\_

**II. Supervision:**

**Yes    No    Unsure    N/A**

Used the following effective communication skills:

- **Open Ended Questions** – Asked thoughtful open-ended questions & closed-ended when necessary \_\_\_\_\_
- **Affirmations** – Used positive affirmations for pro-social behavior \_\_\_\_\_
- **Reflections** –
  - **Simple Reflection** – repeated back what client said in his/her own words \_\_\_\_\_
  - **Rephrasing** – rephrased what the client said using your own words \_\_\_\_\_
  - **Paraphrasing** – paraphrased, or reframed, what the client said \_\_\_\_\_
  - **Reflection of Emotion** – recognized & emphasized client emotions \_\_\_\_\_
- **Summarizations** – Captured key statements made by client (change talk, concerns, ambivalence and goals) \_\_\_\_\_

**II. Supervision (continued):**

**Yes**    **No**    **Unsure**    **N/A**

Closed meeting with summarization of meeting, including next steps and goals

\_\_\_\_\_

Invited client to respond to summarization

\_\_\_\_\_

Verified & recorded current case information & status (address & job) as necessary or required

\_\_\_\_\_

**III. Assessment & Planning:**

**Yes**    **No**    **Unsure**    **N/A**

Established or reviewed & discussed goals with client's input

\_\_\_\_\_

Identified client's stage of change

\_\_\_\_\_

Explored client's readiness to change

\_\_\_\_\_

Explored and assessed client's ambivalence to change

\_\_\_\_\_

Responsive to client's criminogenic needs identified in the MOST &/or OST

\_\_\_\_\_

Responsive to client's relevant life circumstances related to the case

\_\_\_\_\_

Discussed and updated client's progress toward established goals

\_\_\_\_\_

**IV. Treatment & Service Referrals:**

**Yes**    **No**    **Unsure**    **N/A**

Focused on client's responsibility for change by encouraging client to problem solve & brainstorm solutions

\_\_\_\_\_

Discussed referral needs

\_\_\_\_\_

Provided service contact information

\_\_\_\_\_

Explored obstacles to change using the decisional balance (pros and cons of changing & not changing)

\_\_\_\_\_

**V. Sanctions & Ground Rules:**

**Yes**    **No**    **Unsure**    **N/A**

When circumstances warranted, appropriately reminded client of conditions of supervision & legal consequences for non-compliance

\_\_\_\_\_

Provided sanction in a firm and fair manner in response to violation of plan or supervision contract

\_\_\_\_\_

Reference: Mark Carey Direct Line Supervisors Training Competencies Participant Manual March 10, 2010, pages 84-86 This Quality Contact Standard Checklist provided by Virginia Community Corrections. Carey Group <http://thecareygroup.com/>

### Cognitive Skills Examples

#### Exhibit 3.3 Coaching Packet Program Session Delivery Direct Observation Checklist

Exhibit3.3 Program Session Delivery Direct Observation Checklist				
Performance Measure	Notes	3 = Exceeds Expectations 2 = Meets Expectations 1 = Needs Improvement N/A = Not Applicable		
<b>Preparation, Set Up, and Introduction</b>				
Facilitator was well prepared and organized for session		1	2	3 N/A
Facilitator greeted participants warmly		1	2	3 N/A
The environment was free from distractions (i.e., physical space was appropriate for learning)		1	2	3 N/A
The group was of appropriate size (i.e., 5-12)		1	2	3 N/A
The group was appropriately composed (e.g., same gender, same or similar risk levels)		1	2	3 N/A
Appropriate expectations were set with participants at the beginning of the session		1	2	3 N/A
Facilitator reviewed previous lesson		1	2	3 N/A
Facilitator exhibited good rapport with group members		1	2	3 N/A
<b>Control and Accountability</b>				
Facilitator maintained group control; enforced group rules; boundaries were followed or consequences imposed immediately when not followed		1	2	3 N/A
Tardiness, attendance, and failure to do homework were appropriately addressed		1	2	3 N/A
<b>Facilitator Group Skills</b>				
Facilitator used a manualized curriculum and followed the lesson plan while not being heavily dependent on it		1	2	3 N/A
Each participant was sufficiently involved throughout the session		1	2	3 N/A
Facilitator displayed a non-judgmental approach		1	2	3 N/A
Facilitator used repetition when presenting material		1	2	3 N/A
Facilitator rewarded prosocial attitudes/behaviors appropriately through affirmation and other means, using a 4:1 ratio		1	2	3 N/A
Facilitator demonstrated a strength-based approach		1	2	3 N/A
Facilitator expressed disapproval for anti-social attitudes/behaviors; corrected/redirected without shaming		1	2	3 N/A
Facilitator was flexible without significantly deviating from session goals		1	2	3 N/A
Session was adequately paced (slow enough for learning and questions but not so slow as to evoke boredom)		1	2	3 N/A
Handouts and exercises were useful, adding to the participant's understanding of the material/skills		1	2	3 N/A

Session Activities					
Homework was reviewed; issues that arose as a result of the homework assignment were discussed		1	2	3	N/A
Role plays and practice opportunities were conducted		1	2	3	N/A
Instructions for role plays and practice were clear		1	2	3	N/A
New skills were introduced and demonstrated in the “tell, show, do” format		1	2	3	N/A
Skills were broken down into small parts		1	2	3	N/A
Mastery was achieved through repetition before skill practice increased in difficulty		1	2	3	N/A
Facilitator debriefed following skill practice session		1	2	3	N/A
Facilitator provided sufficient positive affirmation		1	2	3	N/A
Facilitator provided specific, constructive feedback on what the participant could do to improve the skill		1	2	3	N/A
Facilitator demonstrated confidence and competency in the material		1	2	3	N/A
Facilitator varied instructional techniques to address all learning styles		1	2	3	N/A
Participants appeared engaged and interested		1	2	3	N/A
Participants were appropriately trusting and open in disclosing their thoughts and emotions, and in their skill practice		1	2	3	N/A
Facilitator concluded session with a review of the lesson and homework assignment		1	2	3	N/A
NARRATIVE COMMENTS					
Summary of areas mastered:					
Summary of areas in need of improvement:					
Professional Development Plan:					

Reference: Mark Carey, Coaching Packet Continues Quality Improvement, Page 29 Carey Group <http://thecareygroup.com/>

### Exhibit 3.4 Motivational Interviewing Self Assessment Feedback Form

**Instructions:** As you preview your interview tape please complete the following areas of motivational interviewing.

**Part I: Offender Resistance:**

Did you witness/hear the offender displaying any of the following tactics? Please circle yes or no.

- |  |     |    |
|--|-----|----|
| 1. <b>Arguing:</b> Challenging, discounting, hostility   | Yes | No |
| 2. <b>Interrupting:</b> Talking over you, cutting you off, defensive manner  | Yes | No |
| 3. <b>Denying:</b> excusing, minimizing, pessimism, reluctance, disagreeing  | Yes | No |
| 4. <b>Blaming:</b> claiming impunity, victim playing reluctance to change  | Yes | No |
| 5. <b>Ignoring:</b> Inattention, no reply, inaudible reply, sidetracking   | Yes | No |
| 6. <b>Flooding w. Information:</b> providing onslaught of information  | Yes | No |
| 7. <b>Passive Non-compliance:</b> Displays agreement and willingness but leaves<br>PO's office and returns to inappropriate behavior | Yes | No |

**Part II: MI Techniques**

Please circle the scale that identifies your use of MI techniques during your client interview.

- |                           |        |       |                   |
|---------------------------|--------|-------|-------------------|
| 1. Open-ended questions   | Rarely | Often | Needs Improvement |
| 2. Affirmations           | Rarely | Often | Needs Improvement |
| 3. Reflection             | Rarely | Often | Needs Improvement |
| 4. Summarizing            | Rarely | Often | Needs Improvement |
| 5. Shifting Focus         | Rarely | Often | Needs Improvement |
| 6. Re-framing             | Rarely | Often | Needs Improvement |
| 7. Agreement with a Twist | Rarely | Often | Needs Improvement |

Courtesy of Marion County Community Corrections

**Part III: Ineffective Responses to Resistance**

Please circle the scale that identifies your use of the following responses.

1. Arguing, challenging, disagreeing	Rarely	Often	Too Often
2. Judging, criticizing, blaming	Rarely	Often	Too Often
3. Warning of negative consequences	Rarely	Often	Too Often
4. Seeking to persuade with logic or evidence	Rarely	Often	Too Often
5. Interpreting or analyzing	Rarely	Often	Too Often
6. Confronting with authority	Rarely	Often	Too Often
7. Sarcasm or incredulity	Rarely	Often	Too Often
8. Demanding change vs. compliance OR demanding compliance vs. change	Rarely	Often	Too Often
9. Bullying	Rarely	Often	Too Often

**Part IV: Stage of Change**

Identify the stage of change you believe this client is in, and briefly explain your answer.

Pre-contemplation    Contemplation    Preparation    Action    Maintenance    Relapse

Basis: \_\_\_\_\_

**Part V: Strengths**

Please identify the MI strengths/skills that you possess.

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

**Part VI: Areas of Improvement**

Please identify 2-3 MI areas of improvement that you would like to work on over the next year. If possible write these out as goals.

Goal 1: \_\_\_\_\_  
\_\_\_\_\_

Goal 2: \_\_\_\_\_  
\_\_\_\_\_

Goal 3: \_\_\_\_\_  
\_\_\_\_\_

**Part VII: Assistance**

Are there areas of training, guidance, etc. that you believe could assist you in achieving these goals?

Yes  No  If 'yes' please describe.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
DATE: \_\_\_\_\_

PO Signature

Reference: Mark Carey Direct Line Supervisors Training Competencies Participant Manual March 10, 2010, Pages 140-142 This Quality Contact Standard Checklist provided by Marion County Community Corrections Carey Group <http://thecareygroup.com/>

**Exhibit 3.5 North Carolina CBI Monitoring Tool**

**North Carolina CBI Monitoring Tool  
Quality Assurance Checklist**

***This instrument is based on the Wisconsin Cognitive Interventions Program Monitoring Tool. We appreciate the assistance of the Wisconsin Department of Corrections, with special thanks to Sandy Reno, in this effort to implement cognitive behavioral approaches with the offender population.***

Program Site:	
Lead Facilitator:	
Co-Facilitator:	
Group Size:	
Curriculum Name:	
Lesson Topic & Brief Description	
QA Visit Number:	
Observer:	
Date:	

**DIRECTIONS:** This Monitoring Tool is designed to assess adherence to the objectives and process of the North Carolina CBI effort. The attached pages should be completed based on observation of one group session in its entirety. Place a check mark in front of the statements that most accurately describe the characteristics of the staff and/or group. If neither item is appropriate due to a lack of observable information, check Not Applicable in the space provided.

Items checked should reflect actual group events. If, for example, the group leader reads from the manual because it is his/her first time teaching, this item should be checked. Observer responses should reflect the experience of being in a particular group. In this way, qualitative differences will be noted even though there may be good reasons for those differences. Explanations for specific ratings may be recorded under the “Comments” section.

At the end, complete the summary section, which should include constructive feedback and recommendations for the facilitators. Also, obtain signatures to indicate that the summary has been reviewed and discussed with the facilitators. Signature by the facilitators only means that the summary was provided to them and discussed. It is an acknowledgment rather than agreement or acceptance.

Please note the following:

- \* denotes Not Applicable to the Reasoning & Rehabilitation curriculum, and
- \*\* denotes that Reasoning & Rehabilitation staff do not determine sanctions and therefore the statements do not apply to that curriculum.

1. Maintain Clear Focus on Basic Steps of Cognitive Change (Lesson Presentation)		
__ Staff worked together in cooperative manner to deliver material.	__ All staff was not actively in presentation of materials and/or group discussions/activities; staff provided conflicting information or answers.	NOT APPLICABLE
__ Staff displayed knowledge of lesson content; provided personal examples and illustrations to explain concepts.	__ Staff did not appear prepared to present lesson (i.e., read from manual, failed to provide personal examples and illustrations, could not answer participant questions).	NOT APPLICABLE
__ Staff proceeded slowly and systematically; modified lesson presentation to accommodate level of participants understanding.	__ Staff presented lesson materials in a haphazard or hurried manner; failed to recognize/respond to signs that participants misunderstood concepts or purpose of tasks and activities.	__ NOT APPLICABLE
__ Staff discussed key issues and concluded lesson in timely manner.	__ Staff skipped key issues, left matters "in the air" at conclusion of lesson; failed to complete lesson on time.	__ NOT APPLICABLE
__ Staff reviewed information from previous lesson.	__ Staff failed to review information from previous lesson.	__ NOT APPLICABLE
__ Staff corrected previous homework assignment, feedback addressed skill deficits and completeness.	__ Staff did not correct previous homework or failed to provide feedback about skill deficits or completeness.	__ NOT APPLICABLE
__ Staff discussed problems evidenced in homework.	__ Staff failed to discuss problems evidenced in homework.	__ NOT APPLICABLE
__ Staff monitored participant completion of current homework assignment, required all participants to discuss answers.	__ Staff failed to monitor participant completion of current homework, allowed participants to complete work in class, did not require all participants to discuss answers.	__ NOT APPLICABLE
__ Staff provided additional group instruction to address skill deficits or unclear concepts before proceeding to new lesson materials.	__ Staff failed to address skill deficiencies or clarify misunderstandings before proceeding to new lesson materials.	__ NOT APPLICABLE
__ Staff related lesson lecture, discussions and activities to lesson objectives and program goals.	__ Staff failed to relate lesson lecture, discussions and activities to lesson objectives.	__ NOT APPLICABLE
__ Staff provided instruction, modeling and skill practice in identifying thoughts (thinking patterns and beliefs), feelings, behaviors and consequences.	__ Staff failed to provide adequate instruction, modeling or skill practice in identifying thoughts, feelings, behaviors and consequences.	__ NOT APPLICABLE
__ Staff provided instruction, modeling and skill practice in alternative thinking (problem solving, coping and social skills).	__ Staff failed to provide instruction, modeling and skill practice in alternative thinking.	__ NOT APPLICABLE
__ Staff reviewed current homework assignment, related it to lesson objectives, clarified questions.	__ Staff did not review current homework assignment, relate it to lesson objectives, or respond to questions or confusion about assignment.	__ NOT APPLICABLE
Comments:		

2. Depersonalize Use of Staff Authority While Maintaining Group Process and Upholding Rules.		
<input type="checkbox"/> Staff maintained group control, directed or redirected as necessary to stay on track.	<input type="checkbox"/> Staff failed to maintain group direction; staff or participants were off task for substantial periods of time.	<input type="checkbox"/> NOT APPLICABLE
** <input type="checkbox"/> Staff established clear guidelines for program participation and appropriate sanctions for violations	<input type="checkbox"/> Staff failed to establish clear guidelines for program participation and appropriate sanctions for violations.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff communicated consequences as facts.	<input type="checkbox"/> Staff communicated consequences as threats.	NOT APPLICABLE
** <input type="checkbox"/> Staff enforced group rules (attendance, punctuality, and homework) and imposed sanctions for violations.	** <input type="checkbox"/> Staff failed to enforce group rules or impose sanctions for violations.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff displayed professional detachment; depersonalized conflict that occurred.	<input type="checkbox"/> Staff addressed conflict by expressing intention to do things "my way".	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff conveyed that disruptive behavior interferes with the task at hand.	<input type="checkbox"/> Staff took personal offense at behavior of group members.	NOT APPLICABLE
<input type="checkbox"/> Staff assisted group members in accepting behavioral limits and conditions without personal	<input type="checkbox"/> Staff responses to behavior problems escalated resistance to behavioral limits and increased personal resentment.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff communicated in a courteous and respectful manner and required that group members do the same.	<input type="checkbox"/> Staff belittled participants, responded with sarcasm; allowed group members to interrupt, distract or harass each other.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff encouraged group members to speak for themselves and express their opinions.	<input type="checkbox"/> Staff used their status and power to silence opinions of group members.	<input type="checkbox"/> NOT APPLICABLE
Staff diffused arguments and debates by focusing discussion on CBI process.	<input type="checkbox"/> Staff attempted to "crush" problems with their authority; conveyed intention to dominate will of participants.	<input type="checkbox"/> NOT APPLICABLE
Comments:		

3. Allow Group Members To Be Their Own Personal Experts on How They Think and How They Should Think.		
<input type="checkbox"/> Staff communicated that group members are responsible for identifying their patterns of thinking and choosing whether they will change these	<input type="checkbox"/> Staff presented themselves as having the authority to determine how members think or how they should think.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff modeled techniques of guided discovery to assist offenders in thought identification.	<input type="checkbox"/> Staff presented their "expert" interpretations of thinking of group members; provided the "answers" for participants.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff elicited participants' opinions and points of view.	<input type="checkbox"/> Staff failed to elicit or censored participants' opinions and points of view.	NOT APPLICABLE
<input type="checkbox"/> Staff modeled a non-judgmental attitude and open-mindedness.	<input type="checkbox"/> Staff presented their opinions as "correct/right" and/or offender opinions as "incorrect/wrong".	<input type="checkbox"/> NOT APPLICABLE

<input type="checkbox"/> Staff promoted independent thinking.	<input type="checkbox"/> Staff tried to convince offenders to accept their opinions.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff asked participants to verify staff perceptions of offender thinking when presented.	<input type="checkbox"/> Staff presented stereotypes of offender thinking or did not verify staff perceptions.	<input type="checkbox"/> NOT APPLICABLE
Comments:		

4. Consciously Work to Achieve Cooperation Between Group Members and Staff.		
<input type="checkbox"/> Staff displayed efforts to work together with participants toward a common goal.	<input type="checkbox"/> Staff displayed hostility or indifference toward group members.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff asked group members to assist them and another in meeting lesson objectives and program	<input type="checkbox"/> Staff failed to convey group members' responsibility to assist one another in acquiring program skills.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff addressed group member concerns about the value of their participation in the program.	<input type="checkbox"/> Staff members failed to address group members' doubts that it is worth their trouble to take part in the program.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff modeled a non-judgmental attitude and open-mindedness.	<input type="checkbox"/> Staff displayed judgmental attitudes or failed to encourage open-mindedness.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff rewarded cooperation.	<input type="checkbox"/> Staff failed to reward cooperative behaviors.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff attempted to minimize conflict and competition.	<input type="checkbox"/> Staff allowed group members to criticize, ridicule or interrupt one another.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff remained neutral and objective toward group members.	<input type="checkbox"/> Staff allowed cliques to form/supported opinions of certain cliques.	<input type="checkbox"/> NOT APPLICABLE
Comments:		

5. Engage all participants in the group process.		
<input type="checkbox"/> Staff attended to verbal interactions and behaviors of whole group.	<input type="checkbox"/> Staff limited their focus to one individual or part of the group.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff fostered an exchange of ideas between themselves and all group members.	<input type="checkbox"/> Staff monopolized conversations or discussions.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff supported independent thinking.	<input type="checkbox"/> Staff discouraged participant questions and comments.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff called upon each group member to participate in discussions and activities.	<input type="checkbox"/> Staff failed to elicit responses from all group members.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff rewarded class participation.	<input type="checkbox"/> Staff failed to reward participation.	<input type="checkbox"/> NOT APPLICABLE
<input type="checkbox"/> Staff made statements emphasizing the importance of input from all group members.	<input type="checkbox"/> Staff allowed particular group members to monopolize discussions.	<input type="checkbox"/> NOT APPLICABLE



# Offender Survey Exhibits

## Exhibit 4.0 WAI-S-R INDIVIDUAL PO FEEDBACK QUESTIONNAIRE

The following are sentences that describe some of the different ways a person might think or feel about their Probation/Parole Officer. Using the scale provided as a guide, please answer each item by CIRCLING the appropriate NUMBER. Give only one answer for each statement.

My PO's name is: \_\_\_\_\_

		Never	Rarely	Occasionally	Sometimes	Often	Very Often	Always
1	With my PO's help, I am clearer now as to how I might be able to change.	1	2	3	4	5	6	7
2	What I am doing in SOTP gives me new ways of looking at my problem.	1	2	3	4	5	6	7
3	I believe my PO respects me.	1	2	3	4	5	6	7
4	I feel that the things I do in treatment will help me to accomplish the changes that I want.	1	2	3	4	5	6	7
5	I feel that my PO really listens to me.	1	2	3	4	5	6	7
6	My PO and I are working towards mutually agreed upon goals.	1	2	3	4	5	6	7
7	My PO shows me respect even when I do things he/she does not approve of.	1	2	3	4	5	6	7
8	We agree on what is important for me to work on.	1	2	3	4	5	6	7
9	My PO and I respect each other.	1	2	3	4	5	6	7
10	My PO and I collaborate on setting goals for my probation.	1	2	3	4	5	6	7
11	We have established a good understanding of the kind of changes that would be good for me.	1	2	3	4	5	6	7
12	I believe the way we are working with my problem is correct.	1	2	3	4	5	6	7

**Thank you for your feedback**

### **Offender Version Scoring Guide**

The WAI-S-R is a 12-item instrument scored on a 7-point scale (1 = never, and 7 = always), and assesses one general scale (General Alliance or Total) and 3 subscales.

**Total Score** – Add up all 12 items to get the Total score. The Total score ranges could include:

12 – 24 Low (i.e., Poor)

25 – 43 Low Average

44 – 60 Average

61 – 72 High Average

73 – 84 High (i.e., Exceptional)

OR

12 – 24 Low (i.e., Poor)

25 – 60 Average

61 – 84 High (i.e., Exceptional)

Reference: (Tatman, A. W., & Love, K. M. (2010). An offender version of the Working Alliance Inventory-Short Revised. *Journal of Offender Rehabilitation*, 49 (3), 165-179).

#### **Exhibit 4.1 Professional Alliance Traits of an Effective Probation Officer**

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.

Reference: Mark Carey Direct Line Supervisors Training Competencies Participant Manual March 10, 2010, Pages 130-131  
Carey Group <http://thecareygroup.com/>

## Exhibit 4.2 Probationer/Parolee Exit Survey

I was treated with respect by my supervising officer	1	2	3	4	5
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
The rules of my supervision were clearly explained to me	1	2	3	4	5
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
If I had a complaint about my supervision officer I knew with whom I needed to talk	1	2	3	4	5
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
I understood the expectations of what I needed to do in order to successfully complete my supervision	1	2	3	4	5
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
The length of my supervision was about right	1	2	3	4	5
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
My supervising officer listened to me	1	2	3	4	5
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
My supervising officer cared about whether I succeeded	1	2	3	4	5
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
I was given the opportunity to acquire the skills and knowledge to succeed	1	2	3	4	5
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
I had input in my case plan	1	2	3	4	5
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
My family/significant other was as involved as I wanted them to be	1	2	3	4	5
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Overall I was pleased with how my supervision went	1	2	3	4	5
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree

Reference Mark Carey Direct Line Supervisors Training Competencies Participant Manual March 10, 2010, Page 132 Carey Group <http://thecareygroup.com/>

## Exhibit 4.3 North Carolina CBI Participant Evaluation Form

Program Site: \_\_\_\_\_

### MID-TERM PARTICIPANT EVALUATION FORM

DIRECTIONS: Please read each statement carefully and circle the number of the response that most accurately explains your reaction to that statement. Circle “1” if you strongly agree; “2” if you agree; “3” if you have no opinion; “4” if you disagree; and “5” if you strongly disagree. There are no right or wrong answers, your reaction to each statement is the correct answer. Please read and respond to all the statements. Your responses will be kept confidential.

1 STRONGLY AGREE	2 AGREE	3 NO OPINION	4 DISAGREE	5 STRONGLY DISAGREE
------------------------	------------	--------------------	---------------	---------------------------

1. I feel comfortable stating my own opinions in this group.

1	2	3	4	5
---	---	---	---	---

2. Other group members do not seem to respect what I have to say.

1	2	3	4	5
---	---	---	---	---

3. Staff presents examples (videos, pictures, or practice sessions) to help us understand the lessons.

1	2	3	4	5
---	---	---	---	---

4. Group members often don't cooperate well with the staff.

1	2	3	4	5
---	---	---	---	---

5. Staff seems to respect what people have to say.

1	2	3	4	5
---	---	---	---	---

6. The staff is supportive of me.

1	2	3	4	5
---	---	---	---	---

7. In this group, members sometimes tease other group members and the staff does not do anything about it.

1	2	3	4	5
---	---	---	---	---

8. Staff read from the manual most of the time.

1	2	3	4	5
---	---	---	---	---

9. Sometimes, we engage in really interesting discussions.

1	2	3	4	5
---	---	---	---	---

1	2	3	4	5
STRONGLY AGREE	AGREE	NO OPINION	DISAGREE	STRONGLY DISAGREE

10. People seem to have trouble understanding the lessons.

1	2	3	4	5
---	---	---	---	---

11. I have had several chances to practice these lessons during group meetings.

1	2	3	4	5
---	---	---	---	---

17. I practice our lessons between meetings.

1	2	3	4	5
---	---	---	---	---

12. At least one of the group leaders seems really bored with this group.

1	2	3	4	5
---	---	---	---	---

13. I receive comments from the leaders about how I am doing and whether or not I understood the lessons.

1	2	3	4	5
---	---	---	---	---

14. The lessons and examples seem pretty realistic.

1	2	3	4	5
---	---	---	---	---

15. Sometimes we participate in a “role play” as part of the lessons.

1	2	3	4	5
---	---	---	---	---

16. Most of my offenses have been “triggered” by the way I think.

1	2	3	4	5
---	---	---	---	---

17. When we had trouble understanding parts of a lesson, the staff did a pretty good job of giving us examples and showing us what they meant.

1	2	3	4	5
---	---	---	---	---

18. I do not feel that I can be totally honest in my thinking reports.

1	2	3	4	5
---	---	---	---	---

19. The staff presented the rules and guidelines for group.

1	2	3	4	5
---	---	---	---	---

20. Just a few people seem to do most of the talking in this group.

1	2	3	4	5
---	---	---	---	---

## Exhibit 4.4 North Carolina CBI Participant Evaluation Form

### FINAL PARTICIPANT EVALUATION FORM

DIRECTIONS: Please read each statement carefully and circle the number of the response that most accurately explains your reaction to that statement. Circle "1" if you strongly agree; "2" if you agree; "3" if you have no opinion; "4" if you disagree; and "5" if you strongly disagree. There are no right or wrong answers, your reaction to each statement is the correct answer. Please read and respond to all the statements. Your responses will be kept confidential.

1 STRONGLY AGREE	2 AGREE	3 NO OPINION	4 DISAGREE	5 STRONGLY DISAGREE
------------------------	------------	--------------------	---------------	---------------------------

1. My thoughts and feelings seem clearer to me now, than they were before I participated in this group.

1	2	3	4	5
---	---	---	---	---

2. I felt comfortable stating my own opinions in this group.

1	2	3	4	5
---	---	---	---	---

3. Other group members did not seem to respect what I have to say.

1	2	3	4	5
---	---	---	---	---

4. At least two times, I did not have my homework done in time for group meetings.

1	2	3	4	5
---	---	---	---	---

5. Sometimes I had trouble understanding the homework assignments.

1	2	3	4	5
---	---	---	---	---

6. Staff presented examples (videos, pictures, or practice sessions) to help us understand the lessons.

1	2	3	4	5
---	---	---	---	---

7. Group members often didn't cooperate well with the staff.

1	2	3	4	5
---	---	---	---	---

8. I participate a lot in these group meetings.

1	2	3	4	5
---	---	---	---	---

9. Staff seemed to respect what people had to say.

1	2	3	4	5
---	---	---	---	---

10. The staff was supportive of me.

1	2	3	4	5
---	---	---	---	---

1	2	3	4	5
STRONGLY AGREE	AGREE	NO OPINION	DISAGREE	STRONGLY DISAGREE

11. In this group, members sometimes teased other group members and the staff didn't do anything about it.

1	2	3	4	5
---	---	---	---	---

12. Staff read from the manual most of the time.

1	2	3	4	5
---	---	---	---	---

13. Sometimes, we engaged in really interesting discussions.

1	2	3	4	5
---	---	---	---	---

14. People seemed to have trouble understanding the lessons.

1	2	3	4	5
---	---	---	---	---

15. In my case, my thoughts and beliefs had nothing to do with my offense.

1	2	3	4	5
---	---	---	---	---

16. I had several chances to practice these lessons during group meetings.

1	2	3	4	5
---	---	---	---	---

17. I practiced our lessons between meetings.

1	2	3	4	5
---	---	---	---	---

18. Things could be different for me, if I could change some of my thoughts and beliefs.

1	2	3	4	5
---	---	---	---	---

19. At least one of the group leaders seemed really bored with this group.

1	2	3	4	5
---	---	---	---	---

20. I received comments from the leaders about how I was doing and whether or not I understood the lessons.

1	2	3	4	5
---	---	---	---	---

21. Most group members didn't seem to be taking these meetings seriously.

1	2	3	4	5
---	---	---	---	---

22. The staff gave me suggestions for how to change some of my negative thinking.

1	2	3	4	5
---	---	---	---	---

1	2	3	4	5
STRONGLY AGREE	AGREE	NO OPINION	DISAGREE	STRONGLY DISAGREE

23. Many of the events in my life are too difficult for me to control how I think about them.

1	2	3	4	5
---	---	---	---	---

24. At least one of the group leaders seemed to take our comments too personally.

1	2	3	4	5
---	---	---	---	---

25. The lessons and examples seemed pretty realistic.

1	2	3	4	5
---	---	---	---	---

26. Sometimes we “role played” parts of the lessons.

1	2	3	4	5
---	---	---	---	---

27. Most of my offenses have been “triggered” by the way I think.

1	2	3	4	5
---	---	---	---	---

28. In this group we must choose for ourselves whether we want to change our thinking and our behavior.

1	2	3	4	5
---	---	---	---	---

29. I attended these meetings regularly.

1	2	3	4	5
---	---	---	---	---

30. When we had trouble understanding parts of a lesson, the staff did a pretty good job of giving us examples and showing us what they meant.

1	2	3	4	5
---	---	---	---	---

31. I did not feel that I could be totally honest in my thinking reports.

1	2	3	4	5
---	---	---	---	---

32. The staff presented the rules and guidelines for group.

1	2	3	4	5
---	---	---	---	---

33. Just a few people seem to do most of the talking in this group.

1	2	3	4	5
---	---	---	---	---

Reference: Cognitive Behavioral Interventions CBI Standard Operating Procedures December 2001 Pages 43-45  
[http://www.doc.state.nc.us/rap/CBI\\_SOP.pdf](http://www.doc.state.nc.us/rap/CBI_SOP.pdf)

# Supervisor Case Review Exhibits

## Exhibit 5.0 Case Consultation Worksheet

The purpose of a case consultation/staffing meeting is to gather the collective wisdom of a group of case managers on a particularly difficult case. It can also be used as a quality assurance process to ensure that the case managers are applying the risk, need, and responsivity principles correctly. The case consultation/staffing usually consists of a short meeting held weekly with a small group of practitioners (six to twelve). One individual brings a case to the group, briefly summarizes the profile of the individual, the presenting problem, and the goal of the consultation. The group then provides suggestions and assistance. A supervisor or clinical director is usually present as well to ensure fidelity to the logic model around behavioral change.

The form (below) is filled out by a case worker so that all attendees can see the core facts. It is not necessary to go into great detail. These consultations are designed to move quickly so that multiple cases can be reviewed over the course of an hour to ninety minutes of time.

**Instructions:** Fill out the worksheet in preparation for the case consultation meeting.

**Probation Officer** \_\_\_\_\_

**Offender Name:** \_\_\_\_\_ **Age:** \_\_\_\_\_ **Gender:** \_\_\_\_\_

**Current Offense:**

**Prior Record:**

**Offender Strengths:**

**Risk Level (circle):**    Low    Low-Medium    Medium    Medium-High    High    Extreme High

Responsivity Factors (circle all that apply)		
Gender	Culture	Health
Developmental Age	Transportation	Vulnerability
Housing	Culture	Functioning Level
Aggressiveness	Language	Motivation
Mental Health	Other:	Other:

Criminogenic Needs (circle all that apply)			
Anti-Social Beliefs	Anti-Social Companions	Temperament/ Self Regulation	Family Stressors
Substance Abuse	Employment	Education	Leisure/ Recreation

**Current Case Challenge:**

**Triggers:**

**What Was Previously Tried:**

**Consultation Goal:**

Reference: <http://thecareygroup.com/> Carey Group <http://thecareygroup.com/>

**Exhibit 5.1 Clinical Skills Assessment**

To increase program integrity, clinical staff should be assessed regularly on skills related to service delivery and not just performance-based measures. The following items should be assessed for each staff delivering an intervention. For each item, please decide if the staff member is “very satisfactory”, “satisfactory”, or “needs improvement.” The assessor should be familiar with the staff member and should observe the staff interacting with other staff and with participants. This assessment should include sitting in on groups or watching video taped groups along with using participant evaluations when available. Staff should be assessed on each individual item using the following scale:

- Very Satisfactory:                      Rate a 2
- Satisfactory:                              Rate a 1
- Needs Improvement:                      Rate a 0

Component scores are equal to the average of the item scores. Thus, each item should be added together and divided by the number of items assessed in that component.

<b>Communication Skills:</b> This section assesses the staff member’s ability to effectively communicate with the participant.	<b>Very Satisfactory</b>	<b>Satisfactory</b>	<b>Needs Improvement</b>	<b>Not Applicable</b>
Provides the information to the group in a clear and concise manner.				
Articulates and expresses ideas verbally.				
Recognizes confusion on the part of the participant.				
Provides multiple examples of a situation until it is understood.				
Communicates to the participants in a respectful manner.				
Acknowledges participants’ concerns, opinions, feelings, and thoughts.				
Uses reflective listening skills				

**Communication Skills Score:** \_\_\_\_\_

<b>Modeling:</b> This section assesses the staff member's ability to be an effective role model for the participants.	<b>Very Satisfactory</b>	<b>Satisfactory</b>	<b>Needs Improvement</b>	<b>Not Applicable</b>
Speaks positively about the program				
Speaks positively about treatment, law enforcement, courts, or the law in general				
Does not make derogatory comments, jokes, or remarks				
Does not reinforce derogatory/antisocial comments by laughing or agreeing with the comments				
Displays prosocial thinking				
Displays prosocial behavior				
Demonstrates the skills using verbal communication				
Demonstrates the skills using non-verbal communication				
Demonstrates respect toward staff				
Demonstrates respect toward participants				

**Modeling Score:** \_\_\_\_\_

<b>Redirecting:</b> This sections assesses the staff member's ability to recognize antisocial thinking and behavior, address the problem, and redirect the thinking.	<b>Very Satisfactory</b>	<b>Satisfactory</b>	<b>Needs Improvement</b>	<b>Not Applicable</b>
Recognizes antisocial thinking				
Recognizes antisocial behavior				
Addresses the antisocial thinking immediately				
Addresses the antisocial behavior immediately				
Corrects the antisocial thinking in a non-threatening manner				

Corrects the antisocial behavior in a non-threatening manner				
Redirecting takes place in a positive manner without shaming the participant or alienating the participant				

**Redirecting Score:** \_\_\_\_\_

<b>Behavioral Reinforcements:</b> This section assesses the staff member's ability to provide appropriate rewards for prosocial attitudes and behavior and punishments for antisocial thinking and behavior.	<b>Very Satisfactory</b>	<b>Satisfactory</b>	<b>Needs Improvement</b>	<b>Not Applicable</b>
Provides appropriate rewards for prosocial behaviors				
Provides appropriate rewards for prosocial attitudes				
Consistently provides rewards to individual participants				
Very concise in explaining why the person is rewarded				
Rewards are tied to the individual				
Uses tangible rewards				
Uses natural rewards (i.e. praise)				
Provides appropriate punishments for antisocial behaviors				
Provides appropriate punishments for antisocial attitudes				
Consistently provides punishments to individual participants				
Very concise in explaining why the person is punished				
Punishments are tied to the individual				
Punishments are impossible to escape				
Punishments are immediately given for antisocial thinking or behavior				
Alternative prosocial attitudes or behaviors are provided/discussed after punishment is administered				

Punishments are varied by individual and behavior				
Provides the punishment without shaming the participant				
Assesses the negative effects of punishments (i.e., emotional reactions, avoidance toward punishers, or increase in future use of punishment)				
Rewards are consistently used more often than punishments (by at least 4:1)				

**Behavioral Reinforcements Score:** \_\_\_\_\_

<b>Group Facilitation:</b> This section assesses the staff member's abilities in facilitating groups using cognitive- behavioral techniques.	<b>Very Satisfactory</b>	<b>Satisfactory</b>	<b>Needs Improvement</b>	<b>Not Applicable</b>
Will occasionally refer to the facilitator's manual during group				
Does not heavily rely on the manual during the group (i.e., just reading the manual to the participants)				
Consistently follows the session topics				
Consistently follows the outline of each session				
Arrives to the group knowing what homework will be reviewed				
Arrives to the group knowing what skills will be taught				
Arrives to the group knowing what activities will occur				
Arrives to the group knowing what homework will be given				
Uses flip-charts, chalkboard, or other visual mechanisms during the group				
Uses the skills cards during the groups				
Asks frequent open-ended questions to all participants during the group				

Breaks down the skills into their component parts				
Determines consistently if the participants are understanding the materials				
Involves all participants in practicing the new skills				
Assists participants in identifying items that went well during the practicing period				
Assists participants in identifying items that need improvement during the practicing period				
Assist participants in identifying situations and consequences that may occur in the “real-world”				
Provides constructive feedback to the participants				
Encourages participants to provide feedback about themselves				
Encourages participants to provides feedback to others				
Provides additional practicing exercises based on the feedback received				
Debriefs participants after practicing skills				
Provides a dynamic presentation (e.g., is enthusiastic, has voice inflection, and is humorous when appropriate)				
Consistently uses repetition when presenting material				
Shows enthusiasm for the interactive journals				
Uses the four quarters method of group facilitation				
Provides a room free from distraction (i.e., no phones ringing, people moving in or out, or the loud speaker interrupting)				
Keeps the participants and the groups on task (i.e., the groups do not become client-centered)				
Arranges chairs in a semi-circle				

**Group Facilitation Score:** \_\_\_\_\_

<b>Knowledge:</b> This section assesses the staff member's knowledge of organizational issues and program components.	<b>Very Satisfactory</b>	<b>Satisfactory</b>	<b>Needs Improvement</b>	<b>Not Applicable</b>
Demonstrates an understanding of the principles of cognitive-behavioral therapy				
Demonstrates an understanding of the principles of social learning				
Demonstrates an understanding of the principles of effective interventions				
Demonstrates an understanding of motivational enhancement therapy				
Demonstrates an understanding of participants' readiness for change				
Demonstrates an understanding regarding the use of the offender assessments				
Demonstrates an understanding of the importance of linking the assessments to the criminogenic needs				
Demonstrates an understanding of the participant's responsivity issues				
Demonstrates an understanding of the importance of linking the interactive journals to the skills being taught				

**Knowledge Score:** \_\_\_\_\_

<b>Interpersonal Characteristics:</b> This section assesses personal characteristics of the staff member.	<b>Very Satisfactory</b>	<b>Satisfactory</b>	<b>Needs Improvement</b>	<b>Not Applicable</b>
Establishes rapport with the participants				
Engenders motivation				
Understands differing viewpoints				
Is warm, genuine, and open with the participants				
Sets boundaries				
Is firm but fair				
Is empathetic				
Avoids argumentation				
Is flexible				
Believes that participants' behaviors/attitudes can change				
Consistently uses motivational interviewing techniques				
Does not judge the participant as a person				
Consistently demonstrates problem-solving skills				

**Interpersonal Characteristics Score:** \_\_\_\_\_

Reference: Mark Carey Direct Line Supervisors Training Competencies Participant Manual March 10, 2010, Page 133-139 Carey Group <http://thecareygroup.com/>

**Exhibit 5.2 Assessment of staff on Evidence Based Practices Skills**

**Supervisee Assessment**

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*Supervisee:* \_\_\_\_\_ *Supervisor:* \_\_\_\_\_ *Date:* \_\_\_\_\_

**Supervisee Strengths**

**Supervisee Needs/Struggles**

<p>Risk, Need, and Responsivity Assessment  <i>(e.g., Supervisee demonstrates the ability to engage client in interview/intake process and accurately complete risk need assessment interview and tool )</i></p>	
<p><b>Case Management and Planning</b>  <i>(e.g., Supervisee’s risk needs assessment and case conceptualization is thorough and demonstrates logical linkages between risk areas and case planning and case management.)</i></p>	
<p><b>Motivational Interviewing Skills</b>  <i>(e.g., Supervisee demonstrates knowledge of MI essentials and skills and implements these skillfully with clients.)</i></p>	

**Match Interventions with Offender's Stages of Change**

*(e.g., Supervisee demonstrates the ability to develop an intervention based on Prochaska and DeClimente's stages of change.)*

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**Sanctions and Incentives**

*(e.g. Supervisee uses appropriate discretion when deciding to violat~~e~~ probation, hold them accountable to conditions or delay a response when progress is made towards goals.)*

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**Cognitive Behavioral Interventions**

*(e.g., Supervisee understands the link between thinking, feeling and behaviors and demonstrates the ability to assess anti-social thinking as a criminogenic need area)*

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**Social Learning Theory**

*(e.g., Supervisee understands the knowledge and skills including modeling, reinforcement, role-playing, graduated practice etc)*

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**Outcomes with Clients**

*(e.g. Clients with whom supervisee works generally demonstrate good outcomes, as defined in the department's Goals and Guidelines document, and to the extent that supervisee's behavior is the most significant impact on outcomes.)*

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Reference: Supervisor Training Participant Document Jane Hurley Johncox, MSW LICSW – May 2011

**Exhibit 5.3 Supervisor Assessment of Evidence Based Practices**

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*Supervisee:* \_\_\_\_\_ *Supervisor:* \_\_\_\_\_ *Date:* \_\_\_\_\_

**Supervisor Strengths**

**Supervisor Growth Opportunities**

**Risk, Need, and Responsivity Assessment**

*(e.g., Supervisor demonstrates the ability to provide education, support and information on criminogenic needs, structures work-loads based on offender risk, and is able to assist in the development of programs and resources that meet the individual needs of offenders)*

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**Case Management and Planning**

*(e.g., Supervisor understands how to support supervisees in using risk needs assessment and case conceptualization to make logical linkages between criminogenic need areas and case planning and case management.)*

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**Motivational Interviewing Skills**

*(e.g., Supervisor demonstrates knowledge of MI essentials and skills and implements these skillfully with supervisee and clients.)*

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**Match Interventions with Offender's Stages of Change**

*(e.g., Supervisor understands the stages of change and is able to provide education and support to the supervisee to increase their ability to develop an intervention based on Prochaska and DeClimente's stages of change.)*

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Supervisor Strengths	Supervisor Growth Opportunities
<p style="text-align: center;"><b>Sanctions and Incentives</b></p> <p style="text-align: center;"><i>(e.g. Supervisor educates and supports supervisee in using appropriate discretion when deciding to violate probation, hold them accountable to conditions or delay a response when progress is made towards goals.)</i></p>	
<p style="text-align: center;"><b>Cognitive Behavioral Interventions</b></p> <p style="text-align: center;"><i>(e.g., Supervisor understands the link between thinking, feeling and behaviors and demonstrates the ability to assess anti-social thinking as a high-risk area and demonstrates the ability to educate and support the supervisee on how to implement CBT interventions)</i></p>	
<p style="text-align: center;"><b>Social Learning Theory</b></p> <p style="text-align: center;"><i>(e.g., Supervisee understands the knowledge and skills including modeling, reinforcement, role-playing, graduated practice etc)</i></p>	

**Outcomes with Clients**

*(e.g. Supervisor is able to support supervisee's work with clients to generally demonstrate good outcomes, as defined in the departments Goals and Guidelines document, and to the extent that supervisor's and supervisee's behaviors is the most significant impact on outcomes.)*

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Reference: Supervisor Training Participant Document Jane Hurley Johncox, MSW LICSW – May 2011

**Exhibit 5.4 Ramsey County MI Professional Development Plan**

<b>MI Professional Skills Development</b>						
<b>Date:</b>						
<b>Staff Name:</b>						<b>Tape Number</b>
<b>Supervisor Name:</b>						
<b>MI Proficiency Goals</b>						
<b>Current proficiency by year as determined by:</b>						
<b>1. MI interview turned in by tape</b>						
<b>2. Supervisor direct observation</b>						
<b>3. MI interview turned in by video tape</b>						
	Spirit	Direction	Empathy	MI Adherent %	R:Q Ratio	Com Reflec
	(4.0)	(4.0)	(4.0)	(100%)	(2)	(50%)
Previous Score:	None	None	None	None	None	None
<b>Current Score:</b>	<b>%</b>					
<b>%</b>						
<b>2. Goal for upcoming year:</b>						

	Spirit	Direction	Empathy	MI Adherent %	R:Q Ratio	Com Reflec
Target Score:						
<b>3. Status of MI Skills:</b>						
	<b>Proficiency Area</b>	<b>Meets</b>	<b>Did Not Meet</b>	<b>If Did Not Meet:</b>		
Decreased	Spirit	0	0	0 Increased	0	
Decreased	Direction	0	0	0 Increased	0	
Decreased	Empathy	0	0	0 Increased	0	

Decreased	MI Adherent %	0	0	0 Increased	0
Decreased	R:Q Ratio	0	0	0 Increased	0
Decreased	Complex Reflections	0	0	0 Increased	0
<b>RCCC MI Staff Development Agreement</b>					