

CENTER FOR SEX OFFENDER MANAGEMENT

CSOM

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**Enhancing the Management of  
Adult and Juvenile Sex Offenders:  
A Handbook for Policymakers  
and Practitioners**

*Updated July 2007*

PREPARED BY THE CENTER FOR SEX OFFENDER MANAGEMENT



*A Project of the U.S. Department of Justice  
Office of Justice Programs*

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## *About CSOM*

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Established in June 1997, CSOM's goal is to enhance public safety by preventing further victimization through improving the management of adult and juvenile sex offenders who are in the community. A collaborative effort of the Office of Justice Programs, the National Institute of Corrections, the State Justice Institute, and the American Probation and Parole Association, CSOM is administered by the Center for Effective Public Policy.

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# SECTION ONE *An Introduction to This Handbook and to Sex Offender Management*

Although sex offenders account for only a small percentage of the total offender population, probably no other group of offenders evokes as much fear in citizens and concern among policymakers and practitioners. In an effort to protect the public from the threats posed by known sex offenders and to ensure that the most effective management practices possible are in place, communities across the country are working hard to assess and plan improvements to their current approaches to sex offender management.

## *Background*

This handbook is designed to assist policymakers and practitioners in the process of assessing, and strengthening, their sex offender management approaches. Initially, this handbook was developed for jurisdictions that applied for and were awarded grants through a competitive program offered by the U.S. Department of Justice, Office of Justice Programs (OJP). However, this handbook describes a planning and implementation process that is applicable to all jurisdictions, regardless of size, the resources available to manage sex offenders, the improvements you seek, or the level of expertise among those involved in the process.

A companion publication, *The Comprehensive Assessment Protocol (CAP): A Systemwide Review of Adult and Juvenile Sex Offender Management Strategies (2007)*, was developed to assist jurisdictions to develop a detailed

understanding of their current policies and practices relative to empirically-based and emerging practice and research in the field—a critical step in the planning and implementation process. The CAP was developed and reviewed by experts from a variety of disciplines, and was piloted in two dozen jurisdictions that were awarded grants under the Comprehensive Approaches to Sex Offender Management (CASOM) grant program sponsored by OJP. Together, this handbook and the CAP will equip you with the tools necessary to comprehensively assess, and strengthen, your approach to sex offender management.

## ► *An Overview of the Handbook's Content*

This handbook is divided into four sections.

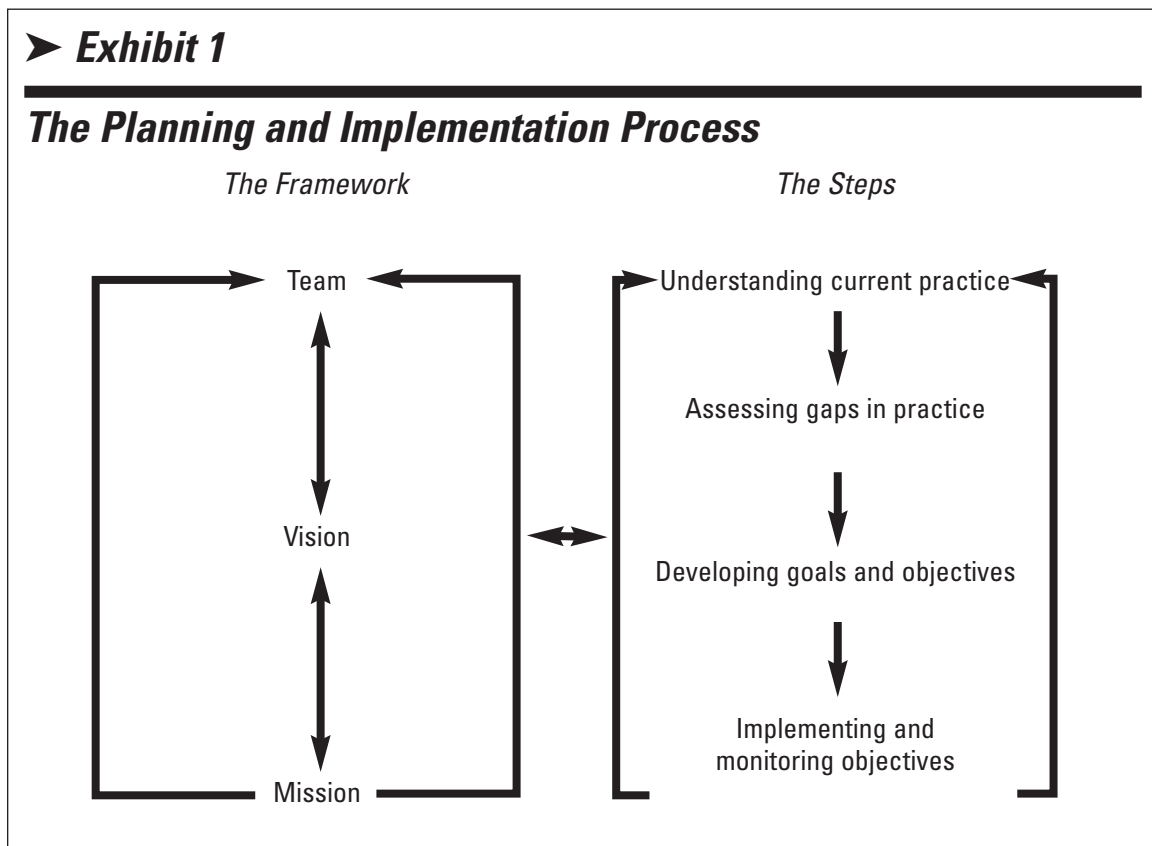
- **Section one** provides an overview of sex offenders and their management. It summarizes current research and promising practices that are emerging in communities across the nation, and outlines the fundamental principles and key components of a comprehensive approach to sex offender management. This information will provide a launching point for individuals and jurisdictions just beginning to focus specifically on this offender population and may offer new information or point to additional areas of consideration for those who have been engaged in this work for some time.

- **Section two** describes a framework for engaging in a planning and implementation process. The framework has three central components: the collaborative team, the team’s vision, and the team’s mission. This section discusses why each element is essential and provides teamwork activities to help you establish your team and create your vision and mission statements.
- **Section three** describes the planning and implementation process. Four significant steps make up this process: developing an understanding of your jurisdiction’s current sex offender management policies and practices; assessing the gaps in your current practice; developing goals and objectives to address the most significant gaps; and implementing and monitoring changes to meet your goals. This section describes in detail each of these steps, provides examples of work products and other illustrative material,

and guides teams through each step with specifically designed teamwork activities.

- **Section four** is the handbook’s conclusion.

The activities described in this handbook build upon one another and are interdependent. They focus on the team that is designated to guide your work, the vision you aspire to reach, and the mission that defines your efforts. These serve as the framework for the conduct of your work. A deliberate process that attends to the collection and analysis of the information that is key to sound decisionmaking, the formulation of a plan to carry out the goals you deem of greatest importance, and the monitoring of their outcome, are equally important. Taken as a whole, this process is likely to produce the more effective sex offender management practices you seek for your jurisdiction. Exhibit 1 depicts the relationship among the processes and activities described in this handbook.





## ► ***An Overview of Sex Offenders and Their Management***

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Despite recent legislative changes and sentencing practices that increase the likelihood and length of incarceration for convicted sex offenders, many of these offenders are supervised in the community. A U.S. Department of Justice study (Greenfeld, 1997) reports that approximately 265,000 adult sex offenders are under the care, custody, or control of correctional agencies in the United States. However, more recent estimates of prison census data conservatively estimate that over 150,000 sex offenders are incarcerated in state and federal correctional facilities throughout the country (Harrison & Beck, 2006); and that roughly 170,000 sex offenders may be under community supervision—an increase of 21% of the number of sex offenders under some form of correctional supervision in the United States. Most offenders who are convicted of one or more sex crimes will be supervised in the community at some point—either immediately following sentencing or after a period of incarceration in jail or prison. These offenders present unique challenges to those agencies responsible for their management. Because of the potentially volatile community responses to sex offenders, and the irrefutable harm that re-offenses would cause potential victims, the management of these offenders—from arrest to incarceration to community supervision—is of critical importance to criminal justice agencies and the public.

Sex offenders have a wide variety of racial, ethnic, and socioeconomic backgrounds, and vary significantly in age. While some sex offenders may display behaviors and characteristics that are similar to other types of criminal offenders (e.g., a lack of education; unstable employment and residence; drug and alcohol problems that interfere with daily life; frequent altercations with families, friends, and strangers; and an

overall resistance to authority figures), the majority of them do not have extensive criminal histories or “traditional” criminal lifestyles. Their victims range from family members to strangers. The use of various technologies and treatment interventions that are unusual, if not unheard of, with other offender populations, and a variety of legislative requirements (such as sex offender registration and community notification), separate these offenders, and how we manage them, from others.

The primary objective of this handbook is to provide policymakers and practitioners with guidance as they assess and make plans to enhance the effectiveness of their own sex offender management approaches. Before undertaking this work, developing an understanding of the differences between sex offenders and those who do not commit sexual offenses, the incidence and prevalence of sexual assault, the differences among those who do sexually offend, and the current state of knowledge and research on this subject, is critically important.

The following is an overview of the components of a comprehensive approach to sex offender management. It describes briefly many of the aspects of offender management your team is likely to consider.

### *The Incidence and Prevalence of Sexual Abuse; Etiology; Sex Offender Populations; and Recidivism*

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#### *The Victims of Sexual Abuse*

Sexual abuse is considered to be a widely underreported crime. Because of the intensely personal impact that sexual crimes have on victims, many may be reluctant to report them. Based on analyses of self-report victimization

surveys of women in the United States, however, researchers have been able to draw several important conclusions. Most sexual assaults are committed by someone known to the victim or the victim's family, regardless of whether the victim is a child or an adult (Greenfeld, 1997). Approximately 78 forcible rapes of women 18 years of age and older are committed each hour in the United States, and 1 of 6 U.S. women and 1 of 33 U.S. men have experienced an attempted or completed rape as a child and/or adult (Tjaden & Thoennes, 2006). At least one in four girls and one in seven boys have been sexually abused by age 18 (Finkelhor, 1994). Sexual crimes often are perpetrated against youth: in the National Violence Against Women Survey, over half of the respondents who experienced an attempted or completed rape reported that the assault occurred when they were under 18 years of age (Tjaden & Thoennes, 2006). Another national survey found the same trend, with 61% of reported rapes occurring before the victim reached age 18 (Kilpatrick, Edmunds & Seymour, 1992). These numbers are also replicated in official crime reporting data: The National Incidence Based Reporting System suggests that roughly two thirds—or 67%—of all victims of reported sexual assaults were under 18 years of age; and more than half of these victims were under the age of 12 (Snyder, 2000). Approximately two-thirds of state prisoners convicted of rape or sexual assault offended against children (Greenfeld, 1997).

### *The Etiology (Cause) of Sexually Abusive Behavior*

Many etiological theories purport to explain why some men perpetrate sexual abuse. Unfortunately, none of these theories applies to all (or even a majority) of sex offenders. Sexual abuse is an extraordinarily complex, multifaceted problem that cannot be easily or simply explained.

The great majority of sex offenders do not commit their crimes impulsively without any planning or forethought. Most sex offenders have a cycle that is associated with their offending behavior that begins hours, days, weeks, or even months before the actual sex crime is physically perpetrated.

### *Adult Sex Offenders*

Although many practitioners describe sex offenders with such words as “manipulative,” “secretive,” “devious,” and “deceptive,” a set of characteristics (e.g., physical, mental, psychological, personality, emotional) that is common to all or most sex offenders has not been identified. Because of the diversity in the demographic and social makeup of those who commit sexual offenses, a profile of a “typical” sex offender does not exist, although the vast majority of sex offenders are male. While information about male sex offenders traditionally has dominated the literature in this field, a growing body of research about female sex offenders is beginning to emerge.

### *Juvenile Sex Offenders*

Juveniles represent a significant proportion of all individuals responsible for sex offenses (Federal Bureau of Investigation, 2005; Snyder & Sickmund, 2006).

Available research does not support the notion that sexually abusive youth are destined to become adult sex offenders (see, e.g., Chaffin, 2006; Letourneau & Miner, 2005; Zimring, 2004). Further, the emerging wisdom among leading scholars is that they are different from their adult counterparts (see, e.g., Chaffin, Letourneau & Silovsky, 2002; Fanniff & Becker, 2006; Hunter, Figueredo, Malamuth, & Becker, 2003, 2004).

Although funding and ethical issues have made it difficult to conduct carefully controlled treat-

ment outcome studies, a number of encouraging clinical reports on the treatment of sexually abusive youth have been published. While these studies are not definitive, they provide support for the belief that the majority of these youth can benefit significantly from treatment. However, additional data is needed to understand more fully the extent and etiology of juvenile sexual abuse.

### *Sex Offenders with Developmental Disabilities*

Many communities around the country struggle with the issue of managing adult sex offenders with developmental disabilities. Although they may be different in terms of their cognitive skills, developmentally disabled sex offenders pose many of the same challenges to supervision agencies as other adult sex offenders. While the tendency of some agencies may be to treat this population in a different way than sex offenders without developmental disabilities, it is important to remember the following:

- Sex offenders with developmental disabilities pose as clear a threat to public safety as sex offenders without developmental disabilities.
- Developmental disabilities do not cause or excuse sexual offending.
- Sex offenders with developmental disabilities should be provided treatment that is appropriate to their developmental capacity and their level of comprehension.

To assess effectively whether a sex offender with developmental disabilities can be adequately managed in the community given the unique kinds of services they are likely to need, supervision and treatment agencies must:

- Evaluate the offender's level of cognitive impairment to gauge his or her suitability for community supervision;

- Work with treatment providers who are knowledgeable about sex offending behavior and have treated developmentally disabled individuals; and
- Work intensively with personnel from mental health and social services departments, group home staff, and others who may be involved closely in the offender's daily life.

### *Female Sex Offenders*

Although men commit the vast majority of sexual offenses, there is an increasing awareness of females as sex offenders (Center for Sex Offender Management, 2007). Because sexual victimization is significantly underreported overall, reliable information about the incidence of sex crimes perpetrated by females is difficult to obtain. However, census and caseload data reported by criminal and juvenile justice agencies suggest that approximately 1,500 women are imprisoned for sexual offenses compared to roughly 150,000 men who are imprisoned for these offenses (Harrison & Beck, 2005). And in the community, women represent 23% of adult probationers and 12% of parolees (Glaze & Bonczar, 2006). In terms of victims, when individuals are surveyed about their sexual victimization experiences, the incidence of female-perpetrated sex offenses is often higher and much more variable: Data reveal that up to 63% of female victims and as many as 27% of male victims report having been sexually victimized by a female (Schwartz & Cellini, 1995). In addition, the National Criminal Victimization Survey indicates that females represent up to 6% of rapes or sexual assaults by an individual acting alone and that females are involved in up to 40% of sex offenses involving multiple offenders (Bureau of Justice Statistics, 2006).

Unlike their male counterparts, female sex offenders were sexually victimized at almost twice the rate of men, most often by a family member (Kaplan & Green, 1995). Other prelimi-

nary research findings suggest the following:

- Sexual abuse that is perpetrated by women often occurs in care giving situations and may be committed in isolation or because of coercion by or in conjunction with a male counterpart.
- Women who sexually abuse are often socially isolated and lack a sense of attachment and belonging.
- Female sex offenders often have a history of substance abuse and emotional disturbances such as depression and post-traumatic stress disorder, and they often have experienced a history of sexual and physical abuse as children.

Practice regarding the treatment and supervision of female sex offenders is in its infancy. However, there appears to be consensus about the separation of males and females in treatment settings and agreement that treatment strategies for females need to be gender-specific, addressing the unique etiology of female sexual abuse.

### *Sex Offender Recidivism Rates*

Accurately measuring the rate at which sex offenders recidivate is difficult. Most studies that attempt to measure recidivism equate reoffending with rearrest or reconviction, which is problematic because of the generally accepted understanding that sexual assault is a widely underreported crime. Therefore, researchers are concerned that some reported recidivism rates are artificially low. Findings also suggest that recidivism rates fluctuate widely, depending on the type of sexual offense the offender has committed. Additionally, few longitudinal studies have been conducted on sex offender recidivism to date. In those that have been conducted, however, researchers conclude that long-term recidivism rates are lower for sex

offenders than for the general criminal population (Hanson & Bussiere, 1998; Langan, et.al, 2003). Researchers also have argued that offenders who receive specialized and intensive sex offender treatment have a significantly lower rearrest rate than offenders who do not participate in treatment.

Sexually abusive youth appear to respond well to cognitive-behavioral and/or relapse prevention treatment, with rearrest rates of approximately 7% in follow-up periods of more than five years (Alexander, 1999). Program evaluation data suggest that the sexual recidivism rate for juveniles treated in specialized programs ranges from approximately 7 to 13 percent in follow-up periods of two to five years (Becker, 1990).

## *The Components of Effective Sex Offender Management*

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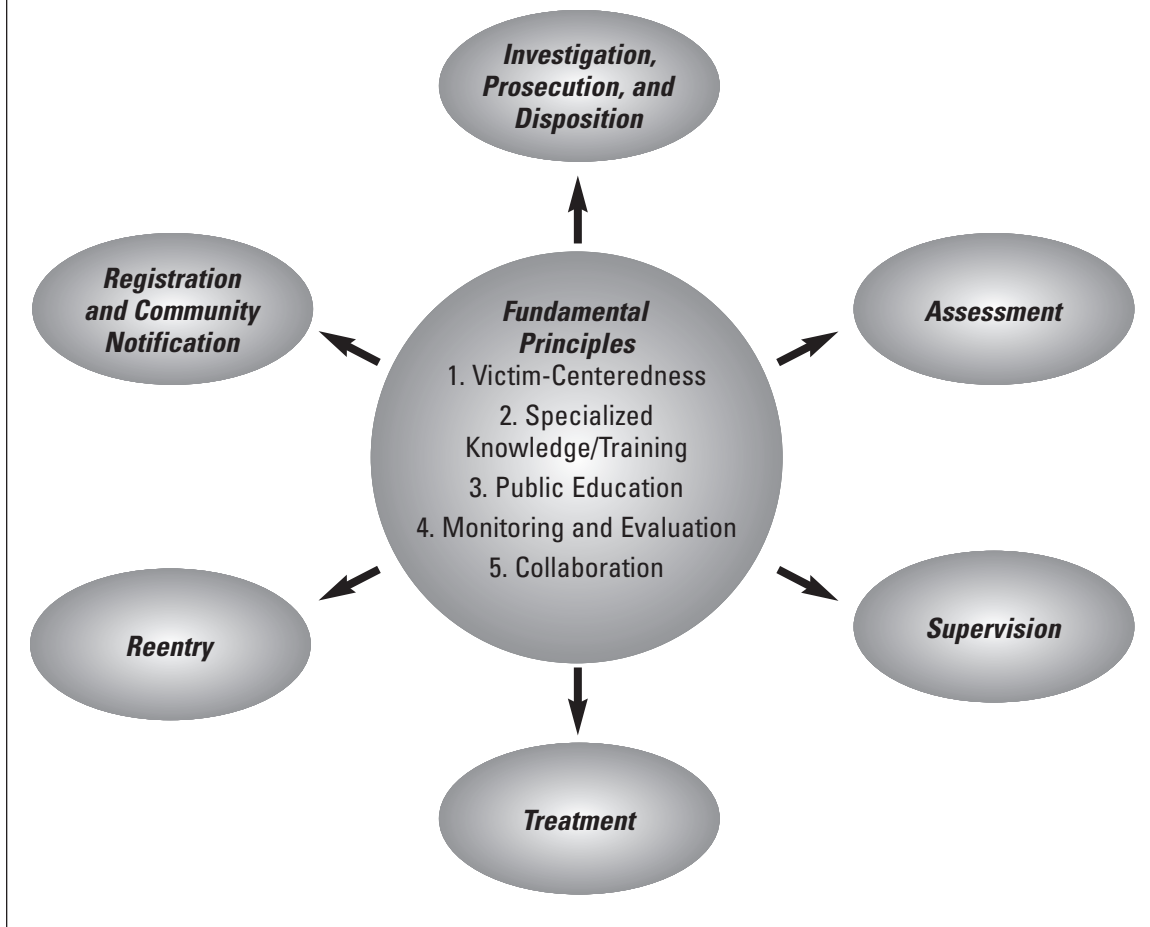
### *What is a Comprehensive Approach to Sex Offender Management?*

The “Comprehensive Approach” to sex offender management is a framework that has been developed to encourage a strategic, deliberate, and integrated response to managing sex offenders and reducing recidivism. The Comprehensive Approach to sex offender management addresses three key questions:

- What are the activities that are central to effective sex offender management practices?
- Who are the stakeholders that need to be involved in these efforts in order for them to be effective?
- How should professionals approach the sex offender management process (that is, what are the underlying philosophies about how this work should be done)?

## Exhibit 2

### ***The Comprehensive Approach to Sex Offender Management***



The first two questions are addressed by the key components listed in the outer circles depicted in Exhibit 2. These circles represent the critical components of an effective approach to sex offender management:

- Investigation, Prosecution, and Disposition
- Assessment
- Treatment
- Supervision
- Reentry
- Registration and Community Notification

The third question addresses the underlying principles of the Comprehensive Approach to sex offender management. These principles, represented by the innermost circle of Exhibit 2, are:

- The critical nature of collaboration in response to this problem at both the case management and policy levels.
- A primary goal—shared by all stakeholders—of preventing future sexual victimization and a victim-centered approach to sex offender management.
- The need for specialized training and knowl-

- edge for those working with sex offenders.
- An emphasis on educating the public.
- The importance of monitoring and evaluating sex offender management practices.

### *The Fundamental Principles that Underlie a Comprehensive Approach*

#### **Collaboration**

Various agencies are involved with sanctioning and treating offenders and protecting and treating victims. Although some of these agencies may not have traditionally worked together—in fact, they may have divergent missions and goals—collaborating to prevent additional occurrences of sexual abuse by offenders under supervision is vitally important. Collaborating partners should be in contact with one another about developing policies on sex offender management, assessing the impact of those policies on victims, and seeking the input of one another on the most effective ways to hold sex offenders accountable while providing support to and safety for victims. Increased information sharing, limited confidentiality, and an overall willingness to work more closely with other organizations should characterize all collaborative efforts.

The personnel who should be involved in these collaborations include:

- Criminal justice system personnel such as judges, prosecutors, law enforcement officials, and defense attorneys who are responsible for processing offenders through the criminal justice system.
- Correctional officials who are responsible for preparing sex offenders for release to the community as well as those who monitor and supervise offenders while they are in the community.
- Victim advocates and victim treatment providers who provide services, support,

and information to victims throughout the criminal justice process and can serve as their voice in criminal justice system decisions that can impact victims.

- Sex offender treatment providers who can rely in part on information gleaned from supervision officers and others who may have contact with or knowledge of offenders and their behavior to more effectively hold them accountable and to help them develop strategies to stop their sexually abusive behavior.
- Others who have a stake or role to play in preventing further victimization, from polygraph examiners to social service providers, child protective agencies, and school administrators.

Despite the difficulties that coordinating activities and policies among these different stakeholders is likely to pose, the effective management of sex offenders requires these individuals to work together toward the unified goal of protecting past and potential victims, and the community.

#### **A Victim-Centered Approach**

In addition to offering services to survivors and responding to issues that may arise when offenders are released into the community, victim advocates can serve an extremely important function overall: to ensure that the interests of current and potential future victims remain at the forefront for those working to manage sex offenders in the community.

Victim advocacy is a central component of several promising sex offender management initiatives around the country. Victim advocates have a unique perspective on the trauma that victims face. They have the capacity to establish relationships with victims, act as a resource for victims as they participate in the criminal justice process, and continue to support victims after offenders are released into



the community under supervision. This specialized and personal understanding of the needs of victims can permit advocates to work with supervision agencies to:

- Enhance sex offender management policy development to ensure that the safety needs of victims are paramount;
- Develop and deliver professional training initiatives to educate criminal justice system and other actors about the effects of victimization;
- Inform day-to-day supervision practices, especially around policies that may be harmful to victims; and
- Assist and support supervision agencies with community notification and education efforts.

### **Specialized Knowledge and Training**

Because of the nature of this offender population, the unique challenges they pose, and the complexity of the issues surrounding their crimes, it is important that all those involved with the management of sex offenders have specialized knowledge and training about sex offenders and their victims.

### **Educating the Public**

Providing the public with accurate information about sex offending is central to successful prevention and management efforts. Holding a dialogue about who offenders are (e.g., most offenders are known to their victims; most offenses go undetected) and how they are managed (e.g., most offenders are released to the community, treatment is an effective intervention in our efforts to reduce recidivism) will help to dispel commonly held myths and equip the general public to better respond to and deal with the issue of sex offending in their communities.

### **Monitoring and Evaluation**

Sex offender management should be based in evidence-based practice—or what is known to ‘work’ with this population. Those practices should be monitored and evaluated on an ongoing basis to ensure that they remain current with the emerging science. A willingness and capacity to assess critically—and in an ongoing fashion—current approaches and practices is critical to the evolution of the sex offender management field, and the advancement of what works in the effective management of sex offenders.

### *The Key Components of a Comprehensive Approach*

### **Investigation, Prosecution, and Disposition**

The investigation, prosecution, and disposition of sex crime cases is a complex undertaking, and sets the stage for the remainder of the offender’s contact with the criminal justice system. In order to adjudicate these cases in the most effective way possible, the involved parties should have knowledge of sexual assault victim issues, including best practice in the collection of forensic evidence; be committed to the swift and judicious resolution of these cases; protect the individual defendant’s rights while maintaining the overarching interests of community safety; and promote the accountability of sex offenders.

### **Specialized Sex Offender Assessment**

Because of the complex and varying nature of sexual abuse and the individuals who perpetrate it, practitioners must assess sex offenders and their behavior effectively and in an ongoing, collaborative fashion. This enables them to respond appropriately to and manage the different levels of risk that offenders pose over time to victims and the community. Sex offender assessment can be seen as a process that has two related domains (risk and clinical) and

interdependent purposes, which practitioners must understand and communicate about clearly and consistently. The risk assessment domain has two purposes: risk prediction and risk management.

- **Risk prediction** is the science of estimating the likelihood of recidivism over a period of years. The most accurate and useful estimations of risk come from objective, empirically based, scientifically validated tools. These tools enhance the ability of practitioners to identify subgroups of offenders who pose a higher risk to re-offend than others.
- **Risk management** is the process (undertaken by probation/parole officers, treatment providers, police officers, victim advocates, and many others) of recognizing and responding to ongoing, short-term (hourly, daily, or weekly) changes in sex offender risk. This process is premised on the understanding that every sex offender has a unique set of dynamic factors that are related to the immediate risk they pose. Research suggests that there are specific, changeable factors that should be monitored over time.

The clinical assessment domain also has two purposes: clinical diagnosis and clinical treatment planning.

- **Clinical diagnosis** is the process of assessing whether psychological, psychiatric, or psycho-sexual problems are present in sex offenders. The results impact the criminal justice process and the determination of appropriate treatment responses.
- **Clinical treatment planning** includes the assessment of sex offenders' specific treatment needs; the development of comprehensive treatment plans that respond to these needs; the ongoing assessment of

these needs; and the effectiveness of the treatment interventions employed (treatment progress).

The information garnered from risk prediction tools; and the risk management, clinical diagnosis, and clinical treatment processes inform the critically important point-in-time and ongoing decisions that practitioners make throughout the criminal justice process (beginning at arrest and ending at the termination of a sentence) to protect victims and the community.

### **Treatment**

Specialized treatment is a critical component of any jurisdiction's approach to sex offender management and is markedly different from traditional mental health counseling or psychotherapy in a number of significant ways:

- The primary focus is the protection of past and potential victims and the community.
- Information discussed in treatment sessions is shared with supervision agents, polygraph examiners, and others as necessary.
- Considerable attention is directed toward making offenders understand the harm they have caused their victim(s).
- Thinking errors that contribute to offending patterns are revealed, examined, and challenged.
- Offenders participate in professionally facilitated group sessions in which they challenge one another about their denial, distortions, and manipulation.

Sex offender treatment programs that include a relapse prevention component and cognitive-behavioral techniques and that tailor their treatment responses to meet the varying, diverse, and complex needs of sex offenders have the greatest chance to reduce both sexual and general recidivism. Treatment programs should also include other adjunctive compo-



nents such as marital and family therapy, substance abuse treatment, educational and vocational supports, medication when needed, and individual therapy to address sex offenders' other problems and issues.

### **Supervision**

The experiences of probation and parole agencies across the nation indicate that sole reliance on commonly used, traditional supervision practices (e.g., scheduled office visits, periodic phone contact) do not adequately address the unique challenges and risks that sex offenders pose to the community. In response, specialized approaches to sex offender supervision have been developed in jurisdictions around the country that have a primary focus on the prevention of future victimization and the protection of victims and the community, and include:

- Close collaboration and frequent information sharing among supervision officers and other practitioners who share responsibility for sex offender management (e.g., treatment providers, victim advocates, law enforcement officers, and polygraph examiners).
- Specialized, ongoing training for agents who work with sex offenders.
- Special conditions of supervision designed to address the specific and unique risks and criminogenic needs of each sex offender.
- Supervision agents who are willing and able to be involved in each offender's daily life and habits.
- Small caseloads so that agents working with sex offenders can engage in intensive casework in the field.

### **Reentry**

Careful consideration of how to transition sex offenders back into the community safely and effectively is of critical importance. Since sex offenders often commit their crimes in secrecy

and isolation, ensuring that they are employed in appropriate settings, have living conditions that do not pose undue risks to past or potential victims, are receiving specialized treatment, and are working toward developing pro-social, supportive relationships, may be key to interrupting their cycle of sexually abusive behavior. Criminal justice, treatment, and victim advocacy agencies must make a concerted effort to develop release plans and establish community supports that balance issues associated with the offender's successful reintegration with the public's safety.

### **Sex Offender Registration and Community Notification**

All states have enacted sex offender registration laws as a means of providing law enforcement with an additional investigative tool. To achieve these goals, states have developed numerous promising approaches to sex offender registration. These include developing written policies and procedures detailing the registration process, collecting thorough information on registered sex offenders, providing ready access to this information for all law enforcement officers, and developing systems to transfer registration information within and across state lines effectively and efficiently. The recent passage of the Adam Walsh Child Protection and Safety Act of 2006 requires, among other things, the further integration of information of state sex offender registry systems and ensures that law enforcement will have access to the same information across the United States.

In addition, all 50 states have enacted sex offender community notification laws. The primary objective of these laws is to ensure that the public can access information that will assist them in protecting themselves and their families from known dangerous sex offenders who reside in their communities.

Several jurisdictions are using community notification as an opportunity to educate citizens about sexual abuse and to increase their knowledge of and involvement in sex offender management. These educational efforts—conducted in a multidisciplinary, collaborative fashion—often focus on research that indicates that most sexual abusers live undetected in the community as opposed to those who have been identified (through arrest and conviction) and methods that private citizens can employ to protect themselves and their families from sexual victimization.

### *Public Health and Primary Prevention*

Current interventions directed at ending sexual abuse focus primarily on intervening with offenders who have already perpetrated sex offenses. However, criminal justice system actors who envision a response to sexual violence beyond the bounds of their own system must begin to forge collaborative partnerships with those in the public health and primary prevention arenas in an effort to stop sexual violence before it occurs. Recognition that sexual assault is a public health problem is steadily gaining momentum and a body of literature and research regarding its prevention is emerging.

## *The Need for Clear and Consistent Policy*

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The establishment of clear and consistent policies at all levels (state, local, and agency) is a crucial component of sex offender management. Clear policy defines how cases will be investigated, prosecuted, adjudicated, supervised, and treated. It also defines, for example, the method of community supervision and the roles various agencies play in the offender management process. Consensus-built policy serves as a vehicle to carry out the goals of the system. These are best developed through the establishment of a collaborative team and the use of a strategic planning process. Policies must be developed that address and effectively connect together the many components of sex offender management. The method to undertake this work is described in much greater detail in the following two sections of this handbook.

## *References and Resources*

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Appendix 1 of this handbook provides a listing of the works cited in this section as well as an extensive list of additional references, presented by substantive category. This reference list should serve as a helpful starting place for the identification of additional information on the topics related to sex offender management.

## *SECTION TWO The Framework of the Planning and Implementation Process*

This second section describes the framework through which sex offender management policy planning and development should take place. That framework is composed of three central components: the collaborative team, the team's vision for the future, and the team's mission. The third section of this handbook will describe the steps of a planning and implementation process that will enhance your team's understanding of the sex offender population in your jurisdiction and your current approach to their management. It will also assist you in implementing a plan to enhance your current approach.

### *The Collaborative Team*

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The responsibility of the criminal justice system to ensure public safety demands a thoughtful approach to the management of sex offenders. Because of the severity of the offenses perpetrated by these offenders, and the unique challenges they pose, protecting the public requires more than good police work or strict sentencing policies. It requires a thorough understanding of all of the ways in which sex offenders differ from one another and from other types of offenders, and in turn, the unique approaches and practices employed to manage them. The establishment of a collaborative team is essential to accomplishing this, for effective sex offender management involves law enforcement, prosecution, defense, the judiciary, corrections, treatment, victim advocacy, and others who can contribute to monitoring, supervi-

ing, or providing services to these offenders—including polygraph examiners, school officials, community- and faith-based organizations, employers, mentors, family, and friends. The establishment of a policy-level team to examine your jurisdiction's current approach to sex offender management, consider how that approach can be improved, and provide oversight in the carrying out of those improvements is a central goal of this handbook. The next section, "The Team: The Core of the Framework," discusses both the composition of the collaborative team and its role.

### *The Team's Vision*

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Bringing your policymakers together is only the first step in this process. Building a base from which you can work and ensuring that your activities are both successful and effective requires that you agree on your overarching purpose. This is referred to as your vision. It is likely to take time and hard work to develop a vision for your team, and that vision may change over time. Nonetheless, it will be your vision that inspires your team members to come to meetings when the press of other business grows strong; it will be your vision that ultimately will help guide your course of action; and it will be through your vision that you gain the support for changes from your colleagues. Your vision will map your course, so be sure to give it the attention it deserves. The section entitled "The Vision: A Statement of What You Want" discusses the centrality of the vision to the planning and imple-

mentation process and guides your team in the development of your vision statement.

### *The Mission*

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The third critical component of the planning and implementation framework is the identification of the team’s mission. The mission will define the team’s work together in a realistic and meaningful way, translating your overarching vision of the future into a shorter-term set of activities that can be more readily accomplished while bringing your community closer to the ideal you envision. The section “The Mission: A Statement of What You Will Do” discusses the relationship between the team’s vision and mission, and provides help to your team as you develop your mission statement.

### *The Team, the Vision, and the Mission*

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Each of these three components—team, vision, and mission—builds on one another. The shape your vision takes will depend on the members of your team; it will be firmly rooted in the hopes and goals each member shares. From your vision, your mission will evolve. Your vision or your mission may lead to additions to your collaborative team as you expand your thinking about what it is you can achieve together. The process of defining who you are and what you are aspiring to achieve will be ongoing and dynamic. The planning and implementation process is not intended to address a single goal, but to establish a method to work together over time. It holds the promise of bringing about a better system of sex offender management and a more cohesive set of individuals and agencies working together to overcome the challenges associated with this issue.

## ► ***The Team: The Core of the Framework***

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### *Why a Collaborative Team?*

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This handbook is based on the belief that to develop effective practice in any area of public policy—but particularly sex offender management—a multidisciplinary collaborative team must be formed.

The establishment of multidisciplinary teams in criminal justice is no longer unusual; they are now formed frequently and fill a variety of functions. Even in the field of sex offender management, these teams are commonplace. Case management teams, investigative teams, community notification teams, and sexual assault response teams have been developed in many jurisdictions.

In this handbook, the collaborative team represents a different group of individuals. Because this handbook is about evaluating the effectiveness of your jurisdiction’s policies and practices regarding sex offender management, planning for the implementation of more effective approaches, and then executing them, the members of the collaborative team should be those policymakers and practitioners in your jurisdiction who can affect policy and create an environment of change.

Through the planning and implementation process, your team will identify various system improvements. Therefore, it is vital that your team include from the beginning all the stakeholders in the system for the following two reasons:

- Without complete representation of those who influence or are influenced by sex offender management, your team will be

unable to develop a comprehensive understanding of your current practices and a vision of what those practices could look like in the future.

- Without a complete representation of stakeholders on your team, you will be unlikely to influence as many facets of sex offender management as you may like.

In other words, to implement meaningful changes, you must have at the table from the outset all those who might be involved in the potential changes your team will identify.

### *Who Should Be on the Collaborative Team?*

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Many individuals and agencies immediately come to mind when considering whom to include on the collaborative team. For example:

- Law enforcement officers
- Representatives of the court—both judges and court administrators
- Prosecutors
- Defense attorneys
- Correctional officials
- Supervision agency officials
- Treatment providers
- Victim advocates

Many others may also be a part of your collaborative team, such as community-based service providers, or legislators. Those listed above represent the key agencies involved in adult sex offender management. A team considering issues pertaining to juvenile offenders will look somewhat different and may include school officials; social, human, and family serviced representatives; and others.

One way to approach the identification of the members of your team is to make a list of all

those who are involved in some aspect of sex offender management in your jurisdiction and be sure to invite a member of each to join the team. It is important to also consider whether you have all geographic areas related to your work represented. For example, if you are examining your management practices statewide, you will need to consider both who represents the agencies that need to be included, and who best represents your geographic regions.

Consider the following as you begin to identify potential members of your team:

- Who influences sex offender management policy and practice in your jurisdiction? Who is affected by it?
- What mix of individuals and agencies can contribute a full perspective on this issue, so that as you consider each component of sex offender management, your discussions are informed by the other components (e.g., judges and prosecutors will have important contributions to the discussion of special conditions for offenders, while advocates will have a unique perspective on the risks posed by some employment options).
- Who needs to be supportive of the changes you might propose? (Another way to think about this is “Who can impede your progress or bring your efforts to an abrupt halt?” These are among the people you need to include from the start.)
- Who effectively represents key constituencies? For example, it may not be possible to identify a single judge among those on your bench who is best suited to serve on the team. In this instance, consider which judge is best suited to represent (i.e., speak for, speak to) the others.
- Who can provide a unique perspective on your work, enhancing it with new ideas or insights?

- What geographic regions should be represented?
- What level of government should be represented (e.g., state, local, city, county, tribal, etc.)?
- What levels of authority—policymakers, mid-level management staff, line staff—should be represented?

Invariably you will overlook someone along the way. The activities in this handbook may help you identify these oversights; do not hesitate to add new members to your team as your work progresses. Once you have established your core team, Teamwork Activity 1 may assist you in the identification of additional team members.

## *Key Roles on Your Team*

In addition to considering the interests that must be represented by your team’s membership, you also should determine the roles and skills you need to include on your team. The following represents the key roles that need to be played on a collaborative team.

- ***Chairperson or Team Coordinator:*** At a minimum, you will want to designate a person to serve as chairperson or coordinator of your activities. This is the individual who will be responsible for leading your team, keeping you on course, and ensuring that your work is taking you where you want to go.

### ***Teamwork Activity 1***

#### ***Conducting a Stakeholder Analysis***

Establishing a collaborative team is an essential first step to the planning and implementation process. It is important to consider thoughtfully the composition of your team. The following steps will guide you through this process.

1. Brainstorm a list of all agencies, organizations, and individuals that have a “stake” in sex offender management in your jurisdiction.
2. Organize the list in a logical fashion (e.g., group those with similar interests in the effort, such as treatment, supervision, victim advocacy, etc.).
3. Review the list. Identify those stakeholders already on your team, and those that are missing.
4. Consider the advantages and disadvantages of including the individuals or agencies on your list. What can they add to the team? What are the possible consequences if they are not involved?
5. For each identified stakeholder, determine a possible representative, considering the following questions:
  - Does the team need policy level representation, front line staff, or both to influence policy and practice?
  - Is there a particular person who is uniquely able to serve as liaison between their constituency group and your collaborative team (e.g., the chair of the state’s judicial association)?
  - Does your team need representatives within the same discipline from different geographical regions?
6. Discuss strategies for adding new members to the team, and create a work plan to carry out these strategies.

- **Research Coordinator:** In addition, you will want to include someone who is knowledgeable about research. In this handbook, this person is referred to as the research coordinator. This team member will provide you with technical knowledge and skills in the areas of data collection and analysis. However, do not relegate your research coordinator to a peripheral role on your team. Your research coordinator should be considered a full partner. He or she brings unique skills and working closely together will strengthen your expertise and collective work.
- **Facilitator:** It is also important to designate someone to facilitate your meetings. Appointing a facilitator relieves your chairperson or coordinator of the burden of managing the team. The facilitator's role should not be underestimated; this function is not simply a matter of opening and closing a meeting. Managing the team's discussions to ensure that all members are heard, the discussion remains on topic and goal-focused, and managing the group's dynamics, is no small feat. Consider identifying an individual who has experience playing this role, even if their substantive expertise lies elsewhere.
- **Support Staff:** Finally, from the outset, consider the ways in which you can provide support to these key members and the team's work as a whole. There will be minutes to type, meetings to schedule, phone calls to make, and data to gather. Scan your resource pools to determine if a single individual has the time to carry out these duties, or if a subcommittee of people might share the workload.

## *How Many Members Does a Collaborative Team Have?*

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Communities often express concern over the size of their collaborative team. There is no magical answer to "How many members should we have?" Three people are probably too few and 30 may be too many. You want to create an environment for exchange and deliberation. To accomplish this, you must have ample input; but too much may produce a result opposite to that which you hope to achieve. When teams are too large, members have little opportunity to express their views or ask questions. In these cases, dialogues may become monologues; the hope for lively debates that will result in consensus-based agreements are replaced with didactic presentations about issues of concern to only a few. A team in which a member's absence is noticed and adversely affects the team holds individuals accountable while demonstrating the significance of each member to the process.

## *What if We Have too Many Members?*

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If your analysis of the key stakeholders produces a list of members that is too long to accommodate, consider organizing your team into a steering committee and subcommittees. Because the planning and implementation process involves a considerable amount of work, this may be a way to involve a large number of people without having to move your team meetings to an auditorium!

## *The Environment You Create for Your Team*

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Strive for complete representation on your team without duplicating membership. Create



an environment of lively interchange. Shy away from presentations and gravitate toward challenging conversations. Build an environment that is open, where views are expressed freely in the spirit of learning and growing. An open environment will become fertile ground for creative ideas and effective problem solving.

## *Early Work Tasks*

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This handbook offers very specific guidance regarding the work your team should undertake. However, a newly formed collaborative team may find that a little “warming up” is necessary before you are ready to begin developing a vision or a mission, or to start collecting data. Beginning your first meeting with a stakeholder analysis, then plunging immediately ahead to creating a vision, may seem awkward. Below are some suggestions for activities you might engage in during your first few meetings, particularly if yours is a group of individuals who are working together for the first time.

- **Team Organization:** Consider devoting one team meeting to organizing yourselves and your work.
  - *The genesis of the team:* Discuss who decided to bring the group together and why.
  - *Introduction:* Have each member introduce themselves and share a bit about both their current professional work, their professional or academic background, and maybe even a personal fact or two.
  - *Team composition:* Discuss the team’s composition (this will be the first of several times you will probably talk about this topic), the reactions of individuals asked to participate, and those who might join the team in the future.
  - *Team roles:* Consider how best to fill the roles described above (chairperson or

team coordinator, research coordinator, facilitator, and staff support).

- *The team’s name:* Agreeing on a title for the team can be fun, and often begins to focus the group on its common purpose.
  - *The establishment of subcommittees:* Begin a discussion about how the team’s work will be organized, considering for a moment the potential number of team members and the scope of the tasks you will undertake. Discuss the pros and cons of establishing a core committee and subcommittees. Again, it may be too soon to make a final decision on these matters, but it is not too soon to begin thinking about it.
  - *Communication method:* Establish a communication method that will work best for all team members. Perhaps you will use the “grapevine” method, where each person is responsible for contacting another. You may designate one person to be the information gatekeeper; this person will then be responsible for keeping everyone else informed. Discuss telephone contacts, email, and paper correspondences. What works best for the majority of members?
  - *Regular meeting times:* There is no doubt that coordinating meeting times may be one of your most difficult tasks. It is often easiest if you agree in advance on a regular time—say the first and third Wednesday of every month from 10 a.m. to noon—and suggest that members permanently mark these meetings in their calendars.
- **Team Expectations:** Consider devoting another team meeting to establishing norms for, and expectations of, the team’s work together. Ask members to share their thoughts about the following:
    - *Task focused environment:* Most people are overcommitted and believe that if they



had fewer meetings to attend, they could be more effective in their jobs. The purpose of your team's work together is to increase both individual effectiveness, and the effectiveness of the criminal justice system in the management of sex offenders. Consider making a commitment to one another that your work together will be productive and task focused. Identify ways to make sure this happens.

- *Ground rules:* Many teams find that the establishment of ground rules during their early work together prevents problems. Spend a few minutes discussing and, to the extent possible, coming to consensus on, ground rules. For example, will your team operate in a consensus environment? If not, how will decisions be made? Consider a ground rule that addresses the value of an "equal voice for all members" (both in terms of their opportunity to be heard and the weight of their opinion); and your strategy to address how conflicts among team members will be handled. You may also decide to develop ground rules based upon some of your other discussions about expectations.
- *Designees:* Discuss your expectations regarding designees filling in for team members. Is it acceptable for this to occur sometimes, regularly, or never? Keep in mind that while designees can often effectively represent the interests of their agency, continuity in your discussions may suffer if team members rotate with regularity.
- *Attendance:* Also consider your expectations of one another regarding meeting attendance. Some teams establish a ground rule that the team chair or coordinator will contact members who miss more than a few meetings to make sure the absent member is not disengaging from the team.

- *Liaison role:* Another expectation may be for each member to serve as a representative of, and a liaison to, his or her agency or constituency. For example, a probation officer on your team will have important information and insights into the supervision of sex offenders. This contribution will be critical to the team's discussions. However, that officer also serves as an important liaison, better positioned to get feedback or information from other line officers than probably anyone else on the team.

- ***Understanding Fellow Team Members:***

- Consider devoting one meeting to exchanging information about one another.
- *The agencies at the table:* In advance of the meeting, assign each member with the task of preparing a presentation on their agency for the next meeting. Control the amount of time for each presentation. Have each member describe what the agency does in general and specifically with sex offenders. Also have each member discuss their agency's interest in the team's work and what the agency stands to gain from it.
- *The individuals at the table:* In the same (or, depending upon the time, a different) meeting, have each member discuss the reasons he or she is interested in being on the team and what they have to gain from participation. Have each member discuss what it means to him or her to be a meaningful participant. Have each person on the team, one by one, tell every other member why he or she feels that member is important to the team.
- *Meaningful work:* Have each member indicate what will keep him or her coming to the meetings, and what will cause them to drop off the team. Note these responses and pay careful attention to them over time.

- **Understanding the External Environment:** Consider using another meeting to discuss the external environment (or context) in which your work is taking place.
  - *Identify external conditions:* Have members brainstorm a list of all the current external conditions that might influence your work. These might include a highly publicized case, a budget crisis, or an upcoming election, for example.
  - *Identify and prepare for possible influences:* For each condition identified, consider the possible influence this may have on your work. Make plans to respond to those that seem particularly worrisome, and continue to monitor the others. Revisit this discussion over time.

### *Tips on Maintaining Your Collaborative Team*

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It is important to keep a watchful eye on the collaborative team over the course of your work together. The ideas below will go a long way in helping to keep your team together and performing well.

- **Build Meeting Agendas Together:** Seek suggestions for meeting agenda items from team members and attempt to include all items. This builds investment in the meeting's content. The chair or coordinator, facilitator, and potentially the staff, should work together to develop the next meeting's agenda well in advance.
- **Make Clear Work Assignments:** Develop an action plan for all new work tasks identified. Be clear to identify the member or members who will take responsibility for the task, how it will be carried out, and when.
- **Keep Meeting Records:** Designate an individual to create an official record of each

meeting, or rotate this responsibility. Indicate those present, the items discussed, agreements made, and action items assigned. Attach a copy of the meeting agenda. Prepare and distribute copies of the meeting record in a timely fashion. They will inform absent members of the team's work and serve as a reminder of assigned tasks.

- **Establish and Maintain Legitimacy:** Work to establish the team's legitimacy among colleagues. Failing to establish legitimacy in the first place—or losing it once you have it—will undercut your ability to effect change.
- **Address Turnover in Membership:** Members should be ready to suggest replacements to the team when a member leaves. It is important to identify new members as quickly as possible. Invest as much time as is necessary to bring new members up to speed and assist them in establishing rapport with the rest of the team.
- **Remain Alert to Conflicts:** It is common for groups to experience conflict at one time or another. Stay alert to disagreements or misunderstandings that might damage relationships or jeopardize your work, and address them directly before problems escalate.
- **Produce Regular Products:** Document the team's activities as discrete pieces of work are concluded. Work products—whether those are flow charts, detailed reports, or summaries of interviews conducted—provide a sense of accomplishment in addition to serving as an historical record.
- **Build in Early Accomplishments:** As you begin your work together, attempt to identify some small but meaningful problems you can resolve quickly. For example, as you develop your system map, you may identify an inefficiency that can be easily rectified.

We are not suggesting tackling prematurely major system changes that require careful analysis and planning, but rather, remedying small glitches in your system that can be resolved quickly, improving your management system while at the same time providing some early “wins” for the team.

## *The Management of a Collaborative Team Process*

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Conducting your work through a collaborative process will offer both challenges and benefits. Separate from the work you are about to conduct together, you will need to watch over your team. This handbook is not intended to serve as a handbook on collaboration, although it is likely you will need such support from time to time. We strongly encourage you to pursue other materials that are designed specifically to strengthen the level of collaboration among your team members. As your most precious resource, your team will be worth the time and effort. (Appendix 1 provides several resources on collaboration.)

### ► ***The Vision: A Statement of What You Want***

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#### *What Is a Vision?*

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The criminal justice system is both complex and fragmented, with its responsibilities divided among every level and branch of government. This same system has an historical tendency to be reactive: to respond after a crime has been committed. The planning process described in this handbook aims to help policymakers change both of these characteristics: to work together in a collaborative and cooper-

ative way, and to work proactively toward a set of common goals.

A key ingredient to achieving this is the identification of an overriding, energizing vision toward which policymakers want to move both the entire system and their individual agencies. That vision should be inspiring, compelling, and achievable within the confines of their combined agencies and duties. It should be easy to explain to those outside the system and make them want to support it to the extent of their own abilities.

You may be asking, “But what is a vision?” Its characteristics have been described as “energizing,” “inspiring,” “compelling,” and “achievable”—but those adjectives do not actually tell us what it is.

A vision is a statement. It paints a picture of the future that you want. In this instance, it captures your hopes of what sex offender management should and could be like in your community and what it will accomplish. Most importantly, your vision should describe a future for which your collaborative team is willing to take responsibility to achieve.

#### *Why is a Vision Important?*

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This handbook has been developed to guide your collaborative team through a process that will ultimately assist you in improving your current approach to sex offender management. Agreeing on a vision of sex offender management in your community is a critically important step in this process.

Your team soon will gather information on sex offender-related issues and emerging practice around the country. Your team then will analyze the information and identify and prioritize your jurisdiction’s most critical needs. Before pro-

ceeding to this step, however, your team must first focus on the big picture—the overarching outcome to be achieved through your work together.

Many collaborative teams struggle with the necessity of developing a vision statement. The very nature of the criminal justice system—that is, its individual case focus and its process of moving a case from one part of the system to the next—runs counter to the idea that policy-makers sit together in a room and consider the common outcomes their collective agencies might achieve together. Yet doing just this—sitting in a room with your team members and considering the common outcomes you hope to achieve together—is among the most important pieces of work your team will undertake. Defining the outcome is the difficult part; once it is defined, the path to achieving that outcome is generally not hard to identify.

So why is a vision important? Your collaborative team's vision will serve to define your future work. It will serve as a touchstone, guiding you through difficult decisions and helping to make priorities more clear. Without a vision, your team might wander off course or choose to take on tasks that, when completed, fail to deliver the results that will affirm your efforts. Still worse, without a vision, the members of your collaborative team—like many who have come before—may disband because of a lack of focus.

### *Tips for Developing Your Vision Statement*

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Use the following pointers as you create your vision statement:

- ***Make the creation of your vision statement an integral part of your early work together.*** A key to the success of your collaborative

team will be the discovery of those values team members share. These values will quickly become evident during discussions of your vision. Although it is not productive to force such discussions on a team that is not ready for them, do not give in too readily when someone remarks that creating a vision is a “waste of time” or that it is not the work for which he or she joined the team.

- ***Resist the urge to “just get it done.”*** Schedule time at your first few meetings to discuss your hopes for the future and the outcomes that you would like your system to produce for your community. If your system of sex offender management was functioning ideally, what would be different? How would you know you had achieved what you had hoped?
- ***Keep it short and simple.*** Your vision statement is not the place to describe every change you want in every agency or area. The vision statement should describe a future that makes people say, “That’s right! That’s exactly what I want for this community!” The details belong in your mission statement and goals.
- ***Work on your vision statement until it truly represents the hopes of everyone on the team.*** The team may have some members who have an entirely different perspective than other members. Take time to make sure everyone can support your final vision statement.
- ***Use the vision as a touchstone for your ongoing efforts.*** Once it is completed, display your vision statement during each meeting. As you proceed with your work, you will find yourselves facing choices about which tasks to take on, new initiatives to develop, and programs to continue or change. Your vision should help you in making those decisions.

Refer to the vision as you ask yourself which choice brings you closer to realizing what you ultimately hope to achieve.

- **Revisit your vision statement from time to time, and change it as needed.** As your work continues, your vision will evolve as members consider in greater depth their preferred future, learn more about current practice and what is possible, and become more comfortable with one another. For these reasons, you will want to revisit your vision statement often and revise it as your preferred future becomes clearer to your team.

### *How to Develop Your Vision Statement*

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Developing your vision statement is hard work, but it can be accomplished through a relatively simple set of steps. Teamwork Activity 2 will guide your team through developing a vision statement. Exhibit 3 reiterates issues that your statement should address and provides an example for reference.

## ► ***The Mission: A Statement of What You Will Do***

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### *What is a Mission?*

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If the vision statement is a picture of the desired future, the team's mission is a series of interim achievements that you have identified as essential to creating that future. The mission should be concrete, represent tangible targets of change activity, and should be connected firmly to creating or achieving some part of the larger vision. The targets will vary, as will the work to get there. For example, a target can center on improving a specific part of the system or process, creating a new program or initiative, or developing new partnerships with the community.

For each target of change, your team will need to identify specific steps to take. These steps are the goals and objectives that will help your team achieve the stated mission.

### ***Exhibit 3***

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#### ***Definition of "Vision" and an Example of a Vision Statement***

##### *Definition of "Vision"*

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A vision is a statement that paints a picture of the future that you want. It captures your hopes of what sex offender management should and could be like in your community. It represents a future for which your collaborative team is willing to take responsibility to achieve.

##### *Example of a Vision Statement*

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Anywhere, USA will be safer as a result of the elimination of sex offending behaviors. A quality, seamless continuum of care will be realized through system-wide collaboration and the incorporation of comprehensive prevention, education, treatment, and aftercare services. Offenders will become law-abiding, productive citizens.

## ***Teamwork Activity 2***

### ***Developing a Vision Statement***

Developing a vision statement that describes your team's preferred future is an essential step in the planning process. A vision statement provides direction to those involved in the process, describes for others what you hope to achieve, and gives team members a reason to commit their energies to accomplishing the many tasks ahead. The following steps will guide your team through the development of your vision statement.

1. Consider the following question: If the system for effectively managing sex offenders in our jurisdiction were working ideally, what would it look like? Provide team members a few minutes to jot down their ideas about this question. When they are finished, go around the room and record each person's first response on flip chart paper. Go around the room again and note each person's second response. Continue this process until all ideas are recorded.
2. Review the ideas generated. Discuss each one and ensure that its meaning is clear. Eliminate duplications. Develop a statement or set of statements to answer the question that reflects the consensus of the team.
3. If multiple statements are produced, prioritize these by asking each member to rank order the statements and tallying the "votes" for each statement.
4. Follow the same process to answer each of the following questions:
  - What outcomes would you expect this vision to achieve?
  - How would the system better serve the community?
5. For each question, develop a single statement (this may be one sentence or a full paragraph) that synthesizes the prioritized ideas into a vision statement. This process may take some time; you may not be able to complete this work in one session or even as a full team. You may decide it best to have one person or a subcommittee work on developing these statements between team meetings. (Remember that your vision statement should be energizing and inspiring and, when completed, describe your hopes for the future.)

### ***The Relationship Between the Team's Mission and Goals***

When developing your mission, it is important to be clear about what you want to achieve through your work. This will make the process of choosing your implementation strategies much easier. Those choices will come later—through the identification and prioritization of gaps in your current system and the development of goals that will address those gaps.

Consider the following example, which demonstrates the relationship between your mission

and goals, and the fact that occasionally your mission will take you down an unexpected path: Part of your vision includes having a criminal justice process that does not retraumatize victims. Your team is working on making the process victim sensitive and victim-centered as part of its current mission. What you discover when assessing your current practices, however, is that the court process involves many delays and continuances that leave victims frustrated, alienated, and unwilling to participate. Such a finding leads your team to include as a prioritized goal the creation of a system for expedited case management to alleviate court



delays. Few might initially have viewed expedited case management as a method to increase victim sensitivity, but it is clear that working on that goal will help to carry out part of your team's vision.

### *Using the Development of Your Mission Statement as an Opportunity to Evaluate the Composition of Your Team*

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Earlier in this handbook, the role and composition of your collaborative team was discussed. Some of the team's work activities may prompt you to consider whether you have involved all

of the key people necessary. Through the development of your mission statement, the activities of the team become clear. This is, therefore, an optimal time to consider whether your team includes all of the critical members. If it does not, reach out to those who have not yet been included and consider how best to incorporate them into your team.

### *How to Develop Your Mission Statement*

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The development of your mission statement will follow a set of steps similar to those used to write your vision statement. Teamwork Activity

## ***Teamwork Activity 3***

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### ***Developing a Mission Statement***

A mission statement clearly describes the purpose of your team. It illustrates what you intend to accomplish through your work together. The following steps will guide your team through the development of your mission statement.

1. Consider the following question: What are the activities in which your team can engage that will most directly bring your community closer to your team's vision of the future? Provide team members a few minutes to jot down their ideas about this question. When they are finished, go around the room and record each person's first response on flip chart paper. Go around the room again and note each person's second response. Continue this process until all ideas are recorded.
2. Review the ideas generated. Discuss each one and ensure that its meaning is clear. Eliminate duplications. Develop a statement or set of statements to answer the question that reflects the consensus of the team.
3. If multiple statements are produced, prioritize these by asking each member to rank order the statements and tallying the "votes" for each statement.
4. Follow the same process to answer the following question: What must we do to accomplish this?
5. For each question, develop a single statement (this may be one sentence or a full paragraph) that synthesizes the prioritized ideas into a mission statement. This process may take some time; you may not be able to complete this work in one session or even as a full team. You may decide it best to have one person or a subcommittee work on developing these statements between team meetings. (Remember that your mission statement describes the work you will engage in immediately. You do not have to include all the work necessary to achieve your team's vision at this time.)

3 will guide you through developing a mission statement. Exhibit 4 provides an illustration of a mission statement for a team working to understand and improve their sex offender management practices.

The following sections will help you assess the effectiveness of your current approach to sex offender management, identify areas of improvement, prioritize your most significant needs, and develop strategies to address them.

## ***Exhibit 4***

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### ***Definition of “Mission” and an Example of a Mission Statement***

#### ***Definition of “Mission”***

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The mission is a series of interim achievements that the collaborative team has identified as essential to creating its vision. A mission statement should be concrete and represent specific activities, and should be connected to creating or achieving some part of your larger vision. The activities will vary, as will the work to get there. For example, an activity might focus on improving a part of the system, creating a new program or initiative, or developing new partnerships with the community or with agencies outside the system.

#### ***Example of a Mission Statement***

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Our team’s mission is to develop a statewide system for sex offender management that promotes community safety through victim advocacy and services, and includes integrated criminal justice interventions, offender treatment and monitoring, and system and offender accountability.



## SECTION THREE *An Overview of the Steps in the Planning and Implementation Process*

This section describes the steps in the planning and implementation process. It assumes that this planning is taking place in the context of the framework through which sex offender management policy development should take place, as described in the previous section.

### *The Steps in the Planning and Implementation Process*

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The purpose of a planning and implementation process is to analyze a condition or set of conditions to assess the need for change, and then to plan and implement changes that are likely to produce the desired results. One of the central activities in this process is collecting and analyzing information. This handbook identifies the types of information that will be useful in your planning process, and provides guidance regarding approaches to both the collection and analysis of them.

The four steps in the planning and implementation process are:

- Collecting baseline data and information about your jurisdiction's current approach to managing sex offenders and understanding the research and emerging practice on this topic.
- Assessing the information you collect and identifying the gaps in your current management approach.
- Developing and prioritizing goals that address your most significant gaps and designing objectives to carry out those goals.

- Creating a plan to implement objectives and monitor their impact.

### *Why Collecting Information is Critically Important to the Planning and Implementation Process*

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If your collaborative team is like most others, you might be thinking that you can short circuit the data collection and analysis process by skipping it altogether and getting to the substantive work of identifying solutions to your current concerns. After all, your team members have probably worked in this system for a number of years and undoubtedly have many ideas about how your system of sex offender management can be improved. We hope to persuade you that there is much to be learned that you do not yet know, but need to know, before you are truly ready to begin identifying problems or solutions.

The work you are about to undertake is the collection and analysis of data. The ultimate purpose of this effort is to reflect on what is being done overall rather than the minute aspects of administering the existing system or the daily processing of cases. Developing this understanding will position your team to assess how closely your current management system matches your vision of it and to identify specific gaps. For example, your vision might emphasize diligently holding offenders accountable. A close examination of your supervision practices may reveal that offender violation behavior is not responded to in a timely fashion, or

that supervision officers are not engaging in effective case management. These pieces of information begin to point to weaknesses that, if addressed, will both improve your day-to-day management of cases and help you to achieve your overarching vision.

## *Two Data Collection Processes*

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The following are the types of data that you should collect and analyze:

- Baseline data
- Monitoring information

### *Baseline Data*

Baseline data answers the question, “What is happening now?” The baseline data you collect will provide your team with a common understanding of how your current system functions. Without clarity regarding how your system is operating, planning and developing improvements or enhancements are, at best, arbitrary and haphazard pursuits. The following are three benefits to collecting and analyzing baseline information.

- ***Your collaborative team will be able to understand fully the effectiveness of your jurisdiction’s current approach to sex offender management.*** Policymakers and others typically do not have occasion to examine their sex offender management practices in a comprehensive fashion. Gathering and analyzing information serves as a useful method to form a common base of knowledge about current practices among the members of your team.
- ***Your collaborative team will be able to identify gaps in the current management system more readily.*** Analyzing data and information will assist the collaborative

team in identifying gaps in the current system of sex offender management. It is likely that your team will uncover a range of issues—some of these will be anticipated, others will not. Some will be easily addressed, while others will require significant effort and resources. Identifying the full range of gaps will enable your collaborative team to develop a thoughtful implementation plan that will positively affect what is happening now.

- ***Your collaborative team will have a basis to measure outcomes after implementation.*** Establishing baseline data enables your collaborative team to determine later the impact of implementing a particular solution, intervention, policy, or strategy.

As you consider the benefits of baseline data, remember to consider qualitative as well as quantitative data. Often it is easy for teams to fall into thinking the only reliable or convincing data are quantitative in nature (represented by numbers or symbols that can be analyzed with statistical techniques). Qualitative data can be very valuable by providing in-depth, verbal descriptions of your current system. Both types of data will provide important information to the team.

### *Monitoring Information*

When your team is ready to implement changes to your current system of sex offender management, you will want to begin the process of evaluating the impact of those changes immediately. Monitoring information answers the questions, “What did we do?” and “What happened as a result?” Monitoring information will enable you to determine the extent to which your goals are being met, whether modifications to your plan need to be instituted, and ultimately, whether your change strategies are producing the outcomes you seek.

## ► **Step One: Understanding Current Practice**

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### *Methods for Collecting Baseline Data*

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Because of the complexity of the sex offender management process, baseline data needs to be collected from multiple sources. Developing a complete understanding of current sex offender management in your jurisdiction requires analyzing information on at least four dimensions. Each dimension will require a different data collection approach, a different skill set among those who are collecting the information, and will result in a different product representing the data collected. A comprehensive data collection and analysis process will include each of these data collection activities.

### *Four Dimensions of Baseline Data*

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To develop a complete understanding of your current sex offender management practices, your collaborative team will want to collect information about your current system on each of the following four dimensions:

- **The System Dimension:** The system dimension is an analysis of the processing of a case through the criminal justice system.
- **The Offender Population Dimension:** The offender population dimension is an analysis of at least some portion of the population of known sex offenders in your jurisdiction that describes their characteristics.
- **The Resource Dimension:** The resource dimension is an analysis of the resources available to manage sex offenders in your jurisdiction.
- **The Policy and Practice Dimension:** The policy and practice dimension is an analysis of the formal policies that guide the management of sex offenders and the informal practices employed within and across agencies that are not codified in written policy.

Each of the dimensions of baseline data will produce different, and helpful, types of data.

### *Conducting an Assessment of the Criminal Justice Process (“System Mapping”)*

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One of the most fundamental ways to develop an understanding of your current practices is to conduct an assessment of the criminal justice process in your jurisdiction, also known as “system mapping.” A system map diagrams all of the steps in the criminal justice process, beginning with police contact and ending with the point in time the case terminates. In addition to reflecting the straightforward (but not simple) processing of a case, a system map should include the following pieces of important information:

- The major steps and key decision points in the system.
- The key decisionmakers at each point in the system.
- The amount of time it takes a case to move from one point to the next.
- The volume of cases moving through (or leaving) the system at each point.

The team may need to meet several times to complete a system map; the precise amount of time involved will depend on how much information needs to be gathered from individuals outside of the collaborative team and on the complexity of the system in your particular jurisdiction. Teamwork Activity 4 provides a process to develop your own system map. Exhibit 5 provides an example of a completed system map.

## ***Teamwork Activity 4***

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### ***Developing a System Map***

#### ***Preparing to Develop Your System Map***

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- Schedule time with your full team to develop your system map. This can be a time-consuming process, so be sure to plan accordingly; the precise amount of time involved will depend on how much information needs to be gathered from individuals outside of the collaborative team and on the complexity of the system in your particular jurisdiction.
- Be sure to have plenty of flip chart paper and masking tape available. Place several sheets of paper lengthwise on a long, blank wall.
- Select a facilitator to guide the team through the system map development process.

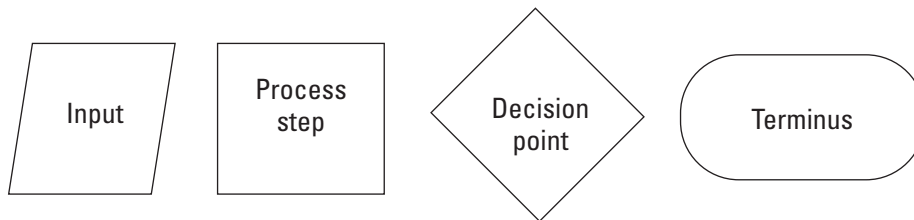
#### ***Creating Your Diagram***

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1. Start by identifying the first step in the case flow process (e.g., “sexual assault occurs”). Place this at the beginning of the map inside the appropriate shape (see key and shape definitions below). Label the shape to represent the step.
2. Continue discussing and drawing each subsequent step (and placing them in the appropriate shape) until the entire process is diagrammed.
3. Draw arrows from one step to the next. Use solid lines between those steps that are guided by formal policy or procedure. Use dashed lines between those steps that are guided by informal practices.
4. Review each decision point on the system map. Note the decisionmakers involved at each point.
5. Consult with others outside of your team, if necessary, to complete the map. (This process may highlight key parts of the system that are not adequately represented on your collaborative team.) If you need to consult with outside sources, first complete as much of the system map as possible, given the expertise of the team, then identify others who can help fill in the gaps later.
6. Label each step in the process with a consecutive number after the diagram is complete. This will make it easier to refer to individual steps when discussing the map.
7. Add quantitative information to your map after your case flow process is fully diagrammed. This quantitative information should consist of the volume of cases that pass through this system during a given period of time (a recent calendar year may be a sufficient timeframe, but depending on the volume of cases processed, you may need to extend the timeframe in order to collect enough data for it to be useful) and the average amount of time it takes for a case to move from one point to the next. Collecting each of these pieces of information may require a separate data collection effort, but the effort will be worth it in terms of the value of the information it will produce.
8. Type up your map when it is completed and finalized so it can be a useful working tool.

*Teamwork Activity 4 continued on page 33*

## Shape Key and Definitions



**Input:** The initial step in the process.

**Process step:** Each step in the process that is not a decision point.

**Decision point:** Steps in the process in which more than one outcome is possible.

**Terminus:** The final step in a stream of activity that terminates all other actions (e.g., “case closed”).

### Future Uses of Your System Map

Once your system map is complete, display it prominently and provide team members (and possibly others) with a copy. Over time, use your map as an ongoing tool, not only to present baseline information, but also to help your collaborative team to:

- Educate others about the criminal justice process.
- Assess the impact of new or proposed changes. (Once your system is diagrammed, changes no longer will be discussed in the abstract; rather, they will become concrete activities that must be integrated with current practice.)
- Assess points in the system that are duplicative, needlessly long, or conversely, working at their peak.
- Identify gaps in your information—whether quantitative or qualitative.

### Conducting an Assessment of the Offender Population

In addition to understanding the system of sex offender management, it is also important to develop an accurate understanding of the sex

offender population. Keep in mind that these data will take considerably longer to collect than others in this section, so be sure to begin this process as soon as possible.

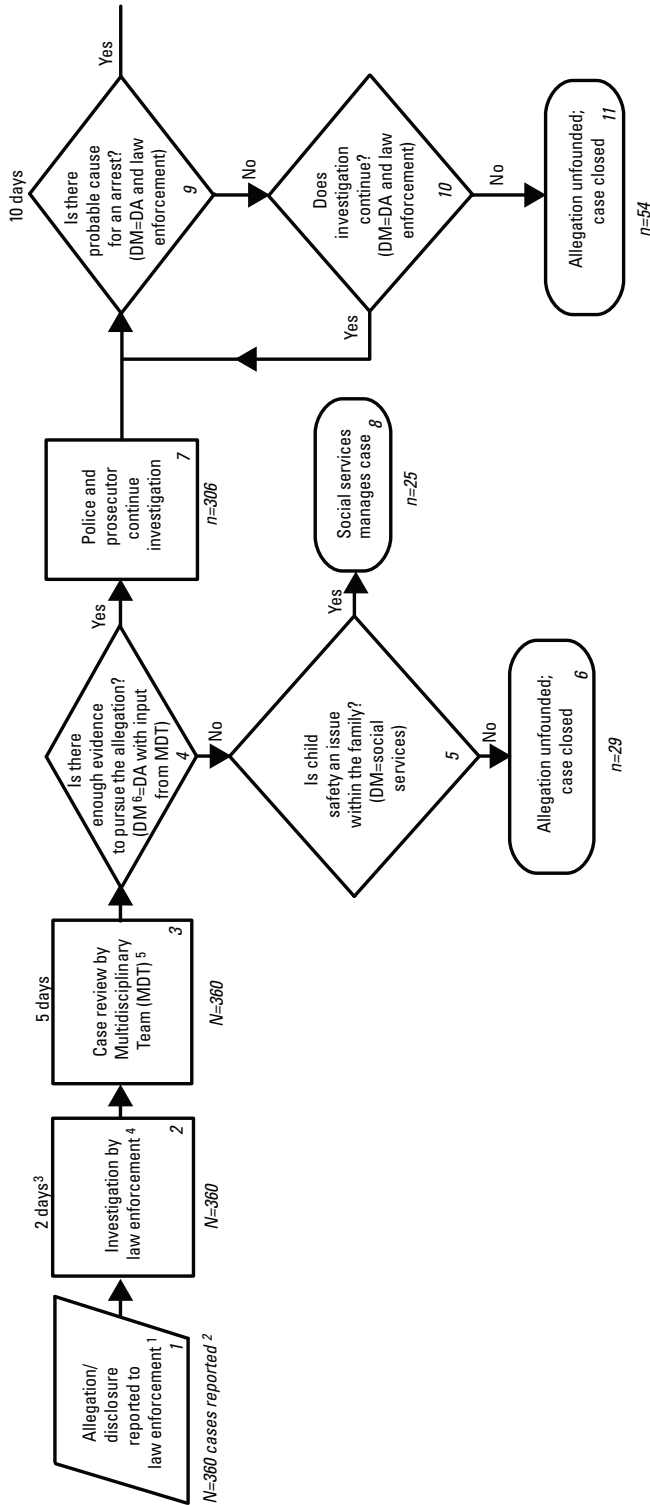
At a minimum, your collaborative team should collect some basic pieces of information, including:

- The number of sex offenders coming into the criminal justice system in any given period of time.
- The characteristics of those offenders.
- The risk level of these offenders as determined by an empirically-based, validated risk scale.
- The criminogenic and sex offender-specific risk factors of these offenders.
- The outcomes of these cases.
- The amount of time these cases remain in the system.

Beyond these fundamental questions, your data collection effort must be tailored to your individual needs—in terms of the size of the study population, the precise information you will collect, the data collection instrument you will use, and your methods of data collection and analysis. Teamwork Activity 5 suggests some steps to

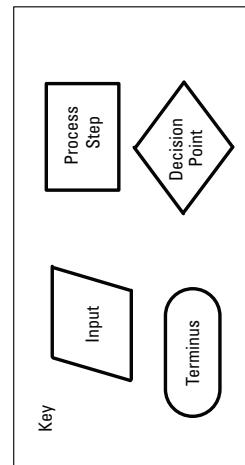
# Exhibit 5

## Example of a System Map (continued)



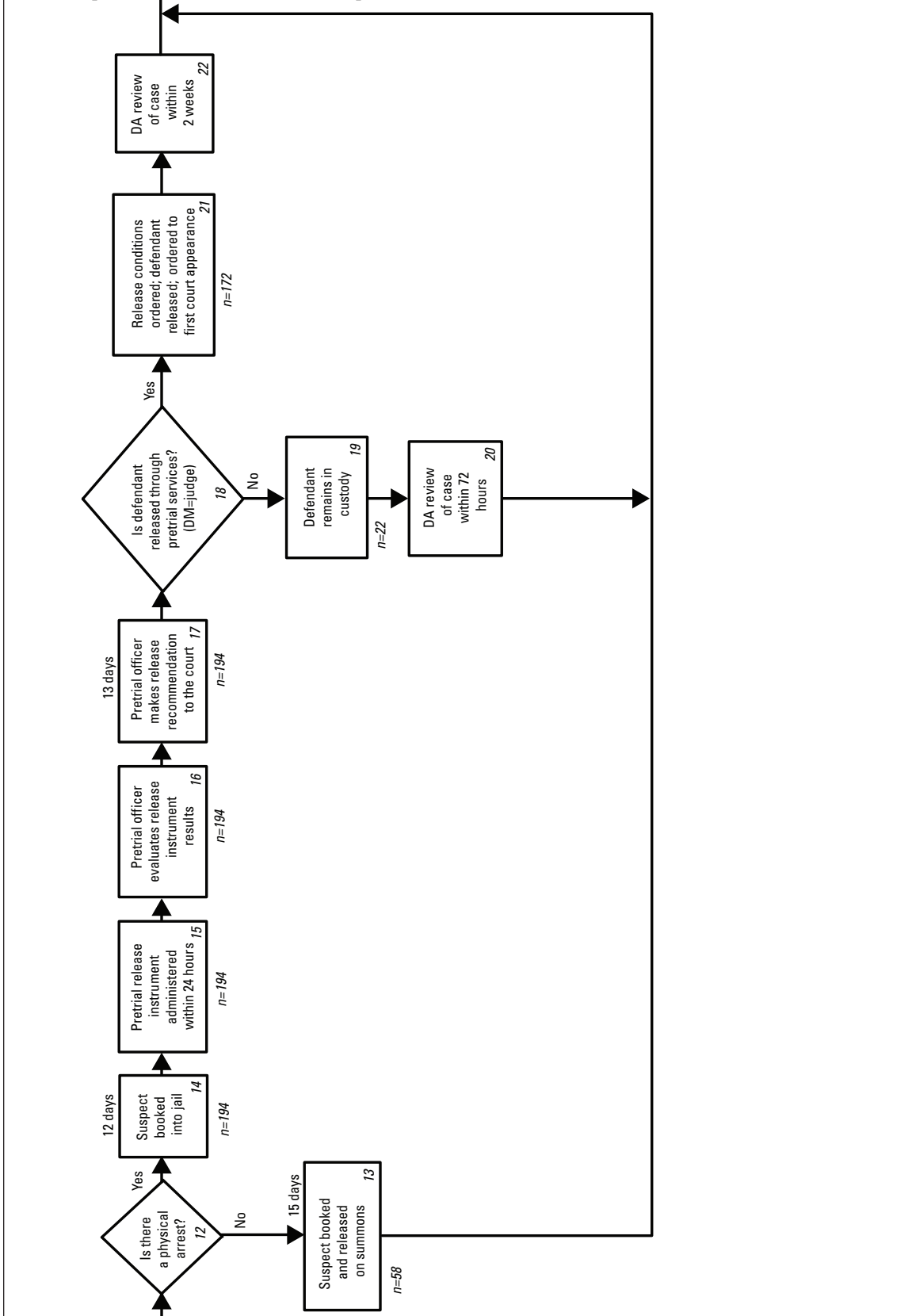
Note: All data are fictitious.

- 1 Disclosure may be to social services, sheriff, police, hospital, crisis center, teacher, etc.
- 2 Data were collected on all cases reported during calendar year 2001.
- 3 Timeframes noted are the average number of days elapsed between steps. The data appear above or to the side of the corresponding process step.
- 4 Investigation conducted by appropriate law enforcement agency depending on jurisdiction. Social services will be involved if intrafamilial abuse or neglect is suspected.
- 5 Multidisciplinary team (district attorney (DA), law enforcement, social services, victim services, treatment advocates, hospital, nurse) reviews case and provides input into the prosecution's filing decision.
- 6 DM = Decisionmakers



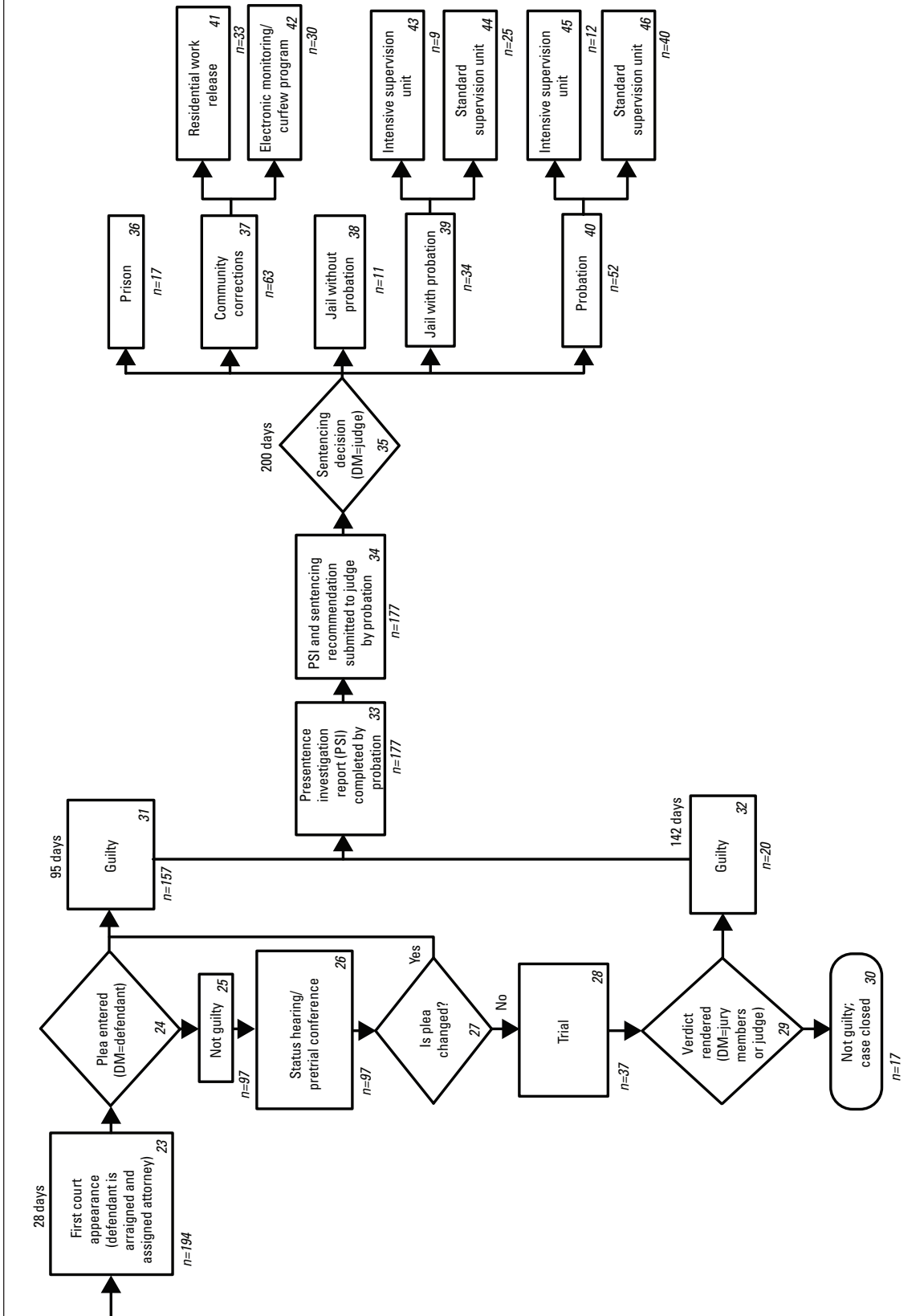
# Exhibit 5

## Example of a System Map



# Exhibit 5

## Example of a System Map (continued)





help you formulate your plan to collect offender data. Two sample data collection forms also are provided in Appendices 2 and 3.

### *Conducting an Assessment of Your Resources*

In addition to gathering information about sex offenders and how they are managed in your jurisdiction, you must also consider the various resources you have—within the criminal justice

system, other public sector agencies, and within your community—to manage these offenders and assist victims. The presence or absence of resources for these offenders will likely have considerable bearing on the decisions policymakers make regarding the disposition of cases. Resources in your community may include specialized treatment services for sex offenders, job skills training and employment readiness programs, faith-based support for mentoring and tutoring, victim treatment or support groups, or specially trained volunteers who

## ***Teamwork Activity 5***

### ***Developing an Offender Population Profile***

Developing a profile of your offender population will provide important information for your collaborative team to consider. Your team may have access to a researcher who is familiar with this process. For those who are not so fortunate, the following describes the process of developing an offender population profile.

1. Review the “Sample Juvenile Offender Data Collection Instrument” (Appendix 2) and/or the “Sample Adult Offender Data Collection Instrument” (Appendix 3) to determine their utility as your offender population data collection instrument(s). Adjust the instrument(s) by adding or deleting data elements—or develop your own instrument. Ensure that all of the data elements you need are included.
2. Develop a code manual for your data collection instrument. The code manual should include a series of codes for each possible answer on your data collection instrument. Typically, numbers are used to represent each code. (For example, the “sex” data collection element uses the following codes: 1=male; 2=female; 3=unknown). Using codes in the data collection process will ultimately shorten the time it takes to convert the data into a standardized format, then aggregate and analyze them.
3. Determine what portion of your sex offender population will be included in your sample after you have finalized your data collection instrument. When making this determination, it is important to consider several issues:
  - Determine what criteria you will use to select the sample (e.g., offenders who have been convicted versus offenders who have been charged; adults, juveniles, or both; offenders currently under community supervision).
  - Determine whether to use retrospective data collection (the collection of information on cases that have already passed through the system) or prospective data collection (the collection of

*(Teamwork Activity 5 continued on page 40)*

information on new cases as they enter the system). Although it may be easier to collect prospective data, keep in mind that if your team seeks outcome information on your offenders (i.e., what happened as a result of your work), it could take a considerable amount of time to complete the data collection process. For this reason, most teams will choose to collect retrospective data for their baseline information.

- Select a timeframe from which to draw your sample, such as all cases convicted in the last six months or all cases released to your jurisdiction in the past year.
  - Based on your decisions regarding the above issues, determine if the size of your sample is appropriate (Is it large enough to provide information from which you can draw conclusions? Is it small enough for you to collect the data you want on all subjects, given the staff, time, and resources available?) It may be necessary to adjust the length of your timeframe to ensure that you have an adequate sample size.
4. Have your data collectors pilot test your data collection instrument on a portion of your sample. Pilot testing provides an opportunity to correct errors, identify omissions, and clarify the instrument and coding manual before they are fully put to use.
  5. Develop a database or spreadsheet into which you can enter the raw data. Be sure to do this before you collect your data; it may reveal weaknesses in your data collection instrument or coding manual that were not detected earlier. If you have knowledge of and access to a statistical program, use these resources to develop your data analysis approach. These will provide the opportunity for sophisticated analyses with relative ease. For those who do not have access to such software or expertise, creating simple frequency tables through a standard spreadsheet program is adequate.

Once you are satisfied with your data collection instrument and coding manual, the design of your sample, and your analysis tools, you are ready to begin collecting data on your offender population. Remember that proper training and monitoring of those collecting the data are critically important to ensuring that your efforts produce worthwhile results.

will serve as community monitors. Developing an understanding of your resource capacity involves two steps: (1) identifying existing resources, and (2) assessing the gaps (or overlaps) in those resources. Teamwork Activity 6 recommends steps you can take to assess your jurisdiction's resources. Exhibit 6 provides a sample of the kind of information a resource assessment might produce.

### *Conducting an Assessment of Current Policy and Practice*

Most matters of public policy are guided in part by an array of formal policies contained in federal or state law, county code, case law, individual agency policy, or memoranda of understanding among multiple organizations. An assessment of current policy must include the identification of these operating guidelines. Formal policy, however, only begins to define the manner in which decisions are made and processes are carried out; in most communities, written policy guides only a small portion of activity.

## Exhibit 6 An Illustration of the Development of a Resource Assessment

The collaborative team of Anywhere, USA collected information on the resources available to offenders and victims of sexual crime within their jurisdiction. These tables are examples of how they summarized the data and information collected.

### Offender Resources Assessment

Program Name	Date of Inception	Sex Offense-Specific Programs	Agency Description	Staffing	Hours	Referral Process	Geographic Location Covered by Program	Services	Fees	Maximum Caseload/Waiting List	Client Gender
Adult Probation Sex Offense Unit	1998	Yes. Specialized sex offense unit with officers that receive specialized training to supervise convicted sex offenders.	Probation department responsible for the supervision of convicted sex offenders.	4 full-time employees (FTE)	8 am-5 pm, Mon.-Fri.	All convicted sex offenders placed on probation are referred to this unit.	1st Judicial District of Anywhere, USA	Monitoring of compliance with court-ordered requirements; supervision contacts established by classification scale; intensive supervision and electronic monitoring if court ordered; at least 50% of contacts conducted in the field.	Offender responsible for all fees associated with court-ordered restitution and treatment.	Caseloads average 70 offenders per officer, when caseloads are full, new offenders are referred to the general supervision unit.	Adult males and females.
XVZ Treatment, Inc.	1985	Yes. Sex offense-specific treatment is available through individual and group sessions.	Private for-profit agency managed by the founding executive director.	7 FTE 3 part-time employees (PTE)	8 am-5 pm, Mon.-Fri.	Contact Intake Office for an appointment. All eligible referrals are assessed. See attachment 1 for assessment protocol.	Will accept referrals from any locale.	Individual and group therapy for anyone (convicted or not) involved in sexually inappropriate behavior.	\$75 per treatment session; sliding scale; offender responsible for all fees.	90 clients. Current waiting list is 6 weeks.	Adult males.

### Victim Resources Assessment

Agency Name	Date of Inception	Specialized Protocol for Victims of Sexual Crimes	Agency Description	Staffing	Hours	Referral Process	Reporting Requirements	Services	Fees	Maximum Caseload/Waiting List	Client Gender
ABC Victim Services	1989	Yes. Two staff specially trained to work with victims of sexual assault.	Private nonprofit agency.	3 FTE 2 PTE 8 volunteers 2 always on call	24/7	Contact through hotline.	Victim not required to report to law enforcement.	Crisis intervention; on-scene support; hotline services; individual and group counseling; child advocacy; information and referrals.	No fees.	Group counseling sessions can accommodate a maximum of 45. No current waiting list.	Adult males and females. Group therapy is gender based.
District Attorney's Victim Advocacy Program	1990	No	Part of the District Attorney's Office.	10 FTE 3 PTE	8 am-5 pm, Mon.-Fri.	Case referred through District Attorney.	A report must be made before a case is referred.	In-court assistance; victim/witness notification; information and referrals; restraining order guidance; victim/offender mediation.	No fees.	No maximum caseload. No waiting list.	Males and females of all ages.

## ***Teamwork Activity 6***

### ***Conducting a Resource Assessment***

1. Conduct a brainstorming session to develop a list of all the resources in your jurisdiction currently available for sex offenders. Some of these resources will be within the criminal justice system (e.g., a specialized sex offender supervision unit), some will be in other public sector agencies (e.g., a job training program in the county's Office of Economic Development that has specialized knowledge about employment concerns with sex offenders), and some will be in the private sector (e.g., specialized sex offender treatment providers).
2. Create a matrix to collect specific information about each resource and research each to gather pertinent information. At a minimum, identify the specific services available through each resource, including their cost, duration, eligibility requirements, capacity (for both the present and future), extent of current use, strengths, and weaknesses.
3. Compile your findings into a report or chart after the resource inventory is complete. Review the findings with your team to assess the resource inventory for completeness and to identify the overlap and gaps in your current array of resources.
4. Consider developing a directory of these resources so you can share the information you gathered with probation officers, judges, and others.

When formal policy leaves activities undefined, informal practices emerge to fill the gaps. Informal practices sometimes are developed with clear purpose and great care, other times they simply evolve over time. Developing an understanding of informal practice is as critical as understanding current policy, as informal practice both accounts for most of what occurs and is ultimately more readily changed than formal policy.

*The Comprehensive Assessment Protocol (CAP): A Systemwide Review of Adult and Juvenile Sex Offender Management Strategies* is a tool designed specifically to assist your team in the analysis of current policies and practices in the six specific areas of sex offender management: Investigation, Prosecution and Disposition; Assessment; Treatment; Supervision; Reentry; and Registration and Community Notification. Each section of the CAP provides a summary of both the empirical

research and emerging practice in sex offender management. This summary is followed by a series of questions—separated into adult and juvenile categories—designed to assist your team in understanding your current policies and practices, and identifying the gaps within each substantive area. The CAP User's Guide provides guidance about how to use the CAP so that your team can realize its greatest benefit. Appendix 4 provides detailed descriptions of three jurisdictions that conducted a planning and implementation process by utilizing the CAP, including the strategies they used to organize their process and the results of their efforts.

### ***Understanding the "State of the Art"***

The purpose of examining your sex offender management strategies is to assess the effectiveness of your current approach. But assess

it against what? If your collaborative team is typical, your members are likely wondering what others do to “effectively manage” their sex offenders. The narrative portions of the CAP are designed to summarize the empirical literature and emerging practice in the field, and to enable your team to assess your jurisdiction’s policies and practices against the state of the art in sex offender management.

### *The Product of Your Data Collection Efforts*

To make maximum use of these baseline data, your team should produce a series of reports that describe the purposes of each data collection effort, the manner in which the data was collected, and your findings. Use of the word “findings” does not mean to suggest that you should draw evaluative conclusions at this stage—more information still needs to be collected before you are ready for that step. Rather, you should summarize what you learned from the data collection process. Exhibit 7 lists the products you should produce from your baseline data collection efforts.

## ► ***Step Two: Assessing What You Know and Identifying the Gaps in Current Practice***

### *What Is a Gaps Analysis?*

You probably have heard the term “gaps analysis;” you may even have conducted one. If not, you may be surprised by how simple such an analysis is to carry out.

The term itself is self-explanatory. Through a gaps analysis, your collaborative team will assess your current approach to sex offender management and identify the areas of policy and practice in which gaps exist. It is likely that you will identify more gaps than the team can feasibly address immediately. The solution is to prioritize your gaps once you have identified them all.

### ***Exhibit 7***

#### ***Four Products Produced as a Result of Your Baseline Data Collection Efforts***

Your team’s baseline data collection efforts will produce at least four products that correspond with each of the four dimensions of data collection described. Your products should include:

- A diagram that reflects the case flow process in your jurisdiction.
- A report that describes what is known about the sex offender population in your jurisdiction.
- A report that identifies the current resources available for sex offenders and victims, including a description of those resources.
- A report that summarizes the policies and practices in your jurisdiction and the results of your CAP findings.

## *Why Is a Gaps Analysis Important?*

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By now, your collaborative team has spent many months developing an understanding of sex offender management. You have examined your case flow process, your offender population, resources, and formal policies and informal practices. You have become familiar with emerging practice and empirically based findings. During your work, you have been synthesizing all you have learned, and you may have come to a few conclusions as well. You now are ready to formally consider the information you have collected and assess the gaps in your current policy and practice. Following such a process will ensure that you carefully consider all of the information you have gathered and make considered decisions about how to prioritize your efforts from this point forward.

## *Preparing for a Gaps Analysis: Assembling What You Know*

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By now you have collected a number of products to assist you in your gaps analysis, including:

- A diagram reflecting your jurisdiction's case flow process.
- A report describing what is known about your jurisdiction's sex offender population.
- A report that identifies the current resources available for this population, including a description of those resources.
- A report that summarizes your jurisdiction's policies and practices, and what you have learned from your examination of the research and emerging practices in each component area of sex offender management.

These materials will become your reference source for your gaps analysis. Before you begin

the gaps analysis, review these reference materials to be sure that they are complete. Determine whether they need to be revised or synthesized to ensure that they are as easy to refer to as possible.

## *Conducting a Gaps Analysis*

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Conducting a gaps analysis may involve the first major decision making in which your team will engage. Be sure to schedule sufficient time for your discussions and give advance notice so that all members of your collaborative team can participate. Teamwork Activity 7 will guide you through a review of the data you have collected and an analysis of your gaps.

## ➤ ***Step Three: Developing Goals and Objectives***

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### *How are Goals and Objectives Different from Vision and Mission?*

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If your team's vision reflects the ultimate outcome you hope to achieve and your mission defines the role of the collaborative team in reaching that vision, then your goals and objectives describe in detail how you will accomplish your vision and mission. Each *individual* target of change must be defined. These are your short-term goals. Specific and concrete steps must be defined that will lead to the achievement of your goals. These are your objectives. Together, your individual short-term goals and their accompanying objectives will lead you to achieve your team's mission. Exhibit 8 defines and illustrates goals and objectives.

## ***Teamwork Activity 7***

### ***Conducting a Gaps Analysis***

Your team has collected data on various dimensions to better understand and evaluate current practice. Through this exercise, the team once again will review the information that has been gathered and use it to identify and prioritize the gaps in your current sex offender management practices. You should analyze what you know across the following four dimensions:

- **Strengths.** Identifying your strengths is important for two reasons: It affirms the good work you are already doing and identifies assets on which you can build.
- **Weaknesses.** The weaknesses you identify are your gaps. These are the issues about which we are most concerned—the issues that stand between where you are now and where you want to be.
- **Opportunities.** Your data collection efforts likely have uncovered opportunities you have yet to consider. For example, you may have identified untapped resources through your resource assessment, or efficiencies that could save precious time through your system mapping work.
- **Threats.** It is also possible that you have identified threats to your work through your information collection process. For example, through your policy assessment you may have learned about case law of which you were unaware or through your review of the research, practices you are employing that run counter to empirical findings.

You will want to consider each of these dimensions as you review what you know and identify your priorities for change. Use the steps below to guide your discussions.

1. Be sure each member of the team has reviewed all of the reports you prepared through the data collection phase.
2. Post four sheets of flip chart paper on the walls. Give each a separate label (“strengths,” “weaknesses,” “opportunities,” and “threats”).
3. Refer to each of your data collection reports and record the following on the appropriate flip chart pages:
  - Findings that reflect strengths in your system.
  - Findings that reflect weaknesses in your system.
  - Findings that reflect opportunities for your system.
  - Findings that reflect threats to your system.

Review the findings listed under “weaknesses.” Consider each and give team members a few minutes to indicate the items they deem of greatest significance. Have each person place a check mark on the flip chart next to the five findings they believe represent the greatest weaknesses in your current system. These priorities will become the first set of goals your team will address. Keep the original list of weaknesses, as you may elect to pursue them later.

Be sure to keep the other lists produced through this exercise. You probably will want to revisit each as you continue to develop your goals and objectives. Refer to the lists of strengths and opportunities as you build strategies; use these as assets whenever possible. Continue to monitor the threats you have identified to make sure that they do not impede your progress.



## ***Exhibit 8***

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### ***Definitions and Examples of Goals and Objectives***

A vision statement, a mission statement and examples of each were presented in Exhibits 3 and 4. Definitions and examples of goals and objectives are included here.

#### ***Definition of Goals***

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Your goals describe how you will accomplish your mission. Each individual target of change, who is responsible for that target of change, and when that target of change is to be carried out must be defined. These are your short-term goals.

#### ***Definition of Objectives***

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The specific and concrete steps that will lead to the achievement of your short-term goals are your objectives. Together, your individual short-term goals and their accompanying objectives will lead you to achieve your team's mission.

#### ***Example of a Goal***

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The collaborative team will implement changes to improve our jurisdiction's sex offender supervision practices by the end of the current fiscal year.

#### ***Example of Objectives***

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- To develop a complete understanding of our current sex offender supervision practices by reviewing our supervision agency's policies on sex offender supervision via the CAP; interviewing all probation staff, judges, prosecutors, advocates, treatment providers, and defenders involved in sex offender supervision to learn more about our practices; and gathering their recommendations about the strengths and weaknesses of our practices.
- To review the research on effective sex offender supervision practices.
- To review the findings of each of these steps and identify three actions we can take that will positively affect our supervision practices.
- To develop a method to assess the impact of those actions on our supervision practices.
- To assign responsibility for the implementation of those actions to an appropriate member of our collaborative team. He or she will provide progress updates at our monthly team meetings.



## *What Are the Roles of Goals and Objectives in the Planning Process?*

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It is not enough to define the team's vision and mission. Without a set of short-term goals and concrete steps to carry them out, your team is likely to flounder. And if your community is like many others, your vision and mission are likely overwhelmingly large. Goals and objectives will help pull apart the pieces of the mission into achievable tasks that, once carried out, will together create your vision. Thus, it is easy to see that without a vision, goals have little meaning because they lead to no end in particular. Likewise, without a path to reach a vision and mission, each is meaningless.

## *If Goals and Objectives are so Closely Tied to Vision and Mission, Why are We Waiting Until Now to Develop Them?*

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Second to failing to define an overarching purpose for their work, the most common mistake made by collaborative teams is to define goals and objectives too soon. The following example can make this point clearer: A local community began a planning process so they could provide intensive services to juveniles in their community who were adjudicated for sibling incest. The team developed the goal based on the belief that many cases fit this profile but the community did not have the services to assist them. The team developed a plan to implement new services, including hiring and training staff and contractors to fill this service gap. Simultaneously, the team began collecting baseline data. The data collection efforts revealed two important facts: (1) the community had fewer cases of sibling incest than the team had assumed, and (2) more extensive services for these offenders were available than the team had been aware.

This illustration shows that sometimes a team's assumptions about its gaps are incorrect. Goals should be identified *after* a thorough data collection and analysis process to ensure that resources are used wisely.

## *What Your Goals Should Be*

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In addition to basing your goals on thorough information, they should reflect the priorities of the collaborative team. They should also reflect those changes most likely to result in significant improvement to your approach to sex offender management.

Your goals should be specific and measurable so you can ascertain whether they have been achieved; they should also be outcome focused and describe their desired impact. For example, consider the difference between these two (fictitious) goals:

- The goal of the National Aeronautics and Space Administration is to explore other planets.
- The goal of the National Aeronautics and Space Administration is to land a man on the moon by 1970.

Which of these goals is more specific, concrete, and measurable? The second goal—to land a man on the moon by 1970—defines in clear terms what is to be accomplished, who will accomplish it, and when; so too, should your team's goals.

## *What Your Objectives Should Be*

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Like your goals, your objectives should be specific, concrete and easy to measure. Your objectives are the definition of the processes—or steps—involved in the achievement of the goal. It is best to approach the formulation of objec-

tives in a very basic manner: if you were delegating the task of achieving this goal to a person of limited knowledge, what steps would you describe as essential to meeting the goal? Who would carry out each step and in what order?

### *Tips for Developing Your Goals and Objectives*

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Consider the following as you develop your goals and objectives:

- **Goals should be outcome oriented.** Outcome statements describe the desired effects of the action. For example, “Field contacts with all sex offenders in the Intensive Supervision Unit will increase by 20 percent by December 31.”
- **Goals should be measurable.** If the magnitude or quantity of something can be determined by observing it, collecting information from existing source(s) of data (e.g., program or court records), or conducting a survey, then it is measurable. That measurement may be either quantitative or qualitative. If the outcome of one of your goals cannot be measured, it should be redefined.
- **Goals and objectives should each contain only one idea.** The achievement of specific goals and objectives should be independent of the accomplishment of others. Separating ideas will enable the team to assess progress toward each goal and objective individually.
- **Goals and objectives should be stated simply and be easy to understand.** Your goals and objectives should communicate a clear sense of direction. Everyone—even a layperson—should be able to understand your team’s goals and objectives.

- **Goals and objectives should be realistic.** Your team should not promise more than your plan can deliver. Consider each goal and objective carefully and assess whether the timing is right, adequate resources exist, and key individuals have sufficient interest to carry each forward.
- **Goals and objectives should be your own.** Avoid borrowing goals and objectives from others, even if they appear to fit with what you are developing. Goals and objectives often contain subtle details that do not translate well from jurisdiction to jurisdiction. Your team should take the time necessary to construct its own goals and objectives, even if borrowing those of others appears to be a time saver.
- **Writing goals and objectives should be a positive experience.** Articulating your team’s goals and objectives can be an invigorating process: You are likely to find that they will further clarify the priorities and expectations of your team’s members, add greater focus to your team’s efforts, and more clearly define your ideals. Such an outcome will affirm your team’s work together and strengthen the connections in a common purpose.

### *How to Develop Your Goals and Objectives*

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Teamwork Activity 8 presents a process to assist your team in the development of its goals and objectives. Exhibit 9 provides a sample of one jurisdiction’s goals and objectives.

## ***Teamwork Activity 8***

### ***Developing Goals and Objectives***

If your team's vision reflects the ultimate outcome you hope to achieve—your vision of a preferred future—and your mission defines the role of your collaborative team in reaching that vision, then your goals and objectives describe in detail how you will accomplish them. The following steps will guide your team through the development of your goals and objectives.

1. Review the team's vision, mission, and the gaps you identified and prioritized in Teamwork Activity 7.
2. Consider the highest priority weaknesses, or gaps. Have team members take a few minutes to consider goals that would address these gaps. Do this by selecting one gap and then going around the room and recording on a flip chart the goals each team member suggests.
3. Discuss each of the goals listed. Ensure that each goal's meaning is clarified. Eliminate duplications. (Remember, goals should be specific and measurable.) Have team members place a check mark next to the three goals they consider to be of highest priority. Determine the ranking of each goal, from highest priority to lowest.
4. Continue this process for all of the prioritized gaps.
5. Agree on your list of goals, and then consider the following question for each one: What steps (objectives) are necessary to achieve this goal?
6. Have team members develop their ideas individually. Go around the room and have each team member share his or her suggestions. Record all suggestions on a flip chart.
7. Discuss the suggestions. Ensure that each suggestion's meaning is clarified. Combine similar ideas and eliminate duplications.
8. Finalize your objectives by listing the steps in order of what needs to happen, from first to last.
9. Next, discuss as a group the individuals best positioned to carry out these objectives, and the amount of time that will be allotted to accomplish them.
10. Continue this process for all goals.

### **► *Step Four: Implementing and Monitoring Objectives***

#### ***Developing an Implementation Plan***

Your team has devoted many months—maybe longer—to the planning process. Your next step is to draw together the information you have gathered and all the decisions your team has made into an implementation plan.

What is an implementation plan? Simply stated, it is a strategy for change. It documents what

you are going to do—or propose to do—and why and how you propose to do it. It describes the basis and rationale for the choices your team has made and makes clear the expected outcomes that will result from the changes that will be implemented.

#### ***Why is an Implementation Plan Important?***

Complete with a description of your activities and findings, the plan will document your observations and provide a concrete basis for

## ***Exhibit 9***

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### ***An Illustration of the Development of Goals and Objectives***

The collaborative team in Anywhere, USA recently met to develop their goals and objectives. Below is a record of the team's discussion.

#### ***Step 1: Gaps***

The team began by reviewing the following four gaps it prioritized as being the most important.

1. In 2000, presentence reports were completed on only 25% of convicted sex offenders, although legislation requires these reports for all of these cases.
2. On average, 100 juveniles per year are adjudicated as sex offenders who require long-term, out-of-home placement, but only 45 slots are available. There is presently a five-month waiting list for these placements.
3. Only one treatment provider with a 15-client capacity is available to provide sex offense-specific treatment to offenders residing in the non-metropolitan areas of the county. Forty offenders need these services; 25 currently are not receiving any sex offender-specific treatment services.
4. There is a lack of communication among agencies when offenders are released from prison to community-based supervision.

#### ***Step 2: Goals***

The team discussed each gap and developed goals to address them. Below, the goal for gap 4 is listed.

- **Gap:** There is a lack of communication among agencies when offenders are released from prison to community-based supervision.
- **Goal:** To ensure the transfer of relevant information from institutional personnel to community-based staff prior to release of sex offenders for the purposes of making sound decisions regarding their supervision. Such relevant information includes institutional records, including offender risk, classification, and other assessment data; treatment records; employment and educational data; and offenders' institutional adjustment history. The administrators of probation, the county jail, and the transitional institution will oversee the following strategies, which are to be implemented no later than June 30.

#### ***Step 3: Objectives***

Next, the team developed a list of objectives to meet each goal. An example follows:

Objective 1: The deputy directors of the departments of correction and parole and probation will meet on February 1 to draft a joint policy and memorandum of understanding regarding the transfer of all institutional offender records to the supervising officer 90 days prior to release.

the changes you are about to make or propose to make. It will create a permanent record of your team's work thus far and will serve as a useful reference document as your work progresses. Your implementation plan will demonstrate the soundness of the steps you plan to take next, and if support is needed (e.g., financial, political), it will provide substantiation of those needs. As a comprehensive compilation of information about sex offender management locally, it also will serve as an excellent educational tool, particularly for professionals in your jurisdiction who have not been a part of the team's work.

### *Who is the Audience for Your Implementation Plan?*

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There may be several different audiences for your implementation plan. The following are three key audiences for whom your implementation plan should be developed:

- The team itself.
- Potential funders.
- Those interested in learning more about sex offender management in your jurisdiction and your plans for enhancing current policy and practice.

### *What Should the Implementation Plan Include?*

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Your implementation plan should describe the current state of sex offender management in your jurisdiction and your vision of the future. It also should describe the gaps in your current management approach and the team's goals. In addition, your implementation plan should include a description of how the team will monitor the carrying out of your objectives and their impacts.

Finally, your implementation plan should outline how, when, and by whom your team's strategies will be implemented. You have come too far for your plan to fall apart simply because, when it comes time to implement, it is unclear what is to be done, who is to do it, and when it is to be done. For an implementation plan to be complete, it should include the individuals responsible for carrying out each task and a timeline for task completion. An implementation plan is necessary to ensure that your hard work will be carried out as intended.

### *What is a Monitoring Plan?*

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By now you have carefully planned goals that are information based and built on your team's vision of the future. You have identified specific objectives to meet those goals. Ultimately, the significance of your work will be demonstrated through the impact of your objectives. Establishing the manner in which you will measure the impact of your work will become your monitoring plan.

### *Why is a Monitoring Plan Important?*

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One of the most significant omissions in a planning process is the failure to identify a method to assess the outcome of proposed changes. Engaging in a thorough planning process is not enough to ensure the proper results; only through an assessment of the actual outcome, rather than a hope for a desired outcome, can you determine if your goals and the strategies you have identified to meet them are working.

## *The Distinction between Baseline Data and Monitoring Information*

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The baseline data you collected provided your team with a clear picture of how sex offenders currently are managed in your jurisdiction. From this, your team established goals representing the improved policies, practices, or processes you envision for the future. By monitoring the impact of your objectives, you will be able to determine how effectively they produce the outcomes you seek. The methods for collecting monitoring information are similar to those of gathering baseline data.

## *Two Types of Data Produced Through Monitoring: Process Information and Outcome Information*

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At the point that your team is ready to begin implementing its objectives, you will want to begin collecting information on their impact. The information you seek will describe issues related either to the process or the outcome of implementation.

- ***Process information describes those activities that are accomplished.*** The description of how a newly established polygraph program is carried out, the number of sex offenders who received polygraph exams, and the results of each examination, and whether the initiative was implemented as intended, are examples of process information.
- ***Outcome information describes the impact of a new policy, procedure, or process.*** Demonstrating that the rate of new sexual assaults for sex offenders who passed polygraph examinations decreased by 10 percent after a one-year follow-up period, compared with a matched offender group that

did not receive polygraph examinations, is an example of outcome information.

## *What Should We Learn through the Monitoring Process?*

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The purpose of monitoring is to provide the collaborative team with feedback on the extent to which the implemented objectives produce the desired results. Typically, you will have to collect both process and outcome information to be able to determine this. Collecting process information will allow you to determine if your strategies were implemented as planned. Collecting outcome information will allow you to determine if they had the desired impact. It is possible that through monitoring you will learn that your strategies were not carried out as envisioned—this may have a positive or negative impact on their outcome. You may also learn that your objectives were carried out as planned but did not have the outcome you hoped. Alternatively, the outcome may be better than your team envisioned. Both positive and negative findings will be significant. Remember that it is as important to learn about what does not work as what does work.

## *The Steps in Developing a Monitoring Plan*

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As you did when you designed your data collection and analysis plan, you will need to determine precisely what questions you want your monitoring process to answer. At a minimum, you will want to answer the following broad questions:

- To what extent have our strategies achieved what we intended?
- Have any unintended consequences (positive or negative) arisen? What was their impact?

- What impediments were encountered during implementation?

In addition to answering these questions, you will have other specific questions you want your monitoring process to answer. Teamwork Activity 9 provides guidance on developing your monitoring plan. Exhibit 10 provides an example of such a plan.

### *What Should a Monitoring Plan Include?*

Your monitoring plan should include a strategy for collecting data on each goal the team hopes to achieve. The type of data to be collected will depend on your specific goals. A complete monitoring plan will include at least the following:

- The goals to be achieved.
- The desired outcome of those goals.
- The process to be followed to implement change strategies.
- The data that will be collected to measure the impact of the strategies.
- The forms, databases, and other processes necessary to support the data collection process.
- The person(s) who will be responsible for data collection and analysis.
- The methods to review the results with your collaborative team.
- The process to be used if decisions must be made regarding mid-course corrections.

Once your monitoring plan is complete, you are ready to finalize your implementation plan.

## ***Teamwork Activity 9***

### ***Developing a Monitoring Plan***

Once you have developed your goals and objectives, you are ready to determine how to measure the success of your implementation plan. The following steps will guide your team through the development of a monitoring plan.

1. Begin by reviewing the goals and objectives your team developed. Choose one goal and have the team members consider the following question: What outcome or change do you expect if the goal is accomplished? In round-robin fashion, go around the room and have each team member share their answer to the question. Record all answers on a flip chart.
2. Discuss the responses, clarifying meanings, merging similar ideas, and eliminating duplications until you have a list of the outcomes the team expects.
3. Restate the expected outcomes in the form of research questions. For example, an outcome identified by the team may be to “increase the availability of sex offense-specific treatment resources.”
4. Complete your monitoring plan by identifying the data that must be collected to answer your questions and establish a protocol for data collection and analysis.



## ***Exhibit 10***

### ***An Illustration of the Development of a Monitoring Plan***

The collaborative team from Anywhere, USA has completed the planning process and is ready to develop a plan to monitor and evaluate the implementation of its goals.

#### ***Step 1: What Outcomes Do We Expect?***

The team began by identifying the outcomes it expected from the implementation of its goals. The following is a list of its top three goals and their expected outcomes.

- **Goal:** To increase the availability of sex offense-specific treatment resources in the rural areas of the state.
- **Expected outcome:** A higher rate of participation of probationers in sex offense-specific treatment.
  
- **Goal:** To implement the use of polygraph examinations for all sex offenders on probation supervision.
- **Expected outcome:** A reduction in the number of violations of conditions by offenders who are subject to polygraph testing.
  
- **Goal:** To develop a multidisciplinary case management team that will meet regularly to oversee the management of juveniles adjudicated for sexual offenses who are attending public schools.
- **Expected outcome:** The development of safety plans for all victims/potential victims and offenders, increased school attendance rates, and fewer incidences of school policy violations.

#### ***Step 2: What Do We Want to Know?***

After identifying the expected outcomes, the team developed the outcomes into research questions. Some expected outcomes contained multiple research questions. The team's list of questions is listed below.

- Does an increase in access to treatment increase the rate of successful completions from probation?
- Does an increase in access to treatment decrease the rate of rearrest for sexual offenses after supervision is completed?
- Do offenders who undergo polygraph testing violate their conditions of probation less often during their probation terms?
- Does a case management process result in the development of safety plans for all juveniles adjudicated for sexual offenses who are in the public school system?
- Does a case management process result in increased attendance rates among juveniles adjudicated for sexual offenses that are in the public school system?
- Does a case management process result in fewer incidences of school policy violations by juveniles adjudicated for sexual offenses that are in the public school system?

After identifying the monitoring questions, the team prioritized what they wanted to know, determined the data they needed to collect to answer each question, and identified how and when those data would be collected.



## *Implementing the Plan: The Readiness Checklist*

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If you have been steadfastly following the specific steps in this handbook, you now are ready to create an implementation plan. Some may refer to this as a “strategic plan” for enhancing your system of sex offender management. Exhibit 11 provides a sample implementation plan outline. Before you begin, however, you should check one more time to ensure that you are ready to implement your plan. Exhibit 12 provides a readiness checklist for your team to review your implementation plan.

## *The Implementation Process*

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At this stage in your work, the implementation process holds no mysteries. You have already planned each piece, step by step, and it is now simply a matter of carrying those steps out. Your plan may be extensive. For example, you may be implementing a new intensive unit for sex offenders that involves training your officers, judges, and prosecutors, selecting sex offender-specific treatment providers, developing offender assessment protocols, and implementing special supervision conditions. Your implementation plan may be less elaborate and involve only one of these activities. Whatever it involves, its results will surely provide your team with a new set of activities in which to engage.

## *Once We Implement Our Plan, are We Finished?*

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In a word, no. Your collaborative team now is positioned to receive and assess the information that will flow from your monitoring plan and make additional decisions accordingly. Assessing the impact of your strategies will become the ongoing work of the collaborative team.

## *Comparing Monitoring Information with Your Baseline Data and Your Vision*

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Two types of information that will result from monitoring your implementation plan were previously described: process and outcome information. Some of this information will probably be long in coming—particularly outcome data—and some will likely become available in a much shorter period of time. Thus, the flow of incoming information is likely to occur gradually. The role of the collaborative team is to review the information as it becomes available and evaluate it in two ways.

- **Compare what is with what was.** Compare what you learn through the monitoring process with what you learned through the baseline data collection process as a method to evaluate the impact of your objectives. For example, if one of your goals was to reduce the number of steps and the amount of time it takes to assess an offender’s treatment needs and to place that offender in an appropriate treatment program, then compare the documented steps and time lapse from your baseline data source—in this case, your system map—with that which you have learned through your monitoring plan. Has the new process been implemented as designed? Have you eliminated steps and reduced the time lapse?
- **Compare what is with what you want.** Also consider whether your goals are having the impact the team envisioned. Is the team closer to realizing its vision? If you are not closer to your vision, you must revisit your goals and objectives to determine where you went wrong. The goals you selected may not have been sufficiently tied to the vision; or you may have selected the right goals, but the objectives did not achieve

## **Exhibit 11**

### **Sample Implementation Plan Outline**

- I. Introduction: The Local Environment, the Team, and the Team's Purpose
  - a. The collaborative team: Describe your team's composition in terms of the agencies, organizations, and constituencies involved and the individuals who represent each.
  - b. The local community: Include the name of your jurisdiction and key demographic and other important local context information.
  - c. The purpose of your team's work.
    1. State and explain your team's vision.
    2. State and explain your team's mission.
  - d. The process the team followed.
    1. Briefly describe how the team organized and managed itself and the planning process in which it engaged.
- II. Planning Activities: Data Collection
  - a. Describe the specific data that was collected.
  - b. Describe the specific sources of the data and the methods used to collect them, including who was involved.
- III. Planning Activities: Data Analysis
  - a. Describe the current system of sex offender management.
  - b. Describe the empirically-based and emerging practices in the field.
  - c. Describe the gaps identified between the way the current system functions and the team's vision.
- IV. The Implementation Plan
  - a. Describe the gaps your team intends to address.
    1. Describe your team's prioritized goals.
    2. Describe the outcomes your team expects to achieve by carrying out these goals.
    3. Describe the rationale for selecting these goals over other options.
  - b. Describe your team's work plan for implementing the goals.
    1. Describe what will be done.
    2. Identify who will carry out each task.
    3. Provide a timeline for the completion of each task.
  - c. Describe your team's plan for monitoring implementation.
    1. Describe the performance measures to be used.
    2. Describe the data that will be collected.
    3. Describe the methods that will be used to collect the data.
    4. Identify who will be responsible for the data collection.
    5. Provide a timeline for data collection and analysis.
    6. Describe the process to be used to provide the results of the monitoring information to the team for review and possible mid-course corrections.

## ***Exhibit 12***

### ***Ten Questions to Consider Before Implementation: A Readiness Checklist***

- Is there a multidisciplinary, collaborative team in place that will oversee the implementation of the plan?
- Is the collaborative team complete? (Are all those who affect or are affected by the plan's implementation represented?)
- Has the implementation plan been designed based on the collection and analysis of baseline data?
- Does the plan include a set of clearly defined outcomes that are anticipated as a result of implementation?
- Do the proposed goals address the highest priority needs that were identified during the planning process?
- Are the needs that were prioritized during the planning process—and the conditions on which they were based—still relevant?
- Are implementation of the proposed goals and objectives likely to assist in your team attaining its vision?
- Are the goals and objectives outlined in the implementation plan specific, measurable, and outcome based?
- Does the implementation plan include a work plan that describes how the goals and objectives will be carried out?
- Has a detailed monitoring plan been included as a part of the implementation plan?

them. If you are not closer to your vision after the plan has been implemented and your monitoring data have been analyzed, your team needs to revisit your vision, goals, and objectives and adjust your activities accordingly. If you have succeeded in coming closer to your vision, your team's work is still not complete.

### ***A Commitment to the Ongoing Collection of Information***

The process outlined in this handbook requires the team and the agencies and systems each member represents to recognize information gathering as a critical, ongoing activity. For information to be useful, it cannot simply be

gathered on a one-time basis. Rather, information gathering should be an ongoing process that continually provides your team with data about the state of current practice and helps to refine future goals. To adopt such a reliance on information requires that your jurisdiction build an infrastructure of staff, information technology, and resources to undertake this activity. The presence of this type of capacity will provide further demonstration of the team's commitment to achieving their vision, mission, and goals.

### ***Reporting on Your Achievements***

At some stage in the implementation process, you will want or need to report on your achievements. You may be required to submit a

report to your funding source, or you may simply choose to follow your earlier course of creating good documentation of your efforts. Exhibit 13 provides suggestions for what you might include in such a report.

The effective management of sex offenders is vitally important to promoting safer communities. Probably no other offender population offers management challenges in the way that sex offenders do. Probably no other process will be more worthy of your time investment than the one described in this handbook.

## ***Exhibit 13***

### ***Sample Post-Implementation Plan Outline***

- I. Introduction: The Local Environment, the Team, and the Team's Purpose
  - a. The collaborative team: Describe your team's composition in terms of the agencies, organizations, and constituencies involved and the individuals who represent each.
  - b. The local community: Include the name of your jurisdiction and key demographic and other important local context information.
  - c. The purpose of the team's work.
    1. State and explain your team's vision.
    2. State and explain your team's mission.
    3. State and explain your team's goals.
  - d. The process the team followed.
    1. Briefly describe how the team organized and managed itself and the implementation process in which it engaged.
- II. The Implementation Plan
  - a. Describe the goals that guided the team's work.
  - b. Describe the outcomes the team expected from the implementation of its goals.
  - c. Describe the process the team followed: What was done, over what timeframe was each task completed, and who carried out these tasks.
- III. The Results of the Implementation
  - a. Describe the outcomes of the implementation.
  - b. Describe what the team did to assess the impact of the plan, including what data was collected and the methods used to collect it (the monitoring plan).
  - c. Describe the team's findings: What did the team learn?
- IV. Next Steps
  - a. Describe the future activities related to the implementation plan. (For example: How will the team maintain the implemented activities? How will they be funded? Who will manage them from this point forward?)
  - b. Describe the team's next steps in reaching its vision.

## SECTION FOUR *Conclusion: An Ongoing Process of Collecting and Analyzing Information*

This handbook was developed to assist communities in the process of assessing their own sex offender management practices. Central to that process is the collaborative team—a multidisciplinary body composed of those who have a stake in sex offender management. The collaborative team’s work is guided by a shared vision—a preferred future for your community. The team’s purpose, or mission, is clear and understood by members and non-members alike. The team and its vision and mission serve as guideposts for the information collection, analysis, and decisionmaking processes described in this handbook.

That process involves four steps: developing a common understanding of current practice in your jurisdiction and an understanding of the state of the field of sex offender management; assessing the gaps in your jurisdiction’s current policies and practices; identifying goals and objectives to address the most significant among those gaps; and implementing change strategies and monitoring their results.

This process is unlikely to ever conclude. You will recall that in the goal-setting stage, the team prioritized a long list of goals that members identified. It was assumed that your list was probably long enough to consume 10 years worth of work. If the assumption was correct, you now are beginning to experience the reality of that statement: With each goal you accomplish, you are likely to identify several more you want to tackle. This is the way it should be, because you are making a real difference. With each day that your team works together on this issue, you are enhancing the safety of your community.

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## ► Appendix 2: Sample Juvenile Offender Data Collection Instrument

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Court ID #:	Age: (date of birth)
Date of referral:	Sex: male/female
Date collected:	Legal guardian:
Data collector:	ZIP code:

**Ethnicity (check one):**

<input type="checkbox"/> African-American	<input type="checkbox"/> Native American
<input type="checkbox"/> Latino/Latina	<input type="checkbox"/> Caucasian
<input type="checkbox"/> Asian/Pacific Islander	<input type="checkbox"/> Other: _____

**Education at Offense (check one):**

Currently in school: <input type="checkbox"/> Yes <input type="checkbox"/> No	Special education: _____
Grade level: _____	Participation in extracurricular activities (list): _____
School attending: _____	
GPA: _____	

**Employment at Offense (check one)**

<input type="checkbox"/> Not working	<input type="checkbox"/> Employment 20 hrs./wk. or more
<input type="checkbox"/> Employment < 20 hrs./wk.	

**Residence at Offense (check all that apply)**

<input type="checkbox"/> Living w/ mother	<input type="checkbox"/> Living w/ friends
<input type="checkbox"/> Living w/ father	<input type="checkbox"/> Living w/ siblings
<input type="checkbox"/> Living w/ stepmother	<input type="checkbox"/> Living w/ other family member(s)
<input type="checkbox"/> Living w/ stepfather	<input type="checkbox"/> Living w/ partner
<input type="checkbox"/> Living alone stable	<input type="checkbox"/> Living in substitute care
<input type="checkbox"/> Living alone transient	

**Residence Stability—During the 2 Years Before Arrest for This Case (check one):**

<input type="checkbox"/> Has continually resided at the same address	<input type="checkbox"/> Has moved 4 or more times
<input type="checkbox"/> Has moved 1–3 times	<input type="checkbox"/> Transient

**Current Crime—Victim Characteristics—Principal Offense (check all that apply and fill in blanks)**

<input type="checkbox"/> Victim(s) male	Age of victim(s): _____
<input type="checkbox"/> Victim(s) female	Ethnicity of victim(s): _____

**Current Crime—Offender Relationship to Victim—Principal Offense (check all that apply)**

<input type="checkbox"/> Stranger	<input type="checkbox"/> Neighbor
<input type="checkbox"/> Own child	<input type="checkbox"/> Acquaintance
<input type="checkbox"/> Sibling	<input type="checkbox"/> Date
<input type="checkbox"/> Other relative	

**Did Offender Live With Victim at Time of Offense?**

<input type="checkbox"/> Yes	<input type="checkbox"/> No
------------------------------	-----------------------------

**Offender Legal Status at Offense—Principal Offense (Check One)**

<input type="checkbox"/> No relationship to criminal justice system	<input type="checkbox"/> On parole
<input type="checkbox"/> On probation	<input type="checkbox"/> Pending

**Current Crime**

Referral offense type: \_\_\_\_\_  
Date of referral: \_\_\_\_\_  
 Misdemeanor (arrest charge)  
 Felony (arrest charge)  
Date of disposition: \_\_\_\_\_  
Number of misdemeanors: \_\_\_\_\_  
Number of felonies: \_\_\_\_\_

Adjudication offense: \_\_\_\_\_  
Date of adjudication: \_\_\_\_\_  
 Misdemeanor (adjudication charge)  
 Felony (adjudication charge)  
Total number of current offenses: \_\_\_\_\_  
Number of sex offenses: \_\_\_\_\_

**Sexual Offense (Adjudication) Behavior Past and Present (Check All That Apply)**

<i>Did the offense include?</i>	<i>Current offense</i>	<i># of prior offenses</i>
Exhibiting	Yes ___ No ___	_____
Frottage	Yes ___ No ___	_____
Peeping	Yes ___ No ___	_____
Obscene calls	Yes ___ No ___	_____
Stealing underwear	Yes ___ No ___	_____
Touching victim's breasts	Yes ___ No ___	_____
Use of photography	Yes ___ No ___	_____
Masturbation of victim	Yes ___ No ___	_____
Masturbation during offense	Yes ___ No ___	_____
Fellatio on victim	Yes ___ No ___	_____
Cunnilingus on victim	Yes ___ No ___	_____
Penile vaginal penetration of victim	Yes ___ No ___	_____
Digital vaginal penetration of victim	Yes ___ No ___	_____
Object penetration of vagina of victim	Yes ___ No ___	_____
Sodomizing of victim	Yes ___ No ___	_____
Digital anal penetration of victim	Yes ___ No ___	_____
Object penetration of anus of victim	Yes ___ No ___	_____
Masturbation by victim	Yes ___ No ___	_____
Fellatio by victim	Yes ___ No ___	_____
Cunnilingus by victim	Yes ___ No ___	_____
Penetration by victim	Yes ___ No ___	_____
Bestiality	Yes ___ No ___	_____
Verbal coercion/manipulation	Yes ___ No ___	_____
Verbal threats of violence	Yes ___ No ___	_____
Physical force	Yes ___ No ___	_____
Weapons possession	Yes ___ No ___	_____
Weapons use	Yes ___ No ___	_____
Alcohol use	Yes ___ No ___	_____
Illegal drug use	Yes ___ No ___	_____
Other: _____		

**Pre-disposition Assessment**

Pre-disposition report completed  Sex offender clinical assessment completed

**Disposition for Current Offense (check one)**

Diversion—deferred prosecution  DYS and probation  
 Probation  Residential placement  
 CAS  Custody to public agency  
 CAS and probation Other \_\_\_\_\_  
 DYS  
Length of disposition: \_\_\_\_\_



**Criminal History**

Type	# of Sex Offenses	# of Other Personal Offenses	# of Property Offenses	# of Drug Offenses	# of Other Offenses
Prior municipal violation	_____	_____	_____	_____	_____
Prior misdemeanor	_____	_____	_____	_____	_____
Prior felony	_____	_____	_____	_____	_____

If any prior sex offense, specify age of earliest offense: \_\_\_\_\_  
Type of earliest offense: \_\_\_\_\_  
If any prior sex offenses, please list: \_\_\_\_\_

**Substance Abuse History (check all that apply)**

- Is there evidence of substance abuse history?  Yes  No
- If yes, is there evidence of treatment?  Yes  No
- Is there evidence of alcohol abuse history?  Yes  No
- If yes, is there evidence of treatment?  Yes  No

**Physical or Sexual Abuse History (check all that apply)**

- Is there evidence of physical abuse?  Yes  No
- Is there evidence of sexual abuse?  Yes  No

**Mental Health Factors (check all that apply)**

- Pending evidence of mental health issues
- Diagnosis of MR/DD

**Household Issues**

Number of siblings: \_\_\_\_\_  
Age(s) of siblings: \_\_\_\_\_  
Sex of siblings:  
 Male  Female

*Marital status of parents*

- Married
- Divorced
- Separated

*Educational attainment of parents:*  
Mother—highest grade completed \_\_\_\_\_  
Father—highest grade completed: \_\_\_\_\_

Criminal history of parents: \_\_\_\_\_

*Employment status of adults in household:*  
 Employed  
 Unemployed  
Family household income (yearly): \_\_\_\_\_

*Evidence of physical abuse in household*  
 Yes  No

*Evidence of sexual abuse in household*  
 Yes  No

## ► Appendix 3: Sample Adult Offender Data Collection Instrument

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Offender ID #:	Reason did not enter:
Date of referral:	Age: (date of birth)
Date collected:	Sex: male / female
Intake worker: (data collector)	Income: (monthly household income)

---

Date entered program: \_\_\_\_\_

**Ethnicity (check one):**

<input type="checkbox"/> African-American	<input type="checkbox"/> Native American
<input type="checkbox"/> Latino/Latina	<input type="checkbox"/> Caucasian
<input type="checkbox"/> Asian/Pacific Islander	<input type="checkbox"/> Other: _____

**Education at Offense (check one):**

<input type="checkbox"/> Completed secondary school	<input type="checkbox"/> Received college degree
<input type="checkbox"/> Received GED	<input type="checkbox"/> Post-graduate education
<input type="checkbox"/> Some post-secondary school, training or education	<input type="checkbox"/> Highest grade completed: _____

**Employment at Offense (check one)**

Unemployed

Part-time employment < 32 hrs./wk.

Full-time employment 32 hrs./wk. or more

**Marital Status at Offense (check one)**

<input type="checkbox"/> Married	<input type="checkbox"/> Single
<input type="checkbox"/> Separated/divorced	<input type="checkbox"/> Widowed

**Residence at Offense (check one)**

<input type="checkbox"/> Living w/ spouse	<input type="checkbox"/> Living w/ parents or siblings
<input type="checkbox"/> Living alone stable	<input type="checkbox"/> Living w/ other family member(s)
<input type="checkbox"/> Living alone transient	<input type="checkbox"/> Living w/ partner (other than spouse)
<input type="checkbox"/> Living w/ friends	<input type="checkbox"/> Living in foster care

**Employment Stability at Offense (check one)**

<input type="checkbox"/> Change in employment in last 6 months	<input type="checkbox"/> No change in employment in last year
<input type="checkbox"/> Change in employment in last year	

**Residence Stability—During the 2 Years Before Arrest for This Case (check one):**

<input type="checkbox"/> Has continually resided at the same address	<input type="checkbox"/> Has moved 4 or more times
<input type="checkbox"/> Has moved 1–3 times	<input type="checkbox"/> Transient

**Achieved Skill Level (check one)**

<input type="checkbox"/> Unskilled; laborer or service	<input type="checkbox"/> Supervisor; managerial; foreman; self employed/ small business (other professionals; RN, teachers)
<input type="checkbox"/> Semiskilled; worker/operator	<input type="checkbox"/> High-level professional; doctor, lawyer
<input type="checkbox"/> Skilled; major sales, craftsman, technician	

**Current Crime—Victim Characteristics—Principal Offense (check all that apply and fill in age)**

<input type="checkbox"/> Victim(s) male	Age of victim(s): _____
<input type="checkbox"/> Victim(s) female	

**Current Crime—Offender Relationship to Victim—Principal Offense (check all that apply)**

- Stranger
- Own child
- Child of significant other
- Sibling
- Other relative
- Neighbor
- Acquaintance
- Date

**Did Offender Live with Victim at Time of Offense?**

- Yes
- No

**Offender Legal Status at Offense—Principal Offense (check one)**

- No relationship to criminal justice system
- On bail/bond
- On probation
- On parole
- Work release

**Current Crime**

Offense type: \_\_\_\_\_ Date of conviction: \_\_\_\_\_

Date of offense: \_\_\_\_\_  Misdemeanor (conviction charge)

Misdemeanor (arrest charge)  Felony (conviction charge)

Felony (arrest charge)

Date of sentence: \_\_\_\_\_ Total number of current offenses: \_\_\_\_\_

Number of misdemeanors: \_\_\_\_\_ Number of sex offenses: \_\_\_\_\_

Number of felonies: \_\_\_\_\_

**Sexual Offense (Conviction/Adjudication) Behavior Past and Present (check all that apply)**

<i>Did the Offense Include?</i>	<i>Current Offense</i>	<i># of Prior Offenses</i>
Exhibiting	Yes ___ No ___	_____
Frottage	Yes ___ No ___	_____
Peeping	Yes ___ No ___	_____
Obscene calls	Yes ___ No ___	_____
Stealing underwear	Yes ___ No ___	_____
Touching victim's breasts	Yes ___ No ___	_____
Masturbation of victim	Yes ___ No ___	_____
Fellatio on victim	Yes ___ No ___	_____
Cunnilingus on victim	Yes ___ No ___	_____
Penile vaginal penetration of victim	Yes ___ No ___	_____
Digital vaginal penetration of victim	Yes ___ No ___	_____
Object penetration of vagina of victim	Yes ___ No ___	_____
Sodomizing of victim	Yes ___ No ___	_____
Digital anal penetration of victim	Yes ___ No ___	_____
Object penetration of anus of victim	Yes ___ No ___	_____
Masturbation by victim	Yes ___ No ___	_____
Fellatio by victim	Yes ___ No ___	_____
Cunnilingus by victim	Yes ___ No ___	_____
Penetration by victim	Yes ___ No ___	_____
Bestiality	Yes ___ No ___	_____
Verbal coercion/manipulation	Yes ___ No ___	_____
Verbal threats of violence	Yes ___ No ___	_____
Physical force	Yes ___ No ___	_____
Weapons possession	Yes ___ No ___	_____
Weapons use	Yes ___ No ___	_____
Alcohol use	Yes ___ No ___	_____
Illegal drug use	Yes ___ No ___	_____
Other: _____		

**Pre-sentence Assessment**

Pre-sentence report completed

Sex offender clinical assessment completed

**Sentence for Current Offense (check one)**

Diversion—deferred prosecution

Prison

Probation

Prison and probation

Jail

Residential placement

Jail and probation

Other \_\_\_\_\_

Sentence length: \_\_\_\_\_

**Criminal History**

<i>Type</i>	<i># of Sex Offenses</i>	<i># of Other Personal Offenses</i>	<i># of Property Offenses</i>	<i># of Drug Offenses</i>	<i># of Other Offenses</i>
Adult municipal violation _____					
Adult misdemeanor _____					
Adult felony _____					
Juvenile municipal violation _____					
Juvenile misdemeanor _____					
Juvenile felony _____					

If any prior sex offense, specify age of earliest offense: \_\_\_\_\_

Type of earliest offense: \_\_\_\_\_

If any prior sex offenses, please list: \_\_\_\_\_

**Substance Abuse History (check all that apply)**

Is there evidence of substance abuse history? Yes \_\_\_ No \_\_\_

If yes, is there evidence of treatment? Yes \_\_\_ No \_\_\_

Is there evidence of alcohol abuse history? Yes \_\_\_ No \_\_\_

If yes, is there evidence of treatment? Yes \_\_\_ No \_\_\_

## ► **Appendix 4: Jurisdictional Case Studies**

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### *The Experiences of Three Jurisdictions Who Utilized the Handbook and CAP to Enhance their Sex Offender Management Practices*

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The following case studies document the experience of three jurisdictions—one state level team (focused on adults and juveniles), one regional effort (focused only on juveniles), and one local county (focused only on adults)—that have engaged in a strategic planning process, including the concepts presented in this handbook and the use of the The Comprehensive Assessment Protocol (CAP): A Systemwide Review of Adult and Juvenile Sex Offender Management Strategies (2007). These jurisdictions completed this work with support provided by the U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance, and with the provision of technical assistance from the Center for Sex Offender Management (CSOM).

Funds were provided to support teams in each of these three diverse jurisdictions to conduct a two-phased project:

- The first phase included a planning process in which multidisciplinary teams were established to: study their target (sex offender) population and the resources currently available to manage and treat victims and offenders; and to examine and identify gaps in current practice, explore areas for improvement, and facilitate the development of a plan for a comprehensive and coordinated response to sex offenders in the community.
- The second phase of this process was to develop and implement the initiatives that were developed as a result of recommendations from the initial assessment phase.

These jurisdictions undertook the exercises outlined in this handbook, including establishing multidisciplinary, collaborative teams to address sex offender management issues; producing a system map of current sex offender management practice; developing an inventory of the resources available for sex offenders and victims of sexual assault, and assessing in great detail their sex offender management policies and practices. These teams also used the CAP as part of their efforts to strategically and systematically study their current sex offender management practices, in order to be better equipped to make informed decisions about how best to improve their efforts to prevent or reduce future victimization. The CAP provides background information and a series of detailed questions about six key components of sex offender management (investigation, prosecution, and disposition; assessment; treatment; supervision; reentry; and registration and community notification). Jurisdictions answered these questions relative to their own sex offender management policies and practices in order to better understand how their current approach comports with “what works” in sex offender management, as well as emerging practice from around the nation.

The teams highlighted in these case studies used the information from their assessment to determine what changes were most important for them to make in order to improve community safety and prevent future victimization by known sex offenders. Upon completion of the CAP and the submission of an implementation plan based on its findings, these jurisdictions were awarded funds that helped them implement targeted and deliberate changes in their approach to sex offender management.

These case studies are intended to capture les-

sons from jurisdictions around the country. The jurisdictions described in this document are both demographically and geographically diverse and represent vastly different—yet all successful—approaches to improving their sex offender management systems.

## *Rhode Island'*

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### *Site Background*

Rhode Island encompasses 1,045 square miles; any point in the state is accessible within a one-hour drive. There are 39 police departments in the state. Although there are five Rhode Island counties (Kent, Newport, Washington, Providence, and Bristol), there is no county government. Each of the state's major functions is centralized within one office. For instance, there is one Department of Attorney General that covers all of the prosecutions statewide, and the Department of Corrections has one complex of facilities handling all of the state's pre-trial and incarcerated individuals. All of the state's major government stakeholders have their central offices in the greater Providence metropolitan area, easily within a 10-15 minute drive of each other. Rhode Island's population is fairly homogeneous. According to the 2000 Census, Rhode Island has 1,048,319 residents; 503,635 are male and 544,684 are female. Eighty-five percent of the residents are white, 4.5 percent are black or African-American, 8.7 percent are Hispanic, and 2.4 percent are Asian. Eighty-seven percent of the state is urban and 13 percent is rural. Providence is the capital city and the largest city, with 173,618 residents (17% of the population).

At the time of application for grant funds, there were approximately 400 sex offenders incarcerated at the Rhode Island Adult Correctional Institution (ACI) and an additional 24 juvenile sex offenders held at the Rhode Island Training

School (RITS). There were 1,548 registered adult sex offenders and 67 juvenile sex offender registrants in the state. In 2000, there were 412 sexual assaults reported, which equates to 39.5 incidents of sexual assault per 100,000 people. The national average for the same time period was 32.7 incidents per 100,000 people.

### *Ingredients for Success*

The State of Rhode Island received grant funds to formalize and expand its Sex Offender Management Task Force to promote community safety and prevent harm to victims. A statewide, policy level, multidisciplinary Task Force met monthly for the year leading up to this grant. Grant funds were used to assist the Task Force in using a deliberate process to systematically assess all of their juvenile and adult sex offender management practices.

Several factors played a role in the success of the Rhode Island Sex Offender Management Task Force. Among other things, the team's leadership helped steer the Task Force toward a common vision and held them to achieving the goals set forth in the beginning of their work together. The Task Force's initial meetings were devoted to articulating the group's vision, mission, goals, and objectives, as well as establishing ground rules for the group's work together and discussion of members' expectations of one another, and the work to be accomplished. Task Force leaders were identified by consensus. In selecting the leadership of the Task Force, members remained sensitive to the diverse range of stakeholders involved. As a result, leaders from the victim services community, the defense bar, the juvenile justice system, and the Department of Corrections (DOC) were selected to serve as co-equal chairs of the Task Force.

The commitment of all Task Force members ensured continuity in meetings, while a wide

variety of perspectives and resources brought a broad perspective to the issues being considered, and resulted in a specific and far-reaching plan for implementation. Additionally, the unique size of the state made it an ideal environment for gathering information in a thorough and timely manner and achieving statewide change.

To carry out its mission, Task Force members set forth the following goals for their work together:

- Develop a formalized interagency, multidisciplinary collaboration that will enable the exchange of information; provide cross-training, ongoing assessment and monitoring of sex offender management policies and practices; and result in effective, coordinated interventions.
- Develop an understanding of current practice with regard to juvenile and adult sex offender management and victim services.
- Assess the strengths and gaps of our current approaches to the management of adult and juvenile sex offenders and establish priorities for enhancements.
- Implement key strategies to enhance current policy and practice across the criminal and juvenile justice systems.
- Monitor the effectiveness of Rhode Island's implementation of these sex offender management strategies and evaluate their impact on public safety.

### *Overview of the CAP Process*

The Task Force devoted considerable attention to understanding in specific detail the policies and practices employed in Rhode Island's current sex offender management system. The Task Force created detailed system flow charts of the adult and juvenile criminal justice systems, developed a profile of information about their sex offender population, and conducted

an inventory of those resources available to provide services to victims, as well as to adult and juvenile offenders.

After these initial assessment exercises and in preparation for the CAP, the Task Force split into four subcommittees for the purpose of assessing current practice in their system of sex offender management and becoming expert in empirically-based and emerging practice. Each subcommittee took a slightly different approach to completing their section of the CAP. Some were more effective than others; yet some of the more difficult methods yielded results that surpassed expectations. The subcommittees examined the following issues, as outlined in the CAP:

- Investigation, prosecution and disposition;
- Sex offender assessment and treatment;
- Sex offender supervision and reentry; and
- Sex offender registration and community notification.

### **Preparing to Conduct the CAP**

In addition to their initial assessment work, the Task Force worked to further develop expertise in evidence-based and emerging national practices in sex offender management. In this vein, the Task Force sought training from five nationally recognized experts in sex offender management and then completed a thorough literature review on topics related to sex offender management in order to prepare them for completing the CAP and ultimately implementing their resulting recommendations.

### **Conducting the CAP Assessment**

Over a 10-month period, and through the use of individual and group interviews with administrators and line staff, written and phone surveys, policy and procedure reviews, and first hand observation, each subcommittee was charged with developing an in-depth understanding of



the system they were responsible for reviewing, as well as knowledge of the literature and emerging practice in their area of inquiry.

At the completion of this phase of the Task Force's work, members met for a two-day meeting to review the findings of each subcommittee and to develop recommendations for a comprehensive, multidisciplinary system for sex offender management in the state. More than eighty recommendations for improving or changing the existing system were identified to address five key goals:

- Ensure that sex offenders are held accountable for their crimes and prevent future victimization.
- Give professionals the tools they need to enhance the protection of the community.
- Optimize offenders' opportunity to succeed in the community.
- Provide the community with the information they need to keep their families safe.
- Ensure the ongoing implementation of the comprehensive approach to sex offender management.

Task Force members worked to prioritize these recommendations and to begin the process of forming strategies to achieve their goals. Additionally, data were collected from a variety of sources (Department of Corrections Management Information Systems, Sex Offender Community Notification Unit files, and the Department of Probation and Parole Sex Offender Unit files) to help inform strategies and recommendations. The goals and strategies have since been developed and form the basis of Rhode Island's "strategic vision" for sex offender management, a plan designed to enhance the management of adult and juvenile sex offenders in the state.

### *Lessons Learned*

Like many of the sites who have engaged in this process, the Task Force learned a considerable amount about their system, collected data about sex offender management in their state, garnered the support and participation of key agencies, and ultimately, determined ways in which their system might be improved.

As a result of this endeavor, the Task Force made considerable strides in assessing their system comprehensively and developed and implemented a long-range strategic plan. To date, a number of opportunities have emerged to enhance the existing system of managing sex offenders in Rhode Island. These changes resulted both directly and indirectly from the Task Force's work. Changes have already been implemented within individual agencies—and in some cases collaboratively across agencies—as a direct result of Task Force members' enhanced knowledge and understanding of effective management practices and an honest and in-depth critique of individual agency's activities.

The following is a listing of change strategies that have already been implemented—or in some cases are in the process of implementation—as a result of the Task Force's work together thus far:

- Established a Sexual Assault Nurse Examiner (SANE) Program;
- Created an enhanced victim advocate position within the Rhode Island Department of Corrections (DOC);
- Developed an enhanced Victim Service Project, which provides crime victims with advocacy, referral and opportunities for restorative justice programs, such as victim-offender mediation;
- Planned to convene annual parole education forums for victims and others to educate victims about the registration and notifica-

tion processes for offenders who were soon to be released to the community, as well as the sources of support available to victims of sexual assault;

- Incorporated training in sex offender registration and notification into the curriculum used to train law enforcement officers across the state;
- Reexamined the charging of sexual assault cases and established a process to review the office's charging decisions and disposition of sexual assault cases including issues related to the increased use of victim statements in making charging decisions, review of key evidence in that process, and other important considerations, with the intent of developing an improved list of charging considerations;
- Implemented the use of a specialized sex offender risk assessment instrument in determining community notification levels;
- Established a specialized juvenile sex offender treatment unit at the Rhode Island Training School for Youth (RITS);
- Increased coordination of juvenile offender services by organizing meetings of a wide range of community service providers in an effort to establish an appropriate continuum of care;
- Built upon the release planning classes for incarcerated sex offenders by adding two additional classes for the transitioning of sex offenders who attend the sex offender treatment program;
- Enhanced supervision of juvenile sex offenders through the development of written policies and procedures (consideration is also being given to the possible creation of a specialized juvenile supervision caseload);
- Established a link between the Parole Board's Web site and the Rhode Island State Police Web site, affording greater public access to information regarding Level 2 and

3 sex offenders who are residing in Rhode Island's communities;

- Increased collaboration and records sharing between the agencies charged with determining risk level and community notification of juvenile sex offenders;
- Worked to reduce the length of the Megan's Law appeals process; and
- Established statewide treatment standards.

In the coming months, the Task Force, in concert with each of the involved state departments, will develop short- and long-term plans for all of their remaining goals and objectives. The Task Force recognizes that considerable obstacles exist in effectively addressing many of these issues. Fiscal restraints, union considerations, misconceptions about sex offenders, and obtaining stakeholder buy-in will all be challenges that need to be addressed when developing implementation plans.

Under the auspices of the Task Force, a special subgroup will be convened to engage various departments of state government in developing a plan specifically focused on the management of this challenging subset of offenders.

The ongoing evaluation and collection of data for each of the goals and strategies outlined in their strategic vision will be crucial in measuring the impact of this comprehensive approach to sex offender management in Rhode Island. As such, each working committee will be charged with developing a data collection and evaluation plan as part of their implementation strategy.

## *Central Oregon - Crook, Deschutes, and Jefferson Counties*

### *Site Background*

Crook, Deschutes and Jefferson Counties are the Central region of the State of Oregon and have a combined population of 176,350.<sup>2</sup> Crook and Jefferson Counties are rural counties; although Deschutes County has some areas of high-density population, much of the county is still noticeably rural.

Delinquency services in Oregon are administered by both the state and county jurisdictions. The juvenile departments in each of Oregon's 36 counties administer secure detention, intake screening, and most probation supervision services. The Oregon Youth Authority, a state agency, administers probation for youth in out-of-home placements, such as residential treatment, and administers the custody system of youth correctional facilities and camps. State Circuit Courts generally hear juvenile cases, but in some small Oregon counties, the county court handles juvenile matters. There are Circuit Courts in Crook, Deschutes and Jefferson counties.

The Central Oregon region is a geographically large area (7,837 square miles<sup>3</sup>). The City of Bend is the population hub. The communities of Redmond and Madras lie to the north, Sisters to the west, Sunriver and LaPine to the south and Prineville to the east. The population within the three counties has increased approximately 60% over the past ten years. The Central Oregon region is isolated from the state's more densely inhabited urban centers by both distance and geographic barriers. Most of the combined 176,350 residents live in a rural environment, and an average of 12% live at or below the poverty level, although this figure increases to 60% within some remote areas. Ethnic diversity varies from county to county, but approximately

18% of the Jefferson County population is Hispanic and 16% is Native American.<sup>4</sup>

The Central Oregon region experienced growing numbers of sex offenses committed by youth. The Deschutes County juvenile sex offender supervision caseload alone has doubled within the past decade. From 1998 and 2002, allegations made against juveniles grew by 94% and the number of unduplicated youth associated with sex offenses rose in excess of 16%; during the same period, offenders aged 12 years and under became alarmingly prevalent and female offenders were no longer uncommon. Sex offending was becoming a significant community issue and priority.

### *Ingredients for Success*

Central Oregonians place a high value on civic engagement, and the region is strengthened by successful partnerships among citizens, businesses, nonprofit organizations, community groups, and schools and government agencies, but since each county has its own personality, the manner in which project activities were organized and conducted varied by county.

For the grant project, each county utilized a multidisciplinary, collaborative task force team to examine current practices, identify gaps, explore areas for improvement, and facilitate the development of a comprehensive, coordinated, community response to improvements in the sex offender management system. Because it was already in existence, Deschutes County's Task Force had experience in examining policies and practices in sex offender management.

Although Crook and Jefferson Counties were well-versed in collaborative endeavors, their task force teams on sex offender management were formed for the express purpose of working on the grant program. The Sex Offender

Management Discretionary Grant Program provided grant funds to support these groups in conducting a thorough assessment of current policy and informal practices, and refining its goals and objectives to reflect an outcome-based focus. Additionally, grant funds were used to follow through on recommendations that arose from the assessment and to develop and implement strategies that could make a measurable difference in reducing the numbers of juvenile sex offenders, preventing reoffense, protecting victims, and promoting public safety. Efforts in Central Oregon resulted in a model that was intended for replication throughout the Central and Eastern Oregon Juvenile Justice Consortium, a coalition of 17 county juvenile departments in Oregon.

### **Successful Project Strategy**

The project leadership decided to recruit staff specifically dedicated to project management, facilitation, and research. These individuals brought particular strengths to project development and management that would have been difficult to find and make available through use of existing agency staff. The staff served in a consulting capacity, which provided a certain degree of objectivity that allowed a more dispassionate approach to finding ways and means to accomplish project work objectives. The staff also had many years of collective experience in the management and evaluation of systems and programs in juvenile justice and other health and social fields. Lastly, the staff was very knowledgeable in the administration of projects and grants. These collective skills allowed staff to be creative and perceptive as they worked their way through the complex and challenging assessment process that included an analysis of their sex offender population, a map of how sex offender cases flow through the system, and the development of a document that detailed all of the community resources available to victims and offenders.

### *Overview of the CAP Process*

The leaders of the teams were initially concerned about attempting to answer over a thousand CAP questions, but their comfort with the CAP improved as its value became clearer. The goal of project staff was to assist the task forces in being efficient in their work on the CAP; and to make the process empowering, not onerous.

In response to this, the project staff reformatted the CAP from one large volume, which covered both juvenile and adult sex offender issues, to seven small booklets about juvenile issues, one for each of the seven sex offender management system components. The result was a package of research information and questions that were used much like a textbook would be used in a course of study. This made the CAP appear less daunting to the task force participants. In addition, the project staff developed process formats that guided each task force or focus group session. This enhanced learning about the system, strengthened collaboration among stakeholders, and provided a mechanism for identifying and clarifying issues.

### **Preparing to Conduct the CAP**

The reformatted CAP was used in each of the three counties to assess congruence of current policies and procedures with emerging best practice and identify gaps and needs in the sex offender management system. There was a systematic, organized review of CAP questions in each county to:

- Identify, clarify, and prioritize critical issues;
- Assess cause, effect, and implications of the issues; and
- Determine stakeholder values and priorities.

The project successfully transformed critical issues of the highest priority into strategy statements, and developed action steps and time frames for implementation.

The first two months of the project was devoted to designing the planning and assessment process and preparing materials that would support the planning phase of project activities, including the CAP assessment, critical issue identification, and strategy development. Key stakeholders were represented in three task forces—county juvenile departments, corrections, defense attorneys, law enforcement, judiciary/courts, offenders, Oregon Youth Authority, prosecution attorneys, victim advocacy, social services, mental health, schools, and treatment providers.

Each task force met monthly over the course of one year to engage in the planning and assessment process. Meetings normally lasted for two hours, although some were scheduled for three hours if needed to complete the tasks. Each task force was chaired by the director of the county juvenile department. The agenda for each meeting included any item of interest by the chair or other task force members, and always included one or more items related to project assessment or planning. Project staff were always present at meetings and were responsible for facilitating discussions on project related activities and reporting on progress of project tasks.

The CAP questions were answered in discussion group sessions over a six-month period, which were specifically dedicated to the purpose of rating responses and identifying issues emerging from the rating and discussion. In Crook and Jefferson Counties, the sex offender task force met as a committee of the whole for numerous sessions to complete the CAP, while in Deschutes County, sub-groups were created around the following sex offender management system component areas: Assessment and Treatment; Reentry and Supervision; Investigation, Prosecution and Disposition; and Registration and Notification. Membership in

the groups varied according to the interests of participants and was usually composed of stakeholders in disciplinary or professional areas related to the subjects covered by the system component (e.g., law enforcement, court and district attorney in the Investigation, Prosecution and Disposition group). Each sex offender management task force also formulated vision and mission statements, and major goals for the local system, and developed a system map that displays major process flows and decision points in a graphic manner.

The CAP assessment process produced a list of critical issues in each county that became the focus of a one-day retreat (called an “advance”) that included participation by task force and committee members. The purpose of each advance was to clarify the critical issues and develop a final list in priority order. The remaining activities during the planning phase included the formulation and analysis of strategic options consistent with comprehensive assessment protocol assessment needs, stakeholder values, and empirically based and emerging practices, and the identification and formulation of a set of strategies and action plans to improve management of sex offenders in the tri-county system.

### **Conducting the CAP Assessment**

The Comprehensive Assessment Protocol (CAP) included 1,156 policy and practice questions related to juvenile offending in the seven component areas. These questions were rated during the focus group sessions and committee meetings scheduled for that purpose. Response categories were 4 = always, 3 = typically, 2 = generally not, and 1 = never.

Approximately 15% of the questions were policy related and the other 85% were related to emerging practices in the field. A typical question asked about the status of a policy or prac-

tice in the jurisdiction, and respondents would come to a judgment about the extent of congruence between the situation depicted in the question and the reality of the current situation. The CAP process involved systematic review of each and every question, discussion (or debate) of the issues associated with each question, and a consensus driven rating of each question.

Each question in the CAP was considered to be a potential issue that could be measured in terms of the *Degree of Congruence* with policies or practices in the various system areas and sub-areas. Congruence reflects the extent of agreement of the current situation in a jurisdiction with the stated policy or practice addressed in the question, and is expressed as either showing a *Higher Degree of Congruence* (rated as a 4 or 3 by the group) or *Lower Degree of Congruence* (rated as a 2 or 1 by the group).

A lower degree of congruence indicates potential problems or issues, and questions receiving a low congruence rating were flagged and discussed further to identify the underlying issue or issues leading to the lower congruence rating. If there were doubts about whether or not to rate a question as a 3 or 2, the lower number was selected so that the question would be flagged as one involving potential issues and problems. This procedure ensured that any possible significant issues would be identified and subject to further discussion by the group. Policy and practice congruence profiles were prepared for each system component and major sub-area.

The CAP process was also used to distill critical issues and problems, assess implications, and determine stakeholder values and priorities. A data collection format was developed to facilitate the discussion group process so that issues, stakeholders, and values would be sys-

tematically identified as the CAP questions were presented at meetings. This format was used during the discussion sessions to record data regarding issues, stakeholders, and the need for further research to educate the group. When a question received a congruency rating in the magnitude of 1 or 2, the group facilitator would probe to clarify the issues and problems associated with the low congruency. Responses from the group were recorded as critical issues. If there were significant stakeholder values related to the issue and the approach to issue resolution, this would be clarified and recorded also.

The data collected from the recordings of discussion sessions was examined, and related to the issues, problems and concerns expressed by the CAP questions themselves. The following questions were used to examine and produce an elaboration of each of the critical issues:

- What are the specific practice dimensions identified in the CAP questions that relate to the issue?
- What are the immediate precursors (causes) of the issue as identified in the CAP?
- What are the consequences (effects) of not resolving the critical issue in terms of impact on the sex offender management system?

This process resulted in the identification of 22 critical issues in Crook County, 22 critical issues in Deschutes County, and 25 critical issues in Jefferson County. Most system areas contributed between three to five critical issues. The largest numbers of issues were found in Treatment, Reentry, and Supervision; and the least number were found in Registration. There were many similarities among the counties and there were also significant differences. All three counties reported issues related to the use and content of risk



assessment tools, availability of treatment alternatives, treatment approaches and planning, communication and information sharing among agencies, specialized training for stakeholders, case management teams and/or protocols, and public education and notification.

The initial list of critical issues for each county was further examined for relative importance through discussion and debate that focused on the significance of the issue. Significance was determined by the application of priority rating criteria, which added a priority dimension to the assessment process. Once each critical issue was assigned a criteria-based significance score, participants were asked to further assign points to those prioritized critical issues that were most important to them from the broadest perspective.

This point scoring was done during a day-long session devoted to priority setting in each county. This session included an exercise whereby each participant was allowed to assign polling points to selected critical issues. Each participant was given six sticker dots to use for polling purposes. The rules required that no more than two dots could be given to a critical issue in one system area. This rule was designed to ensure a more balanced distribution of priorities among the system component areas. Crook County identified 11 high priority critical issues, Deschutes County identified 10 issues, and Jefferson County identified six high priority critical issues through the application of criteria to the identification of high priority concerns and interests by participants.

The next step in the planning process was to transform the high priority critical issues into strategies that the groups would have an interest in pursuing. The strategies to bring about a more effective sex offender management system should address critical issues and provide

for the resolution of those issues. The critical issues needed to be restated in strategic terms that indicated the intended results. The development of a strategy included the formulation of a statement addressing issue resolution, intended results, fundamental principle(s) involved, action steps, and time frames for implementation. This activity included the formulation and analysis of strategic options consistent with comprehensive assessment protocol assessment needs, stakeholder values, and emerging practices, and the identification and formulation of a set of strategies to improve management of sex offenders in the system. In addition, the concerns and aspirations found in the vision and mission statements developed by each task force provided direction to the groups as they formulated their strategies.

There was interest in implementing strategies that had regional impact as well as those that focused on single counties. A final round of decision making and priority setting was held with each task force to further examine their strategies for the purpose of narrowing the scope of implementation. This last step led to strategies that had a regional (tri-county) focus and those that had a focus in a single county. The implementation plan included 9 strategies (5 regional and 4 county-specific) and action plans for each.

- *Public Education and Prevention:* Implement a comprehensive and collaborative approach to public education with a focus on prevention.
- *Specialized Training:* Provide specialized training in sex offender assessment, treatment, release planning, supervision, and case management.
- *Case Management and Treatment Planning:* Design collaborative case management protocols that promote communication and information sharing, and promote a treat-



ment model with goal oriented treatment plans that are understood by offenders and parents/caregivers.

- *Treatment Resources and Alternatives:* Organize a continuum of resources that meets the level of risk and specific needs of sex offenders and their families.
- *Assessment and Assessment Tools:* Develop and administer uniform content and protocols for use of sex offender-specific assessment tools as part of a broader assessment approach.
- *Case Resolution (Jefferson County):* Coordinate case resolution processes that would retain essential information for sound case planning, yet protect offender confidentiality, and promote victim and community safety and offender accountability.
- *Victim Issues (Jefferson County):* Involve community-based victim advocates and maintain a safe, discreet, victim-sensitive process and environment in the sex offender management system as related to sexual assault/sex crime investigation team.
- *Sexual Assault Team (Crook County):* Form a multidisciplinary sexual assault team that provides a coordinated response and timely engagement by key stakeholders and provides specialized training to key stakeholders.
- *Sexual Assault Team (Deschutes County):* Form a multidisciplinary sexual assault team that provides a coordinated response and timely engagement by key stakeholders and provides specialized training to key stakeholders.

Finally, the project team developed an evaluation that addresses the results of strategies being implemented during Phase 2 of the project. Both process and outcome indicators and measures are included in the monitoring and evaluation plan. The process evaluation covers implementation activities and events, and the

outcome evaluation addresses the impact of the strategies on the sex offender management system and the community it serves. Evaluation questions address two types of outcomes: 1) community, offender and victim outcomes; and 2) system improvement outcomes.

### *Lessons Learned*

The CAP-driven assessment and planning process turned out to be a learning experience that enhanced the level and scope of understanding of all components of the sex offender management system by the stakeholders involved. It provided a common base of knowledge that allowed enlightened discussion and debate of the issues present in the three counties and empowered project participants to focus more clearly on important issues. This further sharpened strategy development to address those issues relevant to local systems. Knowledge of local systems also enhanced collaboration through improved communications unencumbered by misinformation and the lack of mutual understanding.

The CAP provided an education about sex offender management for key stakeholders involved in the planning and assessment process. A body of shared knowledge was formulated through the systematic asking and answering of the CAP questions. An important result was the creation of a “learning community” made up of the participating stakeholders. The learning community served as a virtual reservoir of knowledge and ideas that can be continually tapped for planning, problem solving, and decision-making purposes. This enhances the potential sustainability of the system since the learning community is a resource that continues after the end of the grant funded project.

The use of the CAP helped to clarify significant issues and problems in the sex offender man-

agement system. The systematic examination of all the components of the sex offender management system provided a comprehensive scrutiny of issues and problems. Focus group session formats channeled discussion so that the most significant issues emerged from discussion and debate. This insured that clearly stated, relevant issues were identified in a logical manner and that the dominance of personal philosophy was prevented.

The CAP process helped to focus on the fundamental principles underlying sex offender system effectiveness. The formats developed to guide discussion and decision making in strategy development referenced each system component and the five fundamental principles shaping system effectiveness. In this fashion, desirable outcomes in terms of the five principles were always suggested in discussions about strategies. As a result, both the formulation of strategies and the evaluation plan reflected outcomes related to these principles.

The process uncovered significant relationships among sex offender management system components and other systems. Participants were encouraged by staff to think outside the box when making decisions on critical issues and strategies. This included consideration of systems that interface with the sex offender management system and interrelationships between sex offender management system components. Because of this thinking, the final strategy list included combinations of issues that cut across system components (e.g., case management and treatment) and provided links to other systems (e.g., public education and the public health system).

The CAP process revealed opportunities for regional solutions. Most of the critical issues identified and prioritized by the task force groups represented common interests. This

presented an opportunity to collaborate on a regional basis for strategy implementation in most areas of interest. Also, each county had other issues not included on the regional list that they will pursue independently.

The use of the CAP helped team members to understand the importance of collaboration in improving the sex offender management system. The collaboration survey was conducted in each of the three counties. Survey results were helpful in identifying the strengths and weaknesses in the collaborative effort, and each county was then able to incorporate strategies into its implementation plan that worked to improve collaboration.

The CAP process benefited from including staff specifically dedicated to project management, facilitation, and research. These individuals brought particular strengths to project development and management that would have been difficult to find and make available through use of existing agency staff. Staff served in a consulting capacity, which provided a certain degree of objectivity that allowed for a more dispassionate approach to finding ways to accomplish project work objectives. These collective skills allowed staff to be creative as they worked their way through the complex and challenging CAP process.

## *St. Lawrence County, New York*

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### *Site Background*

St. Lawrence County, New York, is located on the Canadian Border in northern New York State, and is framed by the Adirondack Mountains, the Thousand Island region, and the St. Lawrence River. It is closer to Ottawa and Montreal than to any major American metropolitan area. The county occupies an area of 2,685 square miles, consisting of 32 towns, 13 vil-

lages, and one city, and has a population of approximately 112,000, of whom over 94 percent are white. There are four four-year colleges and universities in St. Lawrence County serving over 10,000 students. These institutions are among the largest employers in the community, along with ALCOA, the aluminum industry giant, the County government, and several hospitals and human service organizations. Residents describe the county as “a great place to live if you like the out-of-doors,” a place of diverse lifestyles, with a range of socio-economic levels and cultural interests, and a caring place where people are genuinely interested in their communities and will rally to help each other in spite of whatever social and political differences might exist.

### *Ingredients for Success*

St. Lawrence County achieved tremendous success in their assessment process and their use of the CAP. The process produced many benefits unanticipated by the team, including improved relationships among management and staff in a variety of agencies charged with the management of sex offenders. Like many CAP users, the team in St. Lawrence County discovered that many changes they needed to make were budget neutral, and they found the new ideas invigorating, giving them renewed energy for this difficult work.

### **Collaboration and Leadership**

The St. Lawrence County team had several advantages going into their comprehensive assessment activities, including: a history of successful collaboration; long-standing working relationships among key stakeholders; and skilled, experienced leadership. The sex offender management team (SLCSOMT) had its roots in a prior (non-sex offender specific) criminal justice planning effort. The County successfully applied for a Comprehensive Approaches to Sex Offender Management

(CASOM) Planning Grant from the U.S. Department of Justice, Office of Justice Programs, and expanded their criminal justice team to include additional sex offender management stakeholders. Through their work on the planning grant, they collected data on their offender population that gave them a baseline from which to work on this most recent round of assessment activities. For example, they learned as a result of their planning grant that there were 192 officially identified adult sex offenders residing in the community (including both registered offenders and/or those under supervision), 96 percent of whom knew the victim(s) of the crime(s) for which they had been convicted. They also developed a map of offender’s movement through the criminal justice system, and a list of resources available to offenders and victims in the community. This type of critical information helped the team to set the priorities that would become the focus of study during the CAP process.

### **Staff Support and Facilitation**

Experience from their earlier projects taught the leaders of St. Lawrence County that staff support and outside facilitation were essential ingredients to successfully completing the process of assessing their current sex offender management system and developing an implementation plan that would help them to improve that system. Consequently, this value was reflected in the team’s budget for this grant, which incorporated in-kind staff time from the lead agency (10 – 15 percent time from at least six staff); and consultant expenses to cover both a researcher who would handle data inquiries and data analysis (three to five days per month, including travel and other expenses), and a facilitator who would help guide the team through the assessment, policy development, and implementation processes (two days per month, including travel). The team delegated the role of grant or project coordinator to two

individuals: a local project chair who had spearheaded the grant, and who had the ability to bring people together and hold them accountable for their work; and a project facilitator, who brought expertise in team process, as well as an outside perspective and access to additional sex offender management resources. These positions were further supplemented by a CSOM technical assistance provider.

St. Lawrence County faced some significant obstacles, however, including: a large, predominantly rural county where some individuals had to travel significant distances to attend meetings; difficulties in achieving economies of scale for activities like training and service provision (because St. Lawrence County is small in terms of population, but the largest geographic county in the state, it is sometimes more expensive to provide training and services); and strong town or village identities that sometimes interfered with efforts to produce uniform responses to sex offenders. In the end, however, the team's success in ensuring full partnership and addressing concerns of all stakeholders; providing sufficient guidance and support for the work; and entrusting a skilled, experienced, principled individual with the task of leadership, led to their overall success.

### *Overview of the CAP Process*

The team met regularly each month. They spent the first two months of the grant period recruiting and bringing up to speed new members of the policy team and reviewing and updating their offender profile data, system map, and resource inventory. During this time, they also sent four probation officers to a one-day intensive sex offender management training with separate tracks for probation/parole officers working in adult and juvenile supervision. The training helped them prepare to assess their supervision strategies, as well as to implement immediately some necessary changes in their

supervision practices. The team spent the next nine months engaged in the CAP assessment process, including organizing themselves to complete the assessment and identifying issues to be addressed in the implementation phase of the grant program.

### **Preparing to Conduct the CAP**

In the month before they began work on the CAP, the team held a half-day "System Education Meeting." Team members aptly recognized the need to include additional stakeholders in the assessment process, and designed this meeting to ensure that each new team member had a basic familiarity with the workings of all parts of the sex offender management system. Each team member was responsible for answering the following questions:

- What is your agency's responsibility to sex offenders and/or victims of sexual offenses?
- In 2003, approximately how large was your sex offender or victim caseload?
- What are the primary interventions/activities your agency engages in to meet its responsibility to sex offenders or victims?
- What are the greatest challenges your agency faces in meeting its responsibilities around sex offenders or victims?
- What agencies do you interact with in meeting your agency's responsibilities to sex offenders or victims?
- In order to optimally fulfill your responsibilities related to sex offenders and/or victims, what would you need from other parts of the system?

From the answers to these questions, the facilitator developed a chart in which agencies' answers were grouped according to the following four categories: adult crime; adult neglect (juvenile offenders or child victims/CPS involvement); victim services; and treatment.

These were the main categories of interest to the team, based on their work from their previous planning grant.

In addition to their substantive preparation and the recruitment of newly identified stakeholders, the team also prepared for the assessment process by taking the Collaboration Survey<sup>5</sup>. This initial survey laid the groundwork for ongoing attention to the collaboration process and the team made a commitment to including a teamwork component on each of their meeting agendas.

### **The CAP: Conducting the Assessment**

From this baseline of information, the team agreed to a set of ground rules for their work together, organized themselves into six committees or “study groups,” and selected chairs for each one. The study group topics were selected according to the priorities identified in their earlier planning grant. The team organized their work not only around the CAP substantive chapters, but also around the priority areas determined from their earlier strategic planning work. The six study groups included:

- Investigation/Prosecution/Disposition
- Supervision
- Assessment
- Treatment
- Victim Services
- Public Education (including Registration and Community Notification)

The goals of each study group were to:

- Become an expert in the subject of their committee (and to be prepared to serve as a resource on the subject for the rest of the team);
- Determine a process for completing the questions in their section of the CAP (e.g., to determine how to identify their current prac-

tices in the area and compare those to the research and emerging practices summarized in the CAP);

- Determine a schedule of meetings and a timeline to accomplish their work;
- Keep meeting notes in order to capture the substance of what they were learning and be able to report back to the larger team; and
- Develop recommendations for improving policy and practice in their area of expertise.

Team members carefully selected an appropriate chairperson for each of the study groups. Study group chairs were responsible for recruiting additional members for their group from beyond the policy team, if necessary, as well as convening study group meetings and reporting on the group’s progress to the full team at their monthly meetings. The chairs of the study groups provided essential guidance and leadership to each of their respective study groups.

In addition to a chair, each study group was assigned a “contact”—the consulting facilitator or CSOM technical assistance provider—to help them create or establish a study group workplan, determine what, if any, additional assistance was needed, and to develop their report for the SLCSOMT team. Most SLCSOMT team members joined at least one study group, and several members joined more than one. Either the project chair or the project facilitator attended each committee meeting, and reported on study group activities. The team entered this stage estimating that the study groups would complete their work in three months, although in the end, six months elapsed before the group was ready to report to the full team on their implementation recommendations.

Each chair was empowered to run the study group as he or she deemed appropriate. All chairs developed a workplan to initially lay out

the tasks and responsibilities of team members, but the teams tailored their processes to meet their individual needs. Some spent their committee meeting time reviewing and answering the questions from the CAP in the order presented. Others assigned groups of questions to study group members to answer as an outside assignment, and used meeting time to discuss current research and best practice information.

Each group was strategic about how to collect the information they needed. When the public education study group realized, for instance, that they did not know how the different law enforcement agencies in the County handled their notification mandate, they invited all of the county's police chiefs to one of their meetings. They were surprised to learn that each chief handled the matter differently, ranging from passive to active community notification. The supervision study group pilot tested several assessment tools using existing supervision files to decide which of the tools would provide them with the most salient information.

For most of the study groups, the review of the CAP background material and questions led to additional questions, many of which the members did not feel equipped to answer. The team, following the lead of the supervision study group, agreed to request additional technical assistance from CSOM, which supported two national experts to meet with each study group and the team as a whole.

### **Examples of Committee Work**

#### *Public Education*

The public education study group was unique from the start because it included a mandate both to address the policy and practices of registration and community notification, as well as consider more generally the level of knowledge among members regarding sexual assault, sexual offenders, and sex offender management

practices. The public education focus grew out of the SLCSOMT's earlier planning grant work. They recognized a disturbing pattern in jury attitudes about sex offenses and an increase in the number of charged sex offenders desiring to take their cases to trial because of the likelihood of acquittal. SLCSOMT believed that they needed the same kind of public education on sexual offenses that had been implemented successfully to influence community attitudes about domestic violence and driving under the influence (DUI).

The group was chaired by the Commissioner of Social Services. This group included the most diverse membership of all the committees, including a local pastor, school superintendent, the county administrator, and representatives from various criminal justice agencies. At its first meeting, the group—which consisted at that time of only SLCSOMT members—established four goals:

- Following the completion of the notification and registration sections of the CAP, assess the strengths and gaps and make a plan to fill the gaps.
- Develop an education campaign regarding sex offender management.
- Expand membership to include citizen members and those who could help the group consider various community perspectives.
- Consider the conduct of a public opinion poll to determine the public's attitude about sexual assault and sex offender management.

During the next two meetings, committee members educated themselves about registration and notification. They collected reading materials on relevant New York State Statutes and addressed the questions on these topics in the CAP before turning their attention to public education and how to best increase their knowledge of community attitudes. They



reviewed the flyer used by the State Police to provide notice when a Level 3 (high risk) offender returns to the community, and discussed who receives it, how it is disseminated, and who is responsible for distributing it. They learned that there are no guidelines or minimum actions required by school districts in response to community notifications and, as a result, each school district handles the matter differently. Finally, they discussed the unique role of the faith community in supporting both the reentry of sex offenders and the families of victims and offenders.

During subsequent meetings, the public education study group recognized some significant gaps in their knowledge, specifically the need to meet with and understand the roles of the various law enforcement agencies throughout the County, including the local police departments and the County Sheriff. The group learned about the various models of community notification in use around the country, which helped them to focus on the issues that most warranted their attention. The group's report to the SLCSOMT in early November included a recommendation that the committee continue to operate for at least six more months in order to fulfill its goals of launching a public education campaign.

#### *Assessment and Treatment Study Groups*

The assessment and treatment study groups shared a chair—the county's Director of Community Services—and had other overlapping membership. This overlap in membership facilitated effective cross-fertilization between these two interrelated areas. Unlike the more interdisciplinary groups that worked on investigation or public education, however, these groups found that, because of the highly technical nature of the subject, their membership quickly narrowed to those with a direct involvement in the assessment and treatment of sex offenders.

Although the subjects of these study groups corresponded directly to sections of the CAP, both groups still found the task challenging to fully grasp. They struggled with the sheer volume of research and emerging practice information; the degree of specificity expected in their recommendations; and the variation in practices among the different practitioners. The groups settled on a process whereby questions were assigned to individuals who completed the research and turned their findings over to the chair. Individual group members answered the questions by reviewing literature, gathering materials (such as written policies from relevant agencies), collecting sample protocols from other jurisdictions, contacting CSOM for guidance on specific issues, and interviewing practitioners and administrators from local agencies. The chair consolidated the information using a spreadsheet, identified the issues that emerged, and then turned those over to the group for discussion. They found that this process helped them to begin to identify significant issues. Groups then identified key issues (e.g., the credentialing of assessment and treatment providers), which ultimately became the focus of their recommendations.

#### **Understanding the Results**

As their work culminated, the SLCSOMT held a retreat in which all team members and study group members participated. The Chair of each study group was asked to make a presentation in which the following questions were answered:

- What is empirically based and emerging practice in your area according to the research?
- What practices do you recommend for implementation?
- What kind of information needs to be collected for implementation of these practices and development of an ongoing monitoring plan?



- What is the workplan?
  - What steps need to take place to implement your recommendations (in other words, where are we now and what needs to happen to move forward)?
  - Who needs to be involved in the implementation?
  - What resources will be needed to implement the recommendations?
  - What technical assistance or training is needed for successful implementation?
  - What is the suggested timeline for implementation?

With these recommendations in hand, the team was prepared to move into the next phase of their work. They reorganized their six study groups into four implementation committees: Prosecution, Investigation, and Pre-Trial Supervision; Treatment, Assessment, and Supervision; Public Education and Community Notification; and Information and Evaluation Research. The study group recommendations were compiled into a “Comprehensive Wish List,” and items from the list were assigned to the implementation committees for further exploration and/or action. The chair identified those recommendations that fell within the scope of the current grant funds and others that would need alternative sources of support.

### *Lessons Learned*

Despite initial concerns that the assessment process would take the team over territory identical to their earlier planning process—which consisted of using an offender profile, system map, and resource inventory to identify gaps and needs in their sex offender management system—the team found that the CAP process was a qualitatively different experience. Rather than simply confirming what they already knew about their system, the CAP assisted the team in framing the issues differently by looking at policy, practice, and consistency,

as well as the availability of resources, and provided a much clearer road map for implementation than their earlier process had.

The CAP process also encouraged policymakers to work closely with their line staff to explore the issues and questions in the CAP, bringing the level of knowledge and collaboration of those involved to a new level. Team members found the new ideas that emerged through this process “invigorating,” and extending the team “beyond the walls of our earlier collaborative efforts.” They also found that the study group structure—and perhaps the framing of the committees as study groups whose role was to become the local expert—helped to reduce or eliminate territorial issues that had sometimes interfered with their previous work.

They also found unexpected benefits in the process, like the development of a treatment and assessment resource library, which emerged through the assessment and treatment groups’ resource collection efforts. Furthermore, it was decided that the appropriate sections of the CAP would be used at regular intervals in the future with treatment providers to measure current assessment and treatment practices against the empirical approach described in the CAP.

In summary, the team learned that:

- It pays to invest in facilitation and staff support.
- A thorough assessment process is intensive and time consuming, but worthwhile in terms of the information it generates and the capacity it creates to substantially improve sex offender management practices, in many cases with minimal additional resources.
- Selection of committee chairs has a significant

cant impact on the success of the process and requires individuals who are unlikely to vacate their current professional positions, committed, resourceful, curious, and who possess essential leadership qualities.

- Collaboration between agencies at the policy level tells only part of the story—collaboration within agencies is also important.
- The collaborative process and collaborative relationships require attention, and the attention pays off.

Ultimately, the team’s specific recommendations based on findings gleaned from the CAP included the following areas of improvement:

- Introduce the use of a validated risk assessment tool for supervision for all sex offenders.
- Encourage collaboration between the probation department and other agencies to create multidisciplinary supervision teams.
- Establish a sex crime investigative team (using specialized officers from different law

enforcement agencies that are released to work on specialized cases in other jurisdictions, as needed).

- Establish the equivalent of Sexual Assault Nurse Examiners (SANEs) that focuses on child victims.
- Create a database for tracking all sex offenders from arrest through sentencing.
- Create a single point of entry for victim services.
- Establish standard credentials for providers of sex offender assessments and sex offender treatment.
- Develop a treatment transition plan for those leaving the county jail, institutions, or residential treatment to return to the community.
- Use a multidisciplinary team for community notification, consisting of law enforcement, probation/parole, victim advocacy, and treatment providers.
- Develop and disseminate public information messages with good data to dispel myths about who exactly the sex offenders are in our community.

## Endnotes

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1 Much of the content of this case study was adapted from the Rhode Island Sex Offender Management Task Force’s Strategic Vision (Final Draft) document, December, 2006.

2 Portland State University Population Research Center, Population Estimate, July 1, 2004.

3 Oregon Blue Book, Oregon Secretary of State, 2005-2006.

4 Jefferson County population percentages per the 2000 U.S. Census.

5 The Collaboration Survey includes 40 questions designed to assess the team’s strengths and weaknesses in the way that they work together. The survey asks participants whether certain statements apply to their group and to what extent, and thereby identifies what members of the team believe they do well, and where they can improve. Questions cover such topics as decision making (“Stakeholders have agreed on what decisions will be made by the group,”) communication (“Divergent opinions are expressed and listened to,”) and process (“We celebrate our group’s successes as we move toward achieving the final goal”).