

SECTION 2: INNOVATIVE APPROACHES TO SUPERVISION OF SEX OFFENDERS IN THE COMMUNITY

3 hours, 55 minutes



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| <p>TOPIC: INTRODUCTION (5 minutes)</p> <p>LEARNING OBJECTIVES At the conclusion of this section, you will be able to describe at least three innovations in sex offender supervision that have emerged in recent probation and parole practice, including:</p> <ul style="list-style-type: none"> ▪ A victim-centered approach to sex offender supervision; ▪ A collaborative approach to sex offender supervision, in particular the containment approach and the use of the polygraph as a sex offender management tool; and ▪ Supervision networks. <p>As we cover the topics in this section, questions may arise about how to put them into practice. Later sections of the training will cover specific strategies, such as interviewing, in some detail. In those sections, we'll cover the components of supervision—the tools probation officers use and the activities in which they engage during supervision. These include caseload specialization, the case plan, the pre-sentence investigation, and case work in various settings.</p> <p>This section explores the ways in which supervision agencies are developing and combining the innovations listed here and forging relationships with other agencies and disciplines to enhance their approaches to supervising sex offenders in their communities. In one way or another, each of these innovations is premised on the recognition that it is</p> | <p>➤ Use slide 1: Learning Objectives</p> |

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| necessary to reach out to other individuals, agencies, and resources to create a more comprehensive capacity to manage sex offenders in the community. | |

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| <ul style="list-style-type: none"> ▪ The safety needs of victims and the community must be at the forefront of any management strategy. <p>It's easy to see the offender as our client because his name is on the case; he's the one we're developing a plan for and the one we meet with and monitor. But our job is public safety and the victim and the community are our clients. They're the ones we're working to keep safe in the short and long term. If management ends with checking to see if he's going to treatment and paying his restitution, but he molests another child or sexually abuses another woman, then we're not doing right by our clients.</p> <p>This approach recognizes that sex offenders as a group are in need of special management practices. It views the goal of sex offender management as <i>containing</i> the potential danger of the offender through the development of his internal controls (treatment) and the application of the justice system's external controls (supervision). This requires cooperation and collaboration among supervisors and treatment providers. It also involves, wherever possible, the use of the polygraph. And it involves victim advocates who ensure that the safety needs of victims are considered in both policy and practice, and who work to help maximize the benefits of victim involvement.</p> <p><i>Victim-Centered Approach</i> CSOM has observed what has come to be called a victim-centered approach to sex offender management emerging in practice around the nation. The victim-centered approach is a strategy for managing sex offenders that sees victim safety and the prevention of revictimization and new victimization by offenders as the purpose of sex offender management. The victim-centered approach means that the question, "What would be best for the victim?" serves as a form of guidance as</p> | <p>Sex Offender Management</p> <p>Note: One model management process, documented by English et al., is called the containment approach. For more information about this approach and the use of polygraphy in sex offender management, see APPA's publication <i>Managing Adult Sex Offenders: A Containment Approach (1996)</i>, edited by English, Pullen, and Jones.</p> <p>➤ Use slide 3: What We Mean by "Involving Victims"</p> |


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| <p>we make both policy decisions and individual case decisions.</p> <p>The victim-centered approach does not say specifically how to do this work; there are many ways to integrate concerns for victim safety into case management practices. But it does remind us that effective sex offender management requires talking to victims and victim advocates and that involving victims and working with victim advocates are not burdens, or disconnected from what we do. Practitioners have come to view a victim-centered approach as central to good sex offender management. They continue to create practical ways for this approach to be implemented on a day-to-day basis.</p> <p><i>Victim Involvement</i></p> <p>Victim involvement implies some level of direct contact with primary and secondary victims. This means contacting and getting input from victims and providing information and some level of support to them. It means having a protocol for who initiates contact, how that contact is made – whether by letter or phone or in person – how often, who takes the victim impact statements, etc.</p> <p>Victim involvement also includes contact with secondary victims. When we work with child sexual abuse, for example, we may be required to work with victims’ parents, who experience a certain level of trauma. This is especially true for incest victims and their nonoffending parents and parents of sibling incest offenders and victims.</p> <p>Many jurisdictions doing this work are finding that the families of offenders – whether or not the victim is a family member – are another group of secondary victims whose participation in the process is essential. They are the ones whose denial may result in the offender having contact with</p> | |

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| <p>potential victims (e.g., if they don't believe he is a danger to children, they may not be willing to exclude him from contact with them) or who will experience the impact of a negative community response if the offender returns home. How we educate primary and secondary victims about what we do and how we include them in what we do are core issues for sex offender management.</p> <p><i>Working With Victim Advocates</i></p> <p>Victim advocates have an important place on our policy teams. They are responsible for ensuring that the general concerns of victims are addressed in the policies and protocols established to deal with sex offenders and that systems are victim friendly. They hold us accountable to implementing a victim-centered approach.</p> <p>They can also play an important role in helping supervisors and treatment providers as they develop and implement policy. In some jurisdictions, a victim advocate is part of the management team and initiates contact with the victim, accompanies the probation officer to home visits, and participates in the planning and management of individual cases. For some of you, that may be a departure from current practice, but those who participate find that the advocate is a vital member of the team.</p> <p>A VICTIM PERSPECTIVE AT THE POLICY LEVEL</p> <p>As agencies begin to review what policies need to be in place to create a more victim-centered approach to supervision, it is important to consider the issues that will address victims' rights and needs. These issues will manifest themselves differently depending on the age of the victim, and practitioners should consider the different needs and abilities of adult victims, child victims, and nonoffending parents or guardians of child victims.</p> | |



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| <p>Issues for victims that should be addressed directly by agency policy and/or protocol include the following. These are needs common to sexual assault victims. CSOM strongly encourages practitioners to consult with victim advocates in the design of victim involvement policies.</p> <p>Control: Victims need to have control over their level of involvement in the sex offender’s supervision and treatment. Giving victims control of their involvement does not mean giving away control over supervision; it means giving them control over <i>their</i> involvement, which policies and protocols should define.</p> <p>Choices: Victims need choices. When given choices, they can determine what is best for them. Probation/parole officers are responsible for explaining to victims or to their guardians what their choices are and, to the extent possible, the implications of each option.</p> <p>Safety: Victims’ involvement should not jeopardize their own or their families’ emotional or physical safety. Policies should strive to make this explicit as a principle and explain the steps that will be taken to ensure that this is the case.</p> <p>Information: Victims need information about the offender’s location and sexually violent predator status, community notification procedures, probation conditions, victim notification, registration, compensation benefits, court dates, and sentencing guidelines. Information policies also need to address how to use information from victims. Policies must ensure that victims are fully informed about how information is used, and that information from victims will not be used in a way that could jeopardize victim safety.</p> | <p>➤Use slide 4: Needs of Victims Addressed by Agency Policy</p> |



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| <p>Input: Victims need to have the choice of giving input during the pre-sentence investigation phase through victim impact statements and through ongoing contact with the management team. The opportunity to provide input benefits the victim and invariably helps the stakeholders who share responsibility for developing a case plan and supervision conditions that adequately and effectively address the offender’s risk factors.</p> <p>Knowledge about the offender: Victims may want to know whether the offender has been receiving treatment, what his level of denial is, and whether or not he feels empathy or remorse.</p> <p>Resources and support: Most victims need some support for themselves and their families and increasingly are statutorily entitled to such support. The nonoffending parent of an incest victim is often resistant and confused and, as a secondary victim, needs specialized help for herself and her children. Policies and protocols should address what will be made available to victims and by whom.</p> <p>Advocacy: Most victims need some type of advocacy during the presentencing and postincarceration phases of a sex offender’s criminal justice involvement.</p> <p>Access: Victims need to be able to contact the probation/parole officer or other designated individual with questions regarding the offender’s supervision conditions and whereabouts. Officers must make reasonable accommodations so as not to overburden themselves with issues that they are not equipped to address. For example, they cannot act as counselors or therapists for victims. However, they can help ensure that victims have access to the resources and services they need. Having pre-established relationships with local victim</p> | <p>➤Use slide 5: Needs of Victims</p> |

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| <p>advocates can help when such referrals are necessary. For more information regarding victim services, see the packet of material in the reference section of this training module.</p> <p>Control over contact with the offender: THIS MUST BE THE VICTIM’S CHOICE. Victims will also have concerns about the offender contacting their children if there are children involved. If the victim is a child, decisions about contact should be made by the supervision officer in conjunction with the nonoffending parent or caretaker and the victim’s and offender’s treatment providers. Contact should occur in a supervised therapeutic setting and be monitored carefully. Frequently, especially in intrafamilial cases, victims will want to establish contact before officer and treatment providers consider it safe to do so. Policies should address this directly.</p> <p>Empathy. It may help a victim to know if the sex offender exhibits victim empathy and is being educated about sexual victimization issues.</p>  <p>A VICTIM PERSPECTIVE AT THE CASE MANAGEMENT LEVEL</p> <p>What does this mean in terms of how supervision officers do their work? Victims of sexual assault can be involved in the supervision of sex offenders in many ways. Policies and protocols should address the specific forms that this involvement can or should take.</p> <ul style="list-style-type: none"> ▪ Victims can provide input into the pre-sentence investigation – either through a victim impact statement or through an interview with probation staff. Prior to an offender’s release from incarceration, similar input can be sought for parole consideration. ▪ Victims often want to recommend treatment and supervision. They may have insights into the | <p>➤Use slide 6: Victims and Case Management</p> |

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| <p>modus operandi of the offender that no one else possesses and that can be valuable in both supervision and treatment planning. Often, the concerns victims share with the probation/parole officer may give insight into risky situations, particularly around access and grooming of other victims. Victims may also have recommendations about how offender treatment can incorporate the development of victim empathy. A victim may even play a role in a supervision network, and/or in providing an external control, particularly if other potential victims are in the home.</p> <ul style="list-style-type: none"> ▪ Victims may be able to recommend restitution and/or appropriate and meaningful community service for sex offenders. More broadly speaking, victims can help educate their communities about sexual victimization and sex offenders and encourage other victims to report. <p>Current practice regarding the involvement of victims at the case management level is evolving. Agencies that have chosen to be more proactive in this regard have learned that a victim-centered approach equips them to better supervise offenders. Understanding the experiences of victims leading up to their contact with you will help significantly in that process. When offenders have their first contact with supervision agencies, victims have already been through a series of contacts with other components of the criminal justice system. They may have participated (by choice, ignorance, or pressure) in everything from investigation to plea bargaining discussions, a trial, and a sentencing hearing. They may have had sufficient support from advocates, family, and friends, or they may have felt isolated, confused, and revictimized by the process. Designing and implementing victim-friendly policies will help them as well as you.</p> | |





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| <p>INNOVATIVE EXAMPLE</p> <p>In 1998, a full-time advocate position was added to the Intensive Sex Offender Supervision Unit in New Haven, Connecticut, to systemically include the victim’s perspective in decisionmaking and to provide regular contact with victims and their families. The addition of the advocate was the result of collaboration among the state Court Support Services Division (which houses probation), treatment providers from the Center for the Treatment of Problem Sexual Behavior, and Connecticut Sexual Assault Crisis Services, Inc. (CONNSACS). The advocate was hired with Court Support Services funds, but is an employee of and is supervised by CONNSACS. She is based in the probation office and works one day a week in the CONNSACS office.</p> <p>Other unit staff include two therapists (average caseloads of 50 to 60 offenders each), three probation officers who do intensive supervision (average caseload of 25 offenders each), and one relapse prevention probation officer (average caseload of 50 offenders). The advocate has an average caseload of 100 cases, about 25 of which are active at a given time.</p> <p>The advocate’s primary role is to initiate and maintain contact with victims and their families. The advocate also serves in several other functions, including those listed below:</p> <ul style="list-style-type: none">▪ She works with offenders’ families to help them understand the dynamics of sex offending and offenders’ manipulative behavior. Through these interactions, the advocate has found that many offenders’ partners have also been victims of physical, sexual, and/or emotional abuse by either the convicted offender or other perpetrators. | <p>➤ Use slide 7: An Innovative Example: New Haven, CT</p> |

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| <ul style="list-style-type: none"> ▪ She accompanies probation officers and treatment providers on unannounced field visits to offenders’ homes. ▪ She helps treatment providers with the empathy portion of treatment groups, helping them present information in a more comprehensive and effective way. ▪ She participates in weekly case review meetings with probation officers and treatment providers. Team members share information, discuss concerns and potential problems, and make decisions in each case. <p>The advocate indicated it took about a year and a half to incorporate her role into the unit’s work of managing sex offenders in the community. The success of her participation can be seen in the fact that probation officers and treatment providers now are more often posing the question, “How would this team decision affect victims?”</p> <p>Due to the success of New Haven’s team approach, two advocate positions are being developed for sex offender supervision units in Hartford and New London, Connecticut. Other jurisdictions around the country have also begun to add advocates to their case management teams.</p> <p> LEARNING ACTIVITY: CONSIDERING A VICTIM-CENTERED APPROACH (30 minutes) Section 2, Exercise 1 provides several discussion questions on the topic of victim-centered supervision.</p> | <p>Note: This section can be followed with either or both of the following Learning Activities. The first is more policy/organizational in orientation, while the second uses a case study to explore case decisions and their impact on victims.</p> <p> Refer to handout: Section 2, Exercise 1 is designed to guide participants through a discussion of victim-centered supervision. Trainers should familiarize themselves</p> |



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| <p>LEARNING ACTIVITY: CASE STUDY (30 minutes)</p> <p>A lengthy case study is included in participants' materials (see the case study and the case study questions). This case covers a variety of topics and issues associated with sex offender supervision. Please read the case study now and we'll be discussing questions 1 through 4 on victim-centered supervision.</p> <p>There is space after each question on the worksheet for participants to write preliminary thoughts. We'll be referring to the other questions in the case study as we move through the training.</p> <ol style="list-style-type: none">1. While DSS agreed to find a suitable and safe place for Mike's daughters to live, there is no information in the case study regarding the provision of victim services to Mike's daughters, or information about the girls' mother. Based | <p>with local policy (where possible) regarding victim orientation in supervision. In addition, trainers should prepare themselves to manage some resistance to the concept. The level and amount of resistance will depend upon how supportive agency policy and culture is to such a perspective.</p> <p>If you're using small groups and time or space is limited, consider pairing this activity with another (See User's Guide for suggestions).</p> <p> Refer to handout: Section 2, Exercise 2. Allow time to read the case study carefully if participants were not directed to read it at the end of Section 1. Throughout the training, participants will discuss specific questions about the case that relate directly to the material that is presented. The case is detailed and the questions are extensive.</p> |

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| <p>upon your own experience, how could Mike’s probation officer work to help Mike’s daughters access the victim services that they need? What, if any, contact should the officer have with the mother?</p> <ol style="list-style-type: none"> 2. It has been suggested that it is important to understand victim trauma and to focus on the role of victims in the supervision of sex offenders. Once Mike began earning a steady paycheck, do you think that it would have been appropriate for him to support some of the costs associated with his daughter’s treatment? Would you have permitted Mike to “collect” clothing for his daughters? Why or why not? How might this affect his daughters? 3. Do you think that Mike’s younger daughter was affected by their conversation in the car? How? What about the possibility of Mike’s younger daughter relaying the contents of the conversation to her older sister – the victim of Mike’s sexual assaults? What might you do as a probation officer to help attend to the needs of both of Mike’s daughters after the conversation occurred? 4. What would you have done differently if you had known that Mike’s daughters were residing at his half sister’s house when he asked for permission to live in a tent on her property? What are the implications of this on victim trauma? Can you share with the group the steps that you take to ensure that you (and the other stakeholders with whom you work) have as much information as possible? | |

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| <p data-bbox="235 296 889 432">TOPIC: A COLLABORATIVE APPROACH TO SEX OFFENDER MANAGEMENT</p> <p data-bbox="235 447 812 478">(2 hours, 30 minutes, including Learning Activity)</p> <p data-bbox="235 516 688 548">UNDERSTANDING COLLABORATION</p> <p data-bbox="235 554 971 1024">The most common denominator among the approaches to sex offender management developed over the past several decades is collaboration across the boundaries of agency and professional discipline. We have already discussed the inclusion of victims and victim advocates in the supervision of sex offenders. Later, we will be examining the close links between probation/parole and treatment providers who, along with polygraph examiners, form the core of what many in the field of sex offender management refer to as the <i>containment approach</i>.</p> <p data-bbox="131 1052 204 1125"></p> <p data-bbox="235 1062 802 1129">LEARNING ACTIVITY: COMMUNITY MAPPING (30 minutes)</p> <p data-bbox="235 1136 948 1482">Many different players are already involved in the management of sex offenders. (Refer to list from Collaboration Learning Activity from previous section). Please refer to your participant materials for Exercise 3. This exercise takes you through the process of “mapping” the agencies and functions involved in sex offender management in your jurisdiction. Don’t be concerned if there are gaps and holes in your chart.</p> | <p data-bbox="1000 1100 1317 1136"> Refer to handout:</p> <p data-bbox="1000 1142 1382 1843">Section 2, Exercise 3. This exercise builds on the collaboration learning activity in Section 1. The primary goal of this exercise is to help participants think broadly about who is involved in sex offender management, what they do, where overlaps in activity and responsibility exist, etc. The similar exercise for policy teams challenges team members to fill in gaps; here the purpose is to explore the concepts. In small communities,</p> |










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| <p>WHY IS COLLABORATION IMPORTANT FOR MANAGING SEX OFFENDERS?</p> <p>Collaboration has emerged as a key characteristic of effective sex offender supervision in jurisdictions around the country for several reasons:</p> <ul style="list-style-type: none">▪ Sexual abuse falls within the purview of many criminal justice, social service, community, and public policy arenas. The police who investigate sexual abuse, the prosecutors who work with both offenders and victims to charge and prove an offense, the courts that sentence offenders, and corrections agencies that supervise offenders are only the most obvious stakeholders involved. We can add to the list treatment providers working to intervene in offender behavior patterns, children’s services agencies that are charged with protecting the victims of child sexual abuse, schools where the trauma associated with abuse is manifested in students, hospitals where victims receive treatment for the trauma associated with abuse, religious institutions where victims and their families turn for support, and state legislators who create registration, notification, sentencing, and civil commitment statutes. We could continue to add to this list for some time before it would be complete. As you can imagine, the list will vary from community to community and from jurisdiction to jurisdiction. Sexual | <p>jurisdictions, and agencies, the landscape may be much simpler than in larger, urban areas. Trainers may want to adapt the exercise accordingly. The time allotted here assumes individual work. Group work may require additional time.</p> <p>Note: For more information see CSOM’s Policy Brief <i>The Collaborative Approach to Sex Offender Management</i>, which is included among the participant materials for Section 2 of this long version of the curriculum. See also <i>Case Studies on the Center for Sex Offender Management’s National Resource Sites</i>.</p> <p>➤ Use slide 8: Collaboration is Essential Because</p> |


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| <p>abuse is clearly a problem that is widespread and that cuts across all segments of society. It is an issue in which all of us have a stake, and common sense tells us that we must work together if we are to address it successfully.</p> <ul style="list-style-type: none"> ▪ One lesson learned about sex offenders is that <i>information</i> and <i>disclosure</i> are key to breaking their sexual offending patterns and cycles. Sex offenders use manipulation, lies, denial, and deceit to keep the nature of their abusive activities secret. Sex offenders must confront their secrets before they can address the behavior that jeopardizes the safety of past and potential victims. Our criminal justice system, however, often operates in such a fragmented and compartmentalized way that it enables sex offenders to maintain their secrecy and denial. How often have you been confronted by a sex offender who insists that he did not commit the crime for which he was convicted and who protests to you that he only pled guilty because of his desire to spare the victim a painful trial or because he ran out of money to pay for his legal representation? When police, prosecutors, judges, community supervision agencies, treatment professionals, victim advocates, and others work collaboratively together, it is much more difficult for offenders to maintain and continue their patterns of deception and denial. ▪ Without an understanding of and commitment to collaboration, and some mechanism that fosters consistent information sharing (e.g., an interagency agreement to work together on sex offender supervision issues), it is very easy for agencies to focus only on their own organizational goals and responsibilities. <i>True collaboration can be described as a situation in which agencies and individuals that share a common problem or set of interests set aside their agendas regarding the identified concern and come together to forge a collective agenda that addresses each party's</i> | |


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| <p><i>needs.</i> When agencies work collaboratively, therefore, it becomes much more possible to focus on a common goal – the prevention of future victimization – and work toward it.</p> <p>Collaboration also promotes interagency information exchange, which enables individuals to better understand the roles and responsibilities of their colleagues in other agencies, the array of services that they provide, the ways in which one’s own work influences that of others, and the methods that others are employing to address shared problems. As individuals in different agencies begin to discuss their solutions to common problems, the problem-solving ability – and the efficiency of the system as a whole – is enhanced.</p> <p>In addition, collaboration fosters support for each agency and enhances the team approach that is so critical in effective sex offender management. The understanding and support that collaboration promotes increases the credibility of individual team members and each agency within the community.</p> <p>When you work with a population that engenders such strong emotional reactions as sex offenders do, it’s not unusual to encounter a great deal of resistance and anger from members of the community regarding the presence of these offenders in their neighborhoods. Interagency collaboration fosters a shared recognition and understanding of the requirements, responsibilities, and limitations of each agency and a collective commitment to address troublesome or difficult community-related issues. Agencies that collaborate are, therefore, able to work effectively together and present a united and supportive array of resources to communities that are grappling with these difficult issues.</p> | |

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| <p>together, because they are the ones legally responsible for the case. Being the leader does not mean that probation/parole officers can override all decisions. It does mean, however, that they should not just “turn over” the case for treatment, for a polygraph exam, etc., nor should they be making treatment decisions, developing polygraph questions, or taking responsibility for all victim contact.</p> <p>The team may also meet with or conduct staffings with sex offenders’ family members in order to assess whether the offender is ready for a new step in supervision or treatment. The presence of more than one member of the team allows for different perspectives to be brought to bear on discussions with family members.</p> <p>Collaborative teamwork functions very well when one representative from each participating agency works exclusively with sex offenders. However, what if there are 15 probation officers, 17 treatment providers, etc? One solution is to exchange information regularly by phone, fax, or e-mail. Another is to organize an arrangement that fosters frequent and consistent in-person interactions with members of the team. Some jurisdictions have found it to be very helpful for treatment providers to visit the probation/parole office every week or every month on specific days and at designated times. This is one reason why specialization makes sense for the key stakeholders involved in sex offender supervision.</p> <p>New disclosures of any significant information and any concerns should be shared as quickly as possible with other members of the team. Such information might include marked changes in the offender’s affect, crises in personal relationships, movement in his offense cycle, changes in living or work arrangements, regression with respect to denial, or a new arrest. In particular, treatment</p> | |

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| <p>providers must inform probation/parole officers and other team members of any failure to attend treatment or any significant occurrences during treatment – such as notable progress or an unwillingness to participate fully – so supervising officers can respond appropriately.</p>  <p>? Discussion Question: What methods have you found to be most helpful and effective in your efforts to communicate consistently with other individuals and agencies?</p> <p><i>Joint decisionmaking</i></p> <p>All important decisions regarding supervision or treatment (e.g., modifying community supervision conditions, permitting changes in residence or place of employment, deciding to advance or demote from one phase of treatment to another, preparing for a polygraph examination, or considering family reunification), should be discussed fully among team members. The team should strive for consensus in its decisions, recognizing that each member is ultimately responsible for certain kinds of decisions (e.g., the supervising officer maintains responsibility for deciding how to respond to violations).</p>  <p>? Discussion Question: What challenges have you encountered in your efforts to share decisionmaking with other stakeholders? How have you addressed these challenges?</p> <p><i>Monitoring</i></p> <p>If possible, treatment providers should help probation officers monitor sex offenders by asking specific questions related to supervision during treatment sessions. Relevant information garnered during treatment sessions should be shared with probation/parole officers. Similarly, probation/</p> | |


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| <p>treatment. Some teams have worked with district attorneys to identify and train a specialized prosecutor who works exclusively with sex crimes.</p> <p> ? Discussion Question: Have you ever worked with your colleagues to gain access to additional resources? What were your results?</p> <p><i>System problem solving</i></p> <p>If there are any gaps in the myriad services provided by child welfare, social service, or treatment systems, the team should work together to identify and implement viable solutions in a mutually agreeable, collaborative fashion.</p> <p> MAINTAINING A COLLABORATIVE APPROACH</p> <p>Problems will inevitably arise in maintaining a collaborative approach to case management. This makes the development of close, professional working relationships particularly important in order to be able to create enough investment in the collaboration to ensure that the members of the team will do what it takes to solve those problems appropriately. Offenders can quickly sense any rift developing among members of the team and will move to exploit it. Offenders will also work to initiate a rift because rifts work to their advantage.</p> <p> ? Discussion Question: If you are engaged in a collaborative approach to sex offender supervision in your jurisdiction, how have you maintained it? Do you have guidance that you think might be helpful to other training participants as they begin to strategize about how to sustain a collaborative approach?</p> | |

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| <p>Ways to prevent problems from arising include the following:</p> <ul style="list-style-type: none"> ▪ Refrain from criticizing members of the team or other professionals in the presence of the offender; ▪ Unless a situation involves extreme danger where immediate action is required, do not make a significant decision regarding supervision or treatment without first consulting other team members. In addition, team members should be very clear with each other about the information communicated to offenders; ▪ Be willing to admit that you have made a mistake and be willing to take responsibility for it; and ▪ Be aware that collaboration must occur at the agency and policy levels as well as the case management level. This will foster the development of interagency agreements and policies that support and institutionalize ongoing collaboration at the case management level. <p> AN ESSENTIAL ARENA FOR COLLABORATION: THE RELATIONSHIP BETWEEN SUPERVISION, TREATMENT, AND VICTIM ADVOCACY</p> <p>An essential characteristic of emerging sex offender management practices is that sex offenders who are being supervised in the community must participate in offense-specific treatment. Perhaps the first area in which collaborative endeavors have emerged is in the relationship between probation or parole supervision and treatment. This is a good example of how collaboration has served to reshape practice toward the achievement of a common goal.</p> <p>In the past, criminal justice agencies have tended to maintain a distance from treatment providers working with offenders. This distance grew, at least partially, from the traditional view of therapists as</p> | <p>➤Use slide 11: Maintaining Collaboration</p> <p>Note: Sex offender treatment and its</p> |

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| <p>offender advocates who expected traditional client-therapist confidentiality to be respected. These views have changed among many treatment providers and criminal justice agencies.</p> <p>As the unique characteristics of sex offender-specific treatment have emerged, it has become clear that effective sex offender therapy is different from traditional psychotherapy. It values the free flow of information between therapist and probation officer – thereby limiting client-therapist confidentiality – and holds offenders accountable for their actions. In addition, treatment providers often play a very active role on the multidisciplinary management team, sharing information openly with their colleagues regarding offender risk and progress in treatment. Although some sex offender treatment providers stop short of stating that the victim is the client (rather than the offender whom they are treating), most will agree that preventing future victimization is a primary goal of their work. This focus has led to the incorporation of a third essential player: the victim advocate.</p> <p> ROLES OF THE SUPERVISION TEAM MEMBERS <i>The Probation Officer</i></p> <p>The probation officer is the leader of the supervision team. As the representative of the criminal justice system, he or she is the primary enforcer of conditions imposed by the court and is empowered to use the coercive power of the criminal justice system to control the offender’s external environment. Probation officers do this through a range of different kinds of monitoring and case work, the use of restrictive intermediate sanctions, and the threat of incarceration. They ensure that relevant and important information is available to treatment providers, victim advocates, and polygraph examiners (not used in every jurisdiction) through waivers of confidentiality and</p> | <p>differences from traditional mental health treatment are covered in more depth in Section 4.</p> <p>➤Use slide 12: Collaboration Between Supervision and Treatment</p> <p>➤Use slide 13: Probation Officer Roles</p> |

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| <p>meticulous fieldwork. For example, information regarding an offender’s use of pornography, dishonesty (e.g., with significant others), inappropriate fantasies, and other problematic behavior is immediately made known to the treatment provider. Probation/parole officers are responsible for making recommendations to the court based on the information provided by treatment providers and polygraph examiners (if available). They also work to ensure the safety of past and potential victims by restricting offenders’ activities, respond to inappropriate behavior with appropriate controls and sanctions, and reward progress when appropriate.</p> <p>The probation officer is often the person who manages and convenes the multidisciplinary supervision team and encourages stakeholders who are not a part of the team to begin participating in its collaborative work. Probation officers often play a very active role in keeping the team together and functioning in a collaborative and mutually beneficial way.</p> <p>In some jurisdictions, probation officers interact directly with victims, keeping them informed of the case progress, eliciting input, and assisting in the development of a victim safety plan. In other jurisdictions, direct contact with the victim may be handled through another agency, such as a freestanding victim advocacy organization or a staff person located within a prosecutor’s or probation/parole office. However, the supervision officer is always responsible for using victim impact information from available sources to accommodate victim concerns in the supervision plan.</p> <p><i>The Treatment Provider</i></p> <p>Treatment providers work to create internal controls within the mindset of the offender. These internal controls work in tandem with the external</p> | <p>➤Use slide 14: Treatment Provider Roles</p> |


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| <p>controls implemented and managed by probation/parole officers to ensure victim and community safety. Treatment providers offer information about treatment progress that may affect the supervision plan created by probation officers. They may modify the treatment plan based on information from supervision agents or polygraph exams and provide valuable insights for supervision agents regarding offender risk and dangerousness.</p> <p>Treatment providers may also help other members of the supervision team understand the offense so the overall supervision can better protect victims and potential victims. Treatment providers help sex offenders develop coping skills regarding the constraints of supervision and learn how to handle stress and anger appropriately. They teach offenders self-management approaches, such as relapse prevention, that help them understand and recognize the triggers that are precursors to offending behavior. They also help offenders develop victim empathy (which may lessen the likelihood of a re-offense), work with offenders to manage and reduce deviant arousal patterns, and reward progress toward treatment goals. Treatment providers may also help educate family members and other associates of the offender about sex offender behavior.</p> <p><i>The Victim Advocate</i></p> <p>The primary role of victim advocates is to ensure that sex offender management policies and practices are designed and implemented in ways that promote victim safety and recovery. Advocates are also responsible for ensuring that decisions made by the supervision team consider the potential impact on victims and that victims understand the sex offender management process and their potential role in it. In jurisdictions where victim advocates are part of the supervision team, the advocate serves as</p> | <p>➤Use slide 15: Victim Advocate Roles</p> <p>Note: For more information about jurisdictions that have included victim advocates on their supervision teams, see the <i>CSOM Resource Site Case Studies</i></p> |

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| <p>the primary contact with the victim. He or she initiates contact and makes sure that information about the offender, his status, his location, and other information relevant to victim safety and well-being are communicated to the victim. The victim advocate provides support services and advocacy for primary and secondary victims, including members of the victim's or offender's families. The advocate also serves as the liaison between victims and the rest of the supervision team. He or she is responsible for ensuring that information from the victim about the offender is communicated to the team if the victim elects to have it used for this purpose. This can include information about the offender's compliance with his supervision conditions or other relevant information.</p> <p>In jurisdictions where victim advocates participate on a policy level and/or as part of community outreach and education initiatives, their roles are similar in that they are responsible for promoting victim safety and recovery and minimizing revictimization. A victim advocate may be part of the community notification team and may be the one to inform a victim in advance that community notification activities about the offender are going to occur. Victim advocates also participate on policy development teams and work with treatment providers to develop components for empathy enhancement treatment and family education. Victim advocates also provide training and information to criminal justice system agencies and treatment providers on how to work more effectively with and for victims and create effective victim-centered policies.</p> <p>LEARNING ACTIVITY: CASE STUDY (20 minutes)</p> <p>Please turn back to the case study questions and consider questions 5, 6, and 7.</p> | <p>and the policy and practice brief, <i>Engaging Advocates and Other Victim Service Providers in the Community Management of Sex Offenders</i>.</p> <p> Refer to handout:</p> |



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| <p>5. After reading the entire case study, can you think of other individuals or agencies with whom Mike or Mike’s PO should have shared information and collaborated? For example, the Department of Social Services took custody of Mike’s two daughters after the assaults. Do you think that DSS could provide Mike’s probation officer with information that would be valuable to him? If so, what kind of information might DSS provide and how might it be useful? What information might Mike’s probation officer provide to DSS?</p> <p>6. Based on what you have heard during this training, and on your own experiences, how might a treatment provider and a probation officer work in concert to effectively address Mike’s attempts at deception and his PTSD? What information would you want to know from Mike’s treatment provider about PTSD? What questions might you ask his therapist?</p> <p>7. During his meeting with his probation officer, Mike asserted repeatedly that he was making significant progress in treatment. Should Mike’s treatment progress have been verified by his probation officer? If so, why? What other information can a sex offender therapist provide to a probation officer? What information can you as a supervision agent provide to a therapist? What kinds of questions do you ask treatment providers when you speak with them? Based upon your own experiences, why is it important to communicate openly and consistently with treatment providers?</p> <p> THE CONTAINMENT APPROACH: SUPERVISION, TREATMENT, AND THE POLYGRAPH The framework for collaboration work includes an additional player: the polygraph examiner. In January 1996, the results of a key piece of research were published regarding the management of sex offenders in the community. The report</p> | <p>Section 2, Exercise 2. This activity raises additional questions about the case study introduced in Section 1.</p> <p>Note: The Containment Approach as defined by English, Pullen, and Jones</p> |

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| <p>summarized the responses to a survey of 732 probation/parole supervisors nationwide regarding their sex offender supervision practices. In addition to finding that emerging sex offender supervision practices included a victim-centered, collaborative team approach with consistent policies and quality control mechanisms, the research found that communities were beginning to use a Containment Approach.</p> <p>Containment involves the criminal justice system (probation/parole), treatment, and a polygraph examiner. (Although this particular model of sex offender management does not include victim advocates, it is consistent with a victim-centered approach.) This three-sided Containment Approach casts three individuals as a team to exchange information and share decisionmaking responsibilities.¹</p> <p><i>The Role of the Polygraph Examiner</i></p> <p>Many individuals are familiar with the polygraph or “lie detector” as a law enforcement tool. For our purposes, it is used at the postconviction stage in supervision and treatment. The use of the polygraph in this manner is increasing, but many practitioners and jurisdictions are still unfamiliar with it.</p> <p>The polygraph is by no means a silver bullet or panacea. It will not solve all of the challenges associated with sex offender treatment and supervision, and its existence does not guarantee a reduction in sexual recidivism, fewer victims, or safer streets. When used responsibly and thoughtfully, and in the context of a larger, collaborative sex offender management approach, however, it can be a very valuable component of a jurisdiction’s strategy to prevent future victimization.</p> | <p>is one model for a comprehensive approach to the management of sex offenders. We also use “containment” more generally to refer to the concept of surrounding an offender with a variety of control mechanisms to “contain” his risk to the community.</p> <p>➤Use slide 16: The Containment Approach</p> <p>➤Use slides 17-18: A Model Process—Containment Approach</p> <p>Note: Trainers should be prepared for comments questioning the validity of the polygraph. They may want to remind participants that in this context, the polygraph is not being used to determine guilt or innocence or as the sole basis for a revocation. Rather, it is being used to assist in the development and monitoring of a supervision and treatment plan and those who are</p> |

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| <p>The effectiveness of the polygraph depends primarily on the training, knowledge, expertise, and skills the examiner possesses and on his or her willingness to work collaboratively with supervision agents and treatment providers (as well as their willingness to work with the polygraph examiner). Collaboration and information sharing among all parties are absolutely essential.</p> <p>Polygraph examiners work in very close concert with treatment providers and supervision agents to help them accomplish several very important tasks, including—</p> <ul style="list-style-type: none"> ▪ Breaking down offender denial regarding the instant offense (the offense for which the offender is being supervised in the community). It is very difficult for treatment providers to work with sex offenders who continue over time to deny all or a part of their instant offense. David D’Amora, Center Director of the Center for the Treatment of Problem Sexual Behavior in Middletown, Connecticut, reports that before integrating the polygraph into his program’s work with sex offenders, they were breaking down denial in approximately 75 percent of their cases within 6 to 9 months (in many programs, offenders still in denial after 6 to 9 months are terminated from treatment). The use of the polygraph has enabled the program to break down denial in almost 90 percent of cases in 6 months. Both research and anecdotal evidence suggest that this enhances community safety. Karl Hanson’s research indicates that failure to complete treatment is a factor that increases sexual recidivism risk. ▪ <i>Assisting in the development of a sex offender’s complete sexual history.</i> Many treatment providers and supervision agents find that information in the sexual histories of the offenders with whom they are working can help them develop | <p>using it find it extremely helpful.</p> <p>➤Use slide 19: Polygraph Examiner Roles</p> <p> Refer to handout: D’Amora’s program and Middletown, Connecticut’s comprehensive approach to sex offender management are covered in detail in the CSOM case studies.</p> <p>Note: Responses to additional crime or victim disclosures vary by jurisdiction. Trainers may want to check with local prosecutors to determine how this issue is addressed in specific jurisdictions, especially those in which the polygraph is used.</p> |

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| <p>treatment and supervision plans that directly address the offenders’ specific needs, risk factors, and offense precursors. Working in very close concert with the treatment provider and the supervision agent, the polygraph examiner can develop a strategy (that may include specific issues to broach and/or questions to ask during the polygraph examination) that will help determine whether or not a sex offender is withholding information from his sexual history (as well as the information being withheld).</p> <ul style="list-style-type: none"> ▪ <i>Identifying, confirming, and/or evaluating a specific problematic behavior or allegation during supervision.</i> Sex offenders are secretive and very manipulative. If a treatment provider or supervision agent suspects that an offender is engaging in high-risk behavior, he or she can work in collaboration with the polygraph examiner to develop a strategy that will confirm or refute the suspicion and further clarify the nature, extent, scope, and severity of the behavior. In addition, polygraph examiners often examine sex offenders who seem to be complying with their conditions of supervision and their treatment plans. These tests, administered with significant input from treatment providers and supervision agents, can verify offenders’ compliance with treatment and supervision requirements or bring to the surface problematic issues that need to be investigated further by the supervision agent and/or the treatment provider. <p>Three types of postconviction sex offender polygraph examinations are used to accomplish the tasks that I have just outlined. They include –</p> <ol style="list-style-type: none"> 1. <i>A full disclosure or sexual history examination</i> to ensure complete disclosure by the offender of his sexual history. This examination is typically administered after an offender has been in | <p>➤Use slide 20: Types of Post-Conviction Polygraph Examinations</p> |

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| <p>treatment for 3 to 6 months and has had an opportunity to record his comprehensive sexual history in the treatment setting.</p> <ol style="list-style-type: none"> <li data-bbox="235 422 967 1010">2. <i>A specific issue examination</i> to evaluate a specific behavior or allegation during supervision. It is also used when an offender either is in complete denial or maintains that he did not commit the crime of conviction – in particular, offenders who are sentenced under an Alford Plea or offenders who continue to minimize their responsibility for the abuse despite their conviction. An Alford Plea allows an offender to admit that there is enough evidence to convict him at trial without admitting to the offense of record. This type of plea often subverts treatment because it is very difficult to treat a sex offender who has not admitted responsibility for his offense. <li data-bbox="235 1016 967 1247">3. <i>A maintenance or monitoring examination</i> to verify the offender’s compliance with his treatment plan and supervision conditions. This type of exam is administered on a periodic basis, usually every 6 months. In most cases, offenders are not tested more than three times per year. <p>There is no consensus in the field regarding the order in which these examinations should be given or their frequency (i.e., how much time there should be between exams).²</p> <p>Because the use of the polygraph as a sex offender supervision and treatment tool is relatively new, training, guidelines, and standards to govern its use are still under development in many states. Individuals who are interested in learning more about the use of the post-conviction polygraph exam with sex offenders should visit to the American Polygraph Association’s (APA’s) Web site at www.polygraph.org, contact APA directly at 1-</p> | <p>Note: Trainers are encouraged to research</p> |

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| <p>800-APA-8037, or see CSOM’s training curriculum dedicated to the polygraph.</p> <p>The APA is an excellent source of training for polygraph examiners who are interested in working with convicted sex offenders. When a jurisdiction (or a supervision agent or a treatment provider) identifies a polygraph examiner with whom to work, they should always inquire about the training that the examiner has received and, more specifically, if the training has been endorsed by the APA.</p> <p>In sum, the polygraph is not a “silver bullet” or a “panacea” and there are jurisdictions that are doing very effective work with sex offenders without it. However, many jurisdictions have found it to be an immensely helpful piece of their sex offender management strategy. While conducting their research for <i>The Management of Sex Offenders in the Community: A Containment Approach</i>, researchers heard many probation/parole practitioners observe that, although they may have been reluctant to use the polygraph originally, now they would not want to do the work without it.³ CSOM’s work in the field confirms that many practitioners find the polygraph to be extremely useful in reducing lengthy periods of offender denial and encouraging offender honesty.</p> <p> ? Discussion Question: Think briefly back to the case study. Consider how the polygraph might have enhanced the capacity of Mike’s probation officer to supervise him more safely and effectively in the community.</p> <p> CAUTIONS ABOUT OVERLAPPING ROLES Collaboration involves the sharing of responsibilities among probation/parole officers,</p> | <p>guidelines for polygraph testing in the jurisdiction(s) where they are training. The APA is a good place to start such a search.</p> <p> Refer to handout: Refer to CSOM case studies for examples of jurisdictions that use the polygraph and those that do not.</p> <p>Discussion: If there’s time, trainers may want to turn this into a brief group discussion.</p> <p>➤Use slide 21: Cautions about Overlapping Roles</p> |

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| <p>treatment providers, victim advocates, polygraph examiners, and other stakeholders involved in the community supervision of sex offenders. All stakeholders exchange information about sex offenders and engage in problem solving to enhance effective management and community safety. In addition, they facilitate each other’s work – one of the strengths of the collaborative approach. Because this approach involves collaboration and close communication among at least these three core professions (probation/parole, treatment, and polygraph), there is a tendency for team members to take on one another’s roles – also known as “role creep” – and for a slight blurring or sharing of roles to occur.</p> <p>Although it is appropriate and necessary for team members to possess the same information, understand each other’s roles and responsibilities, share responsibility for monitoring offenders’ compliance with supervision and treatment conditions, work collaboratively to assess continually the level of risk that offenders pose, and work together to counter offenders’ deceit, deception, and manipulation, <i>each party must react to the same information in very different ways.</i> For example, it is not appropriate for a probation officer to attempt a psychological intervention with a severely depressed offender or for a treatment provider to threaten incarceration during a therapy session.</p> | |



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| <p>TOPIC: THE MANAGEMENT TEAM REDEFINED—NETWORKS OF SUPERVISION (10 minutes)</p> <p>NETWORKS OF SUPERVISION Collaboration for sex offender management, then, takes many forms. Beginning with the notion of collaboration between supervision and treatment and expanded to include the victim advocate and polygraph examiner, the idea of a collaborative approach to supervision has expanded in some jurisdictions to include family members, friends, employers, community police officers, volunteers, and others.</p> <p>Some jurisdictions have moved beyond the concept of a team of professionals involved in offender management to individuals who are directly involved with the offender, such as a victim or an offender’s family. In a family in which child molestation has occurred, it is particularly important that the family members responsible for protecting the child be made aware of the offender’s cycle of offending and risk factors. In those instances, probation/parole agencies have drawn others – such as employers, neighbors, or volunteers – into the network to create a constant source of information and supervision.</p> <p>The state of Vermont has been very successful in developing a supervision network. In Vermont, trained volunteers are an active part of the supervision network and work with supervision agents and treatment providers to supervise sex offenders more safely and effectively in the community.</p> <p>It is important to consider who might be helpful as a member of an offender’s supervision network,</p> | <p>➤Use slide 22: Networks of Supervision</p> |

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| <p>and who would not. Below are questions that should be asked to identify those appropriate for a supervision network:</p> <ul style="list-style-type: none"> ▪ Do they believe the offender committed the offense? ▪ Are they knowledgeable about the offense dynamics? Do they know and are they able to recognize the offender’s risk factors? ▪ Do they agree to not keep secret the offender’s risky activities? ▪ Are they willing to speak with the probation/parole officer about the offender’s activities? ▪ Are they safe from potential victimization? ▪ Is the probation/parole officer welcome to contact them or come to their home or place of business? <p>Only individuals about whom each of these questions can be answered in the affirmative should be considered as candidates for a supervision network.</p> | <p>➤Use slide 23: Likely Candidates for a Network of Supervision</p> |

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| <p>TOPIC: SUMMARY (10 minutes)</p> <p>The innovative approaches emerging around the nation are distinctively different from traditional supervision practices. They reflect our growing understanding of sex offender behaviors.</p> <p>? Discussion Question: What are the most important differences between traditional supervision practices and emerging practices in sex offender supervision?</p> | <p>Discussion: <i>This question should elicit at a minimum:</i></p> <ul style="list-style-type: none"> • <i>Victim-centered</i> • <i>Requires offense-specific treatment and collaboration between supervising officer and treatment provider and often includes other partners as well</i> • <i>Utilizes supervision networks</i> • <i>Uses a containment approach</i> |



¹ English, K., Pullen, S., and Jones, L. (eds.). (1996). *Managing Adult Sex Offenders in the Community: A Containment Approach*. American Probation and Parole Association. Lexington, KY, 2-1-2-16.

² The Association for the Treatment of Sexual Abusers (ATSA) (1997). *Ethical Standards and Principles for the Management of Sexual Abusers*, 54. Recommends that maintenance or monitoring polygraph examinations be given to sex offenders no more than three times per year.

³ *Ibid.*, 15-1-15-18.