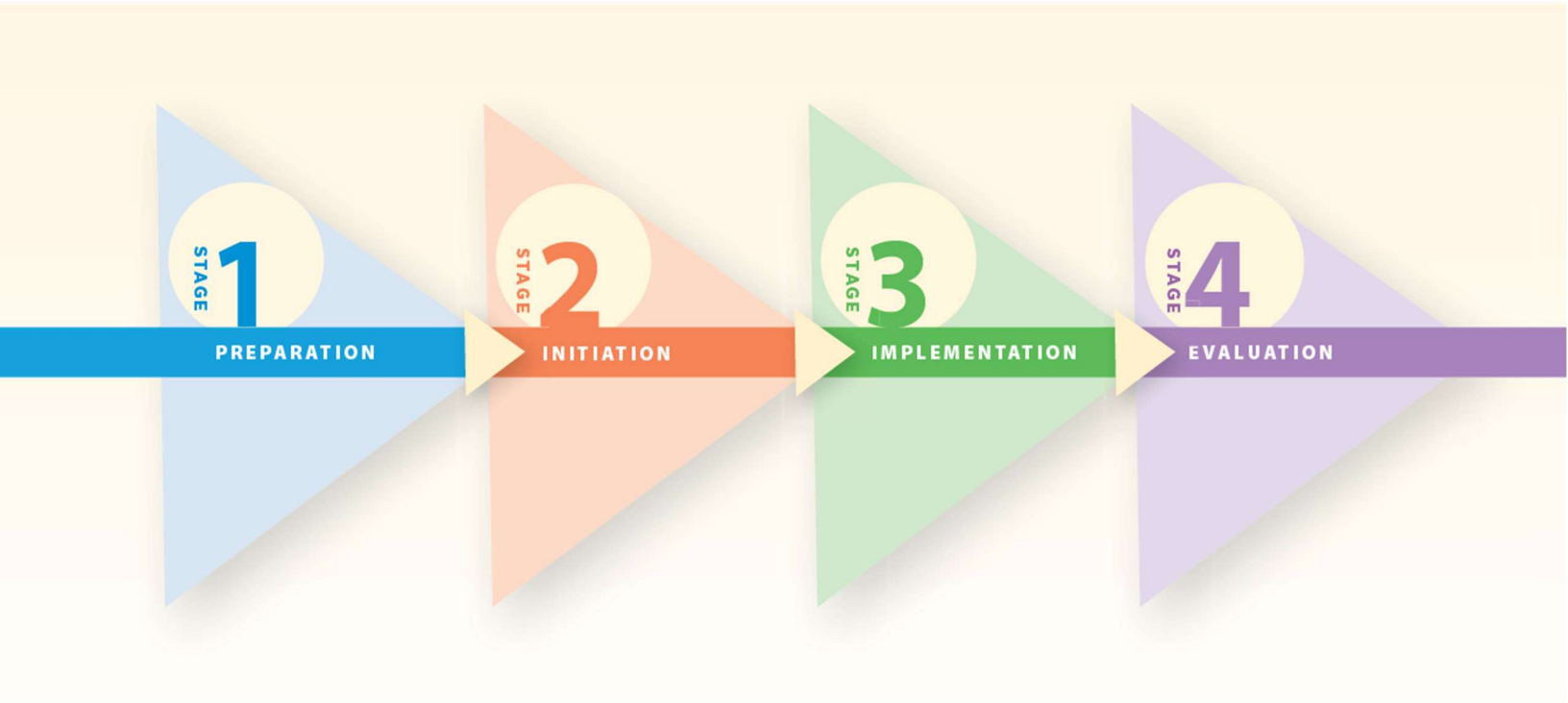
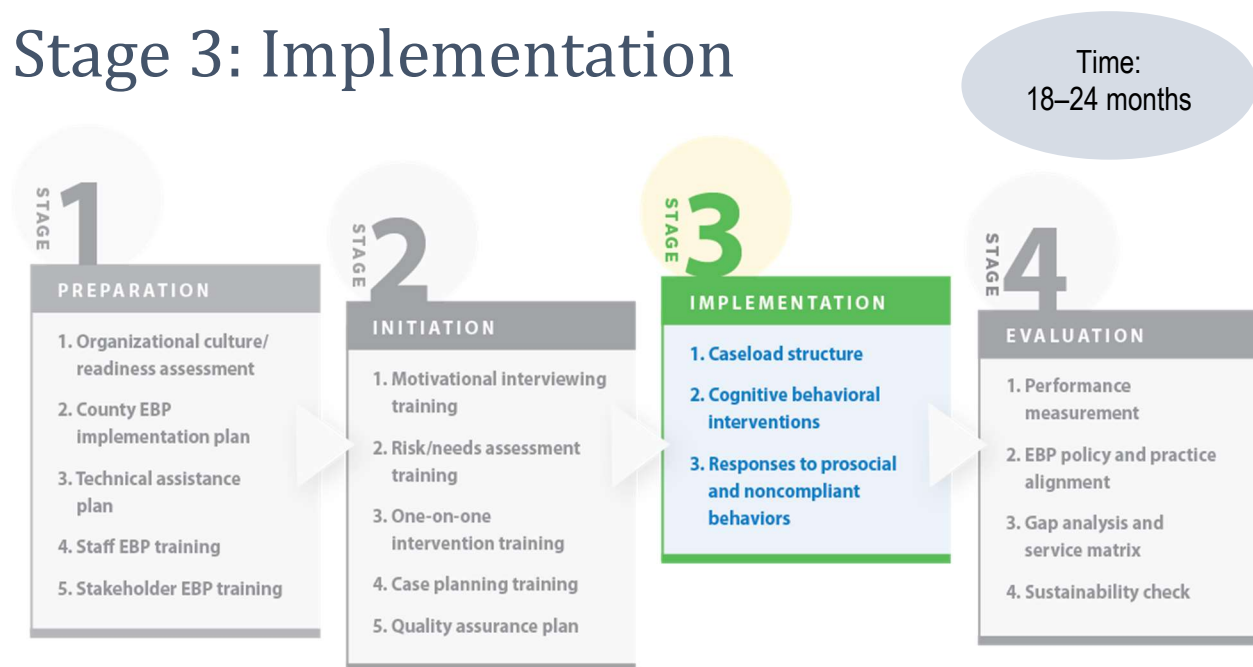


# Implementing Evidence-Based Practices: A Staged Approach

Stage 3



# Stage 3: Implementation



This document includes the following to assist with implementation of stage 3:

- The **overview** includes a chart with the stage's key tasks, subtasks, implementation tips, and resources.
- The **implementation plan template**, organized by key task, lists the various subtasks and provides space for the implementation committee to fill in the start and end dates, lead person, others responsible, and resources/partners needed for each subtask.
- The **cost-benefit analysis worksheet** allows agencies to evaluate the costs (human, materials, and data systems) and benefits of the stage.
- The **fidelity and quality assurance checklist** enables agencies to evaluate their current strengths and identify areas for improvement.

# Overview

The following chart provides an overview of stage 3: its key tasks and subtasks, implementation tips, and helpful resources.<sup>1</sup>

Key Tasks	Subtasks	Implementation Tips	Resources
1. Develop caseload guidelines	<p>1a. Collect and analyze data on current caseload sizes and on the risk levels of people under supervision</p> <p>1b. Restructure caseloads according to risk level</p> <p>1c. Match the dosage and intensity of interventions to risk level</p> <p>1d. Identify duties that can be discontinued, changed, or transferred so that POs supervising people at medium and high risk can focus on risk reduction activities</p> <p>1e. Reevaluate caseloads regularly and adjust accordingly</p>	<ul style="list-style-type: none"> <li>Evaluate the need to restructure caseloads based on offense type (e.g., domestic violence, sexual offenses, driving under the influence), special needs (e.g., mental health concerns, gender), or other factors (e.g., gang involvement)</li> <li>Include a cross-section of staff as well as union representatives in caseload restructuring</li> <li>Communicate the reasons for the change in caseload structure</li> <li>Customize guidelines for rural, urban, and suburban agencies</li> </ul>	<ul style="list-style-type: none"> <li>Dosage, Intensity, and Duration*</li> <li>Supervising People at Low Risk*</li> <li>Supervising People at Moderate and High Risk*</li> <li>Supervising People at Extremely High Risk*</li> <li>Caseload Guidelines Questionnaire Summary**</li> <li>Caseload Guidelines: Strategies and Recommendations document, webinar, and slides**</li> </ul>

<sup>1</sup> Resources marked with \* can be found at <https://ccappoap.com/ebp-resources/ebp-briefs/>. Resources marked with \*\* can be found at <https://ccappoap.com/ebp-resources/ebp-stakeholder-resources/>.

Key Tasks	Subtasks	Implementation Tips	Resources
		<ul style="list-style-type: none"> <li>• Give staff choices for which job they are assigned under the restructure and/or match staff to jobs that require their skill set</li> </ul>	
<p>2. Use cognitive behavioral interventions</p>	<p>2a. Use cognitive behavioral interventions in one-on-one appointments</p> <p>2b. Determine what cognitive behavioral group programs are required based on the population’s risk and needs</p> <p>2c. Determine eligibility criteria and the referral process</p> <p>2c. Identify program providers (in-house, community, virtual)</p> <p>2d. Train identified staff in group-based cognitive behavioral programs</p> <p>2e. Provide annual booster training to identified staff</p> <p>2f. Assess and revise the trainings as needed</p>	<ul style="list-style-type: none"> <li>• Ensure interventions are evidence-based, focused on skill building, and adhere to the risk, need, and responsivity principles</li> <li>• When possible, use evaluation tools to determine a program’s effectiveness and how it can be improved</li> <li>• If feasible, provide programming specific to people’s gender and culture</li> <li>• Create a training plan to help ensure sustainability</li> <li>• Identify opportunities for joint trainings with other agencies</li> </ul>	<ul style="list-style-type: none"> <li>• Effective Correctional Interventions*</li> <li>• Effective Correctional Programs webinar and slides**</li> <li>• Manual of Effective Correctional Programs**</li> </ul>

Key Tasks	Subtasks	Implementation Tips	Resources
	<p>2g. Observe staff's use of cognitive behavioral interventions and provide feedback</p> <p>2h. Review files to determine if appropriate people are being referred to groups</p> <p>2i. Evaluate outcomes of people receiving cognitive behavioral interventions</p>		
<p>3. Use graduated responses to prosocial and noncompliant behavior</p>	<p>3a. Develop guidelines, including a matrix, for the effective use of reinforcements and responses to noncompliant behavior</p> <p>3b. Identify/develop a standard training curriculum</p> <p>3c. Provide initial training to supervisors and staff</p> <p>3d. Provide annual booster trainings</p> <p>3e. Assess and revise the trainings as needed</p>	<ul style="list-style-type: none"> <li>• Include staff and key stakeholders in the development of guidelines</li> <li>• Ensure that only reinforcements that are available within the agency are included in the guidelines</li> <li>• Ensure that people under supervision are aware of acceptable and unacceptable behaviors and of reinforcements and responses to noncompliance</li> </ul>	<ul style="list-style-type: none"> <li>• Effective Use of Reinforcement*</li> <li>• Effective Responses to Noncompliant Behavior*</li> <li>• Preventing and Responding to Relapse*</li> <li>• Best Practices for Reinforcements and Responses to Noncompliance document, webinar, and slides**</li> </ul>

Key Tasks	Subtasks	Implementation Tips	Resources
	<p>3f. Determine if staff are using a ratio of at least four reinforcements for every response to noncompliance and provide feedback</p> <p>3g. Evaluate outcomes of the use of reinforcements and responses to noncompliance</p>	<ul style="list-style-type: none"> <li>• Create a training plan to help ensure sustainability</li> <li>• Train supervisors before staff</li> </ul>	

# EBP Implementation Plan Template

**Purpose:** Developing and monitoring a clear, realistic implementation plan is critical to ensuring the successful implementation of EBP.

**Instructions:** It is recommended that the Chief Probation Officer establish an implementation committee consisting of internal staff (managers, supervisors, probation officers, and support staff) as well as key stakeholders. For each of the key task's subtasks, the committee should assign realistic start and end dates, delegate a lead person and others responsible for achieving the subtask, identify needed resources and possible partners, and list potential barriers and strategies to overcome them.

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

## Key Task 1: Develop Caseload Guidelines

Subtasks	Start Date/ End Date	Lead Person	Others Responsible	Resources/ Partners Needed
1a. Collect and analyze data on current caseload sizes and on the risk levels of people under supervision				
1b. Restructure caseloads according to risk level				

Subtasks	Start Date/ End Date	Lead Person	Others Responsible	Resources/ Partners Needed
1c. Match the dosage and intensity of interventions to risk level				
1d. Identify duties that can be discontinued, changed, or transferred so that POs supervising people at medium and high risk can focus on risk reduction activities				
1e. Reevaluate caseloads regularly and adjust accordingly				





<b>Potential Barriers</b>	
<b>Strategies to Address Barriers</b>	

## Key Task 2: Use Cognitive Behavioral Interventions

Subtasks	Start Date/ End Date	Lead Person	Others Responsible	Resources/ Partners Needed
2a. Use cognitive behavioral interventions in one-on-one appointments				
2b. Determine what cognitive behavioral group programs are required based on the population's risk and needs				
2c. Determine eligibility criteria and the referral process				
2d. Identify program providers (in-house, community, virtual)				

Subtasks	Start Date/ End Date	Lead Person	Others Responsible	Resources/ Partners Needed
2e. Train identified staff in group-based cognitive behavioral programs				
2f. Provide annual booster training to identified staff				
2g. Assess and revise the trainings as needed				
2h. Observe staff's use of cognitive behavioral interventions and provide feedback				
2i. Review files to determine if appropriate people are being referred to groups				

Subtasks	Start Date/ End Date	Lead Person	Others Responsible	Resources/ Partners Needed
2j. Evaluate outcomes of people receiving cognitive behavioral interventions				
<b>Potential Barriers</b>				
<b>Strategies to Address Barriers</b>				

### Key Task 3: Use Graduated Responses to Prosocial and Noncompliant Behavior

Subtasks	Start Date/ End Date	Lead Person	Others Responsible	Resources/ Partners Needed
3a. Develop guidelines, including a matrix, for the effective use of reinforcements and responses to noncompliant behavior				
3b. Identify/develop a standard training curriculum				
3c. Provide initial training to supervisors and staff				
3d. Provide annual booster trainings				

Subtasks	Start Date/ End Date	Lead Person	Others Responsible	Resources/ Partners Needed
3e. Assess and revise the trainings as needed				
3f. Determine if staff are using a ratio of at least four reinforcements for every response to noncompliance and provide feedback				
3g. Evaluate outcomes of the use of reinforcements and responses to noncompliance				



<b>Potential Barriers</b>	
<b>Strategies to Address Barriers</b>	

# Cost–Benefit Analysis Worksheet

**Purpose:** An agency that makes a commitment to align its practices with research evidence in order to reduce recidivism will likely experience significant pressure to shift how it invests its resources. Personnel requirements (numbers of staff, qualifications, assignments, caseload/workload), activities, policies, and practices will likely change. The cost–benefit analysis worksheet is designed to help administration weigh the costs (human, materials, and data resources) of EBP implementation against its benefits.

**Instructions:** It is recommended that the Chief Probation Officer complete the cost–benefit analysis worksheet in conjunction with a team of agency representatives (managers, supervisors, probation officers, and support staff). Each representative will examine the items on the worksheet from their own perspective, based on their work experience, and provide insights into possible implications. If the agency is just beginning to embark on an EBP implementation process, it may not be able to assess some of the costs or benefits. If this is the case, the agency is urged to reach out to other agencies for assistance.

Rather than using quantifiable measures, this worksheet uses the subjective measures of “None,” “Some,” and “A lot.” Each agency will need to determine what these terms mean to them. A possible interpretation is provided below.

Cost (Human, Materials, and Data Systems)	Benefit (to Mission Outcomes)
<b>None:</b> Can be done with existing resources	<b>None:</b> No real benefit
<b>Some:</b> Will take some, but not a significant amount of, additional resources	<b>Some:</b> Benefits can be articulated but are not significant or are difficult to quantify
<b>A lot:</b> Will require a considerable amount of additional resources	<b>A lot:</b> Benefits are significant

The cost–benefit analysis team should reach consensus on the cost and benefit of each task. After the worksheet is completed, the team should discuss how it might revise its approach to proceed with EBP implementation in a more cost-effective way and to plan for the upcoming costs.



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

Key Tasks and Subtasks	Additional Cost			Anticipated Benefit		
	None	Some	A lot	None	Some	A lot
<p><b>1. Develop caseload guidelines</b></p> <p>1a. Collect and analyze data on current caseload sizes and on the risk levels of people under supervision</p> <p>1b. Restructure caseloads according to risk level</p> <p>1c. Match the dosage and intensity of interventions to risk level</p> <p>1d. Identify duties that can be discontinued, changed, or transferred so that POs supervising people at medium and high risk can focus on risk reduction activities</p> <p>1e. Reevaluate caseloads regularly and adjust accordingly</p>						
<p><b>2. Use cognitive behavioral interventions</b></p> <p>2a. Use cognitive behavioral interventions in one-on-one appointments</p> <p>2b. Determine what cognitive behavioral group programs are required based on the population's risk and needs</p> <p>2c. Determine eligibility criteria and the referral process</p> <p>2d. Identify program providers (in-house, community, virtual)</p> <p>2e. Train identified staff in group-based cognitive behavioral programs</p> <p>2f. Provide annual booster training to identified staff</p> <p>2g. Assess and revise the trainings as needed</p>						

Key Tasks and Subtasks	Additional Cost			Anticipated Benefit		
	None	Some	A lot	None	Some	A lot
2h. Observe staff's use of cognitive behavioral interventions and provide feedback						
2i. Review files to determine if appropriate people are being referred to groups						
2j. Evaluate outcomes of people receiving cognitive behavioral interventions						
<b>3. Use graduated responses to prosocial and noncompliant behavior</b>						
3a. Develop guidelines, including a matrix, for the effective use of reinforcements and responses to noncompliant behavior						
3b. Identify/develop a standard training curriculum						
3c. Provide initial training to supervisors and staff						
3d. Provide annual booster trainings						
3e. Assess and revise the trainings as needed						
3f. Determine if staff are using a ratio of at least four reinforcements for every response to noncompliance and provide feedback						
3g. Evaluate outcomes of the use of reinforcements and responses to noncompliance						

What is needed to accomplish stage 3?

**Human Resources** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Materials** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Data Systems** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

# Fidelity and Quality Assurance Checklist

**Purpose:** A fidelity and quality assurance checklist helps agencies to assess whether they are implementing tasks and subtasks and to monitor performance over time.

**Instructions:** Each agency is at a different phase of EBP implementation. Even early adopters often learn that they have either skipped an important step or that they could take additional steps to increase fidelity and quality assurance. Regardless of where an agency is on their EBP implementation journey, this checklist will assist in identifying the next steps.

It is recommended that the Chief Probation Officer complete the checklist in conjunction with a team of agency representatives (managers, supervisors probation officers, and support staff). Each representative will examine the items on the worksheet from their own perspective, based on their work experience, and provide insight. Items highlighted in green should be the primary focus for those early in implementation.

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

Key Tasks and Deliverables	Implementation Status			
	Completed	Partially	Not Started	Revisit
<b>1. Develop caseload guidelines</b>				
1a. Data on current caseload sizes and on the risk levels of people under supervision are collected and analyzed				
1b. Caseloads are restructured according to risk level				
1c. The dosage and intensity of interventions are matched to risk level				
1d. Duties that can be discontinued, changed, or transferred so that POs supervising people at medium and high risk can focus on risk reduction activities are identified				
1e. Caseloads are reevaluated regularly and adjusted accordingly				

Key Tasks and Deliverables	Implementation Status			
1f. Policies and procedures are revised to reflect caseload restructuring				
<b>2. Use cognitive behavioral interventions</b>	<b>Completed</b>	<b>Partially</b>	<b>Not Started</b>	<b>Revisit</b>
2a. Cognitive behavioral interventions are used in one-on-one appointments				
2b. Determinations are made about what cognitive behavioral group programs are required based on the population's risk and needs				
2c. Eligibility criteria and the referral process are determined				
2d. Program providers (in-house, community, virtual) are identified				
2e. Identified staff are trained in group-based cognitive behavioral programs				
2f. Annual booster training is provided to identified staff				
2g. Trainings are assessed and revised as needed				
2h. Staff's use of cognitive behavioral interventions is observed and feedback is provided				
2i. Files are reviewed to determine if appropriate people are being referred to groups				
2j. Outcomes of people receiving cognitive behavioral interventions are evaluated				

Key Tasks and Deliverables	Implementation Status			
2k. Policies and procedures are revised to reflect the use of cognitive behavioral interventions				
<b>3. Use graduated responses to prosocial and noncompliant behavior</b>	<b>Completed</b>	<b>Partially</b>	<b>Not Started</b>	<b>Revisit</b>
3a. Guidelines, including a matrix, for the effective use of reinforcements and responses to noncompliant behavior are developed				
3b. A standard training curriculum is identified/developed				
3c. Training is provided to supervisors and staff				
3d. Annual booster trainings are provided				
3e. Trainings are assessed and revised as needed				
3f. Determinations are made as to whether staff are using a ratio of at least four reinforcements for every response to noncompliance and feedback is provided				
3g. Outcomes of the use of reinforcements and responses to noncompliance are evaluated				
3h. Policies and procedures are revised to reflect the use of graduated responses to prosocial and noncompliant behavior				

Based on your answers, identify the top three things you want to do in order to make further progress in building and sustaining an EBP agency, and the steps you will take to get there.

<b>Action Planning Worksheet</b>		
<b>Areas in Need of Work</b>	<b>Action Steps</b>	<b>Notes</b>