CENTER FOR SEX OFFENDER MANAGEMENT

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

Managing Sex Offenders in the Community: A Handbook to Guide Policymakers and Practitioners through a Planning and Implementation Process

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ABOUT CSOM

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 in 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 adult and juvenile 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.

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. In addition, it summarizes current research and promising practices that are emerging in communities across the nation. 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 are more experienced.
- **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. Five significant steps make up this process: developing an understanding of your jurisdiction's

current sex offender management practices; developing an understanding of research and emerging practice in the field of sex offender management; assessing the gaps in your current practice; identifying goals and objectives to address the most significant gaps; and implementing changes to meet your goals and monitor the impact of those changes. This section describes in detail each of these steps, provides examples of work products and other illustrative materials, and guides teams through each step with specifically designed teamwork activities.

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

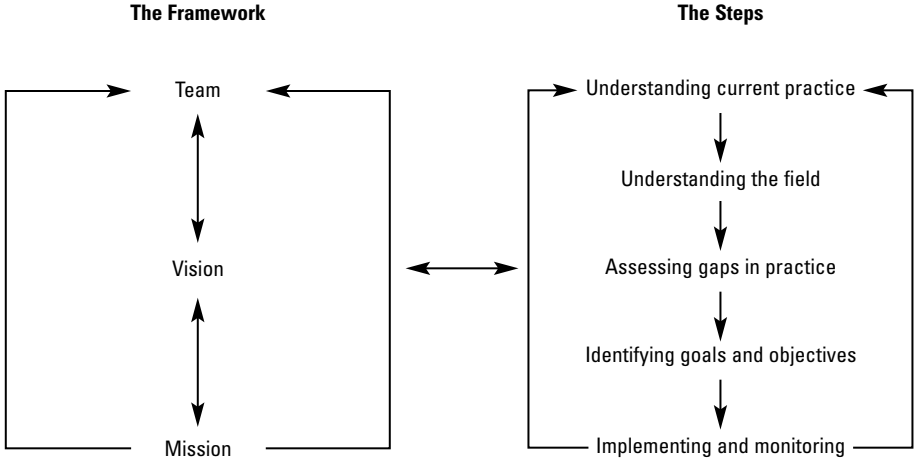
The activities described in this handbook build upon one another and are interdependent. They focus on the team that is designated to guide your work, the vision you aspire to reach, and the mission that defines your efforts. These serve as the framework for the conduct of your work. A deliberate process 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

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. Of these, almost 60 percent are

EXHIBIT 1

The Planning and Implementation Process



under some form of community supervision. 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 behavior 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 unusal, 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 abuse, 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

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, 1998). At least one in five girls and one in seven boys have been sexually abused by age 18 (Finkelhor, 1994). Sexual crimes often are perpetrated against youth:

22 percent of female rape victims were assaulted before they were 12; 32 percent were between 12 and 17 at the time they were sexually assaulted (Tjaden & Thoennes, 1998). 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 them. Sexual abuse is an extraordinarily complex, multi-faceted 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.

Sexually Abusive Youth

Research on the prevalence of sexual abuse perpetrated by youth has increased in recent years. It is estimated that juveniles may account for up to one-fifth of all rapes and approximately one-half of all cases of child molestation committed each year in the United States (Barbaree, Hudson, & Seto, 1993; Becker, Harris, & Sales, 1993; Sickmund, Snyder, & Poe-Yamagata, 1997).

Available research does not suggest that the majority of sexually abusive youth are destined to become adult sex offenders. Further, the emerging wisdom among experts who work with these youth is that they are profoundly different from their adult counterparts. Their experiences suggest that it is inappropriate to respond to juveniles who commit sex offenses by simply applying what is known about adult sex offenders.

Although funding and ethical issues have made it difficult to conduct carefully controlled treatment 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 are 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.
- 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

The myth has long existed that females do not perpetuate sexual abuse. And although men commit the majority of sexual offenses, research indicates that females commit approximately 20 percent of sex offenses against children (ATSA, 1996). Unofficial data sources (those that include data about cases other than the ones reported to police) also suggest that the percentage of sexual abuse cases perpetrated by women may be as high as 20 percent of cases overall (Finkelhor & Russell, 1984).

Unlike their male offender counterparts, female sex offenders were sexually victimized at almost twice the rate of men, most often by a family member (Kaplan & Green, 1995). Other preliminary 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. Researchers also have argued that offenders who receive specialized and intensive sex offender treatment have a significantly lower rearrest rate than offenders who did 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 percent 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

The Fundamental Principles and Concepts that Underlie Sex Offender Management

No two jurisdictions can or should manage sex offenders in exactly the same manner; local practices must take into account the nature of the local population of sex offenders as well as the resources available to respond to sex offending behavior. The following are some common elements in the promising sex offender management work that is occurring in diverse jurisdictions around the nation:

- A primary goal—shared by all stakeholders—of preventing future sexual victimization.
- Multidisciplinary, multi-agency, and collaborative responses on both the case management and policy levels.
- Practitioners who are specially trained to work with sex offenders.
- The willingness and the capacity to assess critically—and in an ongoing fashion—current approaches and practices so that as the sex offender management field evolves, the work that is occurring in these jurisdictions also advances.

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, 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 in 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 of sexual abuse 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.
- Assist and support supervision agencies with community notification and education efforts, which should include a component aimed at providing information about sexual assault to community members.

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 inter-dependent 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 predicting the likelihood of recidivism over a period of years. The most accurate and useful predictions of risk come from empirically based, scientifically validated tools. These tools enhance the ability of practitioners to identify sub-groups 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 on-going, 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.

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

- **Clinical diagnosis** is the process of assessing whether severe psychological or psychiatric problems are present in sex offenders. The results impact the criminal justice process (i.e., competency, mental status, and criminal responsibility) and the determination of appropriate treatment responses.

- **Clinical treatment** 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, risk prediction, clinical diagnosis, and clinical treatment processes informs the critically important point-in-time 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.

Specialized Sex Offender 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 often include:

- A primary focus on the prevention of future victimization and the protection of past and potential victims and the community.
- Close collaboration and frequent information sharing among supervision agents 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 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.

Specialized Sex Offender 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 components 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.

Post-Conviction Polygraph Examinations

Post-conviction polygraph examinations are increasingly used as a mechanism to assist in managing sex offenders more safely and effectively in their communities. The polygraph has become an important asset in treatment and supervision because it provides independent information about compliance with supervision conditions and progress in specialized treatment. When an offender is engaging in non-compliant behavior, a polygraph test may reveal information that can impel the supervision officer to revise the case plan and/or take other action to prevent relapse and encourage success. In many jurisdictions, the polygraph examiner is a key member of the case management team. Polygraph examiners who administer tests to sex offenders should be specially trained to work with this population.

Three types of post-conviction polygraph examinations are commonly administered to sex offenders under probation or parole supervision: full disclosure or sexual history examinations, which are used to obtain a complete history of an offenders' sexual behavior; specific issue examinations, which are useful when offenders are either in complete denial or maintain that they did not commit the crimes for which they were convicted; and maintenance or monitoring examinations, which are administered on a periodic basis and help to verify offenders' compliance with treatment and supervision conditions.

The value of the tool seems undisputed among those who use it—jurisdictions that have integrated it into their approaches to sex offender management report that it is effective when used as an adjunct to treatment and supervision. Those who use the polygraph, however, also assert that decisions about levels of supervision and methods of treatment are based upon a variety of important and ever changing issues, not just the results of polygraph testing. Debate over its validity and reliability is ongoing.

Re-Entry

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

All states have enacted sex offender registration laws as a means of deterring offenders from committing future crimes, providing law enforcement with an additional investigative tool, and increasing public protection. 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 so that offenders cannot escape registration obligations. The most comprehensive approaches to sex offender registration involve the collaboration and coordination of efforts among all of the agencies involved for the primary purpose of preventing further sexual victimization.

Community Notification

As a result of federal legislation, 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 dangerous sex offenders who reside in their communities.

Little research, however, has been conducted on the relationship between community notification and reduced sexual recidivism or increased community safety. Only one study to date, published in 1995 by the Washington State Institute for Public Policy, has examined the impact of notification on recidivism (Schram & Milloy, 1995). This study found no statistically significant reduction in the estimated rate of sexual recidivism among a group of high-risk sex offenders who had been subject to notification when compared with a group that had not. However, it did find that offenders who were subjected to community notification were arrested for new crimes much more quickly than those who were released without notification.

Community notification can also have negative effects on the criminal justice system, the community, victims, and offenders. Incidents of vigilantism and harassment have been reported in almost every state. In addition, some practitioners argue that notification drives sex offenders "underground" to avoid further stigmatization.

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 multi-disciplinary, 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.

Civil Commitment

Sixteen states have enacted what are termed "sexually violent predator" or "civil commitment" statutes. These statutes allow state authorities to hold a sex offender after his or her criminal sentence has expired if he or she is deemed too dangerous to be released. Civil commitment statutes mandate that these individuals be confined to a treatment facility until such time that they are assessed to have benefited enough from treatment that they no longer pose an imminent risk to the community. These statutes have been challenged in many states because of civil liberty concerns; however, to date, no state's civil commitment legislation has been successfully overturned on those grounds.

Public Health and Primary Prevention

Current interventions directed to 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

The establishment of clear and consistent polices 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

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 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 specific 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

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 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, supervising 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, consideration of how that approach can be improved, and the provision of oversight in the carrying out of those improvements are the central themes 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

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

The Mission

The third critical component of the planning and implementation framework is the identification of the team's mission. The mission will define your 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

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

Why a Collaborative Team?

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 key 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, 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?

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 service 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 also important to 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.
- **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 to the team 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 this is not their area of substantive expertise.
- **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?

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?

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

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

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 over committed 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 ground rules that address 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 early on in your work together 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

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. This 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 affect 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 commonplace 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 discreet 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. Here we are not suggesting major system changes that require careful analysis and planning, but rather 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

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

What Is a Vision?

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

A key ingredient in 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 important, your vision should describe a future for which your collaborative team is willing to take responsibility to achieve.

Why Is a Vision Important?

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 practices around the country. Your team then will analyze the information and identify and prioritize your jurisdiction's most critical needs. Before proceeding 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 policymakers 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

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, "Yeah, 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 if your preferred future becomes more clear to your team.

How to Develop Your Vision Statement

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 2 reiterates issues that your statement should address and provides an example for reference.

EXHIBIT 2

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

Definition of "Vision"

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

Anywhere, USA, has established a comprehensive, victim-centered sex offender management system that is strengthened by a multidisciplinary collaborative team. We are dedicated to protecting past and potential victims of sexual assault. In addition to those who represent the victims of sexual assault, members of the team represent those who influence sex offender management policy and practice in our jurisdiction. Our approach to sex offender management involves the careful examination and oversight of all facets of sex offender management.

The Mission: A Statement of What You Will Do

What Is a Mission?

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 its stated mission.

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 the team's mission.

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

Earlier in this handbook, the role and composition of your collaborative team were 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

The development of your mission statement will follow a set of steps similar to those used to write your vision statement. Teamwork Activity 3 will guide you through developing a mission statement. Exhibit 3 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 3

Definition of "Mission" and an Example of a Mission Statement

Definition of "Mission"

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 firmly 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

Our team's mission is to assess the strengths and weaknesses in our approach to sex offender management, to identify and prioritize strategies to strengthen our current practices, and to monitor continually our effectiveness in managing this population.

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.

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 was 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 team's hopes for the future.)

TEAMWORK ACTIVITY 3

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.)

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

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 the collection and analysis of it.

The five steps in the planning and implementation process are:

- Collecting baseline data and information about your jurisdiction's current approach to managing sex offenders.
- Understanding the research on this topic and emerging national practices.
- 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

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 supervision officers are not meeting their offender contact requirements. 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

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 that 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 goals are producing the outcomes you seek.

Designing a Data Collection and Analysis Plan

Too often, people collect data without first thinking through their purpose. What often results is contradictory or incomplete information that leaves the team no better off than when they started. The more specific you can be about what you want to learn from your data collection effort, the more likely it is that your data will be useful. A well-conceived data collection and analysis plan will answer six important questions:

1. Why are the data being collected?
2. What data will be collected?
3. How will the data be collected?
4. Where are the data stored and what form do they take?
5. Who will collect the data and who will analyze them?
6. When will the data be collected and analyzed?

Who Should Be Involved

The approach to data collection and analysis described in this handbook is collaborative. That is, the full collaborative team should be involved in both developing the data collection plan and carrying it out. Many people think that collecting data is the job of the research coordinator, who then will provide that information to the rest of the team. Unfortunately, when this approach is used, the information that is collected too often is not responsive to those who ultimately need to understand and act on it. When that happens, people lose faith in data altogether and revert to making decisions without good information. To avoid this situation, be sure to involve the collaborative team during every step.

Although developing a data collection and analysis plan is not particularly difficult, it is time consuming. Some members of your team may be apprehensive about developing

such a plan because of their lack of familiarity with this type of work. Therefore, one of the roles of your research coordinator is to assure those team members who feel they lack the technical expertise for the task that they can be very helpful to the development of the plan.

The Elements of a Data Collection and Analysis Plan

Your team will first want to consider the questions you want your data collection effort to address. Teamwork Activity 4 will aid you in developing your data collection and analysis plan. Exhibit 4 uses one jurisdiction's plan as an example. Below is an overview of the issues you will want to consider as you create your data collection and analysis plan.

- **Why are the data being collected?** This first question may be the most difficult for your team to answer. It is critically important because its answer will establish your research questions (those questions the team wants answered regarding your jurisdiction's management of sex offenders) and guide your entire data collection effort. In discussing this question, consider what your team members want to know about the sex offenders in your jurisdiction and the current system of sex offender management. This will serve as a helpful question to frame your discussions.
- **What data will be collected?** The baseline data you collect will be derived from the questions to which you seek answers. Resist the temptation to answer only the "why?" question and then have your research coordinator figure out the rest. It is equally important for the team to wrestle with the question of which pieces of information—the data elements—when collected and pieced together, will best provide the answers you seek.
- **How will the data be collected?** Your team will also have to consider the methods you will use to collect the data. How you collect information on your offender population (for example, through record reviews) will be different from how you determine the effectiveness of your community notification practices (for example, through community focus groups).
- **Where are the data stored and what form do they take?** You will also need to determine the sources of data; for example, the court record system, a police database, or probation officer or treatment provider files. You also should consider the form the data take, automated or paper files, or some combination. (It is highly likely that you will need to collect some data from case files since very important information about the offender population (e.g., relationship between the victim and offender) is often absent from computerized files.
- **Who will collect the data and who will analyze them?** Once all the data elements have been defined, your team should assign someone to be responsible for the information collection and analysis. Your research coordinator will oversee the process, but other team members can be involved in the day-to-day work. For example, if the team decides to collect data from the case notes of four specialized probation officers, the team may want to train the officers to collect those particular data. At the same time, the research coordinator is able to develop a

EXHIBIT 4

An Illustration of the Development of a Data Collection and Analysis Plan

Below are the steps used by the collaborative team from Anywhere, USA, a moderately sized county with metropolitan and rural areas, to develop its data collection and analysis plan.

Step 1: What Do We Want to Know?

The team began with a brainstorming session to develop a list of their questions. The following is the list they created, in the order in which questions arose:

- How many reports of sexual assaults occur annually within our county?
- Of those reported, how many result in conviction?
- How is the plea bargaining process handled in our court system? Can those accused of a sexual offense plead no contest or agree to an Alford plea? Under what circumstances? What effect does that have on sentencing?
- How do these cases flow through our system?
- How do we currently manage these offenders? What management tools do we currently have, when do we use them, and to whom do they apply?
- What are the sentencing outcomes of those convicted of sex-related crimes? (For example, how many go to prison? Receive jail time? Receive split sentences? Serve probation time only?)
- How many convicted adult sex offenders reside and are supervised in our county?
- How many of the convicted sex offenders in our county receive offense specific treatment?
- What treatment resources are available to convicted sex offenders in our county?
- What are the profiles of the sex offenders in our county? For what types of crimes have they been convicted?
- What policies and procedures govern our system of sex offender management?
- What services are available to victims of sexual assault? How do victims access those services? Are there fees? Are there waiting lists?
- Is treatment effective in reducing reoffending?
- Do offenders who are sentenced to prison receive treatment before they are released back to our county?
- What policies govern the decisions made by the parole board? How do they determine which prisoners to parole and when they should be paroled?
- Is all sex offense specific treatment the same? What kinds of treatment are used with sex offenders in our county?

EXHIBIT 4 *continued*

- How are registration laws enforced? What process do offenders go through to register? How is the public notified?

Step 2: What Do We Want to Know (Refined)?

After the team completed the brainstorming process, they grouped the questions into categories and ordered them logically within each one. Some questions were revised to make them more specific, and new questions were added as team members noticed gaps. The following is the team's refined list of questions:

Information About Our Offender Population

- How many reports of sexual assault occur annually within our county?
- Of those reported, how many result in conviction?
- What are the characteristics of the convicted sex offenders in our county? What are their criminal histories? What are their social, employment, and educational histories? What level of risk do they pose?
- How many convicted adult sex offenders reside in our county?
- Of them, how many are under correctional supervision?

Information About Our Sex Offender Management Policies

- How do sex offender cases flow through our system?
- What policies govern our system of sex offender management?
- How is the plea bargaining process handled in our court system?
- Can those accused of a sexual offense plead "no contest" or agree to an Alford plea? Under what circumstances?
- What affect do Alford and "no contest" pleas have on sentencing?
- What policies govern the decisions made by the parole board? How do they determine which prisoners to parole and when they should be paroled?
- How are registration laws enforced in our county?
- How and when is the public notified when a sex offender is released to our county?

Information About Our System Resources

- What management tools do we currently have, when do we use them, and to whom do they apply?
- Do our supervision officers have special training in sex offender management?
- What types of training do our probation officers, judges, and prosecutors receive regarding sex offenders?
- What treatment resources are available to convicted sex offenders in our county?

EXHIBIT 4 *continued*

- What do we know about the effectiveness of the treatment services we are providing to sex offenders in our county?
- What services are available to victims of sexual assaults?
- How do victims access these services? Are there fees? Are there waiting lists?

Information About Our Sex Offender Management Practices

- Is a presentence investigation (PSI) completed for all sex offenders following their conviction?
- What information is collected for the PSI?
- What special conditions are placed on sex offenders who receive probation supervision?
- Are those conditions applied to all convicted sex offenders? If not, what is the variation of practice, and why are there different practices?
- What are the sentencing outcomes of those convicted of sex-related crimes? What are the numbers for those who go to prison, receive jail time, receive split sentences, and serve probation time only? What are their sentence lengths?
- Do offenders who are sentenced to prison receive treatment before they are released back into our county?
- What types of treatment are used with sex offenders in our county?
- Is all sex offense specific treatment the same?
- How many of the convicted offenders in our county have been court ordered to receive offense specific treatment?
- How is information shared among the agencies responsible for the treatment and supervision of sex offenders?

Step 3: What Do We Want to Know (Prioritized and Further Refined)?

Recognizing that priorities for data collection would have to be established—resources would not permit the collection of information to answer all of these questions simultaneously—the team prioritized and then further refined their list of questions. Below are their top ten priorities.

1. What are the characteristics of the convicted sex offenders in our county? What are their criminal histories? What are their social, employment, and educational histories? What level of risk do they pose?
2. How many convicted adult sex offenders reside in our county? Of these, how many are under some form of correctional supervision? For what offenses?
3. What are the sentencing outcomes of those convicted of crimes that were sexual in nature? How many go to prison, receive jail time, receive split sentences, and serve probation time only? What are their sentence lengths?
4. How do these cases flow through our system?

EXHIBIT 4 *continued*

5. What policies and procedures govern our system of sex offender management?
6. What management tools do we currently have, when do we use them, and to whom do they apply?
7. How is information shared among the agencies responsible for the treatment and supervision of sex offenders?
8. What types of training do our probation officers, judges, and prosecutors receive regarding sex offenders?
9. Do offenders who are sentenced to prison receive treatment before they are released back to the county?
10. What types of treatment are used with sex offenders in our county? What do we know about the effectiveness of the existing services?

Step 4: What Will Be Collected?

The next step the team took was to develop a list of the data elements it would need to answer each prioritized question. Its highest priority question and the data elements needed to answer it are listed below.

Question: What are the characteristics of the convicted sex offenders in our county? (What are their criminal histories? What are their social, employment, and educational histories? What level of risk do they pose?)

Data elements needed to answer this question:

- Sex.
- Date of birth.
- Charged crime(s).
- Crime(s) of conviction.
- Sentence imposed (prison/jail sentence, amount of time suspended, period of supervision, special conditions of sentence).
- Criminal history (number of juvenile and adult offenses of all types, number of juvenile and adult sexual assaults, categories of non-sexual prior offenses, age/relationship of offender to prior sexual assault victims, nature of prior sexual assaults).
- Age of victim(s).
- Relationship of victim(s) to offender.
- Employment history (skill level, longest position held, wage earnings in the calendar year before offense, employed at the time of the offense).
- Educational history (highest grade completed, functional grade level).
- Residential status (number of residences in the 24 months prior to offense, owned/rented at last residence, stable living environment at time of offense).

EXHIBIT 4 *continued*

The team followed this process for each of its questions.

Step 5: How Will The Data Be Collected?

Next, the team discussed how the identified data elements would logically fit together. It developed several instruments to gather the data it needed.

Step 6: Who Will Collect the Data, and When Will the Data Be Collected?

After finalizing its data collection instruments (e.g., forms, surveys, questionnaires), the team concluded its work on the data collection and analysis plan by determining who would collect the data and when the data would be collected. The team's discussion was guided by the following questions:

- Who has access to the best sources of each type of data? (Some data may be accessible to only certain employees because of confidentiality or security issues.)
- Who has the time and ability to collect the data?
- When does the team need the data to proceed with the analyses and the implementation plan?

Once this work was accomplished, the team began collecting its data.

program to extract other elements from the court management information system, and a student intern compiles statistics from the police department's records. (Another approach is to establish a research subcommittee that is tasked with forming the research questions as well as facilitating access to the data.) As you discuss the issues of collection, also be clear about who will analyze the data once they are compiled.

- **When will the data be collected and analyzed?** Lastly, your team should develop a timetable for the data collection and analysis plan. The data described in the following sections do not have to be collected in a particular step sequence or order. If your staff capacity allows, collecting different kinds of data from different sources simultaneously may be better than waiting to complete one step before beginning the next. The reason for this is that some aspects of the data collection will move more quickly than others; working on parallel tracks will keep all your efforts moving forward even when one or two pieces are progressing slowly.

Beyond the Data Collection and Analysis Plan

The next sections detail the five steps in the planning and implementation process. "Step One: Understanding Current Practice" and "Step Two: Developing an Understanding of the Field of Sex Offender Management" will assist you in carrying out your data collection. "Step Three: Assessing What You Know and Identifying the Gaps in Current Practice" will help the team synthesize and critically assess the information you collect and set priorities for change. "Step Four: Developing Goals and Objectives" and "Step Five: Implementing and Monitoring Objectives" will see you through the process of change and the evaluation of its impact.

Step One: Understanding Current Practice

Methods for Collecting Baseline Data

Because of the complexity of the sex offender management process, baseline data need to be collected from multiple sources. Developing a complete understanding of current sex offender management in your jurisdiction requires analyzing information on at least five 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.

Five Dimensions of Baseline Data

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 five 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 Policy Dimension:** The policy dimension is an analysis of the policies in place in your jurisdiction that guide the management of sex offenders.
- **The Practice Dimension:** The practice dimension is an analysis of the informal practices employed within and across agencies that guide the management of sex offenders that are not codified in written policy.
- **The Resource Dimension:** The resource dimension is an analysis of the resources available to manage sex offenders in your jurisdiction.

Delineating the Focus of the Data Collection Effort

Each of the dimensions of baseline data will produce different types of data. As you proceed with each, be sure to focus your data collection efforts. One way to ensure this is through the development of your research questions. Without this kind of focus, these data may be seen as irrelevant and not useful.

Conducting an Assessment of the Criminal Justice Process ("System Mapping")

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 know 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 5 provides a process to develop your own system map. Exhibit 5 provides an example of a completed system map.

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. The questions the team would like the data to address should determine the extent of the information you collect on the sex offender population, because it is unlikely that any jurisdiction has the time or resources to collect all of the information one might want. 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 outcomes of those cases.
- How long the 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 6 suggests some steps to help you formulate your plan to collect offender data. Two sample data collection forms are also provided in Appendices 1 and 2.

Conducting an Assessment of Current Policy

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. Teamwork Activity 7 suggests some steps to collect information on your jurisdiction's current sex offender management policies. Exhibit 6 provides an excerpt from a policy assessment report as an example of how to summarize this information.

Conducting an Assessment of Informal Practice

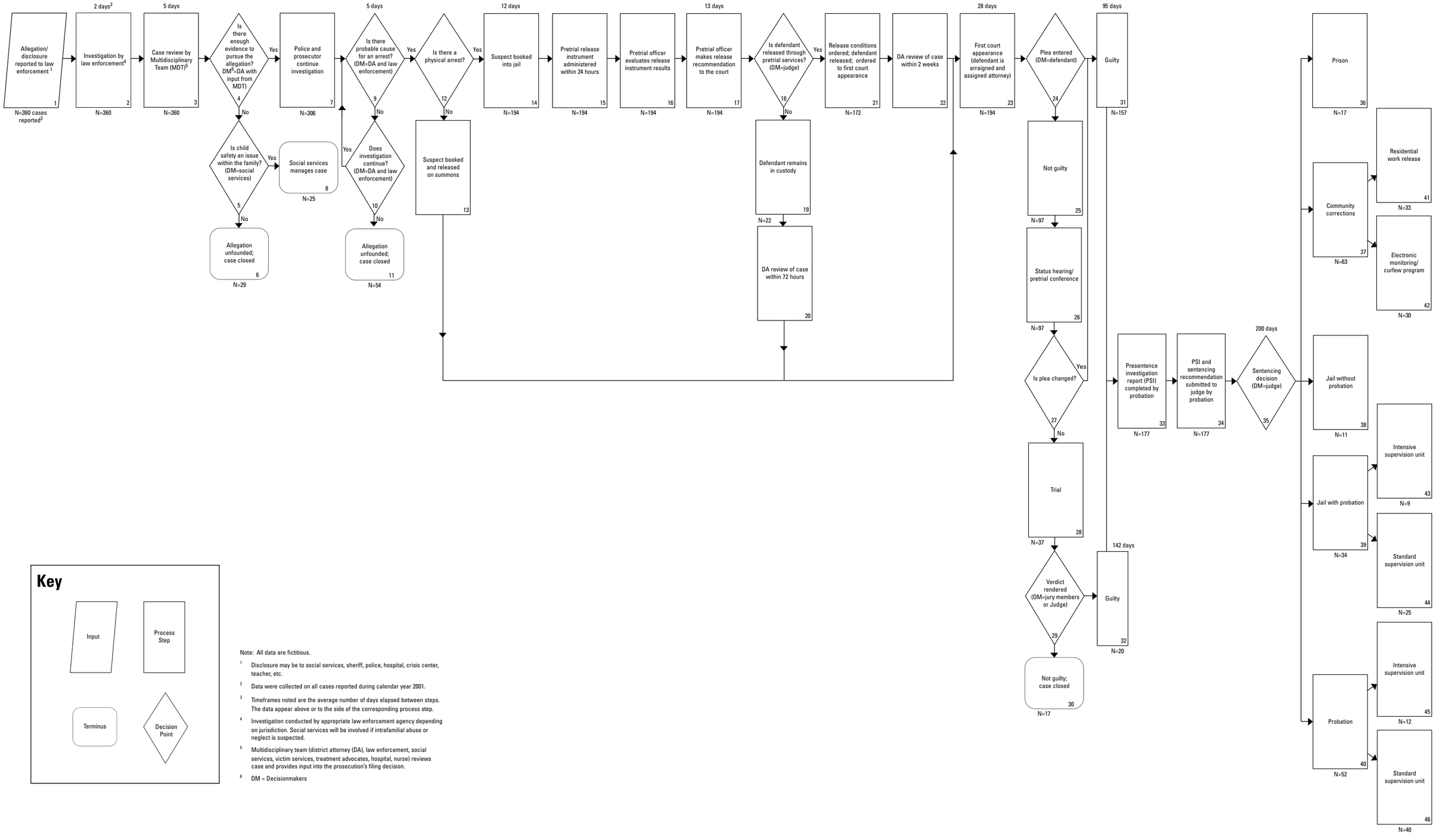
Formal policy only *begins* to define the manner in which decisions are made and processes are carried out; in most communities, written policy guides only a small portion of activity. When formal policy leaves activities undefined, informal practices emerge to fill the gaps. Informal practices sometimes 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. Teamwork Activity 8 suggests some steps to collect information on your jurisdiction's sex offender management informal practices. Exhibit 7 provides an excerpt from a report on a study of informal practice.

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 jurisdiction—to manage these offenders and assist victims. A part of your assessment of current practice should include looking at the supports to the legal processing of sex offense cases. 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

EXHIBIT 5

Example of a System Map



Key

Input

Process Step

Terminus

Decision Point

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 6

An Illustration of an Assessment of Policy (Excerpt)

The purpose of this policy assessment was to analyze the laws and policies governing the management of sex offenders in our jurisdiction. To this end, federal, state, and local statutes were collected, along with the formal policies of the following: the Sheriff's Department, the Police Department, the District Attorney's Office, the Court Administration Office, the County Attorney's Office, Social Services' Child Protection Department, the Public Defender's Office, the Probation Department, the Sexual Assault and Crisis Services Unit, and three additional non-governmental victim advocacy organizations. The following are the findings from the assessment.

Findings

- The District Attorney's Office, County Attorney's Office, Social Services' Child Protection Department, Probation Department, and each of the victim advocacy organizations have formal written policies regarding a variety of aspects of sex offender management. Summaries of each agency's written policies are attached as appendix 1.
- The Sheriff's Office and the Police Department have written policies; however, these are limited only to the topic of sex offender registration. These policies are summarized in appendix 2.
- The Court Administration Office and the Public Defender's Office have no formal policies regarding any aspect of sex offender management.

trained volunteers who 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 9 suggests some steps to assess your resources. Exhibit 8 provides a sample of the kind of information a resource assessment might produce.

The Products 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 9 lists the products you should produce from your baseline data collection efforts.

Step Two: Developing an Understanding of the Field of Sex Offender Management

A Review of the Steps Along the Way

After forming your collaborative team and working together to determine your vision and mission, to assess the effectiveness of your current approach to sex offender management, you began the process of gathering information. By this time, you will have:

EXHIBIT 7

An Illustration of an Assessment of Informal Practice (Excerpt)

The purpose of this assessment was to understand more fully the informal sex offender management practices in our jurisdiction. Because of the informal nature of the practices the team wanted to assess and the team's desire to gather input from a variety of individuals, a focus group process was selected as the method to compile this information. A protocol was developed to ensure consistency across focus groups. Eight groups were conducted, each with single disciplinary groups from the following agencies: law enforcement, prosecution, defense, courts, probation, parole, treatment, and victim advocacy. The focus group sessions averaged 90 minutes and covered the following:

- The informal practices that guide the management of sex offenders within each agency.
- The manner in which informal practices are communicated to agency staff.
- The extent to which informal practices are expected to be carried out and the manner in which this is communicated and enforced.
- The presence of contradictions or inconsistencies between and among agency policy and informal practice.

A list of the specific questions explored through the focus group process and a detailed list of responses are attached to this report. Below are the most significant findings.

- To a significant extent, the sex offender management practices of each of the agencies interviewed is conducted through informal practice rather than formal policy.
- Agency staff learns of informal practices through word of mouth or direct peer training. In no case have any of these practices been documented in writing or by any other means.
- These practices typically are not monitored or enforced.

- Agreed on the questions you have about your current management practices.
- Developed a data collection and analysis plan.
- Developed a system map to diagram the flow of cases through your system.
- Surveyed existing formal policies on how sex offenders are being managed.
- Assessed current informal practice to understand the influences that guide procedures in the absence of formal policy.
- Documented the resources currently available to respond to this offender population.
- Collected information on the sex offender population.

Your next step is to assess what you now know to be the current state of sex offender management in your jurisdiction and consider what you are missing.

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.
XYZ 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 specific.
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.

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, who now are clear on the details of your own management practices, are likely wondering what others do to "effectively manage" *their* sex offenders. The purpose of this discussion is to encourage your team to develop a basic understanding of the areas of specialized knowledge and the components of sex offender management and to guide you toward more extensive resources on each of these topics.

"Best Practices" Versus "Emerging Practices"

The "field" of sex offender management—that is, the specialized work with this specialized population—is not particularly new. Documented work on this population goes back decades, but in the last two in particular, the field of research and documentation of emerging practice has grown exponentially. Despite this, empirical research is still lacking that unequivocally points to how a particular offender in a specific circumstance should be managed.

The term "best practice" is used to describe what is believed—but not proven empirically—to be effective. It is important for every policymaker to know that debate in the field continues about which practices are "best" and which are not. For these reasons, the term "emerging practice" rather than "best practice" will be used.

EXHIBIT 9

Five Products Produced as a Result of Your Baseline Data Collection Efforts

Your team's baseline data collection efforts will produce at least five products that correspond with each of the five 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 summarizes the policies in your jurisdiction that pertain to sex offender management.
- A report that summarizes the sex offender management practices in your jurisdiction that are not codified in written policy.
- A report that identifies the current resources available for sex offenders and victims, including a description of those resources.

Methods to Develop Your Approach

Until the time when a sufficient body of research on this topic is available, policymakers have the following three options on how to craft their sex offender management strategies:

- **Implement policies and practices that are based exclusively on existing research.** This option would be ideal if sufficient research existed, but unfortunately it does not. Therefore, policymakers should be familiar with and use existing research to the extent possible, but they nonetheless will have to base some decisions on information that is not empirically demonstrated.
- **Implement polices and practices that are based on emerging practice.** When gaps exist in the research, policymakers must carefully scrutinize sex offender management approaches that are deemed promising based on the experience of others. However, this must be done with a commitment to closely evaluate the impact of those approaches in your own jurisdiction.
- **Pilot new approaches.** After careful study of what is known through research and what has been learned through experience, policymakers may choose to pilot their own innovative approaches to sex offender management. Development and implementation of these approaches, in tandem with a strong research component, will both inform future practice in the field and contribute significantly to the broader body of knowledge in the field.

The Specialized Areas of Knowledge

As your team is keenly aware, the field of sex offender management is replete with specialized knowledge and involves an array of management strategies. If sex offender management was simply about carrying out exemplary probation or parole supervision, your job would be much easier. The beginning of this handbook describes briefly the many facets of sex offender management and the areas of specialized knowledge essential to its effective conduct. This serves simply as an overview; we strongly encourage readers to examine each topic in much greater detail. (Appendix 1 provides source material for further study of these topics.)

Summarizing Your Findings

As you conduct your research on the field of sex offender management, compile key learnings into a separate report for later use.

Step Three: 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.

Why Is a Gaps Analysis Important?

By now, your collaborative team has spent many months developing an understanding of sex offender management. You have examined your policies, informal practices, case flow process, resources, and offender population. You also have looked outside of your own system and gathered information about 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 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

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 summary of your jurisdiction's policies that pertain to sex offender management.
- A summary of your jurisdiction's sex offender management practices that are not codified in written policy.
- A report that identifies the current resources available for this population, including a description of those resources.
- A report that identifies key observations from your examination of the research and emerging practices across the country.

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 if they need to be revised or synthesized to ensure that they are as easy to refer to as possible.

Conducting a Gaps Analysis

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 all members of your collaborative team can participate. Teamwork

Activity 10 will guide you through a review of the data you have collected and an analysis of your gaps.

Step Four: Developing Goals and Objectives

How Are Goals and Objectives Different From Vision and Mission?

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 10 defines and illustrates goals and objectives.

What Is the Role of Goals and Objectives in the Planning Process?

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. 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?

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 and also to help their families. 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 than anticipated cases of sibling incest and, (2) more extensive services for these offenders and their families 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.

EXHIBIT 10

Definitions and Examples of Goals and Objectives

A vision statement, a mission statement, and examples of each were presented in Exhibits 2 and 3. Definitions and examples of goals and objectives are included here.

Definition of Goals

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

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 the team's mission.

Example of a Goal

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

- To develop a complete understanding of our current sex offender supervision practices by reviewing our supervision agency's policies on sex offender supervision; 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 develop a complete understanding of emerging practices in the field of sex offender supervision.
- 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 Your Goals Should Be

In addition to basing your goals on thorough information, they should reflect the priorities of the collaborative team. 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

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 objectives 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

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

Teamwork Activity 11 presents a process to assist your team in the development of its goals and objectives. Exhibit 11 provides a sample of one jurisdiction's goals and objectives.

Step Five: 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 all 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 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 of Your Implementation Plan?

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.

EXHIBIT 11

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.

- **Objective 1:** The institutional transition officer will meet with the supervising probation or parole officer 60 days prior to the release of each sex offender to share the relevant information from the institutional record.

EXHIBIT 11 *continued*

- **Objective 2:** The supervising probation or parole officer will contact the institutional transition officer 30 days prior to each offender's release to discuss the final plan for transition, including changes in the release date, housing and employment plan, registration or notification concerns, referrals for resources and services, and immediate needs anticipated at release.
- **Objective 3:** The supervising probation or parole officer and the institutional transition officer will meet with the offender 15 days prior to release to review the transition plan, release conditions, and supervision requirements.
- **Objective 4:** Within 24 hours of an offender's release, the institutional transition officer will notify the supervising probation or parole officer by fax to confirm that the offender has been released.

What Should the Implementation Plan Include?

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 should 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?

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?

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

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

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 are to receive 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?

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

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 (both positive and 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 12 provides guidance on developing your monitoring plan. Exhibit 12 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 the 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. Exhibit 13 provides a sample implementation plan outline.

Implementing the Plan: The Readiness Checklist

This handbook described a deliberate process of planning for this moment. If you have been steadfastly following the specific steps in this handbook, you now are ready to implement your goals. Before you begin, however, you should check one more time to ensure that you are ready to implement your plan. Exhibit 14 provides a readiness checklist for your team to review your implementation plan. It is important to review the plan one final time for two reasons:

- **Timeliness:** It is possible that significant time has elapsed since your implementation plan was prepared. This happens most frequently when communities need to secure fiscal or other forms of support for their plan.
- **Comprehensiveness:** Your team has worked too hard on the development of this plan to allow for oversights. You will want to make sure that you are as ready for implementation as possible.

EXHIBIT 12

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 offender-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 for 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 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 them 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 who 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 who are in the public school system?

After identifying the research questions, the team repeated the steps it followed when it developed its data collection and analysis plan during the planning phase of its work: prioritizing what they wanted to know, determining what data they needed to collect to answer each question, and identifying how and when those data would be collected.

EXHIBIT 13

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 the team's work.
      1. State and explain your team's vision.
      2. State and explain your team's mission.
      3. State and explain what your team wanted to learn (the team's research questions).
   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 were collected and their relationship to the team's research questions.
   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 emerging practices in the field.
   c. Describe the gaps identified between the way the current system functions and the team's vision.

IV. Implementation Plan
   a. Describe the gaps the team intends to address.
      1. Describe the team's prioritized goals.
      2. Describe the outcomes the team expects to achieve by carrying out these goals.
      3. Describe the rationale for selecting these goals over other options.
   b. Describe the team's work plan for implementing the goals.
      1. Describe what will be done.
      2. Identify who will do each task.
      3. Provide a timeline for the completion of each task.
   c. Describe the team's plan for monitoring implementation.
      1. Describe the performance measures to be used.
      2. Describe what data will be collected.
      3. Describe what methods 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 14

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?
- Is 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?

Conditions that may Cause a Change in the Implementation Plan

The downside to revisiting your implementation plan one last time is that you might find reason to change it. Two conditions might require a change in the plan:

- **Turnover:** Changes in personnel may result in one or more new members to your collaborative team. These members probably need an opportunity to understand and, more importantly, buy into your implementation plan. Your new members may need only a short time to understand the process you followed to develop your plan before providing it with their full support. It is also possible, however, that your new members will have additional information or ideas that require you to reconsider some of the decisions you previously made. Take the time to consider those thoroughly. You do not want to have doubts about the team's chosen course. When you proceed to implementation, you want the complete support of your team members.
- **Unanticipated Change:** It also is possible that other types of changes have occurred since your plan was developed. They might relate to new legislation, a new automation system, or a change in resources. Be certain to consider whether changes will affect your plan and adjust your strategies accordingly.

The Implementation Process

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 implementation 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?

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

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 be 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 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 15 provides suggestions for what you might include in this report.

EXHIBIT 15

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 each task.

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 were collected and the methods used to collect them (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.

TEAMWORK ACTIVITY 4

Developing a Data Collection and Analysis Plan

Why Are the Data Being Collected?

1. Begin by making a list of questions that team members would like answered by the data collection process. The questions will cover a range of concerns, from "How many of our sex offenders served time in jail or prison before being released on supervision?" to "How many slots are available in the sex offender specific treatment program, and is there a waiting list to get in?" Do not limit the brainstorming session to a particular type of question. Encourage team members to ask offender-related, process-focused, and decisionmaking questions. Record them all.
2. Group the questions into categories, such as "information about offenders," "information about policy," information about practice," "information about system resources," and so on.
3. Review the questions under each category for duplication. Do not fold similar ones together to condense your list. If questions are not duplicates, keep them separate.
4. Order the questions in each category in a logical fashion.
5. Review the lists to determine what might be missing. This process is likely to produce additional questions, which should also be added to the lists.
6. Prioritize the questions after the lists are complete. It is likely that you have identified more questions than you will be able to answer. Be realistic about what data can be collected given the time and other resources you have available and focus on the most important questions.

How Do We Determine the Most Important Questions?

At a minimum, be sure that your questions include the following five:

1. What are the profiles of the sex offenders in our jurisdiction? (You may choose to look at the entire population, for example, or a specific subset of the population.)
2. How many of these offenders are in our system?
3. How do these cases flow through our system? If we create a flow chart of the system of management, what would it include?

4. What are we currently doing with these offenders? What management tools do we currently have available? When are they employed and with whom?
5. What policies and procedures govern our system of sex offender management?

What Data Will Be Collected?

1. Write one of your research questions on a piece of flip chart paper or a white board.
2. List the issues you need to understand further to answer the question. For example, if the question is, "Do we have sufficient treatment resources for sex offenders?," the pieces of information needed might include the following:
   - What are "sufficient treatment resources"?
   - Who are the sex offender treatment providers in our community?
   - Do they provide services to criminal justice clients?
   - How many treatment slots do they have available at any given time?
   - How many treatment slots are needed at any given time?
   - What is the quality of the services provided?
3. List the data elements needed to answer each of your research questions.
4. Continue this process for all of the priority research questions. As you continue to define the data elements to be collected, be aware that some individual elements may be used as pieces of the answers to multiple questions.
5. Begin to draft the data collection instruments that will be used. Consider how each element of the data will be collected. (Refer to Appendices 2 and 3 for sample offender data collection instruments.)

Where and In What Form Are the Data?

1. Note each data element's primary source on your draft data collection instrument. Some data may be available from multiple sources. Select the source that is most reliable.
2. Indicate the form the data are likely to take, whether automated or manual, next to the source. Make notations about special considerations regarding the data's collection. For example, you may require a security clearance to access some data and a petition to remove other data from the archives.

TEAMWORK ACTIVITY 4 *continued*

Who Will Collect and Analyze the Data?

1. Review each data element and consider which individuals are best equipped to gather the information. It is reasonable to employ an entire data collection team with varying levels of skill and experience. The critical point to consider is the extent to which training and oversight will be necessary. Do not underestimate its value. Take the time to ensure the right people are selected for these tasks, and train them appropriately.
2. Consider the process you will establish to monitor the data collection. Quality control is critically important.
3. Discuss and agree on the roles various individuals will play in the analysis phase.

When Will the Data Be Collected?

In specifying when the data will be collected, consider the following:

1. When is it feasible to collect the data, given the availability of personnel and other needed resources?
2. When must the team receive the analyzed data for them to be useful or to meet important deadlines?

When you have completed your work on these questions, your research coordinator should draft statements that reflect the teams' direction on each of them.

TEAMWORK ACTIVITY 5

Developing a System Map

Preparing to Develop Your System Map

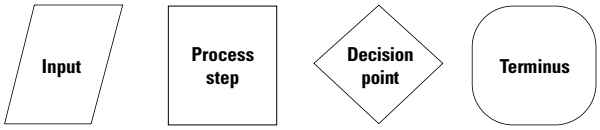
- Schedule time with your full team to develop your system map. This can be a time-consuming process, so be sure to plan accordingly; the precise amount of time involved will depend on how much information needs to be gathered from individuals outside of the collaborative team and on the complexity of 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

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 complete and finalized so it can be a useful working tool.

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").

TEAMWORK ACTIVITY 6

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 keenly familiar with this process. For those who are not so fortunate, the following describes the process of developing an offender population profile.

1. Begin by referring to the list of data elements regarding the offender population that your team identified when you developed your data collection and analysis plan. Consider whether the list of data elements is sufficient to answer your questions about the sex offender population. Add to the list if necessary.

2. Review the "Sample Juvenile Offender Data Collection Instrument' (Appendix 1) and/or the "Sample Adult Offender Data Collection Instrument" (Appendix 2) 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.

3. 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.

4. 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 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.

5. 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.
6. 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.

TEAMWORK ACTIVITY 7

Gathering Information on Current Policies that Guide Sex Offender Management in Your Jurisdiction

1. Make a list of all of the federal, state, and local statutes and case law that pertain to sex offender management in your jurisdiction.
2. Compile statutes and formally developed policies.
3. Review your system map. Pay particular attention to the decision points in the system that are guided by formal policy. Make a list of all the agencies that make or influence decisions about sex offender management in your jurisdiction.
4. Interview those individuals to determine the factors that influence their decisions. Strive to understand how and when decisions are made and what influences those decisions.
5. Analyze and compile your findings into a written report. This analysis should describe the current policy environment and serve as a tool to assess those policies that need review in greater detail or points in the system that require further policy guidance.

TEAMWORK ACTIVITY 8

Gathering Information on Informal Practices that Guide Sex Offender Management in Your Jurisdiction

1. Conduct a brainstorming session to develop a list of all possible agencies or departments involved in the management of sex offenders in your jurisdiction. Use the system map as a guide. Pay special attention to the agencies responsible for decisions influenced by informal practice (indicated by a dashed line).
2. Develop a list of those individuals who are involved in the management of these cases in your jurisdiction.
3. Interview those individuals to determine the factors that influence their decisions. Strive to understand how and when informal practices are made and what influences those decisions.
4. List the informal practices that guide the management of sex offenders in your jurisdiction.
5. Analyze and compile your findings into a written report. This analysis will describe the current environment of informal practice and serve as a tool to assess those practices that need to be reviewed in greater detail or points in the system that require further policy guidance.

TEAMWORK ACTIVITY 9

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 or officer, assessment protocols specifically for sex offenders, a sex offender surveillance officer), 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, mentoring programs).
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), the 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 have gathered with probation officers, judges, and others.

TEAMWORK ACTIVITY 10

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 you should be 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.

TEAMWORK ACTIVITY 10 *continued*

- Findings that reflect threats to your system.

4. 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: You may elect to pursue them later.
5. 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.

TEAMWORK ACTIVITY 11

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 the 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 10.
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, 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. Continue this process for all goals.

TEAMWORK ACTIVITY 12

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 work 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 because this will result in a higher rate of participation in treatment." In this case, the research question might be, "Does an increase in access to treatment increase the rate of treatment participation?"
4. Repeat this process for all of your goals.
5. Complete your monitoring plan by following the questions described in Teamwork Activity 4 under the headings, "What data will be collected?," "Where and in what form are the data?," "Who will collect and analyze the data?," and "When will the data be collected?"

SECTION FOUR

Conclusion: An Ongoing Process of Collecting and Analyzing Information

The effective management of sex offenders who are under supervision in the community is vitally important to promoting safer communities. Probably no other offender population offers as many dilemmas to policymakers and line staff.

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 five steps: developing a common understanding of current practices in your jurisdiction, developing an understanding of the state of the field of sex offender management, assessing the gaps in your jurisdiction's current practices, identifying goals and objectives to address the most significant among those gaps, and implementing objectives and monitoring changes.

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 in your community. With each day that your team works together on this issue, you are enhancing the work of managing sex offenders in your community.

APPENDICES

Appendix 1
References and Resources

Assessment of Sex Offenders

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Appendix 2
Sample Juvenile Offender Data Collection Instrument

Court ID #: _____ Age: _____

Date of referral: _____ Sex: _____ (date of birth)

Date collected: _____ Legal guardian: _____ male / female

Data collector: _____ ZIP code: _____

Ethnicity (check one):

- ❑ African-American
- ❑ Latino/Latina
- ❑ Asian/Pacific Islander
- ❑ Native American
- ❑ Caucasian
- ❑ Other: _____

Education at Offense (check one)

Currently in school: Yes_____ No_____

Special education:_____

Grade level: _____

Participation in extracurricular activities (list):

School attending: _____

_____

GPA:_____

_____

Employment at Offense (check one):

- ❑ Not working
- ❑ Employment < 20 hrs./wk.
- ❑ Employment 20 hrs./wk. or more

Residence at Offense (check all that apply)

- ❑ Living w/ mother
- ❑ Living w/ father
- ❑ Living w/ stepmother
- ❑ Living w/ stepfather
- ❑ Living alone stable
- ❑ Living alone transient
- ❑ Living w/ friends
- ❑ Living w/ siblings
- ❑ Living w/ other family member(s)
- ❑ Living w/ partner
- ❑ Living in substitute care

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

- ❑ Has continually resided at the same address
- ❑ Has moved 1–3 times
- ❑ Has moved 4 or more times
- ❑ Transient

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

- ❑ Victim(s) male
- ❑ Victim(s) female

Age of victim(s):_____

Ethnicity of victim(s): _____

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

- ❑ Stranger
- ❑ Own child
- ❑ 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 probation
- ❑ On parole
- ❑ Pending

Current Crime

Referral offense: _____

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)

Did the offense include?	Current offense	# of prior offenses
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
❑ Probation
❑ CAS
❑ CAS and probation
❑ DYS
❑ DYS and probation
❑ Residential placement
❑ Custody to public agency
❑ Other _____

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

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

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

Educational attainment of parents:
Mother—highest grade completed: _____
Father—highest grade completed: _____

Employment status of adults in household:
❑ Employed
❑ Unemployed

Family household income (yearly): _____

Marital status of parents:
❑ Married
❑ Divorced
❑ Separated

Criminal history of parents: _____
_____
_____
_____

Evidence of physical abuse in household:
❑ Yes
❑ No

Evidence of sexual abuse in household:
❑ Yes
❑ No

Appendix 3
Sample Adult Offender Data Collection Instrument

Offender ID #: _____ Reason did not enter: _____

Date of referral: _____ Age: _____

Date collected: _____ Sex: _____
(date of birth)

Intake worker: _____ Income: _____
male / female

Date entered program: _____
(data collector)

(monthly household income)

Ethnicity (check one):

- ❑ African-American
- ❑ Latino/Latina
- ❑ Asian/Pacific Islander
- ❑ Native American
- ❑ Caucasian
- ❑ Other: _____

Education at Offense (check one):

- ❑ Completed secondary school
- ❑ Received GED
- ❑ Some post-secondary school, training or education
- ❑ Received college degree
- ❑ Post-graduate education

Highest grade completed: _____

Marital Status at Offense (check one)

- ❑ Married
- ❑ Separated/divorced
- ❑ Single
- ❑ Widowed

Residence at Offense (check one)

- ❑ Living w/ spouse
- ❑ Living alone stable
- ❑ Living alone transient
- ❑ Living w/ friends
- ❑ Living w/ parents or siblings
- ❑ Living w/ other family member(s)
- ❑ Living w/ partner (other than spouse)
- ❑ Living in foster care

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

- ❑ Has continually resided at the same address
- ❑ Has moved 1–3 times
- ❑ Has moved 4 or more times
- ❑ Transient

Employment at Offense (check one)

- ❑ Unemployed
- ❑ Part-time employment < 32 hrs./wk.
- ❑ Full-time employment 32 hrs./wk. or more

Employment Stability at Offense (check one)

- ❑ Change in employment in last 6 months
- ❑ Change in employment in last year
- ❑ No change in employment in last year

Achieved Skill Level (check one)

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

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

- ❑ Victim(s) male
- ❑ Victim(s) female

Age of victim(s):_____

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

Referral offense(s): _____

Conviction offense(s): _____

Date of offense: _____

- ❑ Misdemeanor (arrest charge)
- ❑ Felony (arrest charge)

Date of sentence: _____

Number of misdemeanors: _____

Number of felonies: _____

Date of conviction: _____

- ❑ Misdemeanor (conviction charge)
- ❑ Felony (conviction charge)

Total number of current offenses: _____

Number of sex offenses: _____

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

Did the Offense Include?	Current Offense	# of Prior Offenses
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
❑ Probation
❑ Jail
❑ Jail and probation
❑ Prison
❑ Prison and probation
❑ Residential placement
❑ Other _____

Sentence length: _____

Criminal History

Type	# of Sex Offenses	# of Other Personal Offenses	# of Property Offenses	# of Drug Offenses	# of Other Offenses
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

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___