

Solicitation name: Encouraging Innovation: Field-Initiated Programs

Applicant: *George Mason University*

APPLICATION FOR

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1. TYPE OF SUBMISSION Application Non-Construction		3. DATE RECEIVED BY STATE		STATE APPLICATION IDENTIFIER
		4. DATE RECEIVED BY FEDERAL AGENCY		FEDERAL IDENTIFIER
5. APPLICANT INFORMATION				
Legal Name George Mason University		Organizational Unit Office of Sponsored Programs		
Address (city, state, and zip code) 4400 University Drive, MSN 4C6 Fairfax, Virginia 22030-4422		Name and telephone number of the person to be contacted on matters involving this application Michael Laskofski (703) 993-2295		
6. EMPLOYER IDENTIFICATION NUMBER (EIN)		7. TYPE OF APPLICANT Public/State Controlled Institution of Higher Education		
8. TYPE OF APPLICATION New		9. NAME OF FEDERAL AGENCY Bureau of Justice Assistance		
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE Number: 16.751 CFDA Title: 16.751 & 16.738 National Initiatives		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT Skills for Offender Assessment and Responsivity in New Goals		
12. AREAS AFFECTED BY PROJECT National				
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICT(S) OF		
Start Date: 10/01/2010	Ending Date: 09/30/2013	a. Applicant VA11	b. Project VA11	
15. ESTIMATED FUNDING		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?		
a. Federal	\$749,898	Program has not been selected by state for review		
b. Applicant	\$0			
c. State	\$0			
d. Local	\$0			
e. Other	\$0			
f. Program Income	\$0	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?		
g. Total	\$749,898	N		
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS REQUIRED.				
a. Typed Name of Authorized Representative Michael Laskofski		b. Title Director, Office of Sponsored Programs		c. Telephone number (703) 993-2295
d. Signature of Authorized Representative			e. Date Signed	

SOARING-2 (Skills for Offender Assessment and Responsivity in New Goals) is proposed to create a suite of web-based tools that can facilitate important development of knowledge and skills to sustain evidence-based practices (EBPs). The goal is to provide SOARING-2 tools that supplement traditional correctional and judicial academies. SOARING-2 is designed to provide in-office skill development for the individual staff and agencies to facilitate the sustainability of evidence-based practices and to provide innovative tools to assist staff in managing offender outcomes. This project is designed to do the following: increase declarative knowledge (“what,” facts, meaning of terms), procedural knowledge (“how”), and strategic knowledge (when to apply the technique) for professionals in a manner that involves cognitive, interpersonal, and psychomotor skills or tasks and to evaluate its impact on outcomes in select probation settings. The project is proposed by Drs. Faye S. Taxman (George Mason University) and Ralph Serin (Carleton University), two veteran researchers who are committed to advancing the use of evidence-based practices in correctional and judicial settings. Dr. Taxman wrote *Tools for the Trade* and interactive tools to help users understand the core concepts of EBPs and strategically plan for implementation. Dr. Serin has developed interactive training that bridges evidence-based practice with correctional decision making. His work is now part of the training standards for all parole board members in Canada, with the National Institute of Corrections recently funding a replication study in the US. The project has three phases: develop the interactive, web-based system; train coaches and correctional agencies to use the system; and assess the effects of mastery of skills on offender outcomes. This project will make available to all staff the tools to learn and practice the skills to use evidence-based practices in all aspects of their work.

SOARING-2: Skills for Offender Assessment and Responsivity in New Goals

**Faye S. Taxman, Ph.D. (George Mason University) &
Ralph Serin, Ph.D. (Carleton University)**

“One shot” training is ineffective in terms of translating knowledge about evidence-based practices into operations. Researchers have found that only about 10 percent of the training is absorbed, and that organizational demands often create a “drift” between acquiring skills and knowledge through training and putting the material into practice. Recent evidence suggests that more attention from professionals should be given to: increasing declarative knowledge (“what,” facts, meaning of terms); developing procedural knowledge (“how”); and applying strategic knowledge (when to apply the technique) (Burke & Hutchins, 2007). Processes that engage people in the cognitive, interpersonal, and psychomotor skills of tasks are the best for developing procedural and strategic knowledge and changing participant’s behavior.

The purpose of the **SOARING-2** (Skills for Offender Assessment and Responsivity in New Goals)¹ is to create a suite of web-based tools that can facilitate these important skills. This suite is useful to drug treatment courts which handle approximately 50,000 offenders a year, probation officers who supervise nearly 6 million offenders in the community, and even prison/jail staff who deal with nearly 2.2 million offenders a year in the U.S. It is valuable, too, to other countries where evidence-based practices are also reframing judicial and correctional practice. The goal is to provide SOARING-2 tools that supplement traditional correctional and judicial academies. SOARING-2 is designed to provide in-office skill development for the individual staff and agencies to facilitate the sustainability of evidence-based practices (EBPs) and to provide innovative tools to assist staff in managing offender reentry.

Sustainability of evidence-based practices is an important challenge with which agencies

¹ There is a companion cognitive behavioral training program for offenders that Dr. Taxman has tested in one experimental study. SOARING-2 would be the companion for criminal justice personnel to learn, practice, and rehearse the skills.

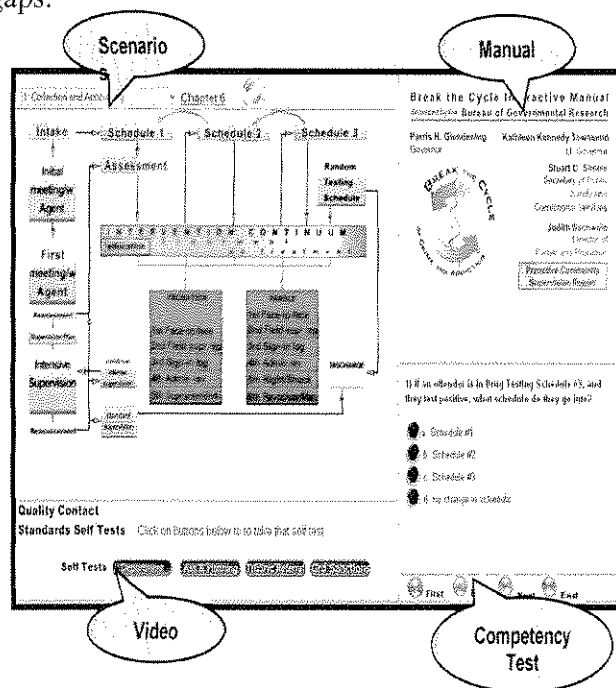
struggle. The concept of sustainability is that the initiative is of value to the organization, and that the field makes a concerted effort to integrate the innovation into daily practice. Sustainability requires the needed tools to deal with everyday issues: a) new leadership in an agency, in the Executive Branch (governor, mayor); 2) staff transferring to new positions; and 3) growth of new technology that challenges staff and does not easily “fit” within current practice. That is, staff movement (and leadership changes) creates opportunity for “drift” because constant challenges result in organizations being comfortable with existing practices. Ignoring new risk and needs tools and their thoughtful integration into drug treatment courts, reentry, supervision, or treatment case plans has been an area of challenge. Latessa and colleagues referred to this drift as “correctional quackery,” since the information gleaned from risk-needs screening tools is seldom used in sentencing, drug treatment courts, or treatment case plans (Latessa, Cullen, & Gendreau, 2002). Recent expansion to the use of risk-need tools in sentencing decisions (i.e., referred to as evidence-based sentencing, see Warren, 2009) places an immediate need on addressing the gaps in knowledge, practice, and utilization of available tools to assist the field in this sustainability effort. The time is now to provide web-based sustainability tools to assist judges, drug treatment courts, probation and criminal justice staff, case managers, correctional counselors, and others (hereafter referred to as criminal justice staff) who are on the forefront of implementing evidence-based practices into sentencing and correctional decision making.

The SOARING-2 project is designed to fill a critical gap that meets the goals specified by the BJA Encouraging Field Innovation: Field Initiated Programs (CFDA #s 16.751 & 16.738). The proliferation of evidence-based information about risk-needs screening and assessment tools in the last decade illustrates the importance of this topic area, and, recently, BJA and other governmental agencies have requested that correctional agencies begin to use risk-needs tools.

While information is available to increase knowledge about risk-needs assessment tools, the same is not true for increasing the skills of personnel in the criminal justice system in the use of this knowledge. The use of risk-needs tools in decision-making requires the ability to understand how to use the information in ways that are not taught in law school (judges), judge school, correctional academies, continuing education, or other professional development tracks. This project is designed to do the following: increase declarative knowledge (“what,” facts, meaning of terms); procedural knowledge (“how”); and strategic knowledge (when to apply the technique) for professionals in a manner that involves cognitive, interpersonal, and psychomotor skills or tasks and to evaluate its impact on outcomes in select probation settings.

The following is designed by Drs. Faye S. Taxman (George Mason University) and Ralph Serin (Carleton University) to fill these gaps.

Both researchers are at the forefront of the evidence-based practices movement and are committed to developing user-friendly tools to assist the field in this task. Dr. Taxman has developed various technology tools including SMART/WITS case management system, SNOCCONE for contingency management, and Break the Cycle/PCS interactive learning tool (see exhibit to right).



This tool supplements the document *Tools for the Trade*, a National Institute of Corrections document that is used by more than 50 correctional agencies in their training of staff. This tool was developed to improve the skills of probation staff and was

used in a protocol that was found to reduce recidivism of offenders (Taxman, 2008). Dr. Serin has also developed interactive training that bridges evidence-based practice with correctional decision making. The training was delivered to 1500 parole officers in Canada in 2009. Along with this training is a structured decision guide for parole boards that has been demonstrated to reduce decision errors and improve case analysis. It is now part of the national training standards for all parole board members in Canada, with the National Institute of Corrections recently funding a replication study in the U.S. Dr. Serin's work uses web-based vignette assessments that provide a virtual learning platform for corrections staff.

The project will develop: 1) knowledge and skill-based competency measures to complement the use of EBPs in correctional settings (i.e., motivational enhancement, treatment processes, contingency management, and working alliance skills in real world scenarios); 2) web-based tools to teach new skills and measure (through online competency tests) knowledge and skill acquisition; and 3) an interactive (virtual) simulation to provide the user with feedback and "expert advice." The interactive training boosters are designed to help criminal justice staff and treatment counselors: 1) *understand* the EBPs with an emphasis on mechanisms that facilitate offender change processes; 2) *practice* evidence-based treatments and their associated skills in decision making choices; and 3) *receive feedback* during practice sessions to improve their intuitive use of evidence-based practice tools in real operational decisions. SOARING-2 interactive tools are designed to instill the evidence-based knowledge into the user's daily "tool-kit" (referenced as change concepts and change skills).

Opportunity and Potential Impact

The criminal justice system is a large workforce with over 1.1 million employees (excluding law enforcement) that interact on a daily basis with the over 8 million adults and 650,000 youth

involved in the system. For EBPs to be routinely used, a need exists for staff to integrate change talk and decisions into their own cognition of plausible scenarios. The proposed tools are designed to target the large audience of criminal justice personnel who are on the “front line.” A desperate need exists for the staff to move from awareness of evidence-based practices to utilization. Interactive simulation tools, involving game-like formats that engage the user in a series of cognitive mapping processes focusing on skill enhancement in their language and choices, have been shown to facilitate mastering skills needed to use evidence-based practices (Stevens et al., 2006).

The goal is to develop tools that assist users in gaining a greater intuitive understanding of how evidence-based practices can inform daily conversations and interactions with offenders by incorporating change talk, processes, and decisions into these daily opportunities. Stated simply, the difference between “telling an offender to go to treatment” and “helping an offender to assess his or her decision not to attend treatment” is *more* than a matter of style. The former (authoritarian, confrontational) is the traditional approach, while the latter (shared decision-making, problem-solving, motivational) incorporates concepts underlying social learning and behavioral modification techniques. The emphasis on cognitive-behavioral processes serves to address the offender’s pre-contemplative state about the severity of his or her disorder and the choices he or she may select. The use of cognitive mapping and processing approaches is designed to assist the offender in learning to make better decisions. It also serves to build the working alliance among the vested parties (criminal justice and treatment personnel and the client/offender), which has also been shown to be important in change processes (Norcross, 2002). Interactive training tools are effective in improving decision-making skills of users, even in the difficult “soft skills” of problem-solving strategies, interpersonal skills, and motivational

language (Cronin & Cronin, 1992). The quandary is how to implement training and skill development in the workplace. Traditional training begins the process, but skill development is incremental. Interactive simulation tools that provide practice sessions, impromptu decision-making, and feedback are useful to fill the void left by available classroom-based training materials. SOARING-2 fills this void through continued online learning techniques that provide for easy access to skill development and facilitate widespread utilization of EBPs. The web-based nature of the SOARING-2 tools will permit users to routinely review materials as needed and to avail themselves of learning moments and viable, strategic responses consistent with EBP.

Project Design

We have developed the SOARING-2 project in three major phases.

Phase 1: Design and Implementation of the SOARING-2 System

The first step in this process is to design the system. We envision that the system will cover the following topics: *Risk Need Instruments*, *Case Plans (how to do a case plan)*, *Behavioral Rating Sheets (tools that can be used to gauge the progress of the offender)*, *Change Talk Exercises (techniques to engage the offender in change and to work on developing intrinsic motivation)*, and *Agency Performance Tools (tools to determine how the staff are using the EBP concepts and to measure performance)*. Given space limitations, we cannot describe each curriculum; instead we have provided an appendix that includes a few of the tools that might be available in the SOARING-2 web suite. To ensure use by the field we are only using public domain tools to ensure that all components are available to the field (see Appendix A).

Advisory Group. We will assemble an Advisory Group that will assist in evaluating the representativeness of the e-learning content to ensure its face validity and potential utility. Planned Advisory Group members (Bev Arseneault, Director General, Community

Reintegration, NHQ, Correctional Service Canada; Le'Ann Duran, Director, National Reentry Resource Center, Council of State Governments; Susan Turner, Professor of Criminology, Law and Society, Director, Center for Evidence-Based Corrections, University of California, Irvine; and Carolyn Hardin, Executive Director of the National Drug Court Institute, the training arm for drug treatment courts). We will also ask BJA to assist in assembling a group of content-specific experts from various federal agencies such as the National Institute of Corrections, National Institute of Justice, Office of Juvenile Justice and Delinquency Prevention, Administrative Office of the Courts, and Bureau of Prisons to name a few.

Proposed Curriculum Style. We propose to develop an e-learning curriculum in the areas of: *Risk Need Instruments, Case Plans, Behavioral Rating Sheets, Change Talk Exercises, and Agency Performance Tools*. The goal is to ensure that the tools focus on skills of: 1) enhancing offender motivation and engagement; 2) risk assessment; 3) correctional interventions and programs; and 4) crime desistance. These tools were highlighted in a recent training that was developed and implemented for all 1,500 criminal justice staff officers in federal corrections in Canada (Serin & Gobeil, 2009) and 600 staff involved in the Maryland Proactive Community Supervision Project (see Taxman, Shepardson, & Byrne, 2004). SOARING-2 will have embedded in it a knowledge test for such a curriculum.

General Framework. SOARING-2 will be built on case vignettes to assess decision making skills (see Gobeil & Serin, *in press* and Taxman, Shepardson, & Byrne, 2004), as shown in the attached text box. The system will begin by assessing the staff competencies in the areas of risk-need assessment, case plans, offender motivation, change talk strategies, and agency performance tools. We plan to measure staff ability to apply the content presented in e-learning curriculum. This will be enhanced by providing individualized feedback and a decision loop so

Motivation & Engagement EBP Curriculum

1. A majority of offenders present as pre-contemplative, meaning they are not ready for treatment. Systematic assessment of motivation should be part of ongoing management of offenders.
2. Change is rarely a steady progression, but with ebbs and flows. While internal change is preferred, external events can trigger initial efforts to change.
3. Treatment resistance can be addressed by assisting the offender to review their offence chain in terms of costs and benefits.
4. Some demonstrations of motivational interviewing have yielded reductions of re-offending of approximately 20%.

Case Vignette: 34-year-old moderate risk male offender on supervision after completing a 6-year prison sentence for robbery and possession of drugs. During the first supervision meeting he basically tells you that he got railroaded, that he doesn't have a drug problem, and that he just needs a chance. He says his girlfriend wants him to take addictions counseling but he thinks this is a waste of time. He said he was on community supervision previously and his probation officer was a jerk.

Your best option is:

- Don't push back, he is trying to antagonize and have an excuse to dislike you. Change takes time. Work on engagement; ask about his girlfriend.
- Remind him that initial time of release is the most critical time, so he needs to get on track.
- Remind him that addictions counseling has been proven to be effective in helping people stay crime free.

Learning Moments: Taking addictions counseling but seems to be going through the motions. Argument with boss and recently fired from job. Getting frustrated at his situation. Somewhat agitated previously and missed last session. Now he has shown up, but 30 minutes late.

Your best option is:

1. Being supportive and telling him things will get better. He is not a high risk offender and is at least showing up for counseling.
2. Tell him if he is late again you will suspend him. Let him know who is boss.
3. Problem solve, try to set some short term goals. Investigate why he has been late and what he needs to do to make improvements in meeting conditions.

that staff may incorporate the feedback to improve competency. Next, a web-based platform will provide learning moments to probation staff and encourage them to transfer their recent learning to these challenging situations. These learning moments are intended to reflect critical interactions between the offender and criminal justice staff officer. Skilled resolution is expected to enhance outcome (e.g., successful re-entry, reduced violations, etc.). These learning moments and responses will be developed by an advisory group and considered in terms of representativeness, frequency, skill level, and potential discretion by the criminal justice staff officer to resolve.

Evidence-Based Practice Curriculum.

The curriculum will include: 1) Principles of motivation and engagement; 2) Principles of risk assessment; 3) Principles of correctional programming and intervention; and 4) Principles of offender change and crime desistance.

Case Vignettes. Case studies reflecting the key aspects of the EBP curriculum (4 cases for

each domain area) will be developed and presented as hypothetical vignettes. The vignettes require the probation officer to analyze the information and indicate a preferred strategy or decision. This is an initial investigation of transfer of EBP knowledge to new situations. Similar research has been conducted in the area of parole decision-making (Gobeil & Serin, 2010). These vignettes will be rated for representativeness.

Learning Moments and Change Talk. Key situations occur during parole supervision (i.e., offender is late, offender swears at probation officer, offender misses curfew) which can influence offender change depending of the officer's response (Skeem, Loudon, Camp, & Polaschek, 2007). Responses that are unduly punitive may fail to adequately support offenders' legitimate efforts, whereas being too rehabilitative may fail to attend to considerations of risk. These situations may be viewed as learning moments which provide opportunities for officers to engage in change talk that is expected to influence offender behavior, similar to the manner in which motivational interviewing has been applied to corrections. The intention is to utilize this technology to further develop mastery by probation staff in order to enhance offender outcomes. Ratings of treatment readiness will also be considered (Serin, Mailloux & Kennedy, 2007). An additional consideration will be to highlight a Level of Concern matrix whereby probation officers (POs) are instructed in risk management through the analysis of both likelihood (how likely is a certain risk factor to be present) and severity (what is the likely severity if the offender reoffends) indices. Such analysis will assist staff to review their internal decision processes as they manage offenders on their caseload.

Internal Rating Scales. To assist staff, several new rating scales have been developed to measure offenders' beliefs about change and crime desistance, which will be used as part of this grant. As well, a new dynamic risk scale (Dynamic Risk Assessment of Offender Reentry; Serin

& Mailloux, 2008) has been validated and nationally implemented by probation services in New Zealand. Initial results are encouraging in terms of incremental predictive validity relative to static statistical risk instruments. In that this behavioral rating scale assesses acute dynamic factors and protective factors, staff can use it to help understand where to situate the offender along the change continuum and to better manage cases. The identification of dynamic risk factors would require new risk management strategies, and the identification of protective factors would introduce the opportunity to reinforce strengths, especially at times of challenge. In addition, we will include several agency performance tools such as the Maryland Proactive Community Supervision Tool Quality Contact Standards. This tool can be used to assess the interaction with the offender around EBP principles (see Appendix A) and to have supervisors assess how much the staff are using the EBPs.

Characteristics of the system. Essentially the SOARING-2 system will include: 1) Basic graphics and audio feedback to users for engagement; 2) Use of an existing e-learning framework to limit costs; and 3) Curriculum developed by subject matter experts. e-Learning Model. The e-learning solution follows an iterative Stage-Gate methodology designed to consider content, functionality and skills application. For this Learning Management System, distinct stages or domains are separated by decision gates (mastery) and build on earlier knowledge acquisition for seamless transition. The goals are knowledge acquisition and transfer of this knowledge to real-world situations.

Critical components of the existing EBP literature are used as building blocks for subsequent learning and skills application. The stages can be completed at the user's pace, permit exit and reentry, and measure knowledge upon completion. Mentoring from specially selected and trained coaches will be provided throughout the e-learning experience. Mastery (75% correct) is

required before proceeding to the next phase. Prior to the e-learning, users will complete questionnaires regarding approaches to supervision that will permit this initiative to begin to investigate competencies that are related to improved outcomes. Following the training, probation officers will rate offenders regarding change and crime desistance expectancies using measures developed from current research (Serin & Lloyd, 2009; Lloyd & Serin, submitted). The expectation is that these expectancies will predict reentry success, thus becoming important targets within a correctional intervention model.

System Features. The system will be hosted on the website of the Center for Advancing Correctional Excellence (ACE!), which is directed by Dr. Faye S Taxman at George Mason University. The system will have host server selection and configuration, database selection and installation, and security system criteria. There will be various models that facilitate session management and different user roles and validation mechanisms. Each level will have different tasks. Extensive testing for user interface and capacity will precede launching of the website. We will also work with various associations to have links to the website such as the National Association of Drug Court Professionals/National Institute on Drug Courts, American Probation and Parole Association, American Correctional Association, and International Community Corrections Association.

Database Development. User responses for the e-learning and questionnaires will be collated on a database for eventual comparison with offender outcomes. Peer and coach ratings will be collated. Further, behavioral ratings of offenders regarding crime desistance expectancies will be gathered to determine if the training enhances offender change. Identifiers will be removed to meet confidentiality requirements. User evaluations will be also maintained on a database, as will mentor evaluations of probation officers in order to investigate differential

impact on offender reentry. Finally, in that this is a feasibility initiative, the content of the e-learning platforms will be organized in a source database such that revisions will be easily facilitated.

Phase 2: Pilot Testing and Training the Coaches in SOARING-2

The e-learning materials will be pilot tested on a small sample of probation officers and probation supervisors to ensure satisfactory user interface. The Advisory Group will have already addressed the representativeness of the materials. Stress testing will also be conducted prior to full implementation to limit technological problems, especially in terms of feedback loops. In the phase, we will solicit sites to participate in this demonstration project and selection will be made using organizational readiness criteria. Up to 10 sites will be selected and asked to identify 1-2 experienced probation staff supervisors who will function as coaches for 15-20 probation officers. The coaches will receive three days of enhanced training regarding the curriculum. The coaches will provide onsite support and feedback regarding the three phases of e-learning curriculum. Coaches will have access to user responses to the e-learning assessments to facilitate discussion and mastery. The PIs will provide ongoing technical assistance to coaches, as required. The coaches and Advisory Board will review the SOARING-2 system during the coaching session and provide feedback on the SOARING-2 system. Drs. Taxman and Serin will use this feedback to refine the system. The pilot phase will be 12 months.

Sites will be asked to nominate probation supervisors or drug court coordinators who would fill the roles of coach and mentor for the probation staff who participate in the e-learning. Sites will be provided a list of selection criteria, and coaches will complete an online survey regarding their experience and perspectives regarding probation supervision. The selected coaches will participate in a three-day interactive training session developed specifically to reflect all three

phases of the e-learning curriculum.

Phase 3: Impact/Outcomes Measures & Evaluation/Plan

The outcomes and performance measures are detailed below. Data will be collected from various tasks described above, and reported quarterly to Bureau of Justice Assistance. The design for the evaluation of this newly developed e-learning curriculum is to use information embedded in the system such as user satisfaction, number of tries to achieve mastery on the post-test scales, number of times using the system per user, and questions sent to Drs. Taxman & Serin about material in the system. That is, we can build in the system a number of tools that can determine whether the user is obtaining mastery of skills as well as the degree to which the person uses the tool. This will be the first step in the evaluation process. We will also obtain feedback from the coaches and the pilot sites to learn about their experience with the system. Using research techniques, the team will determine the utility and effectiveness of the SOARING-2 system in helping the users to apply their skills in the workplace. Measures of utility and effectiveness will be obtained through administrative files. We will acquire administrative data sets from select agencies (at least 3) to examine the outcomes of the offenders that are involved with staff using the system in terms of the following measures: time to first suspension or revocation, rates of revocation when risk is controlled; behavioral ratings of offenders' expectancies of crime desistance; employment obtained; duration on the job; etc. Baseline comparisons of outcomes for each PO/criminal justice personnel and within the agency will be conducted with post-training outcomes to evaluate the impact of training on staff and agency behavior. Curriculum performance will be evaluated in terms of staff experience. All but the behavioral ratings will be collated from the e-learning platform and agency databases. Dr. Taxman has used administrative (agency) databases from over 100 correctional agencies and is

familiar with the techniques of using data sets to develop performance measures such as technical violation rates, drug test positive rates, completion of supervision rates, and others. We will use these data sets to determine the degree to which the mastery affects outcomes from supervision, drug treatment court, reentry, or other criminal justice initiative.

Goals	Performance Measures	Data Grantee Provides
Develop the curriculum for the e-learning materials	Ratings of relevance of EBP curriculum by Advisory panel and selected experts. Ratings of representativeness of vignettes and learning moments by Advisory panel and selected experts.	Number of aspects of curriculum that build capacity within an agency in terms of EBP. Number of experts/agencies that participate in reviewing the curriculum. Number of stakeholders that support the curriculum.
Identify Coaches in 10 Correctional Agencies	Percentage of correctional agencies that we approach that are willing to send a staff member to be trained as a coach. Percentage of coaches that complete the course. Percentage of coaches meeting mastery level on e-learning curriculum.	Number of correctional agencies that participate in the coaching component.
Recruit Probation Officer (and any CJ or drug court personnel) Participants	Percentage of POs /CJ personnel who agree to participate. Percentage of POs/CJ personnel who complete the curriculum to mastery level. Percentage of POs/CJ personnel who complete the behavioral ratings.	Number of personnel who participate. Number of tries per personnel to achieve mastery (to compare with reentry outcomes and behavioral ratings of desistance).
Evaluation of curriculum	User ratings of satisfaction, representativeness and utility of vignettes and learning moments. Comparison of demographics of CJ personnel and performance measure of mastery.	Number of evaluation surveys completed by CJ personnel. Number of CJ personnel who indicate improved ability to apply EBP in supervision of offenders. Number of CJ personnel who meet mastery at test. Number of hours to complete e-learning curricula. Number of ratings scoring satisfactory of better on each curriculum.
Evaluation of impact on reentry/drug treatment court, probation, parole outcomes	Baseline and post-training levels of re-offending, violations of conditions. Behavioral ratings of offender expectancies.	Number of offenders with improved outcomes relative to baseline. Costs benefits of post-training outcomes.

Improved capacity of the criminal justice system to effectively manage resources and enhance re-entry, drug treatment court outcomes, probation outcomes	Percentage of project plan outcomes met. Percentage of project tasks successfully completed that address capacity building.	Number of project tasks that were completed during the reporting period. Number of total project tasks. Number of project tasks that were completed during the reporting period that build capacity.
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Budget Detail Worksheet

Purpose: The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

A. Personnel - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
		SUB-TOTAL <u>\$77,807.00</u>

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
		SUB-TOTAL <u>\$17,434.00</u>
Total Personnel & Fringe Benefits		<u>\$95,241.00</u>

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
Stakeholders meeting		Lodging	3 nights X198 X1.5 rate x 2	\$1,782.00
Travel entry		per diem	2 people x 2 travel days (97x)	\$475.00
Mileage	to and from meetings, to an	mileage		\$750.00
Airfare			2 people x 600 per flight	\$1,200.00
Travel entry 5				
Travel entry 6				
Travel entry 7				
TOTAL				\$4,207.00

D. Equipment - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). Expendable items should be included either in the "supplies" category or in the "Other" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
Equipment entry 1, one line per entry		
equipment entry 2		
equipment entry 3		
equipment entry 4		
equipment entry 5		
TOTAL		\$0.00

E. Supplies - List items by type (office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$5,000, such as books, hand held tape recorders) and show the basis for computation. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
Meeting Supplies, binders, etc	binders, dividers, flip charts	\$200.00
supply item 4		
supply item 5		
supply item 6		
supply item 7		
supply item 8		
supply item 9		
TOTAL		\$200.00

F. Construction - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Check with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
four lines per entry, use boxes below or an additional page for more space if required		
TOTAL		\$0.00

G. Consultants/Contracts - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
Supply item 1, one line per entry	maximum of three lines		
Supply item 1, one line per entry			
Supply item 1, one line per entry			
Supply item 1, one line per entry			
<i>Subtotal</i>			\$0.00

Consultant Expenses: List all expenses to be paid from the grant to the individual consultants in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
Consultant expense entry 1, one line per	maximum of three lines		
	maximum of three lines		
Consultant expense entry 1, one line per	maximum of three lines		
<i>Subtotal</i>			\$0.00

Contracts: Provide a description of the product or service to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
Meeting support, contractual food - \$44 per person x 30 people x 2 days breakfast = \$18 per person x 30 x 2 lunch = \$26 per person x 30 x 2	\$2,700.00
<i>Subtotal</i>	
TOTAL	
\$2,700.00	

H. Other Costs - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, or provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
Tuition- GRA	12x 573 x 1.1	\$5,676.00
GRA Health Insurance	1x1400	\$1,400.00
Subcontract- Carleton University	1 x133,368	\$133,368.00
Printing /photocopying-	\$.10 per copy x 3000 copies=\$300.00	\$300.00
TOTAL		\$140,744.00

I. Indirect Costs - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
Modified Total Direct Costs		\$58,080.00
Modified Total Direct Costs		
TOTAL		\$58,080.00

Budget Summary- When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

Budget Category	Amount
A. Personnel	\$77,807.00
B. Fringe Benefits	\$17,434.00
C. Travel	\$4,207.00
D. Equipment	\$0.00
E. Supplies	\$200.00
F. Construction	\$0.00
G. Consultants/Contracts	\$2,700.00
H. Other	\$140,744.00
Total Direct Costs	\$243,092.00
I. Indirect Costs	\$58,080.00
TOTAL PROJECT COSTS	\$301,172.00
Federal Request	\$301,172.00
Non-Federal Amount	_____

Budget Narrative:

Personnel:

Faye S Taxman, Ph.D. is a University Professor in the Administration of Justice Department and Director of the Evidence-based Corrections and Treatment program at George Mason University. Dr. Taxman is recognized for her work in the development of the seamless systems of care models that link the criminal justice with other service delivery systems and reengineering probation and parole supervision services. Her expertise is in system flow and design of seamless system models. She has active “laboratories” with her 18 year agreement with the Maryland Department of Public Safety and Correctional Services. She is a Fellow of the Academy of Experimental Criminology. She has developed several models and tools for the field including SMART/WITS case management system, SNOCONe for contingency management, and Break the Cycle interactive learning tool. She is a member of the Criminal Justice Drug Abuse Treatment Studies research cooperative funded by the National Institute on Drug Abuse.

She will the project and provide oversight for all of the study materials. She will supervise the development of the SOARING-2 material and work closely with Dr. Serin. She will supervise the staff and will work with the national associations to ensure collaboration as she has done on many other projects including the National Criminal Justice Treatment Practices survey under the Criminal Justice Drug abuse Treatment study cooperative.

Amy Murphy, MPA will be the Project Director overseeing protocols and procedures. She will manage the design of the SOARING 2 System and will arrange monthly status phone calls with

Carleton University. She will dedicate 25 percent of her time in each year of the project to work on the design.

Susan James Andrews, MA in Counseling, will work on the design of the SOARING-2 material and train the coaches for the material. Ms. James-Andrews has worked with substance abusers in the community, residential treatment within courts, drug courts, prisons and probation services for adults, juveniles and tribal for over 25 years. In addition to working with George Mason University she is President/CEO of a double (African American and Female), minority owned business, James-Andrews & Associates, where she has provided training and technical assistance to courts, correctional entities, prevention and treatment providers. For the past 5 years she has worked with Dr. Taxman on prison projects in Virginia and Maryland focusing on enhancing communications inside and outside the walls between offenders and correction professionals (adult and juvenile), and developed curriculums for those studies. Ms. James-Andrews has directed programs in Washington, DC for persons with substance abuse and co-occurring mental health needs and a tri-disorder program (substance abuse, mental health and developmental disabled). She received certification as an addictions counselor in Washington, DC. She has been a consultant for the Department of Justice (DOJ), Bureau of Justice Assistance (BJA), SAMHSA, and other Federal and State agencies.

Graduate Doctoral Student (Research Assistant): The GRA will work on materials, pilot the materials, and work with the study team on manuals and documents for the website. The requested salary for this student is as follows:

Fringe Benefit Rates at George Mason University:

Consultants: None

Equipment: None

Travel: International travel will be required to attend one meeting per year at Carlton University (Canada) for project activities.

In year one, we will host a stakeholders meeting to get input into the desired manuals and web based tools. The funds required to support the Stakeholders meeting are in Year 1 is \$4,207 (Subsistence \$475, Mileage \$750, and Lodging \$1,782 and foreign airfare \$1,200 (\$600 per person x 2 people.))

In year 2, we will have up to 30 coaches attend a meeting at George Mason University. The amount requested to support the travel is in Year 2 is \$4,418 (\$1,871 for lodging, \$499 for mileage, \$788 for subsistence, and \$1,260 for airfare to Canada.)

In year 3, we will make presentations at the American Probation and Parole Association, American Correctional Association, and other professional associations to display SOARING-2 website and materials. In year 3 travel requested is \$4,639 (\$1,965 for airfare, \$524 for mileage, and \$827 for subsistence/per diem. Foreign Travel is \$1,323.)

The total amount requested for travel is \$13,264 (Year1- \$4,207, Year 2- \$ 4,418, and Year 3- \$4,639.)

This budget line is based on the following assumptions:

Round trip airfare:

1 trip = \$450 per flight

Meals and other per day:

Calculated based on \$64 per diem

Lodging:

Lodging calculated at a local high rate of \$200 per night

Mileage

Mileage to be reimbursed at .55 per mile for trips less than 100 miles per day

Mileage over 100 miles per day will be reimbursed at .246 cents per mile

These estimates were based on high local per diem and lodging rates. All costs will be reimbursed as allowable by state law.

Supplies:

Meeting supplies such as binders, photocopies and printing and/or toner costs will be required to support the meetings each year. The amount requested for meeting supplies is \$200 each year.

Other Expenses:

Tuition: Tuition support for the GRA is requested each year. The amount of support requested is as follows: Year 1- \$5,676, Year 2- \$6,244 and Year 3- \$6,868. Tuition includes a 10 percent escalation each year.

GRA health insurance is requested in the amount of \$1,400 for each year.

Meeting support/Contractual Food will be required for the Stakeholders Meeting. This will be contractual food and beverage and will provide breakfast and lunch for each day of the meeting for the participants (approx 30 people) and follows state guidelines and allowances for business functions. The amount requested for this support is as follows: Year 1- \$2,700, Year 2- \$2,835 and Year 3-\$2,977.

Printing /Photocopying will be required to support the production of papers, and special publications. These costs are estimated at \$300 in Year 1, and \$150 per year in Years 2 and 3.

Subcontract- We will issue a subcontract to Carleton University. As part of the team, Dr. R. Serin will develop web-based learning materials for criminal justice staff training as well as develop measures of offender change, dynamic risk and reentry success. Specifically, Dr. R. Serin will develop the content for the e-learning curriculum relating to evidence-based practice and its application to case vignettes and learning moments and oversee its application on web-based platform. He will also develop behavioral rating scales to assist staff in the assessment of aspects of offender change, crime desistance, and dynamic risk, as well as providing training and technical assistance regarding these materials. Further, he will conduct analyses, as determined by the PIs and the Advisory group and contribute to the completion of reports and papers from this work.

The amount requested for this subcontract is as follows:

Year1- \$133,368, Year 2-\$60,178 and Year 3-\$60,178. The total amount requested for this subcontract is \$253,724.

Webinar and Website: GMU offers to faculty the use of their webserver, teleconferencing and IT resources. We intend to use these resources to host a website and any possible webinar sessions. There is no cost to the sponsor for these services. We will host the simulation model on the website of Dr. Taxman's Center for Advancing Correctional Excellence!

Subcontract Costs: A subcontract to Carlton University will be given to partner in this project. Ralph Serin, Ph.D. will be the lead on this and will work with Dr. Taxman in the design and implementation of this work. The amount of this subcontract is broken down as follows: Year1-

\$133,368, Year 2- \$60,178, and Year 3-\$60,178. The total amount requested for this subcontract is \$253,724.

Subtotal Direct Costs: Year 1: \$243,092; Year 2: \$173,534; Year 3: \$177,482.

Facilities and Administrative Costs: F/A for George Mason University

BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. Totals		\$	\$	\$	\$	\$

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	26,000.00	26,000.00	26,000.00		
b. Fringe Benefits					
c. Travel	5,820.00	5,120.00	5,120.00		
d. Equipment					
e. Supplies	300.00	150.00	150.00		
f. Contractual	80,000.00	8,000.00	8,000.00		
g. Construction					
h. Other	6,000.00	6,000.00	6,000.00		
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges	15,248.00	14,908.00	14,908.00		
k. TOTALS (sum of 6i and 6j)	\$133,368.00	\$60,178.00	\$60,178.00	\$	\$
7. Program Income	\$	\$	\$	\$	\$

Budget Justification - Serin

Travel costs are for the co-PI to travel to Washington up to 3 times each year to meet with the co-PI and the Advisory Group. In the first year, additional costs reflect the 3-day coaches training at George Mason University. An additional meeting each year will be held at Carleton University for a total of 4 meetings per year. Supplies reflect printing and related costs for the training and phone costs to provide technical assistance to coaches.

The contractual costs in year 1 are for the development of the e-learning platforms for all 3 types of training curricula (evidence-based practice, case vignettes, learning moments). In years 2 and 3, funds are included to ensure refinements to the content following feedback from the coaches and the stress testing, trouble shooting and responding to inquiries from users, database management and downloading of evaluation data in preparation of analysis, and security requirements for the hosted website.

Indirect costs at a rate of 40% apply to all costs except the contractual work.