NP National Parole RC Resource Center







Paroling Authority Self-Assessment Checklist

The National Parole Resource Center (NPRC) is administered by the Center for Effective Public Policy and funded by the Office of Justice Programs' Bureau of Justice Assistance. The NPRC has defined ten "practice targets" to assist paroling authorities to carry out their risk reduction goals more effectively. The following checklist offers a structured, self-assessment guide to assist paroling authorities to consider their current practices. Through this exercise, paroling authority members can gain insight into how their practices compare to the ten practice targets, and where can focus further attention in strengthening their work. The ten practice targets are:

- 1. Use empirically-based actuarial tools to assess risk and criminogenic needs of offenders.
- Develop and use clear, evidence-based, policydriven decisionmaking tools, policies, and guidelines that reflect the full range of a paroling authority's concerns (e.g., punishment, victim issues, community safety, etc.).
- Maintain meaningful partnerships with institutional corrections and community supervision (and others) to encourage a seamless transition process and the availability of sound, evidence-based programs.
- 4. Use influence and leverage to target institutional and community resources to mid and high-risk offenders to address their criminogenic needs.
- Consider releasing low risk offenders at the earliest stage possible – in light of statuses and other sentencing interests.

- 6. Use the parole interview/hearing/review process as an opportunity to—among other goals—enhance offender motivation to change.
- Policies governing supervision conditions should minimize requirements on low risk offenders, and target conditions to criminogenic needs of medium and high-risk offenders.
- Develop policy-driven, evidence-informed responses to parole violations that incorporate considerations of risk, criminogenic need and severity, assure even-handed treatment of violators, and utilize resources wisely.
- 9. Develop and strengthen case-level decision making skills/capacities in these areas.
- Develop and strengthen agency level policy making, strategic management and performance measurement skills/capacities.

Boards should answer the series of questions that follow each practice target in this checklist as a group, in order to identify areas for further consideration as they continue to enhance their practices. For a full version of this document, which contains a full list of references and background information on each target, users can access the *Paroling Authority Self-Assessment Toolkit* at http://nationalparoleresourcecenter.org/toolkit2/.

This document is supported by Grant Number 2014-DB-BX-K011, awarded by the Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice. The opinions, findings, conclusions, and recommendations expressed in this document are those of the author(s) and do not necessarily reflect the views of the Office of Justice Programs, Department of Justice.

Practice Target 1: Use good, empirically-based actuarial tools to assess risk and criminogenic needs of offenders.

Empirically-based risk assessment tools provide a more accurate statistical probability of reoffense than professional judgment alone, and the use of actuarial tools has been demonstrated to improve prediction rates. The best predictive outcomes result from a combination of using empirically-based actuarial tools and supplementing those assessments with clinical judgment. While these instruments cannot determine any one individual's risk level with absolute certainty, they can identify the outcome of large groups of individuals with similar characteristics.

	NOT IMPLEMENTED 1	HARDLY IMPLEMENTED 2	SOMEWHAT IMPLEMENTED 3	MOSTLY IMPLEMENTED 4	FULLY IMPLEMENTED 5
Do you as a Parole Board Member have access to empirically based risk and needs assessment tools?	O 1	C 2	O 3	C 4	O 5
Have they been empirically validated on your population?	C 1	€ 2	C 3	C 4	C 5
Do you have specialized tools available, (sex offenders, women offenders, offenders with mental illness?)	C 1	€ 2	C 3	C 4	C 5
Have you received training on the implications and use of all of these tools?	C 1	€ 2	C 3	C 4	C 5
Does (at least one of) the tool(s) predict risk of recidivism?	C 1	€ 2	© 3	C 4	C 5
Does (at least one of the) tool(s) assess criminogenic need?	C 1	€ 2	€ 3	C 4	○ 5
Does the information you receive translate the risk/need scores so that the risk level and domains of need are clear?	C 1	€ 2	C 3	C 4	C 5

How and when are these tools used?

	NOT IMPLEMENTED 1	HARDLY IMPLEMENTED 2	SOMEWHAT IMPLEMENTED 3	MOSTLY IMPLEMENTED 4	FULLY IMPLEMENTED 5
At some point during incarceration to adjust programming requirements?	C 1	C 2	O 3	O 4	O 5
At the point of transition/reentry to assist with case management?	C 1	O 2	O 3	O 4	O 5
For release decisionmaking?	O 1	<u> </u>	O 3	O 4	O 5
To determine what is expected offenders— regarding treatment or other services—in order for them to be considered favorably for parole?	C 1	C 2	C 3	C 4	ℂ 5
To determine what conditions of parole might be appropriate/linking the offender with interventions to address their criminogenic needs assessed as medium or high?	C 1	€ 2	O 3	C 4	○ 5

Practice Target 2: Develop and use clear, evidence-based, policy-driven decisionmaking tools, policies, and guidelines that reflect the full range of a paroling authority's concerns (e.g., punishment, victim issues, community safety, etc.). Studies have shown that boards that have explicit release decisionmaking guidelines, and follow them in a majority of cases, are better able to accomplish their goals for offenders than those same boards prior to the use of guidelines. Research demonstrates that swift responses to non-compliant behavior reduce the likelihood that the behavior will be repeated; the certainty of a response to non-compliant behavior results in reductions in future deviance; and it is not the severity of the response that is a determinant in whether the behavior will be repeated, but the certainty of the response. Does your board:

	NOT IMPLEMENTED 1	HARDLY IMPLEMENTED 2	SOMEWHAT IMPLEMENTED 3	MOSTLY IMPLEMENTED 4	FULLY IMPLEMENTED 5
Have written (in statute, policy, or rules) guidance about what factors you are to consider in making parole release decisions?	O 1	C 2	O 3	O 4	○ 5
Have written guidance on whether and/or how you should or must use tools to assess those factors in your decisionmaking process?	O 1	C 2	O 3	O 4	O 5
Have structured decisionmaking policy/guidelines articulating factors considered for release?	O 1	C 2	O 3	O 4	O 5

If so, does this policy include:

it so, does this policy include:	NOT IMPLEMENTED 1	HARDLY IMPLEMENTED 2	SOMEWHAT IMPLEMENTED 3	MOSTLY IMPLEMENTED 4	FULLY IMPLEMENTED 5
A statement that the parole decision is discretionary, and that the guidelines are meant to be merely advisory?	O 1	O 2	O 3	O 4	O 5
A goal statement about the purpose of release decisionmaking (i.e., to identify individuals who have been held accountable/can be managed safely in the community)?	C 1	€ 2	C 3	C 4	O 5
Key values in the statement to communicate to staff and others the principles upon which the policy is based (public safety, fundamental fairness, and proportionality, etc.)?	C 1	ℂ 2	C 3	C 4	O 5
The use of empirically-based, actuarial risk and needs assessment, and how it will be factored into a decision?	O 1	C 2	O 3	O 4	€ 5
The offense of conviction in a way that defines, by policy, the limits of appropriate punishment/accountability?	O 1	C 2	O 3	O 4	O 5
A method (e.g., decision making grid, matrix) that weights relative differences including level of risk and the severity of offense of conviction, resulting in a "guideline range" or whether a case is "likely" or "unlikely" to be paroled?	C 1	ℂ 2	C 3	C 4	€ 5
An allowance to consider unique conditions in a case that may suggest that the appropriate response is more intensive or less intensive than the "guideline" might indicate?	C 1	€ 2	C 3	C 4	O 5
The possibility for an offender or a member of the public to review the facts of a specific case and determine whether, in a typical situation, such a case would be likely to be paroled?	C 1	C 2	С 3	C 4	C 5

Practice Target 3: Maintain meaningful partnerships with institutional corrections and community supervision (and others) to encourage a seamless transition process and the availability of sound, evidence-based programs. Although paroling authorities are typically independent from those agencies that are responsible for correctional institutions and those responsible for post-release supervision, assuring some coherence in the transition and release process heightens the ability to assure successful outcomes. Does your board:

	NOT IMPLEMENTED 1	HARDLY IMPLEMENTED 2	SOMEWHAT IMPLEMENTED 3	MOSTLY IMPLEMENTED 4	FULLY IMPLEMENTED 5
Participate on established committees to address cross agency issues of concern?	O 1	C 2	O 3	O 4	C 5
Have interagency agreements in place that strengthen collaboration and coordination with key partner agencies and organizations?	C 1	C 2	C 3	C 4	C 5
Work with institutional partners to develop a strategy to target available risk reduction interventions to offenders according to their assessed levels of risk and criminogenic need?	C 1	€ 2	C 3	C 4	C 5
Have working agreements with institutional corrections toward the goal of housing offenders in locations that permit access to interventions designed to address an offender's specific criminogenic needs?	C 1	ℂ 2	€ 3	C 4	ℂ 5
Work with correctional partners in a timely way in order to reduce risk and allow for transition to the community at the earliest time commensurate with desert and risk?	C 1	ℂ 2	C 3	C 4	○ 5
Have genuine working relationships with supervision agencies to assure aftercare with appropriate interventions for medium and high risk offenders in the communityparticularly in the first weeks and months of supervision?	C 1	€ 2	€ 3	C 4	€ 5
Support the establishment (and expansion) of evidence-based institutional and community programs by educating themselves on the principles of evidence-based practice and on what the research tells us about what interventions work with what types of offenders?	C 1	€ 2	C 3	C 4	ℂ 5
Work with its correctional partners to assure the availability of cognitive behavioral programs for medium and high risk offenders?	O 1	C 2	O 3	C 4	ℂ 5
Work with its institutional and community partners to time its hearing process so as to eliminate as much delay as possible in considering low risk offenders for release?	C 1	€ 2	C 3	O 4	C 5
Have access to the assessments and case plans developed within correctional institutions?	O 1	O 2	3	O 4	O 5
Have information about what programming is likely to be available to an offender targeted to his criminogenic needs—particularly those offenders assessed at high and medium risk to reoffend?	C 1	ℂ 2	C 3	C 4	C 5
Typically limit its expectations for programming to those that directly respond to medium and high risk offenders' assessed criminogenic needs?	C 1	C 2	C 3	C 4	C) 5

Practice Target 4: Use their influence and leverage to target institutional and community resources to mid and highrisk offenders to address their criminogenic needs. In addition to assessing static (unchangeable, historical) risk factors, empirically-based, actuarial instruments also assess dynamic (changeable) risk factors (often referred to as "criminogenic needs"). The presence of criminogenic needs has been directly linked with recidivism and effectively addressing these crime-influencing areas through effective interventions has been demonstrated to reduce recidivism. Recidivism is further reduced when multiple criminogenic needs are addressed. Does your board:

	NOT IMPLEMENTED 1	HARDLY IMPLEMENTED 2	SOMEWHAT IMPLEMENTED 3	MOSTLY IMPLEMENTED 4	FULLY IMPLEMENTED 5
Have access to and use empirical assessments of offenders that identify their level of risk?	O 1	O 2	3	O 4	O 5
Consider program participation in release decision making?	O 1	O 2	3	O 4	O 5
Use parole release as an incentive to encourage medium and high risk offenders to participate in prison-based programming that addresses their criminogenic needs?	C 1	€ 2	C 3	€ 4	O 5
Engage other stakeholders and partners who are responsible for providing services to inmates and parolees (e.g., corrections, parole supervision, service providers) to prioritize and target treatment services to moderate and high risk offenders, and according to their assessed needs?	C 1	€ 2	C 3	€ 4	C 5
Set preconditions of parole based on the risk level and criminogenic needs of offenders (i.e., requiring medium and high risk offenders to engage in risk reduction programming targeted to their assessed criminogenic need)?	C 1	€ 2	C 3	C 4	C 5
Refrain from requiring risk reduction programming for low risk offenders?	O 1	O 2	3	O 4	ℂ 5
Set parole supervision requirement regarding treatment based on the risk level and assessed criminogenic needs of individual offenders?	C 1	C 2	O 3	C 4	C 5

Practice Target 5: Consider for release at the earliest stage possible—in light of statutes and other sentencing interests—offenders assessed as low risk. Offenders who are at low risk to reoffend are unlikely to benefit from a correctional intervention designed to change their behavior. Low risk offenders tend to recidivate at higher rates when services are over-delivered. Parole boards are encouraged to work with their correctional partners to encourage expeditious release of low risk offenders, once other sentencing interests have been served. Does your board:

	NOT IMPLEMENTED 1	HARDLY IMPLEMENTED 2	SOMEWHAT IMPLEMENTED 3	MOSTLY IMPLEMENTED 4	FULLY IMPLEMENTED 5
Have policies or practices in place that allow and encourage release of low risk offenders at the earliest possible date?	O 1	O 2	O 3	O 4	O 5
Have policies or practices in place discouraging the use of scarce risk-reduction resources for low risk offenders?	O 1	C 2	© 3	O 4	© 5
Have policies in place to encourage compilation of information on a suitable parole plan (residence, etc.) so as not to delay potential releases for low risk offenders?	C 1	ℂ 2	C 3	C 4	C 5
Have policies in place that would permit offenders to participate in programming in the community to address low risk offenders' criminogenic needs, rather than requiring that these programs be completed during incarceration?	C 1	€ 2	C 3	C 4	ℂ 5

Practice Target 6: Use the parole interview/hearing/review process as an opportunity to, among other goals, enhance offender motivation to change. Criminal justice professionals' interactions with offenders can have a positive impact on offender behavior. Demonstrating relationship skills such as respect, empathy, rapport and structuring skills (e.g., modeling pro-social behavior, differentially reinforcing pro-social behavior, and teaching self-management skills) are associated with significant reductions in reoffending. Does your board:

	NOT IMPLEMENTED 1	HARDLY IMPLEMENTED 2	SOMEWHAT IMPLEMENTED 3	MOSTLY IMPLEMENTED 4	FULLY IMPLEMENTED 5
Articulate clear goals and objectives for parole board interviews/hearings with offenders and victims?	C 1	C 2	C 3	C 4	O 5
Articulate clear goals for others who may conduct hearings on their behalf (e.g., hearing officers)?	O 1	O 2	3	O 4	C 5
Include in those articulated goals for the parole interviews/hearings: • Enhancing a candidate's motivation to engage in risk reduction programs? • Clarifying the Board's expectations that medium and high-risk offenders participate in risk reduction programming? • Clarifying for offenders that parole release is often used to recognize the accomplishments of offenders who participate in programming designed to reduce their assessed risks and criminogenic needs?	C 1	C 2	© 3	ℂ 4	€ 5
Seek to identify, learn, and use interview techniques that have been shown through research to have the ability to enhance an offender's motivation to change?	C 1	ℂ 2	C 3	C 4	O 5
Provide opportunities for board members—in particular new board members—to strengthen their interviewing skills?	O 1	O 2	O 3	O 4	O 5
Employ interviewing techniques to develop rapport with the offender during the interview process and communicate that the Board wants and expects them to be successful upon release?	C 1	ℂ 2	C 3	€ 4	C 5
Use the principles of Motivational Interviewing?	O 1	O 2	3	O 4	C 5

Practice Target 7: Fashion condition setting policy to minimize requirements on low risk offenders, and target conditions to criminogenic needs of medium and high-risk offenders. The risk of recidivism is greatly reduced when attention is paid to criminogenic needs (dynamic risk factors) such as antisocial attitudes, beliefs and values, antisocial peers, and certain personality and temperamental factors. There is a clear association between the number of criminogenic needs targeted and reduced recidivism; the higher the number of needs targeted, the lower the rate of recidivism. Additionally, research demonstrates that the likelihood of reoffense can be diminished if the level of intervention (defined as both monitoring and treatment) is matched to the assessed level of risk. While recidivism rates can be reduced on average of 30% when interventions are targeted to those offenders who are assessed as medium or high risk to reoffend, the best outcomes with the low risk population are achieved by low levels of intervention. Does your board:

	NOT IMPLEMENTED 1	HARDLY IMPLEMENTED 2	SOMEWHAT IMPLEMENTED 3	MOSTLY IMPLEMENTED 4	FULLY IMPLEMENTED 5
Have condition-setting policies and/or practices in place that typically impose a more limited set of basic conditions on offenders assessed as low risk—and include only minimal special conditions, it any at all?	C 1	€ 2	C 3	€ 4	○ 5
Set expectations, and work with correctional partners, to put in place practices that will routinely produce case management/reentry plans that address the top three (or more) criminogenic needs for medium and high risk?	C 1	ℂ 2	C 3	C 4	ℂ 5
Set conditions to allow for the completion of some programming in the community—when realistically available—particularly for medium risk offenders, rather than requiring all programming to be completed prior to release?	C 1	ℂ 2	C 3	C 4	ℂ 5
Engage in collaborative discussions with stakeholders who are responsible for providing services to inmates and parolees (e.g., corrections, parole supervision, service providers) to: • Develop an agreement to prioritize and target treatment services to moderate and high-risk offenders? • Develop deliberate strategies to avoid setting treatment conditions on low risk offenders?	C 1	ℂ 2	C 3	ℂ 4	€ 5

Practice Target 8: Develop policy-driven, evidence-informed responses to parole violations that incorporate considerations of risk, criminogenic need and severity, assure even-handed treatment of violators, and utilize resources wisely. Responses to violations should be swift, certain and proportional. When their non-compliance behavior is related to criminogenic needs, responses that link medium and high-risk offenders with interventions can be effective in reducing violations. Boards should also consider the use of incentives as a powerful tool in shaping offender behavior and promoting positive behavioral change. Does your board:

	NOT IMPLEMENTED 1	HARDLY IMPLEMENTED 2	SOMEWHAT IMPLEMENTED 3	MOSTLY IMPLEMENTED 4	FULLY IMPLEMENTED 5
Support supervision partners to frontload supervision and support, providing more intensive services initially, then diminishing the intensity over time as warranted?	C 1	ℂ 2	C 3	C 4	○ 5
Assign supervision conditions directly related to the risk level of the offender, and his/her criminogenic needs?	C 1	ℂ 2	C 3	C 4	€ 5
Work with its supervision partners to agree on an approach to supervision that includes incentives to encourage desired behaviors?	C 1	ℂ 2	∁ 3	C 4	C 5
Work with its supervision partners to agree on a policy-driven approach to violations that includes responses to violations that: • Are quick, certain, and consistent? • Are based upon the severity of the violation and the risk of the offender? • Both hold offenders accountable, and provide problem-solving interventions to reduce the likelihood of future violations?	C 1	ℂ 2	C 3	○ 4	○ 5

Practice Target 9: Develop and strengthen case-level decisionmaking skills/capacities in these areas. Decisions made by board members require careful individual judgment. However, there are efforts underway to take decisionmakers through routine aspects of their work in a more systematic manner (e.g., in the form of decisionmaking guidelines and assessment tools) to guide them through the complex, but accepted, stages of the process and to ensure that similarly situated offenders facing similar circumstances encounter somewhat consistent responses. Does your board:

	NOT IMPLEMENTED 1	HARDLY IMPLEMENTED 2	SOMEWHAT IMPLEMENTED 3	MOSTLY IMPLEMENTED 4	FULLY IMPLEMENTED 5
Hone decisionmaking skills through routine Board discussions regarding use of their decisionmaking tools?	C 1	€ 2	O 3	O 4	C 5
Provide training in the use of various risk/needs assessment tools used in their jurisdiction?	C 1	C 2	O 3	O 4	O 5
Familiarize new members with the format and significance of information found in case files?	C 1	C 2	O 3	C 4	C 5
Provide training in interviewing skills, especially motivational interviewing techniques?	C 1	ℂ 2	C 3	C 4	ℂ 5

Practice Target 10: Develop and strengthen agency level policy making, strategic management and performance measurement skills/capacities. As a team making thousands of decisions a year, a parole board has a responsibility to define a clear vision, mission, and goals—within the context of their enabling legislation. It is imperative that Boards consider and adopt policies and tools that will enable it to assure that their individual decisions, when taken in the aggregate, will help them accomplish their overarching goals—goals of fair punishment, community safety, respect for the victim's concerns, and wise use of public resources. This requires a focus on its own practices, and the use of good empirical information about their practices as they go along. Paroling authorities will learn and improve when decisions are based on the collection, analysis and use of data and information. Does your board:

	NOT IMPLEMENTED 1	HARDLY IMPLEMENTED 2	SOMEWHAT IMPLEMENTED 3	MOSTLY IMPLEMENTED 4	FULLY IMPLEMENTED 5
Routinely meet to review their vision, mission, and goals—and consider how these might need to be updated, and whether the Board is moving effectively toward accomplishment of these?	C 1	ℂ 2	C 3	C 4	C 5
As a whole board, routinely consider information that describes/assesses their practices and use that information to guide decisionmaking policies and tools, and make adjustments accordingly?	C 1	ℂ 2	C 3	C 4	C 5
Have a limited set of "indicators" or a "dashboard" that gives them quick feedback about aspects of their performance that they review on a routine basis?	C 1	€ 2	€ 3	C 4	ℂ 5
Work together to articulate its values and how those values play out in a set of decisionmaking guidelines?	O 1	C 2	O 3	O 4	O 5

Action Planning

Now that you have completed an assessment of your board's performance on each of the ten practice targets, your Board can use the following action planning tool, which was designed to assist you to reflect on your discussions and "ratings", and to consider further where your Board might undertake efforts to strengthen practice.

Issue	Action Plan Steps
Issues and opportunities that I would like for my Board to explore include are	
What are some impacts/positive and potential negative outcomes that might occur for your Board as a result of making these changes?	
What needs to be done to start exploring these issues?	
For each area/issue you have identified above, identify one specific step that you could take to bring this issue to the attention of other members, discuss it with key individuals, or gather information about this issue.	
For each issue, identify a key individual (a "champion") and initial step that you would like to have taken to help your Board move forward.	
Indicate whether each issue is a long-term issue or a short-term issue (short-term issue = something that can be handled without additional resources or legislation, and that can be accomplished within six months; long term issue = requires more investment of resources, changes in legislation, or work over time.)	
For short term issues, indicate three things that need to occur in the next 30 days, and indicate the person who will be responsible for each action.	
For long term issues, indicate three critical changes that need to occur in the next six months in order to make substantial progress on this issue. If resources, legislative changes, policy changes, etc. are required to make substantial progress, indicate necessary steps that must occur, and the person responsible.	
Develop a list of the key priority areas on which you will be focusing as you work to strengthen practice with their own boards. Identify the strategies or approaches that you will pursue in gaining: • Visibility for this issue with the board as a whole; • Consensus or "buy-in" from your colleagues on the board; and • The mechanism(s) you will be using to move forward (e.g., committees, staff support, training, routine board meetings, etc.)	
Articulate the potential challenges of the implementation of these strategies; as well as the resources or assets that would assist in implementation.	