

Implementing New Technologies in Correctional Organizations

From War Stories to Generalized Implementation Strategy

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Why is Implementation So Difficult in Criminal Justice Agencies?

- Absence of knowledge about implementation
- No standard methods of classification (unique, poor documentation, local)
- Staff factors (resistance, inertia, rigidity, complacency)
- Staff desire for “autonomy”(rejection of any threat to discretion)
- Implementation is complex/needs skillful management
- IT and classification processes are “systemic” changes
 - Broad ramifications across the organization
 - Multiple stakeholders – competing interests/needs

Typical Problems “War Stories” Linked to Implementation Failures

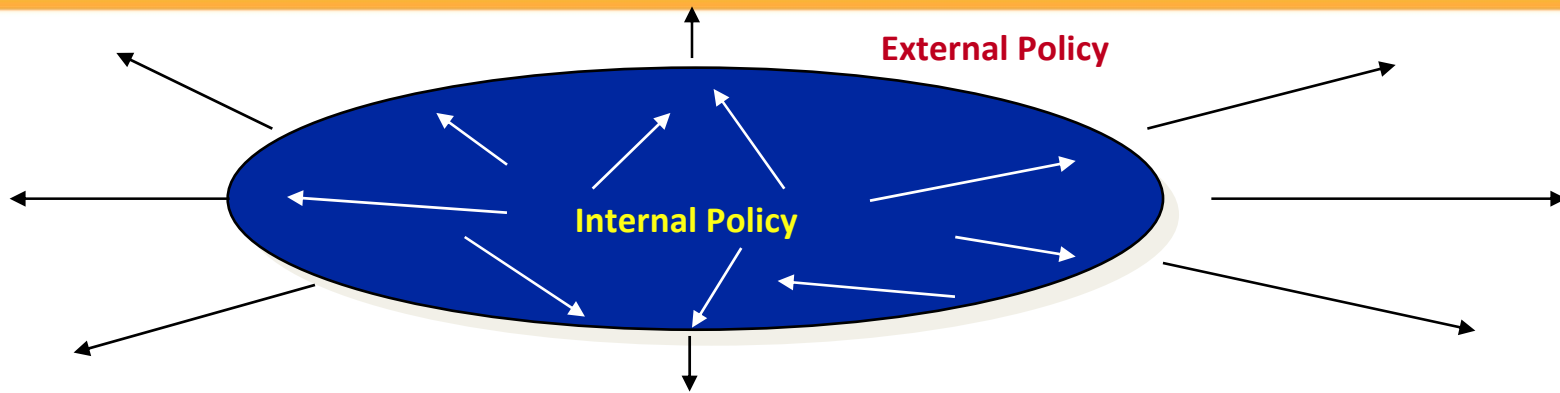
- Jail architecture was out-of-whack with our new Internal Classification
- Managers failed to monitor or evaluate the new IC procedures, staff received no feedback and they stopped using it, just filed the forms.
- The assessment software was too cumbersome, took too long, was too difficult. Staff rebelled, high resistance “bad-mouthing” - was abandoned.
- We selected the wrong Internal Classification system, it did not do what we really wanted, it gave NO information to staff on program planning.
- Staff got initial training, but no follow up training, insufficient supervision, they went back to “business as usual” (i.e. subjective classification).
- The new system was NEVER fully implemented, it then got criticized for poor results, it was then abandoned. With insufficient staff the job became a “mission impossible”, staff got burned out

.....AND SO ON

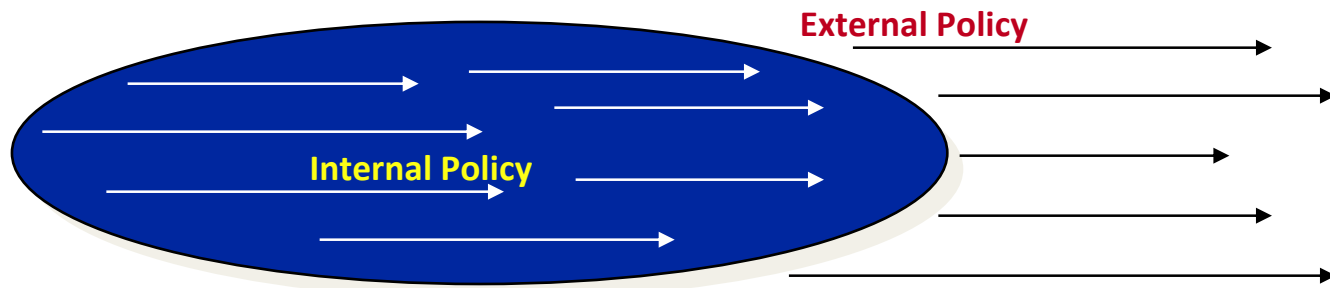
Appropriate but Scattered Advice on Implementation

1. **Plan to Plan, and then double your time estimates** – “...this was a key lesson learned by NCCD in their first internal classification initiative”.
2. **Simplicity is paramount!** New systems should be easy to learn and use. Complex IC methods can be impossible to implement - Resistance!!
3. **Beware of design flaws** – Fix them, if possible, early with a pilot test.
4. **Local customization is almost always needed** – There is NO standard general model that will fit ALL correctional agencies (Classifications).
5. **Local validation tests are needed** to assess whether the system is valid for a local Jail or Prison Population. You CANNOT assume generalizability.
6. **All evaluation studies are FLAWED** if the new system was NOT properly implemented or USED with integrity (Baby is thrown out with bathwater).
7. **Automation is CRITICAL** for data intense applications like risk assessment or classification systems.

Jail and Criminal Justice System: The CONTEXT of Change

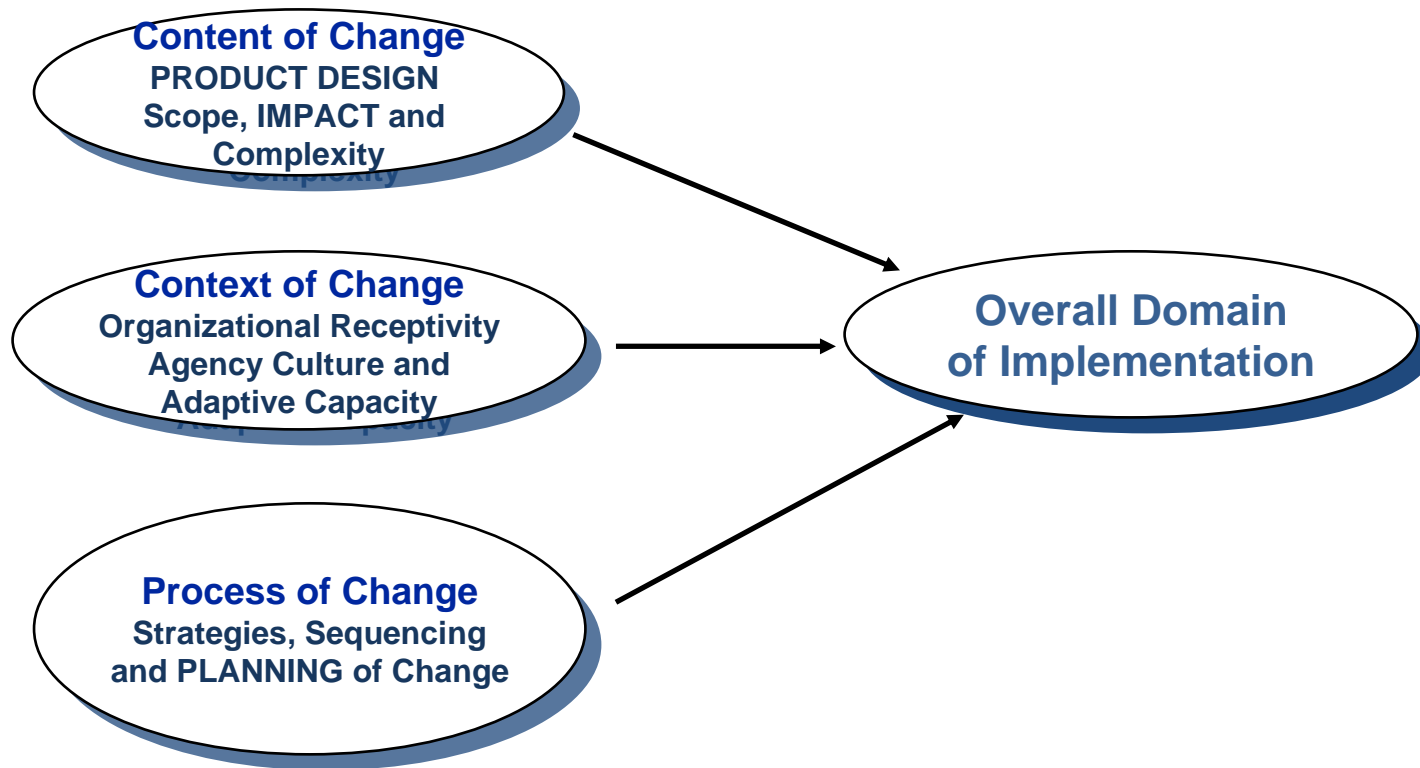


- × Lack of Internal and External Policy Alignment
- × Often Opposite Policy Goals
- × Uncoordinated and Inefficient



- × Coordinated Internal and External Policy Goals
- × Jail and CJ System Policy Alignment
- × Efficient and More Cost Effective

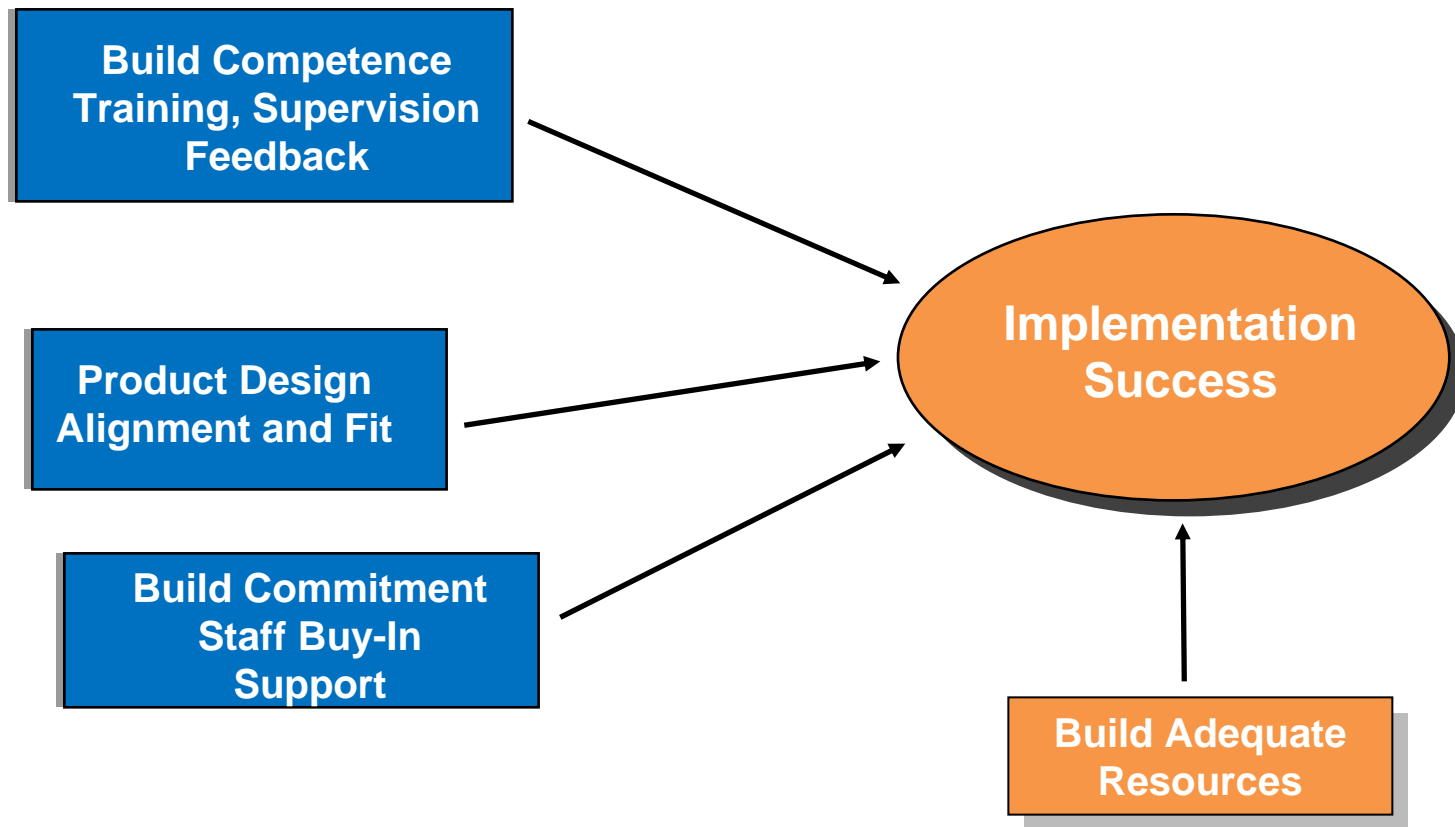
The Three Components When Managing Change



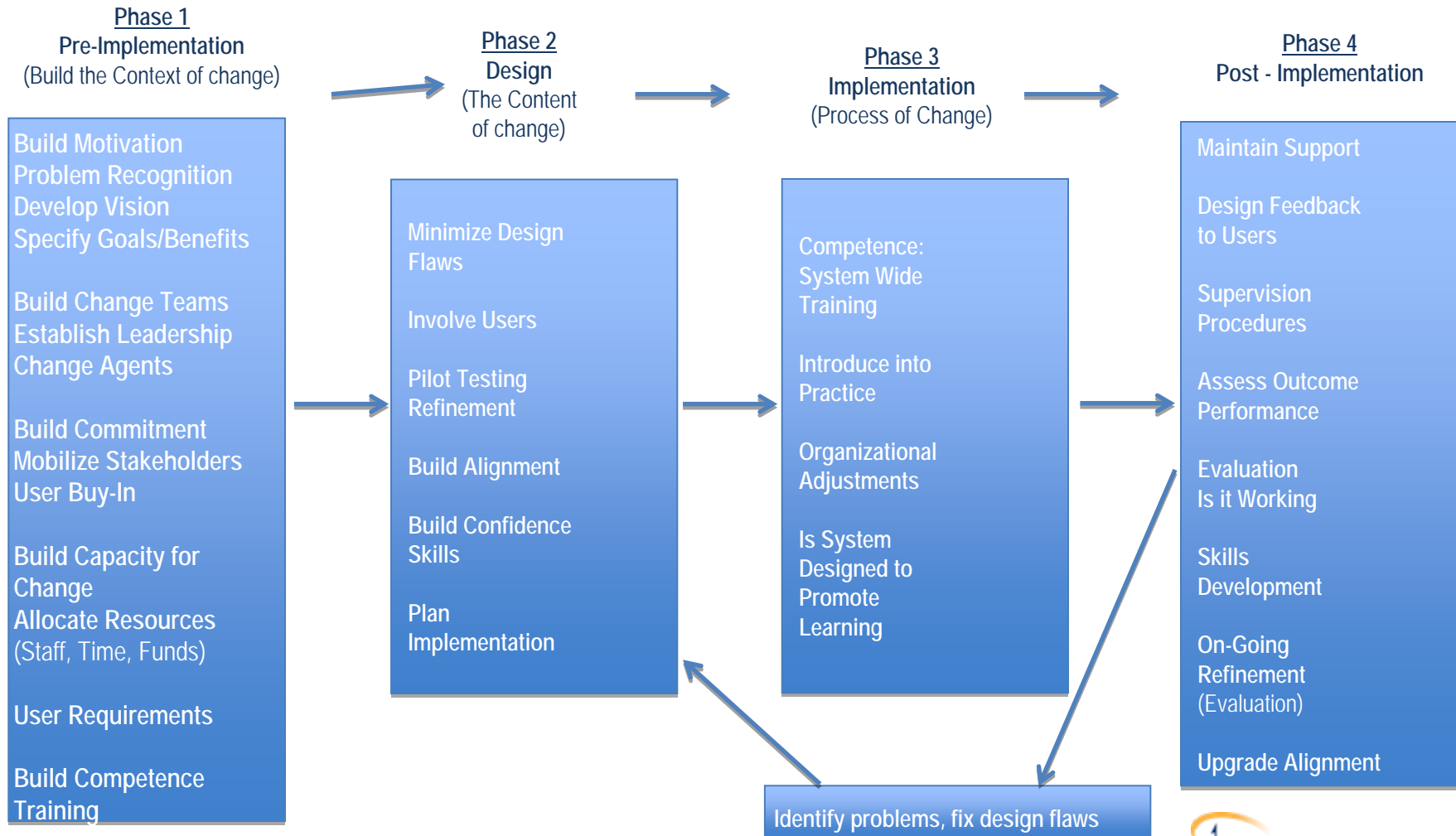
Building a CONTEXT for CHANGE: Early Political Tasks/Building Support

- Consensus building regarding deficiencies of old system
- Consensus building regarding benefits sought from new system
- Carefully develop a coalition to promote change
- Carefully select staff for implementation team
 - Ball carrier (team leader)
 - Technical members
 - Key stakeholder members (Agency departments impacted by change)
 - Political members (To keep them in the loop, keep support)
- Consensus building on benefits/vision to be achieved by new system
- Develop high level steering committee (sign-off on plans, progress reports)

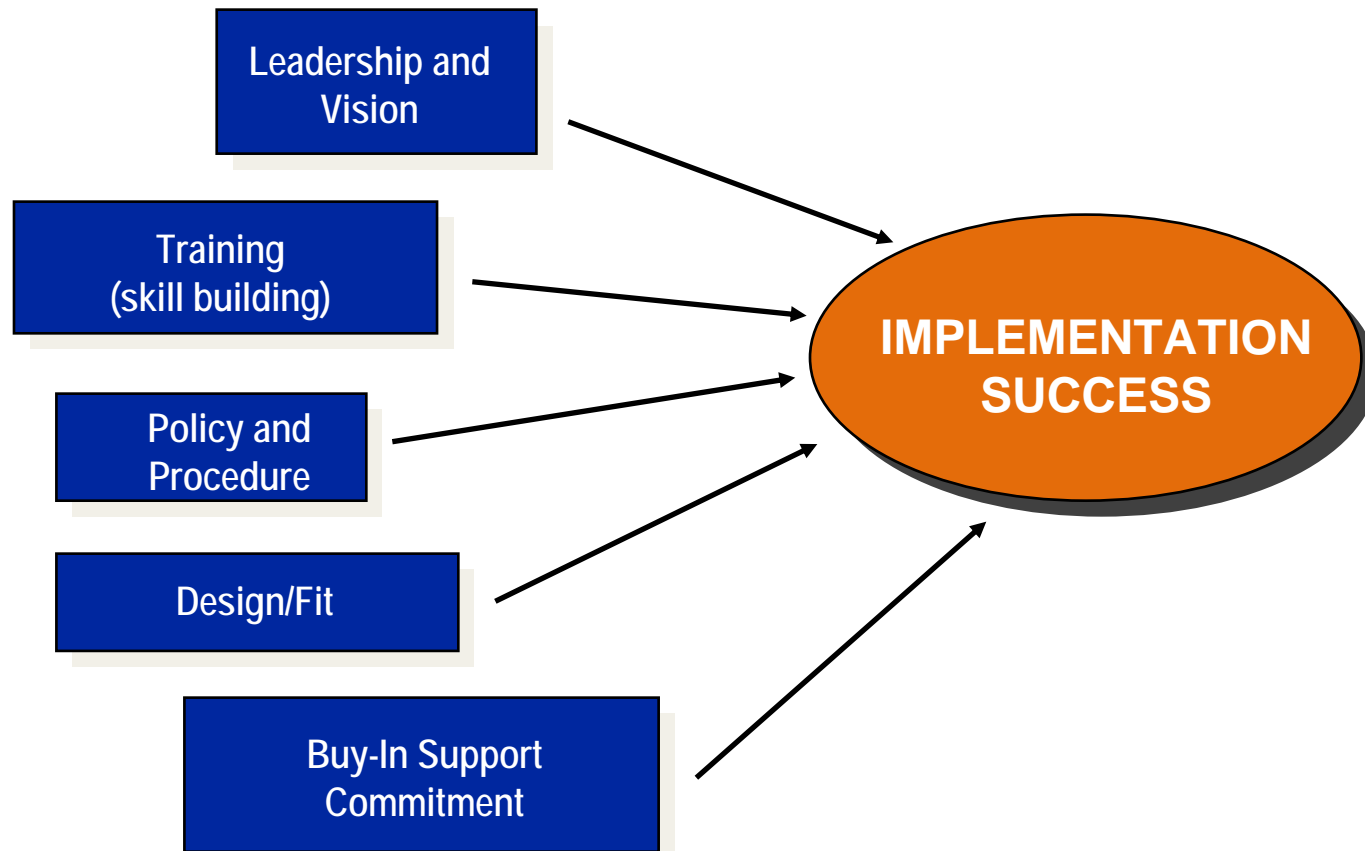
Four Critical Tasks for Successful Implementation



Major Phases of Implementation and Their Key Tasks



Pre-Implementation Planning



Critical Planning Participants and their Roles

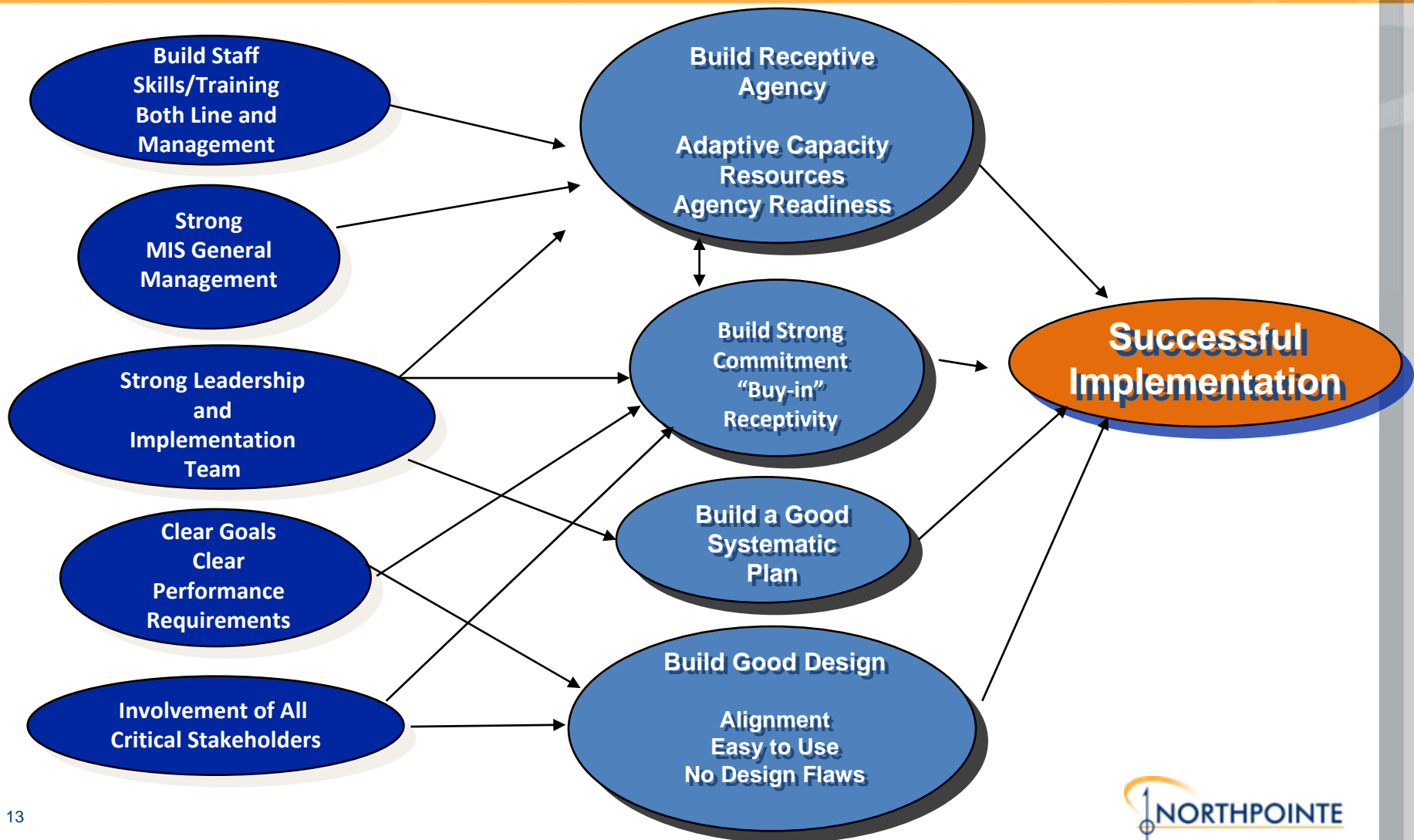
Putting the Right Team Together

- a. Engage key stakeholders** - appropriate representation from several levels within the CJ agency including executive, middle management and line personnel
- b. Consensus-building on Vision/Benefits** for the scope, goals, business requirements, budget, schedule, etc., of the new technology
- c. Steering Committee** - provides project oversight and addresses policy issues
- d. User Groups** - subject-matter experts across the disciplines - units impacted by the new technology
- e. Implementation Team** – responsible for completing the tasks that lead to the “go live” date
- f. Ball Carrier/Leader of Implementation Team** – Ensure momentum, progress

General Guidelines in Selecting People

- Who is impacted? Who cares? Who bases decisions on the new technology?
- What expertise do you need?
- What kind of political clout/support do you need?
- Who should be “politically” kept in the process?

Major Tasks for Successful Implementation



Top Management Tasks During Implementation

Build Resources

- Provide needed staff Levels, office space, etc.
- Arrange for planning group to have “time commitments” available for the implementation planning

Build Skills/Competencies

- Provide training (line managers)
- Ensure strong supervision and feedback to staff users

Build Commitment

- Provide visible, continuing political support
- Maintaining trust through frequent, open communication
- Visible participation (meetings, memos, sign-offs, reviews)
- Demand consensus on “vision” benefits new system

Build Design

- Help design monitoring procedures (to assess impact)
- Demand data for management purposes (planning, policy, monitoring)

DESIGN: Building Alignment

Avoiding Design Flaws

KEY QUESTIONS – for the Planning and Design group as well as the PILOT test:

1. Is the new technology well aligned with Jail policies/goals?
2. Is the technology aligned with staff skills?
3. Is the technology aligned with staff resources (staff numbers? overload?)
4. Does the technology meet Legal requirements?
 1. Have the risk models been validated?
 2. Are there any gender/racial biases?
 3. Do the scales reach adequate psychometric reliabilities?
 4. Are there sufficient controls over “subjective decisions”?
5. Is the technology consistent with Jail organizational structures and practices?
 1. Is the new classification well matched to the jail housing plan?
 2. Does the new technology provide the “needed” information to support staff decision making (e.g. for threat group identification, predators, etc.)
6. Does the technology meet “User Requirements” for ALL key stakeholders?

DESIGN: Why Do Alignment Failures Occur?

- Failure to identify all stakeholders
- Failure to “seek input” from stakeholders/users during pre-implementation and Design stages
- Failure to clarify “goals” of your facility; no clear “vision” of what was wanted!
- System designed by people with insufficient knowledge of specialist jail Issues (e.g. Classification)

Alignment Failures: Examples of Misalignment

- Policies logically couldn't be achieved/wrong method was chosen (e.g. Int. class)
- Complex method – but insufficient training/supervision given to staff
- Imbalance between resources, skills versus “work demands”
- Chain-of-command is unchanged vs. “intelligent discretion” is shifted downward in the new IT system
- Old incentive system remains vs. new system needs an updated incentive system
 - This applies to staff work performance and also inmate behavior/discipline

Building Staff Commitment/Support

- Obtain administrator commitment (involvement, payoff, skills)
- Ensure that everyone understands “Vision” system: goals and benefits
- Encourage staff involvement - open and frequent communication-develops trust
- Gather regular feedback/impressions from all users
- Indicate importance of line level and management roles
- Exhibit high sensitivity to “people problems/power shifts”
- Provide adequate training
- Clear written documentation/P&P

Obtain Administrator Commitment

- They must “see” pay-off at both line and management levels
- They must be given frequent “involvement” (steering committee)
- They may need education/training in new MIS
- Develop management competence (are new skills needed?)

Be Alert to Reasons for Resistance

- Feeling left out of the planning process
- Feeling that they have had no Input
- Failure to appreciate benefits of the new system
- Bureaucratic inertia, laziness, fear of change
- Fear of power shifting and turf protection
- Inadequate skills/competence in using new system
- Poor skills in using data for management purposes

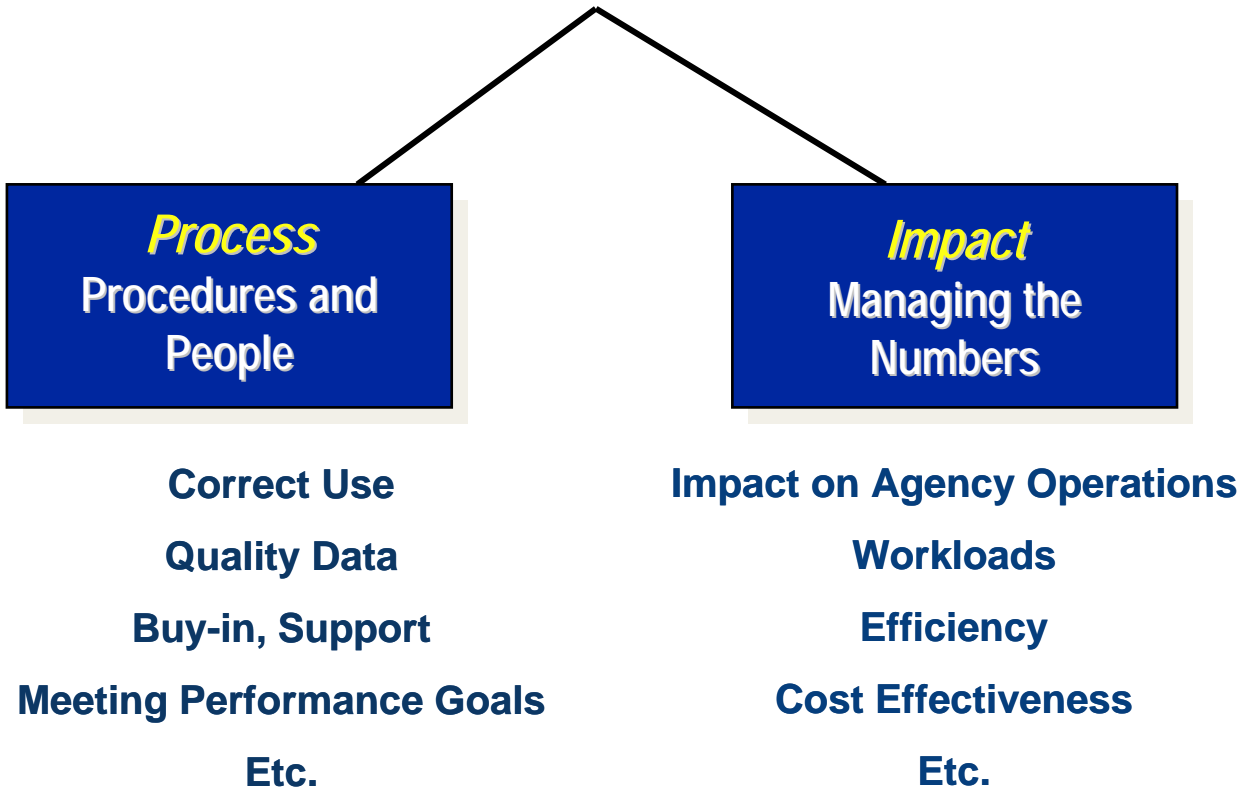
Responsibility and Managerial Levels

1. Provide clear policy directions
2. Provide explicit methods/criteria/procedures
3. Monitor/evaluate agency performance
4. Actively use classification
5. Actively manage and direct line staff
6. Provide sufficient resources, staff, space, funding, etc.
7. Provide training

Why Do Supervision, Monitoring and Quality Control?

- Identify weaknesses: WHAT NEEDS TO BE CHANGED?
- Upgrading the MIS
- Monitor success in achieving jail policies/goals
- Is the MIS working as intended?
- Clarify how the new technology is seen by parties effected by it?

Managing and Monitoring the New Technology



Planning and Developing Information Systems

Develop an Information System's Strategic Plan

Putting the right team together

- a. Fully engage stakeholders - appropriate representation from several levels within the jail including executive, middle management, and line personnel
- b. Consensus-building for the scope, goals, business requirements, budget, schedule, and other facets of the information system
- c. Steering committee - provides project oversight and addresses policy issues
- d. User groups - subject-matter experts across the disciplines impacted by the jail system

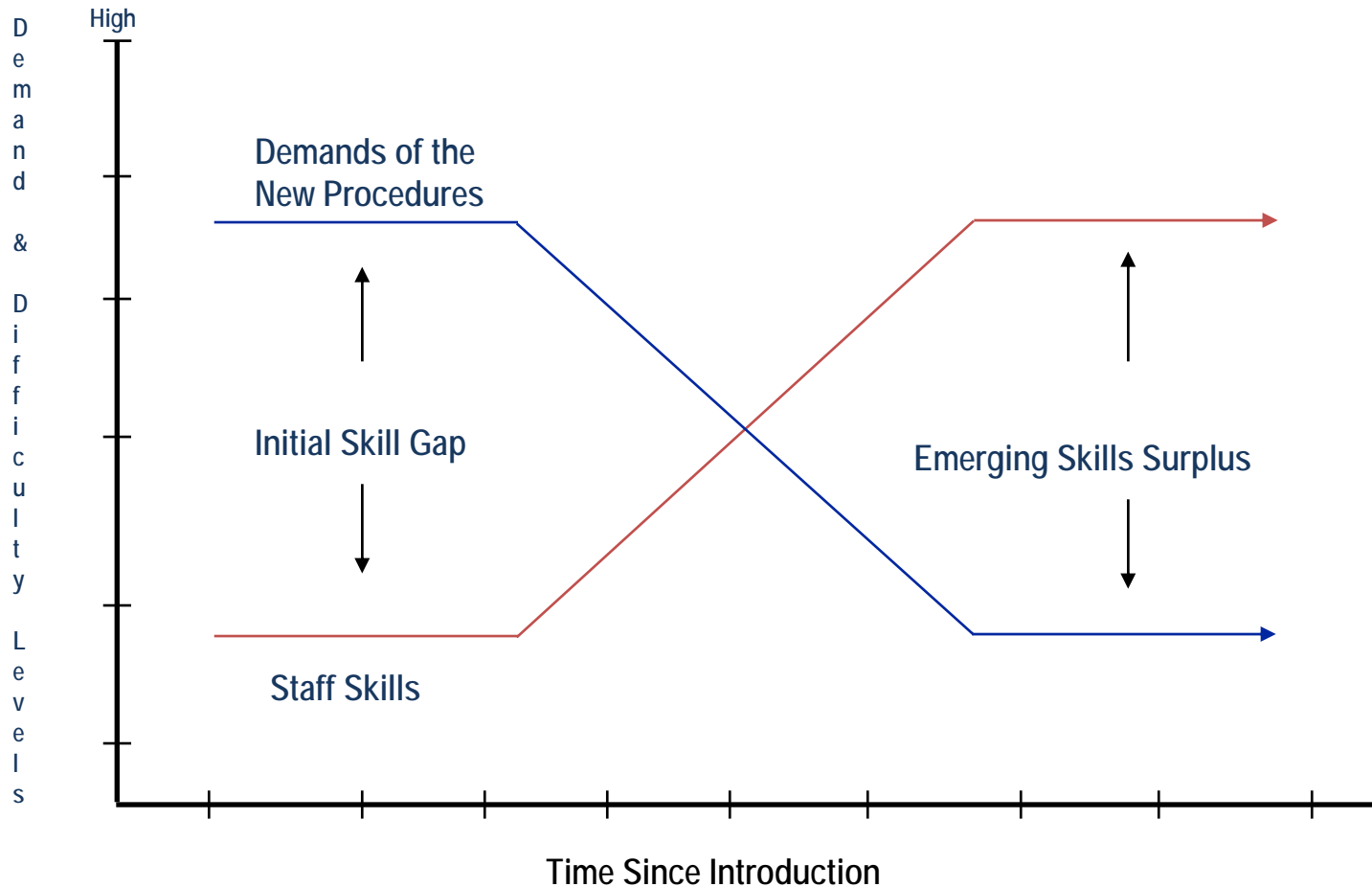
Feedback/ Progress Reports: Creating Involvement

- Clarify “vision” and benefits for each stakeholder group: automate data input
- Meeting the information needs of stakeholders: designing useful reports
 - Measures of workload and work done
 - Measures of “quality”: accuracy, timeliness, errors, etc.
 - Measures of “Impact” on major goals
- Solicit their views on “policy indicators” for their unit and overall agency goals
- Solicit their views on job merit/performance indicators
- Set a schedule for routine management and progress reports

Consequences of Avoiding It

1. Won't know whether system is working
2. Won't know whether it is achieving intended results
3. No knowledge of it's problems
4. Won't know how to modify/update it/what changes to make
5. System will stagnate
6. No change until collapse/abandonment

Skills Deficiencies and Skills Surpluses



Implementing a New Technology (MIS)

Overall Model of Implementation: Four Stages of Change

Stage 1: Pre-implementation

Stage 2: Matching new technology to your needs

Stage 3: Getting it up and running

Stage 4: Maintenance, competence and further development