

# *Use of Incentives and Sanctions to Promote Compliance with Supervision during Reentry:*

## *An Implementation Strategy*

This training session was developed by the American Probation and Parole Association, in partnership with the National Reentry Resource Center, and is made possible through funding by the Bureau of Justice Assistance, U.S. Department of Justice.



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# Speakers

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# the NATIONAL REENTRY RESOURCE CENTER

— A project of the CSG Justice Center —

[csgjusticecenter.org/nrrc](http://csgjusticecenter.org/nrrc)

- The resource center is continually updating its website with materials relevant to the reentry field.
- Sign up for the monthly NRRC newsletter to receive news about upcoming distance learning and funding opportunities at [http://eepurl.com/x\\_f8H](http://eepurl.com/x_f8H).

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## National Reentry Resource Center

### Federal Interagency Reentry Council

“Reentry provides a major opportunity to reduce recidivism, save taxpayer dollars, and make our communities safer.”— Attorney General Eric Holder of the The Federal Interagency Reentry Council.

[Learn More](#)

QUICK LINKS

- NRRC Funding
- The Second Chance Act
- National Criminal Justice Initiatives Map
- What Works



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# the NATIONAL REENTRY RESOURCE CENTER

— A project of the CSG Justice Center —

[csgjusticecenter.org/nrrc](http://csgjusticecenter.org/nrrc)

- Offers easy access to important research on the effectiveness of a wide variety of reentry programs and practices.
- Click on “What Works” tab on home page.

## What Works in Reentry Clearinghouse

The *What Works in Reentry Clearinghouse* offers easy access to important research on the effectiveness of a wide variety of reentry programs and practices. It provides a user-friendly, one-stop shop for practitioners and service providers seeking guidance on evidence-based reentry interventions, as well as a useful resource for researchers and others interested in reentry. To get started, click the button below for additional information about this project or how to use this site; or, click on a focus area topic on the left to begin exploring. You can also conduct a customized search by clicking the advanced search link on the right.

[Click here for more information about the \*What Works in Reentry Clearinghouse\* and information on how to use this site](#)

### Browse Focus Areas

- [Brand Name Programs](#)
- [Employment](#)
- [Housing](#)
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### Coming Soon

- Basic Needs
- Community
- Education
- Family-Based Programs
- Juvenile-Specific Interventions
- Physical Health
- Sanctions
- Specialized Courts
- Substance Abuse

### Search What Works

[Advanced Search](#)

### Ratings Key

| High Rigor | Basic Rigor |  |
|------------|-------------|--|
|            |             | Strong evidence of a beneficial effect |
|            |             | Modest evidence of a beneficial effect |
|            |             | No statistically significant findings  |
|            |             | Modest evidence of a harmful effect    |
|            |             | Strong evidence of a harmful effect    |



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# American Probation and Parole Association

[www.appa-net.org](http://www.appa-net.org)

- Information about our specialized training, current projects, and next institute can be found on the website.

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your information  
Nathan Lowe  
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RESOURCE SPOTLIGHT

**AUTOMATED**  
Automated Case Management Procurement Guide

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ANNOUNCEMENTS

- Tribal Law & Policy Institute Releases: Promising Strategies on Tribal State Court Relations and Public Law 280
- RFP: Enhancements for the Hampden County Re-Entry Information Sharing Project
- APPA announces two FREE training on PREA & Tribal Detention Facilities
- Call for Exhibitors: APPA 2013 Annual Institute - Baltimore
- APPA Seeks Information on P/P Officer Home Visits
- APPA's Leadership Institute Now Accepting Applications

ACTIONS

- Call for Exhibitors: Baltimore
- Nominate for APPA Elections
- Call for 2013 Award Nominations
- Info Request: P/P Home Visits
- Update your Account/Profile!

Community Corrections Buyers' Guide

# Learning Objectives

1. Describe the impact of relevant policies on supervision practices.
2. Review the behavioral science theory that underlies the use of incentives to promote positive behavior.
3. Explain the key findings of the research that has examined incentive-based practices and policies.
4. Discuss the key components of an implementation strategy for both research and practice.



# Reduce Corrections Costs



Reduce People in Prisons



DOWNFALL

FRUSTRATION

FAILURE

SUCCESS

*Increase Compliance!*

*Better Outcomes!*

# Implement EBPs

Best  
Practice



Development

Standard

Improvement

Strategy

Solutions

Management

Customer

Success

Consistency

Business

Optimal

Skills



**Justice Reinvestment | HOPE Model**

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# Behavioral Science Theory



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# Behavioral Approach

- “Most problem behaviors develop, are maintained, and change primarily through learning” (Spiegler & Guevremont, 2010).
- Violations as learned behavior
- Do we ignore other underlying causes – genetics, mental illness, etc.?



# Operant Conditioning

- Behavior is learned
  - Changes in our environment
    - Positive/pleasurable changes - behavior will likely continue
    - Negative/unpleasant changes – behavior less likely to continue
- Behavior can be changed/manipulated
  - Manipulation of the environmental consequences



# Key Principles of Incentives & Sanctions

- Certainty
- Swifttness
- Proportionality
- Fairness
- Individualized

# Types of Incentives and Sanctions

- Tangible (typically reinforcers)
- Giving electronic gadgets
- Token
- Activity Based
- Social



# Empirical Support for Operant Learning in Changing Problem Behaviors



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# Broader Scope of the Use of Reinforcements and Sanctions

- Schools
- Medical Professions
- Employee Performance
- Substance Abuse Counseling



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# Applications in CJ Settings

- DC Superior Court Drug Intervention Program
- Hawaii Opportunity Probation with Enforcement (HOPE)
- Wyoming Intensive Supervision Program



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# Wyoming ISP Behavioral Strategies Study

- Examining incentives and sanctions in community corrections
- Application of incentives and sanctions to ISP offenders
- Random selection of 283 adult ISP offenders in Wyoming between 2000 and 2003



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# Wyoming ISP Behavioral Strategies Study

## Sanctions

- Verbal reprimand
- Written assignment
- Modify curfew hours
- Community service
- Program extension
- Electronic monitoring
- Inpatient/Outpatient TX
- County jail time

## Rewards

- Verbal reinforcement
- Good time
- Remove from EM
- Level advancement
- Approve special activity
- ISP fee reduction
- Approve special visitation

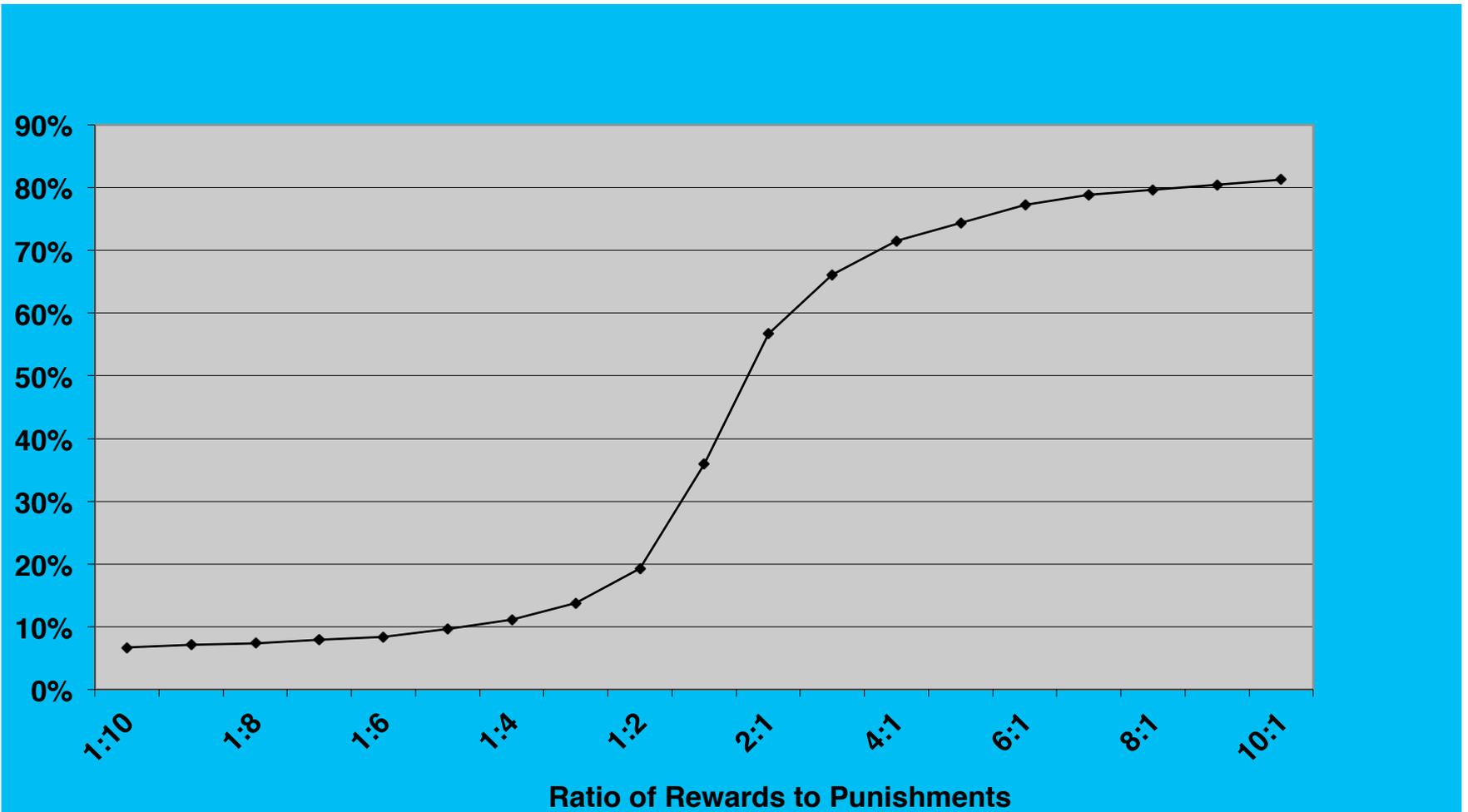


# Key Findings

- Reinforcements are more effective than sanctions at changing behavior; best when used in concert
- Achieving at high reinforcement to sanction ratio provides the best opportunity for success
  - 4:1 reinforcement to sanction incentive



# Ratio of Rewards to Sanctions and the Probability of Success



# Key Components for an Effective Implementation Strategy



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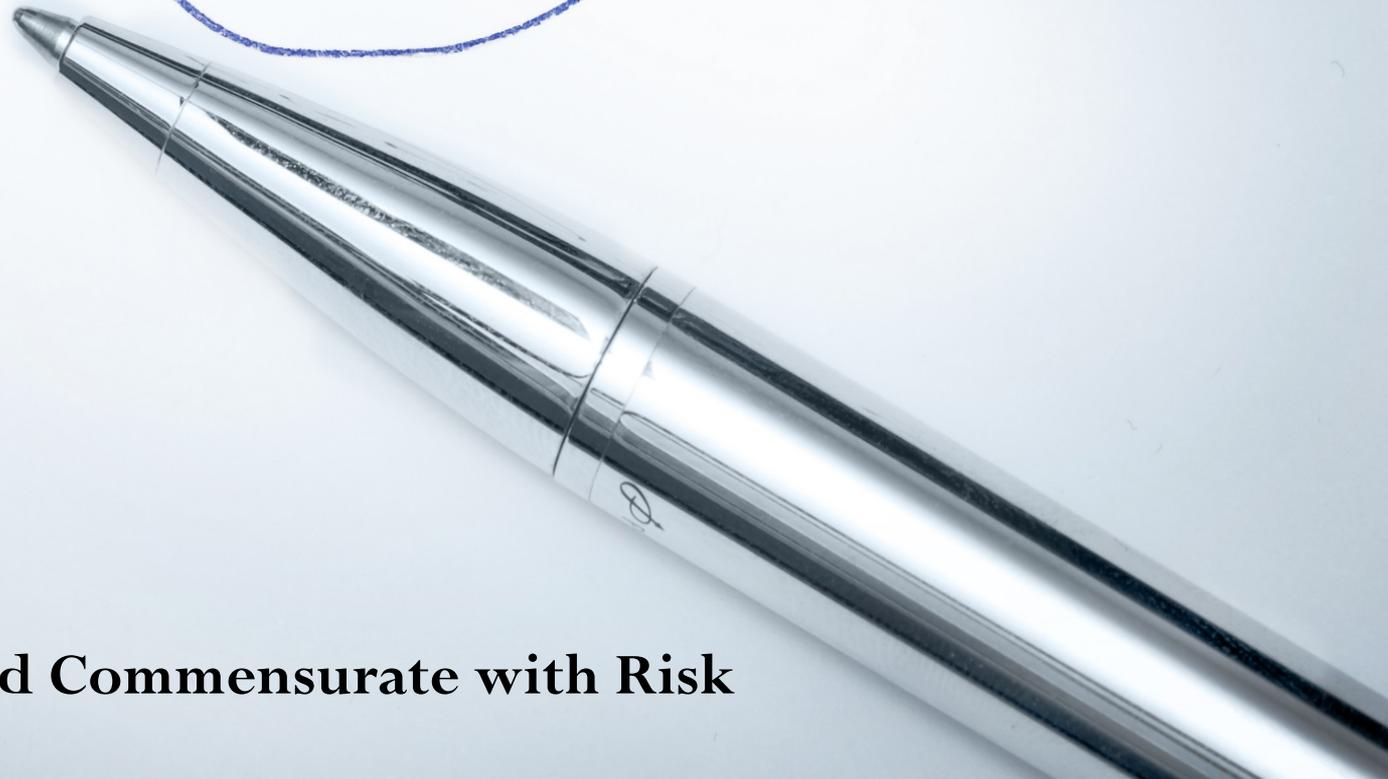
# Putting the 4:1 Ratio into Practice

- Achieving a 4:1 incentives to sanctions ratio will not always be possible
- 4:1 **does not** mean 4 rewards have to be given before any sanction is delivered
- Adjust focus of supervision

# Targeted Behaviors

- What are targeted behaviors?
- Identify target behaviors
- Address issues/concerns





**Supervision should Commensurate with Risk**

# Importance of Structured Discretion

Why is DISCRETION essential?

Why is STRUCTURE essential?



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**Perceptions  
Matter...**

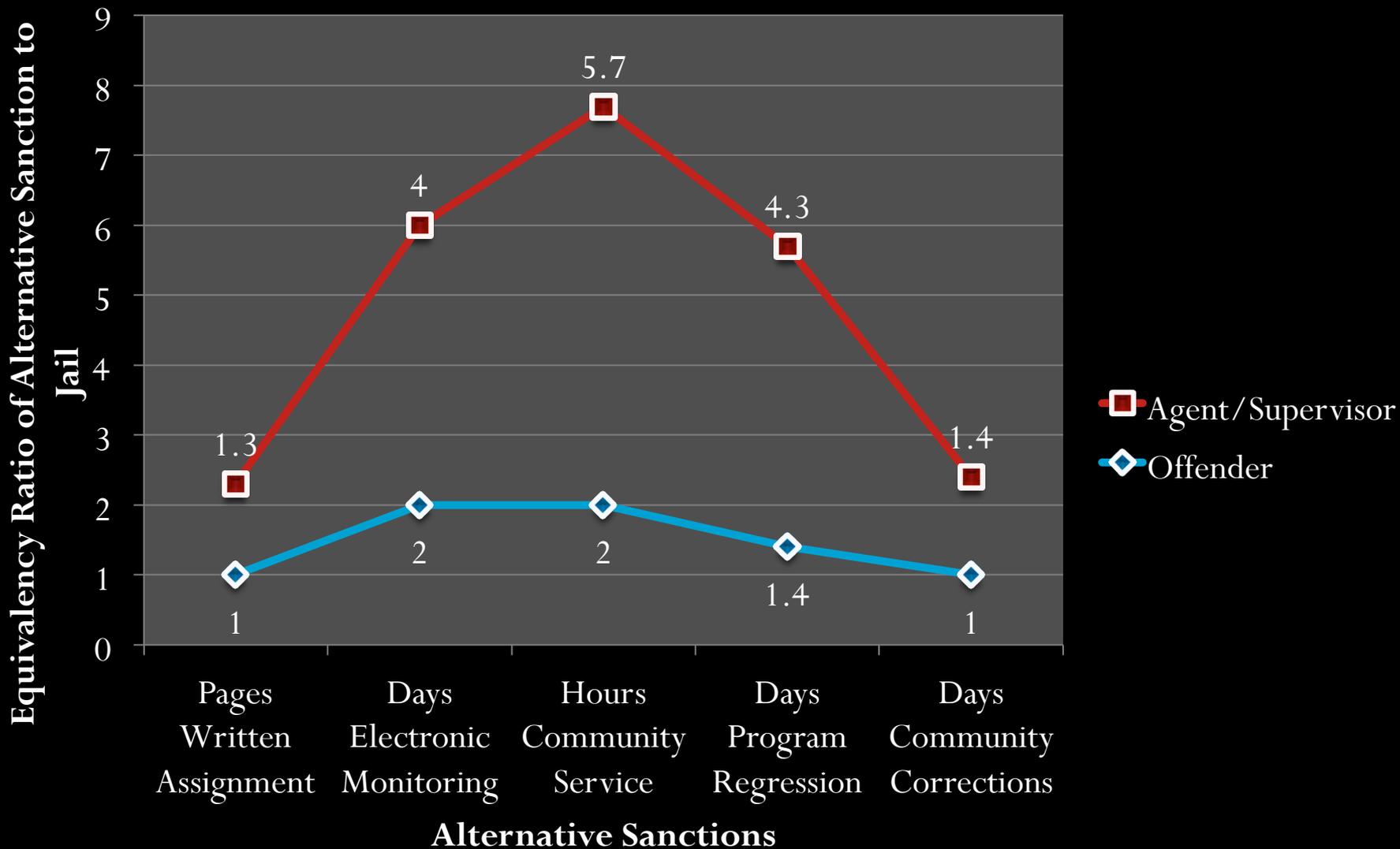
**...Among Both  
Officers and  
Offenders**



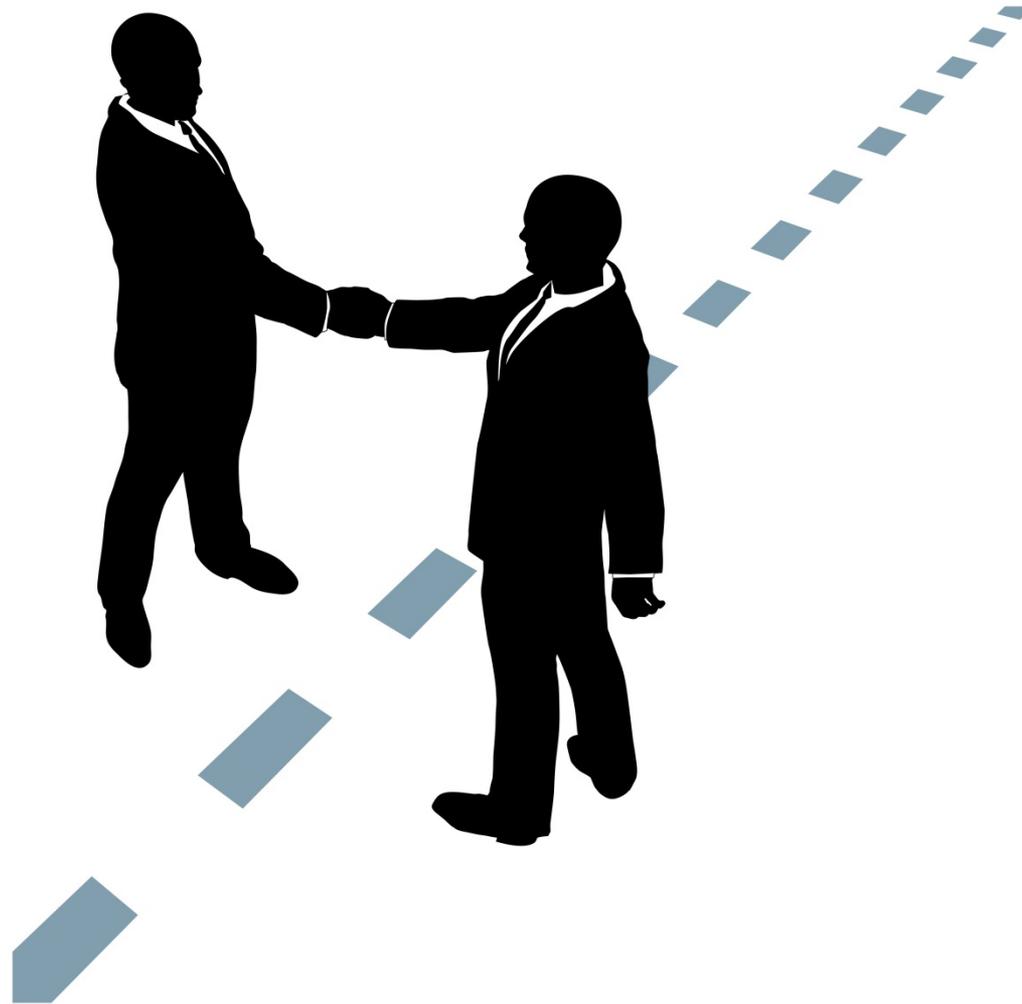
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# Perceptions of Sanction Severity



# Relationships Matter





**Engage Key Stakeholders**

# Organizational Culture

SKILLS

STAFF

STYLE

SHARED  
VALUES

STRATEG

STRUCTURE

SYSTEMS

statistic data result  
report project  
survey

# Research

review

analysis

method

solution

explore

examine

development

fact

# For Additional Information

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