Criminology
[for today's purpose]

• The drivers/causes of crime
• The nature/extent of crime
• The control of crime
• The examination or evaluation of crime control measures

• The terms Evidence Based Practice or Evidence Based Program
How many times have we heard this statement?

“We cannot expect our staff to use the Principles of Effective Intervention/EBP unless leaders use the same principles with our staff?”

• Ideates that we have a criminology solution (use EBP) to solve a criminology problem (staff not using EBP).
• Or in other words, we can ‘use criminology in order to use criminology’ at the organizational level.

(....The Underlying Premise is Wrong)

**TRUTH #1**

Our criminal justice system outcomes are not a criminology problem. Rather, they are a SYMPTOM of much deeper, and more complex problems that underlie our organizations and our strategies to effect change within them.
And a TWIST....

Recidivism Defined
*a tendency to relapse into a previous condition or mode of behavior (especially criminal behavior)*
- Merriam Webster Dictionary

Criminology Defined
*the scientific study of crime as a social phenomenon, of criminals, and of penal treatment*
Merriam Webster Dictionary

*So how and why, then, is “Recidivism” not a “Criminology” problem?*

---

**The Colorado Experience with “Criminology” and “Organizational Change”**

- **Early 1990s**: Bought into Risk Need Assessment with the LSI in all Colorado community supervision agencies (HB 91-1173)
- **Mid/Late 1990s**: Bonta/Andrews Risk / Need / Responsivity Model purveyed throughout USA
- **2003/2004**: Implementation Science (NIRN) adds to the “EPB” era
- **2019/2020**:
TRUTH # 2
We need criminology BUT
Criminology IS NOT and should not be confused with organizational change.

Criminal Justice System Gaps Leading to Ineffective Outcomes

• Science to Service Gap
  • What is known to be effective through research is not adopted by the organization

• Implementation Gap
  • QUALITY: What is adopted by the organization is not used with fidelity (as it was designed to be used) to produce outcomes
  • TIME: What is used with fidelity is not sustained for a useful period of time
  • DENSITY: What is used with fidelity is not used on a scale sufficient to make an impact

• Leadership and Culture Gap
  • Traditional leadership strategies are insufficient to apply implementation science to real-world settings
  • Organizational and system cultural traits are not hospitable to sustained innovation
What Does Harvard Know?

70% of “Top Down” Change Initiatives Fail (Theory E)

70% of “Bottom Up” Change Initiatives Fail (Theory O)

70% of “Critical Mass” Change Initiatives Fail

Traditional Implementation Strategies (2-Step Methods)

• Persuade & Repeat
• Train & Pray
• Policy & Procedure

Implementation Research

Experimental data show, when used alone, these methods are insufficient to effect long-term change:

• Diffusion/Dissemination of Information
• Classroom Training
• Passing Laws, Mandates, Regulations
• Providing Funding Incentives
• Reorganization

Only 5% to 15% realize their intended outcomes

National Implementation Research Network (Balas and Boren, 2000:65)
If Criminology (EBP) is the Serum

Then Implementation Science is the Syringe
3 Levels of Implementation

• **Paper Level** – creating new policies and procedures about the EBP
  - 80-90% of the people dependent innovations in business stop at the paper level (Rogers, 2002)

• **Process Level** – EBP is in agency policy and procedure *and* other official processes (training, supervision, etc).
  - Training is didactic only
  - Placed in performance appraisals of staff

• **Performance Level** – EBP is deeply integrated into organizational culture and outcomes/results are seen as a result

---

Why Implementation Science

Without guided and directed implementation, only 14% of new scientific discoveries (EBP’s) enter day-to-day practice.

-Balas and Boren, 2000:65
Before you see the outcome....

**TRUTH #3**

....you **have to** see the lasting and pervasive change at the organizational level.

---

**Why Implementation Teams**

**With Implementation Teams**
- 80% of sites succeed
- 3.6 Years to reach and sustain fidelity

**Without Implementation Teams**
- 30% of sites succeed
- 7 years to reach and sustain fidelity

*Source: Fixsen, Blase, Timbers, & Wolf, 2001*
IMPLEMENTATION DRIVERS: BASICS

Adapted from ©Fixsen & Blase, 2007

Leadership Drivers and Strategies
- Technical Leadership
- Adaptive Leadership

Organizational Drivers
- Facilitative Administration
- Data Driven Decision-Making

Staff Competency Drivers and Strategies
- Coaching
- Training
- Selection

Systems Intervention
- Fidelity / Program Quality

Implementation Drivers: BASICS

Functional Family Therapists (WSIPP)

Higher Fidelity Therapists
N=12; 204 Families
13% Recidivism

Lower Fidelity Therapists
N=13; 223 Families
28% Recidivism
Transformational Leadership is NOT Organizational Change.

Technical and Adaptive Leadership are necessary but INSUFFICIENT in order to address the REAL WORLD of implementation science applications.
TRUTH #5
We need Implementation Science BUT
Implementation Science is NOT and
should not be confused with
organizational change.

Some Distorted Twists
ITS NOT JUST THE TRUTHS THAT
MATTER ABOUT REAL WORLD
ORGANIZATIONAL CHANGE
The 1st Twist About Organizational Change
ITS GRACEFUL, MAGICAL, AND BEAUTIFUL

The 2nd Twist About Organizational Change
ITS LINEAR, HAS A BEGINNING/END, SIMPLE
The 2nd Twist About Organizational Change
IT'S LINEAR, HAS A BEGINNING/END, SIMPLE

KOTTER'S EIGHT STEP MODEL

In “Leading Change” (1996), Dr. John Kotter outlined an 8-Stage Process to Creating Major Change:

1. Create a sense of urgency
2. Build a guiding coalition
3. Develop a strategic vision
4. Communicate your vision
5. Empower others to action
6. Create short-term wins
7. Consolidate gains and produce more change
8. Anchor new approach into the culture

LEWIN’S CHANGE MODEL
Lewin’s Three Stage Change Process – Practical Steps

Unfreeze
- Determines what needs to change
- Ensure there is strong support from management
- Create the need for change
- Manage and understand the doubts and concerns

Change
- Communicate often
- Dispel rumors
- Empower action
- Involve people in the process

Refreeze
- Anchor the changes into the culture
- Develop ways to sustain the change
- Provide support and training
- Celebrate successes
THE 3RD TWIST: IMPLEMENTATION LEADERSHIP

REAL WORLD IMPLEMENTATION LEADERSHIP IS NEAT, IS SIMPLE, IS BALANCED, AND IN ONE DIRECTION

<table>
<thead>
<tr>
<th>What Real World Leadership LOOKS like</th>
<th>What Real World Leadership FEELS &amp; IS like</th>
</tr>
</thead>
<tbody>
<tr>
<td>![Image of a group of people with one person highlighted]</td>
<td>![Image of a tangled wire]</td>
</tr>
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THE 10 ESSENTIAL PRINCIPLES OF REAL-WORLD IMPLEMENTATION LEADERSHIP

Glenn A. Tapia
Director of Leadership and Systems Innovation
glenn@acji.org | Phone: 303.638.8144
10 ESSENTIAL PRINCIPLES
OF IMPLEMENTATION LEADERSHIP

01 TRUST THE VISION
02 MURPHY HATES US
03 BE COMFORTABLE
04 ADAPT OR DIE
05 FAIL FORWARD FAIL OFTEN

glenn@acji.org | Phone 303.638.8144

10 ESSENTIAL PRINCIPLES
OF IMPLEMENTATION LEADERSHIP

06 CULTURE IS KING
07 LEAD THE HEARTS LEAD THE MINDS
08 BE INTENTIONALLY INFINITE
09 TAKE THE LEAP
10 SAVOR THE JOURNEY

glenn@acji.org | Phone 303.638.8144
What is Culture Exactly?

- The underlying eco-system of beliefs, thoughts, attitudes, perceptions, behaviors, traditions, and habits of the collective sum of people in an organization.

- It is omnipresent, but is impalpable and invisible and thus, often neglected in organizational change efforts.

- In the public sector, and especially in criminal justice, it is more powerful than any budget, any leader, any policy, any strategy, any set of politics, and any law.

- That includes criminology…

- That includes implementation science…

- Well...Crud
**TRUTH #6**

Organizational Culture eats implementation strategy (and science) for breakfast, lunch, and is still hungry for dinner...

---

**06: Culture is King**

### Culture Eats Implementation Strategy for Breakfast

<table>
<thead>
<tr>
<th>Clan</th>
<th>Adhocracy</th>
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<tbody>
<tr>
<td>Dominant Organizational</td>
<td>Entrepreneurial, Risk Taking, innovative</td>
</tr>
<tr>
<td>Characteristics</td>
<td></td>
</tr>
<tr>
<td>Leadership Style</td>
<td>Dynamic, transformational, entrepreneurial</td>
</tr>
<tr>
<td>Mentoring, facilitating,</td>
<td></td>
</tr>
<tr>
<td>nurturing</td>
<td></td>
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<td>Teamwork, collaboration,</td>
<td>Uniqueness, autonomy, innovation, individual</td>
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<tr>
<td>participation</td>
<td>risk-taking</td>
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<tr>
<td>Loyalty, commitment, trust</td>
<td>Commitment to innovation, product/process</td>
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<td>Human development, openness,</td>
<td>development</td>
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<td>participation</td>
<td></td>
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<td>Development of human</td>
<td>Creating new challenges, future focus, on the</td>
</tr>
<tr>
<td>resources, concern for people</td>
<td>cutting edge</td>
</tr>
<tr>
<td>Staff-offender collaboration,</td>
<td>Innovative EBP, reduce recidivism thru innovation</td>
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<td>behavior change focus</td>
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### Hierarchy

| Dominant Organizational       | Controlled & Structured                             |
| Characteristics               |                                                     |
| Leadership Style              | Competitive, achievement oriented                   |
| Coordinating, efficiency      | No nonsense, goal oriented, aggressive              |
| oriented, Bureaucratic        |                                                     |
| Conformity, predictability,   | Stretch targets, competition, goals                 |
| productivity                  |                                                     |
| Formal rules & policies       | Emphasis on achievement & Goal accomplishment       |
| Permanence, structure, and    | Competition, market domination                      |
| stability                      |                                                     |
| Dependable, efficient, low    | Beating the competition                             |
| cost                          |                                                     |
| Monitor behavior, compliance, | Targets/objectives, set goals, push offenders to    |
| rule enforcement              | achieve                                            |

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## 06: Culture is King
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### Hierarchy | Market

| **Dominant Organizational Characteristics** | **Controlled & Structured** | **Competitive, achievement oriented** |
| **Leadership Style** | **Coordinating, efficiency oriented, Bureaucratic** | **No nonsense, goal oriented, aggressive** |
| **Management of Employees** | **Conformity, predictability, productivity** | **Stretch targets, competition, goals** |
| **Organizational Glue** | **Formal rules & policies** | **Emphasis on achievement & Goal accomplishment** |
| **Strategic Emphasis** | **Permanence, structure, and stability** | **Competition, market domination** |
| **Criteria for Success** | **Dependable, efficient, low cost** | **Beating the competition** |
| **Offender Management** | **Monitor behavior, compliance, rule enforcement** | **Targets/objectives, set goals, push offenders to achieve** |
Remember this?

06: Culture is King

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<tr>
<td>Competency</td>
<td>0.3152*</td>
<td>0.2379*</td>
<td>-0.0989</td>
<td>-0.3338*</td>
</tr>
<tr>
<td>Leadership</td>
<td>0.2706*</td>
<td>0.1998*</td>
<td>-0.0192</td>
<td>-0.3288*</td>
</tr>
<tr>
<td>Organization</td>
<td>0.3149*</td>
<td>0.2620*</td>
<td>-0.0673</td>
<td>-0.377*</td>
</tr>
</tbody>
</table>

* Indicates a statistically significant correlation

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<tr>
<td>Staff Selection</td>
<td>0.3060*</td>
<td>0.2026*</td>
<td>-0.1981*</td>
<td>-0.2833*</td>
</tr>
<tr>
<td>Training</td>
<td>0.2084*</td>
<td>0.1872</td>
<td>-0.0189</td>
<td>-0.2799*</td>
</tr>
<tr>
<td>Coaching</td>
<td>0.3188*</td>
<td>0.1969*</td>
<td>-0.0962</td>
<td>-0.3135*</td>
</tr>
<tr>
<td>Tech Leadership</td>
<td>0.2105*</td>
<td>0.1735</td>
<td>-0.1087</td>
<td>-0.2153*</td>
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<tr>
<td>Adaptive Leadership</td>
<td>0.2606*</td>
<td>0.1797</td>
<td>0.0037</td>
<td>-0.3316*</td>
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<tr>
<td>System Intervention</td>
<td>0.2421*</td>
<td>0.3234*</td>
<td>0.0039</td>
<td>-0.4000*</td>
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<tr>
<td>Facilitative Admin</td>
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<td>0.2011*</td>
<td>-0.0588</td>
<td>-0.3292*</td>
</tr>
<tr>
<td>Dec Data Support</td>
<td>0.2534*</td>
<td>0.2608*</td>
<td>-0.1408</td>
<td>-0.3156*</td>
</tr>
</tbody>
</table>
Think about it...

**Criminal Justice System Culture**
- Risk Prediction, Aversion and Avoidance
- Stability
- Control, Order, Structure
- Conform to rules and policies that come from the “top” of the heirarchy

**Change Culture**
- Entrepreneurship (Risk Invitation)
- Innovation (Instability)
- Experimentation, Trial, Error
- Diverge from status quo where solutions come from everywhere within and outside the organization

Remember this?

*What Does Harvard Know?*

70% of “Top Down” Change Initiatives Fail (Theory E)

70% of “Bottom Up” Change Initiatives Fail (Theory O)

70% of “Critical Mass” Change Initiatives Fail
Organizations and Systems are Perfectly Designed to Achieve the Outcomes they Get
TRUTH #7
Organizational change cannot happen without culture change and organizational science (not criminology) should guide us in addressing organizational culture.

Remember this?
How many times have we heard this statement?
“We cannot expect our staff to use the Principles of Effective Intervention/EBP unless leaders use the same principles with our staff?”

- It states that we can ‘use criminology in order to use criminology’ at the organizational level.
- Or in other words, it’s a criminology solution (use EBP) to solve a criminology problem (staff not using EBP).
The Real Deal...

- Our outcomes are not a criminology problem. They are a symptom of an ORGANIZATIONAL CHANGE PROBLEM.
- Criminal Justice leaders need organizational change skills, not criminology skills.

(Reimagination and Thought Leadership)

TRUTH #8

We need thought leadership at the national, state and local levels to reimagine leadership development.

We have to think outside the jar and build different leadership capacity and organizational change capacity for executive leaders in the system.
Think Outside the Jar

TRUTH #9
We cannot and must not solve organizational, implementation, or leadership problems with criminology solutions.

The Final Truth

TRUTH #10
We cannot read the label from inside the jar.
Thank You.

Glenn A. Tapia
Director of Leadership and Systems Innovation

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Thank You Bureau of Justice Assistance (BJA) and International Association of Chiefs of Police (IACP)