Implementing Effective Correctional Management of Offenders in the Community Outcome and Process Measures

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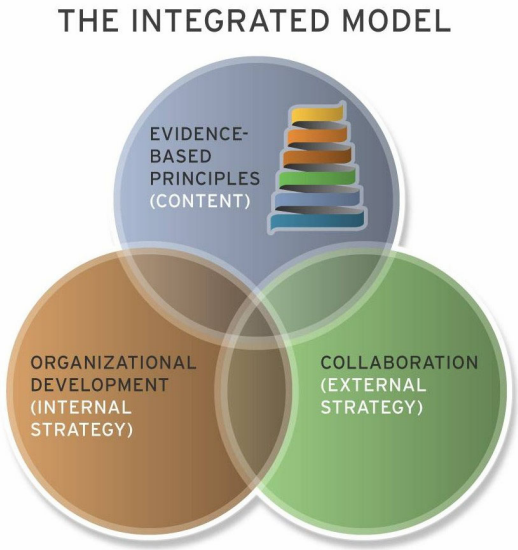
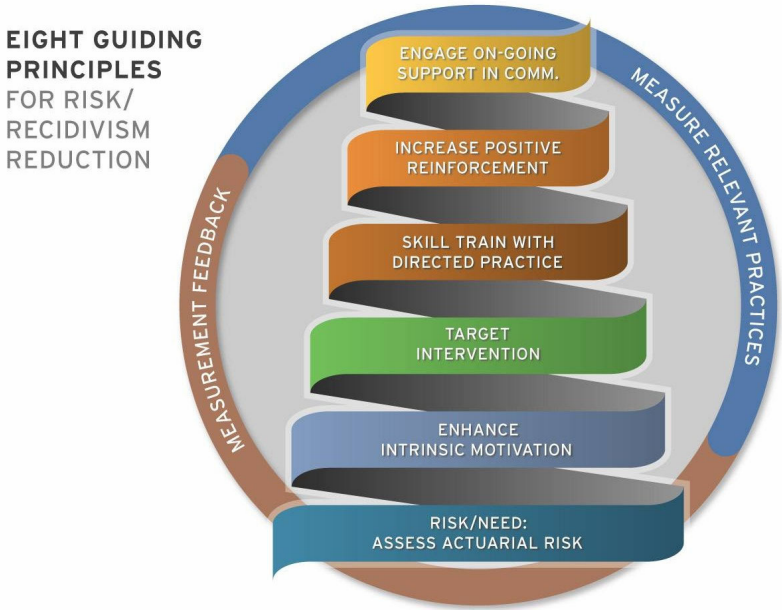


This document was developed as part of a multi-year cooperative agreement between the National Institute of Corrections (NIC) and the Crime and Justice Institute (CJI) for an initiative entitled *Implementing Effective Correctional Management in the Community*. The purpose of this initiative is to assist state systems in applying an integrated approach to the implementation of evidence-based principles in community corrections. The project model, designed by a National Project Team of researchers, consultants, and practitioners, maintains an equal and integrated focus on three domains: evidence-based principles, organizational development, and collaboration. The project vision is *to build learning organizations that reduce recidivism through systemic integration of evidence-based principles in collaboration with community and justice partners.*

The Integrated Model incorporates eight evidence-based principles that, when implemented with fidelity, have been shown to reduce offender recidivism. While the goal of reduced recidivism is the ultimate outcome measure of offender supervision, there are intermediate outcome and process measures that can help organizations monitor their progress towards achieving that ultimate goal. The National Project Team developed this tool as a means of describing those measures and differentiating between those which are required versus recommended. For each measure, the tool identifies measure components, defines those components, identifies potential data sources, describes the data in detail, identifies collection frequency, and identifies potential data collection agencies.



The measures are broken down into the following categories:

1) **Outcome Measure: RECIDIVISM REDUCTION**
2) **System Process Measures**
   a) Risk
   b) Proxy Risk
   c) Supervision Length
   d) Dosage
   e) Revocation & Violation
3) **Program Measures**
   a) Program Effectiveness
4) **Individual Performance Measures**
   a) Assessment
   b) Case Plans
   c) Workload
   d) Violations
5) **System Process Measures**
   a) Organizational Assessment
      i) Organizational Structure Data (i.e., hierarchy levels, span of control)
      ii) Organizational Climate Assessment
   b) Collaborative Assessment
      i) Collaborative Structure Data
      ii) Collaborative Climate Assessment

While this tool was developed initially for the pilot states involved in the NIC / CJI initiative (Illinois and Maine), it is equally applicable to other state and local jurisdictions who are committed to implementing evidence-based principles. The unique feature of the Integrated Model is its insistence that systemic change cannot be fully implemented or sustained without equal and integrated focus on evidence-based principles, organizational development, and collaboration. This document provides measures to monitor achievements in all three of those domains, assisting leaders and their organizations to achieve true systemic change. The research is clear about which interventions result in reduced recidivism. The Integrated Model and the measures identified in this document will help community corrections agencies be clear about how to implement those interventions and achieve those improved outcomes.

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This tool was developed under a cooperative agreement award from the National Institute of Corrections, Community Corrections Division, U.S. Department of Justice. Points of view in this document are those of the authors and do not necessarily represent the official position of the U.S. Department of Justice.

NIC / CJI Implementing Effective Correctional Management of Offenders in the Community Outcome and Process Measures

Evidence Based Practices: Outcome Measures							
Outcome Measure		**Components**	**Definition**	**Tool / Data Source**	**Description**	**Frequency**	**Who collects data**
Recidivism	**Required**	Arrest	Any ticket, summons, or arrest for any new violation of a criminal municipal, state, or federal misdemeanor or felony crime (those coded within statute as criminal offenses).	NCIC Criminal History or appropriate management information system.	**Required** • Use a random, representative sample. • Any identifiable issues relative to sample attrition should be made explicit in data reporting. • Include recidivism while on supervision and post supervision (2 years). Control for length of supervision. • Gather baseline retrospectively (i.e., intakes 5-6 years prior to 2003). Include the following: ○ Average time on supervision ○ Average time post-supervision ○ Arrests during supervision ○ Arrests during post-supervision period ○ Arrest Date ○ Offense Type ○ Risk Level ○ Run proxy risk using current age, age at first arrest, and number or prior arrests. **Recommended** • Analyze arrest data considering time between arrests. • Analyze arrest data considering seriousness of crimes.	Required: Annually Recommended: Every six months	Appropriate State Agency or SAC

Evidence Based Practices: Outcome Measures							
Outcome Measure		**Components**	**Definition**	**Tool / Data Source**	**Description**	**Frequency**	**Who collects data**
Recidivism (continued)	**Recommended**	Conviction	Conviction for any municipal, state, federal misdemeanor or felony criminal violation (those coded within statute as criminal offenses).	NCIC Criminal History or appropriate management information system.		Recommended: Annually	Appropriate State Agency or SAC
		Revocations	Official action to revoke supervision / release, based on official evidence of prosecutable behavior (those coded within statute as criminal offenses).	Appropriate management information system.	**Recommended** ▪ Sort revocations by precipitating event (criminal and non-criminal violations). ▪ Sort revocations by resulting consequence (incarceration/jail, incarceration/prison, and increased supervision intensity/duration without incarceration).	Recommended: Annually	Appropriate State Agency or SAC

Evidence Based Practices: System Process Measures							
System Process Measure		**Components**	**Definition**	**Tool / Data Source**	**Description**	**Frequency**	**Who collects data**
Risk	**Required**	Risk Level	Obtain sound actuarial risk information	▪ Third-generation risk assessment tool (i.e., LSI-R, COMPAS). ▪ Appropriate management information system.	**Required:** ▪ Collect risk level data on entire representative sample. ▪ Include the overall risk score. ▪ Include criminogenic profile. **Recommended:** ▪ Include total protective score.	Required: Annually Recommended: Every six months	On-site data collection
Proxy Risk	**Required**	Age at First Arrest	Age at first arrest.	Self-report at intake and / or appropriate management information system.	▪ Use a random, representative sample • Self-report is critical as it allows for inclusion of juvenile arrests, which may not be accessible through management information system. • Allows for comparison of risk scores across sites • Can be used as an initial screening / triage tool prior to full assessment • Highlights areas of operator error in the application of assessment tools	Required: Annually	On-site data collection (Intake Personnel)
		Current Age	Current age at intake.	Self-report at intake and / or appropriate management information system.			
		Number of Prior Arrests	Number of prior arrests.	Self-report at intake and / or appropriate management information system.			
Supervision Length	**Required**	Length of Supervision	Average length of supervision	Appropriate management information system.	**Required:** ▪ Use a random, representative sample ▪ Identify average length of supervision for all cohort offenders. **Recommended** ▪ Identify average length of supervision for all offenders.	Required: Annually	On-site data collection

Evidence Based Practices: System Process Measures							
System Process Measure		**Components**	**Definition**	**Tool / Data Source**	**Description**	**Frequency**	**Who collects data**
Dosage	**Required**	% referred	% of offenders referred to treatment	▪ Electronic: Appropriate management information system. ▪ Paper: 5-part NCR form initiated at intake through PO & treatment provider.	**Required:** ▪ Use a random, representative sample • Most MIS systems have not yet incorporated adequate accounting of dose into their data systems. Data may be collected through the use of the NCR form as indicated, hand review of case files, and / or treatment attendance sheet records. • Each referral is treated as a separate episode. • % referred to treatment may be further broken-down by treatment type, depending on data availability. • % adhered may be further broken-down by % compliance, i.e., Did s/he arrive and depart on time? Did s/he attend all sessions?	Required: Every six months Recommended: Quarterly	On-site data collection
		% received	% of offenders that received / started treatment	▪ Electronic: Appropriate management information system. ▪ Paper: 5-part NCR form initiated at intake through PO & treatment provider.			
		% adhered	For those offenders who completed treatment, % of assigned sessions attended	▪ Electronic: Appropriate management information system. ▪ Paper: 5-part NCR form initiated at intake through PO & treatment provider.			
		% completed	% of offenders that completed the assigned dose of treatment	▪ Electronic: Appropriate management information system. ▪ Paper: 5-part NCR form initiated at intake through PO & treatment provider.			

Evidence Based Practices: System Process Measures							
System Process Measure		**Components**	**Definition**	**Tool / Data Source**	**Description**	**Frequency**	**Who collects data**
Dosage (continued)	**Required**	Shear Dose Hours (SDh)	Identified through the following formula: *feasible shear treatment dose - % of non adherence = shear dose hours (SDh).*	▪ Electronic: Appropriate management information system. ▪ Paper: 5-part NCR form initiated at intake through PO & treatment provider.	▪ Identification of feasible shear treatment dose requires the following data points: frequency (i.e., daily, weekly), intensity (i.e., session length: 1 hour, 3 hours), and duration of treatment (i.e., 3 months, 6 months). ▪ Identifying SDh allows for analysis using a Person's Correlation between risk level score and SDh to determine system fidelity to the Risk principle.	Required: Every six months Recommended: Quarterly	On-site data collection
Revocation & Violation	**Required**	Revocation	Official action to revoke release, resulting in incarceration.	Appropriate management information system.	▪ Use a random, representative sample • Sort by criminal and non criminal violations. • Sort incarcerations by jail and prison. • Include analysis of applied incarceration time sorted by jail and prison.	Required: Annually	On-site data collection
		Violations	Official action to impose a sanction in response to a violation of supervision conditions.	Appropriate management information system.	• Use a random, representative sample • Sort by precipitating event (criminal and non-criminal violations). • Sort by resulting consequence (incarceration/jail, incarceration/prison, and increased supervision intensity or duration without incarceration). • Do violations result in the application of a prescribed set of intermediate sanctions? • Is there a pattern of matching sanctions to violations or are sanctions applied randomly? • Is there a change in the seriousness of the violations? • Does the length of time in between violations change?		

Evidence Based Practices: Program Measures							
Program Measure		**Components**	**Definition**	**Tool / Data Source**	**Description**	**Frequency**	**Who collects data**
Program Effectiveness	**Required**	Internal & External Program Data	Internal & External Program Information	Program management	▪ Name of program ▪ Number of years the program has been in operation	Required: Annually	On-site data collection
			Service Capacity	Program management	▪ FTE to offender ratio ▪ Average daily attendance of offenders (residential vs. non-residential) ▪ Average length of staff service ▪ Average education level of staff ▪ Staff turnover rate	Required: Annually	On-site data collection
			Curriculum Information	Program management	▪ Does the program use a validated curriculum that specifies, in sequence, what information is delivered? Describe. ▪ Has the program been evaluated as successful in reducing recidivism for the population it serves? Describe the type of evaluation and the results.	Required: Annually	On-site data collection
	Recommended	Program Integrity	Degree to which a program meets the principles of effective intervention.	Correctional Program Assessment Inventory (CPAI)* or other validated program assessment tool.	CPAI examines the following six areas: 1. Program Implementation & Leadership 2. Offender Assessment 3. Program Characteristics 4. Staff Characteristics 5. Evaluation 6. Other	Recommended: Annually	State assessment team or contracted team.
		Program Quality	Degree to which a program delive delivers inter-ventions and services in a systematic & consistent manner.	**Developed and copyrighted by Paul Gendreau & Don Andrews*			

Evidence Based Practices: Individual Performance Measures							
Indiv. Perform. Measure		**Components**	**Definition**	**Tool / Data Source**	**Description**	**Frequency**	**Who collects data**
Assessment	**Required**	Assessment Integrity/ Quality	Inter-coder reliability measures proficiency in motivational interviewing, affect, error rate, interview length of time, etc.	• Video and / or audio tape critique • Review / observation by supervisor or other trained staff	• Complete reviews for all officers who interact with sample population. • Identify officer skill balance and develop ongoing feedback system. Officers are rated on: o Interrater reliability o Adequacy of interpersonal skills	Each officer is reviewed annually (quarterly samples, repeated without replacement over the year).	Initial tape reviews completed by JSAT, followed by training of on-site reviewers.
	Recommended	Gain Score	Gain score of protective measures as identified on reassessment.	Third generation assessment tool (i.e., LSI-R, COMPAS)	• Use random, representative sample from each caseload. • Protective measures are recommended because they are more dynamic than the overall risk score.	Recommended: Every six months	On-site data collection
Case Plan	**Required**	% of active cases with case plan	Does the case file include a detailed case plan?	Case file review and / or appropriate information management system.	• Use random, representative sample from each caseload.	Required: Every six months	On-site data collection
		% of case plans that address criminogenic needs	Does the case plan address the top four criminogenic needs identified in the assessment?	Case file review and / or appropriate information management system.	• Use random, representative sample from each caseload. • Is the case plan congruent with the criminogenic needs identified in the assessment? • Are the criminogenic needs prioritized?	Required: Every six months	On-site data collection

Evidence Based Practices: Individual Performance Measures							
Indiv. Perform. Measure		**Components**	**Definition**	**Tool / Data Source**	**Description**	**Frequency**	**Who collects data**
Workload	**Required**	Caseload Size	Average active caseload size per officer.	Appropriate information management system.	• Average active caseload size sorted by type (i.e., specialized). • Define *active caseload*.	Required: Annually Recommended: Every six months	On-site data collection
		Rate of Contacts	Number of contacts per month.	Appropriate information management system.	• Use random, representative sample from each caseload. • Identify number of contacts. • Identify rate of contacts. • Define contact types, (i.e., face-to-face, home, phone). • NOTE: These are gross preliminary measures. It is strongly recommended that corrections agencies develop alternative workload measures by work type (i.e., PSI, specialized caseload, etc.)	Required: Annually Recommended: Every six months	On-site data collection
Violations	**Recommended**	Violation rates	How do officers respond to criminal and non-criminal violation?	Appropriate information management system.	• Is there variance in violation rates between officers? Offices? Regions?	Recommended: Annually	On-site data collection

Organizational Development: System Process Measures							
System Process Measure		Components	Definition	Tool / Data Source	Description	Frequency	Who collects data
Organizational Climate	Required	Organizational Data	Average daily population of offenders on active supervision.	Appropriate information management system.	• Average daily population of offenders on active supervision. ○ Statewide ○ Local (county, region, or district)	Annually	On-site data collection
			Total number of FTE by job type.	Human resources information system.	• Total of number of annual FTE sorted by job type / classification. ○ Statewide ○ Local (county, region, or district)	Annually	On-site data collection
			Number of reporting levels within the organization.	Human resources information system.	• Number of reporting / hierarchy levels within the organization (for example, director + deputy director + regional manager + supervisor + line-staff = 5)	Annually	On-site data collection
			Average span of control.	Human resources information system.	• Average number of line staff reporting to supervisors.	Annually	On-site data collection
		Organizational climate assessment	Satisfaction, communication, & productivity at all appropriate levels (regional, statewide, and central office).	Likert Organizational Climate Survey	• Run survey at each appropriate level, (i.e., regional / circuit, statewide, and central office / oversight agency) • On-line survey completion. • Feedback results to all participants. • Use analysis of gap between ideal and current environment to prioritize areas needing attention.	Baseline, followed by a 6-month reassessment. Thereafter conducted annually.	U of CO has capacity to operate on-line survey and provide basic data analysis
			Goal Attainment Scale	Likert Organizational Climate Survey	• Reduce gap between current & ideal environment scoring by 10% annually for the top three gap areas identified in Likert Survey.	Annually	On-site data collection

Organizational Development: System Process Measures							
System Process Measure		Components	Definition	Tool / Data Source	Description	Frequency	Who collects data
Organizational Climate (continued)	Recommended	Organizational Assessment	Additional organizational assessment as needed and aligned with strategic plan and goals.	• Probation & Parole Strategies Questionnaire (PPQ) • Intrinsic Motivation Inventory (IMI) • TCU Survey of Organizational Functioning • Other tools	• The PPQ was developed by Robert Shearer, PhD at Sam Houston State University and measures orientation typology of officers. • The Intrinsic Motivation Inventory (IMI) is a multidimensional measurement device intended to assess participants' subjective experience related to a target activity • The TCU/CJ Survey of Org. Functioning is self-administered by correctional program staff and measures motivational factors, program resources, and organizational dynamics.	Annually	On-site data collection

Collaboration: System Process Measures							
System Process Measure		**Components**	**Definition**	**Tool / Data Source**	**Description**	**Frequency**	**Who collects data**
Collaboration	**Required**	Collaboration Data	Number of meetings scheduled and % held as scheduled.	Meeting minutes	• Include total number of meetings scheduled for appropriate teams: ○ statewide and local policy teams ○ statewide work teams / coordinating councils, and ○ inter-agency work teams. • Include percentage of meetings held as scheduled.	Annually	On-site data collection
			Level of team member participation.	Meeting minutes and attendance logs	• Include total number of members included on policy teams. • Percentage of meetings attended (percentage sorted by attendance of actual member and proxy members).	Annually	On-site data collection
			Representation Level	Team charter / membership list	• Include a membership list for each team, sorted by agency. • Are partner agencies well represented?	Annually	On-site data collection
			Team Productivity	Action plan	• Were timelines met for each specific action plan item?	Annually	On-site data collection
		Collaborative skills	How well do policy teams work together?	Profile of Collaboration: Working Together and / or Team Status Questionnaire	• Measure ability of policy and implementation teams to work well together. • Measure their comfort level with the collaborative process. • Measure stakeholder commitment. • Measure leadership commitment.	Annually	U of CO has capacity to operate on-line survey and provide basic data analysis
		Team skills	How well do implementation teams work together?	Team Status Questionnaire		Every six months	