**Performance Metrics**

Tracking outcomes for community corrections, probation, diversion, and jail treatment

Indiana Community Corrections
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- Identify the core elements of an effective performance metrics system
- Begin the process of quantifying funding related outcomes
- Assess data collection and reporting needs

**Note:** This is a working session!

The health of data systems vary considerably across agencies
Justice agencies tend to excel at their craft and struggle with data
Many outcomes cannot be easily measured without integrating with other agencies' data systems
Building a performance metric system takes time to do well
In an evidence-based environment tracking performance outcomes is not a luxury; it is a requirement

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"A systematic method of identifying, recording, compiling, analyzing, reporting and applying information about an agency’s activities and accomplishments, for both internal management purposes and for accounting to supervising and oversight agencies, legislative and executive bodies, constituents and stakeholders and the public."

Why collect performance data?
- To help the agency improve effectiveness of services
- To demonstrate accountability for achieving mission and funding
- To provide information for practitioners and stakeholders
- To demonstrate need for additional resources
- To document improvements in performance
- To conduct program evaluation
- To celebrate success

"Many community corrections agencies lack a systematic approach to performance measurement that would enable them and their key stakeholders and constituents to effectively judge how well the agencies are accomplishing their goals. Where performance measures exist, most are primarily...activity counts."

"Such measures provide information about the agency workload, but fail to address the results achieved by the agency."

Source: Pew Center on the States Public Safety Performance Project; Policy Framework to Strengthen Community Corrections, 2008

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Examples of possible measures

- Rate of jobs acquired or education achieved
- Rate of restitution collection
- Number of people diverted from more costly justice system processes
- Number of program completers
- Number of families that remain intact
- Reduction in racial disparity
- Increase in protective factors
- Amount of taxpayer dollars saved
- Number of individuals who completed supervision successfully

Seems simple enough. However.....

- No national standard definition
- Usually, no state or local standard definition
- Without a standard definition cannot compare
- Wrought with potential problems that require careful planning

Is a 30% recidivism rate good or bad?

There is no way to answer this question without

- Understanding what is meant by recidivism
- Have some baseline data to use as a benchmark or use data from a companion group
- Knowing what is realistic from a research evidence perspective

Recidivism data challenges – what is the definition?

- What is recidivism?
- Rearrest
- Charges filed
- Reconviction
- Technical violation
- Reincarceration

What about behavior that could have resulted in new arrest but was not (such as that which is discovered in domestic violence interviews with the partner)?

Recidivism data challenges – what counts?

- Type of new offense (e.g., repeated sex crime or property/violent)?
- Level of new offense (e.g., felony, misdemeanor, traffic)?
- Frequency of new offenses?
- If multiple new offenses are committed do you count just the most serious charge?
- What if those offenses were committed on the same day or over the course of six months?
- What about time to failure?
- What about new offenses from out of state?
Recidivism data challenges – length of time

- What period of time is sufficient to understand impact?
- When should the "at-risk" time begin
  - Upon entrance into the justice system
  - Only during time the justice system has "control"
  - Only after supervision has ended
- When comparing two populations, the time at risk is important (such as when one subset of individuals spent two of their five years of supervision time in a jail or residential program)

Survival or hazard rate analysis: analyzes the expected duration of time until recidivism occurs

CJCA Recommendations

- Include adjudication/conviction in the definition of recidivism

Example: recidivism is defined as the rearrest/reconviction for any criminal offense for which is potentially punishable by jail, three years after discharge from supervision

CJCA Recommended Standards for Measuring Recidivism (subset)-1 of 2

- Specify population parameters: e.g. age, first-time offenders only, gender, etc.
- Identify the source or sources of data for each data element, who is responsible and frequency of data collection.
- More than one measure of recidivism should be used – such as re-arrest for a new offense and reincarceration for a new offense.
- All recidivism tracking should include adjudication/conviction as a measure of recidivism.
- The follow-up period for tracking an individual's recidivism should be at least 24 months.
CJCA Recommended Standards for Measuring Recidivism (subset) - 2 of 2

- All charges should be recorded; if there is more than one, the most serious charge should be identified.
- Technical violations should be recorded separately from data on new offenses, but they do not imply the commission of a new offense.
- Offense type is more useful than a more precise offense term that may be state-specific.
- Whenever possible, record the level of risk (low, medium, or high).

Once recidivism is defined and tracked...pay attention to potential erroneous assumptions

- Assumptions of comparability of recidivism measures
- Definitional differences
- External circumstances such as police staffing, community tolerance, and alternatives to arrest
- Potential for bias in arrests or court processes and local practices
- Assumptions that the programs contained in a system have alone produced the system’s aggregate recidivism rate
- An undervaluing of outcome measures other than recidivism rates that can be better measures of program and system effectiveness.

A final word...

- Data quality is often a major concern
- Even if addressed, limitations of accurate data lead to an important decision as to which data to use
- Better to be accurate and limited in what you measure than to use inaccurate or incomplete data in an attempt to answer the broader outcome measures
Exercise: review samples of risk reduction measures

First, individually:
- Skim pages 10-19 of the document entitled “Risk Reduction Performance Measures for Community Corrections”
- Answer these questions:
  - Based on my use of grant dollars, which of the measures are most appropriate for my program/service
- Second, as a group at your table:
  - Share your selection and get feedback from the others

Theory of change

A short description of how, why, and under which conditions a desired change is expected to happen
- It leads to the identification of activities that can be expected to produce the desired outcomes
- It lays the groundwork for establishing a set of assumptions that explain the connections between activities and outcomes
- It makes transparent the causal linkages between activities and outcomes
  - Example: low-risk individuals have prosocial assets and social capital to learn from their mistakes and therefore don’t need criminal justice intervention

Exercise: Section A, B, C, D

First, individually on your performance metrics plan:
- Fill out Section A and B
  - Goals: should be specific and limited in number
  - Impact: the impact(s) you expect if successful
- Fill out Section C and D
  - Theory of change: link the theory with the expected goal outcome
  - Research support: identify the evidence to support your theory of change
- Second, as a group at your table:
  - Share your answers and get feedback from the others
  - Others should “challenge” the assumptions in Sections B-C-D
Contextual conditions are the factors that can affect—positively or adversely—whatever you are trying to do. They are the conditions that make up the context in which change is occurring. These are external conditions about which you may have little or no control.

Examples:
- A consent decree placing a cap on your jail
- A new legislative mandate that requires all counties to use a specific risk tool
- New funding is available

Example of contextual condition impact

Goal: Save $100,000 by diverting lower risk defendants from traditional (and more costly) justice system process
Outcome: Divert an additional 500 defendants annually from justice system process
Contextual condition: Newly elected prosecutor is reluctant to take on additional risk exposure
Possible modifications to policies, activities, or outcomes:
- Change the eligibility criteria (lower risk)
- Increase the intensity of the program
- Reduce the target outcome from 500 diverted to 300 diverted

Outcomes and Activities

Outcomes are measurable indicators that calculate change. They can measure long-term or short-term change.

Activities are the specific tasks to be undertaken to achieve expected outcomes.
Examples of Outcomes and Activities

- Diversion outcomes:
  - 25% increase in diversion referrals (short-term outcome)
  - $100,000 jail reduction costs saved (long-term outcome)

- Diversion activities:
  - All criminal justice stakeholder offices will sign a memo of understanding that includes an expansion of eligibility criteria
  - All potential diversion participants will undergo a risk assessment

Exercise: Section E and F

- First, individually on your performance metrics plan.....
  - Fill out Section E
    - Contextual conditions: external conditions that could impact your plan
    - These conditions can be currently occurring or potential
  - Fill out Section F
    - Outcomes: measurable indicators that change related to your goal is occurring
    - They can be short or long-term outcomes

- Second, as a group at your table....
  - Share your answers and get feedback from the others

Purpose of logic model

- To help others gain a common understanding of how the program works
- To check your thinking so that you have greater confidence that a will led to be which will yield c
- To test assumptions
- To trouble shoot when results fall short
### Logic model components

<table>
<thead>
<tr>
<th>Inputs/Resources</th>
<th>Activities</th>
<th>Outputs</th>
<th>Outcomes</th>
<th>Impacts</th>
<th>Contextual Conditions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Existing resources (both financial and human), policies, practices, facilities, and capabilities</td>
<td>Specific strategies to be implemented</td>
<td>Immediate results that occur as activities and strategies are implemented</td>
<td>Indicators, or benchmarks, that demonstrate changes are occurring as a result of the activities</td>
<td>Anticipated long-term results</td>
<td>External factors that can facilitate or hinder the ability to implement the activity or achieve the intended outcomes and impacts</td>
</tr>
</tbody>
</table>

### Logic model worksheet - diversion

<table>
<thead>
<tr>
<th>Inputs/Resources</th>
<th>Activities</th>
<th>Outputs</th>
<th>Outcomes</th>
<th>Impacts</th>
<th>Contextual Conditions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk assessment</td>
<td>Assessors</td>
<td>Eligibility criteria</td>
<td>Criteria developed and approved</td>
<td>All diversion participants are accepted into program</td>
<td>Newly elected prosecutor reluctant to endorse a program that might put her support at risk</td>
</tr>
<tr>
<td>Training</td>
<td>Training</td>
<td>Establish budget</td>
<td>Budget/funding secured</td>
<td>All participants meet eligibility criteria</td>
<td></td>
</tr>
<tr>
<td>Funding</td>
<td>Gain full CJS stakeholder support</td>
<td>Stakeholders sign MOU</td>
<td>All diversion participants are accepted into program</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Contracted program Data</td>
<td>Develop lid process</td>
<td>Contractor selected</td>
<td>Contractor selected</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$250 diversion participants are accepted into program</td>
<td>$100,000 in cost compared to traditional processing</td>
<td>$100,000 in cost compared to traditional processing</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>All participants meet eligibility criteria</td>
<td>225 diversion participants complete program</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>95% of diversion participants do not return on a new arrest 2 years after discharge</td>
<td>Program saved $100,000 in cost compared to traditional processing</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Five step process

- Develop your theory of change and complete a logic model
- Determine your desired outcomes
- Map out your data needs
- Set up a data collection process
- Communicate your findings
Data collection questions

- What data do we need to collect to measure the outcomes?
- Do we need to access other users' data to measure our outcomes?
- Can we get baseline data to measure outcomes against?
- What is the condition of existing data?
- Does the data need to be "cleaned up" and definition and collection protocols put in place?
- Do we have the capacity to collect this data? If not, what is needed?
- How much time, effort, and resources are needed to collect missing data?
- If no automated data is available, can we get the data through manual means for now? If so, what effort is required?
- What other resources might be available (e.g., university interns)?

Identifying data needs

- Identify data needs
- Assess condition of current data
- Determine whether data mapping is needed (i.e., a process by which two distinct data models are created and a link between these models is determined)
- Develop data procedures to collect required data elements
- Collect necessary data necessary to answer the input and outcomes noted on the logic model

Example of data analysis

<table>
<thead>
<tr>
<th>Performance Measure</th>
<th>Data Elements</th>
<th>Condition of Data</th>
</tr>
</thead>
<tbody>
<tr>
<td>% of offenders who complete substance abuse treatment who are referred to aftercare</td>
<td># of offenders who begin substance abuse treatment, # of offenders who complete substance abuse treatment, # of offenders who complete substance abuse treatment and who are referred to aftercare</td>
<td>Are tracking those that complete treatment but not aftercare referrals. Need to either integrate data systems with substance abuse provider or expand data collection form to include aftercare. No data fidelity measures in place (i.e., definitions or data manual)</td>
</tr>
</tbody>
</table>