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# Risk Reduction Performance Measures for Community Corrections

Measures for Community Corrections  
Aimed at Risk Reduction



## Contents

<b>Section One: Performance Measurement Overview</b>	<b>2</b>
Performance Measurement for EBP Agencies	2
Benefits of Performance Measurement	2
What Performance Measurement Systems Tell Us	3
Performance Measurement Versus Program Evaluations	3
Defining Key Terms in Performance Measurement	4
Analytical Tools for Measurement	5
Guidance for Developing Performance Measures	7
<b>Section Two: Performance Measures</b>	<b>8</b>
How the Measures Are Organized	9
Scorecard Measures (SM): Risk Reduction Outcomes (SM-RRO)	10
Rapport and Motivation (RM)	11
Professional Alliance (RM-PA)	11
Motivational Interviewing (RM-MI)	11
Skill Practice (SP)	13
Appointment Focus (SP-AF)	13
Teaching (SP-T)	13
Case Management (CM)	14
Assessment (CM-A)	14
Case Planning (CM-CP)	15
Supervision (CM-S)	17
Rewards and Noncompliance (RN)	18
Rewards (RN-R)	18
Noncompliance (RN-NC)	18
Organizational Functions (OF)	20
Training (OF-T)	20
Quality Assurance (OF-QA)	20
EBP Culture and Learning Organization (OF-CLO)	20
<b>Section Three: Data Elements</b>	<b>22</b>
<b>Section Four: Five Steps Toward Measuring the Performance of EBP</b>	<b>35</b>
Putting in Place the Five-Step Model	36
<b>Appendix A: Non-Risk Reduction Objectives</b>	<b>39</b>
<b>Appendix B: Sample Adult Drug Court (ADC) Logic Model</b>	<b>42</b>
<b>References</b>	<b>43</b>

# SECTION ONE

## Performance Measurement Overview

This report focuses on the emerging practice of developing performance measures for evidence-based practices (EBP) aimed at risk reduction (i.e., reducing the recidivism of offenders<sup>1</sup> under correctional supervision). Specifically, this document was produced for agencies that supervise post adjudicated offenders in order to help them examine their existing performance measures and data fields in order to further reduce the risk of reoffense among the individuals they supervise.

Section One provides a summary of terms, definitions, purposes, and benefits of performance measures. Section Two lists the key risk reduction activities for which performance measures could be compiled. Those activities that have a more robust research basis are highlighted as a higher priority to track. Section Three identifies the specific data measures needed in order to measure the performance of the activities listed in Section Two. Finally, Section Four provides a step-by-step process for establishing risk reduction performance measures.

**In a nutshell, performance measures help inform the decision making process by ensuring that decisions are based on clearly articulated and objective indicators.**

*Source: EBDM Initiative, 2012*

### ***Performance Measurement for EBP Agencies***

The use of performance measurement facilitates an objective evaluation of the justice system's effectiveness in achieving its desired outcomes. The development of agreed-upon performance measures is therefore a critical activity when establishing a truly "evidence-based" justice system. In addition, justice systems should develop targeted performance benchmarks against which outcomes can be measured, and put into place methods to collect, analyze, and report data in order to inform policy and practice.

Desired outcomes related to risk reduction will vary by agency but may include some of the following:

- decreases in the rate or severity of recidivism
- decreases in the harm caused to communities as a result of crime
- increases in victims' level of satisfaction with the justice system
- increases in the level of public confidence in the justice system (EBDM Initiative, 2012).

### ***Benefits of Performance Measurement***

A focus on collecting, measuring, and utilizing data to make decisions will enable an agency to better gauge its effectiveness in meeting whatever outcomes (i.e., vision, mission, and goals) it hopes to achieve. Performance information provides the following benefits:

- an objective way to document activities and accomplishments over time
- a method to quantify the cost/benefit of investments and allocate additional resources (or reallocate resources), as may be appropriate
- an opportunity to identify and intervene with implementation problems (or potential problems) that can impede achievement of a goal
- objective and specific data regarding performance that can be used to further engage and motivate staff and to demonstrate to external stakeholders (e.g., funders, other vested parties) the benefit of investments
- increased accountability and transparency regarding the efficiency of activities (Rossman & Winterfield, 2009).

In addition, performance measurement allows agencies to not only rely on empirical research to make policy decisions, but also to build a foundation of local data-driven findings that can be used to assess what works for a particular criminal justice system (EBDM Initiative, 2012).

### ***What Performance Measurement Systems Tell Us***

Performance measures offer criminal justice agencies quantitative information about their outcomes and the processes that produce them. Performance measures might tell an agency:

- how well it is doing in achieving its mission
- if the agency is meeting its goals
- if processes are occurring in the way they were intended
- if and where improvements are necessary (adapted from Artley & Stroh, 2001).

Measuring performance is an important step for agencies undergoing strategic planning processes, as monitoring performance on a regular basis will provide critical information on whether the identified vision, mission, goals, and objectives are achieved. This information can then be used to inform policy and practice or adjust the allocation of resources, as appropriate. In this way, “performance management” involves both *measuring* performance and *using the information to inform* decision making (Rossman & Winterfield, 2009).

Performance management includes the collection and analysis of data **AND** the use of that information to improve activities or processes.

*Source: Rossman & Winterfield, 2009*

### ***Performance Measurement Versus Program Evaluations***

Implementing performance measurement is distinct from conducting program evaluations (i.e., outcome or process evaluations). Performance measurement allows an agency to collect regular information over time to inform its decision making across multiple activities (Rossman & Winterfield, 2009). While program evaluations can certainly provide very useful information for decision making, unlike performance measurement, they often utilize sophisticated methodologies; they require

significant effort, time, and resources to conduct; and they typically focus on one particular program/activity within an agency.<sup>1</sup>

### ***Defining Key Terms in Performance Measurement***

The following definitions may be useful to agencies interested in developing a performance measurement system. These definitions are derived from the literature; agencies are encouraged to discuss and come to agreement on definitions that work best for their particular goals and values.

- **Performance measurement:** The ongoing collection, monitoring, and reporting of results (outcomes) of activities (e.g., modified policies and practices, new program initiatives, etc.). Performance measurement connects specific agency or jurisdictional objectives or goals (i.e., expected outcomes) with indicators (i.e., quantitative measures). Performance measures may address the way a program’s activities are implemented (process), the direct products and services delivered by a program (outputs), and/or the results of those products and services (outcomes) (Artley & Stroh, 2001; National Institute of Corrections [NIC], 2011; Rossman & Winterfield, 2009).
- **Outcome evaluation:** A formal study that helps determine whether a project/program is realizing its intended outcomes. For criminal justice programs, the purpose of outcome evaluation is to find evidence of changes in offenders’ behavior and, if there are changes, show that they result directly from offenders’ experience in the program and not from contact with other programs, other factors, or chance. Outcome evaluations follow experimental or quasi-experimental research designs (Vera Institute of Justice, 2013).
- **Process evaluation:** A formal study that documents the context of a project (i.e., why it was undertaken), its goals, the size and characteristics of the population served by the program, key program elements (i.e., services or interventions provided), expected outcomes, and whether the project was implemented as intended (Kralstein, 2011).<sup>2</sup>
- **Performance measure:** A quantifiable measure that is used to assess whether optimum performance is being achieved and to identify where adjustments in performance or strategy

Performance measurement terminology is tricky. ... Some people equate performance measures and performance indicators as being one and the same. Others look at the two as being entirely different. Or some use goals, objectives, and targets interchangeably, while others do not. The object is to pick the terminology that best fits your organization and to ensure that all players are in alignment with and using [the same] terminology.

*Source: Artley & Stroh, 2001*

<sup>1</sup> For more on the differences between performance measurement and program evaluations, see <http://ebdmoneless.org/starterkit/6a-measuring-your-performance>.

<sup>2</sup> A process evaluation does not assess a program’s effectiveness or success. This is the purpose of an impact or outcome evaluation.

are necessary. A performance measure is composed of a number and a unit of measure (i.e., it describes how much of something) and is tied to a goal or objective. (Artley & Stroh, 2001; EBDM Initiative, 2012). The percentage of offenders hired after completing vocational programming is an example of a performance measure.

- **Outcome measure:** An indicator of an agency's effectiveness in achieving a stated mission or intended purpose (NIC, 2011). The percentage of offenders who did not relapse after completing drug treatment is an example of an outcome measure.
- **Process measure:** A measurement in real time about whether a process is performing as intended. The number of offenders who attend shoplifting class each month is an example of a process measure.
- **Goal:** The desired long-term result of an effort.
- **Objective:** Measurable, short-term indicators (i.e., benchmarks) of progress toward a goal.

#### Elements of Performance Measures

Performance measures should be

- logical and related to goals
- easy to understand
- monitored regularly
- readily accessible
- based on specific benchmarks
- quantified and measurable
- defined with specific performance targets.

*Source: EBDM Initiative, 2012*

- **Data:** A collection of observations or statistics used to measure and analyze interventions.
- **Data-driven:** The use of regular and ongoing data collection and analysis to track performance and inform policy and practice (EBDM Initiative, 2012).
- **Continuous quality improvement (CQI):** A set of professional development opportunities that generate current, specific feedback for the purpose of ensuring that services and practices are delivered in the intended manner.

### ***Analytical Tools for Measurement***

Criminal justice agencies are increasing their use of analytical tools in order to track the performance of their activities. The benefits of these tools may include the following:

- easy and fast access to up-to-date information for better decision making
- increased understanding of how activities tie in with desired goals and objectives
- customizable views for a variety of users
- enhanced communication, prioritization, and accountability (BlumShapiro Consulting, n.d.).

There are two main types of analytical tools:

- **Dashboards:** Dashboards display up-to-date, real-time information on the status of key performance metrics. Usually presented visually (e.g., as graphs, charts), they allow particular users (e.g., individuals or work units) to monitor those measures that are viewed as important to successful outcomes. Dashboards do not inherently tell whether results are positive or negative; that is left up to the user’s own interpretation.
- **Scorecards:** Scorecards measure periodic (e.g., monthly, quarterly, annual) results against an organization’s predetermined goals, and allow those contributing toward these goals to gauge how their performance aligns with expectations. Scorecards might also summarize how performance changes over time. Scorecards often include measurements accompanied by visual indicators such as red, yellow, or green stoplights, which provide an at-a-glance view of performance. They seek to align employees' and partners' actions with the strategic objectives formulated by the executive team.<sup>3</sup>

Key Differences Between Dashboards and Scorecards		
	Dashboards	Scorecards
Primary Purpose	Identifying performance at a glance; monitoring operations; providing real-time feedback on indicators important to a user’s success	Managing performance against the organization’s strategic objectives and goals (i.e., making decisions based on measurements)
Level of Data	May be detailed	May include selected metrics that measure movement toward strategic objectives; higher-level, summary data; may display trends
Timeliness of Data	Current (i.e., real time)	Periodic (e.g., monthly, quarterly, annually)
Typical Users	Lower-level managers (primary) Executive/upper-level managers (secondary)	Executive/upper-level managers

Some agencies create analytical tools that combine a number of these elements. Regardless of what the tool is called, it is important that the agency create an instrument that provides useful information to the right individuals in a timely manner.

<sup>3</sup> For more information on how to develop a scorecard, visit <http://ebdmoneless.org/starterkit/6b-developing-a-systemwide-scorecard>.

## ***Guidance for Developing Performance Measures***

What exactly a performance measure assesses depends on the agency's mission and values—what information the agency wants to collect about its progress. In a criminal justice agency, performance measures may be developed for one or more of the following:

1. Effectiveness: The degree to which the intended outcomes are being produced (Are our interventions working?)
2. Efficiency: The degree to which the process produces the required output at minimum cost (Are we doing things right?)
3. Quality/Satisfaction: The degree to which agency, funder, or consumer requirements and expectations are being met
4. Timeliness: The extent to which activities or processes occur within predefined time limits (Artley & Stroh, 2001; EBDM Initiative, 2012).



# SECTION TWO

## Performance Measures

Evidence-based practices are interventions that have been proven, by scientific study, to reliably produce their intended outcomes. As agencies and departments seek to maximize their impacts within the constraints of limited budgets and resources, it stands to reason that applying EBP to policy and practice is increasingly attractive.

Despite having a record of success, it is not sufficient to simply assume that implementing evidence-based practices will produce positive results. It is important to assess the fidelity of these practices—to document what is being done, the degree to which practices are being implemented according to the recommended guidelines, and the results being achieved. This can be accomplished through either a formal process of program evaluation or by implementing a performance measurement system. Formal evaluation is typically a time-limited, comprehensive, and specialized means of assessment.

Performance measurement, on the other hand, is an ongoing means of assessment that, while often less rigorous than formal evaluation, provides data that is essential to continuous quality improvement. Designing and implementing a performance measurement system will allow an agency to document whether what is intended to be done is, in fact, being done (process factors), how well it is being done (fidelity of implementation), and what impacts (outcome factors) are being realized. This report provides specific guidance regarding selecting performance measures and associated indicators/data points, and suggests a simple process that an agency can follow to design and implement a performance measurement system for EBP.

The number of risk reduction processes that need to be measured can be daunting. They include effective case planning, proper intervention placement, use of skill building practices in one-on-one appointments, use of Motivational Interviewing, staff rapport building, monitoring intensity and dosage, use of rewards and responses to noncompliant behavior, and proper assessments, to name a few. The agency will need to decide which of these processes are most important to measure. To assist in this selection process, those items viewed by the report authors as “more important” to measure are highlighted by red text. “More important” is determined by the robustness of research evidence indicating that the activity will likely contribute toward a significant, positive risk reduction outcome.

This section is organized around the four core competencies required of staff in a probation, parole, or community corrections agency: professional alliance, case management, skill practice, and rewards/responses to noncompliant behavior. Additional process and performance measures would be needed for staff in intake functions, program-specific areas such as drug courts, and so on; these areas are beyond the scope of this report.

In order to implement performance measures, it may be necessary for an agency to track data that has previously not been tracked, for example, the use of skill practice in one-on-one appointments, the use of rewards and affirmations, or treatment dosage. While some of these measures might be quite valuable, the agency will need to decide how much time and effort will be required to set up systems to collect these data. If staff are spending inordinate amounts of time collecting data instead of working directly with offenders to promote behavioral change, then the effort will be for naught.

### ***How the Measures Are Organized***

The risk reduction performance measures listed below are grouped by topic. Each grouping is identified by a three- to five-letter code:

Scorecard Measures (SM): Risk Reduction Outcomes (SM-RRO)

Rapport and Motivation (RM)

- Professional Alliance (RM-PA)
- Motivational Interviewing (RM-MI)

Skill Practice (SP)

- Appointment Focus (SP-AF)
- Teaching (SP-T)

Case Management (CM)

- Assessment (CM-A)
- Case Planning (CM-CP)
- Supervision (CM-S)

Rewards and Noncompliance (RN)

- Rewards (RN-R)
- Noncompliance (RN-N)

Organizational Functions (OF)

- Training (OF-T)
- Quality Assurance (OF-QA)
- EBP Culture and Learning Organization (OF-CLO)

### ***Scorecard Measures (SM): Risk Reduction Outcomes (SM-RRO)***

As previously noted, this report focuses on measures that contribute toward risk reduction. Therefore, the scorecard measures should reflect those high-level outcomes the agency is seeking to achieve in order to track its success in meeting the goal of fewer offenses committed by individuals under correctional supervision. The following are key risk reduction outcome measures that an agency might use to track its overall performance:

1. % of offenders with a new non-traffic misdemeanor or felony arrest within 12, 24, and 36 months of completing supervision
2. % of offenders with a new non-traffic misdemeanor or felony arrest during supervision
3. % of offenders with a new non-traffic misdemeanor or felony conviction within 12, 24, and 36 months of completing supervision
4. % of offenders with a new non-traffic misdemeanor or felony conviction during supervision
5. % of offenders completing supervision without any new violation during supervision
6. % of offenders completing supervision without committing a violent crime during their supervision period
7. Average length of time between placement on supervision and rearrest, when rearrest does occur
8. Severity of offense behavior upon rearrest compared to initial offense (traffic, misdemeanor, GM, felony)

The agency may want to select a number of these measures, but not all of them, to help determine the degree to which it has successfully met its objective of reducing reoffense. Or, as noted earlier, the agency may wish to include other key non-risk reduction outcome measures as part of its scorecard. While these other measures are not a focus of this report, a few are listed in Appendix A.

As the agency considers risk reduction outcome measures, it is important to keep in mind that a variety of factors might impact these measures. For example, arrest figures may reflect changes in the level of police activity—for instance, as a result of changes in police personnel, new focus areas, or partnerships with probation/parole—rather than actual changes in recidivism rates. Furthermore, some offenders may be more likely to be arrested than the general public because they are in high-crime areas selected by law enforcement as hot spots or because of intensive supervision. Conviction rates may be affected by the workload or focus of courts, prosecutors, or defense counsel rather than by actual criminal activity, and recidivism outcomes may reflect legislative or policy influences, not just departmental practices aimed at reducing the risk of reoffense. While having multiple outcome measures and evaluation studies will improve the department's confidence in the cause and effect of its practices, results will need to be understood within a broader context.

### ***Rapport and Motivation (RM)***

Risk reduction outcomes will likely not be reached unless staff build rapport with the offenders whom they are supervising. Staff who develop professional alliance will experience increased trust and less defensiveness on the part of offenders, as well as improved offender motivation, especially when coupled with effective Motivational Interviewing skills. The following measures are designed to help the agency assess its effectiveness in building rapport and offender motivation:

### **Professional Alliance (RM-PA)**

1. Average scores on the Working Alliance Inventory-Revised<sup>4</sup>
2. Average scores on the Dual Role Relationship Inventory-Revised<sup>56</sup>
3. % of offenders who rate their overall experience with the department as positive (as measured by a survey conducted during supervision or upon exit)
4. % of offenders who request a new supervision officer or who complain about their assigned officer
5. Average scores on the Outcome Rating Scales (a validated brief assessment by the offender on the helpfulness of the one-on-one appointment)<sup>7</sup>

### **Motivational Interviewing (RM-MI)**

1. Average scores on the Motivational Interviewing Treatment Integrity (MITI) 3.1.1 scale<sup>8</sup>
2. # and % of staff who are rated at MITI competency thresholds (scores of 4 on MITI Global, 2 on reflection-to-question ratio, 70% on open-ended questions, 50% on complex reflections, and 100% on MI-adherent)
3. Average scores on the Behavior Change Counseling Index (BECCI)<sup>9</sup>

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<sup>4</sup> For more information about the Working Alliance Inventory–Revised, see <http://wai.profhorvath.com/>.

<sup>5</sup> For more information about the Dual Role Relationship Inventory–Revised, see <http://riskreduction.soceco.uci.edu/index.php/dual-role-relationship-inventory/>.

<sup>6</sup> The Working Alliance Inventory and Dual Role Relationship Inventory measure similar outcomes; only one is necessary.

<sup>7</sup> For more information about the Outcome Rating Scales, see <http://scottdmiller.com/wp-content/uploads/documents/OutcomeRatingScale-JBTv2n2.pdf>.

<sup>8</sup> For more information about the MITI 3.1.1 scale, see [http://casaa.unm.edu/download/miti3\\_1.pdf](http://casaa.unm.edu/download/miti3_1.pdf).

<sup>9</sup> For more information about BECCI, see <http://cade.bacchusnetwork.org/documents/BehaviorchgfeedbackForm.pdf>.

4. Average scores on the University of Rhode Island Change Assessment (URICA) scale or the Readiness Ruler<sup>10</sup>
5. Average scores on the Stages of Change Readiness and Treatment Eagerness Scale (SOCRATES) (for alcohol and drug users)<sup>11</sup>
6. % adherence to Motivational Interviewing processes such as the following:
  - use open-ended questions
  - provide affirmations of strengths and encourage self-efficacy
  - use reflective statements
  - use language that fosters a collaborative relationship
  - build motivation to change
  - develop discrepancies
  - identify pros, cons, and ambivalence
  - invoke change-planning discussion
  - encourage offender-centered problem discussion and feedback
  - avoid providing unsolicited advice, directions, and feedback
  - emphasize abstinence
  - use confrontation when appropriate but avoid direct confrontation that elicits defensiveness
  - discourage processes that create feelings of powerlessness and loss of control
  - assert authority effectively and when appropriate
  - elicit offender change talk
  - avoid asking too many questions in a row (Martino et al., 2006)
7. % of times staff respond appropriately to the offender's stage of change:
  - Pre-contemplative (elicit problem recognition)
  - Contemplative (elicit expression of concern)
  - Preparation (elicit intention to change)
  - Action (elicit optimism about change and develop a plan)
  - Maintenance (maintain optimism and monitor relapse prevention plan) (English, Pasini-Hill, & Bonaiuto, 2012)

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<sup>10</sup> For more information about URICA, see <http://www.uri.edu/research/cprc/Measures/urica.htm>. For more information about the Readiness Ruler, see <http://www.centerforebp.case.edu/resources/tools/readiness-ruler>.

<sup>11</sup> For more information about SOCRATES, see <http://casaa.unm.edu/inst/SOCRATESv8.pdf>.

### ***Skill Practice (SP)***

The research clearly indicates that what staff focus on in their one-on-one appointments with offenders and how they use practice sessions to teach offenders new skills dictates whether offenders will likely change their behavior over the long term. Certain features need to be present within those interactions. The following measures help the agency determine whether those features are present and what short-term results can be expected from them:

#### **Appointment Focus (SP-AF)**

1. % of interactions with medium/high risk offenders, where the most influential criminogenic needs (as determined by the risk/needs assessment) are addressed
2. % of one-on-one appointments where only one criminogenic need is addressed for the majority of the time
3. % of times staff recognize and respond to/redirect antisocial expressions
4. Average gain score (change in protective measure score as identified through risk/needs reassessment)

#### **Teaching (SP-T)**

1. % of one-on-one appointments during which staff teach a concrete skill related to a criminogenic need
2. % of times when staff teach a concrete skill related to a criminogenic need and for which staff first demonstrate the skill before asking the offender to practice it
3. % of one-on-one appointments during which staff conduct a practice session (role play) related to a criminogenic need
4. % of one-on-one appointments during which staff teach a concrete problem-solving skill using a worksheet, journal, or other structured written tool
5. % of one-on-one appointments during which staff give the offender a take-home assignment related to a criminogenic need
6. % of one-on-one appointments of a duration of 20 minutes or longer

### **Case Management (CM)**

Effective case management includes a myriad of important activities that lead to recidivism reduction. The agency is encouraged to include a number of measures from each area below in its set of performance measures:

#### **Assessment (CM-A)**

1. % of offenders who are screened with a brief assessment in a timely manner, as per policy
2. % of medium and high risk offenders who are assessed with the risk/needs assessment tool in a timely manner, as per policy
3. % of offenders who are assessed as low, medium, or high risk (other categories of risk may apply, such as “extreme high risk”; these offenders would be managed differently than high risk offenders)
4. % of offenders who are reassessed in a timely manner, as per policy
5. % of assessments where supervision level is over-ridden (and reasons for over-ride)
6. % of offenders adjudicated for domestic violence who were assessed using a specialized DV assessment tool
7. % of offenders adjudicated for a sex offense who were assessed using a specialized sex offense assessment tool
8. % of offenders adjudicated for drunk driving who were assessed using a specialized drunk driving assessment
9. % of offenders assessed for substance abuse
10. # and % of offenders diagnosed with substance abuse (specify by type)
11. % of offenders assessed for mental health
12. # and % of offenders diagnosed with a serious and persistent mental illness (specify by type)
13. # and % of offenders receiving an assessment for a learning disability
14. # and % of offenders diagnosed with a learning disability (specify by type)

## Case Planning (CM-CP)

1. % of medium and high risk case plans completed in the timeframe set by agency policy
2. % of audited case plans developed with offender input
3. % of medium and high risk offenders who sign the case plan
4. % of audited case plans that demonstrate that staff share assessment results with offenders
5. % of medium and high risk case plans addressing the three most influential criminogenic needs
6. % of medium and high risk case plans addressing the driver
7. % of medium and high risk offenders whose three most influential criminogenic needs are addressed during supervision
8. % of programming referrals that consist of medium or high risk offenders (specify programming type)
9. % of medium and high risk offenders referred to programming who attend programming (specify programming type)
10. % of medium and high risk offenders referred to programming who complete programming (specify programming type)
11. % of low risk offenders given a jail sentence compared to % of medium and high risk offenders given a jail sentence (by offense type)
12. Average length of jail sentence for low risk offenders compared to average length of jail sentence for medium and high risk offenders (by offense type)
13. % of low risk offenders placed in residential care
14. % of offenders who receive programming that addresses their criminogenic needs
15. % of medium and high risk offenders who receive the targeted intervention dosage in the intended duration
16. % of offenders who complete in-patient mental health treatment who are referred to aftercare
17. % of offenders who are referred to mental health aftercare who attend aftercare



18. % of offenders who attend mental health aftercare and successfully complete aftercare
19. % of offenders who complete in-patient substance abuse treatment who are referred to aftercare
20. % of offenders who are referred to substance abuse aftercare who attend aftercare
21. % of offenders who attend substance abuse aftercare and successfully complete aftercare
22. % of offenders released from institutional care who have a reentry plan before release
23. % of intervention referrals in which the right program is matched to the right offender, given responsivity factors
24. % of medium and high risk offenders whose families are involved in the development of their case plans
25. # and % of medium and high risk offenders whose families support them by participating in offered services
26. Average decrease in antisocial attitudes (based on pre- and post-testing)
27. % of medium and high risk cases where interventions occur in the proper sequence
28. % of audited case plans that reflect an offender's responsivity factors
29. % of audited case plans that take into account offender strengths
30. % of audited case plans that take into account offender triggers (i.e., a relapse plan is developed)
31. % of audited case plans that are written according to SMART (specific, measurable, attainable, realistic, and time-bound) guidelines
32. Average # of appointments between the sex offender, counselor, and supervision officer per sex offender
33. Average decrease in a sex offender's sexual fantasies, drive, arousal, and behavior
34. Average # of visits by a supervision officer to a sex offender's home

## Supervision(CM-S)

1. % of cases supervised according to contact standards, as per policy (# of appointments and field visits)
2. Average length of time on supervision (sorted by risk level)
3. % of high risk cases where 40–70% of the offender’s time is occupied in structured, prosocial activities
4. % of staff who have caseloads in accordance with research or best practice standards (see, for example, Burrell, 2006)
5. % of staff who have workloads in accordance with research or best practice standards
6. # of cases in which a multidisciplinary team approach is used
7. # of cases reviewed utilizing a structured staffing process
8. % of offenders who are supervised by the same case manager for 12 months or longer
9. Average number of case managers per offender before discharge
10. Average # of minutes staff spend with offenders in face-to-face appointments
11. Average # of field visits per case per staff member based on risk level
12. % of field visits compared with office appointments, based on risk level

## **Rewards and Noncompliance**

Shaping offender behavior is enhanced when staff provide rewards and incentives for prosocial behavior and hold offenders accountable for noncompliant behavior. Research provides guidance for how and how frequently to apply these rewards, incentives, and responses to noncompliant behavior.

### **Rewards (RN-R)**

1. # and % of cases where staff assess how the offender would prefer to be rewarded for good behavior
2. % of cases where the agency offers the offender at least four expressions of approval for each expression of disapproval within the first six months of supervision
3. # of offenders who earn and receive rewards (list types)
4. # of offenders who earn and receive their preferred rewards (list types)
5. # and % of offenders who are discharged before expiration due to demonstrated prosocial change

### **Noncompliance (RN-N)**

1. # and % of cases where staff assess most likely violations
2. # and % of cases where staff who assess most likely violations develop a plan of action to address these violations
3. % of cases successfully discharged with no violations
4. % of cases successfully discharged with one or more violations (track average number and violation type)
5. % of violations and types of violations addressed within presumptive guidelines according to the structured decision making matrix policy
6. % of violations and types of violations outside of presumptive guidelines according to the structured decision making matrix (over-rides and under-rides) and reasons (by category)
7. % of cases with case notes reflecting that disapproval was expressed when offenders exhibit antisocial behaviors or attitudes
8. Average amount of time between discovery of violation and staff members' formal response
9. % of violations handled internally, without a court or parole authority hearing

10. % of violations handled without use of incarceration
11. # and % of violations that result in jail incarceration
12. Average length of jail incarceration
13. # and % of violations that result in prison incarceration
14. Average length of prison incarceration
15. % of violations for technical reasons (list) versus new offenses (list)
16. % of positive drug tests
17. # and % of judicial findings of technical violations of probation/parole while under supervision
18. # and % of judicial findings of technical violations of probation/parole resulting in residential (i.e., non-jail) placement

## **Organizational Functions**

An agency is more likely to achieve its risk reduction mission when it aligns its culture, policies, practices, assets, and resources with the inputs and processes that are required to impact offender change. Incremental change toward a desired risk reduction outcome is best achieved when the entire organizational structure and activities support the desired staff behavior. The following measures relate to organizational functions that support risk reduction:

### **Training (OF-T)**

1. # and % of eligible staff who attend core EBP training sessions (e.g., EBP overview, risk assessment, four core competencies, Motivational Interviewing, behavioral change tools, cognitive behavioral interventions, group facilitation, continuous quality improvement) per job classification
2. % of staff who demonstrate an understanding of the core EBP class material as determined by post-class testing

### **Quality Assurance (OF-QA)**

1. # and % of staff who pass inter-rater reliability assessment testing (broken down for each assessment tool and tracked across time)
2. % of staff who receive passing scores on the QA/CQI checklists as administered by agency coaches, with a focus on
  - Motivational Interviewing
  - Case audits
  - One-on-one appointments
  - Cognitive behavioral interventions

(See also items listed under each risk reduction service category in the previous report sections.)

### **EBP Culture and Learning Organization (OF-CLO)**

1. # and % of staff who report overall organizational support for EBP (based on an agency-wide survey)<sup>12</sup>
2. # and % of staff who participate in communities of practice (or learning teams) at least once a month

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<sup>12</sup> See organizational readiness-for-change surveys, such as those available from the Texas Christian University or National Institute of Corrections.

3. # and % of staff who serve as in-house EBP experts (i.e., “super-users”) in a calendar year
4. # and % of staff who serve as EBP coaches in a calendar year
5. # and % of staff who participate in state or national EBP networks (e.g., MINT, CBT facilitators)

# SECTION THREE

## Data Elements

Once the agency has determined which performance measures provide the best picture of its progress toward risk reduction, it must identify which data to collect. Hopefully, most of the data is available through existing data collection processes. Some will not be. Part of the prioritization process includes determining the amount of time, effort, and resources needed to begin collecting additional data.

This section describes the data elements needed to assess each risk reduction performance measure listed in Section Two. The performance measures are identified by the three- to five-letter code of their grouping, as well as the number of the specific measure, as noted in Section Two. No data elements are provided for the scorecard measures (risk reduction outcomes) since these are commonly provided by correctional agencies.

### Data Element Key

**RM-PA – Rapport and Motivation: Professional Alliance**  
**RM-MI – Rapport and Motivation: Motivational Interviewing**  
**SP-AF – Skill Practice: Appointment Focus**  
**SP-T – Skill Practice: Teaching**  
**CM-A – Case Management: Assessment**  
**CM-CP – Case Management: Case Planning**  
**CM-S – Case Management: Supervision**  
**RN-R – Rewards and Noncompliance: Rewards**  
**RN-N – Rewards and Noncompliance: Noncompliance**  
**OF-T – Organizational Functions: Training**  
**OF-QA – Organizational Functions: Quality Assurance**  
**OF-CLO – Organizational Functions: EBP Culture and Learning Organization**

Performance Measures and Associated Indicators/Data Elements				
Area	Domain	Code	Performance Measure	Indicators/Data Elements
<b>Rapport and Motivation</b>	Professional Alliance (RM-PA)	RM-PA-1	Average scores on the Working Alliance Inventory-Revised	Copies of the Working Alliance Inventory-Revised, completed by both the corrections professional and the offender
		RM-PA-2	Average scores on the Dual Role Relationship Inventory-Revised	Completed copies of the Dual Role Relationship Inventory-Revised (separate forms for corrections professionals, offenders, and observers; offender form is most predictive)
		RM-PA-3	% of offenders who rate their overall experience with the department as positive	Completed copies of a survey (similar to a customer satisfaction survey) in which offenders rate their overall experience as positive; total number of offenders under supervision
		RM-PA-4	% of offenders who request a new supervision officer or who complain about their officer	Copies of offender requests for new officers or of complaints; total number of offenders on supervision
		RM-PA-5	Average scores on the Outcome Rating Scales	Completed copies of the Outcome Rating Scales
	Motivational Interviewing (RM-MI)	RM-MI-1	Average scores on the MITI 3.1.1	Completed copies of the MITI 3.1.1
		RM-MI-2	# and % of staff who are rated at MITI competency thresholds	Completed copies of the MITI 3.1.1
		RM-MI-3	Average scores on the BECCI	Completed copies of the BECCI
		RM-MI-4	Average scores on the URICA or the Readiness Ruler	Completed copies of the URICA or Readiness Ruler
		RM-MI-5	Average scores on the SOCRATES	Completed copies of the SOCRATES
		RM-MI-6	% adherence to Motivational Interviewing processes	Supervisor's ratings of counselor/officer, with observations/recordings/ratings addressing each identified area; scores on MITI 3.1.1; ratings to be compared over time



Performance Measures and Associated Indicators/Data Elements				
Area	Domain	Code	Performance Measure	Indicators/Data Elements
		RM-MI-7	% of times staff responded appropriately to the offender's stage of change	Supervisor's ratings of counselor/officer, with observations/recordings/ratings addressing each identified area; scores on MITI 3.1.1; ratings to be compared over time
<b>Skill Practice</b>	Appointment Focus (SP-AF)	SP-AF-1	% of interactions with medium/high risk offenders, where the most influential criminogenic needs (as determined by the risk/needs assessment) are addressed	Completed copies of validated risk/needs assessments; supervisor's observations and accompanying ratings of officer; appointment notes
		SP-AF-2	% of one-on-one appointments where only one criminogenic need is addressed for the majority of the time	Completed copies of validated risk/needs assessments; supervisor's observations and accompanying ratings of officer; appointment notes
		SP-AF-3	% of times staff recognize and respond to/redirect antisocial expressions	Completed copies of validated risk/needs assessments; supervisor's observations and accompanying ratings of officer; appointment notes
		SP-AF-4	Average gain score	Completed copies of validated risk/needs assessments and reassessment
	Teaching (SP-T)	SP-T-1	% of one-on-one appointments during which staff teach a concrete skill related to a criminogenic need	Completed copies of validated risk/needs assessments; supervisor's observations and accompanying ratings of officer; appointment notes
		SP-T-2	% of times when staff teach a concrete skill related to a criminogenic need and for which staff first demonstrate the skill before asking the offender to practice it	Completed copies of validated risk/needs assessments; supervisor's observations and accompanying ratings of officer; appointment notes
		SP-T-3	% of one-on-one appointments during which staff conduct a practice session (role play) related to a criminogenic need	Completed copies of validated risk/needs assessments; supervisor's observations and accompanying ratings of officer; appointment notes
		SP-T-4	% of one-on-one appointments during which staff teach a concrete problem-solving skill using a worksheet, journal, or other structured written tool	Supervisor's observations and accompanying ratings of officer; appointment notes

Performance Measures and Associated Indicators/Data Elements				
Area	Domain	Code	Performance Measure	Indicators/Data Elements
		SP-T-5	% of one-on-one appointments during which staff give the offender a take-home assignment related to a criminogenic need	Completed copies of validated risk/needs assessments; supervisor's observations and accompanying ratings of officer; appointment notes
		SP-T-6	% of one-on-one appointments 20 minutes or longer	Supervisor's observations and accompanying ratings of officer; appointment notes
<b>Case Management</b>	Assessment (CM-A)	CM-A-1	% of offenders who are screened with a brief assessment in a timely manner, as per policy	Completed and dated copies of risk/needs assessments; records of when offenders are screened; number of offenders screened within policy guidelines; total number of offenders
		CM-A-2	% of medium and high risk offenders who are assessed with the risk/needs assessment tool in a timely manner, as per policy	Completed and dated copies of risk/needs assessments; records of when offenders are assessed; number of offenders assessed within policy guidelines; total number of offenders
		CM-A-3	% of offenders who are assessed as low, medium, or high risk	Completed copies of validated risk/needs assessments
		CM-A-4	% of offenders who are reassessed in a timely manner, as per policy	Completed and dated copies of risk/needs assessments
		CM-A-5	% of assessments where supervision level is overridden (and reasons for over-ride)	Copies of overrides of risk/needs assessments; number of assessments for which an override is requested; total number of risk/needs assessments
		CM-A-6	% of offenders adjudicated for domestic violence who were assessed using a specialized DV assessment tool	Completed copies of DV assessments; number of DV offenders who were administered the department's DV assessment; total number of DV offenders
		CM-A-7	% of offenders adjudicated for a sex offense who were assessed using a specialized sex offense assessment tool	Completed copies of sex offender assessments; number of sex offenders who were administered the department's sex offender assessment; total number of sex offender offenders
		CM-A-8	% of offenders adjudicated for drunk driving who were assessed using a specialized drunk driving assessment	Completed copies of DUI assessments; number of DUI offenders who were administered the department's DUI offender assessment; total number of DUI offenders
		CM-A-9	% of offenders assessed for substance abuse	Completed copies of substance abuse assessments; number of offenders assessed with substance abuse assessments; total number of offenders

Performance Measures and Associated Indicators/Data Elements				
Area	Domain	Code	Performance Measure	Indicators/Data Elements
		CM-A-10	# and % of offenders diagnosed with substance abuse (specify by type)	Completed copies of substance abuse assessments; number of offenders diagnosed with substance abuse disorders by type; total number of offenders
		CM-A-11	% of offenders assessed for mental health	Completed copies of mental health assessments; number of offenders assessed with mental health assessments; total number of offenders
		CM-A-12	# and % of offenders diagnosed with a serious and persistent mental illness (specify by type)	Completed copies of mental health assessments; number of offenders diagnosed with a serious and persistent mental illness by type; total number of offenders
		CM-A-13	# and % of offenders receiving an assessment for a learning disability	Completed copies of learning disability assessments; number of offenders assessed with learning disability assessments; total number of offenders
		CM-A-14	# and % of offenders diagnosed with a learning disability (specify by type)	Completed copies of learning disability assessments; number of offenders diagnosed with a learning disability by type; total number of offenders
	Case Planning (CM-CP)	CM-CP-1	% of medium and high risk case plans completed in the timeframe set by agency policy	Completed and dated copies of medium and high risk case plans
		CM-CP-2	% of audited case plans developed with offender input	Completed copies of case plans; documentation of offender input; number of case plans developed with offender input; total number of case plans developed
		CM-CP-3	% of medium and high risk offenders who sign the case plan	Completed and dated copies of case plans for medium and high risk offenders; number of case plans signed by medium and high risk offenders; total number of case plans for medium and high risk offenders
		CM-CP-4	% of audited case plans that demonstrate that staff share assessment results with offenders	Number of documented cases in which assessment results are shared with the offender; total number of cases in which assessments are conducted
		CM-CP-5	% of medium and high risk case plans addressing the three most influential criminogenic needs	Completed copies of validated risk/needs assessments; completed case plans; number of case plans addressing the three most influential criminogenic needs; total number of case plans

Performance Measures and Associated Indicators/Data Elements				
Area	Domain	Code	Performance Measure	Indicators/Data Elements
		CM-CP-6	% of medium and high risk case plans addressing the driver	Completed copies of validated risk/needs assessments; completed case plans; number of case plans addressing the driver; total number of case plans
		CM-CP-7	% of medium and high risk offenders whose three most influential criminogenic needs are addressed during supervision	Completed copies of validated risk/needs assessments; number of medium and high risk offenders whose three most influential criminogenic needs are addressed during supervision; total number of medium and high risk offenders
		CM-CP-8	% of programming referrals that consist of medium or high risk offenders (specify programming type)	Number of programming referrals made for medium and high risk offenders; total number of programming referrals made and type of referral
		CM-CP-9	% of medium and high risk offenders referred to programming who attend programming (specify programming type)	Number of programming referrals made for medium and high risk offenders; number of medium and high risk offenders who attend programming and type of programming attended
		CM-CP-10	% of medium and high risk offenders referred to programming who complete programming (specify programming type)	Number of programming referrals made for medium and high risk offenders; number of medium and high risk offenders who complete programming and type of programming completed
		CM-CP-11	% of low risk offenders given a jail sentence compared to % of medium and high risk offenders given a jail sentence (by offense type)	Number of low risk offenders (and their offense type) given one or more jail sentences; number of medium and high risk offenders (and their offense type) given one or more jail sentences
		CM-CP-12	Average length of jail sentence for low risk offenders compared to average length of jail sentence for medium and high risk offenders (by offense type)	Average length of jail sentence given to low risk offenders (and their offense type); average length of jail sentence given to medium and high risk offenders (and their offense type)
		CM-CP-13	% of low risk offenders placed in residential care	Number of low risk offenders placed in residential care; total number of low risk offenders
		CM-CP-14	% of offenders who receive programming that addresses their criminogenic needs	Number of offenders who receive programming; total number of offenders who receive programming that addresses their criminogenic needs; total number of offenders

Performance Measures and Associated Indicators/Data Elements				
Area	Domain	Code	Performance Measure	Indicators/Data Elements
		CM-CP-15	% of medium and high risk offenders who receive the targeted intervention dosage in the intended duration	Case plans including targeted intervention dosage and duration; number of medium and high risk offenders who receive the targeted intervention dosage for the intended duration; total number of medium and high risk offenders receiving programming
		CM-CP-16	% of offenders who complete in-patient mental health treatment who are referred to aftercare	Number of offenders who begin in-patient mental health treatment; number of offenders who complete in-patient mental health treatment; total number of offenders who complete in-patient mental health treatment and who are referred to aftercare
		CM-CP-17	% of offenders who are referred to mental health aftercare who attend aftercare	Number of offenders who attend mental health aftercare; total number of offenders who are referred to aftercare
		CM-CP-18	% of offenders who attend mental health aftercare and successfully complete aftercare	Number of offenders who complete mental health aftercare; number of offenders who attend aftercare
		CM-CP-19	% of offenders who complete in-patient substance abuse treatment who are referred to aftercare	Number of offenders who begin in-patient substance abuse treatment; number of offenders who complete in-patient substance abuse treatment; total number of offenders who complete in-patient substance abuse treatment and who are referred to aftercare
		CM-CP-20	% of offenders who are referred to substance abuse aftercare who attend aftercare	Number of offenders who attend substance abuse aftercare; total number of offenders who are referred to aftercare
		CM-CP-21	% of offenders who attend substance abuse aftercare and successfully complete aftercare	Number of offenders who complete substance abuse aftercare; number of offenders who attend aftercare
		CM-CP-22	% of offenders released from institutional care who have a reentry plan before release	Percent of offenders released from institutional care; percent of offenders released from institutional care who have a reentry plan before release
		CM-CP-23	% of intervention referrals in which the right program is matched to the right offender, given responsivity factors	Number of offenders with specific responsivity factors (list factors); number of offenders with a responsivity factor who are given an intervention; number of offenders whose intervention referrals match the right program to the right

Performance Measures and Associated Indicators/Data Elements				
Area	Domain	Code	Performance Measure	Indicators/Data Elements
				offender, given responsivity factors; total number of intervention referrals
		CM-CP-24	% of medium and high risk offenders whose families are involved in the development of their case plans	Number of medium and high risk offenders whose families are involved in the development of the offenders' case plans; total number of medium and high risk offenders with case plans
		CM-CP-25	# and % of medium and high risk offenders whose families support them by participating in offered services	Number of medium and high risk offenders who participate in offered services; number of family members who participate in some or all of those same services
		CM-CP-26	Average decrease in antisocial attitudes (based on pre- and post-testing)	Completed copies of validated measures of antisocial attitudes/cognition (e.g., Criminal Sentiments Scale, HIT, etc.), administered pre- and post-intervention
		CM-CP-27	% of medium and high risk cases where interventions occur in the proper sequence	Date-coded records of interventions for medium and high risk offenders; case notes that reflect sequence rationale; total number of medium and high risk cases
		CM-CP-28	% of audited case plans that reflect an offender's responsivity factors	Documentation of responsivity factors addressed in offender's case plan; case notes that indicate consideration of offender's responsivity factors in developing case management strategies; number of case plans
		CM-CP-29	% of audited case plans that take into account offender strengths	Documentation of offender strengths; case notes that indicate consideration of offender's strengths in developing case management strategies; number of case plans
		CM-CP-30	% of audited case plans that take into account offender triggers	Documentation of offender triggers; case notes that demonstrate attention to addressing offender's triggers; number of case plans
		CM-CP-31	% of audited case plans that are written according to SMART guidelines	SMART guidelines for writing case plans; method to assess degree to which case plans adhere to SMART guidelines; number of case plans

Performance Measures and Associated Indicators/Data Elements				
Area	Domain	Code	Performance Measure	Indicators/Data Elements
		CM-CP-32	Average # of appointments between the sex offender, counselor, and supervision officer per sex offender	Number of sex offenders under supervision; number of appointments between counselor, supervision officer, and sex offender
		CM-CP-33	Average decrease in a sex offender's sexual fantasies, drive, arousal, and behavior	Sex offender's periodic self-report of sexual fantasies, strength and direction of sexual drive, and sexual behavior
		CM-CP-34	Average # of visits by a supervision officer to a sex offender's home	Number of visits by supervision officer to sex offender's home
	Supervision (CM-S)	CM-S-1	% of cases supervised according to contact standards, as per policy	Documented policies regarding acceptable standards of supervision; number of cases that substantially adhere to policies; total number of cases
		CM-S-2	Average length of time on supervision (sorted by risk level)	Length of time on supervision for each offender; risk level for each offender
		CM-S-3	% of high risk cases where 40–70% of the offender's time is occupied in structured, prosocial activities	Completed weekly schedule for each high risk offender; percentage of time engaged in formal, prosocial activities; total number of high risk offenders
		CM-S-4	% of staff who have caseloads in accordance with research or best practice standards	Specified research and/or best practice standards regarding caseloads; means of rating adherence to said caseload standards; number of staff who meet said standards; total number of staff
		CM-S-5	% of staff who have workloads in accordance with research or best practice standards	Specified research and/or best practice standards regarding workload; means of rating adherence to said workload standards; number of staff who meet said standards; total number of staff
		CM-S-6	# of cases in which a multidisciplinary team approach is used	Presence of a multidisciplinary team; number of cases involving a multidisciplinary team
		CM-S-7	# of cases reviewed utilizing a structured staffing process	Presence of structured staffing process; number of cases reviewed through a structured staffing process
		CM-S-8	% of offenders who are supervised by the same case manager for 12 months or longer	Supervision records that note officer and offender names or other identifiers, as well as length of time on supervision
		CM-S-9	Average number of case managers per offender before discharge	Supervision records that note officer and offender names or other identifiers, as well as length of time on supervision

Performance Measures and Associated Indicators/Data Elements				
Area	Domain	Code	Performance Measure	Indicators/Data Elements
		CM-S-10	Average # of minutes staff spend with offenders in face-to-face appointments	Documentation of length of face-to-face appointments between staff and offender
		CM-S-11	Average # of field visits per case per staff member based on risk level	Documentation of offender risk level; documentation of number of field visits per case per staff member
		CM-S-12	% of field visits compared with office appointments, based on risk level	Documentation of offender risk level; documentation of number of field visits; documentation of number of office appointments
<b>Rewards and Noncompliance</b>	Rewards (RN-R)	RN-R-1	# and % of cases where staff assess how the offender would prefer to be rewarded for good behavior	Number of cases for which staff seek and receive input from offender as to his/her preferred rewards; list of preferred rewards specified by each offender; total number of cases
		RN-R-2	% of cases where the agency offers the offender at least four expressions of approval for each expression of disapproval within the first six months of supervision	Beginning date of supervision; method of noting positive and negative expressions during appointments; number and dates of positive expressions; number and dates of negative expressions
		RN-R-3	# of offenders who earn and receive rewards (list types)	Method of recording receipt of rewards; method of recording nature of rewards
		RN-R-4	# of offenders who earn and receive their preferred rewards (list types)	List of each offender's preferred rewards; record of rewards provided to each offender; method of matching rewards to each offender
		RN-R-5	# and % of offenders who are discharged before expiration due to demonstrated prosocial change	Method of identifying and coding prosocial change; number of offenders who are discharged early due to prosocial change; total number of offenders
	Noncompliance (RN-N)	RN-N-1	# and % of cases where staff assess most likely violations	Completed copies of validated risk/needs assessments; notation of cases and areas in which staff assess likelihood of violation
		RN-N-2	# and % of cases where staff who assess most likely violations develop a plan of action to address these violations	Completed copies of validated risk/needs assessments; notation of cases and areas in which staff assess likelihood of violation; number of cases for which a plan of action is developed in response to a risk of violation
		RN-N-3	% of cases successfully discharged with no violations	Number of cases successfully discharged with no violations; total number of cases discharged



Performance Measures and Associated Indicators/Data Elements				
Area	Domain	Code	Performance Measure	Indicators/Data Elements
		RN-N-4	% of cases successfully discharged with one or more violations (track average number and violation type)	Number of cases successfully discharged with one or more violations; types of violations; total number of cases discharged
		RN-N-5	% of violations and types of violations addressed within presumptive guidelines according to the structured decision making matrix policy	Documented policy for addressing violations; notation of type of violations committed and adherence to the structured decision making policy; total number of violations addressed
		RN-N-6	% of violations and types of violations outside of presumptive guidelines according to the structured decision making matrix (over-rides and under-rides) and reasons (by category)	Documented policy for addressing violations; notation of type of violations committed; number of violations not addressed according to the matrix (overridden) and documentation as to reason for each override; total number of violations addressed
		RN-N-7	% of cases with case notes reflecting that disapproval was expressed when offenders exhibit antisocial behaviors or attitudes	Method of coding offender and supervisor behaviors; method of identifying antisocial behaviors and/or attitudes; method of noting supervisor disapproval; method of linking offender behavior to supervisor response (e.g., sequential analysis)
		RN-N-8	Average amount of time between discovery of violation and staff members' formal response	Method of noting time of discovery of violation; method of noting time of response; date- and time-coded notations of violation and response
		RN-N-9	% of violations handled internally, without a court or parole authority hearing	Number of violations handled internally without a court hearing; total number of all violations handled
		RN-N-10	% of violations handled without use of incarceration	Number of violations handled without use of incarceration; total number of all violations handled
		RN-N-11	# and % of violations that result in jail incarceration	Number of violations handled in which a jail incarceration is imposed; total number of all violations handled
		RN-N-12	Average length of jail incarceration	Length of each jail incarceration imposed
		RN-N-13	# and % of violations that result in prison incarceration	Number of violations handled in which a prison incarceration is imposed; total number of all violations handled
		RN-N-14	Average length of prison incarceration	Length of each prison incarceration imposed
		RN-N-15	% of violations for technical reasons (list) versus new offenses (list)	Means of noting the reasons for each violation; means of coding technical violations versus new offense violations; total

Performance Measures and Associated Indicators/Data Elements				
Area	Domain	Code	Performance Measure	Indicators/Data Elements
				number of technical violations; total number of violations due to a new offense
		RN-N-16	% of positive drug tests	Number of positive drug tests (including dilute results/missed tests, if policy dictates they equate to a positive finding); total number of drug tests administered
		RN-N-17	# and % of judicial findings of technical violations of probation/parole while under supervision	Number of technical violations resulting from a judicial finding; total number of technical violations
		RN-N-18	# and % of judicial findings of technical violations of probation/parole resulting in residential (i.e., non-jail) placement	Number of technical violations resulting from a judicial finding that result in residential (non-incarcerative) placements; total number of technical violations
<b>Organizational Functions</b>	Training (OF-T)	OF-T-1	# and % of eligible staff who attend core EBP training sessions per job classification	Number of eligible staff who attend core EBP training by job classification; total number of eligible staff by job classification
		OF-T-2	% of staff who demonstrate an understanding of the core EBP class material as determined by post-class testing	Scores on EBP class post-tests; number of staff whose scores demonstrate understanding of core EBP materials; total number of staff in EBP training
	Quality Assurance (OF-QA)	OF-QA-1	# and % of staff who pass inter-rater reliability assessment testing (broken down for each assessment tool and tracked across time)	Method of assessing inter-rater reliability; recording of inter-rater reliability for each assessment administered; documented standards regarding acceptable levels of inter-rater reliability; documentation of inter-rater reliability for each staff
		OF-QA-2	% of staff who receive passing scores on the QA/CQI checklists as administered by agency coaches	Completed copies of QA/CQI checklists for each staff member for each area assessed; scores on QA/CQI checklists for each staff member; number of staff receiving passing scores on each QA/CQI measure; all scores for all staff on QA/CQI measures
	EBP Culture and Learning Organization (OF-CLO)	OF-CLO-1	# and % of staff who report overall organizational support for EBP (based on agency-wide survey)	Administration and recording of results of agency-wide survey assessing organizational support for EBP; number of staff reporting organizational support for EBP; total number of staff completing agency-wide survey; total number of staff given the opportunity to complete the survey

Performance Measures and Associated Indicators/Data Elements

Area	Domain	Code	Performance Measure	Indicators/Data Elements
		OF-CLO-2	# and % of staff who participate in communities of practice (or learning teams) at least once a month	Presence of communities of practice and/or learning teams that meet at least once a month; attendance logs for each meeting of these groups; number of staff participating in these groups; total number of staff
		OF-CLO-3	# and % of staff who serve as in-house EBP experts (i.e., "super-users") in a calendar year	Designation of staff as in-house EBP experts and/or "super-users"; number of staff designated as in-house experts and/or "super-users" who actively perform that role in a calendar year; total number of staff
		OF-CLO-4	# and % of staff who serve as EBP coaches in a calendar year	Designation of staff as EBP coaches; number of staff designated as EBP coaches; number of staff designated as EBP coaches who actively perform that role in a calendar year; total number of staff
		OF-CLO-5	# and % of staff who participate in state or national EBP networks	Policy providing for staff to participate in state or national EBP networks; number of staff participating in state or national EBP networks; total number of staff

# SECTION FOUR

## Five Steps Toward Measuring the Performance of EBP

Although not the same as a formal program evaluation, measuring the performance of an agency's evidence-based practices borrows from evaluation methodology. Similar to program evaluation, performance measurement can be conceptualized as the systematic collection and analysis of data to inform decisions. It requires measuring specific and meaningful activities that can tell the agency how its program is working (the processes), whether the inputs are producing the intended intermediate outcomes (outputs), if a program or intervention is being implemented as designed (fidelity of implementation), if it is having the desired effects (outcomes and impacts), and what its relative cost is (cost-benefit analysis). There are five critical steps to creating a comprehensive performance measurement plan:

1. Establish a **logic model** or **theory of change** that describes the following aspects of the intervention and specifies the links between them:
  - the conditions and assumptions of the intervention
  - the elements of the intervention
  - the short-term goals/objectives of the intervention
  - the medium-term goals/objectives of the intervention
  - the long-term goals/objectives of the intervention.
2. **Formulate the questions** that need to be answered in order to:
  - assess the links between the aspects of the intervention
  - assess the degree of progress toward the intervention's goals/objectives.
3. **Map the questions to current data collection measures and procedures.** Take note of all questions that cannot be answered with the data already being collected. Develop data collection measures and procedures to answer these questions.
4. Using these data collection measures and procedures, **collect all data** necessary to answer those questions that will help determine performance achievement. This will allow the agency to specify the degree to which the links described in the logic model/theory of change are accurate, the amount of progress toward the intervention's goals/objectives, and/or whether an intervention is "off course" and in need of a change of direction.
5. **Report the data** in a manner that simply and clearly:
  - explains what was done and what the results are
  - addresses the degree to which the agency has made progress toward its goals/objectives
  - provides for a process of continuous quality improvement.

### ***Putting in Place the Five-Step Model***

Performance measurement involves a systematic process; likewise, planning a performance measurement system requires a systematic approach.

***Step 1. Develop a Logic Model or Theory of Change.*** As mentioned above, both a logic model and a theory of change describe the conditions and assumptions of a program/intervention; the various elements of the program/intervention; and the short-, medium-, and long-term goals/objectives of the program/intervention, as well as the links between these aspects. The tools differ in that a logic model usually describes a single program or intervention, while a theory of change typically describes a social change initiative or similar comprehensive effort that incorporates a number of programs or interventions.

Developing a logic model or theory of change is an effective way to ensure that all of a program's stakeholders have a clear, shared understanding of the program and its goals/objectives from as many perspectives as possible. The real power of these tools lies in the fact that they graphically depict all the aspects of an intervention on a single page. In addition, by providing a clear picture of what is being done, why it is being done, and what is expected from doing it, these tools can help an agency identify questions that need to be answered in order to evaluate a program. An example of a logic model for an Adult Drug Court (ADC) can be found in Appendix B.

***Step 2: Formulate Evaluation Questions.*** Once the logic model/theory of change is developed, the next task in performance measurement planning is to formulate evaluation questions. Typically, the first step in formulating these questions is to determine the potential audiences for the evaluation findings and what specifically these audiences will want to know. Questions should address, among other things, the degree to which a program has made progress toward its stated goals and objectives, as well as the links in the logic model/theory of change.

The following are some guidelines for formulating effective evaluation questions:

- Address specific goals/objectives.
- Craft questions that are directional in nature—that is, questions that ask whether something has increased or decreased. Examples of directional questions include “Do program participants have reduced rates of recidivism?” and “Do offenders who have completed vocational training possess increased employment skills?”
- Craft questions that elicit how much change had occurred and compared to whom. Reference a benchmark or comparison/control group, when possible. The following is an example of a question that references a comparison group: “What is the urinalysis rate for those on intensive supervision compared to the rate for those on general supervision?”
- Address issues of fidelity of implementation. Is the program being delivered in a manner that is consistent with the developers' intent? Many evidence-based practices are designed to be provided in a highly specified manner. If an agency deviates from the suggested process, the program may be less likely to achieve the intended results.

- Ask different questions to address different points; avoid compound questions (i.e., questions that seem to be a single question but that are, in fact, several questions combined into one).

The agency should list as many questions as it and its stakeholders want to answer; the list can always be shortened to what is practical and/or possible to track. Remember that an agency’s ability to effectively evaluate a program depends on the quality of questions that guide data collection and analysis.

Referring to the Adult Drug Court (ADC) logic model in Appendix B, one of the immediate outcomes is to increase the “ability of courts to effectively address substance-disordered offenders.” The associated intermediate outcome is for participants to “demonstrate increased long-term sobriety and desistance from crime.” These two outcomes readily lend themselves to the development of two associated questions:

- Has the ADC increased the ability of the courts to effectively address substance-disordered offenders?
- Have ADC participants demonstrated increased long-term sobriety and desistance from crime?

**Step 3: Map Data.** Once the agency has formulated and settled upon the evaluation questions, the next step is to assess the degree to which the questions can be answered with data already being collected. This requires the agency to examine its data systems and sources and to match them to the evaluation questions. If there are questions that cannot be answered using data already being collected, the agency will need to establish a method of collecting this data. Ideally, the new data collection efforts can be incorporated into existing systems. If this isn’t possible or practical, new data collection systems will need to be developed and implemented. As noted above, the time and effort required to collect and analyze new data must be weighed against the investment of limited resources and the perceived value the new data will provide for staff and policymakers.

Consider once again the logic model in Appendix B. One of the evaluation questions developed for this logic model in Step 2 was “Have ADC participants demonstrated increased long-term sobriety and desistance from crime?” An agency may already collect data regarding recidivism rates; however, it may not collect data concerning long-term sobriety. The agency will therefore need to begin measuring and recording this information, perhaps by adding to the data collection system the ability to document every time an offender relapses over the course of a year or during the term of supervision.

**Step 4: Collect Data.** Now that the agency has set in motion a strategy to measure the performance of its program, the time has come to actually collect the data needed to do so. A good data collection process describes what data is to be collected, when it is to be collected, in what format it is to be collected, where it is to be obtained, and who is responsible for collecting it. The optimal (and increasingly the normative) means of collecting, storing, managing, and reporting on data is by using an automated data system. Automated data systems eliminate many of the pitfalls and failings of paper-based data collection systems (e.g., inaccurate transcription, misplaced records, difficulty in correcting data), and make the process of collecting and reporting on data much easier. However, even when using

automated systems, the possibility of errors in data collection and/or recording persists. For instance, when entering data, a particular offense may be spelled in different ways, leading to inaccurate offense records. The use of drop-down menus or other similar means can reduce the possibility of data entry error.

***Step 5: Communicating Your Findings.*** At this point, the agency has instituted a performance measurement system that allows for the documentation of its efforts and the degree to which they result in specified goals and objectives. Now it's time to focus on communicating information about the program and its impacts. When thinking about communicating these findings, it is helpful to consider the following questions:

- What would your community look like if your program or intervention suddenly ceased to exist?
- What does the public-at-large want to know about the impacts of the program?
- What would you tell a victim of crime about what you are doing to address his or her concerns?
- What information about the program and its impacts would be helpful to your supervisors and agency leaders?
- Which element of the program demonstrates the most benefits?
- In what way could the program be adjusted to maximize its effectiveness?

Ultimately, your stakeholders and funders will likely ask some of the following questions:

- Did it work? Was there an impact?
- How well did it work? How much of an impact did you observe?
- How does this impact compare with results of alternative models?

If the agency has successfully completed the previous steps in designing and implementing a performance measurement system, it will likely have anticipated these questions, collected the data necessary to answer them, and have an automated data system that will allow it to answer these questions quickly and on an ongoing basis. If the agency has an automated data system, it may be capable of producing routine reports that provide summary data at a moment's notice.<sup>13</sup>

A caution: The agency may have collected sensitive information regarding those who participated in a program or intervention, such as substance abuse or mental health treatment. These records are known as Protected Health Information (PHI). The use and communication of substance abuse and health information is protected by federal law (e.g., CFR 42, HIPPA). It is critical that an agency and those with whom it communicates evaluation findings respect the privacy and confidentiality of the offenders with whom it is working

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<sup>13</sup> While it is certainly possible to communicate findings exclusively by using tables and numbers, the results will often have more impact if presented graphically. To that end, an agency may want to consider the work of Edward Tufte, the dean of information graphics. Tufte has produced a number of highly influential works on the topic, including his book *The Visual Display of Quantitative Information*, and has a website with useful tips and techniques for graphically presenting data: [www.edwardtufte.com](http://www.edwardtufte.com).

## Appendix A: Non-Risk Reduction Objectives

Community corrections agencies perform more than just risk reduction; other objectives are of importance. Although the development of performance objectives for these objectives is beyond the scope of this report, the following are provided as examples of non-risk reduction objectives and relevant performance measures. They are offered for illustrative purposes only. Other categories of measures could be added, such as providing validated and objective information to decision makers, ensuring justice and fairness (e.g., decreasing disproportional minority contact and/or confinement), increasing offenders' and victims' perceptions of fairness, and increasing community trust in the department's performance.

### Restoration

% of court-ordered restitution paid to crime victims by offenders

% of offenders who successfully complete their court-ordered restitution

Amount of restitution collected

% of offenders who successfully complete their community service work

# of community service work hours completed

# and % of victims who participate in services offered by the agency

Average ratings of victims' satisfaction with the quality and manner in which department services are provided to them (based on a survey)

### Well-Being

% of offenders employed or in school for five months or more in the past 12 months

# and % of offenders consistently attending school

# and % of offenders who obtain their high school diploma by the completion of supervision

# and % of offenders who obtain their GED by the completion of supervision

# and % of offenders who successfully enroll in a vocational education program by the completion of supervision



# and % of offenders who successfully enroll in a 2- to 4-year college program by the completion of supervision

# and % of offenders whose reading improves by at least two grade levels by the completion of supervision

Average offender income upon discharge

# and % of eligible offenders who are employed at the completion of supervision

# and % offenders prescribed psychotropic medications

# and % offenders who are taking psychotropic medications according to the prescription

% improvement in offenders' interpersonal functioning and life skills based on a standardized assessment of needs after one year on supervision

# and % of offenders testing positive for the use of drugs while on supervision

# and % of offenders testing positive for the use of drugs after being on supervision for 180 days or more

# and % of offenders who receive crisis intervention mental health services during supervision

# and % of offenders who receive mental health counseling or support services during supervision

# and % of offenders who attempt or commit suicide

# of offenders who die of unnatural causes during supervision

% of offenders in stable housing upon discharge

% change in the perception of quality of life, as measured by the Client Satisfaction Questionnaire (CSQ) or the World Health Organization Quality of Life-BREF

### **Cost Efficiency**

# and % of all intake cases that are diverted from the court system into a formal diversion program

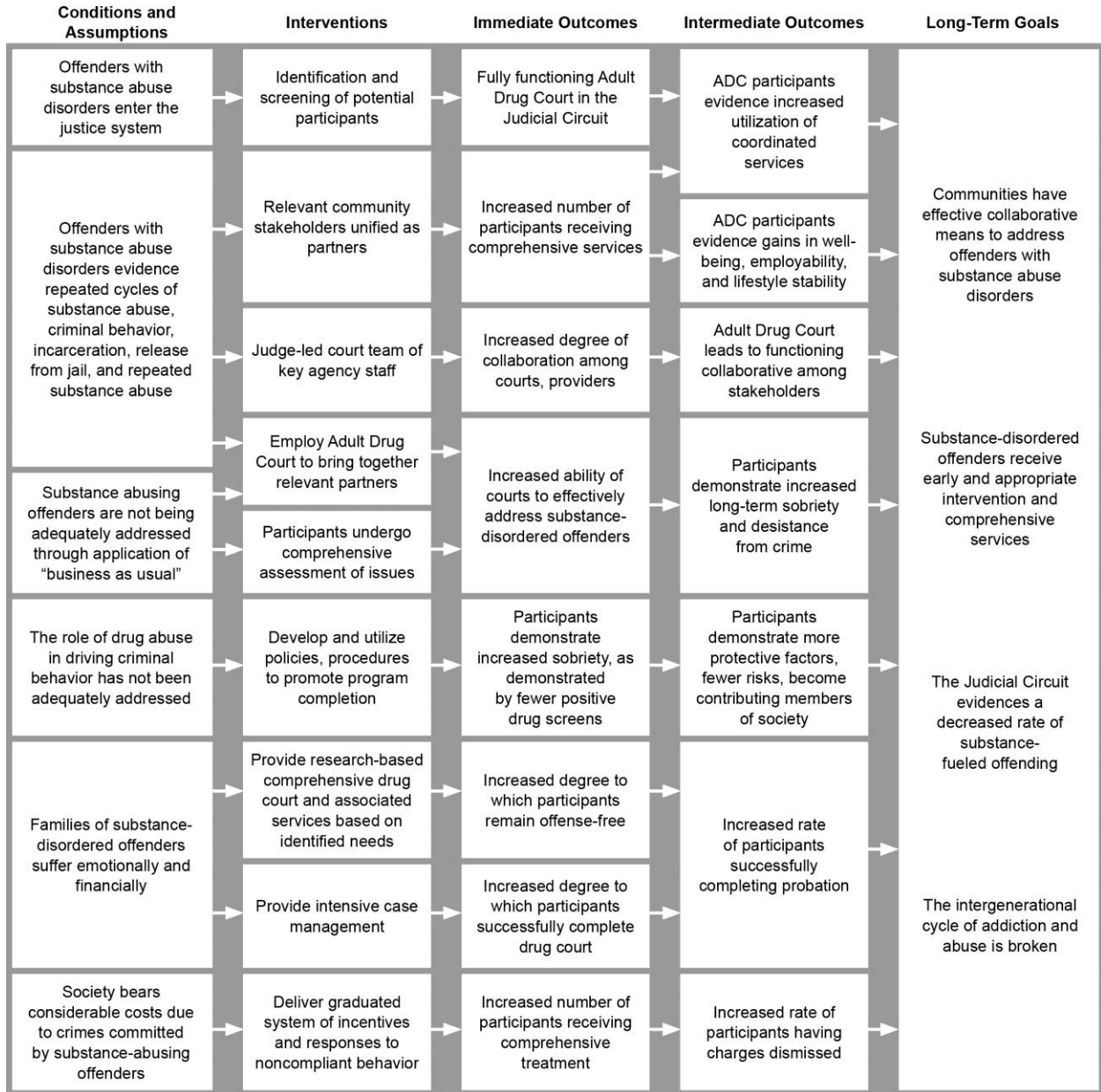
# and % of all intake cases that are informally diverted from the court system

# and % of all offenders who receive reduced jail days due to placement on electronic monitoring

# and % of offenders who are not reliant on public assistance for income or housing upon discharge from supervision

Average cost per offender served (agency budget divided by total offenders served)

## Appendix B: Sample Adult Drug Court (ADC) Logic Model



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