

Planning & Implementation Guide

Second Chance Act

Smart Supervision: Reducing Prison Populations, Saving Money, and
Creating Safer Communities

DESCRIPTION

This Planning & Implementation Guide is intended for state, local, or tribal jurisdictions who received a FY15 Second Chance Act (SCA) grant for the Smart Supervision: Reducing Prison Populations, Saving Money, and Creating Safer Communities (“Smart Supervision”) grant track. Complete this Planning & Implementation Guide in partnership with the technical assistance provider assigned by the National Reentry Resource Center (NRRC). The U.S. Department of Justice’s Bureau of Justice Assistance (BJA) will review the guide upon its completion. Any questions about this guide should be directed to your technical assistance provider at the NRRC.

The Council of State Governments Justice Center prepared this guide with support from the U.S. Department of Justice’s Bureau of Justice Assistance. The contents of this document do not necessarily reflect the official position or policies of the U.S. Department of Justice.

About the Planning & Implementation Guide

The National Reentry Resource Center (NRRC) has prepared this Planning & Implementation Guide (P&I Guide) to support grantees in the implementation of proposed initiatives and to help you track progress and make adjustments to maximize positive outcomes. The guide is not intended to serve as a step-by-step blueprint, but rather to cultivate discussion on best practices, identify considerations for your collaborative effort, and help you work through key decisions and implementation challenges.

Although the guide was developed as a tool for grantees, it also serves as an important tool for your NRRC technical assistance provider (“TA provider”) to understand the status and progress of your project, the types of challenges you are encountering, and the ways your TA provider might be helpful to you in making your project successful.

You and your TA provider will use your responses to the self-assessment to collaboratively develop priorities for technical assistance.

Any questions about this guide should be directed to your TA provider.

Contents of the Guide

The P&I guide is divided into four sections. The questions and exercises in each section are designed to help you meet the requirements of the grant. You will be prompted to write short responses, attach relevant documents, and complete exercises, and your answers will provide insight into your program’s strengths and identify areas for improvement. As you work through each section, take note of the corresponding supporting resources in call-out boxes, as they contain suggestions for further reading and provide access to important resources and tools. Your TA provider may also send you additional information on specific topics to complement certain sections. If you need additional information or resources on a topic, please reach out to your TA provider.

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SECTION 1: IDENTIFY IMPLEMENTATION GOALS

Although your TA provider has read the project narrative that you submitted in response to the SCA solicitation, there may have been updates or developments since your original application was submitted. This exercise is intended to give your TA provider a sense of your current project goals and your initial technical assistance needs. Convene team members, including key stakeholders and partners, to confirm your goals and target population, and to identify any revisions to your project plan since submitting the proposal.



EXERCISE 1: GRANTEE AT A GLANCE

Grantee Information
Grantee Name: Somerset County
Project Name: Somerset County Day Reporting Center
Grantee Type (check one): <input type="checkbox"/> Courts <input type="checkbox"/> Tribal <input type="checkbox"/> Nonprofit <input type="checkbox"/> City <input checked="" type="checkbox"/> County <input type="checkbox"/> State

Point(s) of Contact	
Name: Vicki Saylor	Email: saylorv@co.somerset.pa.us
Name: Chrystal Witowski	Email: witowskic@co.somerset.pa.us

Target Population				
Description & Size of Target Population (e.g., 40 supervision staff, 100 high-risk female probationers): Participant must be an adult age 18 or older, who has a recidivism risk level of medium to high with several priority criminogenic needs as determined by a risk and needs assessment. If an offender has a low recidivism risk level but has multiple priority needs, he/she may also be considered.				
Exclusion Criteria: Clients 17 years or younger, those with low recidivism risk levels and low needs.				
Are clients* supervised on... (check all that apply): <small>*Refers to target population or clients supervised by target population</small>	<input checked="" type="checkbox"/> Probation	<input checked="" type="checkbox"/> Probation following incarceration	<input checked="" type="checkbox"/> Parole	<input checked="" type="checkbox"/> Other: Intermediate Punishment
Jurisdiction Type (check all that apply):	<input checked="" type="checkbox"/> Rural	<input type="checkbox"/> Suburban	<input type="checkbox"/> Urban	<input type="checkbox"/> Other

Project Goals
List all project goals. Be concise and specific. (Copy and paste the rows below to create additional space, if needed.)
1. Reduce recidivism among medium to high risk adults on community supervision.
2. Increase agency's capacity for delivering specialized supervision focused on identifying criminogenic risk and targeting services at criminogenic needs.
3. Increase rate of supervisee enrollment to Medicaid or other insurance.

Please provide the following documents, if available, to your TA Provider at your earliest convenience:

- ☒ MOUs and information-sharing agreements
- ☒ Letters of support
- ☐ Graduated responses decision matrix (if applicable)
- ☐ Current strategic plan
- ☐ Gap/needs/capacity analysis
- ☒ Program flow chart



SECTION 2: ESTABLISH A LEADERSHIP STRUCTURE AND PROJECT ROLES

The establishment of an effective leadership structure is not simply a mandatory requirement for all Smart Supervision grantees, but an essential strategy for improving supervision outcomes. Effective planning and implementation of supervision and other services requires coordination across multiple agencies, state and local justices systems, and service providers. A leadership structure can help unite all system stakeholders around what works to improve supervision and other outcomes, and increase public safety while promoting coordination across systems for data sharing, assessment, case planning, and service delivery. Finally, an effective leadership structure ensures that agency leaders work together to advance and support jurisdiction-wide supervision policy and practice changes.



EXERCISE 2, PART 1: INVENTORY OF PARTNERS

Take an inventory of the individuals and agencies involved in this project (including in your own agency). Complete the table by providing details about each individual. Check either “Yes” or “No” for relevant questions.

Name	Title, Organization	Role on team	Organization signed MOU/LOA defining its role		Organization will provide direct services	
			Yes	No	Yes	No
Elissa Gies, Lori Shultz	PEERSTAR LLC	Will provide the following programs at the Day Reporting Center (DRC): Citizenship Program, and Valued Role Project.	X		x	
Brook Mckenzie, David Kinsely, Alyssa Peters, Sarah Miller	TWIN LAKES CENTER	Will provide the following programs/services at the DRC: Wellness Recovery Action Plan, Stages of Change, Relapse Prevention, Recovery Specialist, Drug and Alcohol Treatment, and Power of Parents.	X		x	
Elissa Gies, Tim Custer	NULTON DIAGNOSTICS	Will provide the following services at the DRC: Forensic Case Management, and TelePsych.	X		x	
Danielle Wismer	COMMUNITY ACTION PARTNERSHIP	Will provide the following programs at the DRC: Prepared Renter's	X		x	

		Education, and Steps Toward Employment Progress Success.				
Jennie Jamieson	SOMERSET COUNTY TECHNOLOGY CENTER	Will provide the following program at the DRC: GED preparation classes.	X		x	
Justin Beal, Elyse Pcola, Krystal Inks, Nicole Parish	BEAL COUNSELING AND CONSULTING	Will provide the following services at the DRC: Drug and Alcohol Counseling, Mental Health Assessments/Counseling.	X		x	
Tom Bender	BENDER COUNSELING	Will provide the following services at the DRC: assist to manage serious mental illnesses.		x	x	
Mark Knopsnyder	MORAL RECONATION THERAPY	Will provide the following program at the DRC: Moral Reconciliation Therapy.	X		x	
Michelle Lasure	SALISBURY FAMILY CENTER	Will provide the following programs at the DRC: Parents and Teachers, The Incredible Years, Fatherhood Initiative.	X		x	
Mandy Leonard	CORNERSTONE COMMUNITY SERVICES	Will provide the following program at the DRC: Anger Management.	X		x	
Bonnie Clark	VETERANS JUSTICE OUTREACH	Will provide the following services at the DRC: assessment and case management to Veterans.		x	x	
Adam Bowser	PENN HIGHLANDS	Will provide the following services at the DRC: College/Career education.		x	x	
TBD	PENN STATE COOPERATIVE EXTENSION	Will provide the following services at the DRC: Nutrition Education.		x	x	
Joe Isenman	COMMUNITY ACTION PARTNERSHIP	Will provide transportation for participants to and from the DRC.	X		x	
Vicki Saylor, Kim McLaughlin	SOMERSET COUNTY PROBATION DEPARTMENT	Assist in DRC's data/fiscal management and daily collaboration with DRC Manager and assigned probation staff.		x	x	
Erin Howsare, Jennifer Weigle, Sarah Bittner	SOMERSET SINGLE COUNTY AUTHORITY	Assist in DRC's fiscal management, assist DRC participants in their applications for Medical Assistance, and perform drug and alcohol assessments.		x	x	
Chrystal Witowski	SOMERSET COUNTY DAY REPORTING CENTER MANAGER	Will manage intakes, assist in case plan development, coordinate services, assist in data collection and		x	x	

		research.				
Bob Landis, Matt Peters	SOMERSET COUNTY PROBATION OFFICERS	Assist in developing case plans for participants, provide support for treatment providers by dealing with uncooperative individuals, administer portable breath testing, search clients entering the facility.		x	x	
Tracy Shultz	BEHAVIORAL HEALTH SERVICES OF SOMERSET AND BEDFORD COUNTIES, INC.	Provide support to the DRC Manager with grant related reporting/systems, draft MOU's and information sharing agreements.		x		x
Gerald Walker, John Vatauvuk, James Yoder	SOMERSET COUNTY COMMISSIONERS	Providing rent/utilities cost.		x		x
Dave Myers, Daniel Lee, Dennis Giever	JUSTICE PERFORMANCE CONSULTANTS	Will complete the DRC Project evaluation including data analysis and presentation of the final evaluation report.	X			x



EXERCISE 2, PART 2: COLLABORATIVE LEADERSHIP

The following exercise evaluates stakeholder support and preparedness for grant project activities. Complete the table by responding to each question or prompt.

Questions/Prompts	Responses
What is the vision for this project? ¹	To build a learning organization that reduces recidivism and enhances community safety through systemic integration of evidence based principles in collaboration with community justice partners.
What is the mission? ²	To increase the capacity of probation and parole to improve supervision, implement evidence-based strategies to increase the effectiveness of community supervision, including the incorporation of: identification and risk and needs through assessment; assignment of individuals to caseloads based on assessment results; coaching and resources to support coaching; quality assurance and monitoring mechanisms to ensure the fidelity to evidence-based practice; and supervision and programing of the appropriate type and dosage, including the use of swift and certain responses to violations.
What are the key mutual goals that the team would like to accomplish with the grant?	Reduce recidivism, lessen the overcrowding population problem in the county jail, reduce the cost of these offenders to the county, increase participant's completion of treatment, and gain sustainability through cost savings in order to continue to operate the Day Reporting Center after our grant expires.
Indicate the level of support (buy-in) for your program that you feel from the leadership within the criminal justice system. (0 = no support, 5 = complete support)	(3) Our county is currently in a transitional phase with two new county commissioners, a new president judge, and a new sheriff.
Indicate the level of support (buy-in) for your program that you feel from the leadership within any local or state partners. (0 = no support, 5 = complete support)	(3) We have a lot of support from local service providers, however we don't currently have community partners or state partners.
Do you have the endorsement of your governor, mayor, commissioner or other legislative champion?	Yes. We have letters of support from our County Commissioners, and District Attorney.
How will you keep system leaders, champions,	Monthly Criminal Justice Advisory Board (CJAB) Meetings.

¹ Your vision should be the end result of what you seek to accomplish through this grant program.

² Your mission should clearly articulate your purpose as an organization or grant project.

and community stakeholders informed about the progress of the grant?				
Are there interagency agreements, memoranda of understanding (MOUs), contracts, or similar documents that define partnerships, policies, and/or information sharing practices?	Yes.			
How often will you have stakeholder meetings?	We will have 8 in person meetings a year with our research partner. We will have 7 in person meeting a year with our governance board.			
List the stakeholder meetings you currently have planned.	Date of Meeting	Phone or in-person?	Location	Planning Person
	Research Partner JPC (2016 Dates): January 8 February 5 March 4 April 1 May 6 June 3 Aug. 5 Sept. 2	In person	DRC	Chrystal Witowski
	Governance Board CJAB (2016 Dates): February 10 April 13 June 8 July 13 Sept. 14 Nov. 9 Dec. 14	In person	JURY ROOM #1	President Judge



SECTION 3: OPERATIONALIZE YOUR GRANT PROJECT

BJA expects that Smart Supervision grantees will implement evidence-based strategies to increase the effectiveness of community supervision, including the incorporation of risk and needs assessment; assignment of individuals to caseloads based on assessment results; and supervision and programming of the appropriate type and dosage, including swift and certain responses to violations.

This section will help you operationalize your project with respect to the areas of interest to BJA. The following exercise links project goals to discrete activities, target population(s), resources, and measures to document the progress of activities and the resulting outcomes.

Convene your project team, including relevant stakeholders, such as judicial actors, administrators, supervision officers, and probationers or parolees to complete this exercise. Your evaluator may be particularly helpful as well.

Additional information about the areas of interest to BJA is available through your TA provider or in the CSG Justice Center's report, [*A Ten-Step Guide to Transforming Probation Departments to Reduce Recidivism*](#).



EXERCISE 3: LOGIC MODEL

A logic model demonstrates the causal relationships between goals, activities, and results. It is a useful tool to visualize the purpose and scope of proposed activities, including the resources needed and expected outcomes. Complete the logic model below (page 11), and refer to the example logic model (p. 10). Here are brief descriptions of the column and row headings in the logic model:

- **Content Area:** This column is pre-populated so that each row reflects broad categories of recidivism reduction strategies. Content areas are intentionally broad in order to capture the wide range of goals and activities that a Smart Supervision grant project might include. If a goal spans multiple content areas, please list that goal in the row that best corresponds to the purpose of the activity. The content areas are:
 - **Supervision Practices:** Changes to the ways in which supervision staff do their jobs
 - **Case Management:** Any activity directly related to case planning or case management
 - **Promoting Quality Programs:** Activities related to implementation of any quality assurance measures, whether for assessing training effectiveness, adherence to best practices of programming, or program fidelity
 - **Operations:** Any changes that affect the operations of the agency or department, such as revisions to hiring practices, job descriptions, or current practices (e.g., use of sanctions and incentives or use of risk/need data)
 - **Direct Services:** Use of grant funds to support any direct services to supervision clients, including subgrants to community service providers
 - **Risk and/or Needs Assessment:** Development, revision, or implementation of a new risk and/or needs assessment
- **Project Goals:** Each row should reflect a specific goal the team intends to pursue through the implementation project. Refer back to Exercise 1.

- **Activities:** Enter one or more discrete activities the agency will undertake to achieve each goal. Activities should be concise and specific.
- **Activity Type (Training, QA, Policy, Procedure, Service Provision, Technology):** Place an “X” in the relevant subcolumn(s) to indicate the nature of each activity as training, quality assurance, policy, procedure, direct service provision, or implementation of new technology. Activities can span multiple types.
- **Resources:** List existing resources (e.g., staff, contracts, technology) that will be used to accomplish each activity, as well as resources that will be supported by grant funds. The latter items should be reflected in the grant budget.
- **Process Measures:** Note how you will measure the progress of each activity, including completion.
- **Short-Term Outcomes:** Indicate short-term (i.e., 3–12 months), quantifiable measures that each activity is expected to yield, such as changes in knowledge, attitudes, or behaviors (e.g., through staff surveys) of the population targeted by each activity (e.g., inmates, parolees, staff, and stakeholders).
- **Long-Term Outcomes:** Indicate long-term (i.e., a year to several years), quantifiable measures that each activity is expected to yield, such as changes in recidivism and organizational structure and procedure. Long-term outcomes should build on short-term outcomes.
- **Sustainability:** Describe how the agency will maintain these investments after the implementation project period.

EXAMPLE Logic Model													
Content Area	Project Goals	Activities	Training	QA	Policy	Procedure	Service Provision	Technology	Resources (Existing and Grant-Funded)	Process Measures	Short-Term Outcomes	Long-Term Outcomes	Sustainability
Supervision Practices	Ensure that probation officers' actions, strategies, and training align with accepted best practices	Review current community supervision policies and practices and assess adherence to accepted best practices			X	X			Policy analyst on staff; new hire for additional policy analyst using grant funds	Number of staff allocated; number of policies reviewed; percentage of total supervision policies and practices reviewed	Hire policy analyst Fifty percent of necessary policies and practices reviewed	All necessary policies and practices reviewed	Incorporate QA measures into performance reviews, position descriptions and hiring procedures.
		Alter supervision practices and training, where necessary, to align with best practices	X	X					Internal DOC staff to make policy changes; training contract (using grant funds)	Number of probation officers trained; percentage of total probation officers trained	Submit Request For Proposal for training contract Sign contract with trainer Fifty percent of total probation officers trained	All current probation officers trained in best practices QA demonstrates consistent application in the field Reduction in recidivism	

Somerset County Day Reporting Center Logic Model

Content Area	Project Goals <i>Insert goals from Exercise 1</i>	Activities	Training	QA	Policy	Procedure	Service Provision	Technology	Resources (Existing and Grant-Funded)	Process Measures	Short-Term Outcomes	Long-Term Outcomes	Sustainability
Supervision Practices	<u>Goal 1.</u> Reduce recidivism among medium to high risk adults on community supervision.	1. Develop improved supervision strategies by establishing an Implementation Team and DRC Core Team	X	X	X	X			Chief of Probation (In-Kind) Deputy Chief of Probation (In-Kind) DRC Manager (Grant Funded) 2 P.O s (5% pay increase is grant funded) SCA Director (In-Kind) BHSSBC Program Manager (In-Kind) JPC (Grant Funded)	Number of staff allocated to DRC; number of staff hired/assigned into positions	Conduct task related to hiring the DRC Manager Have P.O.s assigned to DRC. Shift old caseloads Establish DRC Core team which will consist of DRC Manager, and Two P. O. s. Establish Implementation Team which will consist of DRC Core Team as well as the Probation Director, Assistant Probation Director, the SCA Director, BHSSBC Program Manager, and JPC.	P.O.s assigned to DRC managing DRC caseload only Reduce recidivism by 25%.	Incorporate position descriptions and hiring procedures into county employment opportunities
	<u>Goal 2.</u> Increase agency's capacity for delivering specialized supervision focused on identifying criminogenic risk and targeting services at criminogenic needs.	1. Motivational Interview Training with all DRC staff and providers	X		X	X	X		Tracy Shultz to draw up Training Agreement (using grant funds for training)	Number of DRC staff and providers trained. Number of trainings held	Submit training contract Sign contract with trainer Hold initial 2 day MI training in January Develop policies and procedures regarding the use of MI and establish training requirements	Hold annual MI training for new staff/providers Hold annual MI refresher training Add MI evaluation on three levels: peer review, manager review, and yearly performance evaluation. Annually review training contract	Incorporate QA measures into performance reviews

			2.Train P.O.s on who, when, and how to refer offenders to the DRC	X	X	X	X			Internal staff will train P.O.s	Number of P.O.s trained	Train all unit supervisors Fifty percent of total P.O.s trained	All current P.O.s trained Reduction in recidivism by 25%	Incorporate training into employment orientation
Case Management	Goal 3. Increase rate of supervisee enrollment to Medicaid or other insurance.	1. Assessment of offender's risk/needs to reveal, if any, physical healthcare or behavioral healthcare treatment required.						X	X	COMPAS tool, Correctional Mental Health Screen, and Basic Needs form will be used to identify physical/behavioral needs P.O.s will complete COMPAS assessment	Number of offenders referred to treatment	Identify physical/behavioral healthcare needs Have assessments/referrals made for needed services	Meet all physical/behavioral healthcare needs of offenders	Somerset County Probation Department will continue to allow the DRC to use their COMPAS tool Bill MA or private medical insurance
		2. Verify offender's active insurance status, if no active insurance enroll into Medical Assistance	X				X	X		SCA will expand to include offenders at DRC for enrollment in MA (in-kind)	Number of offenders signed up for MA	Make referrals to SCA for offenders who need MA	Have all offenders medically insured	SCA will continue to take referrals from DRC to enroll offenders into MA. This service will continue to be in-kin
	Goal 2. Increase agency's capacity for delivering specialized supervision focused on identifying criminogenic risk and targeting services at criminogenic needs.	1. Develop an individual schedule that meets the identified criminogenic needs	X	X	X	X	X			COMPAS tool will identify criminogenic needs DRC Core Team will make referrals and develop individual schedule (grant funded)	Number of offender's referred to services; Number of offender's who completed services that they were refer to.	Identify criminogenic needs, make appropriate referrals, get offenders placed in appropriate treatment	Increase community safety Reduce recidivism	Somerset County Probation Department will continue to allow the DRC to use their COMPAS tool Bill MA or private medical insurance

Promoting Quality Programs	Goal 1. Reduce recidivism among medium to high risk adults on community supervision.	1. Objectively evaluate the impact of the evidence based strategies by collecting from each provider a fidelity adaptation sheet	X	X		X	X		Service providers will collect (grant funded)	Number of service providers whose programs are evidence based that complete fidelity adaptation sheet	Gain knowledge of fidelity of the evidence based program	Reduce recidivism	Bill MA or private medical insurance
		2. Objectively evaluate the impact of the evidence based strategies by implementing QA surveys for offenders	X	X					Survey Monkey (SCA in-kind)	Number of offenders in program; percentage of surveys completed	Create QA survey; upload to Survey Monkey	Have 100% of offenders complete survey at discharge Improvement in offender's satisfaction with the Criminal Justice System	SCA will continue to let us use their Survey Monkey account to track QA surveys
		3. Collect and examine community supervision data		X		X		X	Justice Performance Consultants (grant funded) DRC Manager (grant funded)	Percentage of data collected on DRC offenders; % of data collected on historical comparison group	Create tracking database in Excel Review project goals and objectives at the end of every quarter	Presentation of the final evaluation report to the Governance Board, Key Stakeholders, Commissioners, and funding sources	Evaluate project milestones
Direct Services	Goal 2. Increase agency's capacity for delivering specialized supervision focused on identifying criminogenic risk and targeting services at criminogenic needs.	1. Contract with outside providers to deliver services based on an individual's risk and needs	X			X	X		Tracy Schultz will draw up DRC agreements for outside providers (in-kind) Providers will be paid using grant funds or by billing MA	Offenders that have DRC as special condition Number of offenders who complete programing	Inform probation department, judges, the DA, and other agencies about the DRC program to gain support	Increase the number of offenders who are referred to and complete the DRC program through the use of evidence based practices	Sustained by billing MA or private medical insurance By comparing data on the cost of incarceration of each diverted offender versus the cost of attending the DRC for the same amount of time, there is a possibility to reinvest that savings
Risk and/or Needs Assessment	N/A	N/A							N/A	N/A	N/A	N/A	N/A
Operations	N/A	N/A							N/A	N/A	N/A	N/A	N/A



SECTION 4: PROGRAM EVALUATION

BJA expects that Smart Supervision grantees will document a baseline recidivism rate based on historical data and incorporate a research partner to assist with (a) data collection and analysis, (b) problem assessment, (c) strategy development, and/or (d) implementation monitoring and evaluation. This section will help your team identify the most appropriate evaluation activities and inform conversations with third party research partners.

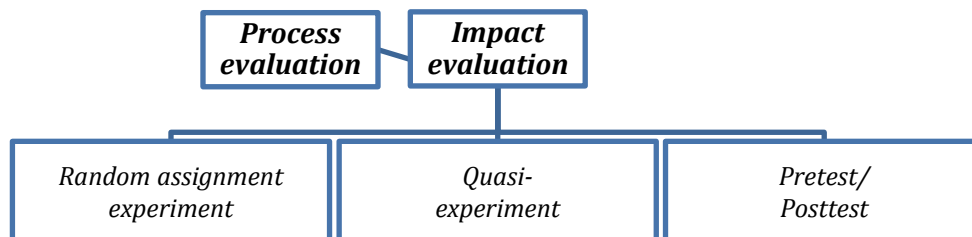
Program evaluations can inform current and future implementation, and provide information to stakeholders and funders about the effects, potential limitations, and strengths of the program. Grantees should consider their own needs and goals and their ability to advance the field as they plan evaluations.

Program evaluations are a meaningful way for agencies to document activities, accomplishments, and needs. Results are useful to:

- Document program accomplishments, including positive and negative effects of program participation;
- Document program development activities to inform replication;
- Improve implementation and effectiveness;
- Better manage limited resources;
- Achieve and increase buy-in;
- Promote sustainability; and
- Justify current and future funding, including the need for increased levels of funding.

EVALUATION DESIGN

Not all investments made through your program can necessarily be evaluated in the same way. The evaluation design for a specific program will likely look different from the evaluation design for a new policy with agency-wide implications. To develop a successful evaluation design, it is critical to understand what is being evaluated. This requires program staff to document their processes, the changes that are occurring, and whether those processes are functioning consistently, through a process evaluation. Once the process evaluation is complete, it is then possible to evaluate the impact of the program or policy changes on key outcome measures such as recidivism. Consider the types of impact evaluations shown in the chart and described below to identify the one best suited to your activities, needs, and budget.



Process Evaluation

Process evaluations are often qualitative in nature, and results are useful for assessing the quality of implementation and making adjustments to strengthen the program's effectiveness for future participants. In justice settings, common data sources include implementation plans and interviews with stakeholders, and common measures include the number of participants served and duration of engagement. Process evaluations are particularly useful to:

- Examine whether programs are implemented with fidelity and in accordance with evidence-based principles. Documents that guide implementation, such as program plans, should reflect evidence-based principles and outline how to implement your initiative with fidelity. Then, as the process

evaluation examines implementation, results will reveal whether and to what extent the initiative adhered to those plans.

- Track intermediate outcomes and alter implementation, if necessary. For example, tracking program enrollment allows grantees to assess whether you are on pace to meet your goals and, if not, to adjust recruitment practices. Similarly, if enrollment numbers are on pace but completion numbers are down, grantees may assess and refine retention and engagement strategies.

Which Intermediate Outcomes Should You Track?

- Number and percentage of new participants enrolled (based on enrollment target)
- Number and percentage of participants who successfully completed the program
- Number and percentage of participants who unsuccessfully completed the program (i.e., attend through the duration of the program but do not satisfy all requirements)
- Number and percentage of program incompletes (i.e., leave the program before the end)
- Recidivism rate for participants who successfully complete the program
- Recidivism rate for participants who do not successfully complete the program

Impact Evaluation

Impact evaluations assess effectiveness by measuring change that has occurred as a result of the program, including goal attainment, as well as positive, negative, intended, and unintended consequences. They are usually quantitative in nature and consider short-term (3–6 months), medium-term (6–12 months), or long-term (12 months or longer) outcomes. In justice settings, criminal history records are common data sources and recidivism is a common outcome measure. There are three common impact evaluation designs:

- Random Assignment Experimental designs are the most rigorous. Evaluators assign individuals with similar attributes and characteristics to treatment or control groups at random. Individuals assigned to the treatment group participate in the program; those assigned to the control group do not. Then, both groups are assessed on the same outcome measures. By controlling for any pre-existing bias, outcomes are attributable to the program. One difficulty with this design is sample size; evaluators must obtain a sample size large enough in both groups to draw conclusions in accordance with statistical rules of power and significance.
- Quasi-experimental designs are similar to, but less rigorous than, experimental designs. Similarly, evaluators identify treatment and control groups, and only the treatment group participates in the program. However, the control group may be contemporaneous or historical. A *contemporaneous control group* is used when the outcomes of the treatment and control groups are compared over the same time period. A *historical control group* is used when the outcomes of the treatment group are compared with the outcomes of a control group observed at some previous time. For example, if a gender-specific program targets all female probationers in a given jurisdiction, there is no contemporaneous comparison group available. Therefore, evaluators may compare participants' outcomes to those of female probationers in preceding years. Evaluators should collect and analyze data to control for potential differences between the treatment and control groups.
- Pretest/posttest designs are best when it is difficult to identify a comparison group. Evaluators collect information on program participants at two points in time: once before program participation (baseline information) and again after participation. This design is the least rigorous in establishing a causal link between program activities and outcomes. However, it is a practical and sufficient way to determine whether a program is making a difference as long as appropriate outcome measures are collected. For example, pretest/posttest designs can be effective for evaluating changes in participants' knowledge but should not be used to evaluate recidivism outcomes where it would be difficult to determine whether changes in recidivism are the result of program participation or simply the passage of time.



EXERCISE 4: EVALUATION PLANNING

BJA requires that implementation grantees complete process and impact evaluations. Complete the table below to indicate the type of evaluations you propose to conduct.

The process measures, short-term outcomes, and long-term outcomes in the logic model above should provide an outline to develop a comprehensive plan. Respond to the final set of questions below; these will help round out the plan. Please provide multiple answers to the questions below, as necessary, to reflect components of the implementation proposal that will be evaluated individually.

1. What type of evaluation will you use to assess the outcomes and impact of the proposed grant activities?

Activities	Evaluation type			
	Process	Random assignment Experiment	Quasi-experiment	Pretest/Posttest
Activity 1: Develop improved supervision strategies by establishing an Implementation Team and DRC Core Team	✓			
Activity 2: Motivational Interview Training with all DRC staff and providers	✓			
Activity 3: Train Probation Officers on who, when, and how to refer participants to the DRC	✓			
Activity 4: Assessment of offender's risk/needs to reveal, if any, physical healthcare or behavioral healthcare treatment required	✓			
Activity 5: Verify offender's active insurance status, if no active insurance enroll into Medical Assistance	✓			
Activity 6: Develop an individual schedule that meets the identified criminological needs	✓			
Activity 7: Collect from each provider a fidelity adaptation sheet	✓			
Activity 8: Implement QA surveys for offenders	✓			✓
Activity 9: Justice Performance Consultants will collect and analyze community supervision data which will include their risk, need, responsivity, services, recidivism.			✓	✓
Activity 10: Contract with outside providers to deliver services based on an individual's risk and needs	✓			

2. What is the target population being studied in the evaluation?

Answer:	Participants must be an adult age 18 or older, who has a recidivism risk level of medium to high with several priority criminogenic needs as determined by a risk and needs assessment. If an offender has a low recidivism risk level but has multiple priority needs, he/she may also be considered
Considerations & Examples:	Clearly define the group you will study in the evaluation and ensure that the target population is appropriate for the intervention provided.

3. How will you define successful completion of the program?	
Answer:	<i>In order for a participant to successfully complete the program they must complete all four phases (motivational, treatment, reentry, aftercare) of treatment in succession within the grant period. -</i>
Considerations & Examples:	<i>Completion definitions can be either process-based (e.g., program participant has completed 70% of program requirements or case plan within one year) or outcome-based (e.g., program participant has achieved core benchmark goals of the program, such as improving risk and needs level, attaining stable housing, attaining employment, achieving a GED, etc. within one year).</i>
4. What is the definition of recidivism that will be evaluated?	
Answer:	<i>Recidivism will be based upon the revocation disposition justified by a subsequent misdemeanor/felony arrest offense that has been bound to district court and/or technical violations of the conditions of probation/parole.</i>
Considerations & Examples:	<i>This should be the same as the definition of recidivism used by the jurisdiction in which the grantee operates.</i>
5. What will be the tracking period for recidivism, and when will it begin?	
Answer:	<i>We will track recidivism at one, two, and three year intervals. We will begin 1/4/2016 and end 9/30/18.</i>
Considerations & Examples:	<i>The tracking period must allow for uniform "time at risk to recidivate" for all offenders tracked (e.g., all in group have at least one year of exposure to street time after completing the program or upon release from prison when determining the one-year recidivism rate). You may want to track recidivism at multiple intervals (1-, 2-, and 3-year rates), but the period(s) tracked must be consistent for all individuals.</i>
6. What is the comparison group for the evaluation?	
Answer:	<i>We will gather a comparison group statistically matched using COMPAS, demographic variables, and a propensity score if feasible possible based on sample size. -</i>
Considerations & Examples:	<i>The comparison group must have similar characteristics to the treatment group for the evaluation to be valid. Random assignment to a "program" and "control" group is the preferable methodology for the evaluation. If that isn't possible, it is important for the selected control group to be statistically matched to the program group. Meaning, the two groups should be comparable on key characteristics such as risk level. Pre- and posttest designs are acceptable only if there is no way to identify a statistically matched control group.</i>
7. How many individuals will be in the program/treatment and control groups for analysis after 6 months? After 12 months?	
Answer:	<p><i>Target Group: 45 people (6 months); 90 people (12 months); 180 people (24 months); 250 (33 months)</i></p> <p><i>Comparison Group: 0 people (6 months); 90 people (12 months); 180 people (24 months); 250 (33 months)</i></p> <p><i>The Somerset County Day Reporting Center opened Jan 4th, 2016. It's our plan to deliver services to 250 offenders over the three year grant period. Taking in approximately 8 new people a month for 33 months.</i></p>
Considerations & Examples:	<i>After 12 months there will ideally be more than 100 individuals each in the treatment and comparison groups.</i>

8. Who will collect data records on program participation and services received, as well as recidivism outcomes, for analysis? Where and how will these data be captured?	
Answer:	<i>The DRC Manager will collect the data on program participation, services received, and recidivism outcomes. This will be done in an Excel database that our research partner creates.</i>
Considerations & Examples:	<i>Clearly identify available electronic record data that can be used for the research. Electronic records are essential to conduct matching of databases, reduce cost, and complete the research in a timely fashion.</i>
9. Who will conduct the process and impact evaluations?	
Answer:	<i>Justice Performance Consultants</i>
Considerations & Examples:	<i>BJA encourages grantees to contract with an outside provider to assist with the design and completion of the evaluation.</i>