

COACHING PACKET

Measuring the Impact of Reentry Efforts

One in a series of Coaching Packets designed to assist jurisdictions in the implementation of effective practices that will support successful offender outcomes

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Coaching Packet Series 1: Creating a Blueprint for an Effective Offender Reentry System

- A Framework for Offender Reentry
- Establishing a Rational Planning Process
- Engaging in Collaborative Partnerships to Support Reentry

Coaching Packet Series 2: Delivering Evidence-Based Services

- Implementing Evidence-Based Practices
- Effective Case Management
- Shaping Offender Behavior
- Engaging Offenders' Families in Reentry
- Building Offenders' Community Assets through Mentoring
- Reentry Considerations for Women Offenders

Coaching Packet Series 3: Ensuring Meaningful Outcomes

- Measuring the Impact of Reentry Efforts
- Continuous Quality Improvement



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Introduction to the Coaching Packet Series

The Center for Effective Public Policy (the Center) and its partners, The Urban Institute and The Carey Group, were selected by the U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance to serve as the training and technical assistance providers to the Fiscal Year 2007 Prisoner Reentry Initiative grantees (hereafter “PRI grantees”). The project team served in this capacity from April 2008 to June 2010.

The Center is a nonprofit criminal justice consulting organization based in Silver Spring, Maryland. Since the early 1980s, the Center has provided training and technical assistance to the criminal justice field on a wide array of topics, including transition and reentry, and has administered a number of national projects of this kind. The Urban Institute was established as a private, nonprofit corporation in Washington, D.C. in 1968 and is a leader in prisoner reentry research, focusing on making best practice information accessible to practitioners and policymakers. The Carey Group is a justice consulting firm with extensive practitioner experience in evidence-based practices, strategic planning, community and restorative justice and corrections.

As a part of its technical assistance delivery to the PRI grantees, the Center developed a series of tools to assist grantees in specific areas of their reentry work. The final products of this work include eleven Coaching Packets in three series. These Coaching Packets offer practical value beyond the jurisdictions involved in this initiative and are available to criminal justice professionals and their partners interested in enhancing their strategies for reducing recidivism and improving offender outcomes.

Each Coaching Packet provides an overview of a specific topic as it relates to successful offender reentry, and offers tools and resources for those interested in exploring the topic in greater depth.

- *Series 1* provides a blueprint for an effective offender reentry system. This series provides a conceptual framework for addressing prisoner reentry at the policy level; outlines a strategic planning process to support implementation efforts; and explores the establishment of successful collaborative partnerships at the policy and case management levels.
- *Series 2* addresses key issues related to the delivery of evidence-based services to offenders. This series summarizes the key literature with regard to implementing evidence-based practices; explores advances in approaches to case management; addresses the important role of staff in changing offender behavior; and summarizes research and practice as it relates to working with women offenders, engaging families, and mentoring.
- *Series 3* provides guidance and tools to ensure that reentry efforts achieve their intended outcomes. This series describes methods to assess the effectiveness of reentry efforts and offers strategies for achieving continuous quality improvement.

FY 2007 Prisoner Reentry Initiative (PRI) Grantees

The Prisoner Reentry Initiative (PRI) – intended to support the development and implementation of institutional and community corrections-based reentry programs to help returning offenders find employment and provide other critical services – is a collaborative effort of the U.S. Department of Justice (DOJ), Office of Justice Programs, Bureau of Justice Assistance and the U.S. Department of Labor (DOL). Grants were awarded to state and local corrections agencies by DOJ to provide pre-release and transition services to offenders and were “matched” by DOL grants to faith- and community-based organizations (FBCOs) to provide post-release services, focusing on employment assistance and mentoring.

Thirty-five states received grants in three cycles of the Initiative during Fiscal Years 2006, 2007, and 2008.¹ Of these, 23 FY 2007 PRI grantees received assistance under this project. FY 2007 grants were awarded in the fall of 2007 and implemented from 2008 to 2010; however, some grantees will not complete their activities until 2011. The FY 2007 grantees provided technical assistance under this project included:

- ✓ ALASKA, Native Justice Center
- ✓ ARIZONA, Criminal Justice Commission/ Yuma County Sheriff’s Office
- ✓ CALIFORNIA, Department of Community Services and Development
- ✓ COLORADO, Division of Criminal Justice Services/City of Denver
- ✓ DISTRICT OF COLUMBIA, Government
- ✓ FLORIDA, Department of Corrections
- ✓ HAWAII, Department of Public Safety
- ✓ INDIANA, Department of Corrections
- ✓ IOWA, Department of Corrections
- ✓ KANSAS, Department of Corrections
- ✓ MAINE, Department of Corrections
- ✓ MICHIGAN, Department of Corrections
- ✓ MINNESOTA, Department of Corrections
- ✓ NEVADA, Department of Corrections
- ✓ NEW JERSEY, Department of Corrections
- ✓ NORTH CAROLINA, Department of Corrections
- ✓ OHIO, Department of Rehabilitation and Correction
- ✓ PENNSYLVANIA, Department of Corrections
- ✓ RHODE ISLAND, Department of Corrections
- ✓ TENNESSEE, Department of Corrections
- ✓ VIRGINIA, Department of Criminal Justice Services
- ✓ WISCONSIN, Department of Corrections
- ✓ WYOMING, Department of Corrections

¹ The PRI program will end when the FY 2008 grantees complete their activities.

Acknowledgments

Becki Ney, Principal, Center for Effective Public Policy, served as the PRI Training and Technical Assistance Program Project Director. Ms. Ney conceptualized and oversaw the development of the Coaching Packet series.

Madeline M. Carter, Principal, and Rachelle Giguere, Program Associate, Center for Effective Public Policy, served as the key editors for the Coaching Packet series. Ms. Giguere also provided extensive research support to the development of the series.

Introduction to the Measuring the Impact of Reentry Efforts Coaching Packet

The Contents of this Packet

This Coaching Packet provides:

- An overview of performance management principles and practices;
- A discussion of the ways in which performance data can be useful to agencies and jurisdictions engaged in reentry efforts;
- A list of the key processes and outcomes that should be tracked, used internally to guide program improvements, and reported to stakeholders and other interested parties;
- Methods and key steps in performance management, including the development of logic models;
- A tool to determine your jurisdiction's strengths and gaps in the area of measuring the impact of reentry efforts;
- An aid to developing plans to address identified gap areas; and
- References to additional resources on this topic.

The Intended Audience for this Packet

This Coaching Packet was originally developed to assist grant teams that were established to manage local PRI initiatives. The teams were composed of representatives from institutional and community corrections and faith-based or community organizations involved in the delivery of pre- and post-release services to offenders transitioning from prison to the community. The content of these Coaching Packets has much broader application, however; the information and tools contained within this Coaching Packet can also be used by teams of criminal justice professionals and their partners to assess the status of their efforts in implementing evidence-based practices and effective reentry services to offenders.

This Coaching Packet may also serve as a resource for professionals at all levels who are interested in learning more about this topic.

How to Use this Packet

SECTION I: READ THE OVERVIEW ON MEASURING THE IMPACT OF REENTRY EFFORTS.

This section of the Coaching Packet provides an overview of performance management. Review its content and, if the information it contains is applicable to your work and addresses an area in which you feel you need to focus your efforts, use the tool in Section II to assess your jurisdiction's strengths and gaps with regard to measuring reentry efforts.

SECTION II: COMPLETE THE MEASURING THE IMPACT OF REENTRY EFFORTS COACHING PACKET CHECKLIST.

As a team, complete the Measuring the Impact of Reentry Efforts Coaching Packet Checklist. (Based upon the information you read in Section I, consider who may need to be involved so that you are able to answer the questions thoroughly.) Complete the checklist as a group and discuss your responses along the way.

- Rate each item listed in the checklist (yes, no, unclear).
- For items where your response is “unclear,” make note of the additional information the team needs to collect in order to be able to rate this item.
- Add additional items that may relate to your jurisdiction’s implementation of a performance management system that are not already included on the checklist.
- Develop a consensus-based response for each item on the checklist.
- Once the checklist is completed, consider your jurisdictions’ strengths in implementing a performance management system. Make note of these.
- Next, consider your most significant gaps. Make note of these as well.

SECTION III: DEVELOP AN ACTION PLAN.

If, after completing the checklist in Section II, your team determines that further work on this topic is necessary or would be helpful, follow the steps below to identify your goals, objectives, and action items, and identify any additional assistance or expertise needed.

Working as a team, review your findings from the Measuring the Impact of Reentry Efforts Coaching Packet Checklist. Specifically:

1. Determine whether, based upon what you have read and discussed, you desire to improve your jurisdiction’s approach to measuring the impact of your reentry efforts.
2. If you determine you have a need to improve in this area, write a goal statement that reflects where you want to be with regard to improving your measurement system. Your goal might be to “Develop a logic model for our initiative,” “Create a regular reporting process to share performance management results with internal and external stakeholders,” “Establish a data management quality assurance plan,” or another goal. Using the Action Planning Worksheet in Section III, note your goal in the area of measuring the impact of reentry efforts.
3. Identify your three most significant strengths in this area and discuss how you might build on those to overcome some of your gaps.
4. Identify your three most significant gaps. For each gap, write an objective. Your objectives might be, “To establish a team to collaboratively identify written and verbal methods to communicate the results of the data management system,” or “To establish a quality assurance manager position to oversee data collection across agencies,” or something else. Note your three objectives on the Action Planning Worksheet.
5. Add the following on the Action Planning Worksheet for each objective:
 - a. The specific sequential steps that must be taken to meet the objective.
 - b. The individual who will assume lead responsibility for this action item.
 - c. The completion date for this action item.

6. Discuss whether additional assistance or outside expertise is needed to successfully achieve any of your action items. For instance, explore whether additional literature, guidance from another practitioner over the telephone, examples of work products from other jurisdictions, or on-site technical assistance would be helpful options.
 - a. For each action item, identify those for which assistance/expertise is needed.
 - b. Identify the type of assistance/expertise needed.
 - c. Prioritize each of these need areas. If assistance/expertise will be limited, for which action items is assistance most needed?
 - d. Begin exploring ways to secure the needed assistance/expertise.

How to Seek Additional Information

To download copies of the Coaching Packets, please visit the Center's website at <http://www.cepp.com/coaching.htm>. To obtain further information on the use or content of this or any of the Coaching Packets, or on the 2007 PRI Training and Technical Assistance Program, please contact:

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Section I: An Overview of Measuring the Impact of Reentry Efforts

Background on the Prisoner Reentry Initiative

The number of incarcerated offenders, and the relative costs of confinement, has risen dramatically during the past several decades. This, coupled with a virtual explosion in research demonstrating methods to reduce offender recidivism, has resulted in increased attention to the management of offenders generally and their successful return to the community in particular.

Among the most significant of the national reentry initiatives is the Presidential Prisoner Reentry Initiative (PRI). In 2005, the Departments of Justice (DOJ), Labor (DOL), Housing and Urban Development (HUD), Health and Human Services (HHS), and other Federal agencies formed a partnership to support reentry efforts at the state level. The goal of the PRI project is to reduce recidivism and increase the successful reintegration of offenders to the community. The PRI project provides direct grant funds through the DOJ's Bureau of Justice Assistance (BJA) and the DOL to applicants on a competitive basis. These grants provide funds for a variety of initiatives at the state and local level; they also support grant activities through the provision of training and technical assistance on the strategic and substantive issues related to all aspects of offender reentry.

PRI has three distinct but related phases:

1. Institutional phase: During the institutional phase, offenders are assessed to determine their likelihood of recidivism and criminogenic needs. Based upon these assessments, offenders begin to address these risk factors by participating in targeted services, such as substance abuse treatment or cognitive-behavioral change classes. The goal of the institutional phase is to identify the appropriate level of intervention for individual offenders and begin the case management planning and, where appropriate, service delivery process.
2. Structured reentry or transitional phase: During the transitional phase, offenders engage in intensive release preparation, formalizing their reintegration plans and enhancing their connections to the community. This phase begins in prison and continues for approximately a month following release. The goal of the transitional phase is to ensure that offenders' stabilization needs are met (e.g., government issued identification is secured, a supply of medications is available, suitable housing plans are in place, etc.) and criminogenic need areas are addressed (e.g., placement into needed services).
3. Community reintegration phase: During the community reintegration phase, many offenders are under community supervision and participate in supportive services as identified in individually-tailored reentry plans. The goal of the community reintegration phase is to provide offenders with the support and services needed to be successful in the community (e.g., employment).

The Federal PRI Performance Measures

Both BJA and DOL have identified performance measures that their grantees are expected to use in reporting the progress of their respective PRI programs. In order to promote consistency in PRI reporting among the pre- and post-release programs, BJA and DOL adopted common definitions of recidivism and successful enrollment, as follows:

- ✓ **Recidivism** is a return to prison with a new conviction within 12 months of release.
- ✓ **Successful enrollment** occurs when a referred offender makes contact with a designated faith-based community organization (FBCO) and completes the required procedures to be enrolled in the program offered.

Performance indicators required by DOL and BJA are presented in Exhibits 1 and 2, respectively.

Exhibit 1: U.S. Department of Labor (DOL) PRI Grantee Performance Indicators

Sample DOL PRI measures include:

1. **Participation Rate:** defined as the percentage of active participants who received at least one PRI or partner service (excluding supportive services) every month during the reporting quarter. *The target for this measure is 60% in each reporting quarter.*
2. **Mentoring:** defined as the percentage of active participants who received mentoring services during the quarter. *The target for this measure is 60%.*
3. **Entered Employment Rate:** defined as of those who are not employed at the date of participation (enrollment) and who exit the program: the percentage of participants who are employed in the first quarter after the exit quarter. *The target for this measure is 60%.*
4. **Employment Retention Rate:** defined as of those who exit the program and are employed in the first quarter after the exit quarter: the percentage of participants who are employed in both the second and third quarters after the exit quarter. *The target for this measure is 70%.*
5. **Average Earnings:** defined as of those who exit the program and who were employed in the first, second, and third quarters after exit: the average total earnings for the second and third quarters after exit. *The target for this measure is \$9,360, which works out to be \$9 per hour if working full time and just under 200% of the poverty rate for a family of one.*
6. **Recidivism Rate:** defined as the percentage of participants who were re-arrested for new crimes or re-incarcerated for revocation of their parole or probation orders within one year of their release from prison. *The target for this measure is 22% or below.*

Adapted from: DOL, 2009.

Exhibit 2:
Bureau of Justice Assistance (BJA) PRI Grantee Performance Indicators

The set of BJA PRI performance measures includes the following:

1. Number of eligible offenders selected for program participation.
2. Number of total eligible offenders not selected for participation in the Reentry Program.
3. Total number of offenders from facilities used to draw and select the target population.
4. Total number of offenders in the target population.

NOTE: Each offender should only be counted once among the following questions 5, 7-10:

5. Number of participating offenders from the target population who are rearrested for new crimes within 12 months of release.
6. From those rearrested for a new crime, the number of offenders whose cases have been dismissed or the charges dropped. (NOTE: These participating offenders will be removed from the recidivism count.)
7. Number of participating offenders from the target population who are rearrested for previous crimes within 12 months of release. (NOTE: This option does not count towards the recidivism rate.)
8. Number of participating offenders from the target population who are re-incarcerated for revocation of the parole or probation orders for violations of terms of their sentence within 12 months of release.
9. Number of participating offenders from the target population who otherwise violated the terms and conditions of their sentence within 12 months of release and are not re-incarcerated. (NOTE: This option does not count towards the recidivism rate.)
10. Number of participating offenders from the target population who are not rearrested or re-incarcerated within the first 12 months of release.
11. Number of offenders in the target population undergoing risk and need assessments.
12. From those undergoing assessments, number of offenders recommended for pre- and post-release services.
13. From those undergoing assessments, number of offenders not recommended for pre- and post-release services. (Note: This refers to a snapshot of actual assessments and referrals that occurred during reporting period and reported by service category.)
14. Number of offenders in the target population receiving pre-release services while incarcerated and post-release services after release. Types of service include: cognitive behavioral therapy or other counseling, life skills, employment, education, substance abuse, mental health, overall health, family, anger management, mentoring, faith-based, and other. (NOTE: Provide one overall number and then the specific number in each category.)
15. Number of offenders in the target population for whom transition plans are developed.
16. Number of offenders in the target population who successfully complete pre-release risk or need assessments, participate in all assigned pre-release services, and obtain transition plans.
17. From those offenders in the target population referred to DOL-funded faith-based community organization sub-grantees for post-release services, percentage of offenders who successfully enrolled in the post-release program.

Adapted from: BJA, 2008.

The Importance of Performance Measurement

There are a number of ways in which a carefully constructed performance measurement system will prove useful. Performance information provides:

- ✓ An objective way to account for 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 goal achievement if not addressed in a timely fashion.
- ✓ Objective and specific data that can be used to report performance to staff as a means to further engage and motivate, and external stakeholders (e.g., funders, other vested parties) as a means to demonstrate the benefit of investments.

Basic Concepts Related to Performance Management

Although the terms performance measurement, performance management, and program evaluation are often used interchangeably, these terms have important distinctions:

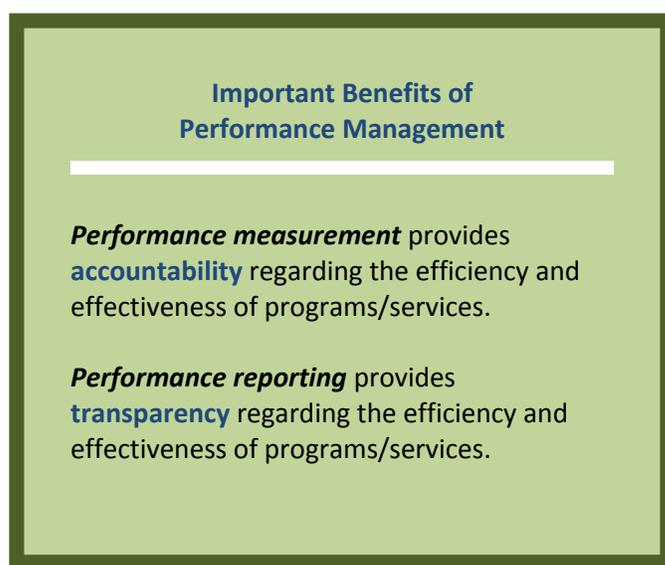
- ✓ *Performance measurement* refers to the regular and systematic collection of quantitative information that will empirically demonstrate the results (outcomes) of activities (e.g., modified policies and practices, new program initiatives, etc.). Performance measurement connects indicators (i.e., quantitative measures) with specific agency or jurisdictional objectives (i.e., expected outcomes).
- ✓ *Performance management* is the use of the performance measurement information to report on successful performance and/or fine-tune policy decisions, practices, and adjust the allocation of resources in order to further enhance outcomes.

- ✓ *Program evaluations* are typically in-depth studies designed to assess the processes, intermediate outcomes and end outcomes of programs or services. They are generally ad hoc (one time or infrequently repeated) studies designed to answer specific questions. These studies are often motivated by the interests of those providing the resources for the initiative. Occasionally agencies/jurisdictions conduct program evaluations with their own resources and for their own purposes. Because program evaluations often require significant effort by staff or outside contractors, it is generally not feasible to repeat these studies routinely. And because they often seek to determine long-term outcomes (e.g., changes in the rates of violation behavior among supervised offenders, rearrest rates, reconviction rates), data collection may span a fairly lengthy period of time.

Throughout this document, the term “performance management” will imply both the collection and analysis of quantitative information *and* the use of that information to improve outcomes.

PERFORMANCE MANAGEMENT VERSUS PROGRAM EVALUATION.

Program evaluation typically provides the most comprehensive information about an initiative. It may involve sophisticated methodologies including the use of comparison groups to determine the end outcomes of various interventions. As ideal as these evaluation results are, most agencies and jurisdictions are not in a position to conduct them, at least not with regularity. They can be costly to design, complex to administer, and time consuming. On the other hand, performance management systems can be designed and administered with relative ease. And because the information derived is essential to ongoing performance monitoring and improvement, their establishment should be a priority for all agencies.



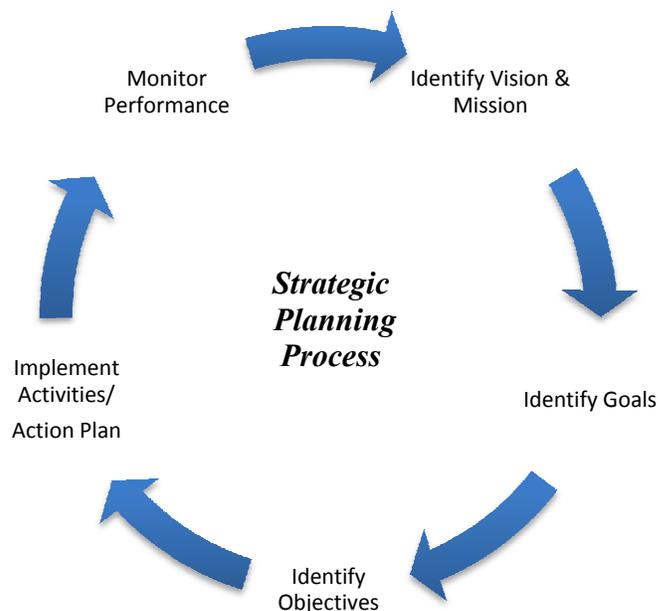
SIMILAR MEASUREMENTS, DIFFERENT METHODOLOGIES AND RESULTS.

The same measurements might be used in a performance management system as in a program evaluation (e.g., the number/percent of participants who reduced or discontinued substance abuse). The primary difference is in the methodology and the ability to draw definitive conclusions about the outcomes derived. For example, in the most rigorous of program evaluations, it is possible to attribute outcomes (effects) to the program's activities. In the case of the sample logic model in Exhibit 3, the performance management system may reveal that 80% of the offenders who participate in the job readiness and employment counseling services retain their positions after one year on the job. This may lead to the conclusion that the services provided had a positive influence on job retention. But without conducting a program evaluation – which controls for other external events that could also influence the outcome (such as other services the offender may have been provided) – it is not possible to determine precisely the degree to which the results can be attributed to any one set of conditions. In other words, because performance measurement systems report on collected data but do not provide a method to control for external variables, they cannot identify the reasons for a lower number of program graduates than expected, or explain why program participants were not employed at the rates originally planned.

BUILDING ON THE QUANTITATIVE DATA.

Performance measurement data, in and of itself, is extremely useful to determine the outcomes of a new initiative and, as will be described later, can be fairly easy to construct. Its utility therefore cannot be underestimated. Where it falls short in comparison to program evaluation is in the additional explanatory power of understanding the extent to which external influences contribute to the end result. Performance measurement data can be strengthened in this regard by gathering qualitative data, such as holding discussions with individual staff or convening focus groups with clients to identify the extent to which they attribute the outcome(s) to the activities conducted. For example, an outcome indicator might be “The percent of offenders who reported that the job readiness and placement services contributed significantly to their ability to maintain steady employment for more than one year.” In general, performance management systems should include both the collection of quantitative and qualitative information.

Performance Management: A Critical Ingredient in the Strategic/Rational Planning Process



Strategic (or “rational”) planning is the subject of another document in this series of Coaching Packets and therefore is not reviewed in detail. For the purposes of this Coaching Packet, it is simply important to make the connection between performance management and the strategic planning process.

One way to think about strategic or rational planning is as a cycle that involves a series of key stages, beginning with articulating a vision for a system, agency or a particular initiative, and progressing to monitoring performance of activities designed to accomplish the vision. The purpose of monitoring is to substantiate (and enhance) achievements. Therefore, where the vision and mission of an initiative defines the *desired results* of the efforts and investments

(e.g., reduced recidivism), the performance management system provides a “report card” on the *actual* results.

While not necessarily desirable, it is not essential to conduct a full-blown strategic planning exercise in order to start implementing performance management. Under some circumstances, timing may not permit such a deliberate planning process. At a minimum, all new initiatives should follow the key steps in performance management, including the development of a logic model – a clear statement of what will be done and what is expected as a result.

Key Steps in Performance Management

INVOLVE THE RIGHT PEOPLE.

Experience from organizations that have undertaken the establishment of performance management systems in the past suggests that establishing a working group to oversee the design and pilot testing phases of the measurement system produces the best results.

Typically, the working group is charged with the following responsibilities:

- ✓ Defining the parameters of the performance management system based upon the needs, resources, size, and capacity of the jurisdiction/organization;
- ✓ Soliciting input from a diverse group of stakeholders (e.g., internal staff and managers, as well as external parties) to ensure that their perspectives are taken into account and their buy-in to the performance management process is secured from the outset. Key topics for input include:
 - The outcomes to be measured,
 - The data to be collected to measure the specified outcomes,
 - How and when to collect the data,
 - The quality control methods needed to ensure the accuracy of the data,
 - The training needs of staff regarding the collection, analysis, or interpretation of the data,
 - The timing of and methods to be used to share the data with staff, and
 - The ways in which the data will be used to inform policy and practice;
- ✓ Identifying existing data sources (either internal or external), whether these can be used “as is” or require adaptation in some fashion, and methods to fill gaps in existing data sources;
- ✓ Establishing the timeline for the design of the performance management system, pilot testing it prior to full-scale implementation, making modifications as needed based upon the pilot test, and finalizing the implementation of the system;

Performance Management is a system of:

- ✓ Regularly measuring the results (outcomes) of initiatives,
- ✓ Using this information to increase efficiency and effectiveness in approaches or service delivery, and
- ✓ Reporting important indicators of program operations and results.

- ✓ Developing and implementing a data collection and analysis pilot test, and revising implementation plans as needed based upon the results of the pilot test;
- ✓ Determining the resources needed to carry out the performance management system (e.g., personnel, hardware and software, financial needs, training and technical assistance, etc.);
- ✓ Estimating the costs for the performance management system and suggesting strategies to meet these needs;
- ✓ Monitoring implementation, making mid-course corrections as needed; and
- ✓ Establishing regular reporting processes.

TAKE THE RIGHT STEPS.

Step 1. Specify Goals and Objectives.

For each new initiative, agencies/jurisdictions should specify a goal and its objectives. Goals represent what the initiative is designed to achieve. They are typically general in nature, and specify the long-term outcomes desired for a program.

Five Key Steps in Establishing a Performance Management System

1. Identify the goals and objectives of the initiative.
2. Develop a logic model.
3. Specify the measurement framework (i.e., develop a data collection plan).
4. Collect and analyze the performance data.
5. Create various reporting structures to capture changes in measures over time, and use the information to inform decisionmaking.

Sample Goal Statement: Reduce the rate of violations and new crime behavior among offenders released from prison to community supervision.

The methods planned to achieve the goal are the objectives. Objectives are results-oriented and measurable. They should be clearly stated, specific, realistic, and time-limited action statements that – when completed – will likely result in movement toward the stated goal. Initiatives generally have multiple objectives to meet the goal.

Step 2. Develop a Logic Model.

Sample Objectives:

- Determine offenders’ level of risk to reoffend using an empirically-based assessment tool.
- Design and deliver offender services that are evidence-based and demonstrated to reduce non-compliance and reoffense.
- Deliver services to offenders at an intensity appropriate to their assessed level of risk.
- Match services to offenders’ assessed risk factors (criminogenic needs).

Performance Measurement



The Purpose and Components of a Logic Model

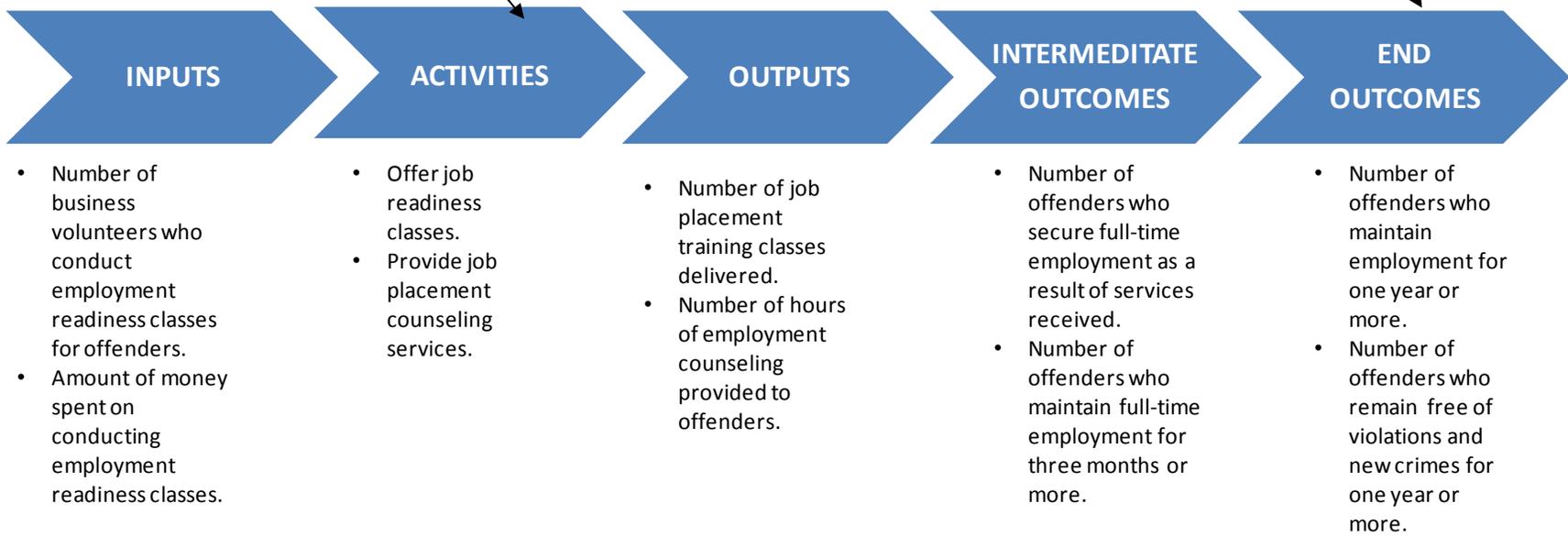
Logic models needn’t be intimidating. They simply represent the thinking behind a plan of action. Logic models outline the flow of both the processes and activities involved in implementing a plan of action, and document what is expected to occur as a result. They are generally represented as a diagram.

Exhibit 3 provides an illustration of a logic model for an offender employment services program. Exhibit 4 provides an illustration of the types of elements that might be included in a PRI project logic model.

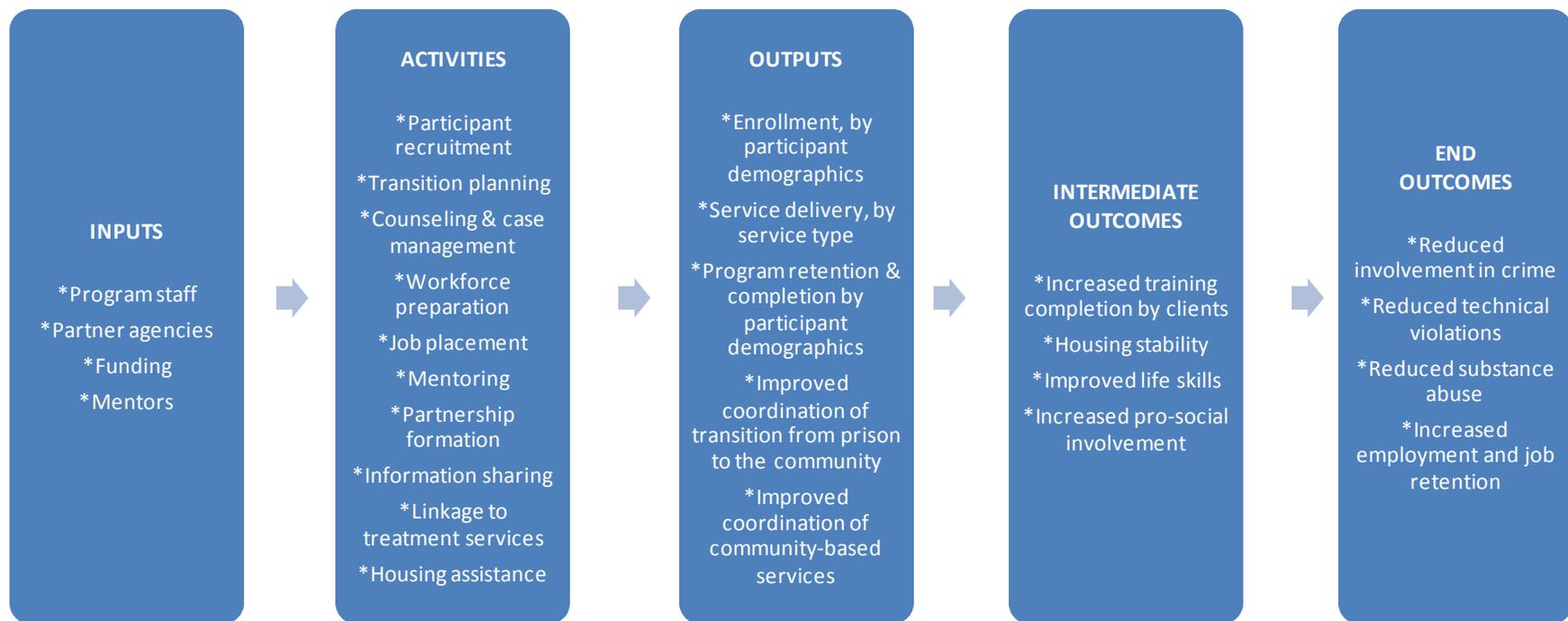
**Exhibit 3:
Sample Logic Model: Offender Employment Services**

Goal: Reduce the rate of violation and new crime behavior among offenders released from prison to community supervision through the provision of employment services.

Objectives: Provide released offenders with employment services to increase their employability and job retention skills.



**Exhibit 4:
Sample Elements that Might be Contained in a PRI Logic Model**



A logic model identifies an initiative's "theory of change" (i.e., the expected sequence of events and linkages among resources, planned/implemented activities, and desired results). As such, logic models contain several elements:

- ✓ Inputs, which represent existing **resources** (both financial and human), policies, practices, facilities, and capabilities that agencies/jurisdictions bring to the table to implement a new approach (examples include money, staff and staff time, volunteers and volunteer time, facilities, equipment, and supplies);
- ✓ Activities, which represent the specific **strategies** to be put in place to implement the new initiative (examples include performing risk and needs assessments, developing individualized case plans, providing job training, referring clients to transitional housing or other supportive services, mentoring, and providing short-term emergency assistance like food, clothes, or transportation vouchers);
- ✓ Outputs, which specify the **completed activities** that occur internal to the program or organization as specified strategies are implemented (examples include change in policy/practice, adoption of new tools/protocols, number of staff trained, risk and needs assessments performed, case management plans completed, job training sessions held, referrals made, and types of emergency assistance delivered);
- ✓ Intermediate Outcomes, which document early **indications** that change is occurring in the desired way (examples include enhanced pro-social attitudes, and increased skills or new knowledge); and
- ✓ End Outcomes, which define the ultimate or **longer-term results** that can be anticipated and measured as a result of implementation (examples include obtaining and retaining employment, absence from substance use, compliance with supervision requirements, and absence of new arrests).

Distinguishing Between Objectives and Activities

The objectives designed to achieve the initiative's goal(s) are related to but different from the activities in the logic model. Where objectives are the methods planned to achieve the goal, the activities are the very specific steps that will be taken to meet the objectives.

Distinguishing Between Intermediate and End Outcomes

Logic models contain both intermediate outcomes (early or short-term indicators of change) and end outcomes (long-term results). It is sometimes difficult to know where to draw the line between what is an intermediate outcome and what is an end outcome. To a large extent, such decisionmaking may be driven by management's preference or by funders' determination of what ultimate results are anticipated. For example, DOL reentry programs are likely to consider employment outcomes such as job preparedness as intermediate, and job placement/retention as end outcomes. Whereas DOJ reentry programs might be more likely to consider any of the employment factors as intermediate outcomes, and only the criminal justice elements, such as reductions in technical violations, re-arrest, and re-incarceration as end outcomes. What is critical is not how the key outcomes are labeled, but that they are identified and captured in the performance management system.

Building a Logic Model

Organizations do not have to build logic models from scratch; for most types of activities and services, some organization has already identified similar sequences of events, together with sets of outputs and outcomes to be measured. Some resources that might be helpful in this respect are discussions with funders or external project monitors, literature reviews, and materials from other similar programs.

Step 3. Specify the Measurement Framework.

Once the logic model has been fleshed out in sufficient detail, it will be possible to identify the important elements that should be tracked; the indicators that will help to determine whether the anticipated activities were performed, and whether this occurred in a satisfactory manner; and whether the intended results were achieved. In addition, specifying the measurement framework will also lead to the consideration of other important logistical considerations, such as what data sources and data collection techniques will be used.

The third step in building a performance management system therefore is identifying the specific data to be collected that will fulfill these purposes. In other words, inputs, outputs, and outcomes need to be converted into measurement terms. This is accomplished by identifying the ways in which specific pieces of information quantify the activities conducted and the intermediate outcomes that are assumed to lead to ultimate results. Exhibits 5 and 6 provide an example of the relationship of an objective to activities in a logic model, and the identification of the indicators to be collected to quantify the outputs, intermediate outcomes, and end outcomes.

Exhibit 5: Implementing the Use of Risk/Need Assessment Tools Sample Objective and Logic Model Activities

Objective: Determine offenders' level of risk to reoffend and criminogenic need areas using an empirically-based assessment tool(s).

Sample activities that might be included in the logic model:

1. Review the current literature on empirically-based assessment tools to determine "state of the art" instruments, their costs, administration guidelines, and target audiences.
2. Evaluate the merits of the available tools, identifying the strengths and weaknesses of each.
3. Select an appropriate risk/need assessment tool(s).
4. Develop policy regarding the use of the assessment tool(s) including the timing of administration, agency administration guidelines, and quality assurance procedures.
5. Provide information to all staff regarding the implementation/use of the assessment tool(s).
6. Train specifically designated staff in the administration of the assessment tool(s).

**Exhibit 6:
Implementing the Use of Risk/Need Assessment Tools
Sample Output, Intermediate and End Outcome Measurements**

Outputs:

1. Number/percent of staff trained in the administration of the assessment tool(s).
2. Number/percent of staff objectively assessed as possessing competency in the administration of the assessment tool(s).
3. Number/percent of assessments conducted.
4. Number/percent of offenders who are placed in supervision levels that match their risk level.
5. Number/percent of offenders who are placed in services that match their risk level.
6. Number/percent of officers whose caseloads contain 90% or more of the proper offender risk levels.
7. Number/percent of medium and high risk offenders who are placed in programs designed to address their top three criminogenic needs.
8. Number/percent of program slots made up of medium and high risk offenders.

Intermediate Outcomes:

1. Number/percent of medium and high risk offenders whose program compliance ratings are “unsatisfactory.”
2. Number/percent of offenders whose program compliance ratings are “satisfactory.”
3. Number/percent of offenders who successfully/unsuccesfully complete program requirements.
4. Number/percent of offenders who are in compliance with terms and conditions of supervision.

End Outcomes:

1. Number/percent of offenders who are violation free after one year on supervision.
2. Number/percent of offenders who are free of new arrests after one year on supervision.

Developing a Data Collection Plan

In addition to specifying the logic model and specific indicators that will be collected, data collection plans should clearly identify:

- ✓ How the data will be collected and analyzed, for example:
 - The data sources that will be used (e.g., program records, administrative records provided by other organizations, staff/offender surveys, trained observer ratings, technological devices such as laboratory testing);
 - The sampling plan design if only a sub-set of activities or clients will be tracked;
 - The method for storing and analyzing the data, whether an automated management information system, a manual recording system, or a combination of the two; and
 - The analysis plan, including specification of the kinds of descriptive and comparative analyses that will be performed.
- ✓ Who will be responsible for data collection, data entry, quality control, and analysis. If data collected by other organizations is anticipated, it is advisable to clarify confidentiality and information-sharing issues, and obtain Memoranda of Agreement to ensure access to the needed information.

- ✓ When the data will be collected, what period of performance it will cover, and when it will be reported.
- ✓ Data-related costs, and who will support them.

Determining How Much Data is Enough Data

Often, a program will identify a large number of output and outcome measures that are relevant to the program model. However, it is important to select only those that focus on key, high-priority measures that convey the most meaningful information about the initiative and its results. Asking too many questions or trying to collect too much data can be costly and may be so cumbersome as to jeopardize the ability to collect any information at all. In this case, less is probably more. Strive to identify a manageable number of key indicators (two dozen or less) and invest efforts in establishing *a high quality, rather than high quantity*, data collection and analysis process.

Measuring End Outcomes

Program managers often prefer to focus on output and intermediate outcome measures rather than end outcomes that typically take longer to capture and can be more costly to measure. Nonetheless, end outcomes are ultimately extremely important as they provide evaluative information about the overall initiative and relate directly to the achievement of the agency/jurisdiction's vision and mission. For this reason, all agencies/jurisdictions should work towards the collection of this kind of data.

Step 4. Collect and Analyze the Indicator Data.

Depending on the nature of the data and its source, information may be collected at varying times. For example, information on individual risk and needs or transition plans may be collected in real time as such activities take place, while information gathered from administrative records may be extracted and compiled retrospectively to cover the performance period in question. The data collection plan referenced above should indicate the data source, frequency of data collection, and timeframe for each element of data collection. While the use of computers can make data processing easier, it is possible to conduct performance monitoring using manual data processing.

In large agencies/jurisdictions, there may be a specific unit(s) with responsibility for and/or the skills to perform analyses. In other situations, it may be necessary to give some thought to who should assume this role. Local universities are often very receptive to partnering with agencies/jurisdictions in the design of data collection plans and the collection and analysis of data.

Step 5. Create Reporting Structures; Use the Information Wisely.

Once data are collected and analyzed, it is advisable to:

- ✓ Select reporting formats that present the findings in clear and understandable ways. This may include using data tables, bar or pie charts, or other graphic presentations. Regardless of the type of visual presentation selected, care should be taken to clearly label all information so that the audience can easily understand the data.

- ✓ Present explanatory information that places the numbers in a context that the audience can easily use to draw conclusions about the initiative’s progress. For example, it is helpful for readers to learn of documented or highly probable reasons why the outputs or outcomes look unexpectedly high or low (e.g., an unusually high unemployment rate within the geographic area that makes it difficult for anyone, much less offenders, to gain employment).

The point of monitoring performance is not simply to meet the reporting requirements of external stakeholders. **THE PRIMARY VALUE OF PERFORMANCE MANAGEMENT IS TO GAUGE PROGRESS RELATIVE TO DESIRED OUTCOMES AND USE THE INFORMATION COLLECTED TO SHAPE DECISIONMAKING AND ACTIONS THAT WILL SUPPORT GREATER SUCCESS OVER TIME.** In a sense, this is the payoff for having undertaken the first four steps – the ability to understand how to improve in the future.

The Power Behind the Numbers

In order to get the most return on an investment in performance management, consider the following:

- ✓ Hold regular performance management meetings with staff (i.e., “How Are We Doing?” sessions) to review the data and discuss their implications, identify need areas, and make plans to improve current activities.
- ✓ Use data as a means to motivate staff and clients to improve. Set success targets and report on the progress towards reaching these goals. Remember, what gets measured gets done. Reporting on performance on a regular basis sends a powerful message that managers and others are paying attention. For example, post a scorecard in a highly visible location indicating the number/percentage of offenders completing job training classes and of those, the number who secured gainful employment.
- ✓ Engage in performance budgeting by using data to develop and support budget requests. For example, by demonstrating that the rate of violations among offenders who receive employment services is lower, a justification for increased spending on employment services as a cost savings against violation failures can be made.
- ✓ Use the data collected to identify other strategies the agency/jurisdiction can employ to further advance its vision, mission, and goals. For example, the data collected on offenders who participate in job readiness programs may show a pattern of failure among offenders with unstable living conditions. This might suggest a new initiative area: developing sustainable, supportive housing for released offenders.

Results-Based Management

- What gets measured gets done.
- If results are not measured, successes cannot be distinguished from failures.
- If successes cannot be distinguished, they cannot be acknowledged and rewarded, or learned from.
- If failures cannot be identified, they can’t be corrected.
- If results cannot be demonstrated, support cannot be secured.

Adapted from: Osborne & Gaebler, 1992.

When the Data News is Less than Expected

Despite a program's efforts, some performance indicators may show results significantly below expectations. Perhaps fewer offenders than anticipated are reporting for or completing services. This can occur for a variety of reasons: external factors (i.e., local unemployment rates) beyond the program's control may partially account for lower than expected results; program referrals may be lower than anticipated; start-up time may have been delayed due to hiring or procurement difficulties. It is also possible that hypothesized links between actions and results may have been erroneous, or targets may simply have been set too high. Regardless, it is important to include these results in both internal and external reports, along with assumptions and explanations for unanticipated outcomes and the steps that have been/will be taken to correct the problem. It is often possible to learn as much or more from failure as from success. View less-than-expected results as opportunities for improvement, rather than as failures.

Establishing a Data Collection Quality Assurance Plan

An often neglected aspect of performance management is quality control. The old adage "garbage in, garbage out" could not be more relevant to this discussion. A carefully constructed data collection plan – and the best analysis – will prove useless if the raw data collected is not reliable and accurate. Establishing a quality assurance plan then is another critical component of the performance measurement system. Among other strategies, establishing a data collection quality assurance plan involves:

- ✓ Carefully defining the specific data elements to be collected and how these data are to be interpreted (e.g., Is an assessment "completed" if the offender refuses to answer 75% of the questions or is the assessment "completed" only when all information is obtained and the assessment can therefore be scored?);
- ✓ Committing data definitions to writing and field testing the definitions to ensure that they are interpreted in the same way by different reviewers;
- ✓ Carefully training staff on the collection and recording of data, including evaluating staff's competency initially and periodically throughout the data collection process;
- ✓ Conducting periodic, organized "spot checks" to compare recorded data against the raw data source to ensure that information is recorded properly (e.g., reviewing assessments to determine they are scored properly and these scores are transferred to data collection instruments accurately); and
- ✓ Observing the established data collection processes to ensure that information is collected as planned (e.g., Do staff ask offenders to complete a written survey that is intended to be administered verbally to ensure offenders understand all of the questions, or do staff "short cut" time by handing the survey to the offender and asking them to complete it independently?).

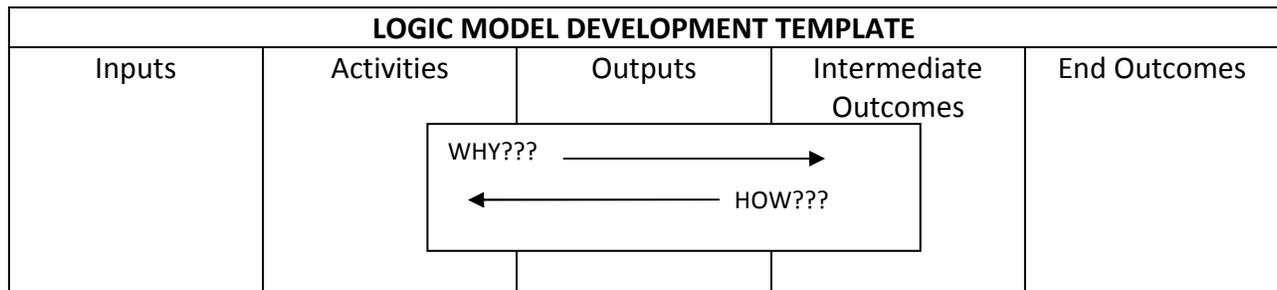
Section II: Measuring the Impact of Reentry Efforts Coaching Packet Checklist

	Yes	No	Unclear (Make note of the additional information that needs to be collected to rate this item)
1. Has a team been assembled to work together on the development of a performance management system?			
2. Does the team represent or have access to those involved in the key activities related to the initiative?			
3. Has the team, or a representative of the team, met with internal stakeholders to determine their interests in the performance management system?			
4. Has the team, or a representative of the team, met with external stakeholders to determine their interests in the performance management system?			
5. Have vision and mission statements related to the initiative been articulated?			
6. Have the initiative's goals been identified?			
7. Have the initiatives objectives been identified?			
8. Has a logic model been developed? (If not, a tool is provided on the next page to assist in its development).			
9. Has a data collection plan been developed?			
10. Is the needed data readily available?			
11. Does the data collection plan specify the data to be collected, when it will be collected and by whom?			
12. In addition to quantitative data, does the data collection plan include qualitative information (e.g., staff interviews, offender surveys) that will augment the quantitative data?			
13. Does the data collection plan address the resources that are necessary to collect and analyze the data?			
14. Have staff been sufficiently briefed on the purposes and processes related to the data collection plan?			
15. Have staff who will be involved in data collection been trained to carry out these responsibilities effectively?			
16. Has a data reporting schedule been established?			
17. Has a data dictionary been developed?			
18. Has a data reporting format been determined?			
19. Do the data reports place the information that is reported in a context?			
20. Has a regular briefing process been established to review the data internally?			
21. Are accomplishments noted and celebrated?			
22. Are less-than-expected results reviewed to determine opportunities for improvement?			
23. Have DOJ/DOL indicators been compared against the initiative's indicators?			
24. Have discrepancies between these indicators been addressed?			

Developing a Logic Model

Performance measurement is often approached by first identifying resources/activities, then, defining outputs and finally, defining intermediate and end outcomes. This process answers the questions: “Why are we undertaking this initiative? What is the progression of activities, and what is supposed to happen next?”

Another approach is to begin with the end in mind and work backwards. In this way, the first step is to define the end outcomes (ultimate results) to be achieved; then to determine how this outcome could be realized by identifying the indicators that would suggest the outcome was likely; then to determine what would have to occur for those indicators to be realized, and so forth.



Use the template above to create a logic model. Refer to the sample logic model included as Exhibits 3 and 4 as needed.

1. **End Outcomes:** Identify the long-term results the initiative is designed to achieve (e.g., number of offenders who maintain employment for one year or more; number of offenders who remain free of violations and new crimes for one year or more).
2. **Intermediate Outcomes:** Identify the shorter-term outcomes that must be accomplished in order to achieve the ultimate results (e.g., number of offenders who secure full-time employment as a result of services received; number of offenders who maintain full-time employment for three months or more).
3. **Outputs:** Identify the events that need to occur in order for the outcomes to be accomplished (e.g., number of job placement training classes delivered; number of hours of employment counseling provided to offenders).
4. **Activities:** Identify the strategies or steps that must be undertaken in order to achieve the outputs (e.g., job readiness classes; job placement counseling services).
5. **Inputs:** Identify the resources that are necessary in order for the activities to be conducted (e.g., number of business volunteers who conduct employment readiness classes for offenders; amount of money spent on conducting employment readiness classes).
6. **Priorities:** Finally, prioritize the outputs and outcomes in terms of their level of importance to external and internal stakeholders. It may not be possible to collect all measures, therefore this will serve as a guide to the identification of the most critical of the items identified.

Section III: Action Planning Worksheet

GOAL:			
Objective 1:			
Tasks	Lead Person	Completion Date	Assistance/Expertise Needed
1.			
2.			
3.			
4.			
5.			
Objective 2:			
Tasks	Lead Person	Completion Date	Assistance/Expertise Needed
1.			
2.			
3.			
4.			
5.			
Objective 3:			
Tasks	Lead Person	Completion Date	Assistance/Expertise Needed
1.			
2.			
3.			
4.			
5.			

Section IV: References and Additional Resources

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Additional Resources

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