The Council of State Governments
Justice Center

SCA Comprehensive Statewide Adult Recidivism Reduction (SRR) Program:
Introduction for FY 2013 SRR Planning Grantees

November 13, 2013
Webinar Presenters

- **Dr. Gary Dennis**, Senior Policy Advisor for Corrections, Bureau of Justice Assistance, U.S. Department of Justice
- **Phoebe Potter**, Senior Policy Analyst, Reentry, Council of State Governments Justice Center
- **Mike Eisenberg**, Research Manager, Council of State Governments Justice Center
- **Dr. Shenique Thomas**, Policy Analyst, Reentry, Council of State Governments Justice Center
Overview of Presentation

Introductions

Overview of the Statewide Recidivism Reduction (SRR) Program and Planning Process

The Planning and Implementation (P&I) Guide
The Council of State Governments (CSG) Justice Center

- National non-profit, non-partisan membership association of state government officials
- Engages members of all three branches of state government
- Justice Center provides practical, nonpartisan advice informed by the best available evidence

http://csgjusticecenter.org/
The National Reentry Resource Center

- The NRRC is a project of the CSG Justice Center and is supported by the Bureau of Justice Assistance.

- NRRC staff have worked with nearly SCA 600 grantees, including 40 state corrections agencies.

- The NRRC provides individualized, intensive, and targeted technical assistance training and distance learning to support SCA grantees.

Please register for the monthly NRRC newsletter at: http://csgjusticecenter.org/subscribe/

Please share this link with others in your networks that are interested in reentry!

www.nationalreentryresourcecenter.org
Bureau of Justice Assistance

- **Mission:** to provide leadership and services in grant administration and criminal justice policy development to support local, state, and tribal justice strategies to achieve safer communities.

The Second Chance Act has supported over $300 million in reentry investments across the Country.

https://www.bja.gov/
Bureau of Justice Assistance

The SCA Comprehensive Statewide Adult Recidivism Reduction Program

- Grants are funded by Second Chance Act appropriations and support state corrections agencies in planning effective strategies for reducing recidivism and enhancing public safety

- Multi-year, multi-phased approach to create potential state centers of excellence that can serve as national models

- BJA will invite all states which make significant progress during the planning phase to submit an application to compete for implementation funding in FY 2014
## FY 2013 SRR Grantees

### FY 2013 SRR Planning Grantees

<table>
<thead>
<tr>
<th>Grantee</th>
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<tbody>
<tr>
<td>Alaska Native Justice Center</td>
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<tr>
<td>Arkansas Department of Community Corrections</td>
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<td>Georgia Department of Corrections</td>
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<td>Illinois Department of Corrections</td>
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<td>Executive Office of the State of Iowa</td>
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<td>Kansas Department of Corrections</td>
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<td>State of Michigan</td>
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<td>Minnesota Department of Corrections</td>
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<td>North Dakota Department of Correction and Rehabilitation</td>
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<td>Pennsylvania Department of Corrections</td>
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<tr>
<td>Ohio Department of Rehabilitation and Correction</td>
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<tr>
<td>Vermont Department of Corrections</td>
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<td>West Virginia Division of Justice and Community Services</td>
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Overview of Presentation

Introductions

Overview of the Statewide Recidivism Reduction (SRR) Program and Planning Process

The Planning and Implementation (P&I) Guide
Purpose of the SRR Program

The objectives for the SRR Program are to fund, at the state level, effective strategies for reducing recidivism and enhancing public safety that incorporate the following principles:

- Focus on the offenders most likely to recidivate
- Use evidenced-based programs proven to work and that ensure the delivery of high-quality services
- Deploy supervision policies and practices that balance sanctions and treatment
## SRR Program Phases

<table>
<thead>
<tr>
<th>Phase I: Planning and Capacity-Building</th>
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<tbody>
<tr>
<td>13 Grantees in FY 2013</td>
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<tr>
<td>Must complete planning phase (including P&amp;I Guide) to be eligible for Phase II</td>
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<table>
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<tr>
<th>Phase II: Implementation</th>
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<tbody>
<tr>
<td>Up to 4 Grantees in FY 2014</td>
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<tr>
<td>Competitive – not all planning grantees will be awarded implementation awards</td>
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</tbody>
</table>
SRR Phase I Planning Process

- **January 31**: Establish planning team and process
- **April 25**: Review current policies and practices
- **June 27**: Develop recommendations for implementation proposal

- Analyze recidivism data and set reduction goals
Planning & Capacity-Building Phase

- Your designated NRRC Technical Assistance Lead will assist with the following four goals and due dates:


Technical Assistance to Support Grantees through the Planning Phase

Constant Support:

- Receivable via phone, email, in-person
- Can come in the form of training, referrals to expert consultants, and resources (e.g. research and publications)
- Responsive to the unique needs, strengths, and vulnerabilities of each grantee
  - **NOT** an audit to actively find faults and then passively watch them hinder program success.
Technical Assistance Leads

Phoebe Potter (ppotter@csg.org)
• Kansas Department of Corrections
• Minnesota Department of Corrections
• Pennsylvania Department of Corrections
• Vermont Department of Corrections
• West Virginia Department of Justice and Community Services

Shenique Thomas (sthomas@csg.org)
• Arkansas Department of Community Corrections
• Georgia Department of Corrections
• Illinois Department of Corrections
• State of Michigan
• Ohio Department of Rehabilitation and Corrections

Laura Zeliger (lzeliger@csg.org)
• Alaska Native Justice Center
• Executive Office of the State of Iowa
• North Dakota Department of Correction and Rehabilitation
Overview of Presentation

Introductions

Overview of the Statewide Recidivism Reduction (SRR) Program and Planning Process

The Planning and Implementation (P&I) Guide
P&I Guide: Purpose

- Serves as a resource to help grantees:
  - Establish a focused, action-oriented planning process
  - Develop a comprehensive recidivism reduction plan that is oriented around best practices
  - Communicate progress with key stakeholders
  - Identify TA needs and develop a TA plan with NRRC Technical Assistance Lead
  - Comply with BJA’s expectations for the SRR grants
  - Become eligible for implementation grant funds under the Second Chance Act SRR Program
P&I Guide: Discussion Overview

Section 1:
Establish Planning Team & Process

- Expectations
- Exercise: due Jan 31
- TA Support

Section 2:
Data-Driven Planning

- Expectations
- Exercise: due Jan 31
- TA Support

Section 3:
Assessing Current Practices

- Expectations
- Exercise: due Apr 25
- TA Support

Section 4:
Implementation, Sustainability, and Evaluation Proposal

- Expectations
- Exercise: due June 27
- TA Support
P&I Guide: Discussion Overview

**Section 1:** Establish Planning Team & Process
- **Expectations**
- **Exercise:** due Jan 31
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**Section 2:** Data-Driven Planning
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**Section 3:** Assessing Current Practices
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- **Exercise:** due Apr 25
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**Section 4:** Implementation, Sustainability, and Evaluation Proposal
- **Expectations**
- **Exercise:** due June 27
- **TA Support**
P&I Guide: Section 1 Expectations

**Section 1: Establishing a Collaborative Decision-Making Body and Planning Process**

**Expectations:**

- Establish a representative planning team
- Clarify the team’s vision and mission
- Engage key stakeholders
- Develop an action-oriented planning process
Section 1: Planning Team Composition

Planning Team Effectiveness

- Collaboration
  - Decision-making authority
  - Buy-in to the vision and mission

- Diversity
- Clarity of purpose and process
Section 1: Planning Team Process

Clarity of purpose and process:

- Establish a clear leadership structure
- Agree upon vision, mission, and goals
- Operationalize goals in written charter
- Develop MOUs or LOAs that define expectations for the planning team members
- Establish a set schedule for meetings with clear goals and expectations over the course of the planning phase
- Staff the planning team
- Develop an organizational chart that specifies various workgroups or sub-committees
P&I Guide: Section 1 Exercise

**Purpose:** ensure your planning team is guided by a representative decision-making body that is action-oriented and can develop a strong recidivism reduction plan.

**Exercise:**
- Consists of nine questions total.
- Asks grantee to document the Planning Team’s structure and process.

**Deadline:**
- Friday, January 31st, 2014
P&I Guide: Section 1 TA Support

Available support from NRRC:

1. Guidance on planning team composition
2. Planning team meeting participation and/or facilitation
3. Information sharing:
   - Sample mission & vision statements, MOUs or LOAs, organization charts
4. Press materials to help generate enthusiasm around grant from media, state leaders, community stakeholders, etc.
5. Objective feedback and recommendations (i.e. on meetings, progress, and areas that warrant special attention)
P&I Guide: Discussion Overview

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Section 4:
Implementation, Sustainability, and Evaluation Proposal
- Expectations
- Exercise: due June 27
- TA Support
P&I Guide: Section 2 Expectations

Section 2: Using a Data-Driven Approach for Recidivism Reduction Goal-Setting and Planning

Expectations:

- Define and measure the statewide recidivism rate
- Understand the drivers of recidivism
- Identify an appropriate target population
- Set recidivism reduction goals
P&I Guide: Section 2 Exercise

**Purpose:** knowing your statewide recidivism rate and having a rich set of data to break down and understand the drivers of the recidivism rate is key to developing effective reentry policies.

**Exercise:**
- Consists of nine questions total
- Asks grantee to measure recidivism, identify a target population, and set recidivism reduction goals

**Deadline:**
- Friday, January 31st, 2014
Defining and Tracking Recidivism Measures

1. No national standard exists for defining recidivism

2. Agencies use a variety of definitions
   - Arrest
   - Conviction
   - Return to Incarceration

3. Standard follow up periods are necessary to calculate recidivism rates
   - Follow up matters – a one year rate will be lower than a three year

Percent
Return to Prison for New Offense or Revocation of Supervision

Percent
Return to Prison for New Offense or Revocation of Supervision
Examples of Key Recidivism Indicators to Inform Policy

<table>
<thead>
<tr>
<th>Year</th>
<th>High Risk</th>
<th>Mod Risk</th>
<th>Low Risk</th>
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<tbody>
<tr>
<td>2009</td>
<td>65%</td>
<td>35%</td>
<td>16%</td>
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<tr>
<td>2010</td>
<td>67%</td>
<td>33%</td>
<td>14%</td>
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<tr>
<td>2011</td>
<td>63%</td>
<td>38%</td>
<td>15%</td>
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<tr>
<td>2012</td>
<td>59%</td>
<td>42%</td>
<td>15%</td>
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</table>

Recidivism rates by risk level for released population (1 year reincarceration)

- 65% High Risk
- 67% Mod Risk
- 63% Low Risk
- 59% Mod Risk

To determine if supervision strategies targeting risk are effective
Examples of Key Recidivism Indicators to Inform Policy

Distinguish supervision revocations by technical violations and new crimes

To determine if supervision strategies are impacting “behavior” (reduction in new crimes) and effectively utilizing progressive sanctions for violations.
P&I Guide: Section 2 TA Support

Available support from NRRC:

1. Phone or on-site consultations with expert research staff (please request assistance prior to Jan 31st due date for Section 2 Exercise)

2. Analysis of available data to help states measure recidivism and identify trends

3. Input and guidance on identifying target population and setting recidivism reduction goals
P&I Guide: Discussion Overview

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Section 3: Assessing Current Recidivism Reduction Policies and Implementation Barriers and Gaps

Focus assessment on three key areas:

- Risk/need assessment is used to determine program/service placement, inform the release decision, set supervision conditions and reporting requirements, and inform the response to non-compliance or violation behavior.

- Programs provided are designed to change criminal behaviors and are grounded in research; quality is reviewed using a structured quality assurance process and steps to improve program quality are taken based on the findings.

- Effective supervision strategies are used to encourage compliance with conditions of release and to ensure effective responses when someone does not comply with those conditions of release.
P&I Guide: Section 3 Exercise

**Purpose:** help states identify ways to reduce recidivism that align with research on what works

**Exercise:** Complete three checklists (45 total questions)

**Deadline:** Friday, April 25, 2014

For each of the three checklist topics...

- Develop baseline understanding of current system (“implementation status”)
- Get consensus on gaps and barriers in existing system
- Use analysis to decide what to prioritize in implementation proposal
P&I Guide: Section 3 Exercise

Checklist format and examples:

Checklist 1: Use risk and needs assessments to inform resource-allocation decisions and individual case responses

Key: N=not at all implemented; PL=not implemented, but planned; P=partially implemented; F=fully implemented

1. A criminogenic risk/needs assessment tool that has been validated and normed to reflect the current characteristics of the offender population is available for use in the institution and community to inform all case management decisions.

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Policy/procedural barriers to implementation: Funding or other resource gaps:

Please provide a copy of the risk/needs assessment and a copy of the most recent validation study if available. Also note whether the risk/needs assessment tool used in the institution differs from the assessment tool used in the community.
P&I Guide: Section 3 Exercise

Checklist 2: Establish programs and practices that have been shown to reduce recidivism and ensure they are implemented with fidelity

Key: N=not at all implemented; PL=not implemented, but planned; P=partially implemented; F=fully implemented

16. Prison- and community-based programs are designed to effectively address the factors that make individuals more likely to recidivate (ratio of targeted criminogenic factors to non-criminogenic factors within the program is at least 4 to 1) and incorporate evidence-based interventions and treatment models.

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Policy/procedural barriers to implementation: Funding or other resource gaps:

Checklist 3: Implement community supervision policies and practices that promote successful reentry

Key: N=not at all implemented; PL=not implemented, but planned; P=partially implemented; F=fully implemented

29. Prior to an individual’s release, community supervision officers are assigned and engaged in the development of a community-based case plan that is based upon risk- and needs- assessment information.

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Policy/procedural barriers to implementation: Funding or other resource gaps:
P&I Guide: Section 3 TA Support

Available support from NRRC:

1. Training webinars on each checklist topic
2. On-site training on evidence-based practices by expert NRRC staff or consultants
3. On-site facilitation of checklist assessment
4. Information sharing
   - Publications on best practices
   - Examples of best practices from other jurisdictions
   - Supplemental training resources
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P&I Guide: Section 4 Expectations

**Section 4:** Developing an Implementation Proposal and Evaluation and Sustainability Plan

**Expectations:**
- Incorporate P&I Sections to develop a comprehensive Statewide Recidivism Reduction Implementation Proposal

Section 1: Establishing a Collaborative Decision-Making Body and Planning Process

Section 2: Using a Data-Driven Approach for Recidivism Reduction Goal-Setting and Planning

Section 3: Assessing Current Recidivism Reduction Policies and Implementation Barriers and Gaps
Implementation Proposal Components

**Systemic Capacity-Building**
- Incorporation of policy changes and strategies for reducing barriers to reentry that promote implementation of EBPs

**Expanding Evidence-based Interventions**
- Interventions and programming supported by research and empirical evidence

**Sustainability Planning**
- Implementation of systemic policy changes requiring minimal funding support

**Evaluation Planning**
- Tracking the progress of meeting recidivism reduction goals and effectiveness of interventions
Systemic Capacity-Building

- Example systems changes that can build a state’s capacity for supporting effective reentry:
  - Enhance information sharing
  - Improve data collection capacity
  - Modify the use of sanctions and incentives by community supervision agencies
  - Invest in validated screening and assessment tools and case management software
  - Adjust program enrollment criteria to promote the RNR principles
  - Promote quality assurance to ensure programming and other interventions
  - Reduce barriers to prison in-reach by community providers, family and community supports, or supervision officers
  - Enhance staff buy-in to reentry efforts through better communication, performance expectations, and oversight and accountability
Expanding Evidence-Based Interventions

**Considerations:**

- Determine the research and empirical evidence for the intervention and/or program
- Ensure that interventions are action-oriented and designed to teach pro-social skills
- Reinforce cognitive-behavioral skill building
- Invest in staff training and skill development to promote responsivity (i.e. motivational interviewing)
Sustainability Planning

Unified Philosophy & Vision

Stakeholder Buy-in & Investment

Effective Communication Strategy and Protocols

Continual Review and Ongoing Quality Assurance

SUSTAINABILITY
Evaluation Planning: What is being evaluated?

- **Process Evaluation: Document processes and changes**
  - Is the program utilizing a design that has previously demonstrated an ability to reduce recidivism?
  - Is the program being implemented as designed?
  - Is staff training and experience adequate to deliver program as designed?
  - Are risk/needs assessed and services delivered based on individuals’ risk and needs?
  - Is the “dosage” of the treatment adequate enough to affect the desired change?
  - Is the delivery of these services consistent over time?
Evaluation Planning: What is the impact?

- **Considerations:**
  - Develop and employ methods to track progress
  - Identify data indicators
  - Determine a common statewide identifier
  - Assess data management and storage methods
  - Create Interface capabilities of the multiple departments/organizational data systems
P&I Guide: Section 4 Exercise

**Purpose**: help grantees develop actionable plans to build capacity to promote recidivism reduction and submit competitive applications for implementation funding.

**Exercise**:
- Develop action plans for the planning components:
  - Building systemic capacity
  - Investments in EBPs
  - Program evaluation
  - Program sustainability

**Deadline**:
- Friday, June 27th, 2014
Available support from NRRC:

- Feedback on implementation proposal
- Information sharing
  - Research publications
  - Examples from other jurisdictions, etc.
- Expert consultation as needed
- Assistance with developing the evaluation and sustainability plans
Summary of P&I Guide Due Dates

1. Establishing a Collaborative Decision-Making Body and Planning Process

2. Taking a Data-Driven Approach to Recidivism Reduction Goal-Setting and Planning

3. Assessing current recidivism reduction policies and implementation gaps and barriers
   ‣ April 25th, 2014.

4. Developing an SRR Implementation Proposal
   ‣ June 27th, 2014.
## Questions and Points of Contact

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<tr>
<th>Name</th>
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