

Planning & Implementation Guide

Second Chance Act

Innovations in Supervision Initiative: Reducing Prison Populations, Saving Money, and Creating Safer Communities

DESCRIPTION

This Planning & Implementation Guide is intended for state, local, or tribal jurisdictions that have received an FY17 Second Chance Act grant for the Innovations in Supervision Initiative: Reducing Prison Populations, Saving Money, and Creating Safer Communities (ISI) grant track. Grantees will complete this Planning & Implementation Guide in partnership with the technical assistance provider assigned by the National Reentry Resource Center. The U.S. Department of Justice's Bureau of Justice Assistance will review the guide upon its completion. Any questions about this guide should be directed to your technical assistance provider.

Please note that this guide is aimed at FY17 grantees and addresses the grant requirements of that year; changes may be made to grant requirements in subsequent years.



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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.

This guide is a tool for grantees and 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 portions 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 six 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. Your TA provider may send you additional information on specific topics to complement certain sections. Please reach out to your TA provider with any questions you have, or if additional information or resources are needed.

TA Provider Contact Information	
Name:	
Phone:	
Email:	

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SECTION 1: IDENTIFYING 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 the proposal was submitted.

EXERCISE 1: GRANTEE AT A GLANCE

Grantee Information	
Grantee Name	
Award Number	
Project Name	
Grantee Type (check one)	<input type="checkbox"/> Court <input type="checkbox"/> Tribal <input type="checkbox"/> City <input type="checkbox"/> County <input type="checkbox"/> State
Geographic Location	<i>Please specify the city, county, or state where your program operations are primarily occurring.</i>
Initiative Description	<i>Please briefly describe your initiative (in 300 words or fewer), including your intended long-term goals and the steps you will take to accomplish those goals.</i>

Point(s) of Contact		
Name:	Email:	Title/Organization:
Name:	Email:	Title/Organization:

Target Population Basics				
Description & Size of Target Population (e.g., 40 supervision staff, 100 high-risk women on probation):				
Exclusionary Criteria (e.g., serious mental illness, sex offender):				
Are participants* supervised on... (check all that apply): <small>*Refers to target population or participants supervised by target population</small>	<input type="checkbox"/> Probation	<input type="checkbox"/> Probation following incarceration	<input type="checkbox"/> Parole	<input type="checkbox"/> Other
Jurisdiction Type (check all that apply):	<input type="checkbox"/> Rural	<input type="checkbox"/> Suburban	<input type="checkbox"/> Urban	<input type="checkbox"/> Other

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

- Memoranda of understanding (MOUs) and information-sharing agreements related to the proposed grant activities
- Graduated response decision matrix
- Current grantee agency strategic plan
- Gap/needs/capacity analysis
- Program flow chart
- Program evaluation plan
- Logic model¹
- Grantee agency organizational chart

¹ If you have already completed a logic model, please attach it to this document. If you have not completed a logic model, or the logic model you have completed does not include all the elements in the logic model template in Exercise 4, Part 1, your TA provider will work with you to create a logic model or update the one you currently have.

SECTION 2: ESTABLISHING A LEADERSHIP STRUCTURE AND PROJECT ROLES

The establishment of an effective leadership structure is not simply a mandatory requirement for all ISI grantees, but an essential strategy for improving supervision outcomes. Effective planning and implementation of supervision and other services require coordination across multiple agencies, state and local justice systems, and service providers; a leadership structure can help unite all system stakeholders around what works to improve supervision and other outcomes, and can 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 people involved in this project and their respective agencies, including people in your own agency, evaluation partners, training providers, and service providers. Complete the table by providing details about each person. If a partner for a specific training or service has yet to be identified, please provide general information and note “TBD” (e.g., *service provider for Moral Reconation Therapy, TBD*).

Name	Title, Organization	Role on Team	Contact Information (Email, Phone)	Will the organization provide direct services?		What, if any, direct services will they be providing?
				Yes	No	
How often will you have partner meetings?			Answer:			

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	Responses
Internal Collaboration and Communication	
1. Apart from this ISI grant, what other, if any, evidence-based or recidivism-reduction programs have been implemented within your agency in the last three years?	
2. How does leadership within your agency communicate to staff the importance of effectively implementing evidence-based practices?	
3. How does leadership within your agency solicit input and feedback from staff on the implementation of new initiatives and programs?	
External Collaboration and Communication	
4. Which elected political leaders and appointed senior officials from relevant public agencies and departments do you plan to engage in task force, working group, or stakeholder meetings?	
5. Are there any other local- or state-level task forces, councils, or advisory committees that may have similar activities or goals as this grant? If so, how will you communicate and coordinate with these entities?	
6. What strategies will you use to keep system leaders, champions, and community stakeholders informed about the progress of the grant?	
7. How often will you hold stakeholder meetings?	

SECTION 3: DEFINING YOUR TARGET POPULATION AND USING A RISK AND NEEDS ASSESSMENT

The target population for your initiative should be based on documented groups of people who significantly contribute to recidivism rates. The target population must be narrow enough to allow for focused planning, but also significant enough that reducing recidivism among that population can have an impact on the overall recidivism rate in your jurisdiction or community. BJA requires grantees to follow the risk principle when selecting a target population. The risk principle states that the greatest reductions in recidivism will be achieved by focusing programming and resources on people who are assessed as having a higher risk of recidivism.

Validated screening and assessment tools are utilized to identify the target population. This section allows you to describe in detail the initiative's target population. If you are providing both staff training and direct services to people on supervision as part of your grant project, please complete both sets of questions for Exercise 3, Part 1.

Additionally, this section asks you to identify what risk and needs assessment tool your team is currently using and what related trainings your staff receive.

EXERCISE 3, PART 1: DEFINING YOUR TARGET POPULATION

If you are providing <i>staff training</i> , please answer the following:	Responses
1. How many staff will receive grant-funded training?	
2. Is staff participation voluntary?	
3. What are your selection criteria for staff that will be trained as part of this grant project?	
4. Will staff incentives be offered to encourage participation in grant-funded training? If so, what are those staff incentives?	
5. How will staff performance evaluations reflect the new skills gleaned through grant-funded training?	
If you are providing <i>direct services</i> , please answer the following:	Responses
1. Please provide a description of your target population (<i>including age, sex/gender, risk level, and other identifiers</i>).	
2. What is the racial/ethnic composition of your target population?	
3. Is this target population representative of the racial/ethnic composition	

of your supervised population?	
4. How many people do you plan to serve per year and in total throughout the course of this grant?	
5. Is participation voluntary?	
6. What participant incentives are offered via this program?	
<p>7. Will participants be referred or recruited into the program for these services? If eligible participants will be referred to the program, what methods will you use to identify and refer participants? Please indicate which staff or partners will be involved in referral, as well as when and where this process will occur. <i>(E.g., A service provider refers potential participants to probation/parole staff 30 days prior to release. Probation/parole staff and service providers then meet with potential participants to discuss the services that are provided.)</i></p> <p>If participants will be recruited, what methods will you use to identify and recruit participants? Please indicate which staff or partners will be involved in recruitment, as well as when and where this process will occur. <i>(E.g., Parole/probation staff recruit potential participants 30 days prior to release by inviting them to a meeting where community-based professionals discuss the services they provide.)</i></p>	
8. What are your ideas for strategies that might enhance program enrollment, engagement, completion, and outcomes for racial and ethnic minorities?	

EXERCISE 3, PART 2: RISK AND NEEDS ASSESSMENT

A validated screening and assessment tool should be used to identify the target population. This section asks you to identify what tool is currently being used by your team. The exercise further allows you to identify where there are assessment gaps in your system in order to plan for the implementation of assessments. For those currently in the process of selecting and implementing a tool, please provide an anticipated training and start date for these activities.

Questions	Responses
1. What is the name of the <i>validated</i> criminogenic risk and needs assessment that will be used for this initiative? Is this assessment currently in use or will it be implemented in the future to meet grant requirements?	
2. If a risk and needs assessment is currently in use, has it been validated on your population? If so, when did this validation take place? If not currently in use, are there plans to have the assessment validated on your population?	
3. What staff have received or will receive training on the <i>administration and scoring</i> of the risk and needs assessment? Will such training be implemented as part of this grant?	
4. What staff have received or will receive training on <i>implementing the results</i> of the risk and needs assessment?	
5. Will staff receive booster training sessions and, if so, how often?	
6. How do you currently incorporate the risk and needs assessment into a participant's case plan? If you do not yet use a validated risk and needs assessment, how will assessment results be incorporated into a participant's case plan?	
7. Will participants be periodically reassessed? If so, when and by whom?	
8. How is the assessment information currently recorded and stored, or how will it be recorded and stored (e.g., electronically, paper files, electronic health record, etc.)?	
9. In what format is assessment information retrieved, or in what format will this information be retrieved once the assessment is implemented? (E.g., are assessment results only readable on a computer screen? Can they be printed in narrative form as part of individual-level case notes? Can assessment results for all participants be exported into a printed report?)	
10. Which partners will have access to the results? Will they receive this information automatically or is it available upon request?	

SECTION 4: DATA COLLECTION, PERFORMANCE MEASUREMENT, AND PROGRAM EVALUATION

EXERCISE 4, PART 1: 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. If you have already completed a logic model for your program, please attach it to this guide. If not, please use the sample logic model below, which can be filled out with information from the previous sections of the guide. When noting outcomes, consider how you plan to measure those outcomes. Please note that goals and inputs/resources may correspond to multiple activities, outputs, and outcomes. For additional examples, templates, and information on developing a logic model please visit <http://www.wkkf.org/resource-directory/resource/2006/02/wk-kellogg-foundation-logic-model-development-guide>.

<i>Sample Logic Model</i>					
Project Goals	Inputs/Resources (Existing and Grant-Funded)	Activities and Timeline	Outputs/ Process Measures	Short-Term Outcomes <i>(Define length of time in response)</i>	Long-Term Outcomes <i>(Define length of time in response)</i>
<i>Implement risk and/or needs assessment tool</i>	<i>Grant funds; correctional staff training funds</i>	<i>Integrate tool into intake process and reentry case planning</i> <i>(Begin March 2018)</i>	<i>Number of assessments completed</i>	<i>(Short-term = within 6 months of implementation) Administer risk and needs assessment tool for all participants upon intake</i>	<i>(Long-term = by year 2 of implementation) Develop all case plans based on needs identified through assessment</i>
<i>Train reentry staff in evidence-based cognitive behavioral intervention (CBI)</i>	<i>Grant funds to pay for .5 FTE supervision officer; grant funds to pay for .5 FTE reentry staff</i>	<i>Train staff in Thinking for a Change (T4C)</i> <i>(Training in April 2018)</i>	<i>Number of staff trained; number of training courses completed by staff; number of new case plans that incorporate CBI based on needs assessment</i>	<i>Train all reentry staff in T4C</i>	<i>Provide T4C no later than 90 days before release to all participants who are identified as having the criminogenic need of criminal thinking/behavior</i>

Logic Model					
Project Goals	Inputs/Resources (Existing and Grant-Funded)	Activities and Timeline	Outputs/ Process Measures	Short-Term Outcomes	Long-Term Outcomes

(Insert additional rows as needed.)

EXERCISE 4, PART 2: DESCRIBING THE EVALUATION PLAN

According to the Bureau of Justice Assistance (BJA), the “Innovations Suite” of grant programs “represents a strategic approach that brings more ‘science’ into criminal justice operations by leveraging innovative applications of analysis, technology, and evidence-based practices with the goal of improving performance and effectiveness while containing costs.” A key part of this strategic approach is data collection, performance measurement, and program evaluation.

Working with your research partner and TA provider, please complete the following questions to develop your evaluation plan.

Questions	Responses
1. What questions do you plan to answer with your evaluation?	
2. What type(s) of evaluation will you use (e.g., process and/or outcome)? When will the evaluation(s) be completed?	
3. How will recidivism be measured (e.g., rearrest, reincarceration, reconviction, revocation)?	
4. When will your evaluation report(s) be completed (for process and/or outcome evaluations)?	

The following table may be helpful to plan your data collection process. If you have your own data code book or evaluation plan prepared, you may attach it in lieu of completing this chart. When completing this or your own data collection plan, please refer to the outputs and outcomes you have identified in your logic model.

Data Collection Plan				
Outputs/Outcomes	Data Sources/Tools	Collection Process		
		Who?	When?	How?
<i>Example: Change in attitudes</i>	<i>COMPAS</i>	<i>DOC intake officer</i>	<i>Upon program entry and after program completion</i>	<i>COMPAS pre- and post-test</i>

(Insert additional rows as needed.)

SECTION 5: ENSURING CONTINUOUS QUALITY IMPROVEMENT

As the corrections and community supervision paradigms shift toward implementing evidence-based practices, there is an emerging need for leaders in the field to ensure accurate application of those evidence-based practices and improve how staff monitor program outcomes. Fidelity to a given evidence-based program design is necessary to achieve the program's desired outcomes.

One approach to effecting this type of systemic change is Continuous Quality Improvement (CQI)—a philosophy that expands upon basic quality assurance methods and acknowledges the ever-present opportunity for organizational development.

CQI may bring various benefits, including improved accountability, service delivery, information management, and participant tracking and documentation, as well as a means to ensure and maintain fidelity, track program integrity, and measure effectiveness. This section will help ensure that your initiative incorporates a CQI approach. Refer to the logic model you completed in the previous section to address the components of your initiative that will integrate the CQI process.

EXERCISE 5, PART 1: WORKFORCE DEVELOPMENT

Conducting an inventory of the trainings offered to staff will help facilitate a conversation about quality, capacity, and needs.

What staff trainings in evidence-based practices, interventions, or services will be conducted through this grant funding?				
Title of Training	Who will conduct the training?	Who will attend the training?	Timeframe for Booster Sessions	Describe any coaching or other quality assurance methods that accompany this training.

(Insert additional rows as needed.)

What staff trainings in evidence-based practices, interventions, or services were held prior to this grant funding?

Title of Training	Who conducted the training?	Who attended the training?	How many attended the training?	Describe any coaching or other quality assurance methods that accompany this training.

Questions	Responses
<p>1. What other initiatives or evidence-based programs are currently in progress or being planned that may either enhance or detract from this project?</p>	
<p>2. What readiness activities are being used to enhance the rollout of grant-funded trainings (e.g., the National Implementation Research Network [NIRN] Active Implementation Hub)?</p>	
<p>3. What communication strategies are being used to promote the rollout of grant-funded trainings to staff?</p>	
<p>4. How will you leverage resources to increase skill retention, promote fidelity, prepare staff to orient and train colleagues, and develop leaders within the organization to support continuous quality improvement (e.g., staff coaching and train-the-trainer models)?</p>	

EXERCISE 5, PART 2: DIRECT SERVICES

Conducting an inventory of the evidence-based practices, interventions, or direct services offered through this grant initiative will help facilitate a conversation about fidelity, quality, capacity, and needs.

What evidence-based practices, interventions, or other direct services will be conducted through this grant funding?					
Title of Intervention/Service	Who will conduct the training for this intervention/service?	Who will attend the training?	Timeframe for Booster Sessions	Describe any coaching, fidelity oversight, or other quality assurance methods that accompany implementation of this intervention/service.	Describe any measures you will be taking to sustain the use of this intervention/service in the long term (e.g., training all new hires on the intervention/service).

(Insert additional rows as needed.)

SECTION 6: SUSTAINABILITY

Sustainability is difficult to achieve and becomes even more challenging if neglected until the grant funding is coming to an end. Developing a sustainability plan at the onset is essential to building a strong initiative that can continue after the grant funding concludes. Program outcomes and other measures are instrumental in conveying the impact of the initiative; collaborating with your evaluation partner about your sustainability strategies will provide the foundation for this effort.

EXERCISE 6: PLANNING FOR PROGRAM SUSTAINABILITY

Please discuss with partners and collaborative leadership to answer the following:	Responses
<p>1. How will you be tracking and sharing performance measures and initiative data with key stakeholders (e.g., criminal justice council, county/state executives/legislators)?</p>	
<p>2. Based on your organization’s current capacity, list the components of the grant initiative that you hope to continue after the life of the grant (e.g., policy changes, task force meetings, use of screening or assessment tools, etc.). What activities will your team perform during the grant award period to help sustain those goals?</p>	
<p>3. Based on your answers above and your evaluation plan, what outcomes and other measures do you plan to highlight to capture the impact of your initiative?</p>	
<p>4. List any other funding sources you are currently exploring to sustain the initiative after the life of the grant (e.g., foundation, federal/state [such as Medicaid], or local funding, private donation, etc.).</p>	
<p>5. List the key stakeholders and partners who will be involved in sustaining your initiative after the life of the grant.</p>	