

MONROE COUNTY COMMUNITY CORRECTIONS ADVISORY BOARD/LOCAL JUSTICE REINVESTMENT ADVISORY COUNCIL MINUTES FOR AUGUST 12, 2024

MEMBERS	NAME	PRESENT	ABSENT	Present by Designee	YTD PRESENT	YTD ABSENT	YTD Present by Designee
County Sheriff (or designee)	Ruben Marté			X	-0-	1	2
Prosecuting Attorney (or designee)	Erika Oliphant	X			2	1	
Department of Child Services (DCS) Director (or designee)	Amanda Vanleeuwen		X		-0-	2	1
Public Defender (or designee)	Michael Hunt	X			3	-0-	
City Mayor Representative	Chief Michael Diekhoff	X			2	1	
Juvenile Judge	Hon. Holly Harvey	X			2	1	
Criminal Judge (or designee)	Hon. Darcie Fawcett		X		1	2	
Criminal Judge (or designee)	Hon. Mary Ellen Diekhoff	X			2	1	
Juvenile Detention Alternatives Initiative	Anthony Williams	X			3	-0-	
Juvenile Correctional Facility	Victoria Thevenow	X			3	-0-	
Victim or Advocate (or designee)	TBD (Vacant)				N/A	N/A	
Ex-Offender	Donna Crawford		X		-0-	3	
County Council Member (or designee)	Kate Wiltz	X			3	-0-	
Probation Officer	Linda Brady	X			3	-0-	
Juvenile Probation Officer	Jeff Hartman	X			3	-0-	
Educational Administrator	Miriam Northcutt Bohmert	X			1	2	
Private Corrections	Mark DeLong		X		1	2	
Mental Health Administrator	Linda Grove-Paul	X			2	1	
Lay Member	Jeff Holland	X			3	-0-	
Lay Member	TBD (Vacant)				N/A	N/A	
Lay Member	Dr. Chris Finley		X		1	2	
Lay Member	Dirk Ackerman		X		1	2	
President of County Executive (or designee)	Lee Jones	X			2	1	
CCAB Secretary	Keri G. Walden	X			3	-0-	
C.C. Director	Becca Streit	X			3	-0-	

Visitors: County Sheriff designee Matthew Demmings and County Council member Geoff McKim.

1. WELCOME AND INTRODUCTIONS.

Welcome by the Chair, Judge Mary Ellen Diekhoff, and introduction of members and guests.

2. APPROVAL OF MINUTES.

Motion to approve minutes from the April 15, 2024, Community Corrections Advisory Board (CCAB) meeting. Erika Oliphant moved for approval of the April 15, 2024 minutes. Viki Thevenow seconded motion. **Motion carried.**

3. PRESENTATION: LOCAL JUSTICE REINVESTMENT ADVISORY COUNCIL (JRAC) TECHNICAL ASSISTANCE.

Reminder that our Community Corrections Advisory Board/Local JRAC voted request technical assistance (TA) from the State JRAC. Denise Symdon and Cyndi Mausser with the Center for Effective Public Policy (CEPP) are the Technical Advisors to Monroe County's Local JRAC. They joined the meeting via Zoom.

Denise and Cyndi provided two monographs (**SEE ATTACHED**) which they encourage Local JRAC members to read at some point. The first monograph is a framework for evidence-based decision making (EBDM) and the second monograph focuses on the history of EBDM in Indiana.

Reminder that our Community Corrections Advisory Board voted to serve as the Local JRAC for Monroe County. Local JRACs have statutory duties pursuant to **IC 33-38-9.5-4**. However, the Indiana General Assembly didn't provide any funding to finance these added duties. It is up to each Local JRAC to determine how to complete the statutorily required duties.

IC 33-38-9.5-6 Duties of local or regional advisory council

A local or regional advisory council shall do the following:

- (1) Review, evaluate, and make recommendations for local:
 - (A) criminal justice systems and corrections programs;
 - (B) pretrial services;
 - (C) behavioral health treatment and recovery services;
 - (D) community corrections; and
 - (E) county jail and probation services.
- (2) Promote state and local collaboration between the advisory council and the local or regional advisory council.
- (3) Review and evaluate local jail overcrowding and recommend a range of possible overcrowding solutions.
- (4) Compile reports regarding local criminal sentencing as directed by the advisory council.
- (5) Establish committees to inform the work of the local or regional advisory council.
- (6) Communicate with the advisory council in order to establish and implement best practices and to ensure consistent collection and reporting of data as requested by the advisory council.
- (7) Oversee and manage grants awarded under IC 31-40-5 and IC 31-40-6, unless another local collaborative body in the county is tasked with overseeing the grant awarded.
- (8) Prepare and submit an annual report to the advisory council not later than March 31 of each year. (2022)

Next steps: Judge Diekhoff hopes to get all the leaders within the local Criminal Justice System together to review and discuss the issues in our community to help resolve them. The JRAC technical assistance team can help create a plan and allow the Criminal Justice System and community leaders to take responsibility for these issues. Denise Symdon commented a lot of Indiana counties have found it difficult to have those conversations and hold each other accountable. Therefore, with those counties, the JRAC technical assistance team had to develop a communication plan to help the JRAC group speak with one voice. The goal is to problem solve as a team instead of as separate entities. Secondly, Denise pointed out, this is going to be a time commitment but that this time commitment is well worth it and will make a positive impact on the community.

The next step for the JRAC technical assistance team is to meet with the statutory members of Local JRAC to further discuss their goals and expectations of the Local JRAC.

Judge Diekhoff and Linda Brady announced they will be asking County Council for a new full-time position focused on local JRAC duties. Judge Diekhoff explained this position would benefit the entire community. Michael Hunt commented, if the state is requiring a local JRAC then the state should provide funding to help manage local JRACs. Linda Brady encouraged the board to speak with our state legislators. Denise Symdon stated this is not an uncommon request and notes that there is potential for this position. Denise and her team will email the statutory JRAC members to schedule individual interviews via Zoom.

4. INDIANA DEPARTMENT OF CORRECTION 2025 GRANT AWARD.

SEE ATTACHED. The IDOC announced grant awards for calendar year (CY) 2025. As expected, Monroe County received the exact same amount as the past two years which means we did not receive funding for the new position we requested and we will have to rely on community corrections user fees (Project Income) to make up the difference in salary and fringe benefit increases for 2025.

On the other attachment is a summary of all grant awards throughout the state for CY2025.

As required by the IDOC, Becca submitted revised grant budgets to the IDOC on July 30, 2024.

5. CY 2023 IDOC FISCAL AUDIT.

The IDOC Financial Audit Division completed our audit for 2023 and concluded there were no findings of concern.

6. LOCAL AND STATE JUSTICE REINVESTMENT ADVISORY COUNCIL (JRAC) ELECTRONIC MONITORING REPORT.

SEE ATTACHED. The second quarter (April – June 2024) electronic monitoring report is attached. This will be submitted to the State JRAC by the deadline. **Motion to approve the second quarter electronic monitoring report.** Erika Oliphant moved for approval of the second quarter electronic monitoring report. Viki Thevenow seconded. **Motion carried.**

7. COMMUNITY CORRECTIONS EXECUTIVE DIRECTOR REPORT

A. Personnel:

(1) Recently Hired.

- a. Dorthy Perrotte - Promoted to Court Alcohol and Drug Program Director. Dorthy has been with the department since 2019 as an Enhanced Supervision Unit (ESU) probation officer. She will oversee the court alcohol and drug program as well as the adult intake/presentence division.
- b. James “Riley” Allen - Promoted to ESU probation officer in July 2024. Riley has been with the department since February 2021 as a Community Corrections Field Officer. He graduated from Indiana University in 2018 with a degree in Criminal Justice.
- c. Chelsea Stuck - Started June 3, 2024, as an adult probation officer assigned to supervise a high/moderate caseload. Chelsea previously worked for the department as a Probation Officer Assistant from 2017-2019 while attending Indiana University. After graduation she worked as a Behavior Skills Assistant for a school in Greenwood.
- d. Maggie Lowe - Started May 20, 2024, as a Community Corrections Field Officer. She was an intern with our department earlier this year and graduated from Indiana University in May with a degree in Psychology and Criminal Justice.
- e. Augustine Bradley - Started July 31, 2024, as a Community Corrections Field Officer. He graduated from Indiana University in May with a degree in Criminal Justice. He will be returning to school in the fall to pursue his master’s degree in business.

(2) Recent Resignations.

- a. Jeffrey Hales – Community Corrections Field Officer. Resigned to move back to Texas to work with his father.
- b. Cole Foster – Community Corrections Field Officer. Resigned June 5, 2024.

(3) Public Safety Officer Vacancies. Community Corrections Field Officer. This position has been open for more than six (6) months. Reviewing applications and conducting interviews.

B. PROJECT INCOME STATUS.

	1 st Quarter	2 nd Quarter	3 rd Quarter	4 th Quarter
2024	\$433,342	\$477,229		
2023	\$544,924	\$597,707	\$605,073	\$385,085
2022	\$488,949	\$559,415	\$609,679	\$500,251
2021	\$371,550	\$409,158	\$494,041	\$425,863
2020	\$302,412*	\$349,237*	\$416,460	\$330,910
2019	\$234,600	\$218,810	\$245,263	\$232,652
2018	\$249,571	\$195,360	\$173,650	\$202,267
2017	\$342,897	\$356,648	\$374,837	\$344,830
2016	\$457,418	\$432,782	\$425,438	\$456,454
2015	\$411,201	\$400,014	\$463,431	\$451,155
2014	\$405,345	\$392,985	\$411,441	\$389,545

* Fee collection in the Probation Department was suspended during COVID-19 Emergency Closing (March 17, 2020 - June 1, 2020).

8. CHIEF PROBATION OFFICER REPORT

- A. **Former Deputy Chief Probation Officer Troy Hatfield.** Troy's last workday as Deputy Chief Probation Officer was April 30th. Troy has agreed to continue working for us part-time to help train our new Deputy Chief Probation Officer Anthony Williams re: budgets and financial projections. The Monroe County Council granted the Probation Department an additional appropriation to pay for Troy's part-time service.
- B. **Credentialed Sexually Abusive Youth Professional (CSAYP).** Juvenile Probation Officer Sky Kilpatrick completed the training and requirements to become a Credentialed Sexually Abusive Youth Professional.
- C. **LINK Justice Counts.** Becca, Anthony, and Linda Brady met with representatives of **Justice Counts**. Justice Counts is a national initiative funded through the Bureau of Justice Assistance (BJA) being rolled out in Indiana, primarily through Local JRACs. Indiana counties currently utilizing Justice Counts: Cass; Carroll; Grant; Hamilton; Marion; Blackford; Madison; Parke; Putnam; and Shelby. This initiative is fully funded through BJA, so there is no cost to opt in or utilize their suite of data tools. They provide a data team to work with agencies on an individual basis. They only collect aggregate level data, meaning no client names or specific identifiers (like DOB and SSN). They have no control over the data we would submit though their tools and the data we would submit remains ours. Justice Counts only provides the tools to help record, analyze, and present the data in a way that is more understandable. The Justice Counts staff is trying to schedule time to meet with the statutory members of the Local JRAC to gauge interest in this project across all areas of the local Criminal Justice System. Linda will be scheduling a Zoom meeting soon to discuss this project. Additionally, the Justice Counts staff will be doing a presentation at the annual probation officer conference in French Lick **Wednesday September 4, 3:30 PM – 4:45 PM** and our Local JRAC members are welcome to sit in on this presentation. Links to some of the information they covered in our introductory Zoom meeting.
1. [Justice Counts' overview](#), which includes a list of 21+ national partners as well as [the](#) mission behind this work
 2. [Link to Metrics](#)- these are the metrics without the level of detail found within the Technical Implementation Guides below
 3. [Technical Implementation Guides \(TIGs\)](#) that are sent to every agency that opts in, to ensure their data is clear, consensus driven, and catered to their specific needs. [The](#) guides are also specific to the different sectors within the justice system. If the specific metrics don't necessarily align with our [local](#) definitions, [the](#) data team will work with [us](#) to ensure that they do.
- D. **National Association of Probation Executives (NAPE).** Linda Brady was re-elected to serve on the Board of Directors representing the Central Region of the United States (will be her 12th year serving in this capacity).

E. Pretrial Research Project. The Monroe County Pretrial Services Program is partnering with university researchers who are working on a project that studies the effect of conducting structured pretrial supervision meetings. Our partners are all researchers we have worked with before (Dr. Evan Lowder, Dr. Eric Grommon, and Dr. Tri Keah Henry) so they are familiar with our department and the pretrial program policies and procedures. Monroe County is one of several Indiana pretrial agencies involved in this research project. This project is expected to run through 2027. Other Indiana counties involved in this project include: Bartholomew; Boone; Clark; Gibson; Grant; Hendricks; Jefferson; Noble; Putnam. The project includes the following areas of study:

1. Structured supervised meetings with clients. If pretrial officers are provided specific methods to conduct a pretrial appointment, will that affect the outcome of a client's supervision/success?;
2. Identifying a client's needs and making referrals. How can pretrial officers help clients identify individualized needs? Will clients voluntarily follow through with any treatment referrals their officer makes if the officer receives specific training?; and
3. Gathering feedback from people with lived experience. The researchers will be conducting focus groups to learn from people who have gone through pretrial supervision.

F. JDAI State Fiscal Year (SFY) 2024-2025 Grants X 3: TOTAL AWARD: \$75,000; \$15,000 Implementation; \$50,000 Programming; and \$10,000 Data Analysis and Research Services.

1. JDAI Implementation (\$15,000)
 - a. \$3,750 Meals for Committee / Workgroup meetings;
 - b. \$600 Office Supplies;
 - c. \$3,000 Four (4) Annual Quest licenses;
 - d. \$850 Annual TABLEAU license; \$6,800 Travel / Training
2. JDAI Programming (\$50,000)
 - a. \$9,925 Parent Project;
 - b. \$1,500 City of Bloomington Youth Summits;
 - c. \$4,275 Care Bags;
 - d. \$800 Books;
 - e. \$2,500 Monroe County Childhood Conditions Summit;
 - f. \$1,000 Teen Intervene;
 - g. \$8,250 Trust-Based Relational Intervention (TBRI) expansion;
 - h. \$1,250 Truancy termination;
 - i. \$14,500 The Warehouse Youth Mentoring;
 - j. \$6,000 People and Animals Learning Services (PALS).
3. JDAI Data Analysis and Research Services (\$10,000)
 - a. \$6,000 EMPACT Solutions;
 - b. \$4,000 Gottlieb and Wertz (Quest).

G. Research Project with Monroe County Prosecutor's Office. In May 2024, the research team was present in-person in the Probation Department lobbies to recruit probation clients for focus groups with justice involved individuals.

9. ADJOURNMENT. Next quarterly meeting will be **Monday, October 14, 2024** at 5:00 PM IN-PERSON.

*Terms for all Commissioners appointments expire 12-31-2026.

*Chairperson & Vice-Chairperson are elected for a two-year term. The next election is January 2025.

A Framework for Evidence-Based Decision Making in State and Local Criminal Justice Systems

An Initiative of the

National Institute of Corrections

Fourth Edition

A Continued Work in Progress

A COLLABORATIVE PROJECT AMONG THE
CENTER FOR EFFECTIVE PUBLIC POLICY
AND
THE CAREY GROUP

December 2016

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INTRODUCTION TO THE 4TH EDITION

It is with great pride that we at the National Institute of Corrections (NIC) release the 4th edition of *A Framework for Evidence-Based Decision Making in State and Local Criminal Justice Systems* (“EBDM Framework”). NIC’s initial work under EBDM began in 2008. In the Foreword that follows, my colleague, friend, and predecessor, Morris L. Thigpen, Sr., said the following about the EBDM initiative:

In 2008, we launched the Evidence-Based Decision Making in Local Criminal Justice Systems initiative. In doing so, we sought to encourage and facilitate advancements in the criminal justice field in this new decade—to build upon the experiences of those who have worked hard to use new skills, approaches, and research to engineer systems that are vision-driven, efficient, and effective. But even more, we sought to draw upon and draw together the strongest of the research findings and the best of the practices, and construct new ways of working together towards the goal we all share—fewer victims, safer communities.

Following the release of the 1st edition of the Framework in 2010, NIC launched Phase II of the initiative, identifying seven local communities to serve as our EBDM pilot sites. So successful has that partnership been that it continues even today, seven years later. As our pilot sites, those teams undertook with conviction—and, admittedly, a certain degree of faith—the “EBDM process,” as we have come to call it. They formed EBDM policy teams; engaged in a set of activities we designed to support a deeper understanding of their justice systems; and identified for themselves methods to improve outcomes for victims and for those who serve in and are served by their justice systems. They collected data and information to help them better understand their challenges and successes; implemented strategies and made midcourse corrections; and continue to grow and learn how to build a justice system that is collaborative, efficient, strategic, and informed by research. The lessons we have learned from them—and that they have learned from one another—have inspired us to continue to explore even further the boundaries of the possible.

EBDM has resulted in a permanent shift in our expectations about what is possible.

In 2015, NIC invited three state teams, along with an additional six local teams from each of those states, to join the initiative. Through two new phases of work, we sought to test a deeper and more complex idea: that the outcomes of our justice systems will improve when the principles of EBDM are embraced by multiple individual communities—and significantly—in partnership with state-level colleagues from each branch of government. The early evidence of change in these three states has met our hopes. It has also resulted in a permanent shift in our expectations about what is possible.

The pages that follow offer our vision of the future of American justice systems. That future is best captured in the four EBDM principles that were first penned in 2008 and continue to guide us today. Through the Framework itself, and a robust series of accompanying publications, we hope to share our vision and the experiences of our colleagues who have committed themselves to making EBDM the foundation upon which their justice systems operate.

Still, we consider our efforts under EBDM far from finished. As a nation, we have much to learn about how best to reduce harm in our communities, how to meaningfully engage the public in our work, and how to build true partnerships across jurisdictional boundaries. We are, however, confident in this: EBDM has been transformative for those who have truly embraced it. We are inspired by their accomplishments and look forward to our continued partnership as we work together to build strong, healthy, and safe communities.

—Jim Cosby, Director

EBDM FRAMEWORK PRINCIPLES

EBDM Principle 1: The professional judgment of criminal justice system decision makers is enhanced when informed by evidence-based knowledge.

EBDM Principle 2: Every interaction within the criminal justice system offers an opportunity to contribute to harm reduction.

EBDM Principle 3: Systems achieve better outcomes when they operate collaboratively.

EBDM Principle 4: The criminal justice system will continually learn and improve when professionals make decisions based on the collection, analysis, and use of data and information.

FOREWORD TO THE 3RD EDITION

As we stand at the beginning of a new decade, justice system professionals are challenged by the rising costs of criminal justice, the stories of victims harmed by crime, and the failure of too many offenders who pass through our gates and doors. We at NIC, like our colleagues across the country, are keenly aware of the new opportunities recent research offers regarding clear and specific strategies that will reduce crime, ease rising costs, and, most importantly, prevent future victims.

In 2008, we launched the Evidence-Based Decision Making in Local Criminal Justice Systems initiative. In doing so, we sought to encourage and facilitate advancements in the criminal justice field in this new decade—to build upon the experiences of those who have worked hard to use new skills, approaches, and research to engineer systems that are vision-driven, efficient, and effective. But even more, we sought to draw upon and draw together the strongest of the research findings and the best of the practices, and construct new ways of working together towards the goal we all share—fewer victims, safer communities.

Our underlying belief is that we can improve outcomes if criminal justice decisions are informed by research. We called for the construction of a “framework” for evidence-based decision making at the system level. Because it does not attempt to answer all questions, provide all details, or call for implementation in precisely the same way in every community, it is not a model. It is instead intended to frame a purpose and a process for decision making that can be applied to the system as a whole—to all those entering the system, regardless of their justice system status; to all types of cases, regardless of their severity; and to all stakeholders, regardless of their role.

The Framework identifies the key structural elements of a system informed by evidence. It defines a vision of safer communities. It puts forward the belief that risk and harm reduction are fundamental goals of the justice system, and that these can be achieved without sacrificing offender accountability or other important justice system outcomes. It both explicates the premises and values that underlie our justice system and puts forward a proposed set of principles to guide evidence-based decision making at the local level—principles that are, themselves, evidence-based. The Framework also highlights some of the most groundbreaking of the research—evidence that clearly demonstrates that we can reduce pretrial misconduct and offender recidivism. It identifies the key stakeholders who must be actively engaged in a collaborative partnership if an evidence-based system of justice is to be achieved. It also sets out to begin to outline some of the most difficult challenges we will face as we seek to deliberately and systematically implement such an approach in local communities.

In sharing this Framework, we celebrate all that has come before it and all those laboring so hard on our streets, in our courtrooms, and in our jails and prisons. We build upon a foundation of research and noteworthy practice from jurisdictions around the country that share a vision

of the communities of tomorrow—stronger and more vibrant as a result of less crime, fewer victims, restored families, and offenders engaged in healthy lifestyles.

At the same time, we openly acknowledge that there is much work to be done. An earnest review of the research reveals large bodies in some areas and significant deficits in others, particularly in pretrial justice and prosecution. We must work to fill these. Early reviewers of the Framework have suggested it is incomplete in other ways, including insufficient guidance around important implementation issues. We agree and seek to answer these concerns in the next phase of our work. These are but a few of the challenges that lie ahead.

In the second phase of this initiative, we will seek to identify jurisdictions that are interested in piloting the Framework. In so doing, we will work together to build information and tools to support its implementation and to struggle through the thorny issues this Framework will surface. It will undoubtedly challenge our processes, our policies, and even our philosophies. Experiences from earlier criminal justice reform efforts, such as community policing, demonstrate that major shifts in approach are often confronted by challenges and met with resistance. In time, however, those that are well conceived, well documented, and that produce measurable outcomes take root and grow. It is our intention, therefore, to engage in a deliberate process of documenting and evaluating the efforts of pilot sites. This is, after all, the essence of this initiative: to use research to inform our approaches and to evaluate and learn from their results. These lessons will offer valuable information to guide us to a safer future.

—Morris Thigpen, Former Director

TABLE OF CONTENTS

Introduction to the 4th Edition	ii
Foreword to the 3rd Edition	iv
Preface: The Evidence-Based Decision Making in State and Local Criminal Justice Systems Initiative	1
Initiative Approach and Products	1
A New Paradigm for the Justice System	2
Why a New Paradigm?	2
The Justice System Can Do Better	3
Other Systems Have Made Progress; So Too Can the Justice System	3
The 100,000 Lives Campaign	4
Calling on the “Best in People”: The 1 Million Fewer Victims Campaign.....	5
Making the Comparison Between Healthcare and Justice System Reform.....	6
An Overview of Key Research Findings Related to Risk Reduction and Their Implications for the Justice System.....	8
Distinguishing Between EBP and EBDM	8
7 Ways to Reduce Recidivism	9
Section 1: Underlying Premises	14
The Core Values of the Justice System	14
Section 2: The Key Decision Points, Decision Makers, and Stakeholders in the Criminal Justice System	16
Key Decision Points.....	16
Key Decision Makers and Stakeholder Groups at the State Level	17
Key Decision Makers and Stakeholder Groups at the Local Level.....	18
Section 3: Examining Justice System Decision Making Through the Lens of Harm Reduction	19
Crime Harms the Entire Community.....	19
The Justice System Strives to Achieve Risk and Crime Reduction	19
The Justice System Can Result in Harm Reduction	20
Achieving, Measuring, and Maintaining Harm Reduction and Advancing Community Wellness	21
Exhibit 1: Reducing Crime with Evidence-Based Options: Benefits & Costs	23
Section 4: The Principles Underlying the Framework	26
Principle One: The professional judgment of criminal justice system decision makers is enhanced when informed by evidence-based knowledge	26

Principle Two: Every interaction within the criminal justice system offers an opportunity to contribute to harm reduction	27
Principle Three: Systems achieve better outcomes when they operate collaboratively	28
Principle Four: The criminal justice system will continually learn and improve when professionals make decisions based on the collection, analysis, and use of data and information	29
Section 5: Applying Evidence-Based Principles to Practice	30
A Logic Model for Harm Reduction Decision Making at the System Level.....	31
Evidence-Based Decision Making System-Level Implementation Steps	32
EBDM Process Logic Model.....	34
Example: Portion of an EBDM Local Level Logic Model (Risk Assessment).....	35
Example: Portion of an EBDM State Level Logic Model (Pretrial)	36
Section 6: Key Challenges in Implementing This Framework	37
Risk Reduction and Evidence-Based Decision Making in the Context of Sanctioning Purpose	37
Plea Negotiations	38
The Management of Low Level Offenses	39
Looking to the Future	40
Section 7: Collaboration: A Key Ingredient of an Evidence-Based System.....	41
Aligning the Criminal Justice System to Achieve Harm Reduction	41
Bringing the Stakeholders to the Table to Form Policy Teams.....	41
Section 8: Building Evidence-Based Agencies.....	43
Aligning Criminal Justice Agencies to Achieve Harm Reduction.....	43
Making “What Works” Work	44
Appendix 1: Advisory Board Members: Evidence-Based Decision Making in Local Criminal Justice Systems Initiative	45
Appendix 2: Advisors for Evidence-Based Decision Making in State and Local Criminal Justice Systems Initiative.....	47
Appendix 3: Methodology Used to Compute 1 Million Fewer Victims.....	48
Appendix 4: Research Findings Matrix.....	49
What Doesn’t Work in Reducing Pretrial Misbehavior and Offender Recidivism	51
What Works in Reducing Pretrial Misbehavior and Offender Recidivism	56
What’s Promising in Reducing Pretrial Misbehavior and Offender Recidivism	71
What’s Not Clear in Reducing Pretrial Misbehavior and Offender Recidivism	93
Appendix 5: Using Evidence to Inform Decision Making	95
Appendix 6: 2009 Zogby International Public Opinion Survey	96

Appendix 7: Glossary of Terms.....	97
Appendix 8: References.....	98

PREFACE: THE EVIDENCE-BASED DECISION MAKING IN STATE AND LOCAL CRIMINAL JUSTICE SYSTEMS INITIATIVE

In June 2008, the National Institute of Corrections (NIC) launched the “Evidence-Based Decision Making in Local Criminal Justice Systems” initiative. While first developed for local-level implementation, the initiative has since been expanded and adapted to state-level decision making, and is now known as the “Evidence-Based Decision Making in State and Local Criminal Justice Systems” initiative. The goal of the initiative is to build a systemwide framework (arrest through final disposition and discharge) that will result in more collaborative, evidence-based decision making and practices in local criminal justice systems. The initiative is grounded in the accumulated knowledge of over two decades of research on the factors that contribute to criminal reoffending and the processes and methods the justice system can employ to interrupt the cycle of reoffense. The effort seeks to equip criminal justice policymakers in local communities and at the state level with the information, processes, and tools that will result in measurable outcomes such as reductions of pretrial misconduct and post-conviction reoffending, increased cost efficiency, and improved public confidence in the justice system.

The EBDM Initiative is currently administered by the Center for Effective Public Policy and The Carey Group in partnership with NIC.

INITIATIVE APPROACH AND PRODUCTS

The principle product of this multi-phase initiative is this document—*A Framework for Evidence-Based Decision Making in State and Local Criminal Justice Systems (“the Framework”)*—designed to advance constructive change in local and state-level criminal justice decision making. The Framework describes key criminal justice decisions, evidence-based knowledge about effective justice practices, and practical local and state-level strategies for applying risk and harm reduction principles and techniques.

In developing the Framework, the initiative drew upon the expertise of National Institute of Corrections staff and the initiative partners; an active, multidisciplinary Advisory Committee; input from state and local policymakers and practitioners through a series of focus group discussions and individual interviews; a literature review; the experiences of an assembled group of non-criminal justice, evidence-based management experts; and a public opinion survey. In addition, since the Framework’s first edition, its underlying principles have been affirmed by practitioners throughout the country who have sought to apply it to their decision making. The Framework has been revised multiple times—this being the 4th edition—based upon the experiences of the state and local jurisdictions that have tested it. In large measure, it remains true to the 1st edition; indeed, its vision, principles, and core components have withstood the test of time and real-world application. Nonetheless, it is anticipated that the Framework will continue to evolve as future phases unfold and as NIC continues to observe the progress of the more than two dozen local jurisdictions and three states that have adopted it.

A NEW PARADIGM FOR THE JUSTICE SYSTEM

A Framework for Evidence-Based Decision Making in State and Local Criminal Justice Systems defines the core principles and action strategies that criminal justice policymakers may employ to reduce the harm to communities caused by crime. It is built on decades of experience working with individual policymakers and practitioners and with stakeholder teams in state and local justice systems. It is based on the evidence from empirical studies in the fields of organizational management, criminal justice and behavioral health, and collaborative processes. It is framed by a renewed optimism regarding the potential the justice system has for reducing harm and victimization and making communities safer throughout the nation.

WHY A NEW PARADIGM?

The justice system—along with other public sector service systems—faces the 21st century challenges of understanding emerging science; translating empirical findings into policy and practice and, in so doing, retooling long-held approaches; and retraining a workforce to adopt more effective practices and embrace new skills. These challenges are daunting but critically important.

According to the U.S. Department of Justice, Bureau of Justice Statistics,¹ 67% of individuals released from prison are rearrested within 3 years after discharge and 76% are rearrested within 5 years. It is estimated that up to one-third (29%) of probationers do not successfully complete their sentences.² These recidivism rates have remained relatively stable for decades.³

What Do We Mean By “Evidence”?

In the justice system, the term “evidence” is used in a variety of ways. It can refer to items collected at a crime scene, eyewitness accounts, or security camera footage. These types of evidence are referred to as *legal evidence*.

For the purposes of this Framework, however, the term “evidence” is used to describe findings from empirically sound social science research. The Framework refers to the results of this research as *evidence-based policy and practice*.

It is important to note that all research is not of equal strength; this is discussed further in Appendix 3.

¹ Durose, Cooper, & Snyder, 2014.

² Kaible, Maruschak, & Bonczar, 2015.

³ See Durose et al., 2014; Hughes & Wilson, 2003; Kaible et al., 2015.

Furthermore, on any given day, five out of six defendants provided with a financial release condition are unable to make the bond amount set by the court.⁴

These statistics are particularly sobering when considering the tens of thousands of new victims each year⁵ and the immense loss of human life, dignity, and sense of safety they experience; the staggering costs of supporting law enforcement, the courts, corrections, and the behavioral and health systems; and, perhaps most importantly, the “ripple effect” of crime on communities in terms of deteriorating neighborhoods, children’s exposure to violence, and the shifting of resources from parks and schools to jails and prisons.

THE JUSTICE SYSTEM CAN DO BETTER

Research over the past two decades has demonstrated that better results from our justice system’s efforts and investments can be realized. For example, research demonstrates that a 30% reduction in recidivism is possible⁶ if the justice system applies current knowledge⁷ consistently and with fidelity. Moreover, the research also shows that application of this knowledge can produce significant cost benefits to cities, counties, and states.⁸

OTHER SYSTEMS HAVE MADE PROGRESS; SO TOO CAN THE JUSTICE SYSTEM

A 2000 report by the Institute of Medicine (IOM)⁹ revealed that hospital medical errors across the nation resulted in a loss of nearly 100,000 lives each year. The report demonstrated that these mistakes did not result from individual incompetence, but instead were primarily the result of system

A national public opinion survey commissioned by the National Institute of Corrections and its partners in the Evidence-Based Decision Making in Local Criminal Justice Systems Project illuminates the public’s views on justice system practices and recidivism reduction efforts. Key findings from this survey are included throughout this document. Further information about the study itself is contained in Appendix 4.

When respondents are told that about half of the people released from prison eventually go back to prison and about a third of those on probation commit new crimes, just 19% indicate that these rates are acceptable; 80% indicate that these rates are unacceptable.

⁴ Cohen & Reaves, 2007.

⁵ In 2009 alone, U.S. residents age 12 or older experienced approximately 20 million crimes. Of these, 15.6 million (78%) were property crimes, 4.3 million (21.5%) were crimes of violence, and 133,000 (<1%) were personal thefts (Truman & Rand, 2010).

⁶ See Andrews et al., 1990; Andrews & Bonta, 1998; Landenberger & Lipsey, 2005; Lowenkamp et al., 2010; Lowenkamp & Latessa, 2004a; McGuire, 2001, 2002.

⁷ Current knowledge refers to information regarding offender risk, dynamic risk factors (i.e., criminogenic needs), applying interventions appropriately, and utilizing specific tools and techniques.

⁸ Aos, Miller, & Drake, 2006a; Romani et al., 2012; see Section 3 for additional information.

⁹ Kohn, Corrigan, & Donaldson, 2000.

failures. *“People working in health care are among the most educated and dedicated workforce in any industry,”* the authors wrote. *“The problem is not bad people; the problem is that the system needs to be made safer.”*

The IOM report propelled the medical profession into a state of alarm. Healthcare professionals had always viewed themselves as *being* safe and *saving* lives, not costing lives. While the medical code of ethics affirms a commitment to *“competence”* and a commitment to *“study, apply, and advance scientific knowledge,”*¹⁰

the IOM report revealed something quite different.

Actions on the part of medical professionals—and in some cases inaction—were actually increasing the death rate.

In the eyes of one organization, the report presented an opportunity. The Institute for Healthcare Improvement (IHI) had been working for a decade to introduce systemic change in hospitals in an effort to prevent loss of life due to human error. Under the leadership of President and CEO Dr. Donald Berwick, the IHI’s philosophy was to view problems not as a “base metal” to be hidden and ignored, but as a desirable “treasure” or resource that, when mined and understood, could lead to improvement and advancement. For Dr. Berwick, the IOM report was a veritable gold mine.

THE 100,000 LIVES CAMPAIGN

IHI launched a national campaign to reduce the devastating—and somewhat embarrassing—loss of 100,000 accidental hospital and clinical deaths to a more acceptable level: zero. Creating the slogan *“some is not a number; soon is not a time,”* Berwick launched the 100,000 Lives Campaign. He proposed a method to reduce 100,000 needless, error-driven hospital deaths within 2 years.

IHI’s efforts were met with unprecedented success. With roughly 3,100 of the nation’s hospitals—representing 75% of the available patient bed space—enrolled in the initiative, an estimated 122,342 deaths were prevented.¹¹

"The problem with most people is not that they aim too high and miss the mark, but that they aim too low and hit it."

Michelangelo

¹⁰ See American Medical Association, 2001.

¹¹ Schoenbaum, 2006.

What was the key to the success of the 100,000 Lives Campaign? According to Joe McCannon, the Campaign’s manager:

“The shared nature of our goal (and the fact that we did not seek to expose any hospital for poor performance) changed the tenor of the campaign; it was a positive initiative that called on the best in people, drawing them back to the reasons they first were interested in this work. There was so much untapped energy and so much unleashed joy, centered on the providers’ commitment to their patients.”

Stanford Graduate School of Business, 2008, p. 22.

Five key lessons from the IHI experience—those with the most direct application to the justice field—are interspersed throughout the remainder of this document.

CALLING ON THE “BEST IN PEOPLE”: THE 1 MILLION FEWER VICTIMS CAMPAIGN

The IHI initiative sought to save 100,000 lives through the application of research-based techniques. The justice system could achieve equally dramatic results.

It is estimated that the United States could experience 1,000,000 fewer victimizations.¹² To achieve these results, a similar approach to the IHI initiative—adopting key strategies that are evidence-based—must be faithfully adopted. The public deserves and expects nothing less.¹³

This Framework defines the strategy. Through their efforts to apply the EBDM Framework, more than two dozen state and local jurisdictions are testing it empirically.¹⁴

¹² See Appendix 2 for the methodology used to compute this figure.

¹³ The NIC-commissioned 2009 Zogby study reflects the public’s expectation that, among others, the current rate of offender failure is unacceptable; spending should be increased on approaches proven to reduce crime; and criminal justice professionals should rely on research in their decision making.

¹⁴ In Phases II and III, NIC and its project partners competitively selected seven local jurisdictions, and assisted them in building truly collaborative teams and the capacity to implement EBDM locally through ongoing planning and implementation support. In Phase IV, NIC and its project partners worked with teams in the five EBDM states to engage additional in-state partners, build awareness, and plan for EBDM expansion to additional local teams and to state-level teams. In Phase V, NIC and its project partners assisted 21 teams in three states to develop systemwide change strategies, advance EBDM locally and at the state level, and align local and state jurisdictions with one another and with the principles of EBDM. In the fall of 2016, NIC agreed to support all 22 state and local EBDM teams in Indiana, Virginia, and Wisconsin to receive support in Phase VI. NIC will also support additional teams in the State of Indiana as EBDM is expanded specifically in the area of pretrial justice.

IHI LESSON #1: QUANTIFY THE GOAL

Drawing on the advice of experienced civic activist Gloria Steinem, IHI sought to mobilize supporters and critics alike by flatly naming the problem they were attempting to address (deaths as a result of medical error) and quantifying the goal: the 100,000 Lives Campaign. So powerful was this message that when the campaign was publicly launched at IHI's 16th Annual National Forum on Quality Improvement in December 2004, speaker after speaker expressed what amounted to the equivalent of moral outrage that any of their colleagues might even consider not joining the campaign. In the words of Sister Mary Jean Ryan, who, at the time, was president and CEO of SSM Health Care, one of the largest Catholic healthcare systems in the country: “‘No needless deaths’ is fundamental to any healthcare organization, so I think that CEOs should really worry more about not declaring commitment to this goal than to declaring it.” The lesson for criminal justice?

**1 MILLION FEWER VICTIMS IS POSSIBLE;
THE TIME TO START IS NOW.**

MAKING THE COMPARISON BETWEEN HEALTHCARE AND JUSTICE SYSTEM REFORM

IHI's success in reducing unnecessary deaths is well documented. Lessons learned from IHI are intended to serve as helpful ways of thinking about advancing evidence-based decision making in the justice system. Without question, there are significant differences in these systems. Hospitals and clinics are not managed by individuals elected by the general public. They are not operated by a set of actors who, for all intents and purposes, are independent and have unilateral decision making authority. They were not designed with a system of checks and balances in mind, where one team of doctors produces evidence in an attempt to prevail over another medical team. On the other hand, while employees report to a single administrator and share a common overarching goal, hospitals are staffed by individual labor units, with distinct areas of expertise and responsibilities, that compete for limited resources and work in environments fraught with differing viewpoints, communication barriers, and performance pressures. They coordinate and collaborate with contracted and governmental agencies, insurance companies, and funders, and, as such, they face many of the same constraints professionals in other disciplines face.

Promoting shifts in attitudes and behaviors that support rather than defy a system's vision; overcoming the obstacles presented by a large workforce; staying current and conversant with the latest research; creating change in the face of unprecedented work demands and ever tightening resources; adapting to new technologies; overcoming skill and knowledge deficits—these are but a few of the challenges common to large systems, whether justice or healthcare or another field. While the context and complexion of criminal justice certainly differ from those of healthcare, the lessons of IHI bear consideration by those interested in advancing change on a significant level.

The IHI Experience and Its Relevance to Criminal Justice

There is no doubt that although there are similarities, there are also many differences between healthcare and justice systems. Nonetheless, the IHI experience is instructive in several ways. Some of the key “lessons” have relevance to possible reforms to justice system practices. But perhaps more importantly, the broader goal of improving outcomes in the face of daunting challenges (e.g., complicated systems and processes, multiple players, competing goals such as patient wellness versus cost containment, etc.) is perhaps the most fundamental similarity. In the words of one of this initiative’s advisors:

IHI proceeded from the following premises, which are definitely applicable to the justice system:

- 1. Things can be improved.*
- 2. Improvement will come over time, through a succession of actions, each of which will provide the opportunity for learning.*
- 3. Better than the status quo is, by definition, "better" and we should not wait to solve everything before beginning to improve some things.*
- 4. We should be modest and realistic about our insights and abilities.*
- 5. We need to do something, because in the absence of informed action, nothing will change. And we can learn as we proceed.*

–Jeffrey Pfeffer, Stanford Graduate School of Business

AN OVERVIEW OF KEY RESEARCH FINDINGS RELATED TO RISK REDUCTION AND THEIR IMPLICATIONS FOR THE JUSTICE SYSTEM

Studies examining the question of how best to prevent future crime have important implications for justice system policy and practice. While these studies (and citations) are detailed more comprehensively in Appendix 3 of this document—and their policy implications are demonstrated through the work of the EBDM sites¹⁵—the significance of this body of research is illustrated in “7 Ways to Reduce Recidivism” (pp. 9-12).

54% of respondents indicate that punishing those who commit crimes should be the primary purpose of the criminal justice system; 31% indicate that reducing the likelihood that convicted offenders will commit new crimes should be the primary purpose.

87% of respondents indicate they would be more likely to support alternatives to jail if research consistently showed there are ways other than jail to reduce the likelihood that non-violent offenders will commit new crimes.

When it comes to violent crime, 40% of respondents were in favor of alternatives to jail if they would reduce the likelihood of reoffense.

—Zogby International, August 2009

DISTINGUISHING BETWEEN EBP AND EBDM

“Evidence-based decision making” (EBDM) is the practice of using research to inform decisions throughout the justice system. EBDM is distinguished from the use of evidence-based practices (EBP), which is the application of specific research findings to discrete practices. For instance, a judge’s use of a risk assessment tool to inform pretrial release decisions is an EBP; understanding the risk principle and applying it across decision points is EBDM.

Examples of EBDM:

- Justice system decision makers craft an array of pre- and post-conviction options and policies to guide their use—all informed by risk reduction research.
- County commissioners and executives fund programs that research demonstrates are effective in reducing offender risk—and eliminate programs that research has proven are ineffective.

¹⁵ A variety of resources—including EBDM pilot site case studies, discipline-specific stakeholder briefs, and instructional materials, among others—have been developed since the initiative’s inception. See: <https://info.nicic.gov/ebdm/>

7 WAYS TO REDUCE RECIDIVISM

1. Use risk/needs assessment tools to identify risk to reoffend and criminogenic needs.

Research finding: Structured assessment tools predict pretrial misconduct, institutional misconduct, and risk of reoffense more effectively than professional judgment alone.¹⁶ Brief screening tools provide a quick assessment of risk; comprehensive tools provide information on risk to reoffend and effective targets of intervention to reduce future crime. Adjunctive tools (e.g., substance abuse, gender-informed, sex offense-specific, mental health, violence) provide more comprehensive and specialized information.¹⁷

Examples of policy and practice implications: Law enforcement uses assessments to inform cite versus arrest decisions; pretrial services conduct assessments prior to key decisions; prosecutors and judges use assessments to inform plea and sentencing decisions; jails and prisons use assessments to determine housing assignments and work release placements; parole boards consider validated risk/needs assessment results during their deliberations; and community corrections uses assessments to determine intensity of supervision and case management.

2. Direct programming and interventions to medium and high risk defendants/offenders.

Research finding: Recidivism rates are reduced an average of 30% when medium and high risk offenders receive appropriate behavior changing programming.¹⁸ Conversely, offenders assessed as low risk to reoffend do not benefit from behavior changing programming¹⁹ and are slightly more likely to recidivate when they are overly supervised or programmed.²⁰

Examples of policy and practice implications: Agencies performing assessments color code case files of high, medium, and low risk offenders for easy identification by decision makers; for low risk offenders, prosecutors use diversionary programs, prosecutors and judges avoid excessive conditions, defense counsel advocates for low intensity interventions, community corrections uses call-in or kiosk reporting; judges, prosecutors, and defense counsel target medium and high risk offenders for programming designed to positively influence behavior; treatment programs designed to reduce recidivism modify admission criteria to admit only medium and high risk offenders.

¹⁶ Andrews & Bonta, 1998; Andrews, Bonta, & Wormith, 2006; Andrews et al., 1990; Bonta, 2007; Cadigan & Lowenkamp, 2011a; Gendreau, Little, & Goggin, 1996; Grove & Meehl, 1996; Grove et al., 2000; Harris, 2006; Hilton, Harris, & Rice, 2007; Holsinger, Lowenkamp, & Latessa, 2006; Lowenkamp, Lemke, & Latessa (2008); Makarios & Latessa, 2013; Smith, Gendreau, & Swartz, 2009; Wong & Pharhar, 2011.

¹⁷ Barber-Rioja et al., 2012; Van Voorhis et al., 2010.

¹⁸ Andrews, 2007; Andrews & Bonta, 2007; Andrews et al., 2006; Andrews & Dowden, 2007; Andrews, Dowden, & Gendreau, 1999; Bonta, 2007; Dowden, 1998; Gendreau, Goggin, & Little, 1996; Lipsey & Cullen, 2007; Smith et al., 2009.

¹⁹ Ibid.

²⁰ Andrews & Bonta, 2007; Bonta, Wallace-Capretta, & Rooney, 2000; Cullen & Gendreau, 2000; Gendreau et al., 2001; Latessa, Lovins, & Smith, 2010; Lowenkamp & Latessa, 2004b; Lowenkamp, Latessa, & Holsinger, 2006.

7 WAYS TO REDUCE RECIDIVISM

3. Focus interventions for medium and high risk offenders on their individual criminogenic needs and match the level of interventions to their risk levels.

Research finding: Cognitive behavioral programs are generally the most effective programming interventions for higher risk offenders.²¹ Furthermore, employing program interventions that influence the traits that lead to future crime (i.e., criminogenic needs) yields stronger reductions in recidivism (up to an average of 30% reduction).²² The net value (the cost of the program less the savings derived from preventing crime) of the average, evidence-based cognitive behavioral program targeted to medium and high risk offenders, using a cost/benefit formula, is \$10,050 per adult offender.²³ Finally, the level of programming intensity or dosage should match offenders' risk levels.²⁴

Examples of policy and practice implications: Judges ensure that sentencing conditions align with specific criminogenic needs; community corrections and treatment providers use assessment instruments to identify offenders' criminogenic traits; treatment providers provide program listings that identify the criminogenic needs their services address and avoid "one size fits all" programs; cognitive behavioral services are systematically utilized; community corrections refers offenders to programs based upon the match between offenders' needs and programs' services; county executives/managers ensure that service contracts with treatment providers include accountability measures to make certain that the services provided include cognitive behavioral interventions.

²¹ Andrews, 2007; Aos, Miller, & Drake, 2006b; Jensen & Kane, 2012; Landenberger & Lipsey, 2005; Lipsey & Landenberger, 2006; Lipsey, Landenberger, & Wilson, 2007; Lowenkamp et al., 2009; Smith, Gendreau, & Swartz, 2009; Tong & Farrington, 2006.

²² Andrews, 2007; Andrews et al., 1990; Bonta et al., 2011; Smith et al., 2009.

²³ Washington State Institute for Public Policy, 2016.

²⁴ Landenberger & Lipsey, 2005; Lipsey, Landenberger, & Wilson, 2007; Makarios, Sperber, & Latessa, 2014; Sperber, Latessa, & Makarios, 2013a, 2013b; Wilson, Bouffard, & Mackenzie, 2005; Zhang, Roberts, & Callanan, 2006.

7 WAYS TO REDUCE RECIDIVISM

4. Respond to misconduct with swiftness, certainty, and proportionality.

Research finding: There is little evidence that graduated sanctions (i.e., sanctions that increase in severity based on the number and nature of acts of misconduct) increase compliance with supervision and treatment; instead, they may increase noncompliance.²⁵ Responses to behavioral misconduct are more likely to result in positive outcomes when they adhere to the principles of celerity (swiftness),²⁶ certainty,²⁷ fairness,²⁸ responsivity,²⁹ proportionality,³⁰ and parsimony³¹. Further, the use of confinement as a sanction for technical violations can actually result in increased recidivism rates.³²

Example of policy and practice implications: Court administrators develop policies to move cases swiftly through the court system; judges, prosecutors, and community corrections agencies establish violation decision making guidelines that take into account the risk of the offender and the severity of the violation behavior; community corrections uses a decision making tool to aid supervision officers in structuring their responses to violation behavior and in responding to all violation behavior in some fashion; judges and community corrections streamline procedures that allow for swift action following offender misbehavior.

5. Use more carrots than sticks.

Research finding: The use of incentives and positive reinforcement are effective in promoting behavioral change.³³ Positive reinforcement should be provided at a rate of at least four reinforcers for every expression of disapproval (or sanction).³⁴ To be effective, incentives and rewards should be tailored to the individual;³⁵ swiftly applied;³⁶ applied generously initially, and tapered over time;³⁷ and provided in a manner that encourages internalizing the intrinsic benefits of the behavior. This formula enhances offenders' motivation to continue exhibiting prosocial behaviors and attitudes.

Examples of policy and practice implications: Judges and community corrections develop policies around the structured and specific use of rewards to reinforce positive behavior; defense counsel requests review hearings when clients reach significant milestones; community corrections acknowledges progress through the posting of awards, writing letters of affirmation, providing complimentary bus passes, praising offenders' behavior to their families, reducing reporting requirements; community corrections consistently emphasize the link between continued prosocial behavior and achieving long-term prosocial goals; law enforcement acknowledges law abiding behavior of known offenders.

²⁵ Marlowe, DeMatteo, & Festinger, 2003; Wodahl, 2007.

²⁶ Hawken & Kleiman, 2009; Paternoster, 2010.

²⁷ Hawken & Kleiman, 2009; Nagin, 1998; National Institute of Justice, 2014; Paternoster et al., 1997; Pogarsky, 2007.

²⁸ Paternoster et al., 1997; Sherman, 1993; Taxman, Soule, & Gelb, 1999; Tyler, 2007.

²⁹ Andrews et al., 1999; Sherman, 1993.

³⁰ Martin & Van Dine, 2008; Quirk, Seldon, & Smith, 2010; Taxman et al., 1999.

³¹ Quirk et al., 2010.

³² Drake & Aos, 2012.

³³ Andrews & Bonta, 2006; Cullen & Gendreau, 2000; Drake & Barnoski, 2009; Latessa, Cullen, & Gendreau, 2002; National Research Council, 2007; Petersilia, 2004, 2007; Taxman et al., 1999.

³⁴ Andrews & Bonta, 2006; Gendreau, 1996; Wodahl et al., 2011.

³⁵ Bonta & Andrews, 2007; Tittle & Botchkovar, 2005.

³⁶ See Hawken & Kleiman, 2009; Paternoster, 2010.

³⁷ Skinner, 1974.

7 WAYS TO REDUCE RECIDIVISM

6. Deliver services in natural environments where possible.

Research finding: Although treatment services provided in structured (e.g., residential, institutional) settings are demonstrated to be effective, services delivered in natural environments (i.e., settings in offenders' immediate surroundings that most closely resemble prosocial, supportive environments) improve offenders' bonding to the prosocial community and more effectively reduce recidivism.³⁸ Diversion programs with an intervention component can be effective in reducing recidivism as compared to the traditional forms of criminal justice processing (i.e., incarceration and probation).³⁹

Examples of policy and practice implications: Law enforcement refers to community-based crisis services for offenders with mental health conditions; judges and prosecutors use community-based rather than residential or institutionally based programs when the safety of the community is not in jeopardy; county executives/managers provide support for funding and zoning community-based programming options; judges, prosecutors, defense counsel, community corrections, and others take inventory of available services to ensure a continuum of service options; community corrections utilizes prosocial family members, employers, and mentors to support the offender; resource directories are developed and shared among stakeholders.

7. Pair sanctions with behavior change interventions.

Research finding: Research demonstrates that sanctions without programming (e.g., boot camps without a treatment component,⁴⁰ electronic monitoring,⁴¹ intensive supervision,⁴² incarceration⁴³) do not contribute to reductions in reoffense rates. In fact, the use of incarceration can have an iatrogenic effect on individuals;⁴⁴ increases in time served does not reduce, or may even increase, recidivism.⁴⁵

Examples of policy implications: Prosecutors and judges employ a combination of sanctions and behavior changing programming for purposes of risk reduction; county executives/managers fund a balance of behavior changing programming and accountability measures; community corrections agencies address offender misbehavior with behavior changing, rather than solely punitive, responses.

³⁸ Andrews, 2007; Bales & Piquero, 2012; Bonta et al., 2002; Clear & Sumter, 2002; Egelko et al., 1998; Emrick et al., 1993; Gaes & Camp, 2009; Galanter, 1993; Higgins & Silverman, 1999; Meyers et al., 2002; Meyers & Smith, 1997; O'Connor & Perryclear, 2003; Ryan, Abrams, & Huang, 2014; Shapiro & Schwartz, 2001.

³⁹ Loughran et al, 2009; Wilson & Hoge, 2013a, 2013b.

⁴⁰ MacKenzie et al., 1995; MacKenzie, Wilson, & Kider, 2001.

⁴¹ MacKenzie, 1997.

⁴² Aos, Miller, & Drake, 2006b; Aos et al., 2001; Lowenkamp et al., 2010; Petersilia, 1999; Petersilia & Turner, 1993a, 1993b; Tonry, 1997.

⁴³ Andrews, 2007; Drake & Aos, 2012; Gendreau, Goggin, & Cullen, 1999; Gendreau et al., 2001; Jonson, 2011.

⁴⁴ Bales & Piquero, 2012; Loughran et al., 2009; Wilson & Hoge, 2013a, 2013b

⁴⁵ Hughes, Wilson, & Beck, 2001; Langan & Levin, 2002; Meade et al., 2012; Smith, Goggin, & Gendreau, 2002; Vito, Tewksbury, & Higgins, 2010.

IHI LESSON #2: MAKE IT PROFOUNDLY SIMPLE

IHI realized that establishing a lofty goal and leaving it to hospital staff across the country to find their own ways to reach it was a recipe for failure. Adopting evidence-based practice places an additional burden on decision makers and staff. In addition to meeting their routine responsibilities, they have to collect and analyze research, determine the optimal method to integrate it into the existing culture, and define the practical steps to implementing it on a day-to-day basis. These additional tasks layered over existing duties can easily create resistance even on the part of the best-intentioned professionals. IHI sought to ameliorate this danger by defining, on behalf of the profession, six evidence-based steps (such as using proven processes to prevent ventilator-related pneumonia, elevating the head of the patient's bed to between 30 and 45 degrees at all times, and reducing surgical on-site infections through the use of simple procedures such as frequent and careful hand washing). The lesson for criminal justice?

**TRANSLATE EVIDENCE-BASED RESEARCH INTO
PROFOUNDLY SIMPLE STRATEGIES.**

SECTION 1: UNDERLYING PREMISES

In developing the Framework, the following premises were acknowledged:

- Given the current state of knowledge in the justice and the behavioral health fields, better outcomes than have been realized in the past can be expected.
- Better outcomes will be derived if existing resources (including non-incarcerative and incarcerative) are used more effectively.
- If, through the support of empirical evidence, a logic model for criminal justice processes and decision making⁴⁶ is defined and implemented with fidelity, these improved outcomes will result.
- The careful collection and analysis of data and information regarding the implementation of the logic model will produce clear and convincing evidence to guide further advancements in policy and practice. In this way, justice system outcomes can continue to improve over time.
- The U.S. justice system has developed around a set of core values. These are to be honored and protected. They provide a foundation upon which this Framework is constructed.

“Outcomes” under a risk reduction model are defined as decreases in the rate or severity of reoffense by offenders, decreases in the harm caused to communities as a result of crime, increases in the level of satisfaction with the justice system by victims, and increases in the level of public confidence in the justice system.

THE CORE VALUES OF THE JUSTICE SYSTEM

The U.S. justice “system” is in actuality many justice systems—each governed by a different combination of state and federal laws and each made up of many different organizational components. In their missions and in their involvement in individual cases, these components often have specific goals that vary considerably and are sometimes in conflict. However, their work is grounded in values that have a long history in the U.S. and that are widely embraced across the many components of any justice system. These core values guide the development and implementation of the Framework. They include the following:

- *public safety* (assuring the protection of the community and of individuals);

⁴⁶ A logic model is a graphic representation of the theory behind a conceptual framework; see Section 5 for more information.

- *fairness* (ensuring that processes in the courts and other justice system agencies are fair and free from bias);
- *individual liberty* (recognizing that a primary function of the justice system is to protect the rights and freedoms of individuals and to guard against an arbitrary exercise of governmental authority);
- *respect for the rights, needs, and concerns of victims of crime;*
- *respect for the rights of persons accused of crime;*
- *respect for the rule of law;*
- *discretion* (recognizing that the sound and informed exercise of discretion, within the parameters established by law, is an essential part of justice system decision making); and
- *appreciation for differences in perspectives and practices across jurisdictions* (recognizing that local differences in policy and practice exist and can foster innovation and contribute to improvements in practice and outcomes).

SECTION 2: THE KEY DECISION POINTS, DECISION MAKERS, AND STAKEHOLDERS IN THE CRIMINAL JUSTICE SYSTEM

This Framework was developed with key decision points, decision makers, and stakeholders in mind.⁴⁷ The following are generic terms for the key decision points; each jurisdiction must develop terms and definitions to reflect its own decision points.

KEY DECISION POINTS

- Arrest decisions (cite, detain, divert, treat, release)
- Pretrial status decisions (release on recognizance, release on financial bond, release with supervision conditions, detain, respond to noncompliance, reassess supervision conditions)
- Diversion and deferred prosecution decisions
- Charging decisions (charge, dismiss)
- Plea decisions (plea terms)
- Sentencing decisions (sentence type, length, terms and conditions)
- Local and state institutional intervention decisions (security level, housing placement, behavior change interventions)
- Local and state institutional/parole release decisions (timing of release, conditions of release)
- Local and state reentry planning decisions
- Probation and parole intervention decisions (supervision level, supervision conditions, behavior change interventions)
- Community behavior change (treatment) interventions
- Noncompliance response decisions (level of response, accountability and behavior change responses)
- Jail and prison (or local and state) discharge from criminal justice system decisions (timing of discharge)

⁴⁷ While this list is not exhaustive, for purposes of this Framework these are considered the *primary* decision points, decision makers, and stakeholders. Omission of other stakeholders, including defendants/offenders and their family members, researchers, and others, is not intended to diminish the important contribution they play in advancing evidence-based decision making.

KEY DECISION MAKERS AND STAKEHOLDER GROUPS AT THE STATE LEVEL

- The governor's office and cabinet
- State supreme court, judicial department, court rule-making authority, Administrative Office of the Courts
- State legislators (chairs or representatives of standing or ad hoc judiciary, corrections, or sentencing committees; joint judiciary and budget committees)
- Office of the Attorney General
- State defense bar
- State directors of corrections; probation and parole/community corrections
- State pretrial administrator
- Paroling authority
- Victim advocates
- Directors of state behavioral health, health, employment, family services, housing, veterans affairs, financial assistance, and other agencies serving justice-involved individuals
- Families of offenders advocacy groups
- Representatives of state criminal justice coordinating groups, advisory boards, sentencing commissions, criminal justice advocacy groups, and reform coalitions (e.g., mental health alliances)
- State defense counsel association
- State judges' association
- State prosecutors' association
- State law enforcement (sheriff, police, jail administrators) association

KEY DECISION MAKERS AND STAKEHOLDER GROUPS AT THE LOCAL LEVEL

- Law enforcement officials
- Pretrial officials
- Victim advocates
- Prosecutors
- Defense attorneys
- Jail administrators
- Court administrators
- Judges
- Probation/parole/community corrections officials
- City/county managers/commissioners
- Community representatives (e.g., civic leaders, members of faith-based organizations, service providers)
- Behavioral health and human service representatives

SECTION 3: EXAMINING JUSTICE SYSTEM DECISION MAKING THROUGH THE LENS OF HARM REDUCTION

CRIME HARMS THE ENTIRE COMMUNITY

While crime often results in the specific pain and suffering of individuals, all crime disrupts the fabric of our communities, jeopardizes our individual and collective sense of safety, and extracts a financial penalty by diverting public monies to the justice system that might otherwise support building the health of our communities (e.g., schools for our children, parks for our families). Everyone is a victim of crime. And while some suffer more than others, everyone benefits—directly and indirectly—from crime prevention and reduction efforts.

THE JUSTICE SYSTEM STRIVES TO ACHIEVE RISK AND CRIME REDUCTION

Risk reduction results from the successful application of principles and techniques that have been demonstrated to reduce the likelihood, frequency, or severity of reoffense by known defendants/offenders.⁴⁸ A growing body of science provides justice system professionals with the information and tools to estimate the level of risk an individual poses and provides principles for intervention to reduce the likelihood, severity, and/or frequency of future risk. This approach does not devalue offender accountability. In fact, it ensures that the steps taken by justice system decision makers to hold offenders accountable produce tangible and meaningful outcomes—reduced risk to reoffend.

“Harm reduction,” as used in the Framework, refers to decreases in the ill effects of crime experienced broadly by communities (e.g., resources allocated to the justice system that could otherwise be directed to alternative public priorities, unsafe streets, abandoned businesses, etc.), by victims (e.g., fear of reprisal or revictimization, financial losses, etc.), by citizens (e.g., lack of confidence in community protection efforts, generalized fears of victimization, etc.), by families of offenders (e.g., loss of wages by a family member who is justice-system involved, inability of incarcerated fathers/mothers to fulfill their parenting roles, etc.), and by offenders themselves (e.g., homelessness, unemployment, etc.).

⁴⁸ This document is intended to address the entire criminal justice system and as such there is equal interest in pretrial and post-sentence system activities and defendant/offender conduct. The term “defendant” is used to refer to the non-adjudicated, pending trial population; the term “offender” refers to the post-conviction population. In some instances, “offender” may be used to refer to both populations for ease of reading.

Actuarial instruments are one example of the research-supported tools available to criminal justice professionals. These instruments enable professionals to assess the level of risk an individual is likely to pose. While these instruments cannot determine any *one* individual's risk level with absolute certainty, they can—like the actuarial tools used to determine that a 17-year-old boy is more likely to get into a traffic accident than a 40-year-old woman—statistically predict the likelihood of an outcome among a large group of individuals with similar characteristics.

THE JUSTICE SYSTEM CAN RESULT IN HARM REDUCTION

Although the impact of crime is generally thought of in terms of the perpetrator and the victim, crime affects the health and welfare of the community in a much broader way. A harm reduction philosophy posits *the community* as the focus and acknowledges these broad impacts. Some of these very significant collateral consequences are

- high costs of incarceration, leading to increased taxes for residents and businesses;
- erosion of property values and decreased property tax revenue, leading to decreasing tax bases as residents move out of crime-plagued neighborhoods;
- loss of business revenue in high crime neighborhoods, leading to fewer job opportunities for the community;
- unraveling of residents' sense of commitment to local communities, which is critical to ensuring safe, healthy, and prosperous neighborhoods;
- growth of crime cultures, where criminal activity is so commonplace it becomes viewed as a normal part of life;
- negative influence of criminal behavior from one generation to the next;
- disruption of normal everyday activities that promote social interaction and vibrant communities;
- overall distrust of the justice system to be responsive to community, victim, defendant, or offender needs;
- unsafe conditions for children—particularly in violent neighborhoods, places where drugs are manufactured (e.g., meth labs), and schools plagued by gangs;
- removal of significant segments of some demographic subgroups (e.g., males in age groups prone to high crime) from the community; and
- repercussions (e.g., financial, emotional) experienced by families and children of incarcerated persons.

ACHIEVING, MEASURING, AND MAINTAINING HARM REDUCTION AND ADVANCING COMMUNITY WELLNESS

Justice systems focused on harm reduction and community wellness can create real and meaningful change. Understanding what these changes are and how to measure them requires establishing a set of tangible performance measures. Broadly, these performance measures can be grouped into four categories: 1) increases in public safety, 2) improvements in the wellness of the community, 3) increases in satisfaction with the justice system, and 4) improvements in the social and fiscal costs of justice system interventions.^{49, 50} Examples of possible performance measures include the following:

Increases in public safety, as measured by

- reduced physical, psychological, and economic harm to primary victims;
- fewer released defendants arrested for new offenses;
- longer elapsed time from release to reoffense;
- fewer released offenders arrested for a more serious offense than their original offense;
- decreased average number of new offenses for released offenders;
- faster case processing times (i.e., shorter elapsed time from arrest to final adjudication) that decrease the likelihood of pretrial misbehavior and increase swiftness of punishment;
- fewer people victimized by released offenders;
- fewer victims “revictimized” by original perpetrators;
- decreased number of protection order/stay-away orders violated;
- fewer reports of crime from “hot spots” involving either known offenders or new offenders; and
- increases in the proportion of jail and prison beds occupied by high risk offenders compared to low risk offenders.

93% of respondents indicate the criminal justice system should make neighborhoods safer.

—Zogby International, August 2009

⁴⁹ Real total criminal justice spending increased by 74 percent (from \$158 billion to \$274 billion) between 1993 and 2012. In 2012, real criminal justice spending was estimated at \$872 dollars per person in the United States (Executive Office of the President of the United States, 2016).

⁵⁰ Exhibit 1 provides Washington State Institute for Public Policy’s analysis of the costs and benefits of studies on 33 specific adult criminal justice programs. Analyses of this kind allow policymakers to make informed choices regarding the investment of resources and the benefits that can be derived from these investments. For Washington State Institute for Public Policy’s latest benefit-cost analysis, visit <http://www.wsipp.wa.gov/BenefitCost?topicId=2>.

Improved community wellness, as measured by

- decreased number of drug/alcohol-related traffic accidents and fatalities;
- decreases in emergency-room admissions for crime-related and drug-related injuries;
- increased number of drug-free babies born;
- fewer child welfare interventions in families of offenders;
- increases in the number of people successfully completing treatment programs; and
- fewer jail and prison admissions for people with mental health issues.

EXHIBIT 1: REDUCING CRIME WITH EVIDENCE-BASED OPTIONS: BENEFITS & COSTS

Source: Washington State Institute for Public Policy (WSIPP), 2016

Adult Criminal Justice Programs: Washington State Institute for Public Policy Benefit-Cost Results <small>Based on literature reviews conducted between April 2012 and October 2015 For the latest estimates, see: http://www.wsipp.wa.gov/BenefitCost?topicId=2</small>	Taxpayer Benefits	Non-Taxpayer Benefits	Total Benefits	Costs	Total Benefits Minus Costs	Benefit to Cost Ratio	Chance Benefits Will Exceed Costs
	<small>Value to taxpayer if crime is avoided ^a</small>	<small>Includes victims and potential victims ^b</small>	<small>Benefits to the taxpayer and non-taxpayer</small>	<small>Present value of net program costs in 2015 dollars ^c</small>	<small>Net present value</small>	<small>Amount of benefit per \$1 of cost</small>	<small>Odds program will generate benefits ≥ costs</small>
Employment and job training assistance during incarceration	\$10,092	\$24,768	\$34,860	(\$465)	\$34,396	\$75.04	99%
Electronic monitoring (probation)	\$7,160	\$18,579	\$25,739	\$1,124	\$26,863	n/a	94%
Therapeutic communities for offenders with co-occurring disorders	\$7,975	\$17,872	\$25,848	(\$3,738)	\$22,109	\$6.91	99%
Correctional education (basic or post-secondary) in prison	\$6,449	\$15,339	\$21,788	(\$1,187)	\$20,601	\$18.36	100%
Offender Re-entry Community Safety Program (dangerously mentally ill offenders)	\$22,404	\$33,083	\$55,488	(\$36,283)	\$19,204	\$1.53	90%
Day reporting centers	\$6,958	\$15,531	\$22,489	(\$3,940)	\$18,549	\$5.71	92%
Vocational education in prison	\$6,017	\$14,048	\$20,064	(\$1,653)	\$18,411	\$12.13	100%
Drug Offender Sentencing Alternative (for drug offenders)	\$5,875	\$13,993	\$19,867	(\$1,610)	\$18,257	\$12.34	98%
Mental health courts	\$5,941	\$13,140	\$19,080	(\$3,067)	\$16,014	\$6.22	99%
Electronic monitoring (parole)	\$3,963	\$10,379	\$14,342	\$1,125	\$15,467	n/a	100%
Outpatient/non-intensive drug treatment (incarceration)	\$4,475	\$10,585	\$15,060	(\$935)	\$14,125	\$16.10	100%
Swift and certain sanctions for offenders on community supervision	\$3,699	\$9,658	\$13,356	\$696	\$14,052	n/a	100%
Inpatient/intensive outpatient drug treatment (incarceration)	\$4,682	\$10,763	\$15,445	(\$1,599)	\$13,846	\$9.66	100%
Sex offender treatment in the community	\$3,478	\$10,987	\$14,464	(\$1,664)	\$12,800	\$8.69	93%
Risk, need & responsivity supervision (for high and moderate risk offenders)	\$5,642	\$11,483	\$17,125	(\$5,005)	\$12,121	\$3.42	100%
Jail diversion programs for offenders with mental illness (post-arrest programs)	(\$3,760)	\$8,803	\$5,044	\$5,618	\$10,661	n/a	61%

Cognitive behavioral treatment (for high and moderate risk offenders)	\$3,079	\$7,405	\$10,483	(\$433)	\$10,050	\$24.19	100%
Therapeutic communities for chemically dependent offenders (community)	\$3,499	\$8,004	\$11,503	(\$1,562)	\$9,941	\$7.37	100%
Case management: swift and certain/graduated sanctions for substance abusing offenders	\$4,762	\$9,501	\$14,263	(\$4,996)	\$9,267	\$2.85	95%
Drug Offender Sentencing Alternative (for property offenders)	\$3,249	\$7,378	\$10,627	(\$1,609)	\$9,018	\$6.60	70%
Drug courts	\$4,098	\$8,917	\$13,015	(\$4,984)	\$8,031	\$2.61	100%
Employment and job training assistance in the community	\$2,469	\$5,972	\$8,441	(\$464)	\$7,977	\$18.17	99%
Work release	\$1,959	\$4,492	\$6,450	(\$693)	\$5,757	\$9.30	99%
Correctional industries in prison	\$2,071	\$4,366	\$6,437	(\$1,493)	\$4,945	\$4.31	100%
Therapeutic communities for chemically dependent offenders (incarceration)	\$3,590	\$6,303	\$9,892	(\$5,004)	\$4,888	\$1.98	94%
Outpatient/non-intensive drug treatment (community)	\$1,461	\$3,251	\$4,712	(\$854)	\$3,858	\$5.52	91%
Sex offender treatment during incarceration	\$2,602	\$6,212	\$8,813	(\$5,222)	\$3,591	\$1.69	75%
Intensive supervision (surveillance and treatment)	\$4,440	\$7,069	\$11,508	(\$8,231)	\$3,278	\$1.40	73%
Restorative justice conferencing	\$1,224	\$2,543	\$3,767	(\$1,081)	\$2,686	\$3.49	70%
Inpatient/intensive outpatient drug treatment (community)	\$501	\$732	\$1,233	(\$1,045)	\$188	\$1.18	51%
Case management: not swift and certain for substance-abusing offenders	\$1,614	\$1,569	\$3,183	(\$5,000)	(\$1,817)	\$0.64	33%
Intensive supervision (surveillance only)	(\$326)	(\$2,990)	(\$3,316)	(\$4,330)	(\$7,646)	(\$0.77)	5%
Domestic violence perpetrator treatment (Duluth-based model)	(\$2,074)	(\$5,925)	(\$8,000)	(\$1,434)	(\$9,433)	(\$5.58)	17%

a: Taxpayer benefit estimates include the operating costs and annualized capital costs of police and sheriffs, superior courts and county prosecutors, local juvenile corrections, local adult corrections, state juvenile corrections, and state adult corrections. For some programs, the cost to taxpayers may be higher than treatment-as-usual (e.g., mental health or domestic violence treatment).

b: Non-taxpayer benefits are those costs avoided by people who would otherwise have been victims of crime, had the crimes not been averted. Depending on the program, benefits could include reductions in crime victimization, the economic benefits from a more educated workforce, and the benefits from employer-paid health insurance.

c: Per-participant cost estimates were provided by the Washington State Department of Corrections. The figures shown are estimates of the costs to implement programs in Washington. The comparison group costs reflect either no treatment or treatment as usual, depending on how effect sizes were calculated in the meta-analysis. Positive costs occur when the program costs less than the comparison group (i.e., treatment as usual).

Increased satisfaction with the criminal justice system, as measured by

- increased number of victims satisfied with the justice system's responses;
- increased number of offenders making restitution payments;
- increased victim participation in the justice system;
- increased cooperation of the public with the justice system;
- increased confidence by the public in the justice system/fewer people who believe the justice system is a "revolving" door; and
- increases in the number of positive media reports about the justice system.

74% of respondents agree with the statement "We should increase spending on approaches proven to reduce the chances that offenders will commit new crimes."

—Zogby International, August 2009

Improvements in the social and fiscal costs of justice system interventions, as measured by

- fewer family members of known offenders who become involved with the justice system;
- decreases in the costs for incarceration;
- greater financial return on investment in treatment, rehabilitation, and alternatives to incarceration;
- decreased crime rate;
- increased tax base;
- increases in timely child support payments; and
- increases in court-imposed fees collected.

90% of respondents indicate that the criminal justice system should work to increase the public's confidence.

—Zogby International, August 2009

A harm reduction philosophy focuses more broadly on the overall and long-term health and welfare of the community, particularly in terms of creating a collective sense of public safety.

SECTION 4: THE PRINCIPLES UNDERLYING THE FRAMEWORK

Four principles, each based upon empirical research, underlie *A Framework for Evidence-Based Decision Making in State and Local Criminal Justice Systems*. They define, in broad terms, the way criminal justice professionals will work together, make decisions, and operate their agencies under this approach.

PRINCIPLE ONE: THE PROFESSIONAL JUDGMENT OF CRIMINAL JUSTICE SYSTEM DECISION MAKERS IS ENHANCED WHEN INFORMED BY EVIDENCE-BASED KNOWLEDGE⁵¹

Decades of research in the justice and behavioral health fields have resulted in empirical findings that support practices and interventions that result in crime reduction. Enhanced awareness and the consistent application of that knowledge throughout the justice system offer the promise of decreased pretrial misconduct and post-sentence crime and community harm. The justice system's discretion points provide for the use of professional judgment to ensure that individual factors and the totality of circumstances are taken into consideration when decisions are made.

Implications of Principle One

For professional judgment to be informed by evidence-based knowledge

- evidence-based knowledge must be documented and readily available;
- the policy implications of knowledge—and their potential outcomes—must be identified;
- the methods for applying knowledge to practice must be delineated;
- professional judgment should take into account both evidence-based knowledge and case-specific circumstances; and
- where decisions are made that counter empirical evidence, the rationale for those exceptions should be explained.

61% of respondents indicate that when criminal justice professionals make decisions, research on what works in preventing crime should be the most important thing they rely on. 24% say professional experience and 9% say personal beliefs should be the major determinant.

—Zogby International, August 2009

⁵¹ See the following research citations which support this principle: Andrews & Bonta, 1998; Aos et al., 2006b; Cullen & Gendreau, 2000; Gendreau et al., 2001; Gendreau, Little, & Goggin, 1996; Grove & Meehl, 1996; Grove et al., 2000; Lowenkamp, Latessa, & Holsinger, 2006; Lowenkamp, Latessa, & Smith, 2006; Lowenkamp, Pealer, Smith, & Latessa, 2007.

PRINCIPLE TWO: EVERY INTERACTION WITHIN THE CRIMINAL JUSTICE SYSTEM OFFERS AN OPPORTUNITY TO CONTRIBUTE TO HARM REDUCTION⁵²

Offenders interact with an array of professionals (e.g., law enforcement officers, pretrial officials, jailers, judges, probation/parole officers, etc.) as their cases are processed through the justice system. Likewise, an array of professionals—and the agencies they represent—interact with *one another* (e.g., law enforcement with prosecutors, prosecutors with defenders, judges with pretrial officials, etc.). Three separate but equally important bodies of research are relevant to these justice system conditions. First, research demonstrates that professionals' interactions with offenders can have a significant positive impact on offenders' behavior. Second, parallel research demonstrates that professionals' positive interactions with victims can promote a sense of satisfaction and fairness. Third, research demonstrates that systems are most effective in achieving their ultimate outcomes when they operate as "value chains." Under a value chain system, each component of a system provides additive rather than duplicative or detracting value. For this to be true, the components' interactive operations must be fully coordinated with one another.

Implications of Principle Two

For the criminal justice system to take advantage of its interaction potential

- all professionals in the justice system must understand their individual potential to positively influence offender behavior;
- all professionals in the justice system must understand their individual potential to positively influence victims' experiences with the justice system;
- criminal justice professionals must have the knowledge and skills that will enable them to maximize these opportunities;
- agency⁵³ policies and practices throughout the justice system must enable professionals to exercise this knowledge and apply these skills;
- justice system processes must be evaluated to ensure that interchanging systems are coordinated and aligned with one another (i.e., information is shared, policies are compatible, interests and outcomes are in agreement); and
- where interchanging systems lack coordination, processes must be realigned.

⁵² See the following research citations which support this principle: Bazemore & Schiff, 2004; Bonta et al., 2008; Dowden & Andrews, 2004; Henggeler et al., 1998; Lind & Tyler, 1988; MacDuffie & Helper, 2006; Paternoster et al., 1997; Porter, 1985; Tyler, 2000, 2007; Tyler & Huo, 2002; Umbreit, 1998; WSIPP, 2004.

⁵³ Throughout this document, we use the term "agency" to indicate a discrete entity organized to serve a particular function, such as a police agency, prosecutor's office, court, corrections agency, etc.

PRINCIPLE THREE: SYSTEMS ACHIEVE BETTER OUTCOMES WHEN THEY OPERATE COLLABORATIVELY⁵⁴

Research demonstrates that specific activities, processes, and approaches—when instituted and adhered to across components—will more likely result in the achievement of articulated outcomes. As distinguished from value chain research, which addresses the importance of the interactions of *subsystems* (components of a larger whole), the research on collaboration speaks to the manner in which the *individuals* who represent different interests and organizations (e.g., court administration, jail operations, etc.) work together towards a shared outcome (decreased crime and harm, increased community safety).

Implications of Principle Three

For criminal justice leadership to achieve effective collaboration

- key decision makers and stakeholders must be identified;
- a formal, ongoing process of collaborative policymaking must be established;
- partners must ensure that collaboration occurs at the system and case levels only inasmuch as it does not infringe upon the individual rights of the accused or the responsibilities and authority of the system actors; and
- policy teams must establish and adhere to empirically derived collaboration methods that have been demonstrated to be successful in facilitating goal attainment.⁵⁵

While ethical questions regarding the participation of judges on collaborative teams have arisen in a number of circumstances, judges across the country have led or participated on teams that have addressed jail crowding, established specialty courts, revised policy and practice related to the management of a particular offender population, or otherwise contributed to improvements in court and justice system operations. The ABA Model Code of Judicial Conduct and the majority of state judicial rules of ethics support the participation of judges in commissions or policy-level groups that are “devoted to the improvement of the law, the legal system, or the administration of justice.” For a more in-depth discussion of the ethical conduct of judges on collaborative teams, see Stroker, 2006, and Gray, 2002.

⁵⁴ See the following research citations which support this principle: Adler, Kwon, & Heckscher, 2008; Collins & Porras, 1997; Heckscher & Adler, 2006; Henggeler et al., 1998; Larson & LaFasto, 1989.

⁵⁵ A body of literature on successful collaborative processes exists and should guide this work. As addressed in Section 6, supporting documents will describe these research findings and translate findings into specific steps collaborative teams can follow.

PRINCIPLE FOUR: THE CRIMINAL JUSTICE SYSTEM WILL CONTINUALLY LEARN AND IMPROVE WHEN PROFESSIONALS MAKE DECISIONS BASED ON THE COLLECTION, ANALYSIS, AND USE OF DATA AND INFORMATION⁵⁶

Learning systems are those that adapt to a dynamic environment through a process of continuous information collection and analysis. Through this process of individual and collective learning, entities—whether a single professional working with an individual case, an agency monitoring its overall operations, the justice system as a whole monitoring system efficiency and effectiveness, or a state agency monitoring the policy and practice outcomes throughout multiple departments statewide—improve their processes and activities in a constant effort to achieve better results at all levels. In addition to facilitating continuous improvements in harm reduction within an agency or system, ongoing data collection adds to the overall body of knowledge in the field about what works and what does not.

Implications of Principle Four

For the justice system to become a learning entity, the following is necessary:

- the establishment of clear, specific, and transparent performance measurements that identify and measure approaches and activities demonstrated or believed⁵⁷ to contribute to desired outcomes at the case, agency, and system levels;
- the establishment of baseline measures at the case, agency, and local and/or state system levels;
- ongoing, accurate, and objective collection of data at the case, agency, and system levels;
- critical and objective analysis of these data to compare agency and system performance with established targets;
- commitment to quality assurance in the performance of activities and in the collection of meaningful data;
- continual feedback loops to ensure that information is shared, mutually understood, and collaboratively deliberated;
- commitment to view less-than-desirable results as opportunities to improve; and
- modification of policy and practice as performance measures and quality control monitoring indicate.

89% of respondents indicate that criminal justice officials should tell the public how well they are doing at reducing crime.

—Zogby International, August 2009

⁵⁶ See the following research citations which support this principle: Peters & Austin, 1986; Peters & Waterman, 2004; Senge, 2006.

⁵⁷ Where the evidence falls short or is incomplete, data collection and critical analysis are particularly important.

Lessons in Using Evidence...From *Moneyball*

In the book *Moneyball: The Art of Winning an Unfair Game* (2003), Michael Lewis examined the question of how the Oakland Athletics, the second poorest team in Major League Baseball, repeatedly excelled against better-financed teams. Unable to match the financial strength of perennial favorites such as the New York Yankees, the Oakland Athletics used another strategy to achieve consistently high performance: they used evidence.

Oakland Athletics general manager Billy Beane challenged baseball's conventional wisdom around common decisions such as the advantage of drafting power hitters and when to bunt. By using statistics and other evidence, Beane determined, for example, that a walk is not an inferior way to get on base; it is, in fact, as good as a single. With this conclusion, Beane set out to recruit not the power hitters but those with the best walk-to-at-bat statistics. In this way, players were recruited based on their overall "value-add" to the team.

Applying this type of analysis to every aspect of baseball, Beane established a method of decision making that relied on data and information to support the cost-benefit decisions that would lead to a higher performing team, demonstrating that it matters less how much money is spent and more how it is spent.

SECTION 5: APPLYING EVIDENCE-BASED PRINCIPLES TO PRACTICE

A LOGIC MODEL FOR HARM REDUCTION DECISION MAKING AT THE SYSTEM LEVEL

A logic model is a graphic representation of the theory behind a conceptual framework and the set of activities designed to achieve one or more desired impacts. The logic model supporting *A Framework for Evidence-Based Decision Making in State and Local Criminal Justice Systems* reflects, broadly, the EBDM planning process.⁵⁸ Logic models illustrating implementation efforts at the local *system* level and the state *system* level are also provided. They are built upon the four principles underlying the Framework (as described in Section 4). The models outline the logical flow of both the processes and activities involved in implementation, and they demonstrate the expected harm reduction impacts that will result from these processes and activities.

Logic models are built using several key elements:

- inputs, which represent existing and needed *resources* (both financial and human), policies, practices, facilities, and capabilities that jurisdictions bring to the table in implementing the Framework;
- activities, which represent the specific *strategies* to be put in place to implement the Framework and apply evidence-based decision making to achieve harm reduction;
- outputs, which specify the *immediate results* that occur as activities and strategies are implemented (e.g., change in policy/practice, adoption of new tools/protocols, number of people trained, etc.);
- outcomes, which serve as *indicators* that change is occurring at key decision points in the justice system as a result of the activities and which demonstrate that evidence-based decision making has been implemented; and
- impacts, which define the types of *long-term results* that can be anticipated and measured as a result of the Framework's implementation.

Underlying each logic model are assumptions and contextual conditions. The assumptions are based on the principles in the Framework and serve as the rationale for how jurisdictions can achieve harm reduction by implementing this Framework. Because the logic models are illustrative, each jurisdiction will tailor specific aspects of the activities and types of outcomes/impacts expected based on its unique circumstances. These circumstances are referred to as contextual conditions.

⁵⁸ The EBDM planning process is presented in greater detail through the EBDM starter kit and roadmaps. See: <https://info.nicic.gov/ebdm/>

EVIDENCE-BASED DECISION MAKING SYSTEM-LEVEL IMPLEMENTATION STEPS

Implementation of evidence-based decision making requires a desire and commitment to change how the justice system responds to alleged and substantiated illegal behavior in a way that enhances public safety and reduces harm to communities, victims, defendants, and offenders. Such change necessarily involves a complex set of implementation steps that need to occur at multiple levels within the system—at the overall system level (i.e., involving all local or state stakeholders within the justice system), within each agency/entity that engages in the criminal justice process (e.g., police, prosecutors, defense, pretrial services, courts, community corrections, and corrections), and at the case level (e.g., in terms of how decisions are made in individual cases). The Framework provides an overall vision for how evidence-based decision making can work in local and state criminal justice systems and the types of outcomes and impacts that might be expected if evidence-based decision making is implemented.

In general, the implementation process includes four stages: 1) developing a systemwide vision and process for evidence-based decision making, 2) developing a plan to implement the policy and procedural changes necessary to support the implementation of evidence-based decision making, 3) implementing evidence-based decision making, and 4) institutionalizing and refining evidence-based decision making through an ongoing process of review and refinement.

Samples of system-level logic models are provided below. They depict the relationships between activities, outcomes, and impacts at the state level and at the local level. Each sample logic model is provided to show generally how implementation of evidence-based decision making can change the system's response to alleged or substantiated illegal behavior, enhance public safety, and reduce harm.

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 replicated.

If failures cannot be identified, they cannot be corrected.

If results cannot be demonstrated, support cannot be secured.

Adapted from Osborne & Gaebler, 1992.

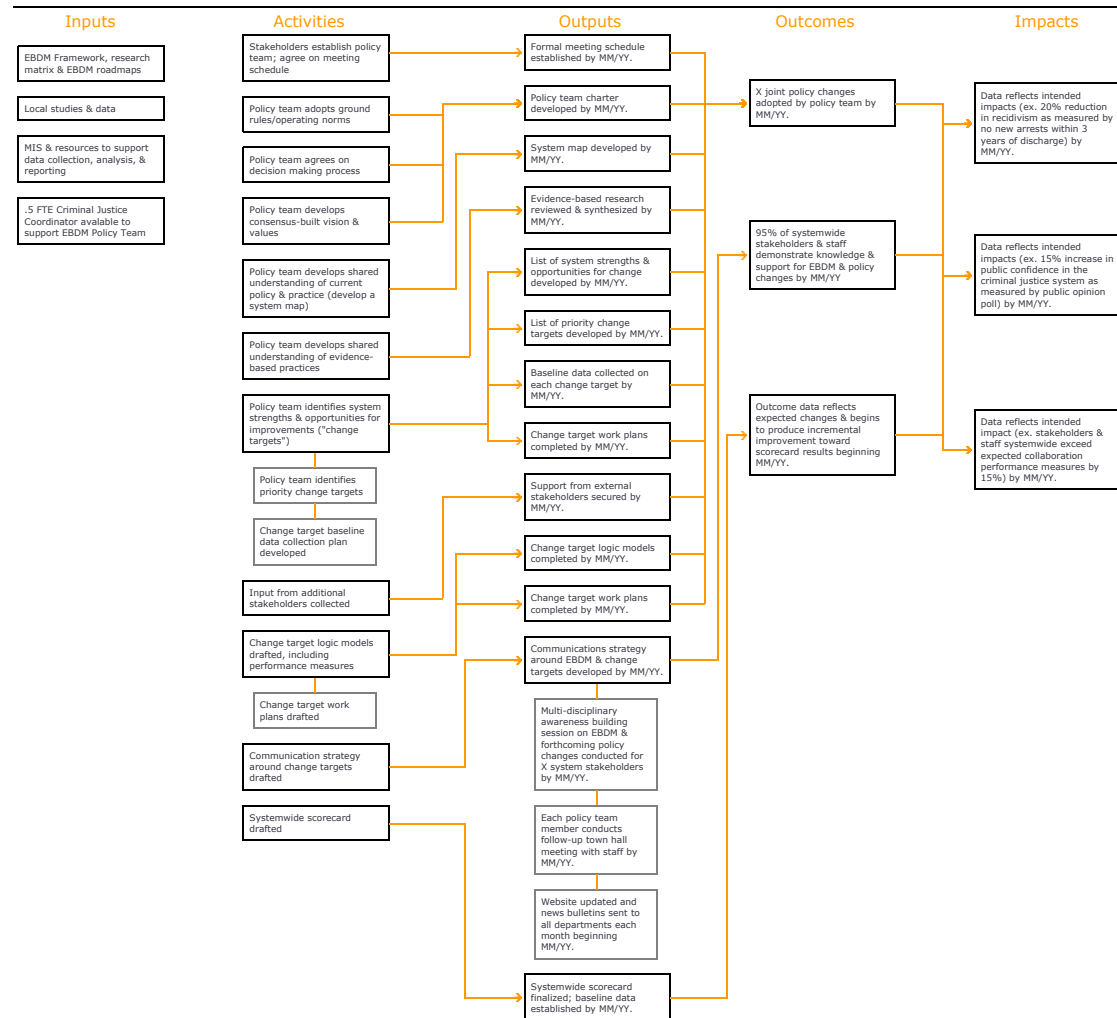
IHI LESSON #3: A MARATHON IS RUN ONE STEP AT A TIME

IHI announced from the start that not every Campaign participant had to implement all six interventions at once. Recognizing that small wins would unleash an appetite for larger victories, their motto became “one step at a time.” This approach resolved the problem of implementing change across a very large and diverse nation: what was possible in an urban research facility in Massachusetts, for example, might not be practical for a small, rural hospital in Minnesota. Yet each had the opportunity to succeed, one step at a time. The lesson for criminal justice?

**PROVIDE THE TOOLS TO WIN THE RACE;
LET THE RUNNERS SET THEIR PACE.**

EBDM PROCESS LOGIC MODEL

(See EBDM Roadmaps for additional details)



Assumptions:

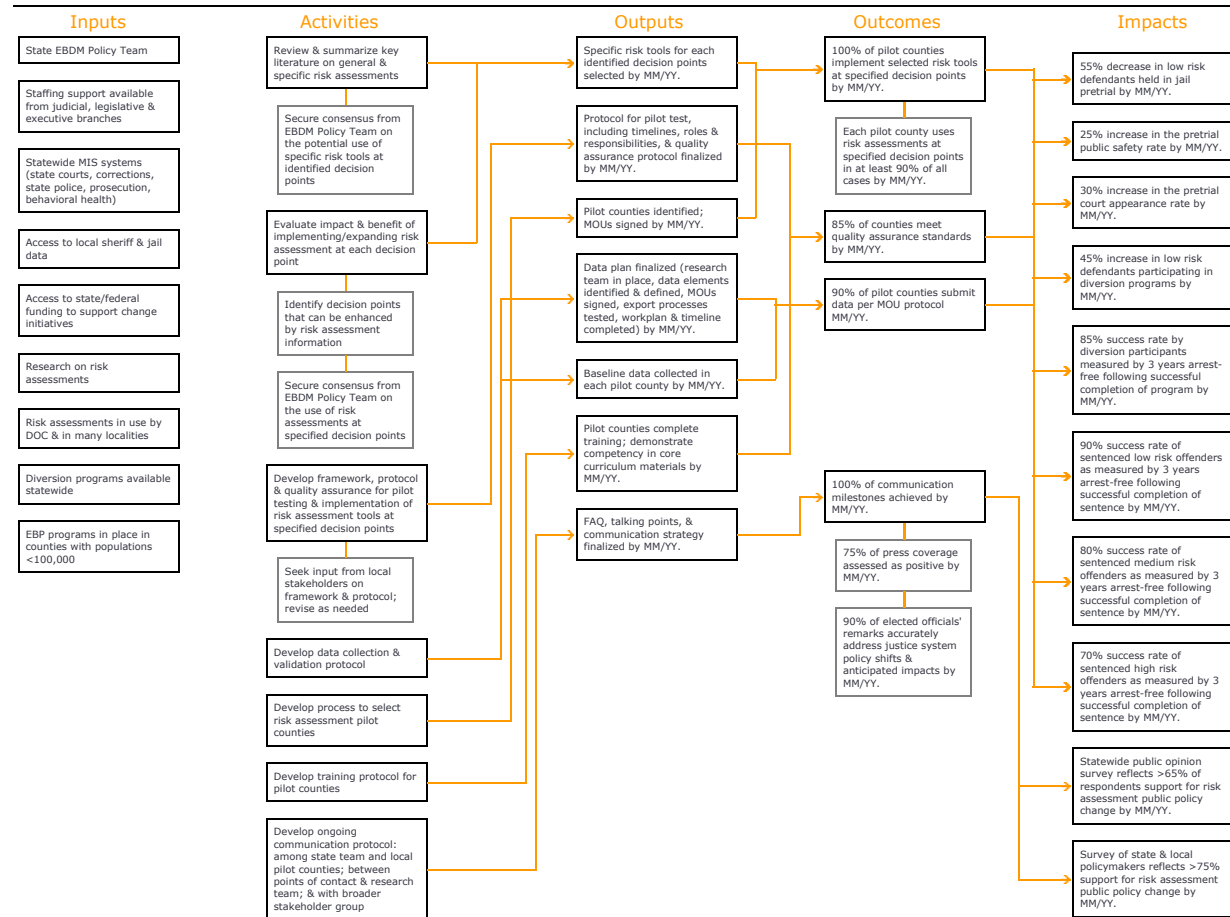
1. The professional judgment of criminal justice system decision makers is enhanced when informed by evidence-based knowledge.
2. Every interaction within the criminal justice system offers an opportunity to contribute to harm reduction.
3. Systems achieve better outcomes when they operate collaboratively.
4. The criminal justice system will continually learn and improve when professionals make decisions based on the collection, analysis and use of data and information.

Contextual Conditions (to be assessed):

- Core values of the justice system
- Local and/or state politics
- Local economic situation
- Justice system stakeholder commitment & support
- Collaborative climate & level of trust among stakeholders
- Willingness to share data
- Commitment to building a results-driven structure
- Availability of funding to support planning process & change initiatives
- Justice system structure and staffing
- Community support

EXAMPLE: PORTION OF AN EBDM LOCAL LEVEL LOGIC MODEL (RISK ASSESSMENT)

(Illustrative, not comprehensive)



Assumptions:

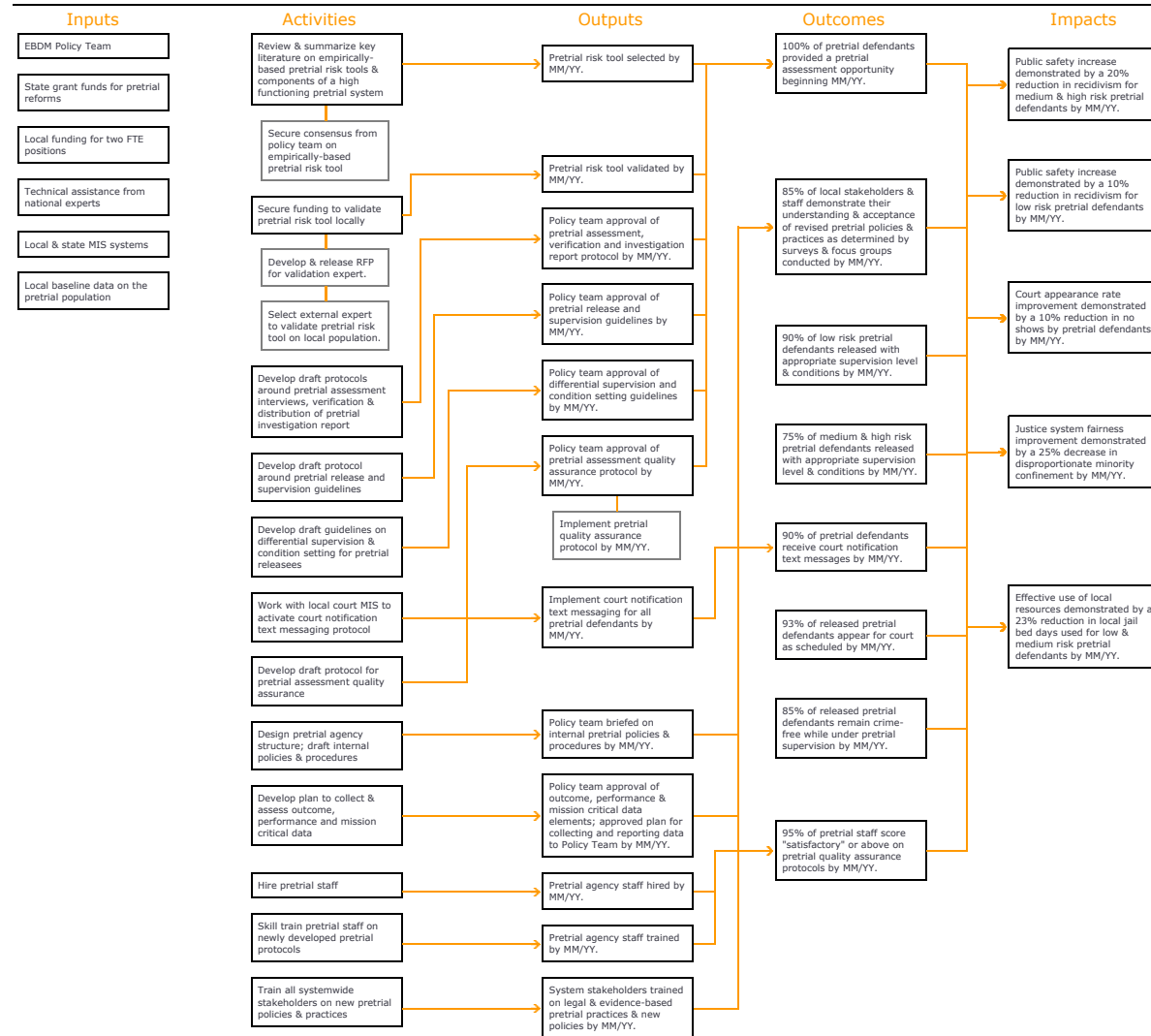
1. The professional judgment of criminal justice system decision makers is enhanced when informed by evidence-based knowledge.
2. Every interaction within the criminal justice system offers an opportunity to contribute to harm reduction.
3. Systems achieve better outcomes when they operate collaboratively.
4. The criminal justice system will continually learn and improve when professionals make decisions based on the collection, analysis and use of data and information.

Contextual Conditions:

- State policymakers have articulated a key justice system goal of risk reduction
- Support for EBDM from Executive, Legislative & Judicial leadership
- Support for EBDM effort from statewide associations
- State and local economic conditions stable
- Statewide assessment of programs indicates the majority of services are evidence-based but placements are not informed by risk/needs assessments
- Statewide assessment demonstrates diversion programs across the state are widely underutilized
- Statewide workgroup is currently developing a model policy for the operation of diversionary programs
- Public & media unfamiliar with risk reduction research; data suggests that awareness-building is necessary to gain public support

EXAMPLE: PORTION OF AN EBDM STATE LEVEL LOGIC MODEL (PRETRIAL)

(Illustrative, not comprehensive)



Assumptions:

1. The professional judgment of criminal justice system decision makers is enhanced when informed by evidence-based knowledge.
2. Every interaction within the criminal justice system offers an opportunity to contribute to harm reduction.
3. Systems achieve better outcomes when they operate collaboratively.
4. The criminal justice system will continually learn and improve when professionals make decisions based on the collection, analysis and use of data and information.

Contextual Conditions:

- National movement around pretrial has led local and state stakeholder interest in pretrial reform
- Policy Team consensus on the goals of pretrial change effort & values to guide future pretrial practices
- Local concerns around ensuring policies and practices are fair and address system disparities, particularly for minority populations
- Long-standing practice of using financial release conditions (money bond) & bond schedules

SECTION 6: KEY CHALLENGES IN IMPLEMENTING THIS FRAMEWORK

Without a doubt, implementation of this Framework has raised a number of challenges and “thorny” issues for criminal justice system decision makers. Some of these are pragmatic, some operational, others philosophical. While we do not attempt to identify all of these, a few key issues are noted as among the most complex. How they are addressed has proven to be jurisdiction-specific; the extent to which these (and other) issues have surfaced, and the manner in which their resolution has been addressed, is based in large part on the culture and resources of individual communities.

RISK REDUCTION AND EVIDENCE-BASED DECISION MAKING IN THE CONTEXT OF SANCTIONING PURPOSE

Different Cases, Different Purposes

Much has been written about the purposes of sentencing. Each (just desserts/retribution, deterrence, rehabilitation, and incapacitation) offers a rationale for sanctioning offenders. The most notable of the differences among them is the distinction between utilitarian goals—those that aim to produce some good as a result of the sanction (such as discouraging criminal behavior, helping offenders learn to avoid future criminal engagement, restoration of the harm caused to the victim and community, or restraining those thought likely to pose a threat in the future)—and the non-utilitarian “just deserts” approach which asserts that offenders deserve to be punished for their crimes, regardless of whether that punishment will influence future behavior.⁵⁹ Only some of these attend to the issue of risk reduction.

The unique factors and considerations of a given case may result in one sanctioning purpose taking precedence over another. In those instances where risk reduction is not identified as the primary purpose of sanctioning, its significance and important role should nonetheless be fully considered.

The Weight of the Evidence

As described previously, there is a wide body of research to support the claim that risk reduction is possible.⁶⁰ The evidence regarding other sanctioning purposes is, thus far, less compelling.⁶¹ Evidence-based decision making requires that decision makers understand the

⁵⁹ See particularly the writings of M. Kay Harris on the topic of sanctioning philosophies (e.g., Harris, 1986).

⁶⁰ See “What Works in Reducing Pretrial Misbehavior and Offender Recidivism” in Appendix 3 and “7 Ways to Reduce Recidivism” on pages 9-12.

⁶¹ For instance, research finds that incarceration and other punitive sanctions, in isolation of other interventions, do not reduce future offending; see Gendreau & Goggin, 1996; Gendreau et al., 1999; Lipsey & Cullen, 2007; Smith et al., 2002. Research also suggests that deterrent effects are inconsistent and depend on individual characteristics, emotions, experiences, etc. Therefore, outcomes derived solely from deterrence are difficult to predict; see Bouffard, Exum, & Paternoster, 2000; Exum,

relative impact of various sanctioning options and take this into account when determining the outcome of a particular case.

In point of fact, 95% of convicted offenders will ultimately be released to the community.⁶² The weight of the evidence demonstrating the efficacy of risk reduction approaches provides justice system actors with confidence that the goal of risk reduction can be achieved⁶³ either singularly or in conjunction with other sanctioning purposes. In this way, risk reduction should not be “sidelined” when other sanctioning goals are considered to be of equal or higher value. It is not an “either/or” proposition, although *how* risk considerations are factored into a case may vary. Several case scenarios may best illustrate this point:

- A low risk offender who has committed a serious crime might be sentenced to serve his time in jail rather than prison if it is determined that jail would be less likely to expose the offender to the antisocial influences that lead to increases in crime among lower risk offenders.
- A moderate risk offender sentenced to prison might be placed in an institution closer to home, where supportive family members have a greater opportunity to offer positive influence. He may also be provided risk reducing programming during and following incarceration.
- A high risk offender convicted of a low level offense might be placed on intensive supervision and be required to complete a high intensity treatment program.

In each of these scenarios, risk reduction is a consideration in the crafting of an appropriate disposition, in some cases *alongside* other sanctioning purposes.

PLEA NEGOTIATIONS

In most jurisdictions, well over 90% of felony criminal cases are handled through pleas, with the majority of the courts accepting those pleas as negotiated.⁶⁴ In many jurisdictions, plea negotiations are often crafted in highly prescriptive ways, dictating, for example, not only the length of incarceration and probation supervision but also the specific conditions of supervision. Yet, few jurisdictions have available to them information about an offender’s risk to reoffend or criminogenic needs at the point of

Perhaps no other justice system process has as profound an effect on harm reduction as plea negotiations. To be successful in reaching the goal of public safety, plea negotiation practices should be guided by research.

2002; Matsueda, Kreager, & Huizinga, 2006; Nagin, 1998; Piquero & Pogarsky, 2002; Pogarsky, 2002, 2007; Stafford & Warr, 1993.

⁶² See Hughes & Wilson, 2003.

⁶³ For a review of some of the research, see Appendix 3.

⁶⁴ See Durose & Langan, 2007; Rosenmerkel, Durose, & Farole, 2009. While misdemeanor cases outweigh felonies 4 to 1 (LaFountain et al., 2008), no national data is available to indicate the percentage of these cases that are settled through plea agreement.

plea negotiation, meaning that key decision makers—prosecutors and defenders—negotiate these agreements absent information about how best to influence future criminal behavior based on the unique characteristics of the offender being sentenced. As a result, in most jurisdictions, cases are passed along to corrections and/or probation, which then assess risk/needs and, in many cases, work to retrofit research-based interventions to court-imposed sentencing parameters.

Arguably, the introduction of risk/need information at the plea stage—and perhaps earlier—could have a profound effect on judicial decisions, and yet this is not without its due process and resource challenges. This is another of the important issues to be addressed by this initiative.

THE MANAGEMENT OF LOW LEVEL OFFENSES

Many justice systems across the country are inundated with minor criminal matters. These petty or “nuisance” crimes, as they are often called, consume enormous system resources, including police officer time, pretrial assessments and perhaps pretrial supervision, hearings before bail commissioners and magistrates, jail beds, court dockets, etc. Often, the defendants charged with these crimes are indigent, mentally ill, and/or homeless; many are “revolving door” cases, individuals who are apprehended and processed numerous times over the course of a year. Efforts to process and manage their cases consume a significant portion of the justice system budget. Insufficient funding or services and/or the press of overwhelmingly high caseloads can result in quick-fix responses that may address the immediate, pressing problem of moving the case forward within established timeframes but too often fall short of resolving the systemic influences that lie at the heart of the criminal behavior.

Criminal justice entities and agencies across the country process hundreds or even thousands of these cases in a given day or week,⁶⁵ oftentimes without the opportunity to diagnose the factors leading to the criminal behavior or to construct a solution with long-term potential. Assessments are rarely conducted in these cases, resulting in a situation in which little information other than a criminal history and arrest report are available to guide decision making.

The Framework seeks to apply evidence-based knowledge to all criminal justice decisions and in all types of cases—petty, serious, and all those in between. There are at least two challenges in doing so. First, there is a dearth of research-informed knowledge to guide policy and practice in some areas. Second, the volume of cases, shortage of labor, press of time, difficulties associated with unique challenges such as the seriously mentally ill, and, in some cases, insufficient physical space to conduct interviews, provide services, etc., combine to create seemingly impossible barriers to evidence-based practices with all cases. This is yet a third key implementation challenge that remains a focus for the EBDM initiative.

⁶⁵ The actual numbers vary widely by jurisdiction and in some jurisdictions are very low. See LaFountain et al., 2008; National Association of Criminal Defense Lawyers, 2009.

LOOKING TO THE FUTURE

Implementation of the Framework has surfaced a variety of “thorny issues,” including those anticipated in the 1st edition and addressed here: risk reduction as opposed to or alongside other sanctioning purposes; whether and how risk and criminogenic need information should be considered at early decision points (that is, at the arrest, pretrial, and plea negotiation stages); and how best to effectively and efficiently use research to end the revolving door of low level criminal cases. As time and experience have evolved, other “thorny issues” have arisen. These include the complexities of the current drug epidemic sweeping some communities in our nation; the movement toward the elimination—or significantly curtailed use—of money bond; the crushing burden of fines and fees, particularly on indigent persons; disproportionate minority confinement; and policing practices, to name just a few.

Perhaps the best test of the EBDM Framework is the fact that the EBDM teams that have confronted (or been confronted by) these issues have not shied from them, or pulled away from the EBDM policy team table. On the contrary, these are precisely the matters that have solidified the resolve of the EBDM teams to press forward with their work.

Further galvanizing their efforts is the promise of the in-state partnerships. Phase III of the EBDM effort suggested the potential of EBDM if it were applied more broadly than in one or two localities within a given state. Phases IV, V, and now VI of the EBDM effort have demonstrated the promise of EBDM as a focused strategic effort within multiple localities and in partnership with state policymakers. Indeed, the change initiatives underway in the Phase VI EBDM states are nothing short of remarkable with respect to the degree that they are coordinated across jurisdictional boundaries, widely supported by both state and local decision makers, empirically based, and supporting alignment across both policy and practice. The processes used and outcomes realized from these unprecedented state–local partnerships will be the subject of future EBDM publications.

While it is expected that the continued discussions and debates about how to address these complex issues facing our nation’s justice systems, both at the state and local level, will be difficult—and will raise questions that compel policymakers to confront directly their philosophies, values, commitment to past practices, and abilities to creatively design new justice system approaches—there is no doubt that these deliberations will move the field forward in the advancement of evidence-based decision making and improved justice system outcomes. To be sure, one of the key strategies to making this possible is collaborative policymaking.

SECTION 7: COLLABORATION: A KEY INGREDIENT OF AN EVIDENCE-BASED SYSTEM

ALIGNING THE CRIMINAL JUSTICE SYSTEM TO ACHIEVE HARM REDUCTION

Components of the criminal justice system—and the agencies and actors that represent them—frequently operate without clarity of, or consensus on, the outcomes the system seeks to achieve and/or the optimal methods to reach them.

New ways of thinking about how this “system” *could* work; evidence-based knowledge about how best to produce intended outcomes at the system, agency, and case levels; and empirical evidence about methods to achieve effective collaborative processes offer guidance to state and local jurisdictions interested in working collaboratively to achieve harm reduction.

BRINGING THE STAKEHOLDERS TO THE TABLE TO FORM POLICY TEAMS⁶⁶

Collaboration in the criminal justice system seeks to overcome the limitations of traditional and non-systemic approaches to criminal justice problem solving and solution development by bringing together stakeholders to share information, work toward the development of common goals, and jointly create policies to support those goals. *Stakeholders* are defined as those who influence and have an investment in the justice system’s outcomes. These systemwide stakeholder groups are referred to as *policy teams*.

Ideally, policy teams are comprised of the criminal justice agencies and community organizations that impact, or are impacted by, decisions that will be made by the collaborative team. The specific composition of the collaborative team varies from jurisdiction to jurisdiction and depending on whether it is a local or state-level team. Those with the positional or personal power to create change within their own agencies and organizations are appropriate members of the collaborative team. All of the key decision makers and stakeholder groups (listed in Section 2) play a part in the administration of justice and bring valuable information, resources, and perspectives to this collaborative endeavor.

Collaboration is the process of working together to achieve a common goal that is impossible to reach without the efforts of others.

⁶⁶ Carl Larson and Frank LaFasto (1989) studied an array of public and private sector working groups in an effort to identify the characteristics of highly effective teams. Their findings provide a roadmap for jurisdictions that seek to work together in a truly collaborative manner. For more information and guidance on establishing policy teams to undertake a collaborative, evidence based decision making process, see the EBDM Starter kit available at <https://info.nicic.gov/ebdm/>

IHI LESSON #4: INDIVIDUALS ARE NOT FLAWED; SYSTEMS ARE

In its campaign to save 100,000 lives, IHI refused to view individual failure as the way to account for the needless loss of 100,000 lives. Instead, they focused on correcting the system of medical care. In the words of Berwick, “Every system is perfectly designed to achieve exactly the result it gets.” IHI adopted the position that individual healthcare professionals did not need to work harder, smarter, or faster; instead, they needed to change a flawed system that led smart and dedicated people to make mistakes. The lesson for criminal justice?

**BUILD A SYSTEM THAT WILL NATURALLY RESULT
IN THE OUTCOMES WE SEEK.**

SECTION 8: BUILDING EVIDENCE-BASED AGENCIES

ALIGNING CRIMINAL JUSTICE AGENCIES TO ACHIEVE HARM REDUCTION

For evidence-based decision making to be effective, it must occur with consistency throughout the justice system. That is, the reliance on evidence to inform decision making should occur at the system level, at the agency level, and at the case level.

The preceding section on collaboration suggests that system-level alignment can best be achieved through a collaborative policy team process. Agency- and case-level alignment require a different approach; they require a specific focus on organizational development within each of the justice system agencies.

Adopting a practice of relying on evidence to inform decision making—rather than relying on tradition, personal beliefs, or other factors—will undoubtedly require some (but more likely all) agencies in the criminal justice system to reevaluate their policies and practices.⁶⁷ Doing so involves

- reevaluating agency mission, goals, and values to support a vision that is shared by all the justice system stakeholders as well as the workforce within the agency;
- reconsidering agency policy and practice in light of evidence-based knowledge;
- in some instances, retooling organizational structure;
- addressing, where necessary, organizational culture to align with a new vision, mission, and goals; and
- providing new knowledge and skills for staff.

For these change efforts to take hold, they must prove themselves to be reliable and to better support staff's ability to effectively carry out their duties. For example, if at the sentencing stage, objective data is provided to defense counsel, prosecutors, and judges that effectively informs and shapes the sentencing decision, decision makers will come to not only expect but also to rely on this information in the future. If, on the other hand, the information provided is neither useful nor reliable, the new approach of considering objective data will be abandoned and past practice will prevail.

Organizational change is not easy, nor is it always successful. According to experts⁶⁸

- up to 85% of organizational change initiatives fail; and
- up to 70% of these failures are due to flawed execution.

Organizational development is the practice of changing internal systems, and people, for the purposes of vision and mission advancement.

⁶⁷ Appendix 3 is a compilation of evidence-based knowledge that has policy implications for justice system professionals.

⁶⁸ Rogers, Wellins, & Connor, 2002.

IHI LESSON #5: MAKE THE NEW EASIER THAN THE OLD

IHI understood that if the practices they were promoting did not appeal to those who would implement them—if they were seen as nothing more than additional work burdens—change would not occur. On the other hand, if the new practices could save staff time and effort and enhance patient safety, staff would be quick to embrace and integrate the new practices. Models for replacing former practices with newer, streamlined approaches were adopted by involving staff in the process. Senior physician Steven Tremain, Contra Costa Regional Medical Center, summarized the results: “We basically exposed people who were hungry to learn how [to achieve better results without additional burden]...and they took it and ran with it. What [we]...created is the belief that it can be done.” The lesson for criminal justice?

**REPLACE CURRENT PRACTICES WITH THOSE THAT
ARE MORE EFFECTIVE AND EASIER TO IMPLEMENT.**

MAKING “WHAT WORKS” WORK

An enormous investment of public funds is made each year in the name of public safety. The strategic use of those funds can produce a profoundly positive impact, as measured by fewer new victims and fewer new crimes committed by offenders under criminal justice control. However, changing policy and practice at the system, agency, or case level is no simple task, particularly when these changes challenge current philosophies, understandings of the research, and the day-to-day practice routines of agencies and staff. To reach their full potential, evidence-based practices cannot simply be placed alongside past practice or through the piecemeal exchange of one past practice for a new one. Instead, an *evidence-based decision making process*—a systemic approach that uses research to inform decisions at all levels—offers the greatest promise for recidivism reduction and the potential for a tremendous return: one million fewer victims.

Some Dos and Don'ts of Recidivism Reduction

- Do...* Use risk assessment tools: they are the foundation of risk reducing strategies.
- Do...* Provide evidence-based programming that targets criminogenic needs for medium and higher risk offenders.
- Do...* Address antisocial thinking and problem solving skills.
- Do...* Respond to misconduct with swiftness and certainty.
- Do...* Use more carrots than sticks.
- Do...* Deliver services in natural (community) environments.
- Don't...* Expect sanctions alone to change behavior.

APPENDIX 1: ADVISORY BOARD MEMBERS: EVIDENCE-BASED DECISION MAKING IN LOCAL CRIMINAL JUSTICE SYSTEMS INITIATIVE⁶⁹

- Shirley Abrahamson, Chief Justice, Supreme Court of Wisconsin, Madison, Wisconsin
- Suzanne Brown-McBride, Executive Director, California Coalition Against Sexual Assault, Sacramento, California
- Edwin Burnette, Chief Public Defender, Cook County Public Defender's Office, Chicago, Illinois
- Gary Christensen, Principal, Corrections Partners, Inc., Clinton Corners, New York
- Gary Darling, Criminal Justice Planning Manager, Larimer County, Fort Collins, Colorado
- Adrian Garcia, Harris County Sheriff, Houston, Texas
- Robert Johnson, Anoka County Attorney, Anoka, Minnesota
- Dale Koch, Senior Judge, Multnomah County Courthouse, Multnomah County Circuit Court, Portland, Oregon
- Sally Kreamer, Director, Fifth Judicial District, Department of Correctional Services, Des Moines, Iowa
- Michael Marcus, Judge, Multnomah County Circuit Court, Portland, Oregon
- Carlos Martinez, Public Defender, Law Offices of the Public Defender, Miami, Florida
- Peggy McGarry, Director, Center on Sentencing and Corrections, Vera Institute, New York, New York
- Geraldine Nagy, Director, Travis County Community Supervision and Corrections Department, Austin, Texas
- Wendy Niehaus, Director, Department of Pretrial Services, Hamilton County, Cincinnati, Ohio
- Michael Planet, Executive Officer, Ventura County Superior Court, Ventura, California
- Ronald Reinstein, Director, Center for Evidence Based Sentencing, Arizona Supreme Court, Phoenix, Arizona
- Susan Shaffer, Director, District of Columbia, Pretrial Services Agency, Washington, D.C.
- P. David Soares, District Attorney, Albany Judicial Center, Office of the District Attorney, Albany, New York
- Mark Thompson, Judicial District Administrator, Hennepin County District Court, Minneapolis, Minnesota
- Roger Warren, President Emeritus, National Center for State Courts, Williamsburg, Virginia

⁶⁹ This list reflects the titles and positions of Advisory Board members at the time they served on the board during Phase I.

- Thomas White, Director of Operations, Court Support Services Division, Connecticut Judicial Branch, Wethersfield, Connecticut

APPENDIX 2: ADVISORS FOR EVIDENCE-BASED DECISION MAKING IN STATE AND LOCAL CRIMINAL JUSTICE SYSTEMS INITIATIVE⁷⁰

- John Choi, County Attorney, Office of the Ramsey County Attorney, Minnesota
- Carol Fredrick, Attorney, Yamhill County, Oregon
- Tiana Glenna, Criminal Justice Coordinator, Eau Claire County, Wisconsin
- Wendy Goodman, Chief Probation Officer, District #9 Probation and Parole, City of Charlottesville/County of Albemarle, Virginia
- Stan Hilkey, Executive Director, Colorado Department of Public Safety, Former Mesa County Sheriff, Colorado
- Mary Kay Hudson, Problem-Solving Court Administrator, Indiana Judicial Center, Indiana
- Jeff Kremers, Chief Judge, 1st Judicial District, Milwaukee County, Wisconsin
- Julie Lanham, Executive Director of Case Management and Reentry Initiatives, Indiana Department of Correction, Indiana
- Cindy McCoy, Director, Grant County Correctional Services, Probation Department, Indiana
- Roberta Nieslanik, Deputy Director, Office of Alternate Defense Counsel, Mesa County, Colorado
- Eric Philp, Director, Division of Probation Services, Colorado
- Carol Roberts, Director, Ramsey County Community Corrections, Minnesota
- Jane Seigel, Executive Director, Indiana Judicial Center, Indiana
- Ted Smietana, Director, Yamhill County Community Corrections, Oregon
- Jeanne Smith, Director, Division of Criminal Justice, Colorado Department of Public Safety, Colorado
- Pat Smith, Director, OAR/Jefferson Area Community Corrections, Pretrial and Local Probation, City of Charlottesville/County of Albemarle, Virginia
- Mark Spitzer, Judge, Grant Circuit Court, Grant County, Indiana
- Glenn Tapia, Director, Office of Community Corrections, Division of Criminal Justice, Colorado Department of Public Safety, Colorado
- Kellie Wasko, Deputy Executive Director, Colorado Department of Corrections, Colorado

⁷⁰ This list reflects the titles and positions of Advisors during Phase IV.

APPENDIX 3: METHODOLOGY USED TO COMPUTE 1 MILLION FEWER VICTIMS

This Framework was developed to assist criminal justice system stakeholders in applying evidence to decision making. Applying evidence to decision making can contribute to reductions in the rate of recidivism and in collateral harm to communities. A specific goal—fewer victims—has been identified as a means to gauge success and galvanize stakeholders around this national initiative. The initiative has established the goal of one million fewer victims.

According to the Bureau of Justice Statistics,⁷¹ in 2012 there were 2,425,011 full-time employees working in federal, state, and local justice systems. The listing includes those involved in corrections (749,418), judicial and legal positions (491,979), and police protection (1,183,614). It does not include part-time employees or those engaged in working directly with offenders in programming (such as non-governmental, contractual service providers in community settings).

2.4 MILLION JUSTICE SYSTEM EMPLOYEES

2.4 million justice system employees means that every day, there are 2.4 million opportunities to reduce harm and the likelihood that an individual will commit another crime. If just *half* of these individuals were to effectively apply evidence-based practices on just one case resulting in one less offender with one less victim, the net effect would be one million fewer victims.

This Framework and initiative form the basis of the “One Less _____” campaign because every individual who works in the justice system *can* make a difference. It is nothing less than a call to action.

One less offender.

One less crime.

One less victim.

⁷¹ Kyckelhahn, 2015.

APPENDIX 4: RESEARCH FINDINGS MATRIX

The research in this matrix is a snapshot, rather than a thorough review, of current research on reducing pretrial misbehavior and offender recidivism. The summaries provided here are intended to briefly describe the major conclusions of the research studies. Each of the studies cited has been reviewed by an expert researcher in the criminal justice system for methodological soundness and interpretation of the findings.⁷² Many of the studies focus on general populations and may not reflect the latest findings specific to special populations, such as women offenders, sex offenders, and so on. Readers are encouraged to refer to the source documents for more in-depth detail about the study methodology, how concepts were measured, the study population, and other contextual information that help put the findings into perspective. In addition, certain areas of the justice system have been studied more rigorously than others; as a result, there are gaps in the research that will be evident to the reader. For example, there is very little research on police decisions to arrest or issue citations. Also, some of the studies presented here are very recent; others are not because there are no current research studies that have produced better or different results. Finally, new research is published routinely, and readers should be mindful that new studies may have relevant findings that are not included in this matrix.

HOW TO READ THE MATRIX

The research studies have been categorized into one of four categories: What Doesn't Work, What Works, What's Promising, and What's Not Clear.

- The "What Doesn't Work" category includes findings based on rigorous and methodologically sound research that repeatedly shows (either through numerous single studies or meta-analysis studies) that the intervention does not have the intended or desired results.
- The "What Works" category is based on rigorous and methodologically sound research that demonstrates significant positive findings (either through numerous single studies or meta-analysis studies).
- The "What's Promising" category includes findings that show promise but require more rigorous empirical study.
- The final category, "What's Not Clear," includes studies that have conflicting findings (i.e., one study shows something works while another study shows that it doesn't). These findings require additional empirical study.

The first column contains a brief summary of the methodology and major findings that are relevant for evidence-based decision making in the criminal justice system. The second column notes methodological considerations that may impact the generalizability of the findings. The

⁷² The authors wish to acknowledge the significant contributions of the following researchers, whose reviews appear in whole or in part in this matrix: Melissa Alexander, Timothy Bynum, Natalie J. Jones, Ed Latessa, Chris Lowenkamp, Roger Przybylski, and Ralph Serin.

third column highlights the various decision points within the justice system for which the findings are relevant and a summary of possible policy and practice implications.

What Doesn't Work in Reducing Pretrial Misbehavior and Offender Recidivism

MAJOR RESEARCH FINDINGS <i>Rigorous and methodologically sound research and meta-analyses that demonstrate null or negative outcomes</i>	METHODOLOGICAL CONSIDERATIONS	IMPLICATIONS & RELEVANT DECISION POINTS
<p>This study compared recidivism outcomes of 2,738 youths transferred to criminal court in Florida with a matched sample of offenders retained in the juvenile justice system. The matching procedure was applied to control for severity of the index offense, number of charges, number of prior offenses, severity of prior offenses, and sociodemographic factors—namely, age, gender, and race.</p> <p>During the follow-up period that extended up to 1 year, 30% of transferred youths were rearrested compared with only 19% of non-transfer cases. Time to rearrest was also significantly shorter for the transfer group compared with the non-transfer group (135 days vs. 227 days). Finally, severity of the reoffense was found to be greater among the transfer cases. Ultimately, results suggest that transfer to adult court produced no deterrent effect and, in fact, increased recidivism across all measures considered.</p> <p><i>Primary Citation:</i> Bishop et al. (1996)</p> <p><i>Supporting Citations:</i> Bishop & Frazier (2000); Redding (2010); Schubert et al. (2010)</p>	<p>None noted.</p>	<p>Transfer of juveniles to adult criminal court has the potential to aggravate short-term recidivism rates.</p> <p>Diversion and deferred prosecution decisions Charging decisions Plea decisions</p>
<p>A meta-analysis of 85 studies on the effects of imprisonment was conducted. Controlling for a number of potential confounds (e.g., age, risk level, etc.), it was found that compared to noncustodial sentences, custodial sanctions increased post-release offending by 14%. Moreover, placement in harsher confinement conditions (e.g., prison vs. residential program) was associated with a 15% increase in recidivism. Sentence length, however, was negatively associated with recidivism, with longer sentences (i.e., over 5 years) associated with a 5% decrease in reoffending.</p> <p><i>Primary Citation:</i> Jonson (2011)</p>	<p>Given that age at release was not controlled for as was the case with Meade et al. (2012), it is possible that those offenders with longer prison sentences were more likely to desist as a result of maturation.</p>	<p>The use of prison does not appear to produce a specific deterrence effect.</p> <p>Diversion and deferred prosecution decisions Plea decisions Sentencing decisions</p>

What Doesn't Work in Reducing Pretrial Misbehavior and Offender Recidivism

MAJOR RESEARCH FINDINGS <i>Rigorous and methodologically sound research and meta-analyses that demonstrate null or negative outcomes</i>	METHODOLOGICAL CONSIDERATIONS	IMPLICATIONS & RELEVANT DECISION POINTS
<p>A review of seven meta-analyses investigating the risk principle (i.e., the principle that correctional treatment should be proportional to an offender's risk to reoffend) found that providing intense correctional interventions to low risk offenders does not decrease recidivism and may even increase recidivism rates. The reasons cited for failure included exposure of low risk offenders to high risk offenders (i.e., antisocial peers) and disruption of the factors that make them low risk (i.e., strong family ties, job, etc.).</p> <p><i>Primary Citation:</i> Lowenkamp & Latessa (2004b)</p> <p><i>Supporting Citations:</i> Latessa, Lovins, & Smith (2010); Lowenkamp, Latessa, & Holsinger (2006); Makarios, Sperber, & Latessa (2014)</p>	<p>None noted.</p>	<p>The majority of services and more intensive supervision should be directed to higher risk offenders.</p> <p>Diversion and deferred prosecution decisions Sentencing decisions Institutional intervention decisions Institutional release/parole release decisions Reentry planning decisions Probation and parole intervention decisions Community behavior change interventions</p>
<p>A meta-analysis of more than 400 research studies that examined the effects of punishment on recidivism found that punishment produced almost identical effects on recidivism as no punishment or reduced punishment. This included drug testing, electronic monitoring, fines, intermittent incarceration, restitution, Scared Straight programs, and incarceration.</p> <p><i>Primary Citation:</i> Gendreau & Goggin (1996)</p> <p><i>Supporting Citations:</i> Cid (2009); McGrath & Weatherburn (2012); Piquero & Pogarsky (2002)</p>	<p>While all studies included had a comparison group, the criteria for study inclusion were not provided and no controls were added (e.g., quality of research design, dosage, etc.).</p>	<p>Sanctions on their own do not change offender behavior or reduce recidivism.</p> <p>Plea decisions Sentencing decisions Probation and parole intervention decisions Violation response decisions</p>

What Doesn't Work in Reducing Pretrial Misbehavior and Offender Recidivism

MAJOR RESEARCH FINDINGS <i>Rigorous and methodologically sound research and meta-analyses that demonstrate null or negative outcomes</i>	METHODOLOGICAL CONSIDERATIONS	IMPLICATIONS & RELEVANT DECISION POINTS
<p>A study of 14 Intensive Supervision Programs found that a higher percentage of individuals on ISP were incarcerated during the 1-year follow-up period than the control group. There were no differences in arrests for new crimes between the treatment and control groups. However, ISP was associated with more technical violations: 81% of the ISP offenders had technical violations compared with 33% of those in the control group. In addition, five times as many ISP offenders were returned to prison for technical violations as compared to the control group (21% compared to 4%). The authors also concluded that ISP did not result in cost savings during the 1-year follow-up period and that ISP ultimately cost 50% more than traditional probation or parole supervision.</p> <p><i>Primary Citation:</i> Petersilia & Turner (1993b)</p>	<p>Data were collected in each site on offender demographics, prior criminal history, current offense, and dependence and treatment history. Data on services received, participation in treatment and work programs, and recidivism (technical violations, arrests, and incarceration) were collected at the 6- and 12-month points of supervision.</p>	<p>Stringent supervision conditions tend to produce more technical violations and more incarceration and do not reduce recidivism by themselves.</p> <p>Plea decisions Sentencing decisions Probation and parole intervention decisions Violation response decisions</p>
<p>A meta-analysis of 117 studies involving 442,471 offenders showed that none of the three “treatment” conditions—length of time incarcerated, serving an institutional sentence versus receiving a community-based sanction, and receiving an intermediate sanction—were associated with a reduction in recidivism. In fact, longer time periods in prison were associated with an increase in recidivism compared with shorter time periods in prison. These effects held across gender, adults/juveniles, race, and risk level of the offender. There was some evidence that more stringent sanctions may affect females more adversely than males.</p> <p><i>Primary Citation:</i> Smith, Goggin, & Gendreau (2002)</p> <p><i>Supporting Citations:</i> Gendreau, Goggin, & Cullen (1999); Lipsey & Cullen (2007)</p>	<p>To be included in the meta-analysis, the study must have used a follow-up period of at least 6 months and must have provided sufficient information to calculate an effect size between the sanction and recidivism. Studies of treatment services that also employed a sanction were eligible for inclusion in the analysis.</p> <p>Many of the prison-based studies included in the analysis lacked essential descriptive information regarding study methodology (e.g., conditions of confinement).</p>	<p>Sanctions on their own do not change offender behavior or reduce recidivism. More severe sanctions (i.e., longer prison sentences) may increase recidivism.</p> <p>Plea decisions Sentencing decisions Discharge decisions</p>

What Doesn't Work in Reducing Pretrial Misbehavior and Offender Recidivism

MAJOR RESEARCH FINDINGS <i>Rigorous and methodologically sound research and meta-analyses that demonstrate null or negative outcomes</i>	METHODOLOGICAL CONSIDERATIONS	IMPLICATIONS & RELEVANT DECISION POINTS
<p>A meta-analysis of 29 studies found that there is no overall effect of boot camps on recidivism (i.e., the boot camp and comparison group had nearly equal odds of recidivating). Juvenile boot camps were less effective overall than adult boot camps.</p> <p><i>Primary Citation:</i> MacKenzie, Wilson, & Kider (2001)</p> <p><i>Supporting Citations:</i> Mitchell, Wilson, & MacKenzie (2007); Wilson, MacKenzie, & Mitchell (2003)</p>	<p>The study included 29 experimental and quasi-experimental studies and used official data and multiple indices of recidivism.</p> <p>There was considerable variation among the studies. In nine studies, boot camp participants had lower recidivism rates than did comparison groups; in eight studies, comparison groups had lower recidivism rates; and in the remaining studies, no significant differences were found.</p> <p>Of the 29 eligible studies, only nine were published in peer-reviewed journals and the year of publication was not considered. Also, there was insufficient information on sample demographics (gender, ethnicity) for comparisons, some adult boot camps included juveniles, and programming information was incomplete.</p>	<p>Boot camps (especially juvenile boot camps) are of doubtful efficacy.</p> <p>Sentencing decisions Community behavior change interventions</p>

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<p>An evaluation of a short-term, multimodal, prison-based reentry program called Project Greenlight (GL) was conducted based on a sample of 344 participants (and 391 controls). Applying survival analysis, GL participants were shown to recidivate at higher rates than controls. At 18 months post-release, 47% of GL participants had been rearrested for an offense compared with an average of 37% for the control group.</p> <p>The authors attribute the aggravating effect of Project GL to a number of factors perceived as violations of certain principles of effective correctional intervention. First, GL classes were very large. Second, the program was condensed and delivered in half the time specified as ideal by program designers. Third, there was no community follow-up in place except for standard parole supervision. Fourth and finally, treatment was not matched to participants' level of risk or to their specific criminogenic needs.</p> <p><i>Primary Citation:</i> Wilson & Davis (2006)</p> <p><i>Supporting Citations:</i> Andrews et al. (1990); Lowenkamp & Latessa (2005)</p>	<p>The recidivism measure includes new arrests throughout New York State for a minimum of 12 months post-release.</p>	<p>Programs that are poorly designed and implemented (i.e., those that do not adhere to basic principles of effective correctional intervention) are apt to increase recidivism rates.</p> <p>Institutional intervention decisions Reentry planning decisions</p>
<p>A study was conducted to determine the effects of various sanctions—from reprimand to confinement—when offenders violate certain technical conditions of a community sentence (e.g., failure to report to correctional officer, neglecting to honor legal financial obligations, etc.). The sample of offenders under consideration consisted of those who had a single community correctional officer (CCO) and incurred at least one violation during a 36-month follow-up period ($N = 1,273$). After controlling for age, gender, race, and risk level, it was found that those offenders who received confinement as a sanction were nearly 19% more likely to commit a felony offense in the follow-up period.</p> <p><i>Primary Citation:</i> Drake & Aos (2012)</p>	<p>Note that the Washington State Department of Corrections (DOC) employs a static risk assessment tool to gauge risk level and determine classification (Barnoski & Drake, 2008). While some CCOs are more likely to employ confinement as a sanction, the DOC attempts to evenly distribute offenders to CCO caseloads, thus mimicking random assignment.</p>	<p>Confinement is an ineffective sanction for technical violations and can result in increased recidivism rates.</p> <p>Violation response decisions</p>

What Works in Reducing Pretrial Misbehavior and Offender Recidivism

MAJOR RESEARCH FINDINGS <i>Rigorous and methodologically sound research and meta-analyses demonstrating significant positive outcomes</i>	METHODOLOGICAL CONSIDERATIONS	IMPLICATIONS & RELEVANT DECISION POINTS
<p>The justice system is often ill-equipped to deal with the high prevalence of mental illness among incarcerated populations. A study examined the impact on taxpayer costs of pre-booking diversion options for offenders with serious mental health conditions. Pre-booking diversion involves the initial intervention of a trained police officer (or an officer accompanied by trained mental health staff). Rather than being arrested, the offender is linked with appropriate community-based treatment services.</p> <p>The pre-booking diversion sample included 121 people who (1) were eligible for arrest for a misdemeanor offense and (2) displayed indications of a serious mental illness. The comparison group of 347 offenders consisted of an historical sample whose arrest predated the diversion program implementation but who otherwise met the eligibility criteria. Groups were matched as closely as possible on a number of covariates.</p> <p>After 2 years, diversion was associated with a relative savings of \$2,800 per person in contrast to the traditional control group conditions. These savings were primarily the result of the decrease in justice system costs associated with traditional processing.</p> <p><i>Primary Citation:</i> Cowell et al. (2013)</p>	<p>None noted.</p>	<p>Pre-booking diversion options for adult offenders with serious mental illness are associated with fiscal savings.</p> <p>Arrest decisions Diversion and deferred prosecution decisions Charging decisions Plea decisions</p>

What Works in Reducing Pretrial Misbehavior and Offender Recidivism

MAJOR RESEARCH FINDINGS <i>Rigorous and methodologically sound research and meta-analyses demonstrating significant positive outcomes</i>	METHODOLOGICAL CONSIDERATIONS	IMPLICATIONS & RELEVANT DECISION POINTS
<p>A meta-analysis was designed to determine whether, among juvenile offenders, diversion produced greater reductions in recidivism compared with traditional judicial sanctions such as probation or incarceration. Diversion programs were inclusive and encompassed both caution programs (warning issued by police officer with no further action) and intervention programs (programming options involving community service referrals, restorative justice, or more direct evidence-based services like cognitive behavioral therapy [CBT]).</p> <p>A total of 73 diversion programs were examined across 45 unique evaluation studies. The general recidivism rate associated with intervention programs was 33.1% versus 41.1% for the comparison group of conventional justice system options. In turn, the recidivism base rate for cautioned youth was 26.8% versus 39.5% for the comparison group. Overall, no significant differences were observed between caution and intervention programs. However, in accordance with the risk principle, caution programs were more effective in reducing recidivism among low risk youth while intervention programs were more beneficial to medium-high risk youth. Among interventions programs, CBT-based options were most successful.</p> <p><i>Primary Citation:</i> Wilson & Hoge (2013b)</p> <p><i>Supporting Citations:</i> Loughran et al. (2009); Wilson & Hoge (2013a)</p>	<p>None noted.</p>	<p>Consistent with research indicating that justice system contact can increase offending risk, both caution and intervention diversion programs were more effective in reducing general recidivism compared to the more restrictive traditional forms of justice system processing (i.e., incarceration and probation).</p> <p>Low risk youths are more likely to benefit from caution programs (warning issued by police officer with no further action), while moderate to high risk youths are more likely to benefit from intervention programs (namely, CBT-based interventions).</p> <p>Arrest decisions Diversion and deferred prosecution decisions Charging decisions Plea decisions</p>
<p>Meta-analyses of more than 100 correctional programs and treatment research studies show that the risk of recidivism is greatly reduced (10–30% on average) when attention is paid to dealing with criminogenic needs (i.e., dynamic risk factors such as antisocial attitudes and values, antisocial peers, certain personality and temperament traits, family and relational factors, substance abuse, employment, school and occupational training, and the use of personal and leisure time). These studies also found the following: the most powerful approaches to changing offender behavior include cognitive behavioral and social learning strategies</p>	<p>The authors acknowledge that further meta-analytic review on responsivity is needed, and that understanding of the risk principle is still limited by the relatively few studies that report separate effects for lower and higher risk cases.</p>	<p>Recidivism is more likely reduced when the justice system focuses on criminogenic needs, uses a cognitive behavioral approach, reserves more intensive services for the higher risk offender, and uses aftercare services.</p> <p>Diversion and deferred prosecution decisions Charging decisions</p>

What Works in Reducing Pretrial Misbehavior and Offender Recidivism

MAJOR RESEARCH FINDINGS <i>Rigorous and methodologically sound research and meta-analyses demonstrating significant positive outcomes</i>	METHODOLOGICAL CONSIDERATIONS	IMPLICATIONS & RELEVANT DECISION POINTS
<p>(e.g., modeling, reinforcement, and skill acquisition) in the context of a quality professional relationship; more intensive levels of treatment are most effective with higher risk offenders (the risk principle); intervention efforts should target multiple criminogenic needs (the need principle); and effective interventions are those that are responsive to the motivation, cognitive ability, and other characteristics of the offender (the responsivity principle).</p> <p>Further findings include the following: recidivism reduction effects are slightly greater when community-based services and interventions are delivered in the community as compared to services delivered in residential/institutional settings; aftercare and follow-up services that provide a continuum of care are also necessary to manage and prevent relapse; recidivism slightly increased when inappropriate correctional services were provided (i.e., treatment services that do not adhere to the risk, need, and responsivity principles).</p> <p>These findings hold across community corrections, residential corrections, diversionary programs, males and females, juvenile and adult corrections, restorative and non-restorative justice programs, different types of treatment, and different types of needs targeted.</p> <p><i>Primary Citation:</i> Andrews (2007)</p> <p><i>Supporting Citations:</i> Andrews & Bonta (2006); Andrews & Dowden (2007); Andrews et al. (1990); Bonta (2007)</p>		<p>Plea decisions Sentencing decisions Institutional intervention decisions Institutional release/parole release decisions Reentry planning decisions Probation and parole intervention decisions Community behavior change interventions</p>
<p>This study evaluated costs and savings attributable to the California Substance Abuse and Crime Prevention Act (SACPA), legislation mandating probation or continued parole with substance abuse treatment as an alternative to incarceration. SACPA is appropriate for adult offenders convicted of a nonviolent drug-related offense, as well as probation and parole violators.</p> <p>The intervention group, comprised of 41,607 offenders (2001–2002 cohort), was compared with</p>	<p>The broader societal impacts such as victimization costs and insurance reimbursement costs were not considered.</p>	<p>Diversion of nonviolent drug offenders into substance abuse treatment as opposed to incarceration produces long-term cost savings.</p> <p>Diversion and deferred prosecution decisions Plea decisions</p>

What Works in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>a control group of 41,607 offenders (1997–1998 cohort) meeting the SACPA eligibility criteria prior to the enactment of the legislation. Controlling for potentially confounding variables, results indicated that despite the higher costs associated with drug treatment among the SACPA group, this additional cost was more than offset by the savings associated with reduced levels of incarceration. In total, the SACPA implementation led to a total savings of \$2,317 per offender over a 30-month period.</p> <p><i>Primary Citation:</i> Anglin et al. (2013)</p>		
<p>In this research, the recidivism patterns of 79,000 felony offenders sentenced to a Florida state prison and 65,000 sentenced to a community-based diversion program (Community Control) were compared. Incorporating a range of control variables (e.g., sex, race, age, index offense, criminal history, sentence recommendation) and applying three different statistical techniques (regression, precision matching, propensity score matching), imprisonment was found to exert a criminogenic effect relative to the diversion program. Compared with Community Control cases, ex-prisoners recidivated 15.4% more within 3 years post-release ($p < .001$).</p> <p><i>Primary Citation:</i> Bales & Piquero (2012)</p> <p><i>Supporting Citation:</i> Cid (2009)</p>	<p>Recidivism was operationalized conservatively as a felony offense committed within 3 years following prison release (or placement in the diversion program) that resulted in a conviction.</p>	<p>Offenders sentenced to a term of imprisonment were significantly more likely to recidivate than those referred to a community-based diversion program.</p> <p>Plea decisions Sentencing decisions</p>
<p>Given mixed evidence on the relationship between judicial dispositions and recidivism outcomes for high risk youths, a study examined the likelihood of rearrest for 2,504 first-time violent juvenile offenders sentenced to one of three conditions in the state of California: (1) in-home probation, (2) group-home probation, and (3) probation camp. Whereas in-home and group-home probation are community-based sentences, probation camp is a secure setting—the most restrictive option before a youth is committed to state prison.</p> <p>The study found that while 48% of juveniles were rearrested for a new offense over the 5-year follow-up period, recidivism trajectories varied as a function of disposition even when controlling for</p>	<p>None noted.</p>	<p>Even among first-time violent offenders, the most effective (and economical) sentencing alternative lies in the least restrictive option (i.e., community supervision).</p> <p>Sentencing decisions</p>

What Works in Reducing Pretrial Misbehavior and Offender Recidivism

MAJOR RESEARCH FINDINGS <i>Rigorous and methodologically sound research and meta-analyses demonstrating significant positive outcomes</i>	METHODOLOGICAL CONSIDERATIONS	IMPLICATIONS & RELEVANT DECISION POINTS
<p>gender, race, and criminal history indicators. Over a 5-year period, 56% of youth assigned to probation camp had recidivated, in contrast to 47% of group-home placements and only 39% of in-home placements.</p> <p><i>Primary Citation:</i> Ryan, Abrams, & Huang (2014)</p> <p><i>Supporting Citation:</i> Loughran et al. (2009)</p>		
<p>A meta-analysis of more than 800 rigorous program evaluations found that a number of approaches demonstrated a reduction in recidivism rates, including treatment-oriented intensive supervision (22% reduction) compared with no reduction for surveillance-oriented intensive supervision, cognitive behavioral treatment for sex offenders in prison (15%), vocational education in prison (13%), drug treatment in the community (12%), adult drug courts (11%), and cognitive behavioral programs in general (8%). Cognitive behavioral treatment for low risk sex offenders on probation achieved a 31% reduction in recidivism. Overall, cognitive behavioral approaches were consistently found to be more effective in reducing the recidivism rate across a variety of correctional contexts and offender populations.</p> <p>Cost savings were also substantial. Approximate per person cost savings examples include \$11,000 for treatment-oriented intensive supervision, \$13,700 for vocational education in prison, \$10,000 for community drug treatment, and \$10,000 for cognitive behavioral approaches. While the absolute differences in the recidivism rates in some situations may have been modest, even small reductions in the rate can have considerable economic and social benefits.</p> <p><i>Primary Citations:</i> Aos, Miller, & Drake (2006a, 2006b)</p> <p><i>Supporting Citation:</i> Wilson & Hoge (2013b)</p>	None noted.	<p>Emphasis should be placed on treatment targets (i.e., criminogenic needs) using a variety of interventions, especially cognitive behavioral programming. Decisions regarding correctional investments should consider the cost/benefit of the intervention.</p> <p>Sentencing decisions Institutional intervention decisions Probation and parole intervention decisions Community behavior change interventions</p>
<p>A synthesis of 18 meta-analyses of correctional interventions found similar results with regard to reducing recidivism. Interventions that utilized “intensive criminal sanctioning” or were exclusively deterrence-based tended to be ineffective or even</p>	None noted.	<p>Programs designed to reduce recidivism should be monitored through continuous quality improvement techniques to</p>

What Works in Reducing Pretrial Misbehavior and Offender Recidivism

MAJOR RESEARCH FINDINGS <i>Rigorous and methodologically sound research and meta-analyses demonstrating significant positive outcomes</i>	METHODOLOGICAL CONSIDERATIONS	IMPLICATIONS & RELEVANT DECISION POINTS
<p>increased recidivism. On the other hand, there were some interventions that were found to reduce recidivism by an average of 25 to 30%. This group of more effective interventions “predominantly employed behavioral and/or cognitive skills training methods.” The overall conclusion was that the programs that work best are founded on an explicit empirically based model of crime causation; have a sound method of assessing risk of reoffending, and offenders are assigned different levels of service and supervision accordingly; contain a sound method of assessing criminogenic needs and dynamic risk factors that are linked to offending; require skilled and structured engagement by staff; utilize cognitive behavioral approaches; and are delivered by personnel who have adequate training and resources.</p> <p><i>Primary Citation: McGuire (2001)</i></p>		<p>ensure that the program conditions for behavioral change are met.</p> <p>Sentencing decisions Institutional intervention decisions Probation and parole intervention decisions Community behavior change interventions</p>
<p>Given gender differences observed in both the severity and context of offending behavior, it is frequently argued that mainstream assessments omit criminogenic factors that are unique to women and discount gender differences in the predictive salience of items represented on the tool. Based on samples of prison, probation, and pre-release adult females across four American states, a study aimed to assess the incremental predictive validity of the gender responsive supplements, intended to be used in conjunction with a currently adopted gender neutral protocol (i.e., the LSI). Support emerged for the relationship of several gender responsive scales to criminal outcomes. The most highly predictive gender responsive factors included current mental health needs, family support, parental stress, child abuse, and adult victimization. Most notably, the overall gender responsive supplement (and subsets of these factors) did offer incremental predictive validity over the gender neutral model. For example, in the Minnesota probation sample, the hierarchical model assessing the unique contribution of optimal gender responsive scales while controlling for the effects of gender neutral</p>	<p>None noted.</p>	<p>Gender responsive assessment (and treatment) strategies are recommended for female offenders so as to tap into the unique contextual factors surrounding their criminal conduct. In turn, this will serve to improve the prediction of criminal outcomes and the identification of appropriate treatment targets for women.</p> <p>Sentencing decisions Institutional intervention decisions Institutional release/parole release decisions Reentry planning decisions Probation and parole intervention decisions Community behavior change interventions Violation response decisions</p>

What Works in Reducing Pretrial Misbehavior and Offender Recidivism

MAJOR RESEARCH FINDINGS <i>Rigorous and methodologically sound research and meta-analyses demonstrating significant positive outcomes</i>	METHODOLOGICAL CONSIDERATIONS	IMPLICATIONS & RELEVANT DECISION POINTS
<p>domains yielded a strong partial correlation with new arrests ($r = .22, p < .01$).</p> <p><i>Primary Citation:</i> Van Voorhis et al. (2010)</p> <p><i>Supporting Citations:</i> Daly (1994); Jones (2011)</p>		
<p>Based on 58 ISPs, a study aimed to determine whether program philosophy and treatment integrity impact program effectiveness (i.e., reductions in recidivism). Surveys of staff from each program were based on the Correctional Program Assessment Inventory (CPAI). Results indicated that ISPs grounded in principles of effective intervention (RNR + treatment integrity – e.g., manualized program, skilled staff, etc.) <i>and</i> adopting a human service philosophy (vs. a punitive philosophy) optimized recidivism reduction.</p> <p><i>Primary Citation:</i> Lowenkamp et al. (2010)</p> <p><i>Supporting Citations:</i> Andrews & Dowden (2005); Drake, Aos, & Miller (2009); Gendreau & Andrews (1994); Lowenkamp, Latessa, & Smith (2006); Petersilia & Turner (1993a)</p>	None noted.	<p>Both maintaining a high level of treatment integrity <i>and</i> adhering to a human service treatment philosophy increase program effectiveness.</p> <p>It is recommended that agencies implement periodic assessments such as the CPAI to ensure continued program integrity.</p> <p>Sentencing decisions Institutional intervention decisions Probation and parole intervention decisions Community behavior change interventions</p>
<p>Vermont’s reparative probation program, based on the principles of restorative justice, was initially implemented in 1995. Offenders are sentenced to probation with the condition that they will appear before a reparative board of trained citizen volunteers. The offender, the victim, the board, and other implicated parties negotiate a plan whereby the offender agrees to engage in a number of tasks to better understand the negative consequences of his/her behavior, repair damage to victims, and the like. Tasks can include but are not limited to community service, letters of apology, and restitution.</p> <p>Controlling for offense type, age, gender, and criminal history, a study was conducted to compare the recidivism outcomes of offenders sentenced to either standard ($n = 6,682$) or reparative probation ($n = 2,396$). Over a 5-year follow-up period, placement on reparative probation was found to</p>	None noted.	<p>Grounded in principles of restorative justice, reparative probation (as implemented in Vermont) is a more promising alternative to standard probation with respect to lowering recidivism rates.</p> <p>Sentencing decisions Probation and parole intervention decisions</p>

What Works in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>decrease risk of new convictions by 11% ($p < .01$) relative to traditional probation.</p> <p><i>Primary Citation:</i> Humphrey, Burford, & Dye (2012)</p>		
<p>A study recently revisited the literature on the risk, need, and responsivity (RNR) principles using 120 groups of offenders from the corpus of articles originally reviewed by Andrews et al. (1990). The goal was to compare the relative cost of service provision for appropriate correctional services (i.e., those adhering to RNR), inappropriate correctional services (i.e., those not adhering to RNR), and traditional sanctions.</p> <p>In terms of total estimated costs per offender per day, appropriate correctional services cost \$66, criminal sanctions cost \$44, and inappropriate correctional treatment costs \$69. However, when considering the relative long-term effectiveness of each option, appropriate RNR-based treatment is significantly more cost-effective. For example, to produce a 1% drop in the recidivism rate, RNR-based services cost \$2, versus \$19 for inappropriate services, and \$40 for traditional sanctions.</p> <p><i>Primary Citation:</i> Romani et al. (2012)</p> <p><i>Supporting Citations:</i> Andrews & Bonta (2010); Andrews & Dowden, 2006; Andrews et al. (1990)</p>	<p>None noted.</p>	<p>Correctional interventions that are grounded in the principles of risk/need/responsivity produce recidivism reductions in the most cost-effective manner.</p> <p>Sentencing decisions Institutional intervention decisions Probation and parole intervention decisions Community behavior change interventions</p>
<p>A study examined the impact of applying operant behavioral strategies—namely both sanctions and reinforcement—on 283 adult offenders involved in an Intensive Supervision Program (ISP). The imposition of rewards to increase desirable behavior and sanctions to reduce noncompliant behavior was dictated by a combination of departmental policy and officer discretion. In this study, agency records were used to record an offender's sanction and reward history while in the program.</p> <p>Controlling for demographic information, criminal history, and substance abuse history indicators, the reward model was found to be more highly predictive of successful program completion than</p>	<p>In this study, program completers were defined as those who satisfied ISP requirements over the specified program period of approximately 1 year. In turn, failures or non-completers either absconded or had their probation or parole revoked.</p>	<p>Research supports correctional agencies' adoption of operant behavioral techniques in the management of offenders on community supervision. Specifically, rewards should exceed sanctions in a ratio of at least 4:1.</p> <p>Sentencing decisions Institutional intervention decisions Probation and parole intervention decisions Violation response decisions</p>

What Works in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>the sanction model. However, the optimal model encompassed a combination of both rewards and sanctions. Confirming previous research, the probability of successful program completion was optimized when the reward-to-sanction ratio was 4:1.</p> <p><i>Primary Citation:</i> Wodahl et al. (2011)</p> <p><i>Supporting Citations:</i> Andrews & Bonta (2010); Gendreau (1996); Lester, Braswell, & Van Voorhis (2004); Petersilia (2007)</p>		
<p>A study was conducted to determine the relationship between prison security level classification and post-release recidivism. A total of 297 California inmates who were classified as risk level III (i.e., high risk) were randomly assigned to level I prisons (i.e., low security). Another 264 inmates also classified as risk level III were randomly assigned to level III prisons (i.e., high security).</p> <p>After an average post-release follow-up period of 5.9 years, those inmates assigned to higher security prisons were 31% more likely than their low security counterparts to return to prison (either for a new offense or for parole violation). As such, assignment to higher security levels at a constant level of risk actually increased the probability of recidivism.</p> <p><i>Primary Citation:</i> Gaes & Camp (2009)</p> <p><i>Supporting Citation:</i> Chen & Shapiro (2007)</p>	<p>The authors note that criminal history is a major consideration in guiding post-release supervision levels. Given equivalent levels of criminal history between study groups, it is <i>unlikely</i> that post-release supervision conditions would have confounded results (i.e., group differences were not expected).</p>	<p>Higher levels of security within institutions can exert criminogenic effects. Prison administrators might experiment with classification thresholds to ensure the least restrictive conditions possible given one's level of risk.</p> <p>Institutional intervention decisions</p>
<p>A study examined the effect of TCs delivered across four prison sites in Idaho. Their overall sample consisted of 725 male offenders. After a 4-year follow-up period, those who were classified as needing TC and completing treatment had a rearrest rate of 37.7%, compared with 66.7% for those who were classified as needing TC but did not participate in the program. When covariates (potential confounds) were controlled for statistically, it was shown that those who did not participate in TC (but needed the services) were</p>	<p>Propensity score matching was used to minimize group differences on relevant covariates (e.g., demographic information, risk level, etc.).</p> <p>Note that participants in this research were not self-selected (thus removing the potential self-selection bias). Although TC participation did not have any effect on reconviction rates, this is</p>	<p>Research indicates that therapeutic communities are effective in attenuating recidivism rates among offenders reentering the community.</p> <p>Institutional intervention decisions Reentry planning decisions</p>

What Works in Reducing Pretrial Misbehavior and Offender Recidivism

MAJOR RESEARCH FINDINGS <i>Rigorous and methodologically sound research and meta-analyses demonstrating significant positive outcomes</i>	METHODOLOGICAL CONSIDERATIONS	IMPLICATIONS & RELEVANT DECISION POINTS
<p>three times more likely to recidivate than those who needed and completed the treatment.</p> <p><i>Primary Citation:</i> Jensen & Kane (2012)</p> <p><i>Supporting Citations:</i> Aos et al. (2006b); Mitchell et al. (2007); Welsh (2007)</p>	<p>likely an artifact of charging and prosecution policies in Idaho. According to the authors, prosecutors are likely to treat TC participation as an aggravating factor in deciding how to charge a returning offender, and are more likely to process former TC participants aggressively.</p>	
<p>A meta-analysis of several hundred studies of justice system interventions found that when core correctional practices (e.g., the effective use of authority, modeling and reinforcing prosocial attitudes, teaching concrete problem solving skills, advocating for community resources, and building a relationship that allows for open communication and respect) were used, particularly in combination with adherence to the risk, need, and responsivity principles, programs had better treatment outcomes than programs that did not use core correctional practices. The findings were particularly true for higher risk cases, programs that targeted criminogenic needs, and clinically appropriate treatment. The findings of the analysis held for various offender and program characteristics. The only core correctional practice that was not associated with significant reductions in rates of reoffending was the effective use of authority.</p> <p><i>Primary Citation:</i> Dowden & Andrews (2004)</p> <p><i>Supporting Citation:</i> Bonta et al. (2008)</p>	<p>None noted.</p>	<p>Attention to staff characteristics and skills is necessary to enhance outcomes with offenders.</p> <p>Institutional intervention decisions Reentry planning decisions Probation and parole intervention decisions Community behavior change interventions Violation response decisions</p>
<p>In accordance with the responsivity principle, cognitive behavioral programs adapted to correctional populations yield the most notable reductions in recidivism. A quasi-experimental evaluation of a real-world implementation of Thinking for a Change (TFAC), a 22-session correctional program heavily grounded in CBT principles, was conducted.</p> <p>A total of 217 participants were recruited for the evaluation (121 treatment cases and 96 control cases). All participants had been placed on</p>	<p>The treatment group included all offenders who attended at least one TFAC session, regardless of successful treatment completion. In addition, participants must have minimally had a 6-month follow-up period to be included in the study.</p>	<p>Consistent with research supporting CBT interventions with offenders, Thinking for a Change (TFAC) participation produced significant reductions in recidivism rates among offenders on probation.</p> <p>Institutional intervention decisions</p>

What Works in Reducing Pretrial Misbehavior and Offender Recidivism

MAJOR RESEARCH FINDINGS <i>Rigorous and methodologically sound research and meta-analyses demonstrating significant positive outcomes</i>	METHODOLOGICAL CONSIDERATIONS	IMPLICATIONS & RELEVANT DECISION POINTS
<p>probation in the state of Indiana. Controlling for race, gender, age, risk level, and time at risk, those offenders referred to TFAC had significantly lower recidivism rates than control subjects (28% vs. 43%).</p> <p><i>Primary Citation:</i> Lowenkamp et al. (2009)</p> <p><i>Supporting Citations:</i> Dowden & Andrews (2000); Golden, Gatchel, & Cahill (2006); Landenberger & Lipsey (2005); Lipsey, Chapman, & Landenberger (2001); Wilson, Bouffard, & MacKenzie (2005)</p>		<p>Probation and parole intervention decisions Community behavior change interventions</p>
<p>A meta-analysis of randomized or quasi-experimental studies found that cognitive behavioral therapy (CBT) is effective in reducing recidivism by as much as 25 to 50% under certain conditions. The effects increased when the treatment dosage was increased, when higher risk offenders were targeted, and when the quality of implementation was monitored. The effects held for all brands of curriculum, adult and juvenile offenders, male and female offenders, and minority/non-minority offenders.</p> <p><i>Primary Citation:</i> Lipsey, Landenberger, & Wilson (2007)</p> <p><i>Supporting Citations:</i> Landenberger & Lipsey (2005); Makarios et al. (2014); Wilson et al. (2005)</p>	<p>The analysis included a limited number of studies by category.</p>	<p>Programming dosage should match offenders' risk levels.</p> <p>Institutional intervention decisions Probation and parole intervention decisions Community behavior change interventions</p>
<p>Program integrity and effectiveness were evaluated for 38 halfway house programs in Ohio. A version of the Correctional Program Assessment Inventory (CPAI; Gendreau & Andrews, 1994) was used to gauge program integrity related to client pre-service assessment, staff practices, presence of manualized protocols, etc. The higher the CPAI score, the larger the reduction in recidivism (e.g., programs scoring lowest on integrity produced an average of 1.7% reduction in recidivism, while programs scoring in the highest range produced a 22% reduction in recidivism).</p> <p><i>Primary Citation:</i> Lowenkamp & Latessa (2004a)</p> <p><i>Supporting Citations:</i> Gray (1997); Holsinger (1999)</p>	<p>Note that only one program scored in the "satisfactory" range on the CPAI.</p> <p>In this study, recidivism was defined as returns to an Ohio correctional facility for any reason (i.e., technical violation or new arrest).</p>	<p>Research indicates a relationship between the integrity with which a correctional program is implemented and recidivism outcomes.</p> <p>Institutional intervention decisions Probation and parole intervention decisions Community behavior change interventions</p>

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<p>Reasoning and Rehabilitation (R&R) is a multimodal program developed to teach offenders a series of cognitive and behavioral skills ranging from social perspective taking to critical thinking. The program was designed to be delivered to small groups of 6–12 participants across 36 2-hour sessions.</p> <p>A meta-analysis intended to evaluate the effectiveness of R&R in reducing recidivism included 16 evaluations featuring a total of 26 effect sizes. Overall results revealed a 14% decrease in reconvictions for program participants compared with control subjects. The effectiveness of R&R transcended setting (community vs. institutional), offender risk level (low vs. high), and country of implementation (Canada vs. US vs. UK).</p> <p><i>Primary Citation:</i> Tong & Farrington (2006)</p> <p><i>Supporting Citations:</i> Allen, MacKenzie, & Hickman (2001); Pearson et al. (2002); Wilson et al. (2005)</p>	<p>None noted.</p>	<p>Cognitive behavioral programs—namely, Reasoning and Rehabilitation (R&R)—applied across both institutional and community settings effectively reduce recidivism rates.</p> <p>Institutional intervention decisions Community behavior change interventions</p>
<p>In an effort to assess the factors being used to guide parole decision-making, this investigation included a random sample of 219 inmates from New Jersey exhibiting an Axis I disorder with the exclusion of substance abuse, along with a comparison group of 184 offenders with the absence of mental illness.</p> <p>Although several criminogenic needs were elevated in the group with mental illness relative to the group without mental illness as gauged by the LSI-R (e.g., substance abuse, antisocial personality, prior convictions, etc.), having a diagnosed mental health condition <i>per se</i> had no direct effect on release decisions, nor did sociodemographic characteristics such as gender, race, and age. While the decision making process appears to be somewhat evidence-based, it should be noted that the actuarial model accounted for less than 30% of the variance in release decisions. It is clear, then, that parole boards are relying on extraneous factors to guide their decision making process. For example, although not assessed in this investigation, parole board members may potentially be relying on visual cues to assess</p>	<p>The fact that mental illness was not related to parole decisions in this investigation runs counter to prior research (e.g., Feder, 1994). Given that Feder operationalized mental illness as having psychiatric commitments while incarcerated, it is possible that the current sample reflects a less severely impaired population. It may also be the case that in this more recent study, parole board members rendered decisions that were increasingly evidence-based (i.e., made a purposeful effort to disregard mental illness in rendering decisions).</p>	<p>A holistic consideration of mental health conditions along with key evidence-based criminogenic needs such as substance abuse and antisocial cognition is recommended in correctional assessment and treatment. However, parole boards should be aware that mental illness <i>per se</i> does not tend to predict recidivism among parolees.</p> <p>Institutional release/parole release decisions</p>

What Works in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>honesty—indicators that do not tend to function as valid indicators of deception.</p> <p><i>Primary Citation:</i> Matejkowski et al. (2011)</p> <p><i>Supporting Citations:</i> DePaulo et al. (2003); Feder (1994); Hannah-Moffat (2004); Walters & Crawford (2014)</p>		
<p>Post-sentencing measures of institutional misconduct are frequently key factors used by parole boards to render release decisions (Mooney & Daffern, 2011). The preponderance of the empirical literature suggests that prison misconducts are indeed related to post-release recidivism. Heil and colleagues (2009) found that offenders who engaged in sexual misconduct while incarcerated were more likely to recidivate violently in the community. Furthermore, in a meta-analysis of 68 studies, French and Gendreau (2006) determined that programs that most effectively reduced levels of prison misconduct were also effective in reducing recidivism rates.</p> <p><i>Primary Citations:</i> Heil et al. (2009); Mooney & Daffern (2011)</p> <p><i>Supporting Citations:</i> French & Gendreau (2006); Gottfredson & Adams (1982)</p>	<p>Note that the literature that calls into question the relationship between institutional behavior and recidivism is often plagued by a failure to account for potential confounds such as age, overall risk level, etc.</p>	<p>Empirical evidence suggests that institutional misconduct is predictive of future criminal outcomes in the community. It is therefore appropriate for parole boards to incorporate this information into their decision-making process.</p> <p>Institutional release/parole release decisions</p>
<p>The Preventing Parolee Crime Program (PPCP) is a large offender reintegration initiative that was implemented by the state of California in the 1990s. PPCP is multimodal, targeting substance abuse, education/employment, and housing. A population-based evaluation of the program was completed to determine the extent to which PPCP served to reduce recidivism among parolees.</p> <p>The population of offenders consisted of California parolees released between July 1, 2000 and June 30, 2002. The treatment group comprised all offenders enrolled in PPCP services ($n = 28,708$), while the comparison group comprised offenders who were not (nor had ever been) enrolled in PPCP ($n = 211,211$).</p> <p>Controlling for a number of known recidivism risk variables including demographic information,</p>	<p>Recidivism over a fixed 12-month follow-up period included reincarceration due to a new conviction or parole violation, or suspension from parole due to absconding.</p>	<p>Participation and immersion in the Preventing Parolee Crime Program (PPCP)—a multimodal treatment protocol—was consistently associated with lower rates of reincarceration and absconding compared with traditional parole.</p> <p>Given that only 40% of PPCP participants met one or more of their treatment goals, the authors recommend that program designers/administrators consider developing strategies to ensure proper dosage (e.g.,</p>

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<p>criminal history factors, and risk level, 44.8% of PPCP participants recidivated after 1 year compared with 52.8% of non-PPCP offenders. It is notable that the degree of treatment immersion (i.e., dosage) was significantly related to outcome. For example, PPCP participants who met multiple treatment goals ($n = 480$) had a reincarceration rate that was 47.1% lower than that of the comparison group.</p> <p><i>Primary Citation:</i> Zhang, Roberts, & Callanan (2006)</p>		<p>improve parolee retention and service utilization).</p> <p>Reentry planning decisions Probation and parole intervention decisions</p>
<p>A study evaluated the effectiveness of a training program for probation officers (POs) grounded in the rehabilitative model of intervention and the associated principles of RNR. A total of 80 POs were randomly assigned to either a training or no training condition. Training involved an in-depth discussion of the RNR principles, with a particular focus placed on the targeting of procriminal attitudes. In accordance with the responsivity principle, a cognitive behavioral model of intervention was endorsed, along with various techniques used in behavioral influence (e.g., reinforcement, modeling, problem solving, etc.). In turn, POs recruited a total of 143 probation clients and agreed to audiotape their interviews at regular intervals over a 6-month period.</p> <p>Relative to the control group, results showed that POs in the training group spent more of their sessions focusing on criminogenic needs and proportionally less time discussing noncriminogenic needs and probation conditions. In situations where less than 15 minutes were spent discussing probation conditions, the recidivism rate was 19% compared with 42% when more time was devoted to discussing probation conditions.</p> <p>Trained POs also used more frequent rapport-building skills and cognitive techniques (as per the responsivity principle). After a 2-year fixed follow-up period, clients of trained officers had a reconviction rate that was 15% lower than that of the control group. While use of cognitive behavioral techniques and general adherence to</p>	<p>The sample size and limited power resulted in between-group differences only approaching statistical significance. Replication with larger samples is warranted.</p> <p>Self-selection biases may have resulted from the fact that POs were volunteers and, in turn, selected their participating clients.</p>	<p>The enforcement role of the probation officer needs to be balanced with a helping role that is grounded in cognitive behavioral principles.</p> <p>Training probation officers to adhere to the principles of RNR can effectively serve to reduce recidivism rates of clients under community supervision. Specifically, supervision officers should spend the majority of their time (i.e., at least 15 minutes per session) working with offenders on criminogenic needs rather than focusing on conditions that are noncriminogenic, and use appropriate cognitive behavioral techniques (e.g., reinforcement, modeling, etc.).</p> <p>Probation and parole intervention decisions</p>

What Works in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>RNR was associated with reductions in recidivism rates, a greater focus on discussing probation conditions served to increase recidivism rates.</p> <p><i>Primary Citations:</i> Bonta et al. (2008); Bonta et al. (2011)</p> <p><i>Supporting Citations:</i> Andrews & Bonta (2010); Robinson et al. (2011)</p>		

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>This archival study of 522 spousal assault cases of male-to-female perpetrated violence examined the link between arrest and recidivism, while controlling for pre-arrest risk gauged through an actuarial assessment tool. The Ontario Domestic Assault Risk Assessment (ODARA, Hilton et al., 2004) is a 13-item instrument pertaining to the perpetrator's history of violence, history of substance abuse, victim circumstances, etc. An offender's score reflects his likelihood of spousal assault recidivism.</p> <p>Police officers arrested approximately half of the perpetrators in the sample. Pre-arrest risk retrospectively coded via the ODARA was significantly related to wife assault recidivism over an average follow-up period of 4.9 years ($r = .41$, $p < .001$). Although arrest was associated with increased likelihood of recidivism, this effect was attributable to pre-arrest differences in risk level. That stated, police officers also appeared to base arrest decisions on the severity of the index offense—a variable shown to be only weakly related to recidivism (Hilton et al., 2004).</p> <p>In order to ensure the arrest of higher risk cases as per the risk principle, the adoption of actuarial tools by police officers could be a helpful adjunct.</p> <p><i>Primary Citation:</i> Hilton, Harris, & Rice (2007)</p> <p><i>Supporting Citation:</i> Hilton et al. (2004)</p>	<p>Note that measures of recidivism were based solely on police reports (official arrest data) rather than victim reports and, as such, recidivism rates may have been underestimated.</p>	<p>The introduction of objective actuarial risk assessment tools (e.g., ODARA) into police decision making tasks may support more effective assessments of public safety risk than professional judgment alone.</p> <p>Arrest decisions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>A study was conducted to examine the impact of male suspects' perceived sense of procedural justice regarding punitive sanctions (i.e., arrest) on subsequent incidents of spousal assault. A total of 476 suspects were interviewed following their arrest regarding the perceived fairness of their treatment by police officers (e.g., "Did the officer take the time to listen to your side of the story?" [representation]; "When the police came, did you expect to be arrested?" [consistency]; "Did police take the time to listen to your story as well as to the alleged victim's story?" [impartiality]; "Were you handcuffed in front of the victim? Did the officer use physical force?" [dignity/respect], etc.).</p> <p>Of the arrestees, the effect of perceived fair treatment by police officers was negatively related to spousal assault recidivism.</p> <p><i>Primary Citation:</i> Paternoster et al. (1997)</p>	<p>Replication with a larger sample is warranted.</p>	<p>Police officers' conscientiousness in treating criminal suspects in a procedurally fair manner may have crime-reducing effects.</p> <p>Arrest decisions</p>
<p>The Pretrial Risk Assessment (PTRA) tool is an 11-item measure designed to determine an offender's likelihood of incurring new criminal arrests, technical violations leading to revocation, and failures-to-appear in court. One's final score on the PTRA allows for classification into a risk category, which in turn is associated with likelihood of failure. Preliminary results from implementation in Nebraska and North Carolina indicate that the PTRA increases officer recommendations in favor of release—a desired outcome of the assessment protocol given recommendations of extant literature. For example, over a 1-year period, recommendations for release in the Western District of North Carolina increased by 13.5%.</p> <p><i>Primary Citation:</i> Cadigan & Lowenkamp (2011a)</p> <p><i>Supporting Citations:</i> Cadigan & Lowenkamp (2011b); VanNostrand & Keebler (2009)</p>	<p>Efforts to gauge predictive validity are warranted once data becomes available.</p>	<p>Use of standardized risk assessment tools is recommended at the pretrial stage to appropriately gauge a defendant's risk level and to subsequently guide release decisions. Use of structured protocols serves to minimize the decision maker's biases, appropriately place offenders based on their actual level of risk, and improve the allocation of scarce justice system resources.</p> <p>Pretrial status decisions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>The effectiveness of pretrial release upon subsequent justice system outcomes was assessed. Based on a large sample of 79,064 offenders released on pretrial supervision between 2000 and 2007, results indicated that defendants detained during the pretrial period were more than twice as likely to fail on post-conviction supervision compared with defendants released during the pretrial period. This effect was generalized across risk levels, save for the highest risk cases who failed at similar rates regardless of pretrial condition.</p> <p><i>Primary Citation:</i> Cadigan & Lowenkamp (2011b)</p>	<p>While the authors controlled for risk, no mention was made of controlling for other potential confounds.</p>	<p>Defendants released at the pretrial stage experience more desirable outcomes at later stages of justice system processing (i.e., lower recidivism rates) than those who are detained in custody.</p> <p>Pretrial status decisions</p>
<p>The study's aim was the construction and validation of a pretrial risk assessment instrument based on a sample of 342 adult offenders from multiple agencies across two states. Eight items were selected to comprise the instrument based on both empirical and face validity considerations: age at first arrest, history of failure-to-appear (FTA), recent occurrence of FTA, prior jail incarcerations, employment status, drug use, drug-related problems, and residential stability.</p> <p>The total score was significantly related to both FTA and new arrests while under supervision ($r = .21 - .27$, $p < .001$). In addition, the increase in failure rates from low, moderate, and high risk categories was statistically significant.</p> <p><i>Primary Citation:</i> Lowenkamp, Lemke, & Latessa (2008)</p> <p><i>Supporting Citations:</i> VanNostrand (2003); Winterfield, Coggeshall, & Harrell (2003)</p>	<p>The relationship between the risk assessment aggregate score and new arrests was not significant for the subsample of female defendants. The applicability of this tool to specialized offending populations (e.g., sex offenders) is also contingent on further research. Additionally, results should be replicated on larger samples.</p>	<p>Structured and empirically validated risk assessment protocols should be incorporated into the pretrial decision making process. Risk assessment tools should be validated on the specific population being served.</p> <p>Pretrial status decisions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>A study predicting risk using an assessment instrument for pretrial populations examined the following factors: charge type, pending charges, outstanding warrants, prior convictions, prior failures to appear, prior violent convictions, length of time at current residence, employment status, and history of drug abuse. Statistical analysis showed that the instrument predicted equally across gender, race, and geographic location.</p> <p>The study found that not only did the instrument predict for failure to appear (i.e., high risk defendants were less likely to appear) but it also predicted for danger to the community (i.e., higher risk defendants were more likely to be arrested pretrial) and for failure due to technical violations (i.e., higher risk defendants were more likely to have technical violations).</p> <p>A similar test in Federal Court found that offenders with different risk levels may respond to pretrial conditions differently. In addition, most conditions did not have an impact on recidivism risk for low risk offenders. This finding is supported by another study of Federal District Court in the District of Columbia.</p> <p><i>Primary Citations:</i> VanNostrand (2003); VanNostrand & Keebler (2009)</p> <p><i>Supporting Citation:</i> Winterfield et al. (2003)</p>	<p>There is no measure of association between risk score and outcome (e.g., failure to appear or rearrest).</p> <p>In the Federal study, there were no data on fulfillment of conditions or the quality of services.</p>	<p>By assessing risk, decision makers are able to base the use of pretrial detention and release conditions on level of risk.</p> <p>Pretrial status decisions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>A study found that judges who used bail guidelines were more consistent in their decision making regarding release on recognizance than judges who did not use bail guidelines. The judges who used guidelines were more likely to grant ROR to non-seriously charged defendants and to be more stringent with defendants facing more serious charges than the control group, who lacked this level of consistency in their decisions. In addition, with regard to defendants classified within the cash bail decision group in the guidelines, 65% of the judges who used guidelines set bail in this range, while only 38% of the judges in the control group set bail similarly.</p> <p>The equity of bail decisions involves decision making in which one would expect “similarly situated” defendants to be treated in a similar manner, which was confirmed by this study. The variation in bail amounts was substantially reduced among the judges using guidelines.</p> <p><i>Primary Citation:</i> Goldkamp & Gottfredson (1985)</p>	<p>This was an experimental study of bail guidelines looking at 960 cases and conducted over a 14-month period. Judges were randomly assigned to an experimental group, which would use bail guidelines, or a comparison group, which would set bail decisions as they had in the past.</p> <p>This was a single site study.</p>	<p>Providing judicial officers with objective information about defendants’ backgrounds and community ties (as well as about the charges against the defendant) coupled with the use of a validated instrument helps produce more equitable and effective pretrial decisions.</p> <p>Pretrial status decisions</p>
<p>A study was conducted to compare the criminogenic needs of male and female offenders, and the influence of these needs on pretrial outcomes—namely, failure-to-appear and new arrests. For a sample of 266 pretrial defendants, data were drawn from the Inventory of Need Pretrial Screening Tool implemented in Ohio, a tool that includes items sampled from both the mainstream and gender responsive literatures.</p> <p>The criminogenic effects of trauma, mental health, and homelessness were especially noteworthy for women. These gender responsive scales collectively enhanced the prediction of gender neutral scales (e.g., criminal history, employment, education, substance abuse) when considering new arrests and failure-to-appear at 4-months and 6-months follow-up.</p> <p><i>Primary Citation:</i> Gehring & Van Voorhis (2014)</p>	<p>Beyond a small sample size, note that follow-up periods were relatively short (4 and 6 months), potentially attenuating the stability of results.</p> <p>Revalidation on additional samples over longer follow-up periods is advisable.</p>	<p>Identifying and addressing gender responsive needs at the pretrial stage via structured assessments and interventions may contribute to more successful outcomes for women.</p> <p>Pretrial status decisions Community behavior change interventions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>A recent meta-analysis featuring 28 studies published between 1980 and 2011 included a total of 57 experimental comparisons and 19,301 youths under the age of 18. The goal was to examine the effectiveness of diversion referrals by law enforcement officers or other juvenile justice agencies at the pre-adjudication stage. While the overall effects of diversion were not statistically significant given the heterogeneity of the programs included, capacity to reduce recidivism was clearly moderated by type and quality of intervention. Both family-based programming and restorative justice options with high levels of researcher involvement and monitoring led to significant reductions in recidivism compared with traditional processing.</p> <p><i>Primary Citation:</i> Schwalbe et al. (2012)</p>	<p>The authors did not account for risk level among clients, which may have obscured the potential effectiveness of certain programs.</p>	<p>The success of diversion programs is contingent on quality of program design and implementation. Diversion programs that include family-based interventions and that demonstrate a high level of fidelity monitoring are especially promising in terms of reducing recidivism rates among juvenile offenders.</p> <p>Diversion and deferred prosecution decisions</p>
<p>A meta-analysis of 131 studies for almost 750,000 adult offenders found that the strongest predictors of recidivism proved to be criminogenic need, criminal history/history of antisocial behavior, social achievement, age/gender/race, and family factors. Both static and dynamic predictors proved important. Overall, validated risk assessment instruments were superior to static measures and indices of antisociality. Early family factors and pre-adult antisocial behavior are correlated with recidivism but are rarely included in adult offender risk assessments. Focus on personal distress, social class, and, to a lesser extent, intelligence is contraindicated based on the empirical evidence.</p> <p><i>Primary Citation:</i> Gendreau, Goggin, & Little (1996)</p> <p><i>Supporting Citations:</i> Andrews & Bonta (2010); Andrews et al. (1990); French & Gendreau (2006)</p>	<p>The studies included in the meta-analysis had an overrepresentation of males in their samples.</p>	<p>Validated risk assessments have been demonstrated to effectively identify risk and criminogenic needs.</p> <p>Diversion and deferred prosecution decisions Charging decisions Plea decisions Sentencing decisions Institutional intervention decisions Probation and parole intervention decisions Community behavior change interventions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>A review of 50 studies (of 55 drug courts) found that the recidivism rate (for both drug and non-drug offenses) was lower on average for drug court participants than for those in the comparison group (38% compared to 50%). Three studies that used random assignment and did not have a high participant attrition rate demonstrated a reduction from 50% to 43%. In addition, other studies that used a group of eligible but non-referred offenders as the comparison group also observed a moderate reduction in reoffending.</p> <p>Programs that used either a pre-plea or post-plea model were more effective than those that employed a mixed model. Moreover, programs that offered a clear incentive for completion (e.g., dismissal of charges) had greater success than those that did not. Finally, drug courts that used a single dedicated provider were more successful because they were more likely to use a cognitive behavioral model.</p> <p><i>Primary Citation:</i> Wilson, Mitchell, & MacKenzie (2006)</p> <p><i>Supporting Citation:</i> Mitchell et al., (2012)</p>	<p>None noted.</p>	<p>Drug courts should consider adopting a pre-plea or post-plea model, providing offenders with incentives for completion, and using cognitive behavioral techniques.</p> <p>Diversion and deferred prosecution decisions Plea decisions</p>
<p>Anecdotal reports suggest that few diversion programs currently use standardized assessment tools to determine eligibility. In an effort to determine the accuracy of risk assessment protocols in forecasting diversion noncompliance and reincarceration, a total of 131 offenders arrested for misdemeanor or felony charges in the state of New York were subject to analysis. All defendants had been diagnosed with an Axis I disorder and opted for mental health diversion over incarceration. They were released on their own recognizance and entered a community-based treatment program.</p> <p>Both the HCR-20 and the PCL:SV accurately predicted noncompliance and reincarceration over a 1-year period. Notably, the Clinical scale of the HCR-20 was particularly useful for predicting noncompliance over the short term (3 months).</p> <p><i>Primary Citation:</i> Barber-Rioja et al. (2012)</p>	<p>The slightly inferior performance of the PCL:SV is likely attributable to the low base rate of psychopathy in the sample and the consequent restricted score range. Notably, nearly 75% of the sample had initially been charged with a nonviolent offense. Replication with larger samples (including both violent and nonviolent offenders) and longer follow-up periods is advisable.</p>	<p>The application of structured assessment tools such as the HCR-20 and PCL:SV could potentially be used to assess the diversion eligibility of offenders with mental illness and place them in community-based treatment, thereby reducing the number of noncompliances and reincarcerations.</p> <p>Diversion and deferred prosecution decisions Community behavior change interventions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>This study of the effectiveness of jail diversion for offenders with diagnosed mental illness considered a sample of 546 participants across 14 sites. Being processed through mental health courts resulted in significantly lower 12-month post-enrollment arrest rates relative to the arrest rate in the year prior to enrollment.</p> <p><i>Primary Citation:</i> Case et al. (2009)</p> <p><i>Supporting Citations:</i> DeMatteo et al. (2012); Lim & Day (2014); Sarteschi, Vaughn, & Kim (2011)</p>	<p>This evaluation was based on a pre-post comparison design. A more methodologically sound design would be to compare the arrest rate of diverted clients against that of a non-diverted comparison group.</p>	<p>Mental health courts (diversion programs) linked to a range of community resources are a promising avenue for the processing of offenders battling mental illness.</p> <p>Diversion and deferred prosecution decisions Community behavior change interventions</p>
<p>A study that examined the dose-response relationship between time served in prison and recidivism (i.e., rearrest for a felony offense over a 1-year follow-up period) considered a total of 1,989 adult offenders under post-release supervision in Ohio.</p> <p>Results showed that lengthier prison terms did not have a meaningful effect on recidivism until an offender had served at least 5 years. Sentences of 5 or more years were associated with a reduction in offenders' odds of recidivism.</p> <p><i>Primary Citation:</i> Meade et al. (2012)</p> <p><i>Supporting Citation:</i> Loughran et al. (2009)</p>	<p>Outcome measures included felony arrests and did not include arrests for minor crimes of technical violations of parole. Although the authors controlled for age at time of imprisonment, they did not control for age at release. Given the significant relationship between age and sentence length, it is possible that those offenders who served at least 5 years were simply incapacitated until they "aged out" of their peak offending years.</p>	<p>The specific deterrent effect of prison sentences may be limited. Sentences less than 5 years may be reduced without a substantial threat to public safety.</p> <p>Plea decisions Sentencing decisions</p>
<p>A randomized experiment exploring drug court monitoring found that offenders assigned to adaptive intervention (i.e., a treatment-oriented response as opposed to a judge-oriented response) were more likely to graduate, had fewer warrants issued, and had more negative (i.e., clean) drug screens. The effects were present for both low and high risk offenders, although low risk offenders performed better.</p> <p><i>Primary Citation:</i> Marlowe et al. (2008)</p>	<p>The sample size was small: 31 offenders. In addition, the experiment was conducted in a single drug court, which makes generalization problematic.</p>	<p>Drug courts should be administered with a treatment orientation.</p> <p>Plea decisions Sentencing decisions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>A study of 130 low risk and 57 high risk offenders found strong support for the risk principle in drug courts. High risk offenders (who were scheduled to biweekly status hearings) performed better in drug court than those who were assigned to status hearings as usual (they had more negative drug screens and better attendance at counseling sessions).</p> <p><i>Primary Citation:</i> Marlowe et al. (2006)</p> <p><i>Supporting Citation:</i> Lowenkamp, Holsinger, & Latessa (2005)</p>	<p>The sample size for the high risk group was small (57 high risk offenders compared to 130 low risk offenders), and there was limited follow-up on illegal behavior, which limits the ability to generalize about the staying power of the effects.</p>	<p>Drug court participants should be selected based on risk level (i.e., the risk principle holds in drug court settings).</p> <p>Plea decisions Sentencing decisions</p>
<p>A meta-analysis of 140 studies of community (intermediate) sanctions and 325 studies of incarceration found that, for intermediate sanctions, there appeared to be a “net widening” effect through the targeting of individuals who would not have previously received as severe a sanction. In addition, there was no indication that these more severe sanctions were more effective than traditional community supervision. In the 47 studies of intensive supervision included in this review, there was no difference between the groups, with each having a recidivism rate of 29%. However, there was an indication that the inclusion of a treatment component with the intensive supervision program resulted in a 10% reduction in recidivism.</p> <p>The analysis of whether longer periods of incarceration produced lower recidivism rates included two components: one comparing similar offenders who spent more time (averaging over 30 months) in prison compared with less time (averaging less than 17 months) and the second comparing offenders who were sent to prison for a brief time with a similar group not receiving a prison sentence. Neither of these analyses exhibited different effects on recidivism.</p> <p><i>Primary Citation:</i> Gendreau et al. (2001)</p>	<p>Methodological rigor was not included as a criterion for inclusion in the meta-analysis.</p>	<p>Intermediate sanctions should be utilized with recognition of both their ability to achieve certain outcomes and their limitations, such as accountability as opposed to risk reduction. Careful controls should be put in place when implementing intermediate sanctions to avoid unintended net widening.</p> <p>Plea decisions Sentencing decisions</p>

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<p>Holsinger, Lowenkamp, & Latessa (2006) examined the degree to which the composite score of the Youth Level of Service/Case Management Inventory (YLS/CMI) predicted institutional misconduct. The instrument, designed to predict general recidivism in youth populations, contains 42 items across eight domains. This study is the first to examine the tool's predictive validity with respect to institutional behavior. A total of 80 youths were randomly selected by staff and subsequently assessed. Controlling for age and time spent in the institution, the YLS/CMI total score emerged as a significant predictor of all infraction types ($r = .40$, $p < .001$). Moreover, results showed that high risk offenders engage in misconducts at a significantly higher rate than their medium risk counterparts (95% vs. 62%).</p> <p>Using American survey (self-report) data collected from approximately 20,000 male inmates over two time periods (1991 and 1997), Steiner and Wooldredge (2008) specifically showed that younger age, prior incarceration, and pre-arrest drug use were salient predictors of institutional infractions.</p> <p><i>Primary Citation:</i> Holsinger, Lowenkamp, & Latessa (2006)</p> <p><i>Supporting Citation:</i> Steiner & Wooldredge (2008)</p>	<p>Given the small sample size and the staff selection of participants, further validation is recommended.</p>	<p>Structured risk/needs tools such as the YLS/CMI are useful for aiding in the classification of young offenders within institutions.</p> <p>Sentencing decisions Institutional intervention decisions</p>
<p>A summary of 30 meta-analyses found that (1) overall treatment reduces recidivism by about 9–10%, and slightly more for “appropriate” services, when the program is matched to the offender's unique traits, (2) community programs have greater effect sizes, (3) there is some influence of age of offenders on recidivism outcome, and (4) larger effect sizes are derived from programs with higher risk offenders.</p> <p><i>Primary Citation:</i> McGuire (2002)</p> <p><i>Supporting Citation:</i> French & Gendreau (2006)</p>	<p>This is a summary of evaluation studies and does not have any controls. In addition, evaluations of juvenile programs are overrepresented in the summary, as are males.</p>	<p>Treatment programming should be targeted to higher risk offenders and their criminogenic needs, and preferably (though not exclusively) be community-based.</p> <p>Sentencing decisions Institutional intervention decisions Probation and parole intervention decisions Community behavior change interventions</p>

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<p>A quasi-experimental study compared outcomes between Breaking the Cycle counties and non-Breaking the Cycle counties with a total sample size of 5,600 adult offenders. (Breaking the Cycle is a community-based drug treatment/intervention program designed to address drug-related crime.) The Breaking the Cycle group had a slight but statistically significant lower likelihood of arrest for any offense and significantly fewer drug arrests overall. In the Breaking the Cycle counties that administered more drug tests and sanctions, offenders with drug conditions had a statistically significant lower likelihood of arrest for any offense and significantly fewer drug arrests.</p> <p>An analysis of the costs and benefits of the Breaking the Cycle program found that it returned \$2.30 to \$5.70 for every dollar invested. The conclusion was that the Breaking the Cycle program is a cost-effective strategy for reducing drug arrests for offenders with drug conditions.</p> <p>More recently, the Juvenile Breaking the Cycle program was validated with youths (Krebs et al., 2010).</p> <p><i>Primary Citations:</i> Harrell, Mitchell, et al. (2003); Harrell, Roman, et al. (2003); Krebs et al. (2010)</p>	<p>The major limitation is the reliance on secondary data, which limited the analyses (for example, there were no data on treatment utilization). In addition, although some of the findings were statistically significant, most observed differences were modest.</p>	<p>Programs designed to achieve specific outcomes should be evaluated to determine their effectiveness and overall cost/benefit.</p> <p>Sentencing decisions Community behavior change interventions</p>
<p>A meta-analysis of 70 prison-based treatment studies found higher effect sizes resulting from behavioral programs and programs with greater integrity in terms of implementation. In particular, programs that targeted criminogenic needs had increased effects on recidivism, which increased with the number of criminogenic needs targeted. Overall, the study found that misconduct was reduced by about 26% through programming.</p> <p><i>Primary Citation:</i> French & Gendreau (2006)</p>	<p>The meta-analysis had few studies of women offenders, and it did not control for factors that have been demonstrated to influence misconduct (i.e., prison overcrowding, population instability through transfers, security level, etc.).</p> <p>The authors note that important offender characteristics (risk, need, misconduct history) may moderate the findings.</p>	<p>Enhanced prison management will result through a strategy in which programming has a central role.</p> <p>Institutional intervention decisions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>Using a prospective research design, two empirically constructed risk/needs instruments—a classification tool to assess risk of institutional misconduct and a case management tool to predict community recidivism—were tested on a sample of 414 Ohio inmates.</p> <p>The classification tool accurately predicted prison misconducts (AUC = 0.73), yet it performed poorly in the prediction of new arrests at 6 months follow-up (AUC = 0.58). Conversely, the case management tool predicted new arrests with a respectable level of accuracy (AUC = 0.70), yet it showed an inferior performance upon the prediction of prison misconducts (AUC = 0.62). The authors propose a streamlined hybrid tool to assess both outcomes effectively and efficiently.</p> <p><i>Primary Citation:</i> Makarios & Latessa (2013)</p> <p><i>Supporting Citation:</i> Weinrath & Coles (2003)</p>	<p>The relatively short time at risk (5.4 months) and the low base rate of prison misconducts (16%) should be noted.</p>	<p>A single one-size-fits-all approach to risk assessment may not be appropriate across all levels of justice system processing. For example, dynamic factors that are important for community adjustment (e.g., substance abuse) may not be as important to predicting misconduct in custodial settings. Ultimately, jurisdiction-specific validation of risk assessment tools vis-à-vis the various outcomes of interest is highly recommended.</p> <p>Institutional intervention decisions Institutional release/parole release decisions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>Using a well-designed randomized experiment, the effectiveness of the Minnesota Comprehensive Offender Reentry Plan (MCORP) was evaluated. MCORP underscores a collaborative relationship between institutional caseworkers and community supervision agents so as to provide greater continuity upon an offender's return to the community. MCORP agents meet with offenders several times prior to release from prison and offer assistance in the domains of employment, education, housing, health, and the like.</p> <p>Between 2008 and 2010, a total of 415 offenders were randomly assigned to participate in MCORP, while 274 offenders were randomly assigned to the control group. Controlling for a number of possible confounds (e.g., age at release, risk level, sentence length, etc.), survival analysis revealed reductions in recidivism ranging from 20 to 25% as defined by rearrest, reconviction, revocations for technical violations, and any return to prison. Moreover, the cost avoidance benefit of MCORP was approximately \$4,300 per participant, or \$1.8 million overall.</p> <p><i>Primary Citation:</i> Duwe (2014)</p> <p><i>Supporting Citation:</i> Duwe (2012)</p>	<p>The average follow-up period for offenders in the study was 3 years, with a minimum of 18 months and a maximum of 53 months.</p>	<p>Well-designed and implemented reentry programs such as the Minnesota Comprehensive Offender Reentry Plan (MCORP) (which underscores a collaborative relationship between institutional caseworkers and community supervision agents) can effectively reduce recidivism rates and yield a positive return on investment.</p> <p>Institutional intervention decisions Institutional release/parole release decisions Reentry planning decisions Probation and parole intervention decisions</p>
<p>A study was conducted to evaluate an implementation of the Serious and Violent Offender Reentry Initiatives (SVORI)—a comprehensive program designed to prepare high risk offenders for successful community reintegration through both institutional and community-based programming targeting housing, employment, health issues, and so forth. The sample consisted of 71 SVORI participants and 106 controls from North Dakota who simply received traditional prison/parole services.</p> <p>Controlling for demographic characteristics, risk level, and time-at-risk via survival analysis, results indicated that reentry program completers were 60% less likely to be rearrested than members of the comparison group.</p> <p><i>Primary Citation:</i> Bouffard & Bergeron (2006)</p>	<p>Analyses should be replicated on larger samples.</p>	<p>The North Dakota Serious and Violent Offender Reentry Initiatives (SVORI) successfully reduced the likelihood of recidivism in contrast to traditional parole services and supervision.</p> <p>Institutional intervention decisions Institutional release/parole release decisions Reentry planning decisions Probation and parole intervention decisions Community behavior change interventions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>The predictive validity of the Violence Risk Scale (VRS) was assessed prospectively on a sample of 60 federal parolees in Canada. The VRS, a 26-item tool tapping both static and dynamic risk factors, was designed to gauge the risk of violent recidivism in adult forensic populations. The VRS was scored by researchers subsequent to the parolees' release into the community, and recidivism follow-up data was collected after approximately 7 years.</p> <p>While 60% of participants had been reconvicted of any offense, 35% were reconvicted for a violent offense. Importantly, the VRS aggregate score was significantly related to all measures of recidivism under consideration (e.g., dichotomous indicator of reconviction, days to reconviction, and reconviction severity for both violent and general reoffending). Notably, the predictive accuracy of VRS total scores vis-à-vis any reoffending and violent reoffending yielded AUCs of .72 and .83, respectively. Time to reoffending also decreased significantly when comparing the low to moderate risk group to the high risk group (groups were identified based on VRS classifications).</p> <p>VRS scores and recidivism outcomes of the released sample of parolees were compared with those of a normative sample of male federal offenders in Canada ($N = 918$). While the VRS static scores (i.e., historical markers) were statistically equivalent between groups, dynamic scores were lower in the released sample. These lower assessment scores were reflected in lower recidivism rates after a 3-year fixed follow-up period (46.67% vs. 58.50% for general recidivism; 26.67% vs. 31.31% for violent recidivism). The researchers concluded that while the parole board did make appropriate decisions in releasing offenders presenting lower risk, their decision making accuracy would have improved significantly had they additionally relied on the VRS (or a similar validated risk/needs tool) during their deliberations and released those identified as low or medium risk. In this latter scenario, there would have been a 30.6% reduction in general recidivists and a 42.9% reduction in violent recidivists.</p> <p><i>Primary Citation: Wong & Pharhar (2011)</i></p>	<p>Statistically, the small sample size of 60 would theoretically make it more difficult to detect an effect in significance testing. As such, it is noteworthy that the VRS yielded such high predictive accuracy despite this limitation.</p>	<p>Results suggest that scores yielded from structured risk/needs tools such as the Violence Risk Scale (VRS) should be considered in parole board deliberations.</p> <p>Institutional release/parole release decisions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>A study using data from Washington State sought to determine whether supermax prisoners (i.e., those segregated from the general prison population in high security settings) would be more likely to reoffend upon release than their non-supermax counterparts. A one-to-one matching procedure was used to pair a total of 200 supermax participants with 200 control subjects. Matching variables included mental illness and a number of demographic and criminal history indicators.</p> <p>Over a 3-year follow-up period, 53% of supermax participants recidivated compared with 46% of their non-supermax matches, reflecting only a trend towards a statistically significant difference. However, a more pronounced difference was observed when comparing supermax prisoners released directly to the community with their matched controls (69% vs. 51%, $p < .016$). Applying survival analysis, direct release status was also associated with reduced time to reoffense (either felony or misdemeanor) compared with later release supermax inmates (14 weeks vs. 8 months).</p> <p><i>Primary Citation:</i> Lovell, Johnson, & Cain (2007)</p>	<p>Supermax participants were operationally defined as those whose last stay in supermax was less than 4 years before their release date and who had spent at least one continuous period exceeding 12 weeks in supermax, or those who had shorter stays that, when combined, equaled 40% or more of their prison term.</p> <p>Control subjects spent no more than 30 days in supermax over their incarceration history.</p>	<p>Direct release from high security, segregated supermax settings to the community is associated with increases in recidivism rates and shorter time to reoffending. More gradual steps to aid in offender reentry may be advisable.</p> <p>Institutional release/parole release decisions Reentry planning decisions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>A study on a sanctions grid used by parole field staff in Ohio to determine the appropriate response to violations of conditions of post-release supervision indicated that moderate and high risk offenders in all supervision categories had a lower likelihood of recidivism after completing a halfway house program. However, low and low/moderate risk offenders recidivated more frequently when they were placed in these higher security settings than into a straight community placement. In addition, offenders in the parole violator category were the only group that experienced a significantly lower level of recidivism across all risk levels when placed in halfway houses.</p> <p><i>Primary Citation:</i> Andrews & Janes (2006)</p> <p><i>Secondary Citation:</i> Latessa et al. (2010)</p>	<p>Offenders in a halfway house program were tracked for 2 years post-release to determine the baseline recidivism rate and the characteristics of those most likely to succeed. Based on this research, a supervision grid was created to classify offenders into four risk levels and three supervision categories.</p> <p>The article does not provide details on the research methodology. The research was conducted with offenders in one state.</p>	<p>Halfway house interventions with supervision geared to level of risk/need can be effective with higher risk offenders. Low risk offenders may do worse when placed in high security/intensive supervision halfway house programs.</p> <p>Institutional release/parole release decisions Reentry planning decisions Probation and parole intervention decisions Community behavior change interventions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>A content analysis of women's reentry programs offered in the 10 largest metropolitan cities of the United States was undertaken to determine whether currently available programs address the afore-listed needs. A total of 155 reentry programs were considered; all programs were specific to women and operational at the time of the investigation. Moreover, all information pertinent to eligibility and services was publically available.</p> <p>Overall results of the analysis suggest that the needs of reentering women were not being met by currently offered programming. For example, no more than 20% of programs in a given city provided childcare and parenting services, less than 50% of programs in any metropolitan area provided counseling and mental health services, and less than 20% of programs offered housing and transportation services.</p> <p>Employment and education programming was the most readily available, offered by a minimum of five programs in each city.</p> <p><i>Primary Citation:</i> Scroggins & Malley (2010)</p> <p><i>Supporting Citations:</i> Arditti & Few (2006); Petersilia (2004)</p>	<p>None noted.</p>	<p>Many of the needs that are particularly salient to women offenders are not currently being addressed in the context of reentry services. It is therefore important to continue developing gender responsive treatment strategies for this growing population.</p> <p>Institutional release/parole release decisions Reentry planning decisions Probation and parole intervention decisions Community behavior change interventions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>The effectiveness of various offender reentry programs was evaluated in a synthesis of the empirical literature. For the purposes of the analysis, the authors operationalized reentry programs as (1) American or Canadian correctional programs that focus on the transition from prison to community (among adult populations), and (2) programs that have initiated treatment in a secure custody setting but have established links with community services to ensure continuity of care. Extant empirical studies were categorized by program type and according to scientific rigor.</p> <p>Based on a comprehensive review of 32 published studies, evidence was found for the effectiveness of vocational/work programs at reducing prison misconducts, reducing post-release arrest rates, and improving employment outcomes (e.g., Saylor & Gaes, 1997; Turner & Petersilia, 1996). Drug rehabilitation reentry programs were found to reduce recidivism and subsequent drug use (e.g., Knight et al., 1999). Halfway house programs and pre-release programs were also effective in reducing recidivism (e.g., Castellano et al., 1996; Dowell et al., 1985). Finally, education programs showed some success in increasing educational achievement scores but not in reducing the likelihood of future offending (e.g., Vito & Tewksbury, 1999). Note that in a separate meta-analysis, Visser and colleagues (2005) also failed to find a significant effect of employment programs upon recidivism.</p> <p><i>Primary Citation:</i> Seiter & Kadela (2003)</p> <p><i>Supporting Citations:</i> Castellano et al. (1996); Dowell, Klein, & Krichmar (1985); Knight, Simpson, & Hiller (1999); Saylor & Gaes (1997); Turner & Petersilia (1996); Visser, Winterfield, & Coggeshall (2005); Vito & Tewksbury (1999)</p>	<p>None noted.</p>	<p>Reentry programs showing the most promise in reducing recidivism rates include vocational/work programs, drug rehabilitation programs, halfway house programs, and pre-release programs.</p> <p>Institutional release/parole release decisions Reentry planning decisions Probation and parole intervention decisions Community behavior change interventions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>This research examined whether Kentucky's commutation initiative increased risk to public safety. The recidivism patterns of 883 nonviolent offenders released through sentence commutations within 120 days of the expiration of their sentences were compared with those of a matched control group of inmates not granted early release. Controlling for age, race, sex, index offense type, and custody level, reincarceration over a 5-year follow-up period was statistically identical for the two groups (40.0% for commuted group vs. 38.7% for comparison group).</p> <p><i>Primary Citation:</i> Vito, Tewksbury, & Higgins (2010)</p>	<p>None noted.</p>	<p>Nonviolent inmates in Kentucky who had their sentences commuted posed no greater threat to public safety than those who remained incarcerated until their sentence expiration date. Moreover, by releasing the commuted sentence group, the research team estimated a cost savings of \$13,430,834.</p> <p>Institutional release/parole release decisions Discharge decisions</p>
<p>A total of 29 programs were featured in a comprehensive narrative review of 35 evaluations of community-based reentry programs published between 2000 and 2010. Nearly 80% of the evaluations reviewed reported positive results (e.g., recidivism reduction, drug relapse reduction). Beyond the commonly offered life skills and substance abuse treatment protocols, programs providing an aftercare component and housing assistance yielded the most positive outcomes.</p> <p><i>Primary Citation:</i> Wright et al. (2014)</p>	<p>None noted.</p>	<p>In general, community-based reentry programs tend to yield positive outcomes—particularly when they include housing assistance and aftercare components.</p> <p>Reentry planning decisions Probation and parole intervention decisions Community behavior change interventions</p>

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<p>A study was conducted to determine whether participation in a reentry program among those no longer under justice system supervision is associated with reductions in recidivism. Project Re-Connect (PRC) is a 6-month voluntary program in St. Louis, Missouri, that provides case management and monetary stipends in the form of bus passes, gift cards to grocery stores, payments towards housing, and the like.</p> <p>PRC participants included 122 inmates released from prison, while the control group was comprised of 158 offenders eligible for the program who chose not to participate. By the end of the observation period (approximately 3.5 years), 20.3% of nonparticipants and only 7.4% of participants had recidivated. Even when controlling for various risk and demographic variables via survival analysis, participation in PRC was associated with a 42.2% reduction in the conviction rate.</p> <p><i>Primary Citation:</i> Wikoff, Linhorst, & Morani (2012)</p>	<p>Recidivism was defined as convictions for a state-level crime that resulted in a new sentence of probation or incarceration. Note that recidivism excluded convictions for offenses that resulted in fines or jail terms.</p> <p>Given participant self-selection, it is plausible that at least some of the apparent success of PRC is attributable to differences in offender motivation.</p>	<p>Particularly in the absence of community supervision, reentry programs (such as Project Re-Connect in St. Louis, Missouri) that address multiple service needs and link offenders to important services (e.g., housing, education, transportation) play a crucial role in the successful reintegration of offenders.</p> <p>Reentry planning decisions Probation and parole intervention decisions Community behavior change interventions</p>
<p>A large-scale investigation was conducted of the potential influence of neighborhood context on reentering parolees in California. The total sample included 280,121 offenders released between 2005 and 2006 and followed up for a maximum period of 24 months. The key outcome variable was whether or not a parolee was returned to prison.</p> <p>The research team found that the likelihood of recidivism decreased by 41% when social service providers were located within 2 miles of the offender. This protective effect was especially pronounced for African American parolees. Moreover, greater neighborhood disadvantage and social disorder (as measured by bar and liquor store capacity) were associated with increased recidivism.</p> <p><i>Primary Citation:</i> Hipp, Petersilia, & Turner (2010)</p> <p><i>Supporting Citation:</i> Kubrin & Stewart (2006)</p>	<p>Note that at the individual level, the authors did not appear to control for offender risk level or criminogenic needs.</p>	<p>The neighborhood context in which parolees return plays an important role in their successful reintegration. In particular, the close proximity of social service providers to offenders appears to be important in attenuating recidivism.</p> <p>Reentry planning decisions Probation and parole intervention decisions Community behavior change interventions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>Based on a large sample of prison inmates released between 2008 and 2009 ($N = 13,198$), Hamilton and Campbell (2014) evaluated the effectiveness of a collection of 18 halfway house (HWH) programs across New Jersey. Comparing 6,599 HWH participants with a matched sample of comparison subjects, the authors found that HWH participation resulted in 40% less odds of having one's parole revoked or of being returned to prison (for any reason).</p> <p>While the effectiveness of treatment did not vary by risk level in the Hamilton and Campbell study, Latessa, Lovins, and Smith (2010) found a treatment by risk interaction in their study of 44 Ohio HWH programs operational in 2006. Based on 6,090 matched offender pairs, the average reduction in recidivism rates associated with HWH interventions was about 5%. However, treatment was only effective for moderate to high risk offenders. In accordance with the risk principle, HWH participation actually aggravated recidivism rates among low risk cases.</p> <p><i>Primary Citations:</i> Hamilton & Campbell (2014); Latessa et al. (2010)</p> <p><i>Supporting Citation:</i> Lowenkamp & Latessa (2002)</p>	<p>In the Hamilton and Campbell study (2014), subjects from treatment and control groups were matched based on 14 prerelease characteristics (e.g., age, race, risk) using propensity score methods, and all subjects were followed up for a minimum of 3 years.</p> <p>Note that in the Hamilton and Campbell study, nonsignificant findings were found when comparing halfway house participants and nonparticipants on rearrest, reconviction, and reincarceration (following the commission of an offense).</p>	<p>In general, there is support for the effectiveness of halfway house programs in reducing recidivism rates. However, one should be mindful of reserving these services primarily for moderate to high risk offenders.</p> <p>Reentry planning decisions Community behavior change interventions</p>

What's Promising in Reducing Pretrial Misbehavior and Offender Recidivism

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<p>The effectiveness of behavioral responses in deterring noncompliant acts is contingent on the certainty, swiftness, and fairness (consistency and proportionality) of the response. In addition, the supervision process must be proactive and have the following critical elements: (a) inform the offender about the behavior that constitutes an infraction and about the potential consequence for that behavior, (b) ensure that the judiciary, supervision agents, and other treatment agencies adhere to the sanctioning model, and (c) uphold the offender's dignity throughout the process of change. Thus, a sound behavioral response model should clearly define infractions, utilize a swift process for responding to infractions, respond to sanctions using a structured sanction menu with consequences, and employ behavioral contracts for offenders, with written offender acknowledgement of violation behavior.</p> <p><i>Primary Citation:</i> Taxman, Soule, & Gelb (1999)</p> <p><i>Supporting Citations:</i> Fischer & Geiger (2011); Harrell & Roman (2001)</p>	<p>This is not a research project that makes statistical inferences to a larger population; however, the discussion is supported by the citation of numerous individual studies.</p>	<p>Certainty, swiftness, and fairness in responding to misbehavior are important.</p> <p>Probation and parole intervention decisions</p> <p>Violation response decisions</p>

What's Not Clear in Reducing Pretrial Misbehavior and Offender Recidivism

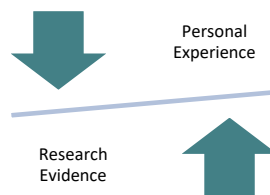
MAJOR RESEARCH FINDINGS <i>Findings that contradict or conflict with other studies and require additional rigorous research</i>	METHODOLOGICAL CONSIDERATIONS	IMPLICATIONS & RELEVANT DECISION POINTS
<p>Britt and colleagues (1992) conducted a randomized experiment on the effects of drug testing during pretrial release on offender misconduct found there was no statistically significant difference between the treatment and control groups with regard to failure to appear or rearrest. The overall conclusion was that the use of drug testing during the pretrial period did not significantly reduce pretrial misconduct.</p> <p>Perry and colleagues (2009) conducted a meta-analysis on 13 randomized controlled trials conducted between 1980 and 2014. Echoing previous findings, drug testing during the pretrial release period had limited success in changing defendants' behavior, as compared to routine parole and probation.</p> <p><i>Primary Citations:</i> Britt, Gottfredson, & Goldkamp (1992); Perry et al. (2009)</p>	<p>In the Brit et al., 2009, study, there was significant attrition in both of the study sites. In addition, in one of the sites, 20% of the treatment group did not receive a drug test and, among other individuals, the amount of testing was varied. As such, it is unclear how the integrity of the intervention may have impacted the results.</p>	<p>Not applicable</p> <p>Pretrial status decisions</p>
<p>A study of 1,378 defendants from 12 urban and rural counties in North Carolina found that the seriousness of charges and the presence of codefendants influenced the final disposition. The seriousness of charges affected the severity of the sentence for defendants who were found guilty. The presence of codefendants increased the odds of dismissal for Class 1 felony defendants. Defendants' prior criminal history did not affect the odds of dismissal but did increase severity of sentencing. Black defendants charged with Class 2 felonies were more likely to have longer stays in pretrial detention. Longer time in pretrial detention influenced court disposition. Whether the defendant had a private versus public defender did not affect the likelihood of charges being dismissed. Plea bargaining was related to the length of sentence for moderate to high risk groups (where risk is related to detention).</p> <p><i>Primary Citation:</i> Clarke & Kurtz (1983)</p>	<p>Risk was defined as the probability of detention, not the probability of future reoffending.</p>	<p>Not applicable</p> <p>Pretrial status decisions Charging decisions Plea decisions</p>
<p>A study of 2,014 adult and juvenile offenders in five sites found that offenders placed in the Treatment Alternatives to Street Crime (TASC) program had lower drug use in three of the five sites studied. Two of the sites reported fewer drug crimes based on self-report data, and there was no difference in reoffending in three sites. While TASC offenders performed worse in terms of new arrests and technical violations in two sites, a more recent study (i.e., Ventura & Lambert, 2004) yielded positive effects on recidivism reduction.</p> <p><i>Primary Citations:</i> Anglin, Longshore, & Turner (1999); Ventura & Lambert (2004)</p>	<p>The follow-up period was only 6 months. Also, TASC was compared with other interventions or probation rather than using a treatment/no treatment comparison.</p>	<p>Not applicable</p> <p>Plea decisions Sentencing decisions Probation and parole intervention decisions Community behavior change interventions</p>

What's Not Clear in Reducing Pretrial Misbehavior and Offender Recidivism

MAJOR RESEARCH FINDINGS <i>Findings that contradict or conflict with other studies and require additional rigorous research</i>	METHODOLOGICAL CONSIDERATIONS	IMPLICATIONS & RELEVANT DECISION POINTS
<p>Using data from six states, Zhang and colleagues (2014) applied survival analysis to study the relative effects of indeterminate versus determinate sentencing on recidivism outcomes for offenders released from custody in 1994. With indeterminate sentences, inmates are generally released at the discretion of parole boards, whereas with determinate sentences, offenders are subject to mandatory release at sentence expiration.</p> <p>Effects of release type varied across the six states under study. Congruent with results of Solomon et al. (2005), time to rearrest over a 3-year period was longer for discretionary release cases than for mandatory release cases for New York and North Carolina. In the case of Maryland and Virginia, the reverse pattern emerged. Finally, the statistical models generated for Oregon and Texas show no relationship between release type and time to rearrest.</p> <p><i>Primary Citation:</i> Zhang, Zhang, & Vaughn (2014)</p> <p><i>Supporting Citation:</i> Solomon, Kachnowski, & Bhati (2005)</p>	<p>Sample sizes were 1,394 for Maryland, 1,853 for Virginia, 1,705 for New York, 1,836 for North Carolina, 1,220 for Oregon, and 1,782 for Texas.</p> <p>Although some demographic and criminal history indices were controlled for in survival models, matching procedures were not employed. As such, group equivalence is questionable.</p>	<p>Not applicable</p> <p>Sentencing decisions Institutional release/parole release decisions Discharge decisions</p>
<p>In a national study of 38,624 prisoners released in 1994 (across 15 states), Solomon et al. (2005) found that when controlling for demographic and criminal history variables, discretionary parolees were statistically just as likely to be rearrested over a 2-year follow-up period (57%) compared with mandatory parolees and unconditional releasees (61%). That stated, certain low risk offender subgroups were more likely to benefit from discretionary release—namely, female offenders, public order offenders and technical violators, and individuals with few prior arrests.</p> <p>Arguing that some successful reentry systems might be obscured by the consideration of national level data, Schlager and Robbins (2008) examined the outcomes of 480 offenders released from prison via discretionary release versus offenders released at the expiration of their sentences. Up to 4 years post-release, the latter were rearrested and reconvicted at significantly higher rates than those granted discretionary release (70% and 44% vs. 60% and 34%). Even when controlling for a number of demographic and criminal history indicators, time to rearrest was significantly longer for discretionary release parolees versus offenders released at sentence expiration (465 days vs. 349 days).</p> <p><i>Primary Citations:</i> Schlager & Robbins (2008); Solomon et al. (2005)</p> <p><i>Supporting Citation:</i> Hughes, Wilson, & Beck (2001)</p>	<p>Although some covariates were included in statistical models, neither Solomon et al. (2005) nor Schlager and Robbins (2008) employed case control matching procedures in an attempt to equalize study groups on potential confounds.</p>	<p>Not applicable</p> <p>Reentry planning decisions Probation and parole intervention decisions Discharge decisions</p>

APPENDIX 5: USING EVIDENCE TO INFORM DECISION MAKING

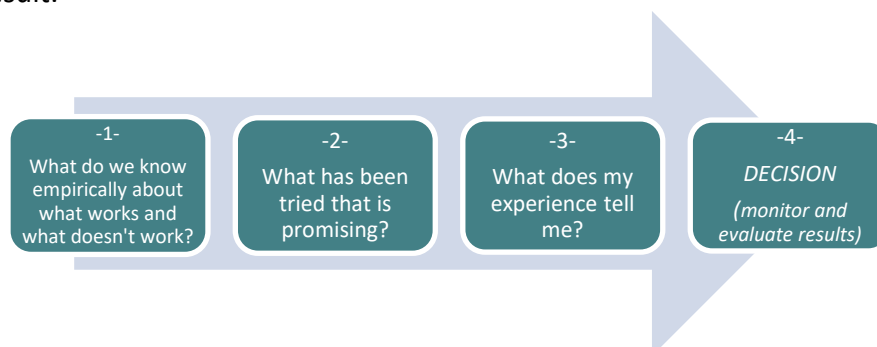
Despite their commitment to applying research to decision making, some criminal justice professionals express confusion over how to apply evidence when it conflicts with personal experience. How much emphasis should be placed on research versus experience? This tension is understandable, particularly when research is in opposition to intuition or experience (such as the empirically supported findings that providing programming to lower risk offenders can increase recidivism or that increasing the degree of punishment can increase recidivism). Even when research is not in opposition to beliefs or experience, outcomes are never a 100% guarantee (i.e., some false positives and false negatives are to be expected, regardless of the strength of the evidence), although, when following the evidence, favorable outcomes are more likely to occur than unfavorable outcomes.



Tension Between Experience and Research

The model below is presented as a way to reconcile seemingly contradictory understandings. It suggests the following:

1. Decision makers begin the decision making process with an understanding of the existing research. In some cases, the relevant research findings will be fairly robust; in others, it will be sparse or absent.
2. When the research is insufficient, decision makers defer to promising practice findings. These findings are weaker than research evidence because they either have not been subject to rigorous testing or been replicated; nonetheless, they can provide more external explanatory power than belief or personal experience alone.
3. When personal experience conflicts with research evidence/promising practice, decision makers weigh the preponderance of evidence with the strength of experience.
4. If the conclusion inferred from the evidence is not followed, decision makers are encouraged to monitor outcomes to determine if the desired results are achieved. Without this, perceptions will neither be affirmed nor challenged and new learning will not result.



APPENDIX 6: 2009 ZOGBY INTERNATIONAL PUBLIC OPINION SURVEY

Zogby International was commissioned by the National Institute of Corrections and its Evidence-Based Decision Making in Local Criminal Justice Systems partners to conduct a telephone survey of likely voters from July 31, 2009 to August 4, 2009. The target sample was 1,005 interviews, with approximately 39 questions asked. Samples were randomly drawn from telephone compact discs of a national listed sample.

Zogby International employed a sampling strategy in which selection probabilities were proportional to population size within area codes and exchanges. Up to six calls were made to reach a sampled phone number. Cooperation rates were calculated using one of the American Association of Public Opinion Research's approved methodologies⁷³ and were comparable to other professional public-opinion surveys conducted using similar sampling strategies.⁷⁴ Weighting by region, political party, age, race, religion, and gender was used to adjust for non-response. The margin of error was ± 3.2 percentage points.

A fact sheet that summarized the key findings from this national public opinion survey is available from the EBDM website: <http://ebdmoneless.org/wp-content/uploads/2015/12/EBDM-Public-Opinion-Fact-Sheet.pdf>

⁷³ The American Association of Public Opinion Research, 2009.

⁷⁴ Sheppard & Haas, 2003.

APPENDIX 7: GLOSSARY OF TERMS

The terms used in this document have specific meanings within the context of a harm reduction philosophy and an evidence-based decision making model.

Criminogenic: Attributes or characteristics of the individual or his/her environment that produce or tend to produce criminal behavior and recidivism.

Data: A collection of observations or statistics used to measure and analyze interventions.

Data-driven: The ongoing collection and analysis of data to track performance and inform policy and practice.

Defendant: A person who has been formally charged with a crime.

Evidence-based: Conclusions drawn from rigorous research studies that have been replicated numerous times with defined, measurable outcomes about the effectiveness of an intervention or process.

Evidence-based decision making (EBDM): The practice of using research to inform or guide decisions across the justice system.

Goal: The desired end result of an effort.

Objective: Measurable, short-term indicators or benchmarks that indicate progress is being made toward the goal.

Offender: A person convicted of a criminal charge.

Outcome: Change that occurs as a result of an action or intervention.

Performance measure: A quantifiable measure that is used to support the decision making process by documenting how well specific functions or processes are carried out.

Research: The systematic analysis of data, using scientific methods, to study the effect of an intervention.

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CASE STUDIES

SUSTAINING THE EBDM MODEL: THE INDIANA STORY

EBDM

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CASE STUDIES

SUSTAINING THE EBDM MODEL: THE INDIANA STORY

NOVEMBER 2021

MADELINE M. CARTER, PRINCIPAL, CENTER FOR EFFECTIVE PUBLIC POLICY

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DEDICATION

This paper is dedicated to the many people who have brought the vision of the Evidence-Based Decision Making (EBDM) Initiative to reality. Over the course of a dozen years, 28 multidisciplinary policy teams have convened across five states in an effort to improve their systems of justice. While this paper represents the work in just one of those states—Indiana—we would be remiss not to acknowledge the incredible efforts in all of the others. They are each listed below and, by all rights, deserve special recognition for the time, energy, and passion they brought to the work in their own communities and their many accomplishments, too many to enumerate here:

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TABLE OF CONTENTS

Acknowledgments.....	iii
Dedication	iv
Introduction.....	1
The EBDM Initiative	2
The EBDM Framework.....	3
Pilot Testing the EBDM Framework	4
Illustrating EBDM at the Local Level: Grant County, Indiana	5
Grant County Selected as an EBDM Pilot Site	6
Early EBDM Efforts	6
Grant County's Change Targets	7
The Effect of EBDM on Grant County.....	11
Looking Forward in Grant County.....	12
EBDM's Expansion in Indiana	13
House Enrolled Act 1006.....	14
Identifying Opportunities to Improve	14
State JRAC and EBDM	22
Building a Deliberate Sustainability Plan.....	22
The Future of EBDM and JRAC.....	23
The Promise of Sustainability.....	25
Reflecting on the EBDM Experience	27
Key Lessons About Sustainability	28
Epilogue.....	30
Appendix: Indiana's Criminal Justice and Governmental Structure	31

INTRODUCTION

Evidence-based decision making (EBDM) is a strategic and deliberate method of applying empirical knowledge and research-supported principles to justice system decisions made at the system level. These decisions have enormous implications for the mission and practices of individual justice system and allied agencies, and they have critical ramifications for people at the individual (case) level. Unlike other efforts to reform justice system practices or improve outcomes, EBDM is not a model that prescribes a particular set of strategies or outcomes. Instead, EBDM acknowledges that jurisdictions differ in size, resources, assets, and challenges. EBDM is a **process** that encourages justice system reformers to come together; understand research pertinent to outcome improvement; analyze their current system's policies, practices, and performance; and align around methods of advancement of their own choosing. It has demonstrated its promise to create a more rational, aligned justice system, supported by research, and managed by stakeholders who work together to achieve a shared vision.

This paper briefly traces the history of the EBDM initiative; illustrates its implementation at the local level through a case study of one of the original EBDM pilot sites, Grant County, Indiana; highlights the promise of EBDM through the experiences of the state of Indiana; and considers the challenges and strategies associated with sustainability.

COLLABORATION

Genuine collaboration is a central focus of the Evidence-Based Decision Making initiative. “Collaboration” is the process of working together to achieve a common goal that is impossible to reach without the efforts of others. It seeks to overcome the limitations of traditional and nonsystemic approaches to justice system problem solving by bringing together stakeholders to share information, develop common goals, and jointly create policies to support those goals—and to do so for a sustained period of time.

THE EBDM INITIATIVE

In June 2008, the National Institute of Corrections (NIC) launched the Evidence-Based Decision Making in Local Criminal Justice Systems initiative. The EBDM initiative aims to build a systemwide framework (from arrest through final disposition and discharge) that achieves improvements in individual and justice system outcomes. EBDM conceptualizes a justice system guided by goals defined and shared by stakeholders, decisions informed by research evidence, a system guided by collaborative policy development, and a commitment to ongoing data collection and analysis to determine whether and how goals and outcomes meet expectations.

EBDM was first implemented as a conceptual model with seven local pilot sites across the United States. The purpose of the pilot was to determine whether the conceptual model would be embraced and could be implemented. Fueled by an enthusiastic response from pilot site participants, NIC expanded the model to include additional sites and placed an emphasis on building an alignment in vision and values between state-level policymakers and their local counterparts. The initiative's name was revised to Evidence-Based Decision Making in State and Local Criminal Justice Systems to reflect this broadened scope.

JUSTICE SYSTEM STAKEHOLDERS

Justice system “stakeholders” are defined as those who have a vested interest in justice system processes and outcomes. Policy teams are composed of justice system agencies and community organizations that affect, or are affected by, decisions that will be made by the collaborative team. Their specific stakeholder composition varies depending on the structure of each community but commonly includes those with the positional power to create change within their own organizations and community members who serve to inform the work. The chief judge, court administrator, elected prosecutor, chief public defender, private defense bar, community corrections director, police chief, elected sheriff, pretrial administrator, victim advocates, local elected officials (i.e., city manager, county commissioner), service providers, and community representatives are common members of local policy teams. On state-level teams, the stakeholder composition is similar but includes those with positional influence across multiple communities (e.g., elected president of the state prosecutors’ or sheriffs’ association; executive director of the state’s association of counties) and individuals with statewide authority or influence (e.g., state legislature, statewide behavioral/mental health agencies, departments of corrections, attorneys general, governor’s offices, state courts). In addition, state-level teams include local team representatives in a deliberate effort to align state and local interests around justice system reforms. Together and separately, each brings valuable information, resources, and perspectives to the collaborative endeavor.

The EBDM Framework

The work of EBDM is guided by *A Framework for Evidence-Based Decision Making in State and Local Criminal Justice Systems*. The EBDM Framework posits that risk and harm reduction are

RISK REDUCTION VERSUS HARM REDUCTION

Risk reduction refers to lessening the likelihood, frequency, or severity of recidivism by people currently or previously involved in the justice system. **Harm reduction** refers to the decrease of the ill effects of crime. These include the direct effect of crime on victims, neighborhoods and communities as a whole, families of people who are justice-involved, and justice-involved people themselves.

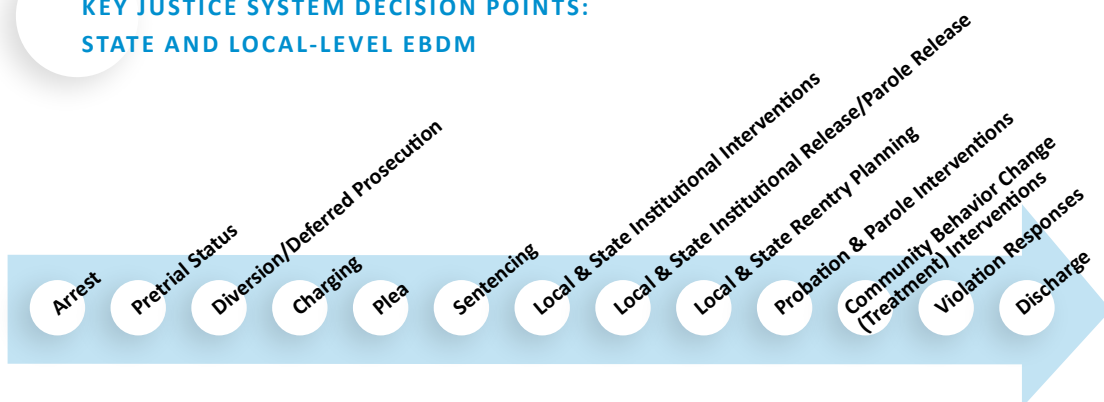
fundamental—and attainable—goals when stakeholders embrace and align with the core tenets of the Framework: engagement in truly collaborative partnerships, the use of research to guide work across the justice system’s decision points, an understanding of implementation science research, and a common vision of community well-being (i.e., better outcomes for people involved in the justice system, more efficient use of tax dollars, fewer victims, and a stronger sense of community).

The Framework is built upon a set of four principles that are essential to effectively implementing EBDM:

- Principle One: The professional judgment of criminal justice system decision makers is enhanced when informed by evidence-based knowledge.
- Principle Two: Every interaction within the criminal justice system offers an opportunity to contribute to harm reduction.
- Principle Three: Systems achieve better outcomes when they operate collaboratively.
- Principle Four: The criminal justice system will continually learn and improve when professionals make decisions based on the collection, analysis, and use of data and information.

The Framework also establishes a structure for effectively implementing EBDM. It calls for an examination of the entire justice system, focusing on key decision points. It also emphasizes the essence of actively engaging key decision makers and stakeholders in the process.

KEY JUSTICE SYSTEM DECISION POINTS: STATE AND LOCAL-LEVEL EBDM



Pilot Testing the EBDM Framework

In August 2010, NIC selected [seven communities](#) throughout the United States¹ to pilot the Framework. In partnership with the Center for Effective Public Policy (CEPP), NIC provided guidance and technical assistance through a series of steps in preparation for implementation. These steps, which were intended to establish processes and the infrastructure needed to successfully implement EBDM, were outlined in a “roadmap.” Roadmap steps included, among others, understanding and integrating research at key decision points and assessing current policies, practices, and baseline data. This deliberate and strategic planning process was designed to position jurisdictions to implement consensus-based, research-informed, data-driven changes to support the achievement of stakeholders’ systemwide vision and goals. Thereafter, NIC provided support to EBDM sites in the successful implementation of their change targets, the development of communications strategies, and the measurement of outcomes.

In 2013, NIC shifted its focus to replicating the EBDM Framework on a statewide level to demonstrate its value beyond single, local jurisdictions. Project staff worked closely with planning teams in five states² to consider whether and how to expand their EBDM efforts beyond the original local pilots to include state-level agencies and additional local jurisdictions. Planning teams in these states conducted exploratory analyses of their policies, practices, and data capacity; carried out EBDM awareness-building activities; and took steps to gauge the level of interest in EBDM across their respective states. As a result of these activities, three states—Indiana, Virginia, and Wisconsin—expanded their EBDM efforts from a single local pilot site (or, in the case of Wisconsin, two local pilot sites) to multiple local jurisdictional teams and a state team. By 2015, the EBDM initiative had expanded to 28 teams: 25 local teams and three state-level policymaking teams.

¹ The seven pilot sites were Mesa County, Colorado; Grant County, Indiana; Ramsey County, Minnesota; Yamhill County, Oregon; City of Charlottesville/County of Albemarle, Virginia; Eau Claire County, Wisconsin; and Milwaukee County, Wisconsin.

² The five states were Colorado, Indiana, Oregon, Virginia, and Wisconsin.

ILLUSTRATING EBDM AT THE LOCAL LEVEL: GRANT COUNTY, INDIANA

Grant County, a rural county in north central Indiana, has a population of 65,769. The county seat is Marion, located 65 miles north of Indianapolis. The county's population is 84.7% white, 7.4% Black or African American, and 4.4% Hispanic or Latino. The median household income is \$44,356; 16.0% of the population lives below the poverty level.³ Manufacturing, healthcare, retail, and education are the primary employers.⁴

The Grant County felony criminal docket is divided among four courts: the Grant Circuit Court and three superior courts. Pretrial services—funded and certified by the Indiana Office of Court Services—falls under the umbrella of correctional services and includes both risk assessment and supervision. The county's sentencing options include probation services (funded by county tax dollars, user fees, and state and federal grants), problem-solving courts, and community corrections (funded through a combination of an annual grant from the Indiana Department of Correction and user fees). As of this writing, Grant County is among approximately 27 counties in Indiana with probation and community corrections services integrated into a single agency.⁵

PROFILE OF GRANT COUNTY'S JUSTICE SYSTEM	CALENDAR YEAR 2015	CALENDAR YEAR 2019	CALENDAR YEAR 2020
Jail Rated Capacity	274	274	274
Jail Bookings	1,720	3,265	2,769
Jail Average Daily Population	248	292	289
Felony Court Filings ⁶	760	1,001	1,159
Adult Probation Admissions ⁷	859	678	644
Adult Probation Population (on Dec. 31)	1,288	1,081	1,076
Adult Community Corrections Admissions	406	162	273
Adult Community Corrections Population	306	253	135

³ See <https://www.census.gov/quickfacts/fact/table/grantcountyindiana/PST045219>.

⁴ See <https://statisticalatlas.com/county/Indiana/Grant-County/Industries>.

⁵ Indiana operates a dual system of adult community supervision and programming. The Indiana Office of Court Services and local judges have administrative oversight of probation. The Indiana Department of Correction administers community corrections grant funds for local programs, with oversight by local community corrections advisory boards.

⁶ Although felony filings have increased over time, overall commitments to state prison have declined.

⁷ In 2018, Grant County implemented a new statewide records management system (the Indiana Office of Court Services Supervised Release System (SRS)). Some data differences for adult probation admissions and populations and for adult community corrections admissions and populations may be the result of the use of different reporting systems.

Completing Grant County's continuum of interventions is a system of behavioral health services. Behavioral health services are provided by Grant-Blackford Mental Health, Inc., Bowen Center, Inc., and Family Service Society, Inc. [Recovery Works](#)⁸ partially funds addiction services, including three recovery homes and peer recovery support.

Grant County Selected as an EBDM Pilot Site

In 2010, Grant County was selected as one of the seven original EBDM pilot sites. Their selection was based, in part, on the fact that many of the county's justice system policymakers had previously demonstrated their ability to work toward systemwide improvements, specifically by planning and securing funding for a drug court, reentry court, and child advocacy center. As well, dating back to as early as 1998, court officials and correctional managers had attended evidence-based practices trainings and applied what they learned to improving correctional supervision and services with the goal of reducing recidivism.

Grant County's interest in the EBDM initiative was driven by a desire to significantly broaden and deepen stakeholder involvement in realizing the benefits of evidence-based practices—especially to engage the police, jail managers, prosecution, defense, the university community, victim advocates, and the county council in improving public safety through the EBDM process. Despite a solid history of applying evidence-based practices in the courts and corrections, Grant County officials saw an opportunity to do more.

Early EBDM Efforts

Grant County was successful in bringing together a diverse group of stakeholders to serve on their EBDM policy team, which was structured as a subcommittee of Grant County's Community Corrections Advisory Board (CCAB).⁹ Together, EBDM policy team members developed a statement reflecting their desire, as a collaborative body, to “promote risk and harm reduction by utilizing collaborative decision making and interventions founded on evidence-based research.” The EBDM policy team was and still is composed of the following members:

- all felony court judges (the circuit court judge, three superior court judges, and a magistrate);
- the elected county prosecutor;
- the jail administrator;

⁸In 2015, the Indiana General Assembly passed House Enrolled Act 1006, “Criminal Justice Funding.” Commonly referred to as “1006,” this act created the Forensic Treatment Grant Program through the state's Division of Mental Health and Addiction. Recovery Works, the state's forensic treatment program, is “designed to provide support services to those without insurance coverage who are involved with the criminal justice system”; is “dedicated to increasing the availability of specialized mental health treatment and recovery services in the community for those who may otherwise face incarceration”; and is “intended to supplement community supervision strategies to decrease recidivism” (see <https://www.in.gov/fssa/dmha/recovery-works/>).

⁹In 1979, the Indiana General Assembly created the Community Corrections Advisory Board (CCAB) under Article 12, Chapter 1. Establishment of such boards qualified localities to apply for and receive community corrections grant funding. CCABs are promulgated through local ordinances approved by the county executive or city council, and membership is prescribed by legislation. Their purposes are to select and provide oversight of the local community corrections director and other matters related to community corrections staff; coordinate partnerships between entities receiving state community corrections funding (e.g., local probation and community corrections); and create and oversee a local community corrections plan and its associated budget and requirements. Grant County's CCAB was established in the early 1980s.

- the police chief;
- a victim advocate from the prosecutor's office;
- the director of county correctional services (probation);
- the director of community corrections;
- the chief public defender;
- representatives from the county fiscal body;
- a behavioral health representative;
- a representative from the Department of Correction; and
- a representative from the Indiana Office of Court Services.

GRANT COUNTY'S COMMUNITY CORRECTIONS ADVISORY BOARD

Grant County's Community Corrections Advisory Board (CCAB) was established in the early 1980s. The interdisciplinary makeup of the CCAB encouraged its use as a forum to discuss a number of systemic challenges such as local jail crowding. The success of those efforts highlighted the CCAB's potential to serve a purpose beyond the original community corrections focus. Once the EBDM team identified change targets and a problem-solving process and dynamic, it seemed to be a natural fit to hand off future EBDM activities to the CCAB, whose structure and longevity allowed Grant County to institutionalize the EBDM principles for the long run.

Grant County's Change Targets

Grant County's EBDM policy team, with assistance from their EBDM technical assistance provider, followed the EBDM roadmap and assessed the degree to which research evidence guided decisions throughout the justice system. They identified system strengths, challenges, and targets for future policy and practice change. By the conclusion of the planning phase of their work, the policy team had agreed to a set of change targets and developed logic models and detailed implementation plans. Their initial change targets included:

- reallocating probation caseloads to optimize the supervision of people on probation who were at high risk of recidivating;
- developing a data dashboard;
- revising the probation violations process and expanding alternatives to revocation; and
- implementing pretrial policy and practice improvements.

The following illustrates the positive results of these policy improvements.

Community Supervision Caseloads Reduced, Supervision Practices Enhanced

The Grant County EBDM Policy Team came to agreement on the purpose of community supervision: "reducing...risk of future criminal behavior by addressing...assessed risks and needs." Based upon an analysis of community supervision caseload size and an intentional

focus on risk reduction, they undertook an effort to reduce supervision caseloads and increase positive outcomes among people on probation through the application of effective interventions.

In December 2014, Grant County's caseload reallocation strategy was implemented. Clear policies were established defining differential supervision standards for people on felony and misdemeanor probation based upon risk level. People at low and moderate risk who had been convicted of felonies were placed on unsupervised probation after they had completed their risk reduction conditions or programs (other conditions would be monitored by civil judgments). Misdemeanor probation was reserved for those assessed at higher risk of reoffending, those convicted of domestic violence offenses, and those assessed as moderate risk with substance use concerns. In addition, expectations were established for community supervision staff regarding the use of core correctional practices and effective interventions with people on probation. A system of risk-based performance measures was also implemented.

Since implementing the caseload reallocation strategy, Grant County has experienced a 42% decrease in people on probation convicted of a misdemeanor (342 in 2012; 198 in 2020) and a 26% reduction in people on probation convicted of a felony (1,182 in 2012; 880 in 2020). Officials also report a 19% reduction in the number of new referrals to supervision (1,058 in 2012; 859 in 2020). These data suggest a downward trend in the number of cases under supervision, enabling officers to spend more time focusing on behavioral interventions with people who are at higher risk of reoffending in order to have the greatest effect on reducing recidivism.

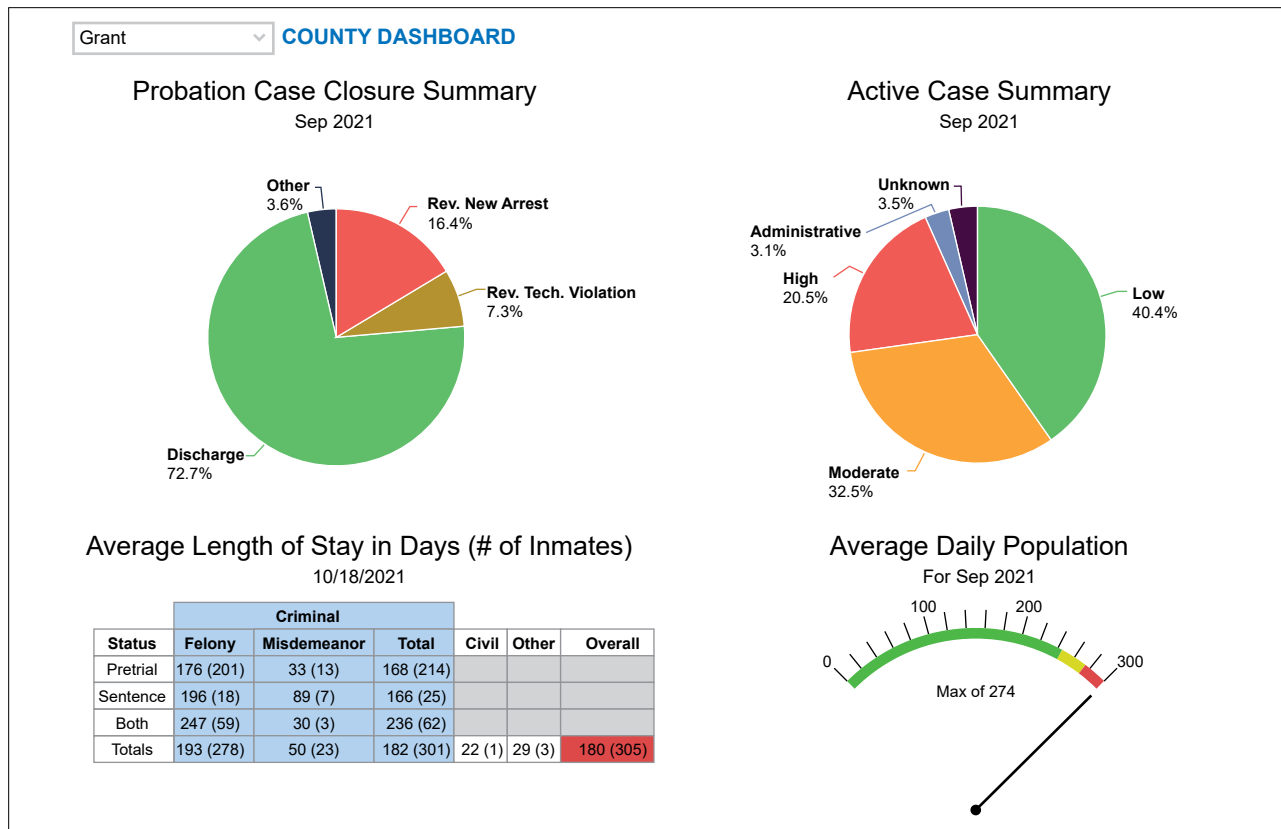
Data Dashboard Created

Early in the EBDM process, the Grant County Policy Team recognized that data collection and analysis was essential to understanding the effects of local policy improvements and refining strategies over time. However, as is often the case, they found themselves hampered by siloed information systems. Development of an improved method for collection, analysis, and transparent reporting was therefore identified as an initial high-priority change target.

Grant County successfully secured a partnership with the Indiana Office of Court Services and Indiana Office of Court Technology to develop and implement a data dashboard. The dashboard was launched in January 2017. It is a centralized system for reporting on key performance indicators, drawing from multiple data sources, including the jail management systems and Indiana Office of Court Services' Supervised Release System (SRS). While not a live-feed system, the dashboard does provide updated information—on probation case closures, active probation cases and their risk levels, average length of stay in jail, and average daily population in jail—approximately every 30 days.

"THE LOCAL DASHBOARD PROVIDES STAKEHOLDERS WITH UP-TO-DATE INFORMATION ABOUT THE JAIL POPULATION AND PROBATION DEMOGRAPHICS AND OUTCOMES. USERS CAN SELECT A GENERAL DATA POINT AND DRILL DOWN TO THE INDIVIDUAL CASE LEVEL. FOR THE FIRST TIME IN LOCAL HISTORY, STAKEHOLDERS HAVE THE ABILITY TO ACCESS DATA AND INFORMATION TO HELP THEM DO THEIR JOBS MORE EFFECTIVELY."

Cindy McCoy, (Retired) Director of Grant County Correctional Services



The data dashboard includes data filtering and reporting. In addition to data available at the dashboard level, the system offers deeper operational and trend analyses. While court data is not accessible through the dashboard (but is instead provided through the Odyssey court case management system), the Indiana Office of Court Services has implemented a separate application that enables judges to view and manage case processing times for both criminal and civil cases.

Replicating this system statewide has not been possible given that there are currently over 25 separate jail management systems in use throughout the state, each of which would require unique programming to interface with the dashboard. The Indiana Office of Court Technology is developing a jail management system that will interface with the Odyssey court case management system (see page 18). Grant County has agreed to serve as a pilot for the new jail management system, working with the Indiana Office of Court Technology to modify their current dashboard. Ultimately, the jail management system and dashboard will be available to any jurisdiction that wishes to use it.

Responses to Behavior

Data analysis in Grant County revealed that the use of jail bed days for people who violated probation cost upward of \$300,000 in 2015, with those who violated probation representing 6% of all jail bookings and 13% of all people sentenced to serve jail time. Analyses concluded that in addition to its effects on the jail, on people on probation, and on the larger community, probation violations and revocations also had a significant effect on judges, prosecutors, and defenders in terms of time invested in case processing.

A workgroup was convened to apply an evidence-based approach to noncompliant behavior: responding consistently, swiftly, and fairly to all violations in consideration of the underlying behavior, a person's risk level, and the severity of the violation. Research-based principles were also applied to responses to prosocial behavior.

Implementation of Pretrial Services

Implementation of the Indiana Risk Assessment System—Pretrial Assessment Tool (IRAS-PAT)¹⁰ was an early EBDM change target for Grant County. However, Grant County's work in this area identified a number of implementation barriers, the most challenging of which included limitations on the people authorized to administer the IRAS-PAT pursuant to Indiana's statewide risk assessment policy; legal and research concerns regarding the tool (i.e., that some items in the tool could lead to self-incrimination and that the tool had yet to be validated on an Indiana pretrial population); and uncertainty around how best to address local reliance on revenues from cash bonds to support critical court and defense counsel services.¹¹

In December 2013, the Indiana Supreme Court established the Committee to Study Evidence-Based Pretrial Release, which was tasked with exploring the need for and avenues to improving pretrial policies and practices. Following more than a year of work and the development of a new criminal rule on pretrial, the Supreme Court's committee established a partnership with the statewide EBDM team to develop and oversee a multicounty pretrial release pilot project. Indiana's statewide pretrial efforts have continued to advance in the ensuing years (see pages 16–17), with Grant County officials playing a significant role in the effort. Grant County's circuit court judge serves as the chair of the state's [Pretrial Release Committee](#).

"I WOULD COUNT OUR REFORMS ON PROBATION VIOLATION RESPONSES A RESOUNDING SUCCESS. MOST VIOLATIONS ARE NOW RESOLVED QUICKLY BY AGREEMENT. RESPONSES ARE CONSISTENT, FAIR, AND QUICK...BASED UPON MY OBSERVATIONS FROM THE BENCH, I BELIEVE THAT OUR EARLY INTERVENTIONS (VIOLATION RESPONSES), FOCUSING ON BOTH THERAPEUTIC RESPONSES AS WELL AS SANCTIONS, HAVE ALLOWED US TO GET MANY PEOPLE ON THE TRACK TOWARD SUCCESSFUL COMPLETION OF PROBATION OR COMMUNITY CORRECTIONS, WHERE THEY MIGHT HAVE OTHERWISE FAILED IN THE PAST."

Mark Spitzer, Grant County Circuit Court Judge and Chair of the Grant County EBDM Policy Team

¹⁰ The IRAS-PAT is one of five instruments that comprise the Indiana Risk Assessment System (IRAS), which Indiana adopted in 2010. The IRAS was designed by researchers at the University of Cincinnati for use at specific points in the justice process to assess risk and criminogenic needs. The IRAS-PAT, in particular, is used to assess a person's likelihood of failing to appear in court pretrial and being rearrested during the pretrial phase. It is brief, consisting of seven risk items in three areas: criminal history, employment and residential stability, and drug use. Staff must be specially trained to administer the IRAS-PAT, which consists of a 10-minute in-person interview and follow-up verification of information.

¹¹ Grant County joined as an IRAS-PAT pilot team in mid-2017.

The Effect of EBDM on Grant County

Grant County's EBDM accomplishments are too many to enumerate in this writing, but they are well summarized by the chair of Grant County's EBDM policy team, Judge Mark Spitzer, who offered this list of accomplishments:

1. Fully implemented an evidence-based pretrial system
2. Fully implemented pretrial diversion for felony cases
3. Implemented an administrative resolution of probation violations
4. Implemented evidence-based sentencing throughout felony courts
5. Implemented incentive and violation response matrices for probation and community corrections, resulting in reduced commitments to the Department of Correction for violations
6. Implemented a differential system of probation supervision caseload management
7. Implemented an evidence-based domestic violence curriculum
8. Requested that all contracted providers use evidence-based interventions
9. Implemented a veterans treatment court
10. Implemented a family recovery court
11. Significantly mitigated jail crowding
12. Implemented a data dashboard
13. Encouraged the adoption of EBDM principles at the state level and became actively involved on state policymaking teams
14. Began to actively address sustainability of EBDM through an ongoing effort of orienting newly elected officials and justice system staff to EBDM principles and practices

"WE HAVE CREATED A CULTURE OF COLLABORATIVE DECISION MAKING IN THE JUSTICE SYSTEM WHICH ENHANCES LOCAL PARTNERSHIPS, FACILITATES THE SHARING OF INFORMATION AND OPINIONS, PROMOTES CREATIVITY AND THE IMPLEMENTATION OF EVIDENCE-BASED INTERVENTIONS, AND SEEKS TO ACHIEVE EXCELLENCE IN RESULTS. AS A RESULT, I'M SURE THIS LIST IS NOT EXHAUSTIVE, AS IT IS PROBABLY TRUE THAT EVERY SIGNIFICANT DECISION THAT WE HAVE MADE SINCE BEGINNING THE EBDM PROCESS HAS BEEN VETTED AND ACCOMPLISHED THROUGH THE EBDM FRAMEWORK."

Mark Spitzer, Grant County Circuit Court Judge and Chair of the Grant County EBDM Policy Team

Looking Forward in Grant County

New areas of exploration for the Grant County EBDM Policy Team include implementing a new jail management system and addressing an upward trend in the use of jail for people with mental illness. Of particular concern is the effect of the revised Indiana criminal code on county resources. The act mandates that people convicted of low-level felony charges, formerly eligible for a prison sentence, shall be sentenced locally. Further, the county jail population is on the rise, with a corresponding demand for local behavioral health services, which local officials attribute to an opioid crisis. To address these and other local challenges, Grant County officials intend to continue their focus on maintaining a strong collaborative team and have recently invited new members, including a county commissioner, additional defense counsel representation, and a city court judge, to join the policy team.

EBDM'S EXPANSION IN INDIANA

Grant County's success as an EBDM pilot site caught the attention of state officials and colleagues in other counties. NIC's announcement in 2013 of its interest in identifying states wishing to expand EBDM beyond the original seven pilot sites prompted discussion and an expression of interest among the executive, legislative, and judicial branches of state government. In January 2014, representatives from the Indiana Office of Court Services and the Grant County EBDM Policy Team attended an EBDM statewide summit, sponsored by NIC, in Wisconsin. The purpose of the summit was to elicit interest in EBDM in new localities. The following month, NIC conducted an informational webinar for EBDM pilot sites and their state-level partners to introduce a forthcoming opportunity to receive technical assistance around planning for expansion of EBDM to additional local jurisdictions and EBDM state teams. This opportunity was referred to as Phase IV of the EBDM initiative.

In March 2014, Indiana applied to participate in Phase IV; their selection was announced the next month. Between June and September of the same year, Indiana formed a state planning team composed of state criminal justice and local county leaders.¹² Its purpose was to consider whether and how to identify additional counties to join the initiative, and to solidify the formation of a state-led team. In August 2014, the Indiana planning team conducted a one-day educational session for county representatives to learn more about the initiative and solicit interest in participating. Approximately 150 people representing 31 counties attended. Through an application process, six diverse counties were selected by the state team as initial expansion partners.¹³ In November of the same year, they jointly submitted to NIC a competitive application to participate in Phase V of the EBDM initiative, a period of time intended to support the planning process of newly formed state and local teams. Also in November 2014, NIC sponsored a "capacity builders training" intended to help each EBDM jurisdiction develop local capacity to support EBDM in future local sites. Nine state and local representatives from Indiana participated in the weeklong event. NIC announced its selection of Indiana into Phase V in February 2015 and thus launched the Indiana EBDM state team¹⁴ and six additional local EBDM teams in Indiana.

In April 2015, Indiana's EBDM state team and the six local teams independently conducted their first meetings. Less than two months later, a 2-day workshop brought together for the first time Indiana's seven EBDM teams. The goals of developing a shared vision for an effective system of justice throughout the state of Indiana and creating strategies for cross-team, cross-state partnerships and collaboration, among others, were achieved, according to the post-workshop participant surveys.

¹² Indiana's criminal justice and governmental structure is described in the appendix.

¹³ The six selected counties were Bartholomew, Hamilton, Hendricks, Jefferson, Porter, and Tipton.

¹⁴ At that time, the Indiana EBDM State Team consisted of representatives from the Association of Indiana Counties, Division of Mental Health and Addiction, Indiana Association of Community Corrections Act Counties, Indiana Criminal Justice Institute, Indiana Department of Correction, Indiana House of Representatives, Indiana Office of Court Services, Indiana Prosecuting Attorneys Council, Indiana Public Defender Council, Indiana Sheriffs' Association, Indiana Supreme Court, Office of the Governor, and Probation Officers Professional Association of Indiana, as well as from Grant County.

House Enrolled Act 1006

Coincidental to the EBDM efforts described above, on May 5, 2015, Governor Mike Pence signed into law [House Enrolled Act 1006](#), which would become effective on July 1, 2015. This legislation established a nine-member¹⁵ Justice Reinvestment Advisory Council (“JRAC,” hereafter referred to as “state JRAC”).

The purpose of the state JRAC is “to review policies, promote state and local collaboration, and provide assistance for use of evidence-based practices and best practices in community-based alternatives and recidivism reduction programs, including:

1. **probation services;**
2. **problem-solving courts;**
3. **mental health and addiction treatment and recovery services;**
4. **programs providing for pretrial diversion;**
5. **community corrections;**
6. **evidence-based recidivism reduction programs for currently incarcerated persons;**
7. **pretrial services;**
8. **other rehabilitation alternatives; and**
9. **the incorporation of evidence-based decision making into decisions concerning jail overcrowding.”¹⁶**

The state JRAC first convened in July 2015.

Identifying Opportunities to Improve

Phase V of the EBDM project was intended to support participating teams in gaining a shared appreciation for the research on collaboration, risk reduction, and implementation science. The project also helped teams develop a detailed understanding of justice system policies and practices that guide local processes. All seven of Indiana’s EBDM teams reviewed the literature on these topics, mapped their systems, studied available data, and engaged in discussions aimed at developing a consensus-based vision statement and set of values. Although this work was accomplished independently by each team, the vision statements and values that resulted were similar and consistent, despite geographic and other differences.

**“EBDM ALLOWED
PEOPLE TO COALESCE
AROUND VALUES AND
OBJECTIVES.”**

Indiana EBDM participant

Once this initial planning work was completed, each team identified their gaps and opportunities for improvement, measured against their vision, values, research, and data. “Change targets” were identified by each team. Common across the six local teams and the state team was the desire to advance pretrial justice.

¹⁵ Over time, the statute would be amended to include additional members.

¹⁶ See <https://www.in.gov/justice/about/>.

INDIANA'S "MONEY MAP"

All EBDM project sites, including Indiana, conducted system mapping to build a common base of knowledge among multidisciplinary stakeholders and to facilitate discussion about methods to improve the process and outcomes of the justice system. The Indiana EBDM state team, however, took this work a step further. Once their system map was complete, they carefully analyzed the Indiana Code and developed a "money map" that identifies each step on the system map with financial implications for people who are justice-involved (e.g., deferred prosecution fee, public defense administration fee, DNA sample processing fee, document storage fee) and the recipient of the collected funds. The following excerpt of the money map illustrates this important work:

- Court costs assessed: Base amount as of July 1, 2015: \$183.00; costs/fees increase for certain convictions (i.e., substance abuse, weapon offense, sex offense, traffic offense)
 - Some additional fees are a set amount and others are a range set forth by statute.
 - All court costs and fees are deposited into various funds by statute; some fees assessed in city and town courts are deposited into different funds or with different distribution amounts than the trial courts.
 - Costs are suspendable under Ind. Code 33-37-2-3.
- Public defender costs can be assessed by the court.
- Fines can be assessed by the court; range of fines is set by statutes (Ind. Code 35-50-2 and 35-50-3):
 - Felony: Up to \$10,000
 - Misdemeanor: A misdemeanor—up to \$5,000; B misdemeanor—up to \$1,000; C misdemeanor—up to \$500
 - Deposited in Common School Fund (In Official Opinion No. 29, March 27, 1952, the attorney general held that the legislature intended fines and forfeitures to be vested in the common school fund when they have been paid into the hands of the county treasurer and a report of such payments has been made to the auditor of state. Therefore, fines and forfeitures vest in the common school fund at the time they are paid into the county treasury and a report is made to the auditor of state. Under these conditions, and pursuant to the restrictions of Article 8, Section 3, of the Constitution of Indiana, such funds being then vested in the common school fund are beyond recall and the governor is without authority to remit. See: State Board of Accounts Manual for Circuit Court Clerks, 7-20.)
 - Instead of the maximum fines set forth elsewhere in the Indiana Code, the court may impose a fine in a sum equal to twice the defendant's pecuniary gain or twice the pecuniary loss sustained by the victims of the offense. Ind. Code 35-50-5-2.

Pretrial Justice

In 2014, prior to the efforts described above, the Indiana Supreme Court tasked its Committee to Study Evidence-Based Pretrial Release (“Committee”) with developing a pilot project to “assess the feasibility, efficacy, economics and methodologies of establishing an evidence-based system for pretrial release decisions in Indiana.”¹⁷ Independent of EBDM, the Committee began a collaboration with NIC. However, as pretrial justice emerged as a change target common to all of Indiana’s EBDM teams, a confluence became apparent.

In 2015, the Committee and NIC hosted a day-long summit on the elements of a high-functioning pretrial release system. One of the meeting’s objectives was to determine local counties’ willingness to participate in a pretrial release pilot project. Subsequently, Indiana’s Office of Court Services (IOCS) facilitated agreements among 11 counties—seven EBDM and four additional counties¹⁸—to pilot the IRAS-PAT. With the encouragement and endorsement of the Justice Reinvestment Advisory Council (“State JRAC”), the Indiana Department of Correction and Indiana Supreme Court awarded over \$1M in funding to support the pilot projects in their first year of operation. This funding decision was noteworthy for several reasons, not the least of which was the fact that it was the first time the Indiana Department of Correction’s funds were directed toward supporting pretrial efforts. In this same period, the Indiana Supreme Court issued an Order Adopting [Criminal Rule 26](#) to encourage courts to use an evidence-based assessment to inform pretrial release decisions.

The pretrial pilot project included an IOCS-funded process evaluation conducted by researchers at Indiana University-Purdue University Indianapolis (IUPUI). The evaluation examined perceptions and concerns related to implementation of the IRAS-PAT. It also provided the most comprehensive analysis to date on matters related to pretrial in Indiana (e.g., demographic and risk-level data on the pretrial population). One of the findings was the need for enhanced data systems and practices that would allow for improved local and cross-jurisdictional analytics.

In 2016, the Indiana General Assembly adopted Indiana Code 35-33-8-0.5, which codified the state’s intention to “adopt rules to establish a statewide evidence based risk assessment system to assist courts in selecting the appropriate level of bail or other pretrial supervision for arrestees eligible for pretrial release.”¹⁹ In subsequent years, Indiana’s pretrial work broadened and deepened. In 2018, a workgroup established under the EBDM state team published the [Pretrial Practices Manual](#) “to provide consistent, evidence-based policies and procedures for use by Indiana jurisdictions as they develop and implement pretrial programs.”²⁰ A statewide pretrial summit was held in 2019 and, later that year, the state JRAC’s [Report on Bail Reform and Pretrial Issues](#) and IUPUI’s validation of the IRAS-PAT in two of the pilot counties²¹ were both released.

¹⁷ See <https://times.courts.in.gov/2016/04/26/indiana-supreme-court-committee-to-study-evidence-based-pretrial-release/>.

¹⁸ The four additional counties were Allen, Monroe, St. Joseph, and Starke.

¹⁹ Indiana Code 35-33-8-0.5 became effective on July 1, 2017.

²⁰ See <https://www.in.gov/courts/iocs/files/pretrial-work-group-practices-manual.pdf>.

²¹ The two counties were Hamilton and Monroe. The validation studies can be found at <https://www.in.gov/courts/iocs/pretrial/resources/>.

On January 1, 2020, Criminal Rule 26 became effective statewide, with the purpose of improving pretrial practices by encouraging trial court judges to “engage in evidence-based decision making at the pretrial stage.”²² To support the effective implementation of Rule 26, the Judicial Conference of Indiana adopted *Pretrial Services Rules*. In the spirit of the EBDM principles, the rules were “designed to aid in implementing pretrial best practices at the local level. The practices outlined in these rules support the operation of a risk-based pretrial system that will maximize release, court appearance, and public safety. Multidisciplinary stakeholder teams, as outlined within these rules, are foundational to the development of local pretrial systems and are the body responsible for setting policy and practice within their jurisdiction in accordance with identified best practices.”²³ The rules created a standard set of definitions, expectations around a broad set of operating practices, and requirements for obtaining state pretrial certification if a local jurisdiction so desires.

“WITH EBDM, WE’VE
BEEN ABLE TO USE THE
JAIL FOR THE RIGHT
PEOPLE FOR THE RIGHT
REASONS.”

Indiana EBDM participant

Rounding out 2020, the Pretrial Release Committee was formed as a standing Judicial Conference Committee to support pretrial efforts in Indiana, and several additional reports were published by IUPUI: *Pretrial Risk Assessment and Pretrial Supervision in Indiana: Final Report, Differences in the Predictive Accuracy of IRAS-PAT Assessments as a Function of Age, Sex, and Race: Final Report*, as well as validation studies in four additional counties.²⁴ Two additional validation studies²⁵ would follow in 2021, with the remainder to be completed in 2022.²⁶ IOCS—through its formal responsibilities to provide education and guidance to the state’s courts, and through its role as a key EBDM and state JRAC team member—continues to support local communities as they implement and expand their pretrial efforts.

Data

Discussions around the Indiana EBDM State Team table—initially precipitated by the team’s system mapping work but continually reinforced through the team’s discussions about substantive matters, such as pretrial—led them to identify data as an initial change target. A workgroup was formed to begin to explore the universe of data collection and analysis, particularly but not exclusively at the state level, and to identify opportunities for improvement. This work proved both challenging and consequential. Early efforts included identifying the multitude of major data capture systems throughout the various state agencies; examining, specifically, the numerous jail management systems used throughout the state and the data elements they contained; and creating a list of common justice system terms (nearly 150 in

²² See <http://indianacourts.us/times/2017/02/faq-criminal-rule-26/>.

²³ See page 1 of <https://www.in.gov/courts/iocs/files/iocs-pretrial-services-rules.pdf>.

²⁴ The four additional counties were Allen, Bartholomew, Hendricks, and Jefferson. The validation studies can be found at <https://www.in.gov/courts/iocs/pretrial/resources/>.

²⁵ The two additional validation studies were for Grant and Porter Counties. The validation studies can be found at <https://www.in.gov/courts/iocs/pretrial/resources/>.

²⁶ The final validation studies will be for St. Joseph, Starke, and Tipton Counties.

total) along with definitions and commentary on the measurement of each term. As the group's vision of integrated data systems and analytic capabilities grew, representatives from the Indiana Management Performance Hub (MPH)²⁷ were brought to the table. MPH guided the policy team through user stories, use cases, and the identification of data sets. In parallel and complementary to this work, the Indiana Office of Court Technology continued its work to improve access to data systems that provide both case management functionality and analytics—benefiting local courts and their partners as well as state policymakers.

**"EBDM CREATED A
HUNGER FOR DATA."**

Indiana EBDM participant

Among the significant outgrowths of this work are the following:

- The Indiana Evidence-Based Decision Making and Justice Reinvestment Advisory Council Memorandum of Understanding (MOU): The signatories to this MOU, which was promulgated in 2019, were the: Indiana Office of Judicial Administration, Indiana Justice Reinvestment Advisory Council, Indiana Prosecuting Attorneys Council, Indiana Public Defender Council, Indiana Criminal Justice Institute, Indiana Public Defender Commission, Indiana State Police, Indiana Department of Correction, and Indiana Family and Social Services Administration. The MOU, which was approved by the State Budget Agency, permitted and guided the exchange of data across agencies, governed confidentiality and security matters, and identified designees within each signatory agency to work with MPH on data analysis. The agreement stipulated that "The MPH will leverage the data, providing statistical analysis, record linkage across Party data silos, and advanced analytics to support the efforts of the EBDM and the JRAC. The MPH will facilitate the bi-directional flow of the data among the Parties for use by the Parties in furtherance of its individual powers and duties and in furtherance of the EBDM and JRAC efforts."²⁸
- The Supervised Release System (SRS): The SRS is a case management system, funded in part by the Indiana Department of Correction, that is designed to collect data points for probation, home detention, problem-solving court, court alcohol and drug programs, and the pretrial release pilot project.²⁹
- Jail management systems: It became readily apparent that statewide analytics were significantly impeded by the use of multiple jail management systems (upward of 25). Indiana's work in this area has led to a 2021 project that will result in a jail management system that will interface with the Odyssey court management system. This system will be available statewide to those who choose to use it.
- Local data dashboards: As noted previously, replicating Grant County's local data dashboard throughout Indiana has not been possible given the multiple jail management systems throughout the state, each of which would require unique programming to interface with the local dashboards. However, the jail management system described above will address this

²⁷ MPH was established under Governor Pence's administration in 2014. Its mission is to "improve the quality of life for Hoosiers with data, innovation, and collaboration" (see <https://www.in.gov/mph/about-mph/>).

²⁸ The MOU expired and was not renewed due to forthcoming changes in data systems.

²⁹ See <https://www.in.gov/idoc/files/Supervised-Release-System-One-Pager-FINAL.pdf>.

problem for those jurisdictions that adopt it, resulting in a set of uniform local dashboards. Grant County will pilot this project.

Communications

Indiana's EBDM state team identified internal and external communications as a priority change target and, as part of their Phase VI³⁰ work, established a communications workgroup. The idea was a simple one: through communication, it might be possible to build a critical mass of people who would work in partnership to achieve a more effective, data- and research-informed justice system. Composed of public information officers from the agencies represented on the EBDM state team (e.g., court, state prosecutors association, state public defenders office, governor's office), this workgroup took on the responsibility of developing and implementing strategies to proactively inform and educate internal, professional audiences about the work of the EBDM state and local policy teams; conduct outreach to the broader community throughout the state of Indiana; and take action should events occur that necessitate a coordinated, reactive response (i.e., a "critical incident protocol"). As part of their initial workplan, the workgroup facilitated discussion and agreement among state team members on a statement of participation that ensures that all members are clear about their responsibilities to one another regarding internal and external communications.

A deliberate focus on communications undoubtedly explains the widescale understanding of EBDM, even among those who were not part of pilot sites. Leveraging statewide convenings as a means to share the principles and experiences of EBDM soon became the norm. Below are just a few early illustrations of state and local team members' efforts to communicate with colleagues throughout the state. These efforts have continued and expanded in the ensuing years.

- January 2017: Members of the EBDM state team presented to the House Courts and Criminal Code Committee an update on the state JRAC and state and local EBDM activities.
- May 2017: Judge Benjamin (Bartholomew County), Judge Gull (Allen County), and Judge Spitzer (Grant County) conducted an education session on Criminal Rule 26 at the IOCS Spring Judicial College.
- May 2017: Cindy McCoy (Grant County) and Mary Kay Hudson (IOCS) conducted an education session on the EBDM/pretrial project at the IOCS Probation Officers Annual Meeting.
- September 2017: Judge Benjamin (Bartholomew County), Judge Diekhoff (Monroe County), Larry Landis (Indiana Public Defender Council), Judge Lett (Tipton County), Judge Spitzer (Grant County), Judge Surbeck (Allen County), and other Indiana stakeholders presented on EBDM and pretrial to Indiana judges at their annual conference.

**"WE DEVELOPED A
SINGLE MESSAGE THAT
WE CAN DELIVER ACROSS
STATE AGENCIES, AND
WE CAN TALK TO THE
LEGISLATURE WITH ONE
VOICE."**

Indiana EBDM participant

³⁰ The goal of Phase VI is to implement the change strategies identified in Phase V.


- November 2017: Mary Kay Hudson (IOCS) and Lisa Thompson (Indiana Office of Court Technology) presented on EBDM/pretrial at the Indiana Association of Community Corrections Act Counties conference.
- November 2017: Julie Lanham (IDOC), David Powell (Indiana Prosecuting Attorneys Council), and Jane Seigel (IOCS) presented on EBDM, pretrial, and 1006 funding to the Indiana Association of County Commissioners.

Another notable illustration of Indiana's effort to build partnerships and a critical mass was—following the launch of the pretrial pilot project—having state team members self-select into subteams that spent a day at each pilot site engaging with their local counterparts, observing local practice, understanding challenges, and identifying methods of support where it was needed.

Finally, cultivating relationships with journalists and otherwise encouraging news articles was commonplace locally and at the state level. Positive press—including in the face of significant pretrial reform—came to be expected.



INDIANA EBDM AND JRAC TIMELINE

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- 2010** ■ Grant County joins EBDM as a pilot site (EBDM Phases II, III)
 - 2013** ■ Indiana explores expanding EBDM statewide
 - 2014** ■ NIC selects the state of Indiana as a statewide partner (EBDM Phase IV)
■ Nine state and local representatives from Indiana attend EBDM capacity builders training
 - 2015** ■ Indiana EBDM State Policy Team formed (EBDM Phase V)
■ [Indiana House Enrolled Act 1006](#) passed; state Justice Reinvestment Advisory Council (JRAC) formed (IC33-38-9.5)
■ EBDM state team and six local partner teams convene project launch meeting
■ EBDM state team adopts six change targets: data, behavioral responses, mental health, pretrial, professional development, risk reduction strategies
 - 2016** ■ State and local teams convene to share progress
■ NIC continues to support Indiana's EBDM state and local teams (EBDM Phase VI)
■ [Criminal Rule 26 – Pretrial Release](#) adopted
 - 2017** ■ Indiana's EBDM state team coordinates multiday meeting with pilot sites to discuss pretrial opportunities
■ NIC partners with Indiana's EBDM state team to sponsor pretrial orientation for EBDM sites
■ [Process evaluation of the IRAS-PAT](#) pilot published
 - 2018** ■ Indiana's EBDM state team begins work on sustainability plan
■ [Pretrial Practices Manual](#) published
 - 2019** ■ Indiana pretrial summit held
■ EBDM team members serve on Indiana's [Jail Overcrowding Task Force](#)
■ Indiana's EBDM state team completes EBDM sustainability and expansion plan with intention of merging EBDM with JRAC
■ State agencies sign justice system data-sharing agreement
■ JRAC [Report on Bail Reform and Pretrial Issues](#) released
■ IRAS-PAT validation studies published: [Hamilton](#) and [Monroe](#) Counties
 - 2020** ■ [Criminal Rule 26](#), effective January 1, 2020, is implemented to improve pretrial practices by encouraging trial court judges to engage in evidence-based decision making at the pretrial stage
■ Indiana [Pretrial Services Rules](#) adopted
■ JRAC membership expanded under [HEA 1047](#) to include additional state EBDM team members; duties included studying jail crowding and pretrial practices
■ Pretrial Release Committee formed as a standing Judicial Conference Committee
■ [Pretrial Risk Assessment and Pretrial Supervision in Indiana: Final Report](#) published
■ [Differences in the Predictive Accuracy of IRAS-PAT Assessments as a Function of Age, Sex, and Race: Final Report](#) published
■ IRAS-PAT validation studies published: [Allen](#), [Bartholomew](#), [Hendricks](#), and [Jefferson](#) Counties
 - 2021** ■ Local JRAC legislation ([HEA 1068](#)) passed
■ IRAS-PAT validation studies published: [Grant](#) and [Porter](#) Counties
■ [Local JRAC microsite](#) launched
■ Virtual training conducted formally launching state and local JRAC partnership

State JRAC and EBDM

As early as 2016, members of the state JRAC and the state EBDM team understood the symbiotic nature of their work, in part because of overlapping membership but also due to the compatibility of purpose. As each evolved, their work became more aligned. In the state JRAC’s role overseeing the distribution of criminal justice and substance abuse treatment funds appropriated by the Indiana General Assembly, it was only natural that they would partner with the state EBDM team to guide Indiana’s legislative, policy, and funding decisions surrounding the use of research to inform justice system decision making. As noted previously regarding the use of state funds to support implementation of pretrial locally, the change targets of Indiana’s EBDM state team³¹ influenced the allocation of these funds.

In 2016, a memorandum of understanding between the state JRAC and the state EBDM policy team was executed. The MOU states, in part, “JRAC and EBDM Policy Team share significantly similar goals and objectives and both organizations have some common membership. This MOU is entered into between JRAC and EBDM Policy Team to recognize the similarities and to document the shared vision and to enhance the work of both organizations in the areas of criminal justice reform and evidence-based practices.” The MOU explicitly delineates the agreement of each body to share staff support and other resources and to coordinate their efforts around data collection and analysis, communication, and legislative efforts. It was not inconceivable, then, that as these teams continued to collaborate, they might one day merge.

Early 2021—when Indiana, like the rest of the nation, began to emerge from the worst of the COVID-19 pandemic—provided such an opportunity. The state JRAC team had continued to meet throughout the pandemic as legislatively required, whereas the state EBDM team had not. As semi-normal operations began to resume, a decision was made to merge the two bodies. The state JRAC—with the authorities promulgated by its enacting legislation—was positioned as the overarching team, and the state EBDM team and all of its workgroups were positioned as formally sanctioned subcommittees.

Building a Deliberate Sustainability Plan

NIC’s concluding Phase VI technical assistance efforts were aimed at facilitating the development of EBDM sustainability plans. Indiana’s plan, completed in early 2020, included four key areas of work. The following represents these four areas and their associated objectives:

Governance-focused objectives

- Incorporate the EBDM framework into the Indiana Code.
- Establish the vision, mission, goals, and objectives of EBDM in Indiana.
- Develop an overall criminal justice and EBDM funding strategy.
- Implement the administrative process to support, sustain, and advance state and local EBDM efforts.

³¹ In addition to pretrial, data, and communications, the state team’s change targets were risk reduction strategies, behavioral responses, and mental health.

Process-focused objectives

- Establish a dynamic, multidimensional communications plan regarding EBDM implementation.
- Create a set of resources that serve as a common base of knowledge among professionals throughout the state regarding EBDM principles and practices.
- Create a responsive training and technical assistance team that is a one-stop shop for supporting EBDM capacity building at the local level.

Education-focused objectives

- Engage, educate, and gain/maintain support for the EBDM initiative from the governor's office.
- Engage, educate, and gain/maintain support for the EBDM initiative from state legislators.
- Engage, educate, and gain/maintain support for the EBDM initiative from freshman legislators.
- Collaborate with state task forces to ensure the EBDM state team becomes a working partner in these task forces.
- Educate, engage, and gain/maintain support for the EBDM initiative from local elected officials.
- Identify opportunities within existing justice system professionals' onboarding activities to introduce EBDM concepts.
- Identify opportunities to build skills among justice system professionals as a county team.
- Identify opportunities to inform the general public regarding EBDM.

Data-focused objectives

- Identify and collect performance and outcome measures to understand the impact and effectiveness of justice system policies and practices.
- Implement a reciprocal statewide data sharing and analysis process.
- Provide state and local officials and policymakers aggregate (statewide) and local performance measurement and outcome data on a quarterly basis.

The Future of EBDM and JRAC

In April 2021, Governor Eric Holcomb signed [House Enrolled Act 1068](#) ("HEA 1068" or "Local JRAC"). Indiana's passage of HEA 1068 is another decisive step in a broad, strategic effort to ensure that state and local justice system policies, practices, and processes result in the best possible outcomes for the citizens of the state. Local JRAC requires the establishment of a local or regional justice reinvestment advisory council³² that is responsible for promoting evidence-based practices and using best practices in recidivism reduction programs. Among

³² The act presumes that councils will be established on a county-by-county basis except where two or more counties opt to establish a regional council.

other provisions, the act sets forth requirements around the membership of the councils³³ and, importantly, the roles of the councils. These roles broadly include:

- working in partnership with the state JRAC;
- reviewing, evaluating, and recommending local justice system services;
- reviewing, reporting on, and addressing local jail crowding; and
- complying with JRAC data requirements.

HEA 1068 also sets forth certain requirements of the state JRAC, in particular to serve as a partner and support to its local counterparts. Commitment to this partnership was expressed in a letter by Justice Christopher M. Goff, state JRAC chair, to all trial court judges and chief probation officers. In addition, the following JRAC members disseminated the letter to their colleagues:

- executive director of the Association of Indiana Counties to all heads of county councils and commissions;
- director of the Indiana Division of Mental Health and Addiction to community health center directors;
- president of the Indiana Sheriffs' Association to the elected sheriff in each county;
- executive director of the Indiana Public Defender Council to the public defender in those counties with such a position;
- president of the Indiana Association of Community Corrections Act Counties to local community corrections directors;
- president of the Probation Officers Professional Association of Indiana to chief probation officers; and
- executive director of the Indiana Prosecuting Attorneys Council to the elected prosecutor in each county.

This expression of commitment was reinforced in the first of a series of webinars conducted by state JRAC members and attended by representatives from the majority of the 92 counties. The goal of the webinar was to inform participants of the purpose and requirements of HEA 1068 and the potential outcomes and benefits it offers to justice system professionals, their partners, and the citizenry of Indiana; share information about the state JRAC's purpose, vision, and role in supporting local communities to effectively implement HEA 1068; and provide information regarding the 2021 data requirements of HEA 1068 and the resources that will be available immediately and in the future to support local JRAC teams.

As this work continues to unfold, the state JRAC intends to provide counties with supports to engage in the EBDM process. Forms of technical assistance—whether sponsored trainings,

³³ Required members include individuals representing the county executive, the county fiscal body, the court, law enforcement (sheriff), public defense, prosecution, chief probation officer, and community mental health and community corrections (where applicable).

information dissemination, facilitated system mapping sessions, or other customized supports—will be offered to the extent possible. The state JRAC’s vision is that each county that has not already done so will engage in the EBDM process and embrace the EBDM principles. The state JRAC also created a [website](#) as a “one-stop-shop” for justice system reformers. As it evolves, the website will share research and become the single source for information about funding opportunities available in the state. Ultimately, the state JRAC hopes to create a single funding application that would be uniform across all grant programs. Further, the state JRAC is using the first reporting requirement under HEA 1068 to gather uniform information (e.g., collaborative practices, information systems in use, diversionary and risk reduction programs and services available locally) from each county in an effort to understand and better share information across localities. A shared vision around common concerns is not far in the distance. For example, planning a 2022 statewide summit that will bring together the state JRAC and all of the local JRACs to address the needs of people in the justice system with mental health concerns is already underway. Other similar efforts are sure to follow.

The Promise of Sustainability

Indiana’s EBDM efforts are noteworthy and outstanding. Partnership engagement is genuine and expansive. Through Local JRAC, the potential for an EBDM team in each county is within reach. HEA 1068—what was once an objective on the Indiana EBDM state team’s sustainability plan—now represents the potential for the ultimate vision of EBDM: to align all state and local stakeholders and systems around a shared vision, a core set of principles, and research and data-informed policies and practices.

INDIANA EBDM STATE POLICY TEAM VISION: A SAFER, HEALTHIER INDIANA

From the Indiana EBDM Policy Team Charter

WHAT THEY SAID

Thirty-one people representing an array of state and local professionals from Indiana took part in a series of interviews to reflect on their EBDM experiences. Here is what they said:

How would you describe EBDM to a colleague?

- Vision
- A deliberate march to a better place
- Use evidence to make better decisions
- Best application of resources
- Setting sail on a journey of ongoing justice system reform
- A culture change
- A framework for decision making that doesn't trump judgment
- Collecting information to make better decisions about who should and should not be in jail
- Systematically collecting and reviewing data, and adjusting practice

What benefits did you experience from EBDM?

- Prior to EBDM, we were all little islands.
- EBDM made a rickety bridge sturdy.
- We learned how to support each other.
- Got us on the same page, headed in the same direction.
- Improved understanding about what each partner does.
- EBDM showed us some of our weaknesses, and we've been able to work on them as a team.
- The conversation and the language have changed.
- Everyone now uses the same language.
- Everyone has a voice.
- Our county is more fair and just because of EBDM.
- Makes everyone responsible for what happens tomorrow.
- Provides permission to ask evidence-based questions about the system and examine the sacred cows.
- Opportunity to improve civility through honest dialogue and data.
- Broke down silos...People are now thinking together.
- Created a culture of *doing* something.
- We felt like we were a part of something bigger than ourselves.

How would you describe your EBDM experience?

- A place to speak candidly.
- Provided a roadmap to look at the system in a structured way.
- Atmosphere of solutions.
- People put their agendas on the table.
- The place where issues land.

What were your experiences around data?

- The data was critical; facts are friendly.
- People who were inherently adversarial coalesced around the data.
- We came to the table with our own assumptions and at times the data proved us wrong.
- Data has to drive everything.
- People came to understand the value of data.
- Data is a neutral arbiter.
- EBDM provides the opportunity to evaluate justice programs objectively with data, and we can use data to make improvements.

Other reflections on EBDM

- The EBDM principles became our core values.
- The model takes longer, but people are more invested.
- They listened to my concerns...It made me realize I trusted my partners.
- Sometimes you disagree, but you are not disagreeable.
- Democracy is a slow and deliberate process.
- We solved a lot of problems through the mapping.
- We discussed what would happen if a case went south and how we would support one another.
- We discussed developing a communications strategy and plan and agreed not to throw one another under the bus. We're going to go down together and win together.
- EBDM is hard work and never done.
- Is EBDM worth it? I couldn't imagine not doing it now.

Windchimes. They all hit each other. Sometimes they make a clattering noise, other times a beautiful sound.

REFLECTING ON THE EBDM EXPERIENCE

In 2021, NIC partnered with the Center for Effective Public Policy to reflect on the EBDM experience over the past decade and seek input from participants across state and local participating sites regarding their experiences and recommendations for future investments in the initiative. Four hundred seventy-one people who had served on EBDM teams were contacted to participate in a survey. They represented law enforcement (police and sheriffs), court officials (magistrates, judges, clerks, and others), prosecution, public and private defense, state and local legislators and administrators, community service providers, victim and community advocates, pretrial, probation, parole, and institutional corrections. One hundred fifty-five survey responses were received, and 88 of the survey respondents indicated an interest in participating in follow-up focus groups. Sixty-two people participated in a total of 13 focus groups, 12 of which were discipline-specific, with the thirteenth representing a mix of all disciplines.

The outcome was a resounding endorsement of the EBDM model—agreement that EBDM should be continued, advanced, and sustained. Survey and focus group participants described the gains they made through their participation in the initiative—gains they believed would have been impossible were it not for the vision of the EBDM Framework, the leadership of NIC, and the support of the technical assistance providers. They shared sentiments such as “This is the way we do business now” and “EBDM is not a diet but a lifestyle change.” The core message of the initiative review was that NIC should continue to support the model. At the same time, EBDM participants indicated that the EBDM model is not, by itself, self-sustaining. Clearly communicated was the fact that EBDM’s long-term potential is threatened if deliberate strategies, specifically designed to achieve sustainability, are not continuously conducted.

EBDM INITIATIVE REVIEW

Between March and August 2021, NIC, with the support of the Center for Effective Public Policy, surveyed and conducted focus groups with EBDM stakeholders, seeking their input on the project’s approach, technical assistance, and resources to inform future NIC investments in this work. The following are some of the key recommendations:

- Continue to expand EBDM so that a “critical mass” of jurisdictions are engaged in EBDM, bringing EBDM to a “tipping point.”
- Require that each EBDM team identify a “champion” and champion successors.
- Recommend that teams take on a diversity of change targets to ensure a balance of interests and to maintain the participation of all stakeholders.
- Implement strategies for ongoing professional development and to “keep the fires burning.”
- Intentionally build in-state EBDM capacity to advance and sustain EBDM statewide.
- Periodically bring EBDM teams together to report on their ongoing progress and conduct booster sessions.
- Foster a national network of EBDM veterans/champions to serve as mentors to others.
- Create a deliberate model of cross-site mentorship.

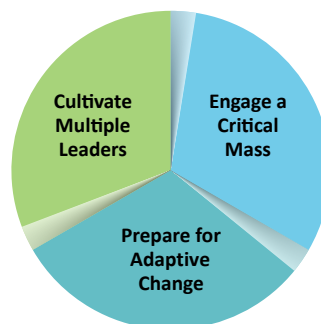
- Convene a group of EBDM advisors to address matters related to sustainability, such as considering the development of an EBDM curriculum for educational settings (e.g., the National Judicial College and its equivalent for law enforcement, defense, prosecution, as well as institutions of higher learning and law schools) through which the principles and processes of EBDM are introduced.

These recommendations may also advance and sustain the EBDM model nationally.

Key Lessons About Sustainability

While many conditions can serve as challenges to sustainability—data limitations, capacity to manage the work, limited resources, lack of external support or ongoing reinforcement—all of these can be overcome. None of these conditions, as challenging as they may be, threaten sustainability. What does seem to threaten sustainability is changes in or a lack of leadership, a lack of broad institutional knowledge about EBDM and an infrastructure to continually build a critical mass of engaged parties, and a lack of readiness for adaptive change. Although observation suggests that these three conditions may work in tandem—unwittingly conspiring to threaten EBDM’s long-term endurance—each appears independently critical to sustaining EBDM over time.

THE THREE ESSENTIAL ELEMENTS OF EBDM SUSTAINABILITY



Cultivate Multiple Leaders

From the start of each new EBDM site, team leaders (sometimes referred to as champions) were identified. Some still carry out this role today, more than a decade later. Those teams led by strong, committed people with visionary leadership qualities have been the most likely to excel. The specific characteristics of visionary leaders differ, however. Some are forceful and directive; others are quiet and deferential, allowing the team to develop its own rhythm. Some occupy positional power, others situational, most with long-earned credibility. What seems universally true is that effective leaders steadfastly keep their eye on designing a system of deliberate, research-based and data-driven policies while remaining mindful of the fragility of collaborative efforts and the need for processes to support sustainable work. The skill of a collaborative leader is clearly fundamental to the success of an EBDM team, particularly at the start.³⁴

³⁴ Defining more specifically the qualities and skills of effective leaders is beyond the scope of this paper. Readers are strongly encouraged to read *The Importance of Collaborative Leadership in Achieving Effective Criminal Justice Outcomes*, now dated but nonetheless still relevant.

MULTIPLE LEADERS

For sustainability to be possible, a deep bench of multiple leaders must be identified (arguably, from the start), with new leaders deliberately cultivated over time.

The key lesson that has emerged from this particular effort, perhaps distinct from others, is the need for deliberate and ongoing cultivation of multiple leaders. EBDM policy teams are typically composed largely of elected and appointed officials, and more times than not it has been elected officials who have held the position of team leader. This means that leadership changes are necessarily commonplace. But even more significant than that reality is the scope of EBDM work. To build a true system from independent, often siloed, parts—especially one that is vision- and values-driven, aligned, and purposeful—the presence of multiple leaders is critical. Leadership cannot rest with one or just a few.

Engage a Critical Mass

A second important lesson around sustainability is the need to reach far and wide across the justice system and, arguably, the larger community. EBDM cannot exist in a vacuum. It cannot flourish if it lives only in a conference room occupied by leaders. If it is to achieve its potential for systemwide change, it must reach a tipping point in each locality. This means that EBDM teams must understand the need to actively and continuously engage their colleagues, superiors, and other associates in awareness building, dialogue, strategy development, implementation, and performance assessment and improvement. Despite their varying roles, responsibilities, perspectives, and even views, everyone must see themselves as part of a single system, moving in a coordinated fashion toward a common end. While on its surface this seems obvious, the gravitational pull of the status quo cannot be underestimated. Consider Newton's first law of motion: an object in motion tends to stay in motion unless acted upon by a force. EBDM policy teams must create a force strong enough to push against the status quo. Doing so does not require rigid conformity in ideas, but it does necessitate deep understanding and consistent adherence to the principles of EBDM.

Prepare for Adaptive Change

The work of EBDM is about adaptive rather than technical change. Technical change is suited for challenges that can be effectively addressed through the knowledge of experts (e.g., a mechanic diagnoses and fixes an engine; a courtroom is renovated to install a video broadcasting system). Technical challenges have clear problems and known solutions. Adaptive challenges, on the other hand, don't have quick fixes or perhaps even known solutions. They are complex and sometimes vague and hard to understand, let alone resolve. They often require new learning, new ways of thinking and communicating, and different perspectives. Adaptive challenges require that we "get on the balcony"³⁵ to see the issues through the widest possible lens. They also require that we deeply examine and consider structures, methods, and processes; empower others; and bring opposing voices to the table. In its essence, adaptive change is big—perhaps even overwhelming or frightening—and stresses people and systems. Without preparing for and embracing it, the potential of EBDM's adaptive change possibilities will be extinguished. At best only technical changes will result.

"IF IT COMES EASY IT'S NOT WORTH IT. IF IT'S WORTH IT, IT WON'T COME EASY."

John Spencer Ellis

³⁵ The concept of "getting on the balcony" is described in more detail in Ronald Heifetz and Marty Linsky's *A Survival Guide for Leaders*.

EPILOGUE

Implementing the EBDM Framework in a local community—let alone at the state level—is arguably the most challenging endeavor a stakeholder group could take on. (In fact, when NIC first launched the EBDM initiative in Phase I, a federal official from a colleague agency claimed that no jurisdiction would be interested in participating in the project given its complexity and rigor—a claim that has obviously long since been disproved). Yet despite the philosophical debates, structural and procedural barriers, poor data systems, political differences, fiscal challenges, and myriad competing interests, nearly every EBDM team continues their work to this day.³⁶

The work is not without its challenges; the list above is only the beginning. Team members struggle to negotiate complex systems; unseat entrenched practices; disaggregate layered problems; understand contemporary research and practice; conceptualize bold, outside-of-the-box approaches; implement new processes; and train, coach, lead, and mentor veteran staff whose careers have been marked by a different approach to justice system policy and practice. As much as EBDM invites participants to take the long view of their justice system and the outcomes they hope to achieve, and to continually build a vision and plans to achieve it, the everyday barriers to implementation—lack of data, poor communication, a dearth of treatment resources, the press of everyday business, and countless others—make the challenge of implementation, not to mention expanding EBDM’s reach to additional jurisdictions, practically incomprehensible. And yet, Indiana found a way—a model that offers the promise of scaling up and sustainability due in large part to the deliberate effort to cultivate multiple leaders, reach a critical mass of people, and embrace the adaptive challenges that necessarily must be overcome.

The future of EBDM in Indiana and elsewhere, then, is to build upon the strong foundation of work already laid—and to ensure that foundation is a permanent one, capable of withstanding political winds, changes in team leadership, the ebb and flow of funding, tragic outcomes in individual cases, and the media frenzy that accompanies them. The strategy for solidifying that foundation should result in support for moving current efforts from initial to full implementation, creating well-designed sustainability plans within each local jurisdiction as well as at the state level, and expanding EBDM to new jurisdictions. Given that the promise of EBDM has been well demonstrated, the future challenge is how to bring the effort to scale not just in Indiana and other EBDM project sites but in all jurisdictions that aspire to achieve a more perfect system of justice.

³⁶ All of Indiana’s teams remain active.

APPENDIX: INDIANA'S CRIMINAL JUSTICE AND GOVERNMENTAL STRUCTURE³⁷

The **Indiana Supreme Court** has five justices who are appointed and are then subject to a statewide retention vote. The Supreme Court is the court of last resort on interpreting Indiana's laws, constitution, and bill of rights. It has the power to review and revise sentences imposed by lower courts through the **Court of Appeals** and exercises jurisdiction over matters relevant to the practice of law in the state. Under the Supreme Court and Court of Appeals, Indiana has three types of trial courts that oversee civil and criminal cases: circuit courts, superior courts, and local city or town courts. Circuit and superior courts have jurisdiction in all civil and criminal cases and appellate jurisdiction over city and town courts. Local courts have limited jurisdiction, handling either city or town ordinance violations, misdemeanors, and infractions. As of November 2020, there were over 300 trial court judges in Indiana.

The administrative branch of the Supreme Court is the **Office of Judicial Administration** (OJA). The OJA's 10 agencies are responsible for managing all operations under the Supreme Court, including the **Indiana Office of Court Services** (IOCS) and **Indiana Office of Court Technology**. The IOCS provides education, support, and guidance to the state's courts and judicial committees. Indiana offers more than 30 different court services, including but not limited to: training and ongoing education for court staff and judicial officers; implementation of evidence-based pretrial policies and practices; training and technical assistance to county probation departments; training and certification for problem-solving courts and other specialty court programs; and training, certification, and development of systemwide policies regarding the use of validated risk assessments across the state's criminal justice system. Nearly 50 state-level committees and commissions address a variety of topics including, among others, the Innovation Initiative, the Jail Overcrowding Task Force, the Justice Reinvestment Advisory Council, pretrial release, probation, and problem-solving courts. The **Judicial Conference of Indiana** has several duties, including, for example, promoting the exchange of experience and suggestions regarding the operation of Indiana's judicial system and the continuing education of judges. Membership comprises judicial officers from across the state and is governed by a chairperson (the chief justice of Indiana) and a board of directors.

The delivery of **probation** services in Indiana falls within the jurisdiction of the sentencing trial court. However, the Judicial Conference of Indiana and IOCS provide administrative oversight in setting policies regarding qualification, training, and certification of probation officers; the use of risk assessments for people on probation; and the transfer of supervision in and out of Indiana. Probation officers are trial court employees who provide supervision and services to people on probation until the sentencing court terminates supervision.

The **Indiana Department of Correction** (IDOC) is an executive branch agency that manages operations, medical care, reentry programs (e.g., educational, employment or vocational, and

³⁷ The information in this appendix was gathered from state websites and was current as of November 1, 2021.

reformatory) and services, and victim assistance across the state's 18 adult and three juvenile correctional facilities. The IDOC also delivers **parole** services. The **Indiana Parole Board** consists of five members who have discretionary authority over the release of people in prison and make recommendations to the governor regarding clemency and sentence commutation requests. As people are released, the **Division of Parole Services** provides community supervision and services to assist people in transitioning from prison to the community. Indiana has 10 parole districts located across the state. In addition, the IDOC offers **community corrections** transition programs through the Community Corrections Division. The division partners with state and local criminal justice agencies to provide supervision and treatment in the community as an alternative to incarceration.

The **Indiana Prosecuting Attorneys Council** (IPAC) is a nonpartisan, independent state judicial branch agency. The IPAC consists of approximately 90 elected prosecuting attorneys and is governed by a board of directors. The IPAC assists prosecuting attorneys across the state through the provision of manuals, legal research, and training, and serves as a liaison to government agencies, study commissions, and community groups to promote the fair administration of justice.

The **Public Defender of Indiana** is appointed by and serves at the pleasure of the Indiana Supreme Court. The State Public Defender works to ensure fairness in criminal proceedings and provides investigation and representation at hearings and on appeals in all capital and noncapital cases with merit. In addition, the **Indiana Public Defender Council** assists public defenders and defense attorneys across the state by recommending legislative and policy changes, providing legal research and consultation, conducting training, and developing publications, practice guides, and other resources.

The **Indiana Sheriffs' Association (ISA)** is a not-for-profit organization that provides training and educational programs for elected sheriffs and other law enforcement personnel throughout the state. ISA is led by an executive director and is supported by a small staff. ISA is governed by a board of directors composed of locally elected sheriffs.

The **Probation Officers Professional Association of Indiana** (POPPI), Inc., was established in 1985. Its membership includes about two-thirds of Indiana's probation officers who are involved in all areas of probation services. POPPI's vision is to "champion probation as a vital part of the criminal justice system." It conducts annual trainings and management institutes for its members.

Indiana passed its community corrections act in 1979. Its enabling legislation required the establishment of local Community Corrections Advisory Boards. In 1984, the **Indiana Association of Community Correction Act Counties** (IACCAC) was established as a state association. Currently there are 77 community corrections agencies—seven of them regional agencies—operating in 89 counties. IACCAC's mission is "to promote and facilitate the professional identity, development, and enhancement of community-based corrections." IACCAC conducts annual conferences and training institutes.

The **Association of Indiana Counties** (AIC) serves to improve county government by representing counties at the Indiana General Assembly, researching and disseminating

information via publications and seminars, delivering professional training and education programs, liaising between government agencies, and providing technical and managerial assistance. Membership comprises all of Indiana's 92 counties across six AIC districts and is governed by an executive committee and a board of directors.

The **Indiana General Assembly** is the legislative branch of the state of Indiana. It is a bicameral legislature that consists of 100 members in the House of Representatives and 50 members in the Senate. The General Assembly meets annually.

Indiana's **governor** holds office for four-year terms and can run for reelection but serve no more than eight years in any 12-year period. The Governor's cabinet is composed of 19 members, including the Commissioner of the Department of Correction and the Secretary of Family and Social Services whose responsibilities include behavioral health, mental health, and addiction services.

The **Office of the Indiana Attorney General** is led by the elected attorney general and represents the state in cases involving the state's interest. The office also provides legal defense to state officials' agencies and advisory opinions on constitutional or legal questions.

The **county council** is the local legislative body and controls spending and revenue in the county. Each county council consists of 7–15 elected members who serve four-year terms.

The **Board of Commissioners** is the executive and administrative body of the county. There are 3–5 commissioners who are elected and serve four-year terms. The commissioners are responsible for carrying out the acts legislated by the council and for managing county government's day-to-day functions.

www.nicic.gov

National Institute of Corrections • 320 First Street, NW • Washington, DC 20514 • 800 995 6423



STATE OF INDIANA
Department of Correction

Indiana Government Center—South

302 W. Washington Street • Indianapolis, Indiana 46204-2738

Phone: (317) 232-5711 • Fax: (317) 232-6798 • Website: www.in.gov/idoc/

Eric J. Holcomb
Governor

Christina Reagle
Commissioner

July 15, 2024

Honorable Mary Ellen Diekhoff
301 North College Avenue
Bloomington, IN 47404

Catherine Smith
Courthouse, 100 West Kirkwood Avenue
Bloomington, IN 47404

Re: CY2025 Community Corrections & Justice Reinvestment Grants

Dear Sir or Madam,

The Indiana Department of Correction is pleased to announce that **Monroe County** has been awarded the following for the CY2025 grant cycle. In accordance with the grant application(s), this amount is to be divided as follows:

Entity	Award
Community Corrections	
Community Supervision	\$1,049,167.00
Residential/Work Release	\$1,049,167.00
Drug Court	\$157,711.00
Mental Health Court	\$49,376.00
Veterans Court	
Reentry Court	
Domestic Violence Court	
Alcohol & Drug Program	
Probation	
Pretrial Services	\$271,866.00
Prosecutor's Diversion	
Jail Treatment	
Total Advisory Board Award	\$1,528,120.00

All expectations regarding grant management, financial management (including payment schedules, local fund setup, and expense procedures), data requirements, performance expectations, and minimum program standards will be outlined in our CY2025 grant procedural manual that corresponds with the grant cycle beginning on January 1, 2025. In the interim, your assigned program director is available to provide technical assistance upon request to ensure your programs are guided by evidence-based practices and are in compliance with grant requirements.

For any court or pretrial funding, the grant award is not an endorsement of the program outlined in the application. The funding is contingent upon certification from the Indiana Office of Court Services.

As a reminder, the funding for CY2025 may not be utilized for the following:

- Any staff not designated for an awarded entity's operations
- Capital construction, renovation, remodeling, or land acquisition (IC 11-12-2-8)
- Vehicles
- Firearms, ammunition, or tactical equipment
- Wearing apparel for staff (i.e., clothing, uniforms, personal protection vests)
- Lobbying, political contributions, honoraria, or bonuses
- Food, alcohol, and personal entertainment
 - Food, when purchased as a general supply for an enrichment program and/or a family engagement program activity with established outcomes, can be an allowable expense
- Supplies and/or rental costs for staff meetings or events
- Gift cards
- Any other purpose that was not outlined or approved in the grant application

Please carefully read the email to which this letter was attached for further information from your program director. Updated budget information is due by 8/16/2024 via Good Grants.

One contract including all grant-funded entities in the county/region (if applicable), will be sent electronically to the county auditor or signatory authority for electronic signature on the State of Indiana's contracts portal. Please verify the information listed below. If the information below is not correct, please [contact your program director](#) as soon as possible.

Catherine Smith
Courthouse, 100 West Kirkwood Avenue
Bloomington, IN 47404
csmith@co.monroe.in.us

We look forward to working with you during the upcoming year in providing evidence-based programs, services, and treatment to local communities to help achieve Indiana's goal of reducing recidivism through cost-effective measures.

Sincerely,



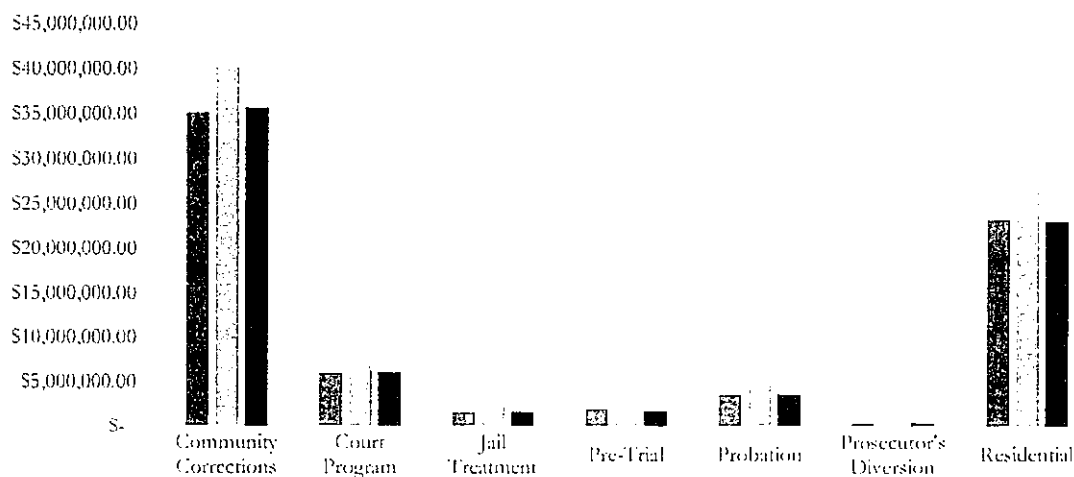
Elizabeth Darlage,
Director of Community Corrections



Community Corrections & Justice Reinvestment Grants

CY2025 FUNDING REQUEST SUMMARY

ENTITY	# OF APPLICATIONS	CY2024 AWARD	CY2025 REQUEST	CY2025 RECOMMENDATIONS
TOTAL	251	\$72.5M	\$84.6M	\$72.5M
COMMUNITY CORRECTIONS				
Residential	32	\$23,264,651.00	\$27,628,148.39	\$23,059,876.00
Community Supervision	76	\$35,247,418.00	\$40,249,330.54	\$35,698,852.82
JUSTICE REINVESTMENT ENTITIES				
Probation	34	\$3,624,953.00	\$4,644,713.42	\$3,660,003.00
Pretrial Services	21	\$2,073,373.00	\$2,377,969.92	\$1,765,640.00
Jail Treatment	23	\$1,670,401.00	\$2,324,484.05	\$1,720,676.00
Prosecutor's Diversion	6	\$495,193.00	\$528,227.65	\$496,152.00
COURT PROGRAMS				
Alcohol and Drug Program	4	\$238,758.00	\$454,332.00	\$238,758.00
Domestic Violence Court	1	\$136,457.00	\$136,457.00	\$136,457.00
Drug Court	32	\$3,126,905.00	\$3,659,581.77	\$3,177,526.87
Mental Health Court	6	\$900,986.00	\$904,859.00	\$900,986.00
OVWI Court	2	\$0.00	\$27,000.00	\$0.00
Re-Entry Court	6	\$941,201.00	\$943,380.00	\$941,201.00
Veterans Court	8	\$702,825.00	\$745,188.00	\$703,825.00

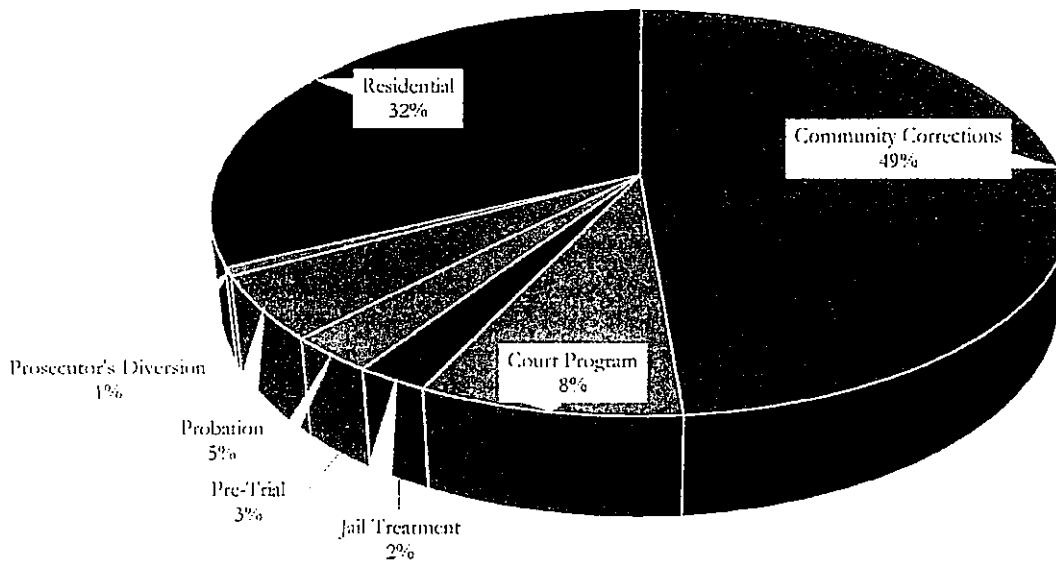


■ CY2024 Award Amount	\$35,247,418.00	\$6,062,132.00	\$1,670,401.00	\$2,073,373.00	\$3,624,953.00	\$495,193.00	\$23,316,153.00
■ CY2025 Requested Amount	\$40,249,330.54	\$6,870,797.77	\$2,324,484.05	\$2,377,969.92	\$4,644,713.42	\$528,227.65	\$27,628,148.39
■ CY2025 Award Recommendation	\$35,698,852.82	\$6,098,753.87	\$1,720,676.00	\$1,765,640.00	\$3,660,003.00	\$496,152.00	\$23,059,876.00



CY2025 Funding Recommendation Summary

CY2025 Recommendation Distribution by Entity



Recommendation Strategy

Funding Formula Overview

- Administrative Code 210 IAC 2-1-3 Funding Distribution
- The formula utilizes the county share of the total population, population 10-34 years old, and per capita net tax

Funding Formula Calculation

- Funding Formula Allocation: \$72.5M entered formula
- For every county in Indiana, the formula calculates each county's share-based and the corresponding funding amount

CY2025 Funding Budget	
Appropriation	\$72,625,165.00
Administrative Appropriation 3%	\$2.17M
Juvenile Community Corrections	\$2.5M
Community Transition Budget	\$2.0M
2025 Appropriation for County Eligibility Formula	\$72.5M

Bobby Ashley

CY2025 Community Corrections Justice Reinvestment Grants

Advisory Board	CY2024 Award Amount	CY2025 Requested Amount	CY2025 Award Recommendation
Community Corrections	\$ 408,670.00	\$ 408,670.00	\$ 408,670.00
Jail Treatment	\$ 50,000.00	\$ 50,000.00	\$ 50,000.00
Probation	\$ 78,990.00	\$ 86,540.00	\$ 86,540.00
Community Corrections	\$ 3,703,845.00	\$ 4,556,402.00	\$ 3,703,845.00
Court Program	\$ 148,030.00	\$ 152,530.00	\$ 148,030.00
Mental Health Court	\$ 52,245.00	\$ 52,245.00	\$ 52,245.00
OWVI Court	\$ -	\$ 4,500.00	\$ -
Re-Entry Court	\$ 78,369.00	\$ 78,369.00	\$ 78,369.00
Veterans Court	\$ 17,416.00	\$ 17,416.00	\$ 17,416.00
Probation	\$ 399,740.00	\$ 399,740.00	\$ 399,740.00
Residential	\$ 341,097.00	\$ 533,891.00	\$ 341,097.00
Community Corrections	\$ 498,415.00	\$ 498,415.00	\$ 498,415.00
Pre-Trial	\$ 139,150.00	\$ 139,150.00	\$ 139,150.00
Residential	\$ 1,031,702.00	\$ 1,031,702.00	\$ 1,031,702.00
Community Corrections	\$ 283,454.00	\$ 283,454.00	\$ 283,454.00
Community Corrections	\$ 422,203.00	\$ 415,452.00	\$ 415,452.00
Court Program	\$ -	\$ -	\$ -
Drug Court	\$ -	\$ -	\$ -
Jail Treatment	\$ 125,040.00	\$ 125,040.00	\$ 125,040.00
Pre-Trial	\$ -	\$ -	\$ -
Residential	\$ 10,552.00	\$ -	\$ -
Community Corrections	\$ 232,482.00	\$ 247,360.00	\$ 232,482.00
Jail Treatment	\$ -	\$ 64,640.80	\$ -
Pre-Trial	\$ -	\$ 56,584.67	\$ -
Residential	\$ -	\$ -	\$ -
Community Corrections	\$ 297,598.00	\$ 297,598.00	\$ 297,598.00

CY2025 Community Corrections Justice Reinvestment Grants

Advisory Board	CY2024 Award Amount	CY2025 Requested Amount	CY2025 Award Recommendation
Community Corrections	\$ 420,088.00	\$ 420,088.00	\$ 420,088.00
Jail Treatment	\$ -	\$ 115,000.00	\$ -
Pre-Trial	\$ 158,963.00	\$ 174,828.00	\$ 158,963.00
Residential	\$ 394,899.00	\$ 464,899.00	\$ 394,899.00
Community Corrections	\$ 542,542.00	\$ 563,542.00	\$ 542,542.00
Court Program	\$ 236,491.00	\$ 298,354.00	\$ 236,491.00
Drug Court	\$ 28,396.00	\$ 28,396.00	\$ 28,396.00
OVWI Court	\$ -	\$ 22,500.00	\$ -
Veterans Court	\$ 208,095.00	\$ 247,458.00	\$ 208,095.00
Jail Treatment	\$ 70,075.00	\$ 91,075.00	\$ 70,075.00
Pre-Trial	\$ 57,000.00	\$ 135,000.00	\$ 77,000.00
Probation	\$ 120,150.00	\$ 141,150.00	\$ 120,150.00
Community Corrections	\$ 137,025.00	\$ 157,025.00	\$ 137,025.00
Community Corrections	\$ 239,000.00	\$ 309,000.00	\$ 309,000.00
Jail Treatment	\$ 80,000.00	\$ 94,077.25	\$ 80,000.00
Probation	\$ 74,575.00	\$ 74,575.00	\$ 74,575.00
Community Corrections	\$ 230,263.00	\$ 256,200.00	\$ 230,263.00
Residential	\$ 60,163.00	\$ 62,900.00	\$ 62,900.00
Community Corrections	\$ 182,700.00	\$ 408,735.00	\$ 182,700.00
Probation	\$ 56,700.00	\$ 67,427.00	\$ 56,700.00
Community Corrections	\$ 373,219.00	\$ 390,986.00	\$ 373,219.00
Probation	\$ 64,850.00	\$ 88,854.00	\$ 64,850.00
Residential	\$ 758,311.00	\$ 781,996.00	\$ 758,311.00
Community Corrections	\$ 712,717.00	\$ 768,620.00	\$ 712,717.00
Court Program	\$ 214,657.00	\$ 217,657.00	\$ 217,657.00

CY2025 Community Corrections Justice Reinvestment Grants

Advisory Board	CY2024 Award Amount	CY2025 Requested Amount	CY2025 Award Recommendation
Drug Court	\$ 136,166.00	\$ 138,166.00	\$ 138,166.00
Veterans Court	\$ 78,491.00	\$ 79,491.00	\$ 79,491.00
Community Corrections	\$ 556,755.00	\$ 616,684.00	\$ 556,755.00
Court Program	\$ 64,575.00	\$ 64,575.00	\$ 64,575.00
Drug Court	\$ 64,575.00	\$ 64,575.00	\$ 64,575.00
Pre-Trial	\$ 54,280.00	\$ 54,280.00	\$ 54,280.00
Residential	\$ 289,548.00	\$ 610,560.00	\$ 289,548.00
Community Corrections	\$ 347,765.00	\$ 314,430.00	\$ 314,430.00
Court Program	\$ 61,828.00	\$ 91,357.00	\$ 91,357.00
Drug Court	\$ 61,828.00	\$ 91,357.00	\$ 91,357.00
Jail Treatment	\$ 230,199.00	\$ 275,112.00	\$ 230,199.00
Probation	\$ 131,250.00	\$ 208,549.00	\$ 131,250.00
Residential	\$ 957,859.00	\$ 991,193.00	\$ 991,193.00
Community Corrections	\$ 311,038.00	\$ 361,038.00	\$ 311,038.00
Court Program	\$ 125,025.00	\$ 204,675.00	\$ 125,025.00
Drug Court	\$ 125,025.00	\$ 204,675.00	\$ 125,025.00
Jail Treatment	\$ 60,000.00	\$ 120,000.00	\$ 60,000.00
Probation	\$ 130,935.00	\$ 223,142.00	\$ 130,935.00
Prosecutor's Diversion	\$ 44,753.00	\$ 46,990.65	\$ 44,753.00
Residential	\$ 340,890.00	\$ 390,890.00	\$ 340,890.00
Community Corrections	\$ 584,203.00	\$ 854,251.00	\$ 584,203.00
Jail Treatment	\$ 59,250.00	\$ 180,000.00	\$ 59,250.00
Probation	\$ 131,150.00	\$ 195,092.31	\$ 131,150.00
Community Corrections	\$ 127,208.00	\$ 165,995.00	\$ 127,208.00
Community Corrections	\$ 154,913.00	\$ 222,170.00	\$ 154,913.00
Residential	\$ 236,068.00	\$ 308,930.00	\$ 236,068.00

CY2025 Community Corrections Justice Reinvestment Grants

Advisory Board	CY2024 Award Amount	CY2025 Requested Amount	CY2025 Award Recommendation
Community Corrections	\$ 1,006,536.00	\$ 1,006,536.00	\$ 1,006,536.00
Court Program	\$ 266,042.00	\$ 266,042.00	\$ 266,042.00
Re-Entry Court	\$ 266,042.00	\$ 266,042.00	\$ 266,042.00
Jail Treatment	\$ 38,500.00	\$ 38,500.00	\$ 38,500.00
Probation	\$ 64,184.00	\$ 64,184.00	\$ 64,184.00
Community Corrections	\$ 616,739.00	\$ 616,739.00	\$ 616,739.00
Residential	\$ 702,580.00	\$ 702,580.00	\$ 702,580.00
Community Corrections	\$ 126,541.00	\$ 126,541.00	\$ 126,541.00
Pre-Trial	\$ 1,838,662.00	\$ 1,838,662.00	\$ 1,838,662.00
Residential	\$ 321,169.00	\$ 321,169.00	\$ 321,169.00
Community Corrections	\$ 57,248.00	\$ 57,248.00	\$ 57,248.00
Probation	\$ 271,011.00	\$ 271,011.00	\$ 271,011.00
Community Corrections	\$ 54,322.00	\$ 54,322.00	\$ 54,322.00
Court Program	\$ 54,322.00	\$ 54,322.00	\$ 54,322.00
Veterans Court	\$ 194,403.00	\$ 194,403.00	\$ 194,403.00
Probation	\$ 1,098,449.00	\$ 1,098,449.00	\$ 1,098,449.00
Residential	\$ 459,609.00	\$ 459,609.00	\$ 459,609.00
Community Corrections	\$ 51,316.00	\$ 51,316.00	\$ 51,316.00
Court Program	\$ 51,316.00	\$ 51,316.00	\$ 51,316.00
Drug Court	\$ 4,500.00	\$ 4,500.00	\$ 4,500.00
Jail Treatment	\$ 89,862.00	\$ 89,862.00	\$ 89,862.00
Probation	\$ 328,800.00	\$ 328,800.00	\$ 328,800.00
Community Corrections	\$ 127,372.00	\$ 127,372.00	\$ 127,372.00
Probation	\$ 1,046,964.00	\$ 1,046,964.00	\$ 1,046,964.00
Residential	\$ 352,227.00	\$ 352,227.00	\$ 352,227.00
Community Corrections	\$ 406,538.00	\$ 406,538.00	\$ 406,538.00

CY2025 Community Corrections Justice Reinvestment Grants

Advisory Board	CY2024 Award Amount	CY2025 Requested Amount	CY2025 Award Recommendation
Court Program	\$ 164,671.00	\$ 164,671.00	\$ 164,671.00
Drug Court	\$ 164,671.00	\$ 164,671.00	\$ 164,671.00
Residential	\$ 235,000.00	\$ 667,513.51	\$ 235,000.00
Community Corrections	\$ 626,964.00	\$ 626,964.00	\$ 626,964.00
Court Program	\$ 133,000.00	\$ 320,500.00	\$ 133,000.00
Drug Court	\$ 133,000.00	\$ 320,500.00	\$ 133,000.00
Residential	\$ 183,184.00	\$ 283,184.00	\$ 183,184.00
Community Corrections	\$ 5,000.00	\$ 6,000.00	\$ 5,000.00
Residential	\$ 474,407.00	\$ 718,003.00	\$ 474,407.00
Community Corrections	\$ 158,440.00	\$ 208,398.00	\$ 158,440.00
Community Corrections	\$ 657,020.00	\$ 657,020.00	\$ 657,020.00
Court Program	\$ 51,013.00	\$ 51,013.00	\$ 51,013.00
Drug Court	\$ 51,013.00	\$ 51,013.00	\$ 51,013.00
Jail Treatment	\$ 30,000.00	\$ 30,000.00	\$ 30,000.00
Pre-Trial	\$ 53,479.00	\$ 53,479.00	\$ 53,479.00
Prosecutor's Diversion	\$ 59,409.00	\$ 59,409.00	\$ 59,409.00
Community Corrections	\$ 371,590.00	\$ 899,700.00	\$ 421,590.00
Residential	\$ 363,974.00	\$ 853,013.00	\$ 363,974.00
Community Corrections	\$ 300,755.00	\$ 295,457.00	\$ 295,457.00
Court Program	\$ 75,746.00	\$ 75,746.00	\$ 75,746.00
Drug Court	\$ 75,746.00	\$ 75,746.00	\$ 75,746.00
Community Corrections	\$ 453,427.00	\$ 453,427.00	\$ 453,427.00
Court Program	\$ 783,013.00	\$ 800,076.00	\$ 783,013.00
Alcohol and Drug Program	\$ 44,417.00	\$ 61,480.00	\$ 44,417.00
Drug Court	\$ 20,128.00	\$ 20,128.00	\$ 20,128.00
Mental Health Court	\$ 262,168.00	\$ 262,168.00	\$ 262,168.00

CY2025 Community Corrections Justice Reinvestment Grants

Advisory Board	CY2024 Award Amount	CY2025 Requested Amount	CY2025 Award Recommendation
Re-Entry Court	\$ 252,576.00	\$ 252,576.00	\$ 252,576.00
Veterans Court	\$ 203,724.00	\$ 203,724.00	\$ 203,724.00
Residential	\$ 2,768,465.00	\$ 2,768,465.00	\$ 2,768,465.00
Community Corrections	\$ 125,023.00	\$ 223,666.25	\$ 180,023.00
Court Program	\$ 40,000.00	\$ 45,000.00	\$ 45,000.00
Drug Court	\$ 40,000.00	\$ 45,000.00	\$ 45,000.00
Pre-Trial	\$ -	\$ 138,172.25	\$ -
Residential	\$ 529,826.00	\$ 706,094.22	\$ 529,826.00
Community Corrections	\$ 266,723.00	\$ 266,723.00	\$ 266,723.00
Court Program	\$ 458,937.00	\$ 458,937.00	\$ 458,937.00
Alcohol and Drug Program	\$ 194,341.00	\$ 194,341.00	\$ 194,341.00
Domestic Violence Court	\$ 136,457.00	\$ 136,457.00	\$ 136,457.00
Drug Court	\$ 128,139.00	\$ 128,139.00	\$ 128,139.00
Community Corrections	\$ 512,841.00	\$ 510,431.00	\$ 510,431.00
Court Program	\$ 252,638.00	\$ 252,638.00	\$ 252,638.00
Drug Court	\$ 182,689.00	\$ 182,689.00	\$ 182,689.00
Mental Health Court	\$ 24,819.00	\$ 24,819.00	\$ 24,819.00
Re-Entry Court	\$ 45,130.00	\$ 45,130.00	\$ 45,130.00
Jail Treatment	\$ 30,000.00	\$ 30,100.00	\$ 30,000.00
Probation	\$ 182,640.00	\$ 217,201.24	\$ 182,640.00
Residential	\$ 738,336.00	\$ 740,746.00	\$ 740,746.00
Community Corrections	\$ 3,231,511.00	\$ 3,661,721.00	\$ 3,431,511.00
Court Program	\$ 1,061,539.00	\$ 1,061,720.00	\$ 1,061,539.00
Drug Court	\$ 282,159.00	\$ 282,339.00	\$ 282,159.00
Mental Health Court	\$ 411,623.00	\$ 411,623.00	\$ 411,623.00
Re-Entry Court	\$ 226,980.00	\$ 226,981.00	\$ 226,980.00
Veterans Court	\$ 140,777.00	\$ 140,777.00	\$ 140,777.00
Jail Treatment	\$ 274,275.00	\$ 274,275.00	\$ 274,275.00
Pre-Trial	\$ 540,802.00	\$ 540,802.00	\$ 490,802.00

CY2025 Community Corrections Justice Reinvestment Grants

Advisory Board	CY2024 Award Amount	CY2025 Requested Amount	CY2025 Award Recommendation
Probation	\$ 151,813.00	\$ 151,813.00	\$ 151,813.00
Prosecutor's Diversion	\$ 189,212.00	\$ 219,050.00	\$ 189,212.00
Residential	\$ 2,790,688.00	\$ 2,590,551.00	\$ 2,590,551.00
Community Corrections	\$ 362,802.00	\$ 362,802.00	\$ 362,802.00
Court Program	\$ 65,000.00	\$ 65,000.00	\$ 65,000.00
Drug Court	\$ 65,000.00	\$ 65,000.00	\$ 65,000.00
Prosecutor's Diversion	\$ 61,964.00	\$ 61,964.00	\$ 61,964.00
Community Corrections	\$ 176,685.00	\$ 214,233.00	\$ 176,685.00
Jail Treatment	\$ -	\$ 25,275.00	\$ 25,275.00
Community Corrections	\$ 222,853.00	\$ 251,974.00	\$ 247,853.00
Court Program	\$ 132,842.00	\$ 135,275.00	\$ 132,842.00
Drug Court	\$ 132,842.00	\$ 135,275.00	\$ 132,842.00
Pre-Trial	\$ -	\$ -	\$ -
Probation	\$ 125,575.00	\$ 236,661.20	\$ 125,575.00
Community Corrections	\$ 1,049,167.00	\$ 1,233,838.00	\$ 1,049,167.00
Court Program	\$ 207,087.00	\$ 222,222.00	\$ 207,087.00
Drug Court	\$ 157,711.00	\$ 168,973.00	\$ 157,711.00
Mental Health Court	\$ 49,376.00	\$ 53,249.00	\$ 49,376.00
Pre-Trial	\$ 271,866.00	\$ 291,896.00	\$ 271,866.00
Community Corrections	\$ 313,823.00	\$ 329,514.00	\$ 313,823.00
Jail Treatment	\$ 100,000.00	\$ 191,000.00	\$ 100,000.00
Community Corrections	\$ 339,718.00	\$ 336,867.00	\$ 336,867.00
Court Program	\$ 158,484.00	\$ 158,484.00	\$ 158,484.00
Drug Court	\$ 158,484.00	\$ 158,484.00	\$ 158,484.00
Veterans Court	\$ -	\$ -	\$ -
Pre-Trial	\$ 51,103.00	\$ 54,463.00	\$ 54,463.00
Residential	\$ 11,500.00	\$ 16,500.00	\$ 14,351.00

CY2025 Community Corrections Justice Reinvestment Grants

Advisory Board	CY2024 Award Amount	CY2025 Requested Amount	CY2025 Award Recommendation
Community Corrections	\$ 711,019.00	\$ 753,964.89	\$ 711,019.00
Court Program	\$ 64,575.00	\$ 79,214.90	\$ 64,575.00
Drug Court	\$ 64,575.00	\$ 79,214.90	\$ 64,575.00
Probation	\$ 129,150.00	\$ 146,969.87	\$ 129,150.00
Residential	\$ 215,509.00	\$ 473,826.21	\$ 215,509.00
Community Corrections	\$ 385,628.00	\$ 422,616.00	\$ 385,628.00
Court Program	\$ 243,410.00	\$ 298,894.00	\$ 243,410.00
Drug Court	\$ 83,562.00	\$ 90,757.00	\$ 83,562.00
Probation	\$ 83,562.00	\$ 90,757.00	\$ 83,562.00
Community Corrections	\$ 530,853.00	\$ 530,853.00	\$ 530,853.00
Court Program	\$ 148,917.00	\$ 148,917.00	\$ 148,917.00
Drug Court	\$ 48,162.00	\$ 48,162.00	\$ 48,162.00
Mental Health Court	\$ 100,755.00	\$ 100,755.00	\$ 100,755.00
Jail Treatment	\$ 270,261.00	\$ 315,824.00	\$ 270,261.00
Pre-Trial	\$ 156,899.00	\$ 162,867.00	\$ 156,899.00
Community Corrections	\$ 353,721.00	\$ 414,920.00	\$ 353,721.00
Court Program	\$ 247,893.00	\$ 265,326.00	\$ 247,893.00
Probation	\$ 148,856.00	\$ 269,524.00	\$ 148,856.00
Community Corrections	\$ 218,700.00	\$ 218,700.00	\$ 218,700.00
Court Program	\$ 298,837.00	\$ 344,030.00	\$ 298,837.00
Probation	\$ 65,267.00	\$ 107,341.00	\$ 65,267.00
Community Corrections	\$ 166,702.00	\$ 166,702.00	\$ 166,702.00
Court Program	\$ 99,875.00	\$ 99,875.00	\$ 99,875.00
Drug Court	\$ 99,875.00	\$ 99,875.00	\$ 99,875.00

CY2025 Community Corrections Justice Reinvestment Grants

Advisory Board	CY2024 Award Amount	CY2025 Requested Amount	CY2025 Award Recommendation
Pre-Trial	\$ 66,591.00	\$ 71,933.00	\$ -
Prosecutor's Diversion	\$ 25,065.00	\$ 26,024.00	\$ 26,024.00
Community Corrections	\$ 385,216.00	\$ 643,200.00	\$ 385,216.00
Community Corrections	\$ 420,234.00	\$ 796,777.00	\$ 420,234.00
Probation	\$ 118,514.00	\$ 143,767.00	\$ 118,514.00
Community Corrections	\$ 515,371.00	\$ 575,371.00	\$ 515,371.00
Jail Treatment	\$ 77,725.00	\$ 87,725.00	\$ 87,725.00
Probation	\$ 61,005.00	\$ 71,005.00	\$ 61,005.00
Community Corrections	\$ 313,535.00	\$ 330,127.51	\$ 330,127.51
Court Program	\$ 144,736.00	\$ 151,633.87	\$ 151,633.87
Drug Court	\$ 144,736.00	\$ 151,633.87	\$ 151,633.87
Jail Treatment	\$ 4,990.00	\$ 4,990.00	\$ 4,990.00
Community Corrections	\$ 1,136,233.00	\$ 1,372,413.00	\$ 1,136,233.00
Pre-Trial	\$ 176,993.00	\$ 205,753.00	\$ 176,993.00
Probation	\$ 58,998.00	\$ 68,585.00	\$ 58,998.00
Prosecutor's Diversion	\$ 114,790.00	\$ 114,790.00	\$ 114,790.00
Residential	\$ 1,264,352.00	\$ 1,611,956.00	\$ 1,264,352.00
Community Corrections	\$ 321,302.00	\$ 321,302.00	\$ 321,302.00
Jail Treatment	\$ 63,263.00	\$ 94,027.00	\$ 63,263.00
Pre-Trial	\$ 66,150.00	\$ 66,500.00	\$ 66,150.00
Community Corrections	\$ 209,287.00	\$ 239,287.00	\$ 209,287.00
Probation	\$ 60,824.00	\$ 87,424.00	\$ 60,824.00
Community Corrections	\$ 1,047,844.00	\$ 980,400.31	\$ 980,400.31
Probation	\$ 112,632.00	\$ 119,395.54	\$ 112,632.00
Residential	\$ 611,069.00	\$ 755,351.70	\$ 678,512.00

CY2025 Community Corrections Justice Reinvestment Grants

Advisory Board	CY2024 Award Amount	CY2025 Requested Amount	CY2025 Award Recommendation
Community Corrections	\$ 138,250.00	\$ 138,250.00	\$ 138,250.00
Pre-Trial	\$ 85,354.00	\$ 85,354.00	\$ 85,354.00
Community Corrections	\$ 129,373.00	\$ 219,979.00	\$ 129,373.00
Community Corrections	\$ -	\$ -	\$ -
Court Program	\$ 371,183.00	\$ 454,168.00	\$ 371,183.00
Drug Court	\$ 371,183.00	\$ 454,168.00	\$ 371,183.00
Residential	\$ 1,976,474.00	\$ 2,780,488.62	\$ 1,976,474.00
Community Corrections	\$ 429,049.00	\$ 429,049.00	\$ 429,049.00
Probation	\$ 64,575.00	\$ 83,106.28	\$ 64,575.00
Residential	\$ 923,143.00	\$ 923,143.00	\$ 923,143.00
Community Corrections	\$ 218,331.00	\$ 330,407.00	\$ 270,833.00
Court Program	\$ 88,854.00	\$ 167,002.00	\$ 88,854.00
Drug Court	\$ 16,750.00	\$ 92,720.00	\$ 16,750.00
Re-Entry Court	\$ 72,104.00	\$ 74,282.00	\$ 72,104.00
Jail Treatment	\$ 16,200.00	\$ 26,200.00	\$ 16,200.00
Pre-Trial	\$ 68,202.00	\$ 77,970.00	\$ 68,202.00
Probation	\$ 86,263.00	\$ 89,351.00	\$ 86,263.00
Residential	\$ 52,502.00	\$ -	\$ -
Court Program	\$ 105,813.00	\$ 119,590.00	\$ 105,813.00
Drug Court	\$ 105,813.00	\$ 119,590.00	\$ 105,813.00
Residential	\$ 704,969.00	\$ 741,601.00	\$ 704,969.00
Community Corrections	\$ 272,303.00	\$ 272,303.00	\$ 272,303.00
Court Program	\$ -	\$ 10,000.00	\$ -
Alcohol and Drug Program	\$ -	\$ 10,000.00	\$ -

CY2025 Community Corrections Justice Reinvestment Grants

Advisory Board	CY2024 Award Amount	CY2025 Requested Amount	CY2025 Award Recommendation
Community Corrections	\$ 120,300.00	\$ 124,500.00	\$ 120,300.00
Court Program	\$ 15,000.00	\$ -	\$ -
Drug Court	\$ 15,000.00	\$ -	\$ -
Community Corrections	\$ 380,598.00	\$ 653,425.00	\$ 380,598.00
Probation	\$ 79,575.00	\$ 94,575.00	\$ 94,575.00
Community Corrections	\$ 222,657.00	\$ 222,657.00	\$ 222,657.00
Community Corrections	\$ 1,091,612.00	\$ 1,091,612.00	\$ 1,091,612.00
Court Program	\$ 133,361.00	\$ 147,019.00	\$ 133,361.00
Drug Court	\$ 133,361.00	\$ 147,019.00	\$ 133,361.00
Probation	\$ 232,465.00	\$ 348,908.00	\$ 232,465.00
Community Corrections	\$ 518,713.00	\$ 576,267.58	\$ 518,713.00
Residential	\$ -	\$ 826,947.13	\$ -
Community Corrections	\$ 244,552.00	\$ 244,399.00	\$ 244,399.00
Court Program	\$ -	\$ -	\$ -
Drug Court	\$ -	\$ -	\$ -
Veterans Court	\$ -	\$ -	\$ -
Jail Treatment	\$ 24,000.00	\$ 24,000.00	\$ 24,000.00
Pre-Trial	\$ -	\$ -	\$ -
Probation	\$ 130,725.00	\$ 196,069.98	\$ 130,725.00
Residential	\$ 450,852.00	\$ 460,004.00	\$ 451,005.00
Community Corrections	\$ 529,334.00	\$ 529,115.00	\$ 479,115.00
Court Program	\$ -	\$ 188,511.00	\$ -
Alcohol and Drug Program	\$ -	\$ 188,511.00	\$ -
Jail Treatment	\$ 62,123.00	\$ 63,123.00	\$ 62,123.00
Probation	\$ 158,851.00	\$ 187,226.00	\$ 158,851.00
Grand Total	\$ 72,489,623.00	\$ 84,623,671.74	\$ 72,499,953.69

Electronic monitoring report (Indiana)

Monroe Circuit Court Probation

4/1/2024 thru 6/30/2024

Part 1

A

Adult Pretrial Only	9
Adult Post-Disposition/Multiple Supervisions	90
Juvenile Pre-Disposition Only	0
Juvenile Post-Disposition	0

B - Adult Post-Disposition/Multiple Supervisions

Crime	F	FA	FB	FC	FD	F1	F2	F3	F4	F5	F6	MA	MB	MC	
Crimes Against a Person Under IC 35-42	0	1	0	0	0	1	1	3	2	7	5	1	0	0	
Crimes Against Property under IC 35-43	0	0	0	0	0	0	2	1	8	3	5	0	0	0	
Crimes relating to Controlled Substances Under IC 35-48	0	1	0	0	0	0	7	2	3	1	5	0	0	0	
Crimes Involving a Motor Vehicle Under IC-9	0	0	0	0	0	0	0	0	1	3	7	6	0	0	
All Other Crimes	0	0	0	0	0	0	0	1	0	4	7	2	0	0	

B - Adult Pretrial Only

Crime	F	FA	FB	FC	FD	F1	F2	F3	F4	F5	F6	MA	MB	MC	
Crimes Against a Person Under IC 35-42	0	0	0	0	0	2	0	0	0	0	0	1	0	0	
Crimes Against Property under IC 35-43	0	0	0	0	0	0	0	0	0	0	0	1	1	0	
Crimes relating to Controlled Substances Under IC 35-48	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Crimes Involving a Motor Vehicle Under IC-9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
All Other Crimes	0	0	0	0	0	1	0	0	1	1	1	0	0	0	

Part 2 - Adult

Total number of individuals active at the end of the quarter	67
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Electronic monitoring report (Indiana)

Monroe Circuit Court Probation

4/1/2024 thru 6/30/2024

Part 3 - Adult	
Assessed	\$73,416.00
Paid	\$31,439.88
Part 4 - Adult	
Completed	45
Other Termination	2
Terminated Due to Technical Violation	1
Part 4 - Juvenile	
Completed	2
Part 5 - Adult	
False location alerts	9