



MULTNOMAH COUNTY AGENDA PLACEMENT REQUEST NOTICE OF INTENT

(revised 12/31/09)

Board Clerk Use Only

Meeting Date: 7/8/2010
Agenda Item #: R-5
Est. Start Time: 10:30 am
Date Submitted: 6/22/2010

APPROVED: MULTNOMAH COUNTY
BOARD OF COMMISSIONERS
AGENDA # R-5 DATE 7/8/2010
LYNDA GROW, BOARD CLERK

Agenda Title: **NOTICE OF INTENT: National Institute of Corrections and Office of Justice Programs Evidence-Based decision Making in Local Criminal justice System Initiative: Phase II Site Selection Technical Assistance**

Note: If Ordinance, Resolution, Order or Proclamation, provide exact title. For all other submissions, provide a clearly written title sufficient to describe the action requested.

Requested Meeting Date: July 8, 2010 **Amount of Time Needed:** 15 minutes
Department: Local Public Safety Coordinating Council **Division:** _____
Contact(s): Peter Ozanne/Elizabeth Davies
Phone: 988-5777 **Ext.** 85777 **I/O Address:** 503/600
Presenter(s): Peter Ozanne

General Information

1. What action are you requesting from the Board?

Approval to apply for National Institute of Corrections and Office of Justice Programs Evidence-Based decision Making in Local Criminal Justice System Initiative: Phase II Site Selection Technical Assistance.

2. Please provide sufficient background information for the Board and the public to understand this issue. Please note which Program Offer this action affects and how it impacts the results.

In 2008, the National Institute of Corrections launched the Evidence-Based Decision Making in Local Criminal Justice Systems initiative in order to "build a system wide framework (arrest through final disposition and discharge) that would, when implemented, result in more collaborative, evidence-based decision making and practices in local criminal justice systems." This initiative has been divided into three phases: Phase I developed a Framework to "advance constructive change in local level criminal justice decision making"; Phase II will provide technical assistance to as many

as six committed and capable “seed sites” who wish to pilot the Framework; and Phase III will fully pilot the Framework in two of the sites identified in Phase II. Multnomah County wishes to become a seed site to receive technical assistance from a team of providers with expertise in evidence based decision making, management, and operations in all facets of the criminal justice system.

3. Explain the fiscal impact (current year and ongoing).

Commitment of part of a current employee (~0.5 FTE) to serve the function of Local Initiative Coordinator

4. Explain any legal and/or policy issues involved.

N/A

5. Explain any citizen and/or other government participation that has or will take place.

The Local Public Safety Coordinating Council will serve as the lead applicant and will coordinate participation of partners within Multnomah County’s public safety system.

ATTACHMENT A

Grant Application/Notice of Intent

If the request is a Grant Application or Notice of Intent, please answer all of the following in detail:

- **Who is the granting agency?**

National Institute of Corrections and Office of Justice Programs

- **Specify grant (matching, reporting and other) requirements and goals.**

Requirements:

1. Identify a Local Initiative Coordinator (recommended 0.5FTE)
2. Convene a Policy Team
3. Develop and Work to Implement a Local System-Wide Vision of Risk/Harm Reduction
4. Build Awareness and Engagement among Policy Team Members and their Staff Regarding Evidence-Based Research and Decision Making
5. Develop Local Logic Models
6. Assess (and as needed, augment) Capacity for Data Collection and Analysis and Gather Baseline Data
7. Develop a Local Criminal Justice System "Scorecard"

Goals:

1. Establishment (or enhancement) of a true and meaningful collaborative partnership among the local criminal justice system's stakeholders;
2. Development of a shared philosophy and vision for the local criminal justice system;
3. Enhanced capacity to collect and analyze data that will support ongoing analysis of the effectiveness of current and future policies, practices and services that contribute to risk and harm reduction;
4. Increased understanding of research-based risk and harm reduction strategies and system-wide investment and engagement by stakeholders and staff in effectively implementing these strategies;
5. Jurisdiction-specific tools designed to assist in implementation of evidence-based decision making at the system, agency, and case levels;
6. Opportunities for peer-to-peer exchanges with other seed sites; and the
7. Opportunity to be among two jurisdictions selected to participate as pilot sites in Phase III.

- **Explain grant funding detail – is this a one time only or long term commitment?**

N/A

- **What are the estimated filing timelines?**

July 15, 2010

- **If a grant, what period does the grant cover?**

October 2010 – September 2011

- **When the grant expires, what are funding plans?**

N/A

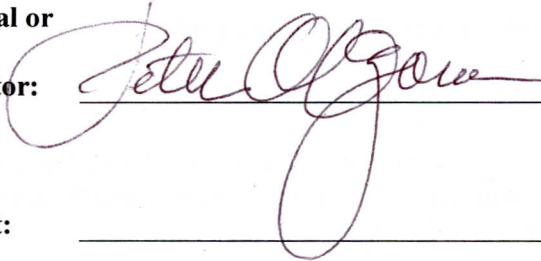
- **Is 100% of the central and departmental indirect recovered? If not, please explain why.**

No. This grant requires that participating jurisdictions allocate a portion of a current employee (~ 0.5 FTE) to serve as site coordinator.

ATTACHMENT B

Required Signatures

Elected Official or
Department/
Agency Director:



Date:

6/23/10

Budget Analyst:

Date:

NIC Evidence-Based Decision Making Framework

Overview of the Framework, Phase II Activities and the Application to be a Phase II Site

In 2008, the National Institute of Corrections launched the Evidence-Based Decision Making in Local Criminal Justice Systems initiative in order to build a system wide framework (from initial contact to post-release) that would result in more collaborative, evidence-based decision making and practices in local criminal justice systems.

This initiative has been divided into three phases: Phase I developed the Framework; Phase II will provide technical assistance to “seed sites” who wish to test the Framework; and Phase III will fully pilot the Framework in two of the sites identified in Phase II.

Multnomah County is considering applying to be a seed site in Phase II of this initiative. This document provides a summary of the NIC Framework (page 2), details the activities required of Phase II seed sites (page 3), and summarizes the application to become a seed site (page 5).

Important Dates:

June 28: LPSCC staff presentation to Board Staff

July 6: LPSCC staff presentation to LPSCC Executive Committee

July 8: LPSCC staff presentation to Board of County Commissioners

July 15: Application due (must be received by COB in MD)

Late August: Final site selections made

Mid-October: Kick-off workshop for up to six members of the policy team

**Include for R-5 @ 10:30 am
7-8-2010 Board Packet
(I left this out in error-Lynda)**

I. Overview of the Framework

A close read of the 60+ page Framework might yield the following **purpose** statement:

The purpose of the Framework is to help jurisdictions translate evidence-based practices and research into simple strategies that (a) use principles from the health care industry of risk reduction and harm reduction; (b) adhere to the core values of the justice system¹; (c) hold offenders accountable; (d) can be implemented through small, incremental, and immediate action in lieu of waiting for a “big fix”; (e) produce tangible and meaningful outcomes; (e) can be monitored through a logic model that produces “clear and convincing evidence to guide further advancements in policy and practice;” and (f) ultimately lead to reductions in pretrial misconduct and recidivism.

The document articulates the following **core principles** to which the Framework adheres (see pp. 25-28):

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 (interactions occur between offenders and CJ professionals, between professionals, and between offenders) and systems are most effective when operating in a “value chain” in which each component of a system provides additive rather than duplicative or detracting value.
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.

Because the Framework subscribes to a “harm reduction philosophy [that] focuses more broadly on the overall and long-term health and welfare of the community,” its authors suggest that sites who wish to implement the Framework consider the following **performance measures** when evaluating success; a full list can be found on page 7 of this document.

- Increases in **public safety**, such as fewer released offenders arrested for new offenses; faster case processing times; fewer victims “re-victimized” by original perpetrators; and fewer reports of crime from “hot spots” involving either known offenders or new offenders;
- Improved **community wellness**, such as decreases in emergency-room admissions for crime-related and drug-related injuries; fewer child welfare interventions in families of offenders; and fewer jail and prison admissions for people with mental health issues;
- Increased **satisfaction with the criminal justice system**, such as increased number of offenders making restitution payments; increased victim cooperation with the justice system; and increases in the number of positive media reports about the justice system; and
- Improvements in the **social and fiscal costs of justice system interventions**, such as 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; and increases in court-imposed fees collected.

¹ The Framework identifies the following core values of the justice system: public safety; fairness; individual liberty; 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; and appreciation for differences in perspectives and practices across jurisdictions.

II. Overview of Phase II Site Activities

In the second phase of this initiative, NIC will select up to six jurisdictions (“seed sites”) that are interested in and well positioned to pilot the Framework. Once selected, seed sites will receive technical assistance (TA) for **approximately one year**; two of these sites will be selected for Phase III. Phase II **provides no direct funding** to seed sites, although all required travel is covered by NIC.

Phase II seed sites are expected to complete the following **activities**:

1. Identify a Local Initiative Coordinator

Each participating jurisdiction will identify an individual (~ 0.5 FTE) who can:

- Work closely with the site’s designated TA Site Coordinator and Independent Evaluators
- Serve as liaison between the TA Site Coordinator and staff of partner agencies
- Facilitate timely and accurate communications between all parties
- Organize and convene the policy team
- Support the work of subcommittees
- Collect data and information
- Prepare reports and presentations
- Document the team’s work
- Participate in conference calls with TA Site Coordinators and Local Initiative Coordinators and team members from the other seed sites

2. Convene a Policy Team

Each seed site will convene a multi-disciplinary policy team that will serve as the primary focal point of the technical assistance and, through active and ongoing engagement in the work of the initiative, serve as the stewards of the effort for the local community.

Once established, policy teams will meet as a full team on a routine basis (about once a month). These meetings will be planned and attended and/or facilitated by the TA Site Coordinator in close collaboration with the Local Initiative Coordinator. The policy team will have a specific set of initiative goals to accomplish during the course of these meetings and will be expected to develop a local work plan for the accomplishment of these goals – and progress toward achieving these goals – over the course of the Phase II period.

3. Develop and Work to Implement a Local System-Wide Vision of Risk/Harm Reduction

The policy team will collaboratively develop a single vision statement reflecting the outcomes the local criminal justice system seeks to achieve.

4. Build Awareness and Engagement among Policy Team Members and their Staff Regarding Evidence-Based Research and Decision Making

With the assistance of the TA Site Coordinator, activities will be designed and conducted – through training, coaching, and other methods – to enhance staff members’ knowledge, understanding, and support for evidence-based decision making and prepare agency staff for full pilot testing.

5. Develop Local Logic Models

Seed sites will be expected to develop locally-tailored logic models at the system, agency and case levels.

- *System-level:* Using the Framework logic model as a guide, the policy team will develop a system-level logic model specific to the local jurisdiction

- *Agency-level:* As a part of the process of engaging agency staff, policy team members and their staff will develop logic models for implementing evidence-based decision making at the agency level
- *Case-level:* With the involvement of both the Policy Team and representatives of staff from varying levels of participating agencies, a case-level logic model will be developed in each local jurisdiction. Once developed, the Policy Team and agency representatives will pilot this model against a variety of test cases.

6. Assess Capacity for Data Collection and Analysis and Gather Baseline Data

With the support of technical assistance, participating jurisdictions will assess their capacity to collect and analyze data across agencies in support of measuring specific risk and harm reduction performance measures. Methods to enhance capacity in this regard will be identified.

7. Develop a Local Criminal Justice System “Scorecard”

With the support of technical assistance, each seed site will develop a scorecard reflecting key system wide performance measures that will support the demonstration of risk and harm reduction over time. This scorecard will form the basis of the outcome evaluation for those sites participating in Phase III as well as communication efforts designed to promote community engagement.

Seed sites can expect the following **outcomes** and **work products** in Phase II:

Expected Outcomes

- Establishment (or enhancement) of a true and meaningful collaborative partnership among the local criminal justice system’s stakeholders;
- Development of a shared philosophy and vision for the local criminal justice system;
- Enhanced capacity to collect and analyze data that will support ongoing analysis of the effectiveness of current and future policies, practices and services that contribute to risk and harm reduction;
- Increased understanding of research-based risk and harm reduction strategies and system-wide investment and engagement by stakeholders and staff in effectively implementing these strategies;
- Jurisdiction-specific tools designed to assist in implementation of evidence-based decision making at the system, agency, and case levels;
- Opportunities for peer-to-peer exchanges with other seed sites; and the
- Opportunity to be among two jurisdictions selected to participate as pilot sites in Phase III of this initiative.

Expected Products

- A work plan for accomplishing the goals of the initiative.
- A vision statement for the local criminal justice system.
- System, agency, and case-level logic models.
- A detailed plan for the collection and analysis of risk and harm reduction measures and a strategy to use these data to continually improve outcomes.
- A system wide scorecard and a strategy for the use of this information to communicate with and engage the public and justice system stakeholders in the ongoing advancement of justice system outcomes, and monitor these outcomes over time.

III. Overview of the Application to be a Phase II Site

The length of the application may not exceed 15 pages of double spaced text, not including the cover letter and the statements submitted by policy team members. Attachments of supplemental material may be included but are not to exceed five pages.

Applicants must demonstrate...

1. Appropriate Selection of a Local Initiative Coordinator and Policy Team

- Identify the name, title, agency, qualifications and rationale for the selection of the proposed Local Initiative Coordinator and the percentage of an FTE (NIC recommends 0.5 FTE) that will be dedicated to this role.
- Identify specific individuals who will compose the multi-disciplinary policy team by name and title along with an explanation for their selection. Although the application does not name any specific agencies that should participate, the Framework suggests the inclusion of “the chief judge, court administrator, elected prosecutor, chief public defender and representative of the private defense bar, administrator of the community corrections agency, police chief and elected sheriff, pretrial administrator, victim advocates, local elected officials, service providers, and community representatives.”

2. Commitment and Ability to Implement the Framework

- Demonstrate the interest and commitment of each policy team member by including a statement of interest by each member of the team. These individuals should reflect on the elements of the Framework – its essential components and potential outcomes – and discuss two issues in a one page submission. This one page (per person) submission must address the member’s personal interest in the initiative and his or her agency’s interest in the initiative.
- Provide evidence that a truly collaborative climate exists among policy team members. The applicant should provide convincing evidence of the policy team’s willingness and ability to work closely together in a genuine, deliberative process toward a set of agreed upon outcomes while being realistic about the challenges and opportunities of such an approach. Applicants should provide a rationale for concluding that these challenges can be and are worth overcoming.
- Demonstrate recognition that this approach, if effective, is not a fixed-time endeavor but a permanent change in business practice.
- Provide information and/or evidence to demonstrate that the proposed policy team members are prepared to make a commitment to meet on a regular basis to undertake the work of the initiative; to participate in the initiative kick-off meeting in October 2010; and to attend other related conference calls/gatherings.
- Provide a description of the jurisdiction’s data collection/analysis system and the ways in which data are currently used to assess and enhance the effectiveness of policies and practices. Weaknesses in the data system must be candidly described along with proposed strategies for addressing these weaknesses. Applicants must demonstrate an understanding of the strengths, weaknesses, and current and potential uses of cross-agency data. The collection of baseline data is possible without significant changes to or investment in the data system(s).

3. Past and Current Commitment to Evidence-Based Practices

- Provide information to demonstrate:
 - Past and current efforts to build awareness of evidence-based practices within and across agencies;
 - Past and current efforts to implement research-supported practices
 - utilizing evidence-based interventions when risk reduction is a goal;
 - employing collaborative decision making processes;
 - using empirically-based risk/needs assessment instruments;
 - matching interventions to offenders' assessed level of risk to reoffend;
 - using research-supported interventions designed to reduce offender misconduct and recidivism;
 - establishing and monitoring performance benchmarks);
 - Current readiness on the part of the proposed policy team members to further identify and implement research-supported policies and practices that are grounded in risk/harm reduction research and to fully engage all staff in this endeavor; and
 - Consideration and identification of methods that could be used to promote awareness and genuine engagement of staff at the direct service level within and across agencies.
- Provide information to demonstrate an understanding of the uses of logic models as a tool to guide structured processes and to support data collection and analysis. The applicant should describe the ways in which logic models have been used or are currently in use to support decision making processes. Applicants must demonstrate that the policy team has reviewed the Framework logic model and understands the use of such a model in carrying out local justice system policies and practices at the system, agency and case levels.

4. Understanding of the Framework

- Provide information to indicate that the applicant understands the core purposes of the Framework; can produce a system-wide vision statement, including the challenges associated with its development, its benefits, and potential uses; and is willing to adhere to the four principles of the Framework. **See page 1 of this document.**
- Review the risk and harm reduction measures outlined in the Framework; identify the specific measures of value to the team; and indicate how the jurisdiction would propose to collect and use the data derived from these measures. **See page 7 of this document.**
- Demonstrate sufficient interest in the Framework's risk and harm reduction measures, and provide sufficient information to demonstrate that an established process/mechanism for the collection and analysis of risk/harm reduction data exists to support a long-term process and outcome evaluation.

5. A Track Record of Success (optional)

Applicants may include additional information, such as:

- Evidence of the jurisdiction's ability to leverage local resources (e.g., funding from local private foundations, local/state/federal funds, research support from local universities or other sources).
- Demonstrated impact from participation in similar efforts in the past
- Previous experience with meaningful public engagement efforts.
- Support from state government and/or state-level organizations/associations in local initiatives/efforts.

**** Suggested Public Safety Performance Measures****

Applicants must review the following list of risk and harm reduction measures outlined in the Framework; identify the specific measures of value to the team; and indicate how the jurisdiction would propose to collect and use the data derived from these measures.

Increases in public safety

- reduced physical, psychological, and economic harm to primary victims;
- fewer released offenders 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.

Improved community wellness

- decreased number of drug/alcohol-related traffic accidents;
- fewer drug/alcohol-related traffic 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.

Increased satisfaction with the criminal justice system

- increased number of victims satisfied with the justice system’s responses;
- increased number of offenders making restitution payments;
- increased victim cooperation with the justice system;
- increased cooperation of the public with the criminal 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.

Improvements in the social and fiscal costs of justice system interventions

- 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.

National Institute of Corrections

announces

The Evidence-Based Decision Making in Local Criminal Justice System Initiative: Phase II Site Selection

INTRODUCTION

As we stand at the beginning of a new decade, justice system professionals are challenged by the rising costs of corrections, 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, NIC launched the Evidence-Based Decision Making in Local Criminal Justice Systems initiative. In doing so, we sought to encourage and facilitate advancements in our 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, effective and efficient. 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 proscribe implementation in precisely the same way in every community, it is not a model. It is instead intended to frame a purpose, articulate principles and propose 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.

**EXCERPT BY MORRIS THIGPEN, DIRECTOR, NATIONAL INSTITUTE OF CORRECTIONS
FROM: A FRAMEWORK FOR EVIDENCE-BASED DECISION MAKING IN LOCAL CRIMINAL JUSTICE SYSTEMS (2010)**

BACKGROUND: THE EVIDENCE-BASED DECISION MAKING IN LOCAL CRIMINAL JUSTICE

SYSTEMS INITIATIVE

Overview of Phase I

In June 2008, the National Institute of Corrections (NIC) awarded the Center for Effective Public Policy, in partnership with the Pretrial Justice Institute, The Justice Management Institute, and The Carey Group, a cooperative agreement to address "Evidence-Based Decision Making in Local Criminal Justice Systems." The goal of the initiative was to build a system wide framework (arrest through final disposition and discharge) that would, when implemented, result in more collaborative, evidence-based decision making and practices in local criminal justice systems. The initiative is grounded in two decades of research on the factors that contribute to criminal reoffending and the methods the justice system can employ to interrupt the cycle of reoffense, and seeks to equip criminal justice policymakers in local communities with the information, processes, and tools that will result in measurable reductions in pretrial misconduct and post-conviction reoffending.

The principle product of Phase I of the initiative was a document entitled *A Framework for Evidence-Based Decision Making in Local Criminal Justice Systems* ("the Framework"). The Framework describes key criminal justice decision points and evidence-based knowledge about effective justice practices. It defines risk and harm reduction as key goals of the criminal justice system and begins to lay out practical local level strategies for applying these principles and techniques. The Framework is located at: <http://www.cepp.com/EBDM.OneLess/>.

NIC's intent in Phase I was to build a framework that could be tested and refined in subsequent phases.

Overview of Phase II

In the second phase of this initiative, NIC – and its collaborating partner the Office of Justice Programs (OJP) – will select up to six jurisdictions (hereafter, "seed sites") that are interested in and well positioned to pilot the Framework. Once selected, seed sites will receive technical assistance (TA) over approximately one year's time to prepare for full pilot testing and evaluation of the Framework in Phase III (see below).

While no direct funding will be provided to jurisdictions selected to participate in the initiative, seed sites will receive the benefit of technical assistance from a team of providers with expertise in evidence-based decision making, management, and operations in all facets of the criminal justice system (i.e., NIC, OJP, and its consortium of providers – the Center for Effective Public Policy, Pretrial Justice Institute, The Justice Management Institute, and The Carey Group – and others as may be needed). Each seed site will be provided an identified TA Site Coordinator who will serve as the sites' liaison, primary facilitator, and broker for technical assistance. Phase II is anticipated to be of a one-year duration.

Interested applicants are strongly encouraged to carefully review the Framework at

<http://www.cepp.com/EBDM.OneLess/>

Applicants will be required to indicate their understanding of and commitment to implementing the concepts in the Framework through the application process.

Seed sites will be required to participate in the initiative's evaluation components, which will be conducted by third-party organizations and designed to document and evaluate the effectiveness of the TA delivery methods and assess each site's readiness to participate in a rigorous impact evaluation during Phase III (for selected sites).

Seed Site Activities

Each seed site's TA Site Coordinator will be actively involved in the site's work and will provide support designed to position the jurisdiction to successfully pilot the Framework in Phase III. Shortly following site selection (anticipated in late August 2010), the designated TA Site Coordinator will conduct an initial site visit to support the establishment of a multi-disciplinary, collaborative team (if one does not currently exist), clarify goals and expectations of Phase II, prepare the team to participate in the initiative's kick-off workshop, and allow the TA Site Coordinator an opportunity to become familiar with the site and key stakeholders.

Key representatives from all seed site teams will be expected to attend a 2-day initiative kickoff workshop in October 2010.¹ Participation is mandatory and for this reason applicants are required to indicate their availability to attend. The meeting's location is yet to be determined, therefore applicants should plan to be available the day before/after the workshop, should the final location require cross-country travel. The purpose of the workshop is to lay the substantive groundwork for the sites' work; establish clear expectations for Phase II; discuss the Phase III opportunity; provide opportunities for intensive, foundational team work (e.g., ground rules, vision, justice system goals, work planning); and establish a working network among the selected sites as well as between those from the same discipline (i.e., prosecutors, judges, etc.). Travel costs related to the seed sites' participation will be supported by NIC.

Thereafter, seed sites will engage in a set of specific activities designed to lay the groundwork for Phase III pilot testing. These activities are described in greater detail under "Seed Site Expectations, Submission Requirements, and Site Selection Criteria."

The initiative kick-off workshop will be held in October 2010. Key representatives from all selected teams are required to participate.

Overview of Phase III²

While participating in Phase II is a requirement for participation in Phase III, participation in Phase II does not guarantee a site's selection for pilot testing in Phase III. Prior to the conclusion of Phase II, at least two seed sites will be selected to continue their work with NIC and its partners in Phase III.³ These sites will be expected to fully implement the Framework and participate in a long-term process and outcome evaluation. Selection will be based upon several factors, including:

- ✓ The conditions in the local jurisdiction supportive of participating in Phase III (e.g., stability of local leadership, strength and commitment of the policy team, level of collaboration, readiness of stakeholders and their staff to participate in the pilot);
- ✓ The jurisdiction's ability to collect, aggregate and analyze data systemwide, and capacity to participate in a long-term (i.e., 3 years) process and outcome evaluation designed to assess a set of established risk and harm reduction measures; and
- ✓ The likelihood that the jurisdiction's activities will result in both risk and harm reduction outcomes.

¹ The specific dates for this workshop will likely be announced during the informational WebEx referenced later in this document.

² This section is for informational purposes only. Interested applicants must prepare applications for Phase II selection based on the criteria presented under "Seed Site Expectations, Submission Requirements, and Site Selection Criteria." Criteria for Phase III selection will be described in greater detail at a later point in time.

³ Seed sites not selected to participate in Phase III may nonetheless be eligible for ongoing technical assistance.

SEEKING APPLICATIONS FROM LOCAL JURISDICTIONS INTERESTED IN PARTICIPATING IN PHASE II OF THE INITIATIVE

Applications are being sought, on a competitive basis, from local jurisdictions (see below, Eligibility) interested in working collaboratively with NIC and its partners to develop the capacity to test the Framework in Phase II of this initiative and position themselves for possible selection for full implementation of the Framework in Phase III. Applicants (including all proposed members of seed site policy teams) are STRONGLY URGED to review carefully all aspects of the Framework and to use its contents to determine if the local community is well suited for participation in this initiative.

The following information is provided to indicate, as clearly as possible, the work seed sites will be expected to undertake, the general submission requirements for applicants, and the criteria that will be used to determine whether applicants are well positioned to participate in the initiative. Submission requirements are not framed proscriptively. Rather, this application kit is intended to identify the characteristics of the systems, agencies, teams and individuals that would participate in this initiative and to allow for flexibility and creativity in terms of how applicants might address those requirements.

Eligibility

Teams of local criminal justice public sector agencies (and, potentially, their public and private sector partners) at the county and/or city level are eligible to participate in this initiative.

Length

Applications must not exceed 15 double-spaced pages (one inch margins), not including the cover letter and not including the one page individual submission requirement by proposed policy team members detailed under #2, *Establish a Policy Team* (below). An attachment to the application of up to 5 pages in length (single or double spaced) to provide supportive, illustrative material is also allowed. Additional or longer attachments will not be reviewed.

Seed Site Expectations, Submission Requirements, and Site Selection Criteria

1. *Identify a Local Initiative Coordinator.*

- a. **Expectation:** Each participating jurisdiction will identify an individual to lead the local effort. The Local Initiative Coordinator will be expected to perform such duties as working closely with the site's designated TA Site Coordinator, organizing and convening the policy team, facilitating timely and accurate communications between all parties, collecting data and information, supporting the work of subcommittees, preparing reports and presentations, documenting the team's work, serving as liaison between the TA Site Coordinator and staff of the various justice system agencies, preparing meeting agendas, participating in conference calls with TA Site Coordinators and Local Initiative Coordinators and team members from the other seed sites, facilitating meetings, and working with the initiative's independent evaluators.
- b. **Submission Requirements:** Applicants must identify the name, title, agency, qualifications and rationale for the selection of the proposed Local Initiative Coordinator and the percentage of an FTE that will be dedicated to this role.
- c. **Selection Criteria:** An individual with the appropriate role, credibility, expertise, and time (i.e., estimated to be the equivalent of one half of a full-time position) is identified to serve as the Local Initiative Coordinator throughout the duration of the initiative (i.e., 1-3 years).

2. *Establish a Policy Team:*

- a. **Expectation:** Each seed site will convene a multi-disciplinary policy team where such a team does not already exist. This team will serve as the primary focal point of the technical

assistance and, through active and ongoing engagement in the work of the initiative, serve as the stewards of the effort for the local community.

- b. **Submission Requirements:** The specific individuals who would compose the proposed policy team must be identified by name and title along with an explanation for their selection for inclusion on the policy team. Evidence that a truly collaborative climate exists among these stakeholders must be provided along with evidence of proposed team members' willingness to develop all aspects of the initiative as described in the Framework and this solicitation. Further, demonstration of the interest and commitment of each proposed policy team member must be provided through the submission of the following by each proposed policy team member.

- i. **Statement of Interest to Serve on the Local EBDM Framework Policy Team:** The EBDM Framework initiative is designed to reduce the risk of pretrial misconduct, post-conviction reoffense, and to reduce the harm caused to communities by crime. The work of implementing the Framework will require a deep commitment – by policymakers, their colleagues, agency staff and the jurisdiction as a whole – to the harm and risk reduction outcomes it is designed to achieve. Those who would serve on the proposed policy team are challenged to reflect on the elements of the Framework – its essential components and potential outcomes – and discuss two issues in a one page submission personally prepared by each individual proposed to be on the policy team (including the Local Initiative Coordinator). This one page (per person) submission must address the following:

- 1. **Your Personal Interest in this Initiative.** In one-half of a page, tell us why you *personally* want to participate in this initiative. What is it about the initiative that would compel you to invest your valuable time in this work?
 - 2. **Your Agency/Entity's Interest in this Initiative.** As described in the Framework, true system change requires leadership from key policymakers; commitment throughout all levels of justice system organizations, and policy and practice alignment. In one-half of a page, tell us the ways in which you would propose to engage your colleagues (if in a non-hierarchical agency/entity) or staff (in hierarchical agencies/entities) in this initiative, and why you believe *they* would be interested in this initiative.

- c. **Selection Criteria:** The applicant proposes a policy team that is sufficiently inclusive and comprehensive to meet the goals of the initiative (i.e., preference will be given to applicants who propose policy teams that reflect a strong commitment from the leadership of all relevant criminal justice agencies, as well as county/city council/commissions). Proposed team members demonstrate their and their agency's interest in and desire to participate in the initiative.

3. ***Convene the Policy Team on a Regular Basis:***

- a. **Expectation:** Once established, it is anticipated that policy teams will meet as a full team on a routine basis. These meetings will be planned and attended and/or facilitated by the TA Site Coordinator in close collaboration with the Local Initiative Coordinator. The policy team will have a specific set of initiative goals to accomplish during the course of these meetings (some of which are detailed within this application kit), and will be expected to develop a local work plan for the accomplishment of these goals – and progress toward achieving these goals – over the course of the Phase II initiative period (approximately 12 months). It is expected that the work process and products will be jointly shared by all of the members of the policy team and that these will be incorporated into a logic model intended to produce measurable outcomes.

- b. *Submission Requirements:* The applicant provides information and/or evidence to demonstrate that the proposed policy team members are prepared to make a commitment to meet on a regular basis to undertake the work of the initiative; to participate in the initiative kick-off meeting in October 2010; and other related conference calls/gatherings. Further, the applicant identifies, with candor, the challenges they expect to encounter as they work together on this initiative, and their rationale for concluding that these challenges can be and are worth overcoming.
 - c. *Selection Criteria:* The applicant provides convincing evidence of the policy team's willingness and ability to work closely together in a genuine, deliberative process toward a set of agreed upon outcomes, but is realistic regarding both the challenges and opportunities of such an approach. The applicant demonstrates recognition that this approach, if effective, is not a fixed-time endeavor but a permanent change in business practice.
4. ***Develop and Work to Implement a Local System-Wide Vision of Risk/Harm Reduction:***
- a. *Expectation:* The policy team will collaboratively develop a single vision statement reflecting the outcomes the local criminal justice system seeks to achieve.
 - b. *Submission Requirements:* The applicant provides information to indicate their understanding of the core purposes of the Framework; of a system-wide vision statement, including the challenges associated with its development, its benefits, and potential uses; and the policy team's willingness to adhere to the four principles of the Framework.
 - c. *Selection Criteria:* The applicant provides convincing evidence of the jurisdiction's desire to develop and align policy and practice around a system-wide vision of risk and harm reduction.
5. ***Build Awareness and Engagement among Policy Team Members and their Staff Regarding Evidence-Based Research and Decision Making:***
- a. *Expectation:* With the assistance of the TA Site Coordinator, activities will be designed and conducted – through training, coaching, and other methods – to enhance staff members' knowledge, understanding, and support for evidence-based decision making⁴ and prepare agency staff for full pilot testing.
 - b. *Submission Requirements:* Applicants must provide information to demonstrate efforts to date to build awareness of evidence-based practices within and across agencies; to implement research-supported practices (e.g., utilizing evidence-based interventions when risk reduction is a goal; employing collaborative decision making processes; using empirically-based risk/needs assessment instruments; matching interventions to offenders' assessed level of risk to reoffend; using research-supported interventions designed to reduce offender misconduct and recidivism; establishing and monitoring performance benchmarks); and evidence of the jurisdiction's readiness to further identify and implement research-supported practices. Applicants must consider and identify the methods they believe would be ideal to promote awareness and genuine engagement of staff at the direct service level within and across agencies in their communities.
 - c. *Selection Criteria:* Clear and convincing evidence is provided to demonstrate readiness and willingness on the part of the proposed policy team members to implement policies and practices that are grounded in risk/harm reduction research and to fully engage all staff in this endeavor.

⁴ In hierarchical organizations/entities, this process will begin with managers and supervisors and, through successive events, engage a sub-set of non-managerial staff. The process will be different but equally inclusive for non-hierarchical organizations/entities.

6. Develop Local Logic Models:

- a. Expectation: Seed sites will be expected to develop locally-tailored logic models at the system, agency and case levels.
 - i. System-level: Using the Framework logic model as a guide, the policy team will develop a system-level logic model specific to the local jurisdiction.
 - ii. Agency-level: As a part of the process of engaging agency staff, policy team members and their staff will develop logic models for implementing evidence-based decision making at the agency level.
 - iii. Case-level: With the involvement of both the Policy Team and representatives of staff from varying levels of participating agencies, a case-level logic model will be developed in each local jurisdiction. Once developed, the Policy Team and agency representatives will pilot this model against a variety of test cases.
- b. Submission Requirements: The applicant provides information to demonstrate an understanding of the uses of logic models as a tool to guide structured processes and to support data collection and analysis. The applicant describes the ways in which logic models have been used or are currently in use to support decision making processes.
- c. Selection Criteria: The applicant provides evidence to demonstrate that the policy team has reviewed the Framework logic model and understands the use of such a model in carrying out local justice system policies and practices at the system, agency and case levels.

7. Assess (and as needed, augment) Capacity for Data Collection and Analysis and Gather Baseline Data:

- a. Expectation: With the assistance of technical assistance, participating jurisdictions will assess their capacity to collect and analyze data across agencies in support of measuring specified risk and harm reduction performance measures. Methods to enhance capacity in this regard will be identified.
- b. Submission Requirements: Applicants must provide a description of the jurisdiction's data collection/analysis system and the ways in which data are currently used to assess and enhance the effectiveness of policies and practices. Weaknesses in the data system must be candidly described along with proposed strategies for addressing these weaknesses.
- c. Selection Criteria: The applicant provides sufficient information to demonstrate an understanding of the strengths, weaknesses, and current and potential uses of cross-agency data. The collection of baseline data is possible without significant changes to or investment in the data system(s).

8. Develop a Local Criminal Justice System "Scorecard":

- a. Expectation: With the support of technical assistance, each seed site will develop a scorecard reflecting key system wide performance measures that will support the demonstration of risk and harm reduction over time. This scorecard will form the basis of the outcome evaluation for those sites participating in Phase III as well as communication efforts designed to promote community engagement.
- b. Submission Requirements: The proposed policy team members must review the risk and harm reduction measures outlined in the Framework; identify the specific measures of value to the team; and indicate how the jurisdiction would propose to collect and use the data derived from these measures.
- c. Selection Criteria: The applicant demonstrates sufficient interest in the Framework's risk and harm reduction measures, and provides sufficient information to demonstrate that an established process/mechanism for the collection and analysis of risk/harm reduction data exists to support a long-term process and outcome evaluation.

- ✓ Increased understanding of research-based risk and harm reduction strategies and system wide investment and engagement by stakeholders and staff in effectively implementing these strategies;
- ✓ Jurisdiction-specific tools designed to assist in implementation of evidence-based decision making at the system, agency, and case levels;
- ✓ Opportunities for peer-to-peer exchanges with other seed sites; and the
- ✓ Opportunity to be among two jurisdictions selected to participate as pilot sites in Phase III of this initiative.

SEED SITE APPLICATION PROCESS AND TIMELINE

Applications from interested jurisdictions will be reviewed on a competitive basis. Applicants are strongly urged to thoroughly review the Framework, this application kit, to participate in a WebEx conference to clarify the initiative's expectations, and to complete and submit an application only if leadership has a strong commitment to the initiative and its potential outcomes.

Important Dates

- ✓ NIC will host a two-hour informational WebEx conference on June 23, 2010 from 1:00 to 2:30 pm EDT for those with a serious intent to respond to this solicitation. Potential applicants will have the opportunity to ask questions about the initiative, the work to be performed, and the application requirements. To register to participate in the WebEx conference, send an email to Lori Eville (leville@bop.gov) by 12 noon EDT on Monday, June 21, 2010.
- ✓ Applications are due on July 15, 2010 by 5 pm EDT.
- ✓ Top ranking applicants may receive follow-up information inquiries by telephone or email. Follow-up inquiries can be expected as early as July 16, 2010.
- ✓ All top ranking applicants should expect a 1-2 day site selection visit by representatives from NIC, OJP, and the TA provider team. These visits are anticipated to occur between mid-July and mid-August 2010. To the extent possible, the availability of the full policy team during site selection visits is preferred.
- ✓ Final selection decisions are anticipated on or around August 20, 2010.

Applications must be received by 5 p.m. (EDT) on Thursday, July 15, 2010

10 copies of the application must be mailed to:

Rachelle Giguere, Program Associate
Center for Effective Public Policy
8403 Colesville Road, Suite 720
Silver Spring, MD 20910
Phone: 301-589-9383

Further Information

For further information about the Evidence-Based Decision Making in Local Criminal Justice Systems initiative, the Framework, or this selection process, please contact:

Lori Eville, Correctional Program Specialist
National Institute of Corrections, Community Corrections Division
320 First Street, NW, Room 5007
Washington, DC 20534
Phone: (202) 616-2848
Fax: (202) 307-3361
Email: leville@bop.gov