



CSOSA

CSOSA FY19 Annual Performance Report and FY21 Annual Performance Plan

February 10, 2020

This report describes CSOSA's progress in developing and operationalizing performance indicators comprising the Agency's FY18–22 Strategic Goals, summarizes Agency performance using our FY14–18 goals and describes key priorities for FY21. During FY19, CSOSA performed at or above 90 percent of its target on 15 out of 18 (83%) of its performance goals, exceeding targets for 10 goals. The Agency realized gains on six performance goals, took notable steps to improve processes hindering performance in other areas and, for the first time since FY16, exceeded the target on our measure of successful completion of supervision. For FY21, the Agency has identified priority goals related to performance measurement, risk assessment, and program alignment with offender needs.

The Court Services and Offender Supervision Agency (CSOSA) established four Strategic Goals for the FY18–22 strategic planning period:

Strategic Goal 1: Reduce recidivism by targeting criminogenic risk and needs using innovative and evidence-based strategies.

Strategic Goal 2: Integrate offenders into the community by connecting them with resources and interventions.

Strategic Goal 3: Strengthen and promote accountability by ensuring offender compliance and cultivating a culture of continuous measurement and improvement.

Strategic Goal 4: Support the fair administration of justice by providing timely and accurate information to criminal justice decision-makers.

The first conceptualizes reducing recidivism by targeting needs that are both known to vary directly with criminality and are amenable to treatment. The second addresses factors associated with achieving and sustaining the impact of our recidivism-reduction efforts. The third reflects our commitment to holding ourselves accountable for providing supervision and intervention services as intended, effecting offender change, and ensuring offender adherence to release

conditions. The fourth reflects our responsibility to uphold justice and provide timely and accurate information to criminal justice decision-makers.

CSOSA measures progress on its Strategic Goals through its suite of performance goals and indicators and, during FY19, made considerable progress on their development.

For its FY18–22 Strategic Plan, CSOSA developed a more effective performance management system. There are several key features to effective performance management systems. First, they include a variety of measure types (e.g., input, output, outcome) and specificity (e.g., raw, statistic, ratio, rates) that cover all major service and program areas. Balanced and comprehensive measures allow organizations to assess different components of their business practices, such as the impact activities have on the mission and the duration of time taken to complete those activities. Metrics are also reflective of what the organization is intending to measure (i.e., valid) so their connection to the mission is evident. They are objective, precise and dependably measured to ensure results can be compared over time (i.e., reliable). Meaningful and result-focused metrics allow an organization to determine progress towards their strategic goals and objectives. Finally, effective performance management systems tie specific and repeatable actions to observed results. Such actionable metrics provide senior leaders with clear direction on changes that are expected to have a positive impact on success.

Historically, CSOSA measured performance on Agency goals using measures limited to activities for which data were readily available, focusing on the timely completion of those activities. The limited scope of our measures—in terms of both balance and comprehension—impacted our ability to reflect upon the efficiency of our processes or the impact of our work. CSOSA’s FY18–22 performance management system consists of a greater balance of the various types of performance metrics. These include:

Input/workload measures, which quantify work being completed, and results from which will inform decisions about Agency staffing. They also help explain other performance results. Inputs, such as raw counts of assessments completed, program evaluations in progress, and sanctions and incentives administered, will be routinely tracked in our new performance measurement system, allowing the Agency to quantify workload and inform resource allocations;

Output measures, like the number of products or services delivered within a specified time frame, are tracked because they are expected to produce outcomes. Two new output measures for FY18–22, for example, are offender attendance and participation in behavioral interventions. These measures will not tell us about the intervention outcomes, per se, but

we monitor them because we expect higher attendance and participation rates to be directly related to improved behavioral outcomes (e.g., reduced recidivism);

Efficiency/Productivity measures, which quantify work completed, at what rate, and at what effort. For FY18–22, CSOSA will track durations to placements in interventions, completion of risk and needs assessments, implementation of recommendations stemming from evaluation results and other activities to inform policy surrounding such tasks; and

Outcome measures, which reflect both intermediate (e.g., completion of a behavioral intervention) and long-term (e.g., reduction in the category of a need a program targets) outcomes of the Agency’s work. An *intermediate* outcome is a critical result that must occur in order to reach the higher-level, *end* outcome. These measures are important in that they reflect the consequence or result of the Agency’s output and can either validate or inform changes to procedures.

CSOSA also expanded its performance portfolio for FY18–22 to be comprehensive of mission-critical activities. This included developing indicators related to program evaluation, as well as additional measures associated with treatment impact, the usage of recommendations made in offender assessment reports, and the impact of re-entry events and service agreements on the offender population.

CSOSA’s new performance measurement system is considerably more results-focused than its predecessor. The Agency recognized the importance of measuring outcomes as a means of determining the impact of its supervision program. Most notably, CSOSA developed several new outcome measures to detect small, incremental changes in offender behavior that may be indicative of recidivism. These new indicators allow the Agency to monitor changes in risk and needs scores, changes in the duration between arrests, fluctuations in offense severity and specialization, and changes in the frequency and variety of illicit drug use. Continuous monitoring of these indicators will allow the Agency to respond promptly to issues affecting offenders, adjusting supervision as needed, to positively impact recidivism.

Ensuring the validity and reliability of measures is an important component of effective performance systems. Previously, CSOSA’s goals were measured using data extracted from the Agency’s transactional database, the Supervision & Management Automated Record Tracking (SMART) system, with a handful of performance results reported directly from the Agency’s program offices. This not only limited what could be measured, but also impacted the objectivity of the Agency’s reporting. To address our data limitations, CSOSA’s ORE developed new data

collections that will allow for measuring constructs we were previously unable to measure, as well as develop several indicators to measure each performance goal. In addition, the ORE partnered with our business units to gain direct access to performance-relevant elements of their data holdings to eliminate the need for program offices to extract those data from their data systems and report out on their own performance. Incorporating these data into a more formal data governance structure will ensure consistency in availability and objectivity of reporting.

In addition to improving the breadth of our performance metrics and data sources, CSOSA has reconceptualized the way we determine performance scores. Many of the measures in our FY14–18 strategic plan were binary measures capturing the timeliness of activities or outputs. These measures awarded *full* credit for activities completed on time and *no* credit for those that were even slightly late. For FY18–22, our scoring method will allow for diminishing credit for activities completed after policy-based deadlines where applicable. In addition, performance scores will be calculated to allow for more precision in identifying improvement areas if and when we fall short of performance targets. In the Agency’s new performance management system, scores from two or more observable indicators will be combined to estimate scores for Performance Goals. These scores are subsequently combined to estimate performance for our Strategic Objectives. Ultimately, these scores are “rolled up” to estimate performance for the Strategic Goals. Should the Agency fail to meet a target on a Strategic Goal, it can be disaggregated into its components to identify which indicator or indicators are posing the greatest challenge, thus providing actionable insight to inform remediation.

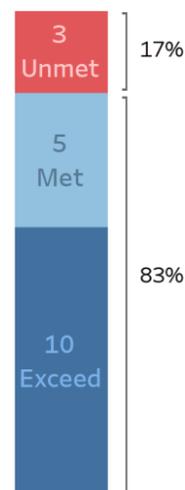
The increased scope and balance of CSOSA’s performance metrics, measured objectively with valid and reliable data, will allow CSOSA to meaningfully detect performance issues. We will not only be able to assess what processes are working, but also assess whether or not they are having their intended effect. Efficiency measures will allow the Agency to assess if processes are working as well as they should, or if there are areas for improvement. Further measuring each Strategic Goal using several latent constructs of varying types will allow Agency leadership to clearly identify problematic areas and provide remedies for addressing issues so we can focus on continued organizational improvement.

To date, CSOSA has operationalized approximately half of its performance indicators. They are currently under review by Agency staff to ensure accuracy and validity. Several more are in development. CSOSA expects to report externally on these measures in the upcoming performance year. Meanwhile, the ORE continues to track many of its performance goals from FY14–18, and results are reported in the following section.

FY19 Performance

In FY19, CSOSA reached at least 90 percent of the target on 83% of its performance goals (see, Figure 1). Figure 2 contrasts the Agency's FY18 and FY19 performance. For each goal, a gray horizontal bar shows the performance threshold (i.e., 90% of target), and a second, colored horizontal bar displays the observed level of performance the Agency achieved as dark blue, light blue, or red conditional on whether the Agency exceeded, met, or fell short of its 90 percent performance threshold, respectively. The Agency's target for each goal is shown by a gold vertical line.

Figure 1. Across 18 performance goals, CSOSA met or exceeded its 90 percent performance threshold on 83 percent of its goals. The Agency reached the 90 percent performance threshold on 5 (28%) of its goals and exceeded the performance target on 10 (56%).



Compared to the previous year, the Agency improved on six performance goals, including measures related to AVR submission following rearrests and absconsion, Transitional Investigation for Parole Supervision (TIPS) report submissions, placement of high-risk offenders in behavioral interventions, successful completions of both interventions and supervision. The Agency failed to achieve its target on three performance goals. These relate to the timely completion of initial risk assessments, accountability tours conducted jointly with officers from DC's Metropolitan Police Department (MPD), and submission of Annual Progress Reports to the United States Parole Commission (USPC).

Responding swiftly and certainly to offender noncompliance is one of the Agency's strategic priorities, but decisions regarding an offender's continued supervision in the community in light of serious (e.g., rearrest or absconsion) or continued noncompliance (despite the Agency's efforts to restore compliance) are made by the offender's releasing authority (e.g., DC Superior Court or the USPC). To facilitate prompt decisions, the Agency submits an AVR to inform the releasing authority of an offender's dissenting behavior. In FY19, CSOSA realized gains on measures related to submission following rearrests and absconsion. In FY18, 67 percent of AVRs for rearrests were submitted timely—a nearly 20 percentage point increase from FY17. The Agency built upon those gains during FY19 when 73 percent of AVRs for rearrests were timely. Over the same time span, CSOSA also realized modest improvements on stronger baseline performance in the timeliness of its AVR submissions in response to offender absconsion. In FY18, 80 percent of such AVRs were timely and, in FY19, that percentage increased to 83 percent.

CSOSA Performance toward Targets, FY 2018 and 2019

Bar lengths show FY actual performance with colors encoding less than 90%, 90% to 100%, and 100% or more progress to target

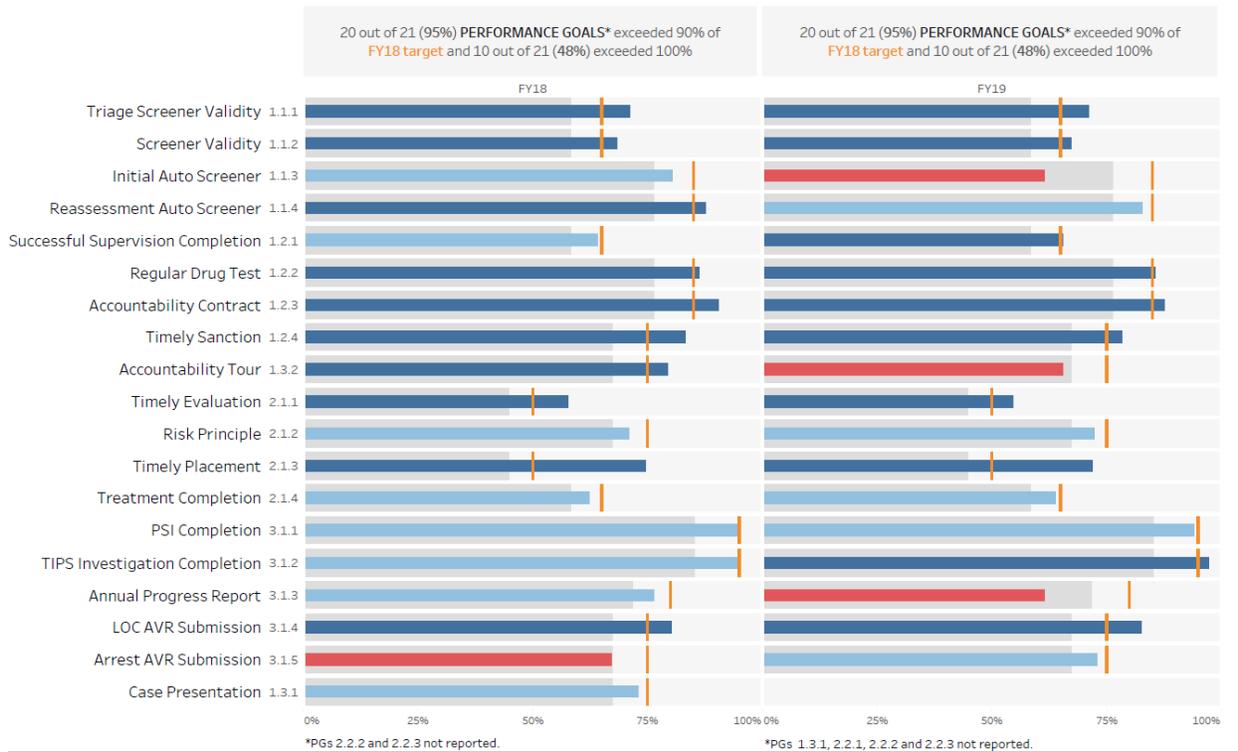


Figure 2. Overview of FY18 and FY19 performance.

The Agency also prepares reentry plans, known as TIPS reports, for offenders transitioning from prison directly to the community or through a Bureau of Prisons Residential Reentry Center. The reports are prepared up to six months prior to an offender’s release and include information about where the offender plans to reside, and identifies areas of need that may require referrals for behavioral interventions or support services. In FY18, CSOSA met its target of submitting 95 percent of TIPS reports on time; in FY19, it exceeded the target by completing 97 percent of reports on time.

CSOSA made improvements on two measures related to behavioral interventions: focusing resources on high-risk offenders and successful completions of interventions. In FY18, 71 percent of placements in behavioral interventions were made for high-risk offenders and, in FY19, this increased to 72 percent. In addition, the percentage of offenders completing behavioral interventions successfully increased from 62 percent in FY18 to 64 percent in FY19. For both measures, these modest improvements inched us closer to our performance targets.

Finally, CSOSA realized an increase in the percentage of supervision cases that closed successfully. Cases terminate successfully when an offender fulfills his or her conditions of release. For the first time since FY16, the Agency exceeded its target on that goal, with 66 percent of cases closing successfully.

The Agency also experienced some performance challenges during FY19. The largest of these was a 19 percentage point decrease in timely completion of initial risk assessments from 80 percent in FY18 to 61 percent in FY19. The decrease in performance likely is an unintended consequence of the integration of the Agency's Triage Screener model into its case management system. Utilizing data from existing administrative records, the Triage Screener provides an appropriate supervision level on the first day of supervision, and does not require an offender interview. Because this tool distinguishes high- from low-risk offenders at the start of supervision, the Agency is able to immediately direct resources to those posing a greater risk to public safety. Offenders are expected to be supervised at the level resulting from the Triage Screener until the full Auto Screener assessment is completed. Prior to the deployment of the Triage Screener and the integration of its results into the case management system, Community Supervision Officers (CSOs) had no model-based guidance on the risk of their offenders at the start of supervision and, thus, were motivated to complete the Auto Screener in a timely manner to establish an appropriate supervision level. With Triage Screener results now available at the start of supervision, the urgency to complete the full Auto Screener has diminished.

In FY19, the Agency also fell short of its target for completing accountability tours of high-risk offenders' residences, a category of home visit completed jointly with officers from the MPD. The Agency's performance, which exceeded the target in FY18, was 14 percentage points below the target in FY19. Some of this decline may be attributed to an operational change: Near the end of FY18, CSOSA shifted responsibility of completing accountability tours from supervision officers to the Rapid Engagement Team (RET). The transition resulted in some initial delays in completing these tours, which impacted performance during the first few months of FY19. The Agency has since issued clearer guidance regarding the new protocol, and performance has since improved from a low of 56 percent during the first quarter of FY19 to 65 percent during the final quarter.

A final challenge concerns the timeliness of Annual Progress Reports to the USPC, which include any recommendations the Agency may have to change the term or conditions of the offenders' supervision. A performance review in FY18 found that 20 percent of reports due to the USPC were never completed and recommended that the Agency work towards automating those reports. Resources have not yet been available for that work and performance on the measure has continued to decline. The deployment of new performance measures offering partial credit for activities completed after the policy-prescribed deadline will ensure that staff complete these reports in a more timely manner.

Overall, the Agency realized improvements on a number of performance goals: AVR submissions, TIPS report submissions, focusing behavioral interventions on high-risk offenders, and successful completions of both interventions and supervision—and setbacks on others: initial risk assessments, accountability tours, and progress reports. For those areas in which we have experienced challenges, we have implemented remedial actions to address the deficits and will continue to monitor progress on all of our performance goals.

FY21 Priorities

For FY21, CSOSA prioritized goals for further developing its performance measurement system, redesigning the processes and instruments used to assess offenders, and aligning program offerings with the needs of the supervised population. CSOSA made considerable progress with the development of its performance indicators during FY19 and is continuing that work in FY20.

One of the Agency's priorities for FY21 is to advance performance measurement by integrating and linking a larger share of the agency's existing data assets and, where necessary, creating new data collections to fill gaps in our holdings. Performance measures are fundamental inputs to decisions related to Agency performance improvement strategy, target setting, planning, and identifying operational and administrative priorities. During FY19, the Agency operationalized approximately half of its expanded suite of performance indicators and, in FY20, the Agency has prioritized operationalizing the remaining indicators for which data are currently available. There are, however, some measures we cannot currently operationalize, because they require either creating new linkages between existing data systems, or establishing new survey data collections. Linking or collecting the needed data and operationalizing these goals are among CSOSA's priorities in FY21.

CSOSA's program offices currently use many related, but independent, data systems to perform mission-critical functions. Historically, the ORE has relied on individual offices to provide aggregated information for performance reporting. This left the aggregates vulnerable to misinterpretation and forestalled the synergistic value created when records from separate systems are linked. During FY19, CSOSA's newly appointed Director mandated that the Chief Data Officer begin working with senior leaders in each of the component offices to coordinate means of granting direct access to the performance-relevant elements of their data holdings to the ORE. As access to new systems are granted and resources become available, the ORE will integrate and link the new assets within the Agency's Enterprise data warehouse. This work will continue from FY20 into FY21.

The Agency also plans two new survey data collections to augment its existing records. The first will include short pulse surveys of both supervised offenders and CSOs and is designed to

measure the quality of the officer-offender relationship, the officers' perceptions of the offenders', and the offenders' satisfaction with their supervision experience and the behavioral interventions and support services offered to them.

A second priority is to redesign the Agency's approach to assessing the offenders it supervises to gauge their risks, needs, and other considerations. Such assessments are key inputs for decisions related to the type and amount of resources the Agency devotes to each offender. In the past, the Agency's strategy for screening and assessing its offenders focused primarily on risk, and was measured using predominantly static factors.

To improve its ability to identify the highest risk individuals, and to help identify the needs of the individuals under supervision, in FY19, CSOSA acquired the Dynamic Risk Assessment for Offender Reentry (DRAOR) assessment instrument. The DRAOR augments static risk scales by accounting for real-time changes in dynamic and acute risks (i.e., those demonstrated to anticipate an *imminent* supervision failure). Also, unlike many other correctional assessment tools, the DRAOR assesses protective factors that may mitigate the risk of an offender engaging in future criminal behavior. During the first quarter of FY20, the Agency trained a cohort of staff to serve as DRAOR trainers for additional line staff during the second and third quarters of the fiscal year. Staff training and competency assessments will continue throughout FY20.

In FY20, the Agency began piloting the use of the DRAOR as an aid in making case management decisions and establishing its validity empirically with the Agency's staff and offenders. An officer can complete the DRAOR in 5–10 minutes, a fraction of the time required to complete the Agency's current assessment instrument. The reduced burden makes it possible to require the DRAOR to be completed at shorter intervals (e.g., approximately monthly for all but the lowest risk cases), yielding updated assessments that are both more frequent and more sensitive to offenders' progress under supervision.

A second component of this effort involves reforming the Agency's process of onboarding offenders for supervision. By collecting additional details about offenders' attitudes, peer and familial associations, and behavioral health history during the intake process, the Agency should be able to accelerate its subsequent case planning process. This may allow the Agency to have risk containment measures and referrals to behavioral interventions in place days earlier for high-risk and/or high-need offenders. Such a success may produce a public safety benefit since offenders are at greatest risk of rearrest during the first 90 days of supervision.

Finally, the Agency has prioritized the monitoring and evaluation of its behavioral interventions to ensure they remain effective and aligned with the needs of the supervised population. During the first quarter of FY20, CSOSA's ORE gathered information from the Agency's program offices



on all the behavioral interventions the Agency offers, including both in-house and contractor-supported programs. This collection will yield a comprehensive catalog of behavioral interventions that includes details about capacity, mode of intervention, staff resources, and focal outcomes. During the remainder of FY20 and FY21, the Agency plans to integrate information from the catalog with performance measures to develop capacity utilization rates, assessment data to make more targeted referrals of offenders to programs, and contract monitoring data to deepen its vendor monitoring practices. The Agency is also evaluating all interventions and treatments provided by the Agency's vendors, as well as those provided to the Agency's supervised population by the District of Columbia, to assist the Agency is responding to the current needs of its supervised population. Finally, to complement the Agency's review of its behavioral inventions, the Agency is conducting a skills assessment of its employees, and is providing gap training for employees involved in providing these services.

By focusing on the continued development of the Agency's performance measures, enhancing our risk assessment instruments and procedures, and aligning Agency programs with offender needs through FY21, CSOSA expects to progress towards meeting our goals and improving fulfillment of our mission.