

**STATE OF VERMONT
AGENCY OF HUMAN SERVICES
DEPARTMENT OF CORRECTIONS**

Directive: 52.01

Subject: Program Design And Evaluation
Effective Date: January 1, 2001 **Review and Re-Issue Date:**
Supersedes: NEW **APA Rule Number:**

Recommended for approval by:		Authorized By:	
_____	_____	_____	_____
Signature	Date	Signature	Date

1. Authority:

1.1 Authority for this directive is found in Title 3, V.S.A, Section 3052 and Title 28 V.S.A. Chapters 1, 3, 5, 9 and 11 which provides the Commissioner of Corrections the authority to establish policies and procedures for the Department of Corrections.

2. Purpose:

2.1 The purpose of this directive is to ensure the following:

2.1.1 That correctional programs are designed in accordance with the principles of effective correctional programs and/or restorative justice best practice.

2.1.2 That correctional programs operate according to design and achieve intended results.

2.1.3 That the DOC continuously improves the effectiveness of its programs through planned assessment.

3. Applicability/Accessibility

3.1 Anyone may have a copy of this directive.

4. Directive

4.1 The Director of Correctional and Restorative Program Design and Evaluation has the following responsibilities:

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- 4.1.1** Supervise the process to design and implement correctional and restorative justice programs.
- 4.1.2** Provide training and technical assistance to program designers with regard to strategic planning (strategic objectives, process indicators, process measures, outcome indicators and outcome measures).
- 4.1.3** Publish a practice protocol and training guide for strategic planning and program evaluation.
- 4.1.4** Provide research findings to correctional program designers regarding best-practice measures in the field of correctional services and program evaluation.
- 4.1.5** Conduct and/or coordinate process and outcome evaluations. .
- 4.2** The Director of Correctional Services has the following responsibilities relative to program design and evaluation.
 - 4.2.1** Supervise the: design and implementation of correctional and restorative justice programs.
 - 4.2.2** Ensure that the Department's services are organized into defined correctional or restorative justice programs to meet the department's strategic outcomes.
 - 4.2.3** Recommend to the Commissioner that a program, based upon the program evaluation report, be continued, continued conditionally, redesigned or terminated.
- 4.3** **Link Between Program Evaluation and Strategic Planning**
 - 4.3.1** After strategic objectives for the Department are approved, the Correctional and Restorative Program Design and Evaluation Team will review indicators and measures of existing programs, make any necessary modifications and oversee the development or revision of programs pursuant to this directive.
- 4.4** **Correctional Program Cycle**
 - 4.4.1** The cycle of corrections programs contains six stages: authorization, design (Component Specification Process), implementation, evaluation, decision to continue and ongoing evaluation. Ideas for new programs must either come from needs assessment or be viewed through a needs assessment process. Once the idea to establish a new program has been approved, the program design phase includes compiling research from the field to learn about programs of similar nature, and ensuring that the program design is consistent

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with the principles of effective correctional intervention and/or restorative justice best-practice measures. Programs are implemented using a project planning process relying upon a component specification prepared by a selected team. After implementation, the program must operate for a prescribed period of time before doing the initial process evaluation, so that data collection and practice can be established. After the prescribed period of time, program evaluation staff will conduct and/or coordinate a process evaluation to determine if the program complies with process measures established for the program. After programs are in compliance with process indicators, program evaluation staff will conduct and/or coordinate outcome evaluations to determine if programs achieved the desired results. Based on the information provided through the two types of evaluations, a decision is made to continue, continue conditionally, redesign or terminate the program. Programs that continue will undergo periodic re-evaluation to achieve the same purpose.

4.5 Authorization

4.5.1 Only the Director of Correctional Services or designee can authorize the development of a correctional or restorative justice program. Authorization can occur under two circumstances:

4.5.1.1 The program has been identified as a strategic objective in the Department's strategic plan.

4.5.1.2 The Director of Correctional Services approves a written request submitted by a functional or operational director.

4.6 Submission to Develop a Correctional or Restorative Justice Program - A functional or operational director must submit a written request to develop a program. The decision to approve development of a program will be based on the following factors:

4.6.1 Congruence with the Department's strategic outcomes.

4.6.2 Congruence with Department policy, research findings and best-practice.

4.6.3 Identified need

4.6.4 Availability resources (staffing, support services, operations cost)

4.6.5 Program fit with the division's current or proposed role

4.7 Design (Component Specification Process)

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4.7.1 Once the Director of Correctional Services approves a request to develop a program, the responsible functional director or supervisor/manager will develop the program in accordance with the Department's program planning process. The program planning process involves the formation of a team responsible for preparing a component specification. The component specification shall include process and outcome indicators and measures that correspond with the department's strategic outcomes. A representative from the Correctional and Restorative Program Design and Evaluation Team will serve on the design team to provide research, ensure that the program design is consistent with the principles of effective correctional intervention and provide technical assistance to the team in defining strategic planning measures (process indicators, outcome indicators, process measures, outcome measures).

4.8 Implementation

4.8.1 All component specifications are to be approved by the Operational Executive Management Team, following which the Commissioner may authorize, disapprove the implementation of the program or order a re-design of the program. If authorized, program implementation and operation can begin.

4.8.2 Period of Program Operation -The developers of each program implemented shall define an initial period of operation needed for a program to establish itself before being subject to a process or outcome evaluation.

4.9. Evaluation

4.9.1 Program Evaluation Cycle: The following five steps of the program evaluation cycle are designed to inform decision makers about the efficacy of a correctional or restorative justice program:

4.9.1.1 Process Evaluation: Program evaluation staff will conduct and/or coordinate a process evaluation. They will measure the program's adherence to predetermined process indicators.

4.9.1.2 Program Evaluation Report: Program evaluation staff will provide a written report to the Operations Director, Director of Correctional Services and site manager if the evaluation was of a local site. The director responsible for the program will develop a corrective action

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plan and submit to the Director of Correctional Services outlining any areas not in compliance with the process measures. Compliance must occur within 90 days after approval of the corrective action plan, unless special circumstances exist requiring a longer period of corrective action. The Director of Correctional Services, in consultation with the Director of Correctional and Restorative Program Design and Evaluation, must approve all extensions.

- 4.9.1.3** Re-evaluation: The Correctional and Restorative Program Design and Evaluation Team will re-evaluate programs where deficiencies were identified and report their findings to the Director of Correctional Services and relevant functional and operational directors.
- 4.9.1.4** Remedial Action for Continued Non-Compliance: If a program continues to be noncompliant, the Director of Correctional Services will develop a corrective action plan. The plan shall be in writing and time-lined. Compliance with program design and evaluation shall be monitored from the onset through the Performance Management Interview process and noted in an employee's (functional director, supervisor, manager) annual performance evaluation.
- 4.9.1.5** Outcome Evaluation: Once a program has been found to be in compliance with process measures, the Correctional and Restorative Program Design and Evaluation Team will conduct and/or coordinate an outcome evaluation of the program. For programs being delivered in a variety of sites, external outcome evaluations are contingent upon all programs being certified. Internal outcome evaluations may be conducted on individual programs.

4.10 Decision to Continue

- 4.10.1** Once a program has been evaluated, the Director of Correctional Services shall prepare a report to the Commissioner making one of four recommendations: (1) eliminate the program; (2) continue the program as is; (3) continue the program but re-design it to reflect knowledge gained by

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experience and evaluation; and (4) continue the program as is but follow a corrective action plan to improve operational performance of the program. Upon receipt of the report, the Commissioner shall decide upon the future of the program.

4.11 Ongoing Evaluation

4.11.1 Each year the Director of Correctional Services and the Director of Correctional and Restorative Program Design and Evaluation will review all programs and determine an evaluation schedule. The schedule will be guided by the needs of program certification of Key Correctional Programs. This schedule will form the basis of the Correctional and Restorative Program Design and Evaluation Team's schedule.

4.12 Department Program Certification

4.12.1 The Department shall certify key correctional programs designated by the Commissioner. The Correctional and Restorative Program Design and Evaluation Team shall establish a program certification protocol that identifies criteria for program certification, a certification period, an evaluation process, a remedial process to achieve certification and a de-certification process. The Correctional and Restorative .Program Design and Evaluation Team will conduct evaluations to determine if key programs meet certification requirements.

4.13 Communicating the Results of Process and Outcome Evaluations

4.13.1 The Director of Correctional and Restorative Program Design and Evaluation shall develop strategies to share the results of program evaluations with managers, staff, and stakeholders.

5. Training Method

5.1 Policy Executives: The Director of Correctional and Restorative Program Design and Evaluation will meet with the Policy Executives to review this directive.

5.2 Operational Directors: Operational Directors are responsible for training field managers on this directive.

6. Quality Assurance Processes

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6.1 The Director of Correctional and Restorative Program Design and Evaluation shall issue an annual report to the Commissioner outlining the following:

6.1.1 Number of evaluations performed and results;

6.1.2 Number of new programs designed using this process;

6.1.3 Recommended changes to the program design and evaluation process; and

6.1.4 Departmental and/or technical needs.

7. Financial Impact:

7.1

8. References

Boone, H. N., & Fulton, B., Results-Driven Management, Implementing Performance-Based Measures in Community Corrections. American Probation and Parole Association, 1995.

9. Responsible Director and Draft Participants

James Spinelli, Director of Correctional and Restorative Program Design and Evaluation.