

Transition from Jail to Community ONLINE LEARNING TOOLKIT



Module 4: Data-Driven Understanding of Local Reentry

Welcome to *Data-Driven Understanding of Local Reentry*. This document is the PDF version of the online TJC Implementation Toolkit, and will not necessarily reflect the changes and updates made to the toolkit. To view the latest and most complete version of this module, visit www.jailtransition.com/Toolkit. This module provides you with information on the essential role reliable data play in successfully transitioning people from jail to the community.

“Sheriffs, directors, department heads, and commissioners all make dozens of decisions that commit resources, impact working conditions, and set in motion programs that will be in place for years to come. These decisions have the power to affect people’s lives for good or for bad, so it is obviously important that they are based on the best information possible.”¹

Captain Randy Demory
Kent County Sheriff’s Office
Grand Rapids, Michigan

We all know that agencies within or related to corrections collect all types of information or data. For our purposes, we simply want you to ask yourself what information you need to develop effective jail transition interventions. What do you need to know about the jail population and their needs, and about the capacity of existing programs to meet those needs?

Before you begin, ask yourself how often your agency uses data to

- Improve your understanding of the risk and needs of people transitioning from jail to the community.
- Determine the resources available and accessible to meet their needs.
- Help develop strategic initiative plans.
- Monitor the success of the transition process.
- Allocate your resources wisely to realize the best possible organizational/system outcomes.

By the end of this section, you’ll understand the importance of using a data-driven approach to inform your decisions and shape your responses. You will also begin to identify what data or information might be helpful to inform and evaluate your efforts.

This module has five sections and will take between 10 and 15 minutes to complete.

Recommended audience for this module

- Sheriffs
- Jail administrators
- Correction officers
- Jail treatment staff
- Classification and intake staff
- Community corrections staff
- Reentry coordinators
- Community providers
- Social service providers
- Probation officers
- Pretrial services
- County board members
- Criminal justice council members
- Funders
- Local legislators
- Information technology staff working on development of data systems

This module also includes a list of resources after each section to help in the process.

Module Objectives

In this module you will have the opportunity to explore the importance of using a data-driven approach when implementing the *Transition from Jail to Community* (TJC) model in your community.

This module helps you to use data to examine key questions about reentry:

- What information don't we know that we need to know?
- How can we get that information?
- What are the key outcomes we need to track?

This module has five sections:

1. The Role of Data in a Reentry Effort
2. Data Collection
3. Management Information Systems
4. Mining the Data
5. Terms Used in the Field

By the end of this module, you will be able to

- Explain the importance of a data-driven approach to the TJC model.
- Identify the elements in a data collection process.
- Recognize the barriers to data collection.
- Discuss the benefits of a management information system.

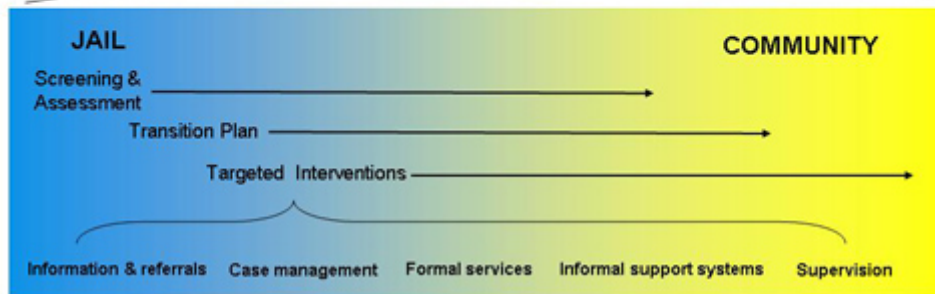
The Transition from Jail to Community Model

This visual indicates where *Data-Driven Understanding of Local Reentry* fits in the TJC model.

System Elements



Individual Intervention Elements



Section 1: The Role of Data in a Reentry Effort

This section will help you learn how objective information or data can inform, improve, and refine your jail transition process.

Data can answer questions about

- Characteristics of your population
- Who should be targeted for intervention
- What crimes are most likely to cycle through your jail
- What resources are available

Terms to Know

Data-driven approach to local reentry: The process of collecting and analyzing data to make appropriate decisions when transitioning individuals from the jail to the community

A **data-driven approach to local reentry** is the exact opposite of making decisions based on incomplete information, hunches, or tradition (because it's always been the policy or procedure of your agency to do things in a certain way).

To begin, ask yourself

- What kinds of data do agencies in your community use?
- How are these data being used to improve the transition process from jail to the community?
- What capacity is in place to develop, collect, maintain, and analyze the data?
- What factors influence whether and how data are used in the decision-making process?

Accessing, collecting and analyzing local data are a first step to

- Confirm or refute perceptions about pressing issues.
- Monitor progress, measure outcomes, and formulate policies.
- Assess the characteristics of the jail population, local crime problems, laws, policies, and local resources.
- Identify issues, problems, and potential solutions for the jail population pre- and post-incarceration.
- Increase understanding of target populations of particular interest.
- Identify subsets of the population likely to consume disproportionate criminal justice and program resources.
- Identify geographic areas to which the jail population returns.
- Identify benchmarks and develop measures to chart progress toward them.
- Trace service referrals, engagement, and utilization, and share that information with partner agencies.
- Inform or implement improvements to your strategy.
- Identify resources that can be leveraged.
- Support sound decision making about policy and resource allocation

For more information and examples from the field

1. For a comprehensive discussion on data collection, management, and analysis, we highly recommend downloading *How to Collect and Analyze Data: A Manual for Sheriffs and Jail Administrators* (Elias Gail, 2007, Washington, DC: National Institute of Corrections). It is available at <http://www.nicic.org/Library/021826>.
2. The Council of State Government's *Report of the Re-Entry Policy Council* has very relevant information on developing a knowledge base of information, including (a) understanding who is being released from prison, and (b) identifying what state and local policies influence and govern reentry. It also speaks to data issues for multiorganizational reentry initiatives like the TJC. It can be accessed at <http://www.reentrypolicy.org/Report/PartI/ChapterI-A/PolicyStatement2>.
3. A Geographic Information System map identifying the communities (identified by home zip code) where inmates lived prior to arrest (Nashville, TN Neighborhoods Resource Center). This is a useful tool in visualizing which communities have a high concentration of the formerly incarcerated and the availability and accessibility of services in those communities. Available: <http://www.urban.org/projects/tjc/toolkit/module4/Map-Jail-Population-and-Zip-Code-June2010.pdf>

Summary

Collecting and analyzing local data is an important first step in developing an effective TJC effort. Data can help you identify issues and problems, inform improvements, monitor progress, measure outcomes, and formulate sound reentry policies.

Section 2: Data Collection

This section helps you understand what data should be collected and used to make decisions. Agencies are often faced with one of two problems:

- Some agencies have only basic information about their population and available resources, and start from scratch when developing their data collection systems.
- In contrast, other agencies are rich in data, but the data are not in a format that can be easily extracted, analyzed, shared, or presented in easy-to-comprehend reports.

Terms to Know

Primary data: Original data obtained directly from individuals through screening, assessment, surveys, interviews, or focus groups

Secondary data: Useful data already collected for another purpose, such as health records and resource information.

To make matters worse, even when available, the data are often located in different electronic management systems (EMS) or separately on paper documents, which makes data integration nearly impossible. Rarely do agencies have the ability to share real-time data among themselves.

Regardless of which of these problems your agency has, the first step is to review management information systems, program records, and other data sources maintained by the jail and community partners to identify the characteristics and needs of their jail-involved clients, as well as the range of available resources in the jail and the community.

This information is critical to create a baseline understanding of the pre-TJC state, an accurate assessment of key issues, and the development of an appropriate set of integrated responses.

To begin, you will need to identify what data are presently available from the jail, service providers, and other sources; in what format; and how confident you are in the data's reliability. We recommend that you begin by cataloging the following information:

- Name of each data source
- Information available from each source
- Data format (e.g., electronic, paper)
- Ownership of data
- How to access the data
- Restrictions on data

Once you have the baseline information, it is time to prioritize and develop a system to collect necessary data not currently collected. Some of the information will be **primary data**, and some will be **secondary data**.

Addressing the following five questions is the best way to begin collecting data.

1. What data need to be collected?

At the individual level—

- Individual characteristics: age, name, race/ethnicity, education, employment history, criminal justice history, physical and mental health needs, length of stay, risk and needs factors, program participation, and geographic area to which the individual returns post-release
- Subsets of the population that consume disproportionate criminal justice and program resources (e.g., frequent users, the severely mentally ill, and those with chronic diseases)
- Individual outcomes such as recidivism, employment, health care access, and sobriety

At the system level—

- Your community's crime problems, locations of crimes, laws and policies that impede or facilitate successful transitioning from jail to the community
- The availability and accessibility of services, gaps in services, fractured or unfunded services, data on programs, and resources that can be leveraged to support reentry

2. How can data be obtained?

- Intake, screening, and assessment files
- Program data from the jail and community agencies
- Self-administered surveys of clients or staff
- Interviewer-administered surveys of key stakeholders, service providers, and clients
- Focus groups
- Direct observations

3. Who is responsible for collecting the data?

- Managers
- System stakeholders: courts, probation, jail, police, treatment providers, and others
- Office of computer information services or local information technology (IT)/data management group/department

4. How confident are you that the data are accurate?

- Are there clear instructions and definitions about what is to be collected?
- Who originally entered the data?
- Was the person trained?
- Do the data appear to be complete?
- Are the fidelity and accuracy of data, methods of collection, and the people collecting data evaluated regularly?
- Are written policies, procedures, and guidelines in place to verify the data quality?

5. In what format will the data be collected?

- Electronically, via a management information system on a computer
- Paper based, such as case files and paper directories
- Verbally, via personal interviews and phone surveys

Data Challenges

Data collection is often challenging, and you should be aware of the problems you might face. Chuck Shorter at Tulane University identifies the following barriers to collecting data:¹

- Lack of knowledge about where data exist
- Lack of knowledge about how to access data
- Data not in electronic form
- Data in an incompatible format
- Only aggregated data available
- Frequency of data release
- Approval process for accessing data
- Previous interactions and history of partnerships (e.g., lack of trust)
- Fear of misinterpretation/misuse of data
- Confidentiality and privacy concerns
- Policies, including federal and state laws that limit access
- Limited resources (e.g., staff time)

Fortunately, there are a number of ways to address these barriers. In general, as we discussed in the *Collaborative Structure and Joint Ownership* module, a reentry implementation committee can help gain trust and facilitate standardized data collection among partnering agencies. You might want to hire an IT consultant if you begin to find that the data systems you want to integrate are not compatible.

Finally, as was also discussed in the previous module, developing a Memorandum of Understanding (MOU) that includes a data-sharing agreement clause will ease fears of misuse of data.

For more information on data collection, click here for the **Pre- and Post-Release Intervention Sections of the Triage Matrix Implementation Tool**¹ and the **TJC Pre-Implementation Case Flow Process templates**² to begin your inventory of the interventions in the jail facility, at transition, and in the community.

For more information and examples from the field

1. Short, eight-item questionnaire to identify if your agency collects the following criminal justice client data. Available in Appendix A.
2. Confidentiality Agreement: Montgomery County, Maryland, Pre-Release & Reentry Services. Available in Appendix B.

¹ Available at: http://www.urban.org/projects/tjc/toolkit/module4/Triage_Matrix_pre-post-intervention.xls

² Available at: http://www.urban.org/projects/tjc/toolkit/module8/Preimplementation_Case_Flow.doc

3. New York TPC Strategy and MOU on Data Sharing, TPC Reentry Handbook (2008, pp. 181–196). Available in Appendix C.
4. A detailed list of suggested TJC baseline measures of jail population characteristics (Urban Institute). Available in Appendix D.
5. A detailed chart of TJC baseline measures of jail inmate population characteristics in Excel format and a memo providing guidance to assemble the initial TJC performance indicators (Urban Institute) Available: <http://www.urban.org/projects/tjc/toolkit/module4/Core-Measures-Spreadsheet.xls>.

Summary

In this section you learned that it is important to thoroughly review what data are currently collected by your initiative partners. Staff and other agencies can help you to identify gaps in your current data collation systems. A data-sharing protocol can be established through the use of a memorandum of understanding. A sample memorandum of understanding was provided.

Section 3: Management Information Systems

This section provides an overview of management information systems and how this technology can assist in the collection and analysis of necessary data to understand reentry in your community.

A **management information system** (MIS), also referred to as an automated data system, is a computer system that enables you to record data in a systematic way and helps to manage all aspects of your agency. Ideally, an MIS can exchange data electronically with partnering agencies.

Some agencies do not have an MIS in place to record data and continue to rely on paper records, which can only be retrieved manually and are extremely time-consuming to analyze. Though an MIS requires training, support, and maintenance, its advantages far outweigh the time and resources it takes to implement it.

What MIS you decide to use is based on your agency's resources, expertise, and compatibility with other systems. Agencies that do not have the resources to purchase a database software package often use Microsoft Access© when developing a database system. In the resource section, we have provided an Access© template and data entry instructions for how to use it.

A well-designed MIS has certain characteristics:

- Permits you to enter information once
- Assigns a unique identifier that follows an individual over time so records can be easily linked to other data systems across agencies.
- Facilitates data entry, access, and use
- Increases data accuracy
- Produces easy-to-read reports

Picture an MIS that

- Collects individual data, including program participation, education, employment, and disciplinary problems
- Examines classification scores of recidivists to assist with classification and program placement decisions for future inmates
- Assesses the differences in recidivism rates of program participants versus nonparticipants
- Evaluates the effect of educational and employment programs as well as substance abuse and mental health treatment on recidivism rates
- Identifies habitual misdemeanor offenders at intake and prompts appropriate program referral

Terms to Know

Management information system:

An information collection and analysis system, usually computerized, that facilitates access to program and participant information. It is usually designed and used for administrative purposes

Interagency Information Sharing and Protecting Confidentiality

An MIS is integrated when agencies (law enforcement, courts, jails, medical providers, and other community-based organizations) working with the same population have the ability to access and share information electronically. Having an MIS in place increases the ability to provide continuity of care to individuals at time of release.

Agencies using an integrated MIS recognize the privacy concerns for the electronic tracking of an individual's sensitive personal information. Firewalls can be developed so only those who have permission and a password have access to the data. In addition, agencies can establish a unique identifier other than social security or a DOC number, which could help track the individual after discharge without the loss of privacy or increased stigmatization that could occur through use of a DOC number.

For more information and examples from the field

1. A six-page article discussing Maricopa County, Arizona's Management Information Systems to Locate People with Serious Mental Illnesses and Co-Occurring Substance Use Disorders in the Criminal Justice System for Diversion. Available at http://209.132.230.103/pdfs/jail_diversion/using_mis.pdf.
2. [Instructions and Microsoft Access© intake data entry form](#) produced by the Criminal Justice Research and Evaluation Center, John Jay College, for a social service agency that works with delinquent youths. Available: http://www.urban.org/projects/tjc/toolkit/module4/Baseline_Data_Entry_Instructions_For_Access.doc
3. A detailed quarterly report tracking inmate outcomes, class attendance, referrals, demographics, and other reentry items :Excel format (Denver). Available: www.urban.org/projects/tjc/toolkit/module4/3Q-2010-Report.xls.
4. Basic client information spreadsheet tracking housing status, program completion, case notes and other reentry items :Excel format (Davidson County, TN Sheriff's Office) Available: www.urban.org/projects/tjc/toolkit/module4/PRIDCSO-tracking.xls.
5. Client program and employment attendance spreadsheet records : Excel format (Davidson County, TN) Available: www.urban.org/projects/tjc/toolkit/module4/Database-CDT-Updated-2010-3-without-names.xls.
6. Screen shot of an electronic jail information system with an inmate program summary (Davidson County, TN Sheriff's Office). Available: <http://www.urban.org/projects/tjc/toolkit/2011/module4/Drop-down-Options.pdf>.
7. Jail Management System Inmate Program Screens including detailed drop-down box list of program types, screening tests, program request status, program termination reason, program classes and program class status (Davidson County, TN Sheriff's Office) Available: <http://www.urban.org/projects/tjc/toolkit/2011/module4/JMS-Inmate-Programs.pdf>.

Summary

In this section you learned that a management information system is a computer system that enables you to systematically record data. Such systems minimize the need to record the same data multiple times, increase the accuracy of data, and facilitate meaningful data analysis

Section 4: Mining Your Data

This section provides an overview of some key points to consider in developing analysis and reports from your collected data. Data can be very powerful. Just imagine having data on the number of jobs the formerly incarcerated held after being part of an in-jail employment program, and you were able to show that they had lower re-arrest rates over a 12-month period post-release than those who were not part of the job program. Politicians and funders like to support success stories that are backed by hard data.

After you evaluate the available data and begin to collect data needed to evaluate your efforts, **data mining** is the process by which you measure the effectiveness of a variety of TJC outcomes, ranging from producing simple descriptive statistics like how many men and women are substance abusers, to more complex analyses that may include comparing your data with other similar data at the state or national level. The goal, however, is to use the data you have collected to inform your agency and other stakeholders about where to put your transition resources and, eventually, how successful you have been transitioning people from jail to the community.

Terms to Know

Data Mining: The process of analyzing data in order to determine patterns and their relationships

Randy Demory of the Kent County Sheriff's Office in Michigan has these data mining recommendations.³

1. **Plan Ahead:** Centralize all of your data analysis efforts for easy retrieval, and designate a skilled person or a data team to handle all data requests. You will want to provide your data team with tools to pull data from the MIS in an easy-to-manipulate format that allows for the creation of basic tables like cross tabs.

Outcome Category by Service Provider (Number and Percent)										
<i>Provider</i>	<i>Engaged 90 Days</i>		<i>Violated</i>		<i>Removed</i>		<i>Arrested</i>		<i>Total</i>	
	<i>N</i>	<i>%</i>	<i>N</i>	<i>%</i>	<i>N</i>	<i>%</i>	<i>N</i>	<i>%</i>	<i>N</i>	<i>%</i>
Provider A	13	57%	9	39%	1	4%	0	0%	23	100%
Provider B	20	69%	3	10%	3	10%	3	10%	29	100%
Provider C	12	75%	1	6%	1	6%	2	13%	16	100%
Provider D	14	64%	3	14%	4	18%	1	4%	22	100%
Provider E	13	46%	8	29%	6	21%	1	4%	28	100%
<i>Total</i>	<i>72</i>		<i>24</i>		<i>15</i>		<i>7</i>		<i>118</i>	

The table compares service providers' ability to keep participants engaged in treatment for 90 days after release from jail.

³ Randy Demory, "Measuring What Matters," *Large Jail Network Bulletin* (Washington, DC: National Institute of Corrections, 2001). Available: [http://www.nicic.org/Features/Library/?SPON=National%20Institute%20of%20Corrections%20\(Washington,%20DC\)](http://www.nicic.org/Features/Library/?SPON=National%20Institute%20of%20Corrections%20(Washington,%20DC))

2. **Avoid Data Overload:** Too many tables and numbers make people shy away from the data. Instead focus on using more charts and graphs, and produce only reports that are meaningful and directed toward what the partners need.

3. **Measure What Matters:** Use the data to help you define what is most important to your agency. The Kent County Jail has focused on analyzing and disseminating the following types of data:

- Jail population statistics
- Inmate incident statistics
- Program performance data
- Employee performance data

View Appendix E for Kent County Jail’s monthly Performance Measures for the Main Jail, Community Reentry Center (CRC), and Honor Camp. These are items that Kent County reports each month to the Office of the Sheriff and quarterly to county administration as part of its performance-based budgeting process.

For example, the Kent County Jail reports the rate of violence in the Main Jail, since that is important to them. They also report the percent of “productive residents” at the CRC and Honor Camp, with “productivity” defined as working or being in programs at least 20 hours a week. They track the numbers of people who are helped to find jobs. They also have a goal of meeting a certain number of active partnerships with community program providers, and they do meet that very easily each month.

Sober Unit Living Stats

110 Total Clients with Outcomes (year to date)		
Average length of stay	58 days	
CT = Completed Treatment	55	50.00%
SD = Staff Decided to Remove	5	4.55%
ER = Early Release from Jail	25	22.73%
CD = Client Decision to Leave	1	0.91%
ERT = Early Release to Treatment Facility	2	1.82%
JD = Jail Staff Decision to Remove	20	18.18%
SP = Sent to Prison	2	1.82%
Total	110	100.00%

4. **Require Flexibility:** Train your data team to handle data requests beyond what the MIS software reports produce. This means that they will need to learn how to write queries of the system.

5. **Produce Regular Statistical Reports:** Determine what data reports your agency needs most. Decision makers should have access to daily, weekly, or monthly reports. An annual statistical report is also recommended to assess population characteristic and program change over time.

In Denver, routine data extracts from the Reentry Database are reported, including client demographics, living situation, employment and educational levels, and the type and frequency of services utilized. Reports are also generated by the Life Skills Diversion Officers and the Community Reentry Project Case Managers. These reports consist of a rating system completed by staff on client motivation and ability to participate in the reentry process, as well as a record of current services the client is utilizing.

Summary

In this section you learned that data mining is a process of analyzing data to determine patterns and relationships. When done effectively, data mining can inform your agency and stakeholders where transition resources are needed and how successful your transition program has been

Section 5: Terms Used in the Field

This section defines a number of basic terms used in this module. These terms will be highlighted in purple throughout the module, allowing you to rollover the term to see the definition.

Data: A recording of facts, concepts, or instructions on a storage medium for communication, retrieval, and analysis.

Data-driven process of local reentry: The process of collecting and analyzing data to make appropriate decisions when transitioning individuals from the jail to the community.

Data mining: The “process of analyzing data in order to determine patterns and their relationships.”⁴

Management information system: “An information collection and analysis system, usually computerized, that facilitates access to program and participant information. It is usually designed and used for administrative purposes.”⁵

Primary data: Original data obtained directly from individuals through screening, assessment, surveys, interviews, or focus groups.

Secondary data: Useful data already collected for another purpose, such as health records and resource information.

Summary

Now that you have completed this section, you understand key terminology that is used in this module.

⁴ Definition obtained from <http://www.pathfindersolutions.com.au/page/glossary.html>.

⁵ Bureau of Justice Assistance, Center for Program Evaluation and Performance Measurement. Available at http://ojp.usdoj.gov/BJA/evaluation/glossary/glossary_m.htm.

Module 4: Appendix A

Short, eight-item questionnaire to identify if your agency collects the following criminal justice client data.

Does your agency collect the following client data?

If you do not know if your agency maintains the data item, please select Don't Know. If the data item does not apply to your agency, please select Not Applicable.

	Yes	No	Don't Know	Not Applicable
The person or agency that referred the client to your agency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A client's criminal history	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Whether a client was recently released from jail	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Whether a client was recently released from state or federal prison	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Whether a client is under community supervision (e.g., probation, parole)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Whether a client is being served by other agencies in the community	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
What services a client is receiving from other agencies in the community	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Client assessments conducted by your agency or another agency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

AGREEMENT TO HOLD INFORMATION CONFIDENTIAL

Both State and Federal law requires that information obtained on offenders is strictly confidential and may not be released or divulged to another outside the Montgomery County Department of Correction and Rehabilitation unless very specific waiver requirements have been obtained (see Policy and Procedure 2000-32, Confidentiality and Security of Information Concerning Residents). Employees, interns, volunteers, and Alternative Service workers are obligated by law and by directive of the Pre-Release and Reentry Services Chief Administrator *not to discuss information concerning Pre-Release Center residents or Home Confinement clients with anyone not employed by Pre-Release and Reentry Services* unless proper approval is obtained in advance.

I agree to hold information that I attain concerning Pre-Release Center residents/Home Confinement clients confidential and will not divulge any such information unless prior authority is obtained in accordance with the Pre-Release Center Policy and Procedure 2000-32, Confidentiality and Security of Information Concerning Residents.

Print Name

Signature

Date

Witness

Date

Summary of Proposed MOU for Facilitating Data Sharing Among Agencies Participating in New York State's TPC Initiative

The Problem

Many of the analyses likely to be needed by the Steering Committee and its workgroups will require sharing case-level data among two or more participating agencies. Unfortunately, under participating agencies' existing procedures for sharing data for research purposes, it often takes months to arrange and complete such analyses. If the normal processes have to be repeated separately for each analysis, the work of the Steering Committee and its workgroups will be repeatedly and substantially delayed.¹

Requested analyses often can be completed quickly, once the relevant data have been compiled and prepared for analysis. Typically, the sources of greatest delay in projects that require sharing data among agencies are

- the process of preparing, reviewing, and approving requests for access to data, and
- the process of matching records from two or more sources.

The Solution

The TPC Research and Information Support Team (RIST) recommends establishing a single, over-arching MOU to govern data sharing for the purpose of supporting TPC analyses. To that end, the Team has

- reviewed the data sharing policies of each participating agency,
- reviewed a sample of existing MOUs that have been adopted by participating agencies for similar purposes,² and
- prepared a draft MOU that the Team believes is consistent with participating agencies' existing policies.

The proposed MOU would establish policies and procedures that would expedite the approval and matching processes by

- creating a "TPC Core Database," which would incorporate individual-level data from DOCS, DOP, DCJS, and perhaps DPCA;
- establishing a "certification" process, whereby the construction of additional, special purpose, interagency data sets could be authorized as needed on the basis of

¹ Dozens of such analyses are anticipated.

²The existing MOUs varied substantially in format, from brief and general, to long, detailed, precise, and legalistic. The Team chose to adopt a very detailed format, reasoning that agencies that prefer the briefer format would still find the more detailed approach acceptable (but not necessarily vice-versa).

Module 4: Appendix C

- documentation confirming that a proposed data project conforms to the requirements of the TPC MOU (without a need to develop a separate MOU for each instance); and
- “pre-matching” personal identifiers available in the Core Database with the internal database identifiers used in participating agencies’ data systems.

The Core Database will permit nearly immediate turn-around for a substantial proportion of analyses needed for TPC purposes. On those occasions when analyses require additional data not included in the Core Database,

- the certification process will expedite authorization to access the relevant data, and
- extracting the necessary records from the appropriate systems will be greatly expedited (in most cases) by having already completed the “pre-match.”

The proposed MOU takes into account the fact that some of the relevant, individual-level data cannot be shared in identifiable form for TPC purposes (e.g., Medicaid data or data relating to participation in treatment for chemical dependence), and it allows for the possibility that the agency hosting such data might have to be the last in line to add data to a composite file and might then have to be the agency that conducts the requested analyses.

Provisions of the MOU

The following briefly outlines the contents of each of the major sections of the MOU, as drafted by the RIST members.

Intent

The participating agencies agree that they intend, whenever possible and as appropriate, to

- Share data to support TPC analyses
- Conduct and contribute to TPC analyses
- Develop and maintain an adult core database
- Explore the desirability and feasibility of a juvenile core database
- Construct and analyze special data sets as needed
- Match person or case identifiers in advance
- Limit release of data and findings to the TPC Steering Committee, its workgroups, and the agencies that contributed data (except with the explicit approval for wider distribution by the Steering Committee and the agencies that contributed data).

Participating agencies also agree that an agency may decline to supply requested data or conduct requested analyses, provided the party explains in writing why supplying the data or conducting the analyses is either illegal or not feasible.

Definitions

Module 4: Appendix C

Definitions are provided for the following key terms: TPC analysis, data project, data project description, certification, data provider, data recipient, lead agency, aggregated data set, de-identified data set, limited data set, identifiable data set, adult core database, and special data set.

Confidentiality Safeguards Applicable to All Participating Agencies

Paragraphs 22–30 specify actions and limitations on use of data designed to protect confidentiality of individuals who are the subjects of the data, to which all participating agencies must agree.

Agency-Specific Provisions

Paragraphs 31–37 specify exceptions and additional limitations that apply to certain types of data or data held by certain participating agencies.

Request and Certification Procedures

Each instance of a need to prepare and analyze a “special data set” requires a separate data project description and data project certification. This section

- explains identification and role of the lead agency,
- specifies the required elements of a data project description, and
- explains the forms and procedures required to “certify” that a proposed data project complies with the provisions of the MOU.

Disclosure of Findings

Specifies that, prior to release to the Steering Committee or its workgroups, the findings of TPC analyses

- will be reviewed by data providers to correct factual errors, misinterpretations of data elements, or misinterpretation of agency policies; and
- will not be disclosed to anyone who is not a party to the MOU, without the explicit approval of the TPC Steering Committee and the agencies that contribute data to the analyses.

Attachment A: Certification Form

Attachment A of the MOU is the form that is to be completed, signed, and attached to the “data project description” for each proposed “data project.” It “certifies” that a proposed data project complies in all respects with the provisions of the TPC MOU.

According to the current draft of the MOU, the person authorized to sign the certification for each agency involved in a data project would be the agency’s representative on the Research and Information Support Team (RIST). An agency is, of course, free to establish internal procedures not documented in the MOU that might be prerequisite to authorizing its RIST representative to “sign off” on individual projects. However, since the purpose of establishing the certification

Module 4: Appendix C

process is to expedite the approvals, any additional layers of review should be kept to a minimum.

Module 4: Appendix C

MEMORANDUM OF UNDERSTANDING CONCERNING SHARING OF DATA AND OTHER DATA ANALYSIS RESOURCES AMONG AGENCIES PARTICIPATING IN THE NEW YORK STATE TRANSITION FROM PRISON TO COMMUNITY INITIATIVE (hereinafter “TPC”), WHICH AGENCIES (hereinafter “the parties”) INCLUDE

The New York State Division of Criminal Justice Services (hereinafter “DCJS”)

having its principal offices at 4 Tower Place, Albany, NY 12203, and

The New York State Department of Correctional Services (hereinafter “DOCS”)

having its principal offices at Building 2, State Campus, Albany, NY 12226, and

The New York State Division of Parole (hereinafter “DOP”)

having its principal offices at 97 Central Avenue, Albany, NY 12206, and

The New York State Department of Health (hereinafter “DOH”)

having its principal offices at Corning Tower, Empire State Plaza, Albany, NY 12237, and

The New York State Department of Labor (hereinafter “DOL”)

having its principal offices at the State Campus, Building 12, Albany, NY 12240, and

The New York State Division of Housing and Community Renewal (hereinafter “DHCR”)

having its principal offices at Hampton Plaza, 38-40 State Street, Albany, NY 12207, and

The New York State Division of Probation and Correctional Alternatives (hereinafter “DPCA”) having its principal offices at 80 Wolf Road, Albany, NY 12205, and

The New York State Office of Alcoholism and Substance Abuse Services (hereinafter “OASAS”) having its principal offices at 1450 Western Avenue, Albany NY 12203, and

The New York State Office of Children and Family Services (hereinafter “OCFS”)

having its principal offices at 52 Washington Street, Rensselaer, NY 12144, and

The New York State Office of Mental Health (hereinafter “OMH”)

having its principal offices at 44 Holland Avenue, Albany, NY 12229, and

The New York State Office of Mental Retardation and Developmental Disabilities

(hereinafter “OMRDD”) having its principal offices at 44 Holland Avenue, Albany, NY 12229, and

The New York State Office of Temporary and Disability Assistance (hereinafter “OTDA”)

having its principal offices at 40 North Pearl Street, Albany, NY 12243.

Module 4: Appendix C

WHEREAS, in order to identify potential targets for improvements in the management of offenders transitioning from prison to community and to support development of a multidisciplinary Transition Accountability Planning process, the parties have a mutual interest in compiling and sharing information about the characteristics and circumstances of offenders transitioning from prison to community, as well as information about case processing decisions, services, and other interventions for offenders transitioning from prison to community; and

WHEREAS, many analyses needed by the TPC Steering Committee and its workgroups for the above-mentioned purposes will require preparing data sets that include data maintained by two or more of the parties to this agreement; and

WHEREAS, it is recognized by the parties that, if the data sharing request and approval process and the data matching process must be undertaken separately for each TPC-related analysis, the work of the TPC Steering Committee and its workgroups will be repeatedly and substantially delayed;

NOW, THEREFORE, in order to promote efficiency in responding to the information needs of the TPC Initiative, the parties agree as follows:

1. The MOU will be deemed executed for the purpose of referencing the MOU as of the date it has been signed by authorized representatives of at least two of the parties. The MOU will become effective for each individual party as of the date it is signed by an authorized representative of the respective party.

Intent

2. Share data to support TPC analyses. The parties intend to share data needed to support TPC analyses for the TPC Steering Committee and its workgroups, to the extent that such data

- a. are under the control of a party to this agreement; and
- b. are readily available or obtainable given a reasonable commitment of resources; and
- c. are, in the judgment of the party in control of the data, not prohibited by applicable statutes and regulations to be shared for the purposes to be served by TPC analyses; and
- d. can be shared using data management procedures that comply with applicable statutes and regulations and the provisions of this MOU.

3. Conduct and contribute to TPC analyses. The parties intend to conduct analyses, or assist in the conduct of analyses, or otherwise contribute knowledge and expertise, as such contributions are requested by the TPC Steering Committee and its workgroups, or as individual parties independently determine that sharing information in their possession will facilitate the work of the TPC Steering Committee and its workgroups, to the extent that the individual parties determine that such contributions are feasible and that the necessary resources can be committed.

Module 4: Appendix C

4. Develop and maintain an adult core database. To support rapid completion of as many as possible of the analyses needed by the TPC Steering Committee and its workgroups, DOCS, DOP, and DCJS intend to develop and maintain an adult core database that combines information from existing DOCS, DOP, and DCJS databases, and which is made available to DOCS, DOP, and DCJS analysts to support TPC analyses. The adult core database will include information for offenders in selected annual prison release cohorts. It will be developed and maintained pursuant to a data project description and data project certification prepared and executed by DCJS, DOCS, and DOP, according to procedures detailed in paragraphs 30 through 38 of this agreement.

5. Explore the desirability and feasibility of a juvenile core database. The parties intend to assist OCFS in determining whether it is desirable and feasible to construct a juvenile core database, analogous to the adult core database referenced above. If judged by the TPC Steering Committee to be desirable and feasible, the juvenile core database will be developed and maintained pursuant to a data project description and data project certification prepared by OCFS and executed by parties that agree to join in the resulting certified data project, according to procedures detailed in paragraphs 30 through 38 of this agreement.

6. Construct and analyze special data sets as needed. The parties intend to construct special data sets as needed to support TPC analyses that cannot be accomplished using either the adult core database alone, or, if it is developed and implemented, the juvenile core database alone. Individuals to be included in special data sets may be identified via analyses of a core database, but a special data set will also incorporate information which is not included in a core database and may include information from parties who do not contribute data to a core database. Special data sets will be developed and analyzed pursuant to data project descriptions and data project certifications, according to procedures detailed in paragraphs 30 through 38 of this agreement.

7. Match person or case identifiers in advance. In order to expedite the eventual construction and analysis of special data sets when the need arises, the parties intend to undertake advance matching of person or case identifiers for individuals in the release cohorts represented in the adult core database to the person or case identifiers that serve as links to case-level data in the parties' respective data systems.

8. Limit release of data and findings. Data sets and analytic findings produced pursuant to this agreement are intended to be used for TPC purposes only. No individual-level information will be disclosed to anyone except those specified as data recipients in an applicable data project certification that conforms to the confidentiality protections specified in paragraphs 21 through 38 of this agreement. Aggregate findings will not be released to any person or organization other than the TPC Steering Committee, its workgroups, and the agencies that contributed data, without the approval of the Steering Committee and the agencies that contributed data.

9. Decline under exceptional circumstances. A party may decline to supply data or conduct analyses requested by the TPC Steering Committee or its workgroups, provided the party explains to the Steering Committee in writing why supplying the requested data or conducting the requested analyses is either illegal or not feasible.

Definitions

10. *TPC analysis* means a qualitative or quantitative analysis of offender characteristics and circumstances, case processing decisions, case plans and planning processes, or services and other interventions for offenders transitioning from prison to community, conducted at the request of the TPC Steering Committee or its workgroups, or proposed by the TPC Research and Information Support Team and endorsed by the Steering Committee.

11. *Data project* means a set of activities undertaken to combine data provided by more than one of the parties to this agreement, or to provide data maintained by one agency to analysts in another agency, and to conduct one or more TPC analyses using the shared data set. The data to be incorporated in a data project could come from existing electronic databases, or a data project could include conducting original interviews, conducting original surveys, or conducting original data collection from paper case files.

12. *Data Project Description (DPD)* means a document describing the purposes and methods of a proposed data project. A DPD is required as part of the process of certifying that a proposed data project complies with the provisions of this MOU.

13. *Certification* means a document, signed by the parties serving as data providers and data recipients for a data project detailed in an accompanying data project description, which attests to the fact that the data project complies with the provisions of this MOU.

14. For any given data project, an agency that is a party to this agreement may serve as a data provider, a data recipient, or the lead agency, or may serve any combination of these functions:

a. *Data provider* means a party to this agreement that provides data to another party to this agreement pursuant to a certified data project, in a manner consistent with applicable rules, regulations, statutes, and the provisions of this MOU.

b. *Data recipient* means a party to this agreement that receives data from another party to this agreement pursuant to a certified data project, in a manner consistent with applicable rules, regulations, statutes, and the provisions of this MOU. A data recipient may also be a data provider, when a data recipient combines data from two or more data providers, then forwards the combined data set to another data recipient or returns the combined data set to the original data provider.

c. *Lead agency* means a party to this agreement that accepts responsibility for preparing the data project description for a given data project and for coordinating data preparation and TPC analyses for that project. The lead agency usually will also be the party taking responsibility for conducting the TPC analyses for a given data project, but there will be exceptions due to limitations on sharing data held by certain agencies.

15. *Aggregated data set* means a data set providing information on some number of variables (P), provided as counts of the numbers of cases with each unique combination of values for the P variables. Combinations with fewer than 5 cases are excluded, so that it is not possible to identify

Module 4: Appendix C

individual persons either directly or indirectly. An aggregate data set may be provided in one of the following equivalent formats:

- a. a P-way table, in which each cell corresponds to a unique combination of values for the P variables, each cell contains a count of the number of cases having the corresponding combination of values, and the count in each cell is either zero or at least five; or
- b. a data file containing one record for each case, in which each record contains the values for the P variables in the corresponding case, and there are either zero records (no cases) or at least five records (≥ 5 cases) having each unique combination of values for the P variables that occurs in the data set; or
- c. a data file containing one record for each unique combination of values for the P variables that occurs in the data set, in which is recorded the P values that define a unique combination and the number of cases (at least five) having the corresponding combination of values.

16. *De-identified data set* is defined in this agreement according to the stringent criteria adopted in the OMH privacy policy. A data set is considered de-identified if either condition (a) or condition (b) is satisfied:

- a. All of the following identifiers of the individual (and relatives, employers, or household members) are removed:
 - i. Names;
 - ii. All geographic subdivisions smaller than a State, including street address, city, county, precinct, zip code, and their equivalent geocodes (except that including the initial 3 digits of a zip code is permissible if the corresponding geographic area contains more than 20,000 people);
 - iii. Elements of dates (except year) directly related to the individual, and all ages and elements of dates that indicate age for individuals over 89, unless aggregated into a single category of age 90 and older;
 - iv. Telephone numbers; fax numbers; email addresses; social security numbers; medical record numbers; health plan beneficiary numbers; account numbers; certificate or license numbers; vehicle identifiers and serial numbers, including license plate numbers; device identifiers and serial numbers;
 - v. Web Universal Resource Locators (URLs);
 - vi. Internet Protocol (IP) address numbers;
 - vii. Biometric identifiers;
 - viii. Full face photographic images; and
 - ix. Any other personally unique identifying number, characteristic, or code (e.g., indictment numbers or docket numbers); OR
- b. A person who is employed by the data provider, who has appropriate knowledge and experience with generally acceptable statistical and scientific principles and methods, determines that the risk is very small that the information could be used, alone or with

Module 4: Appendix C

other reasonably available information, to identify the individual who is the subject of the information.

17. *Limited data set* means a data set that excludes the following direct identifiers of the individual or of relatives, employers, or household members of the individual:

- a. Names;
- b. Postal address information, other than town or city, State, and zip code (county may be included because it is not considered postal address information for this purpose);
- c. Telephone numbers; fax numbers; email addresses; social security numbers; medical record numbers; health plan beneficiary numbers; account numbers; certificate or license numbers; vehicle identifiers and serial numbers, including license plate numbers; device identifiers and serial numbers;
- d. Web Universal Resource Locators (URLs);
- e. Internet Protocol (IP) address numbers;
- f. Biometric identifiers; and
- g. Full face photographic images.

18. *Identifiable data set* means a data set that does not qualify as an aggregate data set, a de-identified data set, or a limited data set according to the criteria specified in this agreement.

19. *Adult core database* means a data set combining information from existing DOCS, DOP, and DCJS databases, made available to DOCS, DOP, and DCJS analysts without the necessity of further approvals, for the purpose of conducting TPC analyses as the need for such analyses arise.

20. *Special data set* means a data set that includes information that is not available in the adult core database, usually (but not necessarily) combined with information from the adult core database. A special data set is constructed pursuant to a certified data project, incorporates information from one or more of the data providers identified in the certification, and is made available for TPC analyses to one or more of the data recipients identified in the certification, as provided in the associated data project description.

Confidentiality Safeguards Applicable to All Participating Agencies

21. Data recipients may use data received from other parties pursuant to this agreement only for TPC purposes, as described in the applicable data project descriptions.

22. Data recipients will not combine information in a certified data set with information from sources other than those authorized in the applicable data project descriptions.

23. Data recipients will restrict access to data received from other parties to those employees whose responsibilities require access to accomplish the functions authorized in the applicable data project descriptions.

24. Data recipients will store all physical media containing individually identifiable information in secure locations.

Module 4: Appendix C

25. Data recipients will refrain from adding any information that would make the records more identifiable than specified in the applicable data project descriptions.

26. Data recipients will retain the data only as long as necessary to effectuate the purposes specified in the applicable data project descriptions. Upon completion of the TPC analyses, the data recipients agree to return or, with the consent of the providing agencies, destroy all confidential or proprietary information. Destruction includes the complete purging of all confidential information from all computers and backup media storage.

27. Data recipients will permit data providers to monitor, audit, and review activities of receiving agencies to assure compliance with this agreement.

28. Data recipients will not disclose individual-level information received from data providers to any other person or organization, except as explicitly authorized in the applicable data project description and certification.

29. No party to this agreement may disclose to any other party to this agreement any chemical dependence treatment information that is governed by 42 CFR Part 2 in a form that permits it to be linked to an identifiable individual, nor any information that identifies individuals as chemical dependency treatment participants, without the written consent of each individual who is the subject of such data. Additionally, no party to this agreement may disclose to any other party to this agreement any information that identifies an individual's HIV status.

Agency-Specific Provisions

30. *DCJS* can provide criminal history information under the following conditions: *DCJS* can provide aggregate data sets without restriction; can provide identifiable data sets, limited data sets, or de-identified data sets from which sealed cases have been excluded; and can also provide data sets which include sealed cases, dates, and geographic subdivisions, provided that such data sets are otherwise de-identified. *DCJS* can serve as a data recipient and, resources permitting, can match data sets, conduct person-level analyses on matched data sets, and provide matched data sets (either identifiable, limited, or de-identified, as permitted by the laws, rules, and regulations governing data disclosure by *DCJS* and the other parties contributing data to the matched data sets) to other parties to this agreement serving as data recipients, pursuant to applicable data project descriptions.

31. *DOCS* can provide aggregate data sets, de-identified data sets, limited data sets, or identifiable data sets, pursuant to certified data projects that comply in all other respects to the provisions of this agreement. *DOCS* can serve as a data recipient and, resources permitting, can match data sets, conduct person-level analyses on matched data sets, and provide matched data sets (either identifiable, limited, or de-identified, as permitted by the laws, rules, and regulations governing data disclosure by *DOCS* and the other parties contributing data to the matched data sets) to other parties to this agreement serving as data recipients, pursuant to applicable Data Project Descriptions.

Module 4: Appendix C

32. *DOP* can provide aggregate data sets, de-identified data sets, limited data sets, or identifiable data sets, pursuant to certified data projects that comply in all other respects to the provisions of this agreement. *DOP* can serve as a data recipient and, resources permitting, can match data sets, conduct person-level analyses on matched data sets, and provide matched data sets (either identifiable, limited, or de-identified, as permitted by the laws, rules, and regulations governing data disclosure by *DOP* and the other parties contributing data to the matched data sets) to other parties to this agreement serving as data recipients, pursuant to applicable Data Project Descriptions.

33. *DOH* can provide aggregated data sets but cannot release individual level data (neither identifiable, limited, nor de-identified data sets) for the purposes of TPC analyses. *DOH* can serve as a data recipient for client identifying data and, resources permitting, can match data sets and conduct client-level analyses on matched data sets.

34. *DOL* is prohibited by federal and state privacy statutes and regulations from sharing client identifying data without a specific release from each client. However, *DOL* can serve as a data recipient for client identifying data and, resources permitting, match data sets and conduct client level analyses on matched data sets. Nonetheless, *DOL* is limited to providing only aggregate data and reports, and de-identified data sets, to other parties absent individual specific releases from each client.

35. *DPCA* can provide aggregate data sets from the Integrated Probation Registration System without restriction and other such data sets from which sealed cases have been excluded or de-identified or as otherwise not restricted. It is further understood that any data physically maintained on behalf of *DPCA* by *DCJS* is within *DPCA* control for purposes of this MOU.

36. *OASAS* is prohibited by federal privacy regulations from sharing client identifying data without a specific release from each client. *OASAS* can serve as a data recipient for client-identifying data and, resources permitting, match data sets and conduct client level analyses on matched data sets. In the absence of client consent, *OASAS* is limited to providing only aggregate data sets and reports to other parties.

37. *OCFS* may provide, resources permitting, aggregate data sets, de-identified data sets, limited data sets, or identifiable data sets pursuant to certified data projects and, resources permitting, can match data sets, conduct person-level analyses on matched data sets, and provide matched data sets (either identifiable, limited, or de-identified, as permitted by the laws, rules, and regulations governing data disclosure by *OCFS*) to other parties to this agreement serving as data recipients, pursuant to applicable Data Project Descriptions.

38. *OMH* may provide health information in aggregated data sets or de-identified data sets. *OMH* may also provide health information in limited data sets pursuant to a standard Confidentiality and Non-Disclosure Agreement and a Data Exchange Agreement, provided the proposed use of the data is judged by *OMH* to constitute bona fide research. *OMH* can serve as a data recipient for client identifying data and, resources permitting, match data sets and conduct client level analyses on matched data sets.

Request and Certification Procedures

39. Each instance of a need to prepare and analyze a special data set requires a separate data project description and data project certification.

40. One of the parties to this agreement will be designated to serve as the lead agency for each data project, based on the recommendation of the Research and Information Support Team chairperson, with the approval of the Steering Committee representatives from the agencies participating in the data project.

41. The Research and Information Support Team representative from the lead agency will coordinate preparation of the data project description, certification by the parties serving as data providers and data recipients for the data project, construction and maintenance of the necessary data set, and the analyses specified in the data project description.

42. The data project description must include the following elements:

- a. The purpose of the project and the questions to be addressed by the project;
- b. A definition of the cohort or sample of cases to be analyzed and an explanation of how cases will be identified and selected;
- c. Identification of the parties that will serve as data providers and data recipients;
- d. A list of the data elements or explanation of the types of data needed to support the proposed analyses, presented separately for each prospective data provider;
- e. An explanation of matching criteria and procedures, including matching sequence if more than two data providers will be contributing data;
- f. A summary of anticipated analyses and products; and
- g. Designation of the party or parties to conduct analyses.

43. The data project description will be reviewed for feasibility and compliance with the provisions of this agreement by the Research and Information Support Team representatives of the parties designated as data providers and data recipients for the proposed project, drawing on the expertise of other staff in their respective agencies as appropriate.

44. If satisfied that the proposed data project complies with the provisions of this agreement and does not violate the policies of their respective agencies, each Research and Information Support Team representative of the parties designated as data providers and data recipients for the proposed project will sign a certification form, included with this MOU as Attachment A, which

- a. Identifies the parties designated as data providers and data recipients;
- b. Certifies that the associated data project description conforms in all respects to the requirements for a data project description as specified in this MOU and describes a data project that conforms in all respects to the provisions of this MOU;
- c. Certifies that individuals for whom case record data are requested are the subjects of bona fide TPC Analyses being conducted or coordinated by the lead agency as described in the associated data project description;
- d. Certifies that any data obtained by data recipients from data providers will only be used for the purposes described in the associated data project description;

Module 4: Appendix C

- e. Includes a summary of the kinds of data requested from each data provider and certifies that the associated data project description includes a specific listing of the data items requested from each data provider.

45. A completed certification form signed by the Research and Information Support Team representatives of the parties designated therein as data providers and data recipients shall constitute authorization to proceed with the data project as described in the associated data project description.

Disclosure of Findings

46. The findings of TPC analyses conducted pursuant to certified data projects will be reviewed by data providers to correct factual errors, misinterpretations of data elements, or misinterpretation of agency policies prior to being disclosed to the Steering Committee or its workgroups.

47. The data exchanged among the agencies that are parties to this agreement may be protected by law, rule, or regulation, and the findings of TPC analyses are confidential policy advice to the Steering Committee and its workgroups and will not be disclosed by any party to this agreement to any person or organization that is not party to this agreement without the explicit approval of the TPC Steering Committee and the agencies that contributed data to the analyses.

Term and Termination

48. This agreement shall take effect for each individual party immediately upon signature by that party, and shall remain in effect for each individual party so long as that party remains committed to the TPC data sharing initiative.

49. Each party shall have the right to terminate its participation in this agreement immediately upon written notice to the other parties.

50. This agreement may be modified or amended upon written notice of approval by a majority of members of the TPC Steering Committee and the unanimous written consent of the parties to this agreement.

Module 4: Appendix C

Signatures

51. In witness whereof, the parties signed this agreement on the day and year appearing opposite their respective signatures.

NEW YORK STATE DIVISION OF CRIMINAL JUSTICE SERVICES

By: _____ Title: _____
Date: _____

NEW YORK STATE DEPARTMENT OF CORRECTIONAL SERVICES

By: _____ Title: _____
Date: _____

NEW YORK STATE DIVISION OF PAROLE

By: _____ Title: _____
Date: _____

NEW YORK STATE DEPARTMENT OF HEALTH

By: _____ Title: _____
Date: _____

NEW YORK STATE DEPARTMENT OF LABOR

By: _____ Title: _____
Date: _____

NEW YORK STATE DIVISION OF HOUSING AND COMMUNITY RENEWAL

By: _____ Title: _____
Date: _____

NEW YORK STATE DIVISION OF PROBATION AND CORRECTIONAL ALTERNATIVES

By: _____ Title: _____
Date: _____

NEW YORK STATE OFFICE OF ALCOHOLISM AND SUBSTANCE ABUSE SERVICES

By: _____ Title: _____
Date: _____

NEW YORK STATE OFFICE OF CHILDREN AND FAMILY SERVICES

By: _____ Title: _____
Date: _____

Module 4: Appendix C

NEW YORK STATE OFFICE OF MENTAL HEALTH

By: _____ Title: _____
Date: _____

NEW YORK STATE OFFICE OF MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES

By: _____ Title: _____
Date: _____

NEW YORK STATE OFFICE OF TEMPORARY AND DISTABILITY ASSISTANCE

By: _____ Title: _____
Date: _____

ATTACHMENT A: CERTIFICATION FORM

Certification by Data Recipients

WHEREAS, the data recipients listed below request permission from the data providers listed below to compile and analyze certain case record information specified in the attached Data Project Description, in accordance with the provisions of the attached “Memorandum of Understanding Concerning Sharing Of Data And Other Data Analysis Resources Among Agencies Participating In The New York State Transition From Prison To Community Initiative” (hereinafter “the MOU”) first executed on <mm/dd/yyyy>;

1. The undersigned data recipients certify that the attached Data Project Description conforms in all respects to the requirements for a Data Project Description as specified in the attached MOU and describes a data project that conforms in all respects with the provisions of the attached MOU;
2. The undersigned further certify that the individuals for whom case record data are requested are the subjects of bona fide TPC Analyses being conducted or coordinated by the Lead Agency as described in the attached Data Project Description;
3. The undersigned further certify that any data obtained from data providers pertaining to the individuals for whom case record data are requested will only be used for the purposes described in the attached Data Project Description;
4. The undersigned further certify that the attached Data Project Description includes a specific listing of the data items requested from each data provider, which listing may be summarized as follows:

brief paragraph summarizing kinds of data requested to be inserted here>

5. The undersigned further certify that only the appropriate data managers and analysts of the data recipients or their agents will have access to the data, and that the data recipients and their agents will comply in all respects with the procedures, requirements, and conditions specified in the MOU

Data Recipients	Research and Information Support Team (RIST)			Date
	Representative			
	Name	Title	Signature	
(Lead Agency)				

CERTIFICATION FORM (CONTINUE D)

Approval by Data Providers

The undersigned agree that the data providers listed herein shall provide the items of case record information specified in the attached Data Project Description, to the extent such items are contained in data providers' files, subject to the terms and conditions of the attached MOU.

Data Providers	Research and Information Support Team (RIST)			Date
	Representative			
	Name	Title	Signature	

TJC Baseline Measures Jail Population Characteristics

I. Demographic Breakouts

- # of individuals booked in the county jail per reporting period¹
- # /% of individuals booked multiple times (3 or more) during reporting period (% = # of individuals with multiple bookings/ total # of individuals booked)
- #/% first time arrestees
- #/% with multiple priors, and range, mean, median # of priors among clients with priors
- Age – range, mean, median for individuals booked during the reporting period
- Race/Ethnicity – #/% by category
- Sex – #/% by category
- Offense type – #/% by category (i.e., drug/person/property)
- Offense severity - #/% by category (misdemeanor; felony; municipal, parole violation, other)
- Length of Stay (LOS) – mean, median in days; may calculate mean and median of hours for book and release
- #/% with mental health flag
- #/% with substance abuse flag
- Initial Classification Score – #/% by category (i.e., high/medium/low risk); range of scores if risk classification is based on a score generated from the assessment.

II. Status type - by age, race, sex, offense type, criminal history (none, moderate, extensive), and LOS (mean, median # days in jail)

- #/% book and release
- #/% release within 48-72 hours
- #/% pre-trial
- #/% sentenced;
- #/% in for technical violations
- #/% other status (?)

III. Returning Clients (frequent fliers) – by age, race, sex, offense type

- Total #/% of clients with 3 or more jail stays (custody events) in 12-month period
- # returns per client (average # of times in custody regardless of duration) in 12-month period among those clients with 3 or more stays – range, mean, median
- Duration of stay – mean, median # of days in jail for subsequent stays

IV. Screening/ Assessment/Needs (LSIR?)

- #/% clients screened at booking/intake (%=# individuals screened/ total # booked)
- #/% clients assessed (% = # individuals assessed/ total # booked; ideally would want to know % and # assessed of those flagged for assessment at screening)
- # days between screening and assessment – range, mean, median
- #/% mental health flag that are screened, assessed, served
- #/% substance abuse flag that are screened, assessed, served
- #/% homeless at booking²
- #/% employed at booking, by status (full time, part time, seasonal/sporadic)
- #/% with GED or high school, college, etc at booking (educational status)

¹ There is some flexibility in defining this initial reporting period. For example, the reporting period could focus on one month of data (September 2008); this would provide a snapshot of the jail population. A longer reporting period, such as January-June 2008, would provide a more comprehensive picture of the jail population.

² *Would also want to know where people are released -- # with a permanent address live, or to where they anticipate returning upon release (geographic location) – would want to know both.

V. In-Jail Services and Programming

- # inmates (unduplicated) enrolled in services/programs, by type
- Average # hours of services/programming received
- #/% completing programs
- #/% non-completers, by reason (released, dropped out, etc)
- #/% eligible for Life Skills program; #/% referred and served by Life Skills program
- #/% eligible for other in-jail programs; #/% referred and served by other programs (by program type, if possible)

VI. Criminal History Breakouts

- Age at first arrest – range, mean, median
- Age at first conviction – range, mean, median
- First arrest offense (report on offense categories)
- First conviction offense (report on offense categories)
- *Types of crimes committed (specialist vs generalist) – individual level measure*
- Prior arrests – #/%clients; range, mean and median # arrests, offense type
- Prior convictions – #/%clients; range, mean and median # convictions, offense type
- Prior jail stays* – #/%clients; range, mean and median # stays (*could run for incarcerations*)

Correctional Facilities Performance Indicators

Main Jail					
Indicator	Output		Outcome		Goals
Compliance on MDOC inspections.	Number of MDOC inspections in this time period.		Rate of compliance on MDOC inspections. (Determined by looking at the "Operations Inspection Form" completed by the jail inspectors during their yearly inspections, and dividing the number of Administrative Rules we complied with by the total number of 37 Administrative Rules.)		100%
	Total for this month	# Year to date	% for this month	Year to date %	
	1	1	100%	100%	
Assaultive inmate rule violations.	Number of assaultive inmate rule violations. (Determined by counting the number of violations in the Main Jail of V215, V216, V218, V222, V302, V303, V304, V308, V312, V318, V319, or V320 during this time period.)		Rate of assaultive inmate rule violations per 100 inmates. (Determined by counting the number of assaultive violations in the Main Jail during this time period, divided by admissions into the Main Jail in this time period, and multiplying by 100.)		.80
	Total # for this month	# Year to date	for this month	Year to date	
	23	133	.93 per 100	.90 per 100	
Inmates receiving 14 day physicals.	Number of inmates receiving 14-day physicals. (Determined by the records kept in Intake by medical that track the number of inmates who came into Intake, didn't refuse the physical, weren't released, and received a physical within 14 days. Info obtained from PHS.)		Percentage of inmates receiving 14-day physicals. (Determined by dividing number of inmates who received a physical by the total number who came into Intake, didn't refuse the physical, and weren't released within 14 days. Info obtained from PHS.)		90%
	Total # for this month	# Year to date	% for this month	Year to date %	
	165	1073	98.9%	99.4%	

Community Reentry Center and Honor Camp					
Indicator	Output		Outcome		Goals
Partnerships with other agencies.	Number of partnerships with other agencies. (List of agency names available.)		Percentage of partnerships that are active.		12
	Total # for this month	# Year to date	Total % for this month	Year to date %	
	14	14	100 %	100 %	
Inmates who are productive during their stay.	Number of inmates who were productive. (Based on the last week in the month of the "Production Hours" spreadsheet that counts the eligible inmates on work release, working as trustees, in SLU, or in the GED program.)		Percentage of inmates who were productive. (Determined by dividing the number of productive inmates by the number of inmates who were there at least one calendar week.)		60%
	Total # for this month's snapshot		Total % for this month	Average % Year to date	
	91 out of 119 eligible		76%	70%	
Inmates employed.	Number of inmates placed in jobs. (Determined by the "Resident Information Sheet" '06 Excel file.)		Percentage of inmates placed in jobs. (Determined by dividing the number of working inmates by the number of inmates who are sentenced, have longer than 30 days left on their sentence, and have no medical restriction.)		80%
	# Year to date		% Year to date		
	172 out of 330 eligible		52%		

The following table is a year-to-date accounting of completions by the inmates in the Sober Living Unit, Kent County Jail's intensive substance abuse treatment program.