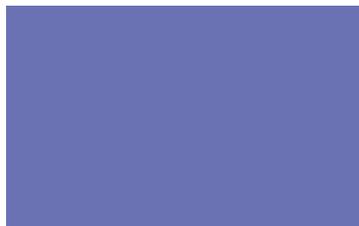
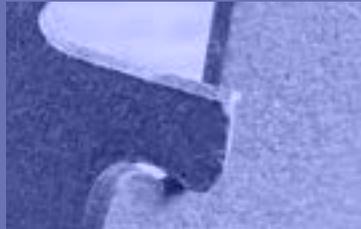
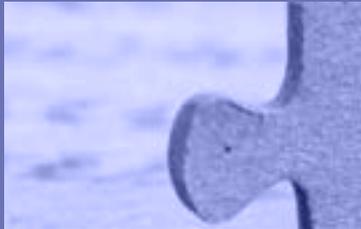
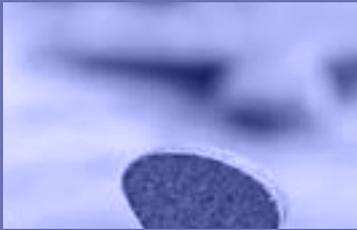


Community  
Justice  
**Outcomes,  
Performance  
and  
Improvement  
Framework**





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# Introduction



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“ The New Model for Community Justice acknowledges that offending is a complex problem, one which creates victims, damages communities and wastes potentials. It also appreciates the well-established links between persistent offending and wider social factors such as poverty, homelessness, addiction and mental illness.”

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## Introduction

The Scottish Government is committed to preventing and reducing further offending and securing better outcomes for people with convictions, victims and communities.

The New Model for Community Justice acknowledges that offending is a complex problem, one which creates victims, damages communities and wastes potentials. It also appreciates the well-established links between persistent offending and wider social factors such as poverty, homelessness, addiction and mental illness. Therefore, key to preventing and reducing further offending and promoting desistance is meeting the often complex needs of people who have offended.

Equally important is to recognise the many different individuals and organisations (Third Sector, public and private) that are involved in the planning, design and delivery of services to support these complex needs. Successful delivery of better outcomes for people with convictions, victims and communities relies therefore on a wide partnership of agencies and services working together, engaging with local communities and listening to the voices of those affected by offending.

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## The Model for Community Justice in Scotland

The new model for community justice in Scotland, in place from 01 April 2017, has been designed to bring together individuals and organisations to deliver a community solution to achieving improved outcomes for community justice; to prevent and reduce further offending; and to support desistance, including supervision where necessary. It builds upon investment made by the Scottish Government and Local Government in community planning and strengthened provisions under the Community Empowerment (Scotland) Act 2015. As we are empowering communities, so too are we empowering the individuals and organisations who deliver improved outcomes for community justice.

Specifically, the model has the following key elements:

- Local strategic planning and delivery of community justice services - **collectively**;
- Duties on a defined set of **community justice partners** to engage in this local strategic planning and delivery with accountability for planning and performance residing at this level;

- 
- The creation of **Community Justice Scotland** to provide leadership for the sector, opportunities for innovation, learning and development and independent professional assurance to Scottish Ministers on the collective achievement of community justice outcomes across Scotland and to provide improvement support where required; and
  - A focus on **collaboration**, including the opportunity to commission, manage or deliver services nationally where appropriate.

These elements are supported by the Outcomes, Performance and Improvement Framework and the National Strategy for Community Justice which set out the vision and aims for improved community justice outcomes and provide a structure for how we will achieve these aims. Additionally, both these documents have been placed on a statutory footing in the Community Justice (Scotland) Act 2016<sup>1</sup>.

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## Why do we need an Outcomes, Performance and Improvement Framework for Community Justice?

### The Scottish Government's Vision for Community Justice

Scotland is a safer, fairer and more inclusive nation where we:-

- prevent and reduce further offending by addressing its underlying causes; and
- safely and effectively manage and support those who have committed offences to help them reintegrate into the community and realise their potential for the benefit of all citizens.

The vision for community justice is ambitious and far-reaching, encapsulating the holistic and collaborative approach which lies at the heart of the new model for community justice. It is right, then, that we take an equally ambitious approach to achieving better outcomes for communities across Scotland; one which accounts for contributions to the common purpose from as broad a range of partners as is possible and is underpinned by sound assurance under the principle locally of collective responsibility. The Outcomes, Performance and Improvement (OPI) Framework provides for this ambitious approach and exists to guide and support Community Justice Partners as they improve community justice outcomes in their areas.

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<sup>1</sup> <http://www.legislation.gov.uk/asp/2016/10/contents/enacted>

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In part, the need for the new OPI Framework stems from criticism of previous community justice models for their inability to accurately measure, understand, and cost out or evidence success. However it also addresses the clear desire, voiced during the public consultations to develop the new model for community justice, for both the better sharing of good practice and for assurance that improved outcomes are being delivered. In so doing, it will also highlight the importance of the impact that community justice services can have on the lives of affected individuals.

This is the reason why the model for community justice is defined by an improvement culture through the establishment of the National Outcomes, Performance and Improvement Framework.

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## Purpose of the Outcomes, Performance and Improvement Framework

The Outcomes, Performance and Improvement (OPI) Framework provides community justice partners and Community Justice Scotland with real opportunities to measure progress, drive improvement, offer consistency and transparency and link decisions and actions to analysis of need and what works, leading to increased efficiency and effectiveness. It is not intended to as a simple performance management tool but as a means to provide community justice partners with the information they need to focus efforts on the improvements that matter to their local areas. In doing so it allows community justice partners and Community Justice Scotland to report on achievements as well as identify issues and blockages and evaluate the impact of services on person-centric outcomes.

The Community Justice (Scotland) Act 2016 provides the statutory basis to monitor continuous improvement through effective planning and performance management. A key element of this is the Outcomes, Performance and Improvement (OPI) Framework, known as the 'performance framework' in the Act.

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## Who will use the Outcomes, Performance and Improvement Framework?

The audience for the OPI framework, as a whole, is three-fold:

1. Statutory community justice partners as outlined in the Community Justice (Scotland) Act 2016 are required to plan and report against the common outcomes, referred to as “nationally-determined” in the Act and to report using the national indicators;
2. Community Justice Scotland who will use the framework in its assurance function;
3. The framework will also be of relevance to the third sector, communities and other stakeholders with a role in improving community justice outcomes locally.

Within these groups, there will be elements of the framework which are particularly useful for people holding specific roles, such as those overseeing the delivery or commissioning of services who can use tools such as the ‘5 Step Approach to Evaluation’ to monitor the outcomes at a service level and for individuals.

This document should be read in conjunction with its companion documents:

1. ‘Community Justice Outcomes, Performance and Improvement Framework – Definitions, Methods and Sources’, which provides further detail on the indicators, methods of collection and identified data sources; and
2. ‘Community Justice Outcomes, Performance and Improvement Framework – Frequently Asked Questions’, which provides answers to some of the frequently asked questions on the OPI Framework.

These companion documents will be kept under review and added to or amended as required. In particular, the ‘Definitions, Methods and Sources’ document is likely to be highly iterative in nature as the OPI Framework has been designed to drive behaviour under what is a new model and way of working. Therefore, some data sources may not yet be in operation. See Chapter Three for more detail on capturing the data, together with the relevant section in the Guidance on the new model for Community Justice.

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## What is Community Justice Scotland's role in the Outcomes, Performance and Improvement Framework?

Community Justice Scotland's role in the Outcomes, Performance and Improvement Framework is three-fold:

1. Using the framework in its assurance and improvement support function – see Chapter Six for more detail;
    - Considering whether partners' plans cover the full range of outcomes;
    - Reviewing partners' annual reports to identify good practice and where improvement support may be offered;
    - Working with statutory Community Justice Partners, the Scottish Government and broader partners and stakeholders in support of the behaviours required to meet improved outcomes;
    - In making recommendations to Scottish Ministers on further action required;
    - Developing the annual report for Scottish Ministers on how the improvement of community justice outcomes is being progressed across Scotland.
  2. Considering whether the evidence has changed:
    - Reviewing examples of practice shown in plans and reports;
    - Developing guidance and research through its Hub function;
    - Working with analysts and partners on the evidence base.
  3. Reviewing the efficacy of the OPI Framework:
    - Does it do what it sets out to do?
    - What is the feedback from partners on its usage?
    - Has the evidence changed?
    - Can it be improved upon?
    - Making recommendations to Scottish Ministers as to any required changes on the OPI Framework.
-

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## Which elements make up the Outcomes, Performance and Improvement Framework?

The OPI Framework has the following contents which are detailed further in the remaining chapters of this document:

- The quality statement and quality principles for community justice – Chapter Two;
- The common set of outcomes and indicators – Chapter Three;
- The ‘5 Step Approach to Evaluation’ – Chapter Four;
- The approach to scrutiny and inspection – Chapter Five;
- Performance processes – Chapter Six.

In addition, this document sets out in Chapter Seven the review and governance for the framework, in which Community Justice Scotland is closely involved; and, in Chapter Eight, details on the implementation of the OPI Framework once published.

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## Development of this version of the Outcomes, Performance and Improvement Framework

Just as the model for community justice requires a broad range of partners to come together to deliver improved outcomes for individuals and communities across Scotland, so too the development of the OPI Framework required such a range of partners to come together to consider the right way forward in providing a toolkit for continuous improvement under the model.

Indeed, the development of the OPI Framework has not happened overnight. It has required nearly two years of considered thought, workshops and input from the following partners and stakeholders who came together in the Outcomes, Performance and Accountability Working Group:

- Association of Local Authority Chief Housing Officers – ALACHO;
- Care Inspectorate;
- Community Justice Authorities;
- Community Justice Co-ordinators;
- Community Planning Managers;
- COSLA;
- Criminal Justice Voluntary Sector Forum – representing the Third Sector;
- Health Boards – Public Health;
- Local Authorities – including Criminal Justice Social Work;

- 
- Police Scotland;
  - Risk Management Authority Scotland;
  - Scottish Prison Service
  - Scottish Government Policy Justice Analytical Services; and
  - Social Work Scotland.

Those statutory Community Justice Partners not directly represented on the Working Group were engaged with via local and national events and membership of the Redesign and Performance Management of Community Justice Project Board or its Statutory Partners Group.

Wherever possible, the Working Group has built on existing tools or approaches. However, recognising that the framework supports a new, ambitious vision for community justice the Group has also developed a suite of outcomes and indicators designed to drive behaviour towards meeting the aims contained within the National Strategy for Community Justice.

The Working Group reported on its progress to the Redesign and Performance Management of Community Justice Project Board.

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## Can the Outcomes, Performance and Improvement Framework be updated?

One of the key principles behind the new model for community justice is that it aids in driving improvement for communities across Scotland. It follows, therefore, that the very framework which seeks to assist in this can itself be improved upon as required.

The OPI Framework has, therefore, been designed to be flexible and to evolve as experience in the operation of the new model for community justice grows throughout Scotland. It has been developed based on best current available evidence and policy. As these develop, the OPI framework will be reviewed and updated as required. Likewise, if elements of the Framework are found not to be as effective as they could be in improving outcomes, they can be reviewed and updated.

This is enshrined in Section 18 of the Community Justice (Scotland) Act 2016 which specifies for the review of the framework, no later than five years after the framework is published and then from time to time, but no later than five years after the last review.

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The task of reviewing the OPI Framework will fall to Community Justice Scotland, working with partners and stakeholders. Scottish Ministers retain ownership of the OPI Framework, with a role to consider proposals put to them by Community Justice Scotland and publish updates to the OPI Framework as required.

Further details on the governance of the Framework can be found in Chapter Seven.

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## How does the Outcomes, Performance and Improvement Framework fit with the National Strategy for Community Justice and the Guidance?

The OPI Framework sets out the outcomes we believe are required to achieve the vision presented in the National Strategy for Community Justice.

It is recognised that both the vision and the outcomes cannot be achieved overnight and that improvement will require a step-change approach.

Therefore, the National Strategy sets out the priority improvement actions required, over a five year period, to make progress against the outcomes contained in the OPI Framework.

The OPI Framework then gives tools to support said improvement, allowing partners to:

- set their baseline, assessing their contribution;
  - take a quality approach to evaluating both services and their collective activity, including a focus on the outcomes achieved for service users; and
  - report on progress, recognising both strengths and areas for further development.
-

The Guidance on the new model for community justice is intended to support the statutory community justice partners (“the statutory partners”) and other community justice partners and stakeholders to understand their roles to help deliver the new model for community justice. It will also be of relevance to the third sector, communities and other stakeholders involved in community justice.

It contains statutory guidance, outlining the steps that partners must follow in the development of their plans, as well as further information and support on the new model of community justice. The latter covering areas which include:

- The National Strategy for Community Justice;
- This OPI Framework for Community Justice;
- Partnership working for Community Justice;
- Engagement and Consultation;
- Community Justice Resources;
- Partners’ relationship with the Community Justice Scotland and Scottish Ministers; and the

- Local Planning Context; key national strategies; legislative frameworks; further detail on effective use of evidence-based interventions; details on victims’ organisations; and high-level information on how to use community justice needs assessment, data sources and logic models to design and evaluate community justice interventions.

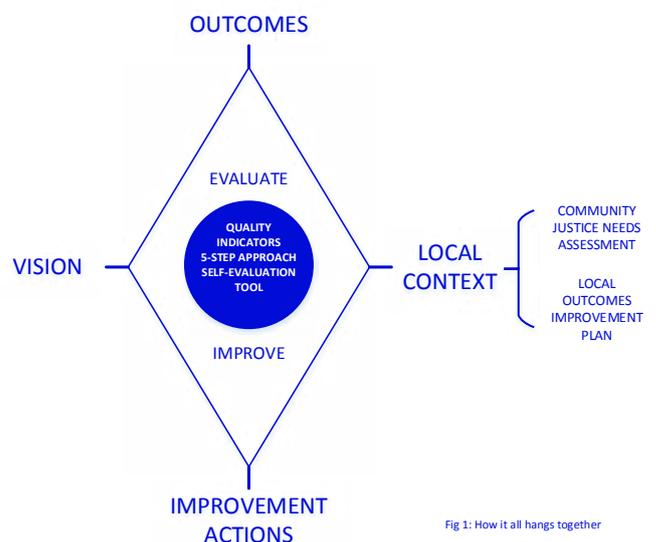


Fig 1: How it all hangs together

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In using the model on page 10, community justice partners would work with the Third Sector, community bodies, people with lived experience, the wider community and other stakeholders to:

- Have regard to the vision in the National Strategy;
- Develop a 'community justice needs assessment' of their local community, using existing profiles and available data;
- Understand how current services are meeting these needs and whether the required benefits are being realised – the '5 Step Approach to Evaluation' provides a valuable guide to approaching this task;
- Consider the priorities contained within their Local Outcomes Improvement Plan (LOIP) for their area;
- Baseline their achievement against each of the common outcomes, using the national indicators and identify priorities for action against both these and the improvement actions contained within the National Strategy for Community Justice;
- Detail priorities for action in their Community Justice Outcomes Improvement Plans;

- Monitor delivery and achievement – the self-evaluation tool may be used here or at other stages of the planning, delivery and reporting cycle;
- Understand the impact of services and the achievement of structural outcomes on achieving the person-centred outcomes for individual service users; and
- Report on progress against the plan on an annual basis.

Depending upon findings, partners may undertake any strategic commissioning as a result of their evaluation, using available evidence and best practice and developing new or replacement services as required.

Further information on setting the baseline and the community justice needs assessment can be found in Chapter Six.

The Guidance for the new model for community justice provides more detail on both these, the duties required under planning and performance and covers areas such as engagement and consultation which are referenced in the outcomes and indicators.



# The Quality Statement and Quality Principles for Community Justice



# 2

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“ Although the new model for community justice does not mandate how community justice partners should take forward their service delivery or what services should be delivered locally, there are some key principles which should guide partners in their task ahead.”

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## Purpose

This document looks to align all activity under community justice to a set of quality principles to deliver an integrated and localised approach to Community Justice.

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## How should these be used?

In delivering improved community justice outcomes, it is crucial to consider not just the destination but the journey. To be sustainable and ethical, how outcomes are improved is just as important as what improvement has been made.

Although the new model for community justice does not mandate how community justice partners should take forward their service delivery or what services should be delivered locally, there are some key principles which should guide partners in their task ahead. These are outlined in the quality statement.

Partners should refer to these principles in considering how to take forward their duties under the new model; in designing, commissioning, planning and delivering services; and evaluating the outcomes achieved from such.

The Quality Statement shown on pages 15 and 16 has been designed to standalone for partners to use locally.

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## Quality Community Justice

### Community Justice Quality Statement for Scotland

The New Model for Community Justice looks to align all activity to the three Quality Ambitions with further guiding principles in the goal to deliver a consistent, integrated and localised approach to Community Justice.

Quality Ambitions		
Every person with lived experience of community justice has a positive story to tell of support for their desistance or integration into the community	All partners work together in delivering improved community justice outcomes to achieve lasting change across Scotland	Interventions have a sound evidence base and are proportionate to the need to prevent and reduce further offending and protect the public

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## Quality Principles

### **Connected**

Services will be designed and delivered at a local level through partnership with the community and with people with lived experience, receiving advice and guidance from the national level as appropriate. People at different stages of the community justice pathway will, wherever possible, remain connected with existing services they use and with their communities, recognising that individuals will increase resilience and, wherever possible, move on from being supported by specialist services.

### **Person centred**

People will receive an individualised approach to identify and help address the circumstances that may lead to further offending and to support their desistance. Services will be delivered free from stigma and will be accompanied by the provision of appropriate information.

### **Effective**

Ambitious, collaborative methods will be championed to drive the improvement and development of services, where resources are used innovatively and efficiently. Services will be outcome-focused and based upon evidence of what works. A strategic approach will be taken to planning, commissioning and delivery so that activities undertaken will align with desired outcomes for community justice and all partners understand the contribution they have to make.

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## Driving Improvement through Quality and Assurance

The new model for community justice is defined by an improvement culture. In delivering improved community justice outcomes, it is crucial to consider not just the destination but the journey. To be sustainable and ethical, how outcomes are improved is just as important as what improvement has been made.

Although the new model for community justice does not mandate how community justice partners should take forward their service delivery or what services should be delivered locally, the key principles shown overleaf should guide partners in their task ahead.

Assurance is provided locally through self-evaluation and reporting on a set of common outcomes and indicators. Locally, therefore, each area should develop a mechanism where this self-evaluation and performance is reported on. This work will be supported nationally by Community Justice Scotland. Further assurance may be provided, as required, via the multi-agency joint inspection regime for community justice.

Quality has been at the heart of developing the set of common outcomes and indicators for community justice.

Quality measures in a community justice setting may focus on:

- User experience;
- Workforce experience;
- User reported outcomes;
- The effectiveness of local leadership;
- Communication and information sharing;
- Level of co-production with people using services;
- Implementation of a person-centred approach;
- Community feedback on their involvement;
- Level of positive and negative media reports;
- That partners not only pool but share resources in a way which transcends organisational ownership of such resources.

In considering how to take forward their duties under the new model and in designing, commissioning, planning and delivering services and evaluating the outcomes achieved from such, partners should refer to this Quality Statement.



# The set of Common Outcomes and Indicators



# 3

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“ A suite of common indicators, referred to as “relevant national indicators” in the Community Justice (Scotland) Act 2016 have been developed to accompany the common outcomes.”

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## Background

Based on existing evidence and engagement with a range of partners and stakeholders, a set of common outcomes and indicators have been developed which are strongly linked to supporting an individual’s desistance from offending.

The common outcomes referred to as “nationally-determined outcomes” in the Community Justice (Scotland) Act 2016, are:

Common across Scotland, allowing us to:

- Recognise that we all have a contribution to make to improving outcomes relating to community justice;
- Consistently monitor progress against the vision for community justice;
- Share best practice and lessons learned between local areas and partners;
- Maintain a focus on evaluating changes in person-centred outcomes for people involved in community justice services;
- Identify where further action may have to be taken at a local and national level, including if updated improvement actions are required in the National Strategy.

Applicable at a local level, allowing partners to:

- Identify which of the common outcomes are a priority for improvement action locally;
- Recognise the impact of the delivery of services on the lives of service users, including where services are co-produced;
- Report on success and lessons learned against each outcome.

It is expected that progress will be made across Scotland against all of the common outcomes. The section within this chapter on “How these Common Outcomes and Indicators should be used” explains in more detail the responsibilities upon statutory Community Justice Partners.

A suite of common indicators, referred to as “relevant national indicators” in the Community Justice (Scotland) Act 2016 have been developed to accompany the common outcomes.

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## How Were the Common Outcomes and Indicators Developed?

The development of the common outcomes and indicators followed the same governance as that for the rest of the OPI Framework.

Initial development work on the outcomes was based on existing evidence of what is required to deliver medium and long term improvement in terms of preventing and reducing the risk of further offending.

Logic modelling exercises with the Outcomes, Performance and Accountability (OPA) Working Group and additional stakeholders ensured that both the structural and person-centric outcomes were strongly aligned with the high level justice outcomes, moving out to more broadly link with national performance outcomes for Scotland. The 'Community Justice Outcomes Chain' is shown as a high-level logic model at **Annex A**.

Further engagement with representatives from community justice stakeholders, including police, health service, community planning partnerships, criminal justice social work, Scottish Prison Service and the Third Sector identified a diversity of desired outcomes and working practices which are difficult to reflect adequately in a simple set of metrics suitable for direct performance

management. Nor would such direct performance management fit with the collective responsibility of the new model for community justice.

As noted in Chapter One, the focus of the OPI Framework is, therefore, to provide a high level performance reporting structure which allows the full range of community justice partners to assess progress, drive improvement, offer consistency and transparency and link decisions and actions to analysis of local need and what works, leading to increased efficiency and effectiveness. The common outcomes are an integral part of this performance reporting structure.

A set of draft outcomes and indicators were gathered together and these were considered via a prototyping exercise consisting of initial collaborative work with a small number of 'early adopter' community planning partnership areas in order to step through the practical implications of implementing the new model and using the framework for performance reporting.

The exercise resulted in a list of potential indicators for housing, management of Community Payback Orders voluntary sector/ community involvement and user experience.

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These indicators and the common outcomes were then considered and further refined by the OPA Working Group and the Project Board for the Redesign and Performance Management of Community Justice during the early months of 2016 into the set that are now shown in this Chapter.



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## What are the Common Outcomes?

The common outcomes, shown in figure 2, contain both person-centric and structural outcomes. They are based on existing evidence and are strongly linked to supporting an individual's desistance from offending.

The structural outcomes are those which the statutory Community Justice Partners have more direct control over or they may readily influence as they relate to services or actions that they deliver upon; the person-centric ones are those which the statutory Community Justice Partners may have less direct control over as they may be impacted by a range of different factors but in which partners play a key role in supporting and delivering that change. These outcomes are directly linked to the complex needs at an individual level which are so often key to preventing and reducing further offending and promoting desistance.

Both sets of outcomes are equally important because the person-centric outcomes are largely dependent on achievements made under the structural outcomes.

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By way of an example, it is highly unlikely that securing decent housing for individuals can be achieved without good strategic planning, working in partnership and improving access to housing.

Likewise, there is no hierarchy of importance amongst the outcomes. All must be delivered upon, although local areas will consider which outcomes in their area require specific improvement action to achieve progress against. The statutory Community Justice Partners, working with the Third Sector, community bodies and individuals, will have a contribution to make towards all outcomes. Some may require one partner to take a lead in an area but that partner will require the contribution from others to achieve the outcomes, reinforcing the principle of collective responsibility which underpins the new model for community justice.

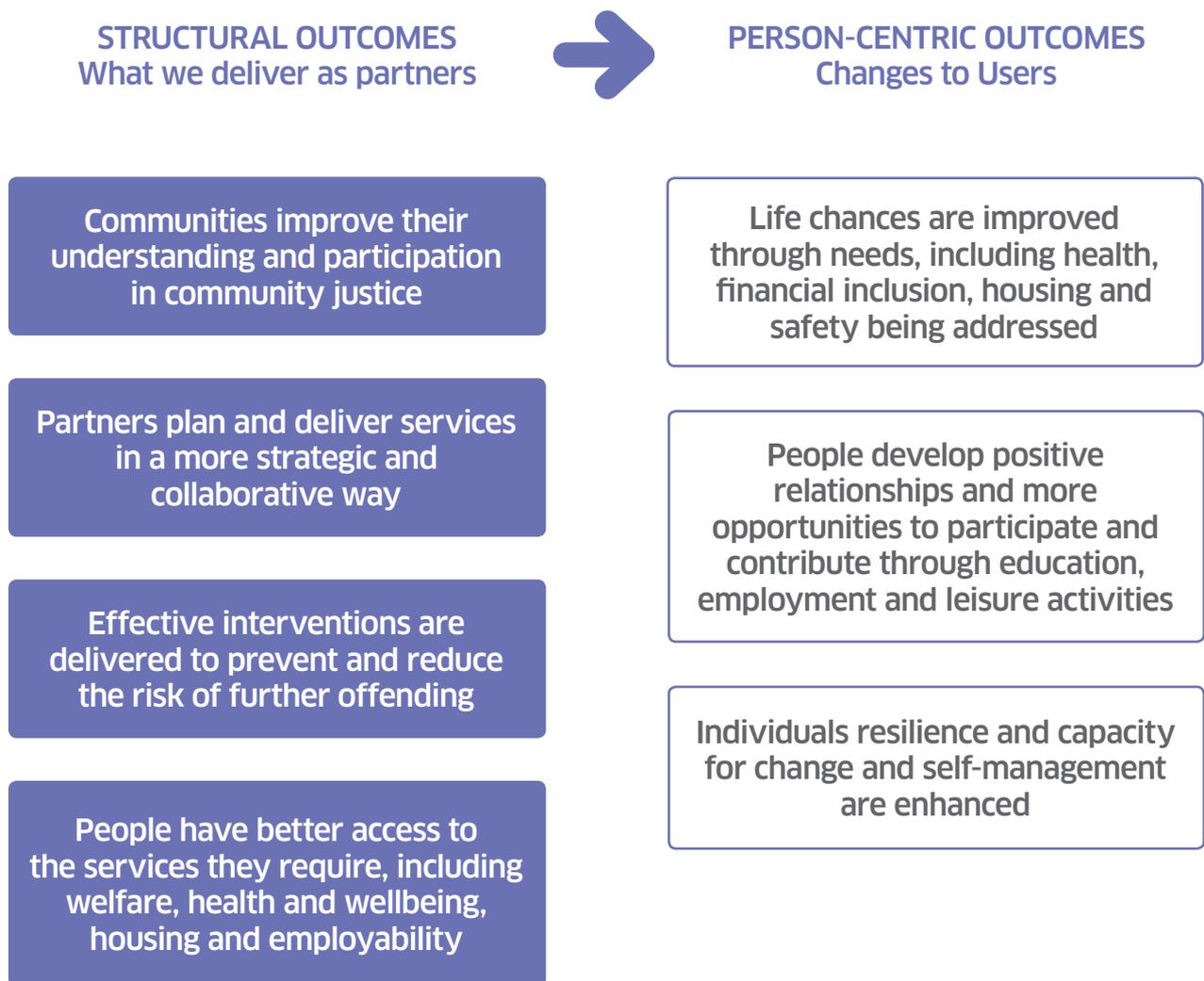
The common outcomes are represented below. The Community Justice Outcomes Chain at **Annex B** shows the flow between what is invested, who is involved, the structural and person-centric outcomes and their link to wider national outcomes for Scotland.

The term “people” refers throughout all outcomes to those with lived experience of the criminal justice system from point of arrest through to returning from custody. In the main, we mean people<sup>2</sup> who have been arrested, diverted from prosecution, have convictions or a history of offending. Generally, children’s needs are considered through children’s services planning. However, for community justice we do include those young people involved with youth justice services who may require to access to community justice services or those transitioning from youth justice to adult community justice services.

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2 To provide further clarification, in the person-centric outcomes the term “people” has been used in the outcome “People develop positive relationships and more opportunities to participate and contribute through education, employment and leisure activities” to reflect that here a relationship has to be between the individual and 1 or more others; whilst the term “individual” has been used in the outcome “Individual’s resilience and capacity for change and self-management are enhanced” as this is about the personal change for the one person

FIGURE 2:  
THE SET OF COMMUNITY JUSTICE COMMON OUTCOMES



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## Structural Outcomes

Outcome	Why is this outcome important?
Communities improve their understanding and participation in community justice	<p>The degree to which the community understands and supports community justice services has a strong effect upon their overall effectiveness. The extent to which the public are willing to engage with people with convictions has a major impact in key areas, for example access to housing and opportunities for employment. Many community justice services are made possible through members of the public offering their time through community groups and volunteering with organisations that seek to prevent and reduce further offending.</p> <p>The visibility of and public attitude towards the community justice landscape is important in encouraging a culture of volunteering that extends to community justice services. Public services that protect and support victims of crimes are also important in terms of fostering confidence.</p>
Partners plan and deliver services in a more strategic and collaborative way	A key focus under the model for community justice is to ensure effective partnership working through establishing joint prioritisation and planning processes, and integrated delivery, working across organisational boundaries to promote synergies and efficient use of resources.
People have better access to the services they require, including welfare, health and wellbeing, housing and employability	The evidence is clear that addressing basic needs such as housing, healthcare and welfare are key to promoting desistance and preventing and reducing further offending. Improving access to services, crucially including initiatives to improve equity of access, will ensure that people who have offended get the support they need, when they need it, to make a real difference to their lives.

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Effective interventions are delivered to prevent and reduce the risk of further offending

A key tenet of the vision for community justice is to prevent escalation of the criminal justice system response through the use of diversion from prosecution and non-court disposals where appropriate, and minimising the use of prison in favour of community sentences and alternatives to remand. Effective interventions are those which are proportionate, timely, tailored to the individual and person-centred. By working to a broader definition of interventions, this outcome brings a wider range of partners than purely justice interventions such as health and those delivered by the Third Sector.

The above outcomes are expected to lead to improved person-centric outcomes, as portrayed in the Community Justice Outcomes Chain at **Annex B**.

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## Person-centric Outcomes

Outcome	Why is this outcome important?
Life chances are improved through needs, including health, financial inclusion, housing and safety being addressed	Individuals within the criminal justice system experience poorer physical and mental health in comparison to the general population. It is also generally accepted that there is a well-established link between substance misuse and offending behaviour. It is acknowledged that insecure housing is an issue that disproportionately affects those who have been convicted and this outcome seeks to address this disparity. Having access to a regular income can promote desistance and an individual's capacity for change.
People develop positive relationships and more opportunities to participate and contribute through education, employment and leisure activities	There is consistent evidence that maintained or improved relationships with families, peers and community reduces the risk of re-offending <sup>3</sup> . There is also a strong link between educational and developmental opportunities and a lowered risk of reoffending.
Individual's resilience and capacity for change and self-management are enhanced	Resilience is the capacity for successful adaptation, positive functioning or competence under adverse conditions: this is an important factor in the desistance journey. Desistance research also stresses the importance of individuals' self-efficacy and agency (that is, belief in one's own ability to complete tasks), and suggests that establishing a sense of motivation and capacity for change is important in desisting from crime.

In turn, the achievement of the structural and person-centric outcomes will lead to the prevention and reduction of further offending, fewer victims of crime and the achievement of broader social outcomes for Scotland with the latter again shown in the Community Justice Outcomes Chain at **Annex B**.

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<sup>3</sup> Sapouna, M. et al (2015) What works to reduce reoffending: a summary of the evidence <http://www.gov.scot/Publications/2015/05/2480/0>

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## The Indicators for the Common Outcomes

Key to the development of indicators has been striking the correct balance between those which ensure that statutory Community Justice Partners demonstrate the achievement of outcomes to communities and their lines of accountability, with assurance provided across Scotland by Community Justice Scotland, whilst ensuring that this does not become a major data collection exercise.

The following types of indicator have been developed in the table shown from pages 29 to 37:

**Quantitative:** those which require statistical data and analysis. If something is defined as a common indicator here, it must be measured consistently and robustly across local areas. We also need to be clear that some measures will be contextual due to issues of attribution.

**Change and impact:** affords the opportunity to show activity that has been carried out, what this has meant for the local area, the impact of the activity, the resultant change, user and community views; leading to the sharing of good practice. Undertaking the activity is not an end in itself but a precursor to achieving an improved outcome. Partners should consider and measure the improvement, the movement for the service or individual, the impact and the change for people and communities brought about as a result of the activity. The '5 Step Approach to Evaluation' explains this in more depth.

**Contextual information:** contextual drivers, including those of demand, to guide planning rather than direct indicators of performance.

The '5 Step Approach to Evaluation' can be used to aid partners in approaching this task.

## The Indicators for the Common Outcomes

Structural Outcomes				
Outcome	Indicator Type	Indicator	Additional descriptor or measures	Comments
Communities improve their understanding and participation in community justice	Change and Impact	Activities carried out to engage with 'communities' as well as other relevant constituencies	<ul style="list-style-type: none"> <li>■ Impact and the measures for such will differ from activity to activity e.g. a communications strategy and the response to this from the public; a specific event for the judiciary and a change in sentencing; people who use services direct engagement; conference with a feedback mechanism included and measure the response.</li> <li>■ Evidence may also be taken from social media activity e.g. no of followers, no of likes, no of retweets – analytics from social media.</li> </ul> <p>Existing engagement mechanisms should be used wherever possible.</p>	It should be noted that this is a longer-term indicator and measurement should be over a period of time. Partners should first mention the activities and then the impact of these.
			<p>Will include:</p> <ul style="list-style-type: none"> <li>■ Specific consultation for the purposes of community justice planning to identify the needs of the local community in a way which recognises the links and logical pathways between meeting initial needs related to the underlying causes of offending and the knock-on impact to meeting broader community justice outcomes;</li> <li>■ Identifying opportunities for the unpaid work element of CPOs; and</li> <li>■ How consultation on local police plans and those for other partners links to community justice.</li> </ul> <p>Local areas may wish to follow community planning and community safety practice in their area e.g. for localities or asking communities more generally what they need to improve their area rather than targeting on community justice</p>	Partners should be wary that this doesn't just become a process to be followed but, rather must be conducted meaningfully and proportionately with results acted upon appropriately.

## The Indicators for the Common Outcomes (continued...)

Outcome	Indicator Type	Indicator	Additional descriptor or measures	Comments
Communities improve their understanding and participation in community justice	Change and Impact	Participation in community justice, such as co-production and joint delivery.	<ul style="list-style-type: none"> <li>■ Involving people with convictions, victims of crime and families in the development of priorities for the Community Justice Outcomes Improvement Plan;</li> <li>■ Using and building the strengths and capacity of the local community in developing services and support initiatives;</li> <li>■ Joint delivery of said services and support with individuals and communities e.g. via community centres, community cafes.</li> </ul>	
	Change and Impact	Level of community awareness of/satisfaction with work undertaken as part of a CPO	<ul style="list-style-type: none"> <li>■ Evidence from community surveys, recognising that measurement/assessment will vary locally</li> </ul>	
	Change and Impact	Evidence from questions to be used in local surveys/citizens panels etc	<p>Questions must cover the following areas:</p> <ul style="list-style-type: none"> <li>■ Awareness;</li> <li>■ Visibility;</li> <li>■ Understanding;</li> <li>■ Confidence;</li> <li>■ Participation.</li> </ul> <ul style="list-style-type: none"> <li>■ Local areas may wish to focus on specific services and/or on community justice more generally.</li> <li>■ May wish to follow community planning and community safety practice in their area</li> </ul>	Be wary that this doesn't just become a process to be followed but, rather must be conducted meaningfully and proportionately with results acted upon appropriately.
	Quantitative	Perceptions of the local crime rate,	<ul style="list-style-type: none"> <li>■ This is available from Scottish Government surveys being one of core areas used in all of the national social surveys run by the Scottish Government;</li> <li>■ Broken down to a local authority level.</li> </ul>	It is implicit that this indicator covers all of the partners.

## The Indicators for the Common Outcomes (continued...)

Outcome	Indicator Type	Indicator	Additional descriptor or measures	Comments
Partners plan and deliver services in a more strategic and collaborative way	Change and Impact	Services are planned for and delivered in a strategic and collaborative way	<ul style="list-style-type: none"> <li>■ Evidence of effective partnership working e.g. from self-evaluation or a partners or local survey;</li> <li>■ Evidence of planning for joint delivery around prevention and early interventions;</li> <li>■ Evidence of implementation of strategic commissioning approach;</li> <li>■ Evidence of involving communities, including those with a history of or affected by offending, the planning and delivery of community justice services;</li> <li>■ Evidence of effective planning for transitions for children and young people who may need to access community justice services as well as planning for those who transition into adult services.</li> </ul>	Recognition that self-evaluation views may include perception of partners as well as evidence base. Surveys should cover statutory and non-statutory partners.
	Change and Impact	Partners have leveraged resource for community justice	<p>Partners should recognise the potential that exists within themselves, individuals, groups and organisations in their area and the contribution they can make to improved community justice outcomes. They must then leverage this potential or 'resource', including:</p> <ul style="list-style-type: none"> <li>■ Sharing of information, people, facilities - including co-location;</li> <li>■ Funding activities together, recognising economies of scale, opportunity cost and efficiencies;</li> <li>■ Training provided by one partner opened up to other partners;</li> <li>■ Existing services and experience being directed towards improving community justice outcomes</li> </ul>	When developing new or enhancing existing models for delivery
	Change and Impact	Development of community justice workforce to work effectively across organisational/ professional/ geographical boundaries	<ul style="list-style-type: none"> <li>■ Evidence of and evaluation from impact of activities joint training, awareness raising for senior personnel, joint working, shared learning, joint practice studies.</li> </ul>	

## The Indicators for the Common Outcomes (continued...)

Outcome	Indicator Type	Indicator	Additional descriptor or measures	Comments
Partners plan and deliver services in a more strategic and collaborative way	Change and Impact	Partners illustrate effective engagement and collaborative partnership working with the authorities responsible for the delivery of MAPPA	<ul style="list-style-type: none"> <li>■ Evidence that strategic planning and reporting mechanisms for improved community justice outcomes has considered people subject to MAPPA;</li> <li>■ Evidence of joint training/awareness sessions;</li> <li>■ Evidence of collaborative risk management planning</li> </ul>	
People have better access to the services they require, including welfare, health and wellbeing, housing and employability	Change and Impact	Partners have identified and are overcoming structural barriers for people accessing services;	<ul style="list-style-type: none"> <li>■ Partners must show the barriers which have been identified, the activities to overcome these and the results.</li> <li>■ The type and extent of barriers will change from area to area but evidence shows that some are likely to be present in each area including: <ul style="list-style-type: none"> <li>■ barriers to employment, training and education as a result of previous convictions;</li> <li>■ direct or indirect through the implementation of other arrangements e.g. anti-social behaviour processes or specific partner policies or access protocols;</li> <li>■ attitudes of staff, the community and other service users.</li> <li>■ Measures must include user experience that barriers have been overcome.</li> </ul> </li> </ul>	Being able to capture an initial picture may be progress in itself for the first year of operation of the new model e.g. considering employment and housing policies for the local area.
	Change and Impact	Existence of joint-working arrangements such as processes/protocols to ensure access to services to address underlying needs	<p>The arrangements must cover the following journey for an individual:</p> <ul style="list-style-type: none"> <li>■ Point of and following arrest;</li> <li>■ As part of police and fiscal direct measures, disposal/sentencing process;</li> <li>■ While on remand;</li> <li>■ While serving a community or custodial sentence;</li> <li>■ On release from remand or a custodial sentence.</li> </ul> <p>The arrangements should at least cover:</p> <ul style="list-style-type: none"> <li>■ Welfare;</li> <li>■ health and well-being;</li> <li>■ housing; and</li> <li>■ employability</li> </ul>	An example of a measure for a housing protocol is given at <b>Annex B</b>

## The Indicators for the Common Outcomes (continued...)

Outcome	Indicator Type	Indicator	Additional descriptor or measures	Comments
<p>People have better access to the services they require, including welfare, health and wellbeing, housing and employability</p>	<p>Change and Impact</p>	<p>Initiatives to facilitate access to services</p>	<p>Initiatives which will ensure that people who have offended get the support they need, when they need it, to encourage desistance. Including:  <ul style="list-style-type: none"> <li>■ those which improve equity of access;</li> <li>■ Those which support and facilitate an individual to understand how to approach services;</li> <li>■ Those which will advocate on an individual's behalf to support access.</li> </ul> <p>Availability and acceptance by the individual of the support offered measured by:  <ul style="list-style-type: none"> <li>■ Greater take-up of mentoring, throughcare support officers, voluntary and statutory throughcare;</li> <li>■ Greater take-up of initiatives to increase employability skills - including literacy and general education levels - or other pro-social activity.</li> </ul> <p>Impact measured by user experience of accessing services at the various points, linking to progress against the person-centric outcomes.</p> </p></p>	
	<p>Change and Impact</p>	<p>Speed of access to mental health services</p>	<ul style="list-style-type: none"> <li>■ 90 per cent of patients to commence psychological therapy based treatment within 18 weeks of referral, recognising that the data will include the whole community</li> </ul>	

## The Indicators for the Common Outcomes (continued...)

Outcome	Indicator Type	Indicator	Additional descriptor or measures	Comments
People have better access to the services they require, including welfare, health and wellbeing, housing and employability	Quantitative	<p>% of people released from a custodial sentence:</p> <ul style="list-style-type: none"> <li>■ Registered with a GP;</li> <li>■ Have suitable accommodation;</li> <li>■ Have had a benefits eligibility check.</li> </ul>	<ul style="list-style-type: none"> <li>■ Should be used in conjunction with indicators around support on accessing services and interventions.</li> <li>■ Recognises the input required from a range of partners but with data source being from SPS.</li> <li>■ This indicator drives behaviour through partners being required to work together to follow through with individuals the outcome of being registered with a GP, having suitable accommodation and the outcome of having had a benefits eligibility check.</li> </ul>	Used because the point of leaving prison is an important stage. This is a starting point, which will look to expand further.
Change and Impact	Change and Impact	Targeted interventions have been tailored for and with an individual and had a successful impact on their risk of further offending.	<p>An “intervention” can range from something as simple as a programme directly or indirectly intended to reduce and prevent further offending such as:</p> <ul style="list-style-type: none"> <li>■ an intervention aimed at improving the health of people with convictions;</li> <li>■ a third sector or community service intended to improve local community justice outcomes; or</li> <li>■ a justice intervention such as a community sentence.</li> </ul> <ul style="list-style-type: none"> <li>■ Examples should be given of quality needs assessment leading to effective disposals;</li> <li>■ Partners should give examples of such targeted interventions and the user experience and impact of such;</li> <li>■ When considering “interventions”, partners should also consider the support available from family members, friends, employers and the general community which may aid desistance.</li> </ul>	

## The Indicators for the Common Outcomes (continued...)

Outcome	Indicator Type	Indicator	Additional descriptor or measures	Comments
Effective interventions are delivered to prevent and reduce the risk of further offending	Change and Impact	Use of “other activities requirement” in Community Payback Orders (CPOs)	<ul style="list-style-type: none"> <li>Involvement of other partners in the other activities requirements;</li> <li>Examples of creative and innovative use of the other activities requirement such as attending college or training course, resilience training, engaging with a specific needs-focussed service with another partner.</li> </ul>	As a quality indicator to show a person-centred approach is being taken;
	Change and Impact	Effective risk management for public protection	<ul style="list-style-type: none"> <li>Examples of good practice and lessons learned from MAPPA, supervision, relevant statutory orders, staff training and accreditation.</li> </ul>	
	Change and Impact	Quality of CPOs and DTTOs	<ul style="list-style-type: none"> <li>Measures may include user experience from CPO and Drug Treatment and Testing Orders (DTTO) exit surveys covering areas such as being treated with respect, that the individual's attitude toward offending had changed or that the intervention had helped stop or reduce further offending.</li> </ul>	
Quantitative		Reduced use of custodial sentences and remand	<ul style="list-style-type: none"> <li>A quantitative measure which shows the impact of initiatives to shift the balance between custody and use of non-custodial measures and sentences.</li> </ul>	Should be captured annually; may be captured more regularly as local needs dictate. It is recognised that individuals may take a different time to go through the justice process.
		<ul style="list-style-type: none"> <li>Balance between community sentences relative to short custodial sentences under 1 year;</li> <li>Proportion of people appearing from custody who are remanded.</li> </ul>	<ul style="list-style-type: none"> <li>This recognises both prosecutorial and judicial independence but also recognises the impact that partners can have via ensuring both greater consistency in the availability of quality services across Scotland but also working together to ensure awareness of these.</li> <li>Community sentences are defined as those deriving from a court order, including CPOs, DTTOs and Restriction of Liberty Orders (RLOs).</li> </ul>	

## The Indicators for the Common Outcomes (continued...)

Outcome	Indicator Type	Indicator	Additional descriptor or measures	Comments
Effective interventions are delivered to prevent and reduce the risk of further offending	Quantitative	The delivery of interventions targeted at problem drug and alcohol use [NHS Local Delivery Plan (LDP) Standard]	<ul style="list-style-type: none"> <li>■ *The number of Alcohol Brief Interventions (ABIs) delivered in criminal justice healthcare settings;</li> <li>■ No of referrals from criminal justice sources to drug and alcohol specialist treatment;</li> </ul>	<p>* Data should be captured and reported to local Alcohol and Drug Partnerships. The 2016-17 ABI NHS Local Delivery Plan Standard Guidance <a href="http://www.gov.scot/Topics/Health/Services/Alcohol/treatment/LDPABINatGuidance16-17">http://www.gov.scot/Topics/Health/Services/Alcohol/treatment/LDPABINatGuidance16-17</a> provides further information</p>
	Contextual	Numbers of police recorded warnings, police diversion, fiscal measures, fiscal diversion, supervised bail, community sentences (including CPOs, DTTOs and RLOs)	<ul style="list-style-type: none"> <li>■ Fiscal measures include fines, fiscal work orders, fiscal compensation order, fixed penalty notice;</li> <li>■ Fiscal diversion includes diversion to social work;</li> </ul>	
	Contextual	Number of short-term sentences under 1 year.	<ul style="list-style-type: none"> <li>■ The number of custodial sentences imposed during the reporting period for that area where the full term was for less than 12 months.</li> <li>■ This is a base number for the quantitative indicator showing the balance between community sentences relative to short custodial sentences under 1 year.</li> </ul>	Should be captured annually for the reporting period; may be captured more regularly as local needs dictate.

Outcome	Indicator Type	Indicator	Additional descriptor or measures	Comments
Life chances are improved through needs, including health, financial inclusion, housing and safety being addressed	Change and Impact	Individual have made progress against the outcome	<ul style="list-style-type: none"> <li>■ Evidence of impact at an individual level of interventions and activities;</li> <li>■ Evidence may come from user experience, service level evaluations - including the use of the '5 Step Approach to Evaluation', distance travelled measures by individuals.</li> <li>■ Activities should also cover existing statutory interventions such as supervision, CPOs, DTTO etc.</li> </ul> <p>Measures of 'distance travelled' are generally used in describing intermediate progress towards an outcome from an initial baseline; for example in relation to substance use, though the ultimate goal might be to be drug-free, the person has moved from active drug use to regular and stable engagement with addiction services. Though the outcome of being free from drug use has not yet been achieved, meaningful progress has been made showing an improvement in that individual's wellbeing.</p>	Implicit in the indicators for person-centric outcomes is the importance of systematically evaluating the impact on individuals at a service level. There are existing methods available but new methods could be developed in partnership and shared as good practice.
People develop positive relationships and more opportunities to participate and contribute through education, employment and leisure activities	Change and Impact	Individual have made progress against the outcome	<ul style="list-style-type: none"> <li>■ Evidence of impact at an individual level of activities, including user experience, service level evaluations, distance travelled by individuals;</li> <li>■ Evidence at an individual level from views from families and those included in an individual's relationships such as employers;</li> <li>■ How an individual's relationships which have a positive impact on desistance have been strengthened - including the development of a key relationship;</li> <li>■ How an individual's relationships which have had a negative impact on desistance have been changed to be more positive or influences decreased.</li> </ul>	
Individual's resilience and capacity for change and self-management are enhanced	Change and Impact	Individual have made progress against the outcome	<ul style="list-style-type: none"> <li>■ Evidence may come from:</li> <li>■ Activities such as tools which directly enhance resilience. For example, tools to support anger management, improve self-esteem, increase an individual's capacity for change and self-management;</li> <li>■ Individuals building resilience and capacity to engage effectively with services;</li> <li>■ The impact may be measured by user experience and distance travelled measures.</li> </ul>	

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## How these Common Outcomes and Indicators should be used

### The Common Outcomes

**All** of the common outcomes must be considered, delivered and reported against for each local area.

However, it will be for the statutory Community Justice Partners for the area to work together to:

- baseline achievement against each outcome;
- understand their local needs; and
- agree which of those outcomes will be priorities for specific improvement action for their area over the defined period for their Community Justice Outcomes Improvement Plan.

Offering this local flexibility, whilst still considering and reporting against all outcomes, respects the differing local needs and circumstances that may be experienced from one local area to another but allows for the sharing of best practice to develop a national picture of achievement across Scotland.

It is expected that statutory Community Justice Partners will involve – as is required – the Third Sector and Community Bodies in their decision making, together with consultation with communities in their local area.

### The Indicators for the Common Outcomes

To report on progress against the common outcomes the basket of common indicators on pages 29 to 37 has been developed for use by the statutory Community Justice Partners.

The starting point is that all indicators must be used. However, where statutory Community Justice Partners for an area collectively identify that a particular indicator is not relevant for them at that point in time, they must specify their reasons for this conclusion in their Community Justice Outcomes Improvement Plan.

Where Partners choose not to report on a common indicator the partners must specify in their plan why they feel it does not apply in their area, for example along the following lines: 'We don't know enough about this issue at this stage but we will do the following to address it – specify action'. Partners may also

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indicate that they will not report on a common indicator on the ground that it is irrelevant for their area.

The statutory Community Justice Partners then select the relevant common indicators to support their achievement of the common outcomes locally.

When providing evidence against the indicators, there must be examples of both good practice and examples where lessons can be learned to effect improvement.

The '5 Step Approach to Evaluation' can be used across these indicators and can be particularly valuable in approaching reporting on person-centric outcomes at a service level.

### **Local outcomes and indicators**

We are clear that the common outcomes and indicators will not be the only measure available to statutory and non-statutory Community Justice Partners to effectively measure and report on what they are doing to improve outcomes for people with lived experience of community justice.

Partners may identify additional locally determined outcomes (and associated indicators), targets and initiatives as they consider appropriate based on the profile and needs of the local area. These may be issues that have been raised by the Third Sector, community bodies, communities – including people with convictions, victims and families – or local partners as requiring attention.

In addition, if an area's local community justice needs assessment points to a requirement to focus on improving outcomes for a particular cohort – such as women, young men or those who have offended repeatedly – then partners will wish to plan to improve these outcomes and, by necessity, will collect appropriate data to measure progress and drive improvement.

Taken together, the common outcomes and indicators and any additional local information will allow partners to effectively progress local priorities in order to provide a clear account of how they are driving improvement within their respective areas.

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## Capturing the data, sharing information and providing the evidence

### **Capturing the data and sharing information**

The common outcomes and indicators, in keeping with the rest of the OPI Framework, have been designed in such a way as to avoid measurement for measurement's sake. Rather, the information and data requirements are those which will both aid quality service planning and delivery and allow for consistent monitoring of progress which must be undertaken, first and foremost, at a local level.

The information in support of the indicators is expected, in the main, to be a by-product of good partnership working whereby joint planning and delivery is undertaken. For further information on how best to approach this task, it is helpful to consider the '5 Step Approach to Evaluation'.

This is a new framework with a new set of common outcomes and indicators designed to drive certain behaviours in support of improvement for individuals and communities. It follows, therefore, that some data or information sources required to evidence progress against the indicators may not yet be in place.

It is expected that partners will work together to develop both data requirements for measuring progress as well as datasets for sharing at an individual level supported by information sharing protocols and/or data sharing agreements as appropriate.

Where it makes sense for these to be designed on a collaborative basis across local areas, this should be taken forward by partners and can, if need be, be facilitated by the Scottish Government and supported by Community Justice Scotland.

The companion document, "Outcomes, Performance and Information Framework: Definitions, Methods and Sources" provides further detail on the indicators, methods of collection and identified data sources and will be updated as these mature.

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## Providing the evidence

Different levels of evidence are required to report progress against the outcomes:

- **Short term evidence** geared towards developing local strategies and plans, and setting baselines. This is the 'what' and is the area where partners have the most control;
- **Medium term evidence** demonstrating 'how' activity contributes to delivery of outcomes, and provides an assessment of impact on users. While partners may have less control over some aspects of delivery, they will contribute to achieving the desired outcomes by ensuring services are delivered with due regard to quality;
- **Long term evidence** is sited further down the causal chain i.e. quite far removed from the original cause and will be affected by a number of factors along the way. It is, therefore, more removed from partners' sphere of control. However, community justice activity will influence these higher level outcomes if effectively implemented.

It is recognised that the new model is in its early stages which is why a certain degree of flexibility has been offered. However, the vision for community justice is ambitious and we should be equally ambitious in our collective response to it.



# The 5 Step Approach to Evaluation



# 4

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“ The Outcomes, Performance and Accountability Working Group determined that the 5 Step Approach to Evaluation would be a useful component of the OPI Framework, allowing partners – both service providers and funders – to evaluate their services.”

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## Background and purpose

In May 2015, the Scottish Government published two evaluation packs aimed at both service providers and funders who aim to promote behaviour change. One pack is specifically targeted at those who aim to reduce crime and reoffending. With the broad range of partners involved in community justice, both packs should be considered and drawn from.

“Designing and Evaluating Interventions to Reduce Crime and Reoffending” is available at: <http://www.gov.scot/Publications/2016/05/3241>

“Designing and Evaluating Behaviour Change Interventions” is available at: <http://www.gov.scot/Publications/2016/05/1967>

The Outcomes, Performance and Accountability Working Group determined that the 5 Step Approach to Evaluation would be a useful component of the OPI Framework, allowing partners – both service providers and funders – to evaluate their services. The Group viewed it to be both an essential part of the improvement journey and also a key element of strategic commissioning.

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## How should these be used?

**For funders and partners**, the packs aim to:

- Offer a strategic, evidence-based and outcomes-focused planning tool;
- Demonstrate the role you can play in promoting and enabling high quality evaluations from those you fund;
- Provide a focus on person-centred outcomes for service users;
- Offer guidance on how to assess evaluations from service providers and therefore direct funding to greatest effect.

**For service providers**, the packs aim to:

- Provide guidance on planning an evidence-based service with a ‘built in’ evaluation process;
- Provide guidance and resources for you to effectively assess, understand and demonstrate how well your service is working in relation to your aims;
- Offer an alternative to randomised control trials, using a ‘logic model’ approach to evaluation, which any service provider can use to evaluate any intervention, regardless of size;
- Provide a focus on person-centred outcomes for service users;
- Encourage continual review and improvement of services.

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### **Other audiences**

The packs are primarily aimed at funders, commissioners, partnerships and service providers with a focus on reducing the risk of crime and reoffending or behaviour change. However, they are likely to be relevant to others with an interest in effective evaluation (such as inspectorates and auditors) and the approach can easily be adapted for projects that do not primarily seek behaviour change.

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## The 5 step approach – A summary

### **Identify the problem**

If your ultimate aim is to change people's behaviour, you need to be clear what it is you are trying to change and why there is currently a need for this to happen.

### **Review the evidence**

What you intend to do should be grounded in the evidence of 'what works' and why. Service providers should review the available evidence in order to plan activities which can be expected to achieve the intended behaviour change. The evidence should guide what you do and help you to understand the process through which it should work.

### **Draw a logic model**

A logic model is a diagram which shows, step-by-step, why the activities you plan should achieve your aims. The logic model forms the basis for evaluating the whole project – you are going to test whether these steps happened as you predicted.

### **Identify Indicators and monitor your model**

Use the logic model to identify indicators (i.e. measurements or observations) that things actually happen as you predicted. You will need to collect data about your project FROM THE START on inputs, activities, users, short, medium and long-term outcomes.

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### Evaluate logic model

Analyse the data you've collected on your various indicators to evaluate how well your project worked for your various users. Report on whether your data suggests the logic model worked as planned. Be honest about any areas which were less effective. Use this to improve your service.

Figure 1 on page 10 shows how the 5 step approach to evaluation fits with the rest of the OPI Framework, the vision from the National Strategy and the Local Context.

When considering the indicators at a service level, you will wish to focus on the impact on service users. This will require establishing baselines and distance-travelled measures.



# The Approach to Scrutiny and Inspection



# 5

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“ Self-evaluation is central to continuous improvement. It is a reflective process through which community justice partners get to know how well they are doing and identify the best way to improve their services.”

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## A multi-layered approach

The ethos of the community justice model is one of collective responsibility and collaboration and it is for this reason that there will be a layered approach to assurance in the achievement of outcomes.

- Collective responsibility locally;
- Assurance by Community Justice Scotland; and
- Multi-agency joint inspection where required.

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## Collective responsibility locally

Local strategic planning and delivery of services is central to the new arrangements. With this emphasis upon collective responsibility through a partnership approach we are placing decision-making into the hands of local people and agencies who know their communities best, understand the problems that are unique to their region, and will be most affected by community justice issues that relate to both victims and people with convictions.

In addition, there is the opportunity to underpin this collective responsibility with a self-evaluation tool. Self-evaluation is central to continuous improvement. It is a reflective process through which community justice partners get to know how well they are doing and identify the best way to improve their services. The self-evaluation tool is designed to help this by:

- Encouraging reflection upon practice that provides a gauge of where partners are in striving for excellence and identifies strengths and areas for improvement;
- Recognising the work we are all doing which has a positive impact on improving community justice outcomes;
- Identifying where quality needs to be maintained, where improvement is needed and setting priorities for action

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- Allowing us to inform stakeholders about the quality of services, outcomes for service users and impact on the community.
  - Allowing us to identify what difference we are making in the lives of those involved in community justice

Self-evaluation for improvement broadly focuses on answering 3 key questions:

- How good are we now?

This question should help partners identify strengths within and across service delivery and begin to consider areas for improvement.

- How do we know?

In considering this question, services should be gathering evidence and developing auditing processes which illustrate how well the lives of people with convictions, their families and our communities are improving.

- How good can we be?

This question should help to take forward what we have found so far and to develop a set of clear and tangible priorities for improvement.

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## A Common Approach

Using such a framework provides a common approach and shared understanding about quality which makes it easier for all managers and staff across the sector to work effectively together to improve outcomes for service users and communities.

Self-evaluation is forward looking. It is about change and improvement leading to well considered innovation in service delivery. Rather than a one-off activity which is done in preparation for inspection, it is a dynamic process which should go on throughout the year. It establishes a baseline from which to plan to improve outcomes for service users and communities and promotes a collective commitment to a set of priorities for improvement.

The self-evaluation tool has been developed by the Care Inspectorate and will be implemented from December 2016. It is consistent and can be used in conjunction with a number of quality models and awards including the Excellence Model of the European Foundation for Quality Management (EFQM). The approach is also consistent with the principles of Best Value, the statutory framework provided within the Local Government in Scotland Act 2003. It also aligns with other models in use such as the Public Service Improvement Framework (PSIF). [The self-evaluation tool is available from November 2016.](#)

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## Assurance by Community Justice Scotland

Community Justice Scotland will provide independent professional assurance to Scottish Ministers and to Local Government Leaders, as required, on the collective achievement of community justice outcomes across Scotland and to provide improvement support to partners where required.



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## Multi-agency joint inspection

A new approach to the inspection of community justice will be developed with the Care Inspectorate and partner scrutiny bodies.

The detail of what such an inspection regime would contain will be considered in more detail by the Care Inspectorate, working with fellow scrutiny and inspection bodies and community justice partners. However, it is clear that Scotland no longer follows a process of rolling inspections. Rather, as has been stated consistently throughout the change process to the new model for community justice, such an inspection would be intelligence-led and would likely follow serious and persistent concerns having been identified. It would, therefore, likely be taken forward on a case-by-case basis with reference to the accountability structures for the statutory Community Justice Partners.

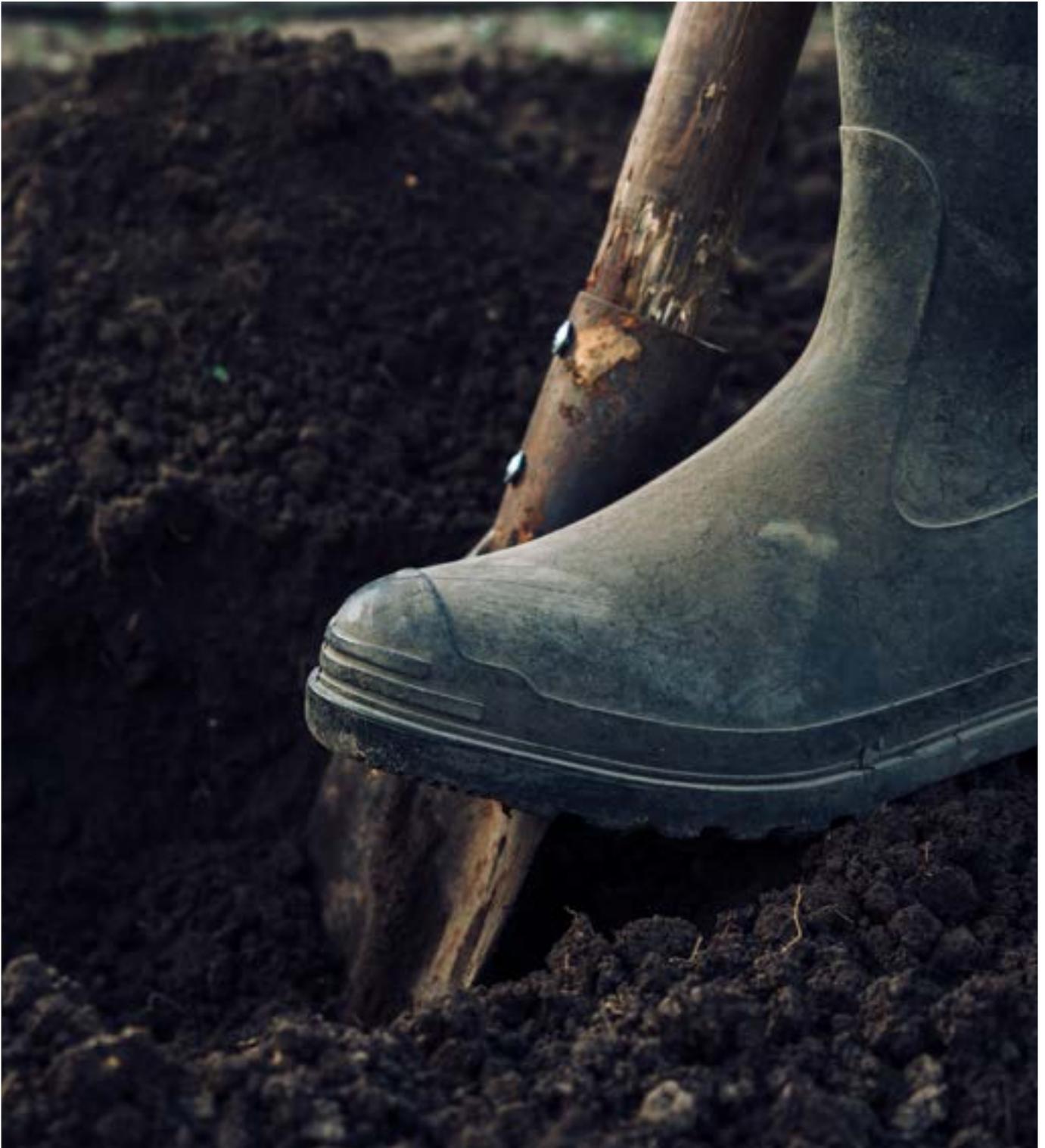
In keeping with the broad range of partners who contribute to improved community justice outcomes, inspection would be undertaken on a multi-agency, multi-inspectorate basis; designed to provide independent assurance about the quality of services and on the impact and outcomes for service users and the wider community, supporting improvement where required. Inspectors would focus their work on confirming areas of strength (evidence from self-evaluation or

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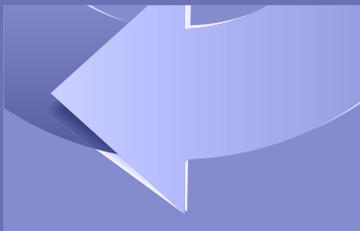
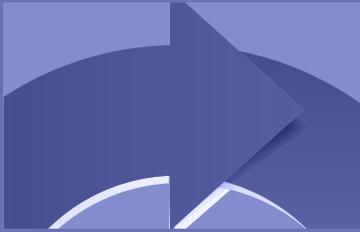
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other information or intelligence) and exploring areas of uncertainty or concern. Each inspection would be scoped from the outset to determine the specific areas of focus. It is anticipated, therefore, that the scope would vary depending on information, intelligence and the results of self-evaluations undertaken locally.

As further information on the multi-agency joint inspection is provided, the relevant information will be added to the OPI Framework as appropriate.



# The Performance Process



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“ Planning and performance are interlinked. Therefore the performance reporting process should be seen as an integral part of plan-act-review cycle. The statutory Community Justice Partners have duties under the Community Justice (Scotland) Act 2016 to engage in this planning and reporting.”

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As previously described in this document, the National Strategy sets out the priority improvement actions required to make progress against the outcomes contained in the Outcomes, Performance and Improvement (OPI) Framework.

The OPI Framework then gives tools to support said improvement, allowing partners to:

- set their baseline, assessing their contribution;
- take a quality approach to evaluating both services and their collective activity, including a focus on the outcomes achieved for service users; and
- report on progress, recognising both strengths and areas for further development.

Planning and performance are interlinked. Therefore the performance reporting process should be seen as an integral part of plan-act-review cycle. The statutory Community Justice Partners have duties under the Community Justice (Scotland) Act 2016 to engage in this planning and reporting.

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## Understanding the Local Picture

As statutory Community Justice Partners take on their responsibilities under the new model for community justice, they will wish to understand the current picture for community justice in their area. It is likely that this would include:

1. Mapping how services with a contribution to make to improving each of the community justice outcomes are currently planned and delivered:
  - Determining how partners currently view their contribution;
  - Setting out any shared services, co-produced services and partnership services;
2. Understanding the level of need in their area;
3. Measuring how they are currently performing against each of the common outcomes, using the relevant indicators and thereby setting their baseline for further measurement and improvement.

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## Community Justice Needs Assessment

To consider the specific community justice issues in the local authority area and to help understand which outcomes require specific improvement action, the statutory partners should first draw up a community justice needs assessment. This may also be referred to as a baseline needs assessment.

This should assist partners in setting priorities and understanding what success may look like for their local area. A person-centred approach must be taken when working with individuals but local areas may wish to consider whether the data they have available shows a need to effect particular improvements for specific groups.

In the first instance, this will likely be developed using existing available data sources and be based on the particular needs and characteristics or 'profile' of the local authority area, for example alcohol and drug profiles, health and crime profiles, housing needs, opportunities for education, training and employment and so on.

Partners should link in with available data locally, including that developed for community planning purposes as well as that which can be provided by individual partners.

Those statutory Community Justice Partners operating at a national level must consider that the new model for community justice is, first and foremost, a local one. Whilst there is likely to be a standard set of data required by all local areas, differing priorities between areas – based on local needs and circumstances – may require flexibility in terms of data provision particularly where a local area is carrying out new and innovative projects or initiatives to deliver improved outcomes.

In addition, there is a set of key high-level indicators and information available nationally which will assist community justice partners in their planning. This may include:

- Rate of recorded crime per 10,000 population;
- Number of reconvictions and frequency rate.

Further information on the community justice needs assessment can be found in the Guidance on the new model for community justice.

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## Planning and Reporting

Statutory Community Justice Partners will work together to produce a plan that has regard to the National Strategy, National Outcomes, Performance and Improvement Framework and local priorities for community justice, demonstrating that they have considered the evidence available both for their area and those related to supporting desistance and what works to reduce reoffending. In preparing the plan, partners must consult with Community Justice Scotland and involve third sector bodies, community bodies and any others they consider appropriate.

Statutory Community Justice Partners will publish a report annually on performance against their plan and share this with Community Justice Scotland.

Performance will be measured against the set of common outcomes and indicators contained at Chapter Three of this document. This will provide transparency on how local areas are performing on key issues, such as: provision of diversion; quality and quantity of community sentences; length of custodial sentences; and access to suitable, sustainable housing on release from prison. It will also identify which activities took place and who was involved. There should also be a strong emphasis on monitoring the effect of the activities on individuals, via the person-centric outcomes.

When preparing the reports, community justice partners must consult Community Justice Scotland, each third sector body and community body involved in community justice in relation to their area as they consider appropriate and anyone else they consider appropriate.

Further details on planning and reporting, including timelines, is provided in the Guidance on the new model for Community Justice.

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## The Assurance and Improvement Cycle

The assurance and improvement cycle shown in figure 3 should be considered alongside figure 1 on page 10 which set out the link between the National Strategy and the OPI Framework.

These reporting arrangements bring transparency and accountability to the new model which is vital to establishing its credibility and to demonstrating that better outcomes are being achieved for communities.

The responsibility for resolving any local issues rests, first and foremost, at the local level, respecting the accountability lines for the statutory Community Justice Partners. However, where partners find that they cannot resolve matters locally or where they believe issues persist in more than one area, they can refer to Community Justice Scotland for support.

In addition, Community Justice Scotland, will review all local plans, providing feedback to Community Justice Partners to share good practice and effect improvement.

Community Justice Scotland will also review all annual reports to provide independent professional assurance to Scottish Ministers and Local Government Leaders on the

delivery of outcomes across Scotland. Where the annual reports show that improvement is required, Community Justice Scotland will provide advice to local partners and targeted improvement support as required.

Where any performance issues persist in a local area, Community Justice Scotland has the ability to provide recommendations to Scottish Ministers on action required which may include a multi-agency inspection or, in exceptional circumstances, a rescue task group.

Naturally, Community Justice Scotland will build strong relationships with local partners based on an ethos of mutual trust and support allowing for discussions on the sharing of good practice and any improvement support required to take place across the year, not just at reporting time.

Person-Centric Outcomes

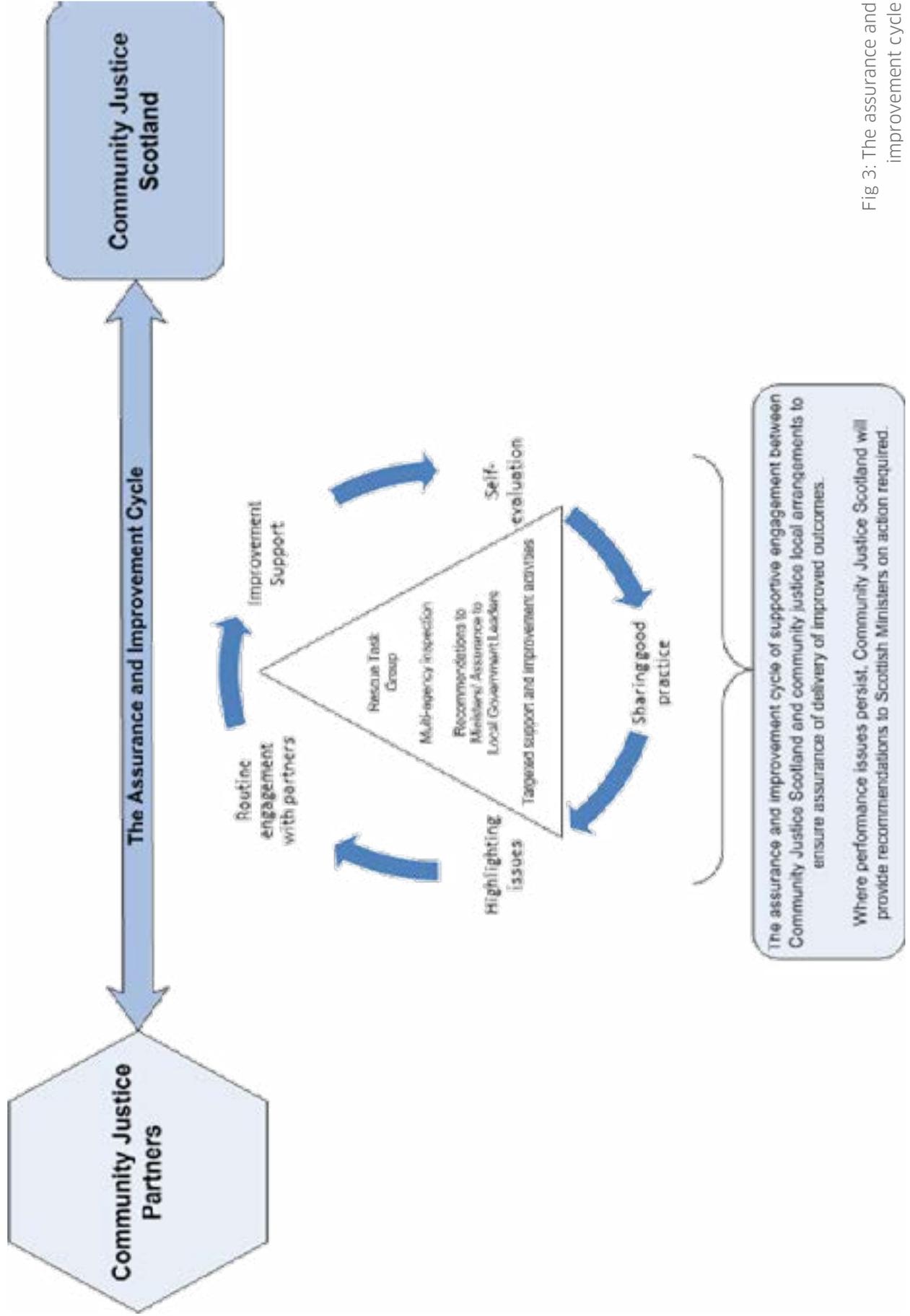


Fig 3: The assurance and improvement cycle

# Review and Governance of the OPI Framework



# 7

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“ Elements of the OPI Framework will be added to as they come onstream e.g. the approach to scrutiny and inspection and other elements which rely on linked documents will be updated as those documents are updated including the ‘5 Step Approach to Evaluation’.”

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### Who will oversee and review the Outcomes, Performance and Improvement Framework?

Community Justice Scotland is responsible for both the oversight of the OPI Framework and taking forward its review and recommendations for its further development, working with the Scottish Government, statutory and non-statutory community justice partners and stakeholders to do so.

Following such a review, Community Justice Scotland must either make proposals to the Scottish Ministers for the revision of the framework or publish a statement indicating that they consider that the framework should not be revised.

The framework is the responsibility of Scottish Ministers and it would be for Scottish Ministers to publish any revision to the framework.

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### Ensuring stability for the implementation of the new model for Community Justice

As noted in Chapter One, it is important that the Outcomes, Performance and Improvement (OPI) Framework is able to be updated as the new model for Community Justice matures and as local areas gain more experience in the use of the Framework.

Elements of the OPI Framework will be added to as they come onstream e.g. the approach to scrutiny and inspection and other elements which rely on linked documents will be updated as those documents are updated including the ‘5 Step Approach to Evaluation’.

However, it is also important to ensure stability for local areas as they implement the new model. Therefore, the aim is to keep the outcomes and indicators as they are at least until after the first full round of planning and reporting.

The companion documents can be updated on a regular basis, as required.

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## Governance of locally developed outcomes and indicators

If local areas choose to develop additional local outcomes and indicators, the governance for the review of these would be the responsibility of the partners working in that local area.

It may be that local areas, having used additional outcomes and/or indicators and have found these useful, may wish to put forward these to Community Justice Scotland for inclusion in a future iteration of the OPI Framework. In advance, of this, they may wish to discuss the utility of these with other local areas.

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## Review of companion documents to the Outcomes, Performance and Improvement Framework

This document introduced, at Chapter One, two companion documents to the OPI Framework:

1. 'Community Justice Outcomes, Performance and Improvement Framework – Definitions, Methods and Sources', which provides further detail on the indicators, methods of collection and identified data sources; and
2. 'Community Justice Outcomes, Performance and Improvement Framework – Frequently Asked Questions', which provides answers to some of the frequently asked questions on the OPI Framework.

These companion documents will be kept under review and added to or amended as required. In particular, the 'Definitions, Methods and Sources' document is likely to be highly iterative in nature as the OPI Framework has been designed to drive behaviour under what is a new model and way of working. Therefore, some data sources may not yet be in operation.



# Starting the Improvement Journey



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“ The task of implementation locally will be the responsibility of the statutory Community Justice Partners, working collectively to do so. However, to assist in this task, an implementation group will be established by the Redesign and Performance Management of Community Justice Project.”

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## Implementing the Outcomes, Performance and Improvement Framework

As has been set out earlier in this document, the development of the OPI Framework has involved a broad range of partners and stakeholders, many of whom will be involved in the implementation of the OPI Framework.

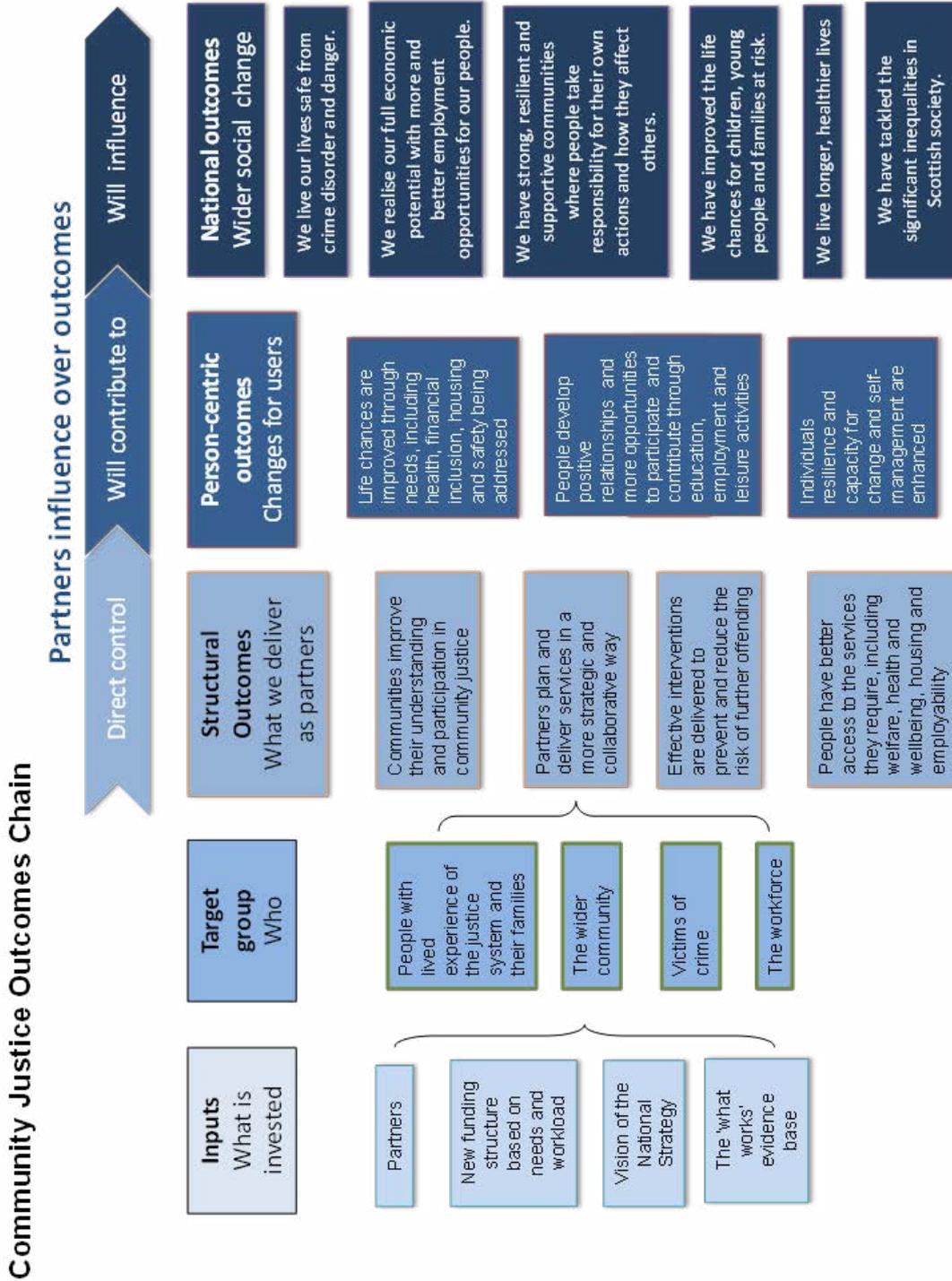
The task of implementation locally will be the responsibility of the statutory Community Justice Partners, working collectively to do so. However, to assist in this task, an implementation group will be established by the Redesign and Performance Management of Community Justice Project.

Implementing the OPI Framework will, therefore, involve:

1. Working with statutory Community Justice Partners to ensure that they have a sound knowledge of the OPI Framework and its usage;
2. Implementation of the framework locally by statutory Community Justice Partners, following through on their duties to do so and also the actions set out under guidance.



# Annex A - The Community Justice Outcomes Chain



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## Annex B

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### People have better access to the services they require, including welfare, health and wellbeing, housing and employability

Indicator: Existence of joint-working arrangements such as processes/protocols to ensure access to services to address underlying needs

#### Housing protocol measure

- Do you have a current, fit-for-purpose joint working protocol in place setting out roles and responsibilities with regards to the prevention of homelessness, and provision of accommodation, of:
    - i) people prior to sentencing;
    - ii) people on community sentences;
    - iii) people in custody and on release from prison;
    - iv) people in secure units and on release from secure units.
  - Is the protocol reviewed on an annual basis?
  - Does the protocol include at least the following partners:
    - Scottish Prison Service;
    - Local Authority – Social Work;
    - Local Authority – Housing;
    - Housing providers – non Local Authority, including those providing supported accommodation;
    - Integration Joint Board;
    - Third Sector – providing services in an accommodation setting;
    - Department of Work and Pensions.
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