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# New York's Investment in Evidence-Based Policymaking

## Overview

The Pew-MacArthur Results First Initiative can help states that are already committed to evidence-based policymaking take their work to the next level by integrating research and analysis into everyday decision-making.

In New York, the Results First approach has been used to inform program and budget decisions as well as to enhance the state's evidence-based alternatives to incarceration. Areas of focus include:

- Investing in analysis by creating a robust, customized Results First benefit-cost model that helped leaders identify cost-effective, evidence-based interventions that can reduce criminal recidivism and generate government savings, with some interventions projected to return more than \$4 for each dollar spent.

- Investing in evidence by securing more than \$60 million over three years targeted to effective evidence-based programs through new grant initiatives, including about \$50 million in state general funds and \$12 million in “Pay for Success” funding from the U.S. Department of Labor.
- Investing in outcomes by requiring grant recipients to show that the programs are being implemented according to their original design—demonstrating fidelity—and that they are achieving expected outcomes.

Although a variety of factors account for New York’s successful application of the Results First approach, leaders point to five key lessons learned that bolstered their efforts and will be important for other jurisdictions embarking on this work: the need for dedicated staff, careful timing, strategic focus, relationship building, and ongoing commitment.

## Investing in analysis

New York joined Results First in 2012 with considerable internal assets, including an advanced technical staff, a rich criminal justice data warehouse, and strong agency leadership committed to using evidence in funding decisions.<sup>1</sup> These agency leaders wanted to better leverage their internal assets to develop a consistent, formal benefit-cost methodology that would strengthen the decision-making processes already in place<sup>2</sup> and help policymakers prioritize limited state resources toward evidence-based criminal justice programming.

The state’s criminal justice leaders wanted to examine their investment in alternatives-to-incarceration programming, which consists of community-based interventions that focus on treatment. Proponents of such programs cite positive outcomes such as improved public safety and reduced corrections spending. But New York had large gaps in knowledge about what results the state could reasonably expect from the more than 170 community justice programs it was funding.<sup>3</sup> “We had limited resources and wanted to reduce crime—to provide the best programs that get the most out of taxpayer dollars—but at the time we had no idea whether we were funding the right interventions for our population or what we were getting for our money,” said Michael C. Green, executive deputy commissioner of the New York State Division of Criminal Justice Services (DCJS), which oversees Results First in New York.<sup>4</sup> “Before Results First, our primary role was ensuring recipients used their grant funds the way they said that they would, such as paying for salaries or providing services. Our funding decisions were often based on anecdote. There was little emphasis on long-term public safety outcomes or return on investment.”



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—Executive Deputy Commissioner Michael C. Green, *New York State Division of Criminal Justice Services*

The development of New York’s Results First benefit-cost model, which DCJS analysts built in about two years with guidance from the Results First project, provided policymakers with a succinct list of evidence-based interventions that included detailed, state-specific calculations of how each program could affect the number of criminal victimizations and the amount of government spending. (See Appendix A.) In estimating program benefits, analysts chose to apply a relatively short period for calculating a return on investment (five years, versus the seven to 10 years used by some other Results First states) and to focus on direct benefits accrued to state government, in order to ensure that results resonated with policymakers. “We knew an excessively long period of return on investment

wouldn't work in this state. Leaders want to see tangible results and cost savings that are relevant to the state's budgeting cycle," said Marc Schabbes, the cost-benefit coordinator for DCJS.<sup>5</sup> The agency also staggered the distribution of its two project reports—one detailing programs' expected impact on criminal victimizations<sup>6</sup> and one examining the return on investment expected from those interventions<sup>7</sup>—to "ensure that the conversation focused first on community safety," explained Deputy Commissioner Theresa E. Salo.<sup>8</sup> "After all, the real benefit of our investment is not only avoided costs; it's the impact of these programs on the safety of our state."

New York's Results First analysis identified several incarceration-based and community-based programs that were likely to produce a positive public safety and financial impact. Community-based employment programs emerged as a clear "safe bet," generating as much as \$2.58 in taxpayer benefits for every \$1 invested (based on meta-analytic findings), as did cognitive behavioral interventions,<sup>9</sup> which were expected to return as much as \$2.52 for every dollar invested. (See Appendix A.) Although evidence-based employment and cognitive programs had been priorities for a number of years, their now-quantifiable effect on crime and spending solidified their importance in the state's criminal justice portfolio—and helped guide legislative funding.

## Results First: A Model for Cost-Effective Policy Choices

The Results First Initiative, a project of The Pew Charitable Trusts and the John D. and Catherine T. MacArthur Foundation, works with states and localities to develop the tools that policymakers need to identify and invest in effective programs that yield high returns on investment. Using innovative methods that can be customized, Results First partners learn to:

- Create an inventory of currently funded programs.
- Review which programs work.
- Conduct benefit-cost analysis to compare programs' likely return on investment.
- Use evidence to inform spending and policy decisions.

These efforts have helped leaders improve public outcomes, reduce costs, and increase accountability by ensuring that resources go to effective, cost-beneficial approaches.

## Investing in evidence

Around the time that New York was building its Results First model and beginning to examine its community-based justice programs, the state also confronted a problem: Approximately 18 percent of funds (\$3.5 million) for these programs came from federal stimulus money set to expire in 2012.<sup>10</sup> This reduction in federal funding presented a perfect opportunity for the state to use its Results First work to rethink how and on what type of programming to allocate resources. DCJS requested \$5 million from the state's general fund to replace the expiring federal dollars, which it proposed to invest in evidence-based programs expected to return savings to the state. According to agency senior staff, early Results First benefit-cost calculations were critical to persuading decision-makers in the executive branch and Legislature to approve this request. "Our legislators want to make the most of taxpayer dollars, and Results First was the way to do that. They saw that a \$5 million investment today would save them even more money in the long term," said Commissioner Green.<sup>11</sup>

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## New York's Key Players

- The **Governor's Office of Public Safety** directs criminal justice-related policy and legislative matters on behalf of the governor and oversees eight public safety agencies: the Commission of Correction, the Department of Corrections and Community Supervision, the Division of Criminal Justice Services, the Division of Homeland Security and Emergency Services, the Division of Military and Naval Affairs, the Division of State Police, the Office for the Prevention of Domestic Violence, and the Office of Victim Services.
- The **Division of Criminal Justice Services**, which oversees New York's Results First work, is a criminal justice support agency with a variety of responsibilities, including the collection and analysis of statewide crime data and the administration of state and federal grants. Its **Office of Probation and Correctional Alternatives** oversees county probation departments and community correction programs.
- The **Department of Corrections and Community Supervision** is responsible for the confinement and habilitation of approximately 53,000 individuals in custody at 54 state facilities, along with 36,000 parolees supervised by seven regional offices.
- The **Commission of Correction** promulgates standards for the management of correctional facilities; evaluates, investigates, and oversees correctional facilities; and assists in developing new correctional facilities.
- The **Division of Budget** assists the governor in preparing the executive budget proposal, offers fiscal policy advice to the governor's office, and administers and monitors expenditures authorized by the enacted budget.

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The infusion of state funds catalyzed a larger restructuring of DCJS investments in incarceration alternatives. The agency crafted two new funding strategies: a \$5.1 million competitive grant for programs that sought to “deliver effective service interventions at a competitive unit cost per participant”<sup>12</sup> and a \$5.8 million noncompetitive continuation grant to service providers that had received stimulus funding in the previous fiscal year.<sup>13</sup> Both of these funding initiatives required the implementation of cost-effective, evidence-based programs, with an emphasis on cognitive behavioral and employment interventions that demonstrate positive outcomes. Both also subjected the applicants to new performance standards and required that programs use a state-approved validated risk assessment instrument<sup>14</sup> to target their services to higher-risk populations. For the fiscal year 2015-16 budget process, the agency placed similar program requirements on state-funded county re-entry task forces, which traditionally had not provided direct evidence-based services.<sup>15</sup>

According to DCJS senior staff, the Results First process helped to inform the requirements in these grant solicitations and in the scoring of applications. Now, instead of being selected through legislator preference or outdated formulas, programs must demonstrate their adherence to evidence-based practice; show quantifiable, tangible results; and agree to submit to fidelity reviews.

Table 1

## State General Fund Appropriations for Alternatives to Incarceration

Millions of dollars

	FY12-13	FY13-14	FY14-15	FY15-16	Total
<b>Total alternatives-to-incarceration appropriations</b>	\$16.3	\$24.6	\$24.5	\$24.9	\$90.3
<b>Competitive or conditioned evidence-based/targeted programming</b>	\$4.1	\$15.1	\$15.6	\$18.7	\$53.5
<b>Noncompetitive programming</b>	\$12.2	\$9.5	\$8.9	\$6.2	\$36.8
<b>Percentage of funds targeted for evidence-based programming</b>	25%	61%	64%	75%	N/A

Source: Internal communication, New York State Division of Criminal Justice Services, 2015

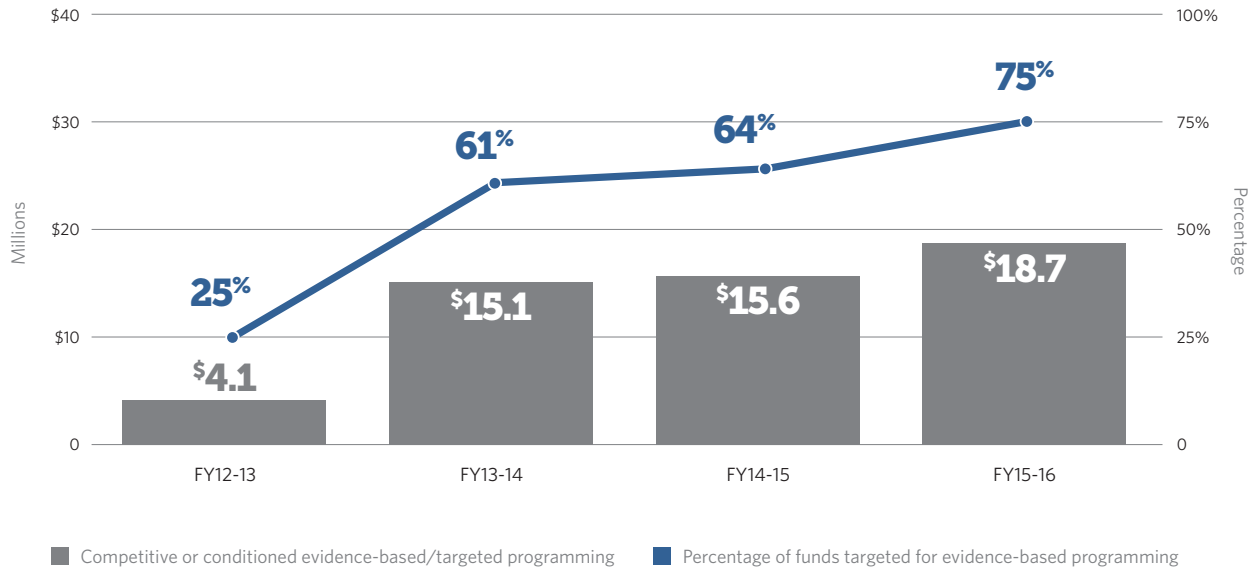
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New York also leveraged its Results First analysis to compete for and win a \$12 million “Pay for Success” grant from the U.S. Department of Labor to expand evidence-based employment programs expected to generate cost savings.<sup>16</sup> New York was one of only two recipients of this grant nationwide.<sup>17</sup> State leaders attributed the successful bid to the strength of the Results First work, which quantified the financial and public safety value of investing in employment services for high-risk, recently released parolees. The state partnered with the Center for Employment Opportunities, which is using the award to expand its delivery of evidence-based employment programs to annually serve an additional 500 recently released, high-risk parolees with substantial employment needs.

The Department of Corrections and Community Supervision is also using Results First analyses to direct resources to programs that have proved effective and to rethink how to address problems for which research has yet to find a successful solution. One state that has taken such an approach is Iowa, where the Department of Corrections used its Results First analysis to replace an ineffective domestic violence program with a new model based on evidence-based practice.<sup>18</sup> Like Iowa, New York was “surprised to see that existing domestic violence interventions were unlikely to work ... but also inspired to be creative, thinking about different strategies—like containment models—that could be applied for this population,” noted Deputy Commissioner Thomas J. Herzog.<sup>19</sup> Acting Commissioner Anthony J. Annucci explained that his agency wants to “use a proven



Figure 1  
 State General Fund Appropriations for Evidence-Based Alternatives to Incarceration



Source: Internal communication, New York State Division of Criminal Justice Services, 2015

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“ [Our agency wants to] use a proven methodology and translate data into a ‘dollars and cents’ message that the general public can understand. At the end of the day, we have to know what we are funding and what results we can expect from that investment.”

—Acting Commissioner Anthony J. Annucci, *Department of Corrections and Community Supervision*

methodology and translate data into a ‘dollars and cents’ message that the general public can understand. At the end of the day, we have to know what we are funding and what results we can expect from that investment.”<sup>20</sup>

New York’s investment of approximately \$50 million from the state’s general fund for evidence-based alternatives to incarceration from fiscal 2013-14 to 2015-16 represented an increase in the percentage of state dollars dedicated to proven programs from about 25 percent in fiscal 2012-13 to 75 percent in fiscal 2015-16. (See Table 1.) Factoring in the grant from the U.S. Department of Labor, New York has allocated more than \$60 million for evidence-based programs in the three years since it joined Results First.

## Investing in outcomes

To get the results it wanted—reduced crime as well as increased savings—New York needed to monitor the implementation and outcomes of the evidence-based programs in which it had invested. As Marc Schabdes of DCJS explained: “Washington State’s early experiences were really eye-opening for us: programming decisions were made based on [benefit-cost] simulations, but the outcomes were not as expected because of poor program implementation. It demonstrated that making decisions or steering funding based on solid data was not necessarily enough.”<sup>21</sup> In other words, it is vital that evidence-based programs are implemented according to their original design if the anticipated outcomes are to be realized.

DCJS reformed its existing performance-based contracting system to include case-level performance monitoring and regular fidelity reviews aimed at correcting issues early and ensuring that programs meet targeted outcomes.

- **Performance monitoring:** DCJS has engaged in performance-based contracting for a number of years, requiring providers to demonstrate achievement of performance milestones in order to receive funding. Although it is useful for holding programs accountable, the system did not track client demographics or risk. With the introduction of Results First and the increased focus on evidence, the quality of proposals and the use of data by grantees began to improve. The agency now requires programs to submit additional data on clients, which analysts match to the state’s criminal justice data warehouse to prepare quarterly reports with information on client criminal history and in-program criminal activity. According to DCJS staff, these new data have helped providers better understand, track, and address the needs of clients through targeted interventions, and they have helped agency staff to identify and resolve issues at an early stage without going through a formal, lengthy program review. The state is also using the newly collected case-level participant information to conduct long-term comprehensive evaluations of program participant recidivism with outcome measures, comparison groups, and follow-up periods specifically tailored to individual programs.
- **Fidelity reviews:** An ambitious new fidelity monitoring initiative—seeded with \$128,000 in general fund money—is helping to ensure that programs achieve outcomes through implementation that is faithful to the original design. New York has contracted with the University of Cincinnati’s Corrections Institute to train teams from John Jay College of Criminal Justice and Rochester Institute of Technology, which are being paid by the state to conduct fidelity assessments of individual program sites using the institute’s Corrections Program Checklist. Once the reviews are completed, two new DCJS “action planners” provide intensive technical assistance to help programs correct issues identified during the review. Supplemental tools such as online trainings in evidence-based practices are being rolled out for use by all state-funded programs.

Leaders and staff within DCJS recognize that increased performance reporting and fidelity monitoring are time- and resource-intensive for both providers and agency staff but are also necessary for achieving outcomes. Leigh Bates, research manager at DCJS, explained the importance of this process to the state’s Results First work: “These reviews—and the intensive technical assistance that follows—are really the only way to bring this work full circle. We can’t tell providers that they are administering an evidence-based program wrong and then not offer support to change it.”<sup>22</sup> The state will continue its investment in fidelity monitoring by using a portion of the local assistance appropriations.

The agency also committed to supplying providers with the resources they needed to become evidence-based, including a substantial focus on training in principles and specific programs. Providers accepted the new requirements and more intensive monitoring without the opposition one might expect. “Some of the providers

were just as excited as we were about the new requirements. They have the same goal—to get the best outcomes for the people they serve—and we wanted to put them in a position to succeed,” said Yvonne Behan, director of the Office of Program Development and Funding within DCJS.<sup>23</sup>

The state’s increased focus on accountability, support, and results has noticeably strengthened the quality of programs offered to reduce recidivism in New York. Deputy Commissioner Robert Maccarone, who directs the Office of Probation and Correctional Alternatives, said: “While providers had offered some evidence-based programming in the past, once they understood that DCJS was moving towards a higher level of rigor, they responded with great proposals that incorporated the evidence-based practices we were looking for.”<sup>24</sup>

## Lessons learned

Although a variety of factors account for New York’s successful application of the Results First approach, agency leaders point to five key elements—staff, timing, focus, relationships, and commitment—that other states might consider when embarking on this work.

- **Dedicated staff:** DCJS leaders underscore the importance of cultivating a technical and collaborative staff able to develop a robust benefit-cost model, which requires coordination of data from several agencies, and to translate its results into concrete policy and funding decisions that leaders trust. “Our agency has sophisticated and highly skilled technical staff to do the work who have earned the trust of both state leadership and providers. We also have strong support from state leadership, and a growing agency culture excited for change,” said Commissioner Green.<sup>25</sup> Where they did not have staff, agency leaders brought in external fidelity monitors and created two positions to ensure sufficient technical assistance.
- **Careful timing:** New York opted to approach its Results First work gradually, which senior staff members recommend to other states contemplating this work. Marc Schabbes explained that the team “did not get ahead of itself. We did not commit to saving a specific amount of taxpayer dollars before our work began. Instead, we integrated our analysis into funding decisions thoughtfully, looking for opportunities that made sense and working collaboratively to implement changes.”<sup>26</sup> In New York, this opportunity came in the form of the federal government’s expiring stimulus dollars, which presented the agency with the chance to rethink how it wanted to fund programs and to introduce new requirements for contracts. Although these opportunities will vary by state, agency senior staff members agree that they must not be forced, and successful results should not be overpromised.
- **Strategic focus:** The team set an expected return on investment based on a short period of time (five years) and projected benefits accrued solely by state government. This decision was intended to produce realistic results that the agency felt it could actually achieve—and that legislators would trust. “We developed a conservative model that resonates with stakeholders, focusing on clear and objective information so that even the most cautious people would see that the analysis is solid,” said Deputy Commissioner Salo.<sup>27</sup> The substantial investment of staff, time, and money into performance reporting and fidelity monitoring reflects DCJS’ commitment to achieving these outcomes. As Deputy Commissioner Maccarone said, “It is important that we keep up our end of the bargain by delivering results.”<sup>28</sup>
- **Relationship building:** Agency leaders reiterate the importance of engaging providers in the process, treating them as partners in a larger effort to achieve outcomes for clients. “Our agency was not only telling providers what we wanted them to do, but also saying that we would help get them there,” said Behan, of the DCJS Office of Program Development and Funding.<sup>29</sup> In practice, that meant offering a series of information and



training sessions with current and prospective service providers to ensure that they understood and had opportunities to meet the new high standards.

- **Ongoing commitment:** Leaders also speak of adopting a Results First “lifestyle” in which research and analysis informs both program selection and monitoring. “Results First has grown from just a tool to the way we do business,” Deputy Commissioner Salo said.<sup>30</sup> “Every time we make a major decision about programs, we review data to better understand the population being served and review research to identify the costs and benefits of different interventions. We also monitor and evaluate those programs after we implement them to make sure we get the results we expected.” This process has been incorporated into the state’s decision-making business model for criminal justice programming, as shown below.

## New York State’s Decision-Making Business Model for Criminal Justice Programming

1. Analyze population and program needs.
2. Recommend programming through cost-benefit analysis.
3. Implement programming.
4. Verify program quality (fidelity).
5. Evaluate program outcomes.
6. Confirm that results are as expected.
7. Use results to inform future funding decisions.

Source: Marc Schabases, “Cost Benefit Analysis for Criminal Justice: Deployment and Initial Application of the Results First Cost Benefit Model,” New York State Division of Criminal Justice Services (2013), [http://www.criminaljustice.ny.gov/crimnet/ojsa/resultsfirst/rftechnical\\_report\\_cba1\\_oct2013.pdf](http://www.criminaljustice.ny.gov/crimnet/ojsa/resultsfirst/rftechnical_report_cba1_oct2013.pdf)

## Next steps for Results First in New York

The Division of Criminal Justice Services plans to incorporate evidence-based requirements into more of its funding streams, including juvenile justice programming. “The beauty of this approach is that it is very open and transparent. Everything that we fund must meet a high standard, and providers receive the tools they need to meet that standard. There are no surprises,” said Commissioner Green. “Equally important is the human side to this work. We want to use our resources in a way that gives people the best possible chance to break the cycle of recidivism and improve their lives.”<sup>31</sup>

## Appendix

The New York Division of Criminal Justice Services used its Results First benefit-cost model to estimate the cost and impact of various criminal justice interventions. Agency leaders have used these data to identify which interventions are most likely to improve public safety and produce a positive return on investment.

	Population receiving programming	5-year cumulative reconviction rate		Gross monetary benefits (per program participant)	Cost of programming per participant	Net monetary benefits (per program participant)				Reduction in victimizations (per 100 program participants)			
		Baseline recidivism	Recidivism with programming			Taxpayer benefits	Victim benefits	Total benefits	Taxpayer only		Total		
									Benefits minus costs		Benefits-to-cost ratio	Benefits minus costs	Benefits-to-cost ratio
State inmate (prison) programming modalities													
Basic skills	General education in prison	Prison general	47%	36%	\$2,368	\$458	\$2,827	\$1,493 <sup>a,j</sup>	\$875	\$159	\$1,334	\$189	15.0
	Vocational education in prison	Prison general	47%	36%	\$2,249	\$435	\$2,683	\$2,295 <sup>a</sup>	-\$46	\$0.98	\$388	\$117	14.1
	Correctional industries in prison	Prison high risk	69%	57%	\$3,145	\$918	\$4,062	\$2,295 <sup>a</sup>	\$850	\$1.37	\$1,767	\$177	20.7
Chemical dependency	Employment: Basic training/job readiness	Prison general	47%	43%	\$816	\$157	\$973	\$185 <sup>ah</sup>	\$631	\$4.41	\$788	\$5.26	5.2
	Drug treatment while incarcerated: Residential or IOP	Prison general	47%	43%	\$781	\$151	\$932	\$940 <sup>a</sup>	-\$159	\$0.83	-\$8	\$0.99	4.9
	Drug treatment while incarcerated: Standard outpatient	Prison high risk	69%	65%	\$1,031	\$301	\$1,332	\$940 <sup>a</sup>	\$91	\$1.10	\$392	\$1.42	6.6
Behavioral	Drug treatment while incarcerated: Residential or IOP	Prison low risk	17%	15%	\$299	\$110	\$410	\$940 <sup>a</sup>	-\$641	\$0.32	-\$530	\$0.44	1.4
	Cognitive behavioral intervention	Prison general	47%	41%	\$1,229	\$238	\$1,467	\$1,828 <sup>a</sup>	-\$599	\$0.67	-\$361	\$0.80	7.9
	Domestic violence perpetrator treatment	Prison general	47%	39%	\$1,747	\$338	\$2,085	\$1,292 <sup>a</sup>	\$455	\$1.35	\$793	\$1.61	10.9
Other	Drug treatment while incarcerated: Residential or IOP	Prison general	47%	39%	\$1,743	\$338	\$2,081	\$426 <sup>a</sup>	\$1,317	\$4.09	\$1,655	\$4.88	11.1
	Cognitive behavioral intervention	Prison general	47%	41%	\$1,279	\$248	\$1,526	\$1,024 <sup>a</sup>	\$255	\$1.25	\$502	\$1.49	8.1
	Domestic violence perpetrator treatment	Prison high risk	69%	62%	\$1,772	\$514	\$2,285	\$1,024 <sup>a</sup>	\$748	\$1.73	\$1,261	\$2.23	11.4
Local inmate (jail) programming modalities	Drug treatment while incarcerated: Residential or IOP	Prison low risk	17%	14%	\$478	\$176	\$654	\$1,024 <sup>a</sup>	-\$546	\$0.47	-\$370	\$0.64	2.3
	Cognitive behavioral intervention	Prison general	47%	50%	-\$755	-\$145	-\$901	\$1,638 <sup>c</sup>	-\$2,393	-\$0.46	-\$2,539	-\$0.55	-4.3
	Domestic violence perpetrator treatment	Prison general	47%	43%	\$853	\$165	\$1,017	\$170 <sup>b</sup>	\$683	N/A	\$847	N/A	5.3
Basic skills	Work release	Prison high risk	17%	15%	\$309	\$114	\$423	\$170 <sup>a</sup>	\$139	N/A	\$253	N/A	1.5
	Employment: Basic training/job readiness	Jail general	51%	47%	\$999	\$313	\$1,312	\$490 <sup>is</sup>	\$509	\$2.04	\$822	\$2.68	5.8
	Drug treatment while incarcerated: Residential or IOP	Jail under age 25	60%	57%	\$1,201	\$459	\$1,660	\$490 <sup>is</sup>	\$711	\$2.45	\$1,170	\$3.39	7.9
Chemical dependency	Drug treatment while incarcerated: Residential or IOP	Jail general	51%	42%	\$2,202	\$688	\$2,889	\$2,998 <sup>d</sup>	-\$796	\$0.73	-\$109	\$0.96	13.3
	Cognitive behavioral intervention	Jail general	51%	42%	\$2,240	\$696	\$2,936	\$1,094 <sup>d</sup>	\$1,146	\$2.05	\$1,842	\$2.68	13.4
	Domestic violence perpetrator treatment	Jail general	51%	45%	\$1,648	\$515	\$2,163	\$653 <sup>is</sup>	\$995	\$2.52	\$1,510	\$3.31	9.9
Behavioral	Drug treatment while incarcerated: Residential or IOP	Jail under age 25	60%	54%	\$2,004	\$773	\$2,777	\$653 <sup>is</sup>	\$1,351	\$3.07	\$2,124	\$4.25	13.2
	Cognitive behavioral intervention	Jail general	51%	54%	-\$938	-\$290	-\$1,228	\$1,638 <sup>c</sup>	-\$2,576	-\$0.57	-\$2,866	-\$0.75	-5.5
	Domestic violence perpetrator treatment	Jail general	51%	47%	\$1,049	\$328	\$1,378	\$170 <sup>b</sup>	\$879	N/A	\$1,208	N/A	6.3

State parolee programming modalities													
	Population receiving programming	5-year cumulative reconviction rate		Gross monetary benefits (per program participant)			Cost of programming per participant	Net monetary benefits (per program participant)			Reduction in victimizations (per 100 program participants)		
		Baseline recidivism	Recidivism with programming	Taxpayer benefits	Victim benefits	Total benefits		Benefits minus costs	Benefit-to-cost ratio	Benefits minus costs		Total	Benefit-to-cost ratio
Supervision	Supervision with risk need and responsibility principles	Parole general	47%	36%	\$2,397	\$461	\$2,858	\$696 <sup>c</sup>	\$875	\$1,59	\$1,334	\$189	15.0
		Parole high risk	69%	56%	\$3,335	\$975	\$4,310	\$696 <sup>c</sup>	\$2,639	\$4.79	\$3,614	\$6.19	22.3
	Intensive supervision: Surveillance only	Parole general	47%	47%	-\$30	-\$6	-\$36	\$10,449 <sup>e</sup>	-\$46	\$0.98	\$388	\$1.17	14.1
		Parole high risk	69%	69%	-\$42	-\$13	-\$55	\$10,449 <sup>e</sup>	\$850	\$1.37	\$1,767	\$1.77	20.7
	Intensive supervision: Treatment	Parole general	47%	37%	\$2,011	\$389	\$2,399	\$11,405 <sup>e</sup>	-\$9,394	\$0.18	-\$9,006	\$0.21	8.8
		Parole high risk	69%	58%	\$2,824	\$826	\$3,649	\$11,405 <sup>e</sup>	-\$8,581	\$0.25	-\$7,756	\$0.32	18.4
Case management: Referral style	Parole general	47%	43%	\$742	\$142	\$884	\$1,066 <sup>e</sup>	-\$324	\$0.70	-\$182	\$0.83	4.6	
	Parole high risk	69%	65%	\$1,053	\$304	\$1,357	\$1,066 <sup>e</sup>	-\$13	\$0.99	\$291	\$1.27	7.0	
Case management: Swift and certain	Parole low risk	17%	15%	\$277	\$102	\$379	\$1,066 <sup>e</sup>	-\$789	\$0.26	-\$687	\$0.36	1.4	
	Parole general	47%	35%	\$2,521	\$485	\$3,006	N/A <sup>f</sup>	N/A	N/A	N/A	N/A	16.0	
Electronic monitoring	Parole general	47%	35%	\$2,590	\$503	\$3,093	\$464 <sup>b</sup>	\$2,126	\$5.58	\$2,629	\$6.67	16.2	
	Parole high risk	69%	55%	\$3,678	\$1,070	\$4,748	\$464 <sup>b</sup>	\$3,214	\$7.93	\$4,284	\$10.23	24.3	
Employment: Basic training/ job readiness	Parole general	47%	43%	\$776	\$151	\$927	\$613 <sup>a</sup>	\$163	\$1.27	\$314	\$1.51	4.9	
	Parole high risk	69%	65%	\$1,025	\$297	\$1,321	\$613 <sup>a</sup>	\$412	\$1.67	\$708	\$2.15	6.6	
Basic skills	Parole low risk	17%	15%	\$297	\$110	\$407	\$613 <sup>a</sup>	-\$316	\$0.48	-\$206	\$0.66	1.4	
	Parole general	47%	40%	\$1,426	\$274	\$1,700	\$6,600 <sup>a,k</sup>	-\$5,174	\$0.22	-\$4,900	\$0.26	9.0	
Employment: Transitional wage employment	Parole high risk	69%	61%	\$1,897	\$551	\$2,449	\$6,600 <sup>a,k</sup>	-\$4,703	\$0.29	-\$4,151	\$0.37	12.8	
	Parole low risk	17%	14%	\$533	\$197	\$730	\$6,600 <sup>a,k</sup>	-\$6,067	\$0.08	-\$5,870	\$0.11	2.4	
Behavioral	Parole general	47%	41%	\$1,299	\$253	\$1,552	\$919 <sup>a,s</sup>	\$380	\$1.41	\$633	\$1.69	8.1	
	Parole high risk	69%	62%	\$1,767	\$512	\$2,278	\$919 <sup>a,s</sup>	\$848	\$1.92	\$1,359	\$2.48	11.4	
Cognitive behavioral intervention	Parole low risk	17%	14%	\$476	\$176	\$652	\$919 <sup>a,s</sup>	-\$443	\$0.52	-\$267	\$0.71	2.3	
	Parole general	47%	45%	\$510	\$99	\$609	\$2,738 <sup>d</sup>	-\$2,228	\$0.19	-\$2,129	\$0.22	3.2	
Chemical dependency	Drug treatment in community: Residential or IOP	Parole high risk	69%	66%	\$676	\$198	\$874	\$2,738 <sup>d</sup>	-\$2,062	\$0.25	-\$1,864	\$0.32	4.5
	Drug treatment in community: standard outpatient	Parole general	47%	43%	\$807	\$157	\$964	\$992 <sup>d</sup>	-\$185	\$0.81	-\$28	\$0.97	5.0
	Parole high risk	69%	65%	\$1,080	\$316	\$1,396	\$992 <sup>d</sup>	\$88	\$1.09	\$404	\$1.41	6.9	

Local probationer programming modalities													
Population receiving programming	5-year cumulative reconviction rate		Gross monetary benefits (per program participant)			Cost of programming per participant	Net monetary benefits (per program participant)				Reduction in victimizations (per 100 program participants)		
	Baseline recidivism	Recidivism with programming	Taxpayer benefits	Victim benefits	Total benefits		Taxpayer only	Benefits minus costs	Benefit-to-cost ratio	Benefits minus costs		Benefit-to-cost ratio	
Supervision	Supervision with risk need and responsivity principles	Probation general	28%	20%	\$1,809	\$615	\$2,424	\$610 <sup>e</sup>	\$1,199	\$2,97	\$1,814	\$3.97	10.1
		Probation under age 25	39%	29%	\$2,844	\$1,081	\$3,925	\$610 <sup>e</sup>	\$2,234	\$4.66	\$3,315	\$6.43	17.6
	Intensive supervision: surveillance only	Probation general	28%	28%	-\$45	-\$15	-\$60	\$9,387 <sup>c</sup>	-\$9,432	\$0.00	-\$9,447	\$0.01	-0.4
		Probation under age 25	39%	39%	-\$58	-\$24	-\$81	\$9,387 <sup>c</sup>	-\$9,445	-\$0.01	-\$9,468	\$0.01	-0.5
Supervision	Intensive supervision: Treatment	Probation general	28%	21%	\$1,577	\$533	\$2,110	\$10,166 <sup>c</sup>	-\$8,589	\$0.16	-\$8,056	\$0.21	8.7
		Probation under age 25	39%	30%	\$2,482	\$944	\$3,426	\$10,166 <sup>c</sup>	-\$7,684	\$0.24	-\$6,740	\$0.34	15.1
	Case management: Referral style	Probation general	28%	25%	\$563	\$192	\$755	\$1,309 <sup>a,b</sup>	-\$746	\$0.43	-\$554	\$0.58	3.5
		Probation under age 25	39%	20%	\$1,912	\$650	\$2,562	N/A <sup>i</sup>	N/A	N/A	N/A	N/A	10.5
Basic skills	Electronic monitoring	Probation general	28%	19%	\$1,962	\$665	\$2,627	\$405 <sup>a,e</sup>	\$1,557	\$4.84	\$2,222	\$6.49	10.9
		Probation under age 25	39%	28%	\$3,143	\$1,198	\$4,341	\$405 <sup>a,e</sup>	\$2,738	\$7.76	\$3,936	\$10.72	19.6
	Employment: Basic training/ job readiness	Probation general	28%	25%	\$609	\$207	\$816	\$236 <sup>a,g</sup>	\$373	\$2.58	\$580	\$3.46	3.4
		Probation under age 25	39%	35%	\$948	\$360	\$1,308	\$236 <sup>a,g</sup>	\$712	\$4.02	\$1,072	\$5.54	5.7
Behavioral	Cognitive behavioral intervention	Probation general	28%	24%	\$998	\$340	\$1,339	\$553 <sup>a,g</sup>	\$445	\$1.80	\$786	\$2.42	5.7
		Probation under age 25	39%	33%	\$1,577	\$601	\$2,178	\$553 <sup>a,g</sup>	\$1,024	\$2.85	\$1,625	\$3.94	9.4
	Drug treatment in community: Residential or IOP	Probation general	28%	26%	\$379	\$129	\$508	\$2,750 <sup>d</sup>	-\$2,371	\$0.14	-\$2,242	\$0.18	2.3
		Probation under age 25	39%	36%	\$627	\$238	\$865	\$2,750 <sup>d</sup>	-\$2,123	\$0.23	-\$1,885	\$0.31	3.8
Chemical dependency	Drug treatment in community: Standard outpatient	Probation general	28%	25%	\$605	\$205	\$810	\$1,004 <sup>d</sup>	-\$399	\$0.60	-\$194	\$0.81	3.5
		Probation under age 25	39%	35%	\$984	\$377	\$1,360	\$1,004 <sup>d</sup>	-\$20	\$0.98	\$356	\$1.35	6.0

## Notes

- a Based on existing New York state programming delivered in actual setting.
- b Based on existing New York state programming delivered in comparable setting.
- c Estimated cost based on program components.
- d Based on the New York State Office of Alcoholism and Substance Abuse Services treatment reimbursement rates.
- e Based on information received from local departments/providers.
- f Based on proposed budgets submitted in response to December 2013 requests for proposals for Alternative to Incarceration programs.
- g Based on information received from a certified practitioner trainer.
- h Net cost taking into account program revenue and value of services provided.
- i State cost only, additional 7 percent borne by federal government.
- j Differential cost from standard incarceration.
- k Based on the U.S. Department of Labor's 2013 Pay for Success initiative.
- l Modality not currently operating in New York state. Cost cannot be estimated at this time. No net benefits calculated.

Sources: New York State Division of Criminal Justice Services, Office of Justice Research and Performance, July 2014

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# New York State Results First Net Program Impact Table

## Explanation of table terms

**Class/category of program intervention modality.** A description of the type or class of intervention; not all types are currently offered in New York.

**Meta-analytic evidence base of program evaluations.** The standardized mean difference effect size and the number of evaluations that were found to be of acceptable rigor and utilized to compute the effect size. Effect sizes sourced from Washington State Institute for Public Policy April 2012 and December 2013 meta-analyses. See Washington State Institute for Public Policy, "Return on Investment: Evidence-Based Options to Improve Statewide Outcomes - April 2012 Update," Document No. 12-04-1201 (April 2012); and Washington State Institute for Public Policy, "Inventory of Evidence-Based and Research-Based Programs for Adult Corrections," Document No. 13-12-1901 (December 2013).

**Population receiving programming.** The population or subpopulation used to conduct the modeling; all cohorts based on felony offender data.

**Baseline recidivism.** Cumulative five-year reconviction rate for each population without programming (New York-specific).

**Recidivism with programming.** Expected cumulative five-year reconviction rate for the population when offered a specific program, assuming that the program is delivered competently and with fidelity to its model.

**Taxpayer benefits.** Monetary benefits (in 2013 dollars) accrued by government due to reduced criminal justice costs from fewer reconvictions over a five-year period.

**Victim benefits.** Avoided tangible victimization costs such as medical bills and lost wages that are realized by society as a whole, not by government. Victim benefits based on the work of McCollister et al. See "The cost of crime to society: New crime-specific estimates for policy and program evaluation. Drug and Alcohol Dependence," 108(2010) 98-109.



**Total gross benefits.** Total benefits to taxpayers and society that result from one unit of program participation.

**Cost of programming (per participant).** Estimated cost of delivering the intervention to a single offender in New York state.

**Taxpayer net benefits.** The net benefit from a governmental or budgeting perspective.

**Taxpayer benefit-to-cost ratio.** Ratio displaying the amount of governmental return (savings) for each dollar spent on programming.

**Total benefits.** The net benefit to taxpayers and to society.

**Total benefit-to-cost ratio.** Ratio displaying the total benefit returned to taxpayers and to society for each dollar spent on programming.

**Reduction in victimizations.** Estimated number of victimizations avoided (via reduced recidivism) when intervention is provided to 100 participants.

## Endnotes

- 1 New York State prioritized funds to evidence-based programs in previous grant solicitations, such as a 2009 request for proposals for residential stabilization centers, a 2010 RFP for special offender substance abuse programs (<http://www.criminaljustice.ny.gov/opca/pdfs/2011satsorfpfinal3.pdf>), and a 2012 RFP for alternatives to incarceration for individuals with families whose income does not exceed 200 percent of the federal poverty level ([http://www.criminaljustice.ny.gov/ofpa/pdfdocs/200percentofpovertyrfp\\_final\\_8-7-12.pdf](http://www.criminaljustice.ny.gov/ofpa/pdfdocs/200percentofpovertyrfp_final_8-7-12.pdf)).
- 2 New York State Division of Criminal Justice Services, *Using Data to Inform Evidence-Based Decision Making* (January 2013), [http://www.ncja.org/sites/default/files/documents/Terry\\_Salo\\_Using\\_Data\\_to\\_Inform.pdf](http://www.ncja.org/sites/default/files/documents/Terry_Salo_Using_Data_to_Inform.pdf).
- 3 Updated program totals can be found online at [http://www.criminaljustice.ny.gov/opca/ati\\_description.htm](http://www.criminaljustice.ny.gov/opca/ati_description.htm).
- 4 Pew-MacArthur Results First Initiative panel interview, April 28, 2015.
- 5 Ibid.
- 6 Marc Schabbs, "Cost Benefit Analysis for Criminal Justice: Deployment and Initial Application of the Results First Cost Benefit Model" (October 2013), New York State Division of Criminal Justice Services, [http://www.criminaljustice.ny.gov/crimnet/ojsa/resultsfirst/rf-technical\\_report\\_cba1\\_oct2013.pdf](http://www.criminaljustice.ny.gov/crimnet/ojsa/resultsfirst/rf-technical_report_cba1_oct2013.pdf).
- 7 Report, 2014, unpublished.
- 8 Pew-MacArthur Results First Initiative panel interview, July 2, 2014.
- 9 According to the Washington State Institute for Public Policy, cognitive-behavior therapy emphasizes individual accountability and teaches offenders that cognitive deficits, distortions, and flawed thinking processes can cause criminal behavior (<http://www.wsipp.wa.gov/BenefitCost/Program/438>).
- 10 Pew-MacArthur Results First Initiative panel interview, April 28, 2015.
- 11 Ibid.
- 12 New York State Division of Criminal Justice Services, "Request for Proposals: Alternatives to Incarceration" (2013), <http://www.criminaljustice.ny.gov/ofpa/pdfdocs/ATI-RFP-Due-Sep-16-2013.pdf>.
- 13 New York State Division of Criminal Justice Services, "Alternatives-to-Incarceration (ATI) and Employment Programs: Application for Funding" (2013), <http://www.criminaljustice.ny.gov/ofpa/downloadforms/ATI-2013-14-Application-June.17.2013.doc>.
- 14 For more information on these tools, see Council of State Governments, "Risk Assessment Instruments Validated and Implemented in Correctional Settings in the United States" (2013), <http://csgjusticecenter.org/reentry/publications/risk-assessment-instruments-validated-and-implemented-in-correctional-settings-in-the-united-states/>.
- 15 New York State Division of Criminal Justice Services, "Alternatives-to-Incarceration and Employment Programs: Application for Funding" (2013).

- 16 See New York State, "Investing in What Works: 'Pay for Success' in New York State Increasing Employment and Improving Public Safety" (2014), [https://www.budget.ny.gov/contract/ICPFS/PFSFactSheet\\_0314.pdf](https://www.budget.ny.gov/contract/ICPFS/PFSFactSheet_0314.pdf).
- 17 Massachusetts also received funding through this federal grant. For more information, see <http://www.dol.gov/opa/media/press/eta/ETA20131936.htm>.
- 18 The Pew Charitable Trusts, "Iowa's Cutting-Edge Approach to Corrections: A Progress Report on Putting Results First to Use" (December 2013), [http://www.pewtrusts.org/-/media/legacy/uploadedfiles/pes\\_assets/2013/RFIBriefResultsFirstIowaProgressReportFINALpdf.pdf](http://www.pewtrusts.org/-/media/legacy/uploadedfiles/pes_assets/2013/RFIBriefResultsFirstIowaProgressReportFINALpdf.pdf).
- 19 Pew-MacArthur Results First Initiative panel interview, April 28, 2015.
- 20 Ibid.
- 21 Cost-Benefit Knowledge Bank for Criminal Justice, "An Interview With Marc Schabbes of the New York State Division of Criminal Justice Services" (July 25, 2013), <http://cbkb.org/2013/07/an-interview-with-marc-schabbes-of-the-new-york-state-division-of-criminal-justice-services/>.
- 22 Pew-MacArthur Results First Initiative panel interview, April 28, 2015.
- 23 Ibid.
- 24 Ibid.
- 25 Ibid.
- 26 Ibid.
- 27 Ibid.
- 28 Ibid.
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- 30 Ibid.
- 31 Ibid.

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