STATE OF CONNECTICUT
Results First
Benefit-Cost Analyses of Adult Criminal and Juvenile Justice Evidence-Based Programs
March 2016

INSTITUTE FOR MUNICIPAL AND REGIONAL POLICY

Central Connecticut State University
Connecticut Results First Benefit-Cost Analyses of Adult Criminal and Juvenile Justice Evidence-Based Programs

Pursuant to Public Act 15-5, June Special Session, Connecticut General Statutes, Sections 4-68r and -68s

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EXECUTIVE SUMMARY AND KEY FINDINGS

- This is the first effort to comprehensively account for all programming offered by Connecticut’s criminal justice agencies for both its juvenile and adult populations.

- The program inventory submissions from the Judicial Branch's Court Support Services Division and the departments of Correction, Children and Families, and Mental Health and Addiction Services, list a total of 190 programs, 74 of which were identified as being evidence-based.

- Five of these programs were included in the Results First model and had marginal cost information that allows the Institute for Municipal and Regional Policy (IMRP) to calculate a Connecticut-specific benefit-cost analysis.

- The three program categories in the benefit-cost analyses show, for the programs analyzed, that benefits outweigh costs (whether marginal or average), with a probability of between 83-100%.

- The move to structured evidence-based decision-making will result in a more effective and efficient utilization of state resources for intended outcomes. As the Results First Initiative’s benefit-cost analyses and the underlying program inventories become more robust and sustainable, the state will be able to:
  - Identify the programs it funds and at what cost.
  - Target state, federal, and private funds to cost-beneficial, evidence-based programs.
  - Promote the use of technology for data collection.
  - Evaluate program implementation and fidelity.
  - Articulate program capacity and utilization to maximize participation in effective, evidence-based programs.
  - Allow criminal and juvenile justice agencies to share data to improve service delivery and reduce recidivism.
  - Use evidence and outcome data to inform decisions on where to prioritize limited resources.

- Having compiled this first program inventory, each agency is familiar with the data, time, and resources needed to comply with this statutory requirement. Future benefit-cost analyses can be improved by developing and sustaining the agency and analytic infrastructure to support improved decision-making. Steps include:
  - Supporting technology development for data collection and program inventory reports.
  - Instituting routine program evaluations to assure program fidelity and overall effectiveness by dedicating in-agency personnel to assess state-run programs and including performance measures, program evaluation requirements, and costs in private provider contracts.
- Dedicating adequate resources in each adult criminal and juvenile justice agency to the preparation of complete and consistent program inventories.
- Training staff in evidence-based policy and budget decision-making.

- Additional research will determine whether there are more Connecticut evidence-based programs that match those in the Results First model for which a benefit-cost analysis could be calculated.

- Agencies as well as those making policy and budget decisions should be encouraged to use program inventories and the resulting benefit-cost analyses to prioritize program offerings and improve program effectiveness and outcomes.

- IMRP wishes to thank our agency partners in this project for their efforts in providing the necessary data for the benefit-cost analyses as well as consultant Dr. Ashley Provencher and the Results First Initiative staff at the Pew Charitable Trusts for their technical assistance.
I. **STATUTORY CHARGE**

**Public Act 15-5, June Special Session**

This report is submitted pursuant to the 2015 legislation, PA 15-5, June Special Session, An Act Implementing Provisions of the State Budget for the Biennium Ending June 30, 2017 Concerning General Government, Education and Health and Human Services and Bonds of the State, Sections 486 - 487, codified at Connecticut General Statutes, Sections 4-68r and -68s. (See Appendix A) The legislation advances the work of the Results First project at Central Connecticut State University’s Institute for Municipal and Regional Policy (IMRP), which administers the Pew-MacArthur Results First Initiative. Results First Connecticut has focused on the agencies associated with adult criminal and juvenile justice policy and their state-funded programs that are evidence-based. The model, developed by the Washington State Institute for Public Policy relies on meta-analyses of national research and Connecticut-specific costs and participant data to produce an expected return on investment for the state. Initially, agencies’ so-called program inventories are necessary in order to apply the Results First economic model. Then, IMRP must calculate the benefit-cost analyses (BCA) used to make policy and budget decisions.

The act requires the Judicial Branch’s Court Support Services Division (CSSD) and the departments of Correction (DOC), Children and Families (DCF), and Mental Health and Addiction Services (DMHAS) to develop program inventories that are the basis and include the data for implementation of the Result First project. It includes the provision requiring IMRP to develop benefit-cost analyses of the evidence-based adult criminal and juvenile justice programs listed in those inventories. Governor Dannel Malloy signed the legislation on June 30, 2015. The relevant sections became effective on July 1, 2015.

Under this act, the four state agencies, by January 1, 2016, had to (1) compile complete lists of each agency’s adult criminal and juvenile justice programs and (2) categorize them as evidenced-based, research-based, promising, or lacking any evidence. In the future, the agencies must again do this by October 1 in every even-numbered year.

Each designated agency’s list had to include the following information for the previous fiscal year:

1. a detailed program description and the names of providers,
2. the intended treatment population and outcomes,
3. total annual program expenditures and a description of funding sources,

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1 The Pew-MacArthur Results First Initiative, a project of the Pew Charitable Trusts and the John D. and Catherine T. MacArthur Foundation, works with states to implement an innovative cost-benefit analysis approach that helps them invest in policies and programs that are proven to work. Additional information about Results First is available at [http://www.pewstates.org/projects/pew-macarthur-results-first-initiative-328069](http://www.pewstates.org/projects/pew-macarthur-results-first-initiative-328069).
4. the method for assigning participants,
5. the cost per participant,
6. the annual capacity for and the number of actual participants, and
7. an estimate of the number of people eligible for or needing the program.

CSSD and the departments submitted their program inventories to the Office of Policy and Management’s (OPM) Criminal Justice Policy and Planning Division (CJPPD), the Appropriations and Finance, Revenue and Bonding committees, the Office of Fiscal Analysis (OFA), and IMRP.

This report includes the benefit-cost analysis for each program included in the model for which the inventory provided the necessary information. By law, the report goes to CJPPD, the Appropriations and Finance, Revenue and Bonding committees, and OFA. This year, the report is due by March 1, 2016 and then annually by November 1.

In addition, IMRP’s benefit-cost analyses may be included as part of OPM’s and OFA’s annual fiscal accountability report due by November 15 to the legislature’s fiscal committees each year. Under the act, “cost beneficial” means that the cost savings and benefits realized over a reasonable period of time are greater than the costs of a program’s implementation.

By law, OPM must develop a plan to promote a more effective and cohesive state criminal justice system. Under the act, to accomplish this, OPM must also review the program inventories and benefit-cost analyses and consider incorporating them in its budget recommendations to the legislature.

Agency Expenditure Estimates. Under the act, the designated agencies’ expenditure requirements submitted to OPM and the legislature may include costs to implement evidence-based programs and the governor may include these costs in the budget he submits to the legislature.

Program Definitions. The act defines each program category as follows:

1. An “evidence-based program” incorporates methods demonstrated to be effective for the intended population through scientifically based research, including statistically controlled evaluations or randomized trials; can be implemented with a set of procedures to allow successful replication in Connecticut; achieves sustained, desirable outcomes; and, when possible, has been determined to be cost-beneficial.

2. A “research-based program” is a program or practice that has some research demonstrating effectiveness, such as one tested with a single randomized or statistically controlled evaluation, but does not meet the full criteria for evidence-based.
3. A “promising program” is a program or practice that, based on statistical analyses or preliminary research, shows potential for meeting the evidence-based or research-based criteria.

**Process for Compliance**

The law became effective July 1, 2015, and program inventories had to be submitted by January 1, 2016. During that six-month period, IMRP offered and provided extensive technical assistance and resources to the four named agencies to assist them in developing their inventories. Dr. Ashley Provencher, Assistant Professor of Economics at Siena College, Loudonville, New York and formerly at Eastern Connecticut State University, had compiled an inventory of evidence-based programs for the Results First effort in 2011 and was enlisted to instruct the agency staff who would be collecting and providing the necessary data. IMRP also arranged for the Pew-MacArthur Results First Initiative staff and technical consultant to be available for additional assistance. Agency staff had the opportunity to benefit from regular bi-weekly sessions conducted either in person or by telephone. These meetings covered the project process and management, the types of programs and information to include, the Excel spreadsheet format, the methods used to calculate marginal costs, and various status updates.

The table in Appendix B documents the assistance provided through meetings and conference calls. In addition, throughout this process, Dr. Provencher, the Pew-MacArthur Results First technical staff, and IMRP program staff consulted and answered questions informally in person, over the phone, or by email. The lead agency members of the Program Inventory Work Group were Steven Smith (DCF), Dr. Patrick Hynes (DOC), Loel Meckel (DMHAS), and Cynthia Theran (CSSD). Each agency recruited a team of program and financial staff to help collect information for the inventories.

By January 31, 2016 (an extended deadline), each of the four agencies had submitted a complete or, in some cases, partial inventory. While we have endeavored to produce the required report by March 1, 2016 with the data submitted to date, we will continue to work with the agencies to gather and accept data that can be useful in expanding and improving benefit-cost analyses and report them to the statutory recipients.

**II. THE RESULTS FIRST INITIATIVE**

**Background**

The Pew-MacArthur Results First Initiative works with state and county jurisdictions to implement an innovative evidence-based policymaking approach and benefit-cost analysis model that helps them invest in policies and programs that are proven to work. It gives public officials the information they need to make policy and budget decisions based on probable outcomes and return on investment. It is intended to identify opportunities that effectively invest limited resources to produce better outcomes and potential savings.

Results First employs a sophisticated econometric model to analyze the costs and benefits of evidence-based programs across a variety of social policy areas. By calculating the
long-term return on investment for multiple programs through the same lens, it produces results and comparisons that policymakers can use in planning and budgeting decisions.

Connecticut became an early participant in the Results First Initiative in March 2011 when Governor Dannel Malloy and legislative leaders submitted formal letters of support to Results First. To date, Connecticut’s work with Results First has focused on conducting a comprehensive benefit-cost analysis of the state’s criminal justice programs. The Pew-MacArthur Results First Initiative currently offers technical assistance to 19 states and four California counties to help them customize and implement jurisdiction-specific versions of the model and related tools.

Methodology

The Results First model, which was originally developed by the Washington State Institute for Public Policy (WSIPP), applies the best available national rigorous research on program effectiveness to predict the public safety and fiscal outcomes of each program category in Connecticut, based on our unique population characteristics and the costs to provide these programs in this state. For each potential investment, the model produces separate projections of benefits that would accrue to program participants, nonparticipants, and taxpayers. These are summed to estimate a total state bottom-line benefit. The model then calculates the cost of producing these outcomes and the return on investment on a per-participant basis that Connecticut would achieve if it chose to continue funding and maintain fidelity to each program.

The Results First spreadsheet template is designed to provide the information required to populate the model with state-specific data. To the extent that the listed programs are (1) evidence-based and (2) included in the model, IMRP can match programs with those in the model and calculate the benefit-cost analysis.

Results First Clearinghouse Database

As an additional aid in evaluating evidence-based programs, the Results First Initiative has created a Results First Clearinghouse Database that policymakers can use as a resource for information on program effectiveness. The database is a single, on-line compilation of research, literature reviews, and evaluations from eight different national clearinghouses on interventions in policy areas, including adult criminal and juvenile justice. Information on over 900 interventions in the database rate program effectiveness and describe evaluations to identify interventions that work.

Not all the programs in the clearinghouse are included in the Results First model for determining a benefit-cost analysis. However, the clearinghouse can be a useful tool to determine programs that have been evaluated as evidence-based and effective.
III. PROGRAM INVENTORIES

IMRP notified the agencies that in order to comply with the legislation’s requirement for the institute to report on the benefit-cost analyses of the identified programs by March 1, 2016, it would need their program inventories by January 31. By that date, each of the four agencies had submitted a complete or partial inventory spreadsheet to IMRP. There was additional contact with agencies to clarify certain components of the information in order for IMRP to begin its work compiling the benefit-cost analysis portion of the project.

The participant and cost data in this report is for FY 15 for CSSD and DOC and FY 14 for DMHAS. DCF did not specify the year for the participant data that it submitted. The instructions were to provide information for the “prior fiscal year.”

In order to apply the Results First model, IMRP needed to have the following information included in the program inventory:

1. the program name and description;
2. whether the program is included in the Results First model;
3. participant data; and
4. cost and budget information, including the marginal cost.

Judicial Branch – Court Support Services Division

CSSD identified 14 adult criminal justice programs of which 11 are evidence-based and three had adequate cost information for purposes of applying the model to calculate the benefit-cost analysis. The division’s inventory for juvenile justice programs identified 19 programs, 10 are evidence-based, one of which is in the model. We believe this to be a full accounting of all criminal justice programs offered by CSSD.

Department of Mental Health and Addiction Services

The department identified 21 programs of which 11 are evidence-based and one, operated in collaboration with CSSD, had adequate cost and program matching information for purposes of applying the Results First model. We believe this to be a full accounting of all criminal justice programs offered by DMHAS.

Department of Correction

The department identified 127 programs, including four basic education programs and 19 different vocational education programs. The department considers 40 to be evidence-based (17 if the education and vocational education are combined as two separate programs). Of the total number, none of the evidence-based programs had adequate cost information for purposes of applying the Results First model. Although we believe this to be a full accounting of criminal justice programs offered within DOC institutions, this does not include programs offered in the community.
Department of Children and Families

On January 8, 2016, DCF submitted its inventory completing only two of four required data sections. It lists nine programs with the following information about each: a description, average duration, and frequency; intended outcomes; start year; service providers; and program fidelity. The legislation requires the department to list and submit all of the “agency’s criminal and juvenile justice programs.” We believe this to be an incomplete accounting of all facility and community-based criminal justice programs offered by DCF.

DCF did include data on those programs’ participants and annual capacity. IMRP determined that two of the DCF programs in the inventory are included in the Results First model. The program inventory included, in a note, dollar amounts that we are unable to identify for five different programs; but the department did not complete the Budget and Cost section of its required submission. It also failed to submit the section of the document that identifies programs that are (1) evidence-based, research-based, or promising; (2) in the Results First or WSIPP models; and (3) in the Results First Initiative Clearinghouse database.

During the period each agency was required to create its inventory, DCF was also responding to requests for information generated by the Juvenile Justice Policy Oversight Committee, which impacted its ability to devote resources to this particular program inventory project. Unfortunately without program cost details, DCF’s inventory submission is incomplete. Consequently, we are not able to complete a benefit-cost analysis for any of its programs for this report.

Evidence-Based Programs for Preventing Crime Recidivism

The four adult criminal and juvenile justice agencies that submitted program inventories were required to identify the programs that they determine are evidence-based, referring to the WSIPP model and the clearinghouse database.

In most cases, however, IMRP was unable to apply the Results First model for purposes of calculating the benefit-cost analysis for one or more of the following reasons:

1. The agency did not provide the necessary marginal cost information.
2. Connecticut-specific juvenile recidivism data is not available to insert in the model for calculating part of the state’s benefits (a critical element of the benefit-cost analysis calculation).
3. The Connecticut program description or operation does not match any program in the WSIPP model, even where the appropriate benefit and cost data are included in the inventory.

The programs listed in Table 1, “Evidence-Based Program Inventory Information by Agency,” could not be included in the “consumer report” chart with a benefit-cost analysis. Nevertheless, the table shows important program details as reported for the evidence-based programs that these agencies manage in Connecticut, including the intended outcomes, duration and annual participant capacity, the number of participants served, as well as those
who were eligible but not served, the annual program budget and the cost per participant (whether average or marginal). Some evidence-based programs may be seen at: Washington State Institute for Public Policy and Results First Clearinghouse Database.
### Table 1: Evidence-Based Program Inventory Information by Agency

<table>
<thead>
<tr>
<th>Program Name</th>
<th>Intended Outcomes</th>
<th>Average Duration</th>
<th>Number of Participants Served</th>
<th>Eligible but Not Served</th>
<th>Annual Capacity</th>
<th>Program Budget</th>
<th>Annual Cost per Participant/Average</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Judicial Department – Court Support Services Division (Dollar Year 2015) (SID #12043-Alternative Incarceration Program) – Adult</strong></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Adult Behavioral Health Services</td>
<td>Reduced recidivism</td>
<td>3-6 months</td>
<td>17,791</td>
<td>2,338</td>
<td>Not available</td>
<td>$15,247,831</td>
<td>$857</td>
</tr>
<tr>
<td>Domestic Violence Perpetrator Treatment - Evolve</td>
<td>Reduced recidivism</td>
<td>26 weeks</td>
<td>859</td>
<td>623</td>
<td>690</td>
<td>$1,012,516</td>
<td>$1,178</td>
</tr>
<tr>
<td>Domestic Violence Perpetrator Treatment – Explore</td>
<td>Reduced recidivism</td>
<td>26 weeks</td>
<td>2,121</td>
<td>1,651</td>
<td>2,130</td>
<td>$1,476,118</td>
<td>$696</td>
</tr>
<tr>
<td>Domestic Violence Perpetrator Treatment - Bridgeport</td>
<td>Reduced recidivism</td>
<td>12 weeks</td>
<td>203</td>
<td>194</td>
<td>259</td>
<td>$88,400</td>
<td>$435</td>
</tr>
<tr>
<td>Drug Intervention Program</td>
<td>Reduced recidivism</td>
<td>9 – 12 months</td>
<td>36</td>
<td>Not available</td>
<td>Not Available</td>
<td>$397,344</td>
<td>$12,040</td>
</tr>
<tr>
<td>Electronic Monitoring</td>
<td>Offender tracking and deterrence</td>
<td>2-4 months</td>
<td>4,294</td>
<td>Not available</td>
<td>Not available</td>
<td>$1,345,857</td>
<td>$313</td>
</tr>
<tr>
<td>(including $286,911 for Victim Notification Program)</td>
<td></td>
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<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Family Violence Education Program</td>
<td>Reduced recidivism</td>
<td>9 weeks</td>
<td>5,306</td>
<td>4,801</td>
<td>5,918</td>
<td>$1,083,642</td>
<td>$204</td>
</tr>
<tr>
<td>Residential Drug Tx Collaborative (with DMHAS)</td>
<td>Decreased dependence on drugs and alcohol</td>
<td>21 days to 9 months</td>
<td>4,366</td>
<td>3,096</td>
<td>295 beds, average 95 days length of stay: Capacity, 1,121</td>
<td>$9,411,716</td>
<td>$2,156</td>
</tr>
<tr>
<td><strong>Judicial Department – Court Support Services Division (Dollar Year 2015) (SID #12043-Alternative Incarceration Program) – Juvenile</strong></td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Adolescent-Community Reinforcement Approach &amp; Assertive Continuing Care - Outpatient</td>
<td>Reduce substance use, improve social and family functioning, reduce recidivism</td>
<td>6 months</td>
<td>69</td>
<td>Not available</td>
<td>216</td>
<td>$289,356</td>
<td>$4,194</td>
</tr>
<tr>
<td><strong>Program Name</strong></td>
<td><strong>Intended Outcomes</strong></td>
<td><strong>Average Duration</strong></td>
<td><strong>Number of Participants Served</strong></td>
<td><strong>Eligible but Not Served</strong></td>
<td><strong>Annual Capacity</strong></td>
<td><strong>Program Budget</strong></td>
<td><strong>Annual Cost per Participant/Average</strong></td>
</tr>
<tr>
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<td>----------------------------------------</td>
</tr>
<tr>
<td>Adolescent-Community Reinforcement Approach &amp; Assertive Continuing Care – Residential</td>
<td>Reduce substance use, improve social and family functioning, reduce recidivism</td>
<td>Residential: 60 days; aftercare in community: 4 months</td>
<td>DCF: undetermined</td>
<td>DCF: undetermined</td>
<td>12 beds (11 CSSD, 1 DCF)</td>
<td>$673,000 (CSSD portion/MOA with DCF)</td>
<td>DCF: undetermined</td>
</tr>
<tr>
<td>Intermediate Residential</td>
<td>Reduction in substance use and improved family relationship. Reduce recidivism.</td>
<td>4 months</td>
<td>49</td>
<td>Clients tracked at admission</td>
<td>42 (14 beds)</td>
<td>$2,723,947 State: $2,696,094 PI: $27,853</td>
<td>$55,591</td>
</tr>
<tr>
<td>Juvenile Sex Offender Services</td>
<td>Reduce recidivism</td>
<td>Up to 1 year</td>
<td>72</td>
<td>65</td>
<td>36 slot capacity</td>
<td>$392,401</td>
<td>$5,375 $234/Marginal</td>
</tr>
<tr>
<td>Multidimensional Family Therapy (Contracted)</td>
<td>Reduce recidivism, improve family relationships</td>
<td>60 days</td>
<td>109</td>
<td>Clients tracked at admission</td>
<td>96</td>
<td>$1,287,171 State: $1,107,218 PI: $179,953</td>
<td>$11,809</td>
</tr>
<tr>
<td>Multidimensional Family Therapy (With DCF)</td>
<td>Reduce recidivism, improve family relationships</td>
<td>5 months</td>
<td>DCF: undetermined</td>
<td>DCF: undetermined</td>
<td>DCF: undetermined</td>
<td>$629,186</td>
<td>DCF: undetermined</td>
</tr>
<tr>
<td>Multidimensional Treatment Foster Care</td>
<td>Reduce recidivism, family reunification</td>
<td>6-9 months</td>
<td>DCF: undetermined</td>
<td>DCF: undetermined</td>
<td>DCF: undetermined</td>
<td>$378,679</td>
<td>DCF: undetermined</td>
</tr>
<tr>
<td>Multisystemic Therapy</td>
<td>Reduce recidivism, improve family relationships, prevent out-of-home placement</td>
<td>5 months</td>
<td>478</td>
<td>Clients tracked at admission</td>
<td>449</td>
<td>$4,843,940 State: $4,344,821 PI: $499,119</td>
<td>$10,134</td>
</tr>
<tr>
<td>Youth Mentoring</td>
<td>Pro-social connection</td>
<td>1 year</td>
<td>179 admitted</td>
<td>26</td>
<td>225</td>
<td>$539,389</td>
<td>$4,086</td>
</tr>
</tbody>
</table>

**Department of Mental Health and Addiction Services (Dollar Year 2014)**

<table>
<thead>
<tr>
<th><strong>Program Name</strong></th>
<th><strong>Intended Outcomes</strong></th>
<th><strong>Average Duration</strong></th>
<th><strong>Number of Participants Served</strong></th>
<th><strong>Eligible but Not Served</strong></th>
<th><strong>Annual Capacity</strong></th>
<th><strong>Program Budget</strong></th>
<th><strong>Annual Cost per Participant/Average</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Jail Diversion, court based, post-booking</td>
<td>1. Crime/ Recidivism: Reduce number of defendants sent to jail on a bond at arraignment or permit earlier release from jail and maximize successful completion of court supervision without incarceration. 2. Mental Health: connect to treatment if not in treatment</td>
<td>Duration of contact with JD staff depends on the client.</td>
<td>2,839 evaluated</td>
<td>1,365 diverted</td>
<td>Unknown</td>
<td>Undetermined</td>
<td>$3,232,578 $911/evaluated $1,895/diverted</td>
</tr>
<tr>
<td>Program Name</td>
<td>Intended Outcomes</td>
<td>Average Duration</td>
<td>Number of Participants Served</td>
<td>Eligible but Not Served</td>
<td>Annual Capacity</td>
<td>Program Budget</td>
<td>Annual Cost per Participant/ Average</td>
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<td>--------------------------------------------------------------------</td>
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</tr>
<tr>
<td>Jail Diversion for women, post-booking</td>
<td>1. Crime/Recidivism: Reduce number of defendants sent to jail on a bond at arraignment or permit earlier release from jail and maximize successful completion of court supervision without incarceration, reduce recidivism. 2. Mental Health, Substance Abuse: Reduce trauma related impairment, improve mental health, reduce substance use.</td>
<td>173 days</td>
<td>151 admitted and diverted.</td>
<td>Unknown</td>
<td>80</td>
<td>$623,316</td>
<td>$4,128/marginal</td>
</tr>
<tr>
<td>Jail Diversion for Veterans, court based, post-booking</td>
<td>1. Crime/Recidivism: Reduce number of veterans sent to jail on bond at arraignment or permit earlier release from jail and maximize successful completion of court supervision without incarceration, reduce recidivism. 2. Mental Health, Substance Abuse: Reduce trauma related impairment, improve mental health, reduce substance use.</td>
<td>4 months</td>
<td>70 evaluated 60 diverted.</td>
<td>Unknown</td>
<td>Undetermined</td>
<td>$226,495</td>
<td>$2,831/marginal</td>
</tr>
<tr>
<td>Jail Diversion Substance Abuse (JDSA)</td>
<td>1. Crime/Recidivism: Reduce number of defendants sent to jail on a bond at arraignment and maximize successful completion of court supervision without incarceration, reduce recidivism. 2. Substance Abuse: Reduce substance use.</td>
<td>69 days</td>
<td>167 screened 74 evaluated and a plan presented to court. 60 diverted</td>
<td>14 defendants not diverted to the program</td>
<td>70</td>
<td>$220,565</td>
<td>$3,676</td>
</tr>
<tr>
<td>Alternative Drug Intervention (ADI)</td>
<td>1. Crime/Recidivism: Reduce number of defendants sent to jail on a bond at arraignment or permit earlier release</td>
<td>78 days</td>
<td>159 admitted and diverted.</td>
<td>Unknown</td>
<td>50</td>
<td>$307,402</td>
<td>$1,933/marginal</td>
</tr>
<tr>
<td>Program Name</td>
<td>Intended Outcomes</td>
<td>Average Duration</td>
<td>Number of Participants Served</td>
<td>Eligible but Not Served</td>
<td>Annual Capacity</td>
<td>Program Budget</td>
<td>Annual Cost per Participant/Average</td>
</tr>
<tr>
<td>--------------------------------------------------</td>
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</tr>
<tr>
<td>Transitional Case Management</td>
<td>1. Crime/recidivism. 2. Substance Abuse: Increase engagement in community services, reduce relapse on drugs/alcohol, improve success in the community, improve functioning in the community, reduce recidivism.</td>
<td>83 days</td>
<td>278</td>
<td>Unknown</td>
<td>270</td>
<td>$673,090</td>
<td>$2,421</td>
</tr>
<tr>
<td>Sierra Pretrial Transitional Residential Program</td>
<td>1. Crime/recidivism. 2. Mental Health, 3. Substance abuse: DMHAS Pretrial defendants: Earlier release from jail for defendants with mental illness. Successful transition to the community without return to jail. Engagement in mental health and substance abuse treatment.</td>
<td>76 days</td>
<td>25 admitted</td>
<td>Unknown</td>
<td>7 beds at an ideal of 3 months per client is 48 clients per year but many clients stay longer than 3 months and the court's schedule results in delays and unfilled beds.</td>
<td>$596,908</td>
<td>$23,876</td>
</tr>
<tr>
<td>Community Recovery Engagement Support and Treatment (CREST)</td>
<td>1. Crime/recidivism. 2. Mental Health, 3. Substance abuse: Successful completion of court supervision without incarceration for pretrial defendants. Reduce risk of violation and incarceration for probationers and parolees. Successful transition to the community.</td>
<td>166 days</td>
<td>45 admitted</td>
<td>Unknown</td>
<td>60 (30 at one time with six month duration, though some stay longer)</td>
<td>$932,066</td>
<td>$20,713</td>
</tr>
<tr>
<td>Forensic Supportive Housing</td>
<td>1. Housing stability, 2 mental health, 3 recidivism.</td>
<td>Depends on client's request for services</td>
<td>85</td>
<td>Unknown</td>
<td>60</td>
<td>$613,591</td>
<td>$7,219</td>
</tr>
<tr>
<td>Program Name</td>
<td>Intended Outcomes</td>
<td>Average Duration</td>
<td>Number of Participants Served</td>
<td>Eligible but Not Served</td>
<td>Annual Capacity</td>
<td>Program Budget</td>
<td>Annual Cost per Participant/Average</td>
</tr>
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</tr>
<tr>
<td>Rental Assistance Program</td>
<td>1. Housing stability, 2 mental health, 3 recidivism.</td>
<td>Depends on client’s request for services</td>
<td>At least 52, though not all use program for full year</td>
<td>Unknown</td>
<td>61</td>
<td>Requested from state Department of Housing</td>
<td>$10,000</td>
</tr>
<tr>
<td>Department of Children and Families</td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
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</tr>
<tr>
<td>Functional Family Therapy</td>
<td>Reduce recidivism, child maltreatment, substance abuse. Mental Health. Out-of-home placement</td>
<td>3-6 months</td>
<td>484</td>
<td>Undetermined</td>
<td>525</td>
<td>Undetermined</td>
<td>Undetermined</td>
</tr>
<tr>
<td>Multi-systemic Therapy</td>
<td>Reduce recidivism and out-of-home placements; improve family functioning; decrease substance use; reduce mental health problems for serious juvenile offenders</td>
<td>3-5 months</td>
<td>243</td>
<td>Undetermined</td>
<td>201</td>
<td>Undetermined</td>
<td>Undetermined</td>
</tr>
<tr>
<td>Department of Correction (Dollar Year 2015) (SID #10010-Personal Services)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Transitional Case Management</td>
<td>Substance abuse treatment</td>
<td>Not available</td>
<td>Not available</td>
<td>Not available</td>
<td>Not available</td>
<td>Not available</td>
<td>Not available</td>
</tr>
<tr>
<td>USD #1 Academic Education (four programs listed, but not including GED, which is not state-funded)</td>
<td>Education</td>
<td>On-going, based on individual needs</td>
<td>7,518 (ranging from 1,000 to 2,596 in four separate education programs)</td>
<td>Not available</td>
<td>Not available</td>
<td>$6,876,371 (ranging from $1,084,284 to $2,222,751 in four separate education programs)</td>
<td>Average cost per participant varies from $794 to $1,085</td>
</tr>
<tr>
<td>USD #1 Vocational Education (19 programs listed)</td>
<td>Vocational education/training</td>
<td>On-going, based on individual needs</td>
<td>2,220 in all 19 programs</td>
<td>Not available</td>
<td>Not available</td>
<td>$2,082,326 (teacher salary costs for all 19 programs)</td>
<td>Average cost per participant varies from $562 to $2,423</td>
</tr>
<tr>
<td>Methadone Treatment Program</td>
<td>Substance abuse treatment</td>
<td>Not available</td>
<td>134</td>
<td>Not available</td>
<td>Not available</td>
<td>$53,000</td>
<td>$396</td>
</tr>
<tr>
<td>Tier Two – Addiction Services</td>
<td>Substance abuse treatment</td>
<td>3 months</td>
<td>2,003</td>
<td>529</td>
<td>Not available</td>
<td>$683,352</td>
<td>$341</td>
</tr>
<tr>
<td>Tier Four – Addiction Services</td>
<td>Substance abuse treatment</td>
<td>4-6 months</td>
<td>727</td>
<td>180</td>
<td>Not available</td>
<td>$773,445</td>
<td>$1,064</td>
</tr>
<tr>
<td>Cognitive Behavioral Therapy</td>
<td>Mental health treatment</td>
<td>On-going</td>
<td>97</td>
<td>0</td>
<td>Not Available</td>
<td>Not Available</td>
<td>Not Available</td>
</tr>
<tr>
<td>Program Name</td>
<td>Intended Outcomes</td>
<td>Average Duration</td>
<td>Number of Participants Served</td>
<td>Eligible but Not Served</td>
<td>Annual Capacity</td>
<td>Program Budget</td>
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</tr>
<tr>
<td>Anger Management Program</td>
<td>Anger management</td>
<td>1-2 months</td>
<td>1,164</td>
<td>1,794</td>
<td>Not available</td>
<td>$192,260</td>
<td>$165</td>
</tr>
<tr>
<td>Technical Violators Program</td>
<td>Substance abuse treatment</td>
<td>3 weeks</td>
<td>377</td>
<td>5</td>
<td>Not available</td>
<td>$742,347</td>
<td>$1,969</td>
</tr>
<tr>
<td>DUI Home Confinement: Track One</td>
<td>Substance abuse treatment</td>
<td>10 days</td>
<td></td>
<td>10</td>
<td>Not available</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DUI Home Confinement: Track Two</td>
<td>Substance abuse treatment</td>
<td>5 weeks</td>
<td></td>
<td>7</td>
<td>Not available</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DUI Home Confinement: Track Three</td>
<td>Substance abuse treatment</td>
<td>3 months</td>
<td></td>
<td>32</td>
<td>Not available</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DUI Home Confinement: Track Four</td>
<td>Substance abuse treatment</td>
<td>6 months</td>
<td></td>
<td>3</td>
<td>Not available</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Domestic Violence-Facility-Based</td>
<td>Crime/punishment behavior modification</td>
<td>2-3 months</td>
<td>1,199</td>
<td>503</td>
<td>Not available</td>
<td>$198,208</td>
<td>$165</td>
</tr>
<tr>
<td>CLICC Literacy Program</td>
<td>Education</td>
<td>2-3 months</td>
<td>0</td>
<td>0</td>
<td>Not available</td>
<td>Not state-funded</td>
<td>Not applicable</td>
</tr>
<tr>
<td>Intensive Aftercare Program – Facility Addiction Services</td>
<td>Substance abuse treatment</td>
<td>Not available</td>
<td>128</td>
<td>27</td>
<td>Not available</td>
<td>$57,371</td>
<td>$448</td>
</tr>
<tr>
<td>STRIVE</td>
<td>Employment assistance</td>
<td>Not available</td>
<td>0</td>
<td>0</td>
<td>Not available</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>
IV. BENEFIT-COST ANALYSES

Results First Model

Results First employs a sophisticated econometric model to analyze the costs and benefits of potential investments in public programs. The model applies the best available national rigorous research on program effectiveness to predict the public safety and fiscal outcomes of each program category in Connecticut, based on our unique population characteristics and the costs to provide these programs in the state. For each potential investment, the model produces separate projections of benefits that would accrue to program participants, nonparticipants, and taxpayers. The model then calculates the cost of producing these outcomes and the return on investment that Connecticut would achieve if it chose to fund each program.

Cost and Budget Data

Generally, the cost of a program includes fixed costs (those that are incurred regardless of how many people participate in a program) and variable costs (those that are dependent on the number of program participants). For purposes of applying the Results First benefit-cost analysis (BCA) model, it is better to know the marginal cost for program participants, that is, the cost to provide the program to one more person or unit of service, rather than an average cost, which includes fixed costs and can overstate the BCA. Marginal costs are preferred in the calculation of benefit-cost analyses because justice system costs tend to be incremental, for items like clothing, food, and some services. Average costs per participant include fixed costs and overestimate potential savings from reduced recidivism.

As illustrated in the Vera Institute of Justice’s “A Guide to Calculating Justice-System Marginal Costs” (May 2013): “the average and marginal costs of prison illustrate this important distinction. Nationwide, the average annual per-inmate cost of state prison is about $30,000. A common misconception is that reducing the prison population by a small amount will translate into $30,000 per inmate in taxpayer savings. But the average cost includes costs for administration, utilities, and other expenses that will not change when the prison population is slightly reduced. A small change affects expenses such as food, clothing, and medical care: these are the marginal costs associated with a small reduction in the inmate population. The difference between the average and marginal cost of prison is vast. In Massachusetts, for example, the average annual per-inmate cost of incarceration is $46,000, whereas the marginal cost is only $9,000.”

Program Summaries

The benefit-cost analyses below are calculated for the following programs managed by the agency(ies) indicated:

1. Cognitive Behavioral Treatment:
   i. Start Now/
ii. Advanced Supervision Intervention and Support Team (ASIST) (DMHAS/CSSD) and
iii. Alternative in the Community (CSSD)

2. Adult Sex Offender Treatment Services (CSSD)

**Start Now/Advanced Supervision and Intervention Support Team (ASIST)**

This program is co-funded and jointly managed by DMHAS, CSSD, and DOC. It provides clinical treatment by mental health staff. The clinical approaches incorporated in this program include cognitive behavioral skills training, dialectical behavior therapy, trauma sensitive care, motivational enhancement therapy, motivational interviewing principles, and gender specificity.

**Alternative in the Community**

WSIPP Program Description: Cognitive behavioral therapy (CBT) emphasizes individual accountability and teaches offenders particular cognitive skills that enable them to think and behave in a more pro-social manner. It is based on the assumption that anti-social behavior is the result of offenders lacking the cognitive skills to achieve their goals in a pro-social way. Programs delivered specifically as sex offender treatment are excluded. Treatment is commonly delivered via group meetings using audio-visual presentations, reasoning exercises, games, and group discussion techniques. The curriculum covers problem solving as well as social skills.

**Adult Sex Offender Treatment Services**

WSIPP Program Description: Sex offender treatments in the community include broad therapeutic components such as cognitive behavioral treatment, individual or group counseling, psychotherapy, behavioral therapy, and aversion therapy.

**Children, Youth and Family Support Service Centers/Aggression Replacement Training**

WSIPP Program Description: Aggression Replacement Training ® (ART ®) is a cognitive behavioral intervention program that specifically targets chronically aggressive children and adolescents. ART aims to help adolescents improve social skill competence and moral reasoning, better manage anger, and reduce aggressive behavior.
V. BENEFIT-COST COMPARISONS

Table 2 below shows the five programs from the program inventories that are included in the three program areas in the Results First/WSIPP model for which the agency (DMHAS or CSSD) was able to calculate a marginal cost for the program. With this data and for these programs, IMRP is able to present the benefit-cost ratio.

Table 3 shows the benefit-cost ratio for the same programs using an average cost per participant. As noted in the discussion of marginal and average costs above, using an average cost usually tends to overstate the program cost (because it includes fixed costs) as it relates to any policy change. Nevertheless, we have included this additional chart portraying the benefit-cost ratios resulting from a calculation using the average cost to (1) illustrate a common, albeit not preferred application of the model using average costs and (2) show that even with these figures, the benefit-cost ratios are favorable.

The fields shown in the chart are defined and can be interpreted as follows:

- **Total benefits:** The sum of long-term benefits to taxpayers and society that result from one person’s participation in a program.

- **Benefits to Participants:** The monetary gains (or losses) to the program participant, (e.g., increased labor market earnings from improved likelihood of high school graduation as modeled with the juvenile crime programs).

- **Taxpayer Benefits:** The benefit from a governmental or budgeting perspective. For example, state and local criminal justice expenses avoided as a result of programming that reduces future crime resulting in convictions. Taxpayer costs avoided include police arrests, court adjudication, prison detention and incarceration, and probation or parole supervision.

- **Non-Taxpayer Benefits:** Benefits other than state and local resources to individual persons who would be affected by crime. For adult criminal justice and juvenile justice programs, non-taxpayer benefits are calculated using costs associated with avoided victimization, including tangible (e.g., medical expenses, cash or property theft, or lost earnings due to injury) and intangible costs (e.g., pain and suffering resulting from being a crime victim).

- **Other Indirect Benefits:** Avoided expenses or additional costs related to the increased tax burden to fund the program. A positive value represents a net reduced tax burden to fund the criminal justice system. A negative value represents the net increased tax burden to pay for the program.

- **Cost:** The incremental cost of providing a program, service, or policy to an additional client, participant, or specific population. Program costs do not include fixed costs, such as rent or utilities, unless these costs are essential to the program’s operation. Connecticut Results First estimated program costs using FY
2015 budgetary data.

- **Benefits minus Costs (Net Present Value):** The difference between the present value of discounted cash inflows (benefits) from a given program and the present value of cash outflows (costs). A program with a net present value of $1,000 produces $1,000 in benefits per participant after subtracting the costs of participation.

- **Benefit-to-cost Ratio:** The ratio of program benefits to program costs. A ratio greater than 1 is favorable. For example, if a program’s benefit-to-cost ratio is $6.60, its net benefit to society is $6.60 for every $1 invested.

- **Odds of a positive net present value:** The percentage of time we can expect benefits to exceed costs after running the benefit/cost analysis 1,000 times, in this case.
### Table 2: Connecticut Results First: Benefit-Cost Comparisons

Benefit-Cost Analyses for Selected Programs for Preventing Crime Recidivism Using Marginal Costs (2015 Dollars)

<table>
<thead>
<tr>
<th>Agency Name/Program Name/Appropriated Program Name and SID #</th>
<th>Total Benefits</th>
<th>Benefits to Participants</th>
<th>Taxpayer Benefits</th>
<th>Non-Taxpayer Benefits</th>
<th>Other Indirect Benefits</th>
<th>Costs</th>
<th>Benefits minus Costs (net present value)</th>
<th>Benefits to Cost Ratio</th>
<th>Odds of a positive net present value</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Judicial Branch – Court Support Services Division (JB-CSSD)</strong></td>
<td></td>
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<td></td>
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<tr>
<td>Cognitive Behavioral Therapy (Moderate and High Risk)</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Start Now/Advanced Supervision Intervention &amp; Support Team (ASIST) (operated by DMHAS in collaboration with CSSD) –with Alternative in the Community (12043) weighted* and averaged based on number of participants</td>
<td>$8,522</td>
<td>-</td>
<td>$3,306</td>
<td>$3,618</td>
<td>$1,636</td>
<td>$(79)</td>
<td>$8,443</td>
<td>$107.87</td>
<td>100%</td>
</tr>
<tr>
<td><strong>Sex Offender Treatment in the Community</strong></td>
<td></td>
<td></td>
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<td></td>
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</tr>
<tr>
<td>Adult Sex Offender Treatment Services - 12043</td>
<td>$31,203</td>
<td>-</td>
<td>$5,958</td>
<td>$22,330</td>
<td>$2,953</td>
<td>$(77)</td>
<td>$31,126</td>
<td>$405.23</td>
<td>90%</td>
</tr>
<tr>
<td><strong>Juvenile Justice</strong></td>
<td></td>
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<tr>
<td>Judicial Branch – Court Support Services Division (JB-CSSD)</td>
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<tr>
<td>Juvenile Crime (Aggression Replacement Training)</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Children, Youth and Family Support Service Centers – 12105, 12128, &amp; 12375</td>
<td>$15,081</td>
<td>$1,572</td>
<td>$5,811</td>
<td>$5,313</td>
<td>$2,540</td>
<td>$(313)</td>
<td>$14,768</td>
<td>$48.18</td>
<td>98%</td>
</tr>
</tbody>
</table>

**Note:** Includes Deadweight Cost of Taxation and 1,000 Monte Carlo Simulations

*CSSD/DMHAS – Start Now/ASIST programs collaboratively operated (Cost $128pp, serving 523 participants) and CSSD-Alternative in the Community (Cost $76pp, serving 7,437 participants)=Weighted average cost of $79.46 per participant per year.
### Table 3: Connecticut Results First: Benefit-Cost Comparisons

**Benefit-Cost Analyses for Selected Programs for Preventing Crime Recidivism Using Average Costs (2015 Dollars)**

<table>
<thead>
<tr>
<th>Agency Name/Program Name/ Appropriated Program Name and SID #</th>
<th>Total Benefits</th>
<th>Benefits to Participants</th>
<th>Taxpayer Benefits</th>
<th>Non-Taxpayer Benefits</th>
<th>Other Indirect Benefits</th>
<th>Costs</th>
<th>Benefits minus Costs (net present value)</th>
<th>Benefits to Cost Ratio</th>
<th>Odds of a positive net present value</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Judicial Branch – Court Support Services Division</strong></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Cognitive Behavioral Therapy (Moderate and High Risk)</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Start Now/Advanced Supervision Intervention &amp; Support Team (ASIST) (operated by DMHAS in collaboration with CSSD) – with Alternative in the Community (12043) weighted and averaged based on number of participants</td>
<td>$7,420</td>
<td>n/a</td>
<td>$3,287</td>
<td>$3,578</td>
<td>$1,675</td>
<td>($2,190)</td>
<td>$5,230</td>
<td>$3.39</td>
<td>99%</td>
</tr>
<tr>
<td>Sex Offender Treatment in the Community</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Adult Sex Offender Treatment Services in the Community - 12043</td>
<td>$29,628</td>
<td>n/a</td>
<td>$5,950</td>
<td>$22,240</td>
<td>$3,037</td>
<td>($3,987)</td>
<td>$25,641</td>
<td>$7.43</td>
<td>86%</td>
</tr>
<tr>
<td><strong>Juvenile Justice</strong></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Juvenile Crime (Aggression Replacement Training)</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Children, Youth and Family Support Service Centers – 12105, 12128, &amp; 12375</td>
<td>$12,247</td>
<td>$1,534</td>
<td>$5,683</td>
<td>$5,190</td>
<td>$2,541</td>
<td>($5,385)</td>
<td>$6,862</td>
<td>$2.27</td>
<td>83%</td>
</tr>
<tr>
<td>Value of an Outcome: Convicted of a Crime (Adult Supervision – General) Total benefits (costs avoided) of recidivism improvements in CT: the average cost of one adult person recidivating, or the “cost of crime.”</td>
<td>$94,453</td>
<td>n/a</td>
<td>$41,199</td>
<td>$32,620</td>
<td>$20,635</td>
<td>n/a</td>
<td>$94,453</td>
<td>n/a</td>
<td>100%</td>
</tr>
</tbody>
</table>

Notes: This analysis uses average costs reported by CSSD, not the marginal cost basis. n/a, not applicable or calculation is not possible.
VI. FINDINGS AND RECOMMENDATIONS

The Process

As soon as the program inventory requirement was enacted in June, 2015, IMRP convened the group of adult criminal and juvenile justice agency staff who would be responsible for producing their agency’s inventory. Many of these individuals had worked on an earlier (2011) version of a program inventory in connection with the Results First Initiative. Their familiarity and cooperation was helpful and productive. IMRP and its technical consultants developed training and assistance for this much more comprehensive program inventory requirement. Participation was generally good and each agency contact person involved other appropriate agency staff. Any delays or shortcomings in the inventory information were attributed to a lack of adequate staff resources devoted to the project or a deficiency in the area of data collection or retrieval capacity (whether program participant or cost and budget data).

IMRP will rely on comments from agency staff on whether and how to improve this process. IMRP can serve as a resource for compiling the program inventory; however, it is each agency’s responsibility to build the infrastructure and capacity to produce an inventory. The expectation is that, once the requirements are understood and a data system is in place, an agency can more easily produce an improved program inventory. (See Appendix C for a description of the CSSD’s data collection system, which seems to be the most robust and effective of these agencies.)

Assessment of 2015 Compliance

This has been the first effort at producing program inventories and the benefit-cost analyses as required by the 2015 budget implementer act. Overall, the agencies remained engaged in the process over the six-month period before inventories were due to be submitted. However, the degree to which the four agencies complied with the law’s requirements varied. CSSD and DMHAS appear to have produced the most complete program inventories. The DOC inventory listed over 120 programs, but did not include the precise cost and budget data needed to calculate the benefit-cost analysis. The DCF submission was not a complete program listing, lacked cost information and program type designations for the few programs that were included, and generally failed to provide the information required to apply the Results First model.

Data limitations also prevented IMRP from verifying that all programs were delivered competently, particularly for those programs based on a formal, published model. Ideally, agency staff would routinely monitor and document program delivery to certify program fidelity. Anticipated effect sizes are based on programs that are evaluated and delivered with competency and fidelity.

Moreover, nearly all identified programs in Connecticut lacked a rigorous evaluation of effectiveness; in particular, they did not include an assessment of outcomes compared to a control or matched comparison group.
Nevertheless, other programs were related to evidence-based evaluations not included in the Results First model. While a benefit-cost analysis using the Results First model could not be performed on these programs, other evidence may prove their comparable productivity.

**Recommendations and Next Steps**

- The effort to collect and report program inventory data is significant and requires ongoing commitment by agency leadership as well as dedicated and knowledgeable staff. The management practices supported by the Results First Initiative, when integrated into an agency’s administrative procedures and practices, help to assure not only better inventory data for this particular purpose, but also generally more successful program performance and outcomes.

  - Agencies should determine and allocate the resources needed to comply with the data collection requirement.

  - Because the law requires biennial inventories, agencies should adopt an ongoing process to monitor programs and collect the necessary data. Detailed tracking of program participation data and program expenditures is necessary to provide a more complete inventory in the future.

  - Agencies should incorporate in their management processes the program evaluation and fidelity aspects of the project.

  - The program inventory template identifies the core information necessary for benefit-cost analyses. Agencies should feel free to add data components that will assist their own fiscal and program management efforts, for their internal use.

- In order to maximize the utility of the program inventories and benefit-cost analyses, IMRP should provide information and any necessary training to the statutory recipients on how best to understand and apply them, whether in the Office of Policy and Management or the legislature. Policy and budget decision makers should take advantage of the investment in analysis supported by the Results First Initiative.

- In the event that IMRP receives additional data from the agencies, we will continue to refine and expand our work on benefit-cost analyses. The Results First Connecticut website (http://www.resultsfirstct.org) will include updates and links to specific program benefit-cost analyses.

- The law requires IMRP to produce annual benefit-cost analyses on evidence-based programs in the inventories (CGS Sec. 4-68s). To focus on the interest in and increasing importance of program inventories, IMRP should maintain its relationships with the relevant agency staff and engage them and others, such as private providers, in an enhanced effort to integrate data collection and program fidelity in their operations.
As agencies and the legislature consider proposals to “raise the age,” an assessment of DOC and DCF programs and the information and outcome data found in their program inventories will inform those decisions.

Similarly, discussions related to the separate issue of closing the Connecticut Juvenile Training School and the Pueblo Unit for Girls necessarily include the development of juvenile justice alternatives, whether they be other state facilities or community-based programs. Use of program inventory data can be helpful in making decisions regarding these substitute programs.

Departments that adopt the Pay for Success model incorporating targeted, specific, and measurable goals can use the program inventories and benefit-cost analyses as tools to provide essential evidence-based support for this type of innovation.
Appendix A
Relevant Sections of
June Special Session, Public Act No. 15-5

AN ACT IMPLEMENTING PROVISIONS OF THE STATE BUDGET FOR THE BIENNIUM ENDING JUNE 30, 2017, CONCERNING GENERAL GOVERNMENT, EDUCATION, HEALTH AND HUMAN SERVICES AND BONDS OF THE STATE.

Be it enacted by the Senate and House of Representatives in General Assembly convened:
...

Sec. 486. (codified at CGS Sec. 4-68r) (NEW) (Effective July 1, 2015) For purposes of this section and sections 487 and 489 of this act:

1. "Cost-beneficial" means the cost savings and benefits realized over a reasonable period of time are greater than the costs of implementation;

2. "Program inventory" means the (A) compilation of the complete list of all agency programs and activities; (B) identification of those that are evidence-based, research-based and promising; and (C) inclusion of program costs and utilization data;

3. "Evidence-based" describes a program that (A) incorporates methods demonstrated to be effective for the intended population through scientifically based research, including statistically controlled evaluations or randomized trials; (B) can be implemented with a set of procedures to allow successful replication in the state; (C) achieves sustained, desirable outcomes; and (D) when possible, has been determined to be cost-beneficial;

4. "Research-based" describes a program or practice that has some research demonstrating effectiveness, such as one tested with a single randomized or statistically controlled evaluation, but does not meet all of the criteria of an evidence-based program; and

5. "Promising" describes a program or practice that, based on statistical analyses or preliminary research, shows potential for meeting the evidence-based or research-based criteria.

Sec. 487. (codified at CGS Sec. 4-68s) (NEW) (Effective July 1, 2015) (a) Not later than January 1, 2016, and not later than October first in every even-numbered year thereafter, the Departments of Correction, Children and Families and Mental Health and Addiction Services, and the Court Support Services Division of the Judicial Branch shall compile a program inventory of each of said agency's criminal and juvenile justice programs and shall categorize them as evidence-based, research-based, promising or lacking any evidence. Each program inventory shall include a complete list of all agency programs, including the following information for each such program for the prior fiscal year: (1) A detailed description of the program, (2) the names of providers, (3) the intended treatment population, (4) the intended outcomes, (5) the method of assigning participants, (6) the total annual program expenditures, (7) a description of funding sources, (8) the cost per participant, (9) the annual number of participants, (10) the annual capacity for participants, and (11) the estimated number of persons eligible for, or needing, the program.
(b) Each program inventory required by subsection (a) of this section shall be submitted in accordance with the provisions of section 11-4a of the general statutes to the Criminal Justice Policy and Planning Division within the Office of Policy and Management, the joint standing committees of the General Assembly having cognizance of matters relating to appropriations and the budgets of state agencies and finance, revenue and bonding, the Office of Fiscal Analysis, and the Institute for Municipal and Regional Policy at Central Connecticut State University.

(c) Not later than March 1, 2016, and annually thereafter by November first, the Institute for Municipal and Regional Policy at Central Connecticut State University shall submit a report containing a cost-benefit analysis of the programs inventoried in subsection (a) of this section to the Criminal Justice Policy and Planning Division of the Office of Policy and Management, the joint standing committees of the General Assembly having cognizance of matters relating to appropriations and the budgets of state agencies and finance, revenue and bonding, and the Office of Fiscal Analysis, in accordance with the provisions of section 11-4a of the general statutes.

(d) The Office of Policy and Management and the Office of Fiscal Analysis may include the cost-benefit analysis provided by the Institute for Municipal and Regional Policy under subsection (c) of this section in their reports submitted to the joint standing committees of the General Assembly having cognizance of matters relating to appropriations and the budget of state agencies, and finance, revenue and bonding on or before November fifteenth annually, pursuant to subsection (b) of section 2-36b of the general statutes.

Sec. 488. Subsection (b) of section 4-68m of the general statutes is repealed and the following is substituted in lieu thereof (Effective July 1, 2015):

(b) The division shall develop a plan to promote a more effective and cohesive state criminal justice system and, to accomplish such plan, shall:

1. Conduct an in-depth analysis of the criminal justice system;
2. Determine the long-range needs of the criminal justice system and recommend policy priorities for the system;
3. Identify critical problems in the criminal justice system and recommend strategies to solve those problems;
4. Assess the cost-effectiveness of the use of state and local funds in the criminal justice system;
5. Recommend means to improve the deterrent and rehabilitative capabilities of the criminal justice system;
6. Advise and assist the General Assembly in developing plans, programs and proposed legislation for improving the effectiveness of the criminal justice system;
7. Make computations of daily costs and compare interagency costs on services provided by agencies that are a part of the criminal justice system;
(8) Review the program inventories and cost-benefit analyses submitted pursuant to section 487 of this act and consider incorporating such inventories and analyses in its budget recommendations to the General Assembly;

[(8)] (9) Make population computations for use in planning for the long-range needs of the criminal justice system;

[(9)] (10) Determine long-range information needs of the criminal justice system and acquire that information;

[(10)] (11) Cooperate with the Office of the Victim Advocate by providing information and assistance to the office relating to the improvement of crime victims' services;

[(11)] (12) Serve as the liaison for the state to the United States Department of Justice on criminal justice issues of interest to the state and federal government relating to data, information systems and research;

[(12)] (13) Measure the success of community-based services and programs in reducing recidivism;

[(13)] (14) Develop and implement a comprehensive reentry strategy as provided in section 18-81w; and

[(14)] (15) Engage in other activities consistent with the responsibilities of the division.

Sec. 489. (codified at CGS Sec. 4-77c) (NEW) (Effective July 1, 2016) The Departments of Correction, Children and Families and Mental Health and Addiction Services, and the Court Support Services Division of the Judicial Branch may include in the estimates of expenditure requirements transmitted pursuant to section 4-77 of the general statutes, and the Governor may include in the Governor's recommended appropriations in the budget document transmitted to the General Assembly pursuant to section 4-71 of the general statutes, an estimate of the amount required by said agencies for expenditures related to the implementation of evidence-based programs.
## Appendix B

*2015 Program Inventory Work Group Activity Log*

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>2015</strong>&lt;br&gt;6/17</td>
<td>Introductory meeting at IMRP on program inventory project to:&lt;br&gt;- Provide description on and status of special session legislation requiring program inventories&lt;br&gt;- Review 2011 edition of Connecticut’s program inventory&lt;br&gt;- Discuss instructions for 2015 inventory project&lt;br&gt;- Review anticipated next steps</td>
</tr>
<tr>
<td>6/29</td>
<td>Conference call. Discuss Step 1 in the process, i.e., to identify all agency programs intended to reduce recidivism using templates provided. These lists are due to be submitted to Dr. Ashley Provencher for her review by July 14.</td>
</tr>
<tr>
<td>7/16</td>
<td>Conference call. Discuss Step 2 to describe program participants and capacity. Due to Provencher by July 30 for her review.</td>
</tr>
<tr>
<td>7/30</td>
<td>Work group meeting at IMRP to review progress toward completing Steps 1 and 2 on program identification and program participant and capacity information. Discussion of criteria for “programs,” eligible but unserved, mandated or voluntary. Plan for estimating Cost &amp; Budget worksheet.</td>
</tr>
<tr>
<td>8/13</td>
<td>Conference call to review work completed and finalize Steps 1 and 2.</td>
</tr>
<tr>
<td>8/27</td>
<td>Meeting at IMRP. Status reports. Provencher presentation with handouts on methods for estimating program marginal costs.</td>
</tr>
<tr>
<td>9/11</td>
<td>Conference call for status update. DOC wants meeting with Provencher. Working on participant and capacity data. Will start with facility programs then turn to community programs. DMHAS coordinating with CSSD on collaborative programs; working with fiscal officer on costs. CSSD meeting next week to get marginal costs; meeting today to get costs of detention. Ready to start program categorization. Provencher will talk to DCF staff.</td>
</tr>
<tr>
<td>9/28</td>
<td>Conference call to share updates on progress and begin discussion of how to categorize programs as evidence-based, research-based, promising, or lacking evidence and match with Results First model programs.</td>
</tr>
<tr>
<td>10/16</td>
<td>Meeting at DCF to introduce to the agency data-collection team background on the Results First Initiative, the program inventory process, and the agency role in providing data to facilitate cost-benefit analyses for policy and budget decision-makers</td>
</tr>
<tr>
<td>10/19</td>
<td>Meeting at DOC to discuss program categorization and marginal cost calculation with program evaluation and financial staff.</td>
</tr>
<tr>
<td>Date</td>
<td>Activity</td>
</tr>
<tr>
<td>-------</td>
<td>--------------------------------------------------------------------------</td>
</tr>
<tr>
<td>12/31</td>
<td>DMHAS submits program inventory</td>
</tr>
<tr>
<td>2016 1/8</td>
<td>DCF submits partial program inventory</td>
</tr>
<tr>
<td>1/11</td>
<td>Meeting at IMRP to finalize inventories and prepare for IMRP completion of cost-benefit analysis report.</td>
</tr>
<tr>
<td>1/13</td>
<td>Conference call with DOC to discuss DOC's inventory status and program identification. IMRP offered to provide student assistance to compile cost and budget data for the Results First programs.</td>
</tr>
<tr>
<td>1/29</td>
<td>DOC submits program inventory</td>
</tr>
<tr>
<td>1/31</td>
<td>CSSD submits program inventory</td>
</tr>
</tbody>
</table>
Appendix C

CASE STUDY: DATA COLLECTION, USE, AND BENEFITS OF EVIDENCE-BASED PROGRAMS AT THE STATE OF CONNECTICUT JUDICIAL BRANCH COURT SUPPORT SERVICES DIVISION

INTRODUCTION

In Connecticut, the Institute for Municipal and Regional Policy (IMRP) at Central Connecticut State University manages the Results First Initiative, with support from the Pew Charitable Trusts and the John D. and Catherine T. MacArthur Foundation. The Results First Initiative includes a cost-benefit analysis model to compare state and local government programs to inform policy and budget decisions. It is based on assessments of evidence-based programs. Key components, then, are the identification of such programs and the collection and maintenance of program performance, outcome, and cost data.

The State of Connecticut Judicial Branch Court Support Services Division (JB-CSSD) coordinates pre-trial services, family services, sentencing and supervision options for adults and juveniles, and juvenile detention centers. For some time, it has emphasized the use of evidence-based treatment programs that are (1) managed internally within the division and (2) contracted to community-based private providers. Recognizing the importance of research, accountability, and performance in the mid-2000s, the agency began to develop a more robust data system. Incorporating best practices, the system was intended to collect, maintain, and use information in order to monitor, document, and manage program results, thus saving state resources and enhancing outcomes for individual clients and public safety generally.

The identification of evidence-based programs along with the collection of data associated with them is the basis of the Results First model. IMRP is focusing on implementing the model in agencies with adult criminal and juvenile justice responsibilities: JB-CSSD and the departments of Children and Families, Correction, and Mental Health and Addiction Services. Eventually, it will be expanded to other departments and policy areas. Thus, other state agencies that become involved with application of the model Results First model would also need a robust data system that tracks evidence-based programs and focuses on program fidelity, maintains timely and accurate information, and documents measurable outcomes. This case study discussion of the development process for the JB-CSSD data system illustrates the elements necessary to commit to, create, and maintain such a system.

This paper does not recommend details of a particular data system, but describes JB-CSSD’s development process, key system characteristics, its challenges and the benefits of implementation, and refers to the principles an agency can follow for successful project development.

We appreciate the contributions of Brian Hill, JB-CSSD Director of Administration; Cynthia Theran, Assistant Director of Programs and Services, and Celia Siefert, Deputy Director.

2 The Pew-MacArthur Results First Initiative, a project of The Pew Charitable Trusts and the John D. and Catherine T. MacArthur Foundation, works with states to implement an innovative cost-benefit analysis approach that helps them invest in policies and programs that are proven to work. Results First has also received support from the Annie E. Casey Foundation.
of Information Technology; Julie Revaz, Manager of Programs and Services; and Maureen Delude, Program Manager for CDCS/IY, in the preparation of this report.

HISTORY, ORGANIZATION, AND RESPONSIBILITIES

The JB-CSSD was established in the Judicial Branch in 1999, pursuant to a finding of the National Center for State Courts’ assessment of the Branch’s administration and organization. The division is responsible for (1) adult probation services; (2) adult bail/intake, assessment, referral pre-trial services; (3) family services in both civil and criminal courts; (4) juvenile probation; and (5) juvenile residential (detention) services. JB-CSSD Administration is the business arm of the division that supports operations in both the central and field offices. It oversees information technology for the Division, manages grants and contracts, and is responsible for research, data collection, training, and staff development.

EVIDENCE-BASED PROGRAMS AND DATA COLLECTION

At the beginning of the 21st century, a general cultural shift in correctional institutions revolved around research and experience with tools and practices that improve outcomes, such as reductions in recidivism. After a period when the philosophy characterized as “get tough” prevailed with a focus on punishment and retribution, the trend moved toward treatment and rehabilitation with performance-based standards in place. After the Judicial Branch reorganization in Connecticut, the JB-CSSD began referring to national scientific research and evidence-based programs. A Center for Best Practices was established in the Division to review research on effective program interventions and curricula, identify “best practices” models, and integrate them into existing program offerings. The Center trains JB-CSSD staff and private program providers and monitors results and outcome measures.

SYSTEM DEVELOPMENT

Acceptance and implementation of the move toward evidence-based practices and programs requires a system for monitoring, collecting, and using program data. Originally, the Judicial Branch used an administrative case management system developed by a private company. But problems with and limitations of that system prompted the newly-organized Division to develop its own in-house system, thereby avoiding costly and time-consuming contract changes with the private company. In 2005, JB-CSSD committed to the concept of a comprehensive and accessible information-based Case Management Information System (CMIS). JB-CSSD management made a vigorous commitment to develop such a system as evidenced by a concentrated dedication of staff and available (rather than special) state budget appropriations to accomplish the project.

The JB-CSSD information technology (IT) staff worked on the project along with consultants. Building the system required an experienced IT architect, report developers, access to current software, and a strong liaison with user groups.

Later, JB-CSSD’s commitment and effort resulted in the Contractor Data Collection System (CDCS) for collecting client-level service and treatment data from private providers. Their information is incorporated into the in-house system. In 2007, the national Crime and Justice Institute (CJI) at the Community Resources for Justice (www.crj.org) began working with JB-CSSD to support the CDCS. CJI assisted JB-CSSD with project planning and
implementation, then quality assurance. It provided guidance on how to improve stakeholder support and compliance, develop reports and performance measures, and assure quality data input.

The current web-based system functions as a management tool to (1) monitor contracted program service providers, (2) assess treatment program delivery, (3) provide information on client outcomes, and (4) evaluate and improve performance. The CDCS includes client-level service and treatment data collected from private providers. It incorporates JB-CSSD’s probation, bail and family services data, and arrest information to evaluate internal and contracted programs. The system gives the Division empirical evidence to support its policy and budget decisions.

**Ease of Use**

At the development stage, communication between IT and the agency operations staff is critical. System designers recognized the need to keep the data collection process manageable. Menus are clear and uncomplicated.

JB-CSSD “owns” the system code and can edit, enhance, and update it as necessary. Its server is located and maintained in East Hartford. Since there are no proprietary issues, the system can be shared with other state agencies.

The JB-CSSD staff emphasize an important aspect of the development process: they created a system that balances the demands and expectations required of users with the benefits they receive from it. Rules, definitions, deadlines for data entry are built into the system, as are the job enhancements and improvements that users value.

**Multiple Uses**

A versatile system that benefits multiple contractors and department functions assures quality and promotes efficient use of agency resources. Program staff have the tools to help them manage their workloads and meet deadlines.

The CDCS gives JB-CSSD the data it needs to review private providers’ performance and manage its contracting process. Outcome information is available as the basis for communications between providers and Judicial Branch staff. Providers understand that the division has the past performance information it needs on which to base contract bid award and renewal decisions.

In 2007-08, the system helped JB-CSSD comply with Results-Based Accountability, which required them to produce program data to measure accountability.

Users see that the data is shared and utilized and can even be available for applications that were initially unanticipated. Flexibility and savings are attributable to the system, which has become an effective management and monitoring tool. It can be used for business analysis, needs assessments, and resource allocation among programs. It helps staff avoid duplication of efforts.
SYSTEM USE AND MAINTENANCE

Support

JB-CSSD provides training for system users. Monthly sessions are offered for new employees and users new to the system. Refresher courses are available. IT training staff will meet users on-site or conduct sessions by teleconference.

A responsive, courteous, and welcoming Help Desk is also essential. JB-CSSD has assigned IT staff to provide technical assistance to CDCS users who encounter problems. Users feel comfortable asking for assistance, assuring more timely and accurate data entry.

Quality Assurance

Quality assurance is a critical component of the system. From May 2012 to November 2015, JB-CSSD contracted with the Crime and Justice Institute to manage the quality assurance process. The timeliness and accuracy of the data is now monitored by JB-CSSD for all individual program locations. Yearly data quality audit reviews give providers immediate verbal feedback, a written report, and an easy-to-understand rating or score. Users receive positive reinforcement and rewards, where appropriate.

JB-CSSD staff emphasize the importance of ongoing assessment of data quality and clear communication about identified problems. Retraining is available.

Utilization

Involving prospective system users in the design and development phase maximizes the system’s utility. Identifying categories of data and the potential uses for administration and management, report generation, and program evaluation result in a versatile, nimble, and comprehensive system. A comprehensive data system like the CDCS can have additional utility not intended in the original system development once agency staff become aware of its components.

Users are more likely to maintain a system they find helpful in the performance of their own jobs. Managers have the information they need to evaluate employee performance, service delivery, resource allocation, and program outcomes.

Example

JB-CSSD is committed to research and evidence-based programs and its data system is an essential element of that policy, a tool to accomplish intended results. In the decade or so since this effort began, a variety of factors have contributed to the improving trends associated with quality and outcome improvements at JB-CSSD. The system alone is not responsible for the improvement in reduced recidivism, nor is it simply coincidental. Its value is in measuring, supporting, demonstrating, and facilitating the use of best practices. The charts below, from the Judicial Branch’s 2015 Program Report Card on its Alternative in the Community–Employment Services Program, show that, in this example of its general approach, JB-CSSD has the information to reflect and the tools to achieve the benefits of this particular program.
**Is Anyone Better Off?**

**Percent of Employment Services Group Completers Gaining Employment, 2010-2014**

![Bar chart showing employment rates from 2010 to 2014, with percentages increasing from 31% to 47%]

**Story behind the baseline:** This performance measure examines the rates at which clients that participate in Employment Services obtain employment prior to discharge from the AIC. Despite the economic downturn this measure continued to improve from 2009 through 2012. After a small decline in 2013, 2014 jumped to 47%. This increase was due to a reinvestment of program resources to support the position of job developer across the AIC network. **Trend: ▲**

**12-month Rearrest Rate for Completers, 2010-2014**

![Bar chart showing rearrest rates from 2010 to 2014, with percentages decreasing from 33.3% to 28.6%]

**Story behind the baseline:** This performance measure examines the rate at which clients who complete AIC services are re-arrested within 12 months of discharge. In the past five years, there has been a downward trend in re-arrest of AIC completers, with a modest reduction each year. In 2014, the recidivism reached a low of 28.6%. Fewer AIC participants being rearrested directly affect community safety.

**BENEFITS AND CHALLENGES**

Consistent, sustained Division leadership was committed to developing a strong, workable data system to capture evidence-based program performance information. Work on the system required dedicated resources and the tenacity to work through problems that inevitably arose and new ones that come up. JB-CSSD continues to enhance and improve the system, based on users’ experience with it. The imposition of data collection duties gives employees the tools they need for daily operations as well as information for purposes of accountability. It gives the agency the data it needs for contract procurement and evaluation processes. Division staff have come to rely on the system for a variety of purposes, some that were unanticipated.
FINDINGS AND RECOMMENDATIONS FOR DEVELOPING A DATA COLLECTION SYSTEM

JB-CSSD’s experience in developing the CMIS and CDCS can inform other agencies’ efforts to create a new or amend an existing data system in order to facilitate and benefit from the use of evidence-based programs. The following suggestions may be helpful.

✓ Adopt and advocate an underlying agency culture committed to the benefits and use of accurate and complete data in policy development and implementation.

✓ Devote resources to technology and the development of a data collection system, within available appropriations where possible, to ensure ongoing commitment and system maintenance.

✓ At the outset, identify all classifications of users and involve them in system development, including in-house operations staff, contracted providers, and consultants and department IT staff.

✓ Create a system with built-in rules, definitions, and requirements (such as data entry deadlines) along with the tools for users to monitor quality.

✓ Provide appropriate hardware and equipment, where needed.

✓ Avoid any need to duplicate data entry operations.

✓ To assure cooperation, create incentives to input quality data, such as report capabilities that benefit the user.

✓ To assure quality input, audit data entry routinely and make users aware of audit procedures and frequency.

✓ Provide robust training for new users as well as refresher sessions for all staff with positive reinforcement for good performance.

✓ Provide a friendly and responsive IT Help Desk.

February 23, 2016