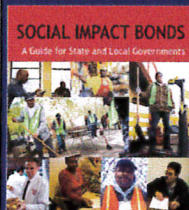


The Harvard Government Performance Lab



Available at hks-siblab.org

- Pro-bono, exclusively government-side TA provider
- Embedded Government Innovation Fellows with access to senior Harvard faculty and national network of innovative government leaders
- **Work includes:**
 - Cost benefit, evaluation and financial analysis
 - Programmatic feasibility consultation
 - Procurement assistance
 - Internal capacity-building



The Opportunity

STATUS QUO

Governments often know little about effectiveness of social service spending

Community providers endure annual funding uncertainty and underinvestment

Not making rapid enough progress in solving social problems

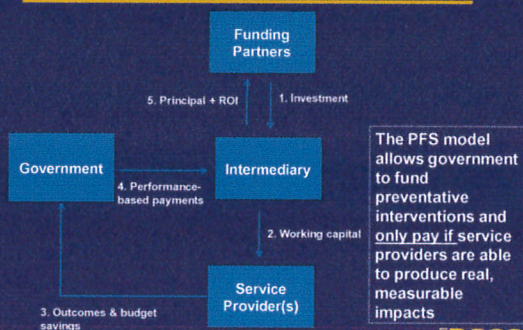
PAY FOR SUCCESS

→ Provides community providers with upfront working capital to support capacity building and service delivery

→ Systematically scales successful innovations, focusing on prevention

→ Produces ongoing learning about what works, allocating government funds only if/when outcomes achieved

The PFS Model

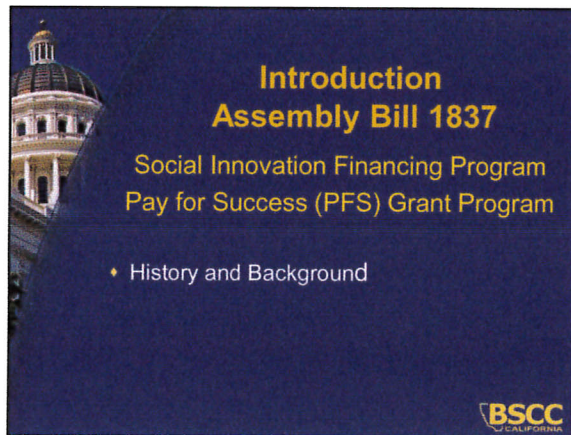




BSCC Grant Process

- ♦ Board Authorization
- ♦ Executive Steering Committee
- ♦ RFP Development
- ♦ Fair and Equitable Process
- ♦ Transparency

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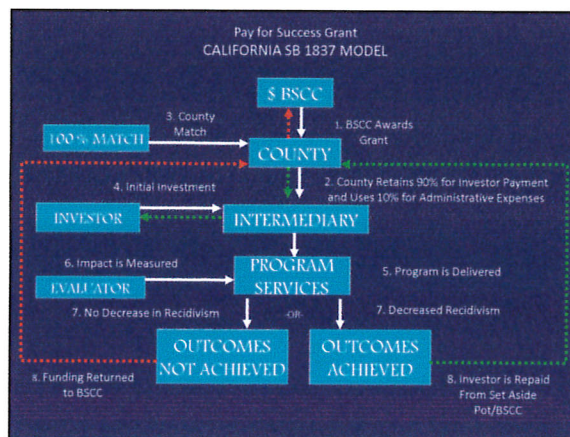


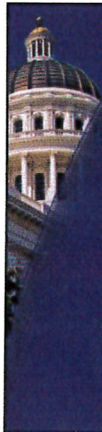
**Introduction
Assembly Bill 1837**

Social Innovation Financing Program
Pay for Success (PFS) Grant Program

- ♦ History and Background


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Project Description

- ♦ Eligibility
- ♦ Funding Amounts
- ♦ Grant Cycle





Technical Assistance


- ♦ Available through a fellowship with the Harvard Kennedy School Government Performance Lab
- ♦ Contact Joyce Carroll
Joyce.carroll@bscc.ca.gov

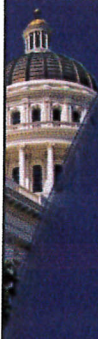




Project Goal and Design

- ♦ Recidivism Reduction
- ♦ Key Players
- ♦ Ramp-up Period
- ♦ Target Population
- ♦ Evidence-Based Practices







What Do We Mean By Evidence-based?

There are different forms of evidence:

- The lowest form is anecdotal evidence; stories, opinions, testimonials, case studies, etc. – No concrete data but it often makes us feel good
- The highest form is empirical evidence – research, data, results from controlled studies, etc. – but sometimes it doesn't make us feel good







Doing “what works”.

This means evidence exists that the program or intervention is effective in reducing recidivism.


Effectiveness is demonstrated through empirical research – not stories, anecdotes, common sense, or personal beliefs about effectiveness.

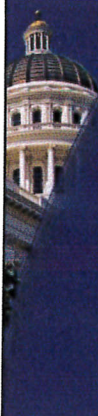




On a basic level, evidence-based practices provide:

- Evidence the intervention is likely to work (i.e., produce a desired benefit);
- Evidence the intervention is being carried out as intended; and
- Evidence allowing an evaluation of whether the intervention worked.






Research says that services and interventions can be effective in reducing recidivism, however, not all programs are equally effective...

The most effective programs are based on principles of effective intervention:

- ♦ Risk (Who)
- ♦ Need (What)
- ♦ Responsivity (How)
- ♦ Fidelity (How Well)

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EBP and the PFS Grant Project

The use of EBP is woven into the rating criteria.

Applicants should be able to adequately describe the evidence that demonstrates the proposed intervention will work.

Describe why it is suited to the need and objectives described in the application for funding.

How the principles of effective intervention are addressed in the project

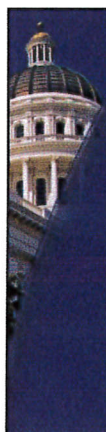
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Grant Requirements


- ♦ Contract Development
 - ♦ Investors
 - ♦ Philanthropic Foundations
 - ♦ Evaluators
 - ♦ Service providers
 - ♦ Intermediaries
- ♦ Non Binding Letters of Intent
- ♦ Letters of Agreement
- ♦ Board Resolution

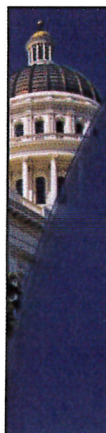
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Grant Requirements Cont.


- ♦ Independent Evaluator and Program Evaluation
 - ♦ Identify performance objectives that demonstrate recidivism reduction is due to project's methodologies
 - ♦ Identify process for determining whether performance targets have been met
 - ♦ Identify research design
 - ♦ Contribute to progress reports and Annual Reports

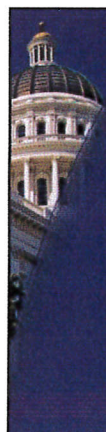




Grant Requirements Cont.


- ♦ Reporting Requirements
 - ♦ Readiness to Proceed Progress Report (due at month 4)
 - ♦ Six-Month Progress Reports (to include program and financial information)
 - ♦ Annual Reports
 - ♦ Final Annual Report - Project Evaluation





Grant Requirements Cont.

- ♦ Monitoring and Project Assessments
 - ♦ Periodic monitorings by BSPP for program compliance and fiscal review
 - ♦ Program Assessment to determine the extent to which effective correctional practices aligned with recidivism reduction are being used by project
 - ♦ Technical assistance and training






LUNCH BREAK
on your own

Please be back by
12:30 p.m.

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**Guiding Principles for all
Grant Programs**

- Overview of Federal Reducing Racial and Ethnic Disparity (R.E.D.) Initiative

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**What do we mean by Reducing
Ethnic Disparity (R.E.D.) ?**

Address juvenile delinquency prevention efforts and system improvement efforts designed to reduce, without establishing or requiring numerical standards or quotas, the disproportionate number of juvenile members of minority groups, who come into contact with the juvenile justice system;
JJDP, 42 USC 566, Sect. 223, (a)22

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What is the R.E.D. Initiative?

The Racial and Ethnic Disparity (R.E.D.) Initiative refers to reducing the overrepresentation of youth of color who come into contact (at all decision points along the continuum) with the juvenile justice system relative to their numbers in the general population.





Reducing R.E.D. is not...



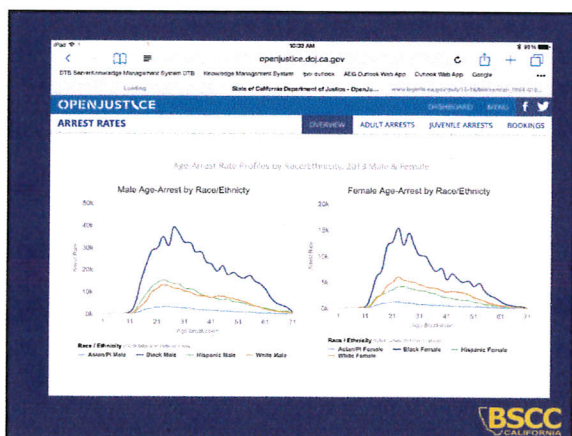
- A research project alone
- Solving the problems of racism and poverty
- The blame game
- Playing 'Gotcha'
- The abuse excuse
- Holding youth of color less accountable



Attorney General Announces OpenJustice, 9/2/15

- "There are large racial/ethnic disparities in arrest rates that hold across men and women. African Americans are the most likely to be arrested at any age, most notably between 18 and 40. Asians have the lowest arrest rates."
- <https://openjustice.doj.ca.gov>





BSCC Supports Local Communities in R.E.D. Efforts

- ♦ Training and technical assistance
 - ♦ \$1M in four probation departments 2014/15
- ♦ Grant funding opportunities
 - ♦ Title II
- ♦ Access to, and support of, structured decision making tools
 - ♦ BI, NCCD
- ♦ Georgetown University Collaboration
 - ♦ Capstone Project: overlay of R.E.D. over juvenile AND adult programs/policies and practices throughout BSCC.



R.E.D. and the PFS Grant Project

Although R.E.D. is not factored into the rating criteria for the PFS Grant project, it is a good practice to ask questions during proposal development and throughout program:

- ♦ How do local departments measure effectiveness with underserved communities?
- ♦ How does the agency deal with issues of linguistic diversity?
- ♦ Do you explore relationships with the community relative to the PFS project?
- ♦ Does your project reflect specific needs of diverse communities?



Key Tools/Strategies to Reduce R.E.D.

- ♦ Development of structured decision-making instruments (e.g., booking protocols, risk assessment tools, etc.).
- ♦ "Competency" scan of policies and practices to reduce individual and structural bias against communities of color (e.g., bed assignments, race neutral policies that produce differential outcomes by race/ethnicity, etc.).
- ♦ Evaluation of "systems" to prevent structural bias in communities of color (e.g. handling processes, reconciling differential paradigms of justice, etc.).
- ♦ Procedural Justice: transparency, consistency, community buy-in.



For more information about R.E.D.:

- ♦ Contact: Shalinee Hunter, Field Representative and R.E.D. Lead
- ♦ 916/322-8081
- ♦ shalinee.hunter@bscc.ca.gov




After Your Proposal Is Submitted...


- ♦ Technical Compliance Review
- ♦ Proposal Evaluation Process
- ♦ Point value weights given to each section of the application
- ♦ Minimum scoring threshold
- ♦ ESC recommendations made
- ♦ Board Approval



Review of Key Dates


TENTATIVE TIMELINE	ACTIVITY
February 1, 2016	Proposals due to BSCC
February 2 - 18, 2016	Technical compliance review
February 4, 2016	Rater training
February 19 - March 8, 2016	Proposal reading and rating process
March 16, 2016	Funding recommendation based on reading/rating process, and review/approval by ESC
April 14, 2016	Present funding recommendations to the Board
May 1, 2016	Contract start date
TBD May/June 2016	Grantee orientation






Proposal Instructions


- ♦ Section I, VII(b) and VIII are tables
- ♦ Sections II - VII (a) are narrative
- ♦ 20 page limit for narrative (12pt Arial font 1.5 spacing, one inch margins)
- ♦ Point value assigned to each section

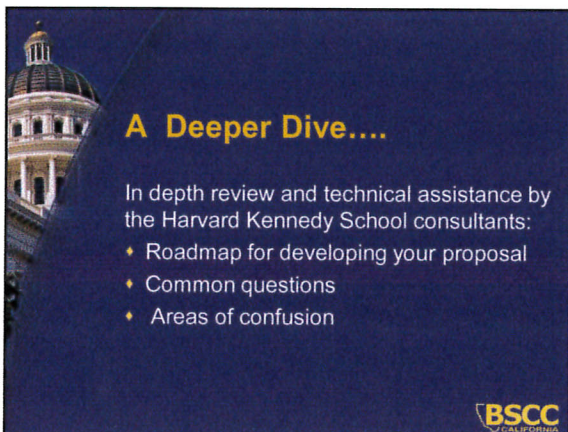




Proposal Instructions

- ♦ Project Abstract
- ♦ Sections I through VIII
- ♦ Letters of intent/commitment
- ♦ BOS Resolution if available prior to proposal submission





A Deeper Dive....

In depth review and technical assistance by the Harvard Kennedy School consultants:

- ♦ Roadmap for developing your proposal
- ♦ Common questions
- ♦ Areas of confusion

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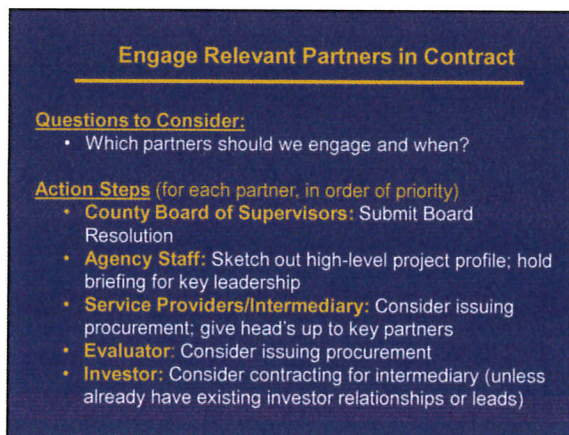


Roadmap

To-Dos:

- ☐ Engage Relevant Partners in Contract
- ☐ Commit 100% County Match
- ☐ Select Target Population
- ☐ Determine Outcomes
- ☐ Calculate Savings
- ☐ Payment Schedule
- ☐ Select Service Provider
- ☐ Define Evaluation Plan

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Engage Relevant Partners in Contract

Questions to Consider:

- Which partners should we engage and when?

Action Steps (for each partner, in order of priority)

- **County Board of Supervisors:** Submit Board Resolution
- **Agency Staff:** Sketch out high-level project profile; hold briefing for key leadership
- **Service Providers/Intermediary:** Consider issuing procurement; give head's up to key partners
- **Evaluator:** Consider issuing procurement
- **Investor:** Consider contracting for intermediary (unless already have existing investor relationships or leads)

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Commit 100% County Match

Questions to Consider

- What does 100% match mean?
- What constitutes a match?

Action Steps

- **Consider type of match:** In-kind, cash, or combination
- **Analyze budget and potential partners** to decide source of match (county, federal, private, and/or philanthropic funds)
- **Consider purpose of match:** Match can go towards
 - Upfront operational costs (county at financial risk but fewer investor dollars required)
- OR
- Downstream outcome payments (county not at financial risk but more investor dollars required)



Select Target Population

Questions to Consider:

- Which populations have potential for high-impact/high cost savings?
- Are there "frequent flyer" populations with recurrent, cyclical, and expensive social services?
- Which populations have strong/accessible data sources?

Action Steps

- **Collaborate with research teams** to learn more about underserved populations (historic baselines, risk, volumes)
- **Estimate baseline outcomes** ("counterfactual")
- **Talk with frontline staff** to understand how to identify, refer, and serve population
- **Assess feasibility** of ongoing data collection

Determine Outcomes

Questions to Consider:

- What are we looking to improve through intervention?
- How do outcomes relate to and address needs of target population?
- What is the relationship between outcomes and potential savings?
- When do expected benefits materialize?
- How easy (or difficult) is it to track and measure outcomes?

Action Steps:

- **Consider ultimate policy goals** and whether outcomes relate
- **Talk to relevant agencies** to determine how to track outcome data
- **Brainstorm list of potential outcome** metrics related to target population, recidivism, and other objectives



Calculate Savings

Questions to Consider:

- To which government jurisdiction does each potential benefit accrue?
- To what extent are potential benefits monetizeable to taxpayers?
- What is an appropriate amount to pay for each outcome?

Action Steps

- **Assess current costs** associated with serving population (i.e. what long term costs accrue without intervention?)
- **Meet with budget team** to learn what share of costs accrues to county (versus to other jurisdictions)
- **Consider social value** associated with outcomes (i.e. what is societal value of reduced victimization?)



Payment Schedule

Questions to Consider:

- How much should we pay for each desired outcome?
- When should we pay for successful outcomes?

Action Steps

- **Assess relationship between savings and outcomes** (focus only on direct marginal costs to start)
- **Determine additional costs** you may want to include (indirect costs, social costs)
- **Decide when to pay on outcomes**, ensuring enough time to observe impacts



Select Service Provider

Questions to Consider:

- What promising interventions currently address chosen target population?
- Do potential service providers have strong leadership and ability to scale?
- Can potential service providers accurately track data?
- Are costs of intervention justified by projected savings?

Action Steps

- **Investigate existing providers** to gauge ability to successfully serve target population
- **Select method for procurement:** Can leverage existing relationships, procure for sole source contract, or issue a rapid RFP




Define Evaluation Plan

Questions to Consider:

- How do we determine if intervention has a real impact?
- How to select an evaluator?


Action Steps

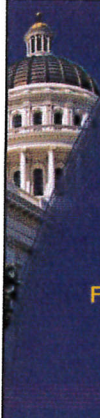
- **Set up data sharing** agreements (where necessary)
- **Talk to program staff** to ensure adequate referral and tracking mechanisms are in place
- **Collaborate with research staff** to identify baseline or comparison group to determine impact
- **Decide how to procure evaluator** (through RFP, sole source contract, existing relationship)





Review & Wrap Up





**Submit additional questions
about the PFS Grant
or RFP to:**

Colleen Stoner
colleen.stoner@bscc.ca.gov

**For a referral to the Harvard Government
Performance Lab**
Joyce Carroll
joyce.carroll@bscc.ca.gov

