

Budgeting for Results 9th Annual Commission Report

November 1, 2019



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A Letter from the BFR Co-Chairs

November 1, 2019

To Governor Pritzker and Members of the General Assembly:

On behalf of the Budgeting for Results (BFR) Commission, we are pleased to submit our ninth annual report.

The past year BFR capitalized on the gains of the previous year's work and the continued investment of resources during Fiscal Years 2019 and 2020. With this investment BFR has been able to complete ten comprehensive program assessments across the Adult and Juvenile Criminal Justice policy domains. These assessments have impacted the development of the state budget and the formulation of policy for the Illinois Department of Corrections and the Illinois Department of Juvenile Justice. With the continued support of the Governor and the Legislature, the Commission and staff look forward to producing additional informative assessments to positively impact the budget development process.

The 2018-2019 mandates reduction process saw unprecedented collaboration between the Commission and our legislative partners. Through legislative action in Spring 2019, the Commission recommended repeal or modification of eight out-of-date or unduly burdensome statutory mandates. In addition, the Commission recommended repeal or modification of 39 defunct funds of the State Treasury. This effort resulted in increased efficiencies and taxpayer value. The Commission anticipates a similar collaborative effort in the 2019-2020 mandate review process, which will result in increased efficiencies for the people of Illinois.

We are also excited to begin utilizing data visualization and geospatial analysis in performance budgeting. Through the deployment of the Illinois Interactive Budget and the use of Geographic Information Systems (GIS) to display the concentrations of homeless individuals in our state and the geographic distribution of resources to address the problem, BFR has applied new technology to give decision makers additional lenses through which to see and address issues.

The Commission and staff continue to make significant progress. However, much work remains. The Commission is grateful to the Office of the Governor and the General Assembly whose support allows for the continued implementation of the Budgeting for Results mandate.

This report conveys the broad scope of work, the accomplishments of the BFR Commission and staff, and the ambitious plans for the upcoming year. We encourage your involvement in the Commission's work through bi-monthly public meetings and annual public hearings. Your voice and participation are important to us.

We thank you for your support for this important work.

Sincerely,

James Lewis
Co-Chair

Heather Steans
Co-Chair

Budgeting for Results Commission

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Executive Summary

- Established under State Budget Law (15 ILCS 20/50-25), the Budgeting for Results Commission is appointed by the Governor to provide advice in setting statewide outcomes and goals, and best practices in program performance evaluation and benefit-cost analysis.
- The Commission and BFR Unit of the Governor's Office of Management and Budget continue to refine and implement a comprehensive methodology to evaluate program performance. The objective of statewide program analysis is to aid in quantifying program impacts and to inform decision makers as programs are compared across Result Areas.
- The program evaluation framework developed under the BFR Commission utilizes three tools: (1) the Illinois Performance Reporting System (IPRS), (2) the Pew-MacArthur Results First benefit-cost model, and (3) the State Program Assessment Rating Tool (SPART).
 - IPRS is the state's web-based database for collecting program performance data from over 400 state agency programs. State agencies utilize IPRS to report programmatic level data to GOMB on a regular basis.
 - The Results First Initiative utilizes clearinghouses on hundreds of evidence-based programs and national best practices in state-level programming. The Results First model provides vetted data analytics to compute quantitative program assessments and optimal benefit-cost ratios at a program level.
 - The SPART is an integrated program evaluation tool that incorporates both quantitative and qualitative elements. The SPART analyzes program performance to assign overall program ratings which allow policy makers to compare programs within and across statewide Result Areas.
- At the direction of the BFR Commission, the BFR Unit continued to build upon the work completed in 2018, finishing the Juvenile Justice policy domain and beginning to create the program inventory of the Substance Use Disorder policy domain. Full program assessment reports are available via the GOMB website at Budget.Illinois.gov.
 - Three programs within the Illinois Department of Juvenile Justice were selected for analysis utilizing the Results First benefit-cost model and SPART:
 - Incarceration-Based Therapeutic Communities
 - Substance Use Disorder Program
 - Mental Health Program (SPARCS)
 - Quantitative program analysis predicts that the optimal return on investment from the three programs will be greater than the program cost, if the programs are implemented with fidelity to evidence-based best practices. The analysis also quantifies an anticipated reduction in recidivism correlated with the completion of each program, based on the programs being implemented with fidelity to best practices.
 - From a qualitative perspective, program analysis supports the determination that all three Juvenile Justice programs are rated as effective or moderately effective as implemented in the State of Illinois as compared to national best practices.
 - In June 2019 BFR began working on our third policy domain, Substance Use Disorder (SUD). BFR met with the Illinois Department of Human Services, the Department of Healthcare and Family Services, the Department of Public Health, the Department of Corrections and the Department of Juvenile Justice to begin organizing a conceptual framework for the multi-agency task of creating an SUD program inventory. Over the next year BFR will compile a comprehensive SUD program inventory and begin completing program assessment reports.

- The Results First benefit-cost tool and the SPART have significantly enhanced the State's ability to perform program analytics. The potential to better inform the state budget process through fact-based program assessment reports creates a tangible deliverable from the BFR mandate. The BFR Commission will continue to promote the incorporation of evidence-based program reports into all aspects of the budget process.
- To date, the Commission has identified and the General Assembly has passed legislation to modify or repeal 257 statutory mandates. Twenty-three more mandates were identified for repeal or modification in 2019. In addition, the Commission with the assistance of GOMB approved a list of 13 cleanup items for funds within the State Treasury. A list of mandates and fund cleanup items is provided as Appendix C.
- This report also includes updates on six recommendations from the 2018 BFR Annual Report. Three (new or continued) recommendations have been identified by the BFR Commission to be addressed during calendar year 2020. The recommendations include incorporating a geospatial component into BFR analysis, continued investment in BFR, and reporting on the method for determining how new dollars are allocated to horizontal capital projects.

Introduction

Over the past year there have been many strides in the implementation of the Budgeting for Results statute. In particular, efforts have focused on transforming raw data into information that policymakers can use to inform budgetary decisions. This report highlights the BFR accomplishments since the last annual report and outlines the strategic priorities identified by the BFR Commission for the future.

BFR is “a method of budgeting where each priority must be justified each year according to merit rather than according to the amount appropriated for the preceding year” (Public Act 96-958). BFR is targeted at moving the state budget process towards measuring the performance of each government program within a set of predefined statewide priority outcomes and informing budgetary allocation decisions to optimize the achievement of these outcomes.

The goals of BFR are to help the public and government decision makers understand:

- The allocation of tax dollars to fund programs rather than line items;
- If funded programs are operating as designed;
- If funded programs are achieving performance goals;
- If funded programs are achieving statewide outcome goals; and
- How to utilize program performance data as a supporting element in funding determinations.

A chronology of the significant events in the Budgeting for Results process over the preceding nine years can be found in Appendix A of this report.

BFR Quick Facts:

- State spending is classified into seven statewide Result Areas.
- The statewide Result Areas are further delineated into nine statewide priority outcomes, as identified by Governor Pritzker and the Commission.
- There are more than 60 state agencies under the Governor.
- State agencies have defined over 400 distinct programs across state government.
- Over 1,200 performance measures have been identified for state agency programs.

The following table shows the seven statewide Result Areas along with their associated nine outcome areas and definitions.

Result Area	Statewide Outcome	Definition
Education	Improve School Readiness and Student Success for All	Increase percentage of Illinoisans equipped with skills and knowledge needed for postsecondary and workforce success.
Economic Development	Increase Employment and Attract, Retain and Grow Businesses	Close the opportunity gap in Illinois by ensuring the labor force has the skills necessary to meet the needs of employers and maximize earning potential. Increase business investment and entrepreneurship in Illinois.
Public Safety	Create Safer Communities	Reduce incidence of death, violence, injury, exploitation and fraud.
	Improve Infrastructure	Improve the condition of infrastructure to protect citizens and support commerce.
Human Services	Meet the Needs of the Most Vulnerable	Ensure all residents—but particularly children, the elderly, and persons with disabilities—are able to experience a quality life by meeting basic living needs, and providing protection from abuse and discrimination.
	Increase Individual and Family Stability and Self-Sufficiency	Reduce demand on the human service system by providing services to help individuals and families better support themselves.
Healthcare	Improve Overall Health of Illinoisans	Lower healthcare costs by improving the health of Illinoisans.
Environment and Culture	Strengthen Cultural and Environmental Vitality	Strengthen and preserve our natural, historic and cultural resources to make Illinois a more attractive place for people to visit, live and work.
Government Services	Support Basic Functions of Government	Improve the basic infrastructure of state government and provide the tools necessary to operate more efficiently and achieve statewide outcomes.

A glossary of BFR terms can be found in Appendix B of this report.

Progress Report

Program Assessment

The statute that created Budgeting for Results (BFR) states that in Illinois, budgets submitted and appropriations made must adhere to a method of budgeting where each priority is justified every year according to merit. The BFR Commission has worked since 2011 to create and implement a merit-based framework for data-driven program assessment useful to decision makers in the state.

BFR's program assessment framework utilizes three tools: (1) the Illinois Performance Reporting System (IPRS), (2) the Pew-MacArthur Results First benefit-cost model and (3) the State Program Assessment Rating Tool (SPART). These tools have distinct purposes and collectively enable BFR to produce comprehensive program analysis.

The Illinois Performance Reporting System (IPRS) is an inventory of state-funded programs. The BFR unit publishes quarterly program performance data on nearly 1,200 specific performance measures across over 400 state programs. IPRS data promotes transparency by requiring every state program to report at least one performance metric and making these metrics available to the public. BFR's partnership with the Pew-MacArthur Results First Initiative allows Illinois access to a powerful cutting-edge benefit-cost model that helps quantify the return on investment Illinois gets from the programs it supports. Finally, BFR developed the State Program Assessment Rating Tool (SPART). SPART data collected in IPRS, and from other agency sources, is analyzed along with the benefit-cost model to generate a comprehensive program score. The program score enables decision makers to draw comparisons between programs and evaluate impacts within and across Result Areas.¹

The following sections discuss these three tools in greater detail.

Illinois Performance Reporting System

The Illinois Performance Reporting System (IPRS) is the state's web-based database for collecting program performance data from over 400 state agency programs. The IPRS database allows agencies to report programmatic-level data to GOMB on a regular basis. Performance data collection utilizing the IPRS database began in fiscal year 2015. BFR staff upload program performance reports for each state agency to the GOMB public website quarterly. The reports

¹ The Commission would like to extend its sincerest thanks to the University of Illinois for assistance in providing research tools to the GOMB BFR Unit to enable the Unit to produce comprehensive program assessments. This work could not be completed without the university's generous assistance.

contain summary program information, appropriations and key performance measure information associated with each program.

The reports can be accessed by visiting the “Budgeting for Results” tab on the GOMB public website at www.Budget.Illinois.gov.

The BFR unit continues to work with agency Chief Results Officers (CROs) to review IPRS data and improve program definitions and performance metrics. Many program metrics are focused on traditional output and activity measures, rather than more meaningful measurements on program outcomes. In particular, the Results First and SPART program assessment process has resulted in improvements to IPRS programs and metrics in the Department of Corrections and the Department of Juvenile Justice. The continued evolution of IPRS program data will strengthen the applicability of IPRS data to future program assessments, as well as the data’s usefulness to the public.

Results First

BFR partnered with the Pew-MacArthur Results First Initiative to adopt the Results First benefit-cost model for statewide use in 2017, at no cost the State of Illinois.²

Results First works with dozens of states and local governments to implement this innovative evidence-based policy framework to help policymakers prioritize policies and programs with proven results.

The Results First benefit-cost model uses national research to predict the outcomes of state programs, and uses Illinois-specific data to account for the state’s unique population characteristics. The model includes separate projections for benefits that could be realized by taxpayers, program participants, and others in society when programs are implemented effectively and program goals are accomplished. The Results First model is currently applicable in eleven policy domains: adult crime, K-12 education, general prevention, health, adult mental health, higher education, juvenile justice, child welfare, child mental health, substance use disorders, and workforce development.

State Program Assessment Rating Tool (SPART)

² The State of Illinois has been using the Results First model for criminal justice policy analysis since 2011 through the Illinois Sentencing Policy Advisory Council (SPAC).

The SPART is the culmination of six years of research and development to create an integrated program evaluation tool that incorporates both quantitative and qualitative elements. It is modified from the federal Program Assessment Rating Tool (PART).³

The introductory section of the SPART contains summary program information such as statutory authority and performance measures. An evaluability summary highlights Illinois-specific program design or agency implementation factors that contributed to the complexity of conducting the program evaluation.

The SPART tool consists of weighted questions, which tally to give a program a numerical score of 1-100. Numerical scores are converted into four categories of program performance: effective, moderately effective, marginal and not effective.

Weighted questions are divided into two sections: Program design and benefit cost analysis, worth up to 60 points; and performance management/measurement, worth up to 40 points. Full points are awarded if a program meets all the elements of the question. Partial points are awarded if the program meets the majority of the question elements, or if the program manager(s) have developed and implemented a plan to correct deficiencies so that the majority of the elements will be fulfilled within the next fiscal year. Once the points awarded for each question are tallied, a final program score is computed.

³ The results of the federal PART program reviews are available on the archived website ExpectMore.gov, <https://www.whitehouse.gov/sites/default/files/omb/assets/omb/expectmore/index.html>

The SPART provides a universal rating classification to allow policymakers and the public to more easily compare programs and their performance based on qualitative analysis.

The table below contains the SPART program ratings and their score ranges.

Performing Programs		
Effective	75-100	Programs that set ambitious goals, achieve results, are well-managed and improve efficiency.
Moderately Effective	50-74	Programs that set ambitious goals and are well-managed. Moderately Effective programs likely need to improve their efficiency or address other problems in the programs' design or management in order to achieve better results.
Marginal	25-49	Programs that need to set more ambitious goals, achieve better results, improve accountability or strengthen management practices.
Not Performing Programs		
Ineffective	0-24	Programs receiving an “ineffective” rating are not using tax dollars effectively. Ineffective programs have been unable to achieve results due to a lack of clarity regarding the program's purpose, design, goals, poor management, or some other significant weakness.
Results Not Demonstrated	N/A	Programs which have not developed acceptable performance goals or have not gathered data necessary to determine how the program is performing.

The SPART questionnaire is designed for completion by a BFR Program Analyst in collaboration with the applicable GOMB Budget Analyst and agency Chief Results Officer (CRO). The SPART is

based on research by the BFR unit, information compiled by the state agency that administers the program and external program evaluations, when available. Detailed explanations of the evidence and reasoning behind each answer are included, along with supporting documentation as needed. Once the initial SPART review is completed and documented, the state agency reviews the results and provides further evidence and clarifying information. As necessary, changes to SPART answers are made in light of new information. The final SPART review and score is posted to GOMB's website along with the Results First analysis for the benefit of policymakers and the public.

The SPART is designed to be implemented in tandem with the Results First benefit-cost analysis. The benefit-cost analysis provides a quantitative measure of the optimal return on investment that can be expected from an Illinois program if it is implemented according to best practices. The SPART adds necessary context to the benefit-cost analysis by examining how the relevant state agency has designed and implemented the program in Illinois, and whether the actual program as implemented has independent evaluations and performance measures that confirm the results predicted by the benefit-cost analysis. Both the Results First benefit-cost analysis and the SPART are necessary to achieve a comprehensive assessment of state programs.

2019 BFR Reports

BFR continued to build upon the work completed in 2018. During the past year BFR has improved processes for identifying state funded programs and standardizing program assessment reports. Collaboration and stakeholder engagements have been refined to improve identification of state-funded programs and program-specific outcomes. Program assessments have become more thorough and efficient, providing increasingly valuable information to inform the budgeting process.

Since publication of the 2018 Annual Report, BFR has completed three program assessments in the Juvenile Justice domain and begun to create the Illinois Substance Use Disorder policy domain program inventory. The programs completed in the Juvenile Justice domain are the Substance Use Disorder program, Incarceration-based Therapeutic Communities and the Mental Health program (SPARCS). These programs are run by the Illinois Department of Juvenile Justice. For each program, a description of the program costs, services and assessment is available on the GOMB website.

Juvenile Justice

The DJJ Substance Use Disorder program provides residential drug treatment for youth offenders with substance use disorder (SUD). DJJ facilities base this program on the Forward Thinking curriculum from The Change Companies. The Forward Thinking curriculum is tailored to juveniles

involved with the criminal justice system. The Change Companies specializes in a clinical tool called Interactive Journaling (IJ). DJJ began using this curriculum in 2012. From December 2018 through March 2019, BFR completed the three-stage assessment of this program.

Incarceration-based Therapeutic Communities (TC) are an intensive, residential substance use disorder treatment for youth offenders with serious substance use disorder (SUD). TCs are highly structured interventions where participants spend large portions of their waking hours in structured programming and activities. DJJ began transitioning its facilities to a Therapeutic Communities (TC) model in 2015. The incarceration-based Therapeutic Communities program is offered at four of five DJJ facilities. Throughout April and May of 2019, BFR completed the three-stage assessment of this program.

DJJ adopted the SPARCS (Structured Psychotherapy for Adolescents Responding to Chronic Stress) curriculum in 2010 to provide mental health programming for youth who have experienced complex trauma. SPARCS’ design was adapted from three successful evidence based practices. The implementation of SPARCS has varied based on resources available, staff training and youth need. Throughout June and July of 2019, BFR completed the three-stage assessment of this program.

The Results First benefit-cost model calculates the optimal return on investment (OROI) for programs run according to best practices of program core principles determined by evidence. The SPART assessment score provides a rating out of 100 to help understand how likely the program is to achieve its OROI. Together, the Results First benefit-cost model and the SPART deliver a quantitative and qualitative assessment of a program, providing a more complete picture of the program’s impact on its intended outcome.

The chart below lists the program assessments completed by BFR with their prospective optimal return on investment and their effectiveness at achieving their intended outcomes.

Program	OROI ⁴	SPART Score
Incarceration-based Therapeutic Communities	\$2.52	75/100 - Effective
Substance Use Disorder program	\$1.06	62/100 - Moderately Effective
Mental Health program (SPARCS)	\$53.97 ⁵	65/100 - Moderately Effective

⁴ Optimal Return on Investment (OROI) reflects program best practices. Net program costs are equal to the program cost minus comparison cost.

⁵ The higher OROI for the SPARCS program is due to both a larger predicted impact on youth recidivism and significantly lower program costs compared to the Therapeutic Communities and Substance Use Disorder programs. For more information, please see the full assessments.

Criminal Justice Technical Appendix

To improve transparency in the program assessment process, the BFR Unit completed a technical appendix for assessments in the Adult Criminal Justice and Juvenile Justice policy domains. This appendix explains the costs and benefits that are included in the Results First benefit-cost model for these two domains, and details the Illinois-specific data BFR has collected to populate the model. The technical appendix is available along with the full program assessments at www.budget.illinois.gov.

Substance Use Disorder policy domain

During the summer of 2019, BFR began working on the third policy domain, Substance Use Disorder (SUD). In June 2019, BFR met with the Illinois Department of Human Services, the Department of Healthcare and Family Services, the Department of Public Health, the Department of Corrections and the Department of Juvenile Justice to begin organizing a conceptual framework for the multi-agency task of creating an SUD program inventory. SUD representatives from the agencies and relevant trade associations spoke at the Springfield BFR public hearing to discuss progress and challenges within the State of Illinois and nationally. Within the Illinois SUD policy domain there are intersecting clients, programs and funding sources. Over the next year BFR will compile a comprehensive SUD program inventory and begin completing program assessment reports.

Grant Accountability and Transparency Act (GATA)

Two statewide mandates, BFR and the Grant Accountability and Transparency Act (GATA) focus on performance, accountability and transparency in the use of public funds. In state government, the mission of a state agency is carried out through the programs and services the agency provides. In Illinois, grants comprise approximately two-thirds of the state's general revenue budget. Federal and federal pass-through grants are the funding source of the majority of the programs reported in IPRS. State agencies heavily utilize grantees or grant recipients to carry out agency mission through grant awards which specify mandated performance requirements. There are roughly 8,700 grantees registered in GATA systems.

State agencies establish their IPRS program inventories with input from BFR staff and Governor's Office of Management and Budget (GOMB) Budget Analysts. BFR program inventories generally include a high-level aggregate of state agency programs. In contrast, grants subject to Federal Uniform Guidance and GATA are legal instruments of financial assistance that bind the State of Illinois to carry out a public purpose. A federal pass-through or state funded award received by a state agency equates to a program in the GATA Catalog of State Financial Assistance (CSFA).

As IPRS program inventories continue to evolve through BFR implementation, the correlation to GATA-related grant programs will become more transparent. State agencies will be tasked to link grants received and reported in the CSFA to each IPRS program. Based on this correlation, IPRS program performance measures will be compared to grant performance measures. This crosswalk of programs in the CSFA to programs in IPRS will be a natural evolution of these two statutorily driven, statewide initiatives - BFR and GATA.

Stakeholder Engagement: Public Hearings

The Commission's 2019 BFR public engagement efforts included public hearings held at the following locations:

- Chicago – James R. Thompson Center on June 26, 2019, and
- Springfield – Senate Hearing Room 212 in the State Capitol Building on June 12, 2019.

The goal of the hearings was to gather feedback and testimony to help Commissioners better understand the substance use disorder policy domain and improve awareness of the executive and legislative branches' perspective on Budgeting for Results. The hearings encompassed three components: highlights of BFR accomplishments, testimony from subject matter experts on substance use disorder prevention and treatment in Illinois, and open engagement from the public regarding BFR initiatives.

In Springfield, Maria Bruni, Senior Policy Advisor, Department of Healthcare and Family Services; Eric Foster, COO and Vice-President for Substance Abuse Policy, Illinois Association for Behavioral Health; Sam Gillespie, Substance Abuse Administrator, Clinical Division, Department of Children and Family Services; Danielle Kirby, Director, Division of Substance Use Prevention and Recovery, Department of Human Services; Marvin Lindsey, CEO, Community Behavioral Healthcare Association of Illinois; and Ronald Vlasaty, COO, Family Guidance Centers, Inc. provided testimony on substance use disorder treatment and prevention. In Chicago, Assistant Majority Leader, Representative William Davis; and Alexis Sturm, Director of the Governor's Office of Management and Budget provided testimony regarding the utilization of BFR assessments and data in the budget process from the perspective of the executive and legislative branches.

The hearings were attended by private and not-for-profit representatives and stakeholders, state agency CROs and program personnel. Individuals from diverse sectors including human services, education, information technology, media relations, transportation and economic development also participated.

Commissioners engaged with stakeholders and agency representatives through a frank, open and informative exchange of ideas. For the second year, the hearings were broadcast live over the internet via BlueRoomStream.com. The Commission thanks the staff of BlueRoomStream.com for their efforts to publicize the events and enable more Illinoisans to view the proceedings remotely. The Commission also thanks the Illinois State Senate for allowing the use of Hearing Room 212.

National Public Radio covered the BFR Public Hearings and ran a news clip acknowledging the evolution of this statewide initiative. The recording is available at: <https://www.nprillinois.org/post/will-illinois-ever-embrace-budgeting-results#stream/0>.

Chief Results Officers (CROs)

Chief Results Officers remain a vital link to each state agency. Throughout the course of the year BFR staff work with CROs to modify each agency's program inventory to more accurately align with the agency's mission and identify appropriate outcome measures to reflect the program's impact on outcomes. CROs regularly take part in BFR Commission business meetings. In addition, CROs have been vital to the successful assessments of programs in the Adult and Juvenile Criminal Justice policy domains, as well as the Substance Use Disorder policy domain. As the budget development process for Fiscal Year 2021 gets underway, CROs will play an important role in conveying vital performance information to GOMB analysts.

Commission Working Groups

Mandates Review Working Group

State Budget Law (15 ILCS 20/50-25) requires that the Budgeting for Results Commission "review existing mandated expenditures and include in its [November 1st] report recommendations for the termination of mandated expenditures." State agencies are asked to identify statutory mandates that are outdated, duplicative, or unduly burdensome on agency operations.

The mandates identified for repeal or modification by the Commission in its November 2018 Annual Report were included in House Bills: (HB)1552, HB 2936, HB 2937, HB 2940, HB 2941, HB 2943 and Senate Bill 1918. All of these bills passed the General Assembly and were signed into law by the Governor. The following House Bills were presented to the General Assembly, but did not become law: HB 2938, HB 2939, and HB 2942. As a result of these efforts, to date the Commission has recommended and the General Assembly has passed legislation to modify or repeal a total of 257 statutory mandates.

In the summer of 2019, the Budgeting for Results mandates working group comprised of BFR Commissioners Lewis, Steans, Althoff, Davis, Elam, Saltmarsh, and Clemons-Mosby asked agencies to identify unduly burdensome statutory mandates. Thirteen state agencies, universities, boards and commissions responded with mandate recommendations. The agency-submitted list of mandates was compiled by GOMB and included 34 mandates.

The Budgeting for Results mandates working group met in late August 2019 to conduct an initial review of agency recommendations for the elimination or modification of mandates. The

Commission is grateful for the participation of the Budget Directors and staff from each of the four caucuses of the General Assembly. Following the review, the working group recommended 25 mandates to the full BFR Commission for approval. Mandates associated with policy change were removed from the list because policy change is not within in the statutory authority of this Commission. In addition to the statutory mandate review, the Commission also considered and approved a list to clean up 13 funds of the state treasury, which are now defunct. The Commission approved 23 of the 25 recommended mandates recommended for modification or repeal, and all 13 state fund clean-up items. A full list of the approved mandates and fund modifications is included as Appendix C of this report.

Progress Update on 2018 Commission Recommendations

Explore efficiencies in program assessment

The Commission recommended that during Calendar Year (CY) 2019 the Commission would work with GOMB staff to explore additional means of obtaining program impact assessments that could supplement those developed and/or documented through Results First and its associated clearinghouses. In an effort to meet this recommendation, the Commission recommended and BFR staff instituted a process of collecting program evaluation reports compiled by evaluators external to the BFR Unit. The program evaluation library is a first step toward building a comprehensive program evaluation methodology that encompasses those programs outside of the currently established Results First policy domains. As of this publication the BFR Staff have gathered existing program evaluations that have been conducted in four of the six divisions of the Department of Human Services. BFR Staff will continue to gather program evaluations from the remainder of DHS and other state agencies in CY 2020.

Explore feasibility of an “Impact Note” attached to legislation

The BFR Commission discussed the possibility of developing brief “Impact Notes,” similar to the existing fiscal notes for proposed legislation. This concept would require BFR Unit staff to conduct thorough research on the evidence base for a wide range of proposals, with a short turn-around requirement. (The time limit for providing a fiscal note is five calendar days.) The Commission concluded that, at current and near-term BFR Unit staffing levels, it is not feasible for the BFR Unit to produce high quality notes within existing legislative timeframes. The Commission recommends that legislators instead approach the BFR Unit as a resource for information on the evidence base for legislative proposals before filing the legislation.

Work with the Illinois Office of the Comptroller to merge BFR and PAR reporting

The Commission recommended that the BFR Unit work with Illinois Office of the Comptroller (IOC) leadership to identify opportunities to merge BFR and Public Accountability reporting to avoid duplication and satisfy the spirit of the statutory mandates that govern both processes. Currently, State agencies report a different set of programs for the Public Accountability Report (PAR) than they do for BFR.

In July 2019, the BFR Unit met with IOC leadership to identify processes that could synchronize performance reporting for state agencies. With the goal of state agencies utilizing the same accountability and reporting measures for both IPRS and PAR reporting, BFR will work with IOC and state agencies over the next year to achieve uniformity in the program inventories utilized for IPRS and PAR.

Addition of a Geo-Spatial component to BFR Analysis

The Commission recommended that the BFR Unit explore opportunities to utilize Geographic Information Systems (GIS) and other technologies to enhance the data available to decision makers by communicating in a geographical context. The Commission further recommended that the Unit partner with the University of Illinois System and other colleges and universities to leverage resources and advances already available outside of state government.

GIS is software that allows for geographically assembling and analyzing data. GIS maps are created to visually display information by county, city or any defined geographic area. The maps can contain and sort through multiple layers of data to provide precise information that is helpful in understanding the gaps or surpluses of resources in a given geographic area.

As a proof of concept, BFR staff created a “Needs Atlas” of homelessness and shelter capacity in Illinois. The maps that were created show the location of every state funded emergency homeless shelter in Illinois and the density of the homeless population in the surrounding areas. The maps can be displayed by county, state house or senate district, or by the geographic area used by the federal Department of Housing and Urban Development, Continuum of Care. BFR staff gathered information from community homelessness support agencies on the number of local homeless people and the number of shelter beds available to them.

This Homelessness Needs Atlas is an illustration of what can be visualized, analyzed and better understood through the use of GIS mapping.

Continued Investment in BFR

The BFR Commission recommended continued investment in staff and technology for BFR in the state Fiscal Year 2020 budget development process. Special thanks are given to the legislative members of the BFR Commission for their efforts to secure a \$350,000 appropriation in the final Fiscal Year 2020 budget. Of that total, \$100,000 is dedicated to hire two additional staff prior to the end of the fiscal year. The remaining \$250,000 has been set aside for BFR operations, including engaging additional evaluator capacity to conduct a comprehensive program evaluation of programs that achieved a score of 49 or lower on their comprehensive program evaluation conducted by BFR staff.

Mandatory Program Evaluations for Programs Receiving 49 or Less in SPART

The Commission explored the feasibility of requiring programs with an SPART score of “marginal” (49 or less out of 100) to undergo a comprehensive program evaluation. Of the ten BFR program assessments completed since 2018, two received marginal SPART scores. The Commission determined that if program assessments and scoring continue in similar patterns, it is reasonable to conduct additional evaluation on marginal programs. The State Fiscal Year 2020 budget included \$250,000 for this purpose. The BFR Unit is currently working to identify qualified external

program evaluators to conduct an evaluation of Illinois' electronic monitoring program, operated by the Department of Corrections in conjunction with the Prisoner Review Board.

2019 Commission Recommendations

Continued Investment in BFR

With small investments made in BFR over the past two fiscal years, the BFR staff has been able to shift the goal of producing comprehensive program reports from the realm of the theoretical to the actual. With continued investment, this Commission believes that the BFR staff will be able to advance program analysis to a greater role in budgetary decision-making. Therefore, the BFR Commission recommends continued investment in staff and technology for BFR in the State Fiscal Year 2021 budget development process.

Continue Work on the Development of a Geo-Spatial component to BFR Analysis

The BFR staff have demonstrated the value of geo-spatial analysis of BFR data with the development of the pilot GIS map of Illinois homelessness. Therefore, the Commission recommends that the BFR Unit explore opportunities to utilize Geographic Information Systems (GIS) and other technologies to enhance the data available to decision makers by communicating in a geographical context.

The Illinois Capital Budget

The enacted Capital Budget of the State of Illinois totals \$46.5 billion in Fiscal Year 2020, which includes the state-funded portions of the six-year Rebuild Illinois Program as well as remaining appropriations from prior capital programs. The total incorporates \$28.3 billion for transportation (also known as horizontal capital), and \$18.2 billion for the construction or retrofitting of state buildings and facilities and institutions of higher education; investments in the environment and for conservation purposes; broadband deployment; and economic and community development projects (also known as vertical capital). Horizontal capital is the largest portion of the capital budget, making up two-thirds of the total program.

As such, the Commission recommends that the GOMB BFR staff work with the Department of Transportation to document the current process utilized by IDOT to allocate capital dollars to horizontal capital projects, and report on best practices in other states for potential incorporation into future capital planning where appropriate. Staff should submit their final report to the Commission as soon as practicable.

Conclusion

The BFR Commission is committed to using program assessments to inform State budget deliberations. The Commission is proud of Illinois' progress in the development and production of comprehensive program assessments. The Commission looks forward to the work and assessments the BFR staff will complete in the area of Substance Use Disorder over the coming year. BFR will have an additional opportunity to demonstrate its value in providing clear evidence-based information to decision-makers in this consequential policy area.

The Commission anticipates substantial progress in the development of geo-spatial analysis to analyze BFR data. The Commission believes that further development of this tool will allow for better understanding of where issues of concern occur in our state, and better analysis of the distribution of resources to address issues. The Commission looks forward to working with staff, the executive and legislative branches to more fully develop and utilize this resource.

The Commission also looks to legislative colleagues and the Governor to continue to support the work of BFR at current levels of funding, and where possible achieve modest increases to expand this statewide initiative. More staff and technology dedicated to BFR will result in more comprehensive analysis of state spending. This will allow for data-based reports shared with decision-makers to better inform budgetary decisions.

The Commission looks forward to working with legislators, state agencies, community-based organizations and stakeholders at large to advance progress of the BFR initiative. Working together, we can achieve much for the people of this great state.

Appendices

Appendix A: Chronology

Appendix B: Glossary

Appendix C: 2019 Commission Mandate Repeal or Modification Recommendations

Appendix D: 2019 Comprehensive Program Assessment Reports

Appendix E: Adult and Juvenile Justice Results First Technical Appendix

Appendix A

Chronology

The following lists chronologically the significant events in the Budgeting for Results process over the preceding nine years.

- July 2010
Public Act 96-0958 establishing the Budgeting for Results (BFR) process was signed into law by Governor Quinn.
- August 2010-January 2011,
Governor's Office of Management and Budget (GOMB) in conjunction with the Governor's Office established the first six statewide result areas to evaluate the impact/success of state funds.
- February 2011
GOMB presented the Governor's fiscal year (FY) 2012 budget which included state spending divided into six statewide result areas: Education, Economic Development, Public Safety and Regulation, Human Services, Quality of Life, and Government Services.
- February 2011
Public Act 96-1529 establishing the Budgeting for Results Commission was signed into law by Governor Quinn.
- March 2011-January 2012
GOMB worked with over 70 state agencies, universities, boards and commissions to delineate discrete programs linked to line item appropriations. Each program was assigned to one of the statewide result areas to facilitate future performance measurement.

The Budgeting for Results Commission conducted its first meeting. Among the Commission's many activities, it established the seventh statewide result area, Healthcare.

- February 2012
GOMB presented the Governor's FY 2013 budget with state agency spending delineated by program. Each program was assigned to one of the seven statewide result areas.
- March 2012-Janary 2013
To establish basic performance measures for each state agency program, GOMB in conjunction with the Government Finance Officers Association (GFOA) provided training to state agency personnel on the development of program logic models. Each agency produced a logic model for each program. The logic model helped identify the potential performance measures for each program.

In addition, during the period of July to September 2012, GFOA in conjunction with GOMB engaged experts and stakeholders from across the spectrum of result areas to engage in strategy mapping.

- March 2013

GOMB presented the Governor's FY 2014 budget, including performance measures in each agency narrative submission.

- April 2013-February 2014

GOMB in conjunction with state agencies worked to refine agency program inventories and performance measures. GOMB, worked with agencies, to identify agency Chief Results Officers (CROs). CROs are senior level agency staff with responsibility for performance and change management at the agency. They serve as a conduit for BFR information between the agency and GOMB. In late 2013, GOMB began the process of developing the Illinois Performance Reporting System (IPRS), a SharePoint database that allows for the centralized reporting of program performance measures and summary program information.

In October 2013, GOMB partnered with Mission Measurement, a performance measurement consulting firm, to complete a pilot around one outcome area of BFR. The pilot developed and tested a methodology for evaluating the performance of State of Illinois programs within the Education result area. Funding for the pilot was provided by a number of private foundations including generous contributions from the Chicago Community Trust, the John D. and Catherine T. MacArthur Foundation, and the Steans Family Foundation, along with pro bono support from Mission Measurement Corp.

- March 2014

GOMB presented the Governor's FY 2015 budget with at least one performance measure for each agency program.

- April 2014-January 2015

State agencies were trained on the use of IPRS and begin the process of collecting a full fiscal year's program performance data.

In late 2014, GOMB developed a reporting function in IPRS utilizing a PDF format. This reporting capability enhanced transparency because it allowed the performance measures to be publicly posted to the GOMB website.

- February 2015

GOMB presented the FY 2016 budget with a full year of performance measure data for each agency program.

- February 2015-August 2015

GOMB continued to work with agencies to refine programs and metrics. In August, GOMB posted the first set of IPRS program performance PDFs to the GOMB website: Budget.Illinois.gov.

- September 2015-July-2016

GOMB with support from experts in the academic community began the development and pilot process for the State Program Analysis Reporting Tool (SPART) and the cost-benefit analysis tool.

- July 2016-January-2017

In July, 2106 the BFR Commission established the Cost-Benefit Analysis Working Group. The working group was tasked to examine the catalog of state programs to identify significant gaps in the data

available to conduct cost-benefit analysis, and to make recommendations to remediate the deficiencies. Furthermore, the working group was assigned the responsibility to identify a methodology or methodologies that could be applied across the universe of state programs to produce a valid and meaningful cost-benefit analysis. The Working Group met throughout the summer and fall.

- February 2017
Based upon the recommendation of the Cost-benefit Analysis (CBA) Working Group, the BFR Commission passed unanimously a resolution encouraging GOMB to adopt the Results First cost-benefit analysis model, developed by Pew-MacArthur Foundation, as the standard CBA model to be implemented as a component of the SPART. The Commission further recommended that GOMB add at least one additional FTE to implement the model.
- March 2017
GOMB signed a letter of intent with the Pew-MacArthur Results First initiative to begin use of the Results First model in Illinois.
- April 2017
GOMB worked with Legislative members of the BFR Commission to move the 2017 BFR Mandates Relief bill (SB1936) through the legislative process.
- June 2017
GOMB hired a full-time data analyst to oversee the implementation of the Results First CBA model. In addition, GOMB in conjunction with the Illinois Sentencing Policy Advisory Council (SPAC) identified the Adult Criminal Justice domain as the first area to employ the Results First Model to general analysis of programs.
- July 2017
GOMB, SPAC, and IDOC participated in in-depth training and discussion on the Results First Model with representatives from the Pew-MacArthur Results First Initiative. Staff engaged with SPAC and IDOC to begin collecting the initial data necessary to conduct a CBA analysis.
- August 2017 - September 2017
BFR worked with IDOC to compile a program inventory of the Adult Criminal Justice policy domain. Once completed, BFR matched Illinois state funded programs to the evidence-based programs in the Results First Clearinghouse Database. BFR and IDOC identified three programs operated in adult prison facilities in Illinois from the program inventory for further analysis: Adult Basic Education/GED, Vocational Education, and Post-Secondary Education. BFR determined through the clearinghouse matching process that the design of these three programs match established best practices that rigorous research has shown to reduce criminal recidivism.
- September 2017 – October 2017
BFR collected and calculated all the data needed to run the Results First benefit-cost analysis model on the three pilot programs. BFR also conducted an SPART evaluation for each program.
- October 2017

BFR completed three separate benefit-cost analyses and three SPART program evaluation reports for the Adult Criminal Justice policy domain on Adult Basic Education/GED, Vocational Education, and Post-Secondary Education.

- November 2017 – January 2018
BFR completed the three-stage assessment of the incarceration-based Therapeutic Communities program run by the Illinois Department of Corrections at two facilities, Sheridan Correctional Center and Southwestern Illinois Correctional Center (SWICC).
- February 2018 - March 2018
BFR completed the three-stage assessment of the Housing Assistance/Placements program run by the Illinois Department of Corrections and administered by the Illinois Parole Re-Entry Group.
- April 2018 - May 2018
BFR completed the three-stage assessment of the GPS Monitoring program run by the Illinois Department of Corrections and administered by the Illinois Prisoner Review Board.
- May 2018 – June 2018
BFR completed the three-stage assessment of the Electronic Monitoring program run by the Illinois Department of Corrections and administered by the Illinois Prisoner Review Board.
- September 2018
BFR in conjunction with Pew-MacArthur Results First held its first annual convening of CROs in Springfield, Illinois.
- October 2018
BFR hired a Data Analyst.
- November 2018 – February 2019
BFR completed and published the Illinois Interactive Budget v1.0
- December 2018 – March 2019
BFR completed the three-stage assessment of the SUD program run by the Department of Juvenile Justice.
- May 2019
BFR completed the three-stage assessment of the Incarceration-based Therapeutic Communities program run by the Department of Juvenile Justice.
- July 2019
BFR completed the three-stage assessment of the residential Mental Health program run by the Department of Juvenile Justice.
- September 2019
BFR completed and published the Illinois Interactive Budget v2.0

Appendix B

Glossary

Best Practices: Policies or activities that have been identified through evidence-based research to be most effective in achieving positive outcomes.

Budgeting for Results Commission: Established under the Budgeting for Results law (15 ILCS 20/50-25), the Commission is appointed by the Governor to provide advice in setting statewide outcomes and goals, and best practices in program performance evaluation and benefit-cost analysis.

Budgeting for Results Unit: A unit established within the Governor's Office of Management and Budget to implement the Budgeting for Results law (15 ILCS 20/50-25). The Unit coordinates the collection of program performance data from state agencies under the authority of the Governor. The unit conducts program performance and benefit-cost evaluations of state programs. The Unit also serves as support and research staff for the Budgeting for Results Commission.

Chief Results Officer (CRO): CROs are the conduit for dissemination of BFR information and process through their agencies. CROs also serve as the central point for change management within the agencies. CROs are generally agency senior staff, with the authority to initiate change and implement new BFR-oriented initiatives. One of the primary responsibilities of CROs is to review and update the agency's performance measures and provide performance measure data to GOMB on a quarterly basis via IPRS.

Effect Size: The extent of the influence of a program or policy on outcomes.

Evidence-Based: Programs or interventions that have undergone multiple rigorous evaluations which demonstrate the efficacy of the program's theory of change and theory of action.

Illinois Performance Reporting System (IPRS): The state's web-based database for collecting program performance data. The IPRS database allows agencies to report programmatic level data to the Governor's Office of Management and Budget on a regular basis.

Intervention: An intervention is a combination of program elements or strategies designed to produce behavior changes or outcomes among individuals or an entire population.

Optimal Return on Investment (OROI): A dollar amount that expresses the present value of program benefits net of program costs that can be expected if a program is implemented with fidelity to core principles or best practices.

Outcome Measures: Outcomes describe the intended result of carrying out a program or activity. They define an event or condition that is external to the program or activity and that is of direct importance to the intended beneficiaries and/or the general public. For example, one outcome measure of a program aimed to prevent the acquisition and transmission of HIV infection is the number (reduction) of new HIV infections in the state.

Output Measures: Outputs describe the level of activity that will be provided over a period of time, including a description of the characteristics (e.g., timeliness) established as standards for the activity. Outputs refer to the internal activities of a program (i.e., the products and services delivered). For

example, an output could be the percentage of warnings that occur more than 20 minutes before a tornado forms.

Program: A separately identifiable and managerially discrete function within an organization designed to meet a statutory requirement or a defined need; a set of activities undertaken to realize one common purpose with an identifiable end result or outcome.

Recidivism: Reconviction after a release from prison or sentence to probation.

Results First Clearinghouse Database: One-stop online resource providing policymakers with an easy way to find information on the effectiveness of various interventions as rated by eight nation research clearinghouses which conduct systematic research reviews to identify which policies and interventions work.

Target: A quantifiable metric established by program managers or the funding entity established as a minimum threshold of performance (outcome or output) the program should attain within a specified timeframe. Program results are evaluated against the program target.

Theory Informed: A program where a lesser amount of evidence and/or rigor exists to validate the efficacy of the program's theory of change and theory of action than an evidence-based program.

Theory of Change: The central processes or drives by which a change comes about for individuals, groups and communities

Theory of Action: How programs or other interventions are constructed to activate theories of change.

Appendix C

2019 Commission Mandate Repeal or Modification Recommendations

	A	B	C	D	E	F	G
1	Agency Name	Summary	Mandate Description	Statutory Reference	Mandate Impact on Agency	Mandate Background/History	Original Bill Sponsors
2	Board of Higher Education	<p>This 2009 mandate required all public colleges and universities to conduct a survey of their veterans' and military services and programs, post these programming overviews online, and provide them to matriculating veterans. IBHE was required to also review these surveys and post links to them on IBHE's website.</p> <p>The statute makes it sound like this was a one-time thing, but it appears that the schools are still producing these overviews and sending them to IBHE. IBHE publishes all of them in its annual veterans report, and does not want to duplicate this effort by also publishing individual links on its website. The universities would still post links to their own reports on their respective websites.</p> <p>This mandate was part of the Higher Education Veterans Service Act, which resulted from the findings of the Task Force on Service Member and Veterans Education. Several of the sponsors are still sitting GA members, including Bill Brady.</p>	Requires the Illinois Board of Higher Education to post a link to each college and university's veterans survey.	110 ILCS 49/15(c)	Publishing links to each college and university's veterans survey is a duplicate effort for the Illinois Board of Higher Education (IBHE). Each college and university veterans survey is included in the annual report the IBHE must compile and publish. The IBHE report is published to the IBHE website along with being sent to the required entities per the statute.	The intent of the statute was to examine the manner in which public Illinois colleges and universities provide education to servicemen and servicewomen as well as veterans. The IBHE summarizes the information in an annual veterans report which is available for public review. As a result there is no further need to have IBHE post a link to each college and universities veterans survey. The mandate was enacted in Public Act 96-133 (SB 1624) in August 2009.	<p>Senate Sponsors Sen. Dan Kotowski - Michael Noland - Toi W. Hutchinson (D-40) - Michael W. Frerichs - Michael Bond, Bill Brady (R-44), J. Bradley Burzynski, Linda Holmes (D-42), Edward D. Maloney, Emil Jones, III and Randall M. Hultgren</p> <p>House Sponsors (Rep. Mark L. Walker - Mike Fortner, Jehan A. Gordon (D-92), Eddie Washington, Emily McAssey and Al Riley)</p>
3	Dept. of Human Services	<p>This mandate requires DHS to submit a quarterly report to the Gov and GA regarding obligations and expenditures for the WIC nutrition program, and make recommendations for expending all available federal funds.</p> <p>The department believes this mandate is unnecessary and duplicative. The WIC program is 100% federally funded, and DHS reports monthly to USDA on outlays, administrative costs and caseload. The department did not report a fiscal impact.</p> <p>This mandate was likely enacted in 1996 as part of a big human services reorganization bill. The original intent of the mandate is unknown.</p> <p>Follow up conversations between Senate GOP staff and DHS clarified that GA can get needed expenditure info for budget process directly from DHS or from USDA website, with no need for quarterly reporting.</p>	Sec. 10-25. Women, Infants, and Children Nutrition Program. The Department is to send a report to the Governor and the General Assembly each quarter showing the status of obligations and expenditures of the WIC nutrition program appropriation and make recommendations on actions necessary to expend all available federal funds.	20 ILCS 1305/10-25(a)	The Illinois WIC program is 100% federally funded. WIC staff is required to report to USDA each month on the gross outlays for both food and nutrition services administration costs, and caseload served. Bureau staff monitor local agency grant spending etc. With the implementation of GATA reporting quarterly information to the Governor and the General Assembly seems duplicative.	Background is not known.	I think this was in HB 2632 in the 89th GA but I'm not sure
4	ILLINOIS STATE POLICE	<p>This 2016 mandate requires ISP to report quarterly to the Gov and GA on various statistics relating to their processing of forensic biology and DNA evidence. Although the current statute requires separate reporting on "forensic biology" and "DNA" submissions, forensic biology in the current age is really only a screening to see if there is suitable material for DNA analysis.</p> <p>As of December 2018, ISP has the new Laboratory Information Management System (LIMS) that allows them to combine forensic biology and DNA activities done on the same case. ISP believes that it would be more accurate to update the mandate to combine the two activities and report on both together. ISP will email statutory language.</p> <p>This mandate was enacted in 2015 as part of an omnibus police reform bill. Rep. Davis was one of the sponsors.</p>	The mandate requires the Department of State Police provide forensic biology, DNA, and all other forensic discipline statistics on a quarterly basis to the Governor and General Assembly. These statistics must be published to the ISP website.	730 ILCS 5/5-4-3a(c)	The mandate needs to be updated. During the second quarter of Calendar Year 2019, the ISP began reporting forensic biology and DNA section activities together as "Biology" to provide a more accurate statistical accounting of the work being performed in the former Forensic Biology/DNA section. Forensic biology activity has evolved over the past decades and now only consists of the screening of evidence for the presence of suitable biological material that can then undergo DNA analysis; thus, forensic biology and DNA are merely two types of activities being performed on the same evidence in a case, by the same forensic scientists. Statistics had been reported separately by ISP based on past practice and former computer system limitations but this practice posed significant caseload management and reporting challenges and frequently resulted in double-counting some work. The current mandate reflects this old approach and requires separate reporting. With the implementation of the new Laboratory Information Management System (LIMS) in December 2018, not only has ISP's internal tracking and management capabilities been improved to support the combining of forensic biology and DNA activities, but ISP is also better equipped to monitor all work requested on a case (i.e., "assignments") instead of just as cases in a section. An update of this mandate would enable ISP to provide a more accurate representation of the work being performed in the Biology section, as well as all other sections in the laboratories.	The mandate was enacted in 2015. The main genesis of the mandate was an interest in the progress the ISP is making in regard to sexual assault case submissions, analysis, and backlogs, with a special focus on Forensic Biology, DNA, and CODIS sections. Statistics from all other types of cases and in other laboratory sections are also required to be reported, but not to the same level of detail. The State Police has compiled with the mandate every quarter since its inception.	<p>Senate Sponsors Sen. Kwame Raoul - Jacqueline Y. Collins - Patricia Van Pelt - Mattie Hunter - Michael Noland, Don Harmon, William R. Haine, Kimberly A. Lightford, Napoleon Harris, III, Donne E. Trotter, Emil Jones, III, Toi W. Hutchinson, James F. Clayborne, Jr. and Melinda Bush</p> <p>House Sponsors (Rep. Elgie R. Sims, Jr. - Jehan Gordon-Booth - John D. Anthony - Mary E. Flowers - John M. Cabello, Christian L. Mitchell, Marcus C. Evans, Jr., Litesa E. Wallace, Esther Golar, Linda Chapa LaVia, Emanuel Chris Welch, Kelly M. Cassidy, Scott Drury, Al Riley, Arthur Turner, Pamela Reaves-Harris, Camille Y. Lilly, Michael J. Zalewski, Luis Arroyo, Monique D. Davis, William Davis, Stephanie A. Kifowit, Grant Wehrli, Brian W. Stewart, Dan Brady, Jay Hoffman, Patrick J. Verschoore, Barbara Flynn Currie, Robert Rita, André Thapedi, Eddie Lee Jackson, Sr., Robert W. Pritchard, Randy E. Frese, Donald L. Moffitt, Robyn Gabel, Anna Moeller and Margo McDermed)</p>
5	Department of Commerce and Economic Opportunity	<p>This mandate requires DCEO to provide monies for moving expenses to assist companies in moving manufacturing machinery or equipment into or within Illinois. The monies are supposed to be included in the Community Development Assistance set-aside program, which no longer exists. DCEO would therefore like to repeal the mandate.</p> <p>This mandate has existed since at least 1986. In addition to the relevant program no longer existing, DCEO no longer considers machinery moving expenses to be aligned with its core mission.</p>	Requires the Department to annually include in the existing Community Development Assistance set-aside program monies for moving machinery or equipment from another state or territory into Illinois or from one location in Illinois to another location in Illinois.	20 ILCS 605/605-340	This mandate is outdated as the program no longer exists, so the Department requests this mandate be repealed. Also, this mandate is not aligned with the Department's core mission-promoting economic and business development and economic opportunity throughout the State.	Unknown. P.A. 91-239 was the last change made to this paragraph; that PA points back to PA 84-1308 for the source of the statute, but transcripts indicate that was just a revisory act so the actual legislation is older.	

6	A	B	C	D	E	F	G
6	Department of Commerce and Economic Opportunity	<p>This mandate is part of 1998 legislation that created the Illinois Building Commission to review state building requirements. The mandate requires DCEO to receive the recommendations from the Illinois Building Commission and establish a clearinghouse of all state building requirements and information concerning the requirements, make this available to the public, and assist the public in determining which building requirements apply to any given project.</p> <p>DCEO believes this mandate is not consistent with the department's mission. DCEO is not currently in compliance and is at risk of an audit finding. The Illinois Building Commission apparently is now CDB's Division of Building Codes and Regulations, which may be equipped to handle these responsibilities itself.</p> <p>CDB confirmed that: "We have a document which is Illinois Construction-Related Statutes and Rules on our website. https://www2.illinois.gov/cdb/business/codes/Documents/Illinois_Construction-Related_Statutes_and_Rules_Directory.pdf We also are required to keep a list of all reported code adoptions by municipalities and counties throughout the State. Ray Boosinger is listed as a resource on our webpage and he helps answer questions and direct people to the correct information regarding building construction. If this covers what DCEO has also been tasked to do then I would say it is a duplication of services and they do not need to provide this service also."</p>	Requires the Department, after receiving the recommendations from the Illinois Building Commission, to establish a consolidated clearinghouse containing all existing State building requirements and all information concerning those requirements. The Department shall make the information available to the public upon request. The Department shall assist the public in determining which State building requirements apply to any specified project.	20 ILCS 605/605-575	Mandate is not consistent with the Department's mission to promote economic and business development and economic opportunity throughout the State.	Public Act 90-0269	
7	Department of Commerce and Economic Opportunity	<p>This mandate originated in 1992 with the establishment of the Earnfare program. It requires DCEO to provide job skills training and various other services for Earnfare program participants, using "existing II-A funds". These funds originated from the federal department of Agriculture under a program that no longer exists.</p> <p>Earnfare currently exists as a work experience program for SNAP participants under DHS, but DCEO believes this mandate is duplicative with DCEO's other job skills training, job placement and client management programs that currently exist.</p>	Requires the Department to provide job skills training, job placement, client management, as supportive services for Earnfare participants using "existing II-A funds" under the Job Training Partnership Act.	20 ILCS 605/605-825	This program has been replaced by multiple jobs skills training, job placement and client management dollars; therefore, to retain this program would be duplicative and outdated.	PA 87-893	
8	Department of Commerce and Economic Opportunity	<p>This mandate is part of a larger section of statute starting with 20 ILCS 605/605-850 requiring DCEO to establish a Labor-Management-Community Cooperation Committee within DCEO, make grants to local employee/labor coalitions and labor-management-community committees, and establish the Office of Work and Family Issues to administer that grant program, among other duties. The name of the office was changed in statute in 2001 from the Office of Labor Management Cooperation. The statute dates to at least 1993, at which time the grant program did exist.</p> <p>DCEO says that the Office of Work and Family Issues has never existed, and were it to exist now it would be better housed elsewhere, such as in the Department of Labor. Its duties would also be duplicative with the WIOA program, under which these services are currently being provided.</p>	Requires the Department to establish an Office of Work and Family Issues to administer grant programs and to promote labor-management-community cooperation and employment-related family issues.	20 ILCS 605/605-860	There has never been an Office of Work and Family Issues. To require the Department to do so now would be unduly burdensome. Moreover, this Office is not consistent with the core mission of the Department- to promote economic and business development and economic opportunity throughout the state- and it seems more suited to sister agencies like the Department of Labor. Likewise, it would be duplicative of existing programs since the functions described here are within the requirements of WIOA at the state and local levels.	PA 88-456	
9	Department of Commerce and Economic Opportunity	<p>This mandate requires the Illinois Emergency Employment Development Coordinator (housed within DCEO but reporting to the Governor) to work with the 21st Century Workforce Development Fund Advisory Committee to develop a transitional jobs program for people receiving public assistance, people with criminal records, and other people facing barriers to employment.</p> <p>This mandate was enacted in 2011 (not 2018); some of the sponsors are still sitting. DCEO believes it creates an unnecessary layer of bureaucracy and duplicates existing workforce programs, and is unfunded. DCEO currently provides similar services under WIOA.</p>	Requires the coordinator (representing the Department) and members of the Advisory Committee to explore available resources to leverage in combination with the wage subsidies in this Act to develop a Transitional Jobs program.	20 ILCS 630/17	This provision became effective in August 2018. The Department recommends repeal because it is unduly burdensome in that it creates an additional layer of bureaucracy in already complicated workforce programs. Because it is unfunded, enacting this program would take away from the core mission of the Department- to promote economic and business development and economic opportunity throughout the State.	PA 97-581 (HB 2927)	<p>House Sponsors Rep. Sidney H. Mathias - Lou Lang - Rita Mayfield - Kay Hatcher - La Shawn K. Ford and Al Riley</p> <p>Senate Sponsors (Sen. Michael Noland - Don Harmon)</p>
10	Department of Commerce and Economic Opportunity	<p>The Local Government Consolidation Act of 2011 (all of 20 ILCS 3987) created the Local Government Consolidation Commission, for which DCEO was responsible for travel expenses and administrative support. The Commission was to give its final report in 2013, which DCEO reports that it did.</p> <p>The Commission has completed its work and no longer meets, so DCEO would like the Act repealed. Sen. Pamela Althoff was among the original sponsors. DCEO did not indicate any negative impact on the agency from having this still on the books.</p>	Creates Local Consolidation Commission to evaluate local government structure and make recommendations as appropriate. Requires Commission to submit "final report" by 9/30/13. Requires Department to support commission and reimburse member expenses subject to appropriation.	20 ILCS 3987/20	The "final report" was provided by the Commission on 9/30/13. This mandate having been fulfilled, is outdated. Furthermore, this mandate is not consistent with the Department's core mission- to promote economic and business development and economic opportunity throughout the State. Therefore, this mandate should be repealed.	P.A. 97-316	<p>House Sponsors Rep. Jack D. Franks - Lou Lang - Lisa M. Dugan - Jim Watson - Carol A. Sente, Kenneth Dunkin, Linda Chapa LaVia and Keith Farnham</p> <p>Senate Sponsors (Sen. Kwame Raoul - Kirk W. Dillard - Mr. Steven M. Landek - Pamela J. Althoff - Linda Holmes and John G. Mulroe)</p>
11	Department of Commerce and Economic Opportunity	<p>This section of the original 1979 law creating DCEO lists one of the duties of DCEO as absorbing the duties of the Governor's Office of Manpower and Human Development, which was one of several entities absorbed into DCEO.</p> <p>DCEO believes the mandate is outdated because the Office no longer exists, and its previous functions are not all currently housed in DCEO. DCEO did not indicate any negative impact on the agency from having this still on the books.</p>	Transfers the rights, powers, duties, and responsibilities of the Governor's Office of Manpower and Human Development to the Department.	20 ILCS 605/605-110	This mandate is outdated insofar as the Office no longer exists, and therefore should be repealed. To require the Department to fulfill this mandate would be duplicative as these functions are done in other programs and other agencies. Moreover, since it is unfunded, it would take resources away from programs driving the core mission of the Department- to promote economic and business development and economic opportunity throughout the State.	P.A. 91-239	

	A	B	C	D	E	F	G
12	Department of Commerce and Economic Opportunity	<p>This section of the Local Government Debt Offering Act authorizes and "directs" DCEO to provide technical and advisory assistance to local governments about issuing long-term debt.</p> <p>DCEO believes this mandate is outdated (it's been on the books since early 70s) and that DCEO does not currently have the funding, staff, or mission to provide this service. DCEO suggests SEC or the Civic Federation as alternative resources.</p> <p>DCEO did not indicate whether they are currently providing this service or have received any audit findings or other negative impact from this mandate.</p>	The Department is authorized to provide technical and advisory assistance regarding issuance of long term debt to local Government.	30 ILCS 375/3	This mandate is outdated and should be repealed. Further, this mandate is no longer central to the Department's core mission- to promote economic and business development and economic opportunity throughout the State.	P.A. 77-1504	
13	Department of Commerce and Economic Opportunity	<p>This mandate probably dates back to the Blighted Areas Redevelopment Act of 1947. It states that housing authorities may apply to DCEO for matching grant funding to rehouse people who are displaced under the Redevelopment Act.</p> <p>DCEO believes the mandate is implicitly subject to (non-existent) appropriations, inconsistent with DCEO's mission, and probably duplicative of programs run by the Illinois Housing Authority. DCEO would like the section repealed.</p>	Allows housing authorities to apply to the Department for funding pursuant to the Housing Authorities Act, and establishes the process by which moneys can be provided for qualified projects.	310 ILCS 30/2	This mandate is not consistent with the mission of the Department- to promote economic and business development and economic opportunity throughout the State. Since no funding is provided, the Department would have to pivot funds from programs directly fulfilling it's mission which is not consistent with good government. In particular, housing is ancillary to the department's mission and most likely is duplicative of programs run by the Illinois Housing Authority.	Dates back to at least the creation of DCEO in 1980	
14	Department of Commerce and Economic Opportunity	<p>This mandate establishes the Illinois Literacy Council and lists DCEO as an organization that must provide a representative. DCEO reports that the council has not met since 1998, however DCEO received an audit finding in 2018 for not appointing a representative to the council. DCEO would like the mandate repealed.</p> <p>BFR staff confirmed that the council has not met since Gov. Quinn, but according to auditor general's site, DCEO is the only listed org who has received an audit finding.</p>	Requires participation from the Department on the Illinois Literacy Council	15 ILCS 322/20 – Illinois Literacy Act	This mandate has no connection to the mission of the Department, which is first and foremost to promote the economic and business development and economic opportunities throughout the State. This mandate does nothing to promote these goals. It is unduly burdensome for the Department to serve on Boards, Commission, Committees and Councils unrelated to it's core mission and programs. This mandate resulted in Audit Finding No. 2018-004 which will remain outstanding if the Department is not relieved of this onerous (not in and of itself, but in the aggregate of Boards, Commission, Committees and Councils) burden that is not related to the mission. Audit Finding No. 2018-004 of Compliance Examination for the two years ending June 30, 2018: (Boards, Commissions, Committees and Councils Not Fully Staffed) The Department did not appoint a representative to the Illinois Literacy Council.	Dates back to at least 1995	
15	Department of Commerce and Economic Opportunity	<p>This mandate lists one of the duties of DCEO under the DCEO Law to be liaising between the State and regional/local planning agencies to perform state-wide planning and provide various assistance. DCEO reports that the original intent was to coordinate efforts surrounding the federal Urban Planning Assistance program and associated fund, which are now defunct (fund is inactive).</p> <p>DCEO received an audit finding in 2018 for not being in compliance with this mandate, and would like the mandate repealed.</p>	Requires the Department to provide for liaison between the State and regional and local planning agencies and departments to perform state-wide planning, as well as provide assistance and advice to local and regional planning agencies as needed. Also, research local government problems as directed.	20 ILCS 605/605-205 – Civil Administrative Code of Illinois	This mandate is outdated due to the conclusion of the associated Federal program and the associated Fund no longer carries a balance. Repealing mandate will resolve Audit Finding No. 2018-005. Audit Finding No. 2018-005 of Compliance Examination for the two years ending June 30, 2018: (Noncompliance with Statutory Mandates) The Department did not comply with this portion of the Civil Administrative Code.	P.A. 91-239	
16	Department of Commerce and Economic Opportunity	<p>This 2012 mandate requires DCEO to develop an engineering excellence program which includes requesting summaries of internship or residency programs run at each major university engineering school in the state, identifying nearby manufacturing businesses, and advising the businesses to contact the universities about the programs.</p> <p>DCEO does not believe this mandate is consistent with their mission or that they have the expertise to fulfill it. DCEO received an audit finding in 2018 for noncompliance with this mandate. DCEO requests the mandate be made permissive.</p> <p>DCEO has reached out to Leader Harris but has not been able to make contact yet. Proceeding with legislation is conditional on a favorable response from Leader Harris.</p>	Requires the Department to facilitate coordination between engineering schools and private business.	20 ILCS 605/605-460 – Civil Administrative Code of Illinois	This mandate is not consistent with the mission of the Department- to promote economic and business development and economic opportunity throughout the State. Furthermore, the Department has no expertise in an engineering excellence program, so to require the Department to do so would be unduly burdensome. Making this mandate permissive will resolve Audit Finding No. 2018-005. Audit Finding No. 2018-005 of Compliance Examination for the two years ending June 30, 2018: (Noncompliance with Statutory Mandates) The Department did not develop an engineering excellence program.	P.A. 97-721 (2012)	<p>House Sponsors Rep. Donald L. Moffitt - Greg Harris - Jack D. Franks - Richard Morthland - Lisa M. Dugan, Mike Bost, Timothy L. Schmitz, Carol A. Sente, Patricia R. Bellock and Sidney H. Mathias</p> <p>Senate Sponsors (Sen. Kwame Raoul)</p>
17	Department of Commerce and Economic Opportunity	<p>This 2016 mandate requires DCEO to create a website to help people wanting to create or relocate businesses in Illinois. The website must include input from a small business organization, information on State licenses/permits, application forms, local government contact information, etc. The website was supposed to be live by July 1, 2016.</p> <p>DCEO believes this mandate is unfunded and not the most effective way to assist would-be business owners in the State. They have a 2018 audit finding for noncompliance with this mandate. Many of the original sponsors are still sitting. DCEO would like the mandate made permissive.</p> <p>DCEO has spoken recently with Senator Morrison, and are amenable to fulfilling the mandate if funding is made available.</p>	Requires the Department to create and maintain a website to assist individuals wanting to create or relocate new businesses in the State.	20 ILCS 605/605-1007 – Civil Administrative Code of Illinois	This mandate as written is unduly burdensome in that there are no funds to support it and it may be outdated insofar as there are more effective ways to assist individuals wanting to create or relocate new businesses in the State. To the extent this mandate is made permissive, the Department can evaluate the best way to meet this objective in keeping with the mission to promote economic and business development and economic opportunity in the State. Finally, making the mandate permissive will resolve Audit Finding No. 2018-005. Audit Finding No. 2018-005 of Compliance Examination for the two years ending June 30, 2018: (Noncompliance with Statutory Mandates) The Department did not comply with this portion of the Civil Administrative Code.	PA 99-134	<p>Senate Sponsors Sen. Julie A. Morrison - Melinda Bush - Patricia Van Pelt - Toi W. Hutchinson, Gary Forby, Karen McConaughay, Michael E. Hastings and David Koehler</p> <p>House Sponsors (Rep. Daniel V. Beiser - Carol Sente - Katherine Cloonen - Jack D. Franks - Keith R. Wheeler, Robert W. Pritchard, Brian W. Stewart, André Thapedi, Martin J. Moylan, Anthony DeLuca, Kathleen Willis, Natalie A. Manley, Sam Yingling, Patrick J. Verschoore, Brandon W. Phelps, Lawrence Walsh, Jr., Jerry Costello, II, Mike Smiddy, Al Riley, Ed Sullivan, Michael W. Tryon, Jeanne M Ives, Reginald Phillips, Peter Breen, Steven A. Andersson, David Harris, Frank J. Mautino, Laura Fine, Elgie R. Sims, Jr., John Cavaletto, Grant Wehrli, Robyn Gabel, Randy E. Frese, Carol Ammons and Elizabeth Hernandez)</p>

	A	B	C	D	E	F	G
18	Department of Commerce and Economic Opportunity	This mandate establishes the Illinois 21st Century Workforce Development Fund Advisory Committee and makes DCEO responsible for its administration and staffing. DCEO reports that this Committee has since been replaced by the Workforce Innovation Board, however DCEO has received a 2018 audit finding for noncompliance with this section of statute. DCEO has appointed its director as a member of the committee, but the finding was for failure to ensure that the committee has met during the audit period. DCEO would like this mandate repealed.	Establishes 21st Century Workforce Development Fund Advisory Committee to provide oversight over Illinois Emergency Employment Development program.	20 ILCS 630/11 – IL Emergency Employment Development Act	This mandate is duplicative because this Committee was replaced by the Workforce Innovation Board. Convening this Committee for the sake of compliance is waste of finite government resources. Non-compliance has resulted in Audit Finding No. 2018-004. Audit Finding No. 2018-004 of Compliance Examination for the two years ending June 30, 2018: (Boards, Commissions, Committees and Councils Not Fully Staffed) The Department's Director was appointed a member of the 21st Century Workforce Development Fund Advisory Committee; however, the Department did not ensure the Committee met during examination period.	PA 97-581 (HB 2927)	House Sponsors Rep. Sidney H. Mathias - Lou Lang - Rita Mayfield - Kay Hatcher - La Shawn K. Ford and Al Riley Senate Sponsors (Sen. Michael Noland - Don Harmon)
19	Department of Commerce and Economic Opportunity	This 2004 mandate establishes the Older Adult Services Advisory Committee and requires DCEO to provide a representative. The department believes this committee is not connected to the department's mission. The department received an audit finding in 2018 for failure to appoint a liaison to the commission.	Creates the Older Adult Services Advisory Committee to advise the directors of Aging, Healthcare and Family Services, and Public Health on all matters related to this Act and the delivery of services to older adults in general. The Department's Director or designee serves as an ex officio nonvoting member.	320 ILCS 42/35(b) – Older Adult Services Act	This mandate has no connection to the mission of the Department, which is first and foremost to promote the economic and business development and economic opportunities throughout the State. This mandate does nothing to promote these goals. It is unduly burdensome for the Department to serve on Boards, Commission, Committees and Councils unrelated to its core mission and programs. This mandate resulted in Audit Finding No. 2018-004 which will remain outstanding if the Department is not relieved of this onerous (not in and of itself, but in the aggregate of Boards, Commission, Committees and Councils) burden that is not related to the mission. Audit Finding No. 2018-004 of Compliance Examination for the two years ending June 30, 2018: (Boards, Commissions, Committees and Councils Not Fully Staffed) The Department did not appoint a liaison to serve as an ex-officio nonvoting member on the Older Adult Services Advisory Committee.	PA 93-1031	
20	Department of Commerce and Economic Opportunity	This 1995 mandate requires DCEO to sit on an interagency council on bike paths. DCEO believes this council is not connected to the department's mission. DCEO received an audit finding in 2018 for failure to serve on the council. DCEO currently does send a representative to the council, but the statute specifies they must send the director of DCEO. Requesting language change to allow the director or his/her designee.	Requires the department to serve on Interagency Bikeways Council which should meet at least quarterly.	605 ILCS 30/4 – Bikeway Act	This mandate has no connection to the mission of the Department, which is first and foremost to promote the economic and business development and economic opportunities throughout the State. This mandate does nothing to promote these goals. It is unduly burdensome for the Department to serve on Boards, Commission, Committees and Councils unrelated to its core mission and programs. This mandate resulted in Audit Finding No. 2018-004 which will remain outstanding if the Department is not relieved of this onerous (not in and of itself, but in the aggregate of Boards, Commission, Committees and Councils) burden that is not related to the mission. Audit Finding No. 2018-004 of Compliance Examination for the two years ending June 30, 2018: (Boards, Commissions, Committees and Councils Not Fully Staffed) The Department did not serve on the Interagency Council on the Bikeway Program.	PA 89-337	
21	Governor's Office of Management and Budget	This section concerns quarterly reporting requirements for the FY15 interfund borrowing. The statute requires that we continue to do a quarterly report until all funds are repaid, however, statute was passed that removed the requirement to repay these funds. Therefore, we will never fulfill the requirement that allows us to stop doing the report – effectively we would have to file a blank report forever.	This section concerns quarterly reporting requirements for the FY15 interfund borrowing.	30 ILCS 105/5k(c)	The statute requires that we continue to do a quarterly report until all funds are repaid, however, statute was passed that removed the requirement to repay these funds. Therefore, we will never fulfill the requirement that allows us to stop doing the report – effectively we would have to file a blank report forever.	The interfund borrowing was authorized under PA 98-682 in 2014. The repayment requirement was removed under PA 99-523 in 2016.	PA 98-682 = SB0274 Senate Sponsors Sen. John J. Cullerton - Don Harmon House Sponsors (Rep. Michael J. Madigan - Barbara Flynn Currie)
22	Governor's Office of Management and Budget	Mandate requires that in the month of February each year, GOMB place a survey on the GOMB public website to allow residents to prioritize proposed spending measures for the next fiscal year and post the results at the end of February. This mandate is unduly burdensome in that it requires GOMB IT staff to code and place the survey on the website during the annual budget development process. This is the busiest period of time for an already stretched thin IT staff. Furthermore, records show that no member of the public has participated in the survey since 2012. The survey reflects public attitudes toward the distribution of funding across the seven statewide result areas established by BFR. However, as very little of the distribution is discretionary, the public input, even if they did participate, would have very little impact on the shape of the budget at the macro level.	Mandate requires that in the month of February each year, GOMB place a survey on the GOMB public website to allow residents to prioritize proposed spending measures for the next fiscal year and post the results at the end of February.	15 ILCS 20/50-7	This mandate is unduly burdensome in that it requires GOMB IT staff to code and place the survey on the website during the annual budget development process. This is the busiest period of time for an already stretched thin IT staff. Furthermore, records show that no member of the public has participated in the survey since 2012. The survey reflects public attitudes toward the distribution of funding across the seven statewide result areas established by BFR. However, as very little of the distribution is discretionary, the public input, even if they did participate, would have very little impact on the shape of the budget at the macro level.	This mandate was part of the BFR package when passed in 2010. The intent was to provide public input for the original BFR process, which was to have the BFR Commission propose the percentage allocations of the budget in each Result Area. The Commission across three administrations decided to take a different approach.	Sen. Kotowski, Sen. Steans
23	Governor's Office of Management and Budget	The mandate relief being sought is in reference to the Capital Spending Accountability Law, enacted as a part of the 2009 Capital Program. The Law requires that GOMB prepare a quarterly report on the status of capital projects statewide. The mandate creates a burden on the agency with regard to the current deadline in statute. The current deadline is the first day after the end of a quarter. Due to the need to collect data from agencies that have capital projects, it is impossible to produce the report with that timeline. GOMB produces the report as required by statute, but does not meet the timeline prescribed in statute. Changing the report due date from the first day after the end of the quarter to the 45th day after the end of the quarter makes the timeline achievable and makes the timeline more consistent with other reporting requirements.	The mandate relief being sought is in reference to the Capital Spending Accountability Law, enacted as a part of the 2009 Capital Program. The Law requires that GOMB prepare a quarterly report on the status of capital projects statewide.	20 ILCS 3020/805	The mandate creates a burden on the agency with regard to the current deadline in statute. The current deadline is the first day after the end of a quarter. Due to the need to collect data from agencies that have capital projects, it is impossible to produce the report with that timeline. GOMB produces the report as required by statute, but does not meet the timeline prescribed in statute. Changing the report due date from the first day after the end of the quarter to the 45th day after the end of the quarter makes the timeline achievable and makes the timeline more consistent with other reporting requirements.	The mandate was created in conjunction with the 2009 Capital Program. The Law was enacted by Public Act 096-0034 (HB0255 of the 96th General Assembly).	Senate sponsors Cullerton and Trotter. House sponsor Lang.

	H	I	J	K	L	M	N	O	P	Q
1	Agency Recommendation	Fiscal Impact	Statutory Language Change Sought	Agency Contact Name	Contact Position	Contact Email	Contact Phone	Working group recommendation	Follow up questions	Final Status
2	110 ILCS 49/15(c) should be modified to reduce the duplication of work performed by the IBHE.	Staff time to complete the mandate results in staff not being available to work on other critical projects.	Modification of 110 ILCS 49/15(c), see Word document	Bruce Bennett	Budget Officer	bennett@ibhe.org	217-557-7344	Move forward in BFR mandate process		Approved for BFR omnibus bill
3	Repeal. The statute is duplicative.	Zero Fiscal Impact	See Word document - strike a sentence	Stephanie Bess	Interim Assoc. Dire	stephanie.bess@illinois.gov	217-524-3353	Move forward in BFR mandate process	Follow up with DHS: can the USDA report be formatted in a helpful way and reported to the GA instead of the current separate report? After conversation with Adam Aldridge and DHS, Senate GOP staff are confident they can get needed expenditure info for budget process directly from DHS or from USDA website, with no need for quarterly reporting. OK to move forward.	Approved for BFR omnibus bill
4	The mandate only needs to be modified.	No annualized cost		Robin Woolery	Assistant Deputy D	Robin.Woolery@illinois.gov	312-433-8000 ext	Move forward in BFR mandate process	ISP has emailed statutory language.	Approved for BFR omnibus bill
5	Repeal. Program no longer exists.	None Known		Megan Buskirk	External Accountability Manager	Megan.Buskirk@illinois.gov	217-785-6474	Move forward in BFR mandate process		Approved for DCEO bill

	H	I	J	K	L	M	N	O	P	Q
6	Repeal. Not mission critical.	None Known		Megan Buskirk	External Accountability Manager	Megan.Buskirk@illinois.gov	217-785-6474	Needs further discussion	Further discussion with DCEO/CDB about if and by whom this is currently being done CDB response: "We have a document which is Illinois Construction-Related Statutes and Rules on our website. https://www2.illinois.gov/cdb/business/codes/Documents/Illinois_Construction-Related_Statutes_and_Rules_Directory.pdf We also are required to keep a list of all reported code adoptions by municipalities and counties throughout the State. Ray Boosinger is listed as a resource on our webpage and he helps answer questions and direct people to the correct information regarding building construction. If this covers what DCEO has also been tasked to do then I would say it is a duplication of services and they do not need to provide this service also."	Approved for DCEO bill
7	Repeal. Old program that has been replaced.	None Known		Megan Buskirk	External Accountability Manager	Megan.Buskirk@illinois.gov	217-785-6474	Move forward in BFR mandate process		Approved for DCEO bill
8	Repeal. Office never existed, and duplicative functions with WIOA.	None Known		Megan Buskirk	External Accountability Manager	Megan.Buskirk@illinois.gov	217-785-6474	DCEO to run omnibus bill with help from BFR staff		Approved for DCEO bill
9	Repeal. Additional layers of bureaucracy in workforce program.	None Known		Megan Buskirk	External Accountability Manager	Megan.Buskirk@illinois.gov	217-785-6474	DCEO to run omnibus bill with help from BFR staff		Approved for DCEO bill
10	Repeal. Commission no longer meets.	None Known		Megan Buskirk	External Accountability Manager	Megan.Buskirk@illinois.gov	217-785-6474	Move forward in BFR mandate process		Approved for DCEO bill
11	Repeal. Responsibilities have been transferred. No other statutes appear to require Office of Manpower and Human Development.	None Known		Megan Buskirk	External Accountability Manager	Megan.Buskirk@illinois.gov	217-785-6474	Move forward in BFR mandate process		Approved for DCEO bill

	H	I	J	K	L	M	N	O	P	Q
12	Repeal. No funding or staff. SEC or Civic Federation can provide assistance.	None Known		Megan Buskirk	External Accountability Manager	Megan.Buskirk@illinois.gov	217-785-6474	DCEO to run omnibus bill with help from BFR staff		Approved for DCEO bill
13	Repeal. DCEO duties implicitly subject to appropriation and there are no state funds available for such grants.	None Known		Megan Buskirk	External Accountability Manager	Megan.Buskirk@illinois.gov	217-785-6474	DCEO to run omnibus bill with help from BFR staff		Approved for DCEO bill
14	DCEO requests mandate be modified to remove the Department's requirement to participate, as council has not met since 1998.	None Known		Megan Buskirk	External Accountability Manager	Megan.Buskirk@illinois.gov	217-785-6474	Move forward in BFR mandate process	Find out if other agencies listed are also receiving findings. The council has not met since Gov. Quinn, but according to auditor general's site, DCEO is the only listed org who has received an audit finding.	Approved for DCEO bill
15	DCEO requests mandate be repealed due to lack of funding and because mandate is out of date.	None Known		Megan Buskirk	External Accountability Manager	Megan.Buskirk@illinois.gov	217-785-6475	DCEO to run omnibus bill with help from BFR staff		Approved for DCEO bill
16	DCEO requests mandate be permissive to give the Department the flexibility to create the program in the future.	None Known		Megan Buskirk	External Accountability Manager	Megan.Buskirk@illinois.gov	217-785-6476	DCEO to run omnibus bill with help from BFR staff	Warrants further discussion due to recency of mandate	Approved for DCEO bill, CONDITIONAL on favorable conversation with Leader Harris before legislation is drafted.
17	DCEO requests mandate be permissive. This task requires a large amount of resources, which without, the Department cannot comply with mandate.	None Known		Megan Buskirk	External Accountability Manager	Megan.Buskirk@illinois.gov	217-785-6478	DCEO to run omnibus bill with help from BFR staff	Warrants further discussion due to recency of mandate	Approved for DCEO bill

	H	I	J	K	L	M	N	O	P	Q
18	DCEO requests mandate be repealed as Committee was replaced by the Workforce Innovation Board.	None Known		Megan Buskirk	External Accountability Manager	Megan.Buskirk@illinois.gov	217-785-6479	Move forward in BFR mandate process		Approved for DCEO bill
19	DCEO requests mandate be modified to remove the Department's requirement to appoint a liaison to serve as an ex-officio nonvoting member.	None Known		Megan Buskirk	External Accountability Manager	Megan.Buskirk@illinois.gov	217-785-6480	DCEO to run omnibus bill with help from BFR staff		Approved for DCEO bill
20	DCEO requests mandate be modified to allow DCEO director to appoint a designee rather than attending personally.	None Known		Megan Buskirk	External Accountability Manager	Megan.Buskirk@illinois.gov	217-785-6481	DCEO to run omnibus bill with help from BFR staff		Approved for DCEO bill, as modification instead of repeal
21	Repeal this section			Curt Clemons-Mosby	Unit Director, Budgeting for Results	curt.clemonsosby@illinois.gov	217-782-0838	Move forward in BFR mandate process		Approved for BFR omnibus bill
22	Repeal this section as this the survey utilizes time and resources, without public participation to warrant the expenditure.	None	Delete section 50-7	Curt Clemons-Mosby	Unit Director, Budgeting for Results	curt.clemonsosby@illinois.gov	217-782-0838	Move forward in BFR mandate process		Approved for BFR omnibus bill
23	Extend the deadline to the 45th day after the end of the quarter to give sufficient time to prepare and present these report	None	Modify section language to 45 days after the end of the quarter.	Curt Clemons-Mosby	Unit Director, Budgeting for Results	curt.clemonsosby@illinois.gov	217-782-0838	Move forward in BFR mandate process		Approved for BFR omnibus bill

Proposed Fund Cleanup/Amendatory Items for Spring 2020 BFR Legislation

Items are numbered 'fca-xx' in sequence for reference.

<i>Item Number</i>	<i>Statutory Reference</i>	<i>Affected Fund Number</i>	<i>Affected Fund Name</i>	<i>Change and Rationale</i>	<i>Original Public Act</i>	<i>Sponsor</i>	<i>Date of Dissolution</i>	<i>Current Balance</i>
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Technical Changes

fca-1	20 ILCS 210/6	0438	Illinois State Fair Fund	This Section omits the word "Illinois" from the fund name, which is inconsistent with other references at 30 ILCS 105/5.364, at 20 ILCS 210/10, and by IOC.	P.A. 89-96	Bost	active fund	\$8,172.3
fca-2	35 ILCS 5/507DDD	0073	Special Olympics Illinois and Special Children's Charities Fund	This Section lists the fund name with the word "Checkoff", which is inconsistent with the name listed in the State Finance Act, the Illinois Lottery Law, by IOC, and in annual appropriations bills. The draft also strikes redundant language governing distributions from the fund, which are already specified in the Illinois Lottery Law. The tax checkoff generated revenue for the fund only in FY2017.	P.A. 93-292	Maloney	active fund	\$336.7
fca-3	705 ILCS 105/27.1b	0030	Supreme Court Special Purposes Fund	This Section lists the fund name with the word "Purpose" in one instance, which is inconsistent with other references in the same Section and other Sections of the Clerks of Courts Act, at 30 ILCS 105/5.844, at 805 ILCS 10/12, at 805 ILCS 180/50-45, at 805 ILCS 305/10, by IOC, and in annual appropriations bills.	P.A. 98-324 (original); P.A. 100-987 (errant Section)	Raoul; Andersson	active fund	\$6,777.4
fca-4	705 ILCS 135/15-20	0865	Domestic Violence Shelter and Service Fund	This Section lists the fund name with the word "Services", which is inconsistent with the name listed in the State Finance Act, the Domestic Violence Shelters Act, other Sections of the Criminal and Traffic Assessment Act, by IOC, and in annual appropriations bills.	P.A. 82-783 (original); P.A. 100-987 (errant Section)	Catania; Andersson	active fund	\$822.4
fca-5	730 ILCS 5/5-9-1.22	0697	Roadside Memorial Fund	This Section incorrectly cites the previous Section constituting the fund that was repealed by P.A. 100-987.	P.A. 96-667 (original); P.A. 101-10 (errant Section)	Mendoza; Steans	active fund	\$857.5

Funds That Have Run Their Course

fca-6	20 ILCS 665/4b; 30 ILCS 105/8k rep.; 235 ILCS 5/1-3.37 rep.	0530	Grape and Wine Resources Fund	The fund was effectively abolished by P.A. 93-839 and has been closed out by IOC. Other references to the fund were repealed by P.A. 99-933. Other references to the Grape and Wine Resources Council were repealed by P.A. 100-621. These changes will repeal unused statutory authority for both the fund and Council.	P.A. 90-77	Luechtefeld		#N/A
fca-7	20 ILCS 1305/10-6 rep.; 30 ILCS 105/5.748 rep.; 35 ILCS 5/507TT rep.	0777	Crisis Nursery Fund	The fund last received revenue in FY2011 and has been closed out by IOC. These changes will repeal unused statutory authority for the fund.	P.A. 96-627	Frerichs		\$0.0
fca-8	20 ILCS 2310/2310-358 rep.; 30 ILCS 105/5.599 rep.; 35 ILCS 5/507AA rep.	0061	Lou Gehrig's Disease (ALS) Research Fund	The fund last received revenue in FY2008 and has been closed out by IOC. These changes will repeal unused statutory authority for the fund.	P.A. 93-36	Schoenberg		\$0.0

Proposed Fund Cleanup/Amendatory Items for Spring 2020 BFR Legislation

Items are numbered 'fca-xx' in sequence for reference.

<i>Item Number</i>	<i>Statutory Reference</i>	<i>Affected Fund Number</i>	<i>Affected Fund Name</i>	<i>Change and Rationale</i>	<i>Original Public Act</i>	<i>Sponsor</i>	<i>Date of Dissolution</i>	<i>Current Balance</i>
fca-9	30 ILCS 105/6a; 30 ILCS 105/5.72 rep.; 30 ILCS 105/6w rep.	old # has been recycled by IOC	Cooperative Computer Center Revolving Fund	The fund last received revenue in FY1999 and has been closed out by IOC. These changes will repeal unused statutory authority for the fund. IOC has since assigned this abolished fund's old fund number to a new fund in the state treasury.	P.A. 89-4	Dillard		#N/A
fca-10	30 ILCS 105/8k rep.	0743	Statewide Economic Development Fund	The fund was effectively abolished by P.A. 93-839 and has been closed out by IOC. Other references to the fund were repealed by P.A. 100-621, P.A. 101-10, and P.A. 101-31. These changes will repeal unused statutory authority for the fund.	P.A. 92-208	Novak		#N/A
fca-11	35 ILCS 5/507BB rep.	0713	Asthma and Lung Research Fund	The fund last received revenue in FY2005 and has been closed out by IOC. These changes will repeal unused statutory authority for the fund.	P.A. 93-292	Maloney	6/29/2009	\$0.0
fca-12	35 ILCS 405/13	0815	Estate Tax Collection Distributive Fund	This fund (cited as the Transfer Tax Collection Distributive Fund) was abolished by P.A. 97-732. This change repeals the obsolete reference to the fund left over from its abolition.	P.A. 81-1105	Egan	10/18/2012	\$0.0
fca-13	305 ILCS 40/Act rep.	0348	Nursing Home Grant Assistance Fund	The Nursing Home Grant Assistance Program was active only during FY1993. The fund was effectively closed out as a result of P.A. 94-91.	P.A. 87-863	Maitland	7/1/2005	#N/A

Appendix D

2019 Comprehensive Program Assessment Reports



Budgeting for Results

Department of Juvenile Justice

Mental Health Program Report



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Introduction

The statute that created Budgeting for Results (BFR) states that in Illinois, “budgets submitted and appropriations made must adhere to a method of budgeting where priorities are justified each year according to merit” (ILCS 20/50-25). The BFR Commission, established by the same statute, has worked since 2011 to create and implement a structure for data-driven program assessment useful to decision makers. The BFR framework utilizes the Results First benefit-cost model¹ and the State Program Assessment Rating Tool to produce comprehensive assessments of state funded programs.

The Pew-MacArthur Results First Initiative developed a benefit-cost analysis model based on methods from the Washington State Institute for Public Policy (WSIPP). The Results First model can analyze programs within multiple policy domains, including: adult crime, juvenile justice, substance use disorders, K-12 and higher education, general prevention, health, and workforce development.

The State Program Assessment Rating Tool (SPART) combines both quantitative (benefit-cost results) and qualitative components in a comprehensive report. It is based on the federal Program Assessment Rating Tool (PART)² developed by the President’s Office of Management and Budget and has been modified for Illinois use. The SPART provides a universal rating classification to allow policy makers and the public to more easily compare programs and their performance across results areas.

Methods

BFR begins each assessment by examining an Illinois program’s design and assessing its implementation. Each program is then matched with an existing rigorously studied program or policy in the Results First model. BFR completes a comprehensive review of related program literature to inform the matching process.

Each rigorously studied program has an effect size determined by existing national research that summarizes the extent to which a program impacts a desired outcome. The effect size is useful in understanding the impact of a program run with fidelity to established core principles and best practices.

The Results First benefit-cost model uses the effect size combined with the state’s unique population and resource characteristics to project the optimal return on investment (OROI) that can be realized by taxpayers, victims of crime, and others in society when program goals are achieved.

The SPART contains summary program information, historical and current budgetary information, the statutory authority for the program, and performance goals and measures. The SPART tool consists of weighted questions which tally to give a program a numerical score of 1-100. Numerical scores are converted into qualitative assessments of program performance: effective, moderately effective, marginal and not effective.

¹ <https://www.pewtrusts.org/en/projects/pew-macarthur-results-first-initiative>

² <https://georgewbush-whitehouse.archives.gov/omb/performance/index.html>

Section 1

Program Overview

Program Overview – DJJ Mental Health Program

A majority of youth who enter the Illinois Department of Juvenile Justice (DJJ) need some level of mental health treatment. Mental health issues are a significant concern for DJJ because of their substantial impact on the youth’s welfare and on other outcomes of concern for the criminal justice system. There are numerous benefits to youth and their communities from the provision of mental healthcare in detention, including its role in curbing other destructive and criminal behavior.

Upon entry into DJJ custody each youth is assessed by a Mental Health Professional (MHP) and assigned a mental health level that determines the type and intensity of treatment received (see Supplemental Documentation). Most youth receive individual therapy and participate in group therapy.

In 2010 DJJ began using the Structured Psychotherapy for Adolescents Responding to Chronic Stress (SPARCS) group therapy curriculum. Most youth in DJJ custody have experienced complex trauma. The SPARCS curriculum is a cognitive-behavioral program designed to improve emotional, social, academic and behavioral functioning of adolescents exposed to chronic trauma and stress. It was specifically created for teens who have been traumatized and who continue to live with high levels of stress. Importantly for DJJ, SPARCS was chosen to help youth build skills to handle the effects of trauma without needing to disclose the nature of the trauma they experienced in a group context.

- DJJ’s comprehensive mental health program for youth in custody includes an initial assessment, individual therapy and group therapy.
- All DJJ facilities provide group therapy using the SPARCS curriculum, which is a cognitive-behavioral program for youth exposed to chronic trauma.

Recent budget appropriations for the comprehensive mental health program are presented in Table 1.

Table 1: Mental Health Program Appropriations and Expenditures by Fiscal Year (\$ thousands)

	FY 2015	FY 2016 ³	FY 2017 ³	FY 2018	FY 2019	FY 2020
Appropriated	\$6,151	\$270	\$270	\$5,502	\$5,358	\$6,107
Expended	\$5,811	\$5,679	\$4,923	\$4,693	\$5,030 ⁴	N/A

While all aspects of DJJ’s mental health program are integrated and important to improving youth outcomes, the benefit-cost analysis portion of this report focuses only on the SPARCS group therapy element. DJJ does not report appropriations or expenditures for the SPARCS therapy in isolation, but information on per-participant cost estimates can be found in Section 2 of this report.

Using national literature and program information gathered with DJJ, BFR matched the SPARCS program

³ During fiscal years 2016-2017, DJJ received only federal funds appropriations for this program due to the budget impasse. Actual expenditures were higher due to court orders.

⁴ Estimated.

with the program profile “Cognitive behavioral therapy (CBT) for juvenile offenders” in the Results First benefit-cost model. This profile is based on national research on a variety of CBT programs offered to juvenile offenders in both detention and community settings.⁵ More information on the evidence base for the SPARCS curriculum can be found in the SPART section of this report.

The major takeaways from this analysis can be found in Table 2 below along with the program’s comprehensive SPART score.

Table 2: Report Summary

DJJ SPARCS Program Report Results⁶	
Optimal Benefits	\$15,596
Real Cost (Net) per participant	\$289
Benefits – Costs (Net Present Value)	\$15,307
Benefits/Costs (OROI)	\$53.97
Chance Benefits Will Exceed Costs	94%
SPART Score	65 – Moderately Effective

This benefit-cost analysis examines the effect of SPARCS group therapy on reducing youth recidivism. It does not include potential effects of the mental health program on other outcomes of interest such as trauma symptoms or non-recidivism behavioral outcomes.

The optimal return on investment calculated by BFR on the SPARCS program determined that for every one dollar spent by DJJ, \$53.97 of future benefits from reduced crime could be realized by Illinois taxpayers and crime victims.

⁵ Further program profile and meta-analysis information available at: <https://www.wsipp.wa.gov/BenefitCost/Program/438>

⁶ The optimal benefits are the benefits the program can expect to achieve if run with fidelity to best practices or core principles. Benefits per participant are projected over fifty years after program participation. The per participant real costs of the program are the sum of its direct and indirect costs, minus the cost of treatment as usual. The benefits and the costs are discounted to present value. The benefit/cost ratio is the optimal return on investment (OROI) Illinois can expect from implementing the program with fidelity.

Section 2

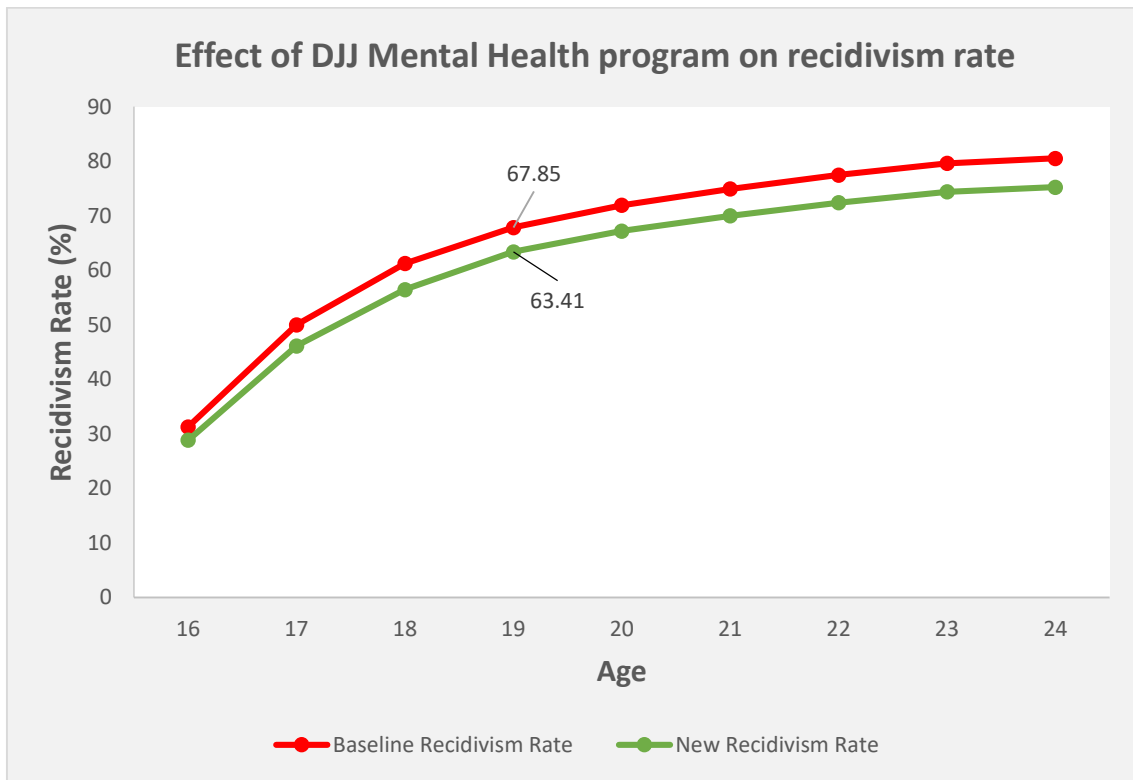
Benefit-Cost Results

Benefit-Cost Results - DJJ Mental Health Program

The Results First benefit-cost model uses the effect size determined by the program profile for “Cognitive behavioral therapy (CBT) for juvenile offenders.” The SPARCS program costs were provided by DJJ.

The standard practice in Illinois is to track youth cohorts released from DJJ in the same year and record their recidivism over the next three years. Based on national studies on juvenile offenders in CBT programs, the benefit-cost analysis predicts the three-year recidivism rate⁷ for participants in the SPARCS program to be under 64%, compared to just under 68% for the general juvenile population – a decrease of over four percentage points, as shown in *Figure 1*.

Figure 1



The baseline recidivism rate used in the benefit-cost analysis is a predicted likelihood of future adjudication after release from custody. DJJ also tracks the actual percentage of youth who return to juvenile facilities within three years of release. This percentage was 52.1% for youth released in FY 2015. It is lower than the baseline recidivism rate used in the model because it does not include youth who are sentenced as adults and sent to the Department of Corrections, or youth who are adjudicated for a new offense but not returned to detention. DJJ does not currently track SPARCS program completers who return to juvenile facilities, but plans to begin tracking this in the near future.

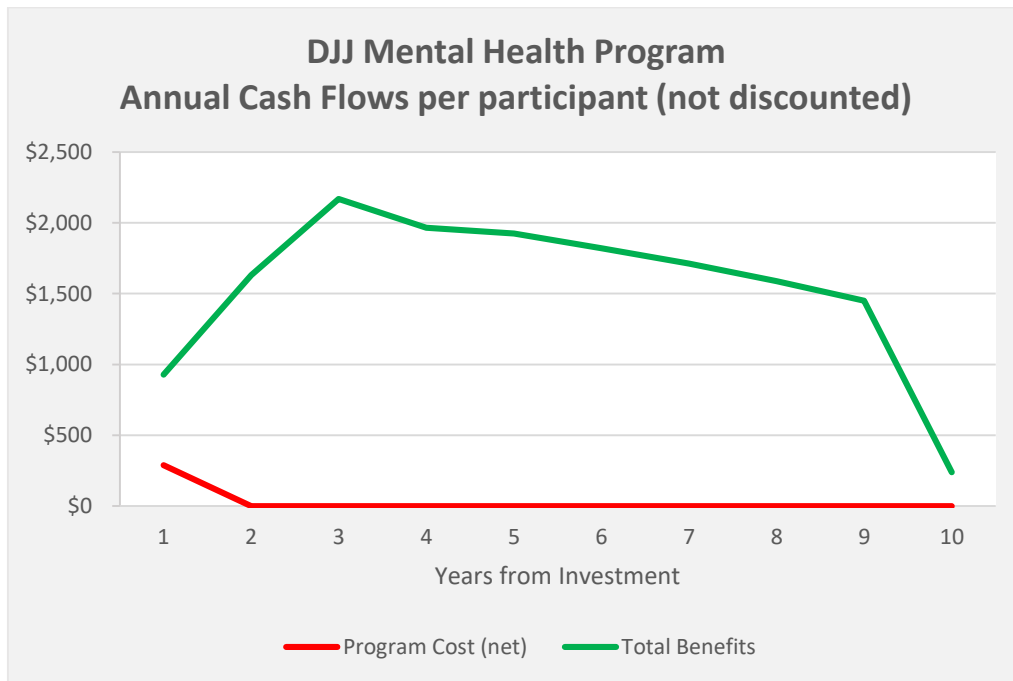
⁷ Recidivism for juveniles is defined as an adjudication after release from custody.

The annual costs and benefits for the DJJ SPARCS program can be seen below in *Figure 2*. For this program all costs are incurred in the first year while benefits accrue over time. The red line depicts annual program costs. The cost per person for the DJJ SPARCS program includes staff time and staff training. The curriculum uses journals and other materials. Journals are reused from year to year, while other materials are currently purchased out-of-pocket by program staff.

The green line shows total program benefits. As illustrated, the program benefits exceed the program costs beginning in the first year of investment. Although not depicted in *Figure 2*, BFR projected the program benefits out 50 years and found that total expected program benefits are \$15,307 when discounted to present value. Most of these benefits occur in the first ten years after program participation.

The return on investment from the benefit-cost analysis only calculates the benefits from reducing recidivism. Other benefits or costs related to mental health treatment are not included in this report. Based on additional data that will be obtained from future studies this program will be reevaluated to determine outcomes in other result areas.

Figure 2



The DJJ SPARCS program accumulates benefits over time to various groups. The benefits to Illinois are based on avoided criminal justice expenses and avoided private costs incurred as a result of fewer crime victims. The private victimization costs include lost property, medical bills, wage loss, and the pain and suffering experienced by crime victims.

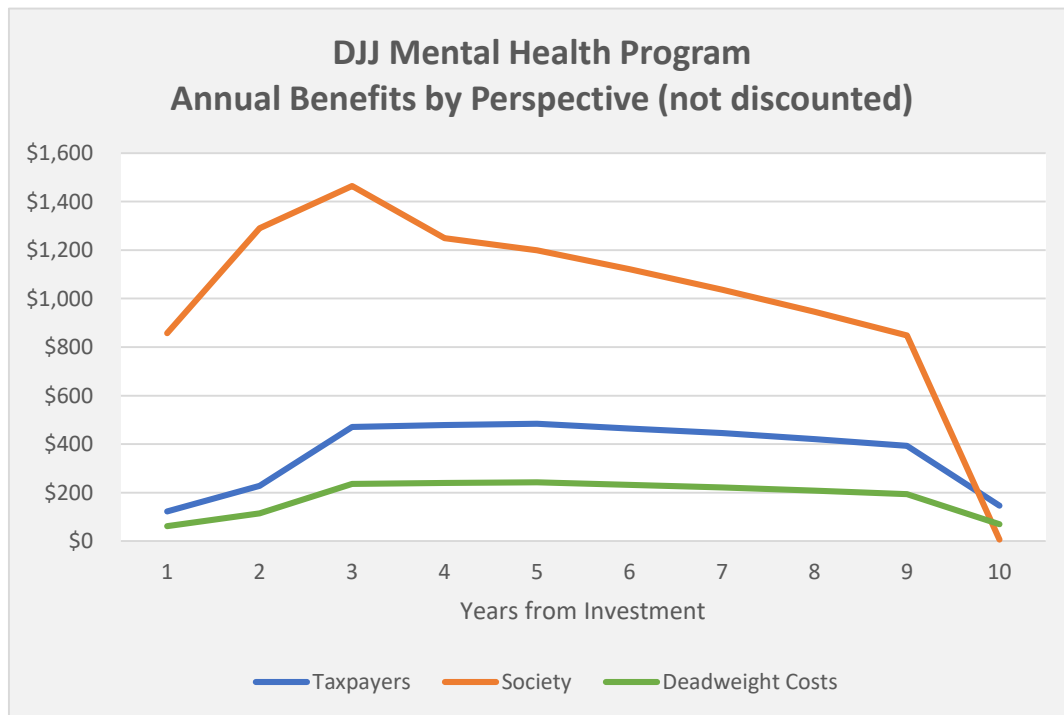
Taxpayers avoid paying for additional criminal justice system costs of arrests and processing; prosecutions, defense, and trials; and incarceration and supervision. Lower incarceration rates lead to

fewer prisoners that need to be paid for by the State. The benefits to DJJ are determined by calculating DJJ’s avoided future costs, classified as either fixed, variable or step costs. Fixed costs do not change based on the DJJ population. Variable costs change as the population increases or decreases marginally. Step costs only change once a threshold level of DJJ population numbers are reached. The costs that could be avoided by reducing recidivism are determined by calculating the fixed, variable and step costs that would change with a change in the DJJ population⁸.

Additional indirect benefits accrue to society as well. When tax revenue is spent on one program, it has an opportunity cost of revenue that cannot be spent on other beneficial programs and services like public safety or economic development. Money that is taxed is also not available for private consumption and investment. The indirect benefits of making effective, economically efficient investments to reduce criminal recidivism are quantified within the Results First model using the Deadweight Cost of Taxation. This inefficiency creates both a benefit and a cost in this model – the initial spending on the program generates a cost. Later savings for Illinois due to reduced recidivism decrease the deadweight cost of inefficient government taxation and spending. The deadweight cost of initial program spending is subtracted from indirect benefits in the first year.

Figure 3 below illustrates how benefits accumulate to different Illinois stakeholders. The majority of the benefits come from future avoided victimization costs in society. The remaining benefits come from taxpayer costs and other avoided indirect deadweight costs.

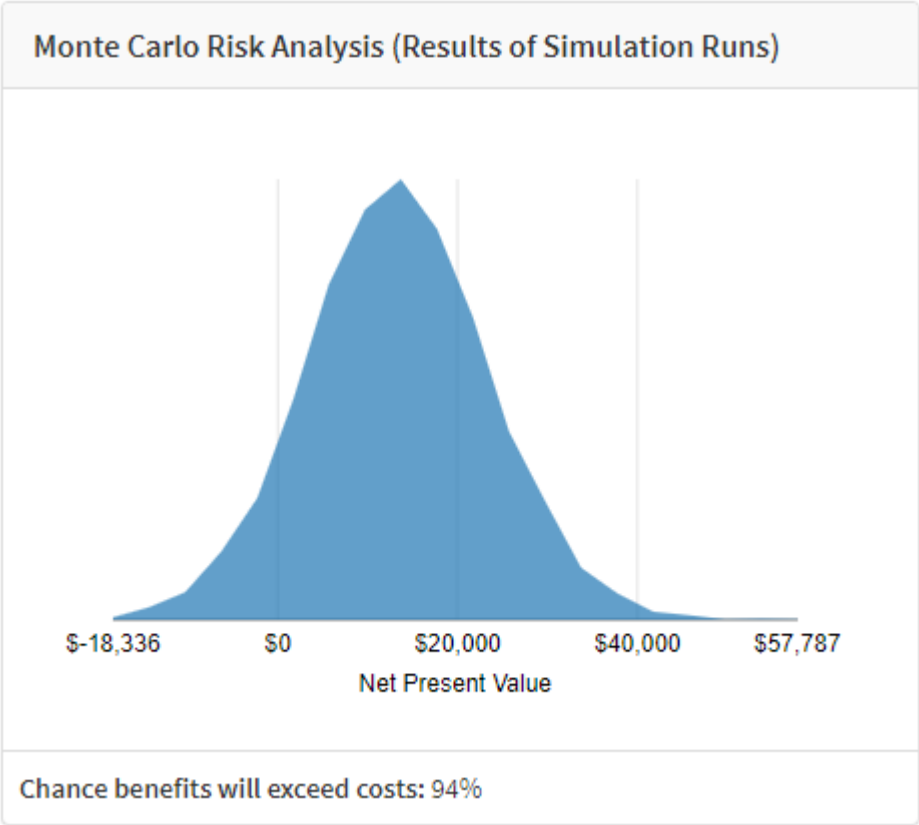
Figure 3



⁸ http://www.icjia.state.il.us/spac/pdf/Dynamic_Marginal_Costs_2018_Update.pdf

All program benefits are predictive, and there is uncertainty when forecasting future outcomes. To help account for the uncertainty, BFR runs each benefit-cost analysis 10,000 times with random variations in the costs and benefits. The histogram in *Figure 4* shows the range of OROI resulting from running the simulations. The optimal program benefits exceeded the program costs in 94 percent of the simulations.

Figure 4



Section 3

State Program Assessment Rating Tool

State Program Assessment Rating Tool (SPART)
Mental Health Program
425-Department of Juvenile Justice

This report was compiled by the Budgeting for Results Unit of the Governor’s Office of Management and Budget with the support of the Department of Juvenile Justice (DJJ). The SPART is an assessment of the performance of state agency programs. Points are awarded for each element of the program including: Program Design and Benefit-Cost and Performance Management/Measurement. This combined with benefit-cost analysis through Results First establishes an overall rating of the program’s effectiveness, which can be found on the final page of this report.

Part 1: General Information

Is this program mandated by law? Yes X No ___
Identify the origin of the law: State X Federal ___ Other ___
Statutory Cite: 730 ILCS 5/3-15-3(a)
Program Continuum Classification: Treatment, Case Identification

Evaluability

Provide a brief narrative statement on factors that impact the evaluability of this program.

The SPARCS curriculum is one part of the comprehensive mental health services provided to youth by DJJ. It is challenging to isolate the SPARCS curriculum costs and services within the holistic approach needed for successfully treating DJJ youth.

SPARCS is used to address the mental health needs of youth at all DJJ facilities. DJJ has worked with the authors of the SPARCS curriculum to adapt the length of the program to meet the varying needs of their youth. As the program continues to adapt, research is necessary to understand how well it is achieving its intended outcomes.

Key Performance Measure	FY 2013	FY 2014	FY 2015	Reported in IPRS Y/N
Overall DJJ recidivism rate (return to juvenile facilities)	58.7%	57.8%	52.1%	Y ⁹

⁹ Illinois Performance Reporting System, Department of Juvenile Justice Performance Metric Reports FY19 Quarter 3. Retrieved from <https://www2.illinois.gov/sites/budget/IPRS%20Reports/425-Juvenile%20Justice.pdf>

Part 2: Program Design and Benefit-Cost**Total Points Available: 60**

Total Points Awarded: 50

Question	Points Available	Evidence Level	Points Awarded
2.1 What is the program evidence level? - Evidence Based 25pts - Theory Informed 15 pts - Unknown Effect 0 pts - Negative Effect -5 pts (Provide core principles in narrative section)	25	Evidence Based	25

Explanation:

The SPARCS group therapy curriculum is an adaptation of three interventions that have been nationally studied: Dialectical Behavior Therapy for Adolescents, Trauma Adaptive Recovery - Group Education and Therapy (TARGET), and School-Based Trauma/Grief Group Psychotherapy Program. According to DJJ staff, SPARCS is a form of cognitive-behavioral therapy, a widely studied therapeutic approach that encompasses a variety of curriculums.

Although there is not yet sufficient rigorous evidence on the SPARCS curriculum in particular, cognitive-behavioral therapy (CBT) more generally has been studied extensively and found to be effective. The benefit-cost analysis section of this program assessment is based on national research on CBT, including a range of specific curriculums.

SPARCS was developed specifically for adolescents exposed to chronic trauma, and has been used in various settings, including juvenile justice facilities. The core principles of SPARCS align with the general best practices of juvenile justice programming. Programming is most effective when it targets the “specific needs of offenders known to be associated with criminal behavior” and when “the delivery of interventions [is] matched to their learning styles.”¹⁰

In 2006, the Illinois Department of Children and Family Services (DCFS), in partnership with Northwestern University, completed pilot tests of three evidence-based mental health treatment programs for youth who had experienced significant trauma and were wards of the state. SPARCS was piloted for youth aged 12-17. The pilot tests were not intended to establish the evidence-based nature of the treatments, but rather to analyze how well treatment programs could be successfully implemented with fidelity and could be associated with positive outcomes in a complex child welfare system.

The programs were piloted in both Chicago and other areas of Illinois to account for the unique challenges of urban and rural communities. The study concluded that all three treatment programs were “both feasible and effective.”

¹⁰ Cann, J., Falshaw, L., Nugent, F., & Friendship, C. (2003). *Understanding what works: Accredited cognitive skills programmes for adult men and young offenders* (Research Findings No. 226). London: Home Office.

According to the pilot study’s recommendations, “If the Department decides to implement any or all of these evidence-based trauma practices, such an implementation would best be accomplished within the framework of a monitoring and outcomes management environment.”¹¹

Question	Points Available	Yes/Partial/No	Points Awarded
2.2 Is the Program implemented and run with fidelity to the program design?	25	Partial	15

Explanation:

Most SPARCS groups are 16 weeks with one hour-long session per week. SPARCS therapy groups are closed. Upon entering a DJJ facility, youth must wait until there is a cohort of youth who can begin a new group together.

With the authors’ approval DJJ has been able to develop modified lesson plans depending on youth need. Youth at IYC-Chicago have at times utilized an eight-week curriculum due to shorter lengths of stay for youth at that facility. IYC-Chicago also runs a voluntary, ongoing “Mini-Mindfulness Group” that reviews mindfulness skills taught in SPARCS. Additionally, IYC-Chicago offers a SPARCS alumni group that runs eight weeks and is used to refresh the SPARCS skills for youth who have already completed the 16-week program.

Although altering the length of a program from its original design can impact program effectiveness, these changes were made in consultation with the curriculum authors and reflect a responsiveness to youth needs that is crucial to program success. There is a tension within juvenile justice best practices between the need for youth to complete programming in order to maximize benefits and the desire to release youth from detention into the community as quickly as possible, which has been shown to improve youth outcomes. Other DJJ programs such as substance use disorder treatment have also been shortened over time to accommodate shorter detention times for youth.

Staff training is another important element of program implementation. Mental health treatment is delivered by DJJ Mental Health Professionals (MHPs). Most MHPs are provided contractually by Wellpath, while others are state employees. MHPs are trained by certified SPARCS trainers approved by the curriculum authors. Trainers have been affiliated with the Adelphi University Institute for Adolescent Trauma Treatment & Training and with Mindshift Center in Quincy, Illinois. Because the SPARCS training is a six-month program, staff turnover sometimes results in SPARCS groups being run by MHPs that have been trained by other MHPs instead of a trainer approved by the curriculum authors. The author-approved training MHPs receive is not train-the-trainer oriented. Consequently, there is no mechanism to verify that MHPs have validly and effectively conveyed the principles learned at author-approved training to new MHPs, when they provide the training themselves.

¹¹ Lyons, J. S., Weiner, D. A., & Scheider, A. (2006). A field trial of three evidence-based practices for trauma with children in state custody (Report to the Illinois Department of Children and Family Services). *Evanston, IL: Mental Health Resources Services and Policy Program, Northwestern University.*

Question	Points Available	Yes/Partial/No	Points Awarded
2.3 If the program achieved full credit in question 2.2, can we expect the Optimal Return on Investment (OROI) for this program to be equal to or greater than \$1 for each \$1 spent?	10	Yes	10

Explanation:

The expected optimal return on investment from this program is \$53.97. Please see Section 2 - Benefit-Cost Results for additional information.

Part 3: Performance Management/Measurement**Total Points Available: 40**

Total Points Awarded: 15

Question	Points Available	Yes/Partial/No	Points Awarded
3.1 Does the program regularly collect timely and credible performance measures?	10	No	0

Explanation:

DJJ does not currently collect performance measures for this program. The only measure collected is the average number of youth receiving treatment. DJJ is currently working to identify and implement appropriate pre- and post-test screeners to track youth trauma symptoms, DSM diagnoses and behavioral outcomes. DJJ also intends to begin tracking how many youth complete the SPARCS curriculum, and the recidivism rate of these youth.

Question	Points Available	Yes/Partial/No	Points Awarded
3.2 Do the performance measures focus on outcomes?	10	Partial	5

Explanation:

As stated above, DJJ does not currently collect performance measures for this program. The primary outcome DJJ is seeking from its Mental Health program is the reduction of juvenile recidivism. Tracking youth who participate in and particularly who complete the SPARCS program will enable the department to track recidivism for program completers and compare it with the recidivism rate for all DJJ youth. Additionally, enhancements are being recommended to upgrade the youth data collection system, Y360, to allow better identification of program participants for correlations in data collection.

This in combination with the implementation of pre- and post-test screeners to track behavioral health outcomes will give the department valuable information on the achievement of program goals. Although the department has not yet begun collecting performance measures, the program achieves partial credit due to its concrete plans to implement measures that are specific and clearly focused on outcomes.

Question	Points Available	Yes/Partial/No	Points Awarded
3.3 Are independent and thorough evaluations of the program conducted on a regular basis or as needed to support program improvements and evaluate effectiveness?	10	No	5

Explanation:

The John Howard Association (JHA), an independent monitoring organization, produces periodic reports on each DJJ facility. The most recent reports on each facility included descriptions and commentary on the mental health treatment available, including psychotropic treatment which is beyond the scope of this report.¹²

JHA is dedicated to monitoring both adult and juvenile correctional facilities in Illinois. JHA does not specialize in mental health treatment, nor has it conducted comprehensive program evaluations of DJJ’s mental health program specifically. Therefore, a full independent evaluation of the mental health program by mental health treatment experts is recommended.

Question	Points Available	Yes/Partial/No	Points Awarded
3.4 Does the Agency use performance information (including that collected from program partners) to adjust program priorities, allocate resources, or take other appropriate management actions?	10	Yes	5

Explanation:

DJJ uses performance information to make management decisions, for example their pursuit of the 8-week version of SPARCS. This is driven by the number of youth who cannot complete the 16-week program due to having a sooner release date.

¹² See for example the *2018 Monitoring Report for IYC-Harrisburg*, available at <http://www.thejha.org/harrisburg>.

Concluding Comments

The SPARCS program was adopted by DJJ in 2010 to provide mental health treatment for youth who experienced complex trauma. The SPARCS curriculum design was adapted from three successful evidence based practices. The implementation of SPARCS has varied based on resources available, staff training and youth need. DJJ has not yet begun collecting performance measures. It is vital that the program make efforts to implement a full outcome measurement regime, as such performance measures are necessary for a full assessment of this program. The agency has specific plans to implement program performance measures that focus on outcomes, and the program administrators are commended for their commitment to this important goal.

Final Program Score and Rating

Final Score	Program Rating
65	Moderately Effective

SPART Ratings

Programs that are **PERFORMING** have ratings of Effective, Moderately Effective, or Adequate.

- **Effective.** This is the highest rating a program can achieve. Programs rated Effective set ambitious goals, achieve results, are well-managed and improve efficiency. Score 75-100
- **Moderately Effective.** In general, a program rated Moderately Effective has set ambitious goals and is well-managed. Moderately Effective programs likely need to improve their efficiency or address other problems in the programs' design or management in order to achieve better results. Score 50-74
- **Marginal.** This rating describes a program that needs to set more ambitious goals, achieve better results, improve accountability or strengthen its management practices. Score 25-49

Programs categorized as **NOT PERFORMING** have ratings of Ineffective or Results Not Demonstrated.

- **Ineffective.** Programs receiving this rating are not using your tax dollars effectively. Ineffective programs have been unable to achieve results due to a lack of clarity regarding the program's purpose or goals, poor management, or some other significant weakness. Score 0-24
- **Results Not Demonstrated.** A rating of Results Not Demonstrated (RND) indicates that a program has not been able to develop acceptable performance goals or collect data to determine whether it is performing.

Please see www.Budget.Illinois.gov for additional information.

Glossary

Best Practices: Policies or activities that have been identified through evidence-based policymaking to be most effective in achieving positive outcomes.

Evidence-Based: Systematic use of multiple, rigorous studies and evaluations which demonstrate the efficacy of the program's theory of change and theory of action.

Illinois Performance Reporting System (IPRS): The state's web-based database for collecting program performance data. The IPRS database allows agencies to report programmatic level data to the Governor's Office of Management and Budget on a regular basis.

Optimal Return on Investment (OROI): A dollar amount that expresses the present value of program benefits net of program costs that can be expected if a program is implemented with fidelity to core principles or best practices.

Outcome Measures: Outcomes describe the intended result of carrying out a program or activity. They define an event or condition that is external to the program or activity and that is of direct importance to the intended beneficiaries and/or the general public. For example, one outcome measure of a program aimed to prevent the acquisition and transmission of HIV infection is the number (reduction) of new HIV infections in the state.

Output Measures: Outputs describe the level of activity that will be provided over a period of time, including a description of the characteristics (e.g., timeliness) established as standards for the activity. Outputs refer to the internal activities of a program (i.e., the products and services delivered). For example, an output could be the percentage of warnings that occur more than 20 minutes before a tornado forms.

Program Continuum Classification: Programs are classified based on the type of service being provided: promotion, prevention, treatment or maintenance. This classification is based on a continuum of intervention developed by the Institute of Medicine (currently known as the Health and Medicine Division of the National Academies of Sciences, Engineering, and Medicine):

1. Promotion - Promotion interventions aim to enhance individuals' ability to achieve developmentally appropriate tasks (competence) and a positive sense of self-esteem, mastery, well-being, social inclusion and strengthen their ability to cope with adversity.
2. Prevention - Interventions that occur prior to the onset of a disorder that are intended to prevent or reduce risk for the disorder.
3. Treatment - Interventions targeted to individuals who are identified as currently suffering from a diagnosable disorder that are intended to cure the disorder or reduce the symptoms or effects of the disorder, including the prevention of disability, relapse, and/or comorbidity.
4. Maintenance - The provision of after-care services to the patient, including rehabilitation to assist the patient's compliance with long-term treatment to reduce relapse and recurrence.¹³

Results First Clearinghouse Database: One-stop online resource providing policymakers with an easy way to find information on the effectiveness of various interventions as rated by eight nation research clearinghouses which conduct systematic research reviews to identify which policies and interventions work.

¹³ <https://www.ncbi.nlm.nih.gov/books/NBK32789/>

Target: A quantifiable metric established by program managers or the funding entity established as a minimum threshold of performance (outcome or output) the program should attain within a specified timeframe. Program results are evaluated against the program target.

Theory Informed: A program where a lesser amount of evidence and/or rigor exists to validate the efficacy of the program's theory of change and theory of action than an evidence-based program.

Theory of Change: The central processes or drives by which a change comes about for individuals, groups and communities

Theory of Action: How programs or other interventions are constructed to activate theories of change.

Citations

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Section 4

Supplemental Materials

GENERAL INFORMATION

**Treatment
Description**

Acronym (abbreviation) for intervention: SPARCS

Average length/number of sessions: 16 sessions, 1 hour in length

Aspects of culture or group experiences that are addressed (e.g., faith/spiritual component, transportation barriers): Meaning making, which is culturally driven, is a central component of SPARCS. Therapists routinely engage group members in discussions around the ways in which trauma has impacted their lives and what it means to them in the context of their culture. See “Culture-Specific Intervention” for further detail.

Trauma type (primary): Complex Trauma, chronic interpersonal traumas.

Trauma type (secondary): Chronic non-interpersonal traumas (e.g. medical illness).

Additional descriptors (not included above): SPARCS is a manually-guided and empirically-supported group treatment designed to improve the emotional, social, academic, and behavioral functioning of adolescents exposed to chronic interpersonal trauma (such as ongoing physical abuse) and/or separate types of trauma (e.g. community violence, sexual assault). The curriculum was designed to address the needs of adolescents who may still be living with ongoing stress and may be experiencing problems in several areas of functioning including difficulties with affect regulation and impulsivity, self-perception, relationships, somatization, dissociation, numbing and avoidance, and struggles with their own purpose and meaning in life as well as worldviews that make it difficult for them to see a future for themselves. The curriculum has been successfully implemented with at-risk youth in various service systems (e.g. schools, juvenile justice, child-welfare, residential) in over a dozen states.

- **Goals of the Program:** include helping teens cope more effectively in the moment, enhancing self-efficacy, connecting with others and establishing supportive relationships, cultivating awareness, & creating meaning in their lives.
- **Youth with Complex Presentations & Histories.** SPARCS is designed to address a range of traumatic experiences and is not based on any one trauma type. The intervention is appropriate for traumatized adolescents with or without current/lifetime PTSD. Since many children and adolescents exposed to violence do not meet full criteria for PTSD, SPARCS also addresses comorbidity and impairments in functioning that stem from trauma but are not captured by a diagnosis of PTSD alone (e.g. behavior problems, delinquency, substance use).
- **Developmentally Sensitive.** SPARCS is designed to address the needs of multiply traumatized adolescents in a manner that incorporates developmental considerations specific to this age group. The manual has been specifically developed for use with adolescents and includes experiential activities that emphasize adolescents’ increased capacity for abstract thought as well as areas of development that are particularly relevant for teenagers (e.g. issues related to autonomy and identity).

GENERAL INFORMATION

<p>Target Population</p>	<ul style="list-style-type: none"> • Present-Focused. SPARCS is a present-focused intervention, and is not an exposure based model. Although there is no direct exposure component or construction of a trauma narrative, traumas are discussed in the context of how they relate to adolescents’ current behavior and to their understanding of their problems and difficulties in the here and now. • Adaptations. Adaptations are in various stages of development and have been piloted in a number of settings. Adaptations include: a 6-session Skills Training model (SPARCS-ST) for use in short-term facilities; two peer-led curricula (Taking Control for use with youth in foster care, and the RAP Club for use with adolescents with extensive exposure to community violence), SPARCS for use in individual therapy (SPARCS-I), and SPARCS Juniors (for use with children ages 9 to 11). <p>Age range: 12 to 21</p> <p>Gender: <input type="checkbox"/> Males <input type="checkbox"/> Females <input checked="" type="checkbox"/> Both</p> <p>Ethnic/Racial Group (include acculturation level/immigration/refugee history–e.g., multinational sample of Latinos, recent immigrant Cambodians, multigeneration African Americans): SPARCS has been used with ethnically diverse groups, including African American, Latino, Native American adolescents and refugee/immigrant populations.</p> <p>Language(s): Predominantly English. Groups have also been conducted in Spanish and have been adapted for use in other countries (see “Culture-Specific Information” fact sheet).</p> <p>Region (e.g., rural, urban): Urban, suburban, rural</p> <p>Other characteristics (not included above): Populations: SPARCS has also been implemented with LGBTQ youth, gang-involved youth, and with adolescents who are pregnant or parenting.</p> <p>Settings: Groups have been provided in a variety of settings including outpatient clinics, schools, group homes, boarding schools, residential treatment centers and facilities, substance abuse treatment facilities, and juvenile justice centers. SPARCS has also been implemented with adolescents in foster care and in shelters with runaway/homeless youth. It is recommended that SPARCS be implemented in settings where adolescents can remain in treatment long enough to complete the intervention. Sessions can be divided into two segments and conducted twice a week to accommodate class periods in a school setting. SPARCS has been piloted for use in settings with short lengths of stay (see “Adaptations” in “Treatment Descriptions” section above).</p>
<p>Essential Components</p>	<p>Theoretical basis: (DBT: Miller, Rathus, & Linehan, 2006), and Complex Trauma theory. The curriculum also incorporates elements from early versions of Trauma Adaptive Recovery Group Education and Therapy (TARGET: Ford & Russo, 2006), and Trauma and Grief Components Therapy (TGCT: Layne, Saltzman, Pynoos, et al., 2000).</p> <p>Key components: Mindfulness, Problem-Solving, Meaning-Making, Relationship-building/Communication Skills, Distress Tolerance and psychoeducation regarding stress, trauma, and triggers.</p>

GENERAL INFORMATION

**Clinical &
Anecdotal
Evidence**

Are you aware of any suggestion/evidence that this treatment may be harmful?

Yes No Uncertain

Extent to which cultural issues have been described in writings about this intervention (scale of 1-5 where 1=not at all to 5=all the time). 2

This intervention is being used on the basis of anecdotes and personal communications only (no writings) **that suggest its value with this group.**

Yes No

Are there any anecdotes describing satisfaction with treatment, drop-out rates (e.g., quarterly/annual reports)? Yes No

If YES, please include citation:

Briggs-King, E. & Shaw, L. (2009). Durham County ABC Board Year End Report. Unpublished Report. Center for Child & Family Health, Durham, NC.

Mental Health Services & Policy Program & Illinois Department of Children & Family Services (2008). Final evaluation of the pilot implementation of three evidence based practices for the treatment of trauma among youth in child welfare. Unpublished report.

Has this intervention been presented at scientific meetings? Yes No

If YES, please include citation(s) from last five presentations: ISTSS 2003-2011

Habib, M. (2009, April) Structured psychotherapy for adolescents responding to chronic stress (SPARCS): In C. Lanktree (Chair), *Treatment of Complex Trauma: Multiple Approaches, Practical Applications, and Cultural Adaptations*. Pre-Meeting Institute conducted at the All-Network Conference of SAMHSA's National Child Traumatic Stress Network, Orlando, FL.

Habib, M. (2010, November). A complex trauma case analysis of "James" using SPARCS (Structured Psychotherapy for Adolescents Responding to Chronic Stress): In J. Spinazzola (Chair), *Clinical Nuance in Complex Trauma Treatment: Analysis of a Single Case from the Vantage Point of Four of the Network's Leading Complex Trauma Intervention Models*. Pre-Meeting Institute conducted at the International Society for Traumatic Stress Studies, Montreal, Canada.

Tandon, D., Tucker, M., Nole, M., & Habib, M. (2011, November). *The RAP Club: A Trauma-Focused Group Delivered by Adolescent and Young Adult Peer Leaders*. Workshop conducted at the meeting of the International Society for Traumatic Stress Studies, Baltimore, MD.

Habib, M., & DeRosa, R. (2008, November). Coping and Meaning Making: Essential components for complex trauma treatment with adolescents. In K. Nader & K. Fletcher (Chairs), *Complex trauma in children and adolescents: Treatment needs and methods*. Symposium conducted at the annual meeting of the International Society for Traumatic Stress Studies, Chicago, IL.

GENERAL INFORMATION

**Clinical &
Anecdotal
Evidence continued**

Habib, M. (2011, November). An Experiential Introduction to Mindfulness and MAKE A LINK communication skills in Structured Psychotherapy for Adolescents Responding to Chronic Stress (SPARCS), a Group Treatment for Adolescents with Complex Trauma Workshop conducted at the Connecting for Children's Justice Conference, Nashville, TN.

Are there any general writings which describe the components of the intervention or how to administer it? Yes No

If YES, please include citation:

Ford, J., Blaustein, M., Cloitre, M., Habib, M., Kagan, R. (in press). Developmental Trauma Disorder-Focused Interventions for Traumatized Children and Adolescents. In: J.D. Ford & C. A. Courtois (Eds), *Treating complex traumatic stress disorders in children: An evidence-based guide*, NY: Guilford Press, p.xx-xxx.

DeRosa, R. & Pelcovitz, D. (2008). Igniting SPARCS of change: Structured psychotherapy for adolescents responding to chronic stress. In J. Ford, R. Pat-Horenczyk & D. Brom (Eds.), *Treating traumatized children: risk, resilience and recovery*, NY: Routledge.

DeRosa, R., Habib, M., Pelcovitz, D., Rathus J., Sonnenklar, J., Ford, J., Sunday, S., Layne, C., Saltzman, W., Turnbull, A., Labruna, V. & Kaplan, S. (2005). *Structured Psychotherapy for Adolescents Responding to Chronic Stress: A Treatment Guide*. Unpublished manual.

Has the intervention been replicated anywhere? Yes No

SPARCS has been replicated with foster care youth as part of a project with the Department of Children and Family Services in Illinois.

Other countries? (please list) India, Sri Lanka, Israel, Australia, Canada, Liberia

Other clinical and/or anecdotal evidence (not included above):

Generalization of skills has been noted at multiple sites and settings. Group members frequently report use of the skills outside of group and parents and clinical staff have observed that group members use the language and concepts at home, at school, or in their residence. Both boys and girls in a residential substance abuse treatment facility have identified knitting hats and blankets and donating them as ways in which they use their "Distress Tolerance" skills to self-regulate, and ways to make meaning by making a contribution to others. At another site, several gang members voluntarily sought out their group leader for additional practice with the skills they were learning in order to apply them to their specific stressors. One adolescent gave his therapist the crack pipe given to him as a gift by his mother, stating that he no longer needed it because he had learned new ways to cope. Members have asked to bring friends and family to the group and also reported that they teach the skills to others (e.g. one adolescent interrupted a fight between her sister and the sister's boyfriend and taught them to use the "Make A Link" communication skills). Group members across settings have applied affect regulation and communication skills to real-life situations and have initiated and contributed to discussions with staff and teachers about conflicts on their unit or in school.

GENERAL INFORMATION

<p>Clinical & Anecdotal Evidence continued</p>	<p>Adolescents often request additional group sessions and express dismay upon termination or when groups are cancelled. In one setting group members worked together to write a letter to administrative staff, asking to have additional sessions of group added to their program so that they did not have to terminate. In an alternative school in an urban setting where truancy is a significant problem, clinicians reported that group members who previously refused treatment, began coming to school for the sole purpose of attending group.</p> <p>Administrators, parents, and key stakeholders have shared observations regarding progress as well. Administrators in one school noted a dramatic decrease in physical confrontations between students in the school and in another school a reduction in disciplinary referrals was observed following a shortened psychoeducational adaptation of the curriculum provided for over 200 youth. Upon observing improvement in an adolescent in the juvenile justice system, one judge remarked that he is going to begin referring traumatized youth to SPARCS as an alternative to anger management.</p>	
<p>Research Evidence</p>	<p>Sample Size (N) and Breakdown <i>(by gender, ethnicity, other cultural factors)</i></p>	<p>Citation</p>
<p>Published Case Studies</p>	<p>N=1 By gender: female By ethnicity: Latina, African-American, Caucasian</p>	<p>DeRosa, R. & Pelcovitz, D. (2006). Treating traumatized adolescent mothers: a structured approach. In: N. Webb (Ed.), <i>Working with traumatized youth in child welfare</i>, NY: Guilford Press, 219-245.</p>
<p>Pilot Trials/Feasibility Trials (w/o control groups)</p>	<p>N=24 By gender: mixed By ethnicity: Latino, African-American, Caucasian, and other</p> <p>N=14 By gender: female By ethnicity: Latina, African-American, Caucasian</p> <p>N=44 By gender: mixed By ethnicity: Caucasian, African-American, Latino</p> <p>N=31 By gender: mixed By ethnicity: African-American, Caucasian, Latino</p>	<p>Habib, M., Labruna, V., & Newman, J. (manuscript submitted for publication). Complex Histories and Complex Presentations: Implementation of a Manually-Guided Group Treatment for Traumatized Adolescents. <i>Journal of Family Violence</i>.</p> <p>DeRosa, R. & Pelcovitz, D. (2006). Treating traumatized adolescent mothers: a structured approach. In: N. Webb (Ed.), <i>Working with traumatized youth in child welfare</i>, NY: Guilford Press, 219-245.</p> <p>Knoverek, A., Underwood, L., Habib, M., Briggs, E. (manuscript in preparation). <i>Feasibility and Effectiveness of an Adapted Group Treatment for Traumatized Youth</i>.</p> <p>Briggs-King, E. & Shaw, L. (2009). <i>Durham County ABC Board Year End Report</i>. Unpublished Report. Center for Child and Family Health, Durham, N.C.</p>

GENERAL INFORMATION

<p>Clinical Trials <i>(w/control groups)</i></p>	<p>N=41 By gender: mixed By ethnicity: African-American, Caucasian, Latino</p> <p>N=33 By gender: mixed By ethnicity: African-American, Caucasian, Latino</p> <p>N=42 By gender: mixed By ethnicity: predominantly African-American</p>	<p>Mental Health Services & Policy Program & Illinois Department of Children & Family Services (2008). Final evaluation of the pilot implementation of three evidence based practices for the treatment of trauma among youth in child welfare. Unpublished report.</p> <p>Weiner, D., Schneider, A., and Lyons, J. (2009) Evidence-based treatments for trauma among culturally diverse foster care youth: Treatment retention and outcomes. Children and Youth Services Review, 31, 1199-1205.</p> <p>Tandon SD, Mendelson T, Mance G. (2011). Acceptability and preliminary outcomes of a peer-led depression intervention for African American adolescents and young adults in employment training programs. Journal of Community Psychology, 39, 621-628.</p>
<p>Studies Describing Modifications</p>		<p>See Knoverek and colleagues above. See Tandon and colleagues above.</p>
<p>Other Research Evidence</p>	<p>N=184</p>	<p>Unpublished data.</p>
<p>Outcomes</p>	<p>What assessments or measures are used as part of the intervention or for research purposes, if any? The Trauma History Checklist, Youth Outcome Questionnaire – Self-Report (YOQ- SR 2.0), UCLA PTSD Reaction Index (RI), the Child & Adolescent Needs & Strengths (CANS). Additional assessments have included: the Ohio Scales, the Structured Interview for Disorders of Extreme Stress – Adolescent Version (SIDES-A), and assorted other instruments.</p> <p>If research studies have been conducted, what were the outcomes? Pilot data indicate significant improvement in overall functioning over the course of treatment (as measured by the Youth Outcome Questionnaire SR-2.0 and the UCLA PTSD Reaction Index). Specific findings include:</p> <ul style="list-style-type: none"> • Significant changes on subscales measuring conduct problems, inattention/hyperactivity, somatic complaints, high risk behaviors, and interpersonal relationships. • Significant reduction in PTSD symptoms, with improvements noted in the overall severity of posttraumatic stress symptoms, as well as scores assessing symptoms related to re-experiencing, avoidance, and hyper-arousal (Criterion B, C, and D respectively). 	

GENERAL INFORMATION

<p>Outcomes continued</p>	<p>For African-American adolescents (the primary group in the EBPP described above), youth receiving SPARCS:</p> <ul style="list-style-type: none"> • were less likely to drop out of treatment • improved significantly on the following CANS subscales: Traumatic Stress Symptom, Life Domain Functioning, and Risk Behaviors. <p>Additional pilot data summarized from a variety of sources (including analyses in unpublished reports), found:</p> <ul style="list-style-type: none"> • decreased alcohol and drug use with 75% of adolescents reporting a decrease in frequency following treatment • significant reduction in attachment difficulties and in behavior problems at school, home, and in the community • decrease in disciplinary referrals in an alternative school (analyses in progress) • significant improvement in interpersonal coping and an increase in support seeking behavior • significant decrease in depressive symptoms in youth exposed to community violence and increase in active coping strategies
<p>Implementation, Requirements & Readiness</p>	<p>Space, materials or equipment requirements?</p> <ul style="list-style-type: none"> • Manual for each group leader • Color workbook with handouts specific to each session (1 workbook per client) • Meeting room large enough to accommodate a group of 8-12 adolescents • Ability to play videos • Assorted supplies for group activities (e.g. flip chart, seltzer water, sandpaper, music). Session supply list available upon request. <p>Supervision requirements (e.g., review of taped sessions)?</p> <p>Ability to attend 80% of consultation calls. For certification only: one video or audiotaped session in which one of the core skills was implemented. In cases where it is not possible to tape a group, it may be permissible (with advance notice) to provide a tape of a “mock session” where a core skill is taught with a group of colleagues (e.g. at a staff meeting).</p> <p>To ensure successful implementation, support should be obtained from: treatment developers or certified trainers. A list of certified trainers is available upon request.</p>

GENERAL INFORMATION

Training Materials & Requirements

List citations for manuals or protocol descriptions and/or where manuals or protocol descriptions can be obtained.

DeRosa, R., Habib, M., Pelcovitz, D., Rathus J., Sonnenklar, J., Ford, J., Sunday, S., Layne, C., Saltzman, W., Turnbull, A., Labruna, V. & Kaplan, S. (2005). *Structured Psychotherapy for Adolescents Responding to Chronic Stress: A Treatment Guide*. Unpublished manual.

Habib, M., & Sonnenklar, J. (2005). *SPARCS Group Handouts for Youth*. Unpublished manual.

How/where is training obtained? Contact treatment developers for a list of certified trainers. Trainings can be conducted on-site for agencies who are interested in hosting their own Collaborative. Participants can also join an existing Collaborative that may be taking place in another part of the country. The number of trainers varies depending on the size of the training group. The trainer-participant ratio is generally small in order to allow for adequate interaction and in-vivo consultation during role-plays.

What is the cost of training?

- **Training Costs:** Cost varies depending upon a number of factors including the number of participants and location of training. Cost structure is consistent across all certified trainers and should include all elements described below in “other training materials &/or requirements”. One black and white copy of the manual and one color Youth Workbook are typically included in the cost for each training participant. Contact treatment developers for detailed training cost information.
- **Youth Workbooks Costs*:** The color Workbooks that are used with each group member can be purchased for approximately \$20 each. These are sold at cost. Pricing depends on the size of the order.
- **Manual Costs*:** Manuals can be purchased for \$75 – \$100 each (depending on printing and shipping costs). Cost includes the SPARCS clinician manual, one color workbook, and shipping and handling within the U.S. Implementing the curriculum without formal training and consultation is not encouraged as there are many concepts taught at the training that are not included in the manual and certain skills that appear self-explanatory (e.g. the LET ‘M GO problem-solving steps) require in-depth practice and coaching.

**Manuals and workbooks contain copyrighted material and should be purchased from developers.*

Are intervention materials (handouts) available in other languages?

Yes No

If YES, what languages? Many of the youth handouts are available in Spanish.

Other training materials &/or requirements (not included above):

SPARCS trainings are conducted using a “Learning Collaborative/ Community” model as this approach has been found to support successful treatment adoption and future sustainability.

GENERAL INFORMATION

**Training Materials
& Requirements
continued**

This model differs from many traditional workshops because it involves making a commitment to complete several phases of training and includes the establishment of a 6 – 12 month relationship between trainers and training participants. The training model consists of a planning phase prior to the training, minimally 4 days of training (conducted across two 2-day training sessions), consultation calls, and ongoing email/phone support and ancillary materials provided throughout the duration of the collaborative. Participation from clinical staff (2 group co-leaders), and typically a supervisor and/or administrator (both, if possible) is required for training. We find that this level of commitment is essential in creating systemic change and ensuring the sustainability and availability of this program to youth long after the training has ended.

The SPARCS training model enhances trainees’ ability to address the inevitable barriers that arise when implementing a new practice, and is designed to promote a partnership that supports sharing challenges, successes, and employing creative problem-solving strategies. “Stand-alone” trainings that take place during a single face-to-face training session typically do not include a built-in readiness phase with trainers prior to the training or a formal plan regarding consultation and support from trainers following the actual training session. The “Learning Collaborative/Community” model of training is extensive and enhances the likelihood that the intervention will fully “take off” in the agency following the training. Trainings are intended to enhance implementation efforts and promote the continuation of SPARCS groups within the agency well beyond the scope of the initial training relationship. Many of our partners have been successful in doing this, years after their collaborative has ended.

The SPARCS training package spans 6 – 12 months and includes:

Planning Phase: Consultation calls and organizational readiness work begins minimally a month prior to the first training session. During this phase SPARCS trainers partner with agencies to identify resources that are available to support a new practice, identify potential challenges and solutions, and prepare for the groups so that they are able to begin the first session almost immediately after the initial training session. Readiness work includes issues related to assessment, identifying youth for group, recruiting and orienting adolescents to the purpose of group, getting buy-in from teens, staff, administrators, parents, other caregivers, anticipating barriers to implementation and problem-solving in advance (e.g. how can the program be sustained in light of staff turnover?). During this phase, clinicians, supervisors, and administrators develop in-house SPARCS teams, complete the SPARCS Planning Worksheet as a team, and discuss their findings during conference calls with trainers.

Training Session 1: 2 full days of interactive training typically attended by clinicians, and a supervisor and/or administrator. Training sessions may include clinicians from multiple sites who will have the opportunity to learn from one another. Trainings include a balance of didactic presentations, demonstrations, role-plays, and mindfulness practice.

GENERAL INFORMATION

<p>Training Materials & Requirements continued</p>	<p>Consultation calls: Bi-weekly calls immediately after Learning Session 1. Over time, these taper down to monthly calls.</p> <p>Training Session 2: Two full days of training to occur approximately 8 weeks after the first learning session. This includes some review of concepts first learned in Training Session 1, as well as new material. At this point, clinicians will have already started their groups so will have an opportunity to bring their experiences to the training. The spacing between learning sessions is such that by the second learning session trainees will be learning new concepts/skills just prior to reaching the corresponding session of the manual.</p> <p>Administrative/Clinical support: Trainers are generally available via phone/email to problem- solve and talk about things that occur outside of the regularly scheduled calls and learning sessions. Trainers often field emails and calls ranging from small requests for materials (e.g. teen-friendly fliers for recruiting group members, fliers for community stakeholders, group supply list, recommendations for videos) to larger questions regarding implementation stumbling blocks. Each training relationship is different. Please check directly with your trainer about the scope of support to be provided.</p> <p>Summary of Training Requirements:</p> <ul style="list-style-type: none"> • Learning Collaborative participants consist of teams of at least 2 (preferably 3 individuals): 1 administrator/ supervisor and 2 clinicians. Each group is co-led. • Attendance at both full days of two separate Training Sessions. • Active participation in 80% of consultation calls. • Audio or Video-tape of one session in which a core skill is implemented (requirement for certification only). • Completion of two 16-session cycles of SPARCS groups under supervision of trainers (requirement for certification only). <p><i>* Please note: Certification can only be offered to individuals who have participated in the full training model, including minimally 4 days of training provided by certified trainers.</i></p>
<p>Pros & Cons/ Qualitative Impressions</p>	<p>What are the pros of this intervention over others for this specific group (e.g., addresses stigma re. treatment, addresses transportation barriers)?</p> <p>This treatment is appropriate for traumatized adolescents with or without current/ lifetime PTSD, and can be implemented while adolescents are still living with unstable/stressful environments. This intervention is strength-based and present focused. Discussions and activities center on enhancing resilience and helping group members identify and build upon existing strengths as opposed to focusing on the elimination of “problem behaviors”. It is based on the assumption that the adolescents’ symptoms (behavioral, interpersonal, and affective) represent their best efforts at coping with extreme stress. Group members routinely discuss and process their personal experiences throughout the group. The 16-session curriculum has been specifically designed for use with adolescents, with special consideration to the developmental tasks associated with this age group.</p>

GENERAL INFORMATION

<p>Pros & Cons/ Qualitative Impressions continued</p>	<p>As adolescents increasingly strive toward independence and autonomy from adults and caretakers, the influence of their peer group grows, making the group format of this approach especially powerful for this age group. Clinicians report that members often express feelings of validation simply upon hearing the shared stories and histories of other members. In one setting two gang-involved adolescents who had previously been involved in an altercation (outside of group) that almost resulted in an assault, later became allies when one of them disclosed witnessing domestic violence in the home, resulting in a similar disclosure by the adolescent who had initiated the altercation. As group cohesion builds, members begin to support one another more actively, and will share observations and comments in a way that holds more meaning than when done by the adult co-leaders.</p> <p>What are the cons of this intervention over others for this specific group (e.g., length of treatment, difficult to get reimbursement)?</p> <p>Intensive clinician training and consultation is required. Some agencies report difficulty retaining a sizeable group of adolescents for the duration of the intervention.</p> <p>Other qualitative impressions:</p> <p>Please see the section on “Clinical & Anecdotal Evidence” for a description of clinical impressions observed.</p>
<p>Contact Information</p>	<p>Name: Mandy Habib, Psy.D./ Victor Labruna, Ph.D.</p> <p>Address: 400 Community Dr., Manhasset, NY 11030</p> <p>Phone number: 516-562-3276 / 516-672-3859</p> <p>Email: mhabib@sparcstraining.com/vlabruna@sparcstraining.com</p> <p>Website: www.sparcstraining.com</p>
<p>References</p>	<p>DeRosa, R., Habib, M., Pelcovitz, D., Rathus, J., Sonnenklar, J., Ford, J., et al., (2006). <i>Structured Psychotherapy for Adolescents Responding to Chronic Stress</i>. Unpublished manual.</p> <p>DeRosa, R. & Pelcovitz, D. (2006). Treating traumatized adolescent mothers: a structured approach. In N. Webb (Ed.), <i>Working with traumatized youth in child welfare</i> (pp. 219-245). New York: Guilford Press.</p> <p>DeRosa, R. & Pelcovitz, D. (in press). Igniting SPARCS of change: Structured psychotherapy for adolescents responding to chronic stress. In J. Ford, R. Pat-Horenczyk & D. Brom (Eds.). <i>Treating traumatized children: risk, resilience and recovery</i>. New York: Routledge.</p> <p>Ford, J. D. & Russo, E. (2006). Trauma-focused, present-centered, emotional self-regulation approach to integrated treatment for posttraumatic stress and addiction: Trauma Adaptive Recovery Group Education and Therapy (TARGET). <i>American Journal of Psychotherapy</i>. 60, 335-355.</p> <p>Layne, C. M., Saltzman, W. R., Pynoos, R. S., & Steinberg, A. M. (2002). <i>Trauma and Grief Component Therapy</i>. New York: New York State Office of Mental Health.</p> <p>Lyons, et al. (in press). Evaluation of the implementation of three evidence-based practices to address trauma for children and youth who are wards of the State of Illinois.</p> <p>Miller, A. L., Rathus, J. H. & Linehan, M. M. (2007). <i>Dialectical Behavior Therapy with suicidal adolescents</i>. New York, NY: Guilford Press.</p>

Agency	Department Of Juvenile Justice
Program Name	Mental Health Treatment
Program Description	IDJJ is developing a more therapeutic model aimed at identifying a youth's needs on the front-end and following a defined treatment model for each youth that is less reliant on confinement and more focused on reinforcing reentry back into the community. By providing the youth with the appropriate mental and emotional tools that they need to be successful post-release, IDJJ increases the likelihood that they will become productive members in society. It is the responsibility of IDJJ to treat, educate, and rehabilitate youth within its custody.
Target Population	Youth in need of services.
Activities	The following types of programming are provided to youth in the Department of Juvenile Justice: assessments, substance abuse treatment, mental health treatment, individual and group counseling, case management, health care, education, chaplaincy, volunteer services, and leisure time services.
Goals	The Illinois Department of Juvenile Justice places a high importance on evaluating the mental health needs of the youth committed to the Department. All youth are screened by a mental health professional upon admission to any of the facilities. The Department also implements evidence-based screening and assessment tools at the Reception and Classification sites. All facilities have mental health professionals available for emergency and on-going mental health services.
Outcome	Meet the Needs of the Most Vulnerable

PROGRAM FUNDING

Appropriations (\$ thousands)		
FY18 Actual	FY19 Enacted	FY20 Recommended
270	5,358	6,106.9

MEASURES

Number of youth enrolled in mental health treatment in youth centers

Reported : Monthly **Key Indicator :** Yes **Desired Direction :** Maintain

Benchmark : Providing individualized mental health services to youth. **Source :** Monthly reports

Baseline : 444 **Baseline Date :** 7/1/2013

Methodology : Number of youth reported to receive individual mental health treatment in a given month. Numbers provided by mental health staff to Chief of Mental Health. A certain percentage of youth will be counted multiple times.

FY 2018	FY 2019	FY 2020 Est.	FY 2021 Proj.
288	247	234	

FY	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
2018	281	256	257	265	291	299	316	303	315	298	281	291
2019	264	266	231	247	244	217	243	257	251	257	247	245

Illinois Department of Juvenile Justice <i>Mental Health Protocol Manual</i>		MH-003
		Effective Date: 04/01/2016
MH	Mental Health Services	
003	Mental Health Levels	

I. AUTHORITY AND RESOURCES

730 ILCS 5/3-2.5-20
 20 Ill. Adm. Code 2415
 Administrative Directive 04.04.100 General Mental Health Provisions
 DJJ 0284 Mental Health Treatment Plan
 DJJ 0282 Mental Health Diagnostic and Treatment Note
 Mental Health Protocol Manual Sections IN-003, SA-004, MH-007
 Mental Health Needs Assessment

II. POLICY AND PROCEDURE

- A.** All youth shall be assigned a mental health level (MHL) within one week of arrival to a parent facility. The mental health levels range from zero through four. All mental health levels are indicative of individual mental health services. All MHL 0s and 1s will be reviewed as often as clinically indicated, and all MHL 2, 3, 3.5, & 4s will be reviewed at least monthly.
- B.** All individual mental health therapy sessions are expected to be at least 45 minutes in duration unless clinically contraindicated and documented in a Mental Health Treatment Plan (DJJ 0284) or on the Mental Health Diagnostic and Treatment Note (DJJ 0282).
- C.** All youth shall be seen by a mental health professional as often as clinically indicated, regardless of his or her MHL.
- D.** Mental Health Levels:
 - 1. MHL 0-None**-reflects a youth with no current noted signs or symptoms of a diagnosis from the DSM-5, excluding substance use disorders or Conduct Disorder. Youth classified as MHL 0 do not require regularly scheduled interactions with a MHP, but can be assigned to individual, group or family therapy. They typically require services as requested by either the youth or staff.
 - 2. MHL 1-Minimal Need**-reflects a youth who may or may not have a history of mental health treatment, but who is presenting with current mild signs or symptoms from the DSM-5, excluding substance use disorders or Conduct Disorder. These youth have been determined to need a minimum of 90 minutes of mental health services per month. The mental health services can include group and/or family therapy.
 - 3. MHL 2-Moderate Need**-reflects a youth who typically has a history of mental health treatment and who is currently presenting with moderate signs or symptoms from the DSM-5, excluding substance use disorders or Conduct Disorder. These youth have been determined to need weekly mental health services with a Mental Health Professional. Individual sessions need to be at least 45 minutes in length unless the reason for a shorter session is documented on DJJ 0282 MHDNT. The required weekly mental health services may include family therapy sessions.
 - 4. MHL 3-Urgent Need**- reflects a youth who typically has a significant history of mental health treatment and who currently presents with severe signs or symptoms from the DSM-5, excluding a substance use related or Conduct Disorder. All youth classified in severe need status shall be assigned to a mental health professional caseload within 48 hours of his or her arrival at the receiving youth center.

Illinois Department of Juvenile Justice
Mental Health Protocol Manual

These youths will also participate in therapeutic treatment programs, including intensive groups and milieu activities. These youth have been determined to need mental health services that occur a minimum of 2 – 3 times per week. Treatment must include at least one 45 minute individual therapy session, and other supplemental services, such as group and/or family therapy.

- 5. MHL 3.5-Critical Need**-reflects a youth who typically has a significant history of mental health treatment and who currently presents with severe signs or symptoms from the DSM-5, excluding substance use disorders or Conduct Disorder. The symptoms may be due to recent serious mental health issues and/or recent psychiatric hospitalization. All youth classified in severe need status shall be assigned to a Mental Health Professional caseload within 24 hours of his or her arrival at the receiving youth center. These youth will also participate in therapeutic treatment programs, including intensive groups and milieu activities. These youth have been determined to need mental health services a minimum of 4 - 6 times per week. Treatment must include at least one 45 minute individual therapy session, and other supplemental services, such as group and/or family therapy.
 - 6. MHL 4-Hospitalized**-reflects a youth transferred to the Department of Human Services or a mental health inpatient psychiatric hospital setting.
- E.** Upon transfer to general population status from a Reception and Classification Center, the Treatment Unit Administrator (TUA) shall document any necessary change to a youth's mental health level on the Mental Health Needs Assessment Form. The youth's treating Psychiatrist, primary Mental Health Professional, or the youth center's TUA may assign or change a youth's MHL as the youth's clinical presentation warrants. This MHL assignment or change shall be recorded in the youth data system of record and the clinical rationale for such an assignment or change shall be documented on a Juvenile Clinical Mental Health Evaluation (DJJ 0283) or a Mental Health Diagnostic and Treatment Note (DJJ 0282).
- F.** When mental health staff members are on vacation for one week or less, they can ask their assigned youth if they would like a substitute therapist for that week and assign a substitute therapist appropriately. If a staff member is gone for more than one week, he or she will need to assign a therapist to cover the assigned caseload. The TUA needs to be informed of therapists that are temporarily assigned and to which youth they are assigned.



Budgeting for Results

Illinois Department of Juvenile Justice
Substance Use Disorder Program
Program Assessment



Introduction

The statute that created Budgeting for Results (BFR) states that in Illinois, budgets submitted and appropriations made must adhere to a method of budgeting where priorities are justified each year according to merit (Public Act 96-958). The BFR Commission, established by the same statute, has worked since 2011 to create and implement a structure for data-driven program assessment useful to decision makers.

The BFR framework utilizes the Results First benefit-cost model¹ and the State Program Assessment Rating Tool to produce comprehensive assessments of state funded programs.

The Pew-MacArthur Results First Initiative developed a benefit-cost analysis model based on methods from the Washington State Institute for Public Policy (WSIPP). The Results First benefit-cost model can conduct analysis on programs within multiple policy domains including; adult crime, juvenile justice, substance use disorders, K-12 education, general prevention, health, higher education, mental health, and workforce development.

The State Program Assessment Rating Tool (SPART) combines both quantitative (benefit-cost results) and qualitative components in a comprehensive report. It is based on the federal Program Assessment Rating Tool (PART)² developed by the President's Office of Management and Budget and has been modified for state use. The SPART provides a universal rating classification to allow policy makers and the public to more easily compare programs and their performance across results areas.

Methods

BFR begins each assessment by modeling an Illinois program's design and assessing its implementation. Each program is then matched with an existing rigorously studied program or policy. BFR completes a comprehensive review of related program literature to inform the modeling and matching process.

Each rigorously studied program has an effect size determined from existing validated research that summarizes the extent to which a program impacts a desired outcome. The effect size is useful in understanding the impact of a program run with fidelity to best practices or core principles.

The Results First benefit-cost model uses the effect size combined with the state's unique population and resource characteristics to project the optimal return on investment that can be realized by taxpayers, victims of crime, and others in society when program goals are achieved.

The SPART contains summary program information, historical and current budgetary information, the statutory authority for the program, performance goals and performance measures. The SPART tool consists of weighted questions, which tally to give a program a numerical score of 1-100. Numerical scores are converted into qualitative assessments of program performance: effective, moderately effective, marginal and not effective.

¹ <https://www.pewtrusts.org/en/projects/pew-macarthur-results-first-initiative>

² <https://georgewbush-whitehouse.archives.gov/omb/performance/index.html>

Section 1

Results First Benefit-Cost Report

Benefit-Cost Summary – DJJ Substance Use Disorder Program

This is the benefit-cost analysis in the Juvenile Crime domain of the Illinois Department of Juvenile Justice (DJJ) substance use disorder (SUD) program. SUD among adolescents is a significant public safety and health issue, and specifically a significant concern for youth within the criminal justice system. There are numerous benefits to youth and their communities in reducing SUD, including its role in perpetuating other destructive behavior. Adolescents are uniquely impacted by peer dynamics and pressures that can influence substance use, and are also more vulnerable to the physical, cognitive and emotional effects of substances due to their stage of development.

The SUD Program uses a holistic approach towards treating SUD among youth in DJJ custody based on the Interactive Journaling Forward Thinking curriculum. This program is linked to several outcomes, including decreased substance abuse and increased high school graduation, however this report is only analyzing the program’s impact on DJJ’s primary outcome, a reduction in recidivism.

The DJJ SUD program was chosen to be analyzed using the Results First benefit-cost model due to the role of increasingly updated evidence and the potential impact of the program on the State of Illinois and DJJ. This benefit-cost analysis completed by BFR calculated that for every one dollar spent on the SUD Program by DJJ, \$1.06 of future benefits could be realized by Illinois taxpayers and crime victims.

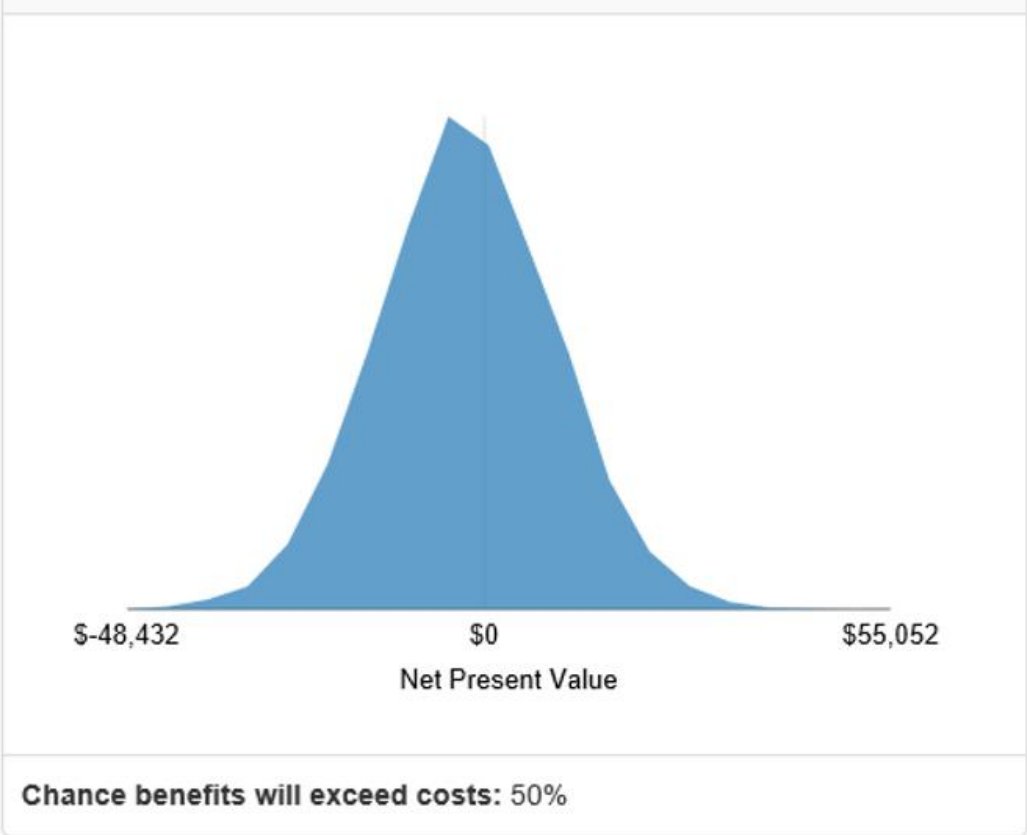
The major takeaways from this analysis can be found in Table 1 below along with its comprehensive SPART score. The optimal benefits for programs run with fidelity to best practices or core principles are determined using a standard metric called an effect size. Benefits are projected over fifty years. The real costs of a program are the sum of its direct and indirect costs. The benefits and the costs are discounted to present value. The benefit/cost ratio is the optimal return on investment (OROI) Illinois can expect from implementing the program with fidelity.

Table 1:

Benefit-Cost Results	
DJJ Substance Use Disorder Program per Participant	
Optimal Benefits	\$4,440
Real Cost (Net)³	\$4,184
Benefits – Costs (Net Present Value)	\$256
Benefits/Costs (OROI)	\$1.06
Chance Benefits Will Exceed Costs	50%
SPART Score	62, Moderately Effective

³ Cost information supplied by DJJ.

All program benefits are predictive and there is uncertainty when forecasting future outcomes. To help account for the uncertainty BFR runs each benefit-cost analysis 10,000 times with random variations in the costs and benefits. The histogram below shows the results of this risk analysis. The optimal program benefits exceeded the program costs in 50 percent of the simulations.



Benefit-Cost Detail – DJJ Substance Use Disorder Program

Program Information

Using program information gathered with DJJ, BFR identified the DJJ SUD Program as part of the broadly defined category ‘Other substance use disorder treatment for juveniles’ in the Results First benefit-cost model. This category represents the small but increasing body of literature on SUD programs for incarcerated youth. The information for the DJJ SUD Program was provided by DJJ and is described in Table 2 below. More specific program information can be found in the SPART.

Table 2:

Program Name	Program Description
Substance Use Disorder Program- IYC-Warrenville	<ul style="list-style-type: none">- Youth in the program are assessed as needing a higher level of substance use disorder treatment.- The program integrates pro-social values and skills using a cognitive behavioral approach combined with specialized substance use disorder services including life skill development, trauma informed practices and family engagement.- Average Length of stay in FY17: 62 days for successful completions- Groups occur four days per week, one hour per day. Additional one hour individual sessions occur per month.

BFR completed a literature review of programming for residential juvenile substance use disorder. The following excerpt from Chassin, et al. (2009) explains the challenges and promises in running this program:

A small but rapidly growing number of studies have shown that substance use treatment can produce statistically significant reductions in use among juvenile offenders (or in samples in which the majority but not all of the participants are juvenile offenders (e.g., Hser et al., 2001; Dennis et al., 2005; Randall & Cunningham, 2003). However, as noted by Morral, McCaffrey, and Ridgeway (2004), most studies of adolescent drug treatment examine 'research' therapies, which are theory-driven and delivered with high fidelity within tightly controlled research settings and designs. By contrast, Morral et al. (2004) note that the most common treatments that are actually received by adolescent offenders are not 'research therapies,' but rather 'community therapies,' which are delivered under non-standardized conditions by leaders who may not be highly trained (and perhaps themselves in recovery from drug Use Disorder). Moreover, these differences in treatment implementation are likely to affect outcomes. Studies have suggested that the treatment effects seen in tightly controlled efficacy trials are greatly reduced when treatment is implemented in real-world settings (Curtis et al., 2004).

Little is known about the effects of the variety of drug treatments that are typically delivered to juvenile offenders in the 'real world' rather than in the context of a treatment outcome research study. Morral et al. (2004) found that one such program was effective in reducing substance use among juvenile offenders, but was not successful in reducing their criminal offending. []

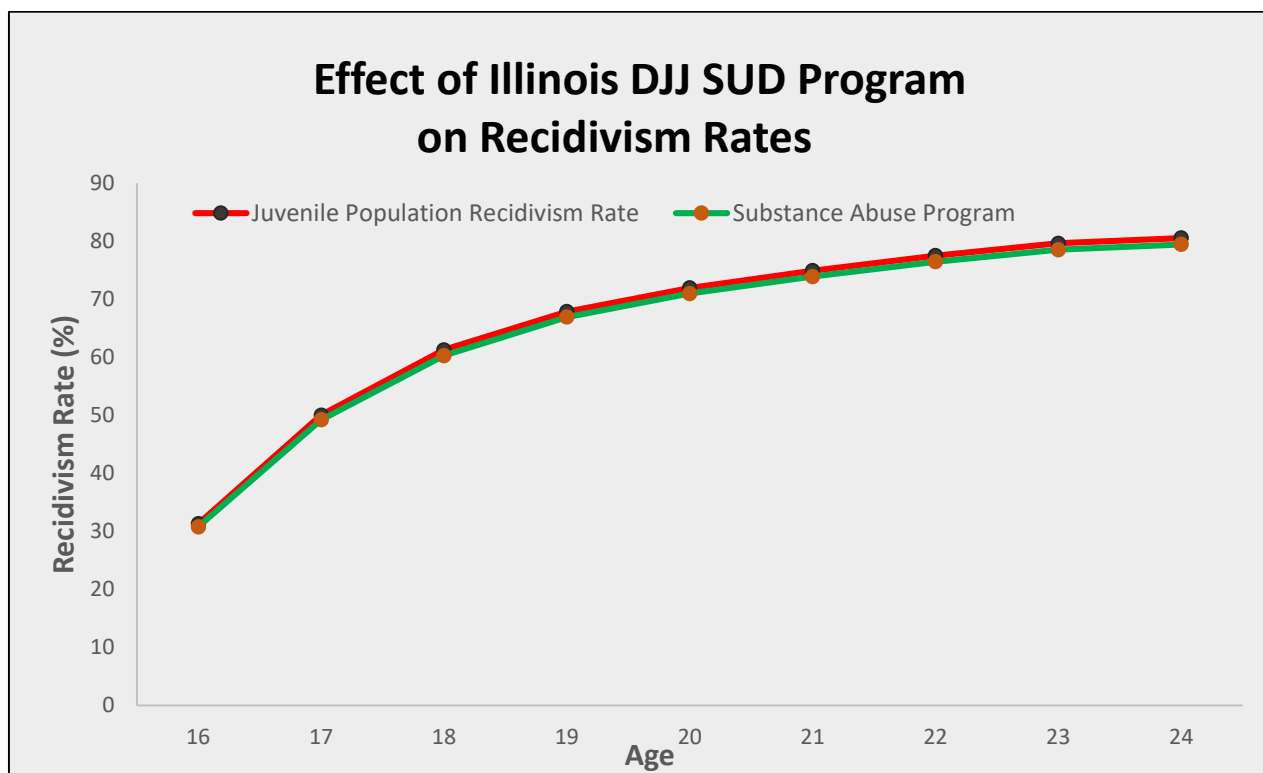
Moreover, within the adolescent drug treatment literature, different treatment approaches have shown some positive results (including cognitive behavior therapies, contingency management, multidimensional family therapy, multisystemic therapy, residential treatment and 12-step methods), but no one treatment modality has proved to be consistently superior (Dennis et al., 2005; Morral et al., 2006). Accordingly, rather than advocate for one particular treatment modality, several groups, including the National Institute on Drug Use Disorder (2006) and the American Academy of Child and Adolescent Psychiatry (Bukstein et al., 2005), have described a set of elements that are thought to define high quality treatment and thus constitute "best practices" or "quality elements" (Drug Strategies, 2005). For example, the NIDA (2006) principles of drug treatment for criminal justice populations note that treatment must last long enough to produce stable changes, and that those with severe drug problems or cooccurring disorders usually require treatment that lasts at least three months. Both the American Academy of Child and Adolescent Psychiatry standards and the Drug Strategies best practices note that substance use disorder treatment for adolescents requires family involvement.¹

¹ Chassin, L., Knight, G., Vargas-Chanes, D., Losoya, S. H., & Naranjo, D. (2009). Substance use treatment outcomes in a sample of male serious juvenile offenders. *Journal of Substance Use Disorder Treatment*, 36(2), 183-194.

Benefit-Cost Analysis- DJJ Substance Use Disorder Program

The standard in Illinois is to track youth cohorts released from DJJ in the same year and record their recidivism over the next three years. For participants in national studies on incarcerated juveniles in SUD programs, the benefit-cost analysis predicts a modest 1.5% decrease in the recidivism rate² three years from release from DJJ custody, as shown in *Figure 1*. This recidivism rate represents the decrease that can be expected from participation in a generic SUD program for youth in detention. As previously stated, there are challenges in matching the DJJ SUD program to specific evaluations in available literature.

Figure 1:



DJJ tracks the recidivism rate for participants in its own program. The SUD program as it exists currently began in 2016 at IYC – Warrenville. DJJ has provided cohort recidivism information since the program began. The DJJ recidivism rate for program participants is 27% vs the most recent three-year general population rate of 52%, a decrease of 25%. The DJJ SUD program is so far showing better results than the generic SUD research predicts.

² Recidivism for juveniles is defined as conviction after release from custody.

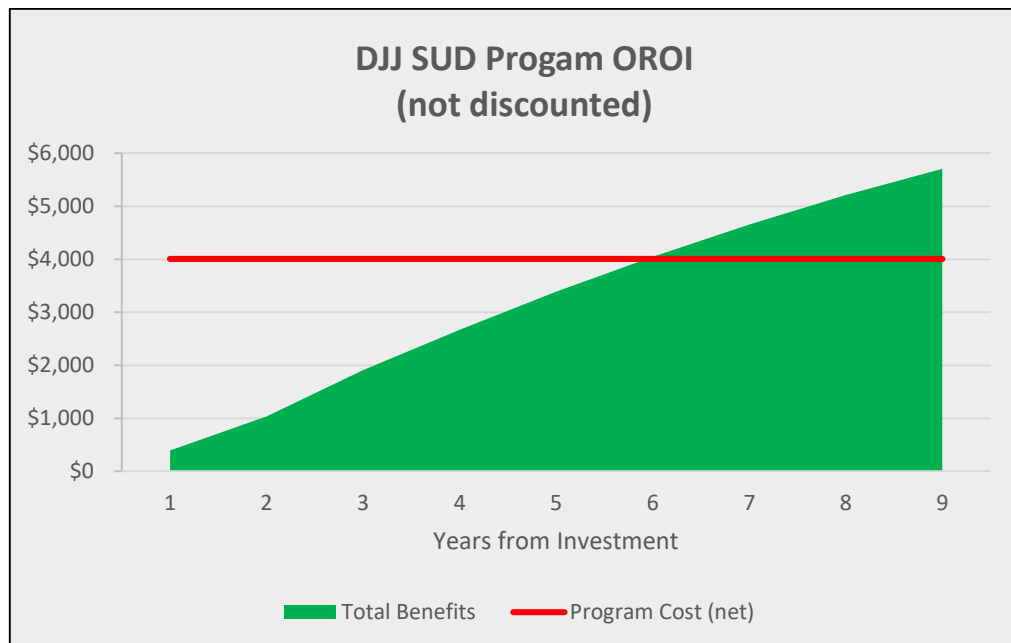
The benefits from the SUD program to DJJ come from reducing recidivism. Other benefits or costs related to substance abuse are not included in this report. The benefits are determined by calculating DJJ's avoided future costs, classified as either fixed, variable or step costs. Fixed costs do not change based on the DJJ population. Variable costs change as the population increases or decreases marginally. Step costs only change once a threshold level of DJJ population numbers are reached. The cost that could be avoided by reducing recidivism are determined by calculating the fixed, variable and step costs that would change with a change in population.

The cumulative annual costs and benefits for the DJJ SUD Program can be seen below in *Figure 2*. For this program all costs are incurred in the first year and benefits accrue over time. The red line across the graph depicts net program costs. The costs per person for the DJJ SUD program change based on the number of youth served each year. Over the 10,000 simulations BFR runs, a range of possible costs are used in order to achieve a more accurate analysis.

The green area shows how program benefits accumulate. As illustrated, the program benefits exceed the program costs beginning six years after the initial investment. The analysis indicates that over the next six years the program could recoup its investment per participant in benefits to the State and society.

The return on investment from the benefit-cost analysis only calculates the crime related outcomes. There are currently not enough studies to support a positive outcome in other result areas.

Figure 2:



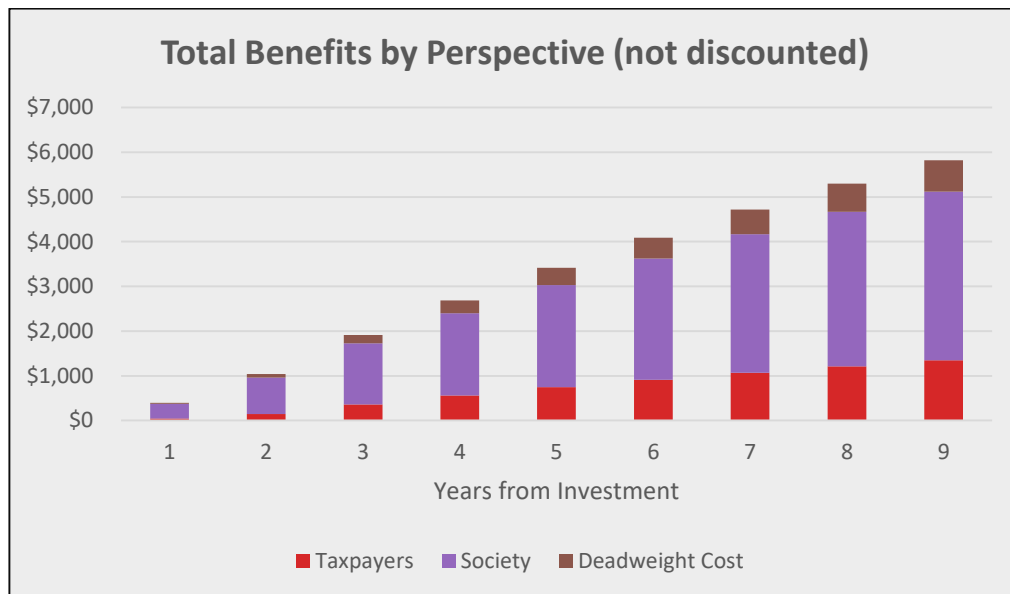
The DJJ SUD program accumulates benefits over time to various groups. The benefits to Illinois are based on avoided criminal justice expenses and avoided private costs incurred as a result of fewer crime victims. The private victimization costs include lost property, medical bills, wage loss, and the pain and suffering experienced by crime victims.

Taxpayers avoid paying for additional criminal justice system costs of arrests and processing; prosecutions, defense, and trials; and incarceration and supervision. Lower incarceration rates lead to fewer prisoners that need to be paid for by the State.

Additional indirect benefits accrue to society as well, including better use of the tax dollars that are currently raised, and future taxes that won't have to be raised to pay for avoidable costs due to recidivism. When tax revenue is spent on one program, it has an opportunity cost of revenue that cannot be spent on other beneficial programs and services like public safety or economic development. Money that is taxed is also not available for private consumption and investment. The indirect benefits of making effective, economically efficient investments to reduce criminal recidivism are quantified within the Results First model using the Deadweight Cost of Taxation.

Figure 3 below illustrates how benefits accumulate. The majority of the benefits come from future avoided victimization costs. The remaining benefits come from taxpayer costs and other avoided indirect deadweight costs.

Figure 3:



This is analysis run by BFR using the Results First benefit-cost model. Please see Budget.Illinois.gov for additional benefit-cost reports and supporting information.

Section 2

State Program Assessment Rating Tool

State Program Assessment Rating Tool (SPART)
Substance Use Disorder Treatment Program
425 – Illinois Department of Juvenile Justice

This report was compiled by the Budgeting for Results Unit of the Governor’s Office of Management and Budget with the support of the Department of Juvenile Justice (DJJ). The SPART is an assessment of the performance of state agency programs. Points are awarded for each element of the program including: Program Design and Benefit-Cost and Performance Management/Measurement. This combined with benefit-cost analysis through Results First establishes an overall rating of the program’s effectiveness, which can be found on the final page of this report.

Section 1: General Information

PY 2015	PY 2016	PY 2017	PY 2018	CY 2019	FY 2020
N/A	N/A	N/A	\$313,956	\$322,157	\$340,704

Is this program mandated by law? Yes__ No X
Identify the Origin of the law. State__ Federal____ Other____
Statutory Cite _____ n/a
Program Continuum Classification Treatment, Case Identification

Evaluability

Provide a brief narrative statement on factors that impact the evaluability of this program.

The holistic approach of DJJ programming makes isolating the effect of the SUD program difficult. There is also limited research nationally on SUD programs for juveniles in facilities, creating an obstacle to BFR when matching the effect of the DJJ SUD program to other SUD programs nationally.

Each juvenile in the custody of DJJ is given an assessment and linked to a menu of services. The dose and length of the services provided depend on the juvenile and the substance use disorder counselor. This program was designed to be flexible to meet the needs of the participant. This intentional flexibility makes determining program fidelity difficult.

Key Performance Measure	FY 2014	FY 2015	FY 2016	Reported in IPRS Y/N
SUD Program recidivism rate	NA	NA	27%	N
DJJ recidivism rate	57.8%	52.1%	NA	Y

Section 2: Program Design and Implementation

Total Points Available: 60

Total Points Awarded: 32

Question	Points Available	Yes/Partial/No	Points Awarded
2.1 Is the Program: Evidence Based 25 pts Theory Informed 15 pts Unknown Effect 0 pts Negative Effect -5 pts What are the program’s core principles?	25	Theory Informed	15

Explanation:

The substance use disorder (SUD) treatment program throughout DJJ facilities is based on the Forward Thinking curriculum from The Change Companies. The Forward Thinking curriculum is tailored to juveniles involved with the criminal justice system. The Change Companies specializes in a clinical tool called Interactive Journaling (IJ).

DJJ began using this curriculum in 2012. At the time, IJ was one of the only juvenile residential SUD programs listed in the National Registry of Evidence-based Programs and Practices (NREPP), a database run by the Substance Abuse and Mental Health Services Administration (SAMHSA). The program endorsement has been subsequently removed as it was determined additional evidence was needed to prove its outcomes. The curriculum used by DJJ before Forward Thinking was designed for adults and deemed inappropriate programming for youth.

In its format, IJ combines elements of bibliotherapy (therapeutic reading material) and therapeutic writing, both of which have been shown to have benefits for addressing a variety of mental health concerns. In its content, IJ draws on several established change theories and frameworks including Motivational Interviewing, cognitive behavioral therapy, and the Transtheoretical Model of Change. The Forward Thinking curriculum provides a set of facilitator guides with instructions for guiding youth through the journals. Suggestions for activities and additional assignments to tailor the program to the youths’ needs are also included.

There is still a need for more rigorous evidence on IJ, and in particular on the use of IJ for juvenile offenders within a SUD program. There has been one randomized controlled trial (RCT) of IJ on substance-dependent adults in a county jail, which showed significant effects in reducing recidivism (Proctor, Hoffman, and Allison, 2012). These results are especially promising given the short and unpredictable stays of the inmates and the fact that the journals were simply provided for the inmates to work through on their own, with no additional treatment or support. In two other RCTs, one of which was on adolescents, IJ performed as well as or better than a comparison treatment group, but the studies were not designed to isolate the effect of IJ specifically (Miller, 2014).

As far as the broader research on SUD programs for juvenile offenders (on which the Results First benefit-cost analysis for this program is based), no particular program or programs have emerged as more effective than others based on rigorous evidence. However, studies have indicated certain best practices that ought to be part of a successful program. In particular, longer-duration programs (90 days or more) and programs that involve participants’ families tend to be more successful. The SUD program at IYC-Warrenville lasts a minimum of 60 days, with an average completion time of 62 days. There does not appear to be any family involvement in the SUD program specifically.

Best Practices:

BFR worked with the Illinois Criminal Justice Information Authority and the Sentencing Policy Advisory Council to better understand the Best Practices for a Theory-informed incarceration-based juvenile SUD program. BFR’s initial assessment is that The Forward Thinking curriculum excels at some of these practices and needs to be supplemented in others. A complete program evaluation is beyond the scope of BFR, but is recommended for the DJJ SUD program.

Question	Points Available	Yes/Partial/No	Points Awarded
2.2 Is the Program implemented and run with fidelity to the program design?	25	Partial	12

Explanation:

The Change Company notes that the IJ facilitator program guides are designed to give program facilitators “flexibility to present Journal material according to facilitators’ own schedules and capabilities”. Conversations with program staff have indicated that DJJ’s SUD Counselors implement the Forward Thinking curriculum with varying degrees of flexibility based on the Counselor and the juvenile, both in how they guide the youth through the journals and in which journals they use or emphasize. It is not totally clear to what extent this flexibility goes beyond the scope intended by the curriculum designers.

At most DJJ facilities, youth who are in the SUD program live together in their own cottage or wing. This is not possible at IYC-Warrenville because it is a co-ed facility, which houses all female detainees in the DJJ system as well as some minimum and medium security males. For this reason, IYC-Warrenville cannot operate a full Therapeutic Community, a core component of which is a communal living arrangement for participants. Therapeutic Communities is the model of SUD treatment in use at other DJJ facilities.

Question	Points Available	Yes/Partial/No	Points Awarded
2.3 If the program achieved full credit in question 2.2, can we expect the Optimal Return on Investment (OROI) for this program to be equal to or greater than \$1 for each \$1 spent?	10	Partial	5

Explanation:

All program benefits are predictive and there is uncertainty when forecasting future outcomes. To help account for the uncertainty BFR runs each benefit-cost analysis 10,000 times with random variations in the costs and benefits. According the results for the attached benefit-cost analysis, there is a 50% chance that the optimal benefits will exceed the costs. On average, the program is expected to return \$1.06 in benefits from reducing recidivism for every dollar spent. Due to limitations of existing research, this OROI does not include any benefits that may come from other outcomes, including changes in substance use among program participants.

Section 3: Performance Management/Measurement**Total Points Available: 40**

Total Points Awarded: 20

Question	Points Available	Yes/Partial/No	Points Awarded
3.1 Does the program regularly collect timely and credible performance measures?	10	Yes	10

Explanation:

DJJ collects quarterly metrics the SUD program-specific youth recidivism rate. This is defined as the percentage of youth who complete the SUD program at IYC-Warrenville who are paroled, vacated, or discharged, and then return to DJJ or as adults to the Illinois Department of Corrections (IDOC) within three years of their release. DJJ also collects data on what percentage of these youth return for drug-related issues or charges. Because the SUD program at IYC-Warrenville has existed in its current format only since 2016, there has not yet been a cohort of youth tracked for a full three years after completing the program. The BFR Unit recommends that DJJ report these SUD program recidivism figures in IPRS as they become available. DJJ currently reports the overall youth recidivism rate as a metric under its Aftercare program.

Question	Points Available	Yes/Partial/No	Points Awarded
3.2 Do the performance measures focus on outcomes?	10	Yes	10

Explanation:

The primary outcome DJJ is seeking from its SUD program is the reduction of juvenile recidivism. The department is directly tracking its desired outcome. As stated above, it is recommended that DJJ report the recidivism data in IPRS for this program in addition to reporting the number of youth enrolled in treatment as it currently does. It is also recommended that DJJ consider whether there are other outcomes of interest, such as substance use, that could be tracked.

Question	Points Available	Yes/Partial/No	Points Awarded
3.3 Are independent and thorough evaluations of the program conducted on a regular basis or as needed to support program improvements and evaluate effectiveness?	10	No	0

Explanation:

There are no independent evaluations of DJJ's SUD program. There exists an independent watchdog, the John Howard Association, which periodically produces monitoring reports on DJJ facilities generally. Recent reports do not comment on the SUD program at IYC-Warrenville in any meaningful way.

Question	Points Available	Yes/Partial/No	Points Awarded
3.4 Does the Agency use performance information (including that collected from program partners) to adjust program priorities, allocate resources, or take other appropriate management actions?	10	Yes	10

Explanation:

Flexibility and adaptation to youth needs is a core component of the Interactive Journaling curriculum. DJJ uses information from the SUD program's Quarterly Quality Improvement Meetings to adjust program priorities, and make other appropriate management decisions, which may include additional group topics/materials, curriculum changes, program schedule changes, staff trainings, etc.

Concluding Comments

Research on the effectiveness of SUD programs for youth in detention is limited. The broad variety of SUD programs and the need for more research on how these programs work for youth in detention present challenges for an assessment of DJJ's SUD program. The most rigorous studies on SUD programs for youth in detention are inconclusive due to the difficulty in evaluating this type of program, as mentioned in the evaluability comments above. A full program evaluation of DJJ's program is therefore recommended, in line with DJJ's embrace of an agency-wide culture moving toward greater evidence-based practices.

DJJ's SUD program curriculum, Interactive Journaling, was considered evidence-based at the time of selection, but current evidence has shown a need for greater research. DJJ has made an effort to customize the program based on updated research and observations of youths' specific needs. DJJ has also begun collecting program-specific recidivism data. Although data for a full three-year cohort is not yet available for DJJ's program, the preliminary results seem to indicate that the program may be achieving lower recidivism rates than the national research would predict. BFR encourages DJJ to continue collecting data and refining program measures.

Final Program Score and Rating

Final Score	Program Rating
62	Moderately Effective

SPART Ratings

Programs that are **PERFORMING** have ratings of **Effective, Moderately Effective, or Adequate.**

- **Effective.** This is the highest rating a program can achieve. Programs rated Effective set ambitious goals, achieve results, are well-managed and improve efficiency. Score 75-100
- **Moderately Effective.** In general, a program rated Moderately Effective has set ambitious goals and is well-managed. Moderately Effective programs likely need to improve their efficiency or address other problems in the programs' design or management in order to achieve better results. Score 50-74
- **Marginal.** This rating describes a program that needs to set more ambitious goals, achieve better results, improve accountability or strengthen its management practices. Score 25-49

Programs categorized as **NOT PERFORMING** have ratings of **Ineffective or Results Not Demonstrated.**

- **Ineffective.** Programs receiving this rating are not using your tax dollars effectively. Ineffective programs have been unable to achieve results due to a lack of clarity regarding the program's purpose or goals, poor management, or some other significant weakness. Score 0-24
- **Results Not Demonstrated.** A rating of Results Not Demonstrated (RND) indicates that a program has not been able to develop acceptable performance goals or collect data to determine whether it is performing.

Glossary

Best Practices: Policies or activities that have been identified through evidence-based policymaking to be most effective in achieving positive outcomes.

Evidence-Based: Systematic use of multiple, rigorous studies and evaluations which demonstrate the efficacy of the program's theory of change and theory of action.

Illinois Performance Reporting System (IPRS): The state's web-based database for collecting program performance data. The IPRS database allows agencies to report programmatic level data to the Governor's Office of Management and Budget on a regular basis.

Outcome Measures: Outcomes describe the intended result of carrying out a program or activity. They define an event or condition that is external to the program or activity and that is of direct importance to the intended beneficiaries and/or the general public. For example, one outcome measure of a program aimed to prevent the acquisition and transmission of HIV infection is the number (reduction) of new HIV infections in the state.

Output Measures: Outputs describe the level of activity that will be provided over a period of time, including a description of the characteristics (e.g., timeliness) established as standards for the activity. Outputs refer to the internal activities of a program (i.e., the products and services delivered). For example, an output could be the percentage of warnings that occur more than 20 minutes before a tornado forms.

Program: An intervention designed to achieve an agency objective or statutory mandate.

Results First Clearinghouse Database: One-stop online resource providing policymakers with an easy way to find information on the effectiveness of various interventions as rated by eight nation research clearinghouses which conduct systematic research reviews to identify which policies and interventions work.

Target: A quantifiable metric established by program managers or the funding entity established as a minimum threshold of performance (outcome or output) the program should attain within a specified timeframe. Program results are evaluated against the program target.

Theory Informed: A program where a lesser amount of evidence and/or rigor exists to validate the efficacy of the program's theory of change and theory of action than an evidence-based program.

Theory of Change: The central processes or drives by which a change comes about for individuals, groups and communities.

Theory of Action: How programs or other interventions are constructed to activate theories of change.

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Budgeting for Results

Department of Juvenile Justice

Therapeutic Communities for Substance Use Disorder
Program Assessment



Introduction

The statute that created Budgeting for Results (BFR) states that in Illinois, budgets submitted and appropriations made must adhere to a method of budgeting where priorities are justified each year according to merit (Public Act 96-958). The BFR Commission, established by the same statute, has worked since 2011 to create and implement a structure for data-driven program assessment useful to decision makers.

The BFR framework utilizes the Results First benefit-cost model¹ and the State Program Assessment Rating Tool to produce comprehensive assessments of state funded programs.

The Pew-MacArthur Results First Initiative developed a benefit-cost analysis model based on methods from the Washington State Institute for Public Policy (WSIPP). The Results First model can analyze programs within multiple policy domains, including: adult crime, juvenile justice, substance use disorders, K-12 and higher education, general prevention, health and workforce development.

The State Program Assessment Rating Tool (SPART) combines both quantitative (benefit-cost results) and qualitative components in a comprehensive report. It is based on the federal Program Assessment Rating Tool (PART)² developed by the President's Office of Management and Budget and has been modified for Illinois use. The SPART provides a universal rating classification to allow policy makers and the public to more easily compare programs and their performance across results areas.

Methods

BFR begins each assessment by examining an Illinois program's design and assessing its implementation. Each program is then matched with an existing rigorously studied program or policy. BFR completes a comprehensive review of related program literature to inform the modeling and matching process.

Each rigorously studied program has an effect size determined from existing validated national research that summarizes the extent to which a program impacts a desired outcome. The effect size is useful in understanding the impact of a program run with fidelity to best practices or core principles.

The Results First benefit-cost model uses the effect size combined with the state's unique population and resource characteristics to project the optimal return on investment that can be realized by taxpayers, victims of crime, and others in society when program goals are achieved.

The SPART contains summary program information, historical and current budgetary information, the statutory authority for the program, and performance goals and measures. The SPART tool consists of weighted questions, which tally to give a program a numerical score of 1-100. Numerical scores are converted into qualitative assessments of program performance: effective, moderately effective, marginal and not effective.

¹ <https://www.pewtrusts.org/en/projects/pew-macarthur-results-first-initiative>

² <https://georgewebush-whitehouse.archives.gov/omb/performance/index.html>

Section 1

Results First Benefit-Cost Analysis

Benefit-Cost Summary – DJJ Therapeutic Communities Program

This is the benefit-cost analysis of the Illinois Department of Juvenile Justice (DJJ) Therapeutic Communities (TC) program. TCs are a form of residential treatment for substance use disorder (SUD) among adults or adolescents. DJJ uses TCs to treat SUD among youth in detention at four of its five facilities.³

SUD among adolescents is a significant public safety and health issue, and specifically a significant concern for youth within the criminal justice system. There are numerous benefits to youth and their communities in reducing SUD, including its role in perpetuating other destructive and criminal behavior. Adolescents are uniquely impacted by peer dynamics and pressures that can influence substance use, and are also more vulnerable to the physical, cognitive and emotional effects of substances due to their stage of development.

This report examines the effect of the DJJ TC program on reducing youth recidivism. It does not include potential effects of the TC program on other outcomes of interest, such as youth substance use. The benefit-cost analysis completed by BFR calculated that for every one dollar spent on the TC program by DJJ, \$2.52 of future benefits from reduced crime could be realized by Illinois taxpayers and crime victims.

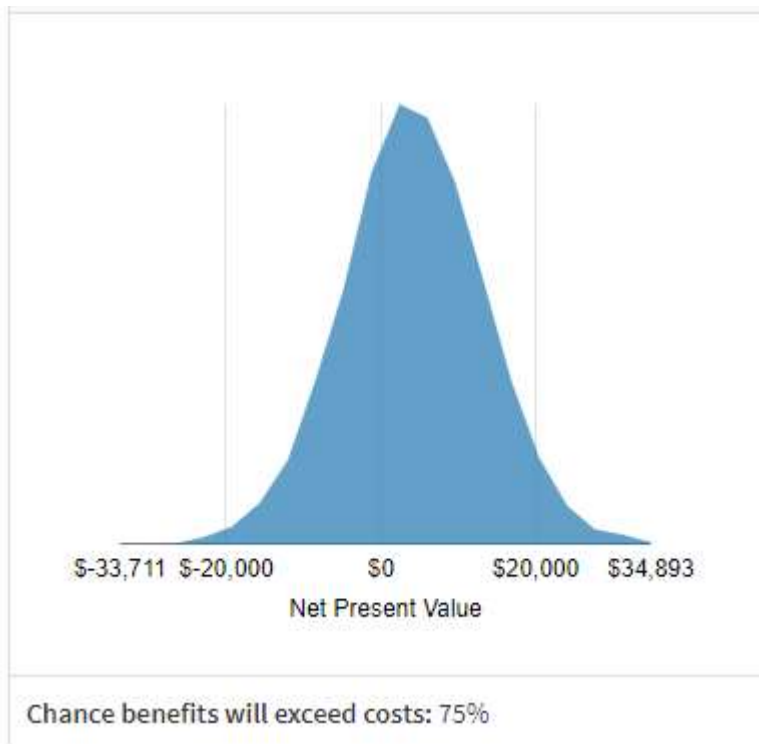
The major takeaways from this analysis can be found in Table 1 below along with the program's comprehensive SPART score. The optimal benefits are the benefits the program can expect to achieve if run with fidelity to best practices or core principles. Benefits per participant are projected over fifty years after program participation. The real costs of a program are the sum of its direct and indirect costs, net of the cost of treatment as usual. The benefits and the costs are discounted to present value. The benefit/cost ratio is the optimal return on investment (OROI) Illinois can expect from implementing the program with fidelity.

³ DJJ does not run a TC at IYC-Warrenville because IYC-Warrenville is a co-ed facility. Living together is a core component of a TC and a co-ed facility separates males and females. Therefore, the SUD program at IYC-Warrenville is assessed in a separate report.

Table 1:

Benefit-Cost Results DJJ Therapeutic Communities Program per Participant	
Optimal Benefits	\$9,945
Real Cost (Net)	\$3,941
Benefits – Costs (Net Present Value)	\$6,004
Benefits/Costs (OROI)	\$2.52
Chance Benefits Will Exceed Costs	75%
SPART Score	75 – Effective

All program benefits are predictive, and there is uncertainty when forecasting future outcomes. To help account for the uncertainty, BFR runs each benefit-cost analysis 10,000 times with random variations in the costs and benefits. The histogram below shows the results of this risk analysis. The optimal program benefits exceeded the program costs in 75 percent of the simulations.



Benefit-Cost Detail – DJJ Therapeutic Communities Program

Program Information

Using program information gathered with DJJ, BFR matched the DJJ Therapeutic Communities (TC) program with the program profile ‘Therapeutic communities for chemically dependent juvenile offenders’ in the Results First benefit-cost model. This profile is based on the small but increasing body of literature on TC programs specifically for youth involved with juvenile justice. The information for the DJJ TC program was provided by DJJ and is described in Table 2 below. More specific program information can be found in the SPART.

Table 2:

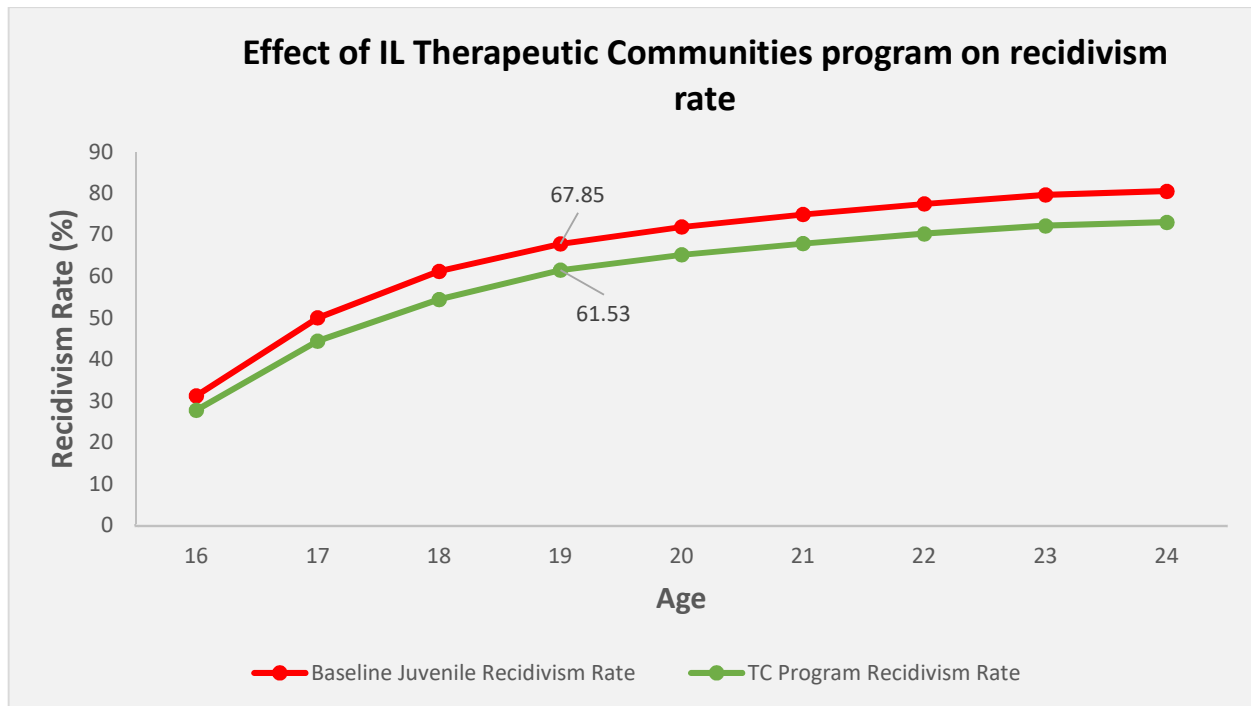
Program Name	Program Description
<p>Therapeutic Communities</p>	<ul style="list-style-type: none"> - Youth entering DJJ facilities are assessed for substance use behavior. Youth who are assessed as Level 1 or Level 2 for SUD treatment need are placed in the TC at their facility. - Youth with a Level 1 need receive a minimum of 6 hours of SUD treatment per week. Youth with a Level 2 need receive a minimum of 9 hours per week. - The SUD treatment group sessions are centered around the Forward Thinking Interactive Journaling curriculum, and integrates pro-social values and skills using a cognitive behavioral approach combined with specialized substance use disorder services - Average length of stay in FY17 ranges from 104-137 days for successful completers, depending on the facility, with a minimum of 90 days

BFR completed a literature review of programming for residential juvenile substance use disorder. The review found that juvenile justice systems across the country have been moving in recent years toward a more effective and age-appropriate model for addressing juvenile delinquency. This approach aims to minimize the time that youth spend in confinement and provide them services in the community. However, there remains a need for a population of youth to receive services while in detention. The TC model for juvenile offenders in detention is a highly structured, comprehensive intervention that contains programming on substance use, mental health, life skills and academic instruction. There has been relatively little study on detention-based TC programs for youth. The TC model has been shown by several rigorous studies to be effective as a SUD treatment program among incarcerated adults and among youth in community-based settings. For further information, see the SPART.

Benefit-Cost Analysis - DJJ Therapeutic Communities Program

The standard in Illinois is to track youth cohorts released from DJJ in the same year and record their recidivism over the next three years. Based on national studies on incarcerated juveniles in TC programs, the benefit-cost analysis predicts the three-year recidivism rate⁴ for participants in the TC program to be under 62%, compared to just under 68% for the general juvenile population – a decrease of six percentage points, as shown in *Figure 1*.

Figure 1:



DJJ also tracks the actual recidivism rate for participants in its own program. The most recent three-year recidivism rate for DJJ overall was 52.1%. From July 2015-September 2018, DJJ's four TC programs had recidivism rates ranging from 30.8-38.5% for youth who completed the program – a difference of anywhere from 13 to over 21 percentage points. This data is a promising indication that DJJ's TC program is effective even in comparison to TC programs nationally.

⁴ Recidivism for juveniles is defined as an adjudication after release from custody.

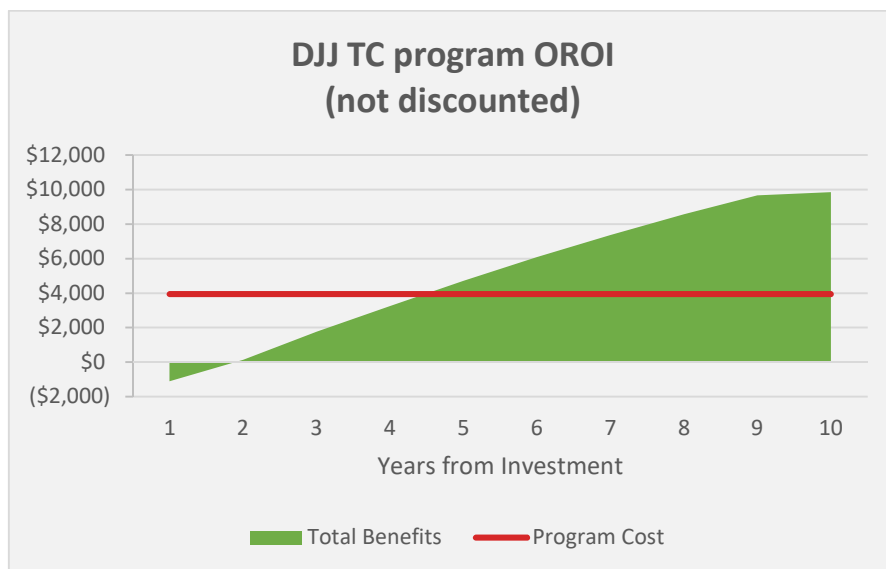
The cumulative annual costs and benefits for the DJJ TC Program can be seen below in *Figure 2*. For this program all costs are incurred in the first year, and benefits accrue over time. The red line across the graph depicts net program costs. The costs per person for the DJJ TC program change based on the number of youth served each year. Over the 10,000 simulations BFR runs, a range of possible costs are used in order to achieve a more accurate analysis.

The green area shows how program benefits accumulate. As illustrated, the program benefits exceed the program costs beginning four years after the initial investment. After ten years, the program benefits approach \$10,000, nearly \$6,000 more than the program cost. Although not depicted in *Figure 2*, BFR projected the program benefits out 50 years and found that total expected program benefits are \$9,945 when discounted to present value.

When tax revenue is spent on one program, it has an opportunity cost of revenue that cannot be spent on other beneficial programs and services like public safety or economic development. Money that is taxed is also not available for private consumption and investment. The indirect benefits of making effective, economically efficient investments to reduce criminal recidivism are quantified within the Results First model using the Deadweight Cost of Taxation. This inefficiency creates both a benefit and a cost in this model – the initial spending on the program generates a cost, shown in Year 1 below. Later savings for Illinois due to reduced recidivism decrease the deadweight cost of inefficient government taxation and spending.

The return on investment from the benefit-cost analysis only calculates the benefits from reducing recidivism. Other benefits or costs related to substance use disorder are not included in this report. Based on additional data that will be obtained from future studies, this program will be reevaluated to determine outcomes in other result areas.

Figure 2:



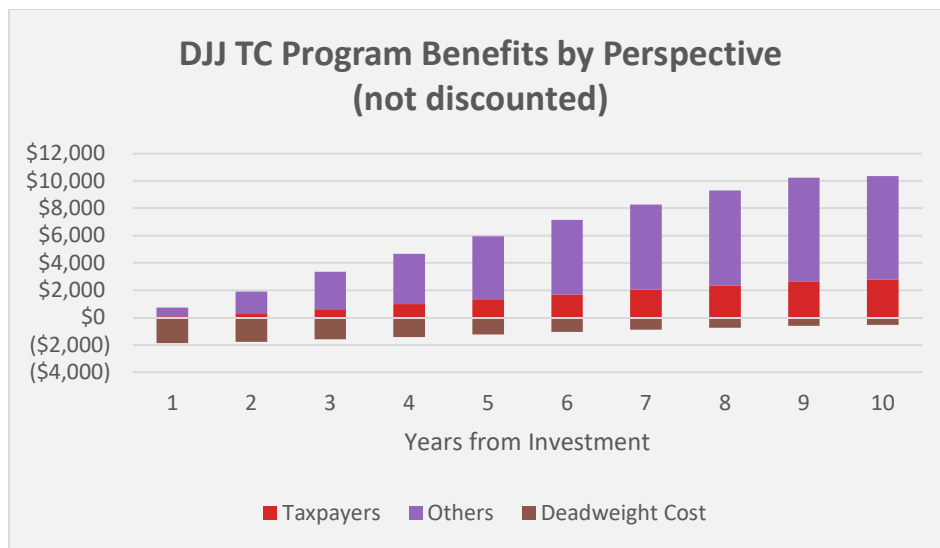
The DJJ TC program accumulates benefits over time to various groups. The benefits to Illinois are based on avoided criminal justice expenses and avoided private costs incurred as a result of fewer crime victims. The private victimization costs include lost property, medical bills, wage loss, and the pain and suffering experienced by crime victims.

Taxpayers avoid paying for additional criminal justice system costs of arrests and processing; prosecutions, defense, and trials; and incarceration and supervision. Lower incarceration rates lead to fewer prisoners that need to be paid for by the State. The benefits to DJJ are determined by calculating DJJ’s avoided future costs, classified as either fixed, variable or step costs. Fixed costs do not change based on the DJJ population. Variable costs change as the population increases or decreases marginally. Step costs only change once a threshold level of DJJ population numbers are reached. The costs that could be avoided by reducing recidivism are determined by calculating the fixed, variable and step costs that would change with a change in the DJJ population.

Additional indirect benefits accrue to society as well, including better use of current tax dollars and a reduced need for future tax revenue due to a lower recidivism rate. There are also indirect deadweight costs caused by spending tax dollars on the program. These are counted against the indirect benefits, so indirect benefits are negative for the first year of the program.

Figure 3 below illustrates how benefits accumulate to different Illinois stakeholders. The majority of the benefits come from future avoided victimization costs. The remaining benefits come from taxpayer costs and other avoided indirect deadweight costs.

Figure 3:



Section 2

State Program Assessment Rating Tool

State Program Assessment Rating Tool (SPART)
Therapeutic Communities for Substance Use Disorder (TCs)
425-Department of Juvenile Justice

This report was compiled by the Budgeting for Results Unit of the Governor’s Office of Management and Budget with the support of the Department of Juvenile Justice. The SPART is an assessment of the performance of state agency programs. Points are awarded for each element of the program including: Program Design and Benefit-Cost and Performance Management/Measurement. This combined with benefit-cost analysis through Results First establishes an overall rating of the program’s effectiveness, which can be found on the final page of this report.

Section 1: General Information

Prior Year (PY), Current Year (CY), Fiscal Year (FY) Budget (in thousands) Appropriated ___ Expended X

PY 2015	PY 2016	PY 2017	PY 2018	CY 2019	FY 2020
\$1,978	\$359	\$1,743	n/a	n/a	n/a

Is this program mandated by law? Yes ___ No X
 Identify the Origin of the law. State ___ Federal ___ Other ___
 Statutory Cite _____ N/A _____
 Program Continuum Classification _____ Treatment, Case Identification _____

Evaluability

Provide a brief narrative statement on factors that impact the evaluability of this program.

There are four DJJ facilities that run TC programs. Each facility has its own challenges based on the physical structure of the facility, logistics and the resources available. All the DJJ TCs are running the same curriculum, however due to the mentioned constraints there is inconsistency in the implementation among the four DJJ TC programs.

Additionally, there is currently limited rigorous evidence on the effectiveness of TC programs for youth in a detention setting. Most studies on TC programs for youth offenders focus on youth on parole or probation in community settings.

Key Performance Measure	FY 2013	FY 2014	FY 2015	Reported in IPRS Y/N
Therapeutic Communities recidivism rate ⁵	N/A	N/A	34% ⁶	N
Overall DJJ recidivism rate	58.7%	57.8%	52.1%	Y

⁵ DJJ collects standard recidivism rates in annually discharged cohorts tracked for three years.

⁶ Weighted average of recidivism rates for each facility running a TC program.

Section 2: Program Design and Benefit-Cost

Total Points Available: 60
Total Points Awarded: 40

Question	Points Available	Evidence Level	Points Awarded
2.1 What is the program evidence level? - Evidence Based 25pts - Theory Informed 15 pts - Unknown Effect 0 pts - Negative Effect -5 pts (Provide core principles in narrative section)	25	Theory Informed	15

Explanation: DJJ runs therapeutic communities (TCs) at 4 of their 5 facilities. TCs are a form of intensive, residential substance use disorder (SUD) treatment. TCs are highly structured interventions where participants spend large portions of their waking hours in structured programming and activities. This routine contains programming on substance use, mental health, life skills training and academic instruction. The organizational structure of the community is hierarchical, with participants taking on different jobs and roles and gaining responsibility as they advance through the program. TCs emphasize peer relationships and both personal and group accountability for substance use behaviors.

Among SUD treatment programs for incarcerated individuals, TCs show the “most consistent evidence of treatment effectiveness” (Mitchell, 2012). However, most research on TCs has focused on programs for adults. The evidence on TCs’ effectiveness for juveniles is mixed. Additionally, while TC programs typically are at least 6 months in duration, research indicates that juveniles have better outcomes overall when their time in detention is minimized.

Evidence indicates that a TC may be an effective program when compared to other ways of treating youth in detention. However, evidence also indicates that youth may be better served by being released more quickly and referred to treatment in the community. DJJ understands these challenges and is working to innovate and develop solutions.

Question	Points Available	Yes/Partial/No	Points Awarded
2.2 Is the Program implemented and run with fidelity to the program design?	25	Partial	15

Explanation: DJJ’s therapeutic communities program is implemented at four of their five facilities: IYC-Chicago, IYC-Harrisburg, IYC-Pere Marquette, and IYC-St. Charles. All youth at IYC-Pere Marquette participate in SUD programming, so the facility as a whole can be labeled a therapeutic community. At IYC-Chicago, IYC-Harrisburg and IYC-St. Charles, youth participating in SUD programming are housed together in a dedicated unit which can be considered the therapeutic community. The fifth facility, IYC-Warrenville, also offers SUD programming, but because the SUD program participants at Warrenville are not in a dedicated housing unit, DJJ does not consider the Warrenville program a TC. The SUD program at IYC-Warrenville is discussed in a separate BFR report available at www.Budget.Illinois.gov.

The implementation of the TC program varies somewhat among DJJ facilities. All facilities use a variation of the Forward Thinking Interactive Journaling curriculum, from the Change Companies, as part of the SUD programming. The curriculum is designed to be modular and to be used flexibly according to youths’ needs. Consistent with standard TC program philosophy, the Forward Thinking curriculum takes a holistic cognitive-behavioral approach to addressing youths’ thought patterns and coping skills, in addition to addressing substance-using behavior directly.

DJJ’s TC program is designed to last 90 days, with actual average length of stay ranging from 104-137 days per youth depending on the facility. DJJ’s TC utilizes a short program duration compared to most TCs. As discussed above, this duration is supported by evidence that shorter detention stays overall have been shown to have better outcomes for youth offenders. Additionally, DJJ has a statutory mandate to place youth in the least restrictive environment possible (705 ILCS 405/5-750)⁷.

In addition to communal housing and SUD programming, another central component of a TC is a highly structured daily routine including education, other programming, and social and recreational activities. The amount of time DJJ youth spend in education, other programming and activities varies widely between DJJ facilities. BFR was able to conduct a site visit to IYC-Pere Marquette, which is a small, minimum-security step-down facility where all youth participate in the TC program. IYC-Pere Marquette offers a wide variety of programming and educational opportunities for the youth, including off-site trips. Youth reported spending only about an hour of waking time in their cells per day. In contrast, other DJJ facilities utilize varying amounts of out-of-confinement time as confirmed by independent monitoring reports⁸. IYC-Chicago and IYC-St. Charles attribute youth confinement schedules to low staffing levels and youth behavioral problems.

⁷ Available at: <http://www.ilga.gov/legislation/ilcs/fulltext.asp?DocName=070504050K5-750>

⁸ Available through the John Howard Association at: <https://www.thejha.org/youthfacilities>

Question	Points Available	Yes/Partial/No	Points Awarded
2.3 If the program achieved full credit in question 2.2, can we expect the Optimal Return on Investment (OROI) for this program to be equal to or greater than \$1 for each \$1 spent?	10	Yes	10

Explanation:

The DJJ TC program is using available evidence to implement best practices and follow state law. The expected optimal return on investment from this program is \$2.52. Please see the attached benefit-cost report for additional information.

Section 3: Performance Management/Measurement

Total Points Available: 40
Total Points Awarded: 35

Question	Points Available	Yes/Partial/No	Points Awarded
3.1 Does the program regularly collect timely and credible performance measures?	10	Yes	10

Explanation: DJJ collects quarterly metrics on the youth recidivism rate for each of its facilities, as well as the recidivism rate for youth in the Therapeutic Communities program specifically. This is defined as the percentage of youth who complete the Therapeutic Communities program and are paroled, vacated, or discharged, and then return to DJJ or as adults to the Illinois Department of Corrections (IDOC) within three years of their release. DJJ also collects data on what percentage of these youth return for drug-related issues or charges.

The BFR Unit recommends that DJJ report these Therapeutic Communities program recidivism figures in IPRS. DJJ currently reports the overall youth recidivism rate as a metric under its Aftercare program, but does not report the Therapeutic Communities program-specific rate⁹.

Question	Points Available	Yes/Partial/No	Points Awarded
3.2 Do the performance measures focus on outcomes?	10	Yes	10

Explanation: The primary outcome DJJ is seeking from its Therapeutic Communities program is the reduction of juvenile recidivism. The department is directly tracking its desired outcome.

As stated above, it is recommended that DJJ report the recidivism data in IPRS for this program in addition to reporting the number of youth enrolled in Substance Use Disorder treatment (both Therapeutic Communities and other) as it currently does. It is also recommended that DJJ consider whether there are other outcomes of interest, such as substance use, that could be tracked.

⁹ See the most recent DJJ IPRS report at: https://www2.illinois.gov/sites/budget/IPRS%20Reports/425-Juvenile_Justice.pdf

Question	Points Available	Yes/Partial/No	Points Awarded
3.3 Are independent and thorough evaluations of the program conducted on a regular basis or as needed to support program improvements and evaluate effectiveness?	10	Partial	5

Explanation:

The John Howard Association (JHA), an independent monitoring organization, produces periodic reports on each DJJ facility. JHA notes from site visits to two facilities in the spring of 2018, that each had a substantial waitlist for the TC program. DJJ reported to JHA in October 2018 that both facilities no longer have a waitlist.

Youth sentenced to DJJ custody do not have a set release date, however a target release date is given. Release is ultimately dependent on being deemed rehabilitated. JHA expressed concern that some youth are being kept in detention beyond their original target release date in order to complete the TC program. JHA recommended that the DJJ TC program be condensed and that youth be triaged more effectively to refer more youth to treatment in the community after their release, rather than in detention (John Howard Association, 2018).

This is a main issue for the evaluation of DJJ’s TC program. While TC programs are generally designed for longer durations than the DJJ program length of 90 days, and while TC is considered an effective program when compared to other programs for SUD treatment in incarceration, evidence validates that, in general, youth have better outcomes when residing in their communities rather than in detention.

JHA is dedicated to monitoring both adult and juvenile correctional facilities in Illinois. JHA does not specialize in SUD treatment, nor has it conducted comprehensive program evaluations of DJJ’s TC program specifically. Therefore, a full independent evaluation of the TC program by SUD treatment experts is recommended.

Question	Points Available	Yes/Partial/No	Points Awarded
3.4 Does the Agency use performance information (including that collected from program partners) to adjust program priorities, allocate resources, or take other appropriate management actions?	10	Yes	10

Explanation:

DJJ uses information from the TC program’s Quarterly Quality Improvement Meetings to adjust program priorities, and make other appropriate management decisions, which may include additional group topics/materials, curriculum changes, program schedule changes, staff trainings, etc.

Concluding Comments

DJJ began transitioning its facilities to a Therapeutic Communities (TC) model in 2015. The design of this program is impacted by a tension within the existing evidence. TC programs are considered an effective program when compared to other programs for SUD treatment in incarceration. However, studies of TC programs involve longer durations than the average DJJ program length. DJJ has shortened the program because, in general, youth have better outcomes when housed in their communities rather than in detention. DJJ also has a statutory mandate to place youth in the least restrictive environment possible.

Final Program Score and Rating

Final Score	Program Rating
75	Effective

SPART Ratings

Programs that are **PERFORMING** have ratings of Effective, Moderately Effective, or Adequate.

- **Effective.** This is the highest rating a program can achieve. Programs rated Effective set ambitious goals, achieve results, are well-managed and improve efficiency. Score 75-100
- **Moderately Effective.** In general, a program rated Moderately Effective has set ambitious goals and is well-managed. Moderately Effective programs likely need to improve their efficiency or address other problems in the programs' design or management in order to achieve better results. Score 50-74
- **Marginal.** This rating describes a program that needs to set more ambitious goals, achieve better results, improve accountability or strengthen its management practices. Score 25-49

Programs categorized as **NOT PERFORMING** have ratings of Ineffective or Results Not Demonstrated.

- **Ineffective.** Programs receiving this rating are not using your tax dollars effectively. Ineffective programs have been unable to achieve results due to a lack of clarity regarding the program's purpose or goals, poor management, or some other significant weakness. Score 0-24
- **Results Not Demonstrated.** A rating of Results Not Demonstrated (RND) indicates that a program has not been able to develop acceptable performance goals or collect data to determine whether it is performing.

Please see www.Budget.Illinois.gov for additional information.

Glossary

Best Practices: Policies or activities that have been identified through evidence-based policymaking to be most effective in achieving positive outcomes.

Evidence-Based: Systematic use of multiple, rigorous studies and evaluations which demonstrate the efficacy of the program's theory of change and theory of action.

Illinois Performance Reporting System (IPRS): The state's web-based database for collecting program performance data. The IPRS database allows agencies to report programmatic level data to the Governor's Office of Management and Budget on a regular basis.

Optimal Return on Investment (OROI): A dollar amount that expresses the present value of program benefits net of program costs that can be expected if a program is implemented with fidelity to core principles or best practices.

Outcome Measures: Outcomes describe the intended result of carrying out a program or activity. They define an event or condition that is external to the program or activity and that is of direct importance to the intended beneficiaries and/or the general public. For example, one outcome measure of a program aimed to prevent the acquisition and transmission of HIV infection is the number (reduction) of new HIV infections in the state.

Output Measures: Outputs describe the level of activity that will be provided over a period of time, including a description of the characteristics (e.g., timeliness) established as standards for the activity. Outputs refer to the internal activities of a program (i.e., the products and services delivered). For example, an output could be the percentage of warnings that occur more than 20 minutes before a tornado forms.

Results First Clearinghouse Database: One-stop online resource providing policymakers with an easy way to find information on the effectiveness of various interventions as rated by eight nation research clearinghouses which conduct systematic research reviews to identify which policies and interventions work.

Target: A quantifiable metric established by program managers or the funding entity established as a minimum threshold of performance (outcome or output) the program should attain within a specified timeframe. Program results are evaluated against the program target.

Theory Informed: A program where a lesser amount of evidence and/or rigor exists to validate the efficacy of the program's theory of change and theory of action than an evidence-based program.

Theory of Change: The central processes or drives by which a change comes about for individuals, groups and communities

Theory of Action: How programs or other interventions are constructed to activate theories of change.

Citations

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Appendix E

Adult and Juvenile Justice Results First Technical Appendix



Budgeting for Results

Technical Appendix

Adult Crime and Juvenile Justice Policy

Domains



August 2019

Introduction

This is a technical overview of the Budgeting for Results (BFR) benefit-cost analysis (BCA) within the adult crime and juvenile justice policy domains. In 2011, BFR created the Illinois Performance Reporting System (IPRS) for collecting program performance data. In 2017, BFR began using the Pew MacArthur Results First benefit-cost model to determine the return on investment for state programs¹. The Results First model is based on the benefit-cost model developed by the Washington State Institute of Public Policy (WSIPP), which was designed to produce benefit-cost analyses on programs for Washington State. The Results First model is generalized to allow BFR to adapt WSIPP program analyses to Illinois by customizing the benefit-cost model with Illinois-specific information on state demographics, government spending and other inputs.

BFR divides Illinois-funded programs by policy domain and desired outcome. The Results First model includes several policy domains. The BFR pilot analysis was on programs in the Adult Crime domain with the desired outcome of reducing recidivism, and subsequent analyses were done in the Juvenile Justice domain. Using the existing IPRS database and information gathered from the Illinois Department of Corrections (DOC) and Department of Juvenile Justice (DJJ), BFR created inventories of such programs. For each program selected for analysis, BFR conducted a literature review of current research on the program in order to match the Illinois program with a program profile in the Results First model. Each profile is based on a meta-analysis of national research on program best practices conducted by WSIPP.

BFR worked with relevant agencies to gather all state costs related to running each program and to determine the marginal program costs per participant. The program costs and effect size, along with monetizable benefits to Illinois, are used to calculate the optimal return on investment (OROI), which is the return on investment that is anticipated when the program is run with fidelity to design and best practices.

Meta-Analysis and Effect Size

For each program identified in a policy domain, BFR collects information on the program and conducts research on similar programs that exist nationally, to determine if the Illinois program can be matched with an existing program profile in the Results First model. A program must have a matching program profile in order to produce a BCA. The program profiles are the result of comprehensive literature reviews performed by WSIPP. WSIPP performs a meta-analysis of studies that have evaluated a program's effect on one or more outcomes. This meta-analysis results in an effect size for each program outcome. The effect size is a single number that quantifies the expected impact of a program on a particular outcome for program participants, as compared to a control group. For example, a program in the adult crime or juvenile justice domains might have an effect size that represents the change in recidivism rate that can be expected for participants in the program as compared to the baseline Illinois recidivism rate.

¹ The Pew-MacArthur Results First Initiative works with states to implement evidence-based approaches to policy. For more information, visit <https://www.pewtrusts.org/en/projects/pew-macarthur-results-first-initiative>

More information about WSIPP's meta-analysis and effect size methodologies can be found in the document "Benefit-Cost Technical Documentation" available at <https://www.wsipp.wa.gov/TechnicalDocumentation/WsippBenefitCostTechnicalDocumentation.pdf>. (Washington State Institute for Public Policy 2018).

Outcomes of Interest

Each program has one or more goals or outcomes, which may or may not be currently monetizable in Illinois' Results First model. Analyses in the Adult Crime and Juvenile Justice policy domains all include the outcome of reducing crime, the administering agency's stated goal for their programming. Currently, this is the only monetized outcome in Illinois program assessments in these domains.

The Results First model has the capacity to assess additional outcomes such as illicit drug use disorder or adult literacy that are secondary outcomes in the Adult Crime and Juvenile Justice policy domains. However, BFR has not yet populated the model with the Illinois-specific data necessary to conduct analysis on these additional outcomes. As BFR work progresses into new policy domains, BFR will populate more areas of the Results First model with Illinois-specific data and be able to update existing program assessments with new outcomes.

Future development of the Results First model will also allow for the expansion of program assessments to consider additional outcomes. For example, in the near future it may be possible to evaluate the effect of crime reduction programs on future labor market earnings for program participants.

Linked Outcomes

In addition to outcomes that are directly impacted by the program, some programs have linked outcomes which are influenced by the program's primary outcomes. In the case of reducing recidivism, national research has linked reduced juvenile crime to increased rates of high school graduation. Program profiles that show a positive impact on juvenile crime include an effect size that describes the expected improvement on the high school graduation rate for program participants as compared to the baseline Illinois high school graduation rate.

Monetizing Program Benefits

In order to perform the BCA, it's necessary to monetize the desired outcome or outcomes of a policy domain. The benefits from running a program can then be directly compared to the program's cost. In the Adult Crime and Juvenile Justice policy domains, the monetizable benefits come from reducing recidivism.

The benefits of a government program can be apportioned to the stakeholders who benefit. In BFR reports, program benefits are divided into four categories: direct benefits to program participants, direct benefits to taxpayers through reduced government spending, direct benefits to other members of society and indirect benefits to society through the reduced deadweight cost of taxation. Benefits to

taxpayers are of particular interest to state policymakers who must make difficult decisions about how to allocate government resources.

The Benefits of Reducing Crime

Benefits to Taxpayers

As discussed above, the primary outcome of interest for the Adult Crime and Juvenile Justice policy domains is reducing recidivism. The benefits to taxpayers from reducing recidivism come in the form of reduced use of state, county and local criminal justice resources.

In estimating the benefits of reducing adult recidivism, BFR has been aided by work done by the Illinois Sentencing Policy Advisory Council (SPAC). Detailed information on this work can be found in the report “Illinois Results First: The High Cost of Recidivism 2018 Report”, and in its accompanying technical supplement, both of which are available at <http://www.icjia.state.il.us/spac/index.cfm?metasection=publications>.

To estimate the decreased use of criminal justice resources that result from a reduction in recidivism, SPAC first analyzed how different types of crime contribute to Illinois’ total recidivism rate. Different types of crime have different impacts on victims and on state resources. Table 1 below depicts the types of crimes committed by adults who were released from prison or sentenced to probation in 2007, and were convicted of another crime within nine years (55.9% of adults recidivate within nine years). Table 1 similarly depicts the types of crimes committed by juveniles who were released from DJJ custody or sentenced to community supervision in 2009 and adjudicated for another offense within nine years (80.6% of juveniles recidivate within nine years):

Table 1: Likelihood of most serious recidivism offense

Type of Crime	Murder	Felony Sex Crimes	Robbery	Aggravated Assault or Battery	Felony Property	Felony Drug and Other	Misdemeanors
Adult Crime	0.3%	0.4%	1.8%	5.4%	20.8%	32.5%	38.9%
Juvenile Offense	0.4%	0.7%	6.2%	6.9%	18%	29.2%	38.6%

Source: Adult Crime: Illinois Sentencing Policy Advisory Council (Steinfeld, Powers, and Saltmarsh 2018), Table 3.a.1. Juvenile Offense: GOMB/SPAC internal analysis.

The SPAC model also accounts for recidivism events (one readmission to the criminal justice system) resulting in multiple convictions for different crime types.

Tables 2 and 3 depict estimated criminal justice system marginal operating costs per recidivism event for the adult and juvenile justice systems. Costs were provided by SPAC in conjunction with the Illinois Criminal Justice Information Authority (ICJIA). Police, court and prosecutor costs are primarily derived from marginal cost estimates done by WSIPP, with adjustments for salary and budget differences between Washington State and Illinois. Most costs are similar across types of crime, and the overall average marginal cost is used. In the case of courts and legal costs, separate marginal cost estimates are provided for the different types of violent felony cases.

SPAC uses a dynamic marginal cost model to address the challenge that criminal justice spending does not always change in direct proportion to the number of prisoners or people on probation. Some costs such as food may be truly marginal, while others such as staff or facilities may change only with large changes in the population served. For more information, see the SPAC document “Dynamic Marginal Costs in Fiscal Impact Analyses” at http://www.icjia.state.il.us/spac/pdf/Dynamic_Marginal_Costs.pdf. The costs displayed in Tables 2 and 3 are the average dynamic marginal costs for incarceration changes of up to 10,000 people.

When benefits to taxpayers are calculated for a particular program, the dynamic marginal costs of changes in system use are calculated based on the expected annual program participation and the associated change in recidivism. For per-year costs such as prison, the benefit-cost model takes into account that different types of crime are associated with a longer duration of resource usage on average. For example, average prison terms range from 1.2 years for felony drug convictions to 36.5 years for murder.

All cost information is adjusted to current dollars using the Implicit Price Deflator for Personal Consumption Expenditures, calculated by the Bureau of Economic Analysis. When the Adult Crime and Juvenile Justice policy domains were populated, 2017 was the latest year available for this price index.

Table 2: Adult criminal justice system marginal operating costs (2017 dollars)

	Murder	Felony Sex Crimes	Robbery	Agg. Assault or Battery	Felony Property	Felony Drug and Other	Misdemeanors	
Police Costs per Arrest	\$1005							
Courts and Legal Costs per Arrest	\$202,562	\$24,952	\$13,114	\$6,484	\$267			
Adult Jail per Person per Year	\$15,523							
Adult Probation per Person per Year	n/a ²	\$1,861						
Adult Prison per Person per Year	\$28,762						n/a ²	
Adult Post-Prison Supervision per Person per Year	\$2,924						n/a ²	

Source: Illinois Sentencing Policy Advisory Council (Steinfeld, Powers, and Saltmarsh 2018), Table 4.a.1, with figures adjusted to 2017 dollars using the BEA’s implicit price deflator for personal consumption expenditures.

² Probation sentences for murder are very rare. Misdemeanors cannot result in prison sentences, although they can result in sentences to county jail of up to one year.

Table 3: Juvenile justice system marginal operating costs (2017 dollars)

Resource Type	Cost per Person per Year
Local Detention	\$24,246
Local Supervision	\$4,000
State Institution	\$44,398
Post-Release Supervision	\$5,000

Source: GOMB/SPAC internal analysis.

Benefits to Society

In addition to returning benefits to the taxpayer, government programs usually also aim to create some benefit for society at large. In the case of programs that aim to reduce recidivism, these benefits come in the form of reduced harm to victims of crime.

An important element of monetizing crime victimization is accounting for unreported crime. Crime that is not reported to law enforcement does not impose costs on the criminal justice system, but it can still have victimization costs. The SPAC cost of crime model uses the National Crime Victimization Survey to estimate the number of actual victimizations per reported crime. This accounts for crimes that are not reported and for crimes that can have multiple victims.

Victimization costs by type of crime are estimated based on national economic research. They are divided into tangible and intangible costs. Tangible victimization costs include the value of stolen or damaged property, medical expenses and lost earnings due to injury or other consequences. Intangible costs are the pain, suffering or death resulting from being a crime victim. Intangible cost estimates are not meant to place a literal dollar value on the cost of a specific life or of individual suffering, but are statistical values based on actual jury awards and settlements in wrongful death suits.

Not all crimes have identifiable victims. The model does not include victimization costs for misdemeanors (a very broad category of crimes) or for “crimes against society” such as drug crimes. Table 4 below displays tangible and intangible victimization cost estimates by type of crime.

Table 4: Victimization Costs (2017 dollars)

	Murder	Felony Sex Crimes	Robbery	Agg. Assault or Battery	Felony Property	Felony Drug and Other	Misdemeanors
Tangible	\$639,090	\$5,342	\$6,699	\$13,536	\$2,282	\$0	\$0
Intangible	\$7,315,354	\$190,604	\$1,010	\$20,904	\$0	\$0	\$0
Total	\$7,954,444	\$195,946	\$7,709	\$34,440	\$2,282	\$0	\$0

Source: (Illinois Sentencing Policy Advisory Council 2018), Table C, with figures adjusted to 2017 dollars using the BEA’s implicit price deflator for personal consumption expenditures.

The Benefits of Increased High School Graduation

As previously stated, the benefit-cost model links a reduction in juvenile crime among program participants to a higher high school graduation rate for participants, as compared to the baseline high school graduation rate in Illinois. These benefits accrue to program participants, taxpayers, and society at large.

Benefits to Program Participants

Increased educational attainment affects program participants in several ways. First, youth who graduate from high school are expected to have higher earnings over the course of their adult lives. Second, high school graduates have different healthcare costs and different distributions of who is paying for their healthcare compared to non-graduates. High school graduates tend to be healthier overall, while relying less on taxpayer-funded healthcare resources. High school graduates are also more likely to have insurance or pay out of pocket for medical expenses. For this reason, an increase in the probability of high school graduation for program participants results in a cost to participants from increased healthcare spending, which is subtracted from the benefits participants gain from higher earnings.

Benefits to Taxpayers

The increased earnings for program participants due to increased high school graduation also results in a benefit to taxpayers, through taxation of those earnings. Taxpayers also benefit from participants' decreased reliance on public healthcare systems.

Benefits to Society

Increased high school graduation for program participants results in benefits to society in two ways. First, there is a general economic benefit from having a more educated workforce with higher labor productivity. Second, there are societal benefits through the employer-paid health insurance market due to better health outcomes for high school graduates.

Indirect Benefits – Deadweight Cost of Taxation

When the government imposes taxes to pay for programs, those dollars are removed from the private sector economy. This can create inefficiencies, such that government spending “costs” more than the total dollars spent. This concept is known as the deadweight cost of taxation. There is a high level of debate around the appropriate value of deadweight cost. To account for this and other types of variability, BFR uses a Monte Carlo simulation to vary the value of deadweight cost and other inputs in calculating expected benefits and costs (see below). In the case of deadweight cost, the simulation samples a deadweight cost value from a triangular probability density distribution, using low, modal and high values of 0%, 50% and 100%, respectively. On average, if one taxpayer dollar is spent, there will be an additional deadweight cost of \$0.50.

The deadweight cost of taxation is applied both to the program costs and to the benefits of reduced government spending as a result of the program. The deadweight cost of running the program is subtracted from the avoided deadweight cost produced by the program benefits, and the net amount is added to the total program benefits. Deadweight cost is not calculated for increased tax dollars obtained through increased earnings outcomes.

Net Present Value

When comparing the benefits and costs of a program, it is important to consider that the program costs usually occur immediately or over a few years, while the program benefits can extend many years into the future. The BCA model calculates program benefits up to 50 years after program participation. Because society generally values a dollar today more than a dollar in the future, the BCA model includes a discount rate that is applied to costs and benefits that occur in future years. The modal discount rate used is 3.5%. In the Monte Carlo simulation, discount rates are drawn from a triangular distribution between 2%, 3.5%, and 5%. The social discount rate can vary in different circumstances, and there is some debate about the correct rate. This range of values is consistent with rates used by federal government agencies and scholarly experts.

Optimal Return on Investment

The benefit-cost analyses compare program benefits to program costs in order to calculate what BFR has coined the program's Optimal Return on Investment (OROI). This is the ratio of program benefits to program costs, and represents the dollar value of benefits that can be expected for each dollar spent on the program. An OROI of greater than \$1.00 indicates that the program's expected benefits exceed its costs. The inclusion of the word "optimal" in the OROI is meant to emphasize that while the BCA incorporates Illinois-specific data as much as possible, the program's effect size is based on national research and implementation with fidelity. Therefore, the OROI represents the return on investment Illinois can expect if the program is implemented according to best practices as established by the research. BFR conducts a qualitative program assessment, the SPART, to accompany each program's BCA. The SPART is intended to provide insight into how a program has been designed and implemented in Illinois, and to make recommendations for further evaluation and improvement.

Risk Assessment – Monte Carlo Simulation

As stated above, the BCA model has many inputs which are estimated with varying degrees of uncertainty. To quantify the uncertainty of the BCA inputs and program effect size used in calculating the OROI, BFR runs a Monte Carlo simulation for each program. The BCA is run 10,000 times with inputs randomly sampled from probability distributions around their expected value. Table 5 below describes which inputs BFR varies in the Monte Carlo simulation, and the distributions from which they are sampled.

Table 5: Input variation in Monte Carlo

Model Input	Sampling Distribution
Program effect size	Normal; based on random-effects standard error produced by meta-analysis
Program costs	Triangular; variance is determined at the program level based on BFR and agency assessment of the degree of uncertainty of program marginal cost estimate
Crime victimization costs	Triangular; variance +/- 0.1
Criminal justice system costs	Triangular; variance +/- 0.1
Criminal victimizations per conviction	Triangular; variance +/- 0.2
Deadweight cost of taxation	Triangular; low = 0%, modal = 50%, high = 100%
Discount rate	Triangular; low = 2%, modal = 3.5%, high = 5%

Source: Washington State Institute of Public Policy.

In addition to expected program costs, benefits and OROI, BFR also reports the percent likelihood that program benefits will exceed costs based on the Monte Carlo simulation.

This technical appendix was produced by BFR for assessments in the Adult Crime and Juvenile Justice policy domains. Additional technical documents will be released along with the corresponding policy domain assessments. For further information, visit www.budget.illinois.gov.

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