

# Invest in What Works State Standard of Excellence

## New York



The [Invest in What Works State Standard of Excellence](#) sets a national benchmark – a "north star" – for how state governments can consistently and effectively use data and evidence in their budget, policy, and management decisions to achieve better outcomes for their residents. The purpose of the Standard is to:



**Define the data and evidence infrastructure** state governments need to have in place in order to invest in what works.



**Showcase examples** of results-driven and evidence-based practices, policies, programs, and systems within state governments



**Provide a road map** for state government leaders committed to investing in what works.

## How did the state stack up in 2020?

The State Spotlight highlights New York's leading and promising data and evidence efforts featured in Results for America's 2020 State Standard of Excellence.

New York had **4 promising examples** from the 15 criteria. New York had **no examples in 11 criteria.**

To accelerate its progress in the State Standard of Excellence, New York should consider implementing the strategies described in the [Blueprint for Delivering Results in State Government](#).

### 15 Criteria

**4 criteria with promising examples**

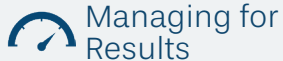
**11 criteria with no examples**

### 1. Strategic Goals

Did the governor have public statewide strategic goals?

*The creation of statewide strategic goals is an important first step in aligning state government budgets, policies, and programs to improve outcomes on a state government's highest priorities.*

#### RELEVANT BLUEPRINT THEME:



Managing for Results

*To learn more about how to implement examples in criteria 1, please see [Blueprint for Delivering for Results in State Government](#).*

### Leading Example

#### COLORADO

In 2019, Colorado launched the [Governor's Dashboard](#), which outlines four high-priority strategic goals: [tax reform and economic development](#), [energy and renewables](#), [health](#), and [education and the workforce](#). Each high-priority strategic area is supported by a [cabinet working group](#) as well as aligned goals, metrics, and strategies contained within [agency performance plans](#). The governor's [annual budget request](#) also links these goals to specific agency activities and outcomes.

### No New York examples of this criteria



#### 8 Promising Examples

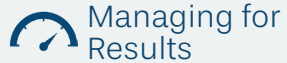
**Arizona, Kentucky, Oregon, Pennsylvania, Tennessee, Utah, Vermont, Washington**

## 2. Performance Management / Continuous Improvement

Did the state or any of its agencies implement a performance management system aligned with its state-wide strategic goals, with clear and prioritized outcome-focused goals, program objectives, and measures; and did it consistently collect, analyze, and use data and evidence to improve outcomes, return on investment, and other indicators of performance?

*Performance management helps state governments monitor and improve customer service, program performance, and outcomes for their residents.*

### RELEVANT BLUEPRINT THEME:



To learn more about how to implement examples in criteria 2, please see [Blueprint for Delivering for Results in State Government](#).

### Leading Example

#### MINNESOTA

In response to COVID-19, the state built a comprehensive [public data dashboard](#) that tracks health and economic data, including [response data](#) on hospital capacity, critical care supplies, child care, and funding. The dashboard also [tracks](#) the disparate impacts of the virus on communities of color to enhance collaboration with stakeholders and “eliminate systemic barriers so communities of color and indigenous communities can recover with dignity and resiliency.” Such a collaboration includes an ongoing partnership with J-PAL North America that is leveraging the data to identify how to increase take up of COVID-19 testing in Black and Latinx communities based on local needs and preferences.

## No New York examples of this criteria



### 16 Promising Examples

**California, Colorado, Connecticut, Florida, Illinois, Maryland, Massachusetts, Missouri, New Jersey, New Mexico, Oregon, Rhode Island, Tennessee, Utah, Vermont, Washington**

### 3. Data Leadership

Did the governor's office or any state agency have a senior staff member(s) with the authority, staff, and budget to collect, analyze, share, and use high-quality administrative and survey data — consistent with strong privacy protections — to improve (or help other entities including, but not limited to, local governments and nonprofit organizations improve) federal, state, and local programs? (Example: Chief Data Officer)

*A designated chief data officer can create a coherent set of policies, structures, and guidance for how state agencies should routinely use data to improve programs.*

#### RELEVANT BLUEPRINT THEME:



Leveraging Data

To learn more about how to implement examples in criteria 3, please see [Blueprint for Delivering for Results in State Government](#).

### Leading Example

#### CONNECTICUT

A [2018 Connecticut law](#) formalized the position of [Chief Data Officer](#) within the [Office of Policy and Management](#) and created the [Connecticut Data Analysis Technology Advisory Board](#), and required each state agency to designate an [agency data officer](#) to manage high value data sets and coordinate data-related activities with the state Chief Data Officer. The Chief Data Officer, along with individual agency data officers, are required to biannually update the [state data plan](#), which [covers open data and creates data standards for agencies](#). The plan also contains [11 principles](#) and accompanying practices that all agencies should adopt in order to improve their management, use, sharing, and analysis of data. In 2019, the Office of Policy and Management created a new [Data and Analytics Policy](#) unit to further support the management, use, sharing, and analysis of data across state agencies.

### No New York examples of this criteria



#### 14 Promising Examples

**Arkansas, California, Colorado, Indiana, Kentucky, New Jersey, North Carolina, Minnesota, Ohio, Oregon, Rhode Island, Utah, Virginia, Washington**

## 4. Data Policies / Agreements

Did the state or any of its agencies have data sharing policies and data sharing agreements—consistent with strong privacy protections—with any nonprofit organizations, academic institutions, local government agencies, and/or federal government agencies which were designed to improve outcomes for publicly funded programs, and did it make those policies and agreements publicly available? (Example: data sharing policy, open data policy)

*Data-sharing policies and agreements allow state governments to take a coordinated approach to identifying and using relevant data to improve programs while implementing strong privacy protections.*

### RELEVANT BLUEPRINT THEME:



To learn more about how to implement examples in criteria 4, please see [Blueprint for Delivering for Results in State Government](#).

## Leading Example

### OHIO

In April 2019, Ohio's Governor signed an [executive order](#) consolidating state data systems into the [InnovateOhio](#) Platform, which uses data as "a shared strategic asset" whose "value is multiplied when data sets are linked across programs and organizations" through [data integration](#) and [management tools](#). The executive order created a presumption of data sharing between state agencies, except where a specific legal prohibition is identified in writing. Since its launch, InnovateOhio and the Ohio Department of Administrative Services have collaborated with state agencies to incorporate 1,600 information systems into the State's cloud environment. As of June 2020, the InnovateOhio Platform [recovered](#) over \$1 million in duplicate payments by applying a data analytics tool to state agency spending ledgers.

## No New York examples of this criteria



### 17 Promising Examples

**Arizona, California, Colorado, Connecticut, Indiana, Kentucky, Maryland, Massachusetts, Michigan, New Jersey, North Carolina, Oregon, Rhode Island, Texas, Utah, Virginia, Washington**

## 5. Data Use

Did the state or any of its agencies have data systems consistent with strong privacy protections that linked multiple administrative data sets across state agencies, and did it use those systems to improve federal, state, or local programs?

*The linking of agency data allows state governments to increase the effectiveness of state services and get better results for their residents.*

### RELEVANT BLUEPRINT THEME:



To learn more about how to implement examples in criteria 5, please see [Blueprint for Delivering for Results in State Government](#).

## Leading Example

### INDIANA

The [Indiana Management Performance Hub \(MPH\)](#), overseen by the state's [Chief Data Officer](#), houses the integrated [Education and Workforce Development database](#), which brings together data from 12 state agencies, including: the Commission for Higher Education, Department of Education, Department of Health, Department of Corrections, Department of Workforce Development, and Family and Social Services Administration. In addition, MPH has created integrated databases to address pressing program and policy issues related to [COVID-19](#), [opioids](#), [Medicaid](#), [fiscal transparency](#), and [other areas](#). MPH has been at the forefront of using [data](#) to drive decision-making for Indiana's COVID-19 response, including a study to better understand the prevalence of the coronavirus and/or its antibodies.

## No New York examples of this criteria



### 21 Promising Examples

**Arkansas, Colorado, Connecticut, Florida, Georgia, Illinois, Kentucky, Maryland, Minnesota, Mississippi, Nevada, New Jersey, North Carolina, Ohio, Oregon, Rhode Island, South Carolina, Utah, Virginia, Washington, Wisconsin**

## 6. Evaluation Leadership

Did the governor's office or any state agency have a senior staff member(s) with the authority, staff, and budget to evaluate its major programs and inform policy decisions affecting them? (Example: chief evaluation officer)

*Evaluation leadership positions are an important tool for state governments to ensure that evidence of what works is a primary consideration when making programmatic and budget decisions.*

### RELEVANT BLUEPRINT THEME:



Building & Using Evidence

*To learn more about how to implement examples in criteria 6, please see [Blueprint for Delivering for Results in State Government](#).*

## Leading Example

### TENNESSEE

Founded in 2019, Tennessee's [Office of Evidence and Impact](#) is led by the state's Director of Evidence and Impact. To propagate Tennessee's [evidence-based budgeting](#) efforts, the Office defined [four tiers of evidence](#), conducted program inventories, developed evidence reviews, and provided evidence-building technical assistance.

## No New York examples of this criteria



### 6 Promising Examples

**Alabama, Colorado, Connecticut, Massachusetts, Mississippi, Ohio**

## 7. Evaluation Policies

Did the state or any of its agencies have an evaluation policy, evaluation plan, and research/learning agenda(s), and did it publicly release the findings of all completed evaluations?

*Evaluation policies allow state governments to align their evaluation and research priorities, learn about what works, and share information with outside researchers about additional areas where they want to increase their knowledge base.*

### RELEVANT BLUEPRINT THEME:



Building & Using Evidence

*To learn more about how to implement examples in criteria 7, please see [Blueprint for Delivering for Results in State Government](#).*

## Leading Example

### KENTUCKY

The [Kentucky Center for Statistics](#) (KYSTATS) has a [2020-22 Research Agenda](#), which details four primary research areas to identify barriers to education and workforce opportunities: (1) expand data access and data use to inform equity issues; (2) evaluate outcomes and barriers for education and workforce programs over time; (3) connect supply and demand of the state's future workforce; and (4) measure the impact of out-of-state education and workforce migration. All research results are made [publicly available](#).

## No New York examples of this criteria



### 7 Promising Examples

**Colorado, Maryland, Massachusetts, Minnesota, Mississippi, Tennessee, Utah**



## 8. Evaluation Resources

Did the state or any of its agencies invest at least 1% of program funds in evaluations?

*Making specific funding commitments to evaluation is critical and ensures that state governments have the necessary funds to evaluate whether state programs are achieving their desired outcomes. At the federal level, several agencies have made commitments to spend 1% of program funds on evaluation, which has allowed them to improve programmatic outcomes and build their knowledge base about what works.*

### RELEVANT BLUEPRINT THEME:



Building & Using Evidence

*To learn more about how to implement examples in criteria 8, please see [Blueprint for Delivering for Results in State Government](#).*

## Leading Example

### MINNESOTA

A [2017 law](#) created Minnesota's Opiate Epidemic Response grant program. The FY 2021 [budget](#) includes \$300,000 for Minnesota Management and Budget to [conduct](#) experimental and quasi-experimental design [impact evaluations](#) for opiate epidemic response grant activities, which is slightly more than 1.1% of the agency's \$27 million general fund [budget](#).

## No New York examples of this criteria



### 0 Promising Examples

No promising examples identified for this criteria.

## 9. Outcome Data

Did the state or any of its agencies report or require outcome data for its state-funded programs during their budget process?

*Using data and evidence as part of the budget process helps state policymakers allocate funds based on information about what works.*

### RELEVANT BLUEPRINT THEME:



Building & Using Evidence

*To learn more about how to implement examples in criteria 9, please see [Blueprint for Delivering for Results in State Government](#).*

## Leading Example

### COLORADO

The 2013 [Colorado State Measurement for Accountable, Responsive and Transparent Government](#) (SMART) Act required all Colorado state agencies to submit annual performance reports to the state legislature as part of the state's budget process. These reports include: (1) performance measures for the major functions of the department; (2) performance goals for at least the following three years; (3) a description of the strategies necessary to achieve those goals; and (4) a summary of the department's most recent performance evaluation. In addition, the state's FY 2020–2021 [budget development instructions](#) (pp. 10–12) prioritize new program requests "based on the evidence and body of research supporting the program's effect on desired outcomes and proposed implementation plan." In the FY 2020–2021 budget cycle, the state applied an [evidence continuum](#) to budget requests and used that criteria to inform resource allocation decisions.

## No New York examples of this criteria



### 10 Promising Examples

**Maryland, Minnesota, Mississippi, Missouri, New Mexico, North Carolina, Oregon, Rhode Island, Tennessee, Utah**

## 10. Evidence Definition and Program Inventory

Did the state or any of its agencies release a common evidence framework, guidelines, or standards to inform its research and funding decisions and make publicly available an inventory of state-funded programs categorized based on at least two tiers of evidence?

*Defining evidence and conducting program inventories can help state governments ensure that their programs are using proven practices and that their interventions are effective in meeting the state's desired goals as well as improving outcomes for residents.*

### RELEVANT BLUEPRINT THEME:



Building & Using Evidence

*To learn more about how to implement examples in criteria 10, please see [Blueprint for Delivering for Results in State Government](#).*

## Leading Example

### NEW MEXICO

A [1999 New Mexico law](#) required all state agencies to submit annual performance-based budget requests that include outputs, outcomes, performance, and evaluation data. The 2019 [Evidence and Research Based Funding Requests Act](#) amended the [1999 law](#) by defining four tiers of evidence and further requiring certain state agencies (selected annually by the state legislature), to "identify each sub-program as evidence-based, research-based, promising, or lacking evidence of effectiveness" and report on the amount allocated for each of these evidence tiers. The law builds on New Mexico's long-standing series of inventory and cost-benefit reports in the areas of [children's behavioral health](#); [adult behavioral health](#); [early education](#); [child welfare](#); [criminal justice](#); [healthcare, infant, and maternal health](#); and [education](#).

## No New York examples of this criteria



### 14 Promising Examples

**California, Colorado, Connecticut, Florida, Minnesota, Mississippi, North Carolina, Ohio, Oregon, Pennsylvania, Tennessee, Texas, Vermont, Washington**

## 11. Cost-Benefit Analysis

Did the state or any of its agencies assess and make publicly available the costs and benefits of public programs?

*Cost-benefit analysis helps state governments quantify outcomes and program costs to ensure that public dollars are being efficiently spent to get the most value for taxpayers and the best outcomes for residents.*

### RELEVANT BLUEPRINT THEME:

 Investing for Results

*To learn more about how to implement examples in criteria 11, please see [Blueprint for Delivering for Results in State Government](#).*

## Leading Example

### WASHINGTON

A [2013 Washington State law](#) (pp. 105–106) directed the Department of Corrections, in consultation with the Washington State Institute for Public Policy (WSIPP), to: (1) compile an inventory of existing programs; (2) determine whether its programs were evidence-based; (3) assess the effectiveness of its programs, including conducting a cost-benefit analysis; and (4) phase out ineffective programs and implement evidence-based programs. As a result of this and similar laws, WSIPP has published [cost-benefit analyses](#) in a wide variety of issue areas over the past 10 years, including a 2020 [report](#) on the state's extended foster care program. The WSIPP [cost-benefit framework](#) has been widely adopted by governments across the country.

## Promising Example



### NEW YORK

Beginning in 2013, the New York State Division of Criminal Justice Services developed a [cost-benefit analysis](#), based on an [initial technical report](#), to outline the impact, costs, and benefits of specific criminal justice interventions. As a result of these efforts, New York has continued to operate [Alternatives to Incarceration](#) programs, a \$12.8 million initiative in 2019–2020, to support evidence-based interventions.

## 7 Other Promising Examples

**Colorado, Connecticut, Minnesota, New Mexico, North Carolina, Oregon, Utah**

## 12. Use of Evidence in Grant Programs

Did the state or any of its agencies (1) invest at least 50% of program funds in evidence-based solutions or (2) use evidence of effectiveness when allocating funds to eligible grantees (including local governments) from its five largest competitive and noncompetitive grant programs?

*Requiring a portion of grant funds to be spent on evidence-based programs allows state governments to use and scale proven program models to achieve better results.*

### RELEVANT BLUEPRINT THEME:

 Investing for Results

*To learn more about how to implement examples in criteria 12, please see [Blueprint for Delivering for Results in State Government](#).*

## Leading Example

### NEVADA

Since 2017, the Nevada Department of Education has [allocated](#) 100% of the state's \$9.5 million in federal Title I school improvement funds to districts and schools for interventions backed by strong, moderate, or promising evidence (using the top three tiers of evidence as [defined](#) by the federal Every Student Succeeds Act [ESSA]). This represented an increase over the approximately 15% of funds that had been allocated based on level of evidence in the 2016–2017 school year. Grant recipients may set aside funds to monitor and evaluate the identified evidence-based approaches to ensure the investments yield a positive impact on student outcomes.

## Promising Example



### NEW YORK

The New York State Division of Criminal Justice Services increased its funding of evidence-based interventions by targeting [75% of its alternative to incarceration funds](#) (pp. 5–6) [towards evidence-based interventions](#) beginning in FY 2015–2016. This funding target was based on the department's [technical report](#) and [cost-benefit analysis](#) to outline the impact, costs, and benefits of specific criminal justice interventions. The state's 2019–2020 Alternative to Incarceration Probation Violation Residential Centers [competitive grant](#) (\$7 million) funds "evidence-based services to adults involved in the criminal justice system." The Alternatives to Incarceration Employment Focused Services [competitive grant](#) (\$5.3 million) funds "evidence-based practices in programs and services that reduce recidivism, promote public safety, ensure offender accountability, and provide restitution to victims."

## 8 Other Promising Examples

**Colorado, Georgia, Massachusetts, Minnesota, New Mexico, Ohio, Oregon, Tennessee**

## 13. Innovation

Did the state or any of its agencies have staff, policies, and processes in place that encouraged innovation to improve outcomes?

*Encouraging innovation allows state governments to implement new models that can improve programs and build new evidence about what works.*

### RELEVANT BLUEPRINT THEME:

 Investing for Results

*To learn more about how to implement examples in criteria 13, please see [Blueprint for Delivering for Results in State Government](#).*

## Leading Example

### CALIFORNIA

In 2020, California launched the [California COVID Assessment Tool](#) to identify potential COVID-19 hotspots, predict which hospitals might reach capacity, and proactively allocate resources to such hotspots. This innovative assessment tool is a "model of models," which incorporates the statistical projections of several leading research institutions. Notably, the assessment tool allows residents to create their own scenarios for transmission potential in the coming months depending on specific public health guidelines. Further, California released the source data sets on [California's Open Data Portal](#), allowing the public to examine the data underlying the Assessment Tool.

## Promising Example



### NEW YORK

In 2019, the New York Division of Criminal Justice Services partnered with the [Center for Evidence-Based Crime Policy](#) to host a 10-week [course](#) called "Evidence-Based Policing: Translating Research into Practice." New York was the first state to offer the course, which was completed by 26 law enforcement professionals, during which students developed and presented ideas for furthering the use of evidence-based policing strategies in their respective agencies.

## 15 Other Promising Examples

**Arizona, Colorado, Connecticut, Kentucky, Massachusetts, Missouri, New Jersey, North Carolina, North Dakota, Ohio, Oregon, Rhode Island, Utah, Vermont, Virginia**

## 14. Contracting for Outcomes

Did the state or any of its agencies enter into performance-based contracts and/or use active contract management (frequent use of data and regular communication with providers to monitor implementation and progress) to improve outcomes for publicly funded programs?

*Performance contracting techniques allow state governments to get better results and value for each taxpayer dollar.*

### RELEVANT BLUEPRINT THEME:

 Investing for Results

*To learn more about how to implement examples in criteria 14, please see [Blueprint for Delivering for Results in State Government](#).*

## Leading Example

### RHODE ISLAND

Since 2015, Rhode Island's Department of Children, Youth, and Families has worked to [reform and restructure](#) the department's procurement. As part of this initiative, the department executed \$90 million in 116 results-driven contracts that require providers to meet outcome goals rather than output metrics. As a result, the Department has reduced the number of children in group care by over 20% since 2015, experienced a 50% expansion of foster care resources for the most challenging adolescents, doubled the capacity of high-quality family visitation and reunification services, and made start-up investments of \$1.2 million in nonprofit community organizations to support new and expanded programming.

## Promising Example



### NEW YORK

New York State's Office of Temporary and Disability Assistance issues outcomes-based contracts for workforce training providers in its Supplemental Nutrition Assistance Program Employment and Training Venture Program. The most recent grants, which fund providers through 2021, [link payments](#) (p. 17) to such milestones as educational gains, program completion, job entry, and job retention.

## 6 Other Promising Examples

**Arizona, Florida, Illinois, Massachusetts, Tennessee, Washington**

## 15. Repurpose for Results

Did the state or any of its agencies shift funds away from any practice, policy, or program which consistently failed to achieve desired outcomes?

*Repurposing funds from programs that fail to consistently achieve results to programs that consistently achieve results is a key strategy for state governments to improve their performance while building knowledge about what works.*

### RELEVANT BLUEPRINT THEME:



Investing for Results

*To learn more about how to implement examples in criteria 15, please see [Blueprint for Delivering for Results in State Government](#).*

### Leading Example

#### PENNSYLVANIA

Since 2013, the Pennsylvania Department of Corrections has [set performance targets for its community corrections program](#) through [performance-based contracts](#). Providers who meet recidivism prevention goals receive a 1% increase in their rate, while providers who fail to meet targets for two consecutive years can have their contracts terminated. Following the introduction of these performance goals, the program's recidivism rate dropped by 11.3% in 2014, [another](#) 16% in 2015, and an additional 11% in 2016. In 2018, the Commonwealth Foundation's report on criminal justice reform in Pennsylvania [recommended](#) expanding the program to other areas based on these results.

## No Illinois examples of this criteria



### 1 Promising Example

#### Minnesota



## Results for America

Results for America is helping decision-makers at all levels of government harness the power of evidence and data to solve our world's greatest challenges.

Results for America's mission is to make investing in what works the "new normal," so that when policymakers make decisions, they start by seeking the best evidence and data available, then use what they find to get better results.

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## State Government Program

Results for America is hosting briefings and conference calls with senior government leaders to discuss strategies for building and using data and evidence to improve results for residents. To request a briefing or conference call, please contact [info@results4america.org](mailto:info@results4america.org).

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## Additional Results for America Standards of Excellence

Results for America also publishes annual standards of excellence for the following levels of government:

### Federal Government

Results for America's [2019 Invest in What Works Federal Standard of Excellence](#) highlights the extent to which nine federal agencies have built the infrastructure necessary to use data and evidence when making budget, policy, and management decisions, collectively overseeing more than \$220 billion in federal investments in FY 2019.

### Local Government

Results for America leads [What Works Cities Certification](#), which evaluates how well cities are managed by measuring the extent to which city leaders incorporate data and evidence in their decision-making. Launched by Bloomberg Philanthropies in 2015, What Works Cities has worked with more than 100 mayors and chief executives – Democrats and Republicans – and as of 2020, 24 cities have been recognized for achieving Certification, with many more working towards building a stronger data foundation to effectively make decisions and provide better services for their residents.

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