Interim Report

An Evaluation of the Implementation of Project Reset

Interim Findings

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RAND Justice Policy Program

March 2022
Prepared for ISLG

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Preface

This interim report describes the implementation of the Project Reset diversion program from the program's initiation in 2018 through September 2020. This program was originally designed to provide post-arrest, pre-arraignment diversion programs to young adults and adults with no prior criminal record and who were arrested for nonviolent low-level offenses. The program was later expanded to include participants with prior convictions. Individuals are diverted from traditional court processing and offered effective and tailored community-based responses. As of September 2020, the program has diverted and provided services to almost 2,000 individuals. In this report, we use information collected from program staff and participant interviews and surveys, programmatic data, and observations of programs to describe how the program is implemented, identify key program facilitators and barriers and illustrate participant experiences. This report should be of interest to entities interested in diversion programs.

RAND Social and Economic Well-Being is a division of the RAND Corporation that seeks to actively improve the health and social and economic well-being of populations and communities throughout the world. This research was conducted in the Justice Policy Program within RAND Social and Economic Well-Being. The program focuses on such topics as access to justice, policing, corrections, drug policy, and court system reform, as well as other policy concerns pertaining to public safety and criminal and civil justice. For more information, email justicepolicy@rand.org.

Table of Contents

Preface ii
Figures v
Tables vi
Acronyms vii
Summary viii
Acknowledgments xiv
Chapter 1. Background 1
Chapter 2. Evaluation Methods 3
- Document Review 3
- Stakeholder Interviews 3
- Participant interviews 4
- Program Observations 5
- Program Data 5
- Participant Survey 6
- Logic Model Development 7

Chapter 3. Project Reset Program Overview and Case Processing 9
- Eligibility for Project Reset 9
- Project Reset Screening 11
- Project Reset Case Processing Flow 12
- Project Reset Intake Procedures 14
- Program Activities 14
  - CCI 15
  - Osborne Association 16
  - Young New Yorkers 16
  - Follow-Up from the Court 17
- Summary 17

Chapter 4. Summary of Eligible Individuals, Participants, and Program Case Flow 18
- Project Reset Eligible Cases 18
- Project Reset Process Maps 21
- The Processing of Cases Referred Back to DANY for Prosecution (in instances of non-program engagement) 25
- The Impact of COVID-19 on the Progression of Cases 27
- Summary 29

Chapter 5. Program Contact, Engagement, and Completion 30
- Description of Diversion-Eligible Population 30
- Outreach Procedures 31
- Factors Associated with Successful Outreach 32

Program Completion 35
Referrals to Services 37
Summary 38
Chapter 6. Factors Affecting Program Implementation 39
Barriers and Facilitators to Implementation 39
Barriers 39
Facilitators 41
Summary 43
Chapter 7. Participant and Program Staff Perceptions of Project Reset 44
Entry into the Diversion Program 45
Satisfaction with Project Reset Experience 47
Wraparound Support 50
Views on the Criminal Justice System 51
Overall 51
Participant Perceptions of the Courts 53
Participant Perceptions of the Police 55
Benefits of Participation 57
Suggestions for Improvement 58
Summary 58
Chapter 8. Takeaways and Recommendations 60
Program Implementation 60
Program Outcomes 62
Appendix A. Qualitative Interview Protocols 65
Appendix B. Supplemental Figures and Tables 73

Figures

Figure 2.1. Project Reset Logic Model 8
Figure 3.1 Map of Outreach Process for the Original Eligibility Population 13
Figure 4.1 Average Number of Diversion Eligible Cases Per Month, by each Quarter of Program Implementation 19
Figure 4.2 Map of Outreach Process for the Original Eligibility Population 22
Figure 4.3 Map of Outreach Process for the Expanded Eligibility Population 24
Figure 4.4 Process Map of Cases Eligible for Prosecution 27
Figure 4.5 Diversion Outreach and Prosecution Process During COVID-19 28
Figure 7.1. Participant Understanding of Case and Diversion Option 47
Figure 7.2. Program Satisfaction: “I am satisfied with Project Reset overall” 48
Figure 7.3. Program Satisfaction Sub-Items 49
Figure 7.4. Participant Assessment of Whether Referrals for Additional Services Were “Helpful” 51
Figure 7.5. Overall Thoughts and Feelings about the Justice System 52
Figure 7.6. Thoughts and Feelings about the Courts 54
Figure 7.7. Specific Perceptions of the Court System 55
Figure 7.8. Thoughts and Feelings about the Police 56
Figure 7.9. Perceptions of the Police 57

Tables

Table 3.1 Timeline of Events That Impacted Who Was Diversion Eligible 10
Table 3.2 List of Diversion Eligible Offenses 11
Table 5.1 Summary Statistics of Diversion-Eligible Population 30
Table 5.2 Percentage of Eligible Individuals Who Were Reached 32
Table 5.3: Logit Regression-Adjusted Predicted Probabilities of Who Was Reached 34
Figure 5.1: Percent of Individuals Reached by Selected Characteristics 34
Table 5.4 Characteristics of Individuals Completing Diversion 36
Table 7.1. Survey Completion 44
Table 7.2. Survey Participant Demographics 45
Table 7.3. Source of Knowledge About Option to Participate in Project Reset 46
Table 7.4. Participant Rating of Program Experience 49
Table 7.5. Frequency of Participants Receiving Referrals 50
Figure B.1: Map of Outreach Process for the Entire Diversion-Eligible Population 73
Table B.1 The Impact of Defendant and Case Characteristics on Whether the Defendant Was Reached (Logistic Regression) 74
Table B.2. Participant Understanding of Case and Diversion Option 75
Table B.3. Overall Program Satisfaction 76
Table B.4. Program Satisfaction Sub-Items 77
Table B.5. Participant Assessment of Whether Referrals for Additional Services Were "Helpful" 78
Table B.6. Overall Thoughts and Feelings about the Justice System 79
Table B.7. Thoughts and Feelings about the Courts 80
Table B.8. Specific Perceptions of the Court System 81
Table B.9. Thoughts and Feelings about the Police 82
Table B.10. Perceptions of the Police 83

Acronyms

ACD	Adjournment in Contemplation of Dismissal
CCI	Center for Court Innovation
ISLG	City University of New York Institute for State and Local Governance
CJII	Criminal Justice Investment Initiative
DAT	Desk Appearance Ticket
IRB	Institutional Review Board
DANY	Manhattan District Attorney's Office
DCJS	New York State Division of Criminal Justice Services
NYPD	New York Police Department
RAP	Record of arrests and prosecutions
RNR	Risk, Need, Responsivity
YNY	Young New Yorkers

Summary

The Manhattan District Attorney's Office (DANY) has invested funds through its Criminal Justice Investment Initiative (CJII) to support impactful projects that improve public safety and promote a fair and efficient justice system in New York City. Between 2018 and 2022, DANY has provided $7.76 million under CJII to fund Project Reset. The Project Reset initiative originally funded three different program providers to implement post-arrest, pre-arraignment diversion programs to divert young adults and adults arrested for nonviolent low-level offenses who do not have a criminal record. These individuals are offered community-based programs instead of traditional court processing and the arrest is sealed upon successful completion. The core Project Reset program model was designed to be a one-time, two-to-three-hour session. Organizations had few specific requirements to fulfill when designing their programming, although the program RFP suggested that programs include elements such as community service, restorative justice, and educational programming. Project Reset began on February 1, 2018. In July 2019, eligibility was expanded to include participants with prior convictions. Each of the three funded programs, Center for Court Innovation, Young New Yorkers and the Osborne Association, provides program activities to eligible participants and serves distinct geographical areas of Manhattan; Osborne Association serves Upper Manhattan, CCI serves Midtown (for individuals 18+) and Downtown (for individuals over 21), and Young New Yorkers serves Downtown (for individuals 18-21).

Project Reset fits within CJII's Diversion and Reentry Support Portfolio, which also works with DANY's other investments in diversion and reentry support services to effectively address the needs and risks of young adults and adults in the justice system. The City University of New York Institute for State and Local Governance (ISLG) is the technical assistance consultant to the Manhattan District Attorney's Office for CJII. ISLG provides oversight and performance measurement to Project Reset and other CJII grantees, and also oversees this evaluation on behalf of DANY.

The RAND Corporation serves as the Project Reset evaluator. Specifically, the evaluation seeks to determine how the initiative and individual programs are implemented, whether the model is effective in reducing risk factors for criminal justice involvement (e.g., recidivism), and whether it is cost-effective. RAND is conducting an implementation assessment, a rigorous quasi-experimental outcome evaluation and a cost-benefit analysis to answer these main four research questions:

1. What were the key implementation challenges experienced by the programs, and how did prosecutors and program providers overcome these barriers?
2. What is the impact of early diversion programs on case outcomes and future re-arrest?

3. What is the impact of diversion programs on participants' perceptions of procedural justice, legal pressure, and readiness to change?
4. What is the tangible and intangible cost of early diversion programs to the local community?

This interim report documents the initial evaluation results, focusing on the implementation of the program through September 2020, including implications of the COVID-19 pandemic. Specifically, at this stage of the evaluation, this report focuses on research question #1 (implementation challenges) and research question #3 (participants' perceptions). This report describes the program, evaluation methods, the logic model that guided the evaluation, and initial findings based on stakeholder interviews, participant interviews and surveys, and analysis of program data. Qualitative interviews revealed key strengths and challenges of the program in its implementation. Analyses of quantitative data describe the population of participants who are receiving Project Reset services. Together, these findings shed light on opportunities for future program implementation and evaluation.

Methods

To date, we have conducted six major data collection efforts:

- Document Review: We conducted a document review to understand basic operation and goals of the program, which included a past evaluation report of a youth pilot project of Project Reset[1], quarterly reports, and applications for funding.
- Participant Interviews: The research team conducted semi-structured interviews via telephone with nine former Project Reset participants across the three program provider organizations. Interviews focused on participants' experiences in the program, including how they learned about the program, perceptions of the program, nature of their interactions with key stakeholders, facilitators/barriers to engaging with the program, and opportunities for improvement.
- Stakeholder Interviews: Researchers conducted interviews with staff members from DANY, the Center for Court Innovation, Young New Yorkers, and Osborne Association in late 2020 and early 2021. Interviewees were asked for their perspective on different aspects of Project Reset, including eligibility, contact processes and case flow, and implementation barriers and facilitators, specifically focusing on the implementation components and implementation processes, including communication among partners, and program-monitoring efforts.
- Program Observations: To better understand how Project Reset is implemented in practice and to assess fidelity to the Project Reset model, we conducted program observations using a structured observation form. We were able to complete a total of three observations across two of the program provider organizations.
- Program Data: We received data from DANY and the three program providers on all diversion-eligible individuals who were arrested between February 1, 2018 through

[1] For more implementation about the youth pilot of Project Reset, see Dalve & Cadoff, 2019.

September 30, 2020[2]. In total, the sample included 4,480 individuals. The data from DANY included information on the individuals' demographics, date and precinct of arrest, charges, diversion program and provider the individual was referred to, the date of referral, whether or not the individual was successfully contacted, and whether or not they completed the program. We conducted descriptive analyses that examined the diversion-eligible caseload over time and the characteristics of those who completed programming. We also provide information about the characteristics of individuals that most strongly predict whether the program could contact the individual to inform them about the diversion option.

- Participant Survey: We surveyed participants about their experience with Project Reset and their criminal justice system beliefs from November 10, 2020, through March 19, 2021. In total, 106 people completed the survey.

Key Findings

Based on our evaluation, we identified key findings related to both program implementation and program outcomes. The findings related to program implementation highlight the existing strengths of the program, as well as opportunities to bolster implementation:

- **Stakeholder Engagement is Important to Program Success:** Program providers described the importance of their relationship with DANY in implementing the program. In particular, they cited DANY's support, availability, and willingness to hear the perspective of the providers. The Salesforce data tracking system was an important tool for facilitating stakeholder communication as well, particularly with respect to making referrals and communicating the status of eligible potential participants. At the same time, it appears that additional communication with other relevant stakeholders – such as NYPD or the defense organizations – could strengthen the program.
- **Lack of Reliable Contact Information and Community Knowledge of the Program are Barriers to Recruitment.** Obtaining reliable and accurate contact information for participants is a key issue. In fact, we found that a sizeable proportion of eligible participants could not be reached by the provider – 41% of individuals eligible under the original criteria and 73% of individuals eligible under the expanded criteria. Without accurate contact information, many eligible individuals were not provided with this diversion opportunity. In addition, even when potential participants are reached, one concern raised about recruitment was that some individuals may be concerned the outreach they receive from programs is a "scam." This is especially the case if they were not previously made aware of the program (e.g., at the point of arrest).
- **There Are Some Inequities in Program Engagement:** Providers raised concerns about difficulty contacting people from certain groups. This was also supported in some of the quantitative data; for example, female participants are about 10 percentage points more likely to be reached than male participants. The quantitative data also indicated that

[2] This analysis is based on cases DANY identified as eligible for programming and referred to the program providers. In the final report, we will examine the extent to which this sample comprises the set of cases whose documented characteristics reflect the specific eligibility criteria.

Black-Hispanic participants were significantly less likely to be reached than non-Hispanic White participants. In addition, among those with a prior conviction record specifically, both White-Hispanic and Black-Hispanic participants were less likely to be reached than White non-Hispanic participants.

- **Participants Highlighted a Range of Program Benefits:** According to the qualitative data collection, participants participated in Project Reset because it sealed their record with no fees, fines, or jail time; it eliminated interacting with the court system; and it mitigated key collateral consequences, such as losing their jobs or immigration-related issues.
- **Program Staff Are Key to Program Success:** Both program staff and Project Reset participants emphasized the importance of program staff in making Project Reset successful, including staff members' dedication and their nonjudgmental approach to working with participants. Staff willingness to evaluate and modify the curriculum in response to feedback was also noted as important. Similarly, participants seemed to benefit from the emotional and mental health support provided by Project Reset staff, and both they and staff felt that connection. As such, it is clearly important to maintain the program providers' emphasis on rapport-building as the program continues in the future, and it serves as a reminder to hire, support, and keep quality staff.
- **Participants Appreciated the Wraparound Support Provided by Project Reset:** The variety of services provided by Project Reset contributes to its success and therefore should be maintained or further developed. Participants valued referrals for outside services that had the potential to be helpful for them. In particular, participants mentioned mental health treatment and legal services. Referrals likely extended the impact of Project Reset beyond the initial "light touch" of the 1-day intervention.
- **Participants Would Benefit from Additional Follow-Up About Their Case Disposition:** Some participants noted that they would have appreciated clearer follow-up after completion so that they were sure their case had been sealed.
- **In-Person Services in Community-Based Settings Promote Engagement**: In addition, the fact that services were located in the offices of non-profits – and even sometimes in local museums and other community settings – rather than courtroom-type settings helped to create a welcoming environment for participants. Although programs were able to transition services to a virtual format due to the COVID-19 pandemic, it does appear that there are benefits of offering the program in-person when it is possible.
- **COVID-19 Had a Substantial Effect on the Provision of Services:** As expected, since early 2020, COVID-19 appeared to significantly lower the number of cases referred to Project Reset. However, there had already been a steady decline of cases pre-COVID-19 since the peak of enrollment in mid-2018. COVID-19 also altered the ability of programs to deliver services, and each program had to pivot dramatically to provide the necessary programs to individuals.

In addition, although we are still in the process of collecting outcome data, we identified the following initial findings related to program outcomes:

- **Participants Have Positive Perceptions of the Program and its Effectiveness:** Overall, participants voiced very positive reviews of Project Reset, its staff, and the content, and they stated they would recommend it to others.

- **Program Participation May be Associated with Improved Views of the Justice System:** While many respondents had a negative outlook on the police specifically and the justice system as a whole, respondents did indicate that Project Reset participation led to a more favorable outlook on the justice system. Most participants indicated that Project Reset improved their opinions of the courts and the police. Even though we cannot draw firm conclusions on the effect that Project Reset had on participant views on the justice system due to the limitation of not being able to survey participants before program participation, the qualitative interviews and survey responses suggest that that the program had a positive impact. This program goal, which was important for DANY, appears to be successful.

Recommendations

Based on these findings, we have identified a preliminary set of recommendations for the program. Because the bulk of our findings focused on program implementation, these recommendations also largely address considerations for ongoing implementation:

- **Increase Community Awareness of the Program and Highlight Benefits to Improve Recruitment:** Efforts to raise the external profile of the program might help to strengthen the perception of program legitimacy, which was a concern raised by participants. This could include clear communication about benefits of the program, including the ways that it helps participants avoid collateral consequences of justice system involvement.
- **Sustain Existing Relationships Among Stakeholders, and Deepen Relationships with Other Relevant Stakeholders:** The strong relationships between program providers and DANY were an important program facilitator. At the same time, providers indicated that additional communication with other relevant stakeholders – such as NYPD or the defense organizations – could strengthen the program.
- **Monitor and Address Inequities in Engagement and Completion of the Program**: Given the finding that certain groups were more difficult to reach than others, it will be critical for the program to implement practices and processes for tracking and monitoring inequities in engagement and program completion. Identifying such inequities is the first step toward being able to address them, such as through tailored recruitment or outreach campaigns.
- **Support Staff Autonomy and Program Flexibility**: Staff dedication to delivering this program was an important facilitator, as was the ability of each program provider to draw on their existing strengths as an organization. Providing encouragement and support to staff to ensure they can continue to fulfill the mission of the program is key.
- **Continue to Offer Programs in In-Person, Community-Based Formats**: Prior to the pandemic, services were offered in community-based locations and group formats, which were described as strengths of the program model. Though the pandemic may create some ongoing obstacles to providing services in this format, it is worthwhile to continue offering services outside of the justice system and, when possible, provide programming in-person.
- **Connect Participants with Needed Services After Completion:** Participants described the value of the referrals they received through the program, and it is important that the providers continue to maintain strong referral relationships to high-quality mental health,

legal, and financial services. This might include referrals provided immediately after participants complete the program, but could also include ongoing contact with program participants, such as through an alumni program. These services can help address risk factors for future justice system involvement. Post-program services should also include better education on how participants can request documentation that their case has been sealed, which could be easily incorporated into the final parts of a workshop.

This two-year interim report provides Project Reset partners the opportunity to reflect on the implementation of the project and learn more about the participants who are being served and the services that are being provided. The remaining time of this project will be focused on the outcome evaluation (research question #2) and cost-benefit analyses (research question #4).

Acknowledgments

This evaluation was funded by the Manhattan District Attorney's Office (DANY), through its Criminal Justice Investment Initiative (CJII). The City University of New York Institute for State and Local Governance (ISLG) is the technical assistance consultant to the Manhattan District Attorney's Office for CJII. We thank our partners at ISLG for their oversight and management of the project.

We thank RAND's Quality Assurance Reviewers for their helpful comments on an earlier draft of this document, and our colleagues Mallika Bhandarkar, Jordan Reimer, and Rosa Maria Torres for their instrumental assistance. We are grateful to the many individuals at the following agencies for participating in interviews, sharing documents and data, answering follow-up questions, and helping with recruitment for the interviews and surveys.

- DANY
- Center for Court Innovation
- Osborne Association
- Young New Yorkers
- New York State Division of Criminal Justice Services (DCJS)

A special thank you to the many participants who participated in the surveys and interviews, your feedback and perspectives are invaluable.

Chapter 1. Background

The Manhattan District Attorney's Office (DANY) has invested funds through its Criminal Justice Investment Initiative (CJII) to support impactful projects that improve public safety and promote a fair and efficient justice system in New York City. Between 2018 and 2022, DANY has committed $7.76 million under CJII to fund Project Reset. Project Reset originally funded three different program providers to implement post-arrest, pre-arraignment diversion programs to divert young adults and adults arrested for low-level nonviolent offenses who do not have a criminal record. These individuals are offered community-based programs instead of traditional court processing and upon successful completion, the arrest is sealed. The core Project Reset program model was designed to be a one-time, two-to-three-hour session. Organizations had few specific requirements to fulfill when designing their programming, although the program RFP suggested that programs include elements such as community service, restorative justice, and educational programming. In July 2019, the eligibility was expanded to individuals with prior convictions. Each of the three funded programs, Center for Court Innovation (CCI), Young New Yorkers (YNY) and the Osborne Association, provides program activities to eligible participants and serves distinct geographical areas of Manhattan; Osborne Association serves Upper Manhattan, CCI serves Midtown and Downtown (for individuals over 21), and Young New Yorkers serves Downtown (for individuals 18-21) (see Chapter 3 for descriptions of each funded program).

Project Reset is funded through CJII's Diversion and Reentry Support Portfolio, which funds DANY's broader investments in diversion and reentry support services to effectively address the needs and risks of young adults and adults in the justice system. The City University of New York Institute for State and Local Governance (ISLG) is the technical assistance consultant to the Manhattan District Attorney's Office for CJII. ISLG provides oversight and performance measurement to Project Reset and other CJII grantees, and oversees this evaluation on behalf of DANY.

The RAND Corporation serves as the Project Reset evaluator. Specifically, the evaluation aims to determine how the initiative and individual programs are implemented, whether the model is effective in reducing risk factors for criminal justice involvement (e.g., recidivism), and whether it is cost-effective. RAND is currently conducting an implementation assessment, a rigorous quasi-experimental outcome evaluation, and a cost-benefit analysis to answer these main four research questions:

1. What were the key implementation challenges experienced by the programs, and how did prosecutors and program providers overcome these barriers?
2. What is the impact of early diversion programs on case outcomes and future re-arrest?

3. What is the impact of diversion programs on defendants' perceptions of procedural justice, legal pressure, and readiness to change?
4. What is the tangible and intangible cost of early diversion programs to the local community?

Purpose of This Report

This *Interim Evaluation* report documents the results of the evaluation to date, specifically a comprehensive program description, implementation evaluation results and preliminary outcomes. For the final report, we will also include a recidivism outcome analyses, utilizing data from the New York State Division of Criminal Justice Services, expected Summer 2022.

Chapter 1. Introduction provides an overview of the program and evaluation.

Chapter 2. Evaluation Methods describes the methodology for the evaluation, including sources of data and the analysis plan.

Chapter 3. **Project Reset Program Overview and Case Processing** provides an overview of the program model and describes eligibility criteria, screening and contact procedures, and a description of program activities.

Chapter 4. Summary of Eligible Individuals, Participants, and Program Case Flow presents information on the monthly counts of diversion eligible individuals, process maps of the diversion outreach progression and a description of the processing of cases referred back to DANY for prosecution, and the impact of COVID-19 on the progression of cases.

Chapter 5. Program Contact, Engagement, and Completion provides detailed information about the participant characteristics that are most predictive of whether they will be contacted, as well as program completion information.

Chapter 6. Factors Affecting Program Implementation discusses the facilitators and barriers to the implementation of the program.

Chapter 7. Perceptions of Program and Impact provides perceptions of the program based on feedback from participants gained from interviews and surveys, as well as interviews with staff.

Chapter 8. Takeaways and Recommendations describes initial findings and outlines planned evaluation next steps.

Chapter 2. Evaluation Methods

In this chapter we review the qualitative and quantitative methods that form this evaluation. The main goals of the qualitative portion of the evaluation are to describe the program implementation process as well as model strengths and challenges. With the quantitative data, we aim to describe the reach of the program, delivery of services, and the participants who were served. Most analyses are descriptive and exploratory to provide a snapshot of the program during the period of implementation covered in this report. All components of the project were approved by RAND's Institutional Review Board (IRB). This IRB review includes the approval of data sharing agreements and all data collection methods, including written consent for qualitative data collection.

Document Review

Because the evaluation started in late 2019 and program implementation had already begun a year earlier, it was critical to understand and review any historical documentation that could provide foundational knowledge about the program and the intended implementation and outcomes associated with each program. To that end, we conducted a document review to understand basic operation and goals of the program. This included a past evaluation report of a youth pilot project of Project Reset,[3] program documentation, quarterly reports, and provider applications for funding submitted to CJII.

Stakeholder Interviews

To better understand the implementation of Project Reset, in early 2020 we conducted preliminary informational discussions with DANY and the programs to introduce the evaluation. These interviews allowed us to speak to program leadership to get an understanding of the program, including how and why the program was created, which allowed us to finalize interview protocols. We also spoke to program leadership about data capabilities, which allowed us to begin drafting the necessary data use agreements. We also spoke to leadership regarding how the program was changing and adapting due to COVID-19.

Following this exploratory period, we conducted 14 semi-structured interviews with program staff across the three program provider organizations, including program leadership and staff members involved in recruitment, service provision, and administrative tasks. Interviews took place from June to August 2020, and we conducted six interviews with staff of CCI; four with

[3] For more implementation about the youth pilot of Project Reset, see Dalve & Cadoff, 2019.

staff of Osborne Association; and four with staff of YNY. Interviews typically included one or two staff members, and all staff provided verbal consent for participation in the interviews. The purpose of these 45-60 minute virtual interviews was to understand the way each organization implemented the Project Reset model (e.g., types of workshops offered), the flow of a typical participant through the program from recruitment to program completion, the nature of communication across the organizations that are involved with Project Reset, facilitators and barriers to implementation, and opportunities for improvement. For the full interview protocol, see Appendix A. Detailed notes were taken during the interviews, and they were also recorded to allow us to fill in gaps in the interview notes following the interview. To analyze the interview notes, we developed a qualitative codebook. Codes were largely developed deductively based on the interview guide. Two members of the evaluation team used the codebook to code an initial interview and then met to discuss discrepancies, after which they independently coded the remaining notes. The coders met regularly during coding to ensure consistent application of codes, and interview notes from two interviews were double-coded to ensure interrater reliability; they achieved greater than 93% agreement. We also drew illustrative quotes from interview notes. Because these are not transcriptions, there is some possibility that there are aspects of these quotes that are paraphrased, rather than a direct quote.

Participant interviews

We conducted semi-structured interviews via telephone with Project Reset participants across the three program provider organizations. We partnered with the program provider organizations for recruitment, with each organization providing the names of individuals who had agreed to be contacted. We requested that programs contribute names of clients from a range of backgrounds and program experiences, and in total received names of 17 participants. Two participants declined to participate after being reached by the evaluation team, and six could not be reached after two to three outreach attempts (including telephone, email, and text depending on available contact information). In total, we completed nine interviews (four with participants from CCI, two from Osborne Association, and three from YNY) between October and December 2020. All participants provided verbal consent for participation and received a $25 gift card for their participation. Interviews typically lasted 20-30 minutes and focused on the participants' experiences in the program, including how they learned about the program, perceptions of the program, nature of their interactions with key stakeholders, facilitators/barriers to engaging with the program, and opportunities for improvement. For the full interview protocol, see Appendix A. We took detailed notes during the interviews which were used for analysis.

To analyze data, we developed a qualitative codebook. Although we designed the participant and staff interview guides to have some comparable domains (e.g., how participants learned about the program, perceived benefits of the program), the different roles of these groups meant that some questions were distinct. Therefore, the codebook was designed to have some codes that

were parallel to those in the staff semi-structured interview codebook and some that were unique to the content of the participant interviews. As with the staff semi-structured interviews, two members of the evaluation team used the codebook to code one interview and then met to discuss discrepancies, after which they independently coded the remaining notes. Application of codes was discussed regularly to ensure consistent application of codes, and interview notes from two interviews were double-coded, resulting in 95% agreement or higher. We also draw illustrative quotes from these interview notes. Because these are not transcriptions, there is some possibility that there are aspects of these quotes that are paraphrased, rather than a direct quote.

Program Observations

To better understand how Project Reset has been implemented in practice and to assess fidelity to the Project Reset model, we conducted three program observations. We developed a structured observation form to examine key elements of program administration, including modality (i.e., via videoconference or teleconference), use of supplemental materials, key content areas, and participant engagement. Because these observations took place after the onset of the COVID-19 pandemic and services were being offered virtually, one member of the research team virtually joined the program session being offered. We were able to observe three workshops across two of the program provider organizations. We were unable to observe a session from the third organization because they raised privacy concerns, as they largely were only able to offer individual counseling sessions during COVID-19. Findings from the observations were used to inform our understanding of the format and content of the sessions and to assess fidelity to the few required elements of the program (e.g., program length).

Program Data

We received data from DANY and the three program providers on all diversion-eligible individuals who were arrested between February 1, 2018 through September 30, 2020. In total, the sample included 4,480 individuals.[4] The data from DANY included data from DANY's own internal case management system as well as a Salesforce platform[5] used to communicate with the program providers about eligible individuals. DANY's case management system provided information on the individual's demographic characteristics (age, gender, race/ethnicity), date

[4] DANY provided data on all individuals eligible for both the adult versions of Project Reset and the version for 16-17-year olds that was not part of this evaluation. To ensure we only included individuals that were eligible for the adult version of Project Reset, we dropped anyone who was arrested before February 1, 2018 (when the adult version rolled out) and who was less than 18 at the time of arrest. Analysis is based on cases DANY identified as eligible for programming and referred to the program providers.

[5] Salesforce is a cloud-based software that helps organizations streamline communication. DANY uses it to convey information to providers when there is an eligible person for the program, and providers then input information on whether the person engages, their program activity, and completion status.

and precinct of arrest, charges, and information on the individual's prior and subsequent arrests when NYPD was the arresting agency.[6] If the individual did not complete diversion programming, the DANY data includes information on all court events associated with the adjudication of the case as well as the final disposition. The Salesforce data included information on the diversion program and provider the individual was referred to, the date of referral, whether or not the individual was successfully contacted, whether or not they accepted the offer to participate in diversion, and whether or not they completed the program. The data from the three program providers includes additional information on individuals who completed programming, including the specific component program completed as well as more detailed information on their personal characteristics (such as their primary language spoken, education level, and employment status).

Based on the data provided to us from DANY, we conducted descriptive analyses that examined the diversion-eligible caseload over time[7], the characteristics of those who completed programming, and the characteristics of individuals that most strongly predict whether the program could successfully contact the individual to inform them about the diversion option. We also used the data to construct process maps which detail the outreach process for the diversion programs as well as the process by which individuals who do not complete diversion have their case adjudicated in court. Many of the analyses we conduct involve using specific subsamples of the full data set. We discuss which subsamples we used, and the reasons certain observations were dropped, when we present each set of results.

Participant Survey

With the assistance of the three program providers, we surveyed 106 participants about their experience with Project Reset and their attitudes about the criminal justice system. From November 10, 2020, through March 19, 2021, the three program providers sent participants a link to the survey upon completion of their Project Reset program, which was hosted on Qualtrics. In addition, they sent information about the survey to prior participants via text and email. We do not have an exact number of current and former participants that the diversion programs contacted because they did not keep track, but we believe it to be several hundred based on their description of their efforts. The survey remains open for future data collection. In total, 106 people have completed the survey. We have included all people who answered each question, so some slight fluctuation exists across the number of responses for each item.

[6] We do not yet have DCJS data, which would provide a more complete criminal history and a more accurate measure of the individual's subsequent offending.

[7] This analysis is based on cases DANY identified as eligible for programming and referred to the program providers. In the final report, we will examine the extent to which this sample comprises the set of cases whose documented characteristics reflect the specific eligibility criteria.

Participants completed a consent form before beginning the survey, and they received a $10 incentive paid as either a Subway or Target gift card at the end of the survey.

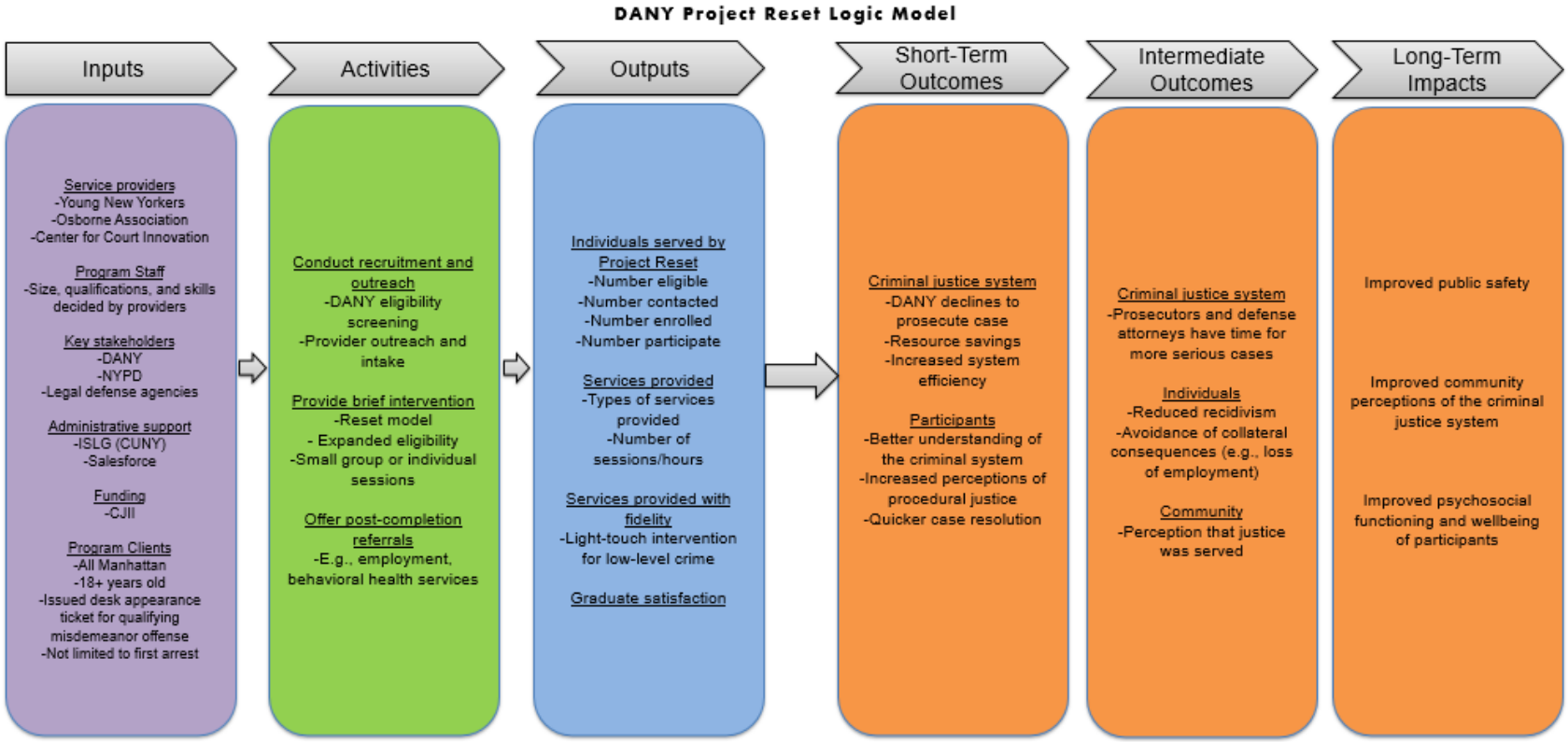
For most items, we collapsed responses across programs, because of the small number of responses from Osborne Association and Young New Yorkers participants, and because responses varied little across programs. For most items, participants read a statement and rated their level of agreement on a 5-point Likert scale (1=strongly disagree, 2=somewhat disagree, 3=neither agree or disagree, 4=somewhat agree, 5=strongly agree). For some items, participants answered on a 4-point scale (1=never, 2=some of the time, 3=most of the time, 4=always), indicating how frequently the courts or police behaved in specific ways. The survey also contained one free-response question that asked, "What do you feel was the most important thing you learned from participating in Project Reset?" A summary of those responses is in Chapter 7 "Perceptions of Project Reset", along with the results from the other survey measures.

Logic Model Development

As we completed interviews and developed a better understanding of the Project Reset model, we worked to develop, modify, and finalize a program logic model. The key purpose of this logic model is to help understand the path by which program inputs and outputs affect change in participant outcomes. The logic model has also guided the quantitative component of this study and helps to illustrate how program outputs and outcomes are measured and conceptualized. To inform the logic model, we also reviewed program documentation and held organized discussions with stakeholders to identify inputs, activities, outputs, and short-term, intermediate, and long-term outcomes. This process was iterative and collaborative, involved all stakeholder agencies, and ultimately reflects researcher-practitioner consensus, rather than researcher-imposed priorities.

The logic model is shown in Figure 2.1. It details the following components with corresponding measures: (1) inputs; (2) program activities; (3) outputs; and (4) short-term, (5) intermediate, and (6) long-term outcomes. The left-hand column of the logic model visually represents the planning and project elements of the program. The activities column represents the major components of the project, including recruitment/outreach, intervention, and referrals. The outputs and outcome columns illustrate the products of activities (outputs) or the overall outcome components of the model (outcomes). The outcomes are delineated by short-term, intermediate, and long-term outcomes. At this early stage of program implementation, this report focuses on reporting on the outputs and the program's level of success at achieving the desired service access and utilization. Through qualitative work, we have also assessed participant satisfaction with the services.

Figure 2.1. Project Reset Logic Model



Chapter 3. Project Reset Program Overview and Case Processing

In this chapter, we provide an overview of Project Reset, including eligibility criteria, screening and contact procedures, and a description of program activities. We also provide a case processing flow chart to show how the diversion outreach process works. For this chapter, we draw on data from qualitative interviews and quantitative program data.

Eligibility for Project Reset

When the Project Reset diversion program first rolled out on February 1, 2018, it had a strict set of eligibility criteria, which are shown in the first panel of Table 3.1. In particular, individuals had to be at least 18 years of age at the time of arrest, have no prior arrests (unless they were sealed), have received a desk appearance ticket (DAT) for an eligible charge, been arrested within selected areas of Manhattan, and not fall within a public safety exception.[8] In the two years following initial program implementation, program eligibility, prosecution practices, and criminal justice system policies within New York City shifted dramatically. Accordingly, the eligibility criteria for the program have expanded: particularly, as of July 2019, eligible participants can now have prior convictions. All of the key events that impacted eligibility and caseloads are summarized in Table 3.1 below, including the statewide criminal justice reforms passed in 2020, as well as the COVID-19 pandemic.

Note that throughout this document we refer to two groups of eligible participants: the "original population" which includes everyone that was eligible under the initial criteria up through the changes that were made in August 2018 (see Table 3.1). The "expanded population" includes those who were eligible under the new criteria that went into effect in July 2019. Therefore, the original population includes individuals who have no prior convictions (although they might have prior arrests), while the expanded population typically includes those with at least one prior conviction.[9]

[8] Individuals fall within a public safety exception if there is either a gang alert or priority felony recidivist alert issued for them, they are on a city-wide multi-hit list, or there is other information from either the NYPD or DANY that the individual poses a public safety concern.

[9] Individuals in the expanded population receive different programming than those in the original population. DANY noted that not everyone in the expanded population has a prior conviction. Specifically, individuals that have already completed programming for the original population must do the programming for the expanded population if they participate in Reset again. Further, if someone had a prior arrest outside of Manhattan, they will typically be recommended for the expanded population programming because DANY cannot always observe the disposition for that arrest (i.e., whether it ended in a dismissal or a conviction). Finally, DANY will also recommend individuals for the expanded programming option if they have other pending cases.

Table 3.1 Timeline of Events That Impacted Who Was Diversion Eligible

Initial Program Eligibility	
February 2018	Project Reset rolls out for individuals: • Who are 18 years of age or older at time of arrest. • Who are issued a DAT at arrest. • Who are arrested in Upper Manhattan or Precincts 19, 20, 24, or 25 in Midtown Manhattan.[10] • Who have an eligible charge listed in Table 3.2. • For whom this is their first non-sealed arrest. • Who do not present a public safety concern.
Changes to Eligibility, Prosecution Practices, and Arrest Practices	
July 2018	• Program rolls out to all of Manhattan: ○ Individuals receiving DATs in Downtown Manhattan and remaining precincts in Midtown Manhattan
August 2018	• Program eligibility expands and DANY changes prosecution practices: ○ DANY no longer prosecutes marijuana possession cases. ○ Eligibility expands to include individuals who have prior arrests (for either misdemeanor or felony charges), so long as they have no misdemeanor or felony convictions.
July 2019	• Program eligibility expands further: ○ Expands eligibility to individuals with prior convictions, as long as they had no prior sex crimes convictions, and no prior violent felony convictions within ten years of the focal arrest. ○ Individuals who have previously taken part in Reset programming are allowed to participate in the program a maximum of three times[11].
January 2020	• New York state passes criminal justice reforms:[12] ○ Expanded use of DATs ○ Window between arrest date and first appearance date in court is shortened, requiring diversion programming to be scheduled in a shorter period of time.

[10] Midtown Manhattan consists of several precincts—only those arrested in Precincts 19, 20, or 24 were diversion eligible between February 2018 through June 2018. In July 2018 all individuals arrested in precincts within Midtown Manhattan were diversion eligible.

[11] As will be discussed later in this chapter, the expanded eligibility population had different programming options than the original population. Individuals were only allowed to participate in programming for the original population once, and could then participate in the programming for the expanded population up to two times.

[12] Key components of the statewide reforms include bail reform, which ruled out the use of bail for misdemeanor and non-violent felony charges, and increased the use of DATs. Changes were also made to speedy trial statutes and policies regarding discovery.

March 2020	• COVID-19 pandemic hits: o Arrests fall. o Court cases are delayed. o Diversion-eligible individuals are given more time to complete programming (due to case delays).

Table 3.2 presents the list of qualifying offenses and indicates that the majority of diversion eligible individuals were charged with petit larceny (68%).

Table 3.2 List of Diversion Eligible Offenses

Offense	Percentage
Petit Larceny	68.0%
Trespassing	8.6%
Possession of Marijuana	5.4%
Possession of a Controlled Substance	5.1%
Graffiti	2.9%
Theft of Services	2.8%
Possession of Stolen Property	2.7%
Criminal Mischief	1.6%
Other offense[13]	3.0%

Project Reset Screening

DANY's Strategic Planning and Policy unit begins the daily screening process by conducting a first pass at those who are potentially eligible. In particular, they pull cases based on the following eligibility criteria: individual received a DAT, had eligible charges, and was age eighteen or above. The query also screens for the location and date of arrest since the diversion program was rolled out in different areas of Manhattan at different times.

Once the Policy and Planning unit conducts the initial query of diversion eligible cases, these cases are sent to DANY's Quality of Life unit, which conducts more in-depth screening on a case-by-case basis. Each individual's official record of arrests and prosecutions (RAP) sheet is examined, which is a criminal history database controlled by the FBI. The unit also checks for any public safety alerts regarding the individual, which would automatically disqualify them from referral to the program. This includes checking whether there is either a gang alert or priority felony recidivist alert issued for the individual, or whether they are on a city-wide multi-hit list. Based on these checks, individuals eligible for the program are identified and entered into Salesforce, which is a case management system DANY uses to communicate with the program

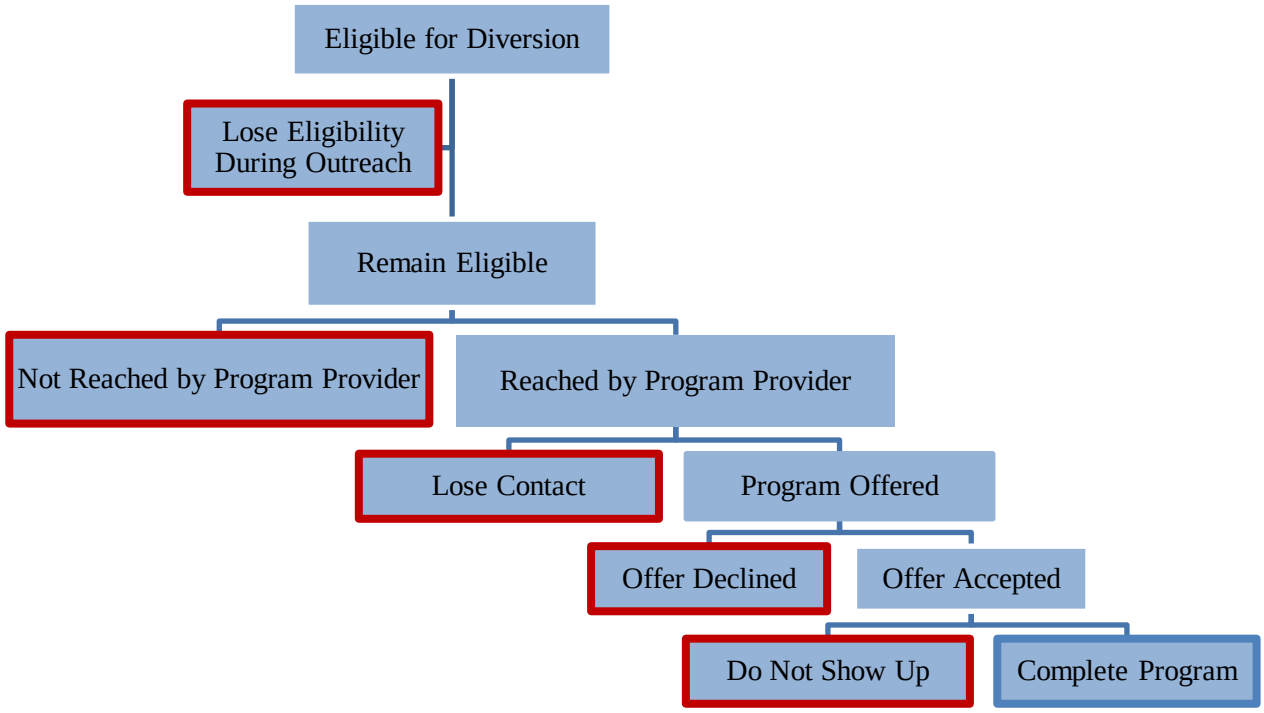
[13] The crime category "other" includes: criminal tampering, criminal use of drug paraphernalia, falsely reporting an incident, promoting gambling, reckless endangerment of property, unauthorized sale of certain transportation services, and unauthorized use of a vehicle.

providers. Based on the age of the individual as well as the location of the arrest, Salesforce notes which program provider is assigned the case. If the individual is arrested in Upper Manhattan, the case is referred to Osborne Association; if the arrest occurs in Midtown Manhattan or if an individual age 21 or older is arrested in Downtown Manhattan, the case is referred to CCI; if the individual is between the ages of 18-20 and arrested in Downtown Manhattan, the case is referred to Young New Yorkers. Salesforce also lists the individual's contact information (which draws directly from the arrest paperwork), details of the arrest, and information regarding the final date of program eligibility.

Project Reset Case Processing Flow

Figure 3.1 shows how the diversion outreach and engagement process works. Program providers are given until a specified date to contact the individual and engage them in programming. During this outreach period, individuals can lose eligibility if they are arrested for a new charge. For those that remain eligible, the program provider will use various methods to contact these individuals. If providers are able to reach the individual at least once, they will offer them the opportunity to engage in diversion programming. However, the provider may lose contact with them before the individual can provide a firm yes or no answer. Individuals offered the program can either accept or decline the offer. For those who accept, some will complete the program, while others may not show up for their scheduled programming session. The boxes in Figure 3.1 outlined in red show the various ways individuals may end up not completing the diversion program—they can lose eligibility, not be reached by providers, lose contact with providers, decline the program offer, or not show up to their scheduled programming session. All of these scenarios result in a situation in which the providers close out the case in Salesforce and DANY begins prosecution. We discuss the process by which these cases are prosecuted in court in the next chapter. The box outlined in blue shows the only way in which an individual can complete the diversion program.

Figure 3.1 Map of Outreach Process for the Original Eligibility Population



The specified date by which programming must be completed is determined by the individual's court appearance date listed on their DAT, as prosecutors needed to start filing paperwork on the cases being prosecuted roughly two to three weeks before this court date. Between the inception of the diversion program through January 2020, the court appearance date was set about 8-9 weeks after the arrest date. During this time, individuals had roughly six weeks to complete programming from the time of the arrest. This arrangement meant that if an individual did not complete programming in this time frame, prosecutors still had the requisite two to three weeks to file the necessary paperwork for cases proceeding in court. This also allowed prosecutors to circumvent all paperwork on cases for individuals who successfully completed diversion programming. In January 2020, the return window for a DAT was shortened to 20 days, and thus the previous procedure was no longer feasible. Instead, individuals had roughly two weeks to schedule their diversion session. Once it was scheduled, prosecutors would delay the court date for one month, and the individual would need to complete programming within that window. Individuals who did not get their programming scheduled within two weeks of arrest were referred for prosecution. Due to the short timeline between arrest and court appearance date, prosecutors were forced to begin working on the paperwork for the case before they knew whether the individual would complete diversion programming. In March 2020, the COVID-19 pandemic delayed court dates for all these cases, which then pushed the window between arrest to first appearance date to at least 120 days (although many cases were delayed

further). DANY has been allowing individuals to have a much longer time frame to schedule and complete programming during this time.

Project Reset Intake Procedures

If an individual agrees to participate in the program, each program has somewhat different intake procedures. CCI collects demographic data from participants as well as information about how they learned about the program and their housing status. They also collect information that might determine whether the individual is better suited for a group or individual session (e.g., acute mental health or substance use concerns). Osborne Association collects basic demographic information and has participants complete a needs questionnaire, which asks about domains such as medical concerns, substance use, mental health, housing needs, employment, education, and family service needs (e.g., childcare). If an individual reports any of these needs, they are offered the opportunity to discuss potential referrals with a program staff member. Young New Yorkers does not have a formal structured intake; instead, when they reach a potential participant, they provide details about the program and its benefits. If the individual agrees to participate, they share information about the session, but wait until the end of the program to collect information from participants (e.g., demographic data).

Program Activities

The core Project Reset program model was designed to be a one-time, two-to-three-hour session. This is consistent with the principles of risk, need, responsivity (RNR) – given that the program is designed to serve low-risk individuals, the intervention is brief. It should be noted that Project Reset organizations do not use a risk assessment instrument to assess eligibility among participants. Therefore, the designation of "low risk" largely refers to the fact that eligibility criteria require participants be charged with one of the eligible low-level crimes and have no prior convictions, until the expansion of the program, which also allowed individuals with prior convictions.

Organizations had few specific requirements to fulfill when designing their programming, although the program RFP suggested that programs include elements such as community service, restorative justice, and educational programming. That said, the three organizations were allowed latitude to develop a program that met the needs of the population they serve. Each of the three organizations offering programming has developed unique programmatic options, which we learned about through a review of program materials, stakeholder interviews that took place in from June to August 2020, and program observations that took place in January 2021. We describe each organizations' services in more detail below.

CCI

Prior to COVID-19 and during initial program implementation, CCI offered separate group workshops for participants ages 18 to 24 (the young adult group) and for participants age 25+. Most participants completed group workshops, which either took place on-site at CCI (for both age groups) or in partnership with the New Museum in Lower Manhattan (for the young adult group). Although there were some differences in the content for each age group, both groups had certain key similarities. The on-site CCI curriculum was based on principles of procedural justice and restorative justice, and programs generally started with an ice breaker and review of group norms and expectations, followed by a discussion of the criminal justice system, including where the participants' cases fit into the larger system (e.g., discussing restorative justice and pre-arraignment diversion). Participants participated in a discussion of the experiences that led to their arrest, and then were given the opportunity to process their own experiences and discuss themes such as feelings of control and perceptions of being a victim versus offender. For the workshops taking place in partnership with the New Museum, a teaching artist co-facilitated the group with a CCI staff member. This workshop began by asking participants to look at art in a gallery space and then use that experience as an "entry point" to discussion – for example, what they see in the art and learning about the artists and themes. This was then used as a segue to connect to discussions related to the criminal justice system, decision-making, or other relevant themes, and was followed by an art-making exercise. Art and art-making were used as ways to help people connect and process their experiences.

CCI's curriculum following eligibility expansion was similar to the original curriculum, beginning with a discussion of the criminal justice system and restorative justice. Rather than a discussion about the arrest experience, though, expanded eligibility participants then participate in a discussion of long-term values. One staff member noted that this is based on their experience that individuals who have prior convictions benefit from a discussion of the values that are important to them and what interferes with pursuing those values.

In addition to the group sessions, CCI offered individual counseling sessions to participants who might have difficulty engaging a group setting, such as individuals with serious mental health concerns or individuals with a language barrier.

In response to the COVID-19 pandemic and associated restrictions, CCI transitioned to a virtual program model in March 2020. Although the organization has the capacity to offer virtual group programs, staff indicated that they have largely been conducting individual sessions to be responsive to privacy concerns and technology issues. They also have not been able to partner with the New Museum for programming (at the time stakeholder interviews were conducted in 2020). These individual counseling sessions include some of the same key topics as the group workshops (e.g., discussion of the criminal justice system, focus on principles of procedural justice and restorative justice), but can include more of an individualized focus on the

circumstances of the individual. The individual sessions can be shorter than the typical 2-2.5-hour group sessions.

Osborne Association

Osborne Association initially offered four workshop options for the original program participants. The first workshop is based on the Social Resilience Model. This workshop began with biopsychosocial education about the impact of stress and trauma on the body, and then it focused on teaching participants three skills to disrupt stress reactions: "tracking," or teaching individuals to identify the physiological sensations that accompany a stress response; "resourcing," a strategy that disrupts the stress reaction by having an individual engage all their senses when thinking of something pleasant; and "grounding," which teaches participants to bring attention to the body's contact to surfaces.

The second workshop is based on principles of restorative justice. This workshop is focused on nonviolent conflict resolution, including education on types of conflicts and how to use strategies such as consensus building and conflict resolution skills. This workshop is offered through a partnership with the Center for Justice at Columbia University.

The third workshop is a Narcan training, during which participants learn about opioid use in New York City and how to administer Narcan if they are with someone who they think may be experiencing an overdose. Participants receive a Narcan kit from Osborne Association that includes a standing, refillable prescription that can be filled by Osborne Association or through a pharmacy.

The fourth option is to participate in Community Benefit Projects, which are community service events organized in partnership with organizations across Harlem and northern Manhattan. Original eligibility participants select one of these programs, which is generally about 2 hours in length; expanded eligibility participants select two programs to complete.

Since the beginning of the pandemic, Osborne Association has been offering the Narcan and Social Resilience Model workshops. Individuals who participate in the Narcan workshop can pick up their Narcan kit from the Osborne Association office or have the kit mailed to them. These workshops can take place via telephone or through a virtual meeting. A small number of participants also opted into individual Community Benefit Days (e.g., assisting a local food pantry).

Young New Yorkers

Young New Yorkers initially offered an arts-focused, 3-hour workshop in partnership with the Swiss Institute. Programs begin with an ice breaker exercise during which participants share how they came to the program. The workshop then shifts to discussing portraiture and how people in different roles present to the world, and then engages participants to take pictures of one another reflecting different identities/occupations (e.g., president, music artist). After this exercise, staff members lead a discussion of the criminal justice system, policing, and collateral

consequences of justice system involvement. This is followed by a pair of exercises focused on decision-making in which participants evaluate the choices they made that led to their arrest and then identify their short- and long-term goals. The session concludes with an art-making exercise that uses the portraits taken earlier in the session. Staff members reported that the curriculum was designed as an alternative between more relaxed arts exercises and more intensive social justice and criminal legal-focused content. When asked about programming for expanded eligibility participants, Young New Yorkers staff noted that they receive few referrals for this group, which was also confirmed in the administrative data.

Young New Yorkers has also adapted their programming over time. In response to COVID-19, sessions moved to a virtual format that takes place over 1.5-to-2 hours. Some content has been adjusted (e.g., the ice breaker has been adapted to a virtual format), and Young New Yorkers sends participants program materials in advance of the session. One staff member estimated that about 40 percent of participants have participated via video conference (e.g., Zoom) and the remaining 60 percent via telephone. In summer 2020, the organization received referrals of several participants who were arrested during the protests taking place in NYC in the wake of the murder of George Floyd. They tailored their curriculum to discuss the history of non-violent protests and engage in a goal-setting exercise.

Follow-Up from the Court

After participants complete Project Reset, program provider staff enter the completion information into Salesforce to notify DANY. Program providers were encouraged to offer referrals to additional supports and services following program engagement, though such referrals are voluntary for participants. Staff of Osborne Association and CCI also provide participants with a completion letter from their program, which participants can use if they need to provide documentation to their employer or school. Participants can also obtain documentation of the decline to prosecute, and the program staff sometimes help participants navigate the request process for this documentation. However, it is unclear how consistently participants request this information, as some participants interviewed reported that they hadn't received official documentation that their arrest had been sealed.

Summary

This chapter described the Project Reset program model and eligibility criteria, including how these have changed over time. This chapter also described the overall screening process and case processing flow. Regarding program activities, each of the organizations offers distinct options for participants. Though many of the offerings explicitly incorporate elements of psychoeducation about the criminal justice system, principles of restorative justice, and arts-based activities, the programs have had flexibility to design workshops that they believe best address the needs of the populations they serve.

Chapter 4. Summary of Eligible Individuals, Participants, and Program Case Flow

In this section we provide information on the monthly counts of diversion eligible individuals. We also present process maps of the diversion outreach progression for individuals eligible under the original eligibility requirements and under the expanded eligibility requirements. In addition, we describe the processing of cases referred back to DANY for prosecution and the impact of COVID-19 on the progression of cases. Throughout this report, diversion-eligible individuals are ones that were explicitly identified by DANY as being program-eligible.[14]

Project Reset Eligible Cases

Figure 4.1 shows how the monthly counts of diversion-eligible individuals has changed over time. To construct the monthly counts of diversion-eligible individuals, we used our original sample of 4,480 diversion-eligible individuals discussed in Chapter 2, but we dropped 94 individuals for whom we either could not determine if they were eligible under original vs. expanded criteria, or whose program records we were unable to match with the files DANY provided.[15] Once this sample was refined, we graphed the monthly average of diversion eligible individuals in Figure 4.1. We graphed these averages quarterly except for the first quarter of 2020. Because there were two big changes within this first quarter that hit at different times—including state criminal justice reforms in January and the COVID-19 pandemic in March—we separated this quarter into two time periods. We generated separate counts for participants with original eligibility and those with expanded eligibility.

[14] Note that this set of individuals might differ from the set that we would identify as being eligible based on all the criteria listed in Table 3.1, as DANY screens for eligibility on a case-by-case basis. As we currently do not have statewide data on arrests and convictions, we cannot currently examine how the set of individuals that would be considered eligible in Table 3.1 compares to the set of individuals that DANY identifies as actually being eligible. In the final report we will examine in detail how these groups correspond to each other.

[15] DANY provided information from both their case management system, as well as Salesforce, which is a separate case management system that tracks what happens when diversion-eligible cases are sent to providers. We consider DANY's data to be the master data set, and we dropped observations for which we could not match in the Salesforce records for that individual.

Figure 4.1 Average Number of Diversion Eligible Cases Per Month, by each Quarter of Program Implementation

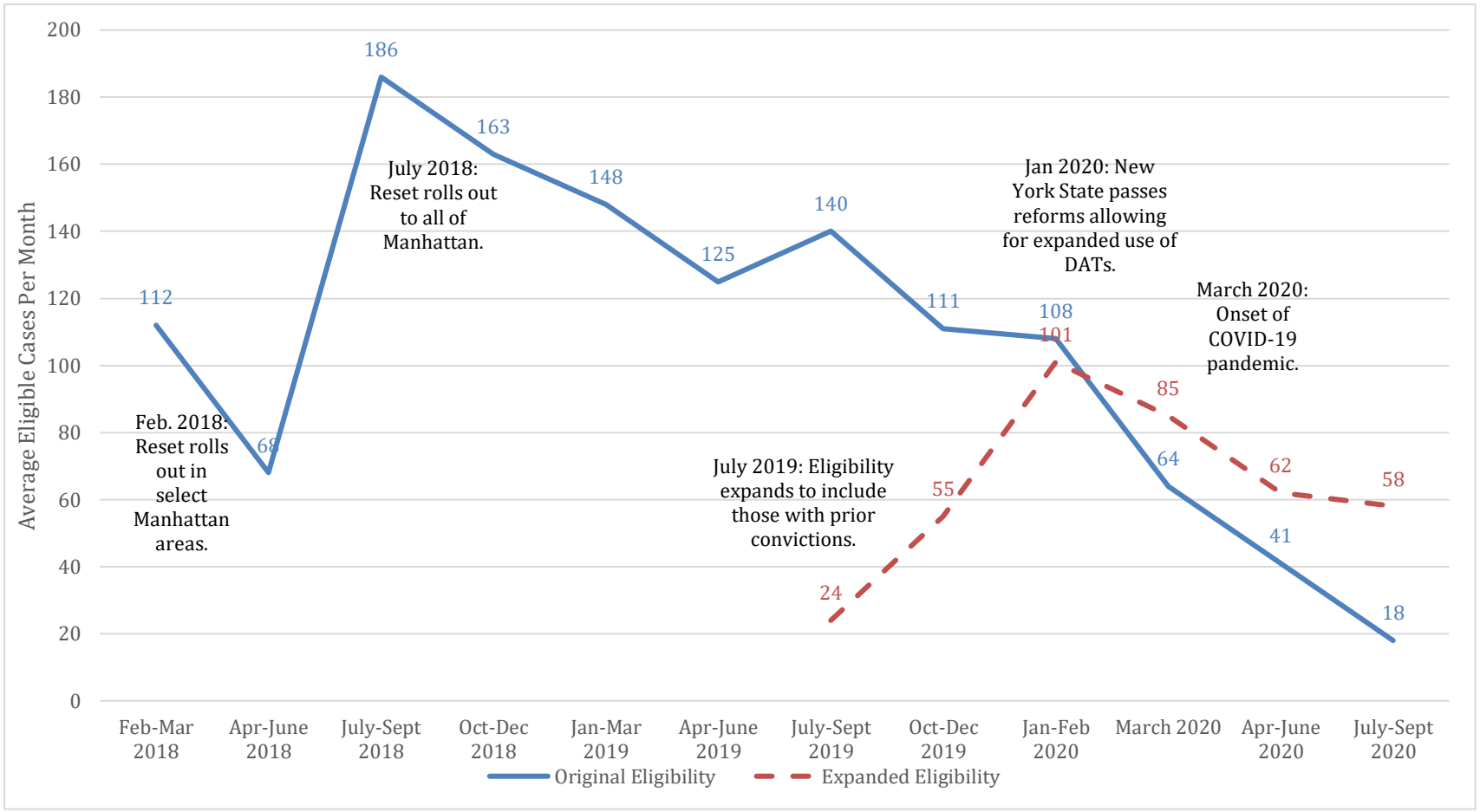


Figure 4.1 indicates that the number of diversion eligible individuals increased substantially in the third quarter of 2018. This was likely primarily due to the fact that the program expanded to all of Manhattan in July 2018. In August 2018, two additional changes occurred that had opposing effects. First, DANY began declining to prosecute marijuana possession cases, which had made up 38 percent of diversion-eligible cases between February through July 2018. Because individuals were no longer arrested for this offense, this led to a decrease in eligible cases going forward. However, DANY also began allowing individuals with prior arrests so long as they did not have any convictions; after this change, about 13% of individuals eligible for the program had prior NYPD arrests, indicating this change led to a noticeable uptick in the number of eligible individuals.

As noted earlier, in July 2019 eligibility expanded to include individuals with prior convictions—this group of individuals is referred to as the "expanded eligibility" population in Figure 4.1.[16] In January 2020, New York State expanded the use of DATs such that police officers were required to issue a DAT for certain arrest charges. Previously, law enforcement had much more discretion as to whether they would issue a DAT versus use an in-custody arrest which required an individual to be jailed until arraignment. Figure 4.1 indicates this DAT policy change seemed to have a bigger impact on increasing the number of eligible participants for the expanded eligibility population, as eligible individuals in this grouping increased in January/February 2020 (compared to the previous quarter), whereas the number of individuals eligible under the original eligibility requirements continued to decline during this same time period. This is to be expected because the policy change regarding how DATs were issued likely had the biggest impact on those with prior convictions (i.e., after the change, those with prior convictions may have been much more likely to receive a DAT than before). In March 2020, the impacts of the COVID-19 pandemic began to be realized in Manhattan, and arrests dropped substantially, which meant the number of diversion-eligible individuals dropped as well. Reasons for the drop in arrests include both a decline in enforcement of low-level offenses as well as reduction in the commission of eligible crimes.[17]

Overall, the number of eligible individuals was substantially lower than DANY anticipated. This occurred for two primary reasons. First, when the initial set of eligible offenses was developed, theft of services and marijuana possession comprised roughly half of eligible participants. However, around the same time as the initial roll-out of the diversion program in February 2018, DANY stopped prosecuting turnstile jumping (which is the most common offense charged as theft of services); and in August 2018, DANY also stopped prosecuting marijuana possession cases. These two declination policies cut anticipated program referrals in

[16] There were exceptions to this policy in that individuals were not eligible if they had prior sex crimes convictions or had prior violent felony convictions.

[17] https://capindex.com/covid-19-crime-new-york-city-crime-study-for-2020/

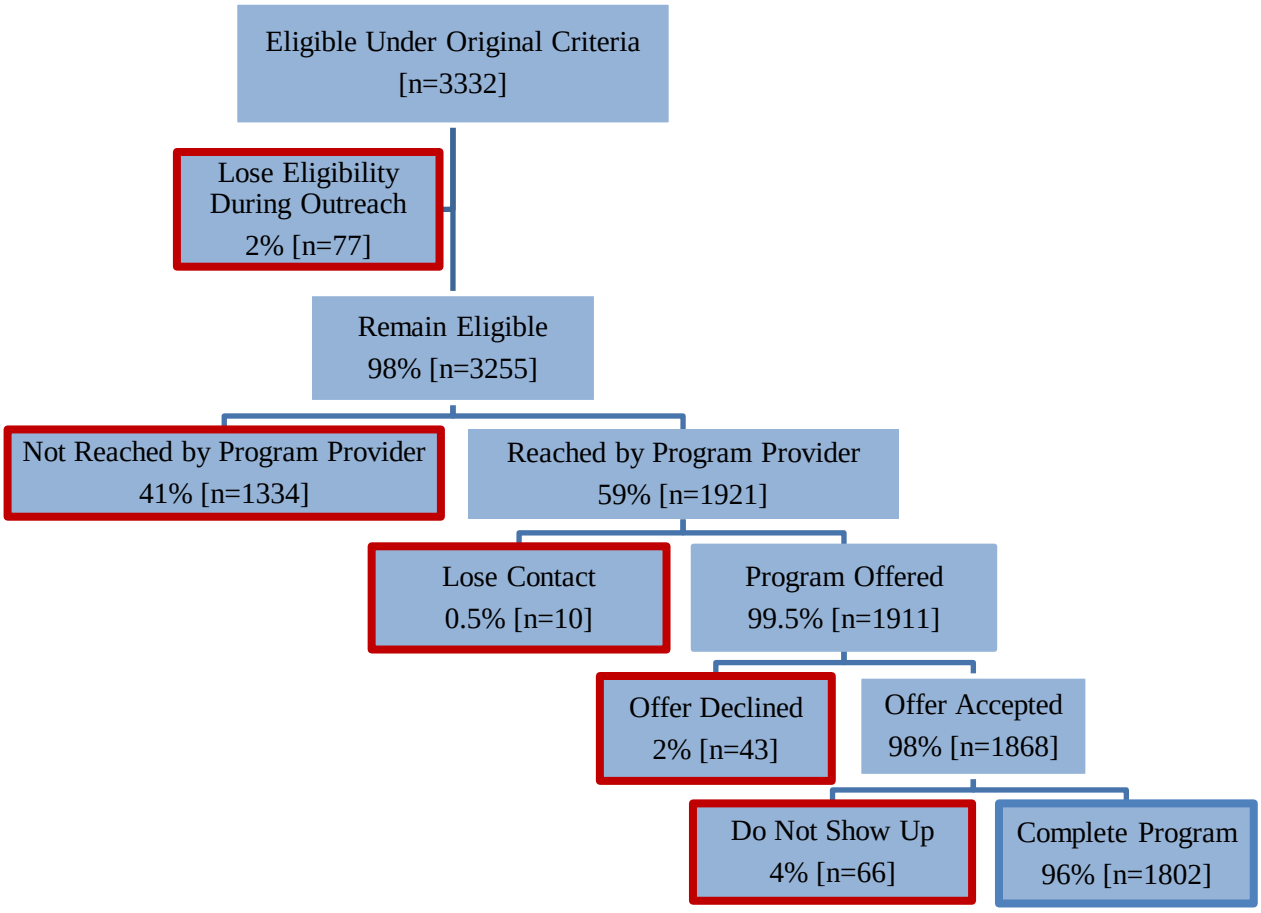
half. The second reason eligibility was lower than initially envisioned was the COVID-19 pandemic, which reduced arrests substantially beginning in March 2020 (as discussed above).

Project Reset Process Maps

Figures 4.2 and 4.3 present the diversion process and progression maps for individuals eligible under the original eligibility requirements and under the expanded eligibility requirements, respectively. As noted in the section above, we began with a sample of 4,480 observations and had to drop 94 observations for whom we could not determine original vs. expanded eligibility, or whose program data we could not match to DANY files. To construct these maps, we refined the sample further. First, we dropped 87 observations whose records did not indicate the program provider assigned to the case. We dropped an additional 117 cases where the records indicated conflicting information as to whether the individual completed programming. Finally, we dropped 86 cases where outreach was either currently ongoing or the outcome of the outreach effort was unknown. This leaves a sample of 4,096 observations of the original 4,480 (91%)—including 3,332 individuals who were eligible under the original criteria, and 764 individuals who were eligible under the expanded eligibility criteria (i.e., they had prior convictions). As was the case with Figure 3.1, the boxes outlined in red show the various ways individuals may end up not completing the diversion program, while the box outlined in blue shows the only way in which an individual can complete the diversion program.

Figure 4.2 indicates that two percent of originally eligible individuals became ineligible during the outreach period because they were arrested again during the outreach period. Among those who remained eligible, only 59% could be reached by the program provider. Program providers used the contact information from the arrest paperwork (which was entered into the Salesforce database) when conducting their outreach with individuals. The contact information could include either a phone number, an address, both, or occasionally an email address. Providers reported that they send outreach letters or postcards when an address is available and make telephone calls and send text messages when a phone number is available.

Figure 4.2 Map of Outreach Process for the Original Eligibility Population



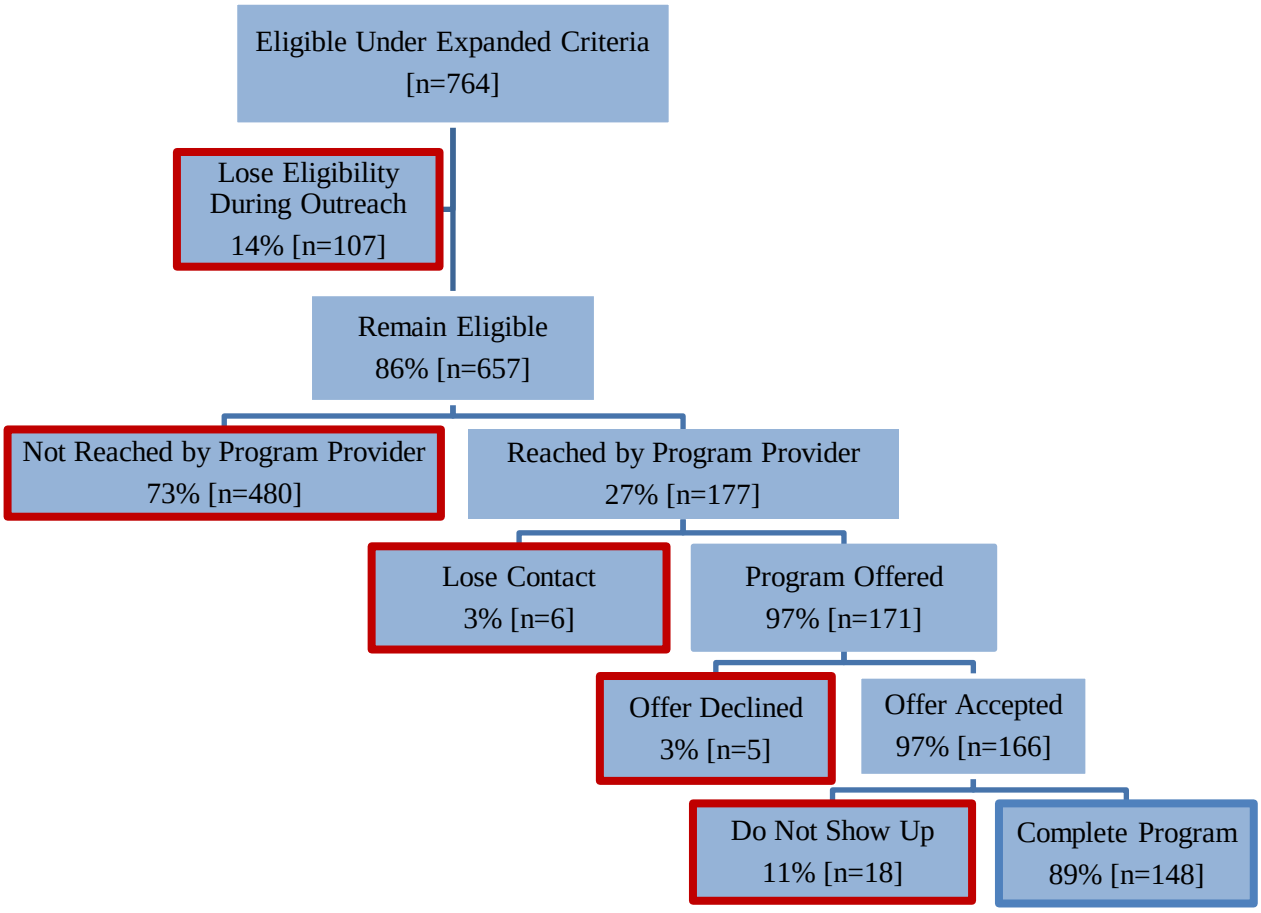
Based on discussions with program providers, there were two key reasons why outreach was so difficult: (1) the contact information listed was invalid (either it was wrong or was incomplete and effectively non-actionable, which occurred, for example, when an address only included the street but not the building number); or (2) at least some of the information seemed correct but they could not get in contact with the individual (which was particularly prevalent in situations where a phone number was not listed even if an address was listed).[18] Providers noted that outreach tended to be more successful when they had an accurate telephone number. In Chapter 5, we provide more details on the characteristics of who could and could not be reached. Providers were able to offer the program to almost all of the individuals they were able to initially reach. Of those offered the program, 98% of individuals accepted the offer to complete

[18] DANY noted that the address provided by the individual generally should be correct, because individuals typically need to provide a form of identification to law enforcement that verifies their address. However, many of these individuals may not be reached because program providers send a letter to their address, which the individuals may not open; in other cases, for instance, if the individual lives with other people, the individual may not receive the letter.

the diversion program, while 2% declined the offer. Of those who accepted the offer, 96% actually completed the program, while the remaining 4% did not show up to their scheduled session. All of the outlined boxes in Figure 4.1 represent an end-stage in the process—boxes outlined in red indicate those individuals will be referred for prosecution, while the box outlined in blue corresponds to the set of individuals that completed diversion programming and had their case declined by DANY. Of the total 3,332 individuals initially eligible, 54% completed diversion and 46% had their cases referred for prosecution.

Similarly, Figure 4.3 demonstrates the process for individuals eligible under the expanded criteria. As compared to the group eligible under the original eligibility criteria (who did not have prior convictions), there were a few key differences in outreach outcomes here. First, a larger percentage of individuals (14%) lost eligibility during the outreach period. This is potentially to be expected because eligibility is typically lost by being arrested again during the outreach period, and the expanded eligibility group already had higher rates of prior arrest. Second, the proportion of individuals that remained eligible that were not reached is much higher for the expanded eligibility group than for the original eligibility group (73% versus 41%). Finally, among those that accepted the offer to do the program, a higher fraction of individuals in the expanded eligibility group do not show up for their scheduled session (11% versus 4%). These factors combined to make the rate of successful program completion much lower for individuals eligible under the expanded criteria: of the 764 individuals that are initially eligible, only 19% complete programming (compared to 54% in the original eligibility population).

Figure 4.3 Map of Outreach Process for the Expanded Eligibility Population



While heretofore we have not mentioned NYPD's role in our discussion of the processing of diversion eligible cases, it is important to discuss their role in the overall diversion process. The decisions NYPD makes play a large role in determining who is eligible, as they both determine what offenses to charge the individual with and whether they are going to issue them a DAT versus an in-custody arrest. In addition to this, Figures 4.1 and 4.2 indicate that many diversion-eligible individuals do not complete programming because providers cannot contact them. The contact information used by providers is collected by NYPD at the time of the arrest. The ability for NYPD to collect accurate and thorough contact information likely depends on the nature of the interaction between the officer and the individual arrested as well as the extent to which NYPD informs the individual that the contact information can be used to contact them regarding diversion programming. Our conversations with DANY indicated that the original vision was for NYPD to be the initial point of outreach for the program—the NYPD officer would provide the individual a flyer about the program and hopefully would discuss the purpose of the program, encouraging them to participate. However, once eligibility requirements were relaxed

(particularly with the onset allowing those with prior convictions to participate), NYPD involvement in informing individuals about the program seemed to decline markedly.

The Processing of Cases Referred Back to DANY for Prosecution (in instances of non-program engagement)

In this section we discuss the process for cases that are referred back to DANY for prosecution. These cases consist of the individuals who were not reached or were reached but did not complete programming. We do not include cases for individuals who were determined to be not eligible over the course of the outreach period because we want to examine what court processing looks like for diversion-eligible individuals. Thus, this analysis takes the samples used to construct Figures 4.1 and 4.2 and drops individuals who either completed programming or lost eligibility. As will be discussed in the next section, the COVID-19 pandemic had a dramatic impact on how these cases were handled in court. Our analysis in this section thus focuses only on individuals who were arrested before January 1, 2020 so that their case progression should largely have been unaffected by the pandemic. These restrictions result in a sample of 1,333 individuals, which consist of both those who were eligible under the original criteria as well as the expanded criteria. For this sample we observe all case events that occurred up through September 30, 2020.

The analyses presented in this section are intended to provide a more descriptive understanding of what the court process looks like but should not be interpreted as the causal impact of not completing diversion. Because of the way the outreach process works, those who completed diversion are likely systematically different than those who do not (as will be shown in Tables 5.1 and 5.2), and thus we cannot assume that what happens to the individuals who went through the court process is exactly what would have happened for the individuals who completed diversion programming had they gone to court.[19] Once we receive data from DCJS, we will be able to conduct a more careful analysis of the impact the diversion program had on case processing.

Our discussions with DANY indicated that, for arrests that occurred before January 1, 2020, prosecutors did not begin work on the case until it was referred back to them (i.e., after non-program engagement). Figure 4.4 indicates that during this initial screening post-outreach, DANY ends up declining to prosecute 4% of these cases. For the remaining 96% of cases where DANY proceeds with prosecution, individuals need to show up in court for an arraignment and potentially need to have additional court appearances in the future depending on the circumstances. Among those that are prosecuted, there are five different outcomes that can occur, which are discussed in detail below. The majority of these cases were resolved with an

[19] For example, those who completed diversion were less likely to have prior misdemeanor or felony arrests than those that were eligible but did not complete diversion.

Adjournment in Contemplation of Dismissal (ACD), which means the prosecutor dismisses the case if the individual meets certain conditions for a given time period, which is often six months.[20] Some ACDs only require that the individual remain arrest-free over the supervision period, while others require that the individual also pay restitution or complete programming. When additional conditions such as these are attached, the individual usually has additional court appearances during the supervision period to ensure they are complying with the conditions of their ACD. Of the cases prosecuted, 54% received an ACD that ultimately resulted in a dismissal. Five percent of prosecuted cases received an ACD but had not completed the supervision window yet, so no final action on their case had been determined.[21]

Sixteen percent of prosecuted cases ended in a plea deal where the individual was convicted of a charge.[22] During this time period, there were no convictions that occurred outside of a plea deal. Individuals can be convicted of either the misdemeanor they were originally charged with, or they could be convicted of a violation, which is not considered a crime and thus does not generate a criminal record.[23] There are a variety of sentences possible when an individual is convicted—these include no sentence, a fine, community service or other required programming, or incarceration time.[24]

Six percent of prosecuted cases ended in a dismissal that was not part of an ACD. Many of these dismissals involved the individual making multiple court appearances before their case was dismissed. Finally, 19% of cases prosecuted were still pending. Generally, almost all of these pending cases occurred due to a failure to appear—either individuals never showed up for their arraignment, or they did not show up for a future necessary court appearance. As a result, the case was stalled from moving forward.

It is important to note that while our process map indicates there are five possible outcomes that can occur when DANY decides to prosecute a case, two of these outcomes—case pending and ACD/Waiting--are intermediate outcomes which occur because these cases hadn't finished by our final date of observation (September 30, 2020). This indicates that once we can track the final outcomes on all cases, there will be three main outcomes: (1) the case is dismissed outright;

[20] ACDs for marijuana offenses have a supervision period of up to one year; ACDs for the remainder of offenses that are diversion eligible should have a supervision period of six months.

[21] Declining to prosecute a case and dismissing a case have the same legal effect. The key difference is that with a declination to prosecute, the case is never docketed, and thus does not generate a court record. However, the record of the arrest is sealed for both declinations and dismissals.

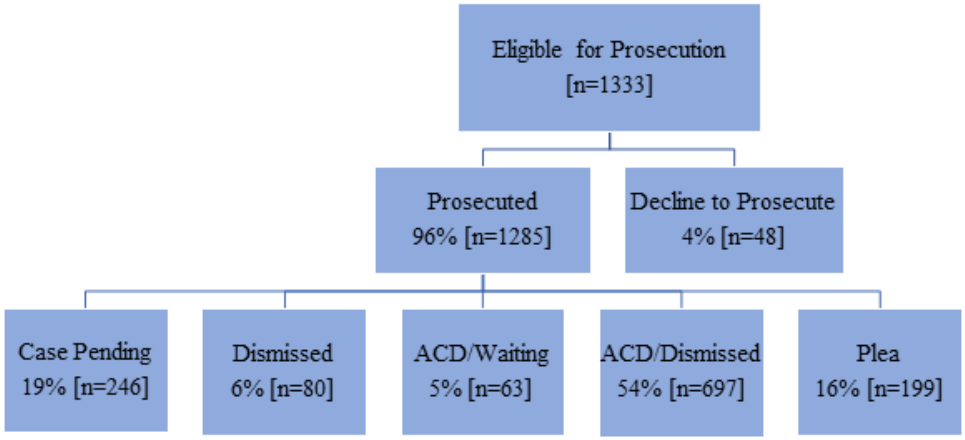
[22] Only two of these plea deals originated from an ACD that was revoked.

[23] The data we currently have does not identify what charge the individual was convicted of. In the final report we will obtain data on this so that we can distinguish between being convicted of a misdemeanor versus being convicted of a violation.

[24] We currently do not observe the specific sentence a convicted individual receives, but we will examine sentencing outcomes in the final report.

(2) the case is dismissed through an ACD; and (3) the defendant was convicted of the charge (which mainly seems to happen through plea deals).

Figure 4.4 Process Map of Cases Eligible for Prosecution

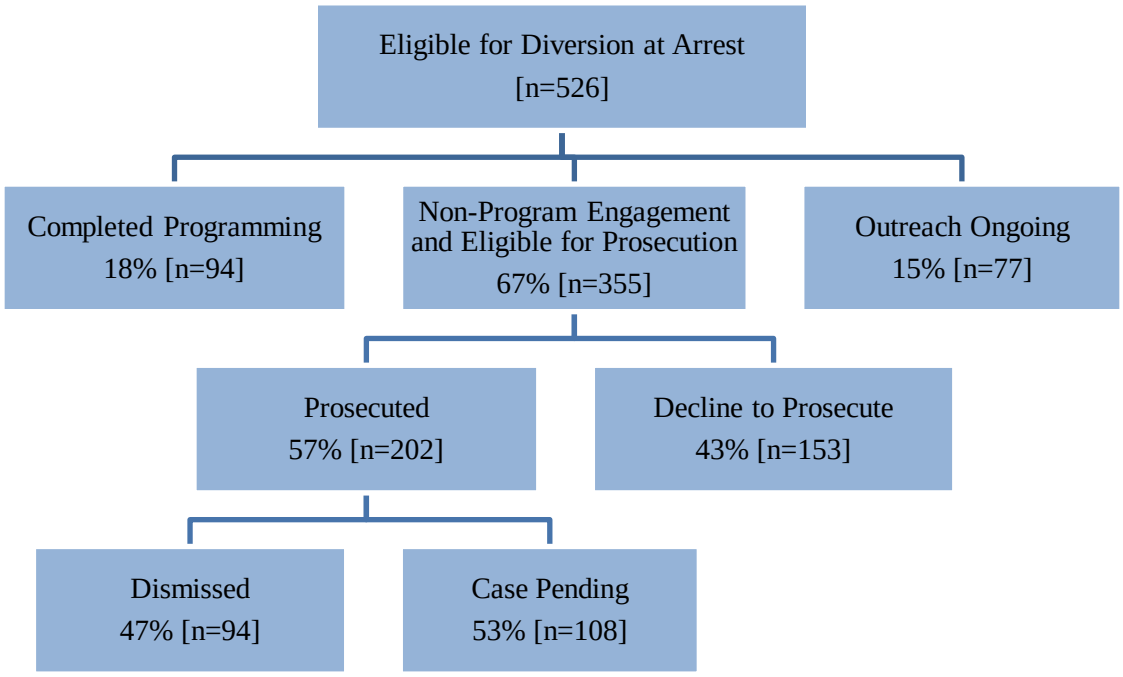


The Impact of COVID-19 on the Progression of Cases

The COVID-19 pandemic necessitated several changes in both the initial outreach process as well as the way these cases were handled in court, and we detail some of these changes in this section. For these analyses we begin with the sample used to construct Figures 4.2 and 4.3, but only include those who were arrested on March 14, 2020 or later (through September 30, 2020).[25] For this exercise we also include individuals for whom the outreach process was still ongoing in order to understand what the general picture looked like for all individuals eligible for the program after the onset of the pandemic. This results in a sample of 526 cases, and Figure 4.5 documents how these cases progressed through both the outreach and court processes.

[25] These analyses are not looking at the set of cases where arrests occurred between January 1, 2020 through March 13, 2020 because the lifetime of those cases somewhat straddle the COVID pandemic, making it difficult to cleanly examine the impact of the pandemic. Specifically, the early events for those cases would have been pre-pandemic, but then later events would have been post-pandemic.

Figure 4.5 Diversion Outreach and Prosecution Process During COVID-19



As discussed earlier, after the onset of the pandemic, diversion programming was still available but switched to a remote version. Court appearances were delayed during this time period, and as a result DANY allowed program providers longer periods to conduct outreach. Providers reported that fewer people were being referred to the program, especially in the early stages of the pandemic, which is consistent with the numbers reported in Figure 4.1. They did not perceive changes in their ability to successfully contact potential participants, which continued to be hampered by problematic contact information. However, some providers reported more difficulty scheduling participants once they had contacted them, and speculated that the longer timeframe to complete the program meant that participants did not feel the same urgency to schedule their program session. Figure 4.5 indicates that, of the arrests that occurred after the onset of the pandemic, 18% of individuals completed programming, 67% were referred back to DANY for prosecution, and program providers were still in the outreach stage for the remaining 15% of individuals.

Among the individuals eligible for prosecution, there are clear differences in how these cases were handled in court after the onset of the pandemic. Generally, the data indicates that because court appearances were difficult, DANY tried to close out as many of these cases as possible through either a declination of charges or by dismissing charges once they had been filed. Specifically, while previously DANY only declined to prosecute 4% of cases referred back to them (see Figure 4.4), after the pandemic began, they declined to prosecute 43% of these cases. In deciding on whether to prosecute a case during the pandemic, DANY weighed many factors

related to the court and jail system, public safety, and public health; they determined that many of the cases eligible for pre-arraignment diversion should be dismissed in the interest of justice. Further, a much higher fraction of cases prosecuted were dismissed—during the pandemic DANY dismissed 47% of cases, compared to 6% of cases in the preceding period. The remainder of cases—which represent 53% of those in which DANY pursued prosecution—are all pending since (as of September 30, 2020) there have been minimal court appearances associated with them. Individuals who have their case pending are ones where presumably DANY intends to move forward with the case once the court returns to normal activity. The majority of these cases are associated with individuals eligible under the expanded criteria, as most of the individuals eligible under the original criteria that made it to this stage had their case dismissed.[26]

Summary

This chapter described the average monthly counts of diversion eligible individuals, as well as process maps of the diversion outreach progression. DANY staff are responsible for screening cases for eligibility, and eligible cases are entered into Salesforce, which are then reviewed by the provider organizations. The Project Reset program providers are then responsible for conducting outreach to eligible participants. However, a notable issue is that a sizeable proportion of eligible participants cannot be reached by the provider—41% of individuals eligible under the original criteria and 73% of individuals eligible under the expanded criteria. Among those who are reached by the program, however, the majority go on to complete the program. For those who do not enroll in Project Reset, many receive an ACD and will have their case dismissed; however, there may be additional conditions attached as part of this process. In addition, 16% of prosecuted cases ended with a plea deal and conviction.

[26] Among cases for individuals eligible under the expanded criteria that have their cases referred for prosecution, 37% have charges declined, 24% have their case dismissed, and 39% have their case listed as pending. For individuals eligible under the original criteria that have their cases referred for prosecution, 58% have charges declined, 35% have their case dismissed, and 7% have their case listed as pending.

Chapter 5. Program Contact, Engagement, and Completion

This chapter examines which participants are more likely to be successfully contacted by program providers. We begin with a discussion of what the diversion-eligible population looks like, and then examine which characteristics are most predictive of whether they will be successfully contacted. We close with a more in-depth examination of the characteristics of who completes the diversion programming.

Description of Diversion-Eligible Population

As most of our analyses in this chapter will examine what characteristics are predictive of whether someone is successfully contacted by program providers, it is useful to first understand the characteristics of the diversion-eligible population. Table 5.1 presents summary statistics of this sample. The first column of Table 5.1 corresponds to the full sample—this corresponds to the same sample that was used to construct Figures 4.1 and 4.2, except we drop the participants who were deemed ineligible during the outreach period, which leaves us with a sample of 3,912 cases. The remaining columns break the full sample out into subsamples based on their prior criminal history: "No Record" corresponds to participants who were in the original population and had no record of prior NYPD arrests, "Arrest Record" corresponds to participants who were in the original population but had a prior record of NYPD arrests, and "Conviction Record" corresponds to those who were in the expanded population. For much of our analysis in this chapter we break out the results by these subsamples because we expect prior record to be one of the key ways in which participants are likely to differ.

Overall, CCI serves as the program provider for about two-thirds of eligible participants, with Osborne Association and Young New Yorkers serving the remaining 29% and 4%, respectively. There are several characteristics that vary based on criminal history. Specifically, relative to those with no prior history, participants with prior convictions tend to be older, and are more likely to be male. Black non-Hispanic participants are also more likely to show up in this group with prior convictions, while Asian participants are less likely.

Table 5.1 Summary Statistics of Diversion-Eligible Population

	Overall	No Record	Arrest Record	Conviction Record
Program Provider				
CCI	67.1%	65.6%	71.9%	71.4%
Osborne Association	29.0%	29.6%	25.5%	27.9%
Young New Yorkers	3.9%	4.8%	2.6%	0.8%
Year of Arrest				

2018	35.4%	45.8%	15.3%	0.0%
2019	43.4%	43.0%	68.0%	32.3%
2020	21.2%	11.2%	16.7%	67.7%
Neighborhood of Arrest				
Upper	28.9%	29.6%	25.5%	27.7%
Midtown	43.2%	41.7%	44.0%	49.0%
Downtown	27.9%	28.7%	30.5%	23.3%
Defendant Characteristics				
Age				
Age 18-20	17.0%	20.6%	11.1%	4.3%
Age 21-24	16.8%	19.2%	18.5%	5.2%
Age 25-29	17.4%	18.1%	21.7%	12.3%
Age 30-39	21.2%	18.9%	26.7%	28.5%
Age 40-49	12.1%	10.5%	10.0%	20.2%
Age 50 plus	15.5%	12.7%	12.0%	29.5%
Gender				
Male	56.5%	51.7%	58.9%	76.6%
Female	43.5%	48.3%	41.1%	23.4%
Race/Ethnicity				
White Non-Hispanic	24.1%	25.5%	15.5%	22.2%
White-Hispanic	24.1%	24.2%	21.1%	25.0%
Black Non-Hispanic	32.3%	28.1%	48.7%	42.0%
Black-Hispanic	7.6%	7.6%	7.3%	7.6%
Asian/Pacific Islander	10.3%	12.6%	6.5%	1.8%
Other/Unknown	1.7%	1.9%	0.9%	1.4%
Observations	3,912	2,914	341	657

Outreach Procedures

As discussed in Chapter 4, program staff conduct outreach via mail, telephone, and/or email, depending on the available contact information. Generally, the outreach that participants receive from the program is the first time that they learn about Project Reset. Staff members noted that for the youth pilot of Project Reset, implemented by CCI,[27] NYPD was more involved in the referral process and often told individuals about the program at the point of arrest. Therefore, potential participants were familiar with the program when they received outreach from the program. However, NYPD is no longer as actively engaged in recruitment. Program staff indicated that some individuals can be skeptical when they first learn of the program because it can seem "too good to be true." As one participant indicated, "I did think it was too good to be

[27] For more implementation about the youth pilot, see Dalve & Cadoff, 2019.

true. I had never heard anything about [the program] before. When people get arrested, there's not usually any sort of program that can help them drop their charges." As described in Chapter 4, the majority of participants who are contacted accept the opportunity to participate in the program.

Factors Associated with Successful Outreach

The earlier analysis makes clear that one of the primary reasons participants do not complete diversion programming is because providers were unable to contact them and invite them to participate. In this section we examine what characteristics predict whether someone could be reached, in an attempt to understand how outreach could be improved.

Table 5.2 examines the percentage of individuals that could be reached for various subgroups which are defined by criminal history, program provider, year and neighborhood of arrest, and demographics. Each value in the table indicates the percent of individuals with that characteristic that could be reached. For example, the second entry indicates that 60.3% of participants with no prior arrest history were able to be reached.

Table 5.2 Percentage of Eligible Individuals Who Were Reached

Characteristics	% of Group Contacted
All Participants	53.6%
Criminal History (most serious prior incident)	
No Prior Arrest	60.3%
Prior Misdemeanor Arrest	51.0%
Prior Felony Arrest	40.8%
Prior Conviction	26.9%
Program Provider	
CCI	52.5%
Osborne Association	53.0%
Young New Yorkers	78.6%
Year of Arrest	
2018	56.1%
2019	58.8%
2020	39.0%
Neighborhood of Arrest	
Upper	52.7%
Midtown	55.2%
Downtown	52.2%
Defendant Characteristics	
Age	
Age 18-20	62.9%
Age 21-24	58.3%

Age 25-29	54.0%
Age 30-39	45.5%
Age 40-49	47.1%
Age 50 plus	54.1%
Gender	
Male	46.3%
Female	63.2%
Race/Ethnicity	
White Non-Hispanic	55.8%
White-Hispanic	51.3%
Black Non-Hispanic	51.7%
Black-Hispanic	44.9%
Asian/Pacific Islander	65.1%
Other/Unknown	61.8%

Many of the characteristics in Table 5.2 are correlated with each other. Specifically, Table 5.1 indicates that race, age, and gender are correlated with criminal history, making it difficult to identify the extent to which each one of these variables is separately predictive of being reached. We thus conducted a regression analysis to better isolate the impact of a given characteristic from the variables it is correlated with. Appendix Table B.1 presents the odds ratios from a logit model which regresses an indicator for whether a defendant could be reached on the characteristics shown in Table 5.2.[28] For simplicity of interpretation, in Table 5.3 we present the core takeaway results from this logit regression in a more intuitive way. Each entry in the table corresponds to the predicted probability from a logit specification that an individual with that characteristic will be reached, holding constant the effects of the other characteristics included in the model. Note that while our model continues to account for all variables shown in Table 5.2, we only present the results for a more limited subset in Table 5.3.

The first entry in Table 5.3 shows the predicted probability of being reached for someone who has no prior arrests, but is average with respect to all other characteristics included in the model. The second entry shows the predicted probability of being reached for someone who only has prior NYPD misdemeanor arrests, but is again average with respect to all other characteristics included in the model. In this way, by comparing the predicted probabilities within each grouping, we can isolate the impact of that characteristic on the likelihood of being reached from other characteristics. We treat the first entry in each criminal history, gender, and race grouping as the reference group, and the stars indicate whether the predicted probability for the other values in the grouping are significantly different than for the reference group. For further ease of interpretation, Figure 5.1 presents a bar chart of the results from the first column of Table 5.3.

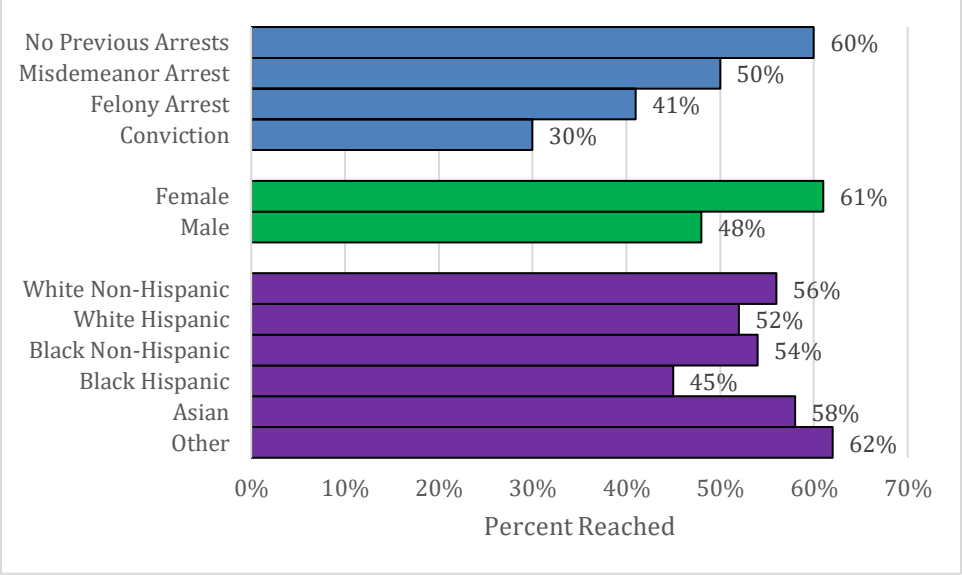
[28] The one exception to this is that we did not control for location (i.e., Upper, Midtown, or Downtown) due to the high correlation between those variables and program provider.

Table 5.3: Logit Regression-Adjusted Predicted Probabilities of Who Was Reached

	Overall	No Record	Arrest Record	Conviction Record
Criminal History				
No Previous Arrests	0.599	---	---	---
Misdemeanor Arrest	0.504***	---	---	---
Felony Arrest	0.408***	---	---	---
Conviction	0.299***	---	---	---
Gender				
Male	0.481	0.544	0.423	0.238
Female	0.608***	0.673***	0.552**	0.323**
Race				
White Non-Hispanic	0.559	0.618	0.529	0.318
White Hispanic	0.515*	0.594	0.430	0.221*
Black Non-Hispanic	0.538	0.604	0.487	0.259
Black Hispanic	0.447***	0.520**	0.365	0.189*
Asian	0.583	0.662	0.548	dropped
Other	0.616	0.667	dropped	0.302
Observations	3,912	2,914	338	640

Note: These predicted probabilities were estimated from a logit specification. Within each grouping, the predicted probability presents the probability of being reached for someone who has that characteristic and has average values for all other characteristics. The full set of characteristics included in the model are: criminal history, provider, year of arrest, gender, age group, and race/ethnicity. The stars indicate whether a participant with that characteristic value has a probability of being reached that is statistically different from the reference group category, which is the first value for each grouping. *, **, and *** represent significance at the 10%, 5%, and 1% level, respectively.

Figure 5.1: Percent of Individuals Reached by Selected Characteristics



Note: The estimates for this bar chart were obtained from Column 1 of Table 5.3, i.e., the probability of being contacted for specific groups while holding other variables at their mean values.

The results from Figure 5.1 indicate criminal history is very predictive of whether someone can be reached. While those with no prior NYPD arrests have a 60% chance of being reached, the chance of being reached goes down by about 10 percentage points for those with a misdemeanor arrest, another 10 points for those with a felony arrest, and another 10 points for those with a prior conviction. This results in those with a prior conviction only having a 30% chance of being reached by program providers. With respect to gender, Figure 5.1 indicates that female participants are about 13 percentage points more likely to be reached than male participants. With respect to race, Black-Hispanic participants are the least likely to be reached, and Table 5.3 indicates this pattern is present across all subpopulations considered. Among those with a prior conviction record, both White-Hispanic and Black-Hispanic participants are less likely to be reached than non-Hispanic White participants.

Program Completion

Table 5.4 presents summary statistics of the individuals who completed the diversion programs, with the results again organized by prior criminal history. The sample used for these analyses are the 1,950 individuals from Figures 4.2 and 4.3 who completed diversion. For the individuals who complete diversion, program providers collect more detailed information on them, including their primary language spoken, education level, and employment status. However, Osborne Association did not collect information on primary language spoken, and only more recently started collecting data on employment status; as a result, a high percentage of participants had unknown values for these characteristics. The majority of participants where language was known list English as their primary language, and a reasonable proportion of participants had at least a college degree. Among individuals with no prior convictions, they were more likely to be employed than not employed; however, this pattern flips among those with prior convictions.

The program providers also record information on which specific program the individual completed. Note that these programs are all specific to the providers. CCI offers both group and individual counseling, as well as the New Museum program; group counseling was the more popular option except among those with prior convictions, where individual counseling was the most common program component. Osborne Association offers the Social Resilience Model Workshop, the Restorative Justice Workshop, and Narcan/Naloxone Treatment Training; the Narcan option was the program component the majority of individuals completed. Young New Yorkers only offered the Arts-Based Restorative Justice Intervention, so all of their participants completed this program.

Finally, the last two rows of Table 5.4 identify the percentage of participants that attended the program prior to the COVID-19 pandemic versus during. As noted earlier, the programming

offered by providers was forced to change somewhat once these sessions were virtual. About 93% of the overall analysis population attended the program prior to the pandemic.

Table 5.4 Characteristics of Individuals Completing Diversion

	Total	No Record	Arrest Record	Conviction Record
Demographics				
Gender				
Male	48.1%	46.0%	50.0%	68.9%
Female	51.9%	54.0%	50.0%	31.1%
Race				
White Non-Hispanic	25.5%	25.9%	19.9%	26.4%
White-Hispanic	23.0%	23.6%	18.5%	21.0%
Black Non-Hispanic	30.4%	27.6%	47.3%	45.3%
Black-Hispanic	6.1%	6.1%	5.5%	6.8%
Asian/Pacific Islander	13.0%	14.6%	7.5%	0.0%
Other/Unknown	1.3%	2.2%	1.4%	0.7%
Age				
Average Age at Arrest	33.1	32.2	33.6	41.8
Primary Language Spoken				
English	50.2%	49.9%	56.2%	47.3%
Spanish	5.0%	5.3%	4.1%	2.7%
Other	5.0%	5.2%	4.8%	2.7%
Unknown	39.9%	39.6%	34.9%	47.3%
Education				
Less than High School	11.4%	11.1%	11.6%	15.5%
High School/GED	31.2%	30.4%	33.6%	38.5%
Some College	21.3%	21.6%	25.3%	14.2%
College Degree	24.6%	25.7%	20.6%	16.2%
More than College	8.4%	8.9%	5.5%	5.4%
Education Unknown	3.0%	2.4%	3.4%	10.1%
Employment				
Currently Employed	45.8%	46.8%	46.6%	33.8%
Not Employed	35.2%	33.1%	39.0%	55.4%
Unknown	19.0%	20.1%	14.4%	10.8%
Arrest Location				
Upper	27.8%	27.8%	23.3%	31.8%
Midtown	44.9%	44.3%	48.0%	49.3%
Downtown	27.3%	27.9%	28.8%	18.9%
Provider				
CCI	66.1%	65.5%	74.0%	64.2%
Osborne Association	28.0%	28.0%	23.3%	32.4%

Young New Yorkers	6.0%	6.5%	2.7%	3.4%
Specific Program Received				
Group Counseling	44.9%	46.8%	42.5%	25.7%
New Museum Program	5.7%	6.2%	6.2%	0%
Individual Counseling	15.4%	12.5%	25.3%	37.8%
Social Resilience Model Workshop	2.1%	1.6%	2.7%	7.4%
Restorative Justice Workshop	9.5%	10.0%	11.6%	2.7%
Narcan/Naloxone Treatment Training	16.3%	16.4%	8.9%	22.3%
Arts-Based Restorative Justice Intervention	6.0%	6.5%	2.7%	3.4%
Unknown	0.1%	0.1%	0.0%	0.7%
Pre/During-COVID-19				
Attended Program Pre-COVID-19	93.4%	95.8%	92.5%	66.9%
Attended Program During COVID-19	6.6%	4.2%	7.5%	33.1%
Observations	1,950	1,656	146	148

Referrals to Services

Organizations involved with Project Reset were encouraged to offer referrals to additional supports and services following program engagement. Each organization handled referrals somewhat differently. CCI initially discussed service needs during their intake process but found that participants did not always know what their needs were or did not feel comfortable sharing them with program staff. Now, they set aside time during the program activity to discuss voluntary referrals to services. Most referrals are to off-site organizations and may relate to housing, education, or employment needs. A community liaison at CCI facilitates connections to these services. In addition, CCI offers participants voluntary short-term individual counseling (up to 6 sessions), facilitated by a staff social worker. For participants with more serious mental health needs, CCI provides a referral to outside services.

As described previously, Osborne Association asks participants to complete a needs assessment during the intake. They offer voluntary referrals and case management to those with identified needs. Osborne Association offers a number of different services from within the organization and is also able to make referrals to other non-profit organizations located within the same building as Osborne Association offices. One staff member noted that they keep cases open for a year and check-in with past participants to see if they need additional services.

Young New Yorkers offers a program specifically for Project Reset graduates, called Reset Ultra. Individuals can opt-in to Reset Ultra, which offers monthly events and provides a stipend for those who opt to participate. During the early stages of the COVID-19 pandemic, Ultra participants expressed interest in more frequent sessions, and they were taking place on a weekly basis for a period of time. Ultra-sessions vary in nature and include presentations from community partners who present on paid opportunities (e.g., internships) or other community

resources (e.g., free health care), arts-focused activities, and movement or exercise-focused activities. The organization also shares these opportunities with individuals who opt-in to Reset Ultra, even if they do not end up attending a session. Young New Yorkers also started a program for program graduates who had lost a family member or friend due to COVID-19. In addition, the organization occasionally discusses referrals to community-based services if a specific need comes up during the workshop.

Summary

Overall, CCI serves as the program provider for about two-thirds of eligible participants, with Osborne Association and Young New Yorkers serving smaller proportions. Several participant characteristics vary based on criminal history. Specifically, relative to those with no prior history, participants with prior convictions tend to be older, and are more likely to be male. Black participants are also more likely to show up in this group with prior convictions, while Asian participants are less likely. There are also certain characteristics that distinguish individuals who are successfully contacted from those who are not. For example, it appears that organizations are less likely to be able to contact individuals with a more significant criminal history, those who are male, and those who are Black-Hispanic. Upon completion of the program, each of the organizations offers voluntary referrals to additional services, including some services offered from within the organizations. However, participants have fulfilled all requirements once they complete the core program activity, and organizations notify DANY of completions via Salesforce.

Chapter 6. Factors Affecting Program Implementation

In this chapter, we present information about the various barriers and facilitators that affect the implementation of Project Reset. We draw on data from a document review, qualitative interviews, program observations, and quantitative program data.

Barriers and Facilitators to Implementation

During our interviews with program staff, we asked about barriers and facilitators to implementation of Project Reset. In this section, we review the barriers and facilitators that staff members across organizations raised, integrating information gleaned from participating interviews and program observations.

Barriers

Lack of Accurate Contact Information

The main barrier to program implementation reported by program staff was that contact information for potential participants is often incorrect or missing. As one provider stated, "The number one difficulty is getting to people who are eligible." Providers indicated that if they are able to reach potential participants, those individuals are generally interested in attending the program. This was supported by the quantitative data reported in Figure 4.1, which showed that 94% of potential participants who were reached went on to complete the program. However, the program providers are unable to reach a significant proportion of eligible individuals. One staff member also raised equity concerns about the lack of contact information, noting that people of color or those from low socioeconomic backgrounds appear to be more likely to have inaccurate contact information. This dovetails with the findings that Black-Hispanic individuals were less likely to be successfully contacted. There are many potential explanations for this—for example, these individuals might be more likely to have their phone turned off or be using a temporary cell phone, or to have unstable living situations. However, this might also reflect the nature of their interaction with police, such as a lack of trust in the police and unwillingness to provide accurate contact information, or errors made on the part of the police when recording contact information.

Challenges Related to Stakeholder Engagement

NYPD. When discussing challenges to obtaining contact information from potential Project Reset participants, some interviewees perceived the lack of involvement by NYPD as a related barrier. As one interviewee indicated, more proactive police involvement might yield better contact information from individuals who are arrested. When participants have not heard about the program from the police, they may be more hesitant about participating out of fear that it is a

scam. In this way, the lack of robust police partnership also results in more effort for the outreach workers to engage the potential participants. Our discussions with staff indicated that, over time, NYPD has taken less of an active role in the program. Program staff indicated that in the early stages, they presented at police precincts to explain the program and the role that police officers could play in educating potential participants about it. However, one staff member noted that over time, NYPD preferred to take a more centralized approach to their involvement with the program – for example, rather than having informal relationships between programs and individual precincts, there would be a consistent approach for precincts across the city (e.g., all precincts would have the same process for informing potential participants about the program at the point of arrest). Rather than resulting in an increased role for NYPD in informing potential participants about the program, this appeared to instead result in a reduced role for the NYPD. In addition, as described in Chapter 3, both DANY and program staff reported that the expansion in eligibility for Project Reset also seemed to result in NYPD taking a less active role with the program.

Defense organizations. Though the defense organizations – agencies that provide public defense services – had been a part of the design of the youth Project Reset pilot, one staff member stated that the defense organizations were not part of the early conversations establishing Project Reset and that it took some effort to engage with them. Some of the participants who were interviewed had reached out to defense attorneys; although one participant worked with a public defender who helped to "handle the details" and explain the charges, two others reported that they attempted to contact a defense attorney and were not able to get in touch with them. As one staff member noted, "When people are referred [to the defense agencies], the people get the information they need. But these defense agencies don't have capacity to be as involved as they would want to be. All of their agencies are underfunded, and even though the hope is that this program helps take cases off defense agencies, it's not that simple." There have been some opportunities for defense organization to provide key input; for example, CCI staff reported working with defense agencies to put together a "defense one-pager" that gets included with their outreach letters. They also indicated that when participants have questions about participation, they refer them to the defense agencies to answer those questions. However, staff members suggested that a more formalized role for the defense organizations could be beneficial for participants.

Limited Community Knowledge of the Program

As described, some participants are skeptical when they first learn about the program and expressed concern that it might be a "scam." The program provider organizations have made some efforts to increase perceptions of program legitimacy as part of their outreach efforts. For example, changes were made to the mailed flyers so that they looked less like junk mail or solicitations to participants. But, staff members noted that it would be beneficial to have more official information about Project Reset, which could be a useful resource for individuals who

are contacted about participating. This could include posters or pamphlets available at NYPD precincts or distributed by NYPD. Greater visibility of the program in the community might improve uptake and might also increase the willingness of potential participants to provide accurate contact information to police.

Timeframe for Completing Diversion Programming

Another challenge was the implementation of new legislation that went into effect in January 2020, which reduced the time between the arrest date and first appearance date in court.[29] As a result of this new policy, the amount of time that programs have to reach potential participants and schedule them to participate in Project Reset decreased. A staff member from CCI reported that the organization was able to pilot the briefer timeframe with DANY before the legislation went into effect, which helped to address this challenge, but there were still some issues to work out (e.g., cases accidentally being docketed and receiving a dismissal instead of a decline to prosecute). However, this has become less of an issue since the onset of COVID-19; in fact, staff from two organizations noted that potential participants have been *less* motivated to schedule their workshop because court dates were delayed, and perhaps felt less urgency as a result.

COVID-19-Related Challenges

Finally, many staff members described COVID-19-related challenges to providing services, including the remote platforms and an increased difficulty in creating rapport with potential participants in a virtual setting. They expressed concern that some participants do not have access to the appropriate technology to engage remotely and noted that it can be difficult to engage participants in the content when delivering the material via phone instead of video conference. We observed this challenge firsthand during program observations, during which staff and participants sometimes had difficulty connecting to the meeting. Another challenge has been with the court system itself; with virtual court, cases are being called and adjourned with little communication with the clients themselves.

Facilitators

Strong Relationship between Providers and DANY

Staff members described a largely positive relationship between their organizations and DANY. Staff described a standing biweekly (pre-COVID-19) or weekly (post the onset of COVID-19) call with DANY and representatives from each provider organization. These serve as an opportunity for DANY to provide updates and for programs to troubleshoot issues as they arise and were described by one provider as helpful to making sure the program runs smoothly. Staff also described informal, day-to-day communication with DANY about specific cases. In

[29] New York SB S1509-C (2019) and New York AB A2009-C (2019)

general, communication with DANY was described in positive terms by staff members: DANY was described as "very available and responsive," and one staff member indicated that "communication lines are really open."

Staff members reported that DANY is responsive to their concerns, and they feel like they share a common goal. One staff member commented, "When a partner has a stake in the program, they are more invested in the success of the program. They want to see this succeed." One staff member also expressed appreciation that DANY has been willing to expand criteria for the program over time. They appreciated the broadness of DANY's eligibility criteria for the program, though some felt it could be broader. Staff members noted that the partnership between DANY and the provider organizations has grown stronger and more collaborative over time. They described open and frequent communication as an important part of this relationship.

Staff Dedication and Capabilities

The program provider organizations also have built strong teams where individuals feel like they can rely on their peers. Staff members trust each other's grasp of the content and can feel the warmth that they extend to the participants as they establish rapport. As one staff member noted, "I have an amazing team that works well with participants and goes above and beyond with our participants." Staff dedication was also described as important to outreach efforts, with one staff member describing their team as "tenacious" with outreach. Participants highlighted that the program staff created a non-judgmental environmental where they felt comfortable sharing about their experiences. In addition, during our program observations, we saw firsthand the effort that staff made to engage all participants in the material and discussions, and to bring material to life with examples relevant to the lives of the participants.

Salesforce Case Tracking System

The integrated case tracking system between DANY and program providers is a key facilitator to program implementation. Staff members described how Salesforce streamlines the referral process from DANY to providers and allows all stakeholders to know the status of each case at a given moment. Salesforce also makes it easy for staff to capture data and run reports on the number of referrals and program completions, which is useful for internal performance tracking purposes. The system has also enabled staff to auto-populate outreach and completion letters with participant information rather than needing to manage these functions manually. One interviewee stated, "Before Salesforce, the system we were using [to] hear of referrals was via email. Imagine 20 emails coming through back-to-back-to-back about eligibility, when the person is scheduled, when they completed, etc. It was overwhelming and exhausting. Salesforce made it easier for everyone, including [DANY], to see participant information, when someone's scheduled and completed, so it became easier for everyone to manage case profiles and details."

Inviting Nature of Program Locations

Staff members described the spaces where they hold the program activities as another key facilitator. They described the offices and community-based locations of the activities as welcoming spaces that provide snacks and drinks. A Young New Yorkers staff member highlighted the difference between attending a program with the Probation department, which might be a more typical pathway for individuals who have been arrested, and attending Project Reset at the Swiss Institute, a "beautiful location" where participants are surrounded by art. Interviewees highlighted that the program staff and physical locations create a space where participants can speak and not be judged.

Relevant and Responsive Programming

Staff described a small number of other facilitators relating to the program content. One of these was the fact that the provider organizations have been willing to modify program content over time and in response to specific needs. For example, CCI described efforts to evaluate and modify their curriculum to ensure they were meeting the needs of Project Reset participants. For example, they worked with a consulting group who interviewed participants and staff, observed groups, and then assisted CCI with creating a more standard version of their curriculum. Staff also described using post-program feedback to tailor the curriculum. Others reported developing protest-related content in response to protest-related arrests during summer of 2020. A small number of staff members also highlighted their ability to refer participants to additional services and the partnerships they have formed with other agencies as an important facilitator.

Summary

Our findings identified some of the key barriers and facilitators to Project Reset implementation. Stakeholder communication is a key element of the program, and the provider organizations described a strong and collaborative relationship with DANY. They noted that relationships with NYPD and the defense organizations have been less formal, but that stronger relationships with these groups would benefit the program. Regarding other barriers to implementation, the lack of accurate contact information was named as a key issue, as have changes to the timeframe in which the program must be completed. Facilitators to implementation have included the team cohesion and rapport among staff members of the provider organizations and the Salesforce case management system. Staff largely reported positive perceptions of the program and its effectiveness.

Chapter 7. Participant and Program Staff Perceptions of Project Reset

To paint a picture of perceptions about and the impact of Project Reset, we draw from the participant interviews, interviews with staff, and a survey of program participants. We conducted 20-30 minute interviews with nine Project Reset participants from each of the three programs (four with participants from CCI, two from Osborne Association, and three from YNY). These interviews focused on a range of topics, including how participants learned about the program, what guided their decision to participate, the benefits of the program, and opportunities for improvement. We also learned about their interactions with various program stakeholders. In addition, we conducted 14 interviews with program staff across the three program providers. Our goal was to learn about the ways the organizations implemented the Project Reset model, the flow of a typical participant through the program, the communication across the organizations involved with Project Reset, facilitators and barriers to implementation, and opportunities for improvement. As with the participant interviews, the survey focuses on topics such as factors that contributed to the decision to participate in diversion, satisfaction with program services, ways that program services have/have not addressed participant needs, and barriers to access. Diversion participants completed the survey from November 10, 2020, through March 19, 2021, about their experiences with Project Reset and perceptions of the criminal justice system. The survey respondents overwhelmingly participated in CCI Project Reset (Original Eligibility) with an additional 20.8% from CCI Project Reset (Expanded Eligibility) (Table 7.1).

Table 7.1. Survey Completion

	Frequency	Percent
CCI Project Reset (Original Eligibility)	65	61.3%
CCI Project Reset (Expanded Eligibility)	22	20.8%
Osborne Project Reset (Original Eligibility)	16	15.1%
Young New Yorkers Project Reset (Original Eligibility)	3	2.8%
Total	106	100.0%

Looking at program participation by age group, the respondents were fairly equally spread across the age groupings (Table 7.2). Participation was evenly split between cisgender men and women with an additional 7 people who identified as transgender or nonbinary. By race/ethnicity, 26.8% identified as White-only, 24.7% as Black/African-American-only, 2.1% as American Indian/Alaska Native-only, 20.6% as Asian-only, 2.1% as Native Hawaiian/Pacific Islander-only, 2.1% as Other-only, and 21.6 as Hispanic/Latino along with one of the racial

categories. For those who indicated Other, they added in free response: Dominican (1), Latino/Hispanic (4), and mixed race (2). The gender and racial/ethnic composition of the survey sample was similar to those who completed the diversion program in our sample. Our survey recruitment strategy to reach back to participants from prior years is reflected in the time of Project Reset participation.

Table 7.2. Survey Participant Demographics

Characteristic	Total
18-20	15 (15.2%)
21-24	16 (16.2%)
25-29	17 (17.2%)
30-39	20 (20.2%)
40-49	17 (17.2%)
50+	14 (14.1%)
Male	44 (44.4%)
Female	48 (48.5%)
Transgender	3 (3.0%)
Nonbinary	4 (4.0%)
White	26 (26.8%)
White-Hispanic/Latino	8 (8.2%)
Black or African American	24 (24.7%)
Black-Hispanic/Latino	5 (5.2%)
American Indian or Alaska Native	2 (2.1%)
Asian	20 (20.6%)
Asian-Hispanic/Latino	2 (2.1%)
Native Hawaiian or Pacific Islander	2 (2.1%)
Other	2 (2.1%)
Other-Hispanic/Latino	6 (6.2%)
Any Race-Hispanic/Latino	21 (21.6%)
2018	7 (7.4%)
2019	38 (40.4%)
2020	35 (37.2%)
2021	14 (14.9%)

Entry into the Diversion Program

The most common way that people learned about Project Reset was from a program provider. The police were the second most frequent source, and defense attorney was third.

Examining by year reveals a change in how people learned about the program. In 2019, people learned about Project Reset the most from the police (26%) followed by the program provider (24%) and other (21%). However, that changed in 2020, as participants learned less from the police (17%) than from program providers (51%) and other sources (20%). That trend continued among the 14 participants from 2021 as they learned about the program less from the police (7%) than from program providers (50%). This change from program recruitment through the police to the program providers is consistent with the information we learned from program staff. Program staff and participants did not indicate in interviews that a prosecutor or judge had helped or should help recruit participation, so it is not clear why a few participants selected this response.

Table 7.3. Source of Knowledge About Option to Participate in Project Reset

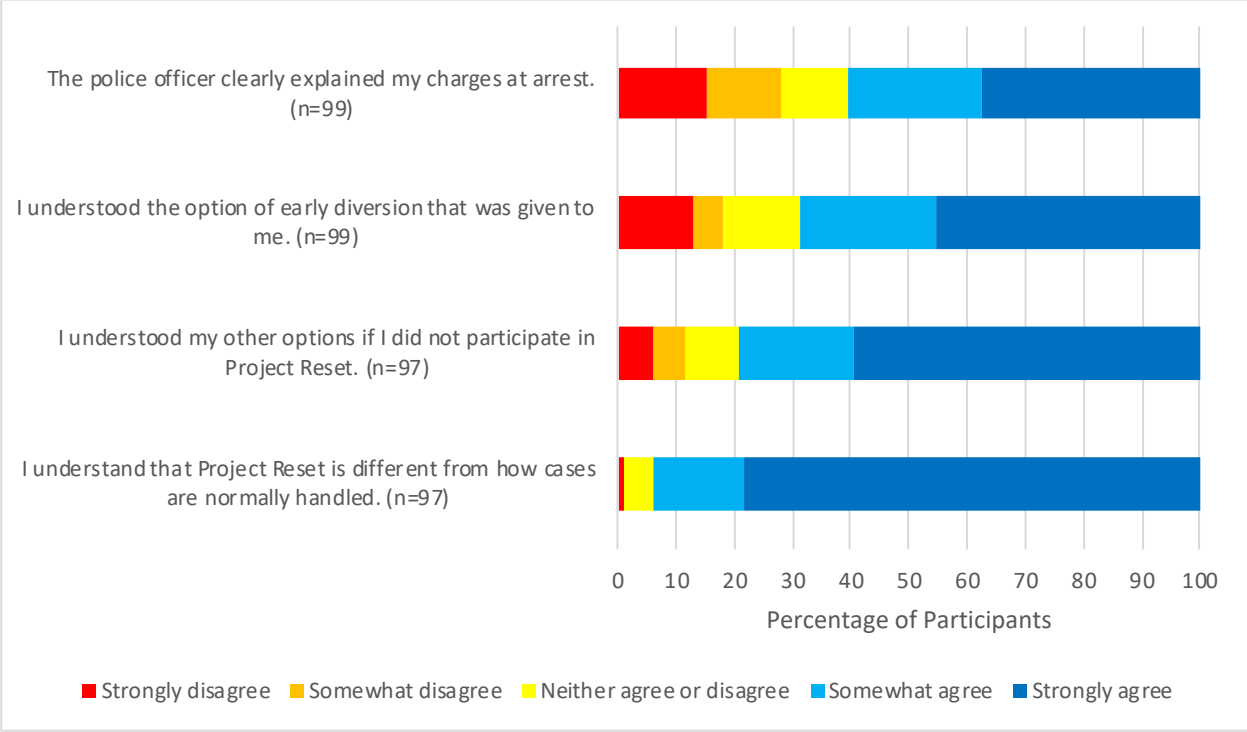
Source	Frequency	Percent
Program provider	37	37.0
Police	21	21.0
Defense attorney	14	14.0
Prosecutor	7	7.0
Judge	2	2.0
Other	19	19.0
Total	100	100.0

In interviews, participants also largely reported entering the program through outreach efforts by staff. Of the participants interviewed, none reported that their arresting officer told them about Project Reset. Once they found out about the program through phone calls and letters by staff, many participants reported thinking that it was "too good to be true" and doing their own internet searches to make sure the opportunity was legitimate. Participants found the program easy to participate in; they appreciated the provision of MetroCards for transportation to the program, the flexibility in scheduling, and the ability to complete the program over Zoom (for those who enrolled after the onset of COVID-19). Participants did not report any specific challenges to their participation in the program. They also stated that their decision to participate hinged on the fact that, after completion, their record would be sealed with no fees, fines, or jail time. Entering the program meant that they did not have to interact with the court system. Participation also allowed participants to avoid key collateral consequences, such as losing their jobs and immigration-related issues (e.g., deportation).

We asked participants about what they understood of their case, including what they were told by the arresting officer and what they were told about diversion as an option. Participants had a variety of experiences with police at their arrest (Figure 7.1; Table B.2). About 60% somewhat or strongly agreed with the statement: "The police officer clearly explained my charges at arrest." However, slightly more than one-quarter somewhat or strongly disagreed.

Regarding their level of understanding about diversion, about two-thirds of respondents somewhat or strongly agreed that they "understood the option of early diversion that was given to me" and that they "understood my other options if I did not participate in Project Reset." Nearly all understood "that Project Reset is different from how cases are normally handled."

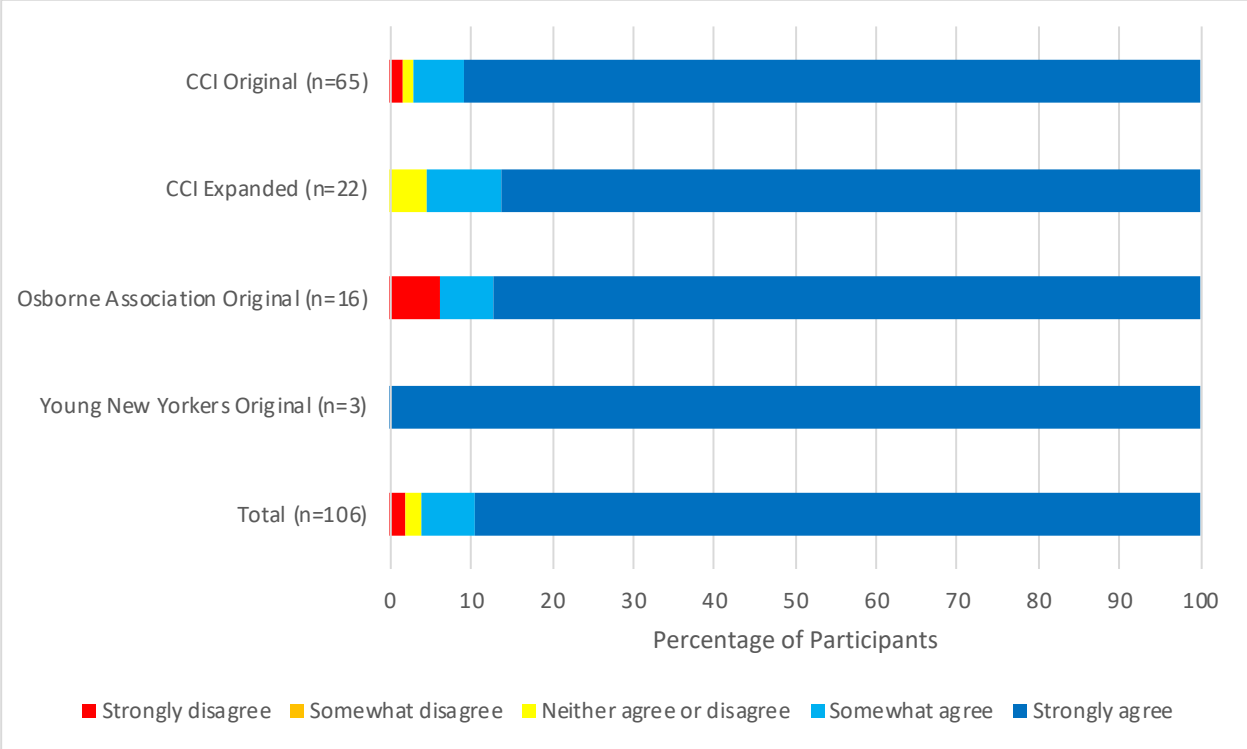
Figure 7.1. Participant Understanding of Case and Diversion Option



Satisfaction with Project Reset Experience

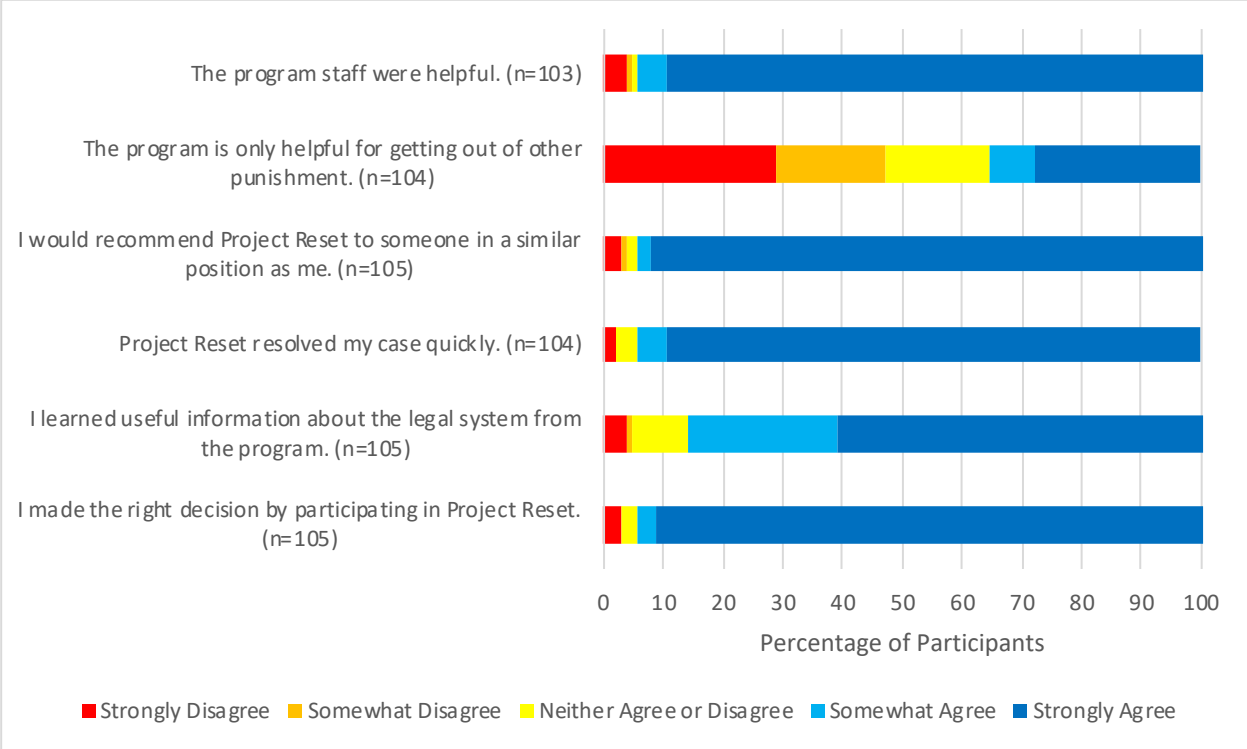
When responding to the statement on the survey "I am satisfied with Project Reset overall," 95 people (89.6%) strongly agreed while only 2 (1.9%) strongly disagreed and no one somewhat disagreed (Figure 7.2; Table B.3). As one participant noted in an interview, "The program is very good, and I hope that other people will get a chance to experience it. I hope it will be around for a long time. It's much needed, especially in our neighborhoods." In the free response question of the survey where participants stated what they thought was the most important thing they learned from Project Reset, some participants praised the program, including one person who answered: "The staff really care about the people they serve."

Figure 7.2. Program Satisfaction: "I am satisfied with Project Reset overall"



Participants completed six items that measured program experience. They answered on a 5-point Likert scale indicating their agreement for each item (1=strongly disagree, 5=strongly agree). Because responses were similar across programs, we collapsed the results across program (Figure 7.3; Table B.4). For four of the items, 89-92% of respondents strongly agreed with statement. For the statement "I learned useful information about the legal system from the program," 85.8% of people somewhat or strongly agreed. The only item that did not garner overwhelming agreement was "The program is only helpful for getting out of other punishment," a statement that actually minimizes the value of Project Reset.

Figure 7.3. Program Satisfaction Sub-Items



We also calculated the mean score for the six items on a scale with minimum of 1 (most negative) and maximum of 5 (most positive). We reverse coded the second statement because disagreement indicates a positive view of Project Reset. This mean score represents their rating of program experience. In total, participants rated their experience of the programs very similarly and very positively (Table 7.4). Moreover, these very positive survey ratings again echo participant sentiments from the interviews.

Table 7.4. Participant Rating of Program Experience

	Mean Score	SD	Min	Max	Frequency
CCI (Original)	4.47	.53	1.67	5.00	63
CCI (Expanded)	4.40	.52	3.17	5.00	20
Osborne (Original)	4.54	.42	3.67	5.00	14
Young New Yorkers (Original)	4.72	.35	4.33	5.00	3
Total	4.47	.51	1.67	5.00	100

The staff interviewed at the three Project Reset organizations held a very positive view of their work. They exhibited strong belief in the power of early diversion programs, with one staff member remarking that the program represents an outcome that "is proportionate to the offense

and rethinks accountability in a way that does not hang the coercive threat of jail or conviction over people's heads." In sum, perceptions of the Project Reset programs across all programs and data sources were very positive.

Wraparound Support

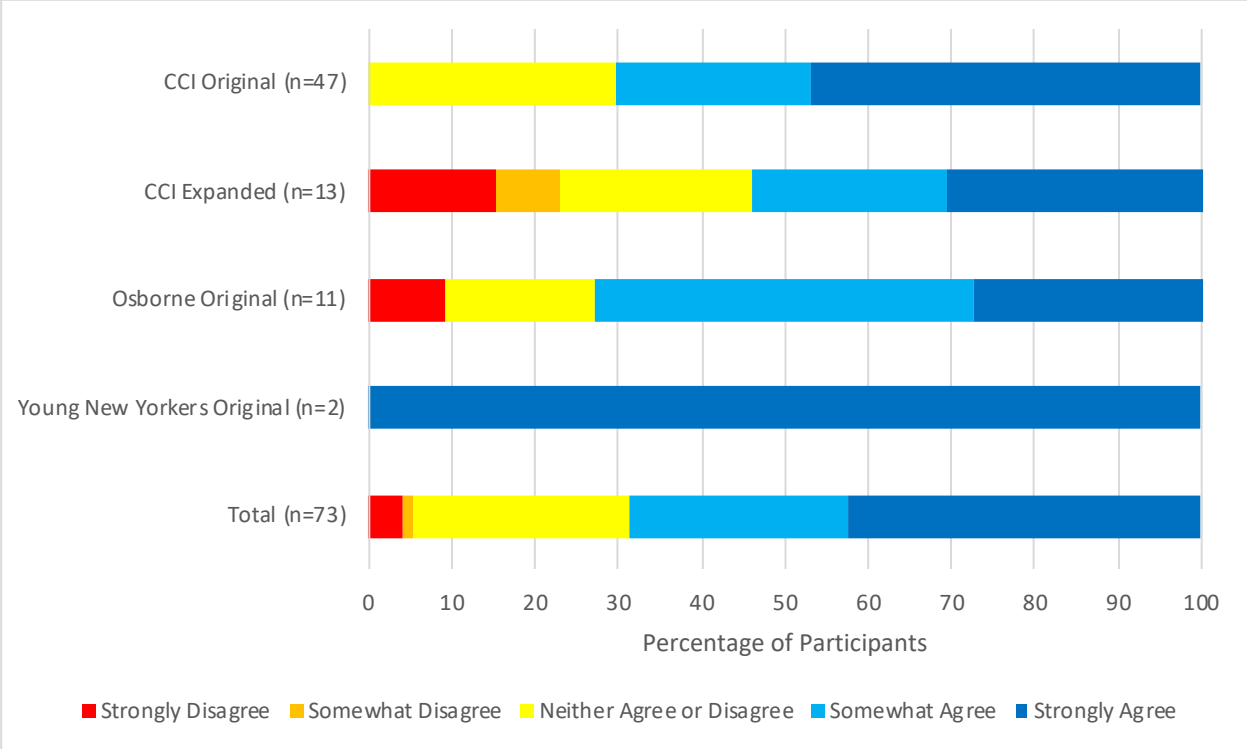
Organizations involved with Project Reset were encouraged to offer referrals for additional supports and services after completing the program (as discussed in Chapter 5). Based on the survey results, about half of all participants received referrals for additional services from their program (Table 7.5).

Table 7.5. Frequency of Participants Receiving Referrals

	Yes	No	Unsure/ Don't Know	Total
CCI (Original)	32 (50.8%)	18 (28.6%)	13 (20.6%)	63
CCI (Expanded)	8 (42.1%)	5 (26.3%)	6 (31.6%)	19
Osborne (Original)	10 (66.7%)	4 (26.7%)	1 (6.7%)	15
Young New Yorkers (Original)	1 (33.3%)	0 (0.0%)	2 (66.7%)	3
Total	51 (51.0%)	27 (27.0%)	22 (22.0%)	100

Among those that received referrals, 50 out of the 73 somewhat or strongly agreed with the statement that the referrals were "helpful" while only 4 somewhat or strongly disagreed; 19 expressed neither agreement nor disagreement (Figure 7.4; Table B.5).

Figure 7.4. Participant Assessment of Whether Referrals for Additional Services Were "Helpful"



Participants reported the referrals they received to mental health services and counselors as an added benefit. For example, participants who participated in the optional short-term counseling provided by CCI described the service in extremely positive terms. As one participant noted: "I had a great experience, there was a therapist … she offered free therapy for 3 months, she and I connected, [it's the] best thing I've ever done." On the free response section of the survey, one respondent stated: "It was a great learning experience, and I was able to get connected to services that would help me overcome my mental health issues that led me to my arrest in the first place. I am so grateful for the program!" Other than mental health services and counselors, participants reported receiving referrals to other services that they needed, such as pro bono lawyers. In interviews, some others reported turning down referrals or that they were not offered any additional services. Nevertheless, most surveyed participants received referrals, and both participants and staff agreed that they were beneficial.

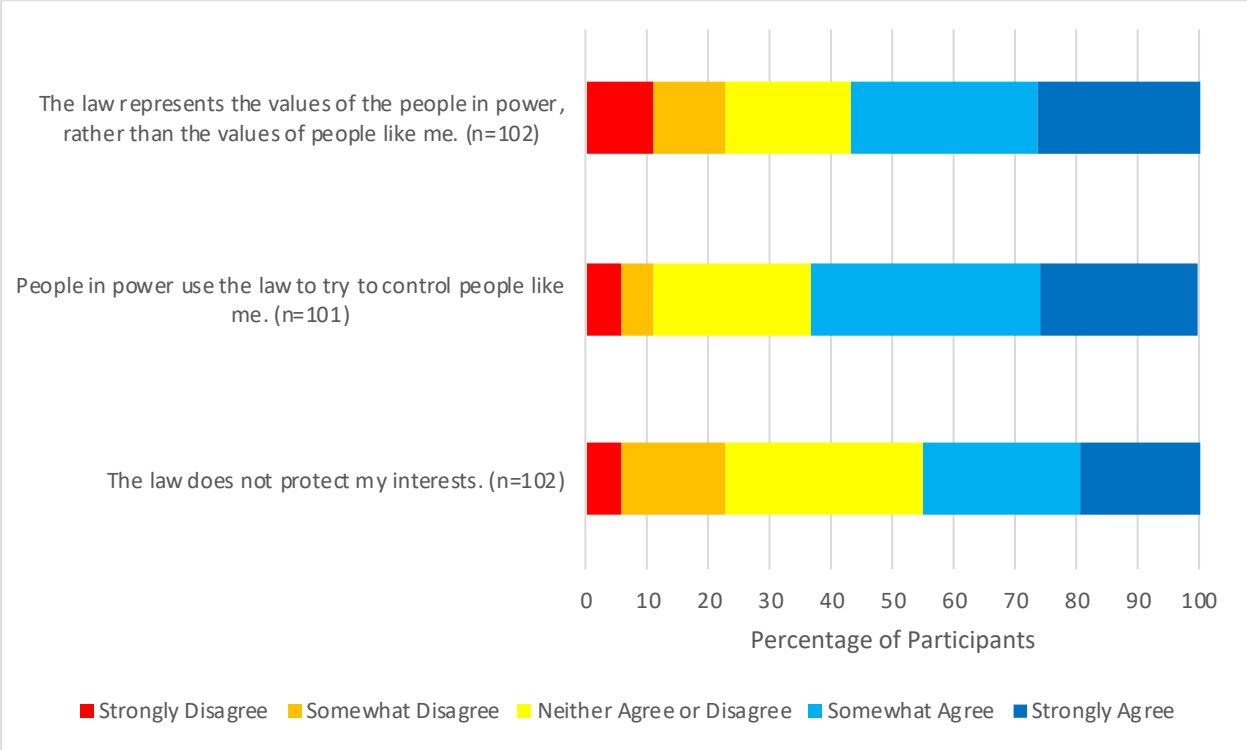
Views on the Criminal Justice System

Overall

Participants responded to statements about the criminal justice system after being instructed: "The following statements are to understand your thoughts and feelings about the justice system in general. Please indicate how strongly you agree or disagree with each of the following

statements." Across the three items, about half the people somewhat or strongly agreed with the statements that reflected the belief that the justice system lacks legitimacy (Figure 7.5; Table B.6). Thus, respondents tended to have a cynical view of the criminal justice system.

Figure 7.5. Overall Thoughts and Feelings about the Justice System



However, on the survey participants also had the opportunity to complete a free response question that asked, "What do you feel was the most important thing you learned from participating in Project Reset?" While some voiced discontent with the criminal justice system, many expressed that Project Reset gave them a more favorable outlook on it. Furthermore, many expressed that Project Reset had changed their lives by giving them a second chance and by helping them better understand the causes of their prior behavior, helping them make different decisions going forward. The following are a few representative quotations about what participants learned from the program:

- *There are **better ways to settle crimes** such as shoplifting and other nonviolent crimes.*
- *That incidents can be resolved **without wasting taxpayer money**.*
- *The main thing is I didn't commit a crime. So, Project Reset saved both State and myself **aggravation and cost of a court case**.*
- *Knowing that young people, especially young folks of color, can have access to a program that will help them be in the best position to take care of themselves, i.e., **not having a record or going through the legal system** gives me a great deal of comfort. I will absolutely speak highly of this program.*

- *I feel that it was most important knowing that someone was there to **understand your situation and was willing to talk about it**, without necessarily judging you. With that it teaches that "stupid" mistakes shouldn't have to have a negative impact on someone's rest of their livelihood.*
- *I found Project Reset helped me **understand the legal system** and its nuances. I gained clarity about my case and also options to reset my life.*
- *That **the justice system is more helpful than I thought**.*

Similarly, when asked in an interview about the long-term benefits of a program like Project Reset, one participant's connection to fairness in the criminal justice system speaks to the impact the program had on such perceptions:

> *[Project Reset is] a more fair and just response to these low-level crimes that tackles the cause of it. A more holistic approach to meet the needs of the criminal justice system – to prevent future crime…. People commit these crimes out of circumstances or need – for counseling, financial help, food stamps. It's not fair to punish someone because they have a need. So, rather than punishing someone and not meeting that need and creating this vicious cycle of recidivism, really addressing the root cause, I think that's what Project Reset does. Just having that support, given that everyone knows there is stigma – once you're arrested, you're labeled as a criminal. [With Project Reset, however] No, you're just a person who needs help processing what happened…..That's real criminal justice reform, that's real social justice. [Project Reset] responds fairly, effectively, proportionately…My life was saved. My future was protected, and I was given a second chance.*

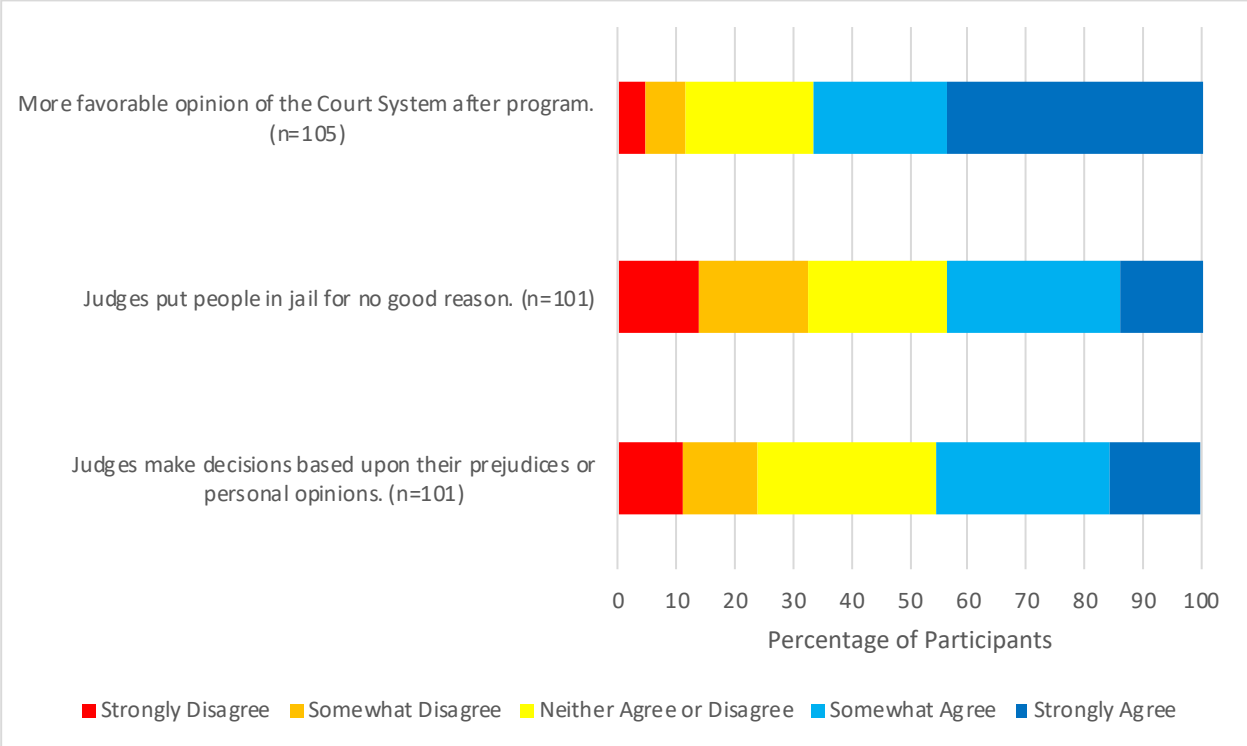
In total, participants voiced a negative outlook on the criminal justice system in general, but many also took the time to express that Project Reset had given them a more favorable impression of it.

Participant Perceptions of the Courts

The survey also contained more specific items about the court system and judges within it. Participants responded on a 5-point Likert scale to the statement: "As a result of participating in Project Reset, I have a more favorable opinion of the court system." Across all programs, two-thirds (70 out of 105) stated they either somewhat or strongly agreed, while 11.5% (12 people) somewhat or strongly disagreed.

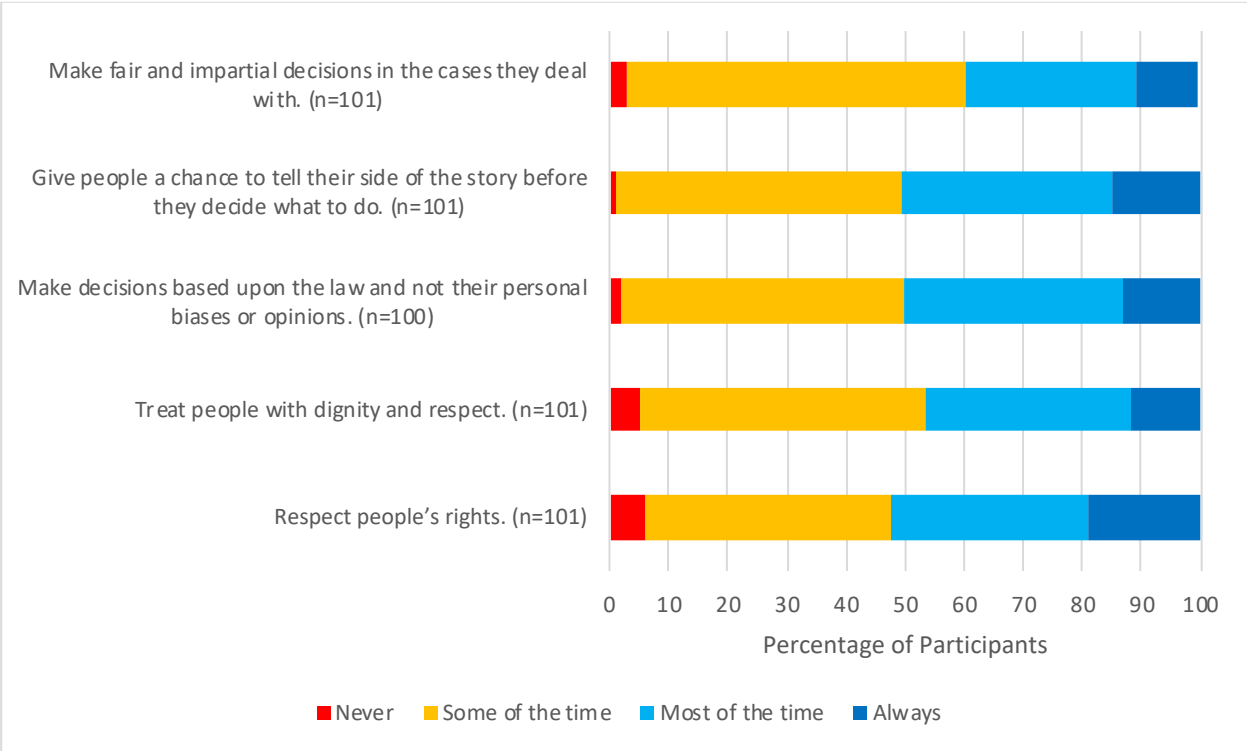
Participants also responded to statements after being asked: "The following statements are to understand your thoughts and feelings about the justice system in general. Please indicate how strongly you agree or disagree with each of the following statements." For the items "Judges put people in jail for no good reason" and "Judges make decisions based upon their prejudices or personal opinions."), 43-46% of participants somewhat or strongly agreed, while 23-33% somewhat or strongly disagreed (Figure 7.6; Table B.7). This indicates that more people still held a suspicious view of judges' decision making, but a notable portion did not share that perspective.

Figure 7.6. Thoughts and Feelings about the Courts



This sentiment continued when participants were asked: "The following questions are about your perceptions of the courts. Please indicate how frequently you think the courts behave in the following ways." They responded to five specific statements with one of four choices: never, some of the time, most of the time, and always. About half of respondents agreed with "some of the time" for the five statements, and another half endorsed "most of the time" or "always", whereas very few agreed with "never" (Figure 7.7; Table B.8). The largest segment of respondents believed in the fairness and decency of the courts only some of the time.

Figure 7.7. Specific Perceptions of the Court System

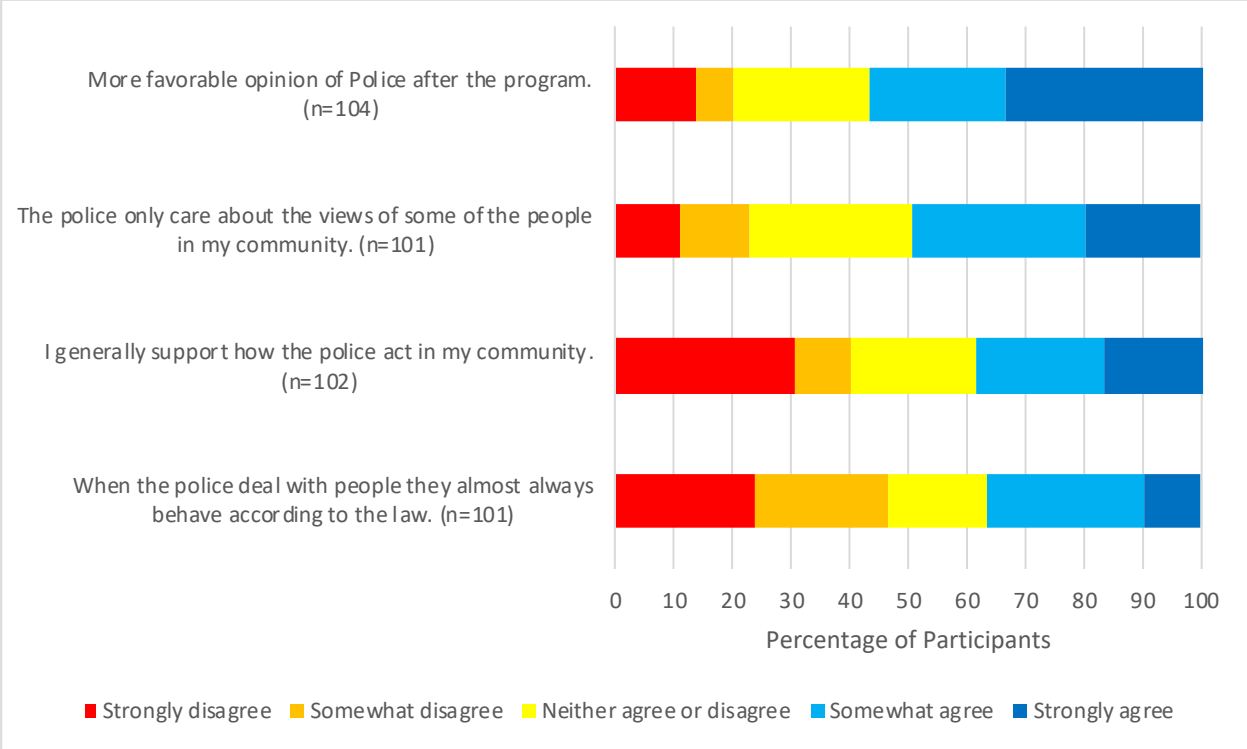


Participant Perceptions of the Police

Participants rated their agreement to the statement: "As a result of participating in Project Reset, I have a more favorable opinion of the police." Slightly more than half of respondents (59 out of 104) either somewhat or strongly agreed, but 20.2% (21 people) somewhat or strongly disagreed, which was about double the frequency to the same item regarding Project Reset's impact on views about the court system. Thus, it appears that Project Reset had a greater effect on views of the court. This may reflect the social issues of the time and not a feature of the program as the national conversation about racial equity and the justice system focuses more on the police than the courts.

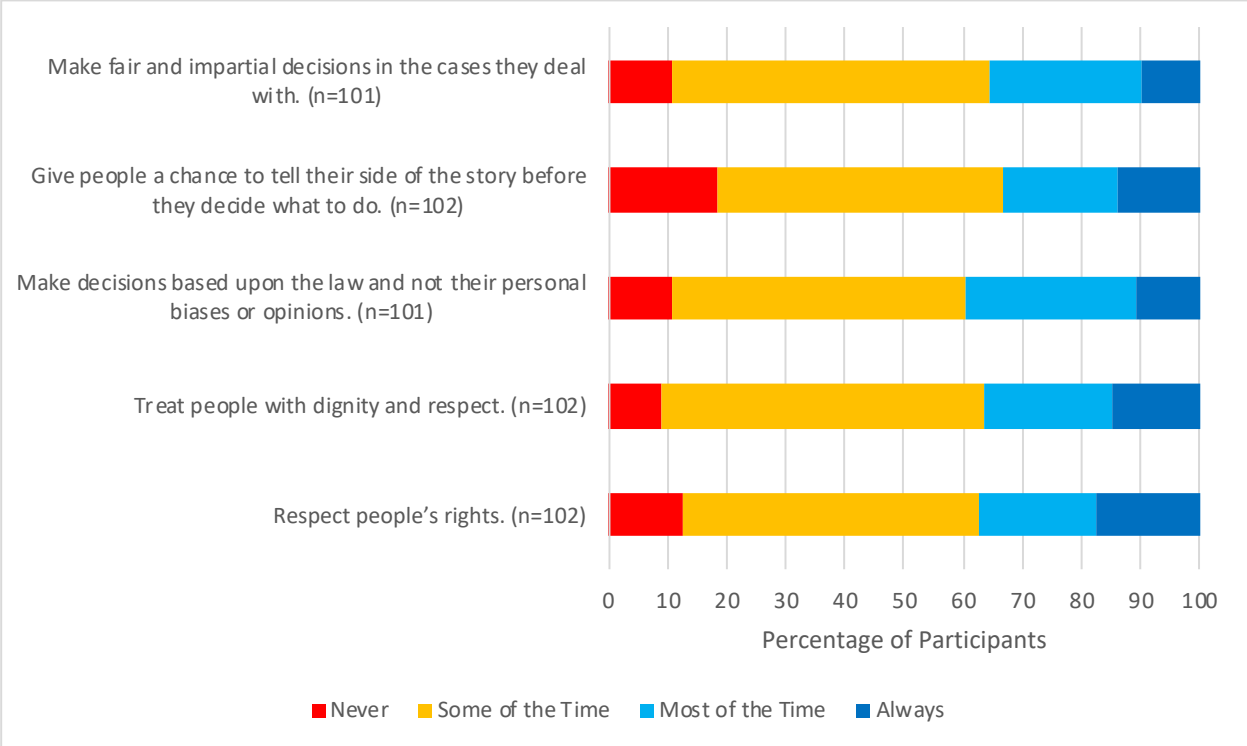
Three items explored participants' specific views on the police. For the statement "The police only care about the views of some of the people in my community," nearly half somewhat or strongly agreed and slightly less than a quarter somewhat or strongly disagreed. About one-third somewhat or strongly agreed with the statements "I generally support how the police act in my community" or "When the police deal with people they almost always behave according to the law," but 40-46% disagreed (Figure 7.8; Table B.9). These responses indicate a continued great presence of suspicion of the police despite the positive effect of Project Reset on participant opinions of the police. This was similar to the opinions about judges.

Figure 7.8. Thoughts and Feelings about the Police



Participants were also asked: "The following questions are about your perceptions of the police. Please indicate how frequently you think the police behave in the following ways." As with the items about the courts, they then responded to five specific statements with one of four choices: never, some of the time, most of the time, and always. For all five statements, more than half of participants thought the police rarely behaved appropriately ("never" or only "some of the time", and only around one-third agreed that police behaved appropriately "most of the time" or "always." On average, around 10% said police "never" behave in the ways described in the questions (Figure 7.9; Table B.10).

Figure 7.9. Perceptions of the Police



Benefits of Participation

When asked during the interviews about the content of the program, participants described the benefits of learning about the legal system, having a space to think about the impact of their arrest on their mental health, discussing the circumstances surrounding the arrest, connecting with other individuals who had been through a similar experience, and learning to be accountable for their decisions. Participants noted that the program helped them to gain a support system that they can continue to draw on even after completing the program. Participants found the experience enriching and appreciated the goal setting and art components (of YNY's program, specifically).

Other answers to the survey free response question "What do you feel was the most important thing you learned from participating in Project Reset" corroborated the interviews. In addition to themes related to perceptions of the justice system described earlier, many participants described the benefits of self-reflection afforded by Project Reset:

- *I learned the **consequences of my actions.***
- *I was given a second chance, and **I turned my life around**.*
- ***Learning about other ways to live my life.***
- *How **to recognize personal issues** that led me to make the decisions I made.*

Similarly, staff members expressed that as a team they are helping the participants grow and learn from their experiences by reflecting on their behaviors and by linking them with other resources that can help them in other arenas of their lives. As one staff member stated:

> *I think when it comes to diversion programs, there is a lot of focus on what they allow people to avoid – going to court, dismissal or ACD that extends case. That is great and has huge benefits, but it's also been helpful to us to think about the ways that the program is additive. … I think one of the real benefits, besides the very concrete outcome of the [decline to prosecute …is our amazing staff and going through the curriculum that, I think, empowers people to think meaningfully about their experience and what that means for them... whether it's a reflection on their own behavior, [or] how their lives are impacted by systems that are larger than themselves.*

Another key benefit identified by staff members is that participants avoid interacting with the court system as well as the negative effects of missing work for court dates. This was also described as a benefit to the courts, as the program eliminates cases from the docket.

Suggestions for Improvement

When asked about desired changes to the program in the interviews, participant responses centered on getting more services; for example, making the program several sessions instead of simply one session. Participants also wanted more communication documenting that they had fulfilled program requirements, as some said little information was provided about the status of their case after completing the workshop. In general, though, participants were very satisfied with their experience.

Overall, staff were satisfied with how the program is run. When asked about any suggestions for improving the program, they desired to expand eligibility so people with a broader range of charges had the opportunities offered by Project Reset and for more resources to follow-up with former participants. One staff member also remarked on the lack of representativeness of participants relative to the eligible population, and suggested that more efforts could be made to recruit a more diverse and representative participant base.

Summary

In sum, the participant interviews, staff interviews, and survey results indicate that Project Reset participation led to a more favorable outlook on the justice system, but many respondents still maintained a negative outlook on the police specifically and the justice system as a whole. Participants voiced very positive reviews of Project Reset, its staff, and the content, and they stated they would recommend it to others. In particular with the survey free-response section, respondents strongly stated that Project Reset had improved their lives by helping them better understand their actions and creating a second chance to move forward without a criminal record. Thus, the program itself seems to have been beneficial and rewarding to participants,

including helping them to see the criminal justice system differently. However, that impact on beliefs and perceptions of the police was not as great. Overall, the survey results indicate that Project Reset was seen as worthwhile by those who experienced it.

Chapter 8. Takeaways and Recommendations

This interim report provides the District Attorney and program partners the opportunity to reflect on the implementation of the program and learn more about the participants that are being served and the services that are being provided.

Initial Takeaways

Program Implementation

Stakeholder Engagement is Important to Program Success

Program providers described the importance of their relationship with DANY in implementing the program. In particular, they cited DANY's support, availability, and willingness to hear the perspective of the providers. The Salesforce data tracking system was an important tool for facilitating stakeholder communication as well, particularly with respect to making referrals and communicating the status of eligible potential participants. At the same time, it appears that additional communication with other relevant stakeholders – such as NYPD or the defense organizations – could strengthen the program.

Lack of Reliable Contact Information and Community Knowledge of the Program are Barriers to Recruitment

Obtaining reliable and accurate contact information is a key issue. In fact, a sizeable proportion of eligible participants cannot be reached by the provider – 41% of individuals eligible under the original criteria and 73% of individuals eligible under the expanded criteria. Without accurate contact information, many eligible individuals are not provided with this diversion opportunity. In addition, even when potential participants are reached, one concern raised about recruitment was that some individuals may be concerned the outreach they receive from programs is a "scam." This is especially the case if they were not previously made aware of the program (e.g., at the point of arrest).

There Are Some Inequities in Program Engagement

Providers raised concerns raised about difficulty contacting people from certain groups. This was also supported in some of the quantitative data; for example, female participants are about 10 percentage points more likely to be reached than male participants. The quantitative data also indicated that Black-Hispanic participants were significantly less likely to be reached than non-Hispanic White participants. In addition, among those with a prior conviction record specifically, both White-Hispanic and Black-Hispanic participants were less likely to be reached than White non-Hispanic participants.

Participants Highlighted a Range of Program Benefits

Participants participated in Project Reset because it sealed their record with no fees, fines, or jail time and it eliminated interacting with the court system. Moreover, participation removed key collateral consequences, such as losing their jobs and immigration-related issues. The program was described as an option that addresses the factors that may lead to arrests in the first place, such as behavioral health concerns, decision-making, or economic assistance, both through the core programming and the referrals made to other services, as described in more detail below. This is particularly salient given the needs that participants presented with, including high rates of unemployment.

Program Staff are Key to Program Success

Both program staff and Project Reset participants emphasized the importance of program staff in making Project Reset successful, including staff members' dedication and their nonjudgmental approach to working with participants. Staff willingness to evaluate and modify the curriculum in response to feedback was also noted as important. Similarly, participants seemed to benefit from the emotional and mental health support provided by Project Reset staff, and both they and staff felt that connection. As such, it is clearly important to maintain the program providers' emphasis on rapport-building as the program continues in the future, and it serves as a reminder to hire, support, and keep quality staff. In addition, the fact that program activities were located in the offices of non-profits, rather than courtroom type settings – and even sometimes in local museums – helped to create a welcoming environment for participants. Though programs were able to transition services to a virtual format, it does appear that there are benefits of offering the program in-person when it is possible.

Participants Appreciated the Wraparound Support Provided by Project Reset

The variety of services provided by Project Reset contributes to its success and therefore should be maintained or further developed. Participants valued referrals for outside services that had the potential to be helpful for them. In particular, they mentioned mental health treatment, legal services, and financial aid, so up-to-date contact information and resources for them would be particularly useful to have on hand. Referrals likely extended the impact of Project Reset beyond the initial "light touch" of the 1-day intervention.

Participants Would Benefit from Additional Follow-Up About Their Case Disposition

Some participants noted that they would have appreciated clearer follow-up after completion so that they were sure their case had been sealed.

In-Person Services in Community-Based Settings Promote Engagement

The fact that services were located in the offices of non-profits – and even sometimes in local museums and other community settings – rather than courtroom-type settings helped to create a

welcoming environment for participants. Though programs were able to transition services to a virtual format due to the COVID-19 pandemic, it does appear that there are benefits of offering the program in-person when it is possible.

COVID-19 Had a Substantial Effect on Program Implementation

As expected, since early 2020, COVID-19 has had a great impact on the number of cases referred to Project Reset. However, there had already been a steady decline of cases pre-COVID-19 since the peak of enrollment in mid-2018. COVID-19 also altered the ability for programs to deliver services and each program had to pivot dramatically to provide the necessary programs to individuals.

Program Outcomes

Participants Have Positive Perceptions of the Program and its Effectiveness

Overall, participants voiced very positive perceptions of Project Reset, its staff, and the content, and they stated they would recommend it to others. In particular, in the survey free-response section, respondents strongly stated that Project Reset had improved their lives by helping them better understand their actions and creating a second chance to move forward without a criminal record.

Program Participation May be Associated with Improved Views of the Justice System

Participants reported that Project Reset participation led to a more favorable outlook on the justice system.[30] Most participants indicated that Project Reset improved their opinions of the courts and the police, and many volunteered that outlook in free response on the survey and in interviews, including as a long-term benefit. However, their views of both the courts and police were mixed at best, suggesting that the effect of Project Reset on these types of outcomes may be more limited. In part, this may reflect the fact that program participants had little interaction with either the police or the courts as a result of enrolling in Project Reset – that is, they may see their experiences with Project Reset as fairly separate from law enforcement or court. Even though we cannot generalize or draw firm conclusions on the effect that Project Reset had on participant views on the justice system due to the limitation of not being able to survey participants before program participation and not being able to gain the perspective of those participants who did not

[30] While were unable to administer surveys before and after participation in Project Reset, respondents completed two items about the impact of the program on their opinions of the justice system. Two-thirds (70 out of 105) stated they either somewhat or strongly agreed with the statement, "As a result of participating in Project Reset, I have a more favorable opinion of the court system." Only 11.5% (12 people) somewhat or strongly disagreed. When asked, "As a result of participating in Project Reset, I have a more favorable opinion of the police," slightly more than half of respondents (59 out of 104) either somewhat or strongly agreed, but 20.2% (21 people) somewhat or strongly disagreed.

complete the survey, the qualitative interviews and survey responses suggest that the program had a positive impact. This program goal, which was important for DANY, appears to be successful.

Recommendations

Based on these findings, we have identified a preliminary set of recommendations for the program. Because the bulk of our findings focused on program implementation, these recommendations also largely address considerations for ongoing implementation:

- **Increase Community Awareness of the Program and Highlight Benefits to Improve Recruitment:** Efforts to raise the external profile of the program might help to strengthen the perception of program legitimacy, which was a concern raised by participants. This could include clear communication about benefits of the program, including the ways that it helps participants avoid collateral consequences of justice system involvement.
- **Sustain Existing Relationships Among Stakeholders and Deepen Relationships with Other Relevant Stakeholders.** The strong relationships between program providers and DANY were an important program facilitator. At the same time, providers indicated that additional communication with other relevant stakeholders – such as NYPD or the defense organizations – could strengthen the program.
- **Monitor and Address Inequities in Engagement and Completion of the Program**. Given the finding that certain groups were more difficult to reach than others, it will be critical for the program to implement practices and processes for tracking and monitoring inequities in engagement and program completion. Identifying such inequities is the first step toward being able to address them, such as through tailored recruitment or outreach campaigns.
- **Support Staff Autonomy and Program Flexibility**: Staff dedication to delivering this program was an important facilitator, as was the ability of each program provider to draw on their existing strengths as an organization. Providing encouragement and support to staff to ensure they can continue to fulfill the mission of the program is key.
- **Continue to Offer Programs in In-Person, Community-Based Formats**. Prior to the pandemic, services were offered in community-based locations and group formats, which were described as strengths of the program model. Though the pandemic may create some ongoing obstacles to providing services in this format, it is worthwhile to continue offering services outside of the justice system and, when possible, provide programming in-person.
- **Connect Participants with Needed Services After Completion.** Participants described the value of the referrals they received through the program, and it is important that the providers continue to maintain strong referral relationships to high-quality mental health,

legal, and financial services. This might include referrals provided immediately after participants complete the program, but could also include ongoing contact with program participants, such as through an alumni program. These services can help address risk factors for future justice system involvement. Post-program services should also include better education on how participants can request documentation that their case has been sealed, which could be easily incorporated into the final parts of a workshop.

Project Next Steps

There were limitations of the present report, including the small number of survey respondents and limited number of program observations. However, this is an interim report and evaluation data collection will continue through June 2022. A complete set of administrative data for all participants will allow for additional analyses to be conducted for the final report, particularly a recidivism outcome analyses and analyses of post-program outcomes. We will also be exploring additional sources of process evaluation data to supplement the survey and program observations, including a review of program progress reports. The final report will also report the findings from the cost analyses, specifically the tangible and intangible cost of early diversion programs to the local community.

Appendix A. Qualitative Interview Protocols

Staff Semi-Structured Interview Guide
(estimated length: 45-50 minutes)

Note: Interview guide is designed to be used with staff from all stakeholder agencies. Specific questions may be omitted if determined to be not relevant for a given party. Note that because a given party will not be asked all of these sets of questions, the sum of the projected time for each of these sets of questions exceeds the estimated interview time length of 45-50 minutes for a given party.

Background (3 minutes)

1) To start us out, can you tell me about your role in Project Reset?

Nature of the Program (25 minutes)

Next, I have some questions to better understand how participants move through the program and the types of services they receive.

2) What are the eligibility criteria for the program?
    a. Can you discuss the set of individuals you start with (i.e. all individuals with a DAT) and walk us through the specific screening criteria (e.g., with a first-time arrest for a minor crime) that are used to determine who is diversion-eligible, for both the original and the expanded populations? Is all of the information necessary to determine whether someone is diversion-eligible housed with DANY, or is data from another agency necessary?
    b. Who is involved in the process of identifying potential participants? (Potential probes: NYPD, DANY, agencies)
    c. Does DANY ever dismiss a case before making the decision on whether the case is diversion-eligible?
    d. How is it determined if an individual is low risk?
    e. Have there been any changes in these criteria over time – and if so, what? (PROBE on expansion)
    f. During COVID, how have changes in the legal system (e.g., amount of police citations, court room activity) affected eligibility?
    g. Have there been changes over time in how Desk Appearance Tickets (DAT) have been handed out, or in the enforcement of low-level crimes that are diversion-eligible? (PROBE broader law/policy changes)
    h. How is it decided whether an individual will receive a DAT for their arrest, and what criteria do officers typically consider?

3) We're interested in learning how participants flow through the program. We can begin with identification and outreach.
    a. When do you learn about potential participants?
    b. What information does DANY include in the Salesforce database (which is how DANY communicates with the agencies about who is eligible)?
    c. Who conducts outreach to those potential participants? How is outreach conducted?
    d. What agency first tells the participant about the diversion program?
        i. Is this typically successful? Why/why not?
    e. How has the coronavirus impacted recruitment for the program?
        i. If you offer a remote or online option, how commonly are potential program participants interested in doing so? How commonly do limitations (e.g., having reliable online access) prevent such participation?
    f. What is the timeline between when you learn of a potential participant and when you contact them? What is the timeline for when the individual has to agree to the program, and complete the program, and how does this relate to their scheduled court date?

4) What types of intake procedures do you have for participants who decide to participate in the program? How long does the intake typically last?
    a. Potential probes: Types of assessments used, what specific information is collected at intake and whether this is recorded in their data.
    b. Approximately how long between acceptance/enrollment and the program date?
    c. How do you do intake currently due to the coronavirus?

5) Once an individual is enrolled, what types of services are provided?
    a. Potential probes: specific courses/services offered, length of program, location of program and whether they record the specific program attended.
    b. How has the coronavirus altered service delivery?
        i. How have you changed the program requirements?
        ii. For remote/online service delivery, how commonly can participants successfully do the program this way? How common is technological failure? How common are home distractions? How comparable is the remote version to the in-person version?
    c. Probe: differences between YA and adult groups
    d. Who developed the original vision/requirements for the program?

For internal reference, these are the components listed in the original material we received about the programs:

CCI: Early diversion workshop; Individual counseling session, New Museum workshop, Reset Plus workshop

Osborne Association: Social Resilience Model Workshop or Restorative Justice Works Leadership Training or Narcan/Naloxone Treatment Training or Community Benefit Projects

6) How many individuals typically participate in a given program session? During COVID, how many currently participate in a given session?

7) Are all program elements you described required? If not, how are the specific elements decided? (e.g., by the program, by the participant, some combination)

8) Do participants receive referrals for other services? If so, what types of services?

    a. Are referral services mandatory? Do you track participation in referred services? How often are referrals given? How often are they followed up on? How often are those services offered by the APR provider vs. another partner organization?

9) How much contact do they have with the court (and related actors) throughout this process? (PROBE: DANY, Public Defenders, Courthouse Staff, Others?)

10) What happens when someone completes the program services? (Potential probes: Future contact with participant; status of legal charges)

11) In what types of circumstances do individuals not complete the program (e.g., enroll but do not attend services, leave partway through a program)? What happens when a participant does not complete the program (e.g., to legal case)? Is there a formal/informal process to make-up a workshop? How has the coronavirus impacted program completion?

12) Are individuals charged a fee to participate in the program?

13) What information does your agency record in the Salesforce database (for both individuals that complete the program, as well as those that could not be contacted)? How can the Salesforce data be matched to DANY data—would one need to match on name, date of birth, etc.?

14) What other ways has the coronavirus affected your ability to participate in Project Reset?

Communication (5 minutes)

I want to talk briefly about the other organizations you may be in contact with as part of delivering this program.

15) What different agencies do participants or potential participants interact with as part of the program?

16) What stakeholders do you communicate with to implement this program (i.e., district attorneys, public defenders)?

    a. What type of communication do you have with these agencies/organizations? (Potential probes: discussing specific cases, submitting data, obtaining procedural/policy information about the program)

    b. How often do you communicate with them?

Perceptions of the Program (15 minutes)

17. What factors seem to contribute to whether an eligible defendant is successfully contacted by diversion program staff? How has the coronavirus altered this process?

18. While we understand that the vast majority of successfully contacted defendants agree to participate, what factors do you think shape someone's decision to not participate if they have been contacted? What factors do you think shape someone's agreement to participate? What impact do you think the coronavirus has had?

19. What are the benefits of participating in this program?

    a. How well do you think the program meets the needs of the participants you serve?

    b. Do you think that this program is effective, and in what way?

20. What has facilitated the implementation of this program? (Potential probes: Collaborations with the other agencies; training; other resources)

21. What challenges have been experienced in implementing this program? (Potential probes: Identifying and engaging potential participants; resources; staff needs; coronavirus)

22. Are participants consistently matched with their preferred workshop? Why/why not?

23. Given the chance, what changes would you make to the program?

24. Are there additional resources that you need to implement the program?

The Court Process (15 minutes)

Next, I have some questions to better understand the process for participants that have their case resolved in court.

25. How many hearings are typically involved to resolve a case like this, presuming an individual shows up at all required court hearings? How long after arrest will the first hearing typically take place? What is the typical resolution time for cases like these?

26. Is a public defender provided to the defendant at their first hearing? What Public Defender agencies are assigned to these cases? How are they selected? Are some more effective than others (e.g., at contacting folks)?

27. What happens if the individual does not show up for court?

28. How has the coronavirus's changes to court functioning impacted diversion to Project Reset?

29. Will individuals that were diversion-eligible but could not be contacted about the program ever know that it existed? (i.e. would they be told about it at the court hearing and given the opportunity to participate?)

30. How much time are prosecutors spending on a given case before the first court hearing, and what are they deciding on?

31. Are prosecutors typically offering a plea deal at the first court hearing? Will defendants typically accept the offer?

32. If you complete the diversion program for your first arrest and then get arrested again, how is your first diversion-eligible arrest handled? Will that automatically count as a prior conviction?

33. What are the typical fines and fees associated with the possible case dispositions?

34. What is the set of all cases that prosecutors that handle these diversion-eligible cases take? (i.e., will they handle all misdemeanor cases, do they handle felonies, etc.)

Program Cost (15 minutes)

35. What were the initial set-up costs your agency encountered and what was this money spent on? (These would be one-time costs that cannot be recovered—i.e. Salesforce database, etc.)

36. For a given year of program provision, break down all the costs of program provision, and how much each activity costs.

    a. What part of these costs are fixed? (i.e. regardless of the number of people participating, they must spend this money) What is the time length for these fixed

costs? (i.e. if they rent building space, do they do this month-to-month or annually? Are employees hired on annual contracts?)

b. What components of the cost are marginal? (i.e. they depend on the number of people participating.)

c. Has coronavirus affected costs?

37. With the fixed costs already spent, how many more individuals could your program serve in a given year?

Court/Prosecutor/Defense Cost (15 minutes)

38. How much total time does the prosecutor spend on a given case, including time in court?

39. What is the wage rate and overhead rate for the average prosecutor that handles these cases?

40. What court officers spend time on the processing of these cases? What tasks are involved, how much time is spent, and what are the wage and overhead rates for the average individuals in these respective positions?

41. How much time do public defenders spend on these cases, and what percentage of their caseload is this? What are the wage and overhead rates for the average public defender handling these cases?

42. How much does it cost to incarcerate someone in jail for one day? How much does it cost to supervise them on probation for one day?

DANY Evaluation - Project Reset
Participant Interview Draft
(estimated length: 45 minutes)

Experience with Program Outreach (10 minutes)

1) When did you complete Project Reset?

2) How did you find out about the program? (Potential probes: Program staff, NYPD, attorney)
    a. (For those who learned of it from the program staff) Did you have any questions as to whether this was a legitimate option for resolving your case?

3) What are some of the reasons why you decided to participate in this program? (Potential probes: More favorable case outcome, more timely case resolution, interested in the services)
    a. What were you hoping to get out of the program?

4) Did you have any questions about your participation in this program and if it was a good option? Who did you talk to about those questions?

5) Did you have a choice as to the type of workshop you wanted to complete? (If yes) Why did you choose the option you did?

Experience with Program Participation (15 minutes)

I'd like to ask a few questions about the workshop you completed Project Reset.

6) What did you find helpful about the workshop you completed? (Potential probes: Program material, connection with an organization that offers other services, connection with other participants)

7) Were there parts of the workshop you found less helpful? Why?

8) If you had the chance to redesign the program, what would you change?
    a. Is there anything missing from the current program, and if so, what?

9) Did you receive any referrals for other services as part of your participation? (If yes) Have you used those services? Why or why not?

10) What happened after you completed the program? (Potential probes: Additional communication with the program, receiving the decline to prosecute)

Experience with Program Stakeholders (10 minutes)

Next, we want to learn more about your experience working with the different organizations involved in the program.

11) What was your experience like with the officer who arrested you? (Probes: Respectful; explained the program; trusted to provide contact information)

12) Have you been in contact with the District Attorney's office? What has your experience been like with them?

13) Have you been in contact with a defense attorney? What was your experience like with them?

14) What was your experience like working with the staff of [organization delivering program] – from outreach through to completing the program?

Barriers, Facilitators, and Impact (10 minutes)

15) Were there any challenges to participating? What were they? (Potential probes: Location, timing)

16) What factors made it easier to complete this program? (Potential probes: Location, timing, length, did not interfere with work)

17) What are the overall benefits of this program? (Potential probes: Immediate benefits, such as useful information learned; longer-term benefits, such as dismissal of case)

Appendix B. Supplemental Figures and Tables

Figure B.1: Map of Outreach Process for the Entire Diversion-Eligible Population

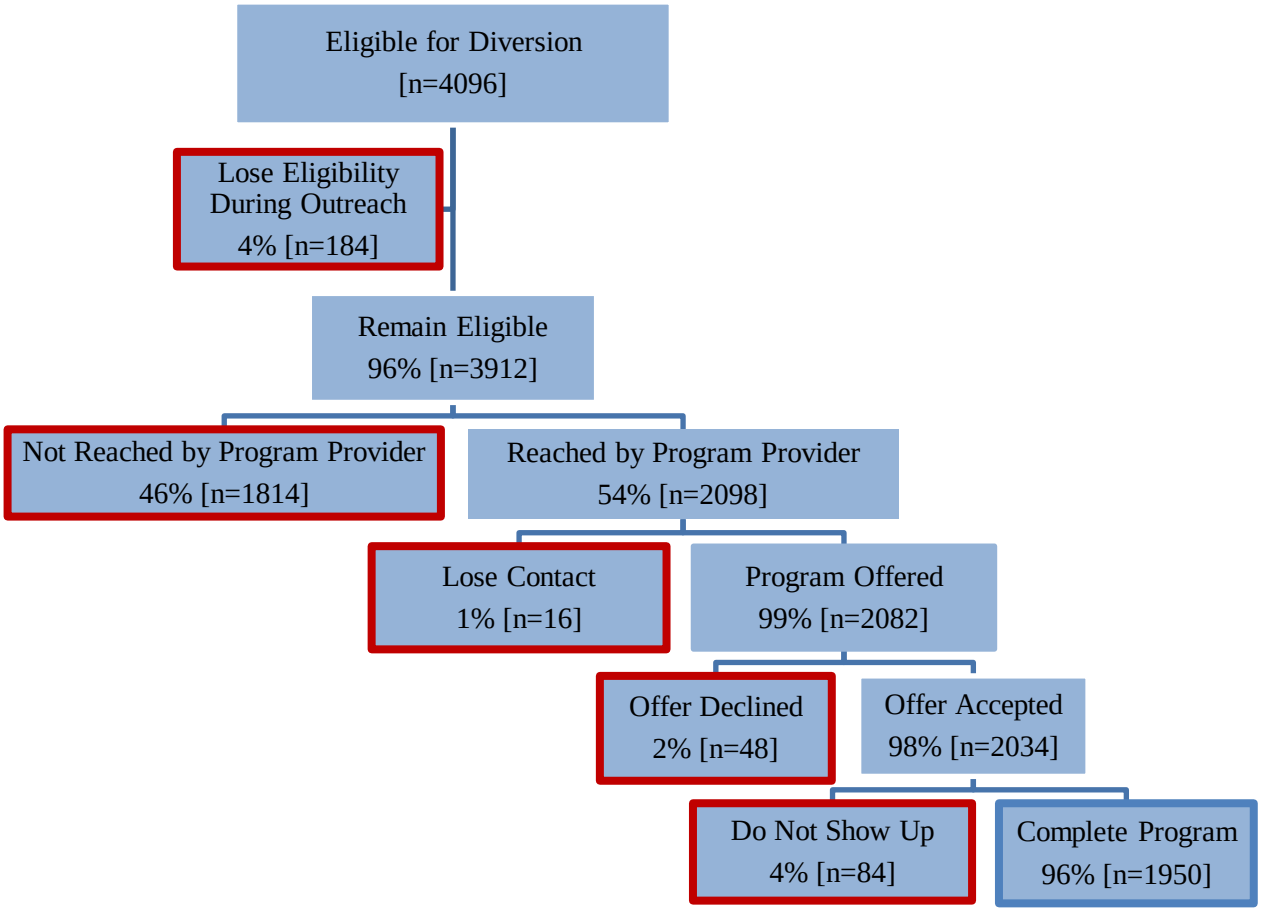


Table B.1 The Impact of Defendant and Case Characteristics on Whether the Defendant Was Reached (Logistic Regression)

	Dependent Variable: Whether Participant Was Reached			
	(Model 1)	(Model 2)	(Model 3)	(Model 4)
	Overall	No Record	Arrest Record	Conviction Record
Criminal History (ref: no previous arrests)				
Misdemeanor Arrest	0.681***	---	---	---
	(0.0950)			
Felony Arrest	0.461***	---	---	---
	(0.0995)			
Conviction	0.285***	---	---	---
	(0.0333)			
Provider (ref: CCI)				
Osborne Association	1.095	1.109	0.762	1.274
	(0.0849)	(0.0991)	(0.206)	(0.258)
Young New Yorkers	2.451***	2.443***	1.209	dropped
	(0.547)	(0.580)	(0.971)	
Year of Arrest (ref: 2018 for Col 1-3, 2020 for Col 4)				
2019	1.391***	1.373***	1.316	1.560**
	(0.110)	(0.115)	(0.430)	(0.301)
2020	1.067	1.134	0.998	---
	(0.117)	(0.146)	(0.406)	
Gender (ref: Male)				
Female	1.679***	1.725***	1.681**	1.522**
	(0.117)	(0.136)	(0.394)	(0.321)
Age Group (ref: ages 18-20)				
Age Between 21-25	0.961	0.969	1.838	0.298**
	(0.114)	(0.122)	(0.837)	(0.168)
Age Between 26-35	0.761**	0.790*	1.188	0.300***
	(0.0867)	(0.0975)	(0.520)	(0.139)
Age Between 36-45	0.708***	0.774*	1.018	0.214***
	(0.0931)	(0.114)	(0.514)	(0.103)
Age Between 46-55	1.043	1.113	1.010	0.410*
	(0.145)	(0.180)	(0.537)	(0.190)
Age 56 Plus	1.128	0.975	3.525*	0.574
	(0.175)	(0.173)	(2.407)	(0.275)
Race/Ethnicity (ref: White Non-Hispanic)				
White Hispanic	0.841*	0.903	0.671	0.607*
	(0.0829)	(0.100)	(0.260)	(0.164)
Black	0.922	0.944	0.846	0.750
	(0.0864)	(0.102)	(0.288)	(0.175)
Black Hispanic	0.640***	0.668**	0.511	0.501*
	(0.0914)	(0.108)	(0.267)	(0.205)
Asian	1.106	1.211	1.082	dropped
	(0.143)	(0.167)	(0.573)	
Other	1.268	1.237	dropped	0.927
	(0.344)	(0.367)		(0.776)
Constant	1.178	1.093	0.607	1.006
	(0.150)	(0.150)	(0.363)	(0.481)
Observations	3912	2914	338	640

Table B.2. Participant Understanding of Case and Diversion Option

	Strongly disagree	Somewhat disagree	Neither agree or disagree	Somewhat agree	Strongly agree	Total
The police officer clearly explained my charges at arrest.	15 (15.2%)	13 (13.1%)	11 (11.1%)	23 (23.2%)	37 (37.4%)	99
I understood the option of early diversion that was given to me.	13 (13.1%)	5 (5.1%)	13 (13.1%)	23 (23.2%)	45 (45.5%)	99
I understood my other options if I did not participate in Project Reset.	6 (6.2%)	5 (5.2%)	9 (9.3%)	19 (19.6%)	58 (59.8%)	97
I understand that Project Reset is different from how cases are normally handled.	1 (1.0%)	0 (0.0%)	5 (5.2%)	15 (15.5%)	76 (78.4%)	97

Table B.3. Overall Program Satisfaction

	Strongly disagree	Somewhat disagree	Neither agree or disagree	Somewhat agree	Strongly agree	Total
CCI (Original)	1 (1.5%)	0 (0.0%)	1 (1.5%)	4 (6.2%)	59 (90.8%)	65
CCI (Expanded)	0 (0.0%)	0 (0.0%)	1 (4.5%)	2 (9.1%)	19 (86.4%)	22
Osborne Association (Original)	1 (6.3%)	0 (0.0%)	0 (0.0%)	1 (6.3%)	14 (87.5%)	16
Young New Yorkers (Original)	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	3 (100.0%)	3
Total	2 (1.9%)	0 (0.0%)	2 (1.9%)	7 (6.6%)	95 (89.6%)	106

Table B.4. Program Satisfaction Sub-Items

	Strongly Disagree	Somewhat Disagree	Neither Agree or Disagree	Somewhat Agree	Strongly Agree	Total
The program staff were helpful.	4 (3.9%)	1 (1.0%)	1 (1.0%)	5 (4.9%)	92 (89.3%)	103
The program is only helpful for getting out of other punishment.	30 (28.8%)	19 (18.3%)	18 (17.3%)	8 (7.7%)	29 (27.9%)	104
I would recommend Project Reset to someone in a similar position as me.	3 (2.9%)	1 (1.0%)	2 (1.9%)	2 (1.9%)	97 (92.4%)	105
Project Reset resolved my case quickly.	2 (1.9%)	0 (0.0%)	4 (3.8%)	5 (4.8%)	93 (89.4%)	104
I learned useful information about the legal system from the program.	4 (3.8%)	1 (1.0%)	10 (9.5%)	26 (24.8%)	64 (61.0%)	105
I made the right decision by participating in Project Reset.	3 (2.9%)	0 (0.0%)	3 (2.9%)	3 (2.9%)	96 (91.4%)	105

Table B.5. Participant Assessment of Whether Referrals for Additional Services Were "Helpful"

	Strongly Disagree	Somewhat Disagree	Neither Agree or Disagree	Somewhat Agree	Strongly Agree	Total
CCI (Original Eligibility)	0 (0.0%)	0 (0.0%)	14 (29.8%)	11 (23.4%)	22 (46.8%)	47
CCI (Expanded Eligibility)	2 (15.4%)	1 (7.7%)	3 (23.1%)	3 (23.1%)	4 (30.8%)	13
Osborne Association	1 (9.1%)	0 (0.0%)	2 (18.2%)	5 (45.5%)	3 (27.3%)	11
Young New Yorkers	0 (0.0%)	0 (0.0%)	0 (0.0%)	0 (0.0%)	2 (100.0%)	2
Total	3 (4.1%)	1 (1.4%)	19 (26.0%)	19 (26.0%)	31 (42.5%)	73

Table B.6. Overall Thoughts and Feelings about the Justice System

	Strongly Disagree	Somewhat Disagree	Neither Agree or Disagree	Somewhat Agree	Strongly Agree	Total
The law represents the values of the people in power, rather than the values of people like me.	11 (10.8%)	12 (11.8%)	21 (20.6%)	31 (30.4%)	27 (26.5%)	102
People in power use the law to try to control people like me.	6 (5.9%)	5 (5.0%)	26 (25.7%)	38 (37.6%)	26 (25.7%)	101
The law does not protect my interests.	6 (5.9%)	17 (16.7%)	33 (32.4%)	26 (25.5%)	20 (19.6%)	102

Table B.7. Thoughts and Feelings about the Courts

	Strongly Disagree	Somewhat Disagree	Neither Agree or Disagree	Somewhat Agree	Strongly Agree	Total
More favorable opinion of the Court System after program	5 (4.8%)	7 (6.7%)	23 (21.9%)	24 (22.9%)	46 (43.8%)	105
Judges put people in jail for no good reason.	14 (13.9%)	19 (18.8%)	24 (23.8%)	30 (29.7%)	14 (13.9%)	101
Judges make decisions based upon their prejudices or personal opinions.	11 (10.9%)	13 (12.9%)	31 (30.7%)	30 (29.7%)	16 (15.8%)	101

Table B.8. Specific Perceptions of the Court System

	Never	Some of the time	Most of the time	Always	Total
Make fair and impartial decisions in the cases they deal with.	3 (3.0%)	58 (57.4%)	29 (28.7%)	11 (10.4%)	101
Give people a chance to tell their side of the story before they decide what to do.	1 (1.0%)	49 (48.5%)	36 (35.6%)	15 (14.9%)	101
Make decisions based upon the law and not their personal biases or opinions.	2 (2.0%)	48 (48.0%)	37 (37.0%)	13 (13.0%)	100
Treat people with dignity and respect.	5 (5.0%)	49 (48.5%)	35 (34.7%)	12 (11.9%)	101
Respect people's rights.	6 (5.9%)	42 (41.6%)	34 (34.7%)	19 (18.8%)	101

Table B.9. Thoughts and Feelings about the Police

	Strongly disagree	Somewhat disagree	Neither agree or disagree	Somewhat agree	Strongly agree	Total
More favorable opinion of Police after the program	14 (13.5%)	7 (6.7%)	24 (23.1%)	24 (23.1%)	35 (33.7%)	104
The police only care about the views of some of the people in my community.	11 (10.9%)	12 (11.9%)	28 (27.7%)	30 (29.7%)	20 (19.8%)	101
I generally support how the police act in my community.	31 (30.4%)	10 (9.8%)	22 (21.6%)	22 (21.6%)	17 (16.7%)	102
When the police deal with people they almost always behave according to the law.	24 (23.8%)	23 (22.8%)	17 (16.8%)	27 (26.7%)	10 (9.9%)	101

Table B.10. Perceptions of the Police

	Never	Some of the Time	Most of the Time	Always	Total
Make fair and impartial decisions in the cases they deal with.	11 (10.9%)	54 (53.5%)	26 (25.7%)	10 (9.9%)	101
Give people a chance to tell their side of the story before they decide what to do.	19 (18.6%)	49 (48.0%)	20 (19.6%)	14 (13.7%)	102
Make decisions based upon the law and not their personal biases or opinions.	11 (10.9%)	50 (49.5%)	29 (28.7%)	11 (10.9%)	101
Treat people with dignity and respect.	9 (8.8%)	56 (54.9%)	22 (21.6%)	15 (14.7%)	102
Respect people's rights.	13 (12.7%)	51 (50.0%)	20 (19.6%)	18 (17.6%)	102