



SB 678: Increasing the Success of High-Risk Probationers in San Diego County First Annual Report

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Lisbeth Howard
Cynthia Burke, Ph.D.



401 B Street
Suite 800
San Diego, CA 92101
(619) 699-1900

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SB 678: INCREASING THE SUCCESS OF HIGH-RISK PROBATIONERS IN SAN DIEGO COUNTY

INTRODUCTION

Over the past several years, probation departments across the State of California have been given the opportunity to implement best practices to reduce the failure of offenders under supervision, allowing for better use of prison resources for higher risk offenders. One of these opportunities was Senate Bill 678 (SB 678), the California Probation Performance Incentive Funding Program, which was passed in October 2009. SB 678 followed the publication of a report by the Legislative Analyst's Office (LAO) in 2009¹ that noted many probation departments were failing to follow best practices. In addition, the LAO report indicated that as counties were not responsible for cost sharing of state prison costs, there was an unintended incentive to revoke failing probationers and send them to state prison. As such, the LAO recommended that financial incentives be provided to counties to reduce probation revocations by implementing best practices and that funding for this effort should come from a portion of the savings that would result from incarcerating fewer failed probationers.

According to preliminary figures published by the California Administrative Office of the Courts (2011)² and highlighted by the Pew Center on the States (2012),³ the number of prison revocations statewide fell 23 percent (from 8% at baseline to 6% in 2010) during the first year of SB 678 implementation, resulting in savings of \$179 million to the State. As a result, \$87.5 million were returned to local probation departments as reinvestment. Revocations further decreased to 5.4 percent statewide during the second year of implementation, resulting in savings of nearly \$278 million, of which \$136 million were returned to local jurisdictions.⁴

¹ Legislative Analyst's Office (2009). *Achieving Better Outcomes for Adult Probation*. Sacramento, CA: Author.

² California Administrative Office of the Courts (2011). *SB 678, Year 1 Report: Implementation of the California Community Corrections Performance Incentives Act*. Sacramento, CA: Author.

³ Pew Center on the States (2012). *The Impact of California's Probation Performance Incentive Funding Program*. Washington, DC: Author.

⁴ California Administrative Office of the Courts (2012). *SB 678, Year 2 Report: Implementation of the California Community Corrections Performance Incentives Act*. Sacramento, CA: Author.

REPORT HIGHLIGHTS

- Since SB 678 was implemented, San Diego County has successfully reduced the number of probationers returned to state and local prison, from 1,606 at baseline, to 1,446 in 2012, a decrease of 10 percent.
- As a result of this decrease in prison revocations, San Diego County received over \$8 million in additional funding to enhance intervention efforts for high-risk probationers in San Diego County.
- In order to reduce recidivism, the San Diego County Probation Department has implemented proven supervision strategies, including assessing risk and need, risk-based supervision, case planning, and supervision using motivational interviewing and cognitive behavioral interventions. In addition, the use of incentives and sanctions will be implemented by December 2013.
- The provision of funded-treatment services also has been accomplished, with contracts in place to address substance abuse, mental health, and vocational/educational needs, as well as provide cognitive behavioral interventions and health screenings.
- As part of its evaluation, SANDAG is compiling statistics for a baseline, partial implementation, and full implementation group. Preliminary information for the baseline group revealed that almost all presented with substance abuse issues and about half with vocational/educational issues.

In response to the passage of SB 678, the San Diego County Probation Department formed the Community Corrections Partnership (CCP), tracked baseline statistics, and developed an implementation plan for systemwide change. The system changes included the development of the Probation Evidence-Based Practice Leadership Academy for Adult Field Services (AFS) Directors and Supervisors, enhanced supervision of probationers on high-risk supervision through the implementation of a continuum of incentives and sanctions, and ensuring that high-risk probationers had access to funded community-based interventions to address their criminogenic needs.

In order to determine the effectiveness of the local SB 678 implementation plan, SANDAG is conducting a two-part evaluation: a process evaluation to ensure that valid and reliable information is available regarding “what works” to inform policymakers and other stakeholders; and an outcome evaluation, which will assist in understanding how these services have helped reduce the revocation rate of high-risk probationers. The evaluation is also documenting how limited resources can be best used in the interest of public safety. This first report provides an overview of project implementation to date, summarizes the research design, and describes information compiled regarding the baseline group, which will serve as the comparison group for high-risk probationers who were assessed, supervised, and received services after the implementation of the SB 678 plan.

San Diego County’s SB 678 Funding

As part of the original seed funding, San Diego County received almost \$3.4 million to begin implementing the systemic changes outlined in their initial plan. During the following years, this funding was tied to the reduction in prison commitments compared to the baseline data from 2006 to 2008 (a decrease of 10%). Specifically, the County received nearly \$2.4 million for 2010, \$2.5 million for 2011, and is expected to receive \$2.2 for 2012.

PROJECT OVERVIEW

Background

As part of the criminal justice process in the State of California, an adult convicted of a felony offense can be sentenced to state prison, but may have imposition of this sentence put on hold and be placed on local supervision with probation. The purpose of probation is to protect community safety by holding the offender accountable to the terms of probation set by the court and to provide access to rehabilitative services. If an individual commits a new offense or violates the conditions set by the court while under local supervision, probation can be revoked and the individual can be sentenced to serve time in local jail, or local or state prison.

According to the LAO’s 2009 report, San Diego County’s rate of revocation to prison between 2005 and 2007 was 6.9 percent, slightly lower than the state average of 7.5 percent. What were the characteristics of these revoked individuals? According to documentation provided by the San Diego County Probation Department for individuals revoked during Fiscal Year (FY) 2009, most (82%) were male, almost two-thirds (63%) were between the ages of 18 and 35, just under one-quarter (23%) were transient, 45 percent had tested positive for drugs while under supervision, and 44 percent had been on warrant status during their period of supervision. On average, these individuals had been on probation 2.3 years at the time of their revocation; and while 51 percent were assessed as high-risk, 39 percent were supervised on a high-risk case load. Around one in five (21%) of those revoked had a technical violation, and of those with a new charge, a drug violation represented one in three (32%) (not shown).

What is Evidence-Based Practice (EBP)?

SB 678 EBPs include supervision policies, procedures, programs, and practices demonstrated by scientific research to reduce recidivism among individuals under probation, parole, or post-release supervision.

Project Implementation

The goal of SB 678 was to implement long-range plans to incorporate sustainable evidence-based practices (EBP) into service delivery. In order to achieve the goal of protecting community safety and increasing successful probation outcomes and reducing the number of revocations, San Diego County outlined a plan that included implementing evidence-based principles and practices, organizational development, and collaboration.

During the early phases of this effort, Probation built on plans outlined in its National Institute of Corrections' supported Strategic Plan for the Implementation of EBP. As part of this plan, significant shifts were made to reorganize the supervision of adult offenders to a risk-based model in keeping with the EBP "risk principle" that states that the highest level of resources should be reserved for the highest risk offenders.

Building on this base, the seed money was used to support the implementation strategies that have been shown to reduce recidivism: using risk assessment tools, providing EBP that target criminogenic needs for high-risk offenders, addressing criminal thinking and problem-solving skills, responding to misconduct with swiftness and certainty, and using incentives and sanctions. Specifically, Table 1 provides a summary of accomplishments and corresponding dates and key components of this project including the following:

Community Corrections Partnership: The CCP is a statutorily required local body tied to SB 678 and Assembly Bill 109 (AB 109).⁵ According to the legislation, membership on the CCP included representation by the court; County Supervisor or County Chief Administrative Officer; District Attorney; Public Defender; Sheriff; a chief of police; heads of the County Departments of Social Services, Mental Health, Employment, Alcohol and Substance Abuse Programs, and Office of Education; a representative from a community-based organization (with experience successfully providing rehabilitative services to individuals convicted of a criminal offense); and an individual representing the interests of victims. The CCP

held its first meeting, chaired by the Chief Probation Officer, in February 2010. Further, to assist in implementing EBP, three subcommittees were formed: Incentives and Sanctions, Treatment Services, and Outcome Measures.

Change in Leadership: As part of this effort, a Supervising Probation Officer (SPO) position was created to ensure that the goals of this effort were realized. Specifically, the SPO was tasked with overseeing day-to-day activities linked to SB 678 funding, coordinating all activities related to the CCP, coordinating and implementing the Leadership Academy, planning and implementing the incentive and sanctions model, and serving as the lead in designing the delivery of enhanced community-based services to reduce risk. In addition, three Probation Aides were funded to assist during implementation. The Probation Aides begin service delivery with incarcerated inmates and create a "warm hand off" to community-based services which includes explaining supervision expectations, setting appointments for the first meeting with the probation officer, and giving the probationer a date to report for an intake appointment with the Regional Recovery Center to receive services.

Table 1

SB 678 SAN DIEGO COUNTY PROJECT TIMELINE

Risk-based supervision implemented	Aug 2009
SB 678 passed into law	Oct 2009
First CCP meeting held	Feb 2010
New staff assigned	Jun 2010
Leadership Academy started	Jul 2010
Treatment services implemented in South Bay and east regions	Jul 2011
AB 109 passed into law	Oct 2011
Treatment services implemented in north and central regions	Mar 2012
Community Resource Directory came on-line	Feb 2013

SOURCE: SANDAG, 2013

⁵ The original purpose and composition of the CCP under SB 678 was changed somewhat with the passage of AB 109 and Penal Code section 1230.1. Specifically, the CCP was charged with developing and submitting an AB 109 implementation plan for approval to the Board of Supervisors and an Executive Committee of the CCP was formed.

Evidence-Based Practice Leadership Academy:

Organizational change requires leadership at all levels. To ensure that key line staff and middle managers understood EBP and were able to lead and support its implementation in community supervision, a 12-month EBP Leadership Academy was created. Over the 144-hour curriculum, focus was placed on the EBP model overall; motivational interviewing; leadership; utilizing assessments in the risk, needs, and responsivity model; case management; responding to offender behavior; cognitive behavioral intervention; using contingency management (incentives and sanctions); project management; collaboration with internal and external stakeholders; performance evaluation and employee recognition; and social network enhancement.

In order to ensure that the information from the Leadership Academy becomes part of standard operating procedure, the Probation Department will be disseminating a policy and procedure document of EBP for all officers who supervise adult offenders, as well as implementing quality assurance standards and tools to measure the quality of officer case planning and probation contacts.

Risk-Based Case Management: In 2008, San Diego County adopted the Correctional Offender Management Profiling for Alternative Sanctions (COMPAS) risk/need assessment tool in order to categorize offenders into the correct risk category. The assessment takes place at the investigation stage to ensure placement of offenders in the appropriate supervision level. The results of the COMPAS assessment provide information on the offender's criminogenic needs that can be addressed by appropriate referrals to community-based services. With this change, the transition to risk-based (rather than current charge-based) supervision was implemented in August 2009.

How Did Public Safety Realignment (AB 109) Influence California Probation Performance Incentive Funding Program (SB 678)?

The largest direct effect AB 109 has had on SB 678 is reducing the number of probationers who can be revoked to prison. Instead, a large majority of probationers who fail probation by committing a new felony offense are eligible for 1170(h) sentences to be served in local jail facilities operated by the San Diego County Sheriff's Department. The State is reexamining the formula used to determine reinvestment amounts.

Community Resource Directory (CRD): The purpose of the CRD is to facilitate the referral and linkage components of case management. With the CRD, officers now have an integrated on-line directory of service providers in the community that provide substance abuse treatment and other services to assist with the rehabilitative process. In addition, because the CRD is accessed through the software program Probation uses for the COMPAS, a customized case plan for an offender can be created when all scales on the COMPAS are completed. Referrals are then made through this case plan and sent directly to the service provider, facilitating the provision of services.⁶ To ensure that appropriate treatment services were provided to probationers under high-risk supervision, an automated solution was created to track "Probation Approved"⁷ service providers.

Enhanced Community-Based Treatment: To ensure that effective treatment was available to high-risk probationers across the County, Probation worked with the County of San Diego Health and Human Services Agency (HHSA) to amend contracts with community-based service providers to provide substance abuse treatment (in-patient and out-patient), cognitive behavioral therapy (to change criminal thinking and address mental health issues), and vocational and educational support. McAlister Institute Treatment and

⁶ Preliminary statistics from Probation regarding use of the CRD as of April 18, 2013, revealed that 79 different officers had referred 296 offenders to 54 agencies for 104 types of services. These referrals included a full range of services, including residential and non-residential substance abuse treatment, employment/vocational services, counseling, referrals to sober living facilities, and housing assistance.

⁷ To receive approval for inclusion, a service provider must have sufficient insurance and require staff to undergo background checks.

Education, Inc. (MITE) was contracted to provide services in South Bay, El Cajon, and North County; and Mental Health Systems (MHS) was contracted to provide services in Central East, North Inland, and Mid-Coast. Services were first provided (beginning July 2011) in the South Bay and East County, with expansion to North County and Central occurring March 2012. In addition, a third service provider, Telecare, began providing case management services in July 2012 to high-risk offenders with an Axis I diagnosis utilizing the Assertive Community Treatment (ACT) model that includes strategies to ensure medication compliance, counseling, referrals to other community-based treatment, and linkages to vocational and educational training.

Incentives and Sanctions: With a focus on a balanced approach to supervision, Probation determined it was essential to provide officers with the tools they need to hold offenders accountable and provide rehabilitative services. In order to enhance the probability that a probationer will maintain compliance with a customized case plan, incentives and sanctions were created by a collaborative subcommittee of the CCP (with members from Probation, police, the Sheriff's Department, court, Public Defender, and District Attorney). For both the incentives and sanctions, behavior responses are categorized into four levels, each increasing in intensity and with some responses included in more than one level (e.g., positive report to the court, increased frequency of office visits). Examples of incentives include accolades from the probation officer or an extended curfew at Level 1, a public transportation pass at Level 2, decreased frequency of urinalysis testing at Level 3, and public recognition at Level 4. Examples of sanctions include increase in frequency of office visits at Level 1, imposition of volunteer work at Level 2, imposing GPS at Level 3, and imposing up to 7 days of administrative custodial sanction at Level 4. Guidelines for the appropriate sanction/incentive response level are also provided to the probation officers. For example, if a probationer complies/does not comply with a curfew the recommendation is made for an incentive/sanction at Level 1, while paying/not paying fines and fees would result in a Level 2 incentive or sanction.

RESEARCH OVERVIEW

To provide timely information regarding program implementation and document outcomes, the Probation Department contracted with SANDAG to conduct a process and an impact evaluation of this effort. The goals of the process evaluation are to describe service delivery to highlight systemic changes necessary to achieve the goals of SB 678, as well as to determine how effectively the implementation plan was employed. The goals of the impact evaluation are to determine if recidivism, including revocation to jail/prison rates (e.g., being returned to prison for a new felony conviction)⁸ declined; if changes to service provision related to this effort resulted in other positive outcomes; and if the implementation plan was cost-effective.

Research Samples

To answer these research questions, data are being compiled for three groups of individuals under high-risk supervision at different points in time in San Diego County. Specifically, a baseline group of individuals on high-risk probation prior to SB 678 plan implementation (Group 1) will be compared to two groups of SB 678 service recipients: the first group represents those under supervision with partial implementation (Group 2), and the second represents those under supervision with full implementation (Group 3).

Baseline Group (Group 1): The baseline group for this evaluation currently includes 1,615 unique adults who exited high-risk probation supervision between July 1, 2010, and June 30, 2011.⁹ If an individual was on high-risk supervision more than once during this period, the most recent period of supervision was selected to avoid duplication of cases. Individuals who were under high-risk supervision but assigned to certain specialized caseloads (e.g., Gang Suppression, Driving Under the Influence (DUI), Sex Offender, Global Positioning System (GPS) Monitored) were not included.

⁸ Multiple measures will be included in the analyses of recidivism. The initial plan to rely on revocations to prison as the primary measure of recidivism would be misleading because of subsequent criminal justice system changes as a result of AB 109.

⁹ As Groups 2 and 3 are finalized, it is possible that this baseline sample could be refined by limiting inclusion to those on high-risk supervision for an as yet undetermined minimum number of days.

Partial Implementation Group (Group 2): SB 678 Group 2 includes individuals who exited high-risk supervision between August 1, 2011, and July 31, 2012. Individuals under high-risk supervision during this time benefited from the availability of funded community-based treatment, but left high-risk supervision prior to full implementation of the incentives and sanctions model.

Full Implementation Group (Group 3): The SB 678 Group 3 individuals are those who will leave high-risk supervision between January 1, 2014, and August 31, 2014, and who had access to funded community-based treatment and full implementation of incentives and sanctions.

Process Evaluation

The purpose of the process evaluation is to determine if the SB 678 implementation plan was employed as envisioned, to measure what, if any, systemic changes in policies and procedures were implemented, and to assess operations (e.g., staffing, individuals served). As such, the following research questions will be addressed:

1. How many offenders left high-risk supervision during the baseline period (July 1, 2010, through June 30, 2011) and the research study periods (August 1, 2011, through July 31, 2012, and January 1, 2014, through August 31, 2014)? What were the characteristics and needs of these offenders?
2. How many probation officer contacts were made with offenders on high-risk caseloads during the period of supervision?
3. What services were offenders on high-risk supervision referred to during the research study period? How many received services and what was the intensity of the services received?¹⁰
4. Did the services provided meet individual need? Did offenders on high-risk supervision successfully complete services?
5. What sanctions were imposed on offenders on high-risk supervision under full implementation? What was the length of time between

noncompliant behavior and imposition of the sanction?

6. What incentives were given to offenders on high-risk supervision under full implementation?
7. How did probation officer-probationer contact adhere to objectives of the Integrated Behavioral Intervention Strategies (IBIS) training? How did probationers on high-risk supervision view these interactions?
8. What was the perception of Probation staff regarding the amount and type of system change that was implemented as a result of this effort?

To answer these research questions, data are being compiled from a variety of sources as described below.

Offender Characteristics: In order to answer research question 1 of the process evaluation, official records regarding individuals in all three study groups (Group 1, Group 2, and Group 3) will be examined. Probation staff is coordinating with SANDAG staff to provide data files that include information about the characteristics of the baseline and SB 678 service recipients in an electronic format. Specifically, data provided will include the numbers of eligible offenders, information regarding the demographics of each individual, and dates used to measure timing of services.

Intake Assessment: As part of the process evaluation, the research team is analyzing data collected through the Probation Department's standardized assessment process. All assessment information for probationers supervised on high-risk caseloads, who are either in the baseline group or SB 678 service recipients, will be obtained through data files in an electronic format from the Probation Department research staff. Details regarding the assessed needs of individuals in the two study groups will be used to address research questions 1 and 3 regarding service delivery.

Criminal Involvement and Offender Management Records: To answer research questions 1, 2, 4, 5, and 6, information related to criminal justice system involvement before and after assignment to high-risk supervision will be compiled by SANDAG staff. SANDAG staff will collect data associated with arrest, booking, charges filed, convictions, and jail and prison sentencing for study group cases through automated systems, including the Automated Regional Justice Information System (ARJIS) (a computer system for

¹⁰ Treatment tracking for the evaluation is focusing on those services provided to high-risk offenders without an Axis I diagnosis, due to the special needs of this population and the relatively small percentage of the sample it represents.

information sharing among local justice agencies), the San Diego County Sheriff's Department database, and the San Diego County District Attorney's data system. Regarding management of offenders, the date of assignment to high-risk supervision, date of exit from high-risk supervision, dates of contacts with probation officers, and drug test results will be provided, as well as information about incentives and sanctions given to SB 678 service recipients in Group 2.

Community-Based Service Records: HHSA contractors will make individual-level service delivery data available, including referrals received, services completed, and residential drug or alcohol treatment exit status (i.e., successful completion, dropped out, or terminated) for the SB 678 service recipient groups. This effort will require a combination of manual data collection and analysis of data extracted from HHSA's existing database. These data will be used to answer research questions 3 and 4.

Probationer Satisfaction Surveys: A satisfaction questionnaire will be administered to SB 678 service recipients (Groups 2 and 3) to capture opinions regarding the quality of probation services received. Surveys will be administered during three-week periods to a sample of individuals who had at least three face-to-face contacts with their probation officer. Surveys will be provided to probationers during the survey period when s/he visits one of the four Probation offices and a secure delivery system will be available to increase the individual's ability to be assured of confidentiality and anonymity. Questions on the survey will focus on the probationer's perception of his/her relationship with the probation officer. These surveys will be administered primarily to provide timely feedback to staff and answer question 7 regarding service delivery.

Probation Officer Surveys: All probation officers with high-risk caseloads will be surveyed in summer 2013 to obtain their input regarding their experiences related to the SB 678 effort. These surveys will be administered electronically using SurveyMonkey.com. The list of potential respondents will be developed with input from the San Diego County Probation Department to ensure that all relevant individuals are included. The purpose of these surveys is to obtain feedback regarding the philosophy behind the effort; the challenges and successes of implementation, management, and administration; effectiveness of specific components; and overall impact of the strategies employed as part of SB 678, as well as

lessons learned to share with others implementing similar systemic changes. Additionally, staff members will provide feedback on their interaction with high-risk probationers and/or other staff involved in the effort, and the working environment. This information will be used to address research questions 5, 6, 7, and 8.

Observation of Probation Officer/Probationer Contacts: As part of the process of ensuring that specific strategies are being implemented as planned, SANDAG staff will coordinate with Probation to observe a sample of contacts between probation officers and probationers. A standardized checklist will be developed by Probation staff trained in the IBIS model and will be used to record observations. Probation staff will use information gained through these observations to augment staff training and service delivery. Research staff will obtain the check lists from these observations to examine and incorporate with other quantitative and qualitative findings to answer research question 7.

Impact Evaluation

The purpose of the impact evaluation is to determine whether SB 678 plan implementation increased desistance from crime, including lowering the rate of probationers revoked to prison who are currently on high-risk supervision. Through the evaluation, conditions under which the plan was most likely to accomplish this goal will also be identified. Additionally, the impact evaluation will determine whether the effort was cost-effective relative to existing procedures of handling probationers on high-risk supervision. To determine what effect the effort has on SB 678 service recipients, the following impact evaluation questions will be investigated:

1. How many offenders on high-risk supervision recidivated (e.g., being revoked to jail/prison for a new felony conviction or technical violation)? What was the length of time between release to the community and recidivism?
2. How many new offenses, on average, were committed by offenders on high-risk supervision while under supervision?
3. How many offenders on high-risk supervision had positive drug tests while under supervision? How many positive drug tests, on average, did offenders have while under supervision?

4. Which factors or offender characteristics were predictive of recidivism while under supervision?
5. What was the status of offenders when they left high-risk supervision?
6. Were the changes implemented as part of SB 678 cost-effective?

Data to be compiled to address these questions include the data previously described regarding offender characteristics, criminal involvement and offender management records, community-based service records, as well as cost measures.

Cost Measures: A key component of this project is determining if the additional costs related to managing the SB 678 effort are justified in terms of increased desistance from crime by high-risk probationers (including being revoked to prison) and increased community safety. To answer question 6, research staff will work with Probation and HHSA staff to compile the justice system information required to estimate the cost per offender for both SB 678 service recipients and the baseline group, including costs for arrest, court processing, and confinement, as well as costs associated with service delivery.

PROCESS EVALUATION RESULTS

For this report, data have been compiled to address process evaluation questions 1 and 2 specific to the baseline group of ex-offenders. Future reports will build on the information summarized here to address additional questions and will include comparisons to Groups 2 and 3.

How Many Offenders Left High-Risk Supervision During the Baseline Period and What Were the Characteristics and Needs of These Offenders?

As previously described, the baseline group for this evaluation includes 1,615 individuals who exited high-risk probation supervision between July 1, 2010, and June 30, 2011. As Table 2 shows, almost three-quarters (73%) of these individuals were male, more than half (59%) were non-White, most (43%) were between the ages of 25 and 39, and 15 percent were transient, similar to the profile documented by Probation in their original application to the State. The average age of these individuals was 30.8 years (range

18 to 73, *SD* = 10.5). Males were significantly younger than females (39% of males were under 25, compared to 29% of females) and Hispanics were significantly younger than other ethnic groups under high-risk supervision (45% were under 25, compared to 32% to 33% for other groups) (not shown).

Table 2

BASELINE GROUP CHARACTERISTICS

Gender	
Male	73%
Female	27%
Race	
White	41%
Black	25%
Hispanic	29%
Other	5%
Age	
Under 25	36%
25 to 39	43%
40 and older	21%
Transient	15%
TOTAL	1,588 – 1,615

NOTE: Cases with missing information not included.

SOURCE: San Diego County Probation Department; SANDAG, 2013

Based on preliminary data, in terms of prior criminal history (from Probation records), 37 percent had a conviction prior to the instant offense and of these 591 individuals, 49 percent had been on probation supervision previously. Of those with a prior conviction, 90 percent had at least one felony-level conviction and in terms of type of conviction charge, 60 percent were for a drug offense, 55 percent for a property offense, 19 percent for a violent offense, 8 percent for some other type of offense, and 6 for a weapons offense (not shown).

The individuals in the baseline group, who had a residential address in San Diego County that could be mapped (1,235 individuals), lived throughout the region (Appendix Map 1). Almost two-fifths (38%) resided in the Central Major Statistical Area (MSA) of the County, 19 percent in East Suburban or East County, 13 percent in South Suburban, 12 percent in North County East, 10 percent in North City, and 9 percent in North County West. Over half (58%) of Hispanic individuals lived in the South Suburban MSA area that was served by only one HHSA treatment site,

as opposed to two sites serving Central, East County, and North County.

In terms of assessed need, information from the COMPAS was analyzed for the baseline group and the assessed need (low, medium, high) in 20 criminogenic areas is presented in Table 3. Individuals placed on high-risk supervision should generally have a high-risk level on either the recidivism risk or violence risk domain of the COMPAS. Four out of five (81%) baseline group individuals met these criteria, with males being significantly more likely to have an assessed risk in the high range in at least one of the two areas (83%) compared to females (76%) (not shown). In terms of overall risk, around two-thirds or more of these individuals on high-risk supervision were assessed as being high risk in terms of a history of noncompliance (78%), recidivism (64%), and violence (62%). In addition, in terms of specific needs and factors, two-fifths or more were assessed as high-risk in the areas of vocation/education, having a history of violence, criminal opportunity, residential instability, financial, and social adjustment. Other significant differences by gender included males being significantly more likely to be rated as high-risk in the areas of risk of violence (69% versus 44%), vocational or educational (56% versus 41%), and criminal opportunity (43% versus 33%). Conversely, females were more likely than their male counterparts to be assessed as high-risk level in the following three areas: risk of recidivism (69% versus 62%), criminal thinking (34% versus 25%), and criminal involvement (43% versus 34%) (not shown).

Table 3
BASELINE GROUP ASSESSED RISK

	Risk Level		
	Low	Med	High
Overall Risk			
History of noncompliance	10%	12%	78%
Recidivism	8%	29%	64%
Violence	7%	31%	62%
Criminogenic & Needs Factors			
Substance use	13%	n/a	87%
Vocational or educational	12%	36%	52%
History of violence	39%	20%	41%
Criminal opportunity	13%	47%	40%
Residential instability	28%	32%	40%
Financial	17%	43%	40%
Social adjustment	21%	39%	40%
Cognitive behavioral	21%	43%	36%
Criminal involvement	24%	40%	36%
Social environment	47%	22%	32%
Criminal associates	31%	39%	30%
Criminal personality	27%	43%	30%
Socialization failure	53%	27%	20%
Criminal thinking	28%	44%	27%
Family criminality	34%	39%	27%
Social isolation	32%	42%	25%
Leisure and recreation	39%	42%	20%
TOTAL	435 - 949		

NOTE: Cases with missing information not included.

SOURCE: San Diego County Probation Department; SANDAG, 2013

How Many Probation Officer Contacts Were Made with Offenders on High-Risk Caseloads During the Period of Supervision?

One of the goals of the implementation of EBP is to increase the value of the quality of each interaction with a probationer and use it as an opportunity for a brief intervention. While data for the baseline group were not available for the quality of the interaction, they were available for the quantity and type of interaction. For the purpose of these analyses, administrative-related contacts, face-to-face contacts, phone calls and interviews, video teleconferences, and school contacts were included and all interactions that involved a probation officer and the probationer were documented. Across the average of 9.5 months of high-risk supervision (range 1 to 35, SD = 7.2), 93 percent of the offenders had at least one contact with a sworn probation officer, with an overall average of 17.2 (range 1 to 98, SD = 14.8) total contacts, equating to an average of 1.9 per month (range .1 to 10, SD = 1.2) (not shown).

IMPACT EVALUATION RESULTS

As data transfer systems are being finalized, impact evaluation data at this point in time are primarily available from aggregate statistics prepared by Probation and submitted to the State as part of their quarterly reporting system. These data are summarized here to provide a summary of progress made to date in the County in regard to reducing revocation rates for this population. In addition, data that are available from the baseline group regarding drug tests results and the conditions of leaving high-risk supervision are provided. These data address impact evaluation questions 3 and 4.

How Many Offenders on High-Risk Supervision Had Positive Drug Tests While Under Supervision?

Of the 1,615 individuals in the baseline group, 1,106 (68%) had at least one drug test administered during the period of high-risk supervision. While analyses of these results in terms of later success will be conducted for future reports, and will be compared to Groups 2 and 3, preliminary outcomes of these data revealed the following for those with at least one drug test:

- The average number of tests conducted was 10.4 (range 1 to 88, SD = 10.8);
- Almost half (48%) of these 1,106 individuals had either a questionable test (e.g., failure to provide, inconclusive, diluted, no result) or failed to appear for a test, a red flag to an officer;
- Of those individuals with one or more tests with a valid result, 44 percent had at least one positive drug test. When these positive results are combined with the previous results, 68 percent of the baseline group had a positive drug test; and
- The average number of positive drug tests was 1.2 (range 0 to 30, SD = 2.5) with nearly one in five (18%) high-risk offenders' drug tests having a positive result (range 0% to 100%, SD = 30%) (not shown).

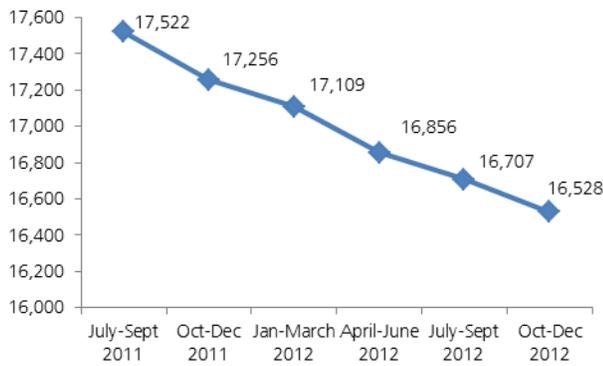
Statewide SB 678 Measures

To measure the impact SB 678 is having on the local criminal justice system, the San Diego County Probation Department has tracked multiple measures during plan implementation. Since July 2011 (or October 2011, depending on the measure), the number of individuals under probation supervision has declined overall, along with the number of individuals who are granted probation. In addition, the number of individuals who completed probation unsuccessfully, had a new conviction, or were revoked to prison, has declined to an even greater degree, reflecting the success that was being aimed for.

As Figure 1 shows, since July 2011, the number of all individuals on adult felony probation (including those on warrant status) has steadily declined, from 17,522 to 16,528, a decrease of 7 percent, reflecting at least in part crime and arrests that continued to decline through the end of 2011.

Figure 1

PROBATION POPULATION BY QUARTER



SOURCES: San Diego County Probation Department; SANDAG, 2013

The number of individuals granted probation for a new felony offense during the same 18-month period showed a slightly different pattern (Figure 2). Specifically, the number decreased from July-Sept to Oct-Dec 2011 (when AB 109 and realignment was put into place), and then increased each of the following three quarters, before decreasing again at the end of 2012. As such, the number of new grants of probation for a felony was 5 percent lower at the end of 2012, compared to mid-year 2011.

Figure 2

NUMBER OF GRANTS OF PROBATION FOR A NEW FELONY CASE BY QUARTER



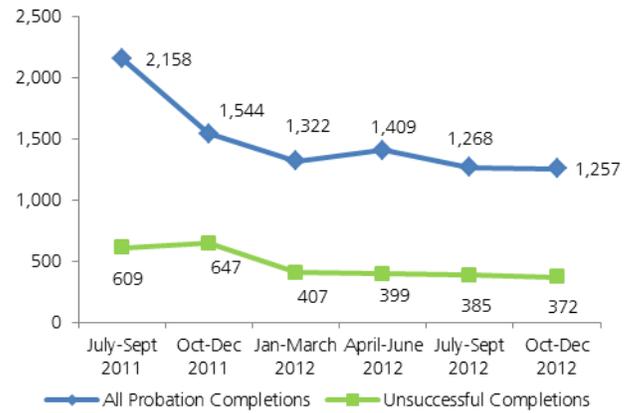
SOURCES: San Diego County Probation Department; SANDAG, 2013

While the number of individuals being placed on probation for a new felony offense and the population overall was decreasing, the number completing probation overall (regardless of the reason) also declined, from 2,158 for July-Sept 2011 to 1,257 for Oct-Dec 2012 (-42%). Of these, the number

completing probation unsuccessfully decreased to a comparable degree (-39%, from 609 to 372) (Figure 3).

Figure 3

NUMBER OF PROBATION COMPLETIONS OVERALL AND UNSUCCESSFUL COMPLETIONS BY QUARTER

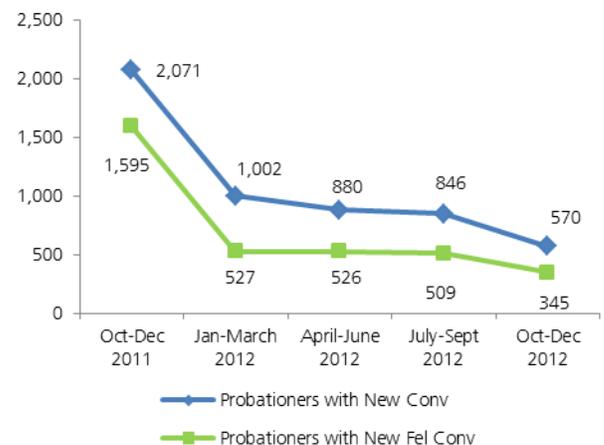


SOURCES: San Diego County Probation Department; SANDAG, 2013

In terms of how many adult felony probationers had new convictions, either for any level offense or a felony specifically, the number also dramatically decreased from Oct-Dec 2011 (when the data were first reported to the State) to Oct-Dec 2012. Specifically, the number of probationers with a new conviction overall and the number with a new felony, specifically, each decreased by 78 percent (Figure 4).

Figure 4

NUMBER OF NEW CONVICTIONS BY QUARTER



SOURCES: San Diego County Probation Department; SANDAG, 2013

In terms of revocations to prison, the key measure of success for the State, fewer adult felony probationers were revoked to prison in Oct-Dec 2012, compared to July-Sept 2011, a decrease of 46 percent overall, and 45 percent specifically for those with a new offense.

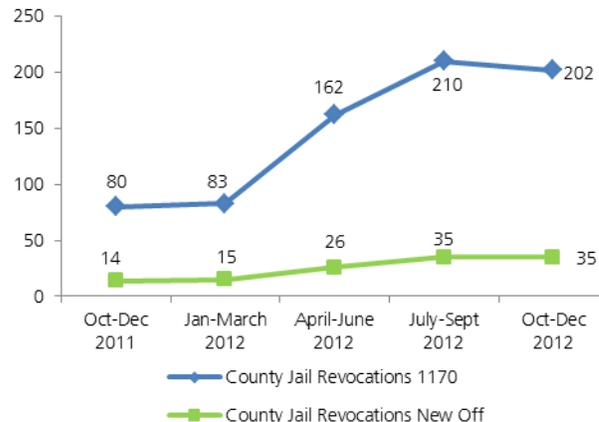
Figure 5
NUMBER OF PRISON REVOCATIONS OVERALL AND FOR A NEW OFFENSE BY QUARTER



SOURCES: San Diego County Probation Department; SANDAG, 2013

With the implementation of AB 109 in October 2011, and the possibility of offenders to be revoked to local prison, an additional measure of interest was added to what was being reported to the State. As Figure 6 shows the number of individuals revoked to local prison increased steadily from Jan-March 2012, reaching 202 in Oct-Dec 2012. In this most recent quarter, 35 of the 202 revocations to local prison represented a new offense.

Figure 6
NUMBER OF REVOCATIONS TO LOCAL PRISON OVERALL AND FOR A NEW OFFENSE BY QUARTER



SOURCES: San Diego County Probation Department; SANDAG, 2013

SUMMARY AND NEXT STEPS

In an effort to better manage its incarcerated population, the State of California, through SB 678 began to offer financial incentives to counties that implemented best practices which effectively increased probation success and reduced probation revocations to state prison. As described in this first report, San Diego County has successfully implemented a number of Evidence-Based Supervision practices that have resulted in fewer high-risk offenders revoked to state or local prisons, and the receipt of \$8 million in funding to enhance intervention efforts for high-risk offenders in San Diego County. The plan included the development of the Probation Evidence-Based Practice Leadership Academy for AFS Directors and Supervisors, enhanced supervision of probationers on high-risk supervision through the development of an incentive and sanction continuum, and the development of a comprehensive package of community-based intervention and treatment services to address the criminogenic needs of probationers.

To accomplish the goal of reducing recidivism through the implementation of EBP, the San Diego County Probation Department has incorporated risk and needs assessment, risk-based supervision, case planning, and supervision using motivation interviews and cognitive behavioral interventions. In addition, the use of incentives and sanctions will be implemented by December 2013. The provision of funded treatment services has also been accomplished with contracts in place to address substance abuse, mental health, and vocational/educational needs, as well as provide cognitive behavioral interventions and health screenings.

In order to determine the effectiveness of these efforts, SANDAG is conducting a process evaluation to document implementation and an outcome evaluation to better understand how the systemic change was related to positive outcomes that were realized. To answer the research questions posed here, data are being compiled through a variety of sources (i.e., surveys, archival records, observations) and three groups of individuals under high-risk supervision are being tracked: a baseline group prior to implementation of the plan, Group 2 when partial implementation of the plan was in place, and Group 3 when full implementation was enacted. Over the coming months, data regarding recidivism for the baseline group will be compiled and the evaluation data will also be enhanced with additional information available for Group 2, including feedback on their supervision experience, as well as the services provided during their period of supervision.

Appendix

APPENDIX MAP 1

