



Senate Bill 678: Increasing the Success of High-Risk Probationers in San Diego County Second Annual Report

February 2015

Cynthia Burke, Ph.D.
Lisbeth Howard



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

BOARD OF DIRECTORS



The 18 cities and county government are SANDAG serving as the forum for regional decision-making. SANDAG builds consensus; plans, engineers, and builds public transit; makes strategic plans; obtains and allocates resources; and provides information on a broad range of topics pertinent to the region's quality of life.

CHAIR

Hon. Jack Dale

VICE CHAIR

Hon. Ron Roberts

EXECUTIVE DIRECTOR

Gary L. Gallegos

CITY OF CARLSBAD

Hon. Matt Hall, Mayor
(A) Hon. Lorraine Wood, Councilmember
(A) Hon. Michael Schumacher, Councilmember

CITY OF CHULA VISTA

Hon. Mary Salas, Mayor
(A) Hon. Pamela Bensoussan, Deputy Mayor
(A) Hon. John McCann

CITY OF CORONADO

Hon. Carrie Downey, Councilmember
(A) Hon. Michael Woiwode, Councilmember
(A) Hon. Bill Sandke, Councilmember

CITY OF DEL MAR

Hon. Terry Sinnott, Councilmember
(A) Hon. Dwight Worden, Councilmember
(A) Hon. Al Corti, Mayor

CITY OF EL CAJON

Hon. Bill Wells, Mayor
(A) Hon. Tony Ambrose, Councilmember

CITY OF ENCINITAS

Hon. Lisa Shaffer, Councilmember
(A) Hon. Tony Kranz, Councilmember
(A) Hon. Kristin Gaspar, Mayor

CITY OF ESCONDIDO

Hon. Sam Abed, Mayor
(A) Hon. John Masson, Councilmember
(A) Hon. Ed Gallo, Councilmember

CITY OF IMPERIAL BEACH

Hon. Robert Patton, Councilmember
(A) Hon. Brian Bilbray, Mayor Pro Tem
(A) Hon. Serge Dedina, Mayor

CITY OF LA MESA

Hon. Kristine Alessio, Councilmember
(A) Hon. Ruth Sterling, Vice Mayor
(A) Hon. Bill Baber, Councilmember

CITY OF LEMON GROVE

Hon. Mary Teresa Sessom, Mayor
(A) Hon. Jerry Jones, Councilmember
(A) Hon. George Gastil, Councilmember

CITY OF NATIONAL CITY

Hon. Ron Morrison, Mayor
(A) Hon. Alejandra Sotelo-Solis, Councilmember
(A) Hon. Mona Rios, Councilmember

CITY OF OCEANSIDE

Hon. Jim Wood, Mayor
(A) Hon. Esther Sanchez, Councilmember
(A) Hon. Chuck Lowery, Deputy Mayor

CITY OF POWAY

Hon. Steve Vaus, Mayor
(A) Hon. Jim Cunningham, Councilmember
(A) Hon. John Mullin, Councilmember

CITY OF SAN DIEGO

Hon. Kevin Faulconer, Mayor
(A) Hon. Lorie Zapf, Councilmember
(A) Hon. Chris Cate, Councilmember
Hon. Todd Gloria, Councilmember
(A) Hon. Sherri Lightner, Council President
(A) Hon. Myrtle Cole, Councilmember

CITY OF SAN MARCOS

Hon. Chris Orlando, Councilmember
(A) Hon. Jim Desmond, Mayor
(A) Hon. Rebecca Jones, Vice Mayor

CITY OF SANTEE

Hon. Jack Dale, Councilmember
(A) Hon. John Minto, Vice Mayor
(A) Hon. Rob McNelis, Councilmember

CITY OF SOLANA BEACH

Hon. Lesa Heebner, Mayor
(A) Hon. Mike Nichols, Councilmember
(A) Hon. David A. Zito, Deputy Mayor

CITY OF VISTA

Hon. Judy Ritter, Mayor
(A) Hon. John Aguilera, Deputy Mayor
(A) Hon. Amanda Rigby, Councilmember

COUNTY OF SAN DIEGO

Hon. Bill Horn, Chair
(A) Hon. Dianne Jacob, Supervisor
Hon. Ron Roberts, Supervisor
(A) Hon. Dave Roberts, Vice Chair
(A) Hon. Greg Cox, Supervisor

ADVISORY MEMBERS

IMPERIAL COUNTY

Hon. John Renison, Supervisor, District 1
(A) VACANT

CALIFORNIA DEPARTMENT OF TRANSPORTATION

Malcolm Dougherty, Director
(A) Laurie Berman, District 11 Director
(A) Chris Schmidt, District 11 Deputy Director

METROPOLITAN TRANSIT SYSTEM

Harry Mathis, Chair
(A) Hon. Mona Rios

NORTH COUNTY TRANSIT DISTRICT

Hon. Mark Packard, Chair
(A) Hon. Ed Gallo
(A) Hon. Mike Nichols

U.S. DEPARTMENT OF DEFENSE

CAPT Darius Banaji, CEC, USN, Commanding Officer
Naval Facilities Engineering Command Southwest
(A) CAPT Richard L. Whipple, CEC, USN, Executive Officer
Naval Facilities Engineering Command Southwest

SAN DIEGO UNIFIED PORT DISTRICT

Hon. Dan Malcolm, Chair
(A) Hon. Garry Bonelli, Commissioner

SAN DIEGO COUNTY WATER AUTHORITY

Mark Muir, Vice Chair
(A) Jim Madaffer, Director
(A) Christy Guerin, Director

SOUTHERN CALIFORNIA TRIBAL CHAIRMEN'S ASSOCIATION

Hon. Allen Lawson, Chairman,
San Pasqual Band of Diegueño Indians
Hon. Robert Smith, Chairman,
Pala Band of Mission Indians

MEXICO

Hon. Remedios Gómez-Arnau,
Cónsul General of Mexico
(A) VACANT
Deputy Cónsul General of Mexico

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

SECOND ANNUAL REPORT - 2015

INTRODUCTION

Over the past several years, probation departments across the State of California have been encouraged 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 community supervision. In addition, the LAO report indicated that as counties were not responsible for sharing 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. Since the implementation of SB 678, the rate of prison revocations statewide decreased by 23 percent, resulting in a savings of approximately \$919 million by the end of FY 2014-15². From these savings, the state has reinvested approximately \$450 million back into county probation departments.

What is Evidence-Based Practice?

SB 678 Evidence-Based Practice includes supervision policies, procedures, programs, and practices demonstrated by scientific research to reduce recidivism among a subset of individuals under probation, parole, or post-release supervision.

REPORT HIGHLIGHTS

- The three samples being tracked for this evaluation were ethnically diverse, predominately male, most likely to live in the Central region of the County, and most likely to be under the age of 40. The most recent group of probationers exiting high-risk supervision were more likely to report being transient, have a prior conviction, and be assessed as being at high-risk for violence.
- Assessment data for all three groups revealed the highest needs related to substance use, vocational skills, a history of violence, criminal opportunity, and residential instability.
- Probationers surveyed regarding interactions with their probation officer revealed general satisfaction, with around three-quarters or more reporting the officer did not talk down to them, put them down, and was not out to punish them, all of which were authoritative skill sets.
- Probation officers surveyed regarding the importance of different tasks associated with supervision indicated that both *Control* (e.g., explaining supervision conditions) and *Support* (e.g., making referrals to treatment) tasks were important, though a greater percentage of control tasks were seen as key.
- Fidelity to IBIS principles, as measured through probation officer observation, revealed that the majority of officers demonstrated skill mastery in a number of key areas, particularly in the area of follow-up.

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

² California Administrative Office of the Courts (2014). *Report to the Legislature: Findings from the SB 678 Program*. Sacramento, CA: Author.

RESEARCH AND REPORT OVERVIEW

- The evaluation of SB 678 began in December 2011 and will conclude in June 2016.
- The first evaluation report, published in 2013, provided an overview of project implementation; described the baseline (Group 1) sample in terms of characteristics, need, and criminal history; described the research methodology; summarized data for Group 1 for the number of contacts with probation and drug test outcomes; and summarized data provided by Probation to the state.
- This second evaluation report builds on the first by adding descriptive information (i.e., characteristics, needs, criminal history) for Groups 2 (partial implementation) and 3 (full implementation); data regarding services provided to Group 2 probationers and those who were referred to services through the Community Resource Directory (CRD) in 2014; contact and drug test data for Groups 2 and 3; the results of a survey of probationers on high-risk supervision; the results of a survey of probation officers regarding the importance they place on different types of tasks in managing high-risk offenders; and the outcome of probation observations to measure fidelity of practice.
- As the evaluation continues, data regarding services provided to Group 3 will be compiled and tied to the needs assessment information. In addition, recidivism data will be compiled and cost measures analyzed.

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 system wide change. The system changes included:

- 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
- Offering high-risk probationers access to funded community-based interventions to address their criminogenic needs.

In order to determine the effectiveness of the local SB 678 implementation plan, the San Diego Association of Governments (SANDAG) is conducting 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 whether or not 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 second annual report provides an overview of project implementation to date, summarizes the research design, and describes information compiled regarding the three study groups (baseline, partial implementation, and full implementation) including their characteristics, needs, and level of probation contact. It also includes information about the services provided to offenders supervised by a high-risk unit, the results of surveys with probationers on high-risk supervision and probation officers, and observations conducted by probation of officer/offender contacts to measure fidelity to best practice.

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 suspended and be supervised in the community by probation. The purpose of probation is to protect community safety by holding the offender accountable to the terms of release 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, depending on the nature of the underlying felony conviction.

According to a report released in 2009 by the LAO, 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. 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, only 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).

Project Implementation

The goal of SB 678 is to implement long-range plans to incorporate sustainable Evidence-Based Practice (EBP) into service delivery. In order to achieve the goals of protecting community safety, increasing successful probation outcomes, and reducing the number of revocations resulting in a commitment to a local or state prison term, 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' 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 of additional strategies that have been shown to reduce recidivism: using risk assessment tools to develop case plans and inform supervision intensity, providing EBP-based services that target criminogenic needs for high-risk offenders,

addressing criminal thinking and problem-solving skills, responding to misconduct with swiftness and certainty, and the incentives and sanctions continuum.³ Specifically, Table 1 provides a summary of accomplishments and corresponding dates and key components of this project including the following:

Community Corrections Partnership: The Community Corrections Partnership (CCP) is a statutorily required local body tied to SB 678 which passed in 2009. The CCP held its first meeting, which is chaired by the Chief Probation Officer according to statute, in February 2010. According to the legislation, membership on the CCP includes 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 original purpose of the CCP expanded 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. Further, to assist in implementing programming for the AB 109 offenders, three subcommittees were formed: Incentives and Sanctions, Treatment Services, and Outcome Measures. The CCP continues to hold meetings quarterly and receives updates and provides direction in regard to AB 109 (which is the primary focus), as well as SB 678.

Increased Leadership Capacity: As part of this effort, a Supervising Probation Officer (SPO) position was created to ensure that the SB 678 goals were realized. Specifically, the SPO was tasked with

³ The pilot implementation of an incentives and sanctions continuum occurred in June 2014, after the groups described here were sampled and later than initially planned. According to Probation staff, some reasons for this delay included overall focus of the CCP efforts diverted to implementation of AB 109; renewed apprehension of partners related to due process rights, failure to include the Court earlier in the implementation process, and internal information technology (IT) issues. Therefore results relating to that component are not included in this report.

overseeing day-to-day activities linked to SB 678 funding, coordinating all activities related to the CCP, coordinating and implementing the Leadership Academy, and serving as the lead in designing the delivery of enhanced community-based services to reduce criminogenic needs.⁴ 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 Centers (RRCs) to receive services based on assessed needs.

Table 1

SB 678 SAN DIEGO COUNTY PROJECT TIMELINE

Risk-based supervision implemented	August 2009
SB 678 passed into law	October 2009
First CCP meeting held	February 2010
New staff assigned	June 2010
Leadership Academy started	July 2010
Treatment services implemented in South Bay and East regions	July 2011
AB 109 passed into law	October 2011
Treatment services implemented in North and Central regions	March 2012
Community Resource Directory came online	February 2013
State began collecting additional data regarding realignment population	July 2013
RRCs stopped accepting new clients	April 2014
Cognitive Behavioral Therapy new contract in place	July 2014

NOTE: Since the RRC's contracts expired, Probation has been in the process of establishing new agreements for work readiness and residential drug and alcohol treatment programming.

SOURCE: SANDAG, 2014

⁴ Implementing incentives and sanctions was part of the initial scope, but due to a variety of factors, was delayed until a pilot was launched in June 2014. As such, tracking this component was not included as part of the revised research design.

EBP Leadership Academy: Organizational change requires leadership at all levels. To ensure that key line staff and middle managers understood the concepts of EBP and were able to lead and support its implementation in community supervision, a 12-month EBP Leadership Academy was created. During the 144-hour curriculum, focus was placed on the various EBP approaches; 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.

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 by their general and violent recidivism risk propensity. The assessment is administered at the investigation stage to ensure placement of offenders in the appropriate supervision level. The COMPAS assessment output also provides information on the offender’s criminogenic needs that can be addressed through appropriate referrals to community-based services. With this change, the transition to risk-based (from the previously used offense-based) supervision was implemented in August 2009.

Community Resource Directory (CRD): The purpose of the CRD is to automate the referral and linkage components of case management. With the CRD, officers now have an integrated online directory of service providers in the community that provide a full range of 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. Automated referrals are generated during case plan development with the offender and sent directly to the service provider, facilitating the provision of services. To ensure that appropriate treatment services are provided to probationers under high-risk supervision, all providers in the directory

meet a set of requirements for inclusion and agree to the terms of use.⁵

Enhanced Community-Based Treatment: To ensure that effective treatment is 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 deliver substance abuse treatment (inpatient and outpatient) with ancillary service constellation that included cognitive behavioral interventions, health screenings, basic education support, and employment readiness services. McAlister Institute Treatment and Education, Inc. (MITE) was contracted to provide services in South Bay, El Cajon, and North County; and Mental Health Systems, Inc. (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 East occurring March 2012. In addition, a third service provider, Telecare, began providing wrap around 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.

Funding and the Effect of Realignment

San Diego County received almost \$3.4 million as part of the original seed funding 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 (state prison from 2010 to 2012, and local/state prison in 2013) compared to the baseline data from 2006 to 2008. Specifically, the County received around \$2.4 million for 2010 and \$2.5 million for 2011. In 2012, the funding decreased drastically to \$77,000, but then increased to \$200,000 in 2013 (not shown).

From 2006 to 2012, there had been a steady decline from over 20,000 to 16,800 felony probationers with

the biggest drop noted in 2011. That year, embracing the Evidence-Based Risk/Need/Responsivity Principles, which indicate that intervening with low-risk offenders can increase their recidivism, the Probation Department took a two-pronged approach with the objective of decreasing the number of low-risk probationers on formal supervision. First, officers submitted more than 1,500 petitions to the Court requesting either early termination of formal supervision or reduction of the level of supervision to “Court” probation. Additionally, at the pre-sentence phase, when making recommendations for offenders assessed as low risk on the COMPAS, investigators were encouraged to consider either a shorter term of supervision and/or a grant of “Court” probation. These intentional practices contributed to the significant drop in the overall probation population.

As Table 2 shows, between the baseline years of 2006-2008 and 2013, the number of felony probationers overall decreased consistently, from 20,168 to 16,177, a drop of 20 percent overall. However, while the number of commitments decreased from the baseline years and 2010 and 2011, it increased the next two years, and was actually higher in 2013 than it was during baseline as a result, the failure rate increased from 8.0 percent to 10.6 percent.

**Table 2
NUMBER OF SAN DIEGO COUNTY FELONY
PROBATIONERS, PRISON COMMITMENTS, AND
FAILURE RATE THROUGH 2013**

	Felony Probationers	Prison Commitments	Failure Rate
Baseline (2006-2008)	20,168	1,606	8.0%
2010	19,396	1,401	7.2%
2011	17,691	1,206	6.7%
2012	16,800	1,446	8.6%
2013	16,177	1,718	10.6%

NOTE: The formula for calculating failure rates in 2013 differed from previous years in that both revocations to county and state prison were included.

SOURCE: SANDAG, 2014

⁵ To receive approval for inclusion, a service provider must have sufficient insurance, maintain licensure, require staff to undergo background checks, and provide weekly reporting.

While it is not possible to definitively know the driving factors behind the increased failure rate in 2013, some hypotheses put forth by program partners include:

- **Formula for Calculating Failures was Modified:** As a result of AB 109, a limited number of offenders could be sent to state prison and instead many offenders were sentenced or revoked to local prison. To account for this, the formula for calculating failure rates in 2013 was changed. As part of the formula, counties were required to include revocations to both local and state prison.
- **Changed Composition of Offenders:** The shift to assessment-based supervision, in which low-risk offenders were no longer given a grant of probation, reduced the size and changed the composition of the base of felony probationers. This decrease in the number of low-risk offenders on felony probation resulted in an overall group that was higher risk and therefore more likely to recidivate.
- **Reduced Pool:** The number of total probationers in San Diego County has continued to decline since the baseline years (i.e., 2006 to 2008). As the total number of probationers decreases, the number of individuals failing on probation and getting revoked to state or local prison results in a higher probation failure rate. Essentially, as the total number of individuals on probation shrinks, those who fail will become a larger percentage of the total population.
- **Local Prison Sentences:** 1170(h) is a new sentencing option developed through AB 109 that specifies that the term must be served in “local prison”. According to Probation, several factors make the 1170 (h) option attractive including the perception that it is not as serious as a state prison sentence, the fact that an offender will receive more treatment while in custody in local prison compared to local jail as a result of funding resources for services in the local prison. When an 1170(h) *straight* local prison sentence is offered to the offender, it is hypothesized that both the defendant and defense attorney are more likely to agree to this sentence because the offender

would be released after serving custody time with no period of community supervision. Further, Probation reports that this option is seen as beneficial to the offender because there are more opportunities for treatment. As a result, Probation is often not consulted at the point of sentencing when in the past they may have been and may have offered to continue to work with offenders in the community as a result of a violation rather than recommend an in-custody sentence.

- **Homeless Offenders:** Transient individuals involved in the local criminal justice system have high rates of failing to report and/or enroll in required services. This non-compliance often results in a local prison term. As is shown on page 9 of this report, the percentage of transient individuals supervised on a high-risk caseload appears to be rising. The Probation Department is reviewing supervision practices related to the population and exploring ways to improve these gaps.

RESEARCH OVERVIEW

To provide 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 local/state prison for a new felony conviction)⁶ declined; if changes to service provision related to this effort resulted in other positive outcomes; and if the implementation plan was cost-effective.

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

⁶ 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.

in policies and procedures were implemented, and to assess operations (e.g., staffing, individuals served). As such, the following research questions are being addressed:

1. How many offenders exited high-risk supervision during the baseline period (Group 1) and the research study periods (Groups 2 and 3)? What were the characteristics and needs of these offenders?
2. How many and what type of probation officer contacts were made with offenders on high-risk caseloads during the period of supervision?
3. How did probation officer-probationer contact adhere to the IBIS communication model? How did probationers on high-risk supervision view these interactions?

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 local/state prison for both violations and new criminal convictions while 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 local/state 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 high-risk supervision?
5. What was the status of offenders when they exited high-risk supervision?
6. Were the changes implemented as part of SB 678 cost-effective?

To answer these research questions, data are being compiled from a variety of sources as described at the end of this report in the Methodology section.

PROCESS EVALUATION RESULTS

How Many Offenders Exited High-Risk Supervision During the Baseline Period and the Research Study Periods? What Were the Characteristics and Needs of These Offenders?

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 (Table 3). Specifically, a baseline group of individuals on high-risk probation prior to SB 678 implementation (Group 1) will be compared to two groups of SB 678 service recipients: those under supervision with partial implementation (Group 2), and those under supervision with full implementation (Group 3). 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 in the research groups because supervision protocols vary for these caseloads.

Table 3
SB 678 EVALUATION STUDY GROUPS

	Probationers Who Exited High-Risk Supervision Between	Supervision Overview
Group 1: Baseline	July 2010 to June 2011	Risk-based supervision, Leadership Academy started, No regional treatment centers
Group 2: Partial Implementation	August 2011 to July 2012	Treatment services provided regionally through RRCs
Group 3: Full Implementation	March 2013 to February 2014	CRD in place and IBIS fully implemented

SOURCE: SANDAG, 2014

Baseline Group (Group 1): The baseline group for this evaluation currently includes unique adults who exited high-risk probation supervision between July 1, 2010, and June 30, 2011, for a total of 1,615 individuals.⁷ 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.

Partial Implementation Group (Group 2): Group 2 includes the 1,663 individuals who exited high-risk supervision between August 1, 2011, and July 31, 2012.⁸ Individuals under high-risk supervision during this time benefited from the availability of funded community-based treatment regionally, but exited high-risk supervision prior to full implementation of the Integrated Behavioral Intervention Strategies (IBIS) model. IBIS is an integrated approach that includes Motivational Interviewing and Cognitive Behavioral Techniques. While other probation departments may use one or

⁷ 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.

⁸ Programming start-up was occurring in July 2011, the month following the end of group 1 sampling and therefore that month was excluded from Group 2.

the other of these methods as part of their case management, San Diego County Probation is one of the first to integrate both into one comprehensive strategy.

Full Implementation Group (Group 3): Group 3 includes the 2,926 individuals who exited high-risk supervision between March 1, 2013, and February 28, 2014,⁹ and who had access to funded community-based treatment and full implementation of IBIS.

Demographics

As Table 4 shows, around three-quarters of each of the three samples were male, and about two in five were White, one-third Hispanic, and one-quarter Black, similar to the profile documented by Probation in their original application to the State.¹⁰ The only characteristic that changed somewhat across the samples was the percent that were described as being transient, which increased from 15 percent (Group 1) to 20 percent (Group 2) and 24 percent (Group 3). As mentioned earlier, this increase may have contributed to the increased revocation rate. The average age of individuals was 30.8 years (range 18 to 73, $SD = 10.5$) for Group 1, 31.0 (range 18 to 69, $SD = 10.7$) for Group 2, and 31.9 (range 18 to 66, $SD = 10.7$) for Group 3 (not shown).

The individuals who had a residential address in San Diego County that could be mapped (1,235 individuals in Group 1; 1,188 in Group 2; and 2,045 in Group 3), lived in areas throughout the region (Table 5). For all three groups, more than one-third lived in the Central Major Statistical Area (MSA), while only 20 percent of the general population did, indicating a higher concentration of offenders in this area and the greatest need for service. In comparison, ten percent or less of the three groups lived in the North City MSA, compared to 25 percent of the general population.

⁹ The time lapse between Groups 2 and 3 is a factor of the time it took for bringing the CRD online and training all staff on IBIS.

¹⁰ Tests of statistical significance will be conducted and results will be presented in future reports as research groups are finalized.

Table 4
BASELINE, PARTIAL, AND FULL
IMPLEMENTATION SAMPLE CHARACTERISTICS

	Group		
	1	2	3
Gender			
Male	73%	77%	77%
Female	27%	23%	23%
Race			
White	41%	41%	42%
Black	25%	23%	23%
Hispanic	29%	31%	30%
Other	5%	4%	5%
Age			
18 to 25	36%	37%	31%
25 to 39	43%	39%	44%
40 and older	21%	24%	25%
Transient	15%	20%	24%
TOTAL	1,588- 1,615	1,644	2,778- 2,891

NOTES: Cases with missing information not included. Percentages may not equal 100 due to rounding.

SOURCE: SANDAG, 2014

Table 5
OFFENDERS' MOST RECENT RESIDENCE BY
MSA

	Group			Pop.
	1	2	3	
Central	38%	35%	36%	20%
North City	10%	8%	9%	25%
South Suburban	13%	13%	12%	12%
East Suburban	19%	20%	18%	16%
North County	9%	8%	7%	13%
West				
North County	12%	16%	17%	14%
East				
East County	1%	1%	1%	1%

NOTES: Cases with missing information not included. Percentages may not equal 100 due to rounding.

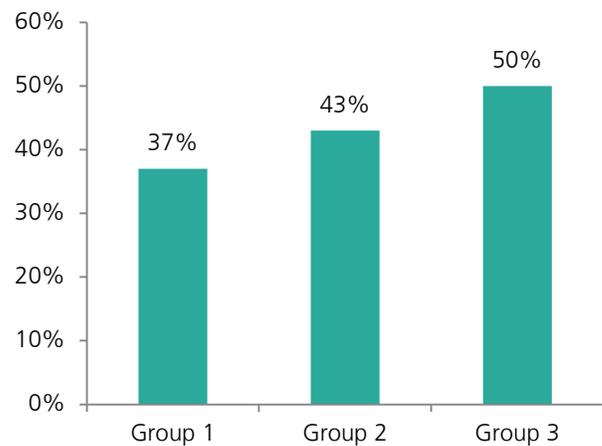
SOURCE: SANDAG, 2014

Criminal History

In terms of criminal history, the percent of the offenders in each group with a prior conviction also increased, from 37 percent for Group 1, to 43 percent

for Group 2 and 50 percent from Group 3 (Figure 1). Of those with a prior conviction, almost all (90%, 93%, and 96%, respectively) had at least one felony-level conviction in the past, and in terms of type of conviction charge, most had a prior conviction for a drug offense or property offense (Figure 2).

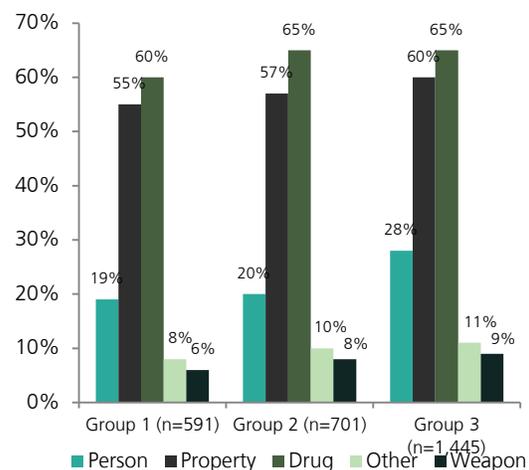
Figure 1
PERCENT OF GROUPS WITH A PRIOR CONVICTION



NOTE: Cases with missing information not included.

SOURCE: SANDAG, 2014

Figure 2
TYPES OF PRIOR CONVICTION CHARGES



NOTE: Percentages based on multiple responses. Cases with missing information not included.

SOURCE: SANDAG, 2014

In regard to assessed risk, information from the COMPAS conducted nearest to an individual's high-risk start date was analyzed for the three groups. The

percent rated as high-risk in the three overall risk areas including history of recidivism and violence is presented in Table 6. 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. More than four out of five (81% Group 1, 83% Group 2, and 92% Group 3) met these criteria (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 recidivism (64% to 66%) and violence (62% to 79%).

In addition, the COMPAS uses a 10-point scale to measure 17 criminogenic needs to determine how likely it is that these needs are contributing to criminal involvement (i.e., unlikely, probable, highly probable). Table 6 illustrates the percent of cases where it was determined “highly probable” that a particular need is contributing to criminal involvement. In terms of specific needs, around two-fifths or more were assessed as having needs with a high probability of contributing to their risk to reoffend in the areas of substance use, vocation/education, having a history of violence, criminal opportunity, residential instability, and social adjustment.

Table 6
PERCENT OF STUDY GROUPS RATED AS HIGH-RISK OR HAVING NEEDS RESULTING IN HIGH PROBABILITY FOR REOFFENDING

	Group		
	1	2	3
Overall Risk			
Recidivism	64%	66%	64%
Violence	62%	72%	79%
Criminogenic Needs			
Substance Use	87%	86%	89%
Vocational or Educational	52%	56%	53%
History of Violence	41%	38%	40%
Criminal Opportunity	40%	51%	50%
Residential Instability	40%	47%	53%
Social Adjustment	40%	42%	38%
Financial	40%	40%	31%
Cognitive Behavioral	36%	39%	35%
Criminal Involvement	36%	36%	40%
Social Environment	32%	36%	34%
Criminal Associates	30%	33%	35%
Criminal Personality	30%	38%	32%
Socialization Failure	20%	22%	17%
Criminal Thinking	27%	28%	23%
Family Criminality	27%	28%	26%
Social Isolation	25%	27%	26%
Leisure and Recreation	20%	26%	27%
TOTAL	349 – 1,489		

NOTE: Cases with missing information not included.

SOURCE: SANDAG, 2014

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

One of the goals of implementing EBP is to increase the quantity and quality of each interaction with a probationer and use it as an opportunity to be a change agent. While a sample of interactions were observed, as described later in this report, statistics also were compiled for each of the groups regarding their length of supervision, proportion with at least one probationer-probation officer contact, the average number of total contacts, and the average number of contacts per month. As Table 7 shows, the average length of supervision varied somewhat across the samples. Additionally, fewer individuals in Group 3

had one or more contacts compared to Group 1 and 2.

Table 7
PROBATION OFFICER CONTACTS WITH THE THREE STUDY SAMPLES

	Group		
	1	2	3
Avg Supervision Length in Months (SD)	9.5 (7.2)	10.8 (8.0)	11.7 (9.7)
Percent with One or More Contacts	94%	94%	83%
Avg Number of Contacts (SD)	17.2 (14.8)	15.7 (14.4)	14.7 (16.2)
Avg Number of Contacts Per Month (SD)	1.9 (1.2)	1.5 (1.0)	1.2 (1.0)

NOTE: Cases with missing information not included.

SOURCE: SANDAG, 2014

To explore possible explanations for the decline in the number of documented contacts, a review of caseload size data across the associated time periods was conducted by the Probation Department. The findings from this exercise revealed two factors:

- **High-Risk Offenders:** The average number of offenders on high-risk caseloads increased more than 26 percent during the timeframes from Group 1 to Group 3. This estimate is an undercount as it includes caseloads where the officer position was vacant and the cases were “unofficially” assigned to the officers working in the units. Therefore, officers had less time to contact probationers one-on-one.
- **Officer Experience Level:** A percentage of experienced probation officers were transferred to supervise AB 109 offenders and 100 newly hired officers were assigned to high-risk caseloads. While newly hired officers underwent training on assuming the case work role and Officer Safety and Field Training, few officers in the units were qualified to perform field visits. Because of staffing changes, fewer officers were available to contact offenders.

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?

To better understand what services offenders under high-risk supervision were referred to and received, data were compiled for Group 2 (Partial Implementation) from Probation’s electronic records of service referrals and paper files from HHSa service providers. For this group, services were available at all six Regional Recovery Centers (RRCs), but the CRD had not been implemented yet.¹¹

From the time that RRCs began accepting referrals (July 1, 2011) through the end of the Group 2 study period (July 31, 2012), probation officers provided 651 treatment referrals to 571 unique offenders on high-risk supervision. Of the 1,663 individuals on high-risk supervision who were in Group 2, 179 were referred to an HHSa-contracted service provider during the period of their supervision. SANDAG research staff traveled to each of the six treatment locations to code data only available in paper files for these individuals and was able to document service delivery for 90 of the 179 individuals. The primary reason for service delivery information not being available for the other 89 individuals was that services were not provided during the period of high-risk supervision or no services were provided at all (either because the offender failed to appear or some other reason such as the offender leaving during the intake interview or being incarcerated before services could begin). When interpreting these figures, it is important to note that these data were compiled for program purposes and not for the evaluation, that different tracking systems were used by the different providers and County agencies, and that no assumptions about missing data were made thereby possibly undercounting services that were received or completed.

¹¹ Data regarding services provided to Group 3 individuals will be presented in a future report.

Around three-quarters (76%) of the 90 individuals that received services were male and their average age at the time high-risk supervision began was 29.2 (range 18 to 54, SD = 10.3) (not shown). As Table 8 shows, almost nine out of ten clients that were tracked in Group 2 were referred to one of five treatment services, including day care habilitative (DCH),¹² individual counseling, case management, self-help groups (e.g., NA/AA), and CBT. In addition, almost three in five (58%) were referred for services to improve employment skills and around two-fifths or fewer were referred to receive public transportation assistance, medical bus services, outpatient drug treatment, residential drug treatment, anger management, or GED assistance. Overall, clients received a mean of 6.1 referrals (range 2 to 10, SD = 2.1) (not shown). There were no significant differences in receiving a program referral type by gender or age.

Of these 12 services, two-thirds or more of those who were referred also received some level of services, including 100 percent of those referred for public transportation assistance, 96 percent for case management, 92 percent for individual counseling, 91 percent for DCH, 86 percent for outpatient drug treatment, 85 percent for employment skills, and 75 percent for GED services.

Table 8
SERVICE REFERRAL AND RECEIPT FOR GROUP 2
FROM HHSA-CONTRACTED SERVICE PROVIDERS

	Referred	Received
DCH	94%	91%
Individual Counseling	93%	92%
Case Management	91%	96%
AA/NA	89%	62%
Cognitive-Behavioral Therapy	88%	78%
Employment Skills	58%	85%
Public Transportation Assistance	39%	100%
Medical Bus	39%	71%
Outpatient Drug Treatment	34%	86%
Residential Drug Treatment	32%	42%
Anger Management	27%	44%
GED	5%	75%
TOTAL	54-88	4-81

NOTE: Cases with missing information not included.

SOURCE: SANDAG, 2014

¹² The DCH program provided through the RRCs is an intensive outpatient program in which clients attend four days per week for four to six hours per day and receive a wide range of services such as life skills training, job readiness skills, cognitive behavioral strategies, as well as drug treatment.

In terms of the days of service received, there was a considerable range across some of the services, as Table 9 shows, with the greatest number of services days provided in the categories of residential drug treatment (26.5), DCH (18.5), and outpatient drug treatment (11.5). The average number of days between program intake and exit was 37.0 days (range 0 to 223, *SD* = 56.9) (not shown).

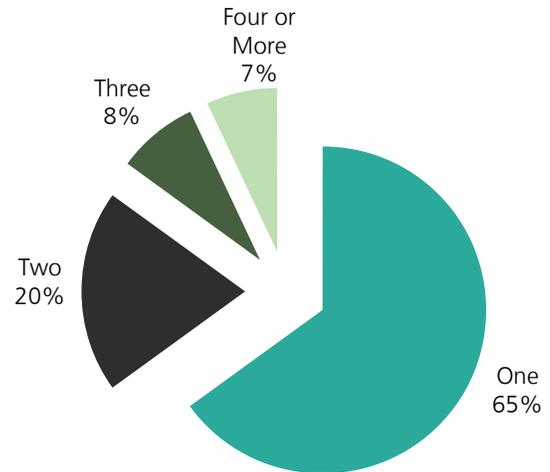
Table 9
AVERAGE AMOUNT OF SERVICE RECEIVED IN DAYS BY GROUP 2 CLIENTS

	Number of Clients	Mean days (SD)
Residential Drug Treatment	6	26.5 (29.2)
DCH	73	18.1 (20.3)
Outpatient Drug Treatment	18	11.6 (13.9)
Cognitive- Behavioral Therapy	47	5.6 (5.6)
Employment Skills	31	3.2 (4.2)
Anger Management	6	3.0 (4.0)
Individual Counseling	70	1.9 (2.2)

SOURCE: SANDAG, 2014

To supplement the data from HHSA files, statistics from the CRD for January through March 2014 were made available to shed additional light on the use of this system and how many and what types of referrals are being provided. Analyses of this snapshot revealed that during this three-month period, 1,611 referrals were provided to 88 different agencies for a total of 955 individuals. As Figure 3 shows, 65 percent of these individuals received one referral, 20 percent two referrals, 8 percent three referrals, and 7 percent four or more referrals.

Figure 3
NUMBER OF REFERRALS FOR SERVICES DOCUMENTED IN THE CRD BY INDIVIDUAL JANUARY – MARCH, 2014



SOURCE: SANDAG, 2014

In terms of what types of services individuals were referred to, the most common was residential drug treatment (35% of the 955 individuals), outpatient drug treatment (32%), mental health treatment (17%), and employment/vocational training (10%). Other services, to which less than ten percent of the individuals were referred, included crime prevention, sex offense counseling, anger management, counseling, cognitive behavioral therapy, housing, domestic violence, substance abuse education, DUI, education, mentoring, parenting, child abuse, life skills, and reconciliation. Of the 1,556 referrals with outcome information, 57 percent were described as accepted, active, or successful; 18 percent as pending; and 25 percent as rejected or unsuccessful (not shown). In future reports, additional data from the CRD will be analyzed to describe services received by Group 3.

How did probation officer-probationer contact adhere to objectives of the IBIS training? How did probationers on high-risk supervision view these interactions?

As previously described, to better understand the nature of probation officer-probationer contact, how the nature of the interactions were perceived by both parties, and whether there was fidelity to practice, three data collection efforts were undertaken – a survey of probationers, a survey of probation officers, and probationer-probation officer observation.

Probationer Survey

In 2013, a total of 356 probationers on high-risk supervision completed the Dual-Role Relationships Inventory (DRI-R) at one of the four probation offices: South Bay (32%); Ohio Street (24%); East County (22%); and Vista (22%). The majority of the respondents were male (75%). Of the 309 (87% of all respondents) who reported their race/ethnicity, 36 percent identified as White, 35 percent Hispanic, 23 percent Black, and 6 percent some other group. The average age of respondents was 33.1 years (range 18 to 61, SD = 11.1) (not shown). Though this sample is representative of the San Diego County Probation Department’s high-risk population in terms of gender, age, and ethnic breakdown caution should be used when generalizing results across this group because this was a sample of convenience and may be biased. The DRI-R, which is comprised of 30 statements, was designed to assess how probationers viewed their relationship with their probation officer.¹³ Respondents were asked to rate how often they felt each statement described their relationship with their probation officer using a seven-point scale, with 7 being “always,” and 1 being “never”.

¹³ Since the purpose of the DRI-R was to assess the relationship between probationer and probation officer, researchers included a screening question to ensure that the probationer had enough contact with their PO to accurately provide an assessment. While two-thirds (66%) did report having three or more contacts with their probation officers, there were no significant differences in domain or total scores when compared to the 27 percent who did not respond to the question, or the 7 percent who had fewer than three contacts. Therefore, no cases were excluded from the analyses based on whether they had three or more contacts.

Table 10
PERCENT OF PROBATIONERS WHO FELT THIS DESCRIBED THE PROBATION OFFICER “ALWAYS”

Does Not Talk Down to Me (AS)	76%
Does Not Put Me Down When I’ve Done Something Wrong (AS)	71%
Is Not Looking to Punish Me (AS)	71%
Does Make Reasonable Demands of Me (AS)	71%
Explains What I’m supposed to Do and Why (FC)	69%
Shows Me Respect in All Dealings With Me (FC)	69%
Does Not Expect Me to Do All the Work Alone and Provides Help (AS)	65%
Treats Me Fairly (FC)	64%
Truly Wants to Help Me (FC)	64%
Tries Hard to Do the Right Thing by Me (FC)	63%
Explains What Has to be Done and Why (FC)	63%
Talks With Me and Listens (FC)	62%
I feel Safe Enough to Be Honest With My PO (T)	61%
Encourages Me to Work Together (FC)	60%
Trusts Me to Be Honest (T)	60%
Gives Me a Chance to Say What I Want to Say (FC)	59%
Cares About Me as a Person (FC)	57%
Is Enthusiastic and Optimistic About Me (FC)	57%
Seems Devoted to Helping Me overcome My Problems (FC)	57%
Cares About My Concerns (FC)	57%
Takes My Needs into Account (FC)	57%
I Can Trust My PO (T)	57%
Takes Time to Understand Me (FC)	56%
Considers My Situation When Deciding What to Do (FC)	55%
Talks With Me Before I Do Anything Drastic (FC)	55%
Praises Me for Doing Well (FC)	54%
I feel Free to Discuss Things That Worry Me (T)	54%
Considers My Views (FC)	51%
Knows S/He Can Trust Me (T)	51%
Is Warm And Friendly (FC)	48%
TOTAL	356

AS=Authoritative Style; FC=Fairness & Caring; T=Trust

SOURCE: SANDAG, 2014

Results for individual inventories could be totals for a maximum score of 210. Scores were then computed into average ratings so comparisons could be made across three domains (20 statements in Fairness and Caring, 5 in Authoritative Style, and 5 in Trust). As Table 11 shows, out of a highest possible score of 210 (all 30 questions being scored at the highest score of 7 or “always”), the average total score was 184.56 (range 71 to 210, *SD* = 27.12). This score would translate to an overall rating of 6.15 (with 7 being the highest rating), that is having positive feelings “very often” overall with respect to the quality of the relationship with their probation officer. Further analysis by domain revealed high scores in each, with an average score of 6.17 (range 46 to 140, *SD* = 19.7) for Fairness and Caring, 6.15 for Authoritative Style (range 5 to 35, *SD* = 6.09), and 6.08 (range 5 to 35, *SD* = 5.42) for Trust. Table 10 presents the percent of respondents who gave the highest rating (7 or “Always”) on each of the 30 items on the instrument. Seven items received this highest rating from two-thirds or more of the respondents (65% to 76%), including all five of the Authoritative Style items, as well as two in the Fairness and Caring category

Table 11
PROBATIONER DUAL-ROLE RELATIONSHIP
INVENTORY REVISED (DRI-R) SCORES

	Average Score (Highest Possible)	Average Rating (Scale 1 thru 7)
Total Score	184.56 (210)	6.15
Fairness & Caring	123.40 (140)	6.17
Authoritative Style	30.76 (35)	6.15
Trust	30.40 (35)	6.08
TOTAL	356	

SOURCE: SANDAG, 2014

Additional analyses were conducted to identify any statistically significant differences among respondents by gender, race, age, and probation office location. Although there were no significant differences by race, age, or probation office location, a significant difference did exist by gender in the Trust domain. Specifically, there was a significant difference between male and female respondents in their responses to

questions related to support received from their PO. Female respondents reported feeling more supported by their PO, as evidenced by giving a high score of 32.23 in the support domain, compared to 30.63 given by males (not shown).

Probation Officer Survey

To better understand the relative importance probation officers place on different tasks they are required to do, a 60-question survey was distributed via email in 2013 to 93 probation officers who supervised a caseload of high-, medium-, or low-risk offenders.¹⁴ This survey was developed by the Probation Department and based on a Case Vignette tool adapted from Clear and Latessa’s (1993)¹⁵ original assessment. The 60 questions included two groups/subscales – 32 Control Supervision questions and 28 Support Supervision questions with both sets requiring respondents to provide a rating from “1” (Not Important) to “5” (Critical). Examples of Controlling Supervision tasks include making arrests, testing for drug use, and conducting searches; and examples of Support Supervision included providing the probationer with counseling, helping the probationer to develop a case plan, and checking in with the probationer’s treatment referral agency. Support and Control tasks were interspersed throughout the assessment and officers were informed that not every task could be rated as critical (rating of “5”) and that they would need to prioritize only the most essential tasks as critical. In addition to the 60 subscale questions respondents were also asked about their job experience, nature of their caseloads, appropriateness of treatment for the individual described in the vignette, and the number of probationers supervised.

As Tables 12 and 13 show, probation officers gave a higher mean rating to Control tasks, rather than Support tasks overall (3.60 versus 3.34), suggesting that these tasks were viewed to some degree as being more critical. Figure 4 further illustrates the difference

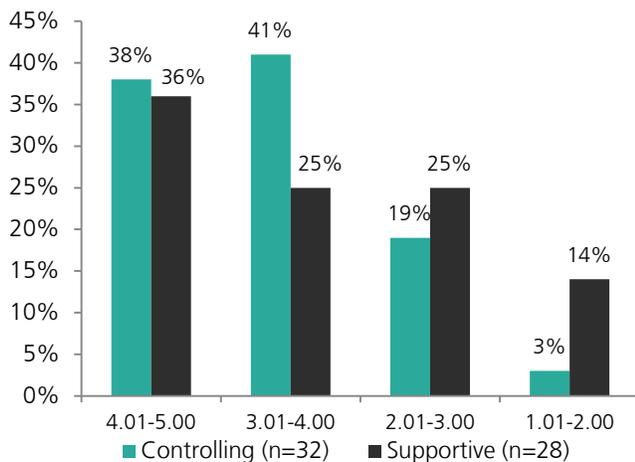
¹⁴ Among those that voluntarily participated, 97 percent (35) completed the assessment. Respondents reported supervising an average of 81.3 probationers (range 1 to 280, *SD* = 58.9) and averaged slightly under 9.7 years of experience as a probation officer (range .08 to 28, *SD* = 8.1).

¹⁵ Clear, T.R., & Latessa, E.J. (1993). Probation officer roles in intensive supervision: Surveillance versus treatment. *Justice Quarterly*, 10, 441-462.

in ratings across the two areas, with around one-third of statements in each group having a mean rating in the highest range (4.01 to 5.00), but with a smaller percentage of support tasks having the second highest range (3.01 to 4.00) and instead a greater proportion having average ratings between 1.01 and 2.00 and 2.01 and 3.00.

Figure 4

PERCENT OF CONTROL AND SUPPORT TASKS WITH MEAN SCORES IN A RANGE



SOURCE: SANDAG, 2014

The top five highest rated Control tasks were ensuring that the probation officer testified accurately in court, explaining the probation supervision conditions and rules of probation clearly, monitoring the probationer’s compliance with conditions, and taking urine samples to test for the use of controlled substances (Table 12). The top five rated Support tasks included referring clients to treatment, checking in with the treatment agency, conducting a risk/needs assessment, making home visits, and having the client learn about substance abuse (Table 13).

Table 12
MEAN RATINGS ON PROBATION OFFICER CONTROL TASKS

Testify Accurately in Court	4.79
Explain Supervision Conditions	4.74
Explain Rules of Probation	4.66
Monitor Compliance With Conditions	4.60
Take Urinalysis Samples	4.57
Check for Symptoms of Drug Use	4.51
Conduct Searches	4.47
Make Surprise Home Visits	4.46
Enforce Therapy Attendance	4.34
Investigate Violations	4.26
Use Appropriate Force	4.21
Record All Violations	4.00
Conduct Records Checks	3.91
Verify Community Service	3.83
Make Arrests	3.71
Make a Place/Person Off Limits	3.60
Impose Jail Time	3.60
Watch for Possible Absconding	3.60
Use Jail Time to Enforce Conditions	3.49
Document Employment	3.49
Curfew Checks	3.37
Require Frequent Office Contacts	3.29
Alter Surveillance to Avoid Patterns	3.23
Involve Supervisors in Enforcement	3.11
Notify Police	3.06
Visit Job-site or School	2.86
Conduct Close Surveillance in Field	2.79
Go to Field for All Violations	2.71
Interrogate Client	2.17
Impose House Arrest	2.11
Install Electronic Monitoring	2.09
Have Client Come in Every Morning	1.49
Overall Average Score	3.60

SOURCE: SANDAG, 2014

Table 13
MEAN RATING ON PROBATION OFFICER
SUPPORT TASKS

Refer Client to Treatment	4.83
Check With Treatment Agency	4.37
Conduct Risk/Needs Assessment	4.34
Client Take Responsibility for Actions	4.32
Make Home Visits	4.29
Have Client Learn About Substance Abuse	4.26
Counsel Client to Recognize Problems	4.23
Analyze Treatment Needs	4.20
Help Client Set Goals	4.20
Help Client Develop Case Plan	4.17
Conduct Behavior Modification	4.00
Confront the Client With Tactics	3.91
Have Client Develop Area of Interest	3.69
Involve in Group Counseling	3.63
Provide Directive Counseling	3.31
Send Letters to and Make Calls to Client	3.17
Talk Personally to Client's Family	3.14
Discuss Case With Peers in Probation	3.00
Advocate for Client to Agencies	2.86
Have Client Develop Resume	2.85
Advocate for Client to Court	2.74
Deemphasize Control Aspects	2.69
Take Client Job Applications	2.62
Obtain Food/Clothes/Shelter for Client	2.37
Take Client to Employment Sites	1.91
Transport Client	1.71
Provide Typing for Client's Resume	1.60
Be On-Call 24-hours	1.46
Overall Average Score	3.34

SOURCE: SANDAG, 2014

In terms of examining comparisons in the ratings between probation officers who were currently managing at least one high-risk offender (24 of the 35) versus those who were supervising only medium- and low-risk offenders, there were significant differences on three of the tasks, all in the Control group. Specifically, those managing high-risk offenders gave a higher average rating to the need to use appropriate force (4.29 versus 3.89) and the need to make surprise home visits (4.75 versus 3.80), but a lower rating for the need for the client to come in every morning (1.25 versus 2.00). There were no differences in the ratings by caseload type for Support tasks (not shown).

Probation Officer Observations

To better understand if probation officers were implementing the best practices when meeting with probationers, a sample of 20 probation officers were selected and rated by two Senior Probation Officers. As part of the assessment, probation officers were rated during 20 observations on 25 skills that encompassed five areas: communication (6 skills), planning (4 skills), linking (4 skills), monitoring (5 skills), and follow-up (6 skills). For each of these skills, one of four ratings could be given that included "1" to describe that the probation officer had failed to employ the evidence-based skill in question, despite an opportunity to introduce the technique ("Missed all opportunities"); "2" to describe when the probation officer had utilized the appropriate skill, but still needed improvement either applying the skill correctly or communicating the appropriate response to the probationer ("Working towards proficiency"); "3" to describe when the officer had utilized the skill correctly and communicated according to the evidence-based training strategies ("Demonstrates skill mastery"); and "Not Applicable" when the skill in question was not useful or relevant to the interview being observed.

As Table 14 shows, six skills were given the highest rating in over 90 percent of the observations (where the opportunity to use the skills was available), including three in the area of follow-up (empowered offender using praise, verified and updated case information, and discussed collaboration with treatment providers regarding the offender's progress), and one each in the area of monitoring (delivered incentives/sanctions in a fair and swift manner), communication (using non-verbal communication to convey interest/respect), and planning skills (responding to an offender's life circumstances).

As a supplement to this information, Table 15 shows how often each skill was rated. Four of the top five skills that were rated by Probation staff as most likely to be mastered were actually used in 80 to 100 percent of the observations; the exception was "delivered incentives/sanctions in a fair and swift manner" which was assessed in 33 percent of the 20 observations.

Table 14
PERCENT OF OBSERVATIONS WITH SKILLED MASTERY

Delivered Incentives/Sanctions in a Fair and Swift Manner (M)	100%
Non-verbal Communication Conveyed Interest/Respect (C)	95%
Empowered Offender by Using Praise (F)	95%
Responsive to Offender's Life Circumstances (P)	94%
Verified and Updated Case Information (F)	94%
Discussed Collaboration With the Treatment Provider Regarding Offender's Progress (F)	92%
Used Affirmations (C)	89%
Obtained Additional Resources if Needed (F)	89%
Asked Offender to Commit to Services That Address High-Risk Behavior (L)	86%
Ended Meeting With Next Appointment, Goals, and Answers to Questions (F)	85%
Used Reflections (C)	83%
Focused on Offender's Responsibility for Change and Encouraged Problem Solving (P)	80%
Linked Needs to Services Using CRD (L)	75%
Explored Readiness Toward Change (P)	73%
Used Open-Ended Questions (C)	67%
Reminded Offender of Conditions and Explained Incentives and Consequences (M)	67%
Used Summarizations (C)	63%
Acknowledged Progress Toward Case Plan and Thanked Offender For Efforts (F)	62%
Discussed Service Needs Using Case Plan (L)	58%
Discussed Goals According to Criminogenic Needs (P)	53%
Used Role Clarification Skills to Define Rules, Supervision, and Confidentiality (C)	50%
Revised Case Plan as Needed (M)	45%
Used Cognitive Model to Explore Obstacles to Engagement (L)	38%
Acknowledged Relapse Triggers Using Cognitive Model (M)	29%
Used IBIS Skills to Address Negative/Positive Choices (M)	19%
TOTAL	6 - 20

C=Communications Skills; P=Planning Skills; L=Linking Skills; M=Monitoring Skills; F=Follow-Up Skills

SOURCE: SANDAG, 2014

Table 15
HOW OFTEN SKILLS WERE RATED

Non-verbal Communication Conveyed Interest/Respect (C)	100%
Empowered Offender by Using Praise (F)	100%
Ended Meeting With Next Appointment, Goals, and Answers to Questions (F)	100%
Used Reflections (C)	95%
Used Open-Ended Questions (C)	95%
Reminded Offender of Conditions and Explained Incentives and Consequences (M)	95%
Responsive to Offender's Life Circumstances (P)	90%
Used Affirmations (C)	90%
Used Summarizations (C)	89%
Used IBIS Skills to Address Negative/Positive Choices (M)	89%
Discussed Goals According to Criminogenic Needs (P)	88%
Verified and Updated Case Information (F)	80%
Focused on Offender's Responsibility for Change and Encouraged Problem Solving (P)	79%
Explored Readiness Toward Change (P)	79%
Asked Offender to Commit to Services That Address High-Risk Behavior (L)	74%
Acknowledged Progress Toward Case Plan and Thanked Offender for Efforts (F)	65%
Discussed Service Needs Using Case Plan (L)	63%
Discussed Collaboration With the Treatment Provider Regarding Offender's Progress (F)	60%
Revised Case Plan as Needed (M)	58%
Obtained Additional Resources if Needed (F)	45%
Linked Needs to Services Using CRD (L)	42%
Used Cognitive Model to Explore Obstacles to Engagement (L)	40%
Acknowledged Relapse Triggers Using Cognitive Model (M)	39%
Used role clarification skills to define rules, supervision, and confidentiality (C)	35%
Delivered incentives/Sanctions in a Fair and Swift Manner (M)	33%
TOTAL	20

C=Communications Skills; P=Planning Skills; L=Linking Skills; M=Monitoring Skills; F=Follow-Up Skills

SOURCE: SANDAG, 2014

IMPACT EVALUATION RESULTS

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

As Table 16 shows, a number of different measures related to the administration of drug tests and their results were available across the three sample groups for this report. These included:

- Around two-thirds of each group (77%, 71%, and 72%) had at least one drug test administered during the period of high-risk supervision.
- Of those in each group who had at least one drug test, the average number during the period of supervision decreased across the samples, from 10.4 for Group 1 (range 1 to 88, $SD = 10.8$), to 9.2 (range 1 to 87, $SD = 10.6$) for Group 2, and 8.4 (range 1 to 107, $SD = 12.0$) for Group 3.
- For the first two groups, almost half (48% of Group 1 and 47% of Group 2) of those who had at least one test either had 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. This percentage decreased to 37 percent for Group 3.
- Of those individuals in Group 1 with one or more tests with a valid result, 44 percent had at least one positive drug test. This percentage increased to 59 and 57 percent for Groups 2 and 3.
- The average percent of drug tests administered that were positive increased across the sampling groups, from 18 percent for Group 1 to 28 percent for Group 2 and 31 percent for Group 3, which is a function of the number of tests conducted and number of tests that were positive.

Table 16
DRUG TEST RESULTS FOR THE THREE STUDY
SAMPLES

	Group		
	1	2	3
Drug Tested	77%	71%	72%
Average Number of Tests (of those tested)	10.4 (10.8)	9.2 (10.6)	8.4 (12.0)
Questionable Test/FTA	48%	47%	37%
Percent Positive (of those with valid test)	44%	59%	57%
Average Number of Positive Tests	1.2 (2.5)	1.6 (2.4)	1.5 (2.6)
Average Percent of Drug Tests That Were Positive	18% (30%)	28% (33%)	31% (37%)
TOTAL	1,106	1,057	1,802

NOTES: Numbers in parentheses indicate the standard deviation.

SOURCE: SANDAG, 2014

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 second report, San Diego County has successfully implemented a number of Evidence-Based Supervision practices. The plan included the development of the Probation EBP Leadership Academy for Adult Field Services (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 incorporated risk and needs assessment, risk-based supervision, case planning, and supervision using motivational interviewing and cognitive behavioral interventions. The provision of funded treatment services was also accomplished with contracts to address substance abuse, mental health, and vocational/educational needs, as well as provide

cognitive behavioral interventions and health screenings. When the RRC contracts expired in April 2014, new relationships were formed with agencies to provide cognitive behavioral therapy in Summer 2014 and work readiness and residential drug treatment agreements are in process.

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 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.

As described in this report, the majority of individuals on high-risk probation supervision across the three sample groups was male, under the age of 40, and lived in the Central region of the County. However, over time, it appears they were also more likely to be described as transient/homeless, to have had a prior conviction, and to be described as high-risk for violence.

For the full implementation group of clients (Group 3) tracked, the mean length of supervision was 11.7 months, and during this time period the mean number of probation officer contacts was 14.7. In addition, around three-fourths of these individuals were drug tested, with over half (57%) having at least one positive drug test during the period of supervision.

Data compiled for the partial implementation group (Group 2) revealed that approximately one in ten individuals were referred for services to one of the six RRCs. Of those individuals, most were referred to intensive outpatient drug treatment (i.e., day care rehabilitative services), individual counseling, and case management. In addition, almost four in five also received referrals to self-help groups and cognitive-behavioral therapy.

Information from probationer and probation officer surveys, as well as observations of probationer-probation officer contacts, revealed that probationers gave high ratings to their officers and that probation officers rated a number of both Control and Support tasks as being very important. In addition, probation officers appear to be utilizing many of the IBIS skills they learned in training during their contacts with probationers.

Recommendations

These preliminary results from the SB 678 evaluation provide lessons to guide continued efforts related to implementation of EBP that will positively impact recidivism rates among probationers on high-risk supervision.

- Limit caseload size in an effort to improve officer ability to contact offenders and increase ability to monitor progress while on probation.
- Continued enhancement training and quality assurance to ensure all opportunities are taken to utilize IBIS skills during contacts with probationers.
- Ensure collaboration between probation officers and service provider staff to monitor individual progress and enhance documentation of EBP. The deployment of the CRD as a resource for tracking service referrals and receipt is one example of a success in this area. Continued efforts to promote use of the CRD as a service tracking system will increase ability to track dosage.
- Because the reality is that participation in treatment occurs on a continuum, dosage data may be a better measure than completion status in determining impact on outcomes. Again, increased use of the CRD by agencies could result in more robust analysis.

METHODOLOGY

To answer SB 678 evaluation research questions, data are being compiled from a variety of sources as described below.

Probation Records: In order to answer research question 1 of the process evaluation, official records regarding individuals in all three study groups are being examined. Probation staff coordinated with SANDAG to provide data files that include information about the characteristics of the baseline and SB 678 service recipients in an electronic format. Specifically, data include the numbers of eligible offenders, information regarding the demographics of each individual, and dates 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, which are either in the baseline group or Groups 2 or 3, was obtained through data files in an electronic format from the Probation Department research staff. Details regarding the assessed needs of individuals in the study groups will be used to address research questions 1 and 4 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 all three study group cases through automated systems, including the Automated Regional Justice Information System (ARJIS) (a computer system for 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, Probation will provide 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.

Community-Based Service Records: HHSA contractors are making 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 requires a combination of manual data collection and analysis of data extracted from HHSA's existing database. For this report, data were collected for Group 2. In addition, data extracted in 2014 from the CRD were examined to supplement this official data collection. These data will be used to answer research questions 3 and 4.

Probationer Satisfaction Surveys: In an attempt to measure aspects of the relationship between the probationer and probation officer, the Dual-Role Relationships Inventory (DRI-R) was administered to a sample of probationers under high-risk supervision during a three-week period in 2013 (May 15 – June 5). The DRI-R was developed and validated to assess dual-role relationships in mandated treatment settings.¹⁶ Dual-role relationships are defined as those of providers who serve individuals who are required to participate. The provider in this situation must care for *and* have control over the individual receiving treatment, hence the dual role. Three important domains exist in determining dual-role relationship quality: caring and fairness; trust; and an authoritative (not authoritarian) style. As part of the survey administration procedure, a hard copy of the survey was provided by the probation officer to the probationer at each of the four regional Probation offices. To increase the probability of the probationer providing honest and valid answers, a system was devised in which the probationer would return the completed survey in a sealed envelope rather than giving it to the probation officer to return to research staff. Statements on the DRI-R focused on the probationer's perception of his/her relationship with the probation officer to answer research question 7.

Probation Officer Surveys: To measure Probation's management strategies for high-risk offenders, SANDAG and Probation conducted a brief survey of a sample of probation officers supervising

¹⁶ Skeem, J., Eno Loudon, J., Polascheck, & Cap, J. (2007). Relationship quality in mandated treatment: Blending care with control. *Psychological Assessment, 19*, 397-410.

low-risk, medium-risk, or high-risk adult offenders in 2013. The officers were emailed a link to the survey and asked to read a brief supervision scenario and then prioritize the importance of different supervision tasks relative to one another. The tasks fell into two groups, a set of “controlling” supervision tasks, and a set of “supportive” supervision tasks. Controlling tasks were typically related to increased or intensified supervision tactics, while supportive tasks were more often related to rehabilitative methods and other typical EBP principles. This information is used to address research question 7.

Observation of Probation Officer/Probationer

Contacts: As part of the process of ensuring that specific strategies are being implemented as planned, SANDAG staff coordinated with Probation to observe a sample of contacts between probation officers and probationers. As part of this “fidelity checklist” assessment, two Supervising Probation Officers observed and rated 20 probation officers on an evidence-based checklist divided into several categories (including communication, planning, linking, monitoring, and follow-up) that collectively evaluated how accurately and completely probation officers were employing evidence-based strategies for successful high-risk case management and highlighted which EBP skill sets were most developed or underdeveloped among this group of officers. These observations and assessments were conducted between March and April 2014 during case management meetings and the data are used to answer research question 7.

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 research question 6, research staff will work with Probation and HHS 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.