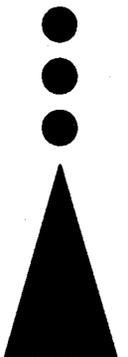


Arizona
Juvenile Justice Evaluation
Final Report

Submitted To
Arizona Juvenile
Justice Committee



DRAFT Submittal
November 19, 1998
Volume 1



**Deloitte & Touche Consulting
Group**

November 20, 1998

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Arizona State Legislature
Juvenile Justice Committee
1700 W. Washington
Phoenix, Arizona 85007

Dear Co-Chairmen and Committee Members:

We are pleased to present the draft copy of the Arizona Juvenile Justice Evaluation Report for your review. This draft report presents our findings and recommendations as they relate to the major agencies involved in the juvenile justice system as well as the system as a whole. The draft report is ordered as follows:

Volume 1

Executive Summary

- Section 1** *Introduction*
- Section 2** *Methodology*
- Section 3** *Juvenile Justice System Structure and Stakeholders*
- Section 4** *Prevention*
- Section 5** *Intervention*
- Section 6** *Secure Care*
- Section 7** *Post-Secure Care*
- Section 8** *Core Findings and Recommendations*

Volume 2

- Appendix A** *Providers Visited*
- Appendix B** *Site Visit Summaries*
- Appendix C** *Recidivism Analysis Summaries*

As this is a draft report, we would like to actively solicit your input on this draft and incorporate your feedback in the final report. Members of our project team will be calling committee members on Tuesday, November 24th to answer questions and solicit your feedback. The final report will be presented to the Committee on Monday, November 30th.

Thank you for the opportunity to serve you on this important project. If you have any questions regarding the draft report, please call Bobbie Wilbur at (916) 565-3147 or Sean Fox at (916) 565-3128.

Sincerely,

Deloitte Consulting

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Executive Summary

Introduction

This report includes the findings and recommendations developed during the evaluation of the Arizona juvenile justice system. The review encompassed the following two areas:

- The performance of all agencies and the programs administered by those agencies that meet the statutory requirements for the scope of the study, with a particular emphasis on outcomes ,and
- The cost effectiveness of the services of all agencies that meet the statutory requirements for the scope of this study.

This **Executive Summary** provides a brief overview of the methodology we employed, an assessment of the strengths and weaknesses in the management and organizational structures of the Arizona juvenile justice system, and associated recommendations for improving the management of the delivery of juvenile justice services in Arizona.

Methodology

We believe the methodology employed on this review offers Arizona an efficient and effective approach to identifying the outcomes and cost effectiveness of its juvenile justice programs. At the start of the project we put forth a set of desired conditions that we have developed from our extensive experience in reviewing and analyzing juvenile justice systems. These desired conditions relate to organizational structure, management and administrative practices, systems of care and community integration.

Using the desired conditions, tailored to Arizona, as our benchmark, we conducted our assessment of the Arizona juvenile justice system with:

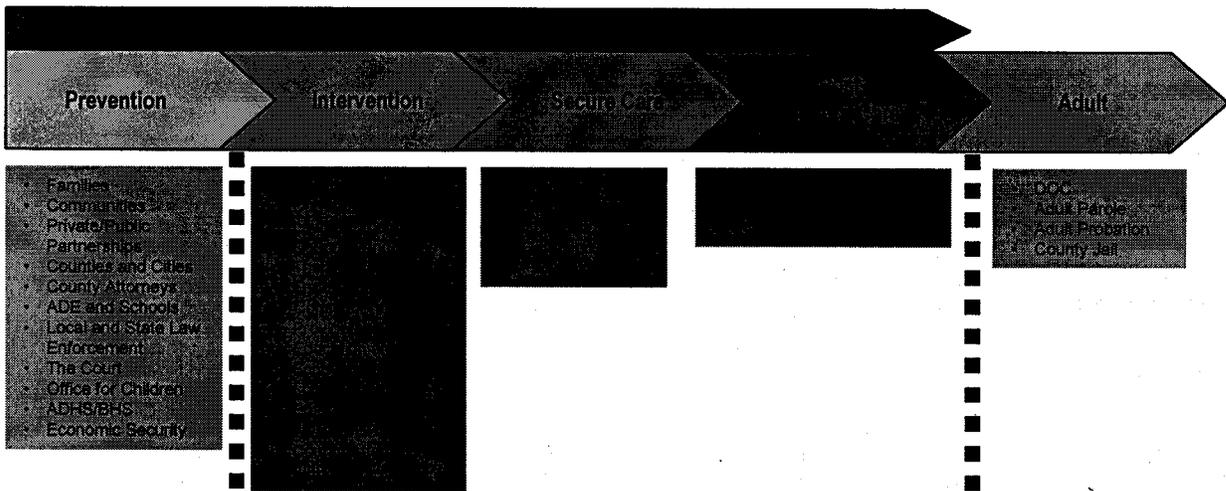
- A review of relevant Arizona legislation;
- Individual interviews with key Arizona judicial, legislative and executive branch leaders;
- Individual interviews with key stakeholders within the juvenile justice system;
- Individual interviews with service providers;
- Case file reviews;
- Site visits to:
 - All ADJC Institutions,
 - Three ADJC Parole offices,
 - All county Probation Departments,
 - Other county officials, and
 - Thirty-nine service providers;

- Focus groups involving representatives of the key leaders and stakeholders in the Arizona juvenile justice system; and
- Completion and presentation of the final report.

An Overview of Arizona's Juvenile Justice System

Many entities have a role in influencing and serving children and youth that have been adjudicated as delinquent or diverted from delinquency and prosecution in Arizona. A simplified representation of the service continuum, *Exhibit ES-1* identifies the key stakeholders.

Exhibit ES-1



There are really two stakeholders that have responsibility for (or “own”) a juvenile regardless of whether the juvenile is, or is not, in the juvenile justice continuum. These two stakeholders are the juvenile’s:

- Family, and
- Community.

Programs and services for youth involved in the juvenile justice system are provided and monitored primarily through the Administrative Offices of the Court, Juvenile Justice Services Division (AOC/JJSD); Arizona Department of Juvenile Corrections (ADJC); the fifteen County Superior Court Juvenile Probation Departments.

The other major stakeholders in the system are law enforcement agencies, County Attorneys, Juvenile Court Judges, treatment providers, the Arizona Department of Education, the Arizona Department of Economic Security (ADES), and the Arizona Department of Health Services, Behavioral Health Services (ADHS/BHS).

The major agencies in the system all operate on different computer systems and uniquely identify the youth or family. As a result, significant effort is required to try to match

youth from the juvenile justice system to ADE, ADES or ADHS/BHS. The bottom line is, the state of Arizona has no efficient or effective way to track juveniles across state systems.

It is important to note that only 7.5 % of the total juvenile population in Arizona received a referral to Juvenile Court during fiscal year 1997. Of those referred, 29% were brought into the system, warned and released; and another 34% were diverted from prosecution through programs such as Teen Court and unpaid community work. In other words, 63% of the juveniles entering the system were not prosecuted for a crime by the County Attorneys.

Of the remaining juveniles who were charged with a crime, 40% were dismissed or given a penalty. The remaining youth, approximately 12,800 (less than 2% of the total Arizona juvenile population), were on Standard or Intensive Probation or in Secure Care, and are the focus of most of the attention and resources of the juvenile justice system.

AOC/JJSD provides administrative support and oversight for the county juvenile justice systems in the following major programs:

Diversion,
Standard Probation,
Intensive Probation, and
Treatment Services.

AOC/JJSD coordinates policy, service contracts and payments for private agencies providing services authorized by the Juvenile Courts. It is also responsible for management of the state appropriations allocated to fund these treatment and probation efforts. AOC/JJSD total expenditures for the year ending June 30, 1997 were approximately \$43 million funded from state appropriations. These funds were used to serve over 50 thousand children and youth in the juvenile justice system, at an approximate per youth cost of \$856.

ADJC is responsible for the state Secure Care facilities including:

Adobe Mountain,
Black Mountain,
Catalina Mountain,
Encanto,
Rincon Temporary Diagnostic Unit, and
Boot Camp.

ADJC is also responsible for Post-Secure Care, including Conditional Liberty and related programs and services, designed to insure appropriate transition back into the community. ADJC directly provides the majority of services with its own programs and employees, however, it contracts with private providers to administer some Treatment programs.

ADJC total expenditures for the year ending June 30, 1997 were approximately \$53 million, funded mostly from state appropriations. At any point in time, ADJC supervises approximately 1,000 youth in Secure Care at an average annual cost of \$26,500 per juvenile. ADJC supervises approximately 1,400 youth in Post-Secure Care at an average annual cost of approximately \$10,200. These costs exclude administrative overhead, which represents 9% of total expenditures.

In Arizona, County Probation Departments operate under the authority of the Presiding Judge of the Juvenile Court of each county and is a Division of the Arizona Superior Court. Each Presiding Judge has the authority to appoint the Chief Juvenile Probation Officer, who supervises the County Probation Department.

County Superior Court Juvenile Probation Departments (County Probation Departments) provide the following services to youth that come into the juvenile system:

Diversion,
Court,
Treatment,
Short-term detention, and
Probation services.

The County Attorney's Offices, Judges and Juvenile Probation Departments in each county is responsible for all facets of the juvenile justice system directly affecting youth prior to commitment to a state juvenile correction institution.

Overall, the County Probation Departments expend approximately \$23 million, or roughly 27% of statewide juvenile justice costs. Expenditure levels, funding sources and approximate cost per youth for each county are included in **Appendix B** of this report. For each of these entities, as well as for thirty-nine private service providers, we performed a detailed analysis of operations to compare the current conditions to the desired conditions defined earlier in this report. The results of this analysis are also included in **Appendix B**.

Overall, AOC/JJSD collaborates and coordinates well with the other primary players in the Arizona juvenile justice system. The working relationship with ADJC appears to have improved over the last eight months with positive comments coming from both agencies. However, coordination and collaboration with other major state entities involved in the continuum of care for Arizona's vulnerable and at-risk children and youth such as ADES, ADHS, and ADE, are not as apparent.

The major players in the Arizona juvenile justice system are, for the most part, doing their work well. However, there is no collective ownership of the entire delivery system for youth in this juvenile justice system. Until this happens, there will:

- Never be a completely effective, collaborative service continuum,
- Be no unified approach to performance and outcome measures, and

- Be no overall capacity to determine what works and what does not work.

Findings and Recommendations

The components of the Arizona juvenile justice continuum include:

Prevention,
Intervention,
Secure Care, and
Post-Secure Care

Each component of the system is quite complex and, therefore, we have dedicated a section to each of these area which includes a description of the component, analysis of what type of juveniles are involved, a description of key stakeholders and funding and costs, performance and outcome measures and programs provided. We have not repeated detailed descriptions in this summary, but have summarized below the significant findings and recommendations that resulted from our evaluation of this system.

Prevention

Effective prevention programs are essential in keeping youth out of the juvenile justice system. Prevention has proven to be far more cost effective than incarceration. In a study conducted by the U.S. Justice Department, a delinquency prevention program in California was shown to produce a direct cost saving of \$1.40 for every \$1.00 spent in law enforcement and juvenile justice resources. Other similar examples of proven cost effective delinquency programs across the nation are highlighted in the Prevention section of this report. While we could find no comparable information to measure the impact of prevention programs in Arizona, it has been our experience and it is our conviction that funding for prevention programs can lead to direct cost savings for the juvenile justice system and for the broader criminal justice system.

In Arizona, primary Prevention programs are designed to keep children from entering the juvenile justice system. Secondary prevention programs in Arizona are designed to keep juveniles previously involved in court referred services from re-entering the system.

Prevention programs in Arizona, found in all 15 counties, come in many shapes and sizes, and may include one or more of the following components:

Educational programs and classes,
Sports and recreation,
Youth employment,
Conflict resolution,
Youth clubs,
Mentoring,
Advertising campaigns, and
Parental support groups.

Funding for Arizona delinquency prevention programs comes from a wide variety of federal, state and local funding sources, as well as donations from community organizations, foundations and businesses. While it is impossible to quantify the total dollars spent on prevention services for Arizona children and youth, the total public funding for prevention in Arizona for fiscal year 1997 was approximately \$24 million.

In our review of Arizona delinquency prevention efforts, we have compiled the following significant findings:

- There is no statewide agency or body charged with the coordination of prevention efforts. While there are many prevention programs and activities underway in Arizona, and while some appear to be effective, there is no entity responsible for:
 - Identifying what is working and what is not, by use of performance and outcome measures;
 - Sharing what works with families, communities, volunteers, local government and service providers, so that they do not have to “reinvent the wheel”;
 - Identifying areas of unmet need;
 - Identifying areas of duplication or overlap;
 - Informing and educating other components and programs in the juvenile justice continuum in order to leverage other sources of prevention funding or in kind resources.
- Most Prevention programs appear to successfully engage youth in meaningful activities, but fall short in involving the child’s family. Current research found in juvenile justice literature and current federal juvenile delinquency policy clearly points to the involvement of families as crucial in prevention efforts and youth violence reduction.
- The total number of youth being served in Arizona’s Prevention programs is unknown.

Based on the above findings, we offer the following significant recommendations:

- Because of the high cost of juvenile incarceration, and because of the proven savings of cost effective delinquency Prevention programs in other states, we believe Arizona should continue to fund delinquency Prevention programs.
- Arizona delinquency Prevention programs should be re-focused to actively involve families in all aspects of services and activities.
- Prevention programs should be initiated and developed at the community level, while at the same time a statewide body should be authorized to provide support for community based delinquency Prevention efforts, and to coordinate Prevention activities statewide, with a specific emphasis on information sharing, the identification of unmet needs, and the prevention of duplication and overlap.

- Arizona should require basic program data to be collected by all state funded Prevention programs, and develop outcome measures to assess the value of its Prevention programs.

Intervention

Unlike Prevention, Intervention focuses on delinquent behavior after the fact. Intervention includes those programs and services that deal with juveniles diverted from prosecution, or those juveniles adjudicated, but not committed to Secure Care in a State Institution. It involves a progression of less restrictive to more restrictive consequences. Those consequences are:

Diversion,
Probation, and
Consequences which includes treatment.

Probation Officers supervise the youth who are in this component of the juvenile justice continuum. Overall, the impact of Intervention is positive in that over 60% of the youth arrested for the first time are not arrested again. Only a small proportion of the eligible Arizona youth population comes into contact with the Juvenile Court system.

Diversion

The goal of diversion is to direct youth away from formal court proceedings by assigning a set of consequences, that if successfully completed, result in avoidance of further court action. Diversion referrals come from the police, the schools and parents. Only youth who acknowledge responsibility for their actions are eligible. Chronic felony offenders, violent felony offenders and arrested for drunk driving are not eligible for Diversion. While the County Attorneys have been recently granted authority to run Diversion programs, they have allowed the County Probation Departments to continue to run these programs. In fiscal year 1997, over 17,000 youth were diverted in Arizona.

Current law specifies the consequences that a Juvenile Probation Officer may apply to the diverted youth. The Probation Officer has the discretion authority to which and how many consequences will be assigned to the youth. The options include:

Unpaid community service work,
Counseling programs,
Education programs to prevent further delinquency or address issues such as substance abuse,
Non-residential rehabilitation programs, and
Payment of victim restitution or monetary assessment.

These services can be delivered by County Probation Departments, service providers, or non-paid community organizations.

Community-Based Alternative Programs (CBAPs) focus on involving youth's peers and community in assigning consequences for delinquent acts; these include Teen Court and Community Justice Committees. The Teen Court is successful in Pima and Maricopa and has a low recidivism rate.

Diversion is funded through the AOC and County General fund dollars. The AOC funding is on a capitated basis. The amount for fiscal 1998, the first year of this approach was \$126 per juvenile, scheduled to increase to \$198 for fiscal 1999. Counties incur costs in excess of the state capitated amount. Diversion is a less expensive alternative to Probation. County cost accounting is not standardized, and provider costs vary widely.

In our review of Diversion, we have compiled the following significant findings:

- Diversion is a cost-effective program.
- The positive outcomes justify the investment.
- There is a need for more community programs.
- Senate Bill 1446 has resulted in increased collaboration among County Attorneys and County Probation Departments.
- There appears to be some confusion about the definitions of Diversion and Prevention.

Based on our findings, we offer the following significant recommendations:

- Develop standardized performance and outcome measures for implementation across all Diversion programs.
- Increase family involvement in Diversion programs.
- Clarify definitions of diversion and prevention.

Probation

Probation in Arizona can be defined as conditional freedom granted by the Juvenile Court to an adjudicated juvenile on the condition of continued good behavior and regular reporting to a Probation Officer. This is the stage of the continuum where the resources expended are more significant and youth behavior is more challenging.

The core tenets of Probation are:

- The belief that youth can make positive changes in their behavior,
- Protection of the community,
- Preservation of the best interest of the child and stability of the family unit,
- Fostering law-abiding behavior, and
- Restitution to victims and society for the wrongs committed against them.

In the previous subsection, we discussed the role of Diversion which is to steer youth away from the court system. Probation is designed to accomplish the same goal for those

youth that have continued to commit delinquent offenses. Another difference between Diversion and Probation is the fact that youth on Probation have been adjudicated by the Juvenile Court.

There are two types of Probation utilized in Arizona:

Standard Probation, and
Juvenile Intensive Probation (JIPS) for serious or high risk offenders.

In addition to the regular supervision of the Probation Officer, consequences include:

Restitution,
Community Service,
Victim Reconciliation,
Drug Testing, and
Treatment.

Standard Probation is funded through State Aid for Probation and through the County General Fund on approximately 50/50 basis. The total cost for fiscal 1997 was approximately \$9 million. Our analysis resulted in an estimated average annual cost of \$1,247 per juvenile in Standard Probation, and we estimate the daily cost per juvenile to be \$3.42. These estimates do not include the cost of Treatment provided to these juveniles while on Probation. Arizona's average daily cost appear to be in the mid-range of Probation costs when compared to national averages that range between \$2.20 and \$7 a day for Standard Probation.

Juvenile Intensive Probation Services is 100% funded by AOC. The fiscal year 1997 statewide-expended funds for JIPS were \$9.3 million. The annualized average cost per youth in JIPS is estimated to be approximately \$4,900. The estimated average daily costs per youth in JIPS is \$13.42 in the state of Arizona. Nationally, the average daily cost per youth in intensive probation ranges from \$7.45 to \$16.20 a day. Arizona's average daily cost per youth for this program is well within the range of the national average.

By policy, youth sentenced to JIPS are those who are at-risk of commitment to ADJC. Comparing the \$13.42 average daily cost per youth for JIPS with the \$130 average daily cost of Secure Care in a State Institution in Arizona results in an estimated \$117 per day savings to keep the youth out of Secure Care. Given that the average length of stay in a State Institution in Arizona is approximately 188 days, this translates to a savings of over \$21,000 dollars per juvenile who is supervised in the JIPS program as an alternative to commitment to a State Institution. With over 2,400 youth served in JIPS annually, the cost avoided by operating this program is \$52 million per year. This program is clearly a cost-effective alternative to Secure Care in a State Institution.

Currently AOC/JJSD is working in conjunction with the County Probation Departments to implement several performance and outcome measures starting with fiscal year 1999.

Based on our review of Probation, we have compiled the following significant findings:

- Probation is cost effective and JIPS is clearly a cost effective alternative to Secure Care in State Institutions.
- AOC and County Probation Departments have begun to develop performance and outcome measurements.
- There is limited information on the effectiveness of Treatment programs.
- There appears to be little family involvement in Probation

Based on our findings, we offer the following significant recommendations:

- AOC and County Probation Departments must continue the development of performance and outcome measures.
- Performance and outcome measures should be developed specifically for treatment programs.
- AOC and County Probation should develop a specific plan designed to increase family involvement in the Probation process.
- AOC and County Probation, in conjunction with ADJC, must develop and support a single information system that contains accurate and meaningful data that will provide the basis for effective performance and outcomes measurement, and specifically allow for a comprehensive review of recidivism.

Treatment

The goal of treatment is to teach juveniles to be productive, law-abiding members of their community. Treatment can be anything from psychological assessments to secure residential care. Treatment offered through the juvenile justice system is actually a binding commitment that the juvenile must accept and complete in order to be released from the system. It is viewed as a consequence of delinquent behavior, and is utilized in every part of the juvenile justice continuum.

Treatment services include behavior education classes, counseling, shelter care, and residential treatment options. These services are delivered by contract service providers. Through these outside agencies, County Probation Departments are able to purchase services to meet the specific needs of their populations. However, these services are limited due to geographic and financial considerations.

In fiscal year 1997, AOC spent approximately 45% of its budget, or more than \$19 million on Treatment services. These services are funded almost exclusively by state appropriations. The AOC/JJSD has made a significant effort to ensure that the youths in the juvenile system get effective, timely treatment in a culturally sensitive environment through contracts with private providers. AOC has developed an exemplary service procurement process.

Other than client satisfaction surveys, there is no capacity at this time to determine what works and what doesn't in treatment services, but AOC has recently begun to take action in this area.

Based on our review of treatment, we have compiled the following significant findings:

- There is an overall shortage of substance abuse treatment programs in Arizona, and a shortage of residential treatment options in rural areas.
- Communication, coordination and collaboration among the participants in the in the delivery of treatment services needs improvement.
- High staff turnover rates among service providers are impacting the delivery of treatment services.

Based on our findings, we offer the following significant recommendations:

- AOC and ADJC should work with Treatment providers to develop meaningful performance and outcome measures.
- AOC should develop a plan to expand substance abuse treatment services statewide and to develop residential treatment options in rural areas where are service gaps.
- AOC should take the lead in creating fiscal and program incentives to encourage the elimination of barriers to collaborative service delivery.

Secure Care

In Arizona, the Secure Care phase of the juvenile justice continuum includes county Detention facilities and State Institutions. Secure Care is defined in statute as "confinement in a facility that is completely surrounded by a locked and physically secure barrier with restricted ingress and egress". This is the most severe sentencing consequence available on the service continuum.

Detention

County detention is primarily reserved for more severe offenders as determined by the type of crime committed, the youth's court history and social history. Juveniles can be held in detention for a number of reasons including:

- Pre-adjudication, when juvenile is awaiting hearing;
- Consequence of a Probation or Parole violation;
- Sentencing option, imposed as part of the juvenile's disposition; and
- Post-disposition, when a juvenile may have to remain in Detention pending placement.

The number and type of structured program activities and treatment services in county detention facilities vary by size and geographical location of each county. Generally the smaller more rural counties are limited in their programs to education, recreation and counseling as needed. The larger counties, such as Maricopa, are able to develop more specialized treatment programs for youth detained in their facilities.

County detention operating costs are funded by each County's General Fund. Total Detention costs for all counties is not available because of lack of comparable accounting information across counties. This lack of data makes it difficult to determine the effectiveness of Detention programs as program costs are necessary to develop useful performance and outcome measures.

In our review of Arizona detention facilities, we have compiled the following significant findings:

- Overall, county Detention facilities are adequate in available program activities.
- County Detention facilities are cost effective both in relation to other states' Detention costs and in relation to other Arizona out-of-home care costs.
- Maricopa and Pima use the Detention Risk Assessment Score Form (DRAF), a scoring instrument used to determine detention or release. The tool is only successfully used half the time, has limited capacity to predict recidivism, and in Maricopa County has a 50% override rate, as compared to the national standard of not over 15%.
- The county Detention system as a whole lacks standard performance and outcome measures.

Based on our findings, we offer the following significant recommendations:

- With guidelines developed by the AOC, the counties should develop and maintain Detention performance and outcome measures.
- Counties should improve Detention risk assessment tools.
- Counties should enhance the consistency of detention accounting procedures.

State Institutions

The role of ADJC is to provide care, supervision, rehabilitation, treatment and education to those juveniles committed to its jurisdiction. ADJC are designed to enhance public protection by reducing the possibility of juveniles re-offending. As with other juvenile justice systems, Arizona's Secure Care is the most severe consequence in the juvenile justice continuum.

The Arizona Secure Care institutions offer a variety of services including counseling, work experience and recreation, as well as:

- Education for six hours per day, utilizing a newly established competency based curriculum, and providing each youth with an individual education plan;
- Vocational programs, with a focus on maintenance work, assistant teaching and culinary arts; and
- Mandated, daily group therapy sessions.

In fiscal year 1997, ADJC reported an average daily Secure Care cost of \$130 per juvenile. Catalina Mountain is the highest at \$175 per day, and Encanto at \$162 per day. Because the youth at Encanto are severely emotionally disturbed, requiring extra staffing, individual rooms, intensive treatment and medication, it was assumed that the daily cost would be the highest of the Secure Care institutions. We found no explanation for this cost difference during our site visit. Because Catalina Mountain is a high quality facility, it may be that the higher cost is justified. However, this cost difference is substantial enough that additional analysis should be performed by ADJC. The analysis should include a review of outcome measures and results, which is the most meaningful way to determine if the daily costs of the facilities are justified.

Over the last four years, ADJC has made significant strides towards instituting performance and outcome measures. ADJC is in the process of implementing and automating performance measures for secure care.

Outcome measures are not as readily accessible as performance measures. AOC operates a completely different information system (JOLTS) than the ADJC YouthBase information system. Because the two systems are not linked, each agency is limited in their ability to determine outcomes. For instance, ADJC's current recidivism outcome measures are limited to ADJC related measures such as re-commitment to secure care, parole revocations and adult certification.

Based on our review of Secure Care in State Institutions, we have compiled the following significant findings:

- Arizona Secure Care institutions may be facing a significant increase in admissions over the next ten years due to:
 - Tougher sentencing policies arising from Proposition 102 and subsequent enabling legislation; and
 - A projected 19% increase in the 8 to 17 year old age group between 1998 and 2008.
- Recent mandatory minimum sentencing legislation makes it more difficult for ADJC to manage the length of stay of the population it serves.
- There has been an increase in the number of low level offenders who are being sent to ADJC institutions for longer periods of time and a decrease in severe, violent offenders who are now being adjudicated and sentenced in adult court.

- The turnover rate of first level Youth Correctional Officers exceeds any of the other related turnover rates in ADJC.
- While there is a need for increased treatment services, one of the most glaring gaps in ADJC programs is the lack of a comprehensive life skills program.
- ADJC continues to lead the state in the development, implementation and automation of performance and outcome measures, but the department is far from achieving all its goals.
- A complete analysis of recidivism and determination of cost effectiveness is impossible without linking the ADJC YouthBase and JOLTS information system.

Based on our findings, we offer the following significant recommendations:

- The implementation of performance and outcome measures must continue as an ADJC priority
- ADJC, in conjunction with AOC and the County Probation Department must develop and support a single information system that contains accurate and meaningful data that will provide the basis for effective performance and outcomes measurement, and specifically allow for a comprehensive review of recidivism.
- ADJC should analyze the daily cost difference between Catalina Mountain and Encanto and determine if the higher cost is justified.
- ADJC should increase specialized treatment services with an emphasis on substance abuse, and develop a comprehensive life skills program for all Secure Care facilities.
- ADJC should work with the facilities and Probation and Parole Officers to ensure that comprehensive, meaningful and accurate information is documented in the case files in a timely and organized fashion.
- ADJC must continue to collaborate with AOC/JJSD, ADES, ADHS, ADE, local agencies and community organizations to insure that children and youth are receiving all necessary services.

Post Secure Care - Conditional Liberty in Arizona

Post-Secure Care, also referred to as Parole, is the post-incarceration phase of the juvenile justice service continuum. The youth's freedom from Secure Care is based on certain conditions or consequences that must be met while living in the community. Conditional Liberty can include anything from Treatment to restitution to curfew. Juveniles are released from Conditional Liberty when they demonstrate stability in the community, are free from delinquent behavior, or when they reach the age of 18. Conditional Liberty staff supervise juveniles released from Secure Care and help them make the transition back to their home and community.

In 1993 ADJC adopted the Graduated Continuum of Care Model. The goal of the Model is to provide more structure and clarity as to how and for whom intervention services will be utilized in the Conditional Liberty program. The Continuum of Care Model targets high-risk youth in Maricopa and Pima county.

Conditional Liberty services have been extended beyond supervision to include an in-home evaluation of all ADJC youth in order to determine the proper treatment plan for the youth and to ascertain if the home is a viable option for the youth's return. In addition, parenting classes and counseling sessions are offered to the families. Another component to ADJC's Conditional Liberty is the availability of vocational and educational services. These services include job training, apprenticeship programs and vocational rehabilitation. ADJC also contracts for counseling, day treatment, residential placement and other services. ADJC recognizes the need to develop long term residential substance abuse programs, conduct disorder programs for females and residential sex offender programs.

Conditional Liberty services are funded through state appropriations to ADJC. Actual expenditures for fiscal year 1997 were \$15.6 million. The estimated cost of Conditional Liberty is \$2242 per youth. Arizona falls well within the range of nation wide parole costs.

With the assistance of the National Council on Crime and Delinquency, ADJC is in the process of implementing a comprehensive set of Conditional Liberty performance and outcome measures. ADJC recently implemented a workload management system that bases caseloads on the number of hours to be worked for each type of case assigned, rather than just the number of juveniles. On an annual basis, Conditional Liberty serves approximately 2,500 juveniles. The annual recidivism percentage is approximately 60% for all parolees. This is consistent with the recidivism rate for offenders with ten or more prior referrals who have received consequences from the court. More to the point, it is a reflection of reality.

In our review of Post- Secure Care, we have compiled the following significant findings:

- Expanding the role of Conditional Liberty beyond supervision is effective. From 1992 to 1997, the number of youths suspended from Conditional Liberty dropped 74%.
- Conditional Liberty is beginning to offer more comprehensive services, including in home evaluation, family counseling, job training and vocational rehabilitation. This not only increases the chance for successful transition for juveniles, but also enhances public protection.
- The new Conditional Liberty caseload management system, based on workload and acknowledging the greater time and difficulty of certain types of cases, is an effective management tool that will assist managers in supervision of parole officers and reduce burnout.
- New approaches to Conditional Liberty have given rise to increased collaboration, although collaboration between ADJC and the public schools needs improvement.
- The fact that the fundamentals of identifying performance and outcome measures have been completed is very encouraging.

Based on our findings, we offer the following significant recommendations:

- Automation and the implementation of performance measures must continue as an ADJC priority in conjunction with AOC and County Probation departments.
- An evaluation of the newly established ADJC Continuum of Care Model must be completed to determine if resources are being utilized effectively.
- Collaboration and communication must be ongoing between all the players in the Arizona juvenile justice service continuum.

Core Findings and Recommendations

Core findings and recommendations relate to the fundamental, basic elements of any review. The core findings and recommendations presented here arise from our comprehensive review of the Arizona juvenile justice system, and have such a significant impact on the system that they warrant special attention by those policy makers and others who strive to make this system work well for juveniles, their families and the citizens of Arizona.

The four core findings arising from this review are:

Involvement of Families,
Collective Ownership through use of Outcomes,
Collaboration, and
Joint Technology Support.

Involvement of Families

The community is essential in deterring juvenile crime, and will be addressed in our final core issue. However here the focus is on the role of the family. The family is the stakeholder:

- Closest to the juvenile,
- Has the most contact with the juvenile,
- At times, is the most influential with juvenile, and
- Maintains this contact for the longest period of time.

Family involvement is a core issue in Arizona which can directly influence cost effectiveness as well as outcomes for children and youth. Current research found in juvenile justice literature and current federal juvenile delinquency policy clearly points to the involvement of families as crucial in prevention efforts and youth violence reduction, and Arizona family statistics confirm this. Intervention that simply focuses on the juvenile and ignores the family, will not work.

Most Arizona Prevention programs appear to successfully engage youth in meaningful activities, but fall short in involving the youth's family. In the area of Intervention, we

found that in a majority of cases, families are not involved in Treatment. A review of Probation, Treatment and Secure Care case files shows that almost one-third of the files were missing any reference to family data. A review of Treatment provider case files indicates very little family outreach or engagement in the youth's Treatment program. The JOLTS captures very little family data. Other than the In-Home Family Evaluations conducted by ADJC Conditional Liberty Services, there appears to be little evidence of family involvement in the Arizona juvenile justice service continuum.

ADJC has recently begun to place more emphasis on engaging the family early and often. But outcome data is not currently at sufficient detail at ADJC to "test" the theory that the engagement of the youth's family early and often in the Conditional Liberty program is "working". We strongly suggest that outcomes be established to validate the opportunities and benefits that could be derived from shifting from a "youth/incident" to a "family" focus approach.

Our recommendations are:

- Arizona Prevention programs should be refocused to actively involve families in all aspects of services and activities.
- To the degree they are not doing so, judges should exercise their authority to order family members into parenting classes, other appropriate Treatment services and shared consequences with their child.
- Provider reimbursement rates should acknowledge and be contingent on a proactive effort to involve the family in the Treatment plan. Outcome targets and measures should be established and monitored related to family functioning before and after Treatment.
- Probation and Parole Officers should be required to conduct family assessments much like those done in the Conditional Liberty program operated by ADJC and all results and information about the family, their social and economic status and other special needs or considerations. This data should be updated as appropriate when progress is made or circumstances change for the family. Ideally, this information should be recorded in an automated case management system so that the information can be readily exchanged with other stakeholders in the juvenile justice continuum.

Collective Ownership by use of Outcomes

The juvenile justice continuum, as it is currently designed, has a number of automatic "hand-offs" built into it, where juveniles are passed through from one part of the continuum to another, but with no one entity having an "ownership position". Each entity, including the policy-making bodies plays a significant role, but when problems occur, accountability is easily evaded and blame easily shifted. This lack of ownership extends to the other large human service delivery systems.

There are multiple problem youth in the juvenile justice system and in the other systems. In fact many of the are in more than one system. This is why there continues to be a

debate in Arizona about creating a “children’s agency” to stimulate a more collaborative, “holistic” approach to developing solutions for these children and youth. The issues these youth are facing are complex. Their family’s problems are many and it takes every agency working collaboratively to solve this problem. While some deference is paid to collaboration, few examples were identified that suggest all involved public agencies worked closely together to solve these problems jointly, with shared resources and funds and as equal partners.

Our recommendations are:

- The Governor and the Legislature must take the lead in creating an environment of collective ownership for the delivery of juvenile justice services as well as all services to children, and
- Arizona should not initiate a large scale reorganization as the way to achieve collaborative service delivery.

Our proposal is that Arizona, through leadership of the Arizona Juvenile Justice Committee and with the cooperation of the juvenile justice system, attempt to solve this problem by developing outcome targets that cross all areas of the juvenile justice continuum. The following high-level steps would need to be completed to implement this approach.

- Adopt outcomes.
- Establish statewide annual and five-year targets.
- Develop baseline.
- Engage outcome champions.
- Develop action plans.
- Implement action plans.
- Remove barriers.
- Achieve targeted performance.
- Receive and invest incentives earned for performance.

We are further recommending that a significant amount of funding (e.g., 10 to 15%) be withheld from all state agencies to be reserved as an incentive pool that is earned for achievement of outcome targets. The earned incentive would then be distributed to all agencies who contributed to meeting outcome targets.

We would not suggest this innovative strategy to many states. The reason is they lack the leadership capabilities required to make this type of change work. Leadership exists in Arizona at the executive, legislative, agency and county level. Further, the juvenile justice system in Arizona works. In other words, implementing an outcome approach is possible as the energy required to get a new approach like this implemented would not negatively impact the results already being achieved by the Arizona juvenile justice system. This Arizona system and the people who operate it are quite capable.

We believe implementing this type of approach to outcomes in Arizona where all agencies share in the success of the same outcomes is the only way to make a real and lasting impact for families involved in the juvenile justice system in Arizona. Further, if successfully implemented in this system:

- It could be rolled out to other human service agencies in the state, and
- It would help to maintain Arizona as a leader in the juvenile justice arena.

This is a unique opportunity in Arizona. We hope the Arizona Juvenile Justice Committee will take on this important change and help to remove any barriers to its success.

Collaboration

In the context of the planning, funding, design and delivery of human services, collaboration requires:

- An open, mutual exchange of information;
- A willingness to share resources;
- A capacity to understand that at times there are advantages to at least a partial sharing of power or relaxation of control;
- An ability to move beyond the categorical funding limits, the specific service system culture and the professional practice values that usually are prevalent in any single service system;
- An experiential knowledge that many vulnerable and at-risk children and youth manifest multiple problem needs and therefore require multiple system responses; and
- A willingness to be accountable for common outcomes.

Results of our evaluation indicate that both within the juvenile justice continuum and beyond, there are some positive examples of collaboration.

On the other hand, if one applies the definition of collaboration identified above, while AOC/JJSD and ADJC work well in some specific instances, their overall collaborative working relationship with each other and with the counties and local communities could be substantially improved. Even more important, there is no effective statewide coordination and technical support for local and regional delinquency prevention efforts. This evaluation indicated that ADJC and AOC/JJSD have not developed an ongoing collaborative *working* relationship with ADE, ADES and ADHS/BHS. We understand this is an issue under initial consideration in the Governor's Community Policy Office.

There also appears to be no unified set of principles set out in Arizona statute or other statewide policy level articulating a policy framework for coordination and collaboration. An example of such a set of principles can be found in the state of Washington. The

Family Policy Principles are an eloquent and compelling statutory commitment to vulnerable children and their families.

Our recommendations are:

- Arizona should develop statutory policy principles that can guide future policy decisions and the delivery of comprehensive services to children, youth and their families; the principles should:
 - Value collaborative planning, problem solving and service delivery;
 - Prioritize family involvement in service delivery; and
 - Reinforce the need for local planning, community-based Prevention and an outcomes-based focus.
- Arizona should establish a state level policy council including leadership representatives from the Governor's Office, ADJC, AOC/JJSD, ADES, ADE, ADHS and other appropriate organizations, where the primary focus is the improvement of coordination and collaborative service delivery.
- The Arizona Juvenile Justice Commission should be authorized as the state agency responsible for coordination and technical support for Arizona regional and local delinquency Prevention efforts
- ADJC and AOC/JJSD should strongly consider pooling their resources to solve the rural problem of insufficient services available in their communities.

Joint Technology Support

Data Exchange

As we have established in the previous discussions on collaboration, free and easy exchange of information and data is a criteria to realize the full value of collaboration.

During our evaluation we determined that all players, large and small, in the Arizona juvenile justice system operate on different computer systems and uniquely identify the youth or family. As a result, significant effort is required to try to perform a simple match of youth from the juvenile justice system to ADE, ADES or ADHS/BHS. While limited matches between two of these systems have been conducted in the past, the results have been less than satisfactory due to the effort required to complete the match, the fact that the data was already out of date by the time the match was shared as these youth move through these systems very quickly and, because of the unique identifiers, there was lack of confidence that the match results were comprehensive. The bottom line is, the state of Arizona has no efficient or effective way to track juveniles across state systems.

Even within the juvenile justice system, AOC and ADJC have different computer systems. For Maricopa and Pima Counties, AOC does create a daily electronic file from JOLTS to pass to the ADJC YouthBase system that contains the offense history of the

youth that were committed that day. AOC is not able to perform this electronic transfer of case information for any youth that is committed to ADJC from a rural county. In this case, the information is exchanged in a manual fashion. Further, it should be noted, that this data exchange is currently one way. That is to say that AOC provides information to ADJC, but currently lacks the capacity to receive information back from ADJC.

Given this lack of exchangeable data, is not reasonable or practical in Arizona to develop a comprehensive cost analysis of what juveniles, involved with multiple agencies in or out of the juvenile justice system, cost the state of Arizona.

ADJC YouthBase Automated System

ADJC has an exemplary commitment to updating and improving its information system. The ADJC is in the process of enhancing its capability to upload information from the AOC JOLTS system into YouthBase. A near-term goal is to provide a more comprehensive assessment of the youth in the Arizona juvenile justice system. The ADJC is also developing a database in which the relevant factors can be assessed, such as the risk score, the risk-needs evaluation; the Treatment proposed and completed (including education information); and the final outcomes (such as recidivism) can be determined. With all of these components automated on the same system, the agency should be able to develop meaningful program outcome measures and more closely pinpoint the cause of success and/or failure of the youth. ADJC hopes to have this work completed by fiscal year 1999. Once ADJC is fully automated, they will begin the process of producing timely and meaningful management reports to guide program design and service delivery. These reports will provide more meaningful data as complete and consistent data is detailed in the system over time.

AOC JOLTS and Other Automated Systems

AOC's automation system, JOLTS, is utilized by AOC/JJSD and all 15 counties to record information and status regarding juveniles, as well as manage Probation caseloads. There are currently three versions of JOLTS in operation with separate systems in Maricopa, Pima and the rural counties. There is a wealth of information in the system, however there are gaps in certain data.

Given the fact that the technology that is used in JOLTS is more than 20 years old and the system is very complex, AOC has developed a number of other databases, like the Treatment billing system, which performs certain business functions that JOLTS does not provide. While this gets the work done, it is problematic.

Further, as noted in our case file reviews, the JOLTS system does maintain key information about the juvenile. What it does not maintain is information that would be more characteristic of information that would be used by a Probation Officer to manage the youth's case (i.e., progress notes obtained from Treatment Providers, educators or other key stakeholders).

Aside from better, more readily exchangeable case information that would help both Probation Officers, Treatment Providers and ADJC, having this case management functionality included in a comprehensive information system would greatly enhance AOC's capability to manage with performance and outcome information.

Given the various systems operated by AOC, it becomes impractical to combine all of these databases any more than one time per year. AOC fights this battle every time they even think about preparing management reports and outcome measures. Couple this issue with the fact that AOC has very few technical resources available to support their information systems, they are often required to purchase programming and technical system support from outside experts.

Our recommendations are:

- Although AOC/JJSD continues to move toward gathering more comprehensive information on the youth in the Arizona juvenile justice system, critical data from other entities (e.g., ADJC, ADHS/BHS and ADES) are not easy to obtain or match to enhance their overall understanding of these youth and their families. All the players, including AOC, ADJC, counties ADE, ADES and ADHS/BHS to develop a strategic systems plan to comprehensively support the Arizona juvenile justice system.
- We highly recommend that new systems developed in the state, like CHILDS for ADES Child Welfare, have a requirement that they build the capacity to interface and support data exchange and use with other human service agencies in the state.
- Given the wide variety of technology platforms in the state, this is likely going to have to be accomplished through use of:
 - A data warehouse, and/or
 - Some other type of technology middle ware.
- Given the status of development of the YouthBase system at ADJC, it may be possible that they could play a leadership role in creating an automated environment that supports the other agencies that support the Arizona juvenile justice continuum of care.
- AOC/JJDS must continue to move toward a single information system that contains accurate, meaningful and consistent data to allow the basis for effective performance and outcome measurement.

Conclusion

It is our evaluation that the Arizona juvenile justice system is one of the best in the nation. Could it improve? Yes. Could it do a better job of justifying the public investment by developing and reporting outcome and performance measures? Yes. Are there changes that could be made that would make this an even better, more cost-effective and efficient? Yes.

It is our belief that if the leadership of Arizona adopts the recommendations included throughout this report, but more specifically the core recommendations set forth in this section, that the Arizona juvenile justice system could operate more efficiently and effectively. The largest gains would be in the area of those youth that are served by multiple agencies across the state, are at the highest risk of becoming life-long dependents (e.g., in the adult corrections, social services or mental health services) on state systems. It is worth it to try to improve the results. Even if it reaches just a few juveniles, the potential long-term returns are material.

As with many recommendations, more significant value would be achieved if all of these recommendations were adopted within short order of one another. The reason is that, if automation was enhanced to freely share information among agencies, they would:

- Better know what persons to coordinate and collaborate on;
- Have much more robust performance and outcome measures as they could combine the data from their agency with that of others to get a comprehensive view of results; and
- Understand better the interventions that work with families as well as the juvenile increasing their effectiveness and opportunity to convert members of the family to self-sufficient, productive citizens as opposed to life-long system users.

Couple these benefits with increased collective ownership resulting in joint action planning and implementation to achieve results.

This is a unique opportunity in Arizona. We hope the Arizona Juvenile Justice Committee will take on this important change and help to remove any barriers to its success.

Section 1

Introduction

Draft

Section 1 Introduction

Background

The Juvenile Justice Committee of the Arizona State Legislature (the "Committee") selected Deloitte & Touche Consulting Group (Deloitte Consulting) as the vendor to conduct an evaluation of all Arizona agencies that provide services to juveniles who are diverted from prosecution in Arizona juvenile courts or who are adjudicated as a delinquent or incorrigible. This evaluation was conducted as part of Laws 1997, Chapter 220, which implemented voter approved changes to the juvenile justice system. The project was approved in the middle of February 1998 and began on March 1, 1998.

Deloitte Consulting has completed this evaluation study encompassing the following areas:

- The performance, with an emphasis on outcome measures, of all Arizona agencies and the programs administered by those agencies that meet the statutory requirements for the scope of the study; and
- The cost effectiveness of the services of all agencies that meet the statutory requirements for the scope of this study.

Given the scope of the evaluation and the necessary tasks as set forth in our proposal to the Committee, Deloitte Consulting is submitting our final report including recommendations for improvements in all Arizona agency performance and cost effectiveness of the juvenile justice system programs.

Committee Project Coordination

The Arizona Juvenile Justice Committee designated Representative Tom Smith as Project Coordinator. As Project Coordinator, Representative Smith served as the key contact for our team and was a significant contributor to the project by:

- Providing guidance throughout the evaluation,
- Coordinating project tasks and activities, and
- Receiving regular project status briefings.

Representative Smith has been very attentive to this project, and has attended every project status meeting, committee meeting, as well as special meetings and focus groups. Representative Smith has honorably represented the Committee by his commitment to improving the Arizona juvenile justice system, forthright guidance, participation and unwavering drive to do the right thing for Arizona.

Other Significant Contributors to this Project

In evaluations of this nature, it is in the state's best interests that the review team be dealt with openly and honestly to ensure it has the best information available to help Arizona build a better juvenile justice system. Many individuals went above and beyond their duty in supporting project activities, thus indicating their interest in improving the Arizona juvenile justice system. These persons include:

Honorable William O'Neill, Pinal County Superior Court,
Jesus Diaz, Pinal County Juvenile Probation,
Donna Noriega, Administrative Office of the Courts, Juvenile Justice Services Division (AOC/JJSD),
Bobbie Chinsky, AOC/JJSD,
Cheri Townsend, Maricopa County Juvenile Probation,
David Gasper, Arizona Department of Juvenile Corrections,
John Barrett, Maricopa County Juvenile Probation, and
Judy Strahler, Pima County Juvenile Probation.

Their assistance, insights and support strengthened the quality of this report.

In addition to the individuals above, others also spent time and contributed to the success of this project including:

39 Providers of Juvenile Justice Services,
Juvenile Court Judges in all Counties,
County Attorney's in all Counties,
Juvenile Probation Management and Staff in all Counties,
Staff of AOC,
Staff of ADJC, and
Staff of the Governor's Office for Children.

Evaluations of this nature require all parties' involvement, cooperation and work. The cooperation and participation of those noted above have enhanced the quality of this report for Arizona.

Introduction to the Remainder of this Report

We believe the methodology employed in this evaluation project offers Arizona an efficient and effective approach to identifying the outcomes and cost effectiveness of Arizona's juvenile justice programs. Our work focused on identifying strengths and weaknesses in the management and organizational structures of the juvenile justice system. This identification was achieved by assessing positive attributes and core

problems previously unidentified in other studies, and by validating findings obtained in other studies. In doing so, we maximized the results of our efforts and minimized the resource impact on the Arizona juvenile justice programs.

This approach allowed us to focus greater attention on the development of specific recommendations, if followed, will allow the Committee to implement visible and lasting improvements in the Arizona juvenile justice system.

The results of our evaluation and associated recommendations are found in the following sections of this report:

- Section 2** *Approach and Methodology*
- Section 3** *Juvenile Justice System and Stakeholders*
- Section 4** *Prevention*
- Section 5** *Intervention*
- Section 6** *Secure Care*
- Section 7** *Post-Secure Care*
- Section 8** *Core Findings and Recommendations*

The following section entitled **Approach and Methodology** sets forth basic premises and conditions upon which our approach is based. Our approach, methods and standards have been developed throughout our extensive experience with and analysis of the areas of juvenile justice organizational structure, management and administrative practices, systems of care and community integration. We recognize that each juvenile justice system is unique. While all our assumptions may not necessarily apply in every system, we do believe that many of the fundamentals are key to the administration of an efficient and effective juvenile justice program.

Section 2

Methodology

Draft

Section 2 *Approach and Methodology*

Introduction

An evaluation of juvenile justice and human service programs indicates they tend to be more complicated than they appear, due to the required interdependencies of multiple providers and agencies. This has been the case in the Arizona juvenile justice system. We first reviewed relevant Arizona legislation. Using this background information, we compiled a comprehensive list of individuals with whom we felt it critical to conduct our initial interviews. A summary list of these individuals includes:

Juvenile Justice Committee Co-Chairpersons and Other Members,
Two Representatives of the Juvenile Court Judges,
Two Representatives of the County Juvenile Probation Departments,
Two Representatives of the Treatment Providers,
Governor's Office,
Two Representatives of the County Attorneys,
Leadership of the Department of Juvenile Corrections,
Leadership of the Administrative Offices of the Court,
Leadership of the Arizona Department of Health Services, Behavioral Health Services,
Leadership of the Arizona Department of Economic Security, and
Leadership of the Arizona Department of Education.

[**Note:** A complete list of all the providers included in the Site Visits is included in **Appendix A** of this report.]

The purpose of the interviews we conducted included:

- Validating our understanding of program service delivery;
- Identifying a comprehensive list of service providers; and
- Identifying key persons with whom additional interviews or focus group sessions could be conducted to complete the budget and expense framework, the continuum of service framework, the outcome goals and the desired conditions for operations.

Using the gathered information and other research, we identified programs that receive juvenile justice funding and the juveniles “eligible” for these programs. Using this approach, we developed a framework for the continuum of services provided to juveniles in Arizona. In addition, we developed the initial framework for budget and expenses, outcome measures and desired conditions for operations. Another critical deliverable developed while using this information was a comprehensive list of service providers. Finally, we used the information gathered in these processes to develop the site visit interview and information gathering guides, as well as the site visit plan. [**Note:** All of

these interim deliverables were formally delivered and approved by the Committee on June 18, 1998. They are bound in a separate report that is available upon request, but has not been included in this final report do to its size.]

One of the tools developed by Deloitte Consulting for this type of project is the *Desired Conditions of Operations Matrix* (DCOM). The *Desired Conditions of Operations Matrix* represent the essential elements that are critical to the successful operation of juvenile justice programs. We have tailored this framework to the specific conditions in Arizona juvenile justice programs, as ascertained from information gathered in the above referenced interviews. The resultant desired conditions of operations are included in **Appendix B** of this report.

Upon completion of these tasks, we conducted site visits. The first site visit group included 39 Treatment providers that deliver consequences and provide services to juveniles who were diverted from prosecution in Arizona Juvenile Courts, or who are adjudicated as delinquent or incorrigible. These providers were selected if they received revenues received from AOC or ADJC in excess of \$90,000 in fiscal year 1997. The Treatment providers included in our site visits receive approximately 90% of the Treatment funds spent by the AOC and ADJC on an annual basis.

The site visits for these treatment agencies consisted of the following activities:

- Interviews with agency management and key staff;
- Review contract compliance;
- Review licensing or other complaints, if any;
- Review financial information that includes completion of a matrix that identifies key costs for comparison with other agencies providing services;
- Program review, specifically focusing on performance and outcome management, as compared to the desired operating conditions identified prior to site visits;
- Reviews of a sample of closed case files to validate program approach, desired conditions of operations and outcomes reporting;
- Reviewed data from various juvenile justice information systems to benchmark recidivism by consequence type;
- Review and validation of all outcome and performance management information; and,
- Review and determination of how management and oversight agencies utilize outcome and performance information to make improved decisions regarding how services are delivered and improved.

As part of this evaluation, all County Probation Offices and three of the five Conditional Liberty Offices were visited. Additionally, we visited every county detention facility and

interviewed 13 of 15 County Attorneys, or their designees and a number of other significant parties at the county level. The site visits at these locations consisted of the following activities:

- Interviews with agency management and key staff;
- Interviews with juvenile court judge and county attorneys;
- Review of financial information;
- Program review, specifically focusing on performance and outcome management, as compared to the desired operating conditions identified prior to site visits;
- Reviews of a sampling of closed cases to validate program approach, desired conditions of operations and outcomes reporting;
- Review of data from various juvenile justice information systems to benchmark recidivism by consequence type;
- Review and validation of all outcome and performance management information; and,
- Review and determination of how management and oversight agencies utilize outcome and performance information to make improved decisions regarding how services are delivered and improved.

Data gathered at these site visit interviews and reviews was analyzed and evaluated with our external juvenile justice experts. This analysis, along with the initial research conducted, allowed us to develop our findings and recommendations.

We then conducted five focus groups with key stakeholders from across the state to validate our findings, and solicit their insights on “what is working” and “what is not”. Stakeholders in the focus groups included:

Representatives of the Juvenile Justice Committee,
Representatives of the Juvenile Court Judges,
Representatives of the Juvenile Probation Departments,
Representatives of the Treatment Providers,
Representatives of the County Attorneys,
Leadership of the Department of Juvenile Corrections,
Leadership of the Administrative Offices of the Court – Juvenile Justice Services Division, and
Other interested parties.

In these sessions we reviewed some preliminary findings. The participants in the focus groups provided constructive feedback on the analysis, and presented their insights as to what they feel are appropriate recommendations for Arizona, given the preliminary findings.

The focus group participants identified a number of additional analyses and research items that we have included. Using information gathered in this manner has enhanced the overall quality of the findings and recommendations included in this report.

Development of the final report has included developing draft reports and reviewing them with appropriate persons as designated by the Project Coordinator, Representative Smith.

The sections that follow set forth the specific findings and recommendations for each area of the Arizona Juvenile Justice Continuum. These include:

- System Structure and Stakeholders;

- Prevention;

- Intervention, including:

- Diversion,

- Probation, and

- Treatment;

- Secure Care; and

- Post-Secure Care.

Each section includes a description of findings and recommendations associated with this part of the juvenile justice continuum. The final section of this report identifies the Core Findings and Recommendations. We believe these Core Recommendations include potential enhancements in the policies and practices throughout the state of Arizona.

Section 3

Juvenile Justice System Structure and Stakeholders

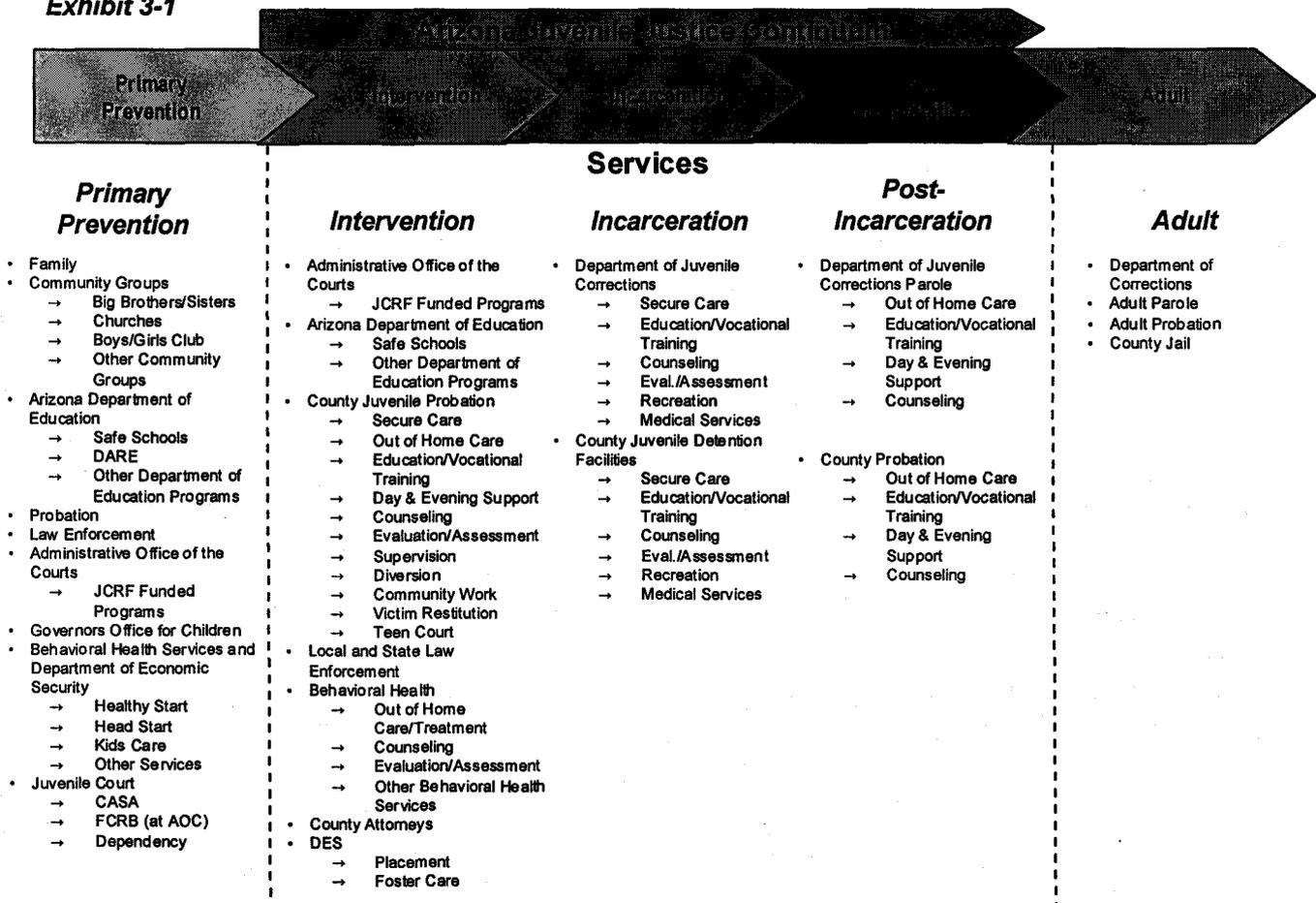
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Section 3 Juvenile Justice System Structure and Stakeholders

Juvenile Justice System Structure in Arizona

In Arizona, many entities have a role in influencing and serving children who have been adjudicated as delinquent or diverted from delinquency and prosecution. **Exhibit 3-1** below, is a graphical depiction of the major stakeholders, by component, involved in the lives of children in Arizona’s juvenile justice service continuum.

Exhibit 3-1



The most significant players in the publicly-funded system, depicted above, include the:

- Administrative Offices of the Court, Juvenile Justice Services Division (AOC/JJSD or AOC),
- Arizona Department of Juvenile Corrections (ADJC), and
- Fifteen County Superior Court Juvenile Probation Departments.

Although these are the most significant players in this juvenile system, there are a number of other additional players that contribute to, or detract from, the success of this

juvenile justice system. Some of these are publicly funded, while others are not. They include:

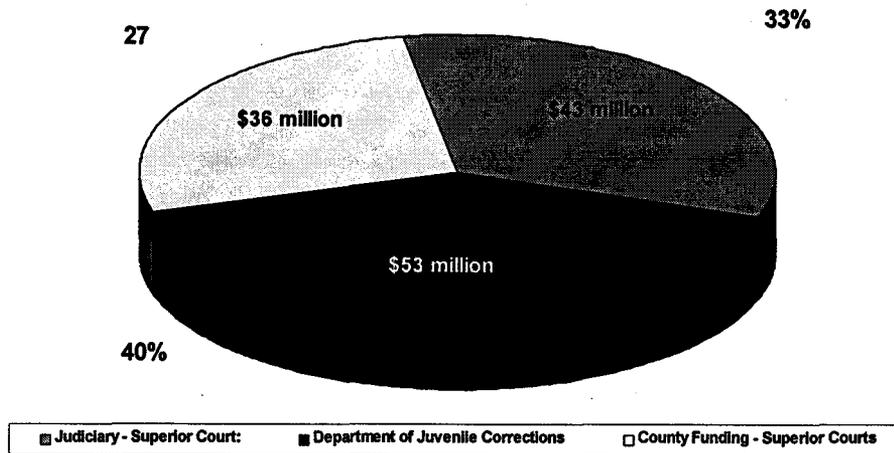
- The juvenile and his family.
- The juvenile's neighborhood and community,
- Arizona Department of Education and the youth's school,
- Law enforcement,
- County Attorney's,
- Treatment Providers,
- Arizona Department of Economic Security (ADES), and
- Arizona Department of Health Services, Behavioral Health Services (ADHS/BHS).

The first four players are involved in every case that comes to the attention of Arizona's juvenile justice system, as they are involved at such an integral level in the "protective factors" that establish the youth's success, or lack of success, in being a productive, law abiding citizen. Protective factors are qualities or conditions that moderate a juvenile's exposure to risk. The last four players on the list *may* be involved in the case. If the youth is arrested, the County Attorney often plays a role, even if the role is as minor as deciding which offenses are eligible for diversion or prosecution. If the youth is arrested and is sent to a Treatment program as a consequence for their delinquent acts, whether it be to a Diversion program or a Residential Treatment Center, then Treatment Providers play a significant role. ADES and ADHS/BHS may already be involved in the juvenile's life or may become involved as a result of a referral from the juvenile justice agencies.

It takes all of these major players, working together, to make this system work. If one player does not do its part, it creates more work for all the others.

To begin to understand the structure and magnitude of the Arizona juvenile justice system, we performed an examination of the costs and related funding for the juvenile justice continuum provided to youth in this system. The following graph, **Exhibit 3-2**, depicts the overall spending and sources of spending in the Arizona juvenile justice system for the year ended June 30, 1997, for the publicly funded juvenile justice entities.

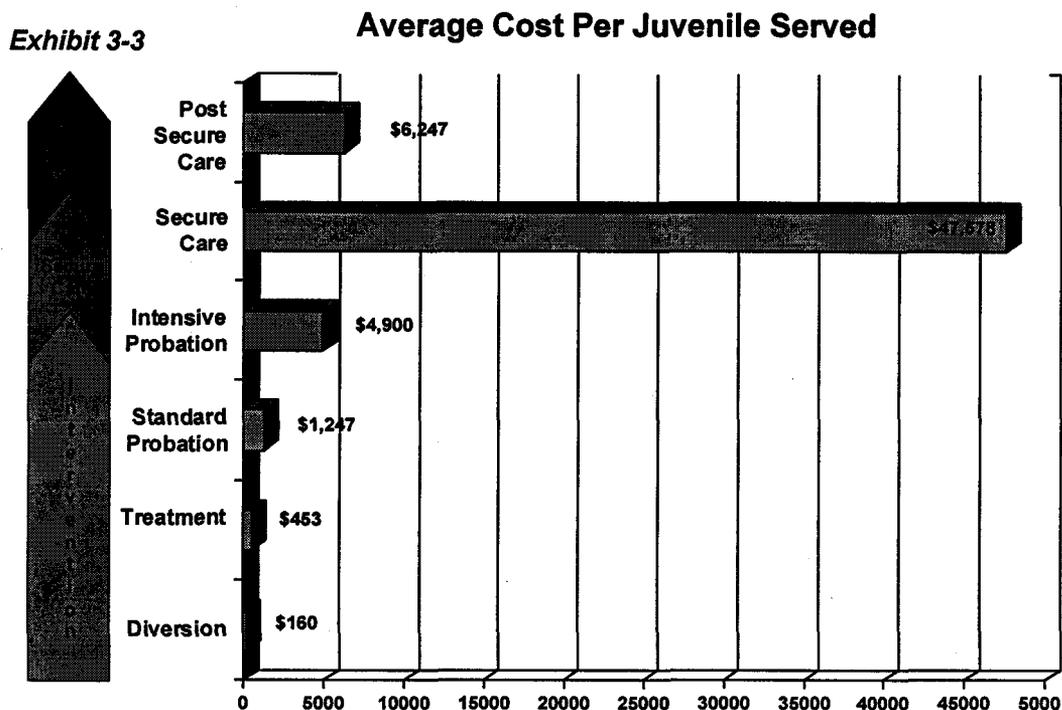
Exhibit 3-2
Juvenile Justice (JJ) - State (Appropriated and Non-Appropriated) and County
Expenditures
(Excluding JJ Costs Incurred by ADES and ADHS)
Year Ended June 30, 1997
Source: AOC, ADJC, JLBC



The other players in the system all operate on different computer systems and uniquely identify the youth or family. As a result, significant effort is required to try to match youth from the juvenile justice system to ADE, ADES or ADHS/BHS. While limited matches between two of these systems have been conducted in the past, the results have been less than satisfactory due to the effort required to complete the match, the fact that the data was already out of date by the time the match was shared as these youth move through these systems very quickly and, because there were no unique identifiers, there was little confidence that the match results were comprehensive. The bottom line is, the state of Arizona has no efficient or effective way to track juveniles across state systems.

Given this past experience, the effort required and the concern about the quality of the results, it was determined not to be efficient and effective to ask these agencies to conduct a match that would allow us to provide a more comprehensive cost analysis of what these juveniles cost the state of Arizona. Consequently, the chart in *Exhibit 3-2* does not include spending occurring in the other entities involved with the Arizona juvenile justice system that are providing related services to children in Arizona who may be at-risk for entering or may be currently known to the system.

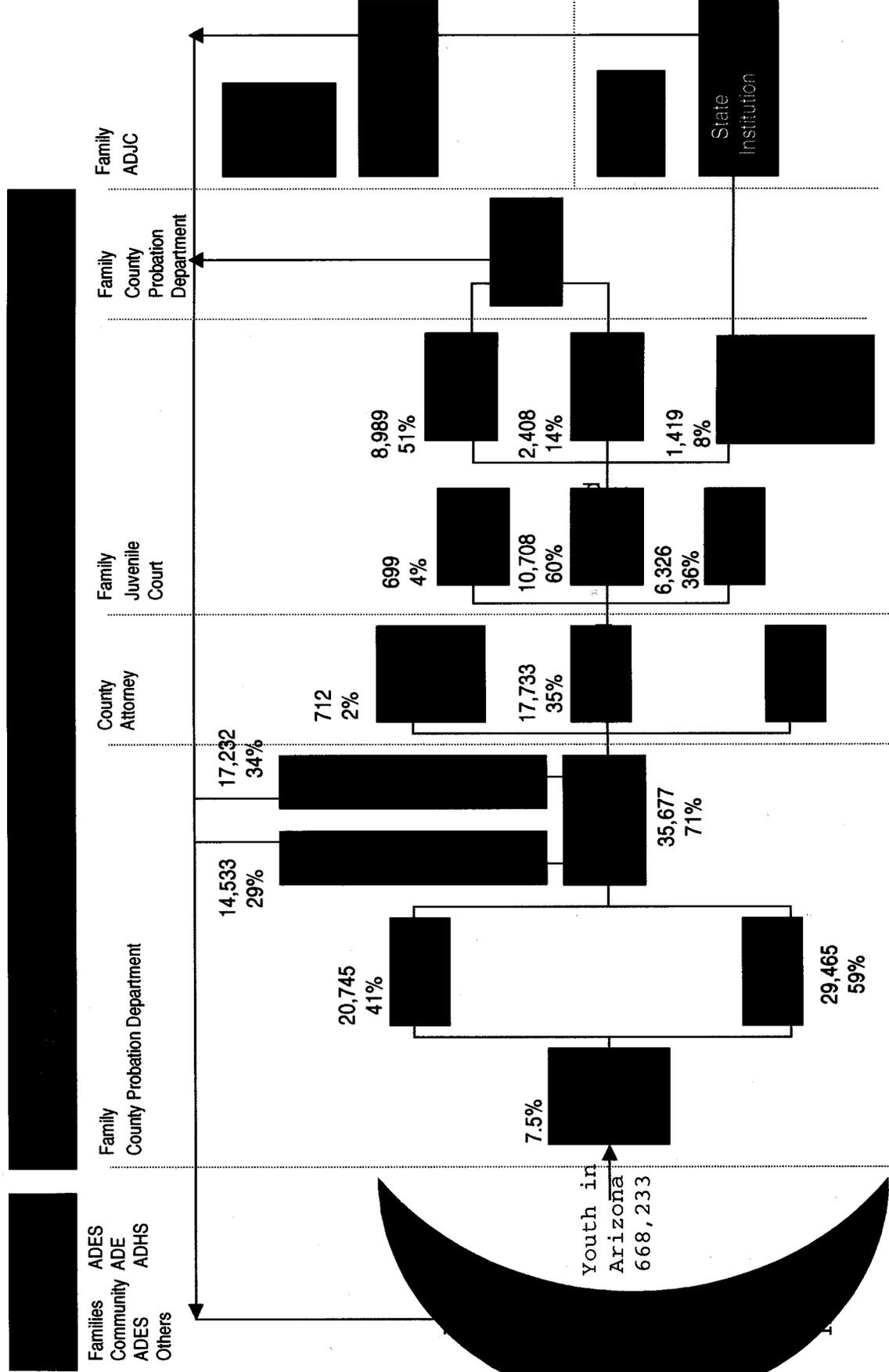
We also derived average annual costs for consequences imposed upon youth in the Arizona juvenile justice system. *Exhibit 3-3*, below, provides a summary of major programs and services and their related annual costs per juvenile for fiscal year 1997 (as a new program, diversion costs presented are from fiscal year 1998) offered in the continuum of care.



As displayed in this graph, the public cost of managing juvenile delinquency becomes increasingly more expensive as a youth moves from least restrictive (i.e., Intervention) to the most restrictive (i.e., Secure Care in a State Institution or Incarceration) component of the Arizona juvenile justice continuum. It is simple to see from these costs that it is in the best interest of all concerned, but particularly the state and the juvenile, that the juvenile's delinquent behavior never lead to a situation where they are committed to Secure Care in a State Institution.

It is important to understand the juvenile crime problem in Arizona to obtain a perspective on the youth that are presented to the juvenile justice system and what they have done to get themselves there. To gain this understanding of juvenile crime, it is important to review the juvenile justice track, or continuum, in light of the number of youth that reach each stage of the continuum. *Exhibit 3-4* on the following page summarizes the disposition of juveniles entering the system in fiscal year 1997

Exhibit 3-4



* A juvenile may be receiving overlapping services during the year, including a treatment component, which results in the total number of dispositions being greater than the original number of petitions.

First, it is important to note that only 7.5% of the total juvenile population in Arizona received a referral to Juvenile Court during this year. Of those referred, 29% were brought into the system, warned and released; and another 34% were diverted from prosecution through programs such as Teen Court and unpaid community work.

In other words, 63% of the juveniles entering the system were not charged with a crime by the County Attorneys.

Roughly 35% of the youth presenting in the system (3% of children in Arizona's total population) had petitions filed by the County Attorneys, where formal charges were brought against them. Of those petitions filed, 40% were either dismissed or resulted only in a penalty, with the remaining 60% receiving consequences administered by the primary players in Arizona's juvenile justice system.

Less than 2% of the total juvenile population of Arizona were processed through the juvenile court system, resulting in significant consequences and treatment.

Other Arizona juvenile crime statistics worthy of mention include:

Of the 50,210 youth who were referred to the juvenile justice system in fiscal year 1997, 46% were first-time offenders.

Felony crimes accounted for 34% of the referrals to the system, the remaining offenses were misdemeanor, administrative, status and other.

While 53% of the total juvenile population are male, they commit over 68% of the offenses being referred to Juvenile Court.

Of those juveniles referred to the system, 3,039, or 6%, committed violent acts, or felonies against a person. These juveniles represent one half of one percent of the total juvenile population in Arizona. The remainder of the crimes included drug charges, fights, crimes against property, such as theft, and other status and administrative offenses.

Many of these statistics are surprising to policy-makers and citizens who are not entirely familiar with Arizona's juvenile justice system. Some of this information negates typical stereotypes of the magnitude and severity of juvenile crime in our state and our nation.

We then attempted to increase our understanding of the Arizona juvenile justice system by focusing our attention on the missions and objectives of the primary stakeholders and their roles in the continuum of care.

Administrative Offices of the Court, Juvenile Justice Services Division (AOC/JJSD or AOC)

The AOC/JJSD provides administrative support and oversight for the county juvenile justice systems in the following programs.

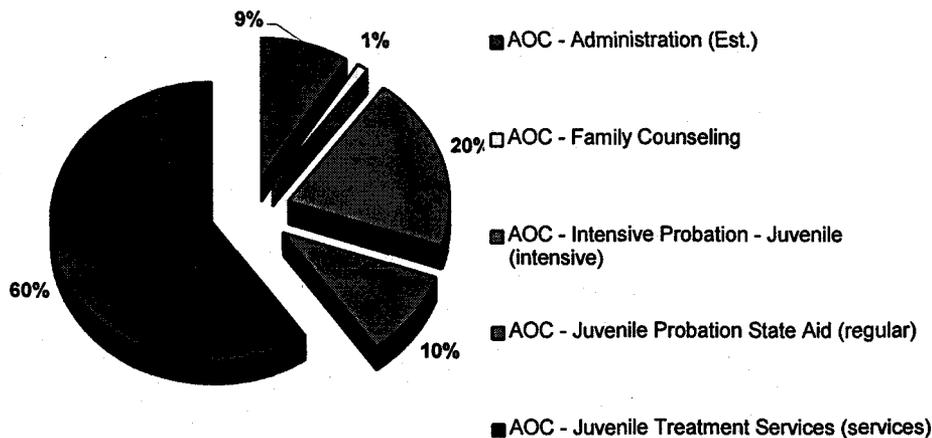
- Prevention, through the Juvenile Crime Reduction Fund,
- Intervention, which includes:
 - Diversion,
 - Standard Probation,
 - Intensive Probation, and
 - Treatment.

The AOC/JJSD serves as the coordinating agency for policy, service contracts and payments to Treatment Providers that comprise the continuum of treatment services authorized or ordered by the Juvenile Courts. A more in-depth discussion of those programs and activities can be found in **Section 5** of this report.

The AOC/JJSD is also responsible for management of the state appropriations allocated to fund these treatment and probation efforts. AOC/JJSD collaborates with the counties to establish and monitor County budgets for these services. In addition, AOC/JJSD and the counties work together to monitor the performance of Treatment Providers and Juvenile Probation Officers.

The AOC/JJSD total expenditures for the year ended June 30, 1997, were approximately \$43 million funded with state appropriations. These expenditures, displayed in **Exhibit 3-5** below, were used to fund the following breakout of program costs.

Exhibit 3-5
AOC/JJSD Costs by Program
Total Expenditures - \$43M
Year Ended June 30, 1997



These funds were used to provide services to approximately 50,210 children in the juvenile justice system for state appropriated dollars administered by AOC/JJSD and the

15 counties. The average annual costs and comparative national averages for the major components of the AOC/JJSD structure are summarized below.

	<u>Arizona Average</u>	<u>National Average</u>
Standard Probation	\$ 1,247	\$ 803 to \$ 2,555
Intensive Probation	\$ 4,900	\$ 2,719 to \$ 5,913
Treatment	\$ 453	Not Available

Due to the variability of levels of treatment and the accounting for treatment-related costs throughout the nation, we were unable to obtain reliable and comparable national averages.

A more detailed discussion of these cost components of the AOC/JJSD will be provided in **Section 4** of this report. In addition, the results of our interviews, analysis conducted on and operations review of AOC is included in **Appendix A** of this report.

Arizona Department of Juvenile Corrections (ADJC)

The ADJC is responsible for the development, implementation and management of the following programs.

- Secure Care in a State Institution, including:
- Permanent Secure Facilities, including:
 - Adobe Mountain,
 - Black Canyon,
 - Catalina Mountain, and
 - Encanto;
- Rincon Temporary Diagnostic Unit; and
- Boot Camp.
- Post-Secure Care (often referred to as Aftercare), including:
 - Conditional Liberty,
 - Graduated Continuum of Care, and
 - Other wraparound services to ensure appropriate transition into the community.

The ADJC directly provides the majority of these services with its own employees and facilities. However, private providers also administer some treatment programs in the Post-Secure Care component of the continuum. The ADJC is responsible for contractual agreements, payments and oversight of these providers. In analyzing AOC and ADJC operations, we identified a best practice that is worthy of note and is highlighted in **ABP – 3.1** below.

ABP -3.1

Interagency Collaboration on Use of Treatment Provider Contracts

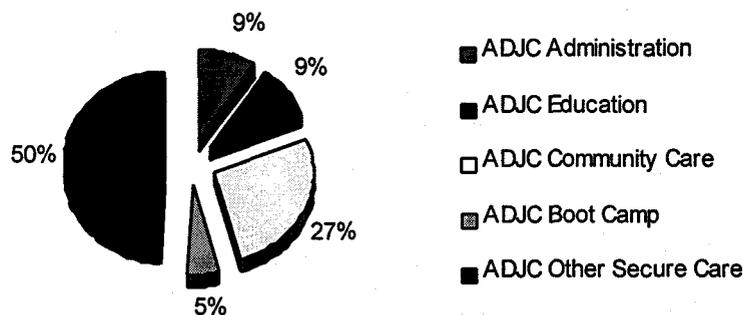
It should be noted that ADJC and AOC have entered into an Intergovernmental Agreement that allows them to use each other's Treatment Providers. This type of arrangement reduces duplication of effort in that only one agency has to perform monitoring of the Treatment Provider. This type of collaborative effort is more efficient for the state agencies and for the Treatment Providers. While care must be taken to ensure that the administrative load for this type of relationship is shared, so that one agency is not overburdened, this is a wonderful example of collaboration and efficiency on the part of both agencies and on behalf of the Treatment Providers.

A more in-depth discussion of the ADJC programs and activities can be found in **Sections 6** and **7**, while the results of our review of the agencies operations and other analysis is included in **Appendix B** of this report.

The ADJC total expenditures, for the year ended June 30, 1997, were approximately \$53 million funded mostly by state appropriations. These expenditures were used to fund the following breakout of program costs, depicted in **Exhibit 3-6** below.

Exhibit 3-6

Department of Juvenile Corrections
Total Expenditures - \$53 Million
Year Ended June 30, 1997
Source: DJC Internal Financial Statements



During fiscal year 1997, the ADJC supervised approximately 700 youth on any given day in Secure Care. The average length of incarceration is approximately 211 days for each juvenile with the annual cost of a placement in a State Institution averaging \$47,579. This information compares to a national average of approximately 294 days per juvenile at an annual cost of \$42,707.

In addition, ADJC serves approximately 2,500 youth annually in Post-Secure Care on Conditional Liberty at an average annual cost of \$6,247 per juvenile, which includes the cost of oversight and treatment services provided to the youth (labeled as Community Care, above). The average length of time a youth spends in the Conditional Liberty Program is approximately 200 days. Due to variability in levels of treatment and related costs on a national basis, we were not able to obtain a reliable national figure for comparative purposes. However, we did note that the annual Conditional Liberty costs were approximately 17% higher than the annual combined costs of Intensive Probation and Treatment services per juvenile at AOC/JJSD of \$5,353. This difference appears reasonable given the severity differences in the individuals being served.

County Superior Court Juvenile Probation Departments (County Probation Departments)

In Arizona, County Probation Departments operate under the authority of the Presiding Judge of the Juvenile Court of each county and is a Division of the Arizona Superior Court. Each presiding Judge has the authority to appoint the Chief Juvenile Probation Officer, who supervises the County Probation Department. The County Probation Departments have the responsibility to provide the following types of general services to youth citizens of the county who have been adjudicated as delinquent or diverted from prosecution:

- Diversion,
- Court,
- Probation,
- Treatment, and
- Secure Care in a Detention Facility.

The County Attorney's Offices, Judges and Juvenile Probation Departments in each of the counties are responsible for all facets of the juvenile justice system directly affecting youth prior to commitment in a State Institution.

Typically, an arrest is referred to a Probation Officer for assessment. The Probation Officer meets with the youth and his parents, if possible, and decides whether to refer the case to the County Attorney for prosecution, to warn and release the juvenile, or to enter the juvenile in a diversion program if the charges meet the criteria established by the County Attorney.

In the event that a case is referred to the County Attorney for prosecution, the Probation Officer prepares a report for the court detailing the youth's history, including prior offenses, if any exist, as well as a Disposition Report, describing recommendations for consequences.

The County Attorneys then enter the process by making decisions on the charges to bring against a youth and filing a petition with the Court. The County Attorneys have significant influence on the lives of children entering the system. Under mandatory

minimum sentencing, the decision on charges alone can make the difference between mandatory incarceration in a State Institution, referral to an adult court, or other less restrictive consequences.

The County Attorney can also choose to divert youth from the court process, and enroll them in programs to help ensure that they will not be referred to the court again. Under Senate Bill 1446, County Attorneys have the opportunity to assume responsibility for development and maintenance of diversion programs from the County Probation Departments. At this time, the County Attorneys throughout the state have chosen to have the responsibility remain with the County Probation Departments, although several County Attorneys are becoming more involved in this facet of the continuum.

Finally, the Juvenile Court Judges can significantly impact the youth in the system through their adjudications. The Judge is responsible for reviewing the petition filed by the County Attorney and the related documents filed by the Probation Officer and making a final determination on the appropriate consequences for the youth. The Judge often has very limited time to review the petition and other reports, and often relies on the recommendations and expertise of the County Attorney and the Probation Officer, so it is critical that they work together to propose the most effective consequences for the juvenile. We noted a positive and collaborative working relationship between the County Attorneys and the Probation Officers in each of the counties.

In some counties, Superior Court Judges are rotated to cover the Juvenile Court docket, while others have Judges who preside only over juvenile offenses. We found that the Judges whose focus was specifically on juveniles tended to be more engaged and cognizant of the needs and appropriate consequences of the youth that came before them. These Judges often recommend and assist with developing innovative consequences for youth to discourage them from future delinquent activity. We also found examples of Judges attempting to hold parents accountable for the actions of their children. Though, we did not witness consequences being consistently and effectively administered to parents who did not comply with the Courts' mandates.

Each County Probation Department administers these programs using an allocation of state appropriations budgeted through AOC/JJSD in combination with its County General Funds. Some counties also receive other limited funds, such as special grants to fund-specific programs. Overall, the County Probation Departments fund approximately \$23 million, or roughly 27%, of the juvenile justice costs throughout the state. Expenditure levels and funding sources, as well as approximate costs per juvenile, for each County Probation Department are included in **Appendix B** of this report.

Stakeholder Site Visits

With the major stakeholders included in the scope of this report having a combined spending level of more than \$132 million financed by the public, we felt it necessary to perform an on-site review of each to better understand their operations and assess the

impacts of these operations on the youth being served by the Arizona juvenile justice system. As noted in **Section 2** of this report, we conducted the following site visits:

- AOC/JJSD,
- ADJC,
- Sixteen County Juvenile Court Judges,
- Each of the fifteen County Probation Departments,
- Thirteen of the fifteen County Attorneys, and
- Thirty-nine major Treatment Providers (whose costs are included in the expenditures depicted in the **Exhibits 3-1** and **3-6** above).

For each of these entities, Deloitte Consulting performed a detailed analysis of operations to compare the current environment to the desired environment, as defined in Interim deliverables for this project and approved in June 1998. The major areas of operation assessed included the following:

Organization and Management,
Program Mission and Objectives,
Program Design and Service Delivery,
Program Financing and Management,
Staff and Resource Allocation,
Performance Management,
Information Systems, and
Coordination and Collaboration with Other Agencies – Public and Private.

Conclusion

Appendix B of this report provides certain demographic and funding information for each of the entities, the results of the operational analyses and the resultant issues for each of the agencies and counties. In addition, a summary analysis of the provider assessments is included to describe the overall operating conditions and issues for all of the participating providers. Performance for each entity was measured by the *Desired Conditions of Operations Matrix (DCOM)* which is included for review in each entity's summary.

Information about each of the programs and operating components of the continuum of care of the Arizona juvenile justice system, whether provided by the public entities or private providers, is described in detail in **Sections 4** through **7** of this report. We will start in **Section 4** with a discussion of Prevention in Arizona.

Section 4

Prevention

Draft

Section 4 Prevention

Juvenile Crime Prevention

Effective Prevention programs are essential in keeping children and youth out of the juvenile justice system. Although the scope of this project does not include a detailed analysis of the Prevention efforts in the state of Arizona, Prevention is a significant component of the Juvenile Justice Service Continuum. As such, these programs can influence the type and number of youth served by other components of the service continuum. Accordingly, Prevention programs warrant mention and a high-level analysis in an evaluation of this nature. General information related to the current public funding and program efforts of juvenile crime prevention is included in this section, along with some general findings and recommendations presented for consideration.

First, it is important to provide a definition of Prevention, as it is often misunderstood. In the context of juvenile crime, Prevention collectively refers to all efforts to avert delinquent behavior. Prevention efforts identify the factors contributing to delinquent behavior and then develop “protective factors” to address and ameliorate those factors. Protective factors are qualities or conditions that moderate a juvenile’s exposure to risk.⁸

According to the definitions provided above, juvenile crime Prevention programs focus on involving youths in activities that provide positive influences in their lives and keep them from engaging in delinquent behavior. Prevention programs work by developing positive life skills, minimizing risk factors, offering support and direction to the families and youth that participate, or simply by occupying the youth’s time with activities that keep them out of trouble. Patterns of juvenile delinquent behavior show that the greatest time for delinquent activities are in the hours just after school ends. A 1992 study conducted by the Carnegie Foundation determined that children spend 60 percent of their non-sleeping time occupied by school, homework, chores, meals or employment. Many juveniles spend the remaining 40 percent of their time alone or with peers but without adult supervision¹. Children in low-income families are more likely than others to be home alone for three or more hours each day¹.

There have been many studies focusing on the causes and risk factors for juvenile delinquency. Experts believe that there are many circumstances in a child’s life that may lead him down the path of delinquency, a few examples of these conditions include:

- Abuse or neglect by family members or others;
- Peer groups consisting of delinquent juveniles;
- Ready access to drugs or guns;
- Teen pregnancy;
- Familial history of incarceration; and
- Unsafe and/or ineffective schools.

The presence of one or more of these factors in a young person's life may lead him off the path of normal adolescent development and into the justice system as a delinquent juvenile. Experts in the area of Juvenile crime agree that Prevention strategies are critical to help reduce these risk factors and provide youths with the opportunity to flourish and become productive members of society.

Prevention in Arizona

In Arizona, Primary Prevention programs are designed to keep children from entering the juvenile justice system. Other Secondary Prevention programs in Arizona are designed to keep juvenile delinquents that have previously received court-referred services from re-entering the juvenile justice system. Both of these Prevention programs utilize:

- Direct methods such as one-on-one or group educational programs which serve to inform kids of the consequences of delinquent behavior and ways in which to make proper and knowledgeable choices when faced with negative influences; and
- Indirect methods that offer fun and entertaining activities such as after school programs, Grad Nights and recreational activities to occupy youth's idle time with positive and influential interactions.

Prevention programs often also assist parents in improving parenting and recognizing warning signs. The key to success for these programs lies in early identification of at-risk behaviors with immediate intervention to steer children away from delinquent activities and keep them on the path to successful education and development.

Key Stakeholders in Prevention

Children are influenced by a number of people in their lives. Many of these people become key participants in the Prevention effort. The direct participants in juvenile crime Prevention can be broken down into four basic areas that include; families, schools, communities and juveniles themselves. Examples of influential participants include the following:

Families	Schools	Communities	Juveniles
Parents Grandparents Aunts and Uncles Siblings	Teachers Counselors Supervisors Coaches Students	Law Enforcement Businesses and Employers Universities or Colleges Non-Profit Agencies Youth Organizations Neighborhoods Service Providers Faith-Based Organizations	Gangs Peer Groups Athletic Teams

The players listed above all have the potential for direct and meaningful contact with juveniles in their communities or in their homes, and may have either positive or negative influences on a child's life, depending on the circumstances of the relationship. The power of Prevention resides in the coordinated effort of these players to build a positive web of influence around at-risk youth.

There is also a fifth participant group that may not have direct contact with at-risk youths, but does have the potential to positively impact children and their families. This group includes the policy makers who impact the children of Arizona. Federal, state and local policy makers play an integral role in prioritizing Prevention activities and facilitating the development and maintenance of Prevention programs in Arizona.

Funding and Costs

Research has placed the cost of juvenile incarceration nationally at between \$34,000 and \$64,000¹ per year per juvenile. The cost of a young adult's (i.e., 18 to 23 years of age) criminal career through adulthood has been estimated to be as much as \$1.1 million dollars¹. In contrast, Prevention programs, in contrast, cost thousands less per year for each juvenile. In fact, a study conducted by the U.S. Department of Justice, Coordinating Council on Juvenile Justice and Delinquency Prevention found one delinquency Prevention program in California was able to produce a direct cost saving of \$1.40 for every \$1.00 spent in law enforcement and juvenile justice resources¹. Other similar examples of the cost-effectiveness of investment in Prevention from across the nation are highlighted below.

*The **Federal Job Corps Program** helps at-risk youth overcome barriers to employment. A study found that every dollar invested in Job Corps returned **\$1.46 to society** through decreased income maintenance payments, reductions in costs of incarceration and taxes paid by former Job Corps students.*

***Youth Education And Employment Program** helps youth build confident, self-reliant lives through a flexible, comprehensive program of education, life/pre-employment skills training, job placement, and counseling. The program has placed **75% of its participants in unsubsidized employment**.*

***Straight Talk About Risks** comprehensive school program is designed to prevent gunshot injuries and deaths among children and teens by teaching students the protective skills needed to avoid threatening situations involving firearms. In the Dade County (Florida) Public Schools program, there was a **30% decrease in gun injuries** and deaths among school-aged youth as a result of this program.*

*Through education, awareness, mediation and police involvement, the **Youth Gang Unit School Safety Program** in Ohio attempts to help youth steer away from gang activity and other violent activities. According to police reports, the program's proactive efforts contributed to a **39% reduction in school gang-related incidents** in the 1992-93 school year.*

*The mission of the **Gang Prevention/Intervention Coalition** in Washington, D.C. is to reduce the rate of youth violence by providing positive opportunities for youth in several community centers. Through education and information, prevention and intervention activities, and mentor guidance, **youth violence has decreased by 80%** over three years in the six neighborhoods where the Coalition operates.*

*A Columbia University study found that public housing projects containing **Boys and Girls Clubs** have crime rates 13% lower than projects without them. **Prevalence of drug activity is 22% lower** and crack cocaine presence is 25% lower in projects with a Club.*

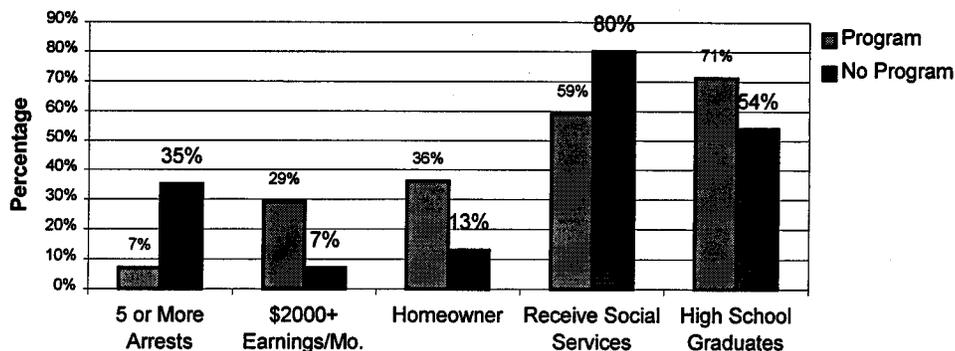
*Aimed at high-risk youth, the Massachusetts **Prevention Club** acts as a physical sanctuary from the streets and serving as an extended family providing positive role models on a daily basis. Researchers from Rutgers University tracked youths in the program and found a reduced rate of school dropout and a decreased number of arrests. When the police were brought in to serve as mentors to the youth, **crime declined in the target area by over 20%**.*

***Public Housing** residents in Ohio responded to a crime epidemic by launching late night and weekend supervised recreation activities. In the Winton Hills program's first thirteen weeks, reported **crime dropped by 24%**.*

***Project Head Start**, a well known Prevention program, is designed to help children of low income families. It focuses on the development of the child's intellect, fosters emotional and social development, provides health and nutritional services, and involves parents and the community in these efforts. An evaluation of 1,500 Head Start programs found improvement in school performance, increases in self-esteem and motivation, lowered school absenteeism, and improvement in the child's health and nutrition.*

*The Michigan High/Scope Perry Preschool program is based on the Head Start model. According to the latest findings of the High/Scope Educational Research Foundation, adults who were born into poverty and attended a high-quality, active learning preschool program at ages three and four have half as many criminal arrests, higher earnings and property wealth, and greater commitment to marriage. Over the participants' lifetimes, **the public receives an estimated \$7.16 return for every dollar**. Currently, Project Head Start reaches only 35% of eligible children. The chart on the following page illustrates the different outcomes for persons involved in this program.*

**High/Scope Perry Preschool Study: Major Findings at Age 27
Project Head Start**



While we could find no comparable information to measure the impact of Prevention programs in Arizona, it is our strong belief that development of and provision of adequate and consistent funding for Prevention programs can lead to direct cost savings for the juvenile justice system, and even the broader criminal justice system, in Arizona. The most expensive way to deal with children and violence is to wait for children to become criminals. Instead of spending between \$34,000 and \$64,000 per year per juvenile to put them in Secure Care in a State Institution, Arizona should focus funding and efforts on keeping children from committing delinquent acts in the first place.

Funding for Prevention programs in Arizona comes from a wide variety of sources including:

- Federal block and incentive grants;
- Allocated funds from the Governor's Division for Children (GDFC);
- Juvenile Crime Reduction Fund (JCRF) monies through the Administrative Offices of the Court (AOC);
- Tobacco Tax Funds;
- Juvenile Accountability Block Grants;
- State appropriations and federal matching funds from various state and local agencies;
- County funds;
- City funds; and
- Donations from non-profit agencies, foundations and businesses.

The accurate level of statewide investment in Prevention is hard to quantify because of the number of unknown actual and volunteer resources invested at all levels of government and the community. When considering the risk factors for children described previously, it becomes apparent that Prevention efforts can be far-reaching, ranging from efforts to prevent child abuse, neglect and teen pregnancy, to campaigns against alcohol, drug and tobacco use, to programs designed to keep kids in school.

This report does not attempt to quantify the total dollars spent on these services for children and their families. However, **Exhibit 4-1** below provides examples of approximate spending or funding levels provided for in Arizona for certain publicly funded Prevention efforts².

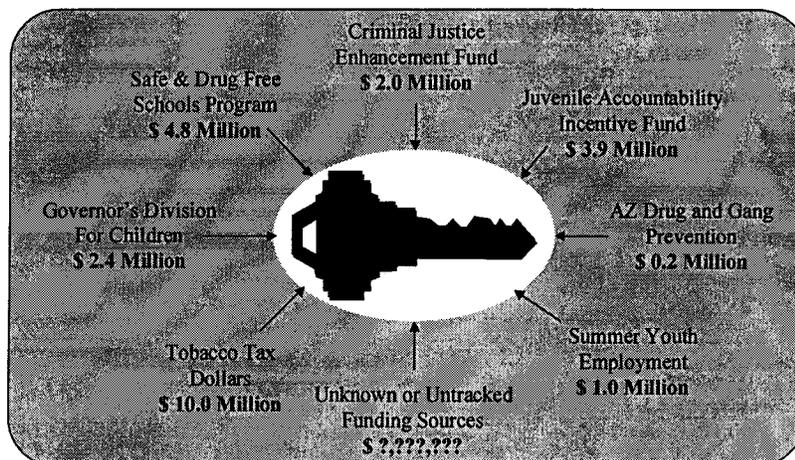


Exhibit 4-1

In summary, for those programs where information was available, the total public financing expended on Prevention in Arizona in fiscal year 1997 was approximately \$24.3 million. We believe this figure is actually higher but not determinable due to a lack of overall tracking and coordination. National averages of Prevention funding from other states were not available for comparative purposes. While several national studies have been attempted, for some of the same reasons funding levels could not always be obtained in Arizona, none have been able to accommodate the variances in the many state and local systems in the country to provide meaningful and comparable data.

The most important information to be taken from a general discussion of funding of Prevention programs is the effect these dollars have on the broad-based goal of deterring juvenile delinquency. Beyond the fact that deterring juvenile crime will reduce the costs to the criminal justice system, public monies tend to have a "multiplier effect", as the public dollars, if properly utilized, tend to stimulate increased community effort and investment. Through community partnerships and volunteerism that can evolve from publicly funded programs, the actual public dollars spent often become just a small part of the overall community investment. Efforts involving community and business volunteers, in conjunction with families, can have a profound impact on children's lives.

A wonderful example of this occurring in Arizona is the use of Juvenile Crime Reduction Fund monies to “jump start” community involved Prevention programs. This Prevention program is highlighted below as a Best Practice, **ABP - 1**.

ABP - 1**Juvenile Crime Reduction Fund (JCRF)**

The Juvenile Crime Reduction Fund, overseen by the Administrative Office of the Courts (AOC), was established in 1984 to assist existing Prevention efforts and programs and to help establish new Prevention programs in the state of Arizona. This fund provides “seed money” to get these programs out of the planning phase and into the communities. The JCRF receives its funding from the Criminal Justice Enhancement Fund (CJEF), as outlined in Arizona Revised Statutes (A.R.S.) 41-2401(d)5, entitling the JCRF to 9.35% of the total CJEF fund for the fiscal year. CJEF receives its funding through fines, forfeitures and other collected court-related fees pursuant to A.R.S. 12-116.01. JCRF shares this pool of funding dollars with fifteen other entities.

Applications for JCRF funding are sent out each year to measure the progress of continuing Prevention programs and to determine the programs’ grant funding for the following fiscal year. Continuing programs are evaluated based on their budgetary and program goals for the upcoming year, and how they performed against their budgetary and program goals from the previous year. A team of JCRF Specialists reviews the completed applications and then determines the level of funding for the upcoming year. The Prevention programs requesting JCRF funding are actively involved in this process and have the opportunity to receive assistance from AOC in adjusting their programs to meet the requirements or standards of the JCRF Review Committee.

All programs that receive JCRF funding must submit mid-year progress reports to measure progress in reaching goals previously established in their application for JCRF funding. These progress reports are reviewed and assessed by the JCRF Review Committee to determine if the program is meeting its target in terms of juveniles served and budget expended. While these progress reports help in determining the advancement and growth of the funded Prevention programs, they do not measure the outcomes for juveniles served by these programs. Programs must perform outcome measures independently if they hope to determine the outcomes of their services.

New programs may apply for JCRF funding by submitting an application including their proposed budget, program and staffing plans and details about the target population and needs the program intends to -fill.

Collectively, the reviewed and approved applications for funding grants developed by the JCRF funding reviewers form the overall JCRF funding packet which outlines how the total JCRF funding should be apportioned for the year. This packet is reviewed and approved by the AOC/Juvenile Justice Services Division (JJSD) Director and the Chief Justice.

ABP – 1 (Continued)

For new Prevention programs approved for JCRF funding, the award is typically offered as a three-year declining grant. During the JCRF funding period, providers are encouraged to locate and assisted in obtaining other permanent funding sources for long-term success. Examples of Prevention programs currently receiving JCRF funding in the state of Arizona are illustrated in the table below.

JCRF Funded Programs in Arizona	
<ul style="list-style-type: none"> • <i>Accept the Challenge</i> in Maricopa County • <i>Act NOW Truancy Program</i> in Pima County • <i>Alternative to Suspension</i> in Pima County • <i>Big Brothers & Big Sisters</i> in Navajo County • <i>Center for Juvenile Alternatives</i> in Yavapai County • <i>Creative Alternatives for Youth</i> in Maricopa County • <i>Desert Venture 1998</i> in Pima County • <i>Family-Based Alternatives/Shelter</i> in Coconino County • <i>Gang Mediation Project</i> in Pinal County 	<ul style="list-style-type: none"> • <i>KIDS LAW</i> in Pima County • <i>Law for Kids Website</i> in Arizona • <i>Maximizing My Potential</i> in Maricopa County • <i>Phoenix Violence Prevention Initiative</i> in Maricopa County • <i>Project LEARN</i> in Arizona • <i>Project Health Choices</i> in Pima County • <i>Project SOAR</i> in Maricopa County • <i>Project SOAR</i> in Pima County • <i>Summer P.A.Y.</i> in Maricopa County • <i>Youth & Family Resource Project</i> in Arizona

Current Programs and Strategies in Arizona

Prevention programs in Arizona come in many shapes and sizes and may include one or many of the following components:

- Classes;
- Sports and recreation;
- Youth employment;
- Conflict intervention and resolution;
- Youth clubs;
- Mentoring;
- Advertising campaigns; and
- Parental support groups.

There are a wide variety of Prevention programs at work in Arizona. Each of the fifteen counties in Arizona has promising Prevention programs, created to serve diverse populations throughout the state. These programs seek to reduce juvenile criminal

involvement by actively engaging youths in activities that work directly or indirectly to build positive social skills and create awareness of the consequences of delinquent behavior.

Exhibit 4-2 below provides a representative sample of Prevention programs overseen by County Probation Departments. These programs are made available to children throughout the rural and urban areas of Arizona. Although these programs individually contribute to delinquency prevention in the counties in which they exist, little measurable outcome data was available for their level of success.

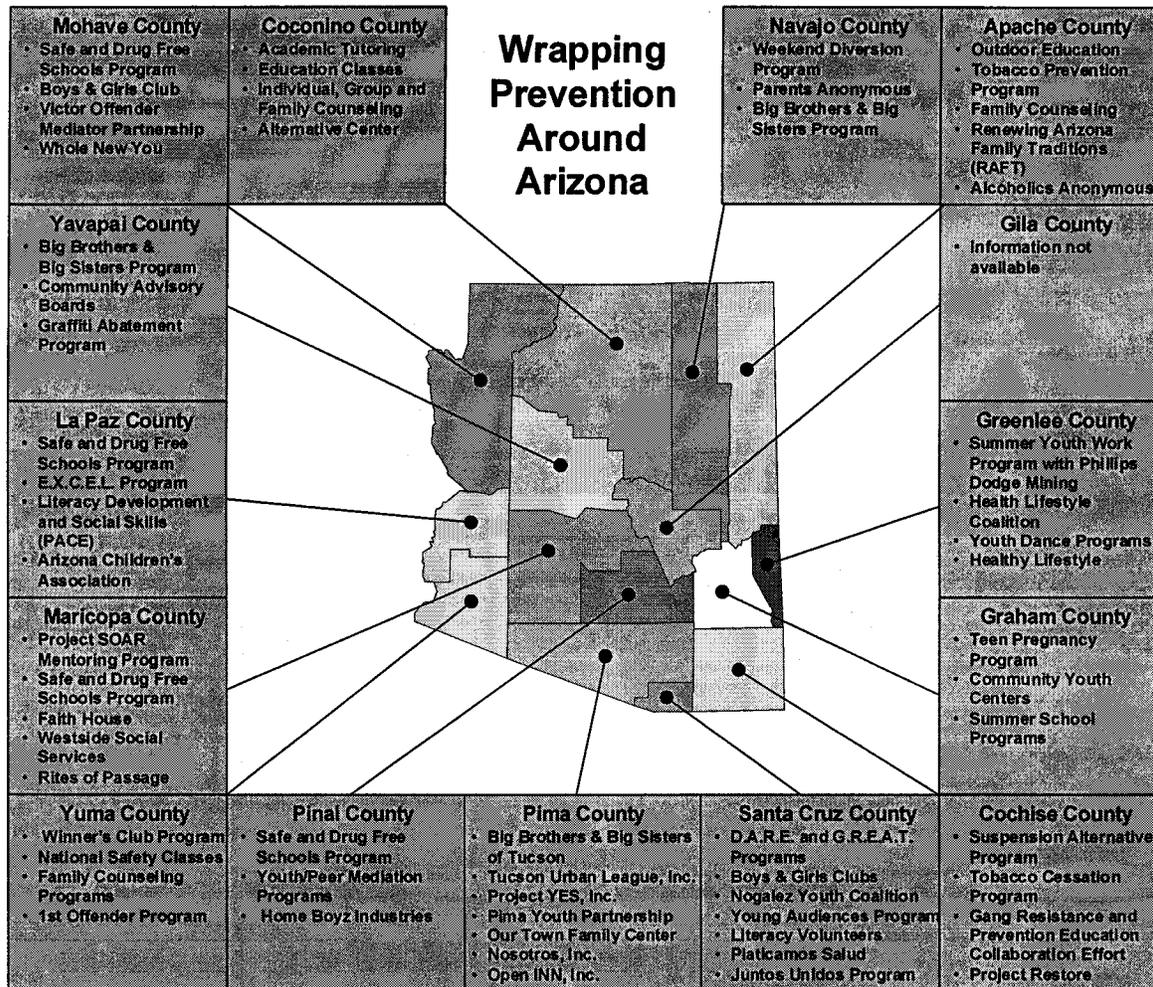


Exhibit 4-2

In addition to the efforts of the counties' efforts, the Governor's Division for Children (GDFC), in partnership with the Arizona Juvenile Justice Commission (AJJC), offers a wide variety of services for Arizona's children. In fact, the "mission of the GDFC is to promote and advance the strength and well-being of Arizona's children and families." The goal of GDFC is to provide a single strong voice for children from within the executive branch of state government. The GDFC is also charged with serving as the interagency coordinator for all children, youth and family programs within the state."⁴

The Arizona Juvenile Justice Commission (AJJC) is a State Advisory Group, recently re-established by the Governor. It is tasked with the following juvenile justice system responsibilities:

- Participate in the development of the State Plan (for federal funding);
- Advise the Governor and the Legislature on juvenile justice issues;
- Review and comment on grant proposals; and
- Monitor programs.

The AJJC has a membership of between 15 and 34 members with the following characteristics:

- Twenty percent of the members must be under age 24;
- Three members who have been or shall currently be under the jurisdiction of the juvenile justice system; and
- A majority of the members shall not be full-time government employees (including the Chairperson).

The GDFC and AJJC currently collaborate to sponsor and fund Prevention programs (and other services) across the state including:

- Before and after school programs;
- Summer youth programs;
- Youth leadership programs and projects;
- Coordinated statewide planning for children and families;
- Technical assistance, training and workshops; and
- Early childhood programs.

Programs and partnerships are facilitated by these entities through Title II and Title V Federal grants. The two tables on the following page include examples of these programs and partnerships.

1997 Title II Funded Prevention Programs and Partnerships	
<ul style="list-style-type: none"> • Town of Queen Creek-Recreational Programs • Community Excellence Project-Multicultural Effectiveness Training (MET) • Open-Inn, Inc.-Crisis / Shelter Services • St. Anthony of Padua Catholic Church • White Mountain Apache Tribe • Kyrene School District-Summer Academy • Phoenix Indian Center-Osborn Middle School Learning Circle Project • City of Tucson, Parks and Recreation • Big Brothers & Big Sisters of Yuma-Project Developing Educational & Vocational Opportunities to Excel (DEVOTE) • Big Brothers & Big Sisters of Northeastern Arizona 	<ul style="list-style-type: none"> • Tumbleweed Center for Youth Development-Royal Palm Outreach Project • Arizona's Children Association-Adolescent Resource Center • Lake Havasu Social Services • Parents Anonymous of Arizona, Inc. • Westwood Community Association • Westmarc-Truancy Prevention Partnership • Open-Inn, Inc.-Alternative Center for Family-Based Services • San Carlos Apache Tribe-Apache Youth Arts Program • Native American Community Health Center, Inc.-Adolescent Care and Cultural Enhancement (ACCE) Red Road Project • Salt River Pima-Maricopa Indian Community-The Young River Peoples Youth Council

1998 Title V Funded Prevention Programs and Partnership Support	
<ul style="list-style-type: none"> • Pima County of Governments – Center for Juvenile Alternatives • Town of Queen Creek-Sports Programs/Youth Employment/Self Esteem Program • Mohave County Attorney's Office-Boys and Girls Clubs of the Colorado River-Comprehensive Teen Program • City of Tempe-Intensive Parent and Families Support Services • City of Casa Grande-Plans for a branch of the Boys & Girls Club 	<ul style="list-style-type: none"> • Pinal County Parks, Recreation & Fairgrounds • City of Scottsdale in partnership with New Foundation, LINKS and Scottsdale Police Department • Pima County Attorney's Office-Truancy Intervention Program Support • Yuma County Juvenile Court in partnership with the Yuma County Library, Arizona Children's Home Association, and the Boys and Girls Club of Yuma

Beginning in August, 1998, the GDFC and AJJS began the process of more effectively coordinating programs by soliciting services that cross four different funding sources, including those described above. The intent of this approach is to help communities develop coordinated and comprehensive programs without the barriers of individual funding source limitations and focus. We believe this is an excellent step in encouraging coordination and collaboration at the community level.

As illustrated above there are a number programs at work in Arizona striving to minimize the occurrences of juvenile crime. A detailed description of these programs may be obtained by contacting the individual counties' juvenile court personnel who oversee these programs, or the Governor's Division for Children.

Strong community involvement in the Prevention effort is of critical importance to the success of Prevention programs in Arizona. Communities that come together and involve all components, such as families, businesses, faith-based organizations, schools, and non-profit organizations, in a coordinated effort have dramatically improved chances of success. As emphasized by the Office of Juvenile Justice and Delinquency Prevention (OJJDP), "Effective strategies include comprehensive approaches that provide opportunities for education, mentoring, conflict resolution training, and safety; engage youth and their families; and are community-based and integrated".⁵ A recent report on the coordination of the Prevention effort in Allegheny County, Pennsylvania found that:

For the past 4 years, the OJJDP has been promoting a comprehensive strategy as the best way to respond to juvenile violence in communities throughout the United States. In 1994, Allegheny County, Pennsylvania, took steps to replace the community's fragmented response to juvenile violence with a collaborative and coordinated approach.

The Allegheny County comprehensive anti-violence mobilization effort involves the law enforcement community, public and private agencies, grassroots organizations, and individual citizens. It recognizes that juvenile crime is a societal problem that can be solved only with the cooperation of the entire community.

The county is already seeing positive results from this coordinated approach. From 1994 to 1995, the overall number of juveniles arrested and the number arrested for violent crime declined in Allegheny County – declines that exceeded those recorded statewide.⁷

Allegheny County has experienced success in preventing juvenile delinquency by coordinating its efforts with all components of the community to produce a comprehensive and well-organized approach to Prevention.

While many programs in Arizona are successful in involving community partnerships, some noteworthy examples of programs that effectively involve community partnerships are highlighted below as Arizona Best Practices, **ABP - 2**, **ABP - 3** and **ABP - 4**.

ABP - 2

Safe and Drug-Free Schools (Safe Schools) Program

The Safe Schools Program has been designed to bring probation and/or law enforcement officers to school campuses. The program exists at some level in most of the counties across the state. The program serves a significant role in Prevention by teaching youth about the law and by allowing the officers to interact directly with the youths. The Arizona Department of Education (ADE) produces an annual report for the Legislature on the effectiveness of the Safe Schools program, focusing their measurements on such areas as:

- Law-related education on campus;
- Number of reportable incidents occurring on campus; and
- Feelings of safety on campus.

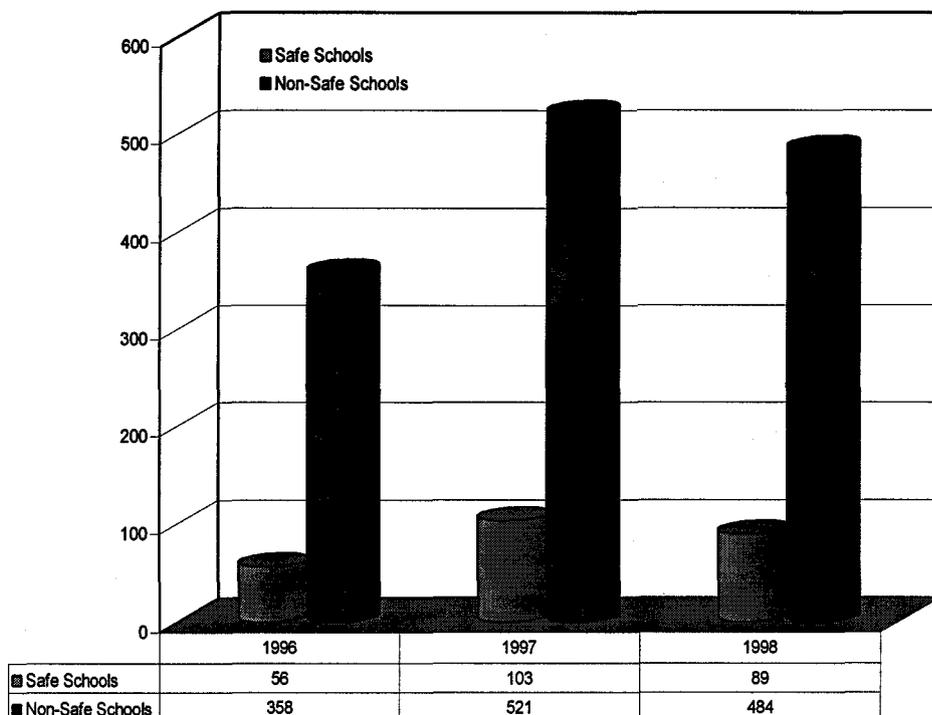
Like all programs, the Safe Schools program is not free from flaws. Overall, this program is showing positive results in Arizona. Results from ADE's annual report

ABP – 2 (Continued)

show that progress is being made in preventing certain incidents on Safe Schools campuses.

The graph in *Exhibit 4-3* depicts the numbers of school staff attacked or injured by students. As the graph shows, there is a far greater level of incidents involving violence against staff by students at schools without a Safe Schools program. According to Senior Probation Managers across the state, communities appear to

School Staff Attacked or Injured by Students



Source: Arizona Department of Education Annual Report

Exhibit 4-3

come together where a Safe Schools program is in place. While we believe this statement is true, our attempts to gather information from the counties were unsuccessful. Furthermore, Arizona Department of Education’s Annual Report provides only statistics without related outcome measures or conclusions. A more detailed study of this program should be conducted to measure the statewide outcomes of the Safe Schools program to validate, or invalidate, speculations from stakeholders involved in the program. These speculations include:

- Higher number of referrals in schools where a Police Officer instead of a Probation Officer is present in the Safe School.
- Community involvement in Prevention is greater where a Safe Schools program exists in the local school.

ABP – 2 (Continued)

- Improved lines of communication exist between the county’s Juvenile Court and Safe Schools where a Probation Officer is in the Safe School program.

Clear understanding between communities, schools and enforcement officers is paramount to achieving the desired outcomes of the Safe Schools programs. Ultimately, communication is the key to Safe Schools programs success. Ongoing adjustments in the delivery of this program, based on effective use of outcome information, will help it to achieve the desired outcomes.

ABP - 3**Phoenix Violence Prevention Initiative**

Faced with rising violent activity in Phoenix, the Phoenix Violence Prevention Strategy was developed to reduce violent crime. The Phoenix Violence Prevention Initiatives include a set of thirteen initiatives developed by a volunteer task force of leaders from the public and private sectors in the greater Phoenix area.

Over 300 individuals participated in developing the thirteen initiatives that form the focus for these Prevention efforts in Phoenix. The task force was divided into five separate workgroups that concentrated on specific areas of child development. These focus areas were as follows:

Prenatal and early childhood;
Individual youth;
Schools;
Families; and
Neighborhoods and communities.

Each group was assigned the task of identifying problem areas and reaching consensus as to possible solutions for youth violence in the group’s particular focus area.

A replication of the document outlining the thirteen initiatives developed by the task force is presented in the following table.

Overview of The 13 Phoenix Violence Prevention Initiatives Grouped into Five Major Themes	
1	<p>Fill “gap periods” in school-age children’s supervision and activity by:</p> <ul style="list-style-type: none"> ❖ Providing for greater variety, numbers, and access to after-school, weekend, and summer activities. ❖ Expanding the scope of existing effective youth job programs.
2	<p>Strengthen your support systems by:</p> <ul style="list-style-type: none"> ❖ Increasing numbers and training for mentors. ❖ Providing for more school-based case management which promotes interdisciplinary teams to work with youth and their families to gain access to services and monitor their progress. ❖ Promoting changes in school policies which currently deter the development of alternative schools for students who are expelled or drop out and the placement of students in such facilities.
3	<p>Strengthen parental support systems by:</p> <ul style="list-style-type: none"> ❖ Adding services at existing community resources centers to provide parent training and case managers to help families gain access to an array of services. ❖ Developing a strong media campaign to raise awareness about the importance of early childhood development, the prevalence and consequences of domestic and child abuse, and the services that are available to help.
4	<p>Guarantee “Right-Start” services to all Phoenix preschool children by:</p> <ul style="list-style-type: none"> ❖ Expanding Prevention and early intervention services to all at-risk families, providing prenatal care to all pregnant women and health care coverage to all children ❖ Expanding access to high quality and comprehensive early childhood programs and childcare. ❖ Developing long-term funding solutions to early childhood and families issues
5	<p>Strengthen neighborhood’s assets and “Protective Factors” by:</p> <ul style="list-style-type: none"> ❖ Making Phoenix neighborhoods less hospitable to crime by upgrading infrastructure, providing needed community development resources, and expanding community policing resources. ❖ Adopting city-wide policies addressing density, zoning, and code enforcement, and blight elimination so as to prevent and mitigate criminal Activity. ❖ Offering more technical assistance and resources to stimulate participation of residents in neighborhood self-help activities.
Source: Phoenix Violence Prevention Initiative	

ABP - 4***Project SOAR (Student Opportunity for Academic Renewal) Program***

Project SOAR is a mentoring program that matches college students with kids in elementary, middle and high school, who are at risk of dropping out, engaging in delinquent behavior, or who have become teen parents. Mentors are paired with youths of similar gender or race and provide an average of five to ten hours per week of one-on-one mentoring including tutoring, getting to know the youth’s family and living environment or simply spending time with the youth in social settings. Mentors receive wages for the first five hours of mentoring that they provide each week, but often spend more time than this working with the kids.

ABP – 4 (Continued)

Project SOAR was initiated in 1993 in cooperation with the Tucson Unified School District and the University of Arizona College of Education in a single middle school that partnered 15 students with college student mentors. Three hundred students and teen parents now receive mentoring support from college students in the program. The program has been very successful and a recent independent evaluation conducted by the Arizona Prevention Resource Center at Arizona State University in cooperation with Project SOAR found that students, mentors and parents agree the program has a positive outcome for the children that it serves. The results of this study are currently being reviewed by AOC and external validation of the information is ongoing.

Project SOAR has met with strong support from schools, businesses and the community. In 1996, The Coca-Cola Foundation chose Project SOAR as one of only four programs in the nation to receive \$300,000, over a three-year period, as part of the company's Keeping Kids in School initiative. In Chandler, the United Way, Intel Corporation and Motorola Corporation have actively supported the Project SOAR program. Each of these organizations has contributed greatly to the success of the Project SOAR program³.

Findings and Observations**Prevention is Not a Coordinated Effort Throughout the State of Arizona**

While a number of programs geared toward juvenile crime Prevention are in place throughout the state, we were unable to locate a coordinating agency or council that provides comprehensive information about the Prevention programs. Some efforts are coordinated through the GDFC; while others are overseen by the County Probation Offices; and still others take place independently in non-profit organizations, cities, businesses, schools and other community locations.

The current Prevention effort in Arizona is clearly disjointed. That is not to say that the Prevention effort it is ineffective or entirely inefficient, simply put, many Prevention activities exist in Arizona without much coordination in their efforts. There is no oversight entity that takes "ownership" of Prevention in Arizona. In other words, no entity takes responsibility for:

- Identifying what is working and what is not by use of performance and outcome measures;
- Sharing ideas of what is working with families, communities and other volunteers so they do not have to "recreate the wheel";
- Identifying areas of unmet need in a comprehensive manner;

- Educating other programs about activity at the community level so they can utilize or leverage these resources, as needed, to help their programs be more successful or to help the overall Prevention effort be more successful; and
- Identifying areas of duplication of effort and program coverage.

Without a coordinating entity to lead the charge, cohesion within the system is unlikely.

Most Prevention Efforts Focus On Children and Not Their Families or the Family Environment

Most Prevention programs in Arizona are designed to engage the child in activities that keep them from falling into delinquency either through education, recreational activities, or other forms of involvement. Arizona's Prevention programs work well to occupy children in meaningful activities, but fall short in actively engaging the children's families in the Prevention process. Prevention efforts only have marginal success when they do not work to actively engage families in the process and ownership of helping the child avoid the pitfalls of delinquency. According to the OJJDP National Juvenile Justice Action Plan Summary, "To successfully reduce youth violence, prevention strategies must engage the entire spectrum of individuals and community systems impacting a young person's life, including families, schools, peers, and other adults in the community."

Prevention Funding at Various Levels is Not Coordinated

Funding for Prevention programs in Arizona occurs at many levels of government. Additional resources are made available through non-profit organizations and foundations and for-profit businesses. Other than limited funds provided through specific sources previously described in the report, there is no overall coordination of these dollars to ensure that they are used in a cost effective manner, reach appropriate populations, and do not finance duplicative programs.

In addition, there is some confusion as to the mission of many Prevention programs, resulting in either fragmentation or overlapping of funding. An example of this is programs that receive JCRF and GDFC funding for the same services. Another example we identified is incidences where JCRF has funded the same shelter beds in a shelter facility that DES funds³. Greater oversight must be placed over program funding to ensure that programs receive only the funds that are appropriate for their programs and that duplication of funding does not occur.

Prevention Services Often Ignore The Fact That Many Juveniles Exhibit Multiple Problems

Serious youth delinquency or youth violence is most likely to occur when multiple risk factors are present¹. For this reason, a comprehensive approach to juvenile crime and delinquency Prevention is the most effective method for reaching such juveniles and achieving true Prevention. Within Arizona's juvenile justice system, the interface of Prevention with other components of the Service Delivery Continuum is not well defined.

While Prevention should be the service that affords the most collaboration and cooperation among state agencies, we found little, and in certain cases, no evidence of collaboration and cooperation among these entities on Prevention. Every agency has a little money invested; every agency tends to do their own thing with their money. With a lack of communication and coordination between Prevention programs, law enforcement, the juvenile justice system, as well as social services, behavioral health and education, it is virtually impossible to effectively assess and meet a child's Prevention needs within the current system.

Prevention Program Successes Often Cannot Be Determined Due To a Lack of Information

The total number of children being served in Arizona's Prevention programs is unknown. There are a wide variety of community-based and school-based programs that involve many children. Most Prevention programs do not keep track of the program participants, nor do they effectively track or share demographic or participation information about children and families served. The lack of participant information makes it impossible to follow children through adolescence to determine whether the programs have met their goals, one such goal being to keep these children from entering the juvenile justice system or other state systems.

If public financing is used, identifying children and families served should be required of all providers in an effort to determine the current status of the Prevention effort in Arizona.

Useful information in assessing the child's Prevention needs developed by these programs and the services provided by the Prevention provider should also be tracked and provided to the state for use if the child or family receives services at some date in the future from state agencies. At this time, we found no evidence of this type of shared information.

Furthermore, the lack of basic Prevention service information being collected for the children and families that these programs engage leaves no empirical means for outcome or performance measures. Arizona will not be able to determine the true cost savings of Prevention if this information is not collected. Therefore, public investment will always remain at the back of the system where you have juveniles who have already chosen a life of crime.

Recommendations

Many promising Prevention programs currently exist in Arizona. The Safe Schools program has been nationally recognized to be a very successful program in bringing law enforcement and Probation representatives into kids' lives, and fostering a climate of respect and reverence for the law. The Safe Schools program has also worked to increase the level of supervision and awareness of delinquent and criminal behavior warning signs of youth on the Safe Schools campuses. The program has worked to provide support and, if necessary, referrals for high risk factor juveniles. Project SOAR also has met with significant success in Arizona and has grown significantly since its inception in 1993. Two key elements and successes of this program are the financial and physical involvement of businesses in the program's community. These partnerships are results of the program's success in keeping juveniles involved in school, and away from a life of crime or delinquency. However, there are a number of identified areas that can make the overall investment in Prevention more cost-effective as can be seen in positive, demonstrable outcomes. Recommendations that will help Arizona achieve this goal in the area of Prevention follow.

Focus Prevention Efforts on Children, Their Families and Their Environment

As noted above, many Prevention efforts focus their attention solely on the juvenile, while disregarding the larger issues that may lead to truancy, violence, drug use, or other crimes. These issues may include unstable family environments, negative peer groups, including gangs, or other influential environmental factors. These programs usually identify these factors and attempt to assist the youth in overcoming their negative effects. Truly effective Prevention programs must reach beyond the juvenile and actively engage the families in the education and ultimate Prevention process.

Community support must be extended to families to assist them in times of need, and to help reinforce positive character values in situations where negative values are likely to appear in the family. The family ultimately plays the greatest part in the Prevention process. No single player spends more time with developing juveniles than the family and it needs to be the primary focus of Prevention efforts. If juvenile delinquency and crime Prevention in Arizona are to be truly effective, they must involve the family as a unit and not the child or youth alone. This will increase the long term benefits of Prevention efforts by helping parents learn successful approaches to parenting their children who are at risk and may carry over to siblings in the family unit who may also become at-risk for delinquent behavior.

Prevention Must Become a Community Effort with a Centralized Oversight Organization to Coordinate Prevention Activities Statewide

Families and communities must drive the Prevention effort in Arizona for it to be truly successful. Recognizing the family as ultimately the best defense in the Prevention of delinquent behavior, the next best delivery system must be one that is close to the youth and can deliver services in a manner that works in the youth's environment. That means that the community, when the family is unwilling or unable, is the next best driver of Prevention and should take ownership of juvenile crime Prevention.

Arizona needs people throughout communities to step up to the task of identifying problem areas or gaps in juvenile crime Prevention, procure funding and set up programs to fill these Prevention area needs. Children should be included in the community Prevention since they are closest to the issues that lead to juvenile crime and delinquency. Their efforts and support in developing programs that address specific issues to their schools and environments should be encouraged and rewarded.

Schools must also recognize their significant role in the Prevention effort. Juveniles spend a significant amount of their day in school and schools have the greatest level of control and influence over juveniles during this time frame. Schools must step up to the challenge of reducing delinquency by recognizing the impact they can have on Prevention. Schools must be outspoken advocates in the war against juvenile crime and delinquency by wrapping their educational efforts around nurturing kids in the areas of positive social skills and developing positive consequences for delinquent behavior.

New school programs (during and after-school programs) must be designed to teach juveniles the fundamentals of good decision-making to empower them to make the right choices. Parents must be actively engaged by the schools to carry these educational efforts over into the family environment. Schools must also work to involve their communities in the Prevention effort. William DeJong, a lecturer at the Harvard School of Public Health reports, "The best school-based violence Prevention programs seek to do more than reach the individual child. They instead try to change the total school environment, to create a safe community that lives by a credo of nonviolence and multicultural appreciation."⁶

In addition to community involvement, Arizona must establish a centralized oversight organization to coordinate the Prevention effort and provide guidance and assistance to the communities. This coordinating entity could be composed of volunteers and paid staff, or may evolve from an existing structure, such as the Governor's Division for Children (GDFC) or the Arizona Juvenile Justice Commission (AJJC). In fact, these two entities are currently working together to provide more effective coordination of programs and funding in the area of Prevention programs. Furthermore, the AJJC membership and mission very closely relate to those we would envision for an effective coordinating entity.

Oversight of these programs must be provided in a leadership and guidance capacity and not burden community efforts with bureaucracy. The system should encourage sharing of information on successes and failures so that lessons can be learned the first time and identified pitfalls avoided in future program efforts.

The coordinating entity could also provide oversight and guidance in the development of comprehensive Prevention efforts. Successful Prevention programs must be comprehensive in nature and provide involvement over a sustained period of time. Programs that are comprehensive employ collective strategies with multiple areas of focus and have a sizable impact on delinquency Prevention, as compared to programs that address only a single risk factor.

Furthermore, the grant process must be streamlined to ensure that Prevention projects and programs receive enough grant funding to successfully operate. Sources of funding for

Prevention programs are diverse and offer varied levels of funding that may not be enough to cover the costs of the grantee's Prevention program. Currently, this limitation forces Prevention programs to struggle for adequate funding and expend valuable resources while looking for multiple sources of funding. If the grant process were streamlined to provide adequate pools of venture funding to the Prevention programs through the coordinating entity, funding for these programs could be secured with fewer limitations or interruptions of services. In addition, an information warehouse of Prevention funding data should be established and maintained for agency access across the entire state of Arizona. This data source could be developed and maintained by the oversight entity.

This information warehouse could be part of a much-needed larger juvenile justice information warehouse in the state of Arizona. The information warehouse concept is discussed further in Section 8 of this report. Knowledge of the available funding options will aid in the development of new programs and assist existing programs in identifying and securing additional funding to grow their efforts.

Develop Positive, Meaningful Outcome Measures to Assess the Value of Prevention Programs

In addition to improved program funding oversight, the development of evaluation processes for all programs funded by the state is necessary in order to measure goals and effectiveness of programs. Prevention program evaluation has historically been a near impossible task, but with improved emphasis on tracking, measurements may be obtained for juveniles who participate in Prevention programs yet enter Arizona's juvenile justice system.

The key to successfully measuring these programs lies in good record keeping for those juveniles who participate in the Prevention programs. Simply tracking . . .

- The location; where and when Prevention services were provided;
- Who provided the services;
- Which services were provided to the youth and to the family; and
- The youth's name and Social Security Number.

. . . would allow a basic cross-analysis with systems such as the JOLTS (operated by AOC) or YouthBase (operated by ADJC) data systems. The results of these analyses would allow policy makers to determine the effectiveness of Prevention programs by looking at such factors as entry into the juvenile justice system and the nature of offenses committed.

By evaluating the success or lack of success for certain Prevention programs, policy makers would be able to make better-informed decisions about additional program-specific funding, consider program replication in the state, or candidates for reduced or eliminated funding.

Conclusion

Effective and coordinated Prevention programs in Arizona can produce substantial cost savings in treatment provided to children on the path of delinquency. Imagine that Arizona could reduce the number of juveniles that become known to the system by one-third through effective Prevention efforts. The Arizona juvenile justice system is spending at least \$132 million annually for comprehensive services for children, such as Diversion, Probation, Secure Care and Conditional Liberty. A one-third reduction in back-end services could equate to an annual cost reduction of almost \$44 million. Applying national statistics to cost savings from Prevention, with a potential corresponding increase to Prevention funding in Arizona of approximately \$31 million annually, the annual net savings to taxpayers could exceed \$14 million.

However, the true value of an investment in Prevention programs is the impact on Arizona's youth and their families and communities. Investment now will produce healthier, engaged and contributing youth in the future.

When youth cannot be steered away from the path of juvenile delinquency through family and community involvement and participation in Prevention programs, they will likely become part of the juvenile justice system. The remaining sections of this report will address the available consequences to youth as they become known to the Arizona system.

These services range from Intervention to Secure Care to Post-Secure Care services, depending on the number and severity of offenses committed by the youth. Intervention consequences, which are intended to curb a juvenile's delinquency before more severe consequences must be imposed, are discussed in the following section, entitled Intervention.

¹ Combating Violent Delinquency: The National Juvenile Justice Action Plan, U.S. Department of Justice, Coordinating Council on Juvenile Justice and Delinquency Prevention, March 1996.

² Sources: JLBC, Office of the Governor

³ Source: AOC, Juvenile Services Division

⁴ Governor's Division for Children

⁵ *Delinquency Prevention Works*. 1995 (May). Washington, D.C.: Office of Juvenile Justice and Delinquency Prevention, U.S. Department of Justice.

⁶ DeJong, W. 1994. "Creating a more peaceful world," *School Safety* (Fall 1994): p.8.

⁷ Heidi M. Hsia, Ph.D. "*Reducing Juvenile Crime, Mobilizing To Reduce Juvenile Crime*", Office of Juvenile Justice and Delinquency Prevention, Allegheny County, PA: June 1997.

⁸ James C. Howell, et al, *Serious, Violent, & Chronic Juvenile Offenders, A Sourcebook*, SAGE Publications, 1995.

Section 5

Intervention

Draft

Section 5 Intervention

Introduction

While the Prevention, discussed in **Section 4**, focuses on preventing delinquent behavior, Intervention addresses delinquent behavior after it occurs. Intervention includes a preventative focus, in that its goal is to reduce the future likelihood of additional delinquent behavior. This section provides an evaluation of the Intervention component of the Arizona juvenile justice continuum.

The overall goal of Intervention is to intervene with the youth and the youth's family to prevent further delinquent activity. Intervention is a significant component of the Arizona juvenile justice continuum as it is the "first door" the juvenile enters after arrest. As many of the Probation Officers and Judges indicated in our interviews, and as corroborated by national studies, this first encounter is critical in impacting the juvenile's future behaviors. As stated in **Section 3**, this first encounter has historically resulted in more than 60% of youth not being arrested for a delinquent act again. As the impact is significant, it is discussed in further detail below.

If a juvenile's first encounter does not deter future delinquent behavior, other activities and services are designed to prevent further delinquency by addressing the exhibited behavior and increasing consequences. The goal is helping the juvenile to become a productive citizen and to stay out of more restrictive placements, such as Adobe Mountain.

In this report, Intervention includes programs and services dealing with juveniles diverted from prosecution or juveniles adjudicated, but not committed to Secure Care in a State Institution. Intervention offers a progression of consequences from:

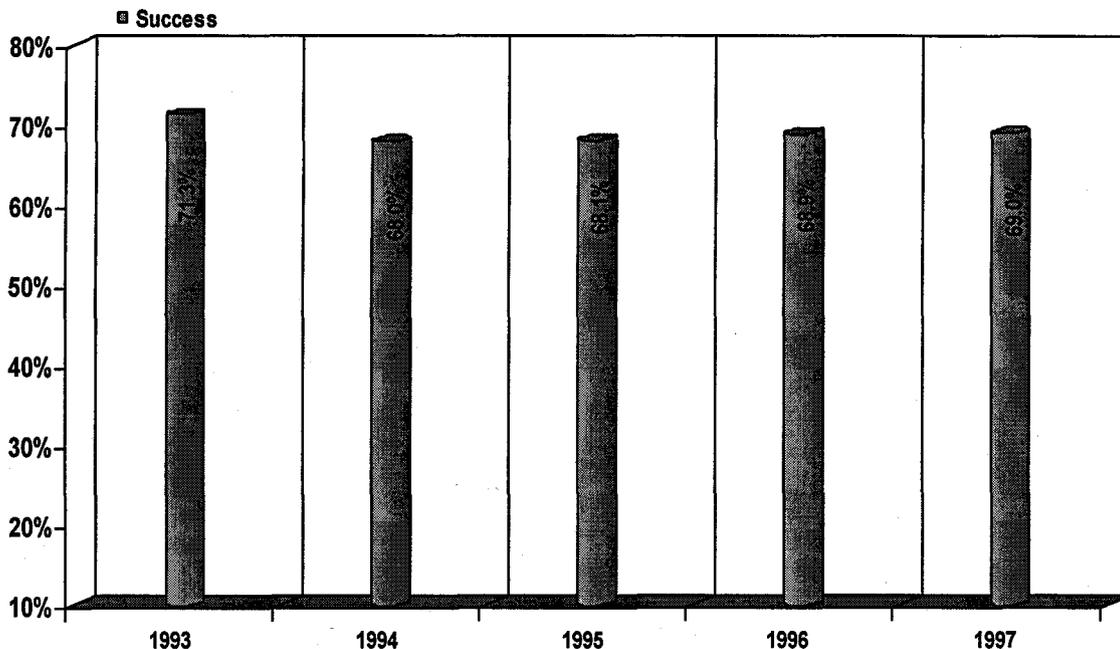
- Diversion, to
- Probation, to
- Consequences, including Treatment.

Probation Officers have the primary responsibility to supervise juveniles in this stage of the juvenile justice continuum. They develop a recommended plan for the juveniles, monitor the approved plan, track the juveniles progress to meeting their plan and in some cases, deliver or oversee programs that deliver, the consequences.

As stated above, an examination of the overall numbers of youth in the juvenile justice system reveals that Intervention has had a significant impact in Arizona. To put "significant impact" into perspective, it is important to note the percentage of youth that come in contact with the juvenile court system is minimal when compared to the eligible juvenile population. For example, in fiscal year 1997 only 9.7% (24,252 of 389,669) of the eligible juvenile population (ages 8 to 17) within Maricopa County were referred to the Juvenile Courts. Of those referred, approximately 70% of first-time offenders do not

re-offend within one year, leaving a smaller population pool of youth coming in contact with the system. This is not a one-year phenomenon as illustrated in *Exhibit 5-1* below. Note that the five-year trend has remained constant.

Exhibit 5-1



The bottom line, Intervention consistently redirects 7 of 10 first-time offenders, leaving the challenge of redirecting the remaining 30% of multiple offenders.

Exhibit 5-2 illustrates there is a significant drop in the number of youth progressing beyond Intervention.

Exhibit 5-2 Statewide Juvenile Justice Statistics for FY 1997

Category	FY 1997 Total	# of Prior Refs	%age (#)
Juveniles Referred	50,210	0	45.67% (22,931)
		1	17.39% (8,734)
		>= 8	8.84% (4,438)
Juveniles Petitioned	17,733	0	20.88% (3,702)
		1	14.16% (2,511)
		>=8	18.60% (3,299)
Standard Probation	8,989	0	10.68% (1,859)
		1	15.64% (1,406)
		>=8	10.12% (910)
Intensive Probation	2,408	0	3.95% (95)
		1	5.32% (128)
		>=8	41.20% (992)
Juvenile Corrections	1,419	0	2.68% (38)
		1	3.59% (51)
		>=8	58.99% (837)

Source: AOC/JJSD

While first- and second-time offenders represented 63% of all juvenile court referrals in fiscal year 1997, they accounted for only 6% of commitments to the Arizona Department of Juvenile Corrections (ADJC). These numbers also show chronic offenders (those with 8 or more prior referrals) represent only 8.8% of total referrals, but 59% of commitments to ADJC.

In summary, detainment and appearance before a judge alone can have a positive, lasting effect on a youth. However, some youth do continue in the system as a result of further delinquent behavior. The goal of Intervention is keeping that number shrinking throughout the process, eventually leaving only a very small number who may go on to being placed in a State Institution or being tried as an adult. This section identifies the key stakeholders, provided programs, Intervention-supporting operations, as well as discussion on how the system is designed to address this complex population.

The following subsections individually deal with major components of Intervention. A clear identification of the goals, services, costs and outcomes within each area, as well as recommendation of meaningful changes intended to maximize strengths and eliminate weaknesses of the Arizona juvenile justice system. This evaluation begins with Diversion.

Diversion

Introduction

Diversion is defined as the act of diverting or directing a youth away from prosecution. The goal of Diversion is directing youth away from formal court proceedings in a constructive manner by assigning a set of consequences that, if successfully completed, eliminate further court action. In Arizona, Diversion referrals come from:

- Police agencies,
- Schools, and
- Parents.

This section deals specifically with Diversion programs operated under the auspices of the County Probation Departments and the County Attorneys.

The passage of Senate Bill 1446 in 1997 changed the structure of Diversion in Arizona. This law gave the County Attorneys the sole discretion to decide whether to prosecute a juvenile or assign them to a Diversion program. Under this law, the County Attorney and the Juvenile Court may operate Diversion programs. Prior to this legislation, Diversion programs were operated under the Progressively Increasing Consequences Act (PIC-Act). While PIC-Act primarily dealt with first and second-time misdemeanor offenders, Diversion includes all youth diverted by the County Attorney. Meaning if a youth commits a non-divertable offense that would have been eligible under PIC-Act, they will not appear in the current Diversion statistics. In this report, we have presented results for fiscal year 1998 Diversion consequences and some programs. The cost information also includes an overview of fiscal year 1997 PIC-Act funds and a discussion of the current funding approach to Diversion.

Statutes resulting from Senate Bill 1446 further states that the County Attorney or the juvenile court, in cooperation with the County Attorney, may establish Community-Based Alternative Programs. Community-Based Alternative Programs are discussed later in this subsection.

Under provisions of Senate Bill 1446, the County Attorney was given the option of determining which offenses would be eligible for Diversion in their County. According to A.R.S. 8-230, a juvenile is not eligible for diversion if he or she is:

- Is a chronic felony offender as defined by A.R.S. 13-501,
- Is a violent felony offender or accused of committing a violation of A.R.S. 28-1381,
or
- Is accused of Driving Under the Influence or Aggravated Driving Under the Influence as defined by A.R.S. 28-1383.

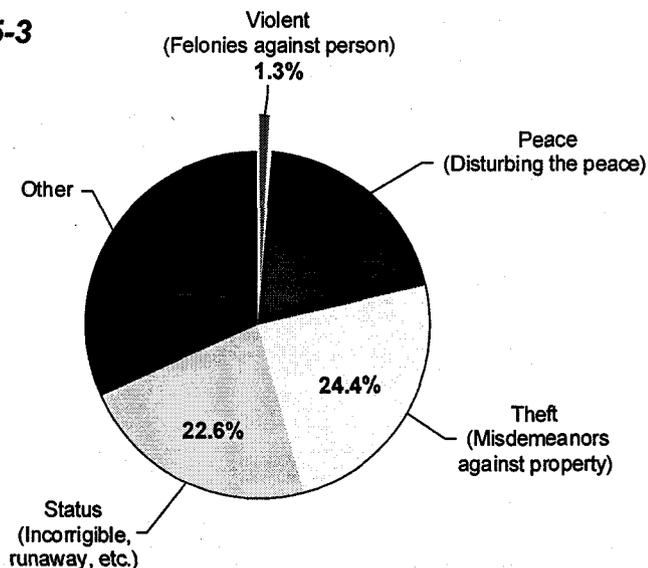
All other offenses are eligible for Diversion at the sole discretion of the County Attorney.

County Attorneys are also granted the authority to form and operate Diversion programs. During our site visits, we met with the County Attorney or their designee in 13 counties. We found none of the 13 County Attorneys are exercising their authority to run Diversion programs. The Chief Juvenile Probation Officers in the remaining two counties informed us of the same situation in their jurisdictions. County Attorneys stated they felt comfortable with the programs remaining with County Probation Department because of the departmental expertise and available resources. Instead of running Diversion programs, the County Attorneys opt to have juvenile courts develop and manage such programs.

Interviews with County Attorneys, Juvenile Court Judges and County Probation Departments indicated County Attorneys are taking a more active role in providing guidance regarding the Diversion programs. In our opinion, the impacts of Senate Bill 1446 have positively improved the area of coordination and collaboration within Diversion.

The pie chart in *Exhibit 5-3* shows the number of youth assigned to PIC-Act during fiscal year 1997. As can be seen the majority of offenses assigned were for low level misdemeanors or status offenses.

Exhibit 5-3



As can be seen above, over 66% of youth assigned to Diversion committed low level offenses and only 1.3% committed offenses considered violent (i.e., felonies against person). As a result of Senate Bill 1446, these violent offenses would not be allowed to be diverted. A review of preliminary results of youth served in Diversion programs in fiscal year 1998 revealed no appreciable change in the number of youth served in fiscal year 1997. A minor difference is the non-diversion of violent offenders.

Key Stakeholders in Diversion

Juveniles are assigned to Diversion for many different reasons. Accordingly, a number of key stakeholders are directly or indirectly involved in the funding, operations and delivery of Diversion services. These players include:

- *AOC/Juvenile Justice Services Division* provides base funding and technical support for Diversion programs. AOC is responsible for establishing policy guidelines for Diversion programs. To the extent that Diversion consequences include Treatment, AOC is responsible for contracting with Treatment providers and monitoring such contracts.
- *Law Enforcement* is often the first point of contact for youth that may enter Diversion programs.
- *County Attorneys* determine which offenses are eligible for Diversion and have the authority to establish and operate Diversion programs.
- *County Judges* through their leadership at the local level design diversion programs and conduct hearings on those youth that fail to complete their diversion consequences.
- *County Probation Departments* manage and implement juvenile Diversion programs in collaboration with County Attorneys.
- *Municipal Courts and Justices of the Peace* may be involved in Diversion when serving as juvenile hearing officers at the request of the Presiding Judge of the Juvenile Court. They divert status offenses and citations to locally run programs.
- *Communities* are involved in the diversion process through their participation in community justice boards and city diversion programs.
- As with all parts of the continuum, families play a significant role in the juvenile rehabilitation. *Families* directly participate in some diversion options, including parenting classes and family counseling. They also have a financial responsibility to pay fines, fees and restitution if they are assigned.

Diversion Programs

There are many consequences available for youth placed in Diversion. ARS 8-321 requires a juvenile who is going to participate in Diversion to acknowledge responsibility for their actions in order to be eligible. If guilt or innocence is at issue, the youth will proceed through the traditional court process.

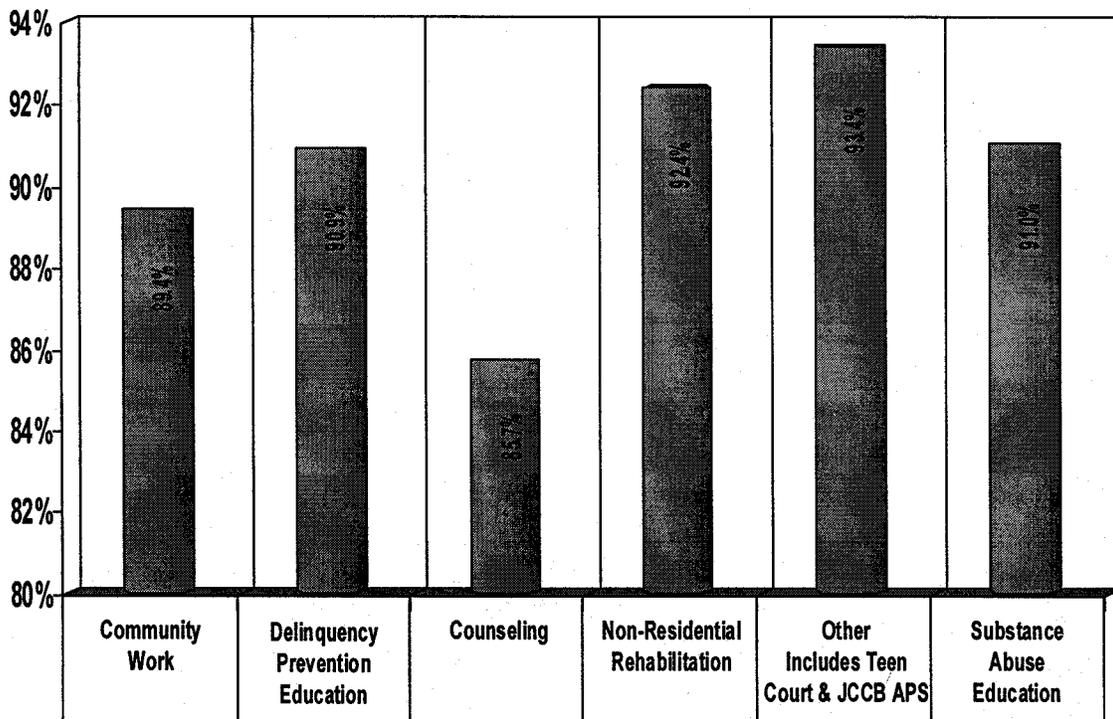
The statute also specifically outlines consequences available to the juvenile Probation Officer when dealing with a Diversion youth. The Probation Officer has the discretion to determine which conditions or consequences will be assigned to the youth and may also require the youth to complete one or many of the following options:

- Unpaid community service work,

- Counseling programs designed to strengthen family relationships and to prevent further juvenile delinquency,
- Education programs designed to prevent further juvenile delinquency,
- Education programs designed to deal with ancillary problems, such as alcohol or drug abuse,
- Non-residential rehabilitation programs or supervision offered by the court or court approved community agencies,
- Payment of restitution, and
- Payment of a monetary assessment.

County Probation Departments and Treatment providers, as well as non-paid community organizations such as the YMCA, Boys and Girls Clubs, schools and faith-based organizations deliver these services. In fiscal year 1998, over ???? youth were diverted in Arizona. [What is the number served? What are the demographics of those kids?]

Exhibit 5-4 below shows successful completion rates of various Diversion consequences in fiscal year 1998. The successful closures represent 100% successful completion and discretionary closures.



* Administrative Office of the Courts Juvenile Justice Services Division
Exhibit 5-4

Community-Based Alternative Programs

During site visits throughout the state we attempted to identify Community-Based Alternative Programs. Examples of such programs include:

Teen Courts,
Community justice boards (consequences determined by peers or neighbors), and
Victim mediation.

These “Community-Based Alternative Programs” (CBAPs) involve the youth’s peers and community in assigning consequences. The goal of these programs is stimulating the communities to take greater responsibility for the youth and to ensure that delivered consequences are “community appropriate.” The “community” may include peers and adults from the youth’s school and neighborhood.

The following descriptions give the reader a better understanding of the two most prevalent CBAPs found throughout the state.

Teen Court

Teen Court is a diversion program aimed at first- and second-time offenders, and is found in all counties but Apache. Cases are referred to the program by the county juvenile probation departments and the assigned youth must have admitted their guilt in order to participate. A teen jury determines appropriate consequences for the behavior. Program funding is provided by the County Juvenile Probation Department utilizing AOC dispersed funds.

Community Justice Committees

Similar to the Teen Court program, except it uses trained, volunteer community members to determine appropriate consequences. Panels are established by the County Juvenile Probation Departments and are utilized for first and second-time offenders.

CBAPs have certain operating requirements including:

- Voluntary juvenile participation,
- Voluntary victim participation,
- Program guarantee the victim, the juvenile’s parent(s) or guardian(s) and any other directly affected persons have the right to participate,
- Participants agreement to accept consequences imposed on the juvenile or the juvenile’s parent(s) or guardian(s), and
- Public access to meetings and records.

Other Diversion Programs

There are a number of other Diversion programs throughout the state. County Probation Departments, Treatment providers and community groups working with the Juvenile Courts to address specific needs within the counties, develop the programs. Examples of these programs include:

Behavior Specific Education Classes

Offered by County Probation Departments and providers, these classes are target specific behavioral issues. For example, a youth diverted for fighting may be assigned to an anger management class, and a youth diverted for possession of alcohol may attend a class on substance abuse awareness. The primary goal is redirecting the behavior that led to the original offense.

Individual or Family Counseling

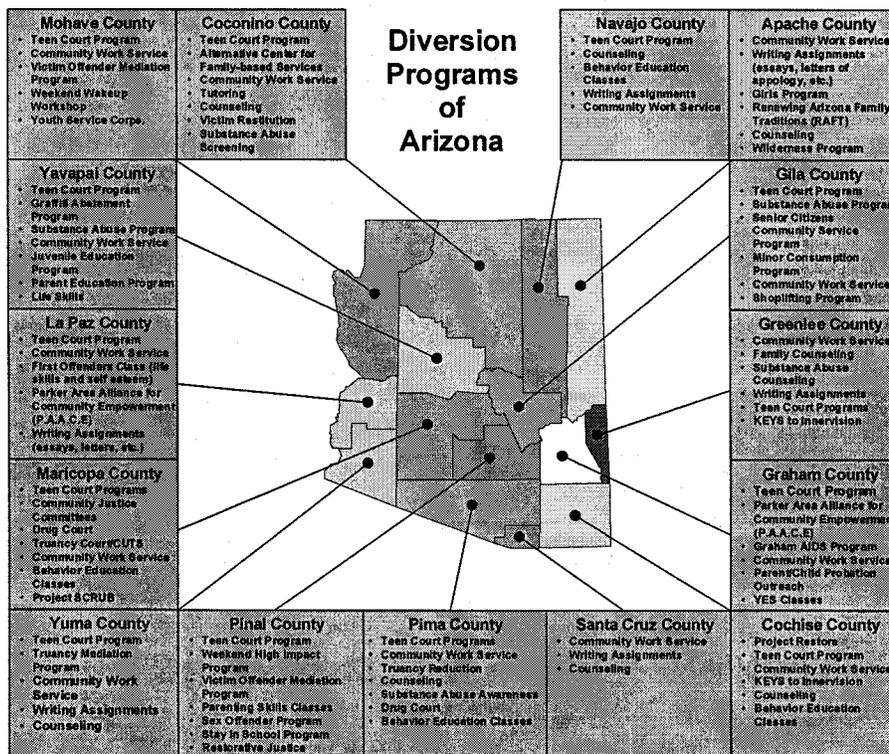
Diversion counseling addresses delinquent behavior and possible family issues. Treatment providers most often provide counseling of this nature.

Truancy Reduction Programs

These programs aim at reducing the number of truancy violations among youth who are at-risk for court referral. The programs also focus on root causes for truancy and attempt to correct the truant behavior.

The chart in *Exhibit 5-5* illustrates the variety of Diversion programs offered throughout

Exhibit 5-5



the state. It is not meant to be a comprehensive listing, but merely to show the various approaches offered by the County Probation Departments.

Funding and Costs

Diversion is state funded through the AOC and, in many cases, the County General Fund dollars. AOC funds the Diversion Consequences on a capitated basis based on a formula that takes into account each county's percentage of the overall diversion eligible population with assigned consequences. This formula is equitable in that it is based on actual usage of the diversion option, rather than on county population. The capitation amount is adjusted annually based on the available budget and the projected eligible referrals by county. For example, in fiscal year 1998 there were 22,972 referrals assigned Diversion consequences and the capitation payment was \$126. For fiscal year 1999, the projected number of eligible referrals is 24,443 with a capitation amount of \$160.40. The following chart illustrates the actual number of referrals assigned consequences during fiscal year 1998 and projected numbers for fiscal year 1999 by county:

County	Diversion Consequences For FY98	Projected Diversion Consequences For FY 99	Capitation Amount
Apache	138	147	\$ 23,555
Cochise	1,113	1,184	\$ 189,973
Coconino	1,313	1,402	\$ 224,964
Gila	471	501	\$ 80,393
Graham	327	348	\$ 55,814
Greenlee	97	103	\$ 16,557
LaPaz	103	110	\$ 17,581
Maricopa	1,470	1,140	\$ 1,787,082
Mohave	774	824	\$ 132,111
Navajo	377	401	\$ 64,349
Pima	4,937	5,253	\$ 842,676
Pinal	852	907	\$ 145,424
Santa Cruz	69	73	\$ 11,777
Yavapai	1,102	1,173	\$ 188,096
Yuma	824	877	\$ 140,645
Total	22,972	24,443	\$ 3,920,997

Source: AOC

The total budget for Diversion Consequences for fiscal year 1999 is \$3,920,997 with a projected eligible population of 24,443 referrals.

The capitation payment is paid on a per youth annual basis and is disbursed quarterly to the counties, based on the number of juveniles served within each county during each quarter. These funds are used by counties to run internal programs, as well as purchase services from external providers (e.g., counseling, behavior education classes, etc.).

The capitation amount also allows County Probation Departments to shift resources from youth that do not need Treatment services to those who may require many Treatment services. For example, a youth who is diverted for possessing alcohol may be assigned a consequence of writing an essay on the dangers of alcohol. This consequence may cost the County a negligible amount to deliver, and may well have the desired effect. On the other hand, a youth diverted for fighting at school may have issues that necessitate attendance at an anger management class and counseling sessions with a counselor who is a Treatment provider. Total cost for these services may be exceed \$500.

An analysis of a some counties indicated that some counties incurred costs exceeding the state capitation amount. For example, Pima County reported annual Diversion costs per juvenile as \$290 in fiscal year 1998. The capitation paid by AOC for this period was \$126 per juvenile. The difference between the county cost and the capitation paid by AOC was \$164 per juvenile. This additional cost was paid by the Pima County General Fund.

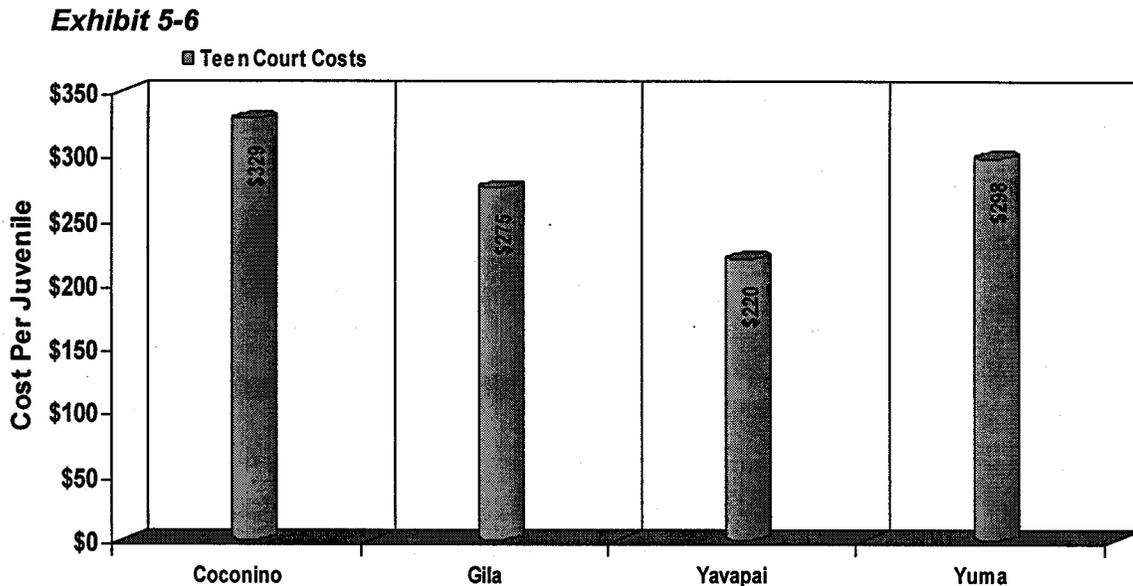
An analysis of Diversion programs across counties found that each county records costs for internally run programs differently. Further, some counties do not account for Prevention and Diversion separately. There is a need for a standardized cost recording methodology that allows the AOC, the county and the Legislature to reach an understanding of the comparable costs involved in delivering certain Diversion programs.

Analysis of state funding for Diversion revealed that prior to July 1997, diverted youth in need of programs and services had those services paid by AOC Treatment or Family Counseling funds. These AOC funds also cover some Prevention and other Treatment for youth on Probation. Since implementation of Senate Bill 1446, all diverted youth are covered under a new categorization of funding entitled Diversion. Under this new categorization, the screening process is funded with Diversion Intake monies and Treatment is funded from Diversion Consequences monies. This re-categorization of the fund helps AOC specifically allocate funds and account for Diversion. Previously, some of these funds and costs were not specifically designated for Diversion, and the Treatment providers were not exclusively providing Diversion programs. Therefore, it was impractical to identify all funding and costs for Diversion separately from Probation and Treatment costs. This new accounting approach establishes a framework for AOC to understand the specific cost of providing Diversion at a state financing level.

From a cost-effectiveness standpoint, Diversion is a less expensive alternative to the next step in the Arizona juvenile justice continuum. Probation can cost between \$1,250 and \$4,900 a year depending on the level and duration of supervision. A comparison of these costs to the AOC capitation of \$160 per juvenile per year indicates that Diversion is a much lower cost alternative than Probation. If the AOC capitation is adjusted it for an

estimated county match (using the Pima County ratio of capitation to County General Fund match) the cost per juvenile is under \$300. This lower cost alternative program coupled with operating efficiencies gained by diverting youth from the court process, thereby freeing Judges and County Attorneys time for more severe offenses, may allow the system to operate more efficiently. This efficiency is more pronounced for the County Attorney in that the automatic diversion of certain offenses saves time in the reviewing of referrals. This efficiency may also result in quicker and easier youth access to services, as several steps in the court hearing process are removed.

We obtained program cost information from several counties for the Teen Court programs. We were unable to obtain the cost information from all counties due to the fact that these costs were not separately maintained. However, for the Teen Courts where costs were maintained separately, *Exhibit 5-6* shows a range from \$220 to \$329 per youth processed through Teen Court in fiscal year 1998. The costs for Teen Court is paid for by the county. Counties can utilize the AOC capitation to cover the cost of this program.



Although participants volunteer for Teen Court, costs are incurred by the County Probation Departments to pay salaries and benefits for Program Coordinators and to cover cost of Treatment, if ordered.

Comparison of costs of Diversion at a provider level revealed vast differences. Providers identified below were all included in site visits we conducted making this additional analysis possible. Our additional analysis indicated that the differences at a provider level are results of the varied levels of services provided. One provider, the Center for Juvenile Alternatives, located in Pima County, served as a broker of Diversion services at a cost of \$21.21 per youth in fiscal year 1997. CJA organizes and works with other community providers that actually deliver the Diversion services. CJA's job is to get the right youth to the right service. CJA does this by providing intake, evaluation, referral

and follow-up services. The cost of the other community providers utilized by CJA is not captured in any centralized manner and, therefore, a comprehensive analysis of the costs of this Pima County Diversion service provider was not practical to conduct.

In contrast, Alternatives Center for Family Based Services, a Coconino County provider located in Flagstaff, has fewer community resources that it can refer youth to, so it provides most of the Diversion services itself. The cost for this provider was determined to be \$83.83 per youth in fiscal year 1997.

Yet another difficulty with comparability of Diversion providers in fiscal year 1997 was a number of providers were in their first year of providing Diversion services. The providers' fiscal year 1997 costs included start-up expenses, which inflated the per unit cost. AOC and the County Juvenile Probation Departments have made Diversion services a priority and have stimulated a number of providers to begin to provide Diversion services across the state. As these programs get started, their costs tend to be higher.

Our analysis of Diversion provider costs highlighted the Mayfield Center, a Diversion program operated by Prehab of Arizona in Maricopa County. The program was started in 1997. The cost per youth diverted in our analysis was identified to be \$320.41. Further research indicated that many start-up costs were built into the first year costs. In addition, Mayfield served only 387 youth its first year as the community awareness of the program was minimal. Utilization has increased dramatically over the last few months; (in September 1998 Mayfield served 63 youth). Its goal is to serve 600 to 700 youth annually with the same funding, which would reduce the cost per juvenile to approximately \$190. It is important to note that the funding for this program comes from both public and private funds.

Given this disparity in the providers' cost accounting, a comprehensive state cost comparison of providers is not possible at this time. A meaningful comparison would provide sufficient detail to compare Diversion intake with Diversion intake, specific Diversion programs with like programs and so on versus one provider to another. Start up costs and utilization impacts of new Diversion providers would be treated and addressed separately.

Case Files

The Diversion program is often a youth's first contact with the juvenile justice system. Therefore, it is important for the Diversion programs to have and maintain a well documented record of the youth's progress and conduct during participation in the program. The review found each program to be unique in its focus, and as such, they record information pertinent to the focus of the programming they provide. For example, our review of the case files at behavior-specific education programs indicated that they do a comprehensive job documenting demographic and class attendance information on a class-by-class basis. On the other hand, counseling providers visited had documented assessments and progress notes that relate to the counseling sessions conducted.

During the review it was found that Diversion provider case files varied appropriately by type of provider and included adequate documentation and identification of problems or issues identified about the youth.

In addition, the County Juvenile Probation Departments are responsible for the main case files on the diverted youth. The review of the Diversion case files across all County Probation Departments found them complete and thorough in identifying the offenses, consequences and final disposition of the youth.

Performance and Outcome Measures

A primary performance metric to measure a Diversion program is the percentage of juveniles who successfully complete assigned consequences. Additional measures include the value of community work service completed, and the number of hours of completed counseling. Since the goal of Diversion is keeping the youth from re-entering the juvenile justice system, recidivism is the primary outcome measure. Recidivism will be discussed in the Treatment section of this report, some of which is applicable to Diversion programs. However, as many diverted youth do not participate in provider delivered Treatment, and thus not recorded in the JOLTS treatment database, it is not possible for us to present an overall recidivism rate for individual Diversion programs. When AOC was asked to provide this information, they indicated they are not currently tracking and recording recidivism rates for Diversion in an aggregated report.

Indicators of success exist within many Diversion programs. For example, Teen Court, a heavily used Diversion program in Arizona, has been found to have a positive outcome on the youth served. For example, Pima County reported that juvenile defendants consistently report they are positively affected by the Teen Court program, and feel the sentences imposed are fair and just. In fiscal year 1997, 237 youth were served, and 4,131 community service hours were completed as a result of Teen Court in Pima County. Pima County reported a recidivism rate of 8% for Teen Court youth. By any standard, this is a very low recidivism rate that speaks well of the impact of this type of program. Maricopa County, which operates several Teen Court programs, has reported a 5% recidivism rate among their Teen Court participants. This result is further supported by a number of national studies showing that a combination of public admission of guilt by juvenile offenders, the requirement of facing a peer jury and a component of law-related education have proven to be major factors in the success of Teen Court and community justice programs.

Another outcome measure for Diversion is the percentage of juveniles who successfully completed the Diversion program as a consequence of the offense they committed. The Arizona results are illustrated in *Exhibit 5-4* which presents the reported successful case closures for various Diversion programs reported to the AOC for the year ended June 30, 1998.

Observations and Findings

Diversion is a Cost-Effective Alternative and the Outcomes Justify the Investment

Diversion offers an alternative to deal with the large numbers of first and second-time offenders in a relatively inexpensive manner. As demonstrated by the fact that the first encounter with the system has historically resulted in more than 60% of youth not being arrested for a delinquent act again, it is sensible to keep moving low level offenders to these programs.

Need for More Community Based Programs

Counties with limited financial resources are serving a large number of youth in Diversion programs. This requires the development of more community partnerships to meet the demands for services.

We also found the definition of Community-Based Alternative Programs was not clearly understood. Many used the term to describe any Diversion program, although the focus of CBAPs is on active participation of the youth's peers and community in assigning sanctions. Although a minor issue, clarification would enhance the ability of the County Probation Departments to replicate successful programs across the state.

We found that Teen Courts and Community Justice Committees have been adopted across the state with positive results. The approach to Teen Court has been adopted in 14 counties and handled over 1,000 youth in fiscal year 1998.

Senate Bill 1446 Has Had a Positive Effect on Diversion Collaboration

Throughout the review process, County Attorneys, Judges and Probation Officers said that the County Attorneys added responsibility of determining Diversion eligible offenses has opened discussions and increased the direct participation of the County Attorneys in the Diversion program. This law also gave County Attorneys authority to operate Diversion programs. To date, County Attorneys have chosen to work more closely with the County Juvenile Probation Department, rather than exercise that authority. This is a strong indicator that the collaborative relationship is working at the local level.

The impact on collaboration, coupled with operating efficiencies at the County Attorney and judicial level (i.e., fewer County Attorney filings and referrals and fewer hearings) are indications that public policy resulting from SB 1446 has added value to Arizona.

The Difference Between Prevention and Diversion

Our review of Diversion in Arizona indicates a strong commitment from County Attorneys, AOC/JJSD and the County Juvenile Probation Departments to enhance and develop community-based Diversion programs. However, there appears to be some disagreement about the definitions of Diversion and Prevention programs, as the terms are used interchangeably by stakeholders throughout the state.

Focus is Often on the Process, Not the Results

Performance information is generally tracked at a level that allows for measuring the numbers processed, but not the results of the activities. For example, it may be known that 80% of youth assigned to complete community work service were successful. However, it is not known what impact the work had on the youth upon completion. Did they re-offend? Did the work service change their behavior in any way or was the work meant to? These questions are important to answer if you desire to make lasting changes on youth assigned to Diversion.

On the other hand, it is known that 70% of first-time offenders do not come back to the system. Why? Are there reasons why that population succeeds and the other 30% recidivates?

Recommendations***Develop Standardized Performance and Outcome Measures for Implementation Across all Diversion Programs***

At a minimum, standardized, uniform measures should be developed for programs across the state. For example, Teen Court is essentially structured and delivered in the same manner. These standards would allow for the identification of successful programs and also for the identification of the youth most successful in those programs. This would facilitate the duplication of positive programs, enhancement of promising programs and elimination of programs not meeting set goals.

For example, a review of eligible Diversion offenses, as established by County Attorneys, and the tracking of results of youth with those diverted on similar offenses would be appropriate. This may lead to identification of best practices. However there would need to be a mechanism to track the results and share the information on successes.

Enhance System Support

JOLTS is utilized by AOC/JJSD and all County Juvenile Probation Departments to record information and track status of juveniles assigned to Diversion. The system offers a tremendous amount of potential to track the success of Diversion programs and to identify why certain programs work for certain youth. This information is of tremendous value to the Legislature and the Courts in making policy and funding decisions.

Family Involvement – Most Diversion Programs Focus only on Youth and Ignore Families

Diversion programs appear to be effectively dealing with the youth served. However, our review of case files and interviews with Probation Officers and Treatment Providers revealed a need for greater emphasis on family-centered services. Such services might include parenting classes and parental recognition accountability for its own actions and

those of its child. Family-centered services must also recognize that some Diversion youth are parents themselves, and should be exposed to positive parenting classes and role models.

Clarify the Definitions of Diversion and Prevention

To clarify issues surrounding Diversion and Prevention, standard definitions should be developed for both terms. For instance, when requests for examples of Prevention programs were made Diversion programs were often given as answer. e were often given Diversion programs. While many Diversion programs play a role in preventing future delinquency, they often act as a consequence for delinquent acts already committed. Although not a major issue, clear definitions of Diversion and Prevention will aid in ending confusion amongst stakeholders.

Conclusion

Diversion programs, including CBAPs, are working in Arizona, as indicated by relatively low recidivism rates for some programs.

Diversion programs are clearly a much less expensive than other alternatives in the Arizona juvenile justice continuum. Not only are they less expensive, but operating efficiencies resulting from the implementation of Senate Bill 1446 indicate that the programs are adding value to Arizona.

There is a need for continued collaboration in developing and delivering Diversion programs, as well as developing additional comprehensive outcome measures that clearly differentiate between the success of the individual programs. Diversion is successful in reaching thousands of youth and helping them make the decision to steer clear of future delinquent activity.

Although Diversion is successful with a large number of youth, some do continue in the system. The following subsections explain the role Probation supervision plays in dealing with delinquent youth, and lead to a discussion of Treatment services. As we move through the continuum, it is important to recognize the continued need for information sharing in all aspects of the system, and to capture early results of Intervention in a way assists the next stage in understanding attempts that have been made to assist the youth.

Probation

Introduction

Probation plays a critical role within the Arizona juvenile justice system. It is at this stage of the continuum where the financial resources expended on delinquent youth are more significant and where changing the youth's behavior is more challenging. It is also at this stage where delinquent has their first direct involvement with the Juvenile Court.

According to an AOC administrator, Probation in Arizona can be defined as conditional freedom granted by the Juvenile Court to an adjudicated juvenile on the condition of continued good behavior and regular reporting to a Probation Officer.

The core tenets of Probation are:

- The belief that youth can make positive changes in their behavior,
- Protection of the community,
- Preservation of the best interest of the child and stability of the family unit,
- Fostering law-abiding behavior, and
- Restitution to victims and society for the wrongs committed against them.

In the previous subsection, we discussed the role of Diversion which is to steer youth away from the court system. Probation is designed to accomplish the same goal for those youth that have continued to commit delinquent offenses. Another difference between Diversion and Probation is the fact that youth on Probation have been adjudicated by the Juvenile Court.

In Arizona, County Probation Departments operate under the authority of the Presiding Judge of the Juvenile Court of each county and are a Division of the Arizona Superior Court. Each Presiding Judge has the authority to appoint the Chief Juvenile Probation Officer, who supervises the County Juvenile Probation Department. Each County Probation Department offers Standard and Intensive Probation services with Probation Officers being assigned to one or the other. County Probation Departments also employ juvenile Probation Officers that work in the Safe Schools program and serve as Intake Officers within county Detention facilities.

There are two types of Probation utilized in Arizona:

- Standard Probation, and
- Juvenile Intensive Probation (JIPS).

Standard Probation handles youth that have been adjudicated by the Juvenile Court and placed on Probation as a consequence. These youth may be first or second-time offenders, or may have a long history of contact with the Juvenile Courts. The youth are

usually sentenced to be on Standard Probation for a term of one year. The standard caseload size for a Probation Officer assigned to Standard is 35 juveniles. A more comprehensive discussion of Probation caseloads is found later in this section.

Exhibit 5-7 on the following page shows the demographic characteristics of the youth assigned to Standard Probation during fiscal year 1997. The average youth sentenced to Standard Probation is a 15 to 17 year old white or hispanic male with four or fewer prior referrals whose most recent referral is a felony.

Exhibit 5-7

Characteristics of 8,989 Youth Assigned to Standard Probation in FY 97			
Sex		Education Status	
Male	6,892	Enrolled	6,667
Female	2,097	Not Enrolled	876
Ethnicity		Expelled	26
Caucasian	4,590	Suspended	47
Hispanic	3,147	Withdrawn	73
African American	654	Graduated	7
Native American	520	GED Program	10
Other	78	Unknown	1,283
Age at Latest Referral		Most Serious Offense Class	
10 or younger	21	Felony	5,111
11	143	Misdemeanor	2,625
12	343	Administrative	883
13	775	Status	280
14	1,315	Other	90
15	1,929	Severity of Most Serious Offense	
16	2,216	Violent	915
17	2,171	(Felonies Against Person)	
Number of Prior Referrals		Grand Theft	2,564
0	1,859	(Felonies Against Property)	
1	1,406	Obstruction	1,535
2	1,413	(Hindering Justice)	
3	1,123	Fight	808
4	862	(Misdemeanors Against Person)	
5	610	Drugs	1,196
6	461	Peace (Disturbing the Peace, etc.)	
7	345	Theft	827
8 or more	910	(Misdemeanors Against Property)	
		Citation/Administrative	88

Juvenile Intensive Probation (JIPS) is a program designed to provide supervision for youth who are considered serious or high-risk offenders or juveniles who are having difficulty complying with the terms of Standard Probation. Youth assigned to JIPS must participate in 32 hours of structured activity a week that may include school, work or Treatment. The term of the youth's sentence is usually less than one year with the goal of keeping the youth out of residential placement or ADJC. JIPS cases are often managed

by a team of professionals. If a team approach is employed, the team always has at least one Probation Officer on the team. In addition to a Probation Officer there are either one or two Surveillance Officers. When a team approach is not used, a single Probation Officer supervises the case. The JIPS caseload sizes range from 15 to 40 youth.

Exhibit 5-8 on the following page shows the characteristics of the youth assigned to JIPS in fiscal year 1997. Like Standard Probation, the juveniles who have received a consequence of JIPS are most often 15 to 17 year old, white or hispanic males with 6 or more prior referrals whose most recent referral is a felony.

Exhibit 5-8

Characteristics of 2,408 Youth Assigned to Juvenile Intensive Probation (JIPS) in FY 97

Sex		Education Status	
Male	2,151	Enrolled	1,733
Female	257	Not Enrolled	361
Ethnicity		Expelled	28
Caucasian	1,035	Suspended	27
Hispanic	1,052	Withdrawn	33
African American	220	Graduated	0
Native American	85	GED Program	8
Other	16	Unknown	218
Age at Latest Referral		Most Serious Offense Class	
10 or younger	3	Felony	1,413
11	14	Misdemeanor	416
12	47	Administrative	564
13	120	Status	12
14	374	Other	3
15	545	Severity of Most Serious Offense	
16	738	Violent	333
17	565	(Felonies Against Person)	
Unknown	2	Grand Theft	718
Number of Prior Referrals		(Felonies Against Property)	
0	95	Obstruction	910
1	128	(Hindering Justice)	
2	151	Fight	109
3	193	(Misdemeanors Against Person)	
4	212	Drugs	157
5	222	Peace (Disturbing the Peace, etc.)	
6	210	Theft	73
7	205	(Misdemeanors Against Property)	
8 or more	992	Citation/Administrative	4

It is important to recognize that some youth on Probation are considered low-risk (e.g., few prior referrals with no history of violence) and some fall into the category of high-risk (e.g., eight or more prior referrals for a variety of offenses). The Probation

population also includes youth that have spent time in Secure Care in either Detention or a State Institution, like Adobe Mountain.

Key Stakeholders in Probation

As with all parts of the Arizona juvenile justice system, there are a number of key stakeholders involved in funding, policy, program design and service delivery. The players in Probation include:

- *AOC/Juvenile Justice Services Division* provides funding, policy and technical support for County Probation Departments.
- *County Judges* assign youth to probation and determine other consequences. They also appoint the Chief Juvenile Probation Officers within their county.
- *County Probation Departments* manage Probation caseloads and run county Detention Centers.
- *County Attorneys* make decisions on whether a youth should be diverted or have a petition filed with the court. They also make recommendations to the Judge on consequences for adjudicated youth.
- *Law Enforcement* interacts with Probation in both referring youth to Probation as well as working with County Probation Departments on special projects, such as truancy sweeps.
- *Communities* are involved through participation in programs, support and benefit from community work projects and through local partnerships with the County Probation Departments.
- *Families* participate in Probation through many ways. They have a financial responsibility for any fees or fines, may participate in treatment options (e.g., family counseling), and may be held accountable for the completion of probation terms.

Based on our visits to all 15 County Probation Departments, we found numerous examples of cooperation and collaboration among the stakeholders identified above.

Probation Programs

As mentioned above, there are two types of Probation programs: Standard Probation and JIPS. A youth sentenced to a Probation program is supervised by a Probation Officer. In addition to the regular supervision of a Probation Officer, consequences that the juveniles sentenced to Probation may receive include:

Restitution,
Community Service,
Victim Reconciliation,
Drug Testing, and
Treatment.

In the Arizona juvenile justice continuum, Probation is the pivotal point where youth are given the opportunity to make amends for their actions.

While the completion of these consequences would be supervised by the Probation Officer, Treatment, such as counseling and education classes, are generally delivered by a Treatment provider, and therefore are dealt with in the Treatment subsection below.

Probation Officers have the responsibility of making sure that youth (this process often referred to as supervision) comply with the consequences they were ordered by court to complete. The ongoing supervision is also used as a deterrent for youth committing other delinquent acts. Probation Officers have responsibility for coordinating and monitoring the youth's progress in adhering to the court-ordered terms and conditions of probation. For example, when a youth is ordered to receive a Treatment service (e.g., counseling or community service) as a consequence of their delinquent actions, the Probation Officer has the responsibility to ensure that:

- The youth knows which Treatment provider will be providing the service;
- The Treatment provider understands what the court has ordered;
- Information is provided to the Treatment provider so they know as much as possible about the youth they are serving;
- The youth's progress in Treatment is monitored in cooperation with the Treatment provider; and
- All information regarding these transactions in the youth's case file is recorded to ensure adequate documentation is available to support current and future decision-making.

Because of the lack of providers in rural counties, treatment cannot always take place in close proximity to the families. According to our interviews with Probation Officers, they indicated that they base their Treatment recommendations on:

- Needs of the juvenile,
- Availability of treatment dollars,
- Treatment bed space, and
- Detention space.

The following programs are examples of some of the unique and creative programs we found. The list is not comprehensive and it is important to note that we found several unique programs across the state.

Pinal County – Project DREAM – This program targets JIPS youth and high-risk standard probation youth. The goal is to teach them about realistic career opportunities by working together as a team to write, record and produce a compact disc. As part of the process, they work with

computers, conduct research, write lyrics, design a cover and work with a recording engineer to produce the final product.

Apache County – Wilderness Search & Rescue Program – Started by the Juvenile Probation Department ten years ago, this program focuses on at-risk youth and probation youth. It was modeled after the Outward Bound program and has developed into a certified search and rescue team. The youth receive extensive training in basic first aid and CPR, as well as additional first aid and EMT training. They work with the U.S. Forest Service and local law enforcement to conduct searches and have travelled throughout the region to participate in activities.

These examples highlight the need to continue to focus on building life skills that will assist delinquent youth in breaking the cycle of court involvement. All of the County Juvenile Probation Departments offer traditional services. These services include collecting restitution and fines, running community work service programs, conducting random urinalysis testing to detect substance abuse and teaching behavior education classes.

The role of the Probation Officer as a monitor is equally important. Monitoring generally occurs when there is not a Treatment provider involved in the consequence ordered for the youth by the court. For example, the Probation Officer will work with the youth to make sure if they pay restitution or make other amends to the victim. Many times youth are ordered to stop using drugs and appear for periodic drug tests to validate non-use. In this example, the Probation Officer has the responsibility to make sure the youth is showing up for the drug tests at the intervals ordered by the court and that the drug tests are negative (i.e., no substance use detected). A significant responsibility of the Probation Officer in this role is to ensure that all of this information is recorded in the juvenile's case or record.

In both the coordinating and monitoring role, the Probation Officer is responsible for reporting positive completion of the ordered activity, as well as reporting when the youth is not completing the consequences as ordered by the court. These Probation Officers communicate with the court by means of Disposition Reports and regularly appear in person in court when the youth assigned to their caseloads are scheduled for a Court Hearing. Results of our review of the case files used to support these Disposition Reports are included in the following subsection.

Case Files

Probation case file documentation is crucial to record the evaluations of the youth, the family, the offenses committed, prior offenses committed by the youth, the prior placements and other information in support of a disposition recommendation to the court. Through its coordination and monitoring role, Probation serves as the central point of communication for all the key stakeholders working with the youth; therefore the completeness of their files is critical to all involved.

In reviewing the county Probation case files, we determined that the files are in order and complete. One item of note is that much of the case documentation (e.g., daily contacts, progress notes) was handwritten which makes it difficult for transferability of case information to other Probation Officers or referral agencies.

After reviewing case files at all 15 County Probation Departments, we found that there were two primary sources for determining case history on the youth. The first was the probation disposition report, prepared by the Juvenile Probation Officer and presented to the Judge. The second was the JOLTS summary screen coupled with any assessments present in the file. In general, the disposition report was found to be comprehensive and informative. Additionally, the case files contained a variety of other documentation including:

- Printed JOLTS offense history report,
- Current court documents,
- Prior services and Treatment information,
- Family history information,
- Information regarding youth issues and special needs (e.g., mental health issues, abuse and neglect issues, learning disabilities, truancy, gang involvement),
- Education reports, and
- Final termination or evaluation report for closed cases.

The Probation Officers we interviewed stated that the case files were used on a regular basis, but that they spent an ever increasing amount of time ensuring the data was being recorded into JOLTS. As such, many said their case contacts were not placed in the file but entered directly into JOLTS. Our limited on-site review of JOLTS data confirmed that many contacts appear in JOLTS. The Departments appeared especially diligent in recording contacts for JIPS youth.

Probation Caseloads

There has been a great deal of research on Probation to assess the effectiveness of various caseload sizes. However, according to the American Probation and Parole Association, much of the research is inconclusive because of the varying factors of agencies, locations, type of cases and other factors. A 1992 nationwide survey of Juvenile Probation Officers and administrators conducted by the National Center for Juvenile Justice reported that the size of caseloads ranged between two to more than 200 cases, with a typical active standard probation caseload of 41. The optimal caseload suggested by respondents was 30 cases.

As noted above, the caseload standard for Standard Probation is 35 to 1 in Arizona. This caseload is established to allow Probation Officers to make more contacts with juveniles and their families. During our site visits, the Probation Officers interviewed felt their caseloads were manageable and they were able to meet their obligations. However, several service providers expressed concerns about their ability to reach the Probation

Officers or to get timely resolution to issues. As determined through our county site visits and review of AOC reports, most counties were meeting the caseload ratio for Standard and Juvenile Intensive Probation.

AOC monitors the Probation caseloads on a monthly basis. They utilize JOLTS and also conduct periodic hand counts to verify the information in JOLTS. This process started in July 1998 for Standard Probation and has been conducted since 1995 for Juvenile Intensive Probation. County Chief Juvenile Probation Officers can request an AOC caseload audit when their caseloads averages above 90% capacity for three consecutive months. A request is made to AOC/JJSD that begins the process. A recent example of this process occurred in Pinal County. As you will see in the chart that follows, Pinal County was operating at 134% of capacity for Standard Probation for the three-month period, which ended on September 31, 1998. The subsequent AOC/JJSD audit found there was justification for additional funding for a Standard Probation Officer. In addition to the state-funded position, the County is adding an additional position, which will bring the Standard Probation caseload into compliance at approximately 33 to 1.

Exhibit 5-9 represents the most recent three-month average for Standard Probation caseloads by county:

Exhibit 5-9: Avg. County Standard Probation Caseload Report for July – Sept. 1998

Juvenile Standard Probation					
County	Avg. Active Cases on Standard Probation During the Period	Total Number of Probation Officers	Average Supervision Ratio for the Period	Actual Field Capacity	Avg. Percent of Capacity
Apache	78	3	26:1	105	74%
Cochise	145	9	16:1	315	46%
Coconino	193	5.5	35:1	192	100%
Gila	145	6	24:1	210	69%
Graham	131	1	131:1	35	391%
Greenlee	25	1	25:1	35	71%
La Paz	27	1	27:1	35	77%
Maricopa	4,440	130	34:1	4,550	97%
Mohave	236	10.5	22:1	367	64%
Navajo	185	5	37:1	175	106%
Pima	976	28	35:1	980	99%
Pinal	235	5	47:1	175	134%
Santa Cruz	97	3	32:1	105	92%
Yavapai	164	7.5	22:1	262	62%
Yuma	304	10	30:1	350	87%
Statewide Totals	7,381	222.5	33:1	7,787	95%

As you can see the system is operating at 95% of capacity with some County Probation Departments significantly above their actual field capacity.

Exhibit 5-10 illustrates the caseload capacity for JIPS statewide.

Exhibit 5-10: Avg. County JIPS Caseload Report for July – Sept. 1998

Juvenile Intensive Probation Services			
County	Active Cases on Intensive Probation During the Month	Funded Field Capacity	Monthly Percent of Capacity
Apache	13	25	52%
Cochise	73	90	80%
Coconino	44	65	65%
Gila	37	40	95%
Graham	23	25	88%
Greenlee	10	12	83%
La Paz	5	12	42%
Maricopa	733	810	90%
Mohave	86	105	82%
Navajo	58	60	97%
Pima	253	325	78%
Pinal	70	80	87%
Santa Cruz	35	40	87%
Yavapai	79	90	88%
Yuma	138	125	110%
Total	1657	1904	87%

The JIPS statewide caseload average of 87% for the three month period from July to September, 1998. This indicates that the system is being fully utilized. During our interviews with staff who are working in JIPS, they indicated the caseloads were manageable and that they had sufficient time to work with the juveniles in their caseloads.

Funding and Costs

This subsection deals with Standard Probation and JIPS separately because they are funded from different sources and focus on different populations. A description of the funding and costs for each of these programs follows.

Standard Probation

Funding for Standard Probation is provided by the state through State Aid for Probation and by the counties through the County General Fund. State funding for fiscal year 1997 was \$4,845,041. County funds used to support the Standard Probation are not reported to

AOC. Using information provided by each of the counties, we estimated the county contribution to Standard Probation to be at least equal to the state total. This figure is based on the amounts reported by counties. In certain cases, estimates were made for counties that:

- Operate combined adult and juvenile departments, or
- Operate Detention and Standard Probation out of the same fund.

Accordingly, the estimated total cost for Standard Probation in fiscal year 1997 was approximately \$10 million.

In addition to the actual state and county direct expenditures, counties contribute in-kind services and office space. The value of this in-kind contribution could not be effectively calculated to be included in this analysis.

An analysis was prepared to determine the annual cost per youth served on Standard Probation. The assumptions used in this analysis included the mid-point salary for Probation Officers throughout the state (or \$33,563). Benefits of 23% and overhead of 9% were applied to this mid-point salary. Our analysis resulted in an estimated average annual cost of \$1,247 per juvenile in Standard Probation. Using the same analysis, we estimate the daily cost per juvenile on Standard Probation to be \$3.42. These estimates do not include the cost of Treatment provided to these juveniles while on Probation. Arizona's average daily cost appear to be in the mid-range of Probation costs when compared to nation averages that range between \$2.20 and \$7.00 a day for Standard Probation.

Juvenile Intensive Probation Services (JIPS)

In contrast to Standard Probation, Juvenile Intensive Probation Services (JIPS) is 100% funded with state dollars through AOC. Like Standard Probation, counties provide in-kind county contributions of office space and utilities for state staff who work in this program. The fiscal year 1997 statewide-expended funds for were \$9,328,661.

The table in *Exhibit 5-11* shows the county-by-county breakdown of funds for JIPS.

Exhibit 5-11

County	Expended Funds	Juveniles Served	Cost Per Youth Served
Apache	\$ 116,482	29	\$ 4,017
Cochise	\$ 429,687	138	\$ 3,114
Coconino	\$ 387,638	94	\$ 4,124
Gila	\$ 149,507	54	\$ 2,769
Graham	\$ 78,210	53	\$ 1,476

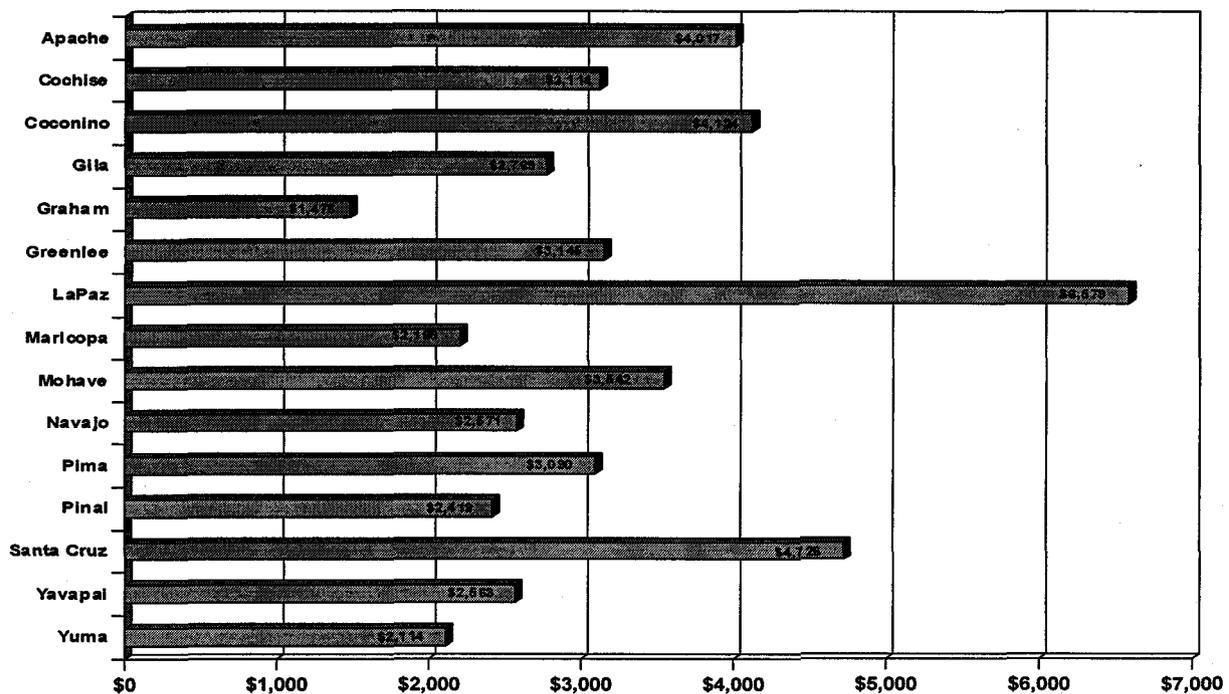
Greenlee	\$ 69,191	22	\$ 3,145
La Paz	\$ 72,366	11	\$ 6,579
Maricopa	\$ 3,575,713	1626	\$ 2,199
Mohave	\$ 460,462	130	\$ 3,542
Navajo	\$ 226,214	88	\$ 2,571
Pima	\$ 1,776,886	575	\$ 3,090
Pinal	\$ 312,004	129	\$ 2,419
Santa Cruz	\$ 184,326	39	\$ 4,726
Yavapai	\$ 289,653	113	\$ 2,563
Yuma	\$ 558,214	264	\$ 2,114
Subtotal	\$ 8,686,553	3365	\$ 2,581

The annualized average cost per youth in JIPS is estimated to be approximately \$4,900. The estimated average daily costs per youth in JIPS is \$13.42 in the state of Arizona. Nationally, the average daily cost per youth in intensive probation ranges from \$7.45 to \$16.20 a day. Arizona's average daily cost per youth for this program is well within the range of the national average.

By policy, youth sentenced to JIPS are those who are at-risk of commitment to ADJC. Comparing the \$13.42 average daily cost per youth for JIPS with the \$130 average daily cost of Secure Care in a State Institution in Arizona results in an estimated \$117 per day savings to keep the youth out of Secure Care. Given that the average length of stay in a State Institution in Arizona is approximately 188 days, this translates to a savings of over \$21,000 dollars for each juvenile who is supervised in the JIPS program as an alternative to commitment to a State Institution. With over 2,400 youth served in JIPS annually, the costs avoided by operating this program is \$52 million per year. Assuming the juvenile meets the eligibility criteria or condition of JIPS, this Probation program appears to be a very cost-effective alternative to Secure Care in a State Institution.

In addition to intensive supervision, youth on JIPS receive counseling and other treatment options. The costs for these services are not included in the above calculation and will be discussed in the Treatment subsection.

The cost of JIPS varies by county due to a number of factors including caseloads and geographic area. *Exhibit 5-12* shows the per youth cost by county of the JIPS program.

Exhibit 5-12

La Paz County has a very high cost per youth served in JIPS as the number of youth served is approximately half of funded capacity. Santa Cruz County also has a very high cost per youth served in JIPS as a result of the fact that the actual number of youth served was well below the estimated number that was used to allocate the JIPS resources among counties. It is important to note that minimum capacities must be funded and that rural counties with smaller caseloads will have a higher per youth cost.

Outcomes and Performance Measures

As with all components of the Arizona juvenile justice system, there is a need to continue asking the question: "What works and what doesn't work?" In the Probation component, this question requires a good understanding of the youth, their family and the Treatment services they may receive as part of their Probation consequences.

The first step in measuring outcomes is to define what needs to be accomplished and to record the information necessary for measuring performance. Within juvenile justice, success is measured in different ways. It could be a change in the behavior of the youth that results in a return to school, or the resolution of a family issue. It can also be defined as *not* returning to the system for a new referral.

Currently AOC/JJSD is working in conjunction with the County Probation Departments to implement several performance and outcome measures starting with fiscal year 1999. The measures they have decided to implement in this project are:

- Performance measures:
 - Percentage of restitution collected during the fiscal year.

- Return on investment of probation services. [Calculated by adding the probation services fees (a monthly fee charged to juveniles while on probation) to the dollar equivalent of community services hours worked (at \$5.15 an hour) and dividing this by the salary of the Probation Officers performing direct supervision of youth on probation.]
- Outcome measure: The number of probationers either attending school or employed as a percentage of juveniles on probation.

The information collected in fiscal year 1999 will serve as the baseline for comparison. While these measures will begin to tell some of the story, they do not go far enough. Recidivism as a measure of success should be incorporated by AOC for use by all of the counties. While recidivism by itself is not the final measurement, it will provide solid management-level information that will help identify program strengths and areas that need further investigation or improvement.

AOC has had each county establish its target for each measure and submit an action plan as to how the county plans to achieve their goal. AOC intends to use incentives to reward counties that exceed their targets. They are committed to use these measures in a positive and constructive manner, rather than a punitive one. Therefore, AOC will provide technical assistance to those counties that do not meet their targets. This is the first year of trying this approach to support county performance measures. AOC received full compliance from the Counties. This cooperation is not surprising, Chief Probation Officers indicated a strong interest in getting more useful information to evaluate their programs and performance. Further, AOC had advised the counties that non-compliance with this requirement may affect their allocated amount of state funding.

The results of the performance measures will be self-reported by the counties to AOC on an annual basis. The information will be validated through JOLTS or by an accompanying methodology to provide back up for their numbers. AOC indicated they might ask for mid-year information to see how the counties are progressing.

Measuring success of Standard Probation can be defined in several ways. The first is successful completion of all terms and conditions set by the Judge. The second is to look at the youth during and after Probation, and at a minimum, track future delinquent and criminal activity.

Beyond the joint effort of AOC and the County Probation Departments to establish and track limited performance and outcome measures, there are other measures currently being tracked by AOC. These measures are primarily focused on JIPS and are all performance, versus outcome related measures. For example, Counties report information to the AOC on the number of Probation Officer contacts made with juveniles on their caseload. However, the evaluation does not take into account recidivism after completion of Probation or other important outcome measures.

One of the numbers reported by the AOC is the re-offense rate for youth during their JIPS supervision. The number for fiscal year 1997 was 63%. Forty-six percent of the youth

who recidivated were referred for an Obstruction offense (which is most often a violation of their Probation agreement). Status offenders made up 12% with disturbing the peace making up 11%. Probation Officer's assigned to JIPS told us that the high recidivism rate may be due to the increased number of contacts between the youth and the JIPS team.

Our interviews and subsequent validation indicated that there is limited information available to County Probation Departments on the effectiveness of various Treatment programs. Probation Officers told us they often make recommendations to the court based on their own personal experience with Treatment providers or based on the availability of service. Smaller rural counties are able to keep a closer watch on the outcomes of their youth because they often know the youth and see the youth in the community on a regular basis. In the larger counties, this is simply not feasible. Systems must be put in place to handle the volume of youth managed and to collect the necessary data.

County Probation Departments currently rely on Treatment provider progress reports and program visits to determine if the Treatment resolved the youth's identified issues. Many of the decisions about which option is best for a juvenile are based on the experience of the individual Probation Officer or Judge with the Treatment provider. This is not an invalid process; however more data on program outcomes would allow these Judges and Probation Officers to make better decisions on recommended treatment and the right mix of treatments given the issues the youth is facing. Examples of how this would work include being able to track specific information on all youths assigned to a particular treatment type. This would lead to knowing how other youth across the state have done in a program, how many have re-offended for exhibiting the same behaviors that led to the initial placement and having a better understanding of the overall treatment effectiveness.

Findings and Observations

Juvenile Intensive Probation Supervision is a Cost-Effective Alternative to Secure Care

As demonstrated throughout the state, JIPS is a cost saving alternative to Secure Care or residential placement. The annualized average cost per youth in JIPS is estimated to be approximately \$4,900. The estimated average daily costs per youth in JIPS is \$13.42 in the state of Arizona. Nationally, the average daily cost per youth in intensive probation ranges from \$7.45 to \$16.20 a day. Arizona's average daily cost per youth for this program is well within the range of the national average.

By policy, youth assigned to JIPS are those who are at-risk of commitment to ADJC. Comparing the \$13.42 average daily cost per youth for JIPS with the \$130 average daily cost of Secure Care in a State Institution in Arizona results in an estimated \$117 per day savings to keep the youth out of Secure Care. Given that the average length of stay in a State Institution in Arizona is approximately 188 days, this translates to a savings of over

\$21,000 dollars for each juvenile who is supervised in the JIPS program as an alternative to commitment to a State Institution. With over 2,400 youth served in JIPS annually, the costs avoided by operating this program is \$52 million per year. Assuming the juvenile meets the eligibility criteria or condition of JIPS, this Probation program appears to be a very cost-effective alternative to Secure Care in a State Institution.

AOC and County Juvenile Probation Have Begun to Develop and Implement Performance and Outcome Measures but Additional Work is Necessary

The recent action by AOC to begin to collect performance and outcome data is a step in the right direction. There is a strong demand for information on results from policy makers, agency and department management and the public. The move this fiscal year to capture measures on fine and restitution collection, community work hours completed with the value given to the community, and information on the success of the supervised youth are all important.

Measures must be developed that look beyond agency borders. They must take into account other factors, such as other state agencies who may have contact with the youth. Financial incentives may be considered to encourage participation, as well as innovation in designing new approaches to reach goals.

Probation Case Files and Caseloads are Well Managed

Probation case files were found to be current and comprehensive. Juvenile Probation caseloads in Arizona are below the national average of 41 cases per Probation Officer. Many of the rural counties were found to smaller average caseloads for Standard Probation with an 18:1 ratio at Cochise County and 22:1 ratio at Yavapai County. The urban counties were found to operating at full capacity with Maricopa County operating at a 34:1 ratio and Pima County operating at a 35:1 ratio.

The Probation case files were found to be complete and comprehensive. However, there was a lack of information regarding the regular contacts with youth recorded in the files. In general, the case files offered a fairly complete picture of the youth and their family. Movement towards an automated case management system would reduce some of the reliance on paper files and would also encourage information sharing.

There is Limited Information on the Effectiveness of Treatment Programs

Our interviews and subsequent validation indicated that there is limited information available to County Probation Departments on the effectiveness of various Treatment programs. Probation Officers told us they often make recommendations to the court based on their own personal experience with Treatment providers or based on the availability of service. Smaller rural counties are able to keep a closer watch on the outcomes of their youth because they often know the youth and see the youth in the community on a regular basis. In the larger counties, this is simply not feasible. Systems

must be put in place to handle the volume of youth managed and to collect the necessary data.

More information is presented in the Treatment subsection on this subject.

There is Limited Family Involvement in the Probation Process

Many Judges and Probation Officers expressed concerns with engaging the family in the Probation process. We found several Judges using their authority to require parents or guardians to attend parenting classes or take drug tests. However, it was also expressed that more options were necessary to ensure parental responsibility. More often than not, family issues play a significant role in the

This is a consistent theme throughout the juvenile justice system. It is necessary to either develop ways to get the families involved or give the system more recourse to require their involvement.

Recommendations

Expand the Use of Performance and Outcome Measures

The need to develop measures is a strong recommendation throughout this report. Specific measures should be developed to assess the effectiveness of probation terms and conditions. In addition, recidivism and social information should be incorporated into reviews of JIPS and Standard Probation. It is not enough to count inputs. The input must be followed all the way through the process to measure the results.

The development of these measures must be driven from the top. Goals must be set and rewards or sanctions imposed for non-compliance or failure to achieve. The key element of success is ownership of the results. The measures should be developed in conjunction with ADJC to ensure all agencies are working from the same information. Since the youth in ADJC were most often on probation, knowing the early history and tracking key data elements will help the whole system function more efficiently.

Specific measures should include recidivism of youth discharged from standard and intensive probation and should take into account youth that turn 18 in order to measure the long-term affects of probation supervision.

Develop Automated Case Management Tool

The Probation process collects a large amount of meaningful data on the social and educational history of the youth. As the youth may progress through the continuum, data is lost or must be collected multiple times. In addition, information is input into two or more location (e.g., JOLTS, case files etc.). This information, if tracked electronically, could help facilitate the decision making process and treatment plan development. The information could also be shared with the other stakeholders, including ADJC and

providers. This data would also facilitate the increased use of performance and outcome measures.

Conclusion

Probation plays a central role in the juvenile justice system. The Arizona system is staffed and managed by a contingent of talented and dedicated professionals. There is a need to give them the tools they need to manage a difficult population. This can be done by investing in technology that facilitates information sharing across long distances and by moving towards a results-based system.

Probation services in Arizona are delivered in a creative and cost-effective manner, with collaboration between counties and with AOC and ADJC. Probation is also a very cost-effective alternative to Secure Care for the right youth. Work needs to continue on developing, tracking and measuring the success of programs and services.

The following section discusses the role of Treatment in the juvenile justice system. Probation Officers play a significant role in ensuring the youth get appropriate placements and the opportunities to succeed.

Treatment

Treatment in Arizona

The juvenile justice system was formed almost 100 years ago to perform multiple tasks of ensuring public safety, deterring criminality and rehabilitating juveniles. Treatment was developed as a method for accomplishing these tasks and meeting other goals of the juvenile justice system. A main goal of Treatment is teaching juveniles to be productive, law-abiding members of their communities. This goal is met by assigning juveniles to Treatment programs ranging from psychological assessments to secure residential care. As delinquent behavior may lead to assignment to a Treatment program, such Treatment programs are viewed as consequences.

In Arizona, Treatment is utilized in the entire juvenile justice continuum. In Prevention, delinquency prevention treatment services are provided as counseling and education classes. In Intervention, treatment is provided as Diversion consequences that must be completed for a juvenile to avoid the court system. Probation frequently provides treatment as part of the probation conditions. Treatment is also a primary component of the incarceration process, as various treatment services offered in ADJC facilities and through their continuum and parole processes.

Key Stakeholders

The key stakeholders involved in Treatment include:

- *AOC and ADJC* contract with various service providers to render treatment services to court-involved youth. In fiscal year 1997, there were over 380 contracted service providers. The state agencies handle contract negotiations, payments and compliance monitoring.
- *Service providers* deliver Treatment options to at-risk youth and youth within the juvenile justice system. Many service providers also contract with other state agencies, such as DES and DHS.
- *County Probation* departments strive to identify the most effective treatment for probationers, and work directly with treatment providers to determine the progress of the juvenile. On a very limited basis, they also contract with non-AOC providers to serve remote areas.
- *County Juvenile Courts* play a key role in determining treatment options.
- *Communities* work in conjunction with providers by offering additional services (e.g., behavior modification classes, education classes, etc.) or the means to complete the services (e.g., community work crew, community restitution, etc.). These services are critical and lacking in rural areas where aftercare services are not readily available.

- *Families* play one of the most crucial roles in the treatment process. Many family issues contribute to a youth's delinquent behavior. Therefore, in order to properly treat the youth the provider must also treat the family. In many cases, the family is not included in the treatment process or is unwilling to participate in the process. Distance also hampers family involvement in treatment, especially if a treatment setting is located in another county.

For Treatment to be an effective component of the Arizona juvenile justice system, all key stakeholders must collaborate on the ultimate goal of rehabilitating delinquent youth, and preventing future delinquency. Without the dedication and mutual cooperation of each key stakeholder listed above, the rehabilitation and prevention will fail.

Treatment Programs

Initially, a list was compiled of all service providers available to deliver Treatment services within the juvenile justice system (*refer* to June deliverable). The list included all service providers contracted with the AOC, ADJC and through SPOC (Single Purchase of Care). SPOC contracts allow providers to deliver services to multiple state agencies (ADHS/BHS, ADES, AOC, and ADJC) by utilizing a single contract and a single rate.

The current availability of Treatment services includes a variety of behavior education classes, counseling, shelter care, and residential treatment options. These services are delivered by the contract service providers referenced above. Through these outside agencies, County Juvenile Probation Departments are able to meet the specific needs of their populations by purchasing services. However, geographic and financial considerations limit these purchases.

Funding and Costs

The AOC/JJSD provides the primary funding for Treatment. In fiscal year 1997, AOC spent approximately 45% of its budget, or more than \$19 million, on intervention treatment services. These services are funded almost exclusively by state appropriations.

To further understand the components of intervention treatment costs, we reviewed the AOC/JJSD current service procurement process, and conducted financial and operations reviews of thirty-nine service providers of these services. This provider sample represents approximately 10% of total providers contracting with AOC/JJSD. However, the amounts paid to these providers exceeded 90% of the AOC/JJSD funds spent on intervention treatment. Our examination focused primarily on the providers' cost structures and the development of unit rates for services provided under their contracts with the AOC/JJSD.

AOC/JJSD Service Procurement Process

The AOC/JJSD has made a significant effort to ensure that youths in the juvenile system receive effective, timely treatment in a culturally sensitive environment. This treatment is often provided through contracts with private providers.

An analysis of recent service procurement documentation revealed that the process is thorough and comprehensive. In fact, we believe that AOC/JJSD has one of the best service procurement processes we have seen for human services entities in the country.

To initiate the process, providers must become a pre-qualified vendor. They do this by meeting the requirements for each the following focus areas:

Power To Contract,
Insurance,
Organizational Capacity,
Accountability,
Fiscal Capacity, and
Management Capacity.

In addition, general requirements for potential providers have been defined and cover topics ranging from orientation and annual training, to mandatory reporting to supervision and food service. Once a provider has been awarded this designation, it may submit proposals to provide services currently being solicited by AAOC/JJSD. The service procurement effort is on-going to meet system needs. The solicitation documents include a service specification manual, which includes the following for each service category and type:

- Definition;
- Standards and Licensure Requirements;
- Unit of Service Clarification;
- Service Goals;
- Service Tasks including reporting performance and outcome measures and the steps necessary to meet specified service delivery models;
- Other Requirements; and
- Rate Proposal.

These are important components of solicitation, as they provide the bidder with a standard, comprehensive understanding of the nature of the services and how the services are to be delivered. The rate proposal for each service must be substantiated with a detailed annual operational budget, with average cost per youth based on projections of annual service levels, and the percentage of court involved youth. These items allow AOC/JJSD to develop an understanding of the estimated cost basis for services, thereby allowing them to begin actual rate negotiations. We have not seen a more thorough definition, documentation and guidance approach for service providers in other public entities we have examined.

Overall, standard rates have been developed and paid to providers meeting basic requirements. However, AOC/JJSD does provide exceptions, such as enhanced rates for service delivery in rural areas and bilingual services. These standard rate exceptions are negotiated and authorized by the Contract Officer. Another example noted is the use of “flexible” case management and incentive reimbursement to improve outcomes of a family preservation program known as Renewing Arizona Family Traditions (RAFT).

AOC/JJSD at times reimburses providers through a block purchase of services. In other words, to ensure availability of treatment slots for juveniles in the system, AOC/JJSD will pay a provider for an established number of treatment slots, whether those slots are actually used on a daily, weekly or monthly basis. This type of procurement is most effective in encouraging providers to maintain services in areas where they otherwise may not be able to sustain costs of running the business (i.e., rural areas). AOC/JJSD uses this reimbursement approach when overall service provision can be enhanced.

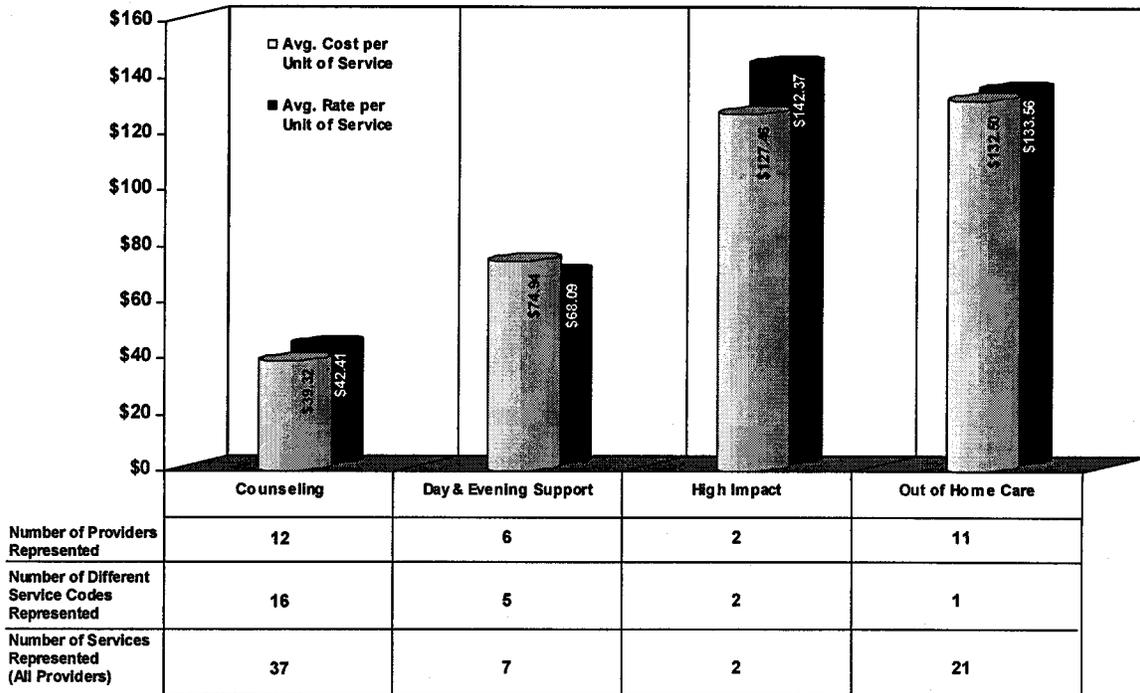
Flexible rate structures and outcome-based rate incentives are critical to successful procurement of effective, outcome-based services. AOC/JJSD is a leading public agency in offering these incentives as part of its service procurement process. This process will likely continue to improve as more measurable outcomes are tracked over time.

Provider Cost and Reimbursement Rate Comparison

In an attempt to validate the actual success of the AOC/JJSD procurement process, an analysis was done to re-calculate providers’ costs of providing services as part of the site visits. We then compared these costs to the AOC/JJSD reimbursement rates for related services. For ease of presentation and comparison, rates were consolidated into four representative categories. For purposes of this financial review, the four categories are:

- High Impact,
- Out-of-Home Care,
- Day and Evening Support, and
- Counseling and Evaluations

Exhibit 5-13 below summarizes the results of our comparison.



Overall, this analysis demonstrates that average reimbursement rates in each category closely correlate with average provider costs to perform these services. While some individual provider costs and reimbursement rates vary greater than these averages, the results of this analysis tend to validate the effectiveness of the AOC/JJSD procurement process.

AOC/JJSD and SPOC Reimbursement Rates Comparison

In our review, we noted that Single Purchase of Care (SPOC) rates could have a substantial impact on the cost of treatment services for AOC/JJSD. We performed a comparison of AOC/JJSD rates and SPOC rates and found potential cost increases of between 1% and 21% for the service categories described previously.

County Reversion of Treatment Funds

During site visits to County Probation Departments, concern about limitations of treatment options and funds in rural counties was often expressed. We found that the lack of placement slots affected the Departments spending patterns and ultimately resulted in the reversion of part of their treatment budget to AOC/JJSD.

Our examination, which incorporated funding information from the AOC/JJSD revealed that 12 of the 15 counties reverted some portion of their state appropriated treatment budgets, ranging from 3% to 19% of the budgeted funds. These reversions were not unique to rural counties. Both urban counties returned a portion of their treatment funds to the AOC/JJSD.

While the lack of available treatment placements did contribute to the budget and actual expenditure variances, a conservative allotment of treatment units and inadequate budgetary information also contributed to the reversion of budgeted treatment dollars.

Given the large financial investment made by the state in Treatment, it is important to gain an understanding of the results of those services. Tracking of outcomes measures is the only way to effectively gain control of the inputs and outputs of Treatment.

Outcomes and Results

Throughout this review, a number of performance and outcome measures were identified to determine whether a particular program or process in the juvenile justice continuum is cost-effective. The identified performance measures address timeliness, cost-effectiveness, and compliance standards to determine how well the programs and the system are working. These outcome measures quantify and qualify the success of treatment by addressing behavior modification, education improvements, treatment improvements, parole violations, continued drug use, and recidivism, by type of offense.

In Arizona, these measures do not exist system-wide or in individual components of the continuum. Arizona's juvenile justice treatment component has not implemented necessary performance and outcome measures to determine the success and cost-effectiveness of various programs. The individual providers do not have the formalized measures in place. In fact, many of the providers we visited noted that even if they had time or money to implement the measures, they do not know *how* to implement the measures. However, the vast majority of the providers expressed a desire to determine if their program "works" and if it doesn't, how to make it better.

The inability to determine what "works" and what does not work led the legislature to fund this evaluation study. Implementation of the measures at a provider level, and at a system level, must come from the AOC, the "hub" of Arizona's juvenile justice system.

The AOC recently started to implement necessary performance and outcome measures in Treatment. In the 1999 Request for Proposals and Contracts, the AOC will now require each contracted provider and program to have established performance and outcome measures.

AOC/JJSD is currently working to establish a pilot project to measure outcomes at a select number of programs. They will be working with a consultant who will identify incentives for cooperation and to assist in designing or adopting a standardized data collection tool.

The AOC needs to continue its active role in determining the cost-effectiveness of its programs. In addition to playing a forceful role in requiring measures, the AOC assume a support role in the implementing these measures. Through training and conferences, the AOC must educate the providers and train them to implement the measures.

Performance Measures

The June 1998 deliverable identified a number of key performance and outcome measures by treatment service type. For purposes of this report, we have identified the following key performance measures for the overall treatment services:

- The cost per bed, if applicable,
- The average daily population or number of youth served,
- The average length of treatment,
- Percentage of housing units meeting or exceeding policies and standards, if applicable,
- Staff to juvenile ratio,
- Percentage of juveniles receiving complete assessment and classifications between 14 and 21 days,
- Quality and completeness of case files,
- Hours of structured programming and treatment per day per juvenile,
- Availability and quality of programming, including therapeutic, educational, and vocational programming,
- Average number of documented hours worked per juvenile,
- Staff turnover rate,
- Psychiatry caseloads, and
- Average number of staff training hours.

Based on visits to 39 providers, it was determined that identified performance measures are attainable by the majority of the visited service providers. However, the measures are not easily accessible, as they are not automated or gathered by the AOC in one centralized database. Nor are they gathered on an annual basis. Currently they are gathered on an as-needed basis only. Providers had difficulty in providing our team with demographic data on the population served during fiscal year 1997. Many providers expressed frustration in not having access to data that would allow them to measure long term success or failure of youth that had completed their programs.

Outcome Measures

The following outcome measures are necessary to determine the success of treatment services:

- The percentage of juveniles who successfully complete the program,
- The number and percentage of treated juveniles who recidivate (by re-arrest, re-adjudication, re-conviction) by seriousness of offense,

- The amount of time elapsed before the juvenile is readjudicated,
- The number and percentage of probation and parole revocations,
- The number and percentage of treated youth who successfully complete court-ordered restitution, fines, and community service,
- The percentage of those who receive a GED or high school diploma,
- The number and percentage of children who leave the system who are in school or employed,
- The job and school retention rates at 6, 12, and 24 months, and
- The number and percentage of youth who continue to use alcohol or controlled substances at one month, 6 months, 18 months after release.

These outcome measures are not currently gathered in a centralized, automated way. Therefore, part of the site visit focus was to gather these outcome measures to determine the program's success. At the vast majority of the service providers, these measures were unattainable. The AOC as well has not gathered these measures to determine the success of the programs. However, by working in conjunction with the AOC, we were able to gather some of these measures through an analysis and data extraction from the JOLTS system.

The JOLTS data system will support many of identified outcome measures. Prior to this review, this information had not been reported. To analyze this data, we contracted with a programmer who extracted the necessary information from the various JOLTS platforms. We worked closely with the Research & Planning Division of the Maricopa County Juvenile Probation Department and AOC/JJSD to refine the data request to determine the recidivism rates during and after various treatment options. Throughout the remainder of this section, we utilize the JOLTS data to assess the success and cost-effectiveness of the contracted service treatment options.

Current Performance and Outcome Measures

The performance and outcome information currently tracked by the service providers is limited in scope and sophistication. Of 39 providers visited, 44% (17) were able to provide us with a variety of performance and outcome related reports. These reports ranged from client and family surveys to outside research. Some providers had multiple outcome indicators to determine the program's performance. Methods of performance evaluation found include:

- 15 of the 17 identified providers completed client satisfaction and other related surveys;
- 12 completed case file reviews;
- Three completed direct internal observation;
- Four completed JOLTS data studies; and

- One provider hired outside researchers.

The client satisfaction survey is the most utilized performance and outcome tool. However, it is limited in its ability to determine long-term success of the program. The majority of client satisfaction surveys are completed upon the juvenile's departure from the program and follow-up surveys to determine continued success of the program are rarely completed. In addition, the post office returns many of these surveys because the client has moved and left no forwarding address. Most surveys are never returned even when they include a self-addressed stamped envelope, and a money incentive to complete the survey. Due to extremely low survey completion rates, the survey outcome tool provides limited data on long-term program outcomes (e.g., recidivism after 12 months, etc.)

Client satisfaction surveys are best utilized immediately before the youth's dismissal from the program. A review of these survey internal reports found that:

- 62% of the providers scored "good" on the overall performance,
- 23% of the providers scored "fair" on the overall performance, and
- 15% of the providers scored "poor" on the overall performance.

Overall, the existing provider-level performance and outcome measures are unable to determine the success of their programs. Few identified provider-level targets are established to definitively answer the following questions each year:

- Did the program or service have a positive impact on the juvenile's life?
- How well were the programs or services delivered?
- Did the program or service reduce recidivism?
- How many juveniles were served and what is the annual unit cost?
- How many juveniles successfully completed the program?

JOLTS Data Analysis

Methodology

This analysis of treatment costs and recidivism was conducted using data extracted from Juvenile On-line Tracking System (JOLTS) – the data collection tool used by all County Juvenile Probation Departments in Arizona. The following description explains the extraction process and the steps followed to present the data in a meaningful way.

- **Treatment Extract File:** A record was selected for the extract file if a juvenile received treatment between July 1, 1996 and June 30, 1997 (FY 1997). An examination of the treatment database (the P250 and P251 files on AOC400) was made to determine which juveniles had treatment during this time period. A juvenile could have multiple records in the extract file if that juvenile had more than one treatment type during the time period (e.g., a juvenile might have received drug counseling and day support services).

- **JOLTS Extract File:** After the treatment information file was created, it was uploaded to each of the four AS/400 in Arizona that maintain juvenile court data. Another extract program was written and ran on each of these computers. This second extract program examined data about the juvenile in the treatment file and wrote demographic information on each juvenile to the extract file (e.g., gender, ethnicity, age), and referral information both prior to the treatment and subsequent to the treatment.
- **Recidivism File:** The JOLTS extract file was used with a third extract program that computed recidivism rates for each of the treatment types. Recidivism rates for each service code were determined for juveniles in the treatment program, six-months after treatment, 12-months after treatment, and during the sixth to twelfth month following treatment.

Data Set

The entire JOLTS database contained 37,274 treatment records representing 20,846 unique juveniles. There were approximately 270 records removed because of missing demographic or recidivism information; 434 records were removed because of missing offense data; and 8,191 records were removed because their dates of treatment did not fall within fiscal year 1997. An additional 9,454 records were excluded because the service codes were not actual direct treatment services (e.g., psychological evaluations and assessments and urinalysis testing).

The final data analysis is based on 18,925 treatment records representing 13,245 unique juveniles. Unless otherwise noted, the remainder of this section will discuss the findings of the 18,925 treatment records, unless otherwise noted.

Services

The service types selected for inclusion in the analysis include treatment programs that are primarily focused on changing behavior. As noted above, services such as psychological evaluations and urinalysis testing were removed from the data set because they are primarily assessment or compliance services. The analysis is based on the review of 47 service codes grouped into 17 treatment categories. The categories are defined as follows:

Behavior Specific Education Classes: Education classes focused on a specific behavior (e.g., substance abuse, gang prevention, anger management). One unit of service equals one class (classes may be of varying lengths).

Group Home Services: Includes both Level II and III group home care (locked or unlocked/with or without an on-site school). Therapeutic focus is to provide group home care, supported by intervention, where youth receive services which improve or stabilize the individual's behavioral health, prevent placement in a more restrictive environment,

with the goal of enabling the individual to move to a less restrictive level of care as soon as treatment goals are met. One unit of service is equal to any part of a residential day. This category is comprised of the following service codes:

- Group Home (DES)
- Therapeutic Group Home
- Level II Therapeutic Group Home
- Level II Therapeutic Group Home (OBHL)
- Level II Therapeutic Group Home – Locked
- Level II Therapeutic Group Home – Unlocked
- Level II Behavioral Health Group Home (OBHL)
- Therapeutic Group Home (DES)

Day Support Services: Includes day support and intensive day support which provides for a minimum of 3 to 5 hours of highly structured, closely supervised day time programming for youth not enrolled in public school. Structure is provided in the form of organized academic education, general and substance abuse counseling, pre-vocational services, independent living skill development, social and/or recreational activities. One unit is one day of services. This category is comprised of the following service codes:

- Half Day Support
- Intensive Day Support
- Partial Care Full Day: Basic
- Partial Care Full Day: Intensive
- Partial Care Half Day: Intensive
- Partial Care Half Day: Basic
- Partial Care Half Day: Intensive

Evening Support: Provides a minimum 3 hours of supplemental services to youth who may attend daytime school. Services often include supplemental education, tutoring, GED study, pre-vocational and/or vocational instruction, individual living skills developments, general counseling activities, substance abuse counseling, social and/or recreational activities. Structure and supervision may be moderate to intensive with flexibility to accommodate changes in individual needs. One unit is one evening of services.

Shelter Care Services: Provides a safe, short-term living environment. No treatment services are offered. One unit of services is one day. This category is comprised of the following service codes:

- Shelter (DES)

- Level II Crisis Shelter (OBHL)

Foster Care: Provides a safe, living environment in a family setting. One unit is one day. This category is comprised of the following service codes:

- Professional Therapeutic Foster Home
- Therapeutic Foster Home

JCAHO are intensive therapeutic residential placements, such as residential drug treatment or sex offender programs. This category is comprised of the following service codes:

- JCAHO/Level I Residential (Locked/Unlocked)
- JCAHO/Level I Residential
- JCAHO/Level I Residential – Locked
- JCAHO/Level I Residential – Unlocked

High Impact Program: Physically intensive program designed to change negative behaviors by breaking patterns of delinquency through structured rehabilitation and by teaching positive behaviors. One unit of service equals one day.

Outreach and Tracking: Services focused on keeping the youth in the community by providing supervision and monitoring. It is often delivered along with Day or Evening Support. One unit of service equals one day.

Family Preservation: Intensive in-home services for youth at-risk of commitment to ADJC. Services are delivered to the juvenile and his or her family in the home. One unit of services equals one hour.

Renewing Arizona Family Traditions (RAFT): Intensive in-home services delivered to the juvenile and his or her family for those juveniles at-risk of commitment to ADJC. One unit of services is one hour. The AOC is planning to merge RAFT and Family Preservation into one program in the next fiscal year.

Counseling Services are therapeutic services delivered to individual or group, in an office or home setting. The Counseling services were divided by type:

- Home-Based
- Group
- Family
- Individual

The individual and family counseling was also sub-divided into Ph.d. or Masters level counselor.

Recidivism Analysis

The recidivism analysis does not include juveniles who turned 18 years old during the period reviewed. For this analysis, recidivism is defined as a new referral during the period of treatment, within 6 months of completing treatment and within 12 months of completing treatment. Technical probation violations were not considered as a new referral and are not included in this data.

Recidivism weight is also considered and represented in the charts located in **Appendix C**. The weights are defined as follows:

“Less” means a new referral of lesser severity than the offense committed prior to treatment.

“Same” means a new referral of equal severity as the offense committed prior to treatment.

“More” means a new referral of greater severity than the offense committed prior to treatment.

In addition, “Success” is defined as having no new referrals during the period of time reviewed.

Risk Level

In refining our analysis of successful treatments, we attempted to stratify the population based on a combination of number of prior offenses, and the severity of the last known offense at the start of treatment. In developing this factor we grouped and scored the information as follows:

<u>Number of Prior Offenses</u>	<u>Analysis Value</u>
0-3	2
4-7	3
8+	4

<u>Severity of Last Offense</u>	<u>Analysis Value</u>
01 - Violent (Felony Crime Against a Person)	4
02 - Grand Theft	4
03 - Obstruction (Hindering Justice)	3
04 - Fight (Misdemeanor Crime Against a Person)	3
05 - Drug Offenses	3
06 - Peace (Disturbing the Peace, etc.)	2
07 - Theft (Misdemeanor Against Property)	2

08 - Status (Incorrigible, Runaway, etc.)	2
09 - Citations/Administrative	2

The values for each category were totalled to develop overall risk scores summarizing the treatment information into the following categories.

<u>Summary Risk Category</u>	<u>Combined Value</u>
Low	4
Medium	5,6
High	7,8

Determination of risk classification was necessary to appropriately analyze the data. It is important to note, however, that this is a *limited* risk classification. In order for an exhaustive study on cost-effectiveness, a number of additional factors, including substance abuse issues, prior treatment, gang affiliation and family history, must be utilized to determine the risk level. Risk classification and subsequent analyses are a preliminary start and meant to begin to answer the question "what is working?" The data is presented to give a management level assessment of the services and should help direct future research. Additional research should be undertaken with this information.

Findings

Of the identified treatment options listed above, the most court utilized treatment in fiscal year 1997 was Behavioral Education Classes and the least utilized was High Impact Programs.

Exhibit 5-14:

FY 1997 The Most Utilized Treatment Options By Cost and Success

Court-Referred Treatment Option	Number of Youth Served	Average Cost of Service Per Juvenile	Overall Success
Behavioral Education Classes	5408	\$65	65%
Counseling-Individual (Masters)	3532	\$197	57%
Counseling – Group	2807	\$192	54%
Counseling –Family (Masters)	2164	\$170	57%
Counseling-Home Based	1705	\$337	48%
Evening Support	798	\$1,031	49%
Day Support Programs	743	\$1,592	45%
Shelter Services	401	\$1,379	42%
Outreach and Tracking	350	\$1,408	40%
JCAHO Services	284	\$12,796	50%
Counseling – Individual (Ph.d.)	202	\$232	58%

RAFT	201	\$3,103	34%
Counseling – Family (Ph.d.)	182	\$231	60%
Group Home Treatment	172	\$7,148	51%
Family Preservation	86	\$2,058	40%
High Impact Programs	26	\$8,164	35%
Foster Care	43	\$4,779	35%
Total	18,925	\$552.29	48%

Exhibit 5-14 illustrates that in FY 1997, the most utilized treatment options were the least costly. The four most utilized treatment options, Behavioral Education and Individual, Group and Family Counseling, are also the four least costly options, representing 74% of all the treatment placements noted above. These four options also represent the top tier of success ranging from 65% success rate to 54%. Although these success rates are noteworthy, it is important to keep in mind that many factors impact the success of the programs. One essential factor is the risk-level of the youth being served, which will be discussed further below.

The average treatment costs for all 37,274 treatment records, which included the less costly urinalysis testing and assessments, was \$452.35 per juvenile. The average cost for the seventeen service categories alone was \$552.29, only \$10 more than the entire database of all treatment options. This slight increase in treatment costs is surprising given the fact that the \$552.29 represents a much smaller data set and includes the most expensive services. This further demonstrates Arizona's primary use of the less costly treatment options.

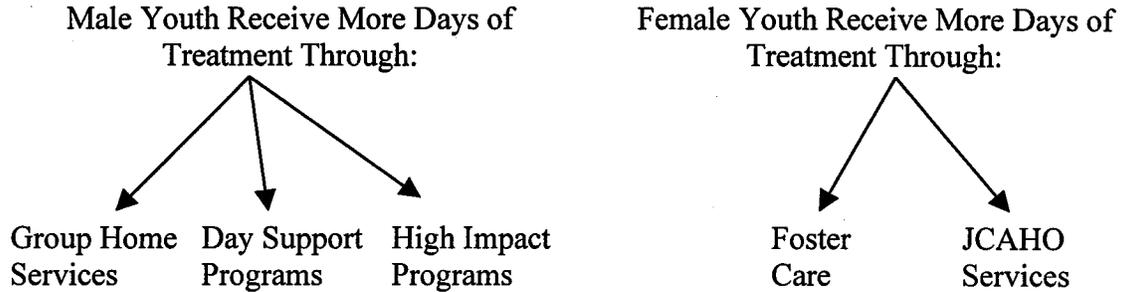
The Gender Factor

Although many concerns were expressed during the site visits regarding male youth receiving more court-related treatment options than female youth, the numbers presented here do not substantiate the concerns. Of all the fiscal year 1997 court referred youth (34,182 males and 16,022 females) there is an equal percentage of males and females receiving treatment. In fiscal year 1997, 26 percent of the court-referred females and 26 percent of the court-referred males received treatment services. Also, within our data set, a similar percentage of male and female youth are receiving multiple services, 44% and 40% respectively.

Due to the overall court-referred numbers of male youth exceeding female youth by over 2 to 1, the majority of youth (69%) receiving treatment services are males. By treatment category, the largest gender differences are illustrated in High Impact programs where 88.5% of treated youth are males and in Foster Care placements where 84% of treated youth are males. Shelter Services is the most equally gender distributed court treatment option, with 58% of the treated youth being males and 42% being females.

On average, the male youth receive longer treatment as determined by average units of service. The differences in length of service are notable in particular service areas, such as Group Home Services and Day Support Programs where male youth receive about 10 more days of service than females; and High Impact programs where males receive almost 20 more days of service than females.

In other service categories, such as Foster Care and JCAHO Services, female youth receive from 10 to 13 service days more than male youth. In Family and Home-Based Counseling, Shelter Services, and Outreach and Tracking, female youth receive a slightly longer service duration than male youth.

Exhibit 5-15: Length of Service By Gender

Overall, females tend to be more successful in all treatment methods, with the exception of High Impact programs. Although only three of the 26 High Impact population are females, the percentage of females in treatment who are in the program is consistent with the male percentage.

Although females are more successful than males in Group Home Treatment, this is the only service area where the female youth have higher recidivism rate with greater offense severity than male youth.

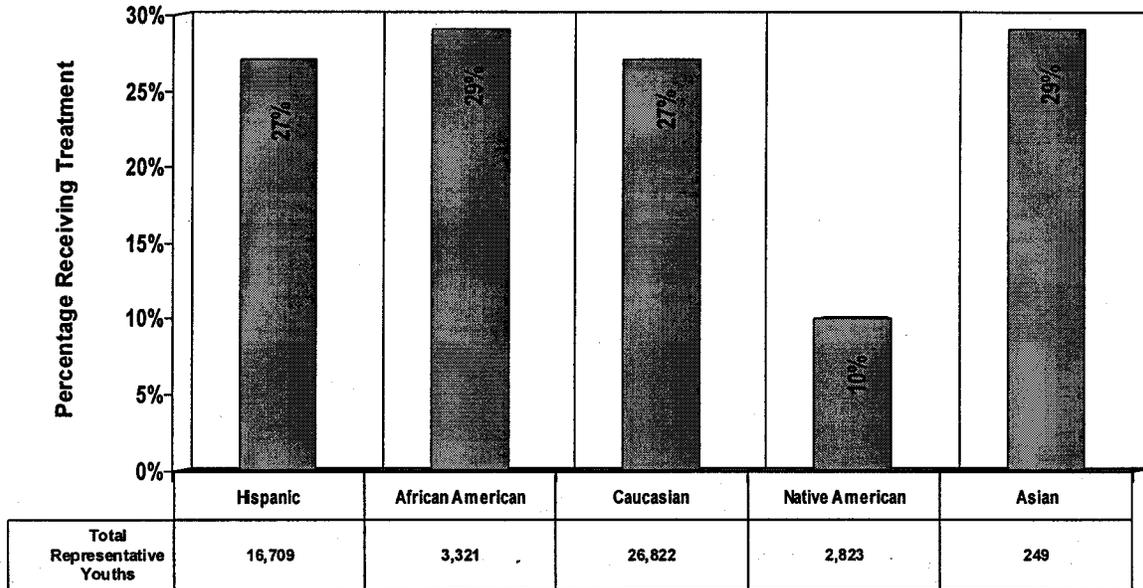
The most significant gender difference in low recidivism rates is seen in the Family Preservation treatment program. In FY 1997, 28 females and 58 males participated in Family Preservation. Of those, 71% of female youth did *not* recidivate within a year after treatment; while 24% of male youth did *not* recidivate. Again, this analysis is only a one-dimensional view of success by program and gender.

A complete gender-specific data set is found in Appendix C.

The Ethnicity Factor

A racial and ethnic breakdown of JOLTS data illustrates similar percentages of Hispanic, African-American, Anglo and Asian court-referred youth receiving treatment services. Although 27% to 29% of other identified youth are receiving treatment, only 10% of the 2,823 Native American court-referred youth received treatment in fiscal year 1997. Native Americans also comprise the smallest percentage of youth receiving multiple services at 35%.

Exhibit 5-16



As Anglos comprised 53% of all FY 1997 court referred youth, it is not surprising that Anglos receive the majority of treatment services. One exception is Evening Support, where Hispanics represent the slim majority of 44% of the services.

On average, all youth appear to be receiving similar lengths of treatment services. The two notable exceptions are African American youth receiving an average of 15 more days of Family Preservation and 45 more days of High Impact Programs than any other ethnic group. Native Americans also received an average of 13 more days of Shelter Care Services than any other ethnic group.

Without accounting for other factors and by analyzing only ethnicity and recidivism, no patterns of success exist based on ethnicity and treatment type. In addition to being the most utilized, Behavioral Education Classes have the first or second highest rate of success for each ethnic group. Some of the lowest percentages of success are among Native Americans in Group Homes (20%); Hispanics in Foster Care (18%); and African Americans in Group Homes (29%), Shelter Care (29%), High Impact Programs (17%) and RAFT (11%). 67% of African Americans in RAFT recidivated with more severity than their previous offense. Again, this analysis of success is only a one-dimensional view of success by program and ethnicity.

A complete ethnic-specific data set is found in Appendix C.

The Success of Treatment by Risk-Level

In order to fully appreciate the value of this data, it must be approached multi-dimensionally. Analyzing program success against one factor, such as gender or race, provides very limited results. The largest gap to that analysis is the type of youth the program is serving. As described in the **Methodology** sub-section, we classified youth into three risk levels, low, medium and high, as determined by number of prior offenses and severity of offense prior to treatment. Identifying the type of the youth being served will help determine if the program is **servicing the proper juveniles** and the degrees of **success by risk level**.

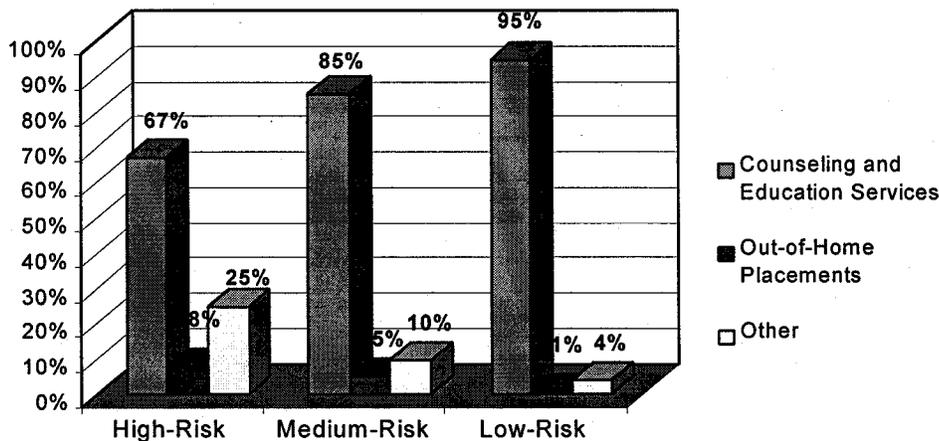
Are Programs Servicing the Proper Juveniles?

Nationally, studies have related the poor performance of certain treatment programs to type of population served. Certain programs are designed to serve a specific level of risk. If these programs are stretched beyond those they can properly serve, the success of the program will decline.

As shown in **Exhibit 5-17**, Arizona focuses on counseling and education services for all risk levels.

Exhibit 5-17

Services By Risk Level

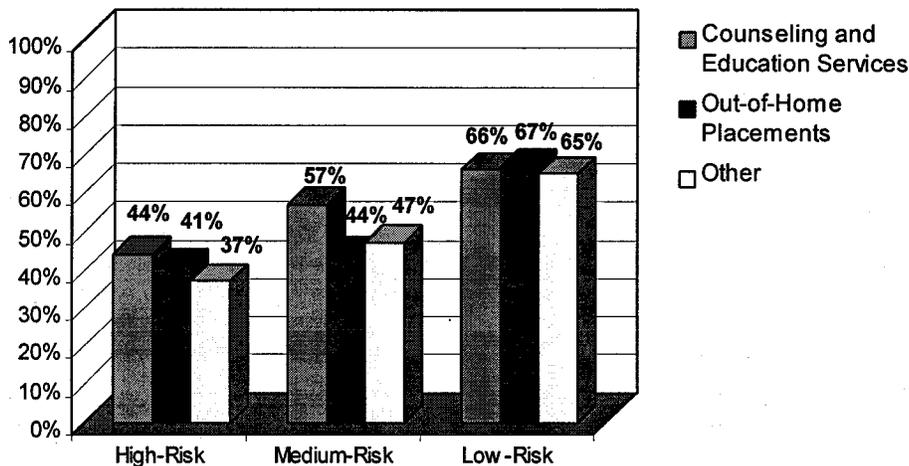


* Other includes Day and Evening Support services, RAFT, Family Preservation and Outreach and Tracking

In Arizona, few out-of-home placement options are utilized, even for the high-risk youth where 257 out of 3130 referrals are placed in an out-of-home service. More utilization of these placements could avoid a large leap from counseling of high-risk youth to secure care. Out-of-home placement is an option that may need to be utilized more prior to secure care placement for high-risk youth.

As shown in *Exhibit 5-18*, the success of counseling and out-of-home placements decreases the higher the level of risk. The high-risk success of least costly counseling and education services is comparable to the success of the more costly out-of-home placements and the most costly secure care. An in-depth analysis of risk and treatment needs to be completed in order to determine the most effective placements for high-risk youth.

Exhibit 5-18 Success of Services by Risk-Level



* Other includes Day and Evening Support services, RAFT, Family Preservation and Outreach and Tracking

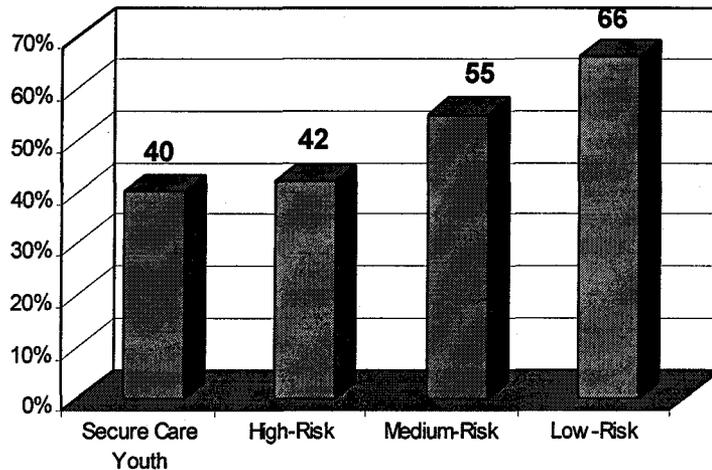
A greater indication of placement appropriateness is the severity of prior offense category. As described in the *Methodology* sub-section above, the severity of the offense prior to treatment is classified as 01 through 09, 01 offenses being the most severe are violent crimes against persons. In fiscal year 1997, 84% of all the 01 offenders within our data set received counseling or education services. The 01 offenders are the most severe in the data set; and yet the vast majority of them received some form of Counseling or Behavior Education Classes. Seven percent of the 01 offenders received an out-of-home placement.

When the majority of the violent offenders receive less structured counseling and education services, there becomes a potential issue of placement appropriateness arises. This issue of placement appropriateness needs to be further analyzed and reviewed.

Success by Risk Level and Treatment Type

Overall, the success of the 17 identified treatment categories varies by risk level. As illustrated in Exhibit 5-18, the higher the risk level, the lower the rate of success. As we

will discuss in Section 6, Secure Care component, which can be argued as the highest-risk level youth, has a comparable success rate to the high-risk court-referred youth.. The degrees of success for each risk level varies by program type as discussed below. A complete risk level data set is located in Appendix C.

Exhibit 5-19**Success of All Treatment By Risk-Level****Most Successful Treatment Options Within each Level of Risk****Low-Risk Youth**

An analysis of *Low-Risk* referrals found that the youth were most successful in structured, out-home services such as Group Homes, where 9 out of 10 referrals did not recidivate within a year of treatment; JCAHO residential placements, where 14 out of the 18 referrals did not recidivate within a year of treatment; and Day Support programs, where 102 out of 143 referrals did not recidivate within a year of treatment. These more structured and extensive programs appear to have more of an impact on the low-risk youth than the medium or high-risk youth.

Surprisingly, a fewer percentage (43%) of the low-risk juveniles received counseling than the medium (62%) and the high (59%) risk juveniles. However, over 95% of all low-risk referrals received the counseling and/or behavior education services.

Overall, the low-risk referrals were the most successful risk level, as defined by recidivism. Sixty-six percent did not recidivate within one year of treatment.

Medium-Risk Youth

An analysis of *Medium-Risk* referrals found that the youth were most successful in counseling and education services such as Behavior Education Classes, where 1486 out of 2374 referrals did not recidivate within a year of treatment; Individual Counseling (Ph.d.), where 69 out of the 114 referrals did not recidivate within a year of treatment; and Family Counseling (Ph.d.), where 53 out of 91 referrals did not recidivate within a year of treatment. Medium-risk youth also succeeded in Evening Support programs, which includes supplemental education, tutoring, GED study, pre-vocational and/or

vocational instruction, individual living skills developments, general counseling activities, substance abuse counseling, social and/or recreational activities. The less structured, more counseling and education oriented programs appear to have more of an impact on the medium-risk youth.

Counseling and Behavioral Education is clearly the most utilized treatment option for medium risk youth. Eighty-five percent of the 10,347 medium-risk referrals are treated with counseling or education. Only about five percent of the medium-risk youth are placed in out-of-home services.

The least successful treatment options for medium-risk referrals appear to be High Impact programs, with a 23% success rate, and Foster Care Services, with a 32% success rate. These two services were also the two highest services that reported recidivating with more severity within the medium risk category.

Overall, the medium-risk referrals were the second most successful as defined by recidivism. Fifty-five percent did not recidivate within one year of treatment.

High-Risk Youth

An analysis of the *High-Risk* referrals found that the youth were most successful in both the structured, out-home services and the less structured Counseling services. The two highest success rates for high-risk youth was Group Home Services, where 30 out of 63 referrals did not recidivate within a year of treatment; and Family Counseling, where 7 out of 15 referrals did not recidivate within one year of treatment. Other Counseling services such as Group and Individual (Masters) treated more youth, 521 and 630 respectively, also reported high success rates of 45 percent. High Impact programs reported the third highest success rate with 6 out of the 13 referrals not recidivating within one year of treatment.

Counseling and Behavior Education services are also the majority of treatment provided to high-risk youth. Surprisingly, out-of-home placement services represent eight percent of the treatment for high-risk youth.

In addition to being the least successful treatment for low-risk youth, RAFT is also the least successful service for high-risk referrals, with a 26% success rate. Although Evening Support and Family Preservation Services had some of the middle-ranged success rates, the two services had the two highest recidivating with more severity rates.

Overall, the high-risk referrals were the least successful risk level as defined by recidivism. Forty-two percent did not recidivate within one year of treatment.

Success by Risk Level and Treatment Type

Given the fact that Counseling and Behavior Education Classes comprise between 67% and 85% of all services within each risk level, it is important to determine the success of the individual programs for each level of risk. *Exhibit 5-20* outlines each treatment type by the most successful risk-level for that service.

Exhibit 5-20:
Each Treatment Type's Most Successful Level of Risk to Serve

Court-Referred Treatment Options	Most Successful Risk Level Served	Number of Youth Treated Within that Risk-Level	Percentage of Success Within that Risk Level
Behavioral Education Classes	Low-Risk	2807	69%
Counseling-Family (Masters)	Low-Risk	626	63%
Counseling – Family (Ph.d.)	Low-Risk	76	66%
Counseling –Group	Low-Risk	439	60%
Counseling-Individual (Masters)	Low-Risk	892	64%
Counseling – Individual (Ph.d.)	Low-Risk	61	66%
Counseling – Home Based	Low-Risk	268	57%
Day Support	Low-Risk	143	71%
Evening Support	Medium-Risk	420	58%
Family Preservation	Medium-Risk	21	43%
RAFT	Medium-Risk	111	43%
Foster Care Services	Low-Risk	3	67%
Group Home Services	Low-Risk	10	90%
High Impact Programs	High-Risk	13	46%
JCAHO	Low-Risk	18	78%
Shelter Care Services	Low-Risk	41	56%
Outreach and Tracking	Low-Risk	43	53%

It was not surprising to discover that the majority of identified treatment programs were most successful with low-risk youth as seen in Exhibit 5-X. High Impact programs, which exist to primarily treat high-risk youth, are the only service type that was most successful with high-risk youth.

In order to gain an understanding of the success of the treatment programs, we must also analyze the nonsuccess of the programs. Exhibit 5-21 illustrates the least successful risk level each program serves.

Exhibit 5-21:
Each Treatment Type's Least Successful Level of Risk to Serve

Court-Referred Treatment Options	Least Successful Risk Level Served	Number of Youth Treated Within that Risk-Level	Percentage of Success Within that Risk Level
Behavioral Education Classes	High-Risk	227	42%
Counseling-Family (Masters)	High-Risk	285	44%
Counseling – Family (Ph.d.)	High-Risk	15	47%
Counseling –Group	High-Risk	521	45%
Counseling-Individual (Masters)	High-Risk	630	45%
Counseling – Individual (Ph.d.)	High-Risk	27	33%
Counseling – Home Based	High-Risk	378	40%
Day Support	High-Risk	215	33%
Evening Support	High-Risk	378	40%
Family Preservation	High-Risk	65	38%
RAFT	High-Risk	69	26%
Foster Care Services	Medium-Risk	31	32%
Group Home Services	Medium/High	99/63	48%
High Impact Programs	Medium-Risk	13	23%
JCAHO	High-Risk	58	41%
Shelter Care Services	High-Risk	114	38%
Outreach and Tracking	Medium/High	178/63	38%

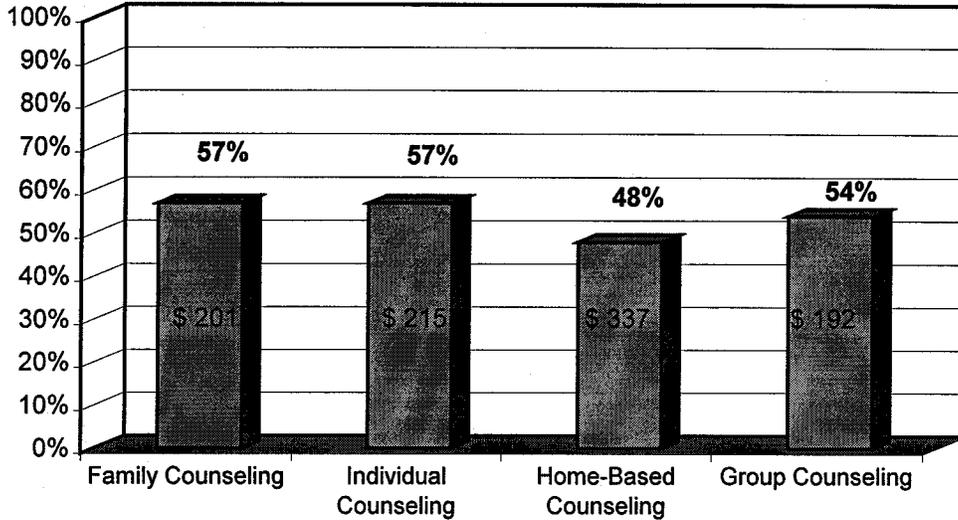
The majority of the service types are least successful with high-risk youth, averaging a 58% recidivism rate in the high-risk youth they serve.

An Analysis of Counseling

Due to the fact that Counseling Services represent 56% of all treatment services in our data set, we decided to take a close look at the various services within Counseling. First, we analyzed the utilization and success of family, individual, group and home-based counseling. Within the 10,592 referrals served by counseling, the majority are treated with individual counseling and the fewest referrals are served with home-based counseling, which is the most expensive form of counseling, averaging \$337 per youth.

The overall success of these four methods of counseling are shown in Exhibit 5-22 below.

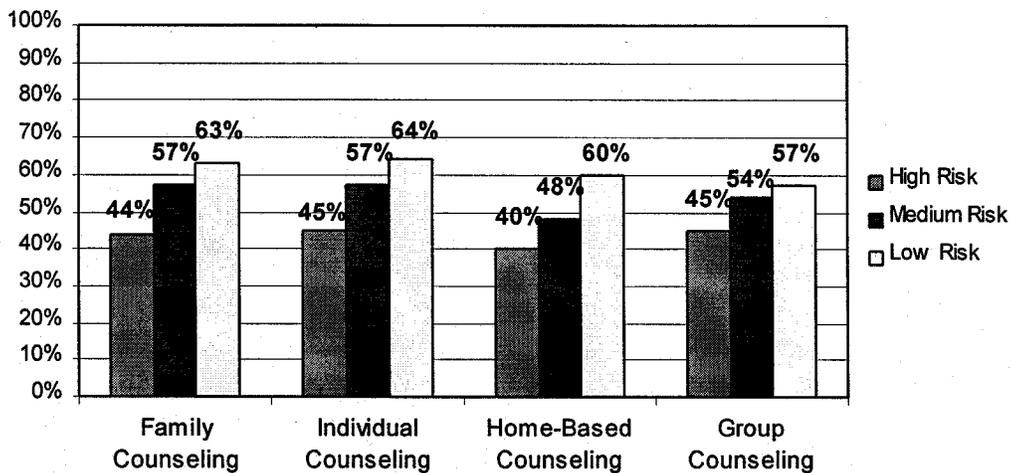
Overall Success of Counseling Methods



For the most part, the success of the methods of counseling are comparable within each risk level, with slight variations. *Exhibit 5-23* illustrates each counseling methods success with high, medium and low-risk referrals.

Exhibit 5-23

Percentage of Success By Method of Counseling and Risk Level

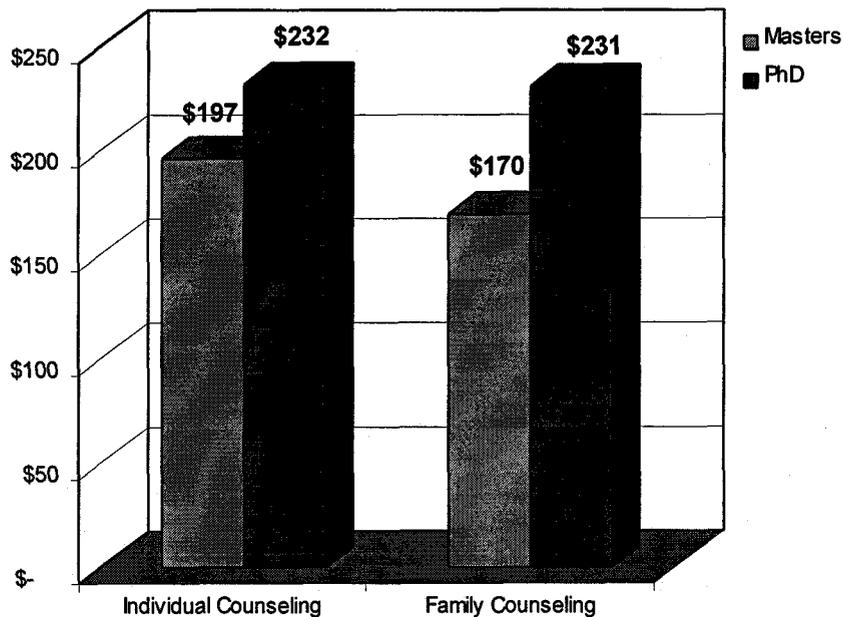


Next, we analyzed the differences between Ph.d. and Masters level counseling services. The Masters level counseling services for both family and individual, are utilized much more than the Ph.d. level counseling. For family counseling, Master-degreed counselors are utilized at almost 12 times the rate of Ph.d. counselors. For individual counseling,

Master-degree counselors are utilized at over 17 times the rate of Ph.d. counselors. The high utilization of Masters-level counselors can be tied to the cheaper costs as shown in *Exhibit 5-24* below.

Exhibit 5-24

Average Costs of Masters v. PhD Counseling



In both Individual and Family Counseling, the overall differences in success between Ph.d. and Masters is not significant. In fact, the only statistically significant difference in success is within the high-risk category of individual counseling. Of the high-risk referrals, 45% are successful with Individual Masters-level Counseling versus a 33% success rate for youth in Individual Ph.D.-level Counseling.

Recidivating by Length of Service

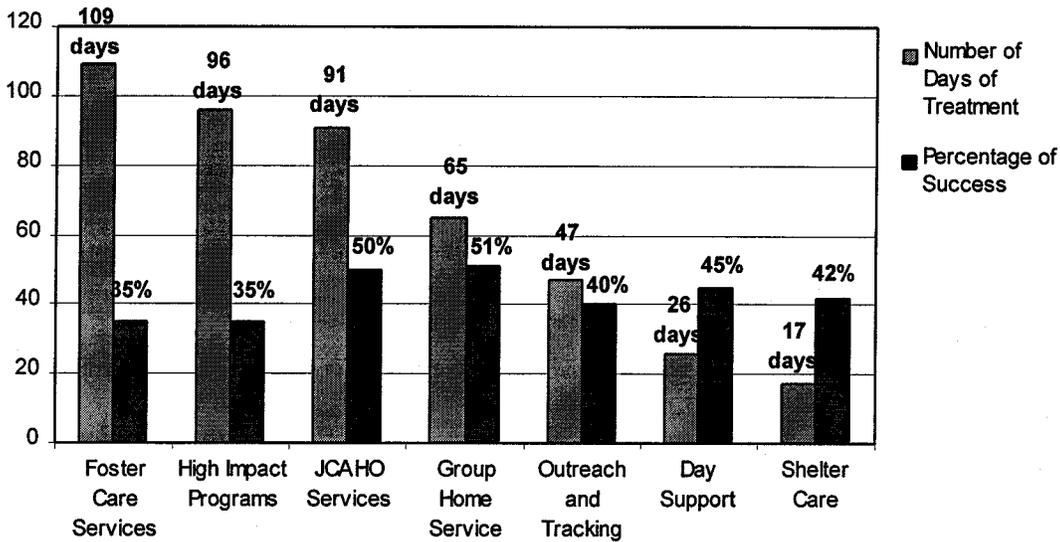
The available treatment services are delivered in different and assessed in different measurements of service. Thirteen of the identified seventeen categories deliver treatment in either hours of service or days of service. The four remaining categories, RAFT, Family Preservation, Evening Support and Behavioral Education were not included in this analysis due to the differing measurements of units of service (e.g., blocked services, evening and classes as units).

Based on the one-dimensional overview, there appears to be an inverse correlation between the success of treatment and length of service. As illustrated in *Exhibit 5-25*, Foster Care and High Impact programs average the two longest lengths of service and the

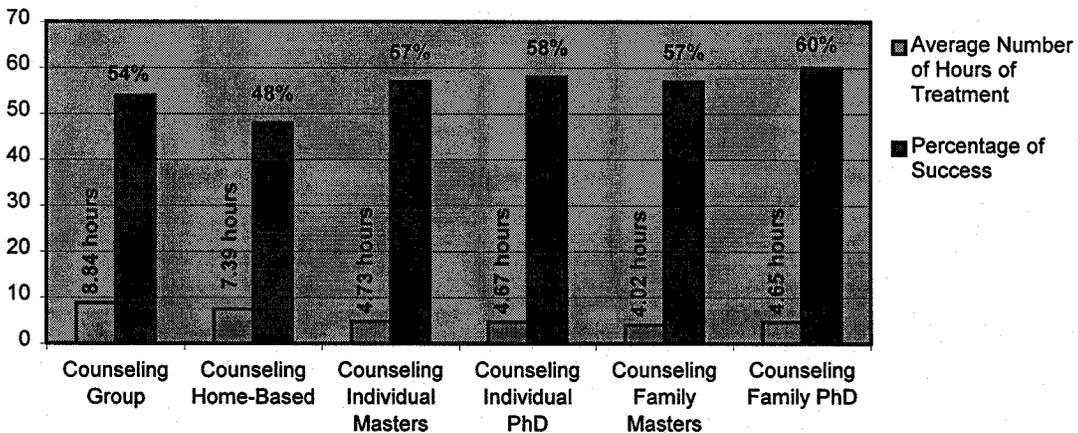
two lowest rates of success. The shortest lengths of treatment, Family Counseling has two of the highest overall success rates.

Exhibit 5-25

Daily Treatment Services by Length of Treatment and Percentage of Success



Hourly Treatment Services by Length of Treatment and Percentage of Success



In fact, on average, the daily, lengthier services have a lower recidivism than the hourly, shorter length of treatment options. As discussed in the *Overview* sub-section, it is important to review the type of services the youth is receiving at the placements rather than just length of service. For instance, although Foster Care averages 109 days of service, the shorter 65 days of Group Home is more successful, possibly due to the treatment provided at the Group Home.

Another key element missing from this analysis is the type of offender being served in the programs. The hourly, shorter lengths of service may appear to be more effective because the type of youth being served is a low-level, low-risk offender. However, in actuality, the medium-risk juveniles represent the majority of youth served in both the hourly, counseling services and the daily, out-of-home services noted in Exhibits 5-26, above. Also, Exhibit 5-26 below illustrates that four out of the top five most utilized services within each risk classification is counseling services. The hourly counseling services are not only primarily serving low-risk youth, but also medium and high-risk youth. All service categories are represented within each risk level, with the exception of Evening Support, Family Preservation and High Impact Programs with low-risk youth.

Exhibit 5-26:

The Most Utilized Services (ranked in order for most to least) By Risk Level

Of Low-Risk Youth	Of Medium-Risk Youth	Of High-Risk Youth
Behavioral Education	Behavioral Education	Counseling – Individual MS
Counseling-Individual-MS	Counseling-Individual-MS	Counseling – Group
Counseling- Family MS	Counseling – Group	Counseling – Home-based
Counseling – Group	Counseling- Family MS	Evening Support
Counseling – Home-based	Counseling – Home-based	Counseling- Family MS
Day Support	Evening Support	Behavioral Education
Counseling Family Ph.d.	Day Support	Day Support
Counseling Individual Ph.d.	Shelter Care	Shelter Care
Outreach and Tracking	Outreach and Tracking	RAFT
Shelter Care	Counseling-Individual-PhD	Family Preservation
RAFT	RAFT	Group Home
JCAHO	Group Home	Outreach and Tracking
Group Home	JCAHO	JCAHO
Foster Care	Counseling Family Ph.d.	Counseling-Individual-PhD
	Foster Care	Counseling Family Ph.d.
	Family Preservation	High Impact
	High Impact	Foster Care

A full data set of cost-effectiveness is located in Appendix C.

Cost-Effectiveness

Cost-effectiveness is a key measure in evaluating the performance and success of treatment services. As noted throughout this JOLTS data analysis section, the information presented is just the beginning to determining the cost-effectiveness of juvenile justice related programs. The presented information is limited in the scope (fiscal year 1997), the risk level (as determined by only two measures), and the successful completion of the program..

The charts and tables on the following pages are intended to provide a high-level summary of the costs of success for the categories of treatment defined previously in this section.

For purposes of this analysis, average cost represents the average cost to serve one child in that setting for the duration of the treatment for the period sampled. The success rate is defined as the rate of children who did not commit any offenses in the twelve-month period following completion of treatment for the period sampled. *The cost per percentage of success* was calculated by comparing the average cost to the total percentage points of success for that treatment grouping in that risk category.

As shown in **Exhibit 5-27** below, low-risk youth are more successful for less money in the seventeen identified treatment categories. Surprisingly, it is the medium risk youth that are the most costly to the system for the least amount of success.

Exhibit 5-27

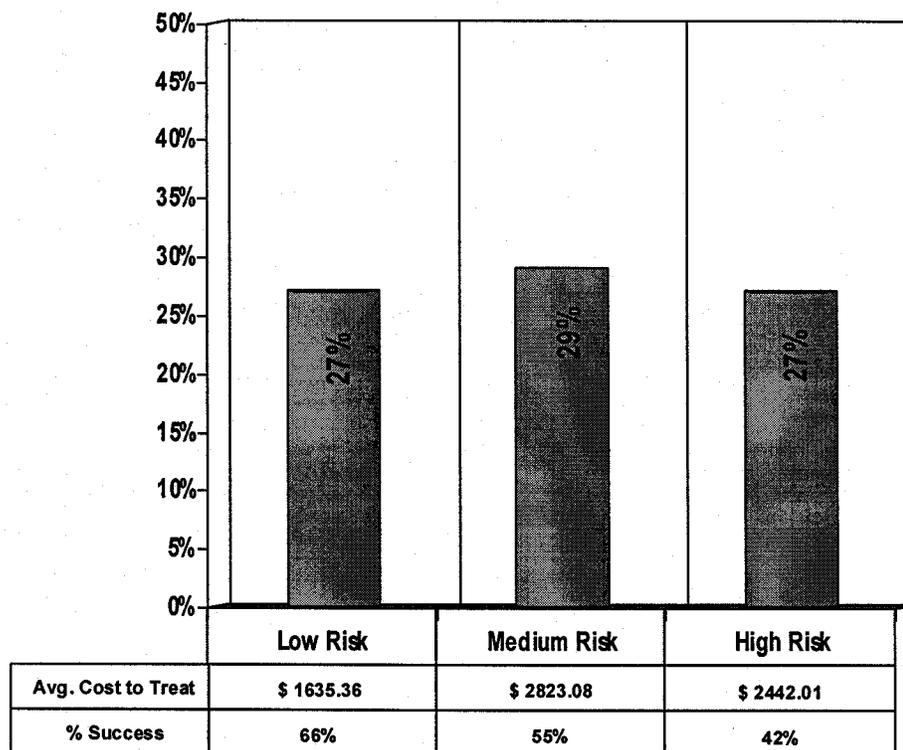
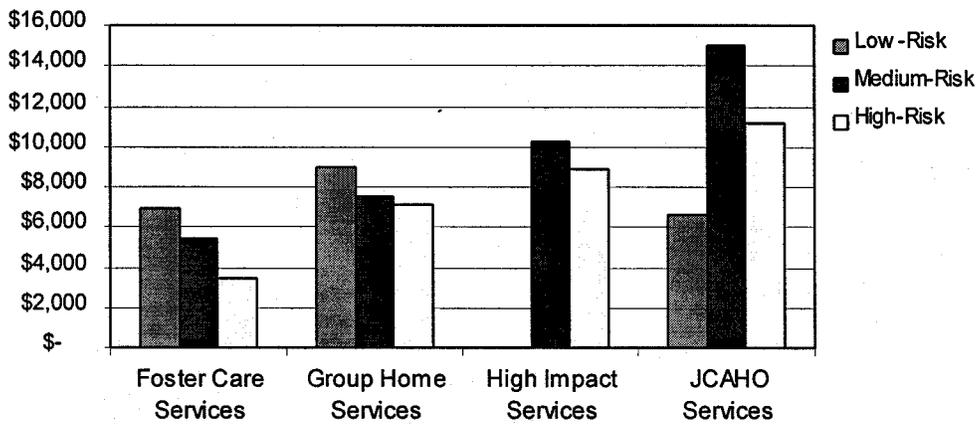


Exhibit 5-27 above demonstrates that the juvenile justice system is providing medium-risk youth with more services for longer periods of time at a lower return of success per service. Higher-risk youth are actually receiving less service units than the medium risk youth, and are thereby, less costly to treat. This potential imbalance in delivery of service needs to be furthered analyzed by the system to determine if more resources need to be spent on the high-risk youth in order to prevent them from ending up in costly Secure Care placements.

The delivery of the costly, more structured out-of-home placements appears to also be out of balance with regards to risk level. Four out of the five out-of-home placements provided low and medium risk youth with more units of service per juvenile as compared to the high-risk youth. These more intensive and highly structured residential placements are most appropriate for the higher risk youth who are in need of a structured environment and intensive therapy. And yet, within the four out-of-home placement service areas, the average cost to treat each referral decreased as the risk level increased. Exhibit 5-28 illustrates this inverse relationship of the juvenile justice costs to treat declining with the increase in the severity of the offender.

Exhibit 5-28

Out-of-Home Average Costs to Treat Declining as Risk-Level Increases



Both the medium and high-risk youth have comparable success rates in the four residential services noted in **Exhibit 5-28** above. As less money is spent on high-risk youth in these services, the high-risk youth have a lower cost per percentage of success than the medium risk youth in these placements. Therefore, it is plausible that the more these services are utilized with the high-risk youth, the more cost-effective the impact will be on recidivism.

As illustrated in **Exhibit 5-29**, the lower-end, less costly treatment services, such as Counseling and Behavior Education, appear to be spending the most resources on medium risk youth. Although high-risk youth are receiving more units of these services than low-risk youth, the medium-risk youth are receiving the most hours of counseling

and education. This method of service delivery for counseling and education appears to be successful. The low-risk youth are demonstrating the highest success rates in counseling and education, followed by the medium risk youth and the high-risk youth.

Exhibit 5-29

Comparative Summary of Costs of Success

Service Category	Cost Per Percentage of Success			Average Cost to Treat		
	Low	Medium	High	Low	Medium	High
Behavior Specific Education Classes	\$ 0.87	\$ 1.14	\$ 1.86	\$ 59.86	\$ 71.84	\$ 78.07
Counseling-Family (Masters)	\$ 2.64	\$ 3.09	\$ 3.51	\$ 166.63	\$ 176.38	\$ 154.62
Counseling-Family (PhD)	\$ 3.44	\$ 3.73	\$ 5.63	\$ 227.10	\$ 216.34	\$ 264.77
Counseling-Family (Masters & PhD)	\$ 2.73	\$ 3.14	\$ 3.63	\$ 173.18	\$ 179.09	\$ 160.13
Counseling-Group	\$ 3.09	\$ 3.84	\$ 4.32	\$ 185.26	\$ 207.21	\$ 194.25
Counseling-Home Based	\$ 5.87	\$ 7.12	\$ 8.42	\$ 334.66	\$ 341.95	\$ 336.67
Counseling-Individual (Masters)	\$ 3.03	\$ 3.55	\$ 4.25	\$ 194.19	\$ 202.23	\$ 191.03
Counseling-Individual (PhD)	\$ 2.71	\$ 4.27	\$ 7.71	\$ 179.09	\$ 260.54	\$ 254.59
Counseling-Individual (Masters & PhD)	\$ 3.01	\$ 3.59	\$ 4.35	\$ 193.22	\$ 205.36	\$ 193.64
Total Counseling	\$ 3.24	\$ 4.08	\$ 4.98	\$ 201.83	\$ 223.05	\$ 217.53
Day Support Services	\$ 7.76	\$ 45.85	\$ 65.33	\$ 551.26	\$ 1,925.84	\$ 2,155.87
Evening Support Services	\$ -	\$ 9.52	\$ 38.13	\$ -	\$ 552.34	\$ 1,525.04
Family Preservation	\$ -	\$ 64.35	\$ 48.71	\$ -	\$ 2,767.11	\$ 1,851.11
RAFT	\$ 62.21	\$ 81.39	\$ 127.82	\$ 2,674.95	\$ 3,011.51	\$ 3,323.38
Foster Care Services	\$ 102.52	\$ 170.97	\$ 105.51	\$ 6,868.72	\$ 5,471.06	\$ 3,481.98
Group Home Services	\$ 99.98	\$ 156.56	\$ 148.53	\$ 8,998.37	\$ 7,514.82	\$ 7,129.39
High Impact Programs	\$ -	\$ 446.70	\$ 193.45	\$ -	\$ 10,274.19	\$ 8,898.59
JCAHO Program	\$ 84.72	\$ 294.45	\$ 271.25	\$ 6,607.85	\$ 15,016.91	\$ 11,121.10
Shelter Care Services	\$ 18.24	\$ 33.74	\$ 39.20	\$ 1,021.40	\$ 1,383.22	\$ 1,489.52
Outreach and Tracking	\$ 25.80	\$ 37.42	\$ 39.64	\$ 1,367.21	\$ 1,421.99	\$ 1,506.24
Category Averages	\$ 30.21	\$ 97.69	\$ 79.52	\$ 1,635.36	\$ 2,823.08	\$ 2,442.01

The system is spending the least amount of counseling dollars on the low-risk youth and receiving the highest returns from them. In fact, it costs Behavior Specific Education classes \$0.87 per percentage of success of low-risk youth. As expected, the costs per percentage of success increase with the level of risk. It is most effective to provide low and medium risk youth with these lower-end services.

In fact, the lower risk youth continue to have the highest rates of success and the lowest treatment costs in all the identified service areas. It is in the best interests of the system to continue to provide the low-risk youth with treatment services early on in order to prevent them from becoming a medium or high risk offender.

Of the seventeen identified treatment programs, the most cost-effective (as defined by lowest cost per percentage of success) for all levels of risk is Behavior Specific Education Classes. The combination of all Counseling services is the next most cost-effective treatment for all risk levels. Within the counseling services, the most cost-effective is Family Counseling, followed by Individual Counseling, then Group Counseling and finally Home-Based Counseling.

Behavioral Education and Counseling are the two consistently cost-effective services for all levels of risk. Throughout the other services, the cost-effectiveness varies by risk

level. However, JCAHO, High Impact Programs, Group Homes and Foster Care are among the least cost-effective services identified.

The following *Exhibit 5-30* outlines the most cost-effective treatment to the least cost-effective treatment for low-risk youth.

Exhibit 5-30

The Most Cost-Effective Services for Low-Risk Youth

Service Category	Cost Per Percentage of Success
Behavior Specific Education Classes	\$0.87
Family Counseling (Masters and Ph.d.)	\$2.73
Individual Counseling (Masters and Ph.d.)	\$3.01
Group Counseling	\$3.09
Home-Based Counseling	\$5.87
Day Support	\$7.76
Shelter Care Services	\$18.24
Outreach and Tracking	\$25.80
RAFT	\$62.21
JCAHO	\$84.72
Group Home Services	\$99.98
Foster Care	\$102.52
TOTAL AVERAGE	\$30.21

Note: High Impact Programs, Family Preservation, and Evening Support were not utilized by low-risk youth in our data-set.

Exhibit 5-31 outlines the greatest to least cost effective treatment for medium risk youth.

Exhibit 5-31

The Most Cost-Effective Services for Medium-Risk Youth

Service Category	Cost Per Percentage of Success
Behavior Specific Education Classes	\$1.14
Family Counseling (Masters and Ph.d.)	\$3.14
Individual Counseling (Masters and Ph.d.)	\$3.59
Group Counseling	\$3.84
Home-Based Counseling	\$7.12

Evening Support	\$9.52
Shelter Care Services	\$33.74
Outreach and Tracking	\$37.42
Day Support	\$45.85
Family Preservation	\$64.35
RAFT	\$81.39
Group Home Services	\$156.56
Foster Care	\$170.97
JCAHO	\$294.45
High Impact Programs	\$446.70
TOTAL AVERAGE	\$97.69

Exhibit 5-32 outlines the greatest to least cost-effective treatment for high-risk youth.

Exhibit 5-32

The Most Cost-Effective Services for High-Risk Youth

Service Category	Cost Per Percentage of Success
Behavior Specific Education Classes	\$1.86
Family Counseling (Masters and Ph.d.)	\$3.63
Group Counseling	\$4.32
Individual Counseling (Masters and Ph.d.)	\$4.35
Home-Based Counseling	\$8.42
Evening Support	\$38.13
Shelter Care Services	\$39.20
Outreach and Tracking	\$39.64
Family Preservation	\$48.71
Day Support	\$65.33
Foster Care	\$105.51
RAFT	\$127.82
Group Home	\$148.53
High Impact	\$193.45
JCAHO	\$271.25
TOTAL AVERAGE	\$79.52

Conclusion

The analysis provided throughout this section should be viewed as a beginning to the extensive evaluation that still needs to take place to determine what works. As mentioned above, the data presented here is limited by a number of factors including:

- the determination of risk level limited to two measures only (prior offenses and severity of offense);
- the sample size was limited to treatments occurring during the period July 1, 1996 through June 30, 1997 only;
- the recidivism data was limited to a year after treatment completion only; and
- there was no information regarding the successful or unsuccessful completion of the treatment program.

In order to fully evaluate the system, success rates, or conversely recidivism rates, should be tracked on an on-going basis to increase the population size from which conclusions are based. Also, in addition to offense history, social and family history, and prior treatment history should be used to determine risk levels.

The noted data limitations may create inconclusive information, and consequently conclusions based on this data may be improper or inappropriate. Accounting for these limitations, this information should be utilized to begin to formulate the basis for performance metrics that will answer the questions necessary to ensure optimum treatment services and placements.

The findings listed above are simply indicators of what may be working for certain youth and what may not. Again, further trend analysis must be completed, in order to define what works for the Arizona Juvenile Justice System.

Case Files

Treatment related case files must track and document the youth's treatment progress and identified issues. One of the goals of treatment is to identify the underlying issues driving the youth toward delinquency. Delinquency is usually the symptom of greater problems. Therefore, comprehensive case files at each treatment phase can be used to alert the next provider of the issues driving the youth's delinquency. Also, the files can alert the courts as to the best course of treatment for the youth by identifying the youth's improvements and relapses. The files are also used to build upon the probation officer's social history of the family and the youth.

Due to the identified importance of the case files, we reviewed over 200 provider files to determine the comprehensiveness and quality of the youth files. While reviewing the case files, we were looking to build a comprehensive picture of each juvenile through education reports, prior placement reports, social history, family information, court information, special needs, and treatment progress.

Our case file review determined that the organization and thoroughness of the case files varied by provider. Due to varying management methodologies, it is apparent that providers will organize case files in different ways. It was time consuming to dig through these non-uniform files searching for similar information. It can be assumed that it is time consuming for court officials as well.

Another time consuming factor in the review of the case files was deciphering the handwritten notes. The majority of the case documentation (daily logs, progress notes, counseling sessions) was handwritten which makes it difficult for probation or other referral agencies to quickly and effectively find the most important facts.

The thoroughness of the case files also varied by provider. Some providers only work with the youth for a short period of time and therefore do not have the time to gather the youth's history, such as education reports and prior placement reports. Other, more long-term providers have the time to track down the youth's history and identify the issues facing the delinquent youth. In general, various items were missing from small portions of the provider case files, such as:

- JOLTS offense history report,
- Current court documents,
- Probation disposition reports,
- Prior service and prior placement progress information,
- Comprehensive family history information,
- Information regarding youth issues and special needs (i.e., mental health issues, abuse and neglect issues, learning disabilities, truancy, gang involvement, etc.),
- Education reports,
- Intake forms,
- Final termination or evaluation reports in closed files.

From our case file review, we found that probation disposition reports and the JOLTS data reports, when present, were the most reliable and comprehensive sources of information in a file. Both of the reports provided a clear and quick understanding of the youth.

Finally, the majority of the files did not have a standardized "face sheet" to provide a quick snapshot of the youth. Based on our review, we determined that a standard, system-wide face sheet could greatly improve the efficiency of the system.

Findings and Observations

Gaps in Service

Based on our review of Arizona's juvenile justice system, we determined a number of gaps in available services. The overwhelming gap is in the number of available substance abuse programs. Seventy percent of visited providers and 80% of counties identified a lack of available substance abuse programs as a problem. In fiscal year 1997, 4,940 juveniles were referred to the Courts for drug related offenses; and yet, there are only 36 inpatient beds available for the juvenile justice system.

An identified gap also exists in the availability of programs in rural counties, particularly with the limited number of residential treatment beds located in rural areas. The AOC conducted a needs assessment analysis prior to issuing the RFP for fiscal year 1999 services. The study indicates a need for a variety of services, including licensed group homes, shelters, foster homes and counseling in all eight rural counties that responded to the survey.

Availability of Treatment Options

There is a disparity in the availability of residential treatment options in rural counties. During fiscal year 1997 a total of 280 rural county youth were placed in residential programs. Of those, 160 were placed in shelter care, with the remainder being placed in group homes, high impact programs and locked treatment centers. A review of the JOLTS analysis demonstrates the vast majority of residential treatment referrals are made to providers in Maricopa and Pima counties. During our interviews with the rural county probation departments we were told that residential treatment was used as a last resort in many cases due to the distance and high cost.

Communication and Coordination

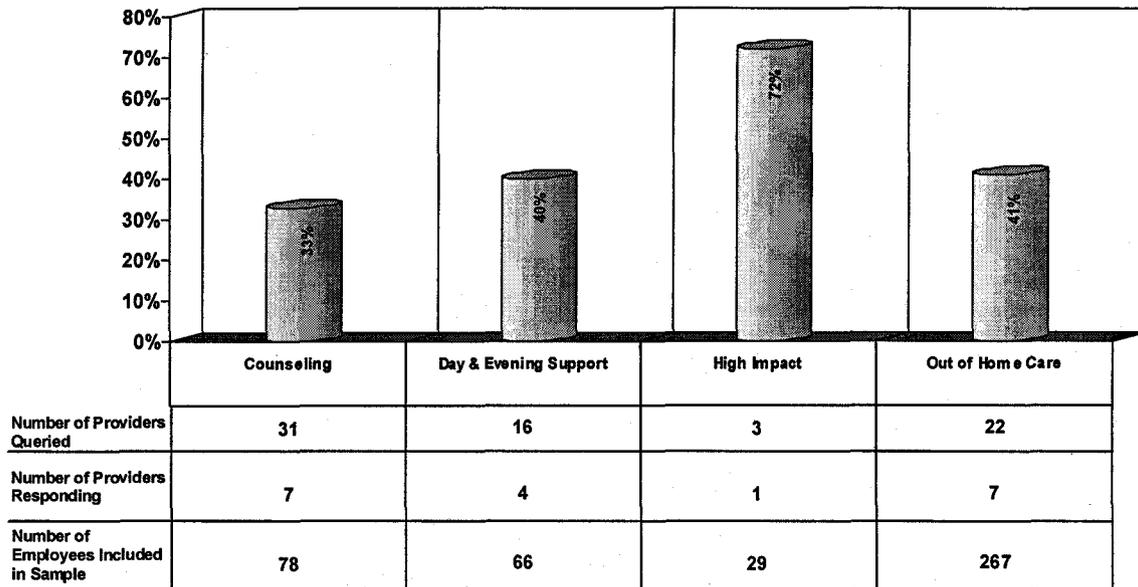
Over 50% of both visited providers and counties identified communication and continuity of care as major issues impeding success. There were identified needs for improved communication and coordination between all agencies dealing with the youth; information sharing and cross training between agencies and counties; funding coordination between agencies; and for case management and continued care to follow the youth.

Provider Turnover Rates

Based on our analysis of the providers, we determined that line staff turnover rates are impacting the delivery of service. The high impact programs reported a 72% turnover rate among line staff, and counseling programs reported a 33% turnover rate.

Turnover rates among service providers directly impacts treatment provided to the youth. Direct care staff who leave the program and continual training of new staff disrupts the continuity of care. This also affects the number of seasoned staff available to the program. The youth are impacted because they constantly see new faces in their treatment process. High turnover rates appear to be the result of low wage rates for the industry and the high stress responsibilities. High turnover rates, combined with recruiting difficulties, impacts the staff-juvenile ratios and the delivery of service

Exhibit 5-33



Treatment versus Secure Care?

This question which still cannot be answered due to the lack of data available. Treatment options continue to be less expensive than secure care that averages \$30,512 per youth admitted to ADJC. The recidivism rates for ADJC committed youth are unavailable due to the different court and ADJC data systems. It has been determined that on average, 36% of ADJC released youth are re-warded to the department within a year of release. This does not take into account rearrests or reoffending data.

Recommendations

While these recommendations are specific to the providers participating in our review, we found many similar issues and corresponding recommendations were pervasive throughout the Arizona juvenile justice system. Brief recommendations have been provided in this section, however some of these items are also addressed in more depth in Section 8 of this report.

Develop and Monitor Meaningful Performance Measures - The providers must work with AOC/JJSD and ADJC to establish reasonable performance outcome measures that assess the effectiveness of the programs, and treatment that are being offered. In

addition, the providers need to track financial information at a level consistent with performance measurements as defined and allows all system players to assess the cost effectiveness of the dollars spent.

Expand Treatment Options in the Rural Counties of Arizona - The existing providers should work with AOC/JJSD and ADJC to broaden the treatment options in the geographic areas of the state that are currently lacking necessary treatment slots. Efforts should be made to identify necessary safeguards that encourage the provider community to offer services in underserved areas.

Collaborate With Other Entities Effecting Children to Break Down the Barriers to Effective Service - The providers should work together and the various state agencies in ensuring the best services are delivered to Arizona's children. Collaboration in assisting to maximize benefits to the children should include, without limitation:

- Coordination of funding;
- Sharing of information about children through information system interfaces or data warehousing; and
- Coordinated service plans for children.

This collaborative approach may conflict with individual providers desire to remain separate from their competitors. However, providers should be encouraged to work with each other. Incentives should be developed to encourage the "one child" approach.

Improve Case File Documentation – Providers should enhance internal policies and procedures to ensure that comprehensive, accurate and meaningful information is documented in the juvenile's case files in an organized fashion. Access to JOLTS and YouthBase should be explored by the state to continue the collection of accurate and appropriate information. By accurately documenting the history and outcomes of the youth in the AJJS, the case files and the data systems can be used to develop appropriate performance measures to assess the effectiveness of the treatments and programs offered by the providers. Complete historical information on youth served can also form the basis for the development of an effective risk assessment model to help guide future treatment and placement decisions.

Provider Costs and Reimbursement Rates Should Continue to be Monitored and Adjusted When Appropriate – AOC/JJSD should continue to monitor large discrepancies between reimbursement rates and provider costs when they do occur. In the event that providers' costs are substantially higher than the reimbursement rate, AOC/JJSD should consider the provider's performance through examination of outcome measures and evaluate whether an adjustment to the rate may be justified in the event a provider is an exceptional performer. This will help ensure that negotiated rates do not save dollars on a per unit basis, but cost the system more through on-going treatment due to youth recidivating.

Conversely, AOC/JJSD should consider renegotiating rates for those providers whose costs are substantially below the negotiated reimbursement rate. The savings could be used to expand services to other children in the system. It is important to note that we did not identify a significant number of providers in this category.

Continue to Support and Enhance the Service Procurement Model –

AOC/JJSD has one of the most effective service procurement models for human services that we have seen in the country. The approach is innovative and on the forefront of encouraging effective, outcome-based service for youth in the AJJS. The AOC management should continue to support and encourage expansion of some of the current and new techniques being used and proposed by the AOC/JJSD contracting staff. Management should support modifications to policies, procedures and regulations necessary to keep the momentum of this effort going forward. The AOC/JJSD approach should be used as a model for other AJJS procurements, as well as the Single Purchase of Care (SPOC) rate negotiations.

In addition, the AOC/JJSD should continue to expand its use of performance measures and outcomes as they are developed and tracked for specific services. Incentives to providers should be tied to positive outcomes whenever possible. As outcomes become more defined and consistent over time, AOC/JJSD may want to explore the idea of tying entire reimbursement amounts to these outcome measures in the future.

Facilitate Information Sharing with Providers – Providers must be viewed as partners and as such, should have access to information in a quick and accessible manner. This can be accomplished by giving them access to JOLTS or a similar automated case management tool. Sharing of information will build collaboration and increase communication between all parties.

Improve Budget Monitoring –The County Probation Departments should closely monitor their budgets throughout the year to ensure that funds allotted for treatment of delinquent juveniles are spent on appropriate placements.

Budget practices should be in place to ensure that expenditures do not exceed the budget parameters and that funds are spent wisely on appropriate services. However, budget analyses and projections should continually be updated to ensure that conservative estimations of available funds are not limiting appropriate treatment decisions made by Probation Officers. The Departments should also continue to work with AOC/JJSD to ensure that necessary treatment options are available to youth in the rural counties. Funds should not be reverted to the state if there is truly an unmet need for juvenile justice services in the counties.

Section 6

Secure Care

Draft

Section 6 Secure Care

Overview

In Arizona, the Secure Care phase of the juvenile justice service continuum includes County Detention Facilities and State Institutions. Secure Care, is defined by A.R.S. 8-201-23 as “confinement in a facility that is completely surrounded by a locked and physically secure barrier with restricted ingress and egress”. This is the most severe sentencing consequence available on the service continuum. A concept employed consistently in juvenile justice systems is that all efforts are to be exhausted prior to committing a youth to Secure Care. Therefore, Secure Care in a State Institution is the most restrictive consequence for a youth still in the juvenile justice system. It is viewed as the last resort for reform prior to certification as an adult. Senate Bill 1446 requires the County Attorney to direct file charges to the adult court for any youth 15 years or older who commit a violent crime or are arrested for their third felony complaint. Should this occur, the juvenile can no longer be served by the juvenile justice system.

There are currently 13 County Detention facilities across the state. These Detention facilities are utilized as a short-term holding facility for youth. They are managed and operated by the County Probation Office and currently range in size from 275 beds in Maricopa County to two beds in Apache County. *[Note: Maricopa County recently received public approval to almost double its number of Detention beds.]*

ADJC manages and operates four (soon to be five) permanent State Institutions. These facilities are used for high-risk offenders such as those who have:

- Been found guilty of committing multiple offenses, or
- Committed a severe felony offense.

These State Institutions currently range in size from 408 beds at Adobe Mountain to 34 beds at Encanto.

The following subsection describes the Detention component of Secure Care in more detail. This subsection is followed by a description of Arizona’s State Institution component of Secure Care.

County Detention

Introduction

As noted above, the County Detention Facilities are utilized as short-term holding facilities. County Detention is primarily reserved for more severe offenders as determined by the:

- Alleged offense,

- Youth's court history, and
- Youth's social history (e.g., the safety and quality of the youth's home life).

Juveniles can be held in Detention for a number of reasons including:

- *Pre-adjudication*: a juvenile is awaiting an adjudication hearing to determine his or her guilt or innocence.
- *Consequence of a Probation or Parole violation*: a short detention stay can be imposed when a juvenile violates conditions of Probation or Parole, the court can impose a short Detention stay.
- *Sentencing option*: as part of the juvenile's disposition, the court and Probation Officer can impose a short Detention stay or weekend Detention.
- *Post-disposition*: a juvenile received his or her disposition and is awaiting a placement opening. The juvenile may have to remain in Detention for lack of other appropriate options.

In certain counties (e.g., Maricopa and Pima) a risk assessment tool is used to assist the county in making a determination of which juveniles should be detained. These risk assessment tools include the factors identified above, as well as others, to help support appropriate detainment decisions. Use of these tools is discussed in more detail in the **Observations and Findings** subsection.

Key Stakeholders

As noted above, juveniles are sent to a county Detention facility for many different reasons. Accordingly, a number of key stakeholders are directly and indirectly involved in the operations and utilization of the county Detention facilities. These players include:

- *Law Enforcement* is responsible for arresting juvenile offenders and recording the arrest (including the juvenile's signed affidavit attesting to the facts and events leading to the arrest). The Law Enforcement Officers are also responsible for transporting the juvenile to the appropriate intake location as designated by the County Probation Department. The County Probation Department then has responsibility for recording the details of the arrest and making a decision to detain or not detain the juvenile.
- *AOC, Juvenile Justice Services Division, Probation* make recommendations to the court for pre-adjudication and post-disposition Detention placements. Over the past few years, AOC has also played a significant role in financing these facilities. In support of counties who were unable to finance re-building Detention facilities that were in significant disrepair, AOC provided some financial support for construction of new facilities. Once these new facilities were, or are, built, the county continues to be responsible for paying for the ongoing operating and management costs of the facility. AOC's support to finance construction of these facilities is a "one-time"

financing arrangement and is not expected to occur on an ongoing basis in future periods.

- *ADJC* Conditional Liberty staff make recommendations for pre-adjudication and post-disposition Detention placements in a similar manner to the Probation staff at AOC.
- *Counties* are responsible for all costs associated with providing, operating and maintaining their respective Detention facilities.
- *County Judges* review disposition recommendations from AOC Probation Officers and ADJC Conditional Liberty staff, and make the final disposition decision.
- *Arizona Department of Education* (ADE) funds education services for the detained juveniles.
- *Communities*, in some counties, collaborate with Detention facilities through volunteer efforts by providing religious or cultural programs, tutoring, and delinquency prevention and education programs.
- *Families* directly impact county detention placements, as many of the youth are detained in these facilities at times when their families are too unstable for the youth's release. As with all parts of the continuum, families play a significant role in the rehabilitation of the juvenile. Unfortunately, we found little or no involvement of the family with the youth while they were being detained.

Based on our visits to all 13 county Detention facilities, we determined that, overall, the key stakeholders collaborate effectively to meet the Detention goals. The one consistent Detention issue is the stakeholders' desire to build more capacity or beds in county Detention facilities across the state. The following subsection addresses some of the planned Detention facility expansion in Arizona.

Detention Programs

The number and variety of structured program activities and Treatment services in county Detention facilities vary by county size and location. *Exhibit 6-1* outlines the operating statistics for each facility.

Exhibit 6-1

County	Total # of Admissions ¹	Total # of Releases	Avg. Daily Population ²	Avg. Length of Stay ²	Total Days of Care
Apache ³	255	254	1.7	2.6	623
Cochise	662	651	24.0	13.0	8,777
Coconino	674	669	16.0	9.0	5,846
Gila	418	419	10.4	8.8	3,832
Graham ³	150	146	5.1	12.6	1,868
Greenlee	259	256	4.5	6.2	1,661
La Paz ³	95	91	1.7	6.0	643
Maricopa	10,231	10,212	351.4	12.5	128,286
Mohave	599	600	16.3	10.3	5,978
Navajo	597	589	19.3	11.0	7,059
Pima	2,525	2,520	123.0	18.0	45,180
Pinal	1,073	1,067	43.1	14.7	15,747
Santa Cruz	436	440	15.6	12.8	5,726
Yavapai	835	833	24.0	10.2	8,779
Yuma	1,936	1,936	32.7	6.3	11,956
Statewide Totals	20,745	20,683	688.8	10.3	251,961

1. The total number of Detention admissions is a duplicative count, and consequently include youth who may have been admitted several times within the past year. This number does not represent the number of juveniles who were detained. Detention admissions include children in Detention at the beginning of the reporting period.
2. The average daily population and average length of stay are calculated based on the number of minutes the child was detained, and therefore may be a misrepresentation of the actual average daily population and the average length of stay.
3. Apache County data represent Detentions in their own facilities and facilities to which they refer. The receiving county also reflects the Detention data for Graham and La Paz Counties in its admissions. Consequently, the statewide totals are slightly overstated.

The following changes in Detention facility construction or financing projects are currently underway:

- Pima County is in the process of building a new facility to hold over 300 beds. Overcrowding in the current facility has been a major concern to the County. This overcrowding has resulted in juveniles sleeping on floor mattresses in a gymnasium. This practice is not consistent with the standards of the American Correctional Association (ACA).
- Gila County is building a new facility. The current Detention facility in Gila was identified as the worst facility in the state.
- Maricopa County voters passed a sales tax increase that will allow them to double the number of beds available in its juvenile Detention facility. This increase was passed by the Maricopa County voters in this most recent November 1998 election.

Our site visit results indicated that in the smaller, rural counties, programs and services in the Detention facilities are limited to education, recreation and counseling, as needed. The smaller counties do not have the financial resources or staffing structure necessary to implement additional programs, such as group therapy. However, due to the short lengths of stay (i.e., statewide average is 10.3 days) in Detention the lack of these additional programs or services in the rural areas is generally not considered a significant issue.

The larger counties, such as Maricopa and Pima, serve the vast majority of detained youth. In fiscal year 1997, for example, Maricopa County served over 10,000 youth, totaling over 128,000 days of care as shown in *Exhibit 6-1* above. In contrast to rural counties, size and number of youth has made it more cost effective for Maricopa to develop more specialty treatment programs for youth detained in their facility. These programs include:

- Anger Management/Violence Prevention Education and Support Groups;
- Substance Abuse Education and Support Groups;
- Victim Empathy Program;
- HIV-STD Educational Program;
- Gang Awareness and Prevention;
- Academic Assistance, Tutoring and GED Preparation;
- Life Skills Training;
- High Impact Program (short-term Detention/work programming);
- Recreation and Physical Education;
- Behavior Modification and Level System;
- Education (provided by Maricopa County Regional School District); and
- Spiritual/Religious Services (provided by non-denominational Chaplain).

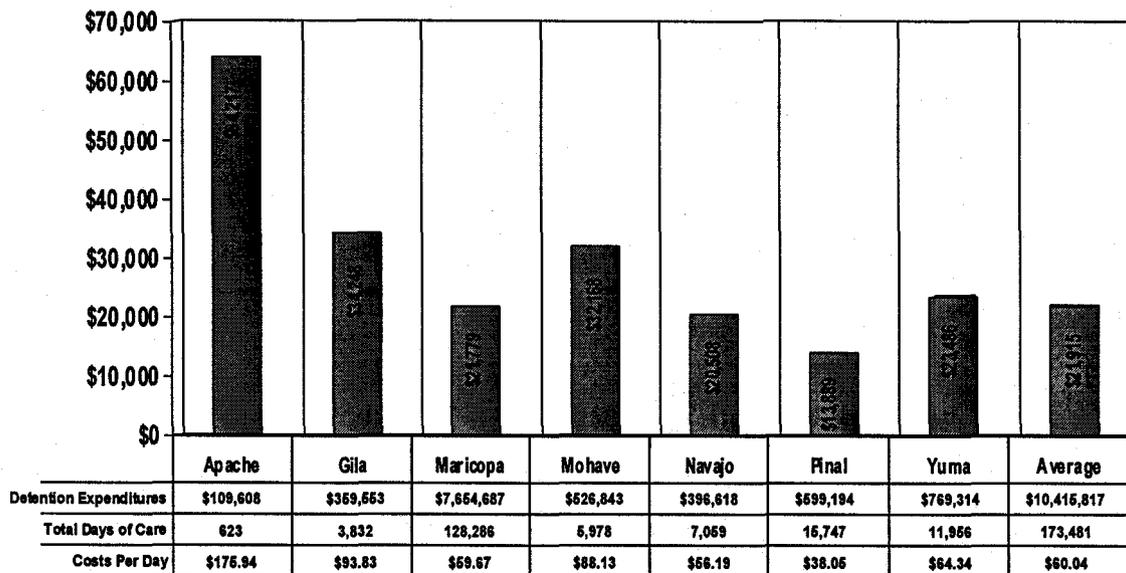
As **Section 5** of this report highlights, many of these Treatment programs are very similar to those offered by AOC as part of the Intervention component of the juvenile justice continuum. On the whole, many of these Treatments are offered with the expectation that the detained youth will be ordered by the Court to a similar type of Treatment. The philosophical approach applied is that the sooner the youth is involved in the Treatment, the more lasting impact the Treatment is likely to have in changing the youth's delinquent behavior. While data is not available to compare the outcomes of youth who are provided more immediate consequences and self-improvement education opportunities in Detention with those who are not, we feel an evaluation of such data, when available, would be a worthy undertaking by AOC in concert with Maricopa County. If the programs are proven to be successful and more cost-effective in helping youth avoid further delinquency, they should be considered for replication throughout Arizona.

Funding and Costs

As noted in the **Key Stakeholders** subsection above, county Detention operating costs are funded by each County's General Fund. For the past two years, the state, through AOC, has provided financial assistance to certain counties to assist them with construction of new Detention facilities. Total Detention costs for all counties in the state could not be determined due to lack of detailed accounting information in many counties. This lack of basic cost information makes assessment of the program effectiveness difficult. Program costs are a key component necessary to develop useful and meaningful performance and outcome measures.

For those counties able to provide cost information specific to Detention, a calculation of the average cost per day of Secure Care in the respective County Detention Facility was calculated by dividing total Detention expenditures by the total days of care for fiscal year 1997. **Exhibit 6-2** below is a graphical display of the results for those counties where sufficient information was available.

Exhibit 6-2
Average Annual County Costs Per Detention Bed FY 1997



[Note: Given there is not a standard approach to accounting for Detention costs throughout the state, the costs indicated in the graphic above may not be comparable due to inconsistent cost allocations and accumulations.]

This analysis demonstrates a wide variance in the Detention bed costs by county. Costs range from an annual cost per bed of \$64,217 in Apache County to a low of \$13,889 in Pinal County. This difference can be attributed to the economies of scale that are derived from a facility that is able to have a larger number of beds. Certain counties (e.g., Gila and Pinal) have adopted a practice of accepting juveniles from other counties and other governments in order to increase their numbers of days of care and maximize the usage

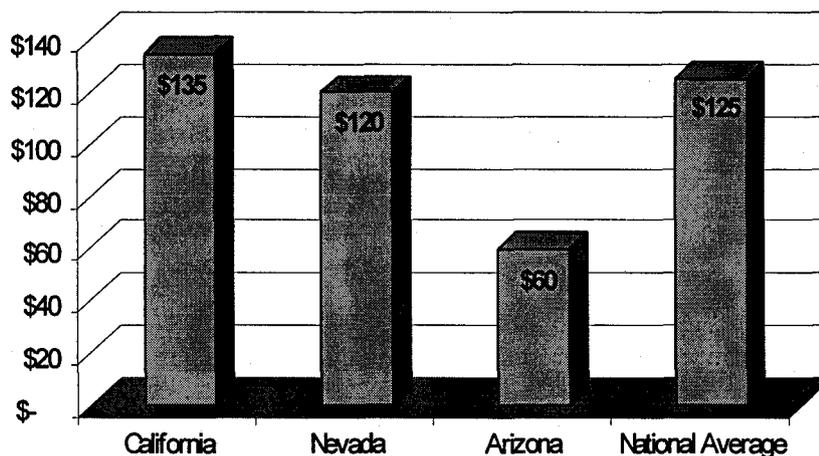
of their facility to make them more cost-effective to operate. An important item to note is that regardless of the differences in accounting, (other than in Apache County), the average cost per day for these representative Detention facilities is very economical as compared to other types of out-of-home care in Arizona, such as:

- \$158 a day for JCAHO placement,
- \$133 a day for group home placement,
- \$130 a day for Secure Care in a State Institution (i.e., Juvenile Corrections), and
- \$67 a day for shelter care.

Arizona’s overall average Detention facility cost of \$102 per day is below the national average of \$125 per day. By comparison, Arizona’s daily costs are also less than Nevada and California daily Detention costs.

Exhibit 6-3

1997 Daily Detention Facility Costs Per Juvenile



The daily Detention facility costs for all Arizona county Detention facilities could not be determined due to inconsistent accounting standards. Lack of consistent cost information will continue to inhibit the development of cost related performance standards and other comparative analyses for these facilities.

Outcomes and Results

Based on visits to all 13 facilities currently operating in the state, we determined that county Detention facilities, as a whole, lack standard performance and outcome measures. While the relatively short length of stay may be cited as justification for the lack of focus in this area, we believe that the substantial use of County Detention Facilities (over 20,000 admissions in fiscal year 1997), demands attention to be focused on performance and outcomes measures. This focus will help identify what is working and what is not. Maricopa County’s approach to Detention programs in comparison to other county results is the type of outcome analysis we would suggest for this component

of the juvenile justice continuum. At a minimum, however, we believe it is important for counties to be able to determine the following:

- Identification of the type of juvenile and associated demographics being served in Detention;
- Utilization of Detention facilities by type of offense;
- Identification of recurring juvenile offenders and reasons for return;
- Identification of the therapeutic and educational needs of each juvenile; and
- Number of juveniles placed in county Detention facilities who do not return and reasons for not returning.

Using these measures, counties will be in a better position to effectively manage their Detention populations, identify types of offenders and their specific needs and develop analyses that help the county ensure that they are making the most cost-effective use of these facilities. As noted in the **Cost and Funding** subsection, interviewees representing Judges, County Attorneys, Probation Officers and others, expressed the need for more consequences, particularly severe consequences, such as Secure Care, particularly for youth who are Probation and Parole violators. As a consequence for minor probation and parole violators, detention at an average cost of \$60 per day is a substantially more cost-effective alternative to Secure Care in a State Institution which has an average daily cost of \$130 in Arizona.

Another reason to look more closely at the county Detention facility performance and outcome information is that these facilities may offer a viable alternative to the overcrowded and more expensive Secure Care in a State Institution. This alternative approach would maximize utilization of the county Detention facilities while meeting the need for providing additional protection to the communities of the counties. Without these performance and outcome measures, it is impossible to know if the use of county Detention facilities currently in operation is being maximized, or if new Detention facility capacity would actually achieve this desired result.

An examination of Detention performance and outcome measures also assists in identifying and managing the use of more appropriate out-of-home placements. In certain cases, counties may be able to place youth in emergency foster care or relative placements as opposed to Detention. Of course, this would require coordination and collaboration with ADES. However, this may be a much less restrictive, more appropriate and more cost-effective placement for a number of these youth. The lack of performance and outcome data did not permit us to analyze the benefits of this alternative service.

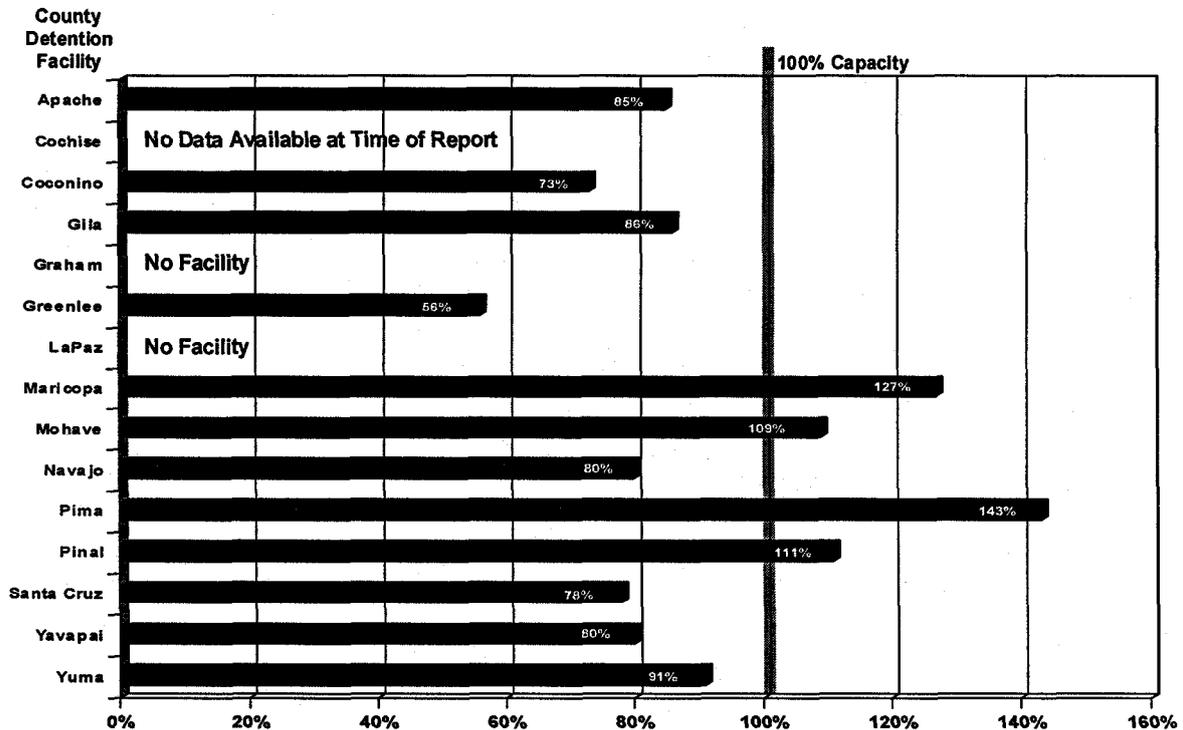
Findings and Observations

In 1995, Arizona *committed* its juvenile population to State Institutions at a much lower rate than the national average; but *detained* (in county Detention) 36% more juveniles than the national average.

In consideration of Detention bed capacity increases currently under construction or in the planning stage, as in Maricopa County, we found that, overall, the county Detention facilities were adequate in the cost-effectiveness of their operations.

Until this construction is complete, however, *Exhibit 6-4* highlights that four of the 13 counties operating Detention facilities are currently over their intended capacity. These counties are Maricopa, Pima, Pinal and Mohave.

Exhibit 6-4



The overcrowding of these facilities is understandable when comparing the demographic statistics for the counties. The counties in which these four facilities are located have the highest number of juvenile arrests. Specifically, these counties represent a combined 78% of all juvenile arrests in the state of Arizona for calendar year 1996 and 76% of all juvenile court referrals in fiscal year 1997. The juvenile crime rate is proportionate to other counties when compared to the number of juveniles residing in the counties. As shown in the table in *Exhibit 6-5* on the following page, Maricopa, Pima and Pinal Counties have the three largest juvenile populations in the state of Arizona.

Exhibit 6-5**Arizona Juvenile Population By County FY 1997**

County	Juvenile Population (Ages 8 to 17)
Apache	15,013
Cochise	18,111
Coconino	18,481
Gila	7,176
Graham	5,959
Greenlee	1,799
La Paz	2,249
Maricopa	390,937
Mohave	16,244
Navajo	17,700
Pima	105,693
Pinal	23,633
Santa Cruz	6,319
Yavapai	17,683
Yuma	21,236

Maricopa and Pima counties developed Detention risk assessment forms that determine how and when to implement a Detention stay. In these two counties, Detention facility utilization is based on the Detention Risk Assessment Form (DRAF), a scoring instrument used to determine detainment (score of 12+) or release (score of below 12). However, this score can be overridden by a Detention Supervisor or a Juvenile Court Judge.

According to two internal county studies, the DRAF tool is successfully utilized only about half the time. A Pima County study found that 44.4% of 291 detained juveniles scored below a 12 on DRAF. Maricopa County also studied the use of their assessment tool and found override rates ranging between 45 and 55% at their Detention centers.

According to the United States Office of Juvenile Justice and Delinquency Prevention (OJJDP), an effective risk assessment tool should not be overridden more than 15% of the time. Both Maricopa and Pima Counties have noted the override issues and are currently working on improving their Detention assessment tools. If the counties can effectively record the assessment for each juvenile detained and the reasons for detainment, this information can be used to support Detention performance and outcome measures.

Recommendations

Develop and Maintain Improved Detention Performance and Outcome Measures

County Detention needs to establish better performance and outcome measures to help in making decisions associated with the most efficient and cost-effective use of their Detention. Initially, we feel that AOC should provide assistance in the development and oversight of these performance measures to ensure consistency and comparability across the state. Once these measures have been developed and results are tracked, the counties in coordination with other key stakeholders in the juvenile justice service continuum can determine how best to utilize the Detention beds. This determination should include a feasibility analysis that considers the most appropriate approach to deal with the lack of Secure Care beds for Probation and Parole violators with a focus on the use of the County Detention Facilities. To do this properly, modifications to JOLTS or other information systems may need to be made to accommodate or maintain these performance and outcome measures.

In addition, this information should be used to ensure that youth are not left in detention for lack of better placement options. A concerted effort must be made to place children in the most appropriate setting for their circumstances. Unnecessary Detention in a Secure Care facility could have an unwanted impact on some youth. All participants in the juvenile justice continuum of care must come together to ensure that Arizona's youth are receiving the most appropriate care and treatment to meet their needs.

Counties Should Develop and Improve Detention Risk Assessment Tools

County Detention Facilities should attempt to develop more effective risk assessment tools to properly anticipate a juvenile's need for a Detention stay. National research determined that in order to develop an effective risk assessment tool, the actual percentage of detained youth that fall below the established risk-detain score should not exceed 15%. We are aware that Maricopa and Pima counties are working to modify their current assessment tools to ensure that assessment successes fall within this guideline. Ideally, we would recommend that these assessment tools be tied into the JOLTS system or other automated support for the Detention facility. The information gathered on these assessment tools would be invaluable in enhancing the quality and value of the Detention performance and outcome data, as well as supporting Probation Officers in the future dealings with detained juveniles.

Counties Should Enhance Consistency of Detention Accounting Procedures

A standard cost accounting approach for Detention facilities should be developed in collaboration with AOC and the counties that operate these facilities. Annual reporting of this data to AOC, ADJC and all counties should be done for their use and analysis in combination with performance and outcome data. In addition, this information should be used to support the collaborative effort described in the recommendation above for determining, across the juvenile justice service continuum, the best use of Detention

facilities. Finally, this information would further support early identification of needed for an increase or decrease (alternative use required) for Detention facility beds.

Conclusion

The county Detention facilities are a very important part of the juvenile justice continuum in Arizona. These facilities operate in a cost-effective manner when compared to other out-of-home care settings and in comparison to similar facilities across the nation.

There is, however, work to be done to enhance the overall capacity utilization of Detention facilities to maximize their value across the state. This work includes improved performance, outcome and accounting measures. Further, the enhancement, consistent use and automation of the risk assessment tool in all Detention facilities across the state would also greatly enhance the quality of performance and outcome measures.

The next subsection provides further explanation of the other component of Secure Care, State Institutions.

State Institutions

Introduction

The Arizona Department of Juvenile Corrections (ADJC) provides care, supervision, rehabilitation, treatment and education for juveniles committed to its jurisdiction, by the County Juvenile Courts, until they are discharged or reach the age of 18. Through ADJC treatment services, the Department works to enhance public protection by reducing the level of the youth.

ADJC currently operates four long-term placement facilities and one temporary diagnostic facility, with a new long-term placement facility opening this fall.

- **Adobe Mountain:** 408-bed facility, serving primarily Maricopa County male youth.
- **Black Canyon:** 192-bed facility, serving male and female youth from across the State (soon to be a female facility only).
- **Catalina Mountain:** 124-bed facility, serving male youth primarily from Pima County.
- **Encanto:** 34-bed specialized treatment program, located at the Arizona State Hospital, serving male youth from across the state with significant behavioral health needs.
- **Rincon:** 200-bed temporary centralized diagnostic facility located at the Department of Corrections, Wilmot State Prison.
- **Southwest Regional Juvenile Corrections Complex in Buckeye:** A new 400-bed facility scheduled to open in the fall of 1998.

As with other juvenile justice systems, Arizona's Secure Care is the most restrictive component of the juvenile justice continuum to rehabilitate and deter the committed youth from future delinquent behavior. Commitment to Secure Care in a State Institution is the most severe consequence (i.e., sentencing option) available to the Arizona juvenile justice system.

The chart in *Exhibit 6-6* below, provides a summary of the profile of the youth who were committed to Secure Care during the calendar year 1996.

Exhibit 6-6

Characteristics of 773 Youth Committed to Secure Care			
Sex			Class of Most Serious Commitment Offense
Male	689		Felony Class 1
Female	84		Felony Class 2
			Felony Class 3
			Felony Class 4
			Felony Class 5
			Felony Class 6
			Misdemeanor
			Unknown
Ethnicity			
Caucasian	294		
Hispanic	349		
African American	86		
Other	44		
Sentencing County			Most Serious Committing Offense
Maricopa	376		Murder
Pima	146		Sexual Assault
Rural	150		Robbery
Other	101		Aggravated Assault
			Other Crimes Against Persons
			Burglary
			Larceny/Theft
			Other Property
			Drug
			Public Order
			Weapons
			Probation Violation
			Status
			Traffic
			Unknown
Age at First Juvenile Referral			Length of Stay
< 10	108		< 3 months
11	73		3 to 6 months
12	131		6 to 12 months
13	148		> 12 months
14	127		
15	84		
Age at First Parole			
< 12	4		
13	15		
14	79		
15	168		
16	218		
17	283		
18	6		
Highest Completed Grade			
< Sixth	59		
Seventh	108		
Eighth	310		
Ninth	146		
Tenth	77		
Eleventh	18		
Twelfth	4		
Unknown	51		

Key Stakeholders

The following participants are involved in the State Institution component of Secure Care:

- *ADJC* is the state juvenile corrections agency that operates four (soon to be five) long-term placement facilities, one temporary centralized diagnostic facility, and a secure care boot camp.
- *Judiciary* continues to make commitment decisions and apply discretionary overrides of the mandatory minimums where appropriate even though the current juvenile system has adopted mandatory sentencing.
- *County Attorney* filing decisions are significant in the Secure Care process. The actual charge filed is determined by the County Attorney and will determine if the youth will be sentenced with mandatory minimum statutes.
- *Law Enforcement* plays an indirect role in Secure Care. ADJC security staff work closely with local law enforcement to keep pace with the gang mentality and environment that penetrate the State Institutions.
- *Service providers* are involved in many parts of the incarceration component. Providers contract with ADJC to operate the boot camp program at the Black Canyon facility, provide counseling within the facilities on an as-needed basis, and provide the Post-Secure Care services, (see **Section 7**), such as residential care, counseling, day treatment and outreach and tracking.
- *Communities* are involved in Secure Care. Community volunteers work with a number of ADJC facilities to provide additional programs and services to the committed youth. At the Adobe Mountain facility, for example, a number of community volunteers provide weekly religious and cultural services.
- *Families* are an essential part of the rehabilitation goal of Secure Care when a youth has been committed to a State Institution. With the philosophy that youth will be more successful if the entire family is included, ADJC is beginning to involve the family earlier and more often in the youth's treatment. From the required in-home evaluations of committed youth, to the monthly family treatment meetings, ADJC is creating avenues for family involvement.

Facilities

As noted above, ADJC currently operates the following four long-term placement facilities, one temporary diagnostic facility and will be opening an additional one this fall.

Appendix B of this report includes the summary results of our site visits of the State Institutions. The operations of each of these facilities are briefly described below. These descriptions are followed by an overall description of the programs utilized in State Institutions across Arizona.

Adobe Mountain

Adobe Mountain is a 408-bed facility consisting of 17 housing units serving primarily Maricopa County male youth, ages 10 to 17. Adobe Mountain has consistently operated over-capacity, and at one time, Adobe Mountain was operating at almost 200% of capacity. The 1994 *Johnson v. Upchurch* consent decree mandated that all State Institutions operate at or below capacity. This did assist in lowering populations to capacity levels for the most part. However, according to the Adobe Mountain Administrative staff, the facility continues to experience an overcrowding issue. Over the last year, Adobe has struggled to keep their facility within its capacity limits while awaiting the opening of the new 200-bed Buckeye facility. At the time of our site visit, the Adobe Mountain had a population of 548, 34% above capacity.

Adobe Mountain has three specialized treatment units:

- The Journey Program, a 24-bed, 12-month sexual offenders program;
- The Crossroads Program, a 48-bed, 12-month violent offenders program; and
- The Recovery Program, a 40-bed, 12-month substance abuse program.

As with all of the ADJC facilities, Adobe Mountain's primary program is education, with work crew and recreation as additional daily activities. Adobe Mountain also offers cultural and religious services, individual counseling as needed, and daily group sessions as described above.

Although limited in space, Adobe Mountain offers a variety of vocational programs in the culinary arts, maintenance vocations and assistant teaching. Also, the Adobe Journey program provides youth with the opportunity to reconstruct and build bicycles that are, in turn, donated to those in need.

Black Canyon

Black Canyon is a 192-bed facility serving male and female youth from across the state. With the opening of the Southwest Regional Juvenile Corrections Complex in Buckeye, Black Canyon will soon become an all-female facility. At the time of our site visit, Black Canyon was operating at capacity.

The Reception, Assessment and Classification (RAC) process, which is the centralized diagnostic assessment, is conducted at Black Canyon for females only. The programs at Black Canyon consist of education, "Keys to Innervations", "Limit and Lead", recreation, work crew, the culinary arts program and teaching assistant vocational programs. The "7-Challenges" substance abuse program and individual counseling are available to youth on an as-needed basis.

Black Canyon does not have any of the specialty programs (e.g., Recovery, Crossroads, Journey), but two units have been informally separated for behavioral health needs and violent offenders.

Catalina Mountain

Catalina Mountain is a 124-bed facility, consisting of five housing units in Tucson. Catalina serves male youth primarily from Pima County. At the time of our site visit, Catalina was operating at capacity.

The programs at Catalina Mountain consist of education, “Keys to Innervations”, “Limit and Lead”, recreation, work crew, the culinary arts program, teaching assistant vocational programs and individual counseling on an as-needed basis. Catalina also has two specialized treatment programs and units:

- The Crossroads program, a 20-bed, 12-month violent offenders program, and
- The Recovery program, a 20-bed, 6 to 12-month substance abuse program.

Encanto

The Encanto facility is a 34-bed specialized treatment program located on the grounds of the Arizona State Hospital in Phoenix. Encanto serves male youth with significant emotional and behavioral health needs from across the state. There is a constant waiting list of five or more at Encanto, and at the time of our site visit, it was operating at capacity.

Rincon

Rincon is a 200-bed, 28-day temporary centralized diagnostic and assessment unit located at the adult Department of Corrections Wilmot Correctional Institution, just outside of Tucson. Rincon is scheduled to close in January 1999. At the time of our site visit, Rincon was operating below capacity.

Southwest Regional Juvenile Corrections Complex, Buckeye

The Buckeye facility will have a 400-bed capacity. However, based on agency needs and funding, the facility has initially opened only the first 200 beds. The beds became available this fall and are being filled with the over-population from Adobe Mountain, Rincon and Black Canyon.

Boot Camp

In 1996, ADJC started a 24-bed boot camp facility located on the grounds of Black Canyon. Currently, ADJC contracts with the First Corrections Corporation to run the boot camp for male youth. The 12-month program is divided into a rigorous training component for the first four months on the State Institution grounds. The next eight months are spent at a local, non-secure community-based facility in Phoenix.

State Institution Programs

Each of the four long-term placement State Institutions offer a variety of services, ranging from education and vocational programs, to group therapy and specialized treatment services. A discussion of the programs offered through State Institutions follows.

Education

While ADJC offers a number of programs within its facilities, the major program offered is education. Beginning in 1998, youth at each ADJC facility have received a total of six hours of education each day (previously four hours). ADJC historically employed a very traditional classroom approach that emphasized social studies, math, English and other core courses. According to the ADJC Assistant Superintendent of Schools, Art Madden, this approach proved ineffective since "90% of this population had already failed in traditional settings."

The search for a new curriculum led to ADJC acquiring the "Operational Learning Project" (OLP), which was developed by the Malcolm Baldrige Foundation. The "Baldrige Process" is a nationally recognized, business process based on total quality management and evaluations. Utilizing the core management principles, this process can also be applied in forums other than business.

Based on the Baldrige Process, the Operational Learning Project (OLP) became the basis for implementing agency-wide education reform. The new curriculum is competency-based, but is divided into a series of learning modules compatible with the ADJC students' needs and abilities. According to Art Madden, the modules have measurable outcomes that the student must achieve before moving on to the next module. According to ADJC, the outcomes are aligned with state of Arizona's educational standards, which are some of the highest in the nation.

Under this program, each youth will also have a computer-generated Individual Education Plan (IEP), and will be consistently assessed through their self-paced program and given instant feedback.

The OLP program is in the first year stage of a three-year phase-in. At the end of the three-year period, students will have classroom access to computers and instructional materials will be computer-based. As the program is self-paced, teachers will serve as resource experts to provide technical assistance to individual youths. The program envisions a classroom of 12 to 15 students with half working on a computer at any given time. As the program is in its implementation phase, it cannot yet be evaluated. However, future evaluations will be critical to ensure the project stays focused and produces desired results and outcomes.

Vocational Programs

In addition to education, each State Institution provides recreation time, work experience and counseling. The facility-wide vocational programs include a focus on maintenance work, assistant teaching, and the culinary arts. The Culinary Arts Program is a desired program among youth in the facilities. Enrollment is considered a privilege and completion of the program prepares the youth for a future position in the food industry. This program is innovative and, therefore, highlighted as best practice in the box, **ABP-6.1**, below.

ABP-6.1**Best Practices:
ADJC Culinary Arts Program**

ADJC's Culinary Arts Program is a well-organized, well-structured vocational program. Juveniles with a positive behavior record can sign up for the program. The kitchen staff interview the youth to determine their appropriateness for the program. Upon acceptance into the program, the youth must sign a contract to be to work on time, follow directions and behave.

With training and supervision, the youth learn basic job skills in the sanitation of the kitchen facility and the serving and preparing of meals.

The youth are evaluated on work ethic, behavior and completion and mastery of specific kitchen skills and duties including:

- Sanitation, safety and first aid procedures;
- Service duties;
- The use of large and small commercial grade tools and equipment;
- Bakery and pastry duties;
- Preparation of salads, cold food and hot food;
- Menu planning; and
- Food production.

At the end of the month-long vocational program, those successful juveniles are provided with a certificate and a detailed course outcome indicator listing the 87 skills and duties mastered in the course. The certificate and list of specific acquired skills is designed to provide the youth with the means and resources to acquire restaurant-related employment upon their release from secure care.

Institution Treatment Services

ADJC also offers a variety of treatment programs designed to better prepare the youth for their lives when they are released from Secure Care. As part of the standardized treatment component, ADJC adopted “Keys to Innervations” and “Limit and Lead” group therapy programs. These cognitive restructuring programs focus on teaching youth to:

- Set goals,
- Make appropriate decisions, and
- Work positively with other youth.

Each ADJC youth participates in both of these daily group therapies throughout the duration of their ADJC stay.

Additionally, individual counseling is provided on an as-needed basis. Specialized treatment options are limited by facility and space. These treatment options include:

	<u>Beds</u>	<u>State Institution</u>
Drug Treatment (Recovery Program)	60	Adobe, Catalina
Violent Offender (Crossroads Program), and	68	Adobe, Catalina
Sexual Offender Programs (Journey Program).	24	Adobe

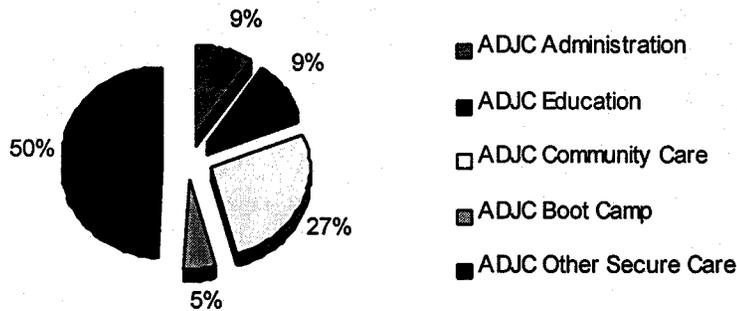
Due to limited resources and funding, the majority of the ADJC youth are provided with generalized treatment options only. Treatment options are also limited because the current available options are fairly new, and the agency has not had the time or resources to evaluate the programs and determine the necessary changes for enhancement and expansion. Finally, the agency has admittedly struggled with keeping pace with the extensive needs of the large number of youth placed in their facilities.

Funding and Costs

The ADJC total expenditures for the year ended June 30, 1997 were approximately \$53 million. These expenditures are broken down as shown in *Exhibit 6-7* below.

Exhibit 6-7

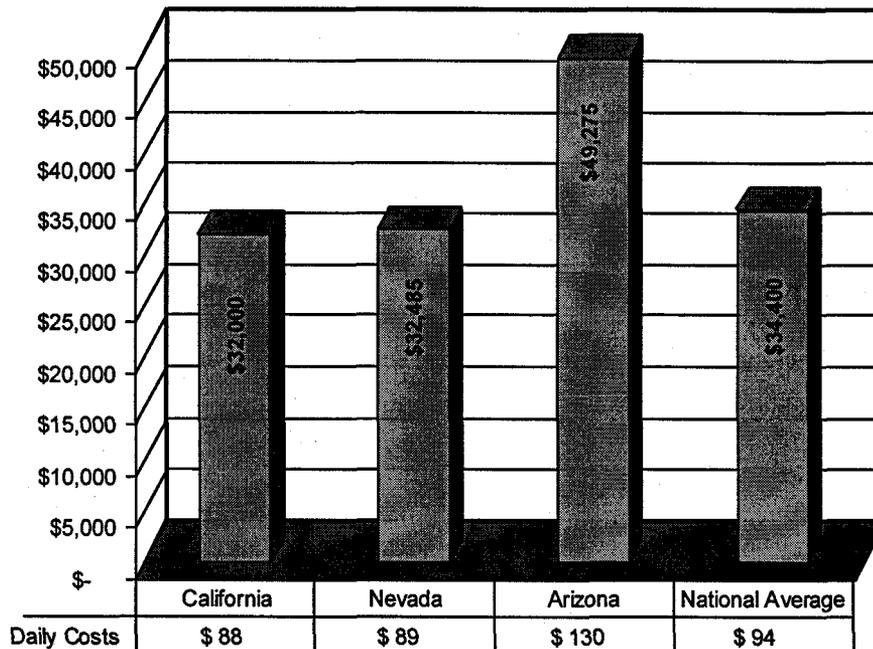
**Department of Juvenile Corrections
Total Expenditures - \$53 Million
Year Ended June 30, 1997
Source: DJC Internal Financial Statements**



In fiscal year 1997, ADJC spent about \$33 million on Secure Care, which is a daily cost of \$130 a day per juvenile or \$49,275 per year in Arizona State Institutions. Due to the many accounting differences among all state agencies, it is extremely difficult to determine a national average for juvenile corrections. A number of reputable research firms have attempted this analysis and have determined a vast range of costs, from \$20,000 a year in Southern states to over \$100,000 a year in Northeastern states. As illustrated in *Exhibit 6-8*, our national analysis estimated an average juvenile corrections cost of \$34,400 per juvenile in 1997¹.

Exhibit 6-8

1997 Costs of Juvenile Corrections Per Juvenile



[Note: California and Nevada costs are based on estimates; Arizona and National averages are FY 1997]

Comparatively, Nevada's juvenile corrections facilities average \$32,485 per year or \$89 per day, 34% less than Arizona's costs per juvenile. Nevada's low costs are attributed to a low juvenile corrections population of 330, allowing Nevada to operate only two facilities. A Nevada Corrections official explained that their staffing patterns are not adequate, averaging 1 to 15 staff to juvenile ratios in the afternoon and 1 to 30 overnight. Also, the Nevada State Legislature is apparently unwilling to fund any treatment programs in the facilities. Currently, the Nevada juvenile corrections system does not operate any formalized, structured treatment programs. Nevada does not maintain outcome data, such as recidivism, for us to compare the results of this "bare bones" strategy with that employed in Arizona which includes higher staffing ratios, more facilities and institutional programs.

According to the Center on Juvenile and Criminal Justice, one of the primary reasons for the low costs of the California Youth Authority (CYA) is the consistent overcrowding.

On average, CYA operates at 130% above capacity. In fact, the former Director of CYA has been quoted as saying, "Crowding is cheaper".

As illustrated in **Exhibit 6-9**, the overall national average for Secure Care (i.e., State Institutions and Detention facilities) is \$108 a day². Arizona's Secure Care average is \$102 a day, \$6 less than the national average.

Average Daily Cost of Secure Care FY 1997

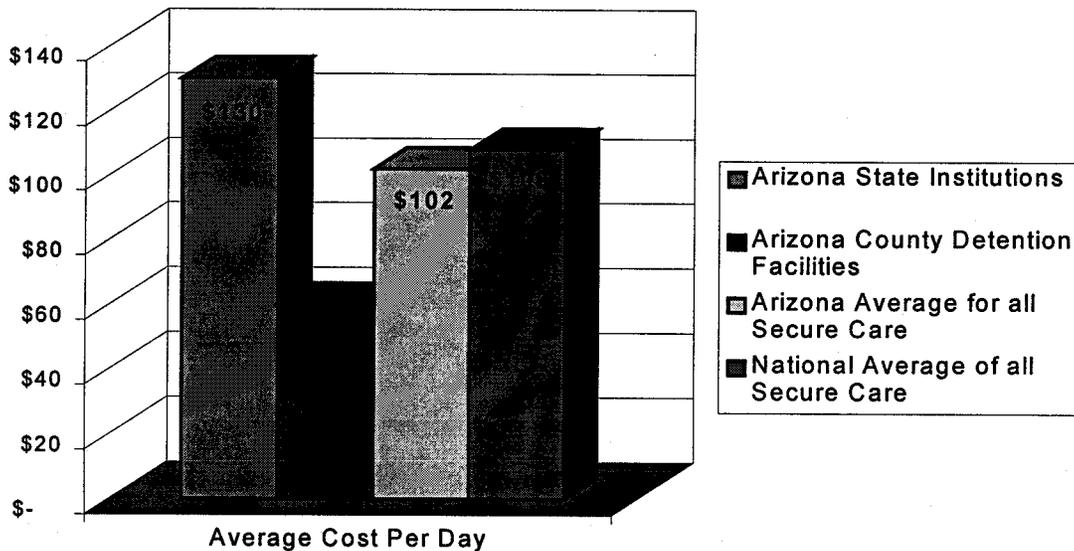
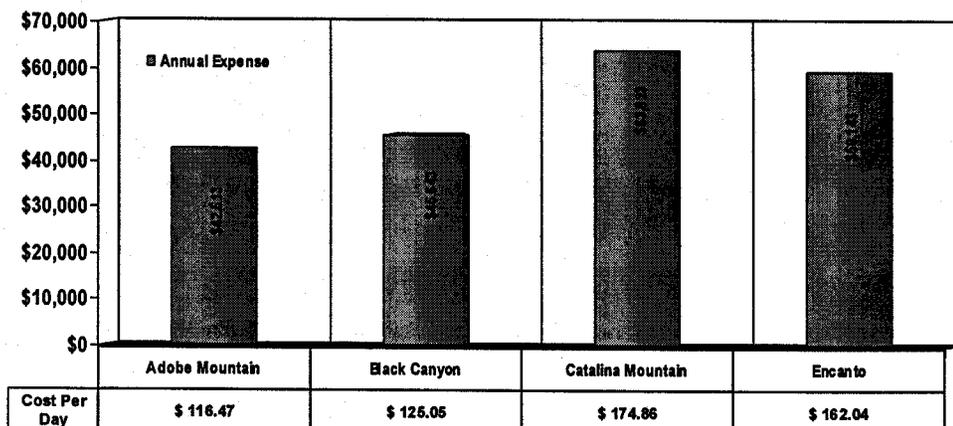


Exhibit 6-9

Exhibit 6-10 presents a graphical analysis of the average daily costs per bed of each of the Secure Care State Institution. The annual costs were calculated based on actual costs for each facility for fiscal year 1997, plus an allocation of ADJC's general and administrative costs. This cost amount was then divided by the average daily population for each facility to arrive at each facility's average daily cost per juvenile.

Exhibit 6-10: ADJC Cost Per Bed Per Facility-FY1997



Prior to performing this analysis, we assumed that Encanto would have the highest bed costs based on the severely emotionally disturbed youth served at this facility. Youth with behavioral health issues generally require extra staffing, individual rooms, and constant treatment and medication. However, the average daily cost at Catalina, rather than Encanto, exceeded all other facilities, as displayed in *Exhibit 6-10*. This is a perplexing result that we could explain in three ways based on our site visits.

First, although the operations of Adobe Mountain, Black Canyon and Catalina Mountain are similar, Catalina's population capacity is much lower, thereby generating less revenue and increasing costs. At the time of our site visit, Catalina was operating at capacity, while Adobe was operating over 30% above capacity, thereby driving down the costs of Adobe even further. Second, Black Canyon does not operate any ADJC specific treatment options which limits its costs. Third, our national experts noted that Catalina Mountain is one of the best-run juvenile facilities in the country, as highlighted as an Arizona Best Practice, **ABP - 6.2**, below. As expected, the facility annual costs per bed for Adobe Mountain and Black Canyon were consistent due to their similar operations; but the Catalina high costs are unexplained aside from the observations noted above. Follow-up interviews with ADJC Administration did not provide any further explanation of Catalina's high costs.

ABP-6.2

BEST PRACTICES Catalina Mountain

It is the opinion of national experts that Catalina Mountain is one of the best-run juvenile facilities in the country. At Catalina, effective treatment and humane care are offered in a normalized environment. Catalina administration encourages direct involvement of staff with youth and support staff in implementing new treatment approaches.

At the time of our site, nontraditional training school activities were ongoing (e.g., floor hockey game between two units with the other cottage residents as spectators; no tension or fighting; festive environment; staff and security were in control) and the atmosphere was positive and encouraging.

These cost differences are substantial enough to merit additional analysis by ADJC. See additional comments on this matter in the *Recommendation* subsection below.

Performance and Outcome Measures

Over the last four years, ADJC has made significant strides towards instituting formalized and comprehensive performance and outcome measures. In 1994, ADJC began contracting with the National Council on Crime and Delinquency (NCCD) in order to help meet the provisions of the *Johnson v. Upchurch* consent decree, which required

the implementation of various performance and outcome measures. Currently, NCCD is assisting ADJC in interpreting and using the performance and outcome measures in their day-to-day operations. The status for each of these types of measures at ADJC are discussed below.

Performance Measures

As part of the Interim Deliverables approved by the Committee in June 1998, Deloitte Consulting identified a number of performance measures to use as a guide for what we hoped to see on our site visits. These measures were developed based on national research of juvenile justice systems and based on our experience with performance and outcome measures. Specifically, the performance measure for Secure Care included:

- Cost per bed,
- Average daily population,
- Average length of stay,
- Percentage of housing units meeting or exceeding policies and standards,
- Staff-to-juvenile ratio,
- Percentage of juveniles receiving complete assessment and classifications between 14 and 21 days,
- Quality and completeness of case files,
- Hours of structured programming per day per juvenile,
- Availability and quality of programming, including therapeutic, educational, and vocational programming,
- Average number of documented hours worked per juvenile,
- Staff turnover rate,
- Psychiatric caseloads, and
- Average number of employee training hours.

Our review of ADJC determined that the agency has identified all of the above-mentioned performance measures and is in the process of implementing and automating these measures. To the extent possible, these measures will be analyzed throughout the remainder of this section in order to help facilitate an understanding of the performance of ADJC.

In addition to those we identified in the interim deliverable, ADJC will also be implementing and automating the following performance measures:

- Staff improvements on testing assessments,
- In-service training completions by score,
- Percentage of completed leadership training,
- Successful Probationary periods completion,
- Individual treatment plans completed for each ADJC youth,
- Schedules for both youth and staff,
- System-wide incident reports, and
- Youth progress reports.

The automation of these existing performance measures will greatly improve ADJC's capacity to determine if they have reached their desired performance levels. Overall, our analysis indicated that ADJC has made progress beyond most juvenile justice entities in the country in moving toward an effective approach to management and decision-making through use of accurate performance measures. The following summary of a best practice, **ABP-6.3**, briefly describes the approach to reaching this important milestone.

ABP-6.3

**BEST PRACTICES:
ADJC Performance and Outcome Measures**

ADJC has a strong commitment to the development, implementation and automation of performance-based outcome measures. As witnessed by their four-year collaboration with the private organization, NCCD, ADJC are devoted to evaluating their operations.

The performance and outcome measures have been developed. Now ADJC is in the process of implementing and automating the measures to effectively evaluate their programs and operations on an annual basis.

ADJC performance and outcome measure goals include:

- Automate community services request forms and billing (to tie services to money),
- Track the attendance, grades and points of youth in the education system,
- Track training for employees,
- Track training for contracted providers,
- Track costs per juveniles in continuum, and
- Track the number and quality of program monitoring visits.

Outcome Measures

Using the same approach as we did in determining performance measures, outcome measures for Secure Care were also identified in our interim deliverable. The outcome measures we hoped to find on our site visits to the State Institutions included:

- The number and percentage of juveniles in custody who recidivate (by re-arrest, re-adjudication, re-conviction) by seriousness of offense;
- The amount of time elapsed before the juvenile is re-arrested, re-adjudicated and re-convicted);
- The number and percentage of Probation and Parole revocations;
- The number and percentage of youth who successfully complete court-ordered restitution, fines and community service;

- The percentage of those who receive a GED or high school diploma in an ADJC facility;
- The number and percentage of juveniles who leave the system who are in school or employed;
- The job and school retention rates at 6, 12, and 24 months; and
- The number and percentage of youth who continue to use alcohol or controlled substances at one month, 6 months, 18 months after release.

These outcome measures were not as readily accessible as performance measures. The courts operate a completely different information system (JOLTS) than the ADJC YouthBase information system. Because the two systems do not interface, each agency in the system is limited by the automation they utilize. For instance, ADJC's current recidivism outcome measures are limited to ADJC related measures only, such as:

Recommitment to Secure Care,
Parole suspensions and revocations, and
Certification as an Adult.

The following is a discussion of those existing outcome measures we were able to evaluate.

Recidivism Data for State Institutions

Due to the unrelated JOLTS and YouthBase information systems, the only ADJC available recidivism data relates to re-awards to ADJC (this includes youth who are readmitted to ADJC due to Parole violations or recommitted to ADJC due to new court proceedings). These recidivism measures do not consider a large portion of ADJC released youth that may recommit a crime without being returned to a State Institution. Based on the limited nature of the re-award data, true recidivism analyses cannot be developed. Without the correlating JOLTS court data, the percentage of ADJC youth that actually reenter the court system (through arrests, adjudication and convictions) cannot be determined.

Exhibit 6-11 on the following page provides the results, or outcomes, of three separate samples that were drawn from ADJC's YouthBase system and then analyzed by NCCD.

Exhibit 6-11: YouthBase Analyses

<p>An NCCD study of 383 committed ADJC youth released between 10/1/95-3/31/96 found that within one year of release:</p> <ul style="list-style-type: none"> • 6.5% earned their discharge • 34% were discharged due to age • 28.7% remained under Parole supervision • 5.5% were transferred to adult court • 5.7% received an adult prison sentence • 0.5% were re-committed to ADJC • 17.5% had their Parole revoked 	<p>Another NCCD study of 773 ADJC committed youth who were released Calendar Year 1996 found that within one year of release, approximately two-thirds (510) were discharged from Parole:</p> <ul style="list-style-type: none"> • 70% for age • 14% earned the discharge • 12% were transferred to adult court • 4% were discharged for a civil commitment • 20% had their Parole revoked • 15% were still on Parole 	<p>A YouthBase data outcome analysis shows that of the 1,422 youth released from ADJC in FY 1997, 187 (13%) were re-awarded to ADJC within a year:</p> <ul style="list-style-type: none"> • 48% for property offenses • 17% for crimes against persons (assaults and robberies) • 4% for public order offenses • 14% for drug related offenses • 17% for other offenses (including unlawful use of transportation, false reporting)
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ADJC's range of percentage of released youth returning to ADJC for Probation and Parole violations of 13% to 18% is comparable to the national average of 12% of the juvenile corrections population as Probation or Parole violators.

Recidivism Data for Boot Camp

As described above, the ADJC boot camp is divided into Secure Care for the first four months and community care for the remaining eight months. An NCCD evaluation of the boot camp is underway, but no results have been published at the time of this writing.

The national findings of boot camp evaluations present little support for the idea of boot camps as crime prevention programs. Recently, four random assignment studies were completed examining the recidivism of juveniles released from boot camps nationwide. The results of three studies reveal no significant differences in recidivism between the boot camp youth and the control groups. In the fourth site, the California Youth Authority, more boot camp youth were re-incarcerated than the control youth³.

There has been encouraging findings, however, from a follow-up study examining programs that provided intensive rehabilitation-type activities in the boot camp and aftercare component. This study suggested that such enhancements might reduce the recidivism of participants. Recently, the Office of Justice Programs declared that a "new generation" model of correctional boot camps needs to be developed. These models would move the focus of the boot camps from the traditional old-style military boot camps to new models emphasizing leadership, restorative justice and work skills.

By focusing on rehabilitation and aftercare, the current ADJC boot camp appears to be heading towards this new model of boot camps.

Treatment Program Outcome Measures

In collaboration with NCCD, ADJC is in the process of evaluating their specialized treatment programs, Encanto, Journey, Crossroads, and Recovery and their boot camp. NCCD began this study by completing an evaluation assessment on each program in order to determine if the program was meeting its goals at a level where an outcome study is plausible. For instance, if a program were in disarray or not completing its stated mission, an outcome study would prove useless.

Based on the evaluation assessments of the ADJC programs, NCCD determined that outcome studies could be completed on all of the programs except the Crossroads program. NCCD concluded that Crossroads is not ready for an outcome study due to the fact that it is not serving its target population. It is possible that recent legislative changes have impacted the type of youth the Crossroads program is treating. Rather than the extreme violent offenders the program was designed for, Crossroads is accepting middle to low level offenders.

Education

Currently, ADJC education outcome measures (e.g., the percentage of GEDs obtained, improvement in educational testing scores, successful completion of treatment programs, etc.) are tracked manually without the assistance of automation. Although the education component of ADJC is undergoing major transformations and improvements (refer to ***Programs and Facilities*** subsection), the current system is fairly effective.

In fiscal year 1997, 171 ADJC youth earned GEDs and 140 earned 8th grade diplomas. During that same year, a total of 745 students had valid pre- and post-tests on the Test of Adult Basic Education (TABE) standard academic literacy test. Of those 745, for every month enrolled, students gained an average of:

- 1.9 months in language grade equivalency skills,
- 1.6 months in reading grade equivalency skills, and
- 1.3 months in math grade equivalency skills.

As verified by the test scores, ADJC has achieved extremely positive results in their education programming. With the upcoming changes in ADJC education, including the longer school day and the Operational Learning Project, the test scores and successful GED and diploma acquisitions are likely to increase even more.

Additional Outcome Measures

Some of the identified outcome measures that deal with the aftercare component of ADJC and follow-up after release will be discussed in **Section 7 Post-Secure Care**. These measures include:

- The number and percentage of youth who successfully complete court-ordered restitution, fines, and community service;
- The number and percentage of juveniles who leave the system to pursue school or employment;
- The job and school retention rates at 6, 12 and 24 months; and
- The number and percentage of youth who continue to use alcohol or controlled substances at one month, 6 months and 18 months after release.

The performance and outcome measures already in use by ADJC will be utilized throughout the remainder of this and the following section, **Post-Secure Care**, to assess the success and cost-effectiveness of State Institutions.

ADJC Information System

The ADJC information system is another key priority of the agency. ADJC has a strong commitment to updating and improving its YouthBase information system. ADJC is in the process of developing a comprehensive database in which relevant factors can be assessed, such as risk score, risk-needs evaluation, individual treatment plan, completed treatment (including education information), and results or outcomes (e.g., recidivism). The goal of this system is to determine the “breakdown” of youth in the juvenile justice system. For instance, if a youth recidivates, is it because the youth was not provided with treatment that met the youth’s needs, or was it that the youth did not participate in the treatment. This database will also be able to track the success of the youth by type of youth as determined by offense and social history. With all of these components automated on the same system, the agency will be able to develop meaningful program outcome measures and more closely pinpoint the cause of success and failure of programs, as well as individual cases.

Case Files

Important elements of the ADJC case files includes tracking and documenting a youth’s progress while in Secure Care by:

- Identifying the major issues and causes of the youth’s delinquent behavior;
- Identifying the most useful treatment plans and directives for that particular youth;
- Identifying any behavior modification;
- Identifying any issues or incidents;

- Building upon the Probation Officer's social history of the family and the youth; and
- Identifying the aftercare component for each youth.

Based on our review of over 50 case files, we found that overall:

- The organization and thoroughness of the case files varied by State Institution.
- The majority of the case documentation (daily logs, progress notes, counseling sessions) was handwritten, which makes it difficult for ADJC staff, Probation, Parole and referral agencies to quickly and effectively find the most important facts of the case. [Note: ADJC is currently in the process of automating much of the case file information.]
- Probation Disposition Reports and the JOLTS data reports, when present, were the most reliable sources of information in a file as the juvenile's offense history and social history were most accurate and current..

Findings and Observations

State Institution Utilization Rates

The analyses of Arizona's custody rate, population projections and legislative impacts have demonstrated a significant impact on ADJC. As described below, the increase in the juvenile population and the recent legislative changes, including mandatory sentencing, has contributed to ADJC's limited discretion in the type of offender admitted to State Institutions and the length of stay. As demonstrated below, the trend appears to be that a larger proportion of juveniles committing low-end offenses is being committed to State Institutions for longer lengths of stay. A more thorough trend analysis of Arizona crime, legislation and ADJC populations must be completed in order to evaluate the recent impacts on Secure Care.

Custody Rate

Based on 1995 national custody [incarceration] data, Arizona has the 21st highest juvenile custody rate in the United States. In 1995, Arizona *committed* its juvenile population to State Institutions 40% less than the national average; but *detained* (in county Detention) juveniles 36% more than the national average⁴. In 1995, Arizona was committing its juveniles to ADJC with less frequency than the national average. *Exhibit 6-12* provides this custody rate analysis of all fifty states.

Exhibit 6.12

Custody Rate per 100,000 youths 2/15/95				
	Number of Juveniles	Total	Committed	Detained
U.S. Total	69,076	245	157	88
Alabama	989	202	148	54
Alaska	223	273	168	105

Arizona	1,083	216	94	122
Arkansas	275	92	59	33
California	19,562	559	385	174
Colorado	776	177	72	105
Connecticut	371	145	100	45
Delaware	164	215	120	94
DC	251	594	116	478
Florida	2,674	188	70	118
Georgia	2,337	318	141	177
Hawaii	101	79	50	29
Idaho	154	93	73	20
Illinois	2,641	224	136	88
Indiana	1,739	258	151	106
Iowa	461	133	83	49
Kansas	808	253	179	74
Kentucky	593	131	99	32
Louisiana	1,509	303	218	85
Maine	395	276	243	33
Maryland	715	134	43	91
Massachusetts	331	62	21	40
Michigan	1,752	177	94	83
Minnesota	803	140	104	36
Mississippi	641	182	151	31
Missouri	1,037	187	125	61
Montana	140	122	103	19
Nebraska	419	202	124	79
Nevada	660	400	280	121
New Hampshire	125	96	79	17
New Jersey	1,999	244	126	117
New Mexico	662	293	240	52
New York	2,862	201	167	34
North Carolina	1,090	187	151	35
North Dakota	97	118	110	9
Ohio	3,566	276	174	102
Oklahoma	392	96	61	35
Oregon	902	247	185	62
Pennsylvania	1,487	114	57	57
Rhode Island	155	152	124	27
South Carolina	1,062	290	216	72
South Dakota	261	266	236	30
Tennessee	974	166	127	33
Texas	3,505	170	101	69
Utah	465	148	74	74
Vermont	27	40	15	25
Virginia	2,211	318	168	146
Washington	1,870	294	206	88
West Virginia	148	72	53	19

Wisconsin	1,447	229	177	52
Wyoming	164	241	233	7
These states represent the custody rate for ages 10-17				

ADJC Population Projections

Currently, the ADJC population hovers around 1,000 juveniles at any point in time. Based on NCCD projections, the Secure Care State Institution populations will increase by 47% over the next ten years. (See *Exhibit 6-13*)

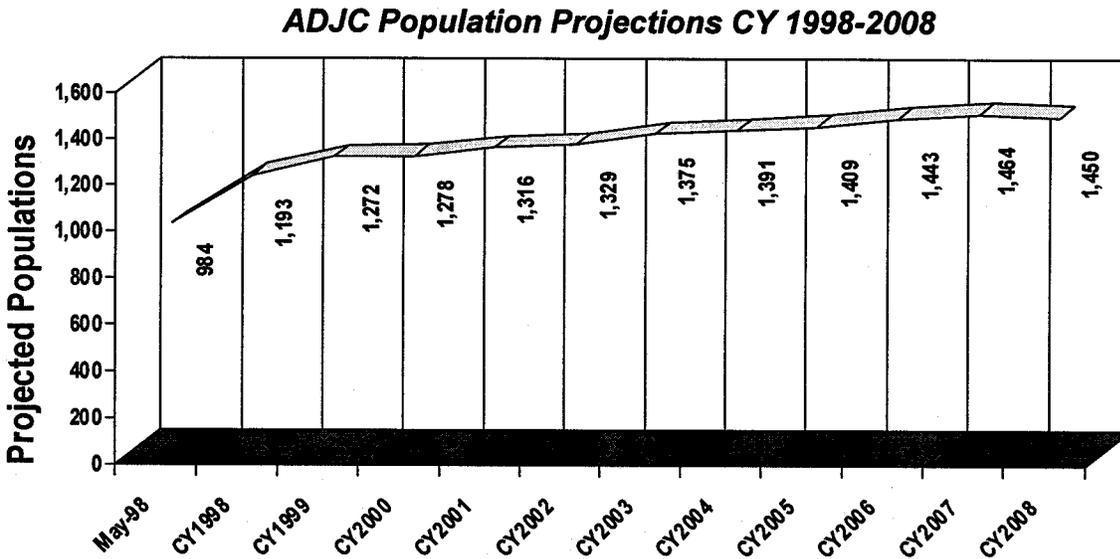


Exhibit 6-13

NCCD attributes this population increase to three separate, but interrelated factors, which are:

- The impact of an estimated 10% increase in annual admissions could that result in the first year following implementation of Senate Bill 1446 which requires that certain severe, violent offenders would be tried in adult court; thereby, precluding them from admission to Secure Care State Institutions.
- The increase of admissions receiving court-ordered minimum lengths of stay as required by Senate Bills 1356, (i.e., required mandatory minimum sentences for certain offenses) and 1446; and
- The impact of a 19.4% increase in the state’s 8 to 17 year old age group between 1998 and 2008, as projected by the Arizona Department of Economic Security (ADES).

Discretionary Sentencing

The impact of recent minimum sentencing legislation, Senate Bills 1356 and 1446, has caused ADJC to lose its ability to manage the length of stay of the population it serves. For example, the State Institutions must return to the court in order to place a pregnant teen in an out-of-institution facility. Prior to the enactment of the above legislation, the Superintendent of a State Institution had sole discretion in making this type of placement decision.

First, we will provide a very preliminary analysis of the impact of Senate Bill 1356, implemented in July 1996, which required mandatory minimum sentences for certain offenses. As *Exhibit 6.14* below illustrates, since implementation of this law, ADJC has seen increases in low-level offenders sent to their facilities, including a 112% increase (from 178 to 378) of misdemeanor offenders and a 76% increase (from 213 to 375) of first time felony offenders.

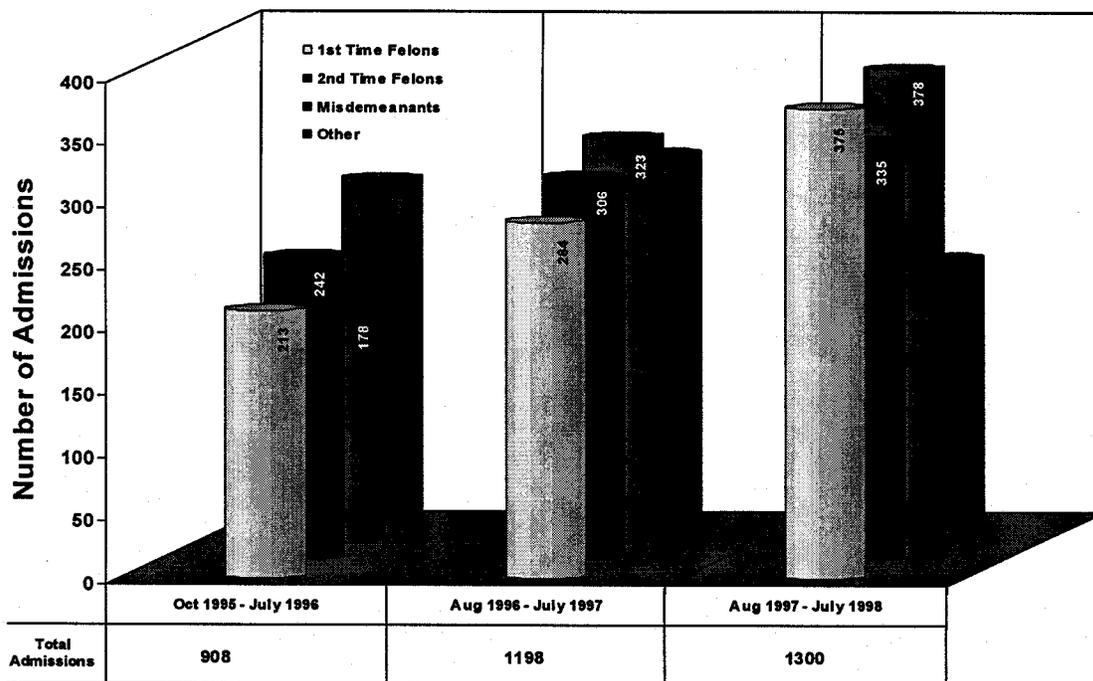


Exhibit X-X

Arizona Senate Bill 1446, which became effective on July 21, 1997, provided the enabling legislation resulting from the passage of Proposition 102 on the November 1996 ballot. This law required that certain severe, violent offenders would be tried in adult court, thereby precluding them from admission to Secure Care in State Institutions. The impact of Senate Bill 1446 is also illustrated in *Exhibit 6-14* above, in the ADJC admission numbers for the category “other”, which includes certain violent and chronic felony offenses. From the time this legislation went into effect, ADJC noticed a 28% decline (from 275 to 212) in the number of “other” (i.e., severe) admissions.

As illustrated in *Exhibit 6-15* below, the makeup of the ADJC population is increasingly becoming the more low- to medium-risk offenders. This will impact the treatment offered in the facilities.

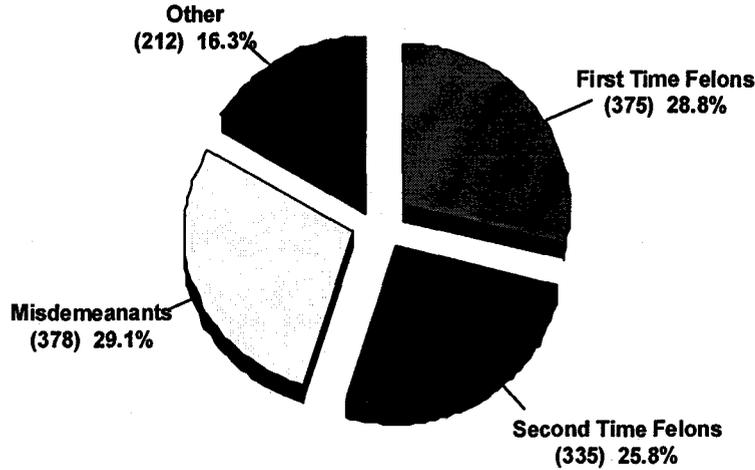
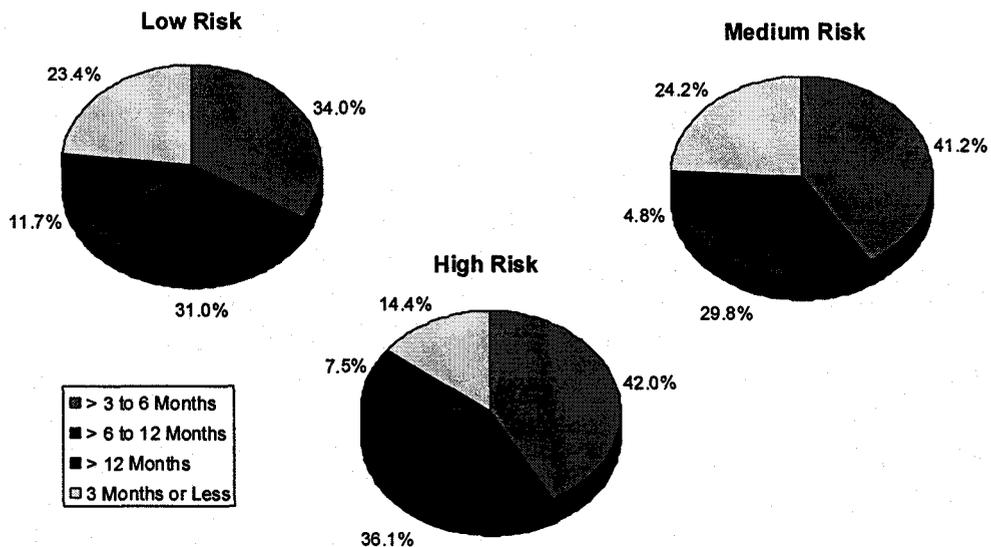


Exhibit 6-15

In fiscal year 1998, low risk youth were staying longer at ADJC than high- or medium-risk youth. According to the analysis included in *Exhibit 6-16*, a higher percentage of low-risk youth (11.7%) remained at ADJC for more than 12 months than those deemed medium- (4.8%) or high-risk (7.5%). Conversely, a higher percentage of high-risk youth (42%) are staying for a shorter-time (3 to 6 months) than the low risk (34%) and medium risk (41%) youth.

Exhibit 6-16



According to interviews with ADJC Administrators and the Superintendents of State Institutions, ADJC has no practical mechanism to release low-risk youth and has limited space to keep the medium- and high-risk youth that have completed their minimum sentence, but may need additional Secure Care services. Two State Institution Superintendents discussed instances where low-risk youth are successful in the ADJC facility and ready for release based on program criteria, yet in their opinion, the youth are forced to remain an extra three to six months due to sentencing requirements. There are also instances discussed where certain juveniles would have been better served if they remained in the facility longer; however, the overcrowded facilities pressured the staff to release the juvenile as scheduled.

Arizona Appears To Be Committing Juveniles with Lower-End Offenses

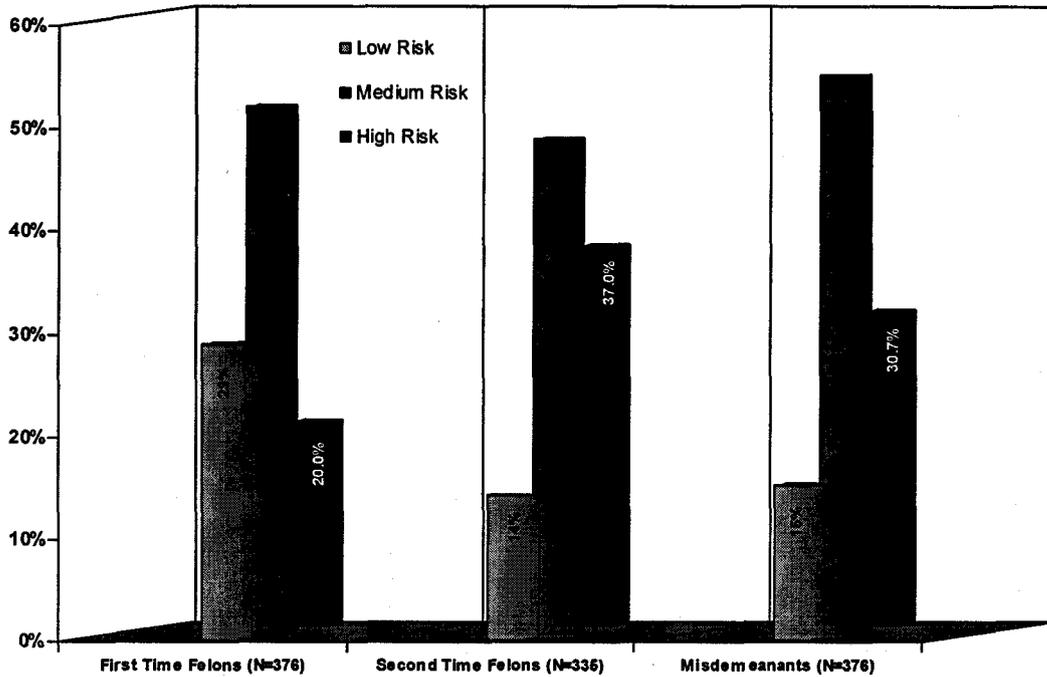
A 1997 calendar year study completed by NCCD of 1,021 ADJC released youth demonstrated that:

- 33% were admitted for Probation violations,
- 17% were admitted for misdemeanors,
- 5% were admitted for felony classes 1 and 2 (most severe),
- 26% were admitted for felony classes 3 and 4 (moderately severe), and
- 18% were admitted for felony classes 5 and 6 (least severe).

It is important to note that, although a large majority of the ADJC population is committed as a result of being found guilty of low-level offenses, some of these juveniles may still be considered "high-risk" youth. The number of factors impacting the youth's chance of re-offending determines the risk assessment. The ADJC determined risk score is based on the history of the youth, including the number of referrals, number of adjudications, age at first referral, type of prior offenses, gang activity, drug use, and school behavioral or truancy issues.

In fiscal year 1998, the analysis in *Exhibit 6-17* indicates that 378 (or 29%) of the ADJC population was committed for being found guilty of misdemeanor offenses. Of those misdemeanor offenders, 30.7% (116) of those youth were classified as high-risk and 54.2% (205) were classified as medium risk. A similar percentage of the misdemeanor and second-time felon (more severe) offenders were classified as low-risk.

Exhibit 6-17



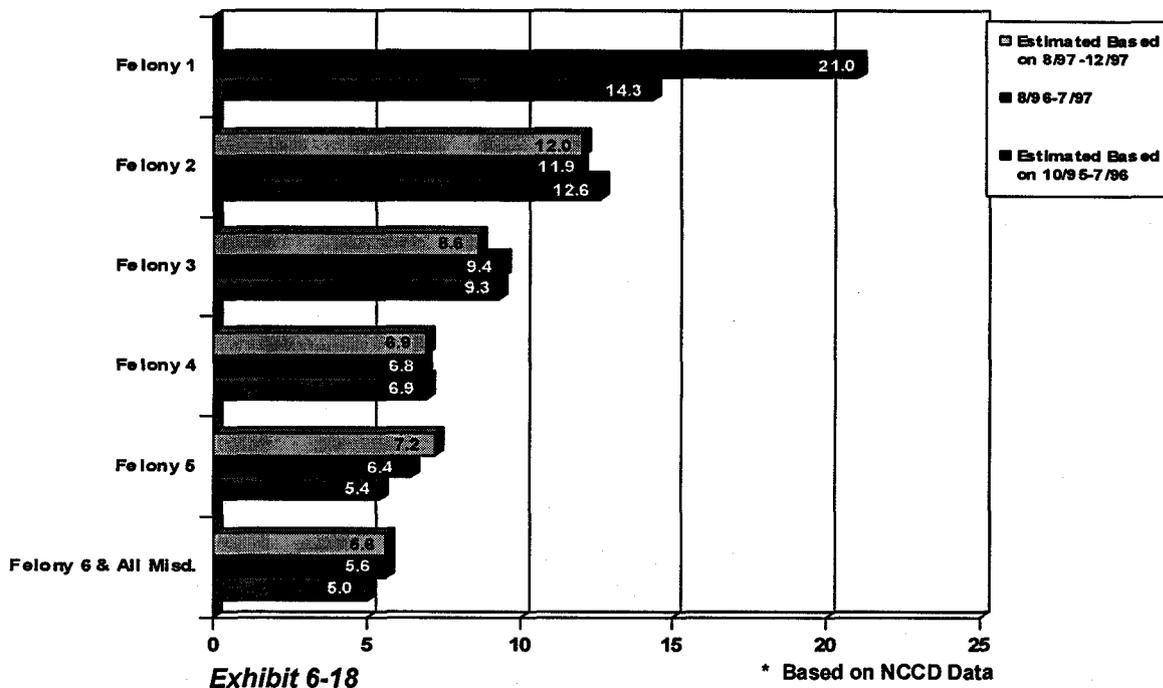
This risk classification is important in determining the disparity in the severity of the offense committed and the actual risk of the youth committing the offense. ADJC staff use the risk-classification to look beyond the offenses committed and focus on treating the risk of the youth and the issues surrounding the offense they committed.

Direct Court Commitments versus Indeterminate Sentencing

Currently, about 92% of court-ordered admissions to ADJC are youth who have received the mandatory minimum sentence for the offense they committed. Two years ago, this figure was 81%.

An NCCD analysis, included in *Exhibit 6-18*, demonstrates that since 1995, the length of stay for lower level offenses (i.e., felony offenses 5 and 6 and all misdemeanors) has *increased* by 54 days and 18 days, respectively. Conversely, the lengths of stay for the more serious offenses (i.e., felony offenses 2 and 3) has *decreased* by 18 and 21 days, respectively.

Length of Stay for Court-Ordered Minimums



How Juveniles are Admitted and the Quality of State Institution Operations

After evaluating the process by which youth are admitted to an ADJC operated State Institution, an assessment was made of the major components of the operations of these institutions. This assessment reviewed operational components from structure and subculture, to staff and operational measures.

Risk, Assessment and Classification (RAC)

Historically, ADJC had implemented the RAC process at each individual facility. Since 1997, ADJC has centralized the diagnostic unit at the temporary Rincon facility. The current diagnostic and classification process is scheduled for 28 days per youth, (the national average for juvenile assessment). With the eventual elimination (January 1999) of the Rincon facility, ADJC is in process of deciding whether to continue a centralized RAC unit or to disperse the RAC process to each facility.

Although 28 days is the national average for assessments, the shorter the assessment time period, the shorter the delay for treatment services. ADJC has a stated goal to try to reduce the time required to complete the RAC process. ADJC staff at Rincon believe that the RAC process could be shortened if the youth's case file and documentation followed him or her to ADJC from AOC. Most of the evaluation regarding social history, education background and record gathering, and at times the psychological evaluation, should have already been completed at one of the previous junctures in the juvenile justice continuum. The Rincon staff reported to us that many times the youth's file history does not follow them to ADJC; and if it does, it is rarely complete. Consistent

with this, our review of ADJC case files revealed the prevalent lack of education reports and prior placement or treatment information.

National Experts report that in-depth assessment and evaluation at this stage is not crucial because all youth will be placed in Secure Care and will receive the standard therapeutic and education services. Further, decisions regarding placement for each youth are primarily based on age, gender, and geography; not on risk assessment. Also, there are limited specialized treatment options and spaces available for placement.

Finally, National Experts point to the fact that the most severely disturbed youth are not being identified at the diagnostic phase. In FY 1997, three out of the 66 (or 4.5%) Encanto facility placements (i.e., severe emotional and behavioral problems) came directly from diagnostic unit; the rest came from referrals from the institutions after the youth had lived in the institution for a period of time. This assessment and determination is critical, as youth with severe emotional and behavioral problems can be a danger to themselves and others when placed in a general, non-specialized facility. The purpose of the Encanto facility is to serve as a placement for youth whose mental health status precludes them from performing within the guidelines set at the regular institutions. National Experts agree that a 28-day in-depth youth assessment, such as the RAC, should be sufficient to identify the youth that would be more appropriately placed at Encanto.

Institutional Structure and Subculture

Based on our site visit to the majority of State Institution housing units, we were able to determine that safety issues were reduced due to the structure and design of the units. The units' acoustics were adequate. The design of the facilities allowed staff to have constant visual observation of the youth.

We also witnessed overcrowding in many of the housing units visited. In some facilities, there was triple bunking in double bunk units. As noted in **Section 3**, the absence of air conditioning in many of the ADJC housing units can lead to health and security issues. Staff and juvenile interviews confirmed the frayed tempers during excessive times of heat. Data was not available to allow us to validate this expressed concern. An evaluation of the Incident Reporting and recorded heat related health issues should be tracked throughout the year to see if there is an increase in summer months. If a relationship is found, a cost-benefit analysis should be conducted to determine the cost of air conditioning versus health and incident-related occurrences.

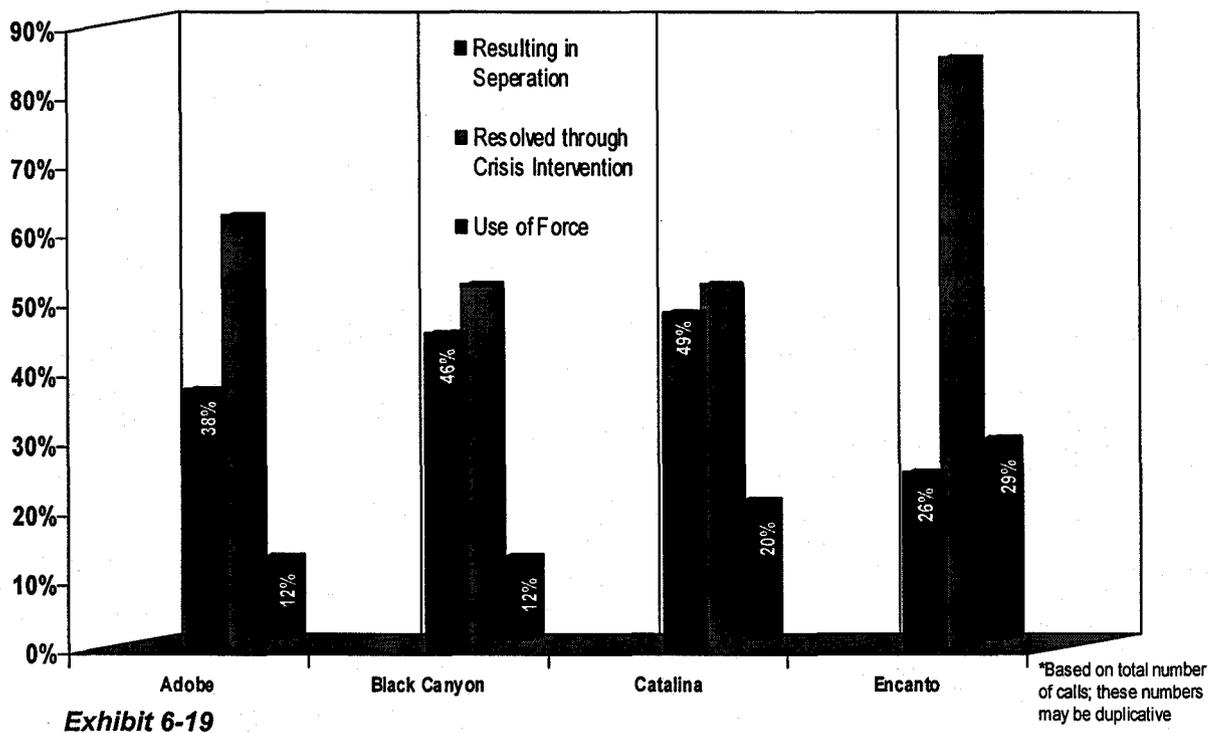
Juvenile interviews confirmed that health and safety issues arise at the three Adobe Mountain housing units where the restrooms are located in a centralized area; as opposed to each room. The youth are required to knock on the door when they have to use the restroom in the middle of the night. The youth reported that it takes the security staff up to an hour to arrive to let them out. They also reported urinating and defecating in trash cans and soda bottles when they were unable to wait for the security guard to arrive. Interviews with ADJC staff reported that the security staff are efficient and timely in responding to the youth in these facilities in the middle of the night. We suggest this

discrepancy in relating this circumstance is worthy of ADJC management obtaining additional understanding of these circumstances.

Based on ten juvenile and 15 staff interviews, we identified a gang-oriented subculture and initiation process. ADJC is fully aware of the gang issues in their State Institutions. In 1996, ADJC identified 360 gang members residing in their facilities. ADJC security staff work closely with local law enforcement to keep pace with the gang mentality and environment that penetrate the State Institutions. The ADJC security staff is aware of the latest gang rivalries and is informed of gang-retribution attacks that happen on the street. The constant communications with law enforcement allows the ADJC security to be one-step ahead of the street rivalries and retaliations that attempt to penetrate the facilities. This constant awareness has helped avoid the eruption of severe gang wars in the ADJC facilities.

Other State Institution Operations

All of the facilities appear to be operating effectively in resolving incidents through crisis intervention, without the use of force. At all four long-term placement facilities, the majority of the security calls are resolved through crisis intervention, and less than half of all the calls result in the youth being placed in the Separation Unit. As illustrated in *Exhibit 6-19* below, the percentage of security calls where force is used ranges from a low 12% at Adobe Mountain and Black Canyon to a high 29% at Encanto. Given the nature of the youth the Encanto facility serves, the amount of force and restraints used will naturally be much higher than the general juvenile facility population.



ADJC facilities appear to be keeping escapes to a minimum. In fiscal year 1997, there were three successful escapes from facility grounds (two from Adobe Mountain and one from Black Canyon). There were five additional escapes recorded, however these were all from the Samaritan Hospital where youths were temporarily placed for medical reasons.

Staffing

Through interviews conducted with staff development and facility management, we identified a number of direct care staffing issues. ADJC indicated they have a difficult time recruiting and retaining Youth Corrections Officers, due to the shift work, the high “burn-out” nature of the job, the low pay and the exceptional economy. As noted in *Exhibit 6-20*, the turnover rate of a number of these position categories exceeds the average for state services in Arizona.

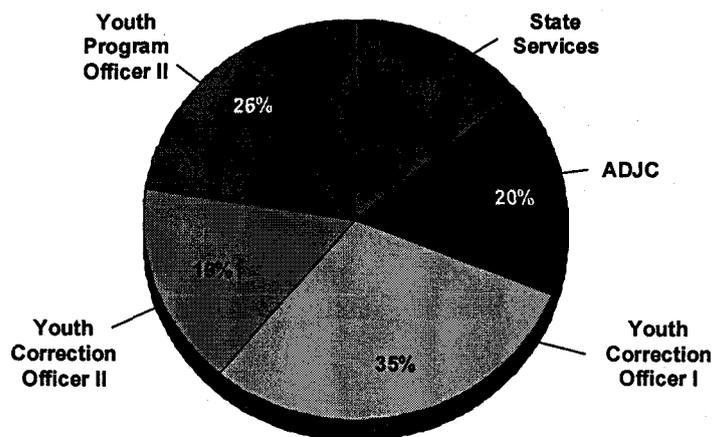


Exhibit 6-20

Using the Western States Salary Survey as a comparative basis, three of the four direct service position categories in Arizona have monthly salaries below the average of the western states. The table in *Exhibit 6-21* highlights these salary differences.

Exhibit 6-21

Arizona Class Title Western States Salary Survey (WSSS) Class Title	Monthly Salary		Difference	
	Arizona	WSSS	\$	%
Youth Correction Officer I	\$ 1,803		\$ 219	12%
Youth Correction Officer - Journey		\$ 1,584		
Psychology Assoc. I	\$ 2,325		\$ (538)	-23%
Psychology Assoc.		\$ 2,863		
Youth Program Officer II	\$ 2,149		\$ (514)	-24%
Youth Program Officer - Instit. Case Manager		\$ 2,663		
Youth Parole Officer I	\$ 2,149		\$ (341)	-16%
Youth Parole Officer		\$ 2,490		

While salary alone is not the only factor causing turnover, it is likely a significant factor and salary modifications should be considered to reduce turnover in the positions that work directly with Arizona's youth placed in these facilities.

ADJC has struggled to keep pace with staffing requirements arising from the recent openings of the Rincon and Buckeye facilities. Staffing schedules had to be juggled to ensure a staff-to-juvenile ratios are maintained. These ratios are:

Shift	Ratio
Morning	1 to 12
Afternoon	1 to 8
Nighttime (or Youth Sleeping Hours)	1 to 24

The Encanto facility maintains ratios of 1 to 8 at all times. In spite of these challenges, ADJC has continued to maintain the required ratios.

Staffing issues are also present at the Psychologist Associate. Psychologist Associate caseloads can be as high as 80 juveniles. Management, staff and juvenile interviews have indicated a need for more Psychologist Associate positions.

Training

As verified by ADJC training requirements, the training curriculum and the orientation academy, ADJC is committed to training. ADJC requires that all staff, including Youth Correction Officers (YCOs), managers, supervisors, teachers and nurses, complete the four-week training academy. ADJC administrators believe that all personnel, not just YCOs, should attend the training process in order to learn how to most effectively deal with youth in Secure Care.

After much evaluation, ADJC recently shortened the orientation training from six weeks to four weeks for efficiency purposes. The other two weeks will be used to conduct on-the-job training.

ADJC is working toward improving ongoing training by surveying staff to elicit issues, and by automating the training tracking to capture the number of training hours per staff, and results of their post-training competency test scores. This automation will allow ADJC to know which staff members are not meeting their annual training requirements and the results of training tests.

Although the statistics demonstrate that facility staff are effective in resolving incidents through crisis intervention, YCO interviews indicated the staff desire to improve their ongoing crisis intervention training. Many of the YCOs expressed a desire to improve on their abilities to "talk down" and deescalate a crisis situation. They also expressed that one can never have enough training on dealing with hostile situations.

We learned from both YCO and juvenile interviews conducted that YCOs need to receive more training prior to running group therapy sessions. Some YCOs expressed concerns that they are not as effective as they would like to be in running groups, and indicated that they thought additional training and preparation in this area would benefit all involved. Senior therapists also expressed their professional concerns with untrained YCO's running group therapy.

The Needs of the ADJC Youth and the Treatment Offered

The needs of the ADJC youth should determine the type of services available in the institution. As outlined below, our review determined that substance abuse, school problems and family issues are major indicators of severe delinquency in Arizona.

Since the 1994 consent decree, ADJC has made significant strides in the development and implementation of quality treatment programs. With the severity of the population ADJC serves, an analysis of the need for additional treatment beds must be completed. ADJC currently has the following treatment options and indicators of the potential need for more:

24 Sex Offender Therapy Beds

Of the 1996 cohort of 348 ADJC youths, at least 68 youths demonstrated inappropriate sexual behavior.

68 Violent Offender Therapy Beds

Of the 1996 cohort of 348 ADJC youths, at least 255 expressed inappropriate violent behavior.

60 Substance Abuse Treatment Beds

Of the 1996 cohort of 348 ADJC youths, at least 288 youths demonstrated substance abuse issues.

While the specific number of required beds is undetermined for each of these specialized needs, the analysis does indicate a need for more beds than currently available.

As outlined below, substance abuse, family factors, and school problems are indicators of delinquency. ADJC programs and available treatment need to be comprehensive enough to treat the indicators of delinquency and prevent future criminality.

Substance Abuse And School Problems Appear To Be Indicators Of Severe Delinquency

Based on conservative national estimates, substance abuse accounts for at least 70 percent of the juvenile offender population. Arizona's numbers are similar to the national numbers. An NCCD analysis of 1,021 youth released from State Institutions during calendar Year 1997 found that:

- 51% had a gang affiliation,
- 86% had a substance abuse problem,

- 95% had problems in school including truancy or behavioral, and
- 28% had a weapons offense history.

Identified mental disorders are also appearing in the ADJC population. Of the youth housed at ADJC facilities in fiscal year 1997, 14% of the youth were on psychotropic medication per orders of psychiatrists.

Families' Demographics Are Predictors of a Youth's Delinquency

There are countless studies concluding that families are influential in determining whether a juvenile will become delinquent. Arizona family statistics confirm these national results. As shown below, of the 348 youth released from ADJC in calendar year 1996 where complete family was available, the following statistics compiled:

- 50% of the youth had a history of abuse and/or neglect,
- 66% had domestic violence conflict, which at times resulted in police involvement,
- 83% of the youth had some or severe emotional problems,
- 68% of the youth's parents were in need of improved parenting skills,
- 44% of the youth's parents had substance abuse problems, and
- 49% of the youth's family members had involvement with the criminal justice system either past convictions or current incarceration.

Program Activities and Treatment

Since the 1994 consent decree, the Arizona Department of Juvenile Corrections has made major improvements in its operations. The creation and implementation of constructive programs and treatment services represent significant advances for State Institutions. In four short years, ADJC has moved from little or no structured therapy programs to daily programming for every ADJC youth.

Currently, the ADJC daily routine consists of six hours of education, at least two hours of daily group therapy, including the cognitive behavioral groups "Keys to Innervations" and "Limit and Lead" programs, recreation, work crew, and individual counseling as needed.

ADJC has also made significant strides in the implementation of specialized treatment programming for violent offenders, sexual offenders, and substance abuse. As described above, the availability of the specialized treatment is limited.

The need for treatment programs far outweighs the current availability. ADJC recognizes this need. In 1995, ADJC had a total of 72 specialty beds. Recently, ADJC secured a federal grant of \$844,000 for substance abuse program services that will result 281 specialty beds by 1999.

An exemplary treatment program is highlighted in the best practices box, **ABP-6.4**, below.

ABP-6.4

BEST PRACTICES
Catalina Crossroads Program

Our national experts visited the Catalina Crossroads violent offender program determined the program met some of the highest standards of treatment services, including:

- Program conformed to optimal conditions,
- Very low staff to juvenile ratio,
- Staff committed to creating a normalized (stable and homelike) environment,
- Youths were focused on personal responsibility issues without worrying about physical safety,
- Strong and creative Program Director,
- Staff were hand-picked by the Program Director,
- Staff were motivated to help the youths, and
- Unified treatment plan and realistic philosophy.

Service Gaps

One of the most glaring service gaps in ADJC programming is the lack of a comprehensive life skills program. Based on interviews with over 100 Arizona youth involved in the juvenile justice system, we noted a consistent absence of life skills. Many expressed desire to learn about college, how to open a checking account, or where to ask for help, paying taxes, or writing resumes and searching for quality jobs. The current programming offered at ADJC does not include a comprehensive life skills program. The interviews indicate that the ADJC released youth are leaving the facilities without the basic knowledge they need to become well-functioning members of society.

Of the youth housed at ADJC facilities in FY 1997, 11% had children of their own. Because many ADJC youth come from dysfunctional homes, they do not know how to parent. ADJC can be an opportunity for these youth to learn the parenting skills necessary to break the delinquency cycle for themselves and their children.

The Black Canyon female facility had a noticeable lack of programs for pregnant girls, as identified by the superintendent of Black Canyon. Interviews with the pregnant youth determined that the girls are unprepared to have their babies. They were lacking knowledge in everything from labor pains to diaper changing. ADJC has no program in place to teach pregnant girls about their pregnancy or parenthood. The project team also

noted a similar diet served to the pregnant girls and the general population; and yet, the pregnant girls need a specialized diet, or at the very least an increase in calorie intake.

ADJC also lacks vocational programs. There is an obvious need for vocational skills in the ADJC population, the majority of whom are undereducated, unemployed, and unskilled. An NCCD analysis of 348 ADJC youth found that 59% lacked the skills and training necessary to make them employable. As discussed earlier, ADJC's current Culinary Arts Vocational Program is a model program for other programs to emulate (refer to the Arizona Best Practice, **ABP 6.1**, above).

The majority of ADJC youth have short-term stays, yet there is a noticeable absence of specialized short-term programming. The average length of stay for ADJC youth is about 200 days (or 6 months); yet all of the current specialized treatment programs require 12 months to complete the program.

Recommendations

Automation and the Implementation of Performance Measures Must Continue as an ADJC and Stakeholder Priority

A notable ADJC strength includes its obvious prioritization and investment in automation, and the development and implementation of performance and outcome measures. We strongly recommend that ADJC look at these two implementation strategies with a focus on all key stakeholders in Arizona juvenile justice system, not just ADJC. In other words, automation developed should provide the capability to readily exchange data with AOC, Arizona Department of Economic Security (ADES), Arizona Department of Health Services, Behavioral Health Services Division (ADHS/BHS) and the Regional Behavioral Health Authority (RBHA) and Arizona Department of Education (ADE). The same is true for outcome and performance measures. Collaboration in this area should increase joint problem solving and help identify opportunities to maximize the efficiency of services.

Collaboration and Communication Must Be Ongoing Between All the Major Participants

Collaboration and communication between the youth, the family, ADJC, AOC, DES, RHBA, schools, counties, and community providers are essential. All partnerships affecting the youth's life must work together. As described throughout this section, ADJC is making great collaborative strides with the key stakeholders.

Continued collaboration will include a review of legislative and system changes that impact any key stakeholders. For instance, the recent legislative changes need to be evaluated from the high-level system perspective, and by the system participants to determine the impact the changes have on the system as a whole. If necessary, a collaborative effort of alternative, cost-effective, solutions should be proposed to improve Arizona's juvenile justice system.

Improve Case File Documentation

The ADJC should work with the facilities and Probation and Parole officers to ensure that comprehensive, accurate and meaningful information is documented in each juvenile's case files. This documentation should occur in a timely and organized fashion, and appropriate information is input into the YouthBase system. By accurately documenting the history and outcomes of the youth in the Arizona juvenile justice system, the case files and the YouthBase system can be used to develop appropriate performance measures to assess the effectiveness of the treatment and programs offered by AJDC. Complete historical information on youth served can also form the basis for the development of an effective risk assessment model to help guide future placement decisions.

Review and Fill Treatment and Programming Gaps Evident at State Institutions

A review of the ADJC Secure Care service needs must be completed in order to determine the gaps in service. Currently, every ADJC youth receives education, work, recreation, and standard group therapy; however, the specialized treatment options are limited by facility and by spaces. Due to the extreme population ADJC serves, there are multiple service needs among the youth, from substance and emotional abuse issues to educational and life skills needs. ADJC must evaluate and quantify their service needs in order to implement the most effective programming. Due to the lack of available treatment, the needs of the ADJC youth are not fully addressed. For instance, over 80% of the juveniles in ADJC have a substance abuse issue, but ADJC only has 60 substance abuse beds. The facilities also offer a limited vocational curriculum and no life skills workshops.

Use Family Statistics to Help Shape Treatment For Youth and Outreach for Parents

ADJC treatment services need to identify and serve the family issues impacting the youth's delinquency. Formalized family services and outreach to parents must be ongoing in order to confidently return the youth to society and to their families.

Continue to Hire and Train Quality Staff and Provide Sufficient Resources to Each Facility

In addition to the need for increased treatment options and availability, ADJC needs to continue to support its treatment efforts through quality staff and sufficient number of psychological staff. We noted psychologist's caseloads as high as 80, which impedes the treatment process for most juveniles. Also, the addition of air conditioning at the three noted facilities can improve the quality of care provided to the youth.

Increase Efficiency and Effectiveness of the Risk, Assessment and Classification (RAC) Process

By shortening the RAC process, the ADJC staff will be given more time to treat and rehabilitate the youth. There is a need to identify ways to obtain case information from AOC in a more timely manner to ensure maximum efficiency of this process and to eliminate as much duplication of effort as possible.

Complete an In-depth Cost Analysis of all ADJC Facilities

ADJC needs to determine why Catalina costs are, on average, 29% higher than costs of Adobe and Black Canyon. These cost differences are sufficiently substantial to warrant additional analysis by ADJC. This type of cost-analysis needs to be a required performance metric that is monitored and investigated as cost rates shift. The use of performance and outcome measures at the facility level will help to assess if the extra costs of Catalina are beneficial to the facility through improved outcomes.

Reconsider Use of "Boot Camp" Services

National research of boot camps has been inconclusive in the benefits of such programs. Some research has shown higher recidivism or no changes in recidivism rates of boot camp youth. ADJC needs to continue its evaluation of the boot camp and apply performance and outcome measures to determine its cost-effectiveness.

Conclusion

Arizona's State Institutions have undergone major changes in the last four years. As a result of the *Johnson v. Upchurch* consent decree, ADJC has reduced overcrowding, improved staff training curriculum, expanded the educational curriculum and implemented daily group therapy and vocational training. ADJC has established 152 specialized treatment beds for violent offenders, substance abuse and sex offenders.

Since 1994, ADJC has been prioritizing the development, implementation, and automation of performance and outcome measures, as witnessed by their collaboration with the National Council on Crime and Delinquency. These measures will assist ADJC in improving the operations of ADJC facilities. While it appears that the average institutional costs and recidivism rates in Arizona are in-line with comparable statistics nationally, outcome measures must be utilized to determine the effectiveness of the facilities, and to evaluate the appropriateness of investments in higher cost facilities such as Catalina.

ADJC will need to collaborate with the Administration of the Courts (AOC) JOLTS information system to expand its current recidivism outcome measures beyond re-incarceration. With this limited data, a true evaluation of the success of ADJC cannot be determined. The current data, however, does show that ADJC's recidivism percentages of 13% to 18% fall within the range of the national average of returns to Secure Care.

With these expanded outcome measures, ADJC will be able to determine more fully the treatment needs of its population, the effectiveness of the treatment options and expand and implement programs accordingly.

In the next section, we provide further explanation of the other component of ADJC, Conditional Liberty, formerly known as Parole.⁵

1 National Council on Crime and Delinquency. *Juveniles in Custody* (October, 1998).

2 Criminal Justice Institute. *1995 Corrections Yearbook*.

3 Sherman, L., et al. *Preventing Crime: What Works*. U.S. Department of Justice.

4 Criminal Justice Institute. *1995 Corrections Yearbook*.

Section 7

Post-Secure Care

Draft

Section 7 Post-Secure Care

Introduction

In Arizona, the Post-Secure Care program that all juveniles released from a State Institution must complete is known as Conditional Liberty. In other words, after a determination by ADJC that the youth's continued treatment, rehabilitation and education in a less restrictive setting are consistent with the public's safety and interest, the youth may be granted Conditional Liberty. The youth is then placed under the care of a parent or legal guardian, a resident of Arizona of good moral character, or placed in a community-based treatment center.

The youth's freedom from Secure Care is based on certain conditions or consequences that must be met by the juvenile while living in the community. The youth receives a copy of and must sign the terms of their Conditional Liberty. These terms are determined by ADJC and must be reviewed by the committing court and the County Attorney¹. Conditional Liberty can include anything from treatment to restitution to curfew. Juveniles are released from Conditional Liberty when they:

- Successfully demonstrate stability in the community,
- Are free from delinquent behavior, or
- Reach the age of 18.

Although a 1991 statute changed the name of Parole to Conditional Liberty, actual changes in the role of Parole did not begin in earnest until 1993. Historically, Parole has been solely supervisory and reactionary—responding to violations after the fact, but not focusing on preventing new delinquent behavior. With the implementation of the Conditional Liberty approach, Parole Officers are now expected to provide intervention services to prevent new delinquent behavior.

In Arizona, Conditional Liberty staff (i.e., Parole Officers):

- Supervise juveniles released from secure care, *and*
- Provide *intervention and resources* to effectively help them make a successful transition back to their home and community.

Parole's intervention services are not only designed to reduce new delinquent behavior, but are also designed to respond when new delinquent behavior is detected. The goal of this new approach is to reduce the overall cost of providing appropriate structure for juveniles who have been released from Secure Care while achieving enhanced public safety.

In January 1998, ADJC adopted the Graduated Continuum of Care Model (Model in response to a growing need for comprehensive aftercare (i.e., Post-Secure Care) services. The goal of the Model is to provide more structure and clarity to how and for whom intervention services will be utilized in the Conditional Liberty program. This Model is described in more detail in the **Current Programs and Strategies** subsection.

Key Stakeholders

The key stakeholders involved in the Conditional Liberty component of the service continuum include:

- *ADJC, Community Corrections Division* funds and operates the Conditional Liberty Program. Community corrections is divided into the following five divisions:
 - North Region Parole, consists of the North, West, South Phoenix and Mesa offices serving Maricopa County.
 - South Region Parole, consists of Tucson, Interstate Compact Parole and Rural Parole Supervision. The South Region covers the entire state except for Maricopa County.
 - Community Services (Purchase of Care), consists of the services ADJC Parole contracted services, including counseling, group homes, residential placements, day treatment, outreach and tracking, etc.
 - Family Services is another division within the ADJC that:
 - Conducts in-home evaluations of the committed youth,
 - Provides families with an orientation to ADJC
 - Provides parenting cognitive restructuring classes,
 - Provides crisis intervention to families as needed, and
 - Offers treatment referrals to other agencies in the community.
 - ASU/ADJC Partnership, provides tutoring for and tracking of juveniles on Conditional Liberty.
- *Counties* work in conjunction with ADJC Parole Officers to assist in the monitoring and supervising of parolees. Certain rural county Probation Offices contract with ADJC to conduct the Parole programs and supervision of local parolees.
- The *Judiciary* plays a role in reviewing and providing recommendations on the release agreement that sets forth the conditions for liberty, and determining the Parole violation dispositions.
- *Service Providers* operate the various treatment programs which youth parolees may be required to attend as part of their Conditional Liberty.
- *Communities*, through community-based organizations and schools, are involved in the Probation and Parole components of the aftercare by offering additional services

(e.g., behavior modification classes, education classes) as part of the youth's conditional liberty or as a means to complete the required services (e.g., community work crew, community restitution).

- *Families* are required to become involved in the Conditional Liberty phase by signing a monthly progress report on the youth that is returned to their care. By signing the monthly progress reports, the family is constantly informed of the successes and failures of their youth's progress while on Parole. Families are also involved in the Parole process through In-Home Evaluations, Crisis Intervention, Possibility Parenting Workshops and Family Groups.

As we will discuss, the Conditional Liberty Program and the new Graduated Continuum of Care Model that has been adopted in Maricopa and Pima Counties, are designed to succeed when all the key stakeholders collaborate on the ultimate goal of rehabilitating youth and preventing future delinquency.

Current Programs and Strategies

Since the early 1990s, a number of programs and strategies have been developed and implemented in Conditional Liberty, including:

- Graduated Continuum of Care;
- Staffing Strategies;
- Family Services;
- Educational and Vocational Services; and
- Community Services

Graduated Continuum of Care

As mentioned above, ADJC recently implemented a new strategy, the Graduated Continuum of Care Model (Model), in response to a growing need for quality aftercare and comprehensive services. ADJC's Model targets high-risk male youth (in Maricopa and Pima county only) who are under 17 ½ years of age at time of release and are assessed with a risk score of five which is considered to be high-risk. These "high-risk" youth are classified as such by their offense and social history (i.e., youth with five or more referrals, three or more adjudications, felony offenses, drug offenses, gang involvement, truancy and substance abuse issues).

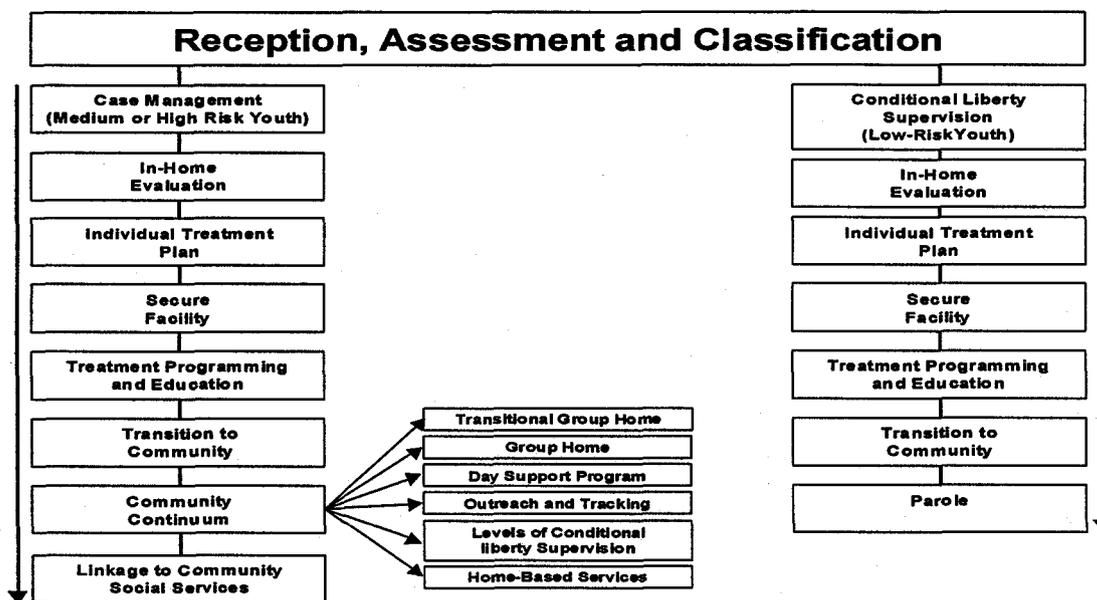
At the time the youth enters ADJC, the youth's risk score is evaluated to determine placement on the Conditional Liberty supervision track or the Continuum of Care case management track. For low risk youth, the case is assigned to Conditional Liberty supervision, where the Parole Officer begins working with the youth and the family *after* Secure Care, as the Parole Officer transitions the youth back into the community. For higher risk youth, the case is assigned to a Continuum of Care case manager (Parole Officer III) immediately upon the youth's commitment to the institution. This Parole

Officer works with the youth and family the entire time during Secure Care and Conditional Liberty.

Another difference in these two tracks is illustrated in *Exhibit 7-1* below. After release from Secure Care, the youth in the “Conditional Liberty Supervision track” will be placed on Parole. In contrast, after release from Secure Care, the graduated continuum, “Case Management track” youths will be placed on Parole *and* into the “step-down” community continuums, which include, transitional group homes, day support, outreach and tracking and home-based services.

Exhibit 7-1

Conditional Liberty Tracks Available to ADJC Youth



ADJC Conditional Liberty Staffing Strategies

ADJC indicates that whether a youth released from Secure Care is on the “Conditional Liberty Supervision track” or the “Case Management track”, the key to a successful community transition is quality supervision. As noted in *Exhibit 7-2* on the following page, ADJC funds Parole Officer positions in Maricopa, Pima, Pinal and Cochise counties. In contrast, ADJC contracts with County Probation Departments to provide Parole supervision services in Yuma, Gila, Graham, Greenlee, Coconino, Apache and Santa Cruz counties.

Exhibit 7-2**ADJC Conditional Liberty Population By County and Supervision
(November 10, 1998)**

County	Conditional Liberty Population
Apache*	13
Cochise***	50
Coconino*	34
Gila*	34
Graham*	23
Greenlee*	1
La Paz**	7
Maricopa***	627
Mohave**	117
Navajo**	15
Pima***	293
Pinal***	84
Santa Cruz*	14
Yavapai**	52
Yuma*	107

* Counties that ADJC contracts with the local probation department for services

** Counties that ADJC contracts with private individuals for services

***Counties that ADJC has FTE employees for services.

ADJC's partnership with County Probation Departments is a unique collaboration effort. ADJC trains the County Probation staff that serve in the Parole function and is in regular communications regarding the Parole cases. ADJC has one Supervisor who is solely responsible for the training, oversight and collaboration between Probation and Parole. All recommendations, requests, referrals, procedures and progress reports are processed through the corresponding ADJC Parole Office.

ADJC also contracts with individual contractors to provide Parole supervision in Mohave, Yavapai, La Paz, and Navajo counties. For various reasons, including the costs and available resources, these three County Probation Departments did not enter into a contract with ADJC to provide Conditional Liberty Parole supervision. ADJC indicated in our interviews that they believe the individual contractors are not as effective or reliable as the staff they work with in the County Probation Departments, as there is no back-up support for individual contractors.

Through constant communications and quality training, ADJC tries to ensure that there is similar quality service delivery across ADJC employed Parole Officers and contracted Probation Officers.

Family Services

Also noted in *Exhibit 7-1* above, in-home evaluations are required to be completed for all ADJC committed youth. Although the evaluations are begun at the start of the youth's commitment to Secure Care, the Conditional Liberty Program is responsible for completing the evaluations. The fact that the officers working in the Post-Secure Care phase of the system are responsible for completing the evaluations is a unique approach to early involvement of the family. This early contact by the Parole Officer is designed to help establish rapport and set expectations for the youth's treatment with the family.

The in-home evaluations take place within the first 14 days of the youth's commitment to ADJC. Either a Parole Officer, Family Service Coordinator or a Parole Officer with therapy experience or training, conducts the evaluation. The purpose of the in-home evaluations include the following:

- Making initial contact with the family;
- Orienting the family to the service their child will be receiving;
- Soliciting the family's feedback on the youth's troubles and issues;
- Determining issues facing the family; and
- Determining the type of supervision the family can provide upon the youth's release.

If notable family issues and problems arise from this initial evaluation, a Family Service Coordinator will return to the home for a more thorough evaluation and to provide crisis intervention and treatment resources to the family. This program is highlighted as a best practice in the **ABP-7.1** box below, due to the obvious significance of early engagement of the family.

ABP-7.1

**BEST PRACTICES
ADJC In-Home Evaluations**

Since 1993, ADJC Conditional Liberty services have included in-home evaluations of all ADJC committed youth. These evaluations are completed in order to determine the proper individual treatment plan for the youth and to determine if the home is a viable option for the youth's return.

ADJC is starting to treat their youth not as individuals, but as part of a family unit. The in-home evaluations are important first steps to improving the lives

of these youths. The next step will be how to improve the homes and families these youth will return to.

ADJC is beginning to ask and answer crucial questions of the juvenile justice system: How can the system expect the youth to succeed when the family and home life are ignored in the treatment process? How can the system prepare to return a juvenile home, when the quality and status of that home is ignored?

In addition to the in-home evaluations, crisis intervention and referrals, other services are offered to families through Conditional Liberty. These services include parent cognitive restructuring (i.e., "Possibility Parenting") classes and family group counseling. The goal of the "Possibility Parenting" classes is for the families to become familiar with the terms and philosophies of the "Keys to Innervations" and "Limit and Lead" programs offered in the ADJC Secure Care facilities. By attending these groups for a minimum of 12-weeks, the family learns what the youth has learned. Also, during family groups, both the youth and parents teach each other the methods of cognitive restructuring.

According to ADJC, parent participation in these classes and groups has been low. ADJC has reported that they will begin to develop new ways to improve participation but was unable to provide attendance statistics for this study. ADJC is constantly developing new ways to increase family participation in these programs.

Educational and Vocational Services

Another intervention component to ADJC's Conditional Liberty is the availability of vocational and educational services. ADJC views these services as essential in their role of rehabilitating youth and ultimately preventing further delinquency by providing youth with the resources and opportunity to become law abiding, productive members of society.

Vocational services consist of job training and apprenticeship programs. One notable apprenticeship program is ADJC's collaboration with the Association of General Contractors. Through this program, ADJC parolees learn basic electrician skills that will allow them to retain future employment in the industry.

ADJC also works with the Arizona Department of Economic Security (ADES) to utilize its Vocation Rehabilitation Program. Since, ADES receives 80% federal financial participation in the cost of Vocational Rehabilitation services, ADJC pays the match of 20% to provide these services to the youth in their care. Youth participating in Vocational Rehabilitation are trained on all skills necessary for job attainment, including job training, counseling, interview skills, clothing and others. The program is designed for youth that are certified as disabled (i.e., learning, emotional or physical disabilities) which creates a barrier to employment. An advantage to this vocational program is that once a youth becomes eligible for the program, services can continue past the age of 18. Since February 1997, the program has served a total of 292 ADJC youth. Best practices

identified in association with this collaborative service are highlighted in the box **ABP-7.2** on the following page.

ABP-7.2

BEST PRACTICES
ADJC Education and Job Training Partnership

ADJC operates education labs to work in conjunction with youth on Conditional Liberty. Throughout the state, three ADJC Parole Offices have education labs attached to them. These education labs work with the ADJC Conditional Liberty youths to obtain a General Education Degree (GED), to improve their literacy, to provide extra tutoring and to be a resource for further education.

In addition to the education services, the federally funded Job Training Partnership Act (JTPA) provides job training and resources. The education labs have a full-time job skills instructor who teaches the youth how to fill out an application, complete a resume, interview, search for jobs and choose a career.

Other important ADJC collaborations include partnerships with local colleges and universities. The ADJC/Arizona State University (ASU) Partnership provides tutoring and tracking for juveniles on Conditional Liberty. This program started with an outside grant, but it is now funded fully by ADJC. ADJC's partnering with the Glendale Community College funds a scholarship for one Conditional Liberty juvenile. The scholarship provides for six credit hours and books for that juvenile.

Community Services and Purchase of Care Providers

As youth transition back to the community at this stage of the system, certain services are required to make the youth's transition successful. ADJC Conditional Liberty contracted Community Services consists of:

- Education and Job Training Assistance,
- Counseling,
- Day Treatment,
- Residential Placement,
- Restitution,
- Outreach and Tracking,
- Tutoring, and
- Mentoring.

ADJC service provider contracts are used for all paroled youth in need of Post-Secure Care services. The low- to medium-risk youth, on the traditional “Conditional Liberty Supervision track”, generally receive counseling through the Single Purchase of Care (SPOC) contracts.

The high-risk youth on the ADJC “Case Management track” may receive any of the graduated, or step-down services, including:

- Transitional group home placement, to
- A group home placement, to
- Day support programs, to
- Outreach and tracking, to
- Varying levels of Parole supervision, to
- Home-based services.

For the most part, ADJC uses the Single Purchase of Care (SPOC) contract rates to reimburse providers for “Conditional Liberty Supervision track” Treatment services. In some cases, through an Intergovernmental Agreement (IGA), ADJC can make use of the AOC negotiated contracts with Treatment providers. However, if ADJC uses the AOC negotiated contracts, ADJC still requires the providers to complete an ADJC contract.

For those youth receiving services under the Graduated Continuum of Care program, rates are separately negotiated with Treatment providers. ADJC does not allow Graduated Continuum of Care providers to serve any other populations in these programs. The solicitation for bids includes a request that providers submit a service description and budget for services they would like to provide. ADJC staff enter the negotiation knowing the amount they would like to pay for services. This amount is not based on any study of actual cost of services or the provider’s submitted budget. If the bidder’s rate is above the established threshold, ADJC will work with the provider to reduce items in its budget until the rate is at or below the pre-determined amount.

Although contracted through ADJC, the types of available ADJC services are consistent with the availability of the treatment offered through Probation as discussed in **Section 4** of this report. Therefore, the same limitations to the Probation services exist in the Conditional Liberty stage of the system as well.

In addition, ADJC has recognized the importance of establishing and maintaining the following services to meet the needs of juveniles in the Conditional Liberty program, including:

- Long-term residential substance abuse programs,
- Conduct disorder programs for females, and
- Residential sex offender programs.

In particular, ADJC noted a significant need for a successful substance abuse program. As recognized throughout this report, the lack of established performance and outcome measures for Arizona's juvenile justice system makes it impossible to determine the true success of a treatment program.

Funding and Costs

Conditional Liberty services are funded through state appropriations to ADJC. When necessary, ADJC assists the youth in accessing services through Title XIX (Medicaid) and private insurance sources. According to ADJC internal financial statements, fiscal year 1997 actual expenditures for Parole and Aftercare Treatment (i.e., Conditional Liberty), including an allocation for general and administrative costs, were \$15.6 million, 27% of the ADJC budget.

Although ADJC did not receive additional funding in order to implement the Graduated Continuum of Care Model, changes to Conditional Liberty were possible through reallocation of existing funds. Due to the cost of additional staff and extensive services provided to Continuum of Care youth, additional funding would be required if these Continuum services were to be expanded beyond Maricopa and Pima counties and/or the population served was expanded (e.g., medium-risk youth were included).

Nationally, a combined cost for adult and juvenile parole has been evaluated at \$1,329 a year or \$3.64 a day. However, national data on the costs of juvenile parole alone does not exist. Juvenile justice experts have estimated that juvenile parole costs average nearly \$3,000 per year. The disparity on the costs may be explained by the fact that adult parole caseloads can be more than double the juvenile caseloads, as well as adults tend to require less constant attention and services than juveniles. Therefore, the adult factor drives down the national Parole costs. Based on the estimates of national Parole costs, Arizona falls well within the range of costs.

Based on ADJC estimates, the average annual cost of Conditional Liberty (both the Supervision and the Case Management track, including the Treatment component) is \$6,247 per youth. At this time, ADJC was unable to cost out the difference between a continuum case managed youth and a standard Conditional Liberty youth.

As described in the ***Strategies and Programs*** subsection, ADJC contracts with certain County Probation Departments and individual contractors to provide Parole supervision services in rural counties. The annual costs for these rural programs vary from \$3,610 per parolee to \$689. The variance results from the different contract agreements to the size of the caseloads and spacious geographic counties to supervise. The costs can change monthly based on releases from Secure Care or returns to Secure Care. Although unsubstantiated, ADJC reported that contracting with rural county Probation Departments is more cost-effective due to the constantly fluctuating rural county caseloads and the avoidance of out-stationed ADJC employees that may not be fully utilized.

Outcomes and Results

Performance and Outcome Measures

With the assistance of the National Council on Crime and Delinquency (NCCD), ADJC has defined, created and is in the process of implementing a comprehensive set of performance and outcome measures. These measures are designed to assist the ADJC in:

- Evaluating the success of the programs they operate,
- Pinpointing the key problem areas in their operations, and
- Improving the quality of the Conditional Liberty and Secure Care.

Based on our experience, comparisons to the interim deliverable on the **Suggested List of Performance and Outcome Measures** (provided to the Committee in June 1998), and insights from our National Experts, we agree that the ADJC list of performance and outcome measures reflects current thinking in this area and provides a sound base to launch this process. A few of the ADJC outcome measures include:

- Percentage of juveniles enrolled in an academic, vocational, or employment program monthly to number of juveniles on Conditional Liberty;
- Percentage of juveniles on Conditional Liberty paying restitution to number of juveniles on Conditional Liberty owing restitution;
- Number of juveniles receiving absolute discharges (released from Conditional Liberty);
- Percentage of juveniles on absconder status to number of juveniles on Conditional Liberty status;
- Number of juveniles on Conditional Liberty arrested for misdemeanor: total number of juveniles on Conditional Liberty;
- Number of juveniles on Conditional Liberty arrested for felonies to total number of juveniles on Conditional Liberty; and,
- Number of Community Work Service projects completed.

In addition to these outcomes, ADJC has also identified a number of measures to evaluate the effectiveness and quality of ADJC's contracted community programs. These quality measures include:

- Number of juveniles returned home successfully; and
- Number of scheduled program monitoring visits performed per provider per year.

It will be critical that these measures are designed and implemented on a regular basis in such a manner as to help ADJC compare the success and cost-effectiveness of the “Conditional Liberty Supervision track” with the “Case Management track”. Currently, ADJC is working towards determining which Conditional Liberty track has the greatest successful completion percentage rate and the associated rates of recidivism and re-awards.

The fact that the fundamentals of identifying performance and outcome measures have been completed by ADJC indicates a significant commitment. It is important to note that here is still significant work to be done in the area of outcomes and performance measures to:

- Ensure that the required information is captured in an automated fashion so that results of these measures can be compiled efficiently and timely; and
- Ensure that management and staff use the results produced by these measures as a significant component of decision-making and determining what is working and what is not.

An early indication that ADJC is committed to implementing performance and outcome measures is illustrated by the following box, **ABP-7.3**, which describes an early adoption of holding Parole Officers accountable for the outcomes of the youth they supervise.

ABP-7.3

**BEST PRACTICES
ADJC Parole Officers' Evaluations**

A recent change to the ADJC staff management practices is the use of outcome measures in evaluating the progress of Parole Officers. This newly created practice is on the cutting edge of juvenile justice. All Arizona Parole Officers are will soon be evaluated on the success of their caseloads, including:

- Academic, Vocational Training, Work success of caseload
- Percentage of caseload that completes restitution
- Percentage of caseload that absconds from Parole
- Percentage of caseload that is re-arrested

Currently, ADJC is able to track certain fundamental outcome data such as recidivism. The results of the current tracking are included in the following subsection.

Recidivism

The ultimate desired outcome of Conditional Liberty is to protect the public's safety and keep the juvenile from re-entering the juvenile justice system, by providing supervision

and support services to the juvenile and their families. As discussed throughout this report, a key outcome measure to juvenile justice is recidivism. Recidivism can be defined as a re-arrest, re-adjudication, or re-conviction. The majority of the ADJC statistics are based on re-awards, which includes youth who are re-admitted to ADJC due to Parole violations or re-committed due to new court proceedings.

The ultimate desired outcome of Conditional Liberty is to protect the public's safety and keep the juvenile from re-entering the juvenile justice system, by providing supervision and support services to the juvenile and their families.

Re-Arrests

ADJC reports that in a typical month, nine percent of all Parolees recidivate (i.e., arrested on felony or misdemeanor charge). With an average monthly caseload of 1,400, this equates to approximately 125 parolees being re-arrested each month. It is important to recognize that these re-arrests only determine the suspicion that an actual offense occurred. A re-adjudication would determine if an offense were actually committed by the youth in question. Due to the differing AOC and ADJC information systems, as described in **Section 6**, the re-adjudication data for ADJC youth was unavailable to ADJC.

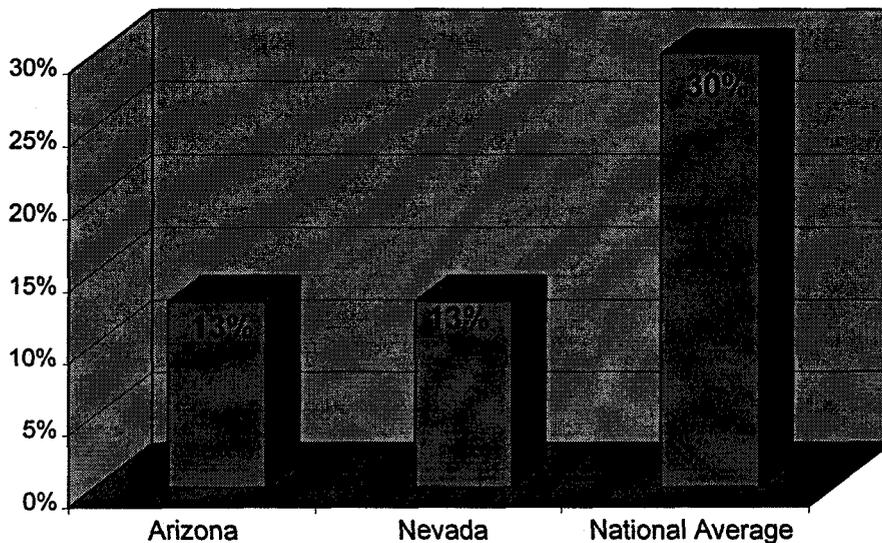
On an annual basis, Conditional Liberty serves approximately 2,500 juveniles. The annual recidivism (re-arrest) percentage is approximately 60% for all Parolees at this program stage. This is consistent with the 62% recidivism rate for youth with ten or more prior referrals that have received consequences from the court as described in **Section 5** of this report. Further analysis of that same population, as described in **Section 5**, shows a 51% recidivism rate for "high-risk" youth, which combines number of prior referrals with the severity of most recent offense.

Re-Awards

A fiscal year 1997 annual Parole review by the National Council on Crime and Delinquency found a lower re-award percentage than the national average of 30%². In fiscal year 1997, 13% of the 1,422 parolees were *re-awarded* to an ADJC facility within a year of release. This includes only the parolees who were *recommitted* through juvenile court hearings or *readmitted* through ADJC Parole revocation hearings. As illustrated in **Exhibit 7-3** on the following page, ADJC's 13% re-award rate is comparable to Nevada's 12% to 14% recommit rate of state parolees.

Exhibit 7-3

Percentage of Parolees Returned to Corrections Facility (Re-Awards)



Note: Arizona data is based on FY 1997, Nevada data is based on Correctional Officer's estimates, and National data is based on FY 1996 data for 23 States. The national and ADJC averages do not include youth who turned 18 years old and were discharged from the juvenile justice system due to age.

Parole Violators

At any given time, the ADJC institutional populations include approximately 26% Parole violators. This population includes those juveniles who are re-awarded (returned to Secure Care) through juvenile court or had their Conditional Liberty revoked through an ADJC administrative hearing. The 26% represents some of the most severe offenders, specifically, youth who were originally committed to an ADJC institution for a severe offense and then are returned to ADJC for additional offenses and/or consistent parole violations. The other 74 % of the ADJC institutional population represents youth who are either Probation violators, or who were not on Probation or Parole at the time they committed the offense. When compared to the national average of 30%, these Arizona statistics are slightly lower³.

In *Exhibit 7-4* below, ADJC's 13% re-award rate does *not* include re-arrests. Of those 187 re-awarded parolees, 83% were re-awarded for non-violent offenses.

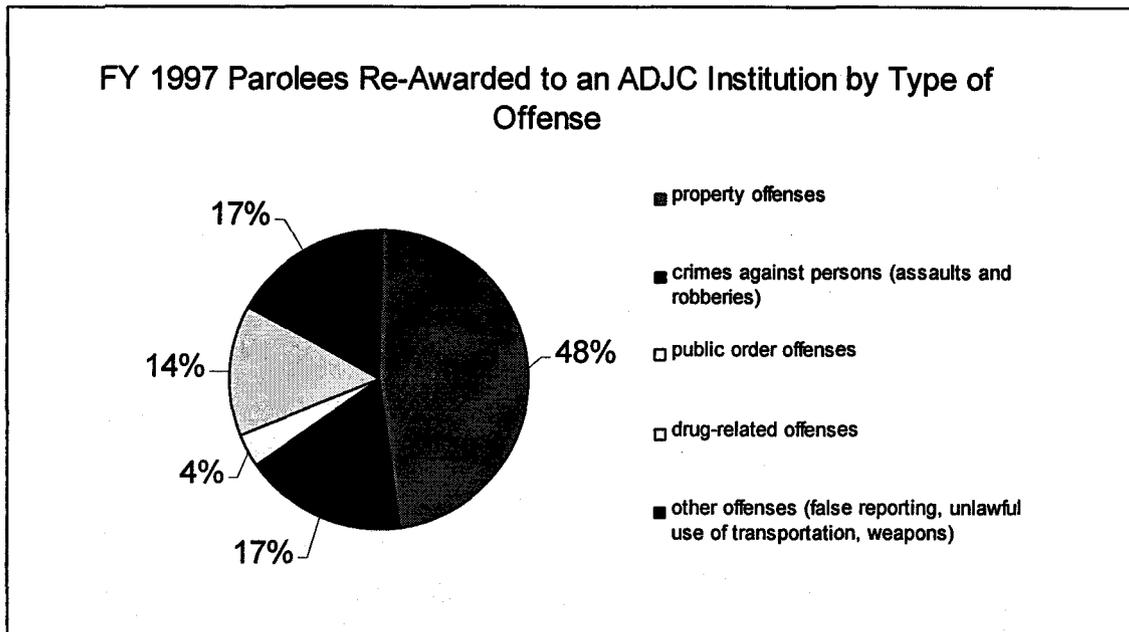


Exhibit 7-4

It is also important to note that the 13% re-award rate (i.e., those parolees who were returned to Secure Care) is substantially lower than the 60% recidivism (re-arrest) rate which indicates that many of these re-arrests are not severe enough to warrant a return to Secure Care.

As noted in the previous section, Secure Care is the most restrictive placement and, therefore is reserved for those youth that can not be managed in any other way. Due to the fact that Conditional Liberty is for all youth coming from an ADJC commitment, the youth on Conditional Liberty are classified as the most serious offending, high-risk youth in the juvenile justice system. The fact that 40% of these serious offending, high-risk youth do not recidivate within a year of release from Secure Care, is a comparable success rate to similar institutions across the nation.

In reviewing recidivism results across the Arizona continuum of services, a pattern has been identified that, if youth re-commit a crime after being known to the system, they are less likely to commit a *violent* offense due to treatment, court intervention or outlying factors. Even the vast majority of the most severe offenders (i.e., those on Parole who are sent back to ADJC Secure Care) are being re-awarded for *non-violent* offenses. Although non-violent offenses require criminal justice intervention, they do not pose as much harm or danger to safety of the public.

Additional Outcome Measures

In addition to recidivism, other Conditional Liberty outcome measures currently being captured include:

- Percentage of juveniles involved in school or work;
- Percentage of juveniles on absconder status; and
- Percentage of juveniles paying restitution.

These outcomes are demonstrating successful results for the Conditional Liberty program. In fiscal year 1997, ADJC reported that:

- Seventy-five percent of the juveniles on Conditional Liberty were working or in school or involved in an academic, orientation, or vocational program;
- Sixty percent of the juveniles were paying their court-ordered restitution; and
- Ten percent of the juveniles on Conditional Liberty in fiscal year 1997 were on absconder status from the program.

Findings and Observations

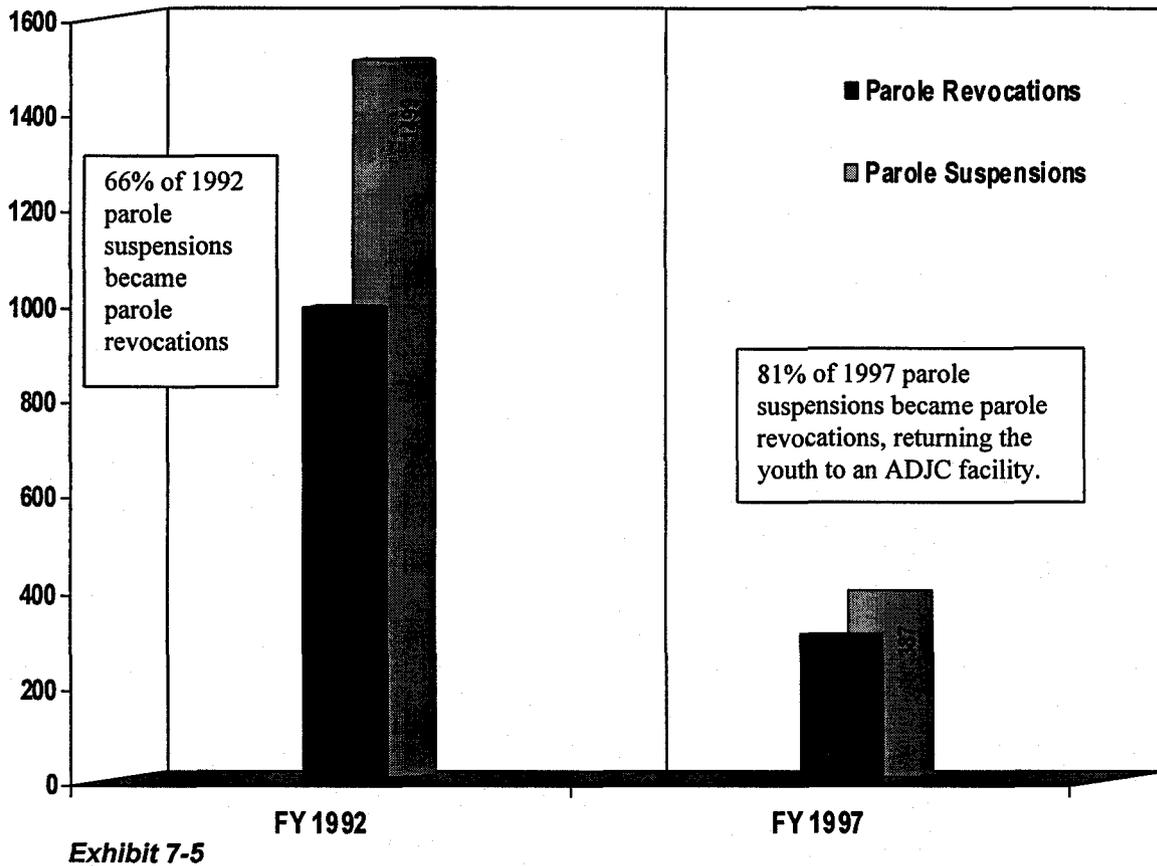
Our evaluation of Conditional Liberty found that ADJC is demonstrating successful results with the expansion of Conditional Liberty and the implementation of the Graduated Continuum of Care. Through extensive collaboration, ADJC is providing comprehensive programming to its Parolees. However, rural youth may be affected by the lack of treatment options in the rural counties.

Expanding the Role of Conditional Liberty Beyond Supervision is Effective

As noted above, in 1993, ADJC began to expand the role of Conditional Liberty beyond supervision to provide *intervention and resources* to effectively help youth make a successful transition back to their home and community. These intervention services, including family services, are designed to not only reduce new delinquent behavior, but also to respond appropriately when new delinquent behavior is detected. The goal is to enhance public safety, while reducing the overall cost of providing appropriate structure to juveniles who have committed delinquent acts.

As shown in *Exhibit 7-5*, ADJC statistics have demonstrated the success of this enhanced version of Conditional Liberty. When a parolee violates the terms of their liberty (e.g., failing a urinalysis or skipping school), he or she is deemed a "Parole violator" and their Conditional Liberty is suspended until an administrative hearing determines the appropriate consequences for the youth's actions. From fiscal year 1992 to 1997, the number of youth suspended from Conditional Liberty has dropped 74%. ADJC credits this success to the enhanced role of Parole services in Arizona and the involvement of the family in such activities as in-home evaluations, family services, community services and youth intervention services.

Although the total number of Conditional Liberty revocations decreased, the percentage of Conditional Liberty revocations *increased* from 66% in fiscal year 1992 to 81% in fiscal year 1997. As shown in *Exhibit 7-5*, the system has lessened its tolerance of parole violators by increasing the percentage of parole suspensions that are actually revoked; thereby increasing the percentage of parole suspensions returned to an ADJC facility.



The ADJC Continuum of Care Model is a Move in the Right Direction

According to the Office of Juvenile Justice and Delinquency Prevention (OJJDP):

“An effective juvenile justice system must implement a sound comprehensive strategy and must identify and support programs that work to further the objectives of the strategy. These objectives include holding the juvenile offender accountable; enabling the juvenile to become a capable, productive, and responsible citizen; and ensuring the safety of the community.”⁴

Building on a strong foundation of basic research and capitalizing on promising approaches in delinquency prevention, intervention and treatment, OJJDP has developed a comprehensive strategy for serious, violent, and chronic juvenile offenders. As outlined in the *OJJDP Comprehensive Strategy*, the key principles for preventing and reducing at-risk behavior and delinquency include:

- Strengthen families in their role of providing guidance and discipline and instilling sound values as their children's first and primary teachers.
- Support core social institutions, including schools, churches, and other community-based organizations, to alleviate risk factors and help children develop to their maximum potential.
- Promote prevention strategies that reduce the impact of risk factors and enhance the protective factors in the lives of youth at greatest risk of delinquency.
- Intervene with youth immediately when delinquent behavior first occurs.
- Establish a broad spectrum of graduated sanctions that provides accountability and a continuum of services to respond appropriately to the needs of each juvenile offender.
- Identify and control the small segment of serious, violent, and chronic juvenile offenders.

These conclusions were established by the U.S. Department of Justice and other national experts based on a number of years of researching what works. By adopting the Graduated Continuum of Care Model, the Arizona Juvenile Justice System through ADJC is starting to develop a comprehensive approach to delinquency, which is comparable to that suggested by OJJDP.

When considering cost effectiveness, studies reveal that treatment programs in probation and parole are relatively inexpensive and effective. A 1994 California study showed that for every dollar spent on treatment, jurisdictions averted \$7 dollars in criminal justice and other governmental costs. This allowed taxpayers to save dollars on the criminal justice system, health care and other social services. Furthermore, the study showed that offenders are more likely to pay restitution while under community supervision.

Currently, the Graduated Continuum of Care Model focuses its limited resources on the high-risk population. That is, youth most likely to re-offend. As mentioned earlier, the Model is also limited to male youth in Maricopa and Pima Counties who meet the high-risk eligibility criteria. This means that juveniles from rural Arizona, females, and lower risk offenders can, and often do, receive Post-Secure Care placement, but not the comprehensive case management services as those youth who are part of the Model.

In order to determine if the Graduated Continuum of Care Model should be expanded to other populations, such as rural areas and medium risk youth, ADJC will need to implement performance and outcome measures to evaluate the success and appropriateness of this Model for these other populations. The implementation of these measures and the automation of tools to measure the outcomes and performance measures is on-going, and has improved in the time of this legislative review.

ADJC is Offering Comprehensive Programming

As a whole, ADJC's Conditional Liberty services are beginning to offer more comprehensive, better-rounded services, including education and job training resources. ADJC is implementing programs to treat both the youth and the family and is offering the youth positive options. No longer limiting aftercare services to simply "Parole supervision"; ADJC is expanding Conditional Liberty to enhance public protection by promoting positive behavioral changes in committed juveniles through a continuum of graduated treatment interventions.

Educational programs reduce the high rate of illiteracy in offender populations. It is estimated that while one in eight Americans cannot read, two-thirds of all offenders have significant reading deficits. ADJC's Conditional Liberty education program is looking towards the Arizona Supreme Court developed program for adults and juveniles on probation. Probationers who completed the educational program had half the rate of subsequent arrests and violations.

Also, employment readiness, job training, apprenticeship and work have been shown to be important to curbing recidivism. For example, an ex-offender employment placement project in Texas cut the rate of recidivism of participants by 50% after one year. These programs are known to double the number of offenders who are able to secure employment after their release from prison. In addition, a study of 7,000 cases by the Federal Bureau of Prisons found that inmates who were employed and placed in halfway houses were much less likely to recidivate than those who were not. Finally, studies show that employed offenders are more likely to pay court ordered economic sanctions.

Education and employment opportunities are important factors to reducing delinquency, and vocational training is cost-effective. The U.S. Department of Labor Job Corps program is a vocational training and education program for young adults which has led to

a returned investment of \$1.46 to society for every dollar invested in the program through reductions in unemployment and incarceration.

Rural Counties Issues Impede Parole Services

As noted throughout this report, the lack of population within rural counties gives rise to a number of issues in serving delinquent juveniles. These counties have so few youth on Conditional Liberty at any point in time that it would be quite costly for ADJC to have a full-time Parole Officer in each of the rural counties. Further, rural county Parole caseloads are sporadic and vary significantly from officer to officer. As illustrated in *Exhibit 7-2* above, rural county caseloads can range from a high of 117 to a low of one. As described in *Current Programs and Strategies* subsection, ADJC has tried to develop more cost-effective approaches to these rural areas by contracting with County Probation Departments or individual contractors in these counties to fill this need. ADJC reported rural county annual costs ranging from \$689 per parolee to \$3,610.

The different level of resources for rural county Parole services is a major concern for ADJC. ADJC noted that rural county youth are not receiving the type of services they need to successfully transition back into the community. For example, according to the Pima County administrator, some juveniles have to take a bus two hours each way to get to the Parole Office in Tucson. ADJC is in the process of determining the success of Conditional Liberty programs with rural county youth by identifying the exact rural county program and treatment needs, and evaluating how Conditional Liberty can best assist rural county youth.

Availability of Services is Limited in Rural Counties

The lack of availability of services is another common theme in the rural county juvenile justice systems. Although counseling is available in all counties, rural county youth do not have as many options in terms of continued care or treatment services in their own community. Our site visits indicated that rural counties had a noticeable absence of residential facilities and day support programs. In fact, there is only one residential substance abuse program in Arizona, the Wendy Payne Center in Phoenix, and yet, over 80% of the ADJC youth have substance abuse problems.

Arizona needs to determine if additional rural county treatment money would be effective in terms of addressing the needs of a small number of youth in this area. This analysis may prove that it is not cost effective to develop comprehensive services for so few juveniles. Other strategies, such as traveling services, may need to be considered as an alternative to meeting these juveniles needs.

Results from a number of interviews across the state indicated that rural counties view ADJC as a source for services due to their own limited budgetary resources for treatment. Some persons interviewed indicated that in certain cases, they believe rural youth were committed to Secure Care in a State Institutions in order to make sure they received

treatment that otherwise is not available in rural areas. Due to the nature and scope of our study, we were unable to validate this concern.

In order to determine the impact of the lack of availability of rural services, more formal evaluations need to be completed on the success rate between rural and urban juveniles.

Technology Improvements are Positively Impacting Conditional Liberty

A series of interviews determined that the technology supporting the Conditional Liberty programs has helped to improve ADJC operations and communications. This allows for regular and efficient communications. Some of the noted improvements include:

- All Parole Offices have internal E-Mail and Internet mail.
- ADJC has provided rural counties, with the exception of Graham and Apache, with access to ADJC's Youthbase system. This access allows ADJC Parole Offices and rural counties to send youth Parole plans back and forth to each other.
- ADJC plans to issue laptop computers to Parole Officers to facilitate fieldwork and access to the system.

The above-noted technology improvements are ongoing at ADJC. However, a number of agency interviews noted the following necessary improvements:

- The Parole Offices expressed desires for additional training on the Youthbase information systems.
- The majority of interviewed Parole Officers noted the need for more management reports on performance and outcome measures of ADJC, of Conditional Liberty, and of treatment options. In order to improve their work, the Parole Officers would like to know the effectiveness of their program and of their treatment placements.

ADJC currently does not have access to AOC's information system, JOLTS. Therefore, the youth's JOLTS information is forwarded to ADJC in hard copy format and then re-entered into ADJC's information. This is typically done during the initial 28-day Risk, Assessment and Classification (RAC) phase. This duplication of efforts is time consuming and has a larger opportunity for human error and misreported data.

Conditional Liberty "Case Management Track"

Historically, Parole caseloads were determined by the number of youth to be supervised. This never accounted for the actual workload required for each case. For instance, a Parole Officer could have a caseload of 15 youth, but all those juveniles on this caseload could be high-risk and require a great deal of effort and time spent working with each youth in an attempt to produce a positive outcome. Another Parole Officer with the same caseload size, but comprised of low-risk youth, may not be required to expend as much effort as the Parole Officer in the first example, in order to have the same outcome.

Based on an NCCD developed workload model, ADJC recently implemented a Conditional Liberty management system, which determines caseloads based on the number of hours to be worked for each type of case assigned, not the number of juveniles. Parole Officer caseloads are determined by the amount of effort that it will take to supervise and provide services for their assigned caseload. The effort allotted is determined by risk level, with higher-risk youth requiring more time. Each Parole Officer is assigned 114 hours of case management and supervision a month. Implementation of this workload management system began in July 1998 and has not yet been evaluated. Based on our experience in other states and similar case management environments, use of workload versus caseload management systems to allocate resources is a much preferred and more fair distribution of work. Accordingly, this newly implemented approach is highlighted as a best practice in the box, **ABP-7.4**, below.

ABP-7.4**BEST PRACTICES:****Conditional Liberty Caseload Management System**

- ADJC manages its Conditional Liberty caseloads based on workload (weighted cases), which is the number of hours expended, not number of juveniles. This is a more accurate and effective management tool that will help avoid overwork and high burnout rates among the Parole Officers.

The old system of management by the number of juveniles never took into account the fact that some juveniles require much more time and energy to supervise, while other youth did not.

By allotting 114 hours of work each month to Parole Officers, the new system makes Parole Officer caseloads consistent and more manageable.

New Approaches to Conditional Liberty Give Rise to Increased Collaboration

The development of successful collaborations has been one of the many positive results of the Graduated Continuum of Care Model. As an example, the Tucson Parole Office meets monthly with the community provider network, which consists of the office administrator, the school and contract providers. The local Regional Behavioral Health Authority also participates on an occasional basis. All key participants can voice their concerns regarding the youth and community safety and develop effective, collaborative strategies.

The adoption of the continuum has led to providers working together, where they may have been adversarial in the past. According to ADJC management, the providers are also communicating with the ADJC more. There may have been a fear of reprisal in the past where referrals would stop coming, but now the providers bring issues to the department much faster. ADJC attributes a 30 % decrease since 1997 in the number of absconds from provider placements due to this improved communication.

The Interagency Case Management Project (ICMP) is another example of collaboration and cooperation. There is a full-time Parole Officer assigned to the program who oversees an ICMP caseload. ICMP is a pilot project in Maricopa County focused on juveniles who have multiple contacts with the system through Child Protective Services, Conditional Liberty, Probation or the RBHA.

Another important collaboration is the ADJC partnership with the Arizona State University (ASU). The ASU Partnership provides tutoring and tracking for juveniles on Conditional Liberty. This program started with an outside grant, but it is now funded by ADJC.

A partnership with the Glendale Community College has also been started. Glendale Community College funds a scholarship for one Conditional Liberty juvenile. The scholarship provides for six credit hours and books for that juvenile.

One system-wide collaboration issue that needs constant improvement is the ADJC and schools partnership. Parole Officers have noted the difficulty of getting juveniles back into schools after their release from ADJC. ADJC and schools need to work together to find a solution for these youth. Not attending school is simply not a solution.

Recommendations

Automation and the Implementation of Performance Measures Must Continue as an ADJC Priority

ADJC is committed to the prioritization of and investment in automation tools. In addition, ADJC has demonstrated commitment to the development and implementation of performance and outcome measures. We strongly recommend that ADJC continue in this manner, but focus on including the needs of key stakeholders in Arizona juvenile justice system, not just ADJC. In other words, automation developed should provide the capability to readily exchange data with AOC, ADES, ADHS/BHS and the RBHA's and ADE. The same is true for outcome and performance measures. By involving other stakeholders, in both automation and performance and outcome measures, there should be an increase in joint problem solving and identification of opportunities to maximize the efficiency of services across agencies.

An Evaluation of the ADJC Continuum of Care Model Must be Completed to Determine if the Resources are being Utilized Effectively

Due to the fact that ADJC's graduated continuum model is in its first year of operations an evaluation of results was not available. However, performance and outcome measures are in place and data is currently being automated and gathered. The foundation for these measurements will provide ADJC with the tools for a complete program evaluation in the near future.

Currently, the Graduated Continuum of Care Model is limited to Maricopa and Pima County, high-risk male youth only. If proven effective, the continuum should be evaluated for the cost-effectiveness of expansion to include rural and female youth, as well as consideration for expanding the eligibility criteria to medium-and low-risk youth in order to prevent them from becoming high-risk youth.

ADJC Needs to Evaluate their Education and Job Training Partnership and Expand the Program if Proven Effective

ADJC operates education labs to work in conjunction with youth on Conditional Liberty. Throughout the state, three ADJC Parole Offices have education labs for which they are responsible. These education labs work with the ADJC Conditional Liberty youths to:

- Assist them in obtaining GEDs,
- Improve their literacy,
- Provide extra tutoring, and
- Be a resource to assist the youth in obtaining further education.

In addition to the education services, the federally funded Job Training Partnership Act (JTPA) provides job training and resources. To date, no evaluation has been completed on the success of these labs or JTPA, through percentage of GED attainments and job retention rates. The outcomes of these programs need to be captured as part of the implementation of performance and outcome measures described above.

Review and Fill Service Gaps

A review of the ADJC Conditional Liberty service needs must be completed in order to determine the gaps in service. As noted in **Section 5**, the treatment services available to the AOC are limited in availability, most notably, the lack of residential substance abuse programs. Throughout our interviews with ADJC and Parole Officers, they consistently expressed a need for more independent living and sexual abuse and offender programs for both boys and girls. As part of this evaluation, we were unable to quantify this and the remaining identified service gaps.

Another service gap consistent throughout the system is the available treatment options for female offenders. According to three Parole administrators, there are not enough treatment beds for female offenders.

The lack of rural county treatment money was a clear issue among rural county and ADJC administration interviews. It was discussed in many interviews that rural counties do not have the budgetary resources for treatment and may view ADJC as a source for services.

According to ADJC, there have been no differences detected in the success rate between rural and urban juveniles on Conditional Liberty. However, more formal evaluations need to be completed in order to determine the impact of the limited rural county services on Conditional Liberty youth.

Collaboration and Communication Must Be Ongoing Between all the Major Players

Collaboration is key between the youth, the family, ADJC, AOC, DES, RHBA, schools, counties and community providers. All partnerships affecting the youth's life must work together. As described throughout this section, ADJC is making great collaborative strides with the key stakeholders. A major area in need of improved collaboration is the relationship between ADJC and the schools. A number of Parole Officers noted the difficulty of getting juveniles back into their original school after their release from ADJC. ADJC and schools need to work together to find a solution for these youth. Not attending school is simply not a solution, because it impacts on the youth's ability to integrate into the community, find a job and be a successful member of society.

ADJC needs to maximize its collaboration with community programs, such as building relationships with the existing vocational and educational programs in Maricopa and Pima Counties.

Develop Treatment Reimbursement Rates that Consider Cost and Desired Outcomes

ADJC should adopt a similar contract procurement that has been developed by AOC in setting its rates for Treatment providers. We believe AOC/JJSD has an exceptional process in place to ensure that appropriate services are provided at fair rates. This innovative approach ties rate incentives to performance and outcomes measures. This process will continue to improve as measurable outcomes are tracked over time. The rates established by ADJC must consider the actual costs for the Treatment providers to perform services using optimum service delivery models with targeted outcomes. Other factors such as geographic location and language requirements should also be considered when developing these rates.

ADJC may want to consider making use of the AOC/JJSD rates through an already established IGA that allows these two entities to share contracts. In the event this approach is taken, ADJC should establish procedures to ensure that separate contracts and procurement documents are not required from Treatment providers and that the administrative load for AOC is equitably shared by ADJC.

Conclusion

Arizona's traditional Parole services have undergone some major changes since the beginning of this decade. With the transition to Conditional Liberty came a number of comprehensive services including in-home evaluations, family services, educational and vocational services, community services and intervention services. No longer is Parole viewed as supervision only. Arizona now expects its Parole Officers to supervise, provide intervention services and prevent future delinquency.

Due to the limited data systems in the early 1990's, the true success of this transition cannot be determined, however certain indicators such as the 74% decline in the number of parole suspensions from 1992 to 1997 are credited to the enhanced role of Parole services in Arizona.

ADJC also recently expanded its Conditional Liberty Services to the Graduated Continuum of Care Model that targets high-risk youth by providing comprehensive intervention and family services from the time the youth enters an ADJC facility. This comprehensive approach is similar to the U.S. Department of Justice proposed comprehensive strategy for serious, violent, and chronic juvenile offenders. A full evaluation of this approach is necessary to determine its effectiveness and determine if the Model approach should be expanded in Arizona.

The collaboration of ADJC with other entities including rural County Probation Departments is demonstrating some cost-effective results. By contracting with the rural County Probation Departments, ADJC is averaging an annual Parole cost of \$2,200 per youth. This is \$800 below the estimated national average.

Although trend analyses were unavailable, recent measures are demonstrating the success of Conditional Liberty, including:

- 75% of the juveniles on Conditional Liberty were working or in school or involved in an academic, orientation, or vocational program;
- 60% of the juveniles were paying their court-ordered restitution; and
- 10% of the juveniles were on absconder status from the program.

Consistent with our findings of high-risk treated youth, 60% of Conditional Liberty youth are re-arrested within a year of release. Of those 60%, however, only 13% are actually returned to an ADJC facility and the majority of whom (83%) are returned for non-

violent offenses. This demonstrates that the parolees are much more susceptible to police contact, but very few parolees have actually been found to have committed an infraction serious enough to return to an ADJC facility.

In order to continue to improve the impact of Conditional Liberty, ADJC must remain focused on evaluating the performance and outcome measures to determine the cost-effectiveness of Conditional Liberty overall and the identified programs.

¹ A.R.S. §41-2818

² National Council on Crime and Delinquency. State Juvenile Corrections System Reporting Program FY 1996.

³ NCCD, Fiscal Year 1996 Annual Report, State Juvenile Corrections System.

⁴ Office of Juvenile Justice and Delinquency Prevention, U.S. Department of Justice. OJJDP Guide to a Comprehensive Strategy.

Section 8

Core Findings and Recommendation

Draft

Section 8 Core Findings and Recommendations

Introduction

This section includes a description of core findings and recommendations. These core findings and recommendations are the result of our comprehensive evaluation of Arizona’s juvenile justice system. These are the findings and recommendations we feel have an overarching impact. These core findings were derived from every area of the Arizona service continuum and/or have such a significant impact on the system that they warrant special attention by those who strive to make this system work for juveniles and their families. Accordingly, we believe these recommendations have implications for potential enhancements in policies, practices and may impact program financing throughout the state of Arizona.

Our research, interviews, analysis, site visits and other activities have identified the following core findings as it relates to Arizona’s Juvenile Justice system:

- Involvement of Families,
- Collective Ownership through use of Outcomes,
- Collaboration, and
- Joint Technology Support.

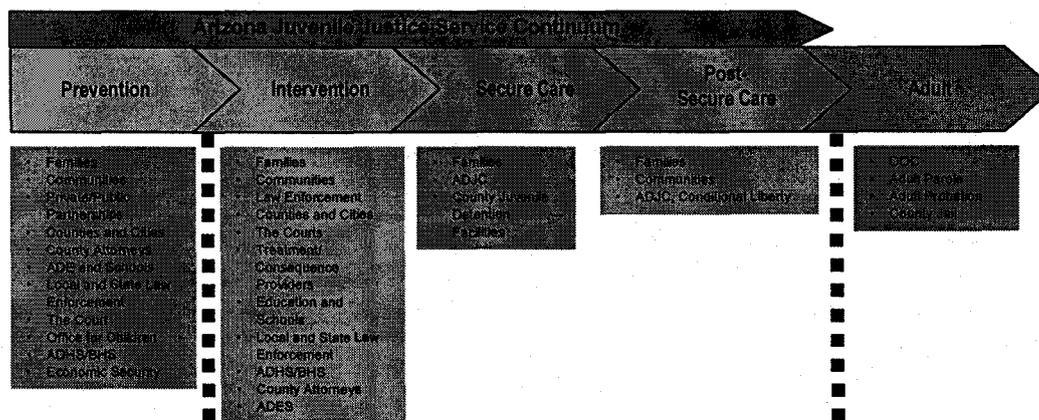
The format used in this section is that we will introduce the findings and then provide recommendations for each of the core areas introduced.

Involvement of Families

The Issues

A simplified representation of the service continuum, *Exhibit 8.1* identifies the key stakeholders. There are really two stakeholders that have responsibility for (or “own”) a

Exhibit 8.1



juvenile regardless of whether the juvenile is, or is not, in the juvenile justice continuum. These two stakeholders are the juvenile's:

Family, and
Community.

Why Is Family Involvement Important?

The community plays an important role in the juvenile crime deterrence quotient. Consequently, we intend to address this in our final core issue. However, in this subsection we feel it is important to address the role of the family.

The reason for putting the family up front and on center stage in these core processes is that the family is fundamentally the stakeholder:

- Closest to the juvenile,
- Has the most contact with the juvenile,
- Can be the most influential with the juvenile, and
- Maintains this contact for the longest period of time.

This is not to minimize the fact that some of the juveniles in the system do not have families in the traditional definition of the family as birth parents and siblings. However, the vast majority of these youths do have a parent or significant person(s) in their lives that fulfill this familial role. So, for purposes of this subsection, family is defined as "relatives and persons who have a significant supportive relationship to the juvenile and family, but do not necessarily live in the same residence or have biological or legal ties." Family involvement is a core issue in Arizona which can directly influence cost effectiveness as well as outcomes for children and youth.

Current research found in juvenile justice literature and current federal juvenile delinquency policy clearly points to the involvement of families as crucial in prevention efforts and youth violence reduction. Many issues relating to a youth's successful transition to adulthood or a youth's movement into delinquent behavior can be traced to the shortcomings of the family.

Arizona family statistics confirm national findings that families are influential in determining whether a juvenile will become delinquent. As shown below, of the 348 youth released from ADJC in calendar year 1996 where complete family history was available, the following statistics were compiled:

- 50% of the youth had a history of abuse and/or neglect;
- 66% of the youth experienced family conflict or domestic violence, which at times resulted in police involvement;
- 83% of the youth had some or severe emotional problems;

- 68% of the youth's parents were in need of improved parenting skills;
- 44% of the youth's parents had substance abuse problems; and
- 49% of the youth's family members had involvement with the criminal justice system either past convictions or current incarceration.

These statistics alone build a compelling argument that focus on behavior modification and other Treatment activities solely on the juvenile will not work. The moment the external influence of the Arizona juvenile justice system is removed, a youth with families and parents with any of the characteristics above is at high-risk of re-offending. However, if the behavior modification and Treatment activities were designed to focus on assisting the family in ameliorating their presenting problems and issues, as well as behavior modification for the youth, the likelihood of success with these juveniles increases significantly.

This case is being made in a number of jurisdictions. Studies are showing that intervention in families, family therapy and specific parent training reduce the incidence of juvenile crime. For example, an article appearing in *the National Institute of Justice Research in Brief*, July 1998 describe a study which found "family therapy and parent training about delinquent and at-risk pre-adolescents reduce risk factors for delinquency such as aggression and hyperactivity."

What We Found In Arizona

Most Arizona Prevention programs appear to successfully engage children and youth in meaningful activities, but fall short in involving the youth's family. In the area of Intervention, we found that in the majority of cases families are not included in the program or Treatment process. Treatment providers indicated in our interviews that they try to engage the families, but the families are unwilling to participate. In our site visits to residential Treatment providers in Maricopa and Pima Counties we found a number of youth from other counties receiving service. As stated in previous sections, national studies have proven that family involvement can be hampered by a juvenile being placed in Treatment programs that are not in the youth's community.

Unfortunately, a review of Probation, Treatment and the Secure Care case files shows that almost one-third of the files were missing any reference to family data. A review of Treatment provider case files indicates very little family outreach or engagement in the youth's Treatment program. Further, when Treatment providers were asked about their approach to involving families, many replied that while they thought this was important, often times these families were difficult to deal with and will not attend meetings and other activities scheduled with the juvenile.

In a review of the AOC database on JOLTS we found that only two data fields are available for the Probation Officer to record family information other than name and address. These two data fields include:

- Marital status, and
- Parent employment status.

When we queried the JOLTS database to determine if these fields were used, we found that for juveniles referred between January 1996 and October 1998, only 14% included a notation of the parent's marital status and only 6% included any reference to parent employment status. Some Probation Officers use the contact field in JOLTS to record information regarding the family. However, given the fact that contacts are maintained in a text field, there is not quantifiable way to query this part of the database for examples of family involvement.

We recognize that many Probation Officers, particularly those in rural areas, may know the family of the youth sentenced to Probation, only minimal amounts of family related information is recorded in the case files or demonstrated in the plans set forth in the Disposition Reports prepared by the Probation Officer.

There appears to be little evidence of family involvement in Arizona juvenile delinquency Prevention, Probation and Treatment efforts. However, a bright spot is that since 1993, ADJC Conditional Liberty services have included In-Home Family Evaluations for all ADJC committed youth, in order to determine the proper treatment plan and to ascertain if the family home is a viable option for the youth's return. ADJC appears to realize the importance of family involvement in the ultimate success of their Treatments and has more recently begun to place more emphasis on engaging the family early and often. Unfortunately, outcome data is not currently at sufficient enough detail at ADJC to "test" the theory espoused nationally or set forth herein that the engagement of the youth's family early and often in the Conditional Liberty program is "working". We are encouraged by the approach and strongly suggest that outcomes be established to validate the possibilities and opportunities that could be derived from shifting from a "youth/incident" to a "family" focus approach to preventing future delinquent behaviors of the juveniles of Arizona.

Our Recommendations

Our recommendations in this area sound simple and basic, however, our evaluation indicates that the basic family work is generally not happening. If it is, there is little or no evidence to indicate that this work is getting done. Accordingly, we recommend the following:

- Arizona prevention programs should be refocused to actively involve families in all aspects of services and activities.

- To the degree they are not doing so, judges should exercise their authority to order family members into parenting classes, other appropriate Treatment services and shared consequences with their child.
- Provider reimbursement rates should acknowledge and be contingent on a proactive effort to involve the family in the Treatment plan. Outcome targets and measures should be established and monitored related to family functioning before and after Treatment. Providers, at a minimum, should be required, with the assistance of the Probation Officer, to follow up with the youth and family for six-month intervals for 18 months (regardless of the youth's 18th birthday) to assess the family and youth status. This information should be shared with all parties in the Arizona juvenile justice continuum for their use in planning, program design, resource management and other related decisions.
- Probation and Parole Officers should be required to conduct family assessments much like those done in the Conditional Liberty program operated by ADJC and all results and information about the family, their social and economic status and other special needs or considerations. This data should be updated as appropriate when progress is made or circumstances change for the family. Ideally, this information should be recorded in an automated case management system so that the information can be readily exchanged with other stakeholders in the juvenile justice continuum. [**Note:** Additional comments are provided on the information system support later in this section.]

Collective Ownership through use of Outcomes

The Issues

Not only does *Exhibit 8.1* highlight the fact that families and communities are the stakeholders that “connect” through the continuum, it also highlights the fact that the continuum as currently designed has a number of automatic “hand-offs” (e.g., a youth moving from one program or agency to another) built in to it. This design allows the major state agencies, the Governor’s Council on Children, counties, County Attorneys and the County Probation Departments to all have a significant role and to influence what happens to each juvenile who enters the system, but does not give any of them the “ownership” position. In other words, if things “don’t work”, there is always room to say “that was outside my control. The other ‘player’ should have done something different.”

As an example, State Institution staff interviewed feel that if the County Probation Departments were harder and tougher on the youth when the youth first offended then they would never end up in a State Institution. The converse was true from the perspective of many of the Probation Officers. They felt that if the State Institutions kept the youth longer that the possibility of being committed to the State Institution would be a more significant deterrent to juvenile crime.

Our experience is that both perspectives are right, but over simplified.

This “lack of ownership” issue extends beyond the central agencies responsible for the Arizona juvenile justice system. The other state agencies that have a stake in most, if not all of these youth in the case of Arizona Department of Education and the Public Schools. The same type of back and forth volley happens between these significant and critical players. Probation Officers, Judges and County Attorneys felt that the schools don’t want to deal with youth that have low educational performance which is usually couple with disruptive behaviors as they disrupt the learning of other students. However, not dealing effectively with these low performers often leads to truancy, suspension or expulsion. This puts the youth out on the street, alienated from the education experience and with time on their hands. Conversely, educators and administrators interviewed felt that the juvenile justice system does not act quick enough or with sufficient consequence to deter this unwanted behavior of causing problems in the classroom. Similar examples of hoping the other agency will do more in an effort to make their job easier exists between the juvenile justice system and ADES and ADHS/BHS. The examples and circumstances are numerous.

Again, our experience and this evaluation indicates that both sides of these perspectives are right, but over simplified.

In reality, 70% of the youth that commit a juvenile offense once or twice are dealt with early and effectively and never re-enter the system. Everyone is happy. However, the remaining 30% of youth who enter the juvenile justice system often come from very troubled families like those described above in the discussion of families. These youth often require the assistance of all of these public agencies to be successful. This is, of course, why the “children’s agency” debate in Arizona continues. This debate is whether or not to create a “children’s agency” to stimulate more collaborative, “holistic” approach to developing solutions for these youth.

The issues these youth face are complex. Their family’s problems are many and it takes every agency working collaboratively to solve this problem. While some deference is paid to collaboration, few examples were identified that suggest all involved public agencies worked closely together to solve these problems.. That is, these agencies do not work together as if with shared resources and funds and as equal partners (i.e., not believing that the other agency “owns” a bigger piece of the problem than they are stepping up to solve). [*Note:* We discuss issues related to collaboration in more detail later in this section.]

Our Recommendations

At some level, all the key players recognize that they do not have sufficient influence to solve the problem on their own. Most are also waiting for someone else to make the first or groundbreaking move; to offer up the “magic” that will solve the problem. No one at the agency level is taking the leadership actions to make this happen. Truthfully, in the

current system with the current structure, no one player wields enough influence to “own” and, therefore, solve the problem.

As a result, the Governor, or the legislature must take the lead. Certainly, some legislative debates, studies and analyses have, and are, taking place. Most of these initiatives are centered on re-organizing the systems in order to facilitate more ownership. Two recent examples have come forth. The first is the current legislative committee that is studying and evaluating the development of a children’s agency likely to include many of the ADES, ADHS/BHS and juvenile justice functions. The focus here is to improve the horizontal integration among state agencies. The other example, with the goal to improve the vertical integration within the juvenile justice system, has been consideration for moving all of the AOC/JJSD functions to the counties. The hope was that there would be more ownership if there were fewer players in the Intervention component of the juvenile justice system.

We strongly agree with the issues and problems both of these leadership efforts are trying to solve. We feel equally strong, however, that large scale reorganizations of this type have not resulted in breaking down these barriers and achieving the goal of seamless, efficient response to the family and youth issues. There are countless examples of where these combinations have occurred with no appreciable change in achieving the stated goal.

The failures in this area tend to defy our normal sensibilities. It seems that if all these programs worked for the same boss, you would get the desired joint problem-solving and collaboration. But you don’t. The reasons we feel these re-organizations fail are:

- The complexity of each of the programs does not go away with the combination of agency oversight.
- Specialization is required as the work is “overwhelming” to staff when they try to problem solve at the family, instead of individual problem or family member level.
- Categorical budgeting and federal program requirements do not go away with these combinations. In a scarce resource environment, the environment in which all human service agencies operate, parochialism is bound to creep in. It is natural for staff to have pride in the service they are delivering and believe that it provides more value to the family, so they begin to “hoard” the scarce resources so the family gets that value and gets it from them.
- Re-organization seeks to solve problems by aligning people but does not address the business process or the outcomes or results. Reorganization may be a necessary element of the solution, but itself is never a panacea.
- So much energy, effort and political capital is spent in the process of re-organizing, that the original goal of the re-organization is lost in the shuffle.

- No one really has the answer to solve the human problems that give rise to the needs for these services in the first place. We don't know what works and what doesn't and we tend not to use quantifiable outcome analysis to help us find solutions to the problem. It is never as simple as it appears.

But the goal of finding a way to deliver human services and work with families and youth to solve the problems that make them dependent on the public systems for life is a worthy and very important goal.

So we are proposing a different approach to trying to make big strides in attaining this goal. To our knowledge, implementation of approaches similar to the one we are about to propose are only in their infancy within a program or at local jurisdiction levels.

Our proposal is that Arizona, through leadership of the Arizona Juvenile Justice Committee and with the cooperation of the juvenile justice system, attempt to solve this problem by developing outcome targets that cross all areas of the juvenile justice continuum. The following high-level steps would need to be completed to implement this approach.

- **Adopt outcomes.** We suggest that the state consideration of the statewide performance and outcome measures identified in the **Expected Performance and Outcome Targets** (Interim report dated June 18, 1998 and approved by this Committee) would be a strong start.
- **Establish statewide annual and five-year targets**, then allocate them to each county. AOC, ADJC, the County Probation Department and the Juvenile Court would all have the same target. Winning for one is winning for all.
- **Develop baseline** measures for each outcome.
- **Engage** a mix of management and staff of all agencies involved in becoming the **outcome champions**. These champions will be responsible for driving the outcome education process.
- Once the education is complete, engage mixed teams of management and staff from all agencies involved to **develop action plans** that will guide them in achieving the established targets for each outcome. This plan should also include a plan for how the incentive received as a result of achieving the plan will be invested in the juvenile justice system. This may be for combined agency activities to programs that met special needs of the youth and their families involved in this system. [Note: Our experience in Oklahoma suggests that the success of this process will depend on using outcomes to earn more resources versus using them to penalize poor results.]
- **Implement action plans.**

- *Include* in the action plans, *plan for investment of incentives received*. Incentives received as a result of achieving the plan should be invested in the juvenile justice system. Incentives may be for combined agency activities to programs that met special needs of the youth and their families involved in this system. [**Note:** Our experience in Oklahoma suggests that the success of this process will depend on using outcomes to earn more resources versus using them to penalize poor results.]
- *Remove barriers* to achieving results.
- *Achieve targeted performance*.
- *Receive and invest incentives earned for performance*.

As noted in one of the steps above, we are further recommending that a significant amount of funding (e.g., 10 to 15% in the initial years and growing to 30% after five years) be withheld in an incentive pool. This pool would include funds from each state agency (likely the AOC, ADJC, ADE, ADHS/BHS and ADES) that provides services to at-risk youth, diverted and delinquent youth in Arizona. This incentive would be earned as the outcome targets are met. The earned incentive would then be distributed to all agencies which contributed to meeting outcome target. [**Note:** Some allocation approach would be required that accounted for amount of investment contributed by each agency to achieve the targeted outcome. It is **critical** to the success of this approach that each agency is able to receive an equal return on investment proportionate to their investment.]

Our experience in implementing a similar outcome focused approach in Oklahoma was that the structural and organizational barriers are overcome due to the clarity that staff and management feel about what they are trying to accomplish and the reward they feel for making a difference in a child's life. They are mobilized by the clarity of purpose and role and rally to the challenge of meeting the goal. If properly implemented, that is in a spirit of cooperation and development, we believe this outcome-based approach will have a similar or better results in Arizona than that we observed in Oklahoma.

We would not suggest this innovative strategy to any state. Not all states possess the leadership capabilities required to make this type of change work. It is unique to find this leadership at the legislative, agency and county levels. In addition, the juvenile justice system in Arizona works. In other words, implementing an outcome approach is possible as the energy required to get a new approach like this implemented would not negatively impact the results already being achieved by the Arizona juvenile justice system. This Arizona system and the people that operate it are quite capable.

We believe implementing this type of approach to outcomes in Arizona where all agencies share in the success of the outcome is the only way to make a real and lasting impact for families involved in the juvenile justice system in Arizona. Further, if successfully implemented in this system:

- It could be rolled out to other human service agencies in the state, and
- It would help to maintain Arizona as a leader in the juvenile justice arena.

This is a unique opportunity in Arizona. We hope the Arizona Juvenile Justice Committee will take on this important change and help to remove any barriers to its success.

Collaboration

The Issues

If the first two recommendations noted above are going to work, more collaboration in the juvenile justice system and among those that work with the same families that have youth in the system will be required. In the context of the planning, funding, design and delivery of human services, collaboration requires:

- An open, mutual exchange of information;
- A willingness to share resources;
- A capacity to understand that at times there are advantages to at least a partial sharing of power or relaxation of control;
- An ability to move beyond the categorical funding limits, the specific service system culture and the professional practice values that usually are prevalent in any single service system;
- An experiential knowledge that many vulnerable and at-risk children and youth manifest multiple problem needs and therefore require multiple system responses; and
- A willingness to be accountable for common outcomes.

Results of our evaluation indicate that both within the juvenile justice continuum and beyond, there are some positive examples of collaboration. Collaborative efforts worth noting in Arizona include:

- The Governor's Division for Children (GDFC) and the Arizona Juvenile Justice Commission (AJJC) collaborate to sponsor and fund Prevention programs across the state, with a focus on services that cross four different funding sources.
- The Safe and Drug-Free Schools Program brings Probation and law enforcement on to school campuses.
- The Phoenix Violence Prevention Initiative was developed by public and private sector leaders with a focus on prenatal and early childhood, individual youth, schools, families, neighborhoods and communities.
- The Intergovernmental Agreement (IGA) allows AOC/JJSD and ADJC to use each other's contracts in the procurement of services.

- ADJC works with the ADES Vocational Rehabilitation Program to provide job preparation and job training for Conditional Liberty youth, with ADES claiming 80% federal financial participation and ADJC picking up the 20% required local match.
- The ADJC-Arizona State University Partnership provides tutoring and tracking for juveniles on Conditional Liberty.
- At the local level, the working relationships among Probation Officers, County Attorneys and Juvenile Court Judges appear to be cooperative and collaborative; possibly because of the common ground and challenges they share on a regular basis.
- There also appears to be some key stakeholders, such as the Interim Director of ADJC, who are exercising leadership in promoting a collaborative service delivery environment.
- The Interagency Case Management Project, initiated by AOC/JJSD, is a pilot program in Maricopa County assigning a specially trained CPS Case Manager, a RBHA Case Manager, a Probation Officer and a Parole Officer to provide case management services for juveniles who are being served by at least two of the state agencies.

The last item is an exciting example of collaboration, but it also points to how far Arizona has to go to achieve completely integrated service delivery. In this situation, the case managers are still required to find their way through separate funding requirements, separate regulations and separate information systems.

On the other hand, if one applies the definition of collaboration identified above, while AOC/JJSD and ADJC work well in some specific instances, their overall collaborative working relationship with each other and with the counties and local communities could be substantially improved. Even more important, there is no effective statewide coordination and technical support for local and regional delinquency prevention efforts. This evaluation indicated that ADJC and AOC/JJSD have not developed an ongoing collaborative *working* relationship with ADE, ADES and ADHS/BHS. We understand this is an issue under initial consideration in the Governor's Community Policy Office.

There also appears to be no unified set of principles set out in Arizona statute or other statewide policy level articulating a policy framework for coordination and collaboration. An example of such a set of principles can be found in the state of Washington. The Family Policy Principles are an eloquent and compelling statutory commitment to vulnerable children and their families.

These Family Policy Principles were placed in Washington statute in 1992. While they have yet to be completely actualized, they place the state of Washington in the advantageous position of having, as law, a clearly articulated policy framework that can,

and should, guide future policy decisions and the delivery of services to vulnerable children and their families.

The Family Policy Principles:

- Acknowledge the changing nature of families at-risk;
- Prioritize the need for client involvement in service planning and decision making; and
- Recognize the need for cultural competence.

The principles adopted by Washington clearly value collaborative planning, problem solving and service delivery; they value creativity and an open and respectful exchange of skills and information; they reinforce the need for local planning, community-based Prevention and an outcomes-based focus.

The reality is that unless state and local agencies can freely exchange data and freely pool their resources, there will be no effective comprehensive service delivery system meeting the needs of vulnerable, multiple-problem youth and their families.

Our Recommendations

Arizona should develop statutory policy principles that can guide future policy decisions and the delivery of comprehensive services to children, youth and their families; the principles should:

- Value collaborative planning, problem solving and service delivery;
- Prioritize family involvement in service delivery; and
- Reinforce the need for local planning, community-based Prevention and an outcomes-based focus.

Arizona should establish a state level policy council including leadership representatives from the Governor's Office, ADJC, AOC/IJSD, ADES, ADE, ADHS and other appropriate organizations, where the primary focus is the improvement of coordination and collaborative service delivery.

The Arizona Juvenile Justice Commission should be authorized as the state agency responsible for coordination and technical support for Arizona regional and local delinquency Prevention efforts. In this role they should step up the activity around:

- Stimulating public and private partnerships;
- Supporting implementation of "collective ownership through use of outcomes";

- Ensure that financial resources are maximized by minimizing duplication of effort and programs; and
- Get the Arizona story out about how Prevention makes a difference and saves the public money.

ADJC and AOC/JJSD should strongly consider pooling their resources to solve the rural problem of insufficient services available in their communities. An example may be the analysis of “best” use of Detention facilities. There may be strategies that would allow creative use of local facilities to meet the needs of both state agencies and potentially free up additional resources to invest in increasing Detention facility capacity or expand other community programs like Parole (e.g., Conditional Liberty).

Joint Technology Support

The Issues

Data Exchange

As we have established in the previous discussions on collaboration, free and easy exchange of information and data is a criteria to realize the full value of collaboration.

During our evaluation we determined that all players, large and small, in the Arizona juvenile justice system operate on different computer systems and uniquely identify the youth or family. As a result, significant effort is required to try to perform a simple match of youth from the juvenile justice system to ADE, ADES or ADHS/BHS. While limited matches between two of these systems have been conducted in the past, the results have been less than satisfactory due to the effort required to complete the match, the fact that the data was already out of date by the time the match was shared as these youth move through these systems very quickly and, because of the unique identifiers, there was lack of confidence that the match results were comprehensive. The bottom line is, the state of Arizona has no efficient or effective way to track juveniles across state systems.

Even within the juvenile justice system, AOC and ADJC have different computer systems. For Maricopa and Pima Counties, AOC does create a daily electronic file from JOLTS to pass to the ADJC YouthBase system that contains the offense history of the youth that were committed that day. AOC is not able to perform this electronic transfer of case information for any youth that is committed to ADJC from a rural county. In this case, the information is exchanged in a manual fashion. Further, it should be noted, that this data exchange is currently one way. That is to say that AOC provides information to ADJC, but currently lacks the capacity to receive information back from ADJC.

Given this lack of exchangeable data, is not reasonable or practical in Arizona to develop a comprehensive cost analysis of what juveniles, involved with multiple agencies in or out of the juvenile justice system, cost the state of Arizona.

ADJC YouthBase Automated System

ADJC has an exemplary commitment to updating and improving its information system. The ADJC is in the process of enhancing its capability to upload information from the AOC JOLTS system into YouthBase. A near-term goal is to provide a more comprehensive assessment of the youth in the Arizona juvenile justice system. The ADJC is also developing a database in which the relevant factors can be assessed, such as the risk score, the risk-needs evaluation; the Treatment proposed and completed (including education information); and the final outcomes (such as recidivism) can be

determined. With all of these components automated on the same system, the agency should be able to develop meaningful program outcome measures and more closely pinpoint the cause of success and/or failure of the youth. ADJC hopes to have this work completed by fiscal year 1999. Once ADJC is fully automated, they will begin the process of producing timely and meaningful management reports to guide program design and service delivery. These reports will provide more meaningful data as complete and consistent data is detailed in the system over time.

AOC JOLTS and Other Automated Systems

AOC's automation system, JOLTS, is utilized by AOC/JJSD and all 15 counties to record information and status regarding juveniles, as well as manage Probation caseloads. There are currently three versions of JOLTS in operation with separate systems in Maricopa, Pima and the rural counties. Information is input into the systems by the counties and periodically validated by AOC/JJSD. There is a wealth of information in the system, however there are gaps in certain data. For example, we were frequently told that social functioning and educational advancement were strong signals of Treatment success. However, while JOLTS has the capacity to capture this information, we found little or none of this data recorded. JOLTS, properly utilized by staff, has served AOC and the County Probation Departments well.

Given the fact that the technology that is used in JOLTS is more than 20 years old and the system is very complex, AOC has developed a number of other databases, like the Treatment billing system, which performs certain business functions that JOLTS does not provide. While this gets the work done, it is problematic in terms of:

- Duplication of effort required to re-enter data that would already be in JOLTS,
- A requirement that these systems have to be reconciled continuously to stay in sync, and
- Complexity in getting the "total" picture of what is going on with the youth and the providers when the information is maintained on multiple databases.

Further, as noted in our case file reviews, the JOLTS system does maintain key information about the juvenile. What it does not maintain is information that would be more characteristic of information that would be used by a Probation Officer to manage the youth's case. This information includes:

- Information gathered from the youth and family during case contacts,
- Progress notes obtained from Treatment Providers, educators or other key stakeholders,
- Information on "why" Treatment ended, and

- Risk assessment and other information associated with medical and psychological assessments.

Aside from better, more readily exchangeable case information that would help both Probation Officers, Treatment Providers and ADJC, having this case management functionality included in a comprehensive information system would greatly enhance AOC's capability to manage with performance and outcome information.

Given the various systems operated by AOC, it becomes impractical to combine all of these databases any more than one time per year. AOC fights this battle every time they even think about preparing management reports and outcome measures.

Couple this issue with the fact that AOC has very few technical resources available to support their information systems, they are often required to purchase programming and technical system support from outside experts. While in some ways this makes AOC management consider the investment and return before committing the resources to get something done using the system, on the flip side this also:

- Tends to make AOC staff not ask because they worry about the expense that will be incurred,
- If AOC management decides to proceed with obtaining this support they have to have a contract and "work the deal" and then get done what they want all of which takes time, and
- Over time the knowledge about the system and the database rest outside of the agency which makes it more and more difficult to translate effective system requirements and make sure you are getting back what you requested.

Our Recommendations

Although AOC/JJSD continues to move toward gathering more comprehensive information on the youth in the Arizona juvenile justice system, critical data from other entities (e.g., ADJC, ADHS/BHS and ADES) are not easy to obtain or match to enhance their overall understanding of these youth and their families. As noted a number of times throughout this report, it is currently impractical for these public agencies to efficiently exchange information about youth they serve in common. All the players, including AOC, ADJC, counties ADE, ADES and ADHS/BHS to develop a strategic systems plan to comprehensively support the Arizona juvenile justice system. We highly recommend that new systems developed in the state, like CHILDS for ADES Child Welfare, have a requirement that they build the capacity to interface and support data exchange and use with other human service agencies in the state. Given the wide variety of technology platforms in the state, this is likely going to have to be accomplished through use of:

- A data warehouse, and/or
- Some other type of technology middle ware.

The purpose of this type of technology support is to allow information from different data sources to be assimilated and utilized in a meaningful and efficient manner. Without a data warehouse or some other type of technology support to obtain information pertaining to all state support in the youth's life, these agencies continue to lack the comprehensive information necessary to make appropriate and effective decisions regarding the youth and their family. Given the status of development of the YouthBase system at ADJC, it may be possible that they could play a leadership role in creating an automated environment that supports the other agencies that support the Arizona juvenile justice continuum of care.

The JOLTS system has many strengths and has developed into one of the best juvenile court information systems. However, technology capabilities have begun to outstrip systems like JOLTS that were developed more than 20 years ago. Plus, JOLTS does not contain all the functionality required to support the business requirements of AOC exacerbating the move to increasing the use of performance and outcome measures. AOC/JJDS must continue to move toward a single information system that contains accurate, meaningful and consistent data to allow the basis for effective performance and outcome measurement.

Conclusion

It is our evaluation that the Arizona juvenile justice system is one of the best in the nation. Could it improve? Yes. Could it do a better job of justifying the public investment by developing and reporting outcome and performance measures? Yes. Are there changes that could be made that would make this an even better, more cost-effective and efficient? Yes.

It is our belief that if the leadership of Arizona adopts the recommendations included throughout this report, but more specifically the core recommendations set forth in this section, that the Arizona juvenile justice system could operate more efficiently and effectively. The largest gains would be in the area of those youth that are served by multiple agencies across the state, are at the highest risk of becoming life-long dependents (e.g., in the adult corrections, social services or mental health services) on state systems. This type of youth represents a small percentage of juveniles (less than 17% known to the juvenile justice system), yet the cost to protect the public safety as a result of these youth can cost up to an average of \$175 per day. Multiplied over a lifetime, the cost to the public is enormous. So, for every one of these juveniles that this system changes to living a life as a productive citizen, saves Arizona at least \$500,000

(estimated) dollars in future support and aid. This does not include the taxes and other positive contributions Arizona would receive from this productive citizen.

It is worth it to try to improve their results. Even if it reaches just a few juveniles, the potential long-term returns are material.

As with many recommendations, more significant value would be achieved if all of these recommendations were adopted within short order of one another. The reason is that, if automation was enhanced to freely share information among agencies, they would:

- Better know what persons to coordinate and collaborate on;
- Have much more robust performance and outcome measures as they could combine the data from their agency with that of others to get a comprehensive view of results; and
- Understand better the interventions that work with families as well as the juvenile increasing their effectiveness and opportunity to convert members of the family to self-sufficient, productive citizens as opposed to life-long system users.

Couple these benefits with increased collective ownership resulting in joint action planning and implementation to achieve results.

It will work in Arizona as the leadership exists at legislative, agency and county levels. Plus, the juvenile justice system in Arizona works.

We believe implementing this type of approach to outcomes in Arizona where all agencies share in the success of the same outcomes is the only way to make a real and lasting impact for families involved in the juvenile justice system in Arizona.

This is a unique opportunity in Arizona. We hope the Arizona Juvenile Justice Committee will take on this important change and help to remove any barriers to its success.