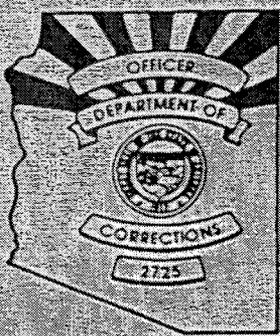


ARIZONA DEPARTMENT OF CORRECTIONS



**SEX OFFENDER
RISK ASSESSMENT
VALIDATION STUDY**

TERRY L. STEWART
Director

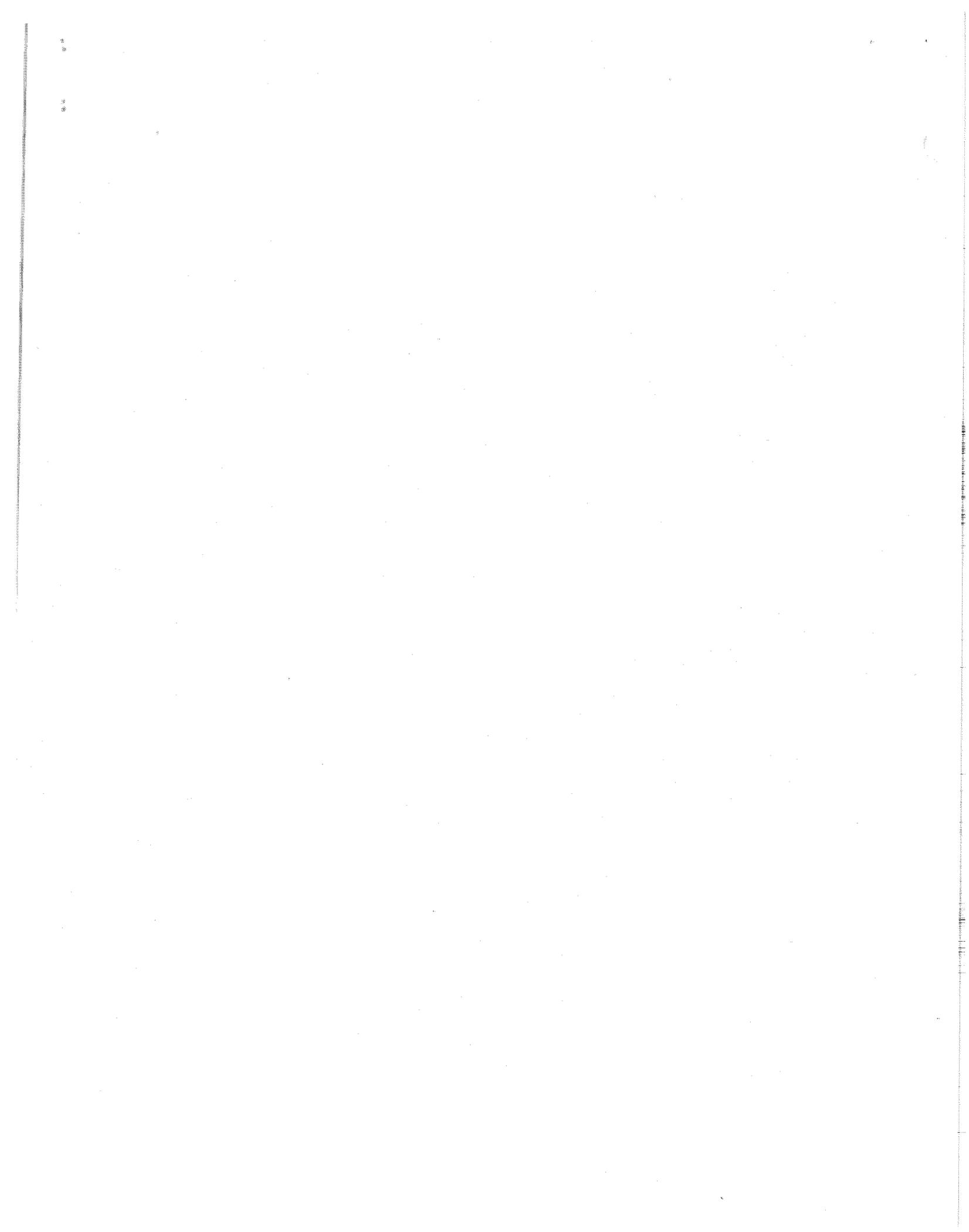
RICHARD G. CARLSON
*Deputy Director
Administration*

MEG SAVAGE
*Assistant Director
Human Resources/Development*

Arizona State Library
Archives & Public Records

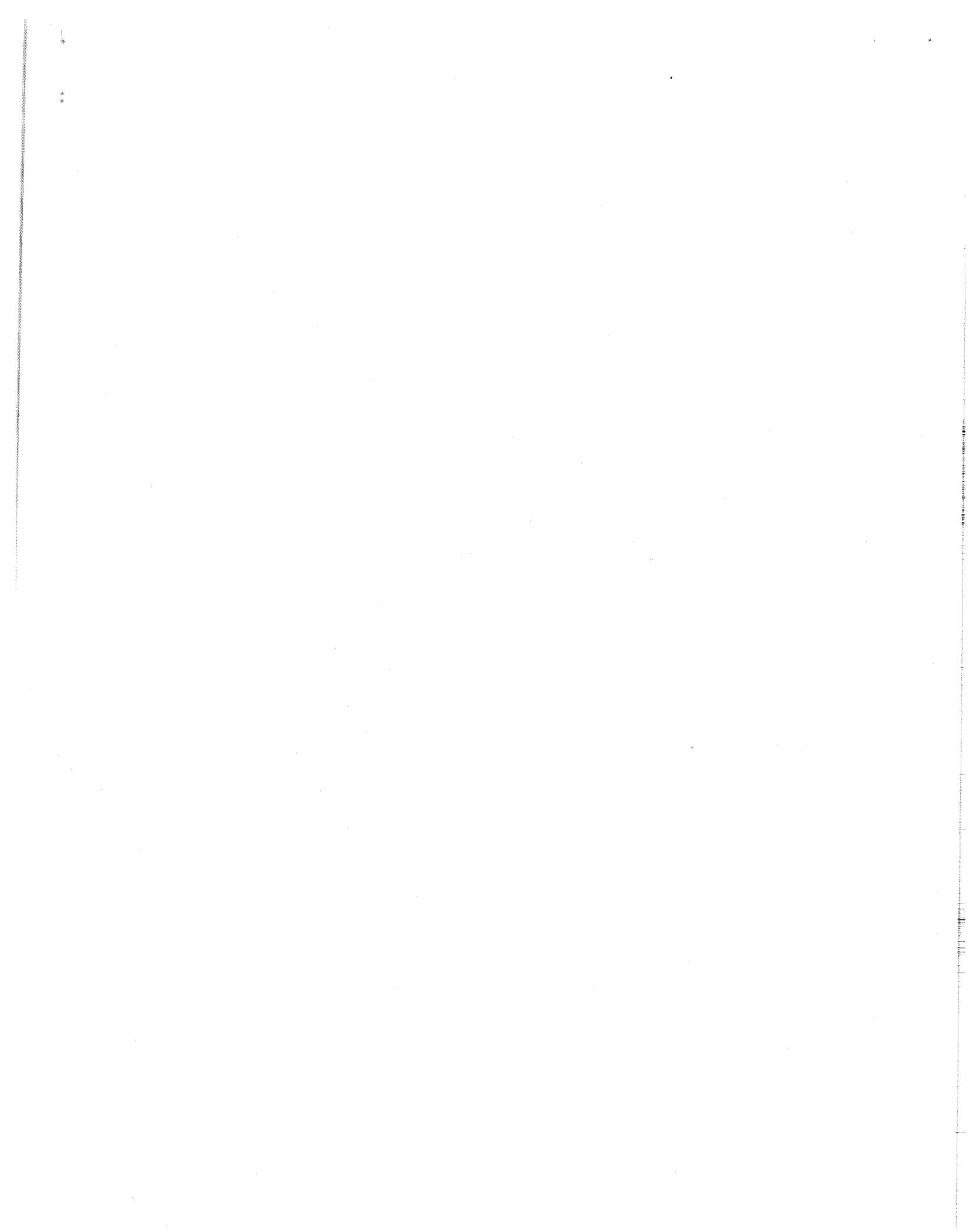
August 1, 2000

JUL 26 2007



CONTENTS

Executive Summary	ii
Introduction	1
Study Parameters	3
Risk Assessment Validation	4
Risk Factor Validation	8
Instrument Recalibration	13
Sex Offender Recidivism	23
Arizona Sex Offender Assessment Screening Profile	26



EXECUTIVE SUMMARY

The purpose of this report is to present the findings of the current validation study of the Arizona Sex Offender Assessment Screening Profile for Regulatory Community Notification, known hereafter as the Risk Assessment. This instrument was implemented as part of the Community Notification Law, ARS 13-3825, effective June 1996. The Risk Assessment classifies sex offenders who have been released from Arizona prisons or who were placed on probation (after June 1996), into three categories of risk for recidivism. In turn, the assigned categories describe the level of notification and manner in which the community is told by law enforcement of the offender's release from prison, or placement on probation, through notification guidelines. The Risk Assessment was initially adapted from an instrument previously used in Minnesota for similar community notification purposes.

In August 1998, a study was undertaken to determine the validity of the instrument. This study examined all sex offenders released from prison or placed on probation in Arizona between June 1, 1996 and June 30, 1998. Because of the proximity to the date of implementation of the Sex Offender Notification law in Arizona, the follow-up period involved in the study was not of sufficient length to allow a true validation of the instrument as a predictor of future sex offending and/or long term recidivism. With this in mind, and in an attempt to determine whether sex offenders subject to the notification law simply left Arizona to avoid notification (and then committed crimes in other states), an expanded validation study using national-level follow-up data was undertaken.

Specifically, ADC requested records from the Federal Bureau of Investigation (FBI) on Arizona sex offenders released from prison between July 1, 1983 and June 30, 1998. This included offenders from the 1998 study, as well as previously released sex offenders who are being studied as part of a parallel effort to determine longer-term patterns of sex offender recidivism in Arizona. Unfortunately, because of a lack of identifying information, sex offenders in the original study who were released on probation were not included in the second phase of the study. However, the expanded study did include a comparison group of offenders who were released subject to sex offender registration requirements but without community notification. Due to a higher concentration of repeat offenders, the "registration-only" cases, which include offenders with prior but not current sex offenses, recorded higher rates of general recidivism but lower rates of sex offense recidivism than did the notification cases. As indicated by the results of the current study, many of the offenders in the notification group are first-time-only sex offenders who pose a greater risk of sexual re-offending but a much lower risk of re-offending in some other manner.

- **The results of the 1998 study demonstrated that the instrument being used in Arizona for community notification was valid as a predictor of recidivism.** In the 1998 study, the percentage of released sex offenders returned to prison in Arizona increased from 2.8% for Level I offenders, the lowest risk group, to 7.5% for Level II offenders, an intermediate risk group, to 15.5% for Level III offenders, the highest risk group.

- The results of the expanded validation study, which included the FBI follow-up data, provided much more extensive and conclusive confirmation of the validity of the instrument for the prediction of recidivism. In addition, the expanded study documented the validity of the instrument as a predictor of sex offense recidivism. In the expanded study, the general recidivism rate (re-arrest for a violent, sex, or felony offense) increased from 5.3% for Level I offenders, to 23.2% for Level II offenders, to 48.3% for Level III offenders. Additionally, the sex offense re-arrest rate was determined to be 3.5% for Level I offenders, 3.6% for Level II offenders, and 12.7% for Level III offenders.
- While the current instrument has been thoroughly validated for the prediction of both general and sex offense recidivism, the results of the updated study do indicate that improvements to the instrument are possible. Consequently, a revised instrument, with improved predictive validity, was developed for consideration by the Community Notification Guidelines Committee. Based on the results of the preliminary study, a few relatively minor modifications to the original instrument were recommended. However, since the FBI data request was pending, it was decided to wait until the final validation results were available before recommending any modification to the Risk Assessment. Based on the most recent validation data, it appears that the Risk Assessment, with some modification, can become an even stronger predictor of both general and sex offense recidivism. The proposed modifications include 1) eliminating factors that have proven to be poor predictors of recidivism, 2) adjusting weights on individual factors to improve predictive validity, and 3) modifying the scoring scale for the instrument. One of the weaknesses of the Risk Assessment is the relatively high percentage of cases (71.3%) assigned to the intermediate risk level (Level II). The proposed modifications would reduce this percentage to 54.4% and would correspondingly increase the percentages of cases assigned to Level I (9.3% to 17.3%) and Level III (19.4% to 28.3%).

INTRODUCTION

The purpose of this report is to present the findings of the current validation study of the Arizona Sex Offender Assessment Screening Profile for Regulatory Community Notification, hereafter referred to as the Risk Assessment. This instrument, which was implemented as part of the Community Notification Law in June of 1996, classifies released sex offenders in Arizona into three levels of risk for recidivism. In turn, the assigned risk levels are instrumental in determining the manner in which the community is notified of the offender's release. The Risk Assessment was adapted from a similar instrument previously in use in the state of Minnesota.

The screening instrument scores sex offenders on 19 separate "risk factors" as follows:

- ✓ Number of Convictions for Sex/Sex-Related Offenses (1, 4, or 6 points)
- ✓ Number of Convictions for (Non-Sex) Felony Offenses (0, 2, or 6 points)
- ✓ Other Sex/Sex-Related Arrests Not Resulting in Conviction (0 or 4 points)
- ✓ Age at First Conviction for Sex/Sex-Related Offense (0 or 3 points)
- ✓ Use of Weapon in Sex/Sex-Related Convictions (0, 4, or 6 points)
- ✓ Total Number of Victims in All Sex Offenses (0, 1, 4, or 6 points)
- ✓ Gender of Victims in All Sex Offense Convictions (0, 2, or 4 points)
- ✓ Relationship of Offender to Victim (0, 2, or 4 points)
- ✓ Use of Force (0 or 6 points)
- ✓ Other Characteristics of Sex/Sex-Related Convictions (0 or 4 points)
- ✓ Length of Sex Offense History (0 or 4 points)
- ✓ Alcohol/Drug Usage (0 or 3 points)
- ✓ Mental/Cognitive Impairment of Offender (0 or 4 points)
- ✓ Employment History (0 or 3 points)
- ✓ Presence of Multiple Paraphilias/Sexually Deviant Interests (0, 2, or 4 points)
- ✓ Felony Committed Upon Previous Release from Confinement (0, 2, 4, 6, or 8 points)
- ✓ Discipline History While in Prison (0 or 6 points)
- ✓ Chemical Dependency Treatment While in Prison (0 or 4 points)
- ✓ Sex Offender Treatment While in Prison or On Probation (0, 2, or 5 points)

Each released sex offender is assigned a score on each of the 19 risk factors, and a total risk score is computed to reflect the offender's overall level of risk. A *Risk/Notification Level* is then assigned based on the total score as follows:

LEVEL I (<i>Lower Risk</i> ; Lowest Notification Requirements)	0-14
LEVEL II (<i>Intermediate Risk</i> ; Moderate Notification Requirements)	15-39
LEVEL III (<i>High Risk</i> ; Highest Notification Requirements)	40 or Above

A preliminary validation study of the Risk Assessment was conducted by Arizona Department of Corrections (ADC) research staff in July of 1998. The results indicated an acceptable level of validity in predicting future admissions to the department. Specifically, based on a coefficient referred to as the Mean Cost Rating (MCR), the correlation between risk level and return to ADC custody came to 0.292.

Because of the recency of implementation of the Sex Offender Notification Program in Arizona, the follow-up period involved in the original study was not of sufficient length (an average of 12 months) to allow a validation of the instrument as a predictor of future sex offending or of long-term recidivism. Due to this limitation, the decision was made to conduct a more definitive study of instrument validity. To provide the most comprehensive follow-up information possible, a request was made to the Federal Bureau of Investigation (FBI) for record checks on released Arizona sex offenders. This request included all sex offenders released from the Arizona Department of Corrections over the period from July 1, 1983 through June 30, 1998, and included all ADC sex offenders represented in the original study. Unfortunately, because of the lack of identifying information (SID and FBI Numbers), sex offenders from the original study who were released on probation (as opposed to being released from prison) were not included in the request to the FBI.

It should be noted that the request to the FBI included sex offenders being examined by ADC research staff as part of a longer-term study of sex offender recidivism in Arizona. This study, which has targeted over 3,000 sex offenders released to the streets over a 15-year period, will provide definitive information on general and sex offense recidivism rates among sex offenders released from prison in this state. Eventually, the results of this study may be used to guide further improvements to the sex offender risk assessment process in Arizona.

STUDY PARAMETERS

The present validation study focuses on 614 sex offenders released from the custody of the Arizona Department of Corrections from June 1, 1996 through June 30, 1998. This includes offenders released with or without supervision. These 614 offenders were all released from sentences of incarceration for current sex offenses, and accordingly were eligible to be included in the *Arizona Sex Offender Notification Program*. An additional 212 released offenders included in the study had previous sex offenses on their records which required them to submit to sex offender registration in Arizona. These 212 offenders were not subject to community notification laws and were not assigned sex offender risk levels. They were included in the current study only for the purpose of comparing their follow-up results with those for the notification group. Accordingly, the majority of the report concerns the notification group only.

All 826 offenders in the present study were followed to April 30, 2000 for possible re-admission to the Arizona Department of Corrections. This provided an average (mean) follow-up period of 34.0 months, including 34.1 months for the 614 notification cases and 33.6 months for the 212 registration-only cases. In addition, all 826 offenders were followed to approximately November 1999 for criminal justice contacts recorded by the Federal Bureau of Investigation. FBI data provided information on rearrests, reconvictions, and prison admissions in jurisdictions other than the state of Arizona. The FBI portion of the follow-up averages approximately 28.5 months.

For purposes of the present validation study, nine (9) separate indicators of recidivism are considered. They are as follows:

- ✓ Rearrest (Any Offense) or Return to Prison (Technical Violation or New Offense)
- ✓ Rearrest (Any Offense)
- ✓ Rearrest (Violent, Sex, or Felony Offense)
- ✓ Rearrest (Violent or Sex Offense)
- ✓ Rearrest (Sex Offense)
- ✓ Reconviction (Any Offense)
- ✓ Reconviction (Violent, Sex, or Felony Offense)
- ✓ Return to Prison (Technical Violation or New Offense)
- ✓ Return to Prison (Felony Conviction)

While results are presented for each of the above recidivism measures, two measures are given special emphasis in the report, and, in fact, are utilized for the purpose of developing suggested improvements to the Risk Assessment. These are Rearrest (Violent, Sex, or Felony Offense), referred to as General Recidivism, and Rearrest (Sex Offense), referred to as Sex Offense Recidivism.

RISK ASSESSMENT VALIDATION

As outlined on the previous page, the Risk Assessment provides for three levels of offender risk, ranging from Level I (Lower Risk), to Level II (Intermediate Risk), to Level III (High Risk). The presumption is that the higher the risk level of the sex offender, the greater the chances are that the offender will recidivate. The following tabulation indicates how the total population of 614 released sex offenders breaks out among the three risk levels:

- ✓ 57 cases (9.3%) were classified as **Level I** (Lower Risk)
- ✓ 438 cases (71.3%) were classified as **Level II** (Intermediate Risk)
- ✓ 119 cases (19.4%) were classified as **Level III** (High Risk)

To validate the Risk Assessment, it is necessary to compare follow-up results across risk levels. This is accomplished with the information presented below (see also the chart on page 7). Follow-up results are broken out by risk level for each of nine (9) separate measures of recidivism. In addition, a correlation coefficient (Mean Cost Rating or MCR) is indicated which gauges the ability of the instrument to predict that type of recidivism. Correlation coefficients logically vary from 0.00 (no predictive or random predictive ability) to 1.00 (perfect predictive ability). The results are as follows:

- ✓ Increasing risk correlates with an increasing frequency of **rearrest or return to prison:**

Level I	7.0%
Level II	35.4%
Level III	59.7%

Correlation Coefficient (MCR) = 0.264

- ✓ Increasing risk correlates with an increasing frequency of **rearrest for any offense:**

Level I	5.3%
Level II	28.5%
Level III	52.9%

Correlation Coefficient (MCR) = 0.269

- ✓ Increasing risk correlates with an increasing frequency of **rearrest for a violent, sex, or felony offense:**

Level I	5.3%
Level II	23.3%
Level III	47.9%

Correlation Coefficient (MCR) = 0.276

Note: Violent offenses include homicide, kidnapping, aggravated assault, robbery, weapons offenses, child abuse, and arson of an occupied dwelling.

- ✓ Increasing risk correlates with an increasing frequency of **rearrest for a violent or sex offense:**

Level I	3.5%
Level II	9.6%
Level III	26.9%

Correlation Coefficient (MCR) = 0.296

- ✓ Increasing risk correlates with an increasing frequency of **rearrest for a sex offense:**

Level I	3.5%
Level II	3.7%
Level III	12.6%

Correlation Coefficient (MCR) = 0.277

- ✓ Increasing risk correlates with an increasing frequency of **reconviction for any offense:**

Level I	3.5%
Level II	11.2%
Level III	24.4%

Correlation Coefficient (MCR) = 0.239

- ✓ Increasing risk correlates with an increasing frequency of **reconviction for a violent, sex, or felony offense:**

Level I	3.5%
Level II	9.6%
Level III	22.7%

Correlation Coefficient (MCR) = 0.250

- ✓ Increasing risk correlates with an increasing frequency of **return to prison for any reason (technical violation or new offense):**

Level I	5.3%
Level II	17.8%
Level III	36.1%

Correlation Coefficient (MCR) = 0.243

- ✓ Increasing risk correlates with an increasing frequency of *return to prison with a new felony conviction*:

Level I	3.5%
Level II	7.5%
Level III	21.0%

Correlation Coefficient (MCR) = 0.277

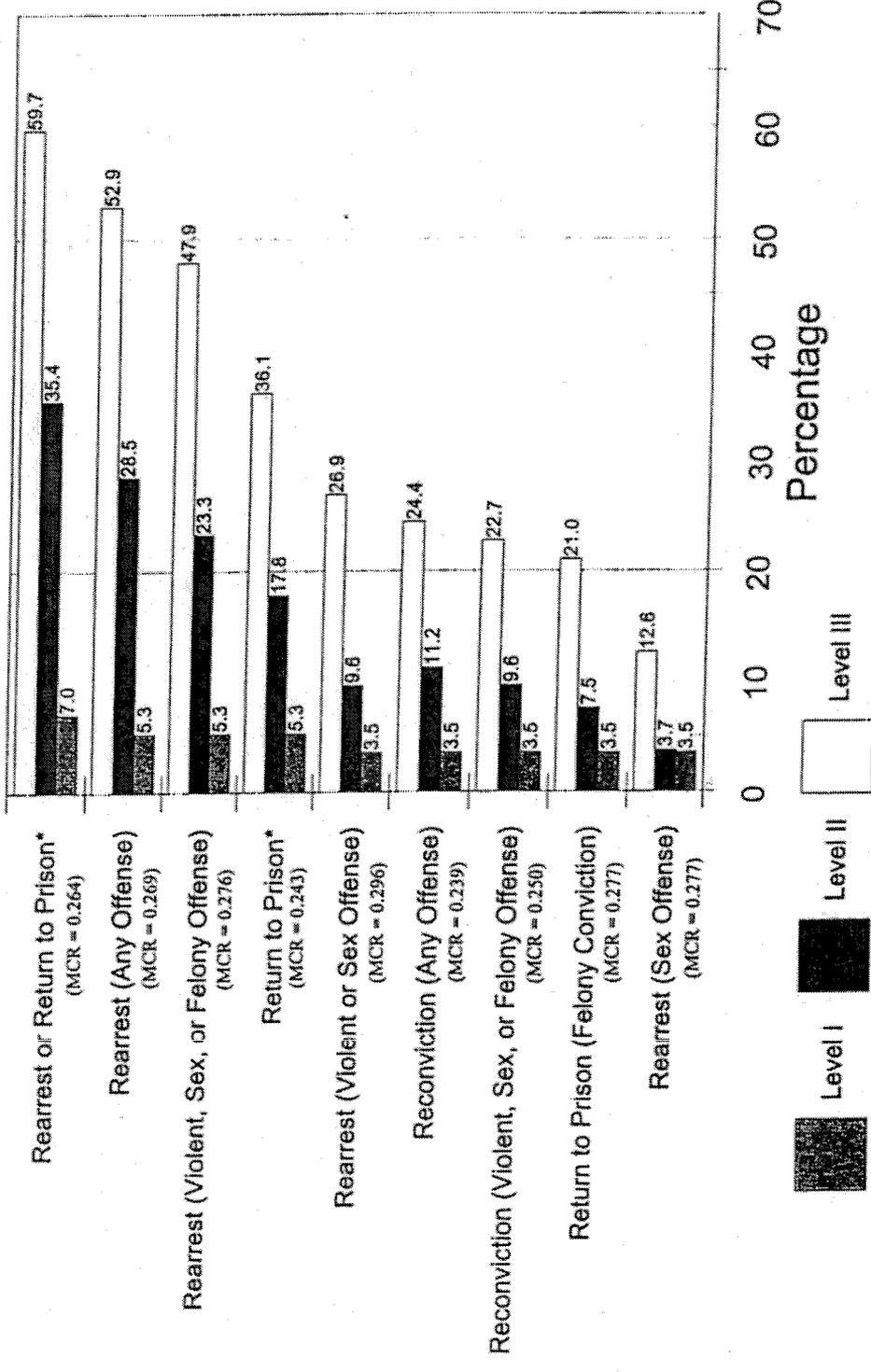
The demonstrated values of the correlation coefficient, although not especially high, are nonetheless high enough to indicate a definite degree of validity of the Risk Assessment as a predictor of general recidivism and of new violent and sex offenses. In most cases, the higher the risk level, the higher the recidivism rate. However, predictive validity is also affected by the numbers of cases falling in individual risk levels. Certainly, the predictive validity of the instrument is somewhat limited by the relatively high percentage of cases (71.3%) assigned to Level II (Intermediate Risk).

The ideal situation in recidivism prediction is that all targeted offenders are classified as either High Risk (predicted to recidivate) or Low Risk (predicted not to recidivate), with the High Risk group recording much higher rates of actual recidivism than the Low Risk group. In practice, however, it is usually necessary to break out an Intermediate Risk group representing offenders for whom a definite pro or con prediction of recidivism is not available or possible. Generally speaking, the larger the Intermediate Risk group, the less efficient the instrument as a predictor of recidivism. The adverse effect of a large Intermediate Risk group may be mitigated, however, if there is a large difference in recidivism rates across risk levels. To a certain extent, this is the case with the current sex offender risk assessment instrument in Arizona.

Note: For information on MCR, please see "Computing Mean Cost Ratings (MCR)" by James A. Inciardi, Dean V. Babst, and Mary Koval in the January 1973 issue (Volume 10, Number 1) of the well-respected Journal of Research in Crime and Delinquency. In this article, the authors note "The literature of the past two decades suggests that it (MCR) represents perhaps the most satisfactory statistical index of predictive selectivity."

RECIDIVISM FOLLOW-UP RESULTS

By Risk/Notification Level



*Technical violation or felony conviction.

RISK FACTOR VALIDATION

In this section of the report, the 19 risk factors which contribute to the Risk Assessment will be examined individually for predictive validity. Clearly, one should expect variation in the performance of individual factors, especially in light of the fact that the Risk Assessment was adapted from a similar instrument in use in another state (Minnesota) without the benefit of independent validation. It is important to know how well individual predictors work in Arizona. With this type of information, adjustments can be made to the Risk Assessment which are likely to result in a significant improvement to the instrument.

In order to keep the volume of information necessary to validate risk factors to a manageable level, consideration is given to two recidivism indicators only, those being "Rearrest for a Violent, Sex, or Felony Offense," and "Rearrest for a Sex Offense." These two indicators provide measures of "general recidivism" and "sex offense recidivism," respectively. The decision was made to examine rearrest rather than reconviction data because available follow-up periods were not of sufficient length to allow a significant portion of serious new charges (including sex offenses) to be adjudicated in court.

The bar graphs on pages 11-12 rank order the 19 risk factors according to the magnitude of the correlation (MCR) of each factor with general recidivism and sex offense recidivism. In each case, those factors recording the highest MCR values are those demonstrating the highest degrees of predictive validity.

With regard to either type of recidivism, risk factors may be classified as follows:

- 1) *Very Good Predictors*
- 2) *Good Predictors*
- 3) *Marginal Predictors*
- 4) *Poor Predictors*
- 5) *Non-Predictors.*

Very Good Predictors are those with MCR values of +0.200 or greater. Good Predictors are those with MCR values in the range +0.100 to +0.199. Marginal predictors are those with MCR values in the range +0.050 to +0.099. Poor Predictors are those with MCR values in the range +0.000 to +0.049. Finally, Non-Predictors are those with negative MCR values (indicating negative or reverse prediction).

The classification of factors as predictors of *general recidivism* is as follows:

<u>Very Good Predictors</u>	<u>MCR</u>
Number of Convictions for Non-Sex-Related Felony Offenses	0.293
Discipline History While in Prison	0.258
Relationship of Offender to Victim	0.219
Felony Committed Upon Previous Release from Incarceration	0.214
Alcohol/Drug Usage	0.200

<u>Good Predictors</u>	<u>MCR</u>
Employment History	0.180
Chemical Dependency Treatment While in Prison	0.164
Age at First Conviction for Sex/Sex-Related Offense	0.151
Use of Force	0.127
 <u>Marginal Predictors</u>	 <u>MCR</u>
Number of Convictions for Sex/Sex-Related Offenses	0.073
Use of Weapon in Sex/Sex-Related Convictions	0.062
 <u>Poor Predictors</u>	 <u>MCR</u>
Other Characteristics of Sex/Sex-Related Convictions	0.046
Mental/Cognitive Impairment of Offender	0.044
Sex Offender Treatment While in Prison	0.041
Sex/Sex-Related Arrests Not Resulting in Conviction	0.032
Total Number of Victims in All Sex Offenses	0.024
 <u>Non-Predictors</u>	 <u>MCR</u>
Length of Sex Offense History	-0.026
Gender of Victims in All Sex Offense Convictions	-0.076
Presence of Multiple Paraphilias/Sexually Deviant Interests	-0.126

The classification of factors as predictors of *sex offense recidivism* is as follows:

<u>Very Good Predictors</u>	<u>MCR</u>
Felony Committed Upon Previous Release from Incarceration	0.310
Relationship of Offender to Victim	0.282
Number of Convictions for Non-Sex-Related Felony Offenses	0.282
Number of Convictions for Sex/Sex-Related Offenses	0.236
Use of Weapon in Sex/Sex-Related Convictions	0.236
Total Number of Victims in All Sex Offenses	0.212
 <u>Good Predictors</u>	 <u>MCR</u>
Sex/Sex-Related Arrests Not Resulting in Conviction	0.180
Employment History	0.162
Length of Sex Offense History	0.149
Chemical Dependency Treatment While in Prison	0.148
Discipline History While in Prison	0.137
Alcohol/Drug Usage	0.126
Mental/Cognitive Impairment of Offender	0.126
Sex Offender Treatment While in Prison	0.109

<u>Poor Predictors</u>	<u>MCR</u>
Use of Force	0.042
Age at First Conviction for Sex/Sex-Related Offense	0.039
Other Characteristics of Sex/Sex-Related Convictions	0.024
Presence of Multiple Paraphilias/Sexually Deviant Interests	0.002
 <u>Non-Predictors</u>	 <u>MCR</u>
Gender of Victims in All Sex Offense Convictions	-0.018

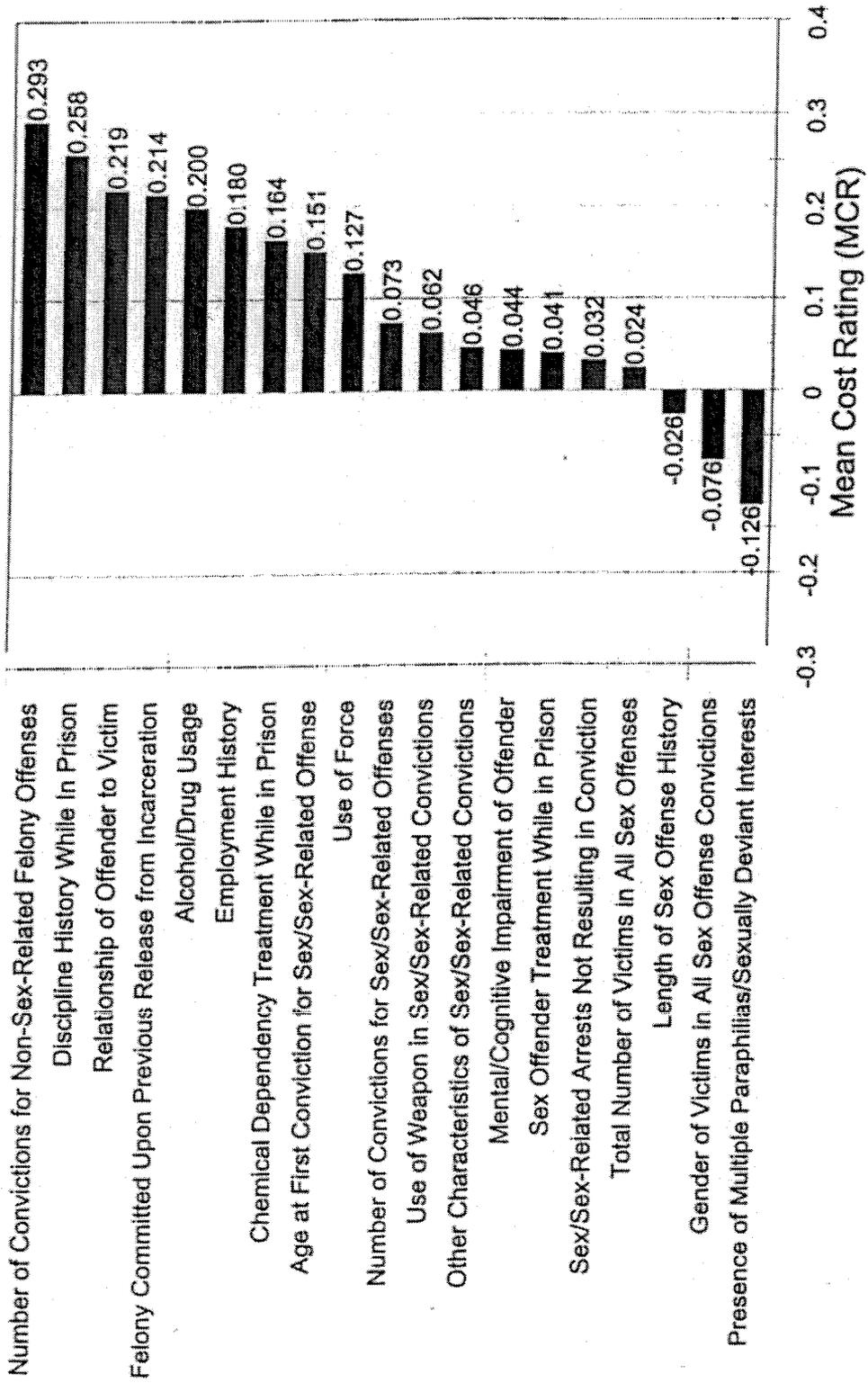
From the results above, it may be observed that some risk factors serve as efficient predictors of both types of recidivism, while others predict neither, and some predict one but not the other. For example, three factors are Very Good predictors of both general and sex offense recidivism, namely "Number of Convictions for Non-Sex-Related Felony Offenses," "Relationship of Offender to Victim," and "Felony Committed Upon Previous Release from Incarceration." Also, "Discipline History While in Prison," "Alcohol/Drug Usage," "Employment History," and "Chemical Dependency Treatment While in Prison" are all at least Good Predictors of both types of recidivism.

In contrast, three factors are Poor or Non-Predictors of both types of recidivism, including "Gender of Victims in All Sex Offense Convictions," "Presence of Multiple Paraphilias/Sexually Deviant Interests," and "Other Characteristics of Sex/Sex-Related Convictions." The validation results suggest it would be possible to eliminate these three factors from the Risk Assessment without doing serious damage to the instrument.

"Use of Force" and "Age at First Conviction for Sex/Sex-Related Offense" are Good Predictors of general recidivism but Poor Predictors of sex offense recidivism. By the opposite token, "Number of Convictions for Sex/Sex-Related Offenses," "Use of Weapon in Sex/Sex-Related Convictions," and "Total Number of Victims in All Sex Offenses" are Very Good Predictors of sex offense recidivism but only Marginal or Poor Predictors of general recidivism. Likewise, "Sex/Sex-Related Arrests Not Resulting in Conviction," "Length of Sex Offense History," "Sex Offender Treatment While in Prison," and "Mental/Cognitive Impairment of Offender" are Good Predictors of sex offense recidivism but also Poor or Non-Predictors of general recidivism.

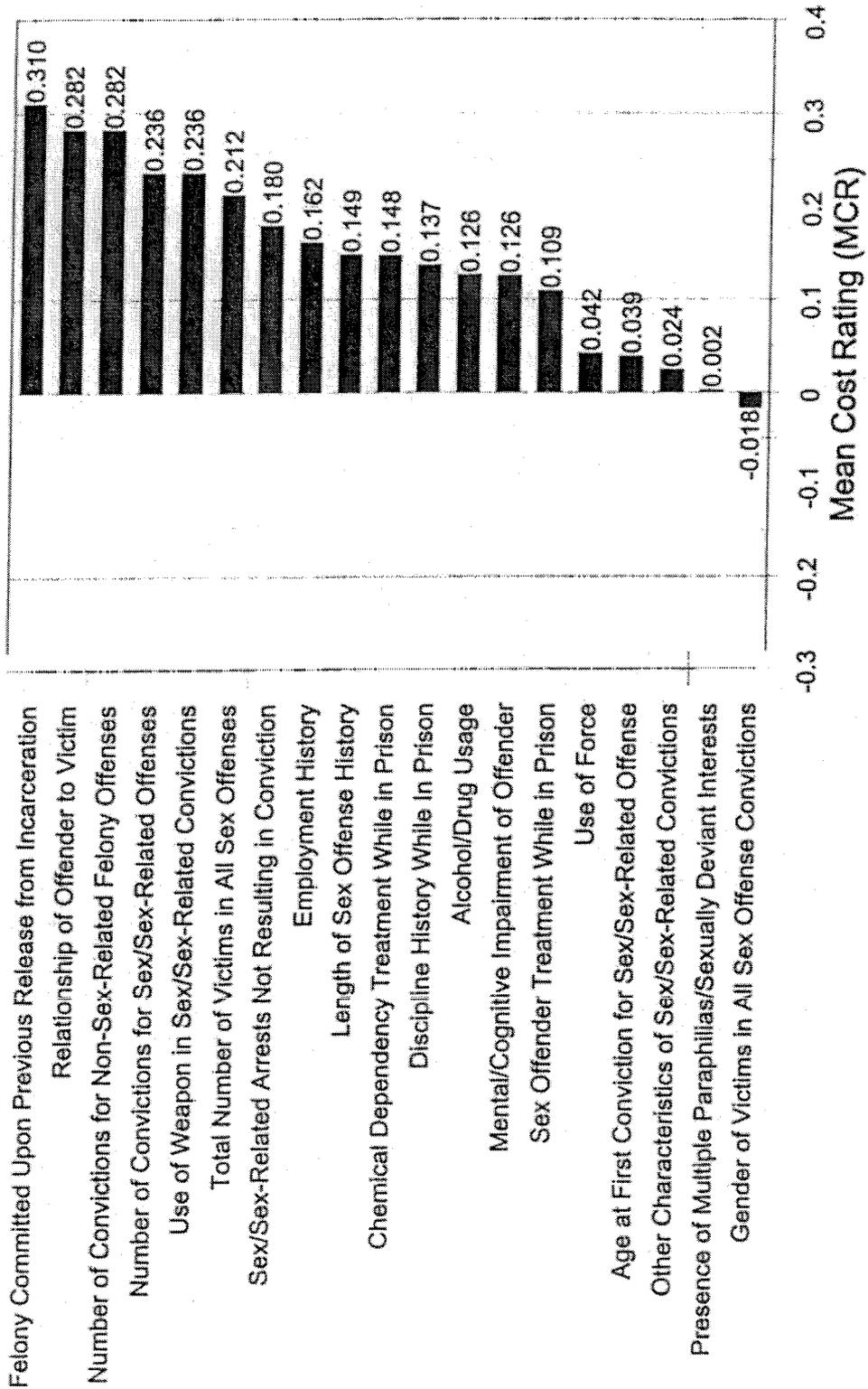
PREDICTIVE VALIDITY OF RISK FACTORS

General Recidivism Prediction



PREDICTIVE VALIDITY OF RISK FACTORS

Sex Offense Recidivism Prediction



INSTRUMENT RECALIBRATION

Given that one of the purposes of the present validation study is to consider ways and means of improving the current version of the Risk Assessment, it is certainly appropriate to look at a possible recalibration of the instrument. At present, each category of each of the 19 risk factors is assigned a weight reflecting a perception of the relative strength of that category as an indicator of sexual recidivism. For example, under the factor "Number of Convictions for Sex/Sex-Related Offenses," the category "Three or More" is assigned a weight or risk score of 6. This relatively high weight reflects the belief that sex offenders with three or more sex offense convictions pose a high risk for recidivism.

When the Risk Assessment was developed by way of modification of an instrument used in Minnesota, weights were assigned with some degree of subjectivity. Now, with the results of the follow-up study, there is an opportunity to reassign weights in a more objective fashion. This can be accomplished with simple rank orderings of risk categories according to the magnitude of recidivism rates. Revised weights are assigned separately for the two types of recidivism, with sex offense recidivism addressed first.

RISK CATEGORY	ORIGINAL WEIGHT	REVISED WEIGHT	GENERAL RECIDIVISM	SEX OFFENSE RECIDIVISM
Three or More Convictions for Sex/Sex-Related Offenses	6	10	35.1%	21.6%
Four or More Victims in All Sex Offenses	6	9	28.9%	18.4%
Three or More Convictions for Non-Sex-Related Felony Offenses	6	8	49.0%	15.7%
Felony Committed 12 Mos. or Less Following Release	4, 6, 8	7	50.0%	13.0%
IQ Under 70 or Diagnosed Mental Illness or Mood Disorder	4, 8	6	33.3%	10.7%
One or More Sex/Sex-Related Arrests Not Resulting in Conviction	4	5	28.8%	9.0%
Relationship of Offender to Victim is "Stranger"	4	5	34.1%	8.8%
Length of Sex Offense History is Five Years or More	4	5	24.1%	8.8%
Unstable Employment or in Need of Additional Employment	3	4	35.3%	7.5%
Not Involved in Chemical Dependency Treatment or Incomplete	4	4	33.2%	7.0%
Major Disciplinary Reports While Incarcerated	6	4	37.6%	6.9%
Displayed Weapon, Implied Threat, or Used to Inflict Injury	4, 6	4	37.0%	6.8%
One or Two Convictions for Non-Sex-Related Felony Offenses	2	4	38.3%	6.6%
Failed to Complete Sex Offender Treatment or Denied Admittance	5	3	27.7%	6.3%
Occasional or Frequent Alcohol or Drug Abuse	3	3	31.9%	6.3%
One or More Aggravating Factors in All Sex Offenses	4, 8	3	31.6%	6.1%
Felony Committed More Than 12 Mos. Following Release	2	3	24.5%	6.1%
Two Convictions for Sex/Sex-Related Offenses	4	3	32.9%	6.1%
Age 23 or Younger at 1st Conviction for Sex/Sex-Related Offense	3	3	36.3%	6.0%

RISK CATEGORY	ORIGINAL WEIGHT	REVISED WEIGHT	GENERAL RECIDIVISM	SEX OFFENSE RECIDIVISM
Three or More Paraphilias/Sexually Deviant Interests	4	3	14.5%	6.0%
Use of Force in Sex/Sex-Related Offenses	6	3	31.0%	5.8%
Two or Three Victims in All Sex Offenses	4	3	27.5%	5.6%
Female Victims Only in All Sex Offenses	0	0	28.2%	5.5%
Two or Fewer Paraphilias/Sexually Deviant Interests or N/A	0, 2	0	28.2%	5.3%
No Aggravating Factors in All Sex Offenses	0	0	25.4%	5.2%
No Use of Weapon in Sex/Sex-Related Convictions	0	0	25.0%	5.2%
Age 24 or Older at 1 st Conviction for Sex/Sex-Related Offense	0	0	22.2%	5.1%
Male Victims Only in All Sex Offenses	2	0	16.7%	5.0%
No Use of Force in All Sex Offenses	0	0	21.1%	4.9%
Relationship of Offender to Victim is "Acquaintance"	2	0	28.6%	4.8%
Both Male and Female Victims in All Sex Offenses	4	0	18.6%	4.7%
No Known Mental Health Abnormality	0	0	25.4%	4.6%
Length of Sex Offense History is Less Than Five Years	0	0	27.0%	4.4%
Completed Sex Offender Treatment or Treatment Not Available	2	0	25.1%	4.2%
No Sex/Sex-Related Arrests Not Resulting in Conviction	0	0	25.5%	4.1%
No Major Disciplinary Reports While Incarcerated	0	0	17.4%	4.1%
One Victim in All Sex Offenses	1	0	25.7%	4.1%
One Conviction for Sex/Sex-Related Offenses	1	0	24.6%	4.0%
Stable Employment	0	0	20.6%	4.0%
No Dependency or Completed Chemical Dependency Treatment	0	0	20.4%	4.0%
No Sex Offender Treatment Required	0	0	21.4%	3.6%
No Convictions for Non-Sex-Related Felony Offenses	0	0	17.6%	3.4%
No Interference With Functioning from Alcohol/Drug Usage	0	0	13.5%	3.2%
Current Conviction is First Incarceration	0	0	21.2%	3.1%
Relationship of Offender to Victim is "Family"	0	0	12.7%	1.9%

Revised weights are assigned in proportion to the magnitude of sex offense recidivism. Of course, this places emphasis on those categories with abnormally high rates. Generally, in such cases, the revised weight is higher than the original weight assigned to the category, e.g., "Three of More Convictions for Sex/Sex-Related Offenses" is assigned 10 as opposed to the original 6. It may be observed that in some cases, a weight of 0 is assigned where a positive weight was assigned previously. The most extreme example of this is the category "Both Male and Female Victims in All Sex Offenses," where the original weight of 4 was reduced to 0. In this case, actual knowledge contradicted the presumption that sex offenders with victims of both genders were more likely to repeat than were those with single sex victims.

RISK CATEGORY	ORIGINAL WEIGHT	REVISED WEIGHT	SEX OFFENSE RECIDIVISM	GENERAL RECIDIVISM
Felony Committed 12 Mos. or Less Following Release	4, 6, 8	10	13.0%	50.0%
Three or More Convictions for Non-Sex-Related Felony Offenses	6	10	15.7%	49.0%
One or Two Convictions for Non-Sex-Related Felony Offenses	2	8	6.6%	38.3%
Major Disciplinary Reports While Incarcerated	6	8	6.9%	37.6%
Displayed Weapon, Implied Threat, or Used to Inflict Injury	4, 6	8	6.8%	37.0%
Age 23 or Younger at 1st Conviction for Sex/Sex-Related Offense	3	8	6.0%	36.3%
Unstable Employment or in Need of Additional Employment	3	8	7.5%	35.3%
Three or More Convictions for Sex/Sex-Related Offenses	6	8	21.6%	35.1%
Relationship of Offender to Victim is "Stranger"	4	7	8.8%	34.1%
IQ Under 70 or Diagnosed Mental Illness or Mood Disorder	4, 8	7	10.7%	33.3%
Not Involved in Chemical Dependency Treatment or Incomplete	4	7	7.0%	33.2%
Two Convictions for Sex/Sex-Related Offenses	4	7	6.1%	32.9%
Occasional or Frequent Alcohol or Drug Abuse	3	7	6.3%	31.9%
One or More Aggravating Factors in All Sex Offenses	4, 8	7	6.1%	31.6%
Use of Force in Sex/Sex-Related Offenses	6	7	5.8%	31.0%
Four or More Victims in All Sex Offenses	6	6	18.4%	28.9%
One or More Sex/Sex-Related Arrests Not Resulting in Conviction	4	6	9.0%	28.8%
Relationship of Offender to Victim is "Acquaintance"	2	6	4.8%	28.6%
Two or Fewer Paraphilias/Sexually Deviant Interests or N/A	0, 2	0	5.3%	28.2%
Female Victims Only in All Sex Offenses	0	0	5.5%	28.2%
Failed to Complete Sex Offender Treatment or Denied Admittance	5	0	6.3%	27.7%
Two or Three Victims in All Sex Offenses	4	0	5.6%	27.5%
Length of Sex Offense History is Less Than Five Years	0	0	4.4%	27.0%
One Victim in All Sex Offenses	1	0	4.1%	25.7%
No Sex/Sex-Related Arrests Not Resulting in Conviction	0	0	4.1%	25.5%
No Known Mental Health Abnormality	0	0	4.6%	25.4%
No Aggravating Factors in All Sex Offenses	0	0	5.2%	25.4%
Completed Sex Offender Treatment or Treatment Not Available	2	0	4.2%	25.1%
No Use of Weapon in Sex/Sex-Related Convictions	0	0	5.2%	25.0%
One Conviction for Sex/Sex-Related Offenses	1	0	4.0%	24.6%
Felony Committed More Than 12 Mos. Following Release	2	0	6.1%	24.5%
Length of Sex Offense History is Five Years or More	4	0	8.8%	24.1%
Age 24 or Older at 1 st Conviction for Sex/Sex-Related Offense	0	0	5.1%	22.2%
No Sex Offender Treatment Required	0	0	3.6%	21.4%

RISK CATEGORY	ORIGINAL WEIGHT	REVISED WEIGHT	GENERAL RECIDIVISM	SEX OFFENSE RECIDIVISM
Current Conviction is First Incarceration	0	0	3.1%	21.2%
No Use of Force in All Sex Offenses	0	0	4.9%	21.1%
Stable Employment	0	0	4.0%	20.6%
No Dependency or Completed Chemical Dependency Treatment	0	0	4.0%	20.4%
Both Male and Female Victims in All Sex Offenses	4	0	4.7%	18.6%
No Convictions for Non-Sex-Related Felony Offenses	0	0	3.4%	17.6%
No Major Disciplinary Reports While Incarcerated	0	0	4.1%	17.4%
Male Victims Only in All Sex Offenses	2	0	5.0%	16.7%
Three or More Paraphilias/Sexually Deviant Interests	4	0	6.0%	14.5%
No Interference With Functioning from Alcohol/Drug Usage	0	0	3.2%	13.5%
Relationship of Offender to Victim is "Family"	0	0	1.9%	12.7%

Here weights are assigned based on the magnitude of the general recidivism rate. As in the case of sex offense recidivism, only categories on the positive side of risk, e.g., negative characteristics of the offender, are assigned positive weights. However, not all such categories are assigned positive weights. For example, the category "Two or Three Victims in All Sex Offenses" is a positive category or negative characteristic, but is nonetheless assigned a weight of "0." It may also be noted that many of the categories serve as predictors of both types of recidivism, the category "Three or More Convictions for Non-Sex-Related Felony Offenses" being a prime example. However, the weights assigned are obviously different in recognition of different types of outcome.

In each case, the assigned weights form the basis for a new, and hopefully improved, risk prediction instrument. The two new risk assessments, which will be referred to as "Sex Offense Risk" and "General Recidivism Risk" are obtained by addition of all relevant weights for each offender in the study. Their respective risk levels are defined based on the magnitude of the total risk score (sum of weights) as follows:

<u>Sex Offense Risk</u>	<u>Range</u>
Very High Risk	48+
High Risk	31-47
Intermediate Risk	21-30
Lower Risk	0-20

<u>General Recidivism Risk</u>	<u>Range</u>
Ultra High Risk	69+
Very High Risk	53-68
High Risk	45-52
Intermediate Risk	20-44
Lower Risk	0-19

The following tables indicate the numbers of sex offenders falling in each risk level of the two scales, as well as the numbers and percentages of sex offenders classified in each risk level who were found to be recidivists.

SEX OFFENSE RISK	TOTAL CASES	REARREST FOR SEX OFFENSE	% REARREST FOR SEX OFFENSE
Very High Risk	31	10	32.3%
High Risk	131	12	9.2%
Intermediate Risk	179	7	3.9%
Lower Risk	273	4	1.5%
ALL CASES	614	33	5.4%

GENERAL RECIDIVISM RISK	TOTAL CASES	REARREST FOR VIOLENT/SEX/ FELONY OFFENSE	% REARREST FOR VIOLENT/SEX/ FELONY OFFENSE
Ultra High Risk	32	21	65.6%
Very High Risk	90	44	48.9%
High Risk	83	29	34.9%
Intermediate Risk	300	63	21.0%
Lower Risk	109	5	4.6%
ALL CASES	614	162	26.4%

The charts on pages 19-20 illustrate the above results. In addition, they indicate a correlation coefficient (MCR) of 0.537 for the prediction of sex offense recidivism by sex offense risk and 0.440 for the prediction of general recidivism by general recidivism risk. These values of MCR are much higher than were the comparable coefficients for the current Risk Assessment (0.277 and 0.276 respectively) and suggest the utility of moving to the new assessment scales.

To a certain extent, the higher correlation coefficients for the new scales are to be expected because they represent the use of the study data as a "construction sample" as opposed to a "validation sample." In other words, we had the benefit of the follow-up results in formulating the new scales. On the other hand, the new scales represent actual as opposed to presumed knowledge of risk factors as gained from the study, and thus should provide better approaches to sex offender risk assessment in the longer term.

Should the decision be made at some point in the future to base sex offender notification in Arizona on the proposed scales, it would be necessary to collapse the two scales into a single 3-level scale, i.e., Level I, Level II, and Level III. After careful review, the following is recommended for this purpose, should the need arise.

LEVEL I (Lower Risk)

Lower Sex Offense Risk and Lower General Recidivism Risk

LEVEL II (Intermediate Risk)

Intermediate Sex Offense Risk or Intermediate General Recidivism Risk
(Excluding Offenders in Level I and Level III)

LEVEL III (High Risk)

High or Very High Sex Offense Risk or Very High or Ultra High General Recidivism Risk

This set of assignments to the three risk/notification levels would result in the following distribution of released ADC sex offenders among the levels:

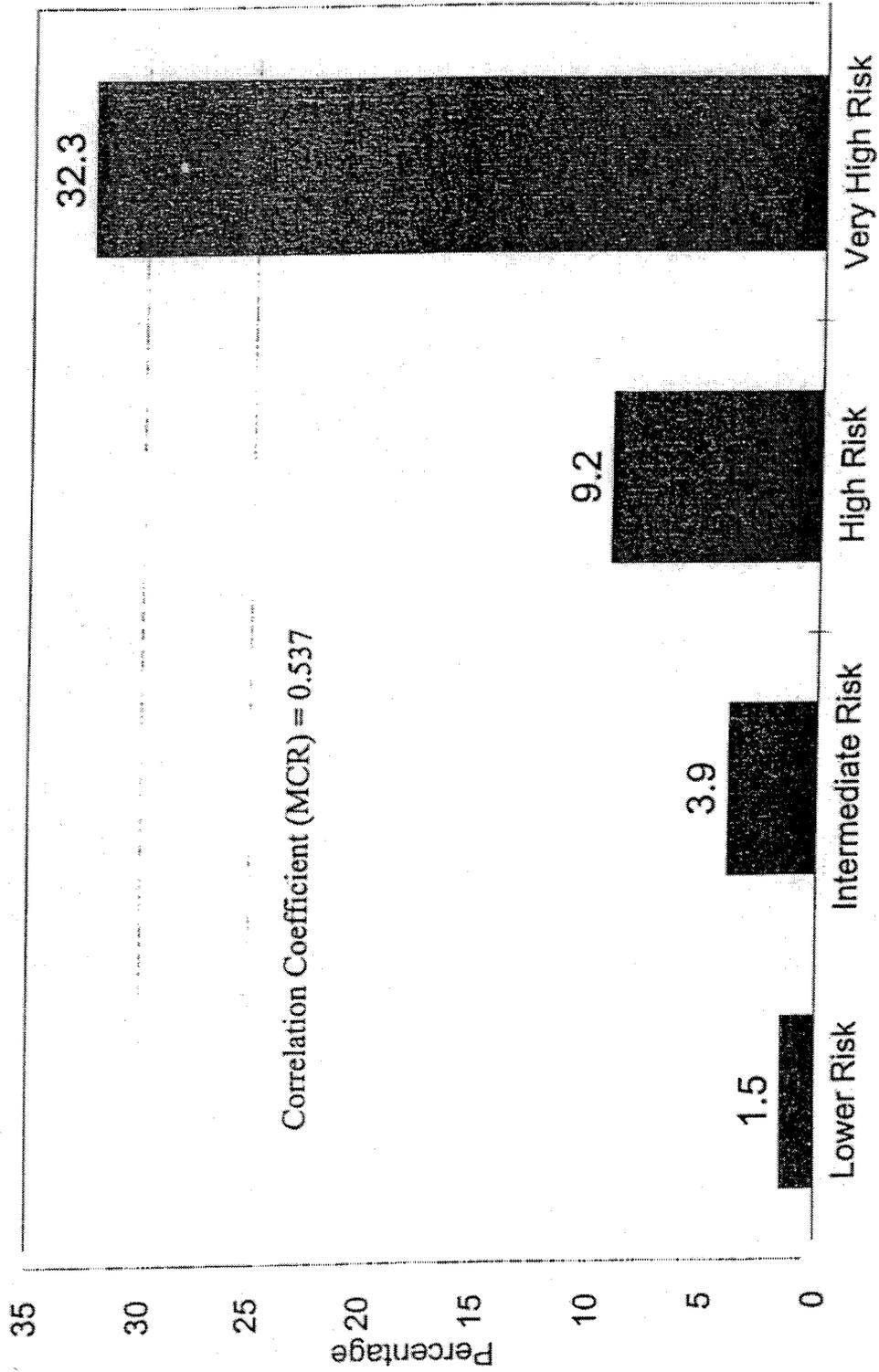
- ✓ 106 cases (17.3%) would be classified as **Level I** (Lower Risk)
- ✓ 334 cases (54.4%) would be classified as **Level II** (Intermediate Risk)
- ✓ 174 cases (28.3%) would be classified as **Level III** (High Risk)

This assignment strategy would increase the percentage of sex offenders classified as Level I from 9.3% to 17.3% and the percentage classified as Level III from 19.4% to 28.3%. In compensation, the percentage classified as Level II would drop from 71.3% to 54.4%.

The charts on pages 21-22 illustrate the validity of the recommended risk/notification levels for the prediction of sex offense and general recidivism. As indicated, the correlation coefficients (MCR) come to 0.446 for sex offense recidivism and 0.368 for general recidivism. As was the case with Sex Offense Risk and General Recidivism Risk, the values of these coefficients are substantially higher than the comparable coefficients for the current system of levels (0.277 and 0.276).

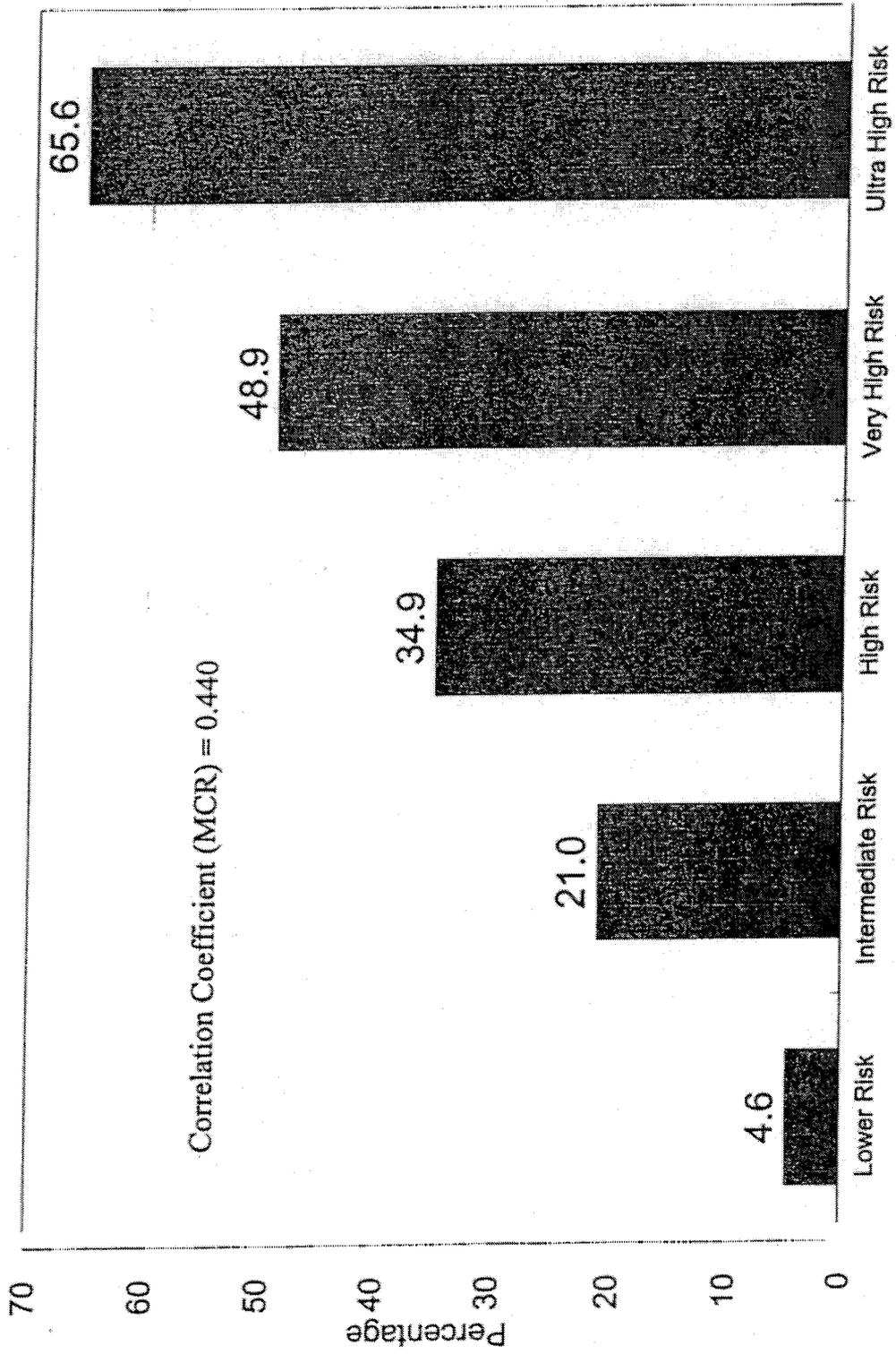
REARREST (SEX OFFENSE)

By Sex Offense Risk



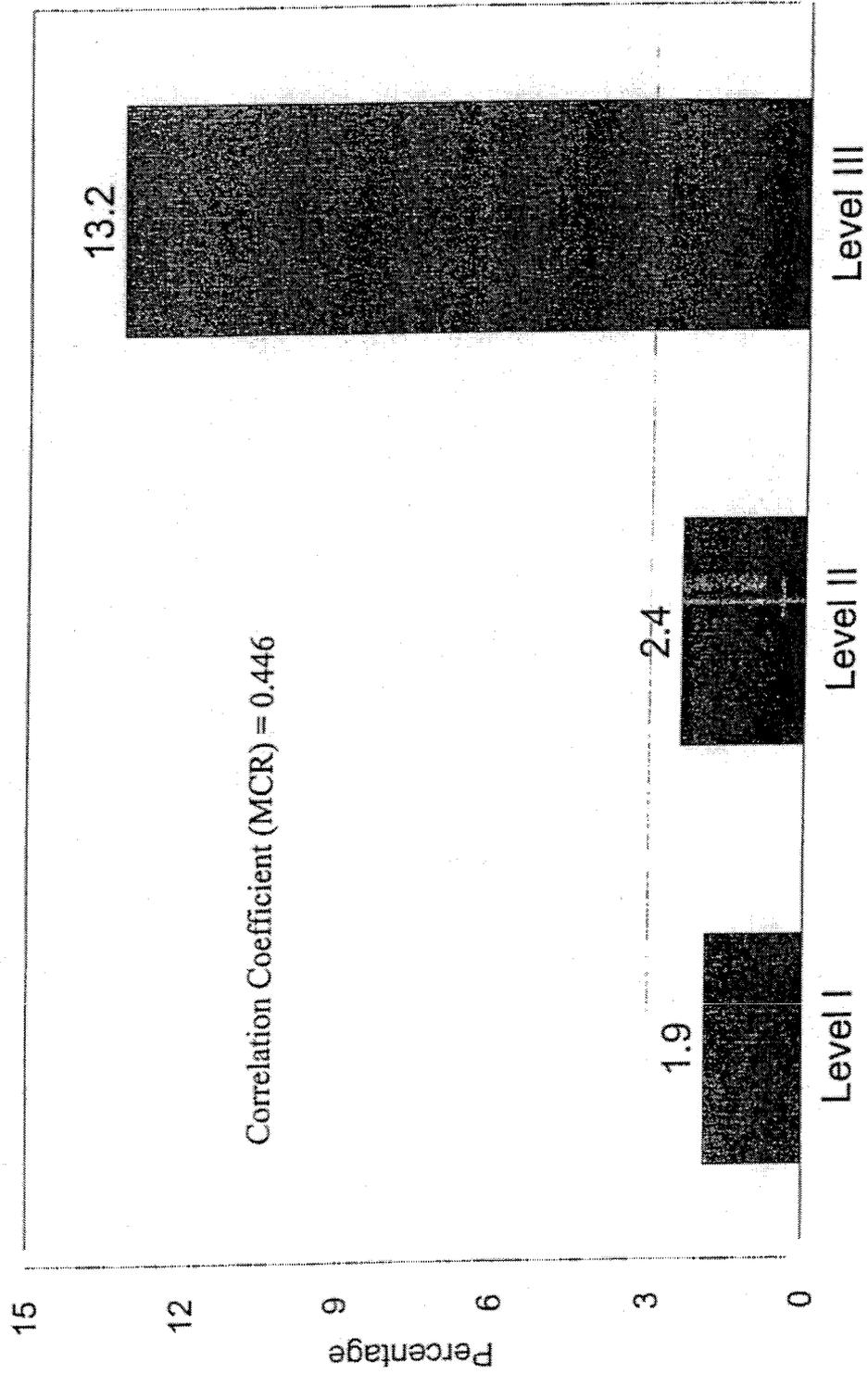
REARREST (VIOLENT/SEX/FELONY OFFENSE)

By General Recidivism Risk



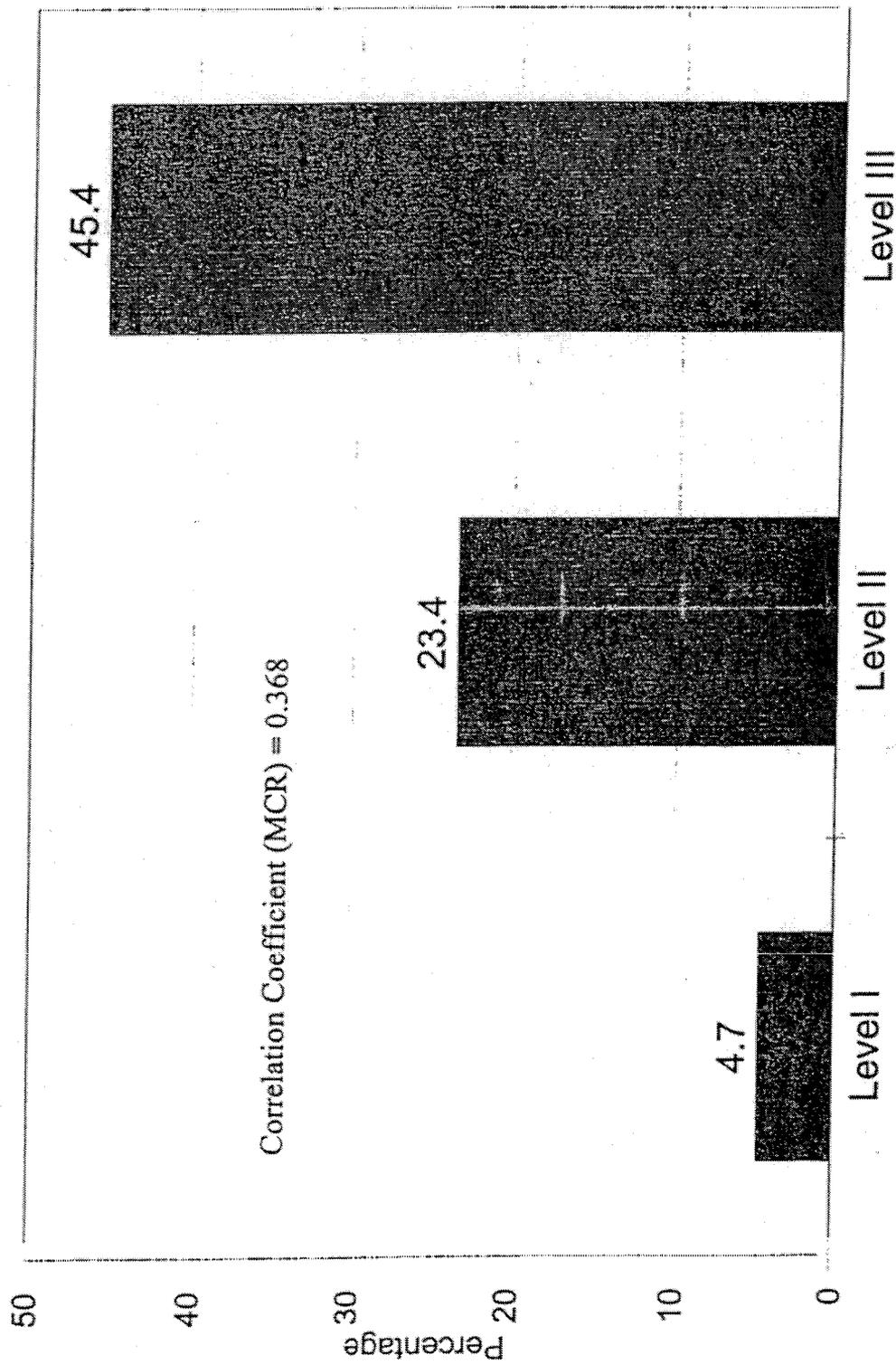
REARREST (SEX OFFENSE)

By Recommended Risk/Notification Level



REARREST (VIOLENT/SEX/FELONY OFFENSE)

By Recommended Risk/Notification Level



SEX OFFENDER RECIDIVISM

In previous sections of the report, follow-up results were presented as a function of the risk/notification level of the offender and of the various risk factors which contribute to the risk assessment. It was necessary to present the results in this fashion in order to determine the validity of the instrument and to consider possible improvements. In this regard, it was not necessary to consider results for the notification group as a whole. In this section, we compare follow-up results between the ADC notification group, consisting of 614 released sex offenders, and the registration-only group, consisting of 212 released offenders with prior but no current sex offenses on their records. While this information is not essential to the purpose of the report, it does serve to further document the results of the follow-up study.

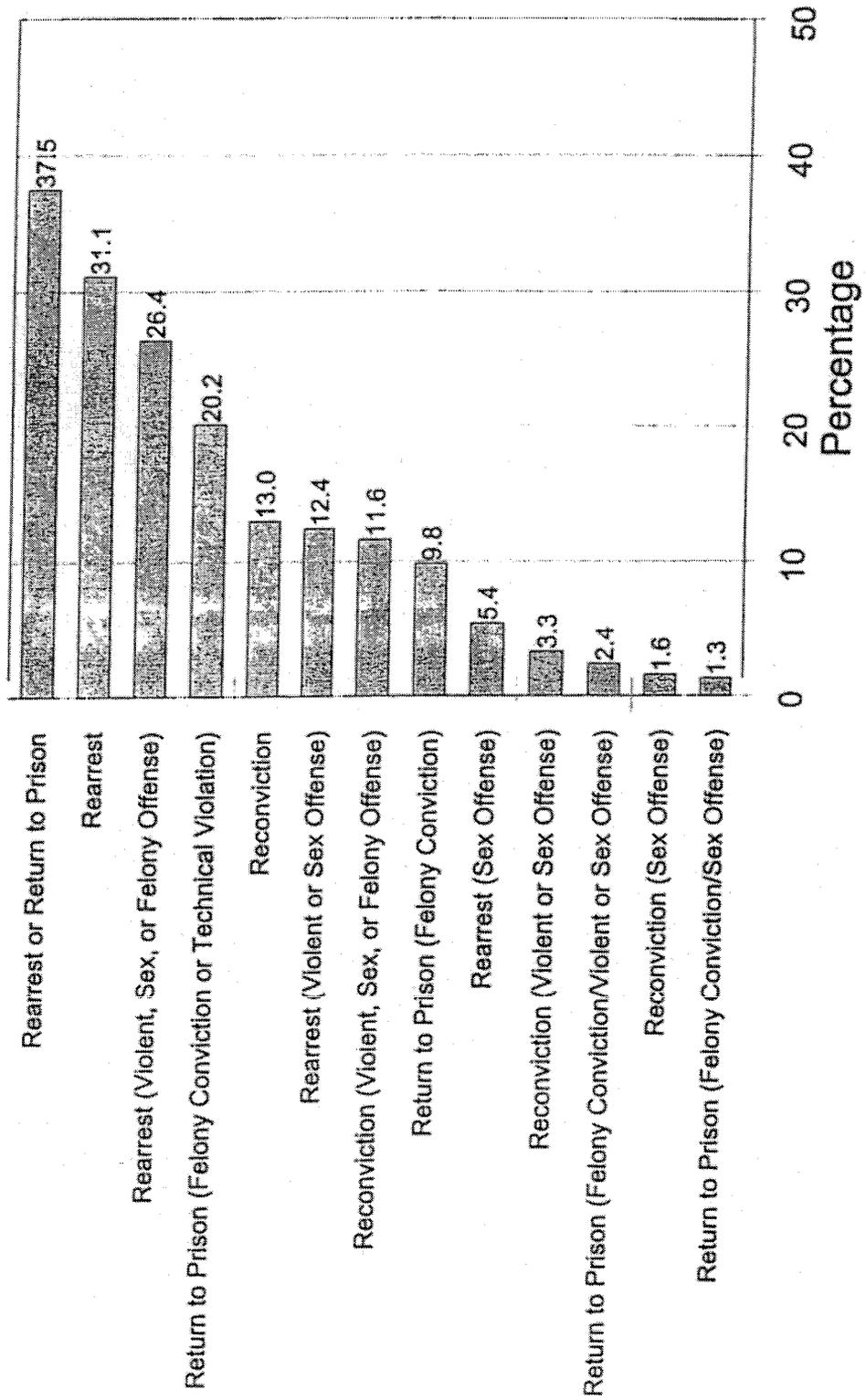
To this end, the two charts on pages 24-25 present follow-up results for the two groups in relation to 13 separate measures of recidivism. This includes the nine (9) measures examined in conjunction with the risk assessment validation, plus four (4) additional measures which provide a more comprehensive view of recidivism for the notification and registration-only groups. These include "Reconviction (Violent or Sex Offense)," "Return to Prison (Violent or Sex Offense)," "Reconviction (Sex Offense)," and "Return to Prison (Sex Offense)."

As can be noted from a comparison of the two charts, the registration-only group recorded much higher recidivism rates in general than did the notification group. This is due primarily to the fact that the former group includes a higher concentration of repeat offenders. All offenders in the registration-only group had prior records of sex offenses and thereby could be considered repeat offenders at the time of their current convictions. Many of these offenders had current and even prior convictions for other types of crimes (violent, property, drug, and public order offenses) and would be at relatively high risk for repeating these offenses. In contrast, many offenders in the notification group were one-time-only sex offenders who may have posed a greater risk of sexual re-offending but a much lower risk of re-offending in some other manner. In this regard, the exceptions to higher recidivism rates for the registration-only group fall in the category of new sex offending. The sex offense rearrest rate, for example, was 5.4% for the notification group and 4.2% for the registration-only group.

It should be noted that the follow-up period for this study is still relatively short, i.e., approximately 34 months, and accordingly the recidivism rates given in the charts are smaller than they would be in a longer-term study. In the near future, the ADC Research Unit will be finalizing the results of a follow-up study of 3,000+ sex offenders released from the department over a 15-year period beginning in 1983. This study will include FBI follow-up data and will provide recidivism rates applicable to follow-up periods as long as 14 years. This study should provide an even more accurate picture of recidivism for released sex offenders in Arizona than does the current validation study.

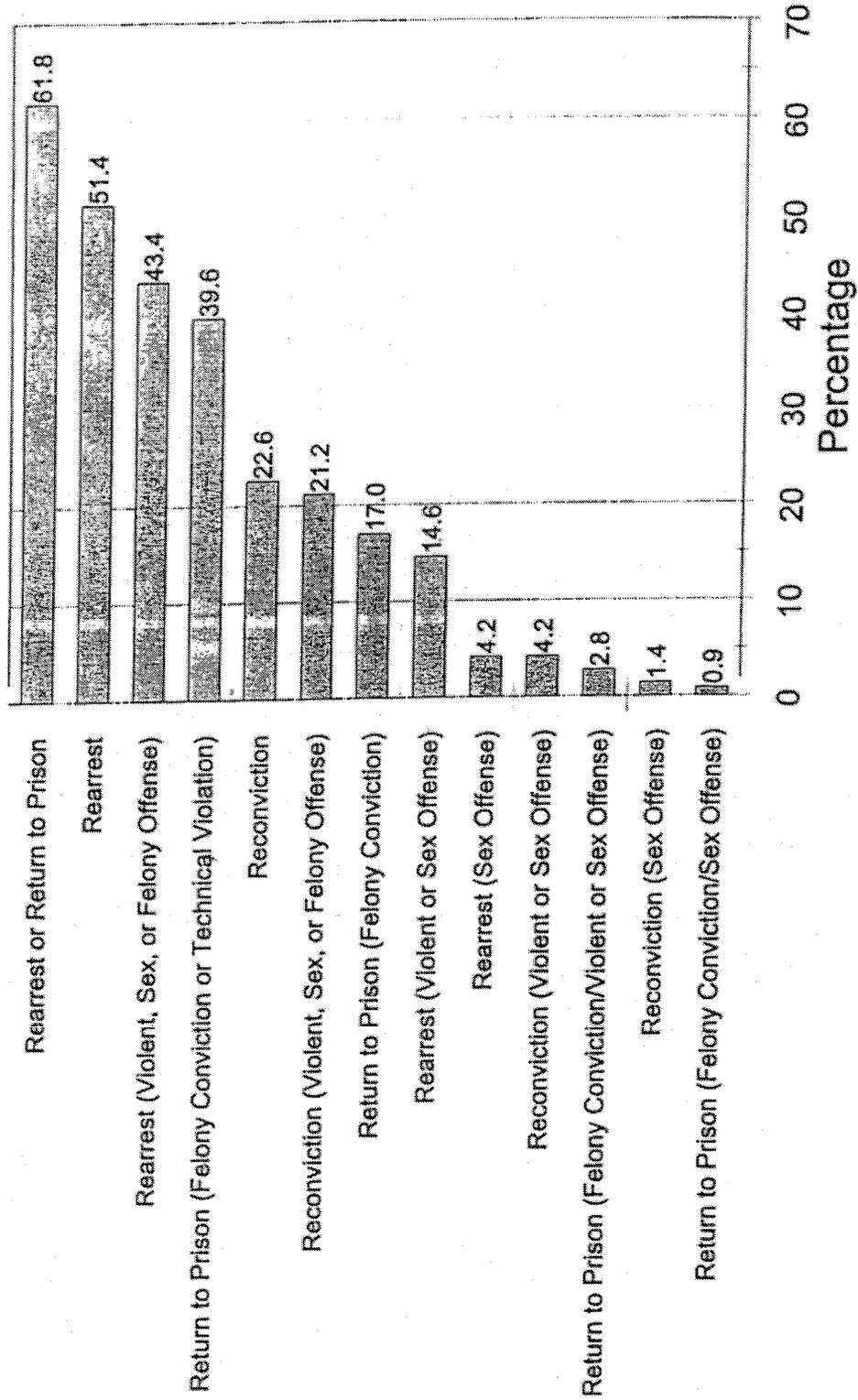
RECIDIVISM FOLLOW-UP RESULTS

ADC Notification Cases (614)



RECIDIVISM FOLLOW-UP RESULTS

ADC Registration-Only Cases (212)



**ARIZONA SEX OFFENDER
ASSESSMENT SCREENING PROFILE
FOR REGULATORY COMMUNITY NOTIFICATION**

ARIZONA SEX OFFENDER ASSESSMENT SCREENING PROFILE
FOR REGULATORY COMMUNITY NOTIFICATION

FINAL 6-1-96
Revised 9-10-96

Reminder: This instrument is to be used by law enforcement as a guideline for regulatory community notification purposes.

COMPLETED BY: _____ Offender Name: _____ NUMBER: _____
(Agency/Initials) Date: _____

1. Number of Convictions for Sex/Sex Related Offenses
(Including current offenses)

- a. None 0
- b. One 1
- c. Two 4
- d. Three or More 6

(Actual #: _____) Score: _____

2. Number of Convictions for Felony Offenses
(Excluding sex/sex related offenses)

- a. None 0
- b. One or Two 2
- c. Three or More 6

(Actual #: _____) Score: _____

3. Other Sex/Sex Related Charges Not Resulting in Conviction

- a. None 0
- b. One or More 4

(Actual #: _____) Score: _____

4. Age at First Conviction for Sex/Sex Related Offense

- a. 24 or Older 0
- b. 23 or Younger 3

(Actual #: _____) Score: _____

5. Use of Weapon in Sex/Sex Related Conviction(s)
(Most Severe)

- a. None Present 0
- b. Displayed During Offense/Implied Threat 4
- c. Used to Inflict Injury 6

Score: _____

6. Total Number of Victims in All Sex Conviction(s)

- a. None 0
- b. One 1
- c. Two or Three 4
- d. Four or More 6

(Actual #: _____) Score: _____

7. Gender of Victims

- a. Females 0
- b. Males 2
- c. Crossover 4

Score: _____

8. Relationship of Offender to Victim

- a. Family 0
- b. Acquaintance 2
- c. Stranger 4

Score: _____

9. Use of Force (Most Severe)

- a. None 0
- b. Manipulative 0
- c. Coercive/Position of Authority 0
- d. Threats of Violence 6
- e. Physical Force or Violence 6
- f. Substantial/Great Bodily Harm 6

Score: _____

10. Other Characteristics of Sex/Sex Related Conviction(s)

(May score more than one)

- a. None 0
- b. Victim Tied Up 4
- c. Actual or Estimated Duration of Crime is more than 3 hours 4
- d. Victim Transported Forcefully to Another Location 4
- e. Victim Tortured/Mutilated 4

Score: _____

11. Length of Sexual Offense History

- a. 0 to Five Years 0
- b. Five Years or More 4

Score: _____

12. Alcohol/Drug Usage

- a. No Interference With Functioning 0
- b. Occasional or Frequent Abuse 3

Score: _____

NOTIFICATION GUIDELINE

Page 2

6-1-96
Revised 9-10-96

13. Mental/Cognitive Impairment of Offender

(May have more than 1)

- a. No Known Mental Health Abnormality 0
- b. IQ under 70 4
- c. Diagnosed Mental Illness or mood disorder . . 4

Score: ____

14. Employment History

- a. Stable Employment 0
- b. Unstable or in Need of Additional Employment 3

Score: ____

15. Presence of Multiple Paraphilias/Sexually Deviant Interests (Check all that apply)

- | | |
|--|---|
| <input type="checkbox"/> Fetishism | <input type="checkbox"/> Exhibitionism |
| <input type="checkbox"/> Pedophilia | <input type="checkbox"/> Frotteurism/Frottage |
| <input type="checkbox"/> Voyeurism | <input type="checkbox"/> Sexual Sadism |
| <input type="checkbox"/> Obscene Phone Calling | <input type="checkbox"/> Sexual Masochism |
| <input type="checkbox"/> Bestiality | <input type="checkbox"/> Rape |
| | <input type="checkbox"/> Other(s) |

- a. None or One 0
- b. Two or Source not Available 2
- c. Three or More 4

(Actual #: ____) Score: ____

16. Felony Committed Upon Previous Release from Institution

- a. Not Applicable (First Incarceration) 0
- b. More than 12 Months Following Release . . . 2
- c. 7 to 12 Months Following Release 4
- d. 4 to 6 Months Following Release 6
- e. Less than 3 Months Following Release 8

Score: ____

17. Discipline History While In Prison
(Most Serious)

- a. No Major Reports 0
- b. Major Reports with or without violence 6

Score: ____

**

TOTAL OVERALL ASSESSMENT SCORE: ____

COMMENTS: LEVELS
 0-14 I
 15-39 II
 40-Above III

18. Chemical Dependency Treatment While In Prison

- a. No Dependency or Completed Program 0
- b. Not Involved in Treatment, Involved yet not Completed 4

Score: ____

19. Sex Offender Treatment While In Prison

- a. No Treatment Required 0
- b. Completed Treatment or Required Treatment but Treatment not Available 2
- c. Treatment Required and Failed to Complete or Failed to take part or was Denied Admittance 5

Score: ____

NOT PART OF THE SCREENING CRITERIA

Mitigating Circumstances Which May Effect the Extent of Regulatory Community Notification Made:

1. Quality of Release Environment to Include:

- a. Present Employment
- b. Involvement in Treatment Programs
- c. Residential Environment
- d. Family Support System

**

FOR LAW ENFORCEMENT USE ONLY

Override may be considered to level 3 status if any of these factors are present:

- 1. Deadly weapon or dangerous instrument used during the offense
- 2. Victim tortured or mutilated; great bodily harm
- 3. Victim transported forcefully to another location

**

SUGGESTED NOTIFICATION LEVEL: ____

DNA SAMPLE COLLECT DATE: _____

Sex Offender Notification Survey: Summary of Results

September 2004

Purpose: In September 2004 a survey was distributed to criminal justice agencies responsible for completing the Arizona Sex Offender Assessment Screening Profile for Regulatory Community Notification and conducting community notifications. The purpose of the survey was to assess current practices of community notification. It was also designed to identify areas of concern related to the notification profile assessment tool and the community notification process.

Survey Responses: The survey was distributed to 87 different criminal justice agencies. There were 28 responses to the surveys for a 32% response rate. Descriptive information about the survey respondents is provided below:

- Responses were received from 13 of the 15 counties within Arizona.
- The number of responses per county ranged from 1 to 9
- The majority of responses were from law enforcement agencies (Police Departments, N=19, 67.9%; Sheriff Departments, N=6, 21.4%) There were three responses (10.7%) from probation departments.¹

Experience with the Risk Assessment Tool: The majority of agencies responding have only one or two people who conduct the assessments (N=22, 78.6%). Only four agencies (14.3%) indicated that they have more than two people responsible for conducting the assessment.

The amount of experience with the assessment tool varies. Approximately one-third (N=10) have been using the tool for 2 years or less. Four agencies indicated they have been using the tool since it was created. The length of experience is presented in Table 1.

Table 1: Length of Time Using Risk Assessment Tool

Length of Time	Number of Agencies	% of Agencies
2 years or less	10	35.7
Between 2 and 5 years	5	17.9
More than 5 years	5	17.9
Since the tool was created	4	14.3
Not specified	4	14.3

¹ Because the majority of the survey responses were from law enforcement agencies, all responses will be presented together. There were not enough responses from supervision agencies to allow a comparison of the results between these two groups.

Method of Notification: The most common methods of community notification are door-to-door and through the media. Table 2 describes the methods of notification used by those who responded.

Table 2: Method of Notification Used

Method of Notification	# of Agencies	% of Agencies
Door-to-Door	23	82.1
Media	21	75.0
Mail	10	35.7

Comments were also provided indicating some other methods of notification that have been used. These include:

- Community college newsletters
- Community meetings
- Public postings
- Internet
- Email
- Fax to school districts and other police departments
- School notification in person

Size of Notification Area: The size of the notification area varies. Table 3 presents the responses to the size area used for the notification of Level 3 sex offenders.

Table 3: Size of Notification Area for Level 3 Sex Offenders

Size of Notification Area	# of Agencies	% of Agencies
Up to 2 blocks	4	14.3
3 to 6 blocks	8	28.6
Up to a mile	7	25.0
Natural Geographic Boundaries	6	21.4
Other	1	3.6
Not Applicable	2	7.1

The comments included on the survey suggest that there is some variation in the size of the notification area depending on where the sex offender is located. The comments provide some insight into the factors that affect the size of the notification area. Relevant comments are provided below:

- Due to our diverse geography, a near neighbor can be 2 miles away. We use officer judgement to fulfill this requirement.
- Generally 2 blocks but with some rural areas we may notify 2 to 3 miles
- Wherever we feel it is necessary
- Notify nearest schools and daycare

Another issue identified was changes in legislation. One agency indicated that due to changes in the law, they are thinking about shortening notification coverage to ¼ mile.

Factors impacting the size of the notification area: Other factors were identified that impact the size of the notification area. The most common factor is the risk level (N=20). These are presented in Table 4 below.

Table 4: Factors Impacting Size of Notification Area

Factors Impacting Size of Notification Area	# of Agencies	% of Agencies
Risk Level	20	71.4
Aggravating/Mitigating Factors	13	46.4
Department Policy	4	14.3
Manpower	4	14.3
Cost	2	7.1
Other	4	14.3

Some of the other comments included:

- As required by ARS
- Geography of area where offender resides
- One square mile surrounding offender's address

Assessment Score Used: Survey respondents were asked whose assessment score they used to determine the final level for notification. The majority indicated they used the score of the law enforcement agency (N=16, 57.1%). The score of the supervision agency was used by 6 (21.4%). Three agencies indicated other. In the comments these agencies indicated that all assessment information was reviewed and compared.

Reevaluation of Assessment Scores: Survey respondents were asked if they engaged in reevaluation of the risk assessment score that determines notification level and when they conduct the reevaluation. The most common response was that reevaluation occurs when there is documentation of changes (N=13, 46.4%). Other responses are provided in Table 5 below.

Table 5: Reevaluation of Assessment Score

When Reevaluation Occurs	# of Agencies	% of Agencies
Documentation of Changes	13	46.4
New Conviction	8	28.6
Never	4	14.3
Other	2	7.1
Missing	1	3.6

Some of the comments that were made in this area include:

- If DPS reevaluates, we change the sex offender level.
- If moved from our jurisdiction and moved back.

Discretion in Definition of Assessment Criterion: Almost half of survey respondents (N=12, 42.9%) indicated that they allow discretion in the definition of the assessment criterion. This tends to be allowed when a change occurs and if they are aware of the changes. One example of discretion was provided. The survey respondent indicated "If the offender was recently released from DOC or jail and does not have a job, after they obtain a job and hold a job for one month I will reevaluate that offender and give credit for stable employment."

Training: Survey respondents were asked if anyone responsible for administering the tool was not formally trained. The majority (N=19, 67.9%) indicated that they did not have staff using the tool who had not received formal training. However, eight respondents (28.6%) indicated they had staff using the tool who were not formally trained. Very few comments were provided to indicate why staff were not formally trained. One comment was made that training opportunities are never known.

Differences in Assessment Scores: Survey respondents were asked what they do when there are differences in the assessment scores for the same sex offender. Based on the survey responses, there appears to be a great deal of collaboration between agencies in these situations. The majority (N=18, 64.3%) indicated that they discuss the differences with other agencies. A few respondents indicated they use their score and disregard the other (N=3, 10.7%). Some of the comments describing what agencies do are provided below.

- Discuss the differences and use the score obtained after the discussion
- Check with other agency who did the initial assessment
- Contact the police agency to discuss differences. Usually they're pretty similar
- More research
- We make personal contact with the other agency and discuss what factors are different that would make the score different
- We would research why scores did not match and use ours

Questions: The majority of survey respondents indicated that they contact the DPS Sex Offender Compliance Unit when they have questions (N=21, 75%). There were six (21.4%) agencies who indicated they contact someone within another agency. In addition, four respondents indicated that they have multiple sources they go to when there are questions. Only one respondent indicated that they haven't been able to locate someone to respond to questions.

Matching Items: Survey respondents were asked how often scores match when there are multiple assessment scores. The responses are provided in Table 6.

Table 6: Frequency of Matched Assessment Scores

Frequency of Matched Scores	# of Agencies	% of Agencies
Usually	16	57.1
Sometimes	3	10.7
50/50	3	10.7
Missing	6	21.4

Problems: Survey respondents were asked if there were recurring problems completing the assessment tool. The majority indicated no (N=16, 57.1%). However, there were 10 (35.7%) that indicated there were recurring problems. The majority of the comments provided indicated that the problems relate to difficulty obtaining information. Some of the comments are provided below.

- Getting information on subject ie original crime reports, jail records
- It is difficult to get old reports from the appropriate agency
- Sometimes difficult to obtain supporting documents (police reports, proof of treatment) especially from out-of-state offenders
- The greatest barrier is the lack of information from other jurisdictions (esp if out of state)
- The question regarding sex offenders treatment does not address those actively participating in an approved sex offender treatment program. It only allows for completion of a program or failure to participate or comply.

Areas of concern:

- The tool seems to be open to the way the assessor reads into the question other than what the offender has done.
- Manpower is a big problem (for conducting notifications)
- It (the assessment) has to do with the charges and convictions. Two DR's, one conviction. I don't always have the necessary paperwork from most of the sex offenders I receive to do a complete or accurate assessment.
- Manpower is always going to be an issue. Notification is an additional duty on top of a substantial investigative caseload.
- We don't have the manpower to do it (notification), we are a very small department and have to take time off other duties to do notification.

Recommendations for solving problems associated with the risk assessment tool:

The survey asked respondents for recommendations that would help solve the problems associated with the risk assessment tool. These recommendations are summarized below:

- Keep it simple
- A sex offender should not be rated as a level 2 if only the general recidivism score is up. Sex scores should be the determining factor for notification.
- Have a more structured formal training for all agencies to be on the same page (and also for new people new to the job). Tools that are able to be downloaded for newbies to get started would also be helpful.
- Allow a scoring factor for those actively participating in sex offender treatment. Currently, the question seems to assume that treatment was completed and therefore a zero risk score is indicated, or that they are not addressing the issue and a higher risk score of 3 is indicated. A person who is actively addressing the issue in a therapeutic environment does not fit either risk category. It would seem that they would fall somewhere in between the two risk scores allowed.
- Semi-annual or annual training on the risk assessment tool
- Have the agency that does the risk assessment do the notification
- To have updated training every six months or yearly for agencies who do very few assessments a year. Because of our size, assessments fall into general investigations due to the fact we don't have a sex offender unit
- Simplify the assessment
- I believe that the current assessment tool is confusing and takes more time to complete than the tool from 1996. Recidivism rates have no bearing on my community notification, the final risk to the community does. I suggest we either go back to the 1996 tool or create two different forms, one for DOC that deals with recidivism and the other for law enforcement that deals with risk.

Recommendations for solving problems associated with conducting community notification: The survey also asked respondents for recommendations that would help solve problems associated with conducting community notifications. These recommendations are summarized below:

- Have someone define the surrounding neighborhood.
- Have a committee that one can turn to should a question arise.
- Have set guidelines to refer to should one need assistance.
- Produce software for flyers and pictures
- It would be nice to mail flyers but it won't happen at our agency. Our agency likes us to talk directly with the community
- Better communication between agencies responsible for completing risk assessments and community notification
- Pamphlets explaining notification and citizens concerns and questions. We are sometimes inundated with phone calls from the public after an initial notification.
- Make the public responsible for obtaining the information on sex offenders. There are many places to retrieve the information we give out on the flyers.
- Get rid of the current assessment tool and go back to the 1996 tool.

Notification Profile Comparison Results

Data included in the results are the result of a request for notification profile comparisons from law enforcement agencies in Arizona (See risk assessment worksheet for details). Phoenix PD supplied additional notification profile comparisons so that a larger sample could be reviewed.

100 total notification profile comparisons included.

81 comparisons from Phoenix PD

19 comparisons from other agencies

5 – Chandler; 3 – Gilbert; 5 – Mesa; 3 – Sierra Vista; 3 – Tucson PD

*Pinetop-Lakeside PD, Apache Junction PD, Page PD, Holbrook PD responded but only one risk assessment is completed between Law Enforcement and Supervision agencies so no comparison is possible.

Supervision Agencies represented in the comparisons.

66 – AZ Department of Corrections; 29 – Maricopa County Adult Probation;

3 – Pima County Adult Probation; 1 – U.S. Probation; 1 – Cochise County Adult Probation

Results based on notification profile level.

	Agree	Disagree
Overall Level	77% (77/100)	23% (23/100)
Phoenix Only	78% (63/81)	22% (18/81)
Other LE Agencies	74% (14/19)	26% (5/19)

Results based on risk notification profile score.

	Agree	Disagree
Overall Scores	14% (14/100)	86% (86/100)
Phoenix Only	12% (10/81)	88% (71/81)
Other LE Agencies	21% (4/19)	79% (15/19)

Discrepancy results based on individual notification profile questions.

	Overall	Phoenix	Other Agencies
Question 1	13% (13/100)	15% (12/81)	5% (1/19)
Question 2	16% (16/100)	17% (14/81)	11% (2/19)
Question 3	13% (13/100)	12% (10/81)	16% (3/19)
Question 4	9% (9/100)	9% (7/81)	11% (2/19)
Question 5	5% (5/100)	2% (2/81)	16% (3/19)
Question 6	12% (12/100)	11% (9/81)	16% (3/19)
Question 7	7% (7/100)	6% (5/81)	11% (2/19)
Question 8	19% (19/100)	20% (16/81)	16% (3/19)
Question 9	10% (10/100)	10% (8/81)	11% (2/19)
Question 10	4% (4/100)	5% (4/81)	0% (0/19)
Question 11	16% (16/100)	15% (12/81)	21% (4/19)
Question 12	12% (12/100)	14% (11/81)	5% (1/19)
Question 13	8% (8/100)	7% (6/81)	11% (2/19)
Question 14	20% (20/100)	19% (15/81)	26% (5/19)
Question 15	28% (28/100)	29% (24/81)	21% (4/19)
Question 16	12% (12/100)	11% (9/81)	16% (3/19)
Question 17	8% (8/100)	6% (5/81)	16% (3/19)
Question 18	18% (18/100)	16% (13/81)	26% (5/19)
Question 19	15% (15/100)	11% (9/81)	32% (6/19)

* numbers contained within () indicate the number of positive or negative responses versus the total number of possible responses in the category.

Community Notification Guidelines Committee

11/10/04

Adopted Recommendations

1. The Community Notification Guidelines Committee recommends that the Legislature continue to study and analyze whether developing a process to allow a sex offender to have a review of their requirement for community notification as a sex offender is the appropriate public policy for this state.
2. If any ambiguity remains when the 47th Legislature convenes, the Community Notification Guidelines Committee recommends that legislation be introduced in the 47th Legislature, 1st Regular Session to clarify that Laws 2004, Chapter 308 272 is intended to apply only to offenders released after the effective date of this act and offenders who as a result of moving after the effective date of this act are subject to a new risk assessment by law enforcement.
3. The Community Notification Guidelines Committee recommends that the Legislature research and develop a central entity to coordinate sex offender related efforts. The Committee would request that JLBC look into the cost of implementing a central entity. The Legislature should determine the scope of the central entity in reference to:
 1. Whether the entity is an independent board or part of an existing agency
 2. Whether the entity should conduct risk assessments statewide
 3. What a review process for a sex offender's community notification requirement should consist of, if the Legislature decides that a review process is the appropriate policy.