

# The San Francisco Sentencing Commission

## City & County of San Francisco

(Administrative Code 5.250 through 5.250-3)

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### AGENDA

Wednesday June 10, 2015

10:00 a.m. – 12:00 p.m.

City Hall Rm 305

1 Dr Carlton B Goodlett Place

San Francisco, CA 94102

*Note: Each member of the public will be allotted no more than 3 minutes to speak on each item.*

1. Call to Order; Roll call.
2. Public Comment on Any Item Listed Below (discussion only).
3. Review and Adoption of Meeting Minutes from December 18, 2014 (discussion & possible action).
4. Staff Report on Sentencing Commission Activities (discussion & possible action).
5. Presentation on Young Adult Court by the Honorable Bruce Chan, Judge of the Superior Court of California, County of San Francisco (discussion & possible action).
6. Presentation on the Law Enforcement Assisted Diversion (LEAD) Program Evaluation: Recidivism Report by Dr. Susan Collins, University of Washington (discussion & possible action).
7. Recidivism Workgroup Update and Proposed Next Steps (discussion & possible action).
8. Members' comments, questions, and requests for future agenda items.
9. Public Comment on Any Item Listed Above, as well as Items not Listed on the Agenda.
10. Adjournment.

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Persons who are unable to attend the public meeting may submit to the San Francisco Sentencing Commission, by the time the proceedings begin, written comments regarding the subject of the meeting. These comments will be made a part of the official public record, and brought to the attention of the Sentencing Commission. Written comments should be submitted to: Tara Anderson Policy & Grants Manager, San Francisco District Attorney's Office, 850 Bryant Street, Room 322, San Francisco, CA 941023, or via email: [tara.anderson@sfgov.org](mailto:tara.anderson@sfgov.org)

### MEETING MATERIALS

Copies of agendas, minutes, and explanatory documents are available through the Sentencing Commission website at <http://www.sfdistrictattorney.org> or by calling Tara Anderson at (415) 553-1203 during normal business hours. The material can be FAXed or mailed to you upon request.

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### TRANSLATION

Interpreters for languages other than English are available on request. Sign language interpreters are also available on request. For either accommodation, please contact Tara Anderson at [tara.anderson@sfgov.org](mailto:tara.anderson@sfgov.org) or (415) 553-1203 at least two business days before the meeting.

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Administrator  
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### DRAFT MINUTES

Thursday, February 25, 2015

District Attorney Office Law Library

Room 322

850 Bryant St.

San Francisco, CA 94103

**Members in Attendance:** District Attorney George Gascón; Mayoral Appointee Professor Steven Raphael; Reentry Council Appointee Karen Roye (Director, Department of Child Support Services); Reentry Council Appointee Joanna Hernandez; Commander Moser (San Francisco Police Department); Chief Adult Probation Officer Wendy Still; Craig Murdock (Department of Public Health); Family Violence Council Appointee Jerel McCrary; Public Defender Jeff Adachi; Sheriff Ross Mirkarimi .

#### 1. Call to Order; Roll Call

At 10:02 a.m., District Attorney George Gascón called the meeting to order and welcomed commission members and members of the public to the San Francisco Sentencing Commission meeting.

#### 2. Public Comment on Any Item Listed Below (Discussion Only)

No public comments received.

#### 3. Review and Adoption of Meeting Minutes from December 18, 2014 (Discussion and Possible Action)

District Attorney Gascón asked commission members to review minutes from the previous commission meeting and asked whether anyone had comments or edits.

There were no comments. Karen Roye made a motion to accept the minutes from the December 18, 2014, meeting, seconded by Chief Wendy Still. The motion carried.

#### 4. Staff Report on San Francisco Sentencing Commission Activities (Discussion and Possible Action)

Tara Anderson provided work group updates.

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The Law Enforcement Assisted Diversion (LEAD) work group is continuing to develop a plan for San Francisco to create a “LEAD-like model” for the city. The working group is looking at how Proposition 47 affects LEAD. Next steps will be presented at the June 2015 commission meeting.

The recidivism reduction work group has been in conversation with Ryan King; he has agreed to work with the group as it develops recidivism definitions and methods of data collection and information dissemination. The recidivism reduction work group will provide a progress report at the June 2015 commission meeting.

Tara Anderson stated that the most recent San Francisco Sentencing Commission newsletter from NCCD provides members with up-to-date research and news. These newsletters are publicly accessible through the Sentencing Commission website.

Karen Roye gave an update on the San Francisco Reentry Council. The council met on December 9, 2014, and continues work on the Justice Reinvestment Initiative. James Bell from the Woodburn Institute provided background and information about their proposed review of arrest, pretrial, and probation to get an understanding of racial disproportionality in the system. Bryan Lovins provided a report on pretrial services and allowing people with criminal convictions to get access to services. The next council meeting will be held on March 24, 2015, from 10:00 a.m. to 12:00 p.m. in the Milton Marx room of the California State Building.

Jerel McCrary provided a report from the Family Violence Council. McCrary stated that the council met on February 18, 2015. During the meeting the members spoke about the development of a fact sheet for the San Francisco School Unified District (SFSUD) that will include information regarding family violence. McCrary also stated that the council is working on a new screening system to address possible family violence before it happens, and per a presentation provided by Dr. Lee Kimburg, the screening will also address adverse childhood experiences. The Family Violence Council released their 2012–2013 report on February 17, 2015.

### **5. Presentation on Innovative Policies and Practices for Working with Youth and Young Adults, Vincent Schiraldi, Senior Advisor to the New York City Mayor’s Office of Criminal Justice (Discussion and Possible Action)**

Vincent Schiraldi gave a presentation entitled “Smarter Justice for Young Adults and Probation Clients.” This presentation grew out of a conversation with Wendy Still and George Gascón. At the time, Schiraldi led the New York City Department of Probation, prior to his work with the mayor’s office.

Schiraldi began his presentation by detailing how he began to think about young adults in the justice system. Schiraldi stated that he began to think about the trajectory of young adults in the justice

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system with a friend, Jeff Butts, who is currently the Director of Research and Evaluation at the John Jay College of Criminal Justice in New York City. Schiraldi said when he first began to have these conversations, he was running the juvenile justice system in Washington, DC, where youth could stay in the system until they were 21. In comparison, in California, youth are no longer eligible for the juvenile system past the age of 18.

Schiraldi then worked as the probation commissioner in New York City, where juvenile jurisdiction ends at 16. These experiences let him see the differences in how youth are treated at ages 16, 17, and 18, and to realize how arbitrary these age lines are. Schiraldi stated that he believes the creator of the juvenile system, Jane Adams, would not choose 18 as the age of adulthood in the criminal justice system, as it was arbitrarily chosen based on working age. The age of 18 does not make sense, given the information now available regarding brain science. Schiraldi stated that if the criminal justice system could do something special for people in the 18–25 age range, it could have a real impact. The research says that 18–25 year olds are more similar to juveniles than to young adults. They are in the process of transitioning to full adulthood. One recommendation based on the research is to raise the age of juvenile jurisdiction to 24 or 25 years old.

Schiraldi stated: “Of those released from our justice system between the ages of 18 and 25, 75% are rearrested within three years, and the racial disparities are huge: Black people are 15 times more likely than white people to be incarcerated in this age group.” According to Schiraldi, Europe is doing a lot of good things with this age group. Most countries have separate facilities for this age group; he stated that these separate facilities are not much better than the adult facilities, but at least they’re doing something. In Germany, 95% of homicide cases committed by people in this age group are kept in family court, plus they have the possibility of waiving the remaining 5% of cases back down. The Netherlands has extended juvenile court up to age 23, and young adults are in separate facilities.

According to Schiraldi, in the US, the majority of states have some law that reflects the belief that this population should be treated differently. Florida has a youthful offender (YO) law, which means that if an 18–25 year old is convicted of a crime, it’s an adjudication. In New York, corrections is opening a new facility for 18- to 21-year-olds, and courts are considering diversion up to age 24. The Chief Judge of New York proposed raising the maximum age for juvenile courts from 16 to 24. A few of the more radical advocates in city government are also establishing a bail fund to bail youth out of the Rikers Island juvenile facility. Governor Cuomo recommends a YO law that takes convictions off juveniles’ records.

Schiraldi went on to say that in New York, probation has been an add-on to incarceration, and it has grown exponentially. Supervision tends to be arbitrarily long. Parole officers are treating probation like it’s a punitive alternative to jail, rather than a community alternative to jail, as it was intended to be. To that end, we are shortening sentences and banking (not supervising) low-risk cases so

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probation officers can focus on the high-risk offenders. We are working on what's called "dosage probation." Federal courts recently did a study on dosage probation and found that early termination of supervision actually reduced recidivism. Arizona passed a Safe Communities Act to reduce time on probation and gave probationers "good time," which reduces sentences. Nevada gives a person 30 days off for every 20 days he or she is on probation. California is doing well with incentive based reductions under realignment.

In New York City, reducing the number of low-risk clients has reduced the number of people on probation as well as reducing banked caseloads, and New York has increased early discharges through a rudimentary version of dosage probation. Probation used to be five years for all felonies. New York changed it to five, four, or three years at the judge's discretion. Misdemeanors were changed from a mandatory three years to three or two, based on the judge's discretion. In two boroughs, there is only one judge who deals with all probation matters, so there is an effort to get people off probation once they're done with their court-appointed time.

Joanna Hernandez asked what types of offenses the young people who are getting dosage probation had committed. Schiraldi responded that they were mostly lower-end offenses and there is no limitation on who can benefit from the YO law—75% of the youth going through adult court benefit from the YO.

Public Defender Jeff Adachi asked whether the participation of those who go through the YO track is voluntary. Schiraldi responded that it is, but it is negotiated with the prosecutor. In most counties, youth who went through the YO track showed less system penetration and fewer jail days. The only county that had negative outcomes was Buffalo, and they watered the whole YO law down so that low-risk offenders got more treatment and ended up worse off.

Deputy Chief Paula Hernandez noted that San Francisco does have a program to divert misdemeanants at probation's discretion and that felonies go through the DA's office.

Schiraldi said that in New York, probation has the ability to divert misdemeanants, and the accused do not have to admit guilt. This is for 16- and 17-year-olds; the city is considering now expanding it to youth aged 18 to 24 and including those who committed a felony.

Steven Raphael asked, "Do you think that having all those young people in the same place isn't as effective as having the older inmates in the same place as youth? I've seen some evidence that the older population can balance out the younger groups." Schiraldi responded by saying that nothing has been proven yet. We need more research on, if you put all the youth together, what the best outcome will be.

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Chief Wendy Still added, There are potentially negative effects if you put them all together with the older group..

Schiraldi responded, “I think if you put all youth together and actually have robust programming, school, and don’t run it like the adult system, you have a better chance at good outcomes. This is why I think we have better outcomes (for all its criticisms) in the juvenile system.”

Sherriff Ross Mirkarimi said, “This also applies to an aging incarcerated population. They merit a programming similar to what would be blended into a young adult system. Then we need to figure out what the programming is so that it doesn’t appear like spaghetti being thrown against the wall to see what sticks.”

Vincent Schiraldi noted that if programming were developed that is closer to what exists in the juvenile justice system it could help both outcomes and the day-to-day a lot, and maybe we wouldn’t be so concerned about other ancillary problems.

Chief Wendy Still thanked Mr. Schiraldi for raising awareness about the young adult population, and said that she wants to see how New York and San Francisco might partner to improve outcomes.

Schiraldi noted that Don Specter, director of the Prison Law Office, has issued a Request for Application to do site visits to some facilities. It might be useful for some of the commission to take that tour.

### **6. Annual Review of San Francisco Sentencing Trends by the National Council on Crime and Delinquency (Discussion and Possible Action)**

District Attorney George Gascón welcomed Antoinette Davis from the National Council on Crime and Delinquency (NCCD) to the podium.

Antoinette Davis provided a report on sentencing trends. Information from juvenile probation will be coming at a later date. Davis stated that there continues to be a reduction in felony filings from 1992 through 2014. San Francisco does not have a lot of prison commitments. The number of people who are going to prison versus being put on probation is getting smaller.

Public Defender Jeff Adachi asked why there is a discrepancy in the percentages. Davis replied that this is the change in percentage, not the total. The percentages are shifting more because the numbers are getting smaller.

In the adult probation data there’s an increase in the percentage of split sentences, but an overall decline in the number of people who are being sentenced.

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Ross Mirkarimi asked if the recidivism rate is based on the Chief Probation Officers of California (CPOC) definition of recidivism, and Davis replied that it is.

Chief Wendy Still made the point that San Francisco County has the lowest incarceration rate per capita in California. She also said that San Francisco County is a high-performing county because there are so few failures, while the state trend is that probation failures are going up. Chief Still expressed her concern that the AB 678 and AB 109 funding formulas might be changed back to the 2009 level. We need to continue to advocate for fair formulas that don't penalize us for success.

Public Defender Jeff Adachi asked if we have ever tracked recidivism.

Chief Wendy Still replied that yes, we have, and will be publishing those reports. The probation department published some of it in their realignment report.

Public Defender Adachi expressed his interest in seeing reports from juvenile probation that include zip codes, ethnicities, and gender fields.

Public Defender Adachi made a motion to have race, zip code, gender, and other demographic information included in the future probation report. The motion was seconded by Mirkarimi; the motion passed.

### **7. California Sentencing Legislation and Policy Update from Californians for Safety and Justice (Discussion Only)**

Tara Anderson said the Proposition 47 Safe Neighborhoods and Schools Act, which is shifting some felony crimes to misdemeanors, is in its early implementation phase. There has been a need to clarify that drug possession is not decriminalized.

Ms. Anderson gave a brief overview of resentencing and reclassification under this new law:

- Fifteen people have been released from the county jail and four from have been released from state prison as a result of Proposition 47.
- As of February 23, 2015, the DA's office has reviewed 483 cases for resentencing, and most have been found eligible for resentencing.
- For reclassification, eligible persons would have to apply by November 5, 2017 to seek relief. So far 57 cases have been reviewed, and the court has granted reclassification in 20 of them. Because of the number of people on community supervision, resentencing has been the priority. All petitions



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are responded to within two to 10 days. The charge itself is being reviewed, and also the defendant's criminal history.

The DA's office welcomes any feedback from the commission.

Public Defender Jeff Adachi asked if the list of probationers who will be affected by Proposition 47 was prepared by Chief Wendy Still, and if that is still being done.

Chief Still responded: "We went through the system then physically screened every case that we identified. At that point in time, we looked at every single case. We started with 600 cases, the screen narrowed it down to less than 400, and finally we had recommendations in the range of 300. At that time we screened every case we had on the books. Nobody in other counties took that approach."

District Attorney George Gascón said, "The total as far as we can tell is about 1000 cases, and about half have been handled so far. Our goal is to complete this by the end of the summer."

Public Defender Adachi responded, "It depends on who is going to submit a request. In our office we did a review of every case, and we still found that we missed some. We also had an issue with Parole, which has in some cases refused to adhere to Proposition 47. We went to Sacramento and that appears to have been corrected. Is there a list of every single person who is on probation?"

Chief Still replied, "We don't produce that list because we don't give out info on an individual's criminal history. We didn't look at anybody who is on court probation, it was all formal probation." District Attorney George Gascón pointed out that San Francisco County is moving rather quickly, while other counties are having a lot of challenges.

Sheriff Ross Mirkarimi asked what is on the horizon in terms of changes.

District Attorney George Gascón replied, indicating that there are a few bills before the legislature for consideration.

Chief Wendy Still pointed out that there is a trailer bill to address people who have never been in prison, but who are nevertheless ending up on parole.

Sheriff Ross Mirkarimi added that there is also a conversation about guns. George Gascón explained that there is a bill that would change the law such that theft of any gun would be a felony, regardless of the type or value of the gun. There will be a lot of conversations around Prop 47 in the next couple years.

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Chief Still thanked District Attorney George Gascón for his work, saying, “So much of the cutting-edge work that goes on here wouldn’t happen without you, George, and we’re fortunate to have you.”

District Attorney George Gascón replied that it is very rewarding to have someone like Vincent Schiraldi talk about innovative practices and realizing we’re way ahead of it. “We need to be earnest in the conversations around Proposition 47 that we have with the public. Prop 47 did not decriminalize drugs. Police can still make arrests, and the consequences can still be up to a year in jail. When people in the system put out wrong information, it can be a real problem and confusing to the public. If we don’t like Prop 47, we can say that, but don’t put out bad information.”

Melina Blake, Policy Director for Californians for Safety and Justice, provided a report on several bills that are being worked on or that are set to be introduced soon. She was also deeply involved with Prop 47 and is happy to answer any questions. She explained that Friday, February 27th, is the bill introduction deadline.

Blake reported on a couple of bills: Assembly Bill (AB) 46 and Senate Bill (SB) 333 have identical language involving drug-facilitated sexual assault. These bills would take the three most well-known date rape drugs—ketamine, GHB, and Rohypnol—and make them “wobblers” (possession of these substances could be charged as a felony or as a misdemeanor). These changes to Prop 47 require a referendum, which means a majority vote in the legislature, and then it would go on the ballot in 2016.

Other bills:

AB 150, introduced by Assembly Member Melendez. This bill does two things: 1) makes theft of a firearm of any value a felony; 2) makes possession of any stolen firearm a felony. Ms. Blake argued that this bill is a red herring and in reality, actually makes the law worse. This bill also requires a referendum process.

AB 390, introduced by Assembly Member Cooper. This bill adds drug crimes that were changed to misdemeanors by Prop 47 to a list of crimes that require a DNA sample. Currently, DNA samples are only taken for felony crimes.

Speaker Atkins of San Diego introduced a bill that would take one third of California Board of State and Community Corrections funding and put it into a fund for housing vouchers for formerly incarcerated people.

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District Attorney George Gascón explained that his office is still evaluating their position on these bills. His concern is that they don't want to be set back to where things were before Prop 47. Gascón pointed out that it will be important to have a broader coalition of voices.

Karen Roye asked if the commission could put together a group to evaluate these bills.

Tara Anderson clarified that this item is for discussion only. The commission makes recommendations to the mayor.

Melina Blake provided a summary of other bills that passed last year:

- SB 1010: Eliminated sentencing disparity between crack and powdered cocaine.
- SB 1310: Decreased the maximum penalty for misdemeanors from 365 days to 364 days to prevent misdemeanors from triggering deportation proceedings for immigrants.
- AB 2060: Established the Supervised Population Workforce Training Grant Program.
- SB 1038: Established automatic sealing of juvenile records.
- Assembly Concurrent Resolution (ACR) 155: Raise awareness about adverse childhood experiences and work to create a coalition with various groups.

Bills that will be reintroduced this year:

- AB 756: Would eliminate the fee for sealing juvenile records.
- AB 1982: Would change stalking from a general-intent to a specific-intent crime.
- SB 419: Would allow probation departments to “flash-incarcerate” people on probation and parole, expanding beyond community supervision.

Highlights from the 2014-15 budget:

- This budget eliminated the prohibition on people who have drug convictions receiving food stamps.
- Distribution of \$95 million recidivism reduction fund. Given out to some drug programs, mental health treatment, grants to high-crime communities.

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- The budget created the presumption of a split sentence for felonies (i.e., some time in prison, some time on probation).

Chief Wendy Still said, “Hats off to Probation and the DA—we’ve always had a presumption of a split sentence above the rest of the state, thanks to everyone.”

District Attorney George Gascón asked if there were any questions. None were raised.

### **8. Members’ Comments, Questions, and Requests for Future Agenda Items**

Chief Wendy Still requested that the commission follow SB 419, and that they write a letter of support for the legislation. The commission is putting this on the agenda for the future. Chief Still explained, “We have the ability to flash-incarcerate for up to 10 days, following the ‘swift and certain’ model. We don’t have that on the probation side, so we have to take the individual back to court, rather than [having] progressive sanctions.”

District Attorney George Gascón clarified that there will be no discussion on this topic today, but it will be on the agenda for the next meeting.

Karen Roye asked that the commission continue to have conversations and updates on Proposition 47 and how it lines up with what San Francisco is working on, and what the commission would do going forward.

There were no further agenda items.

### **9. Public Comment on Any Item Listed Above, As Well As Items Not Listed on the Agenda**

No comment was raised.

### **10. Adjournment**

Karen Roye moved to adjourn the meeting in honor of Chief Wendy Still; Jerel McCrary seconded. Meeting adjourned.



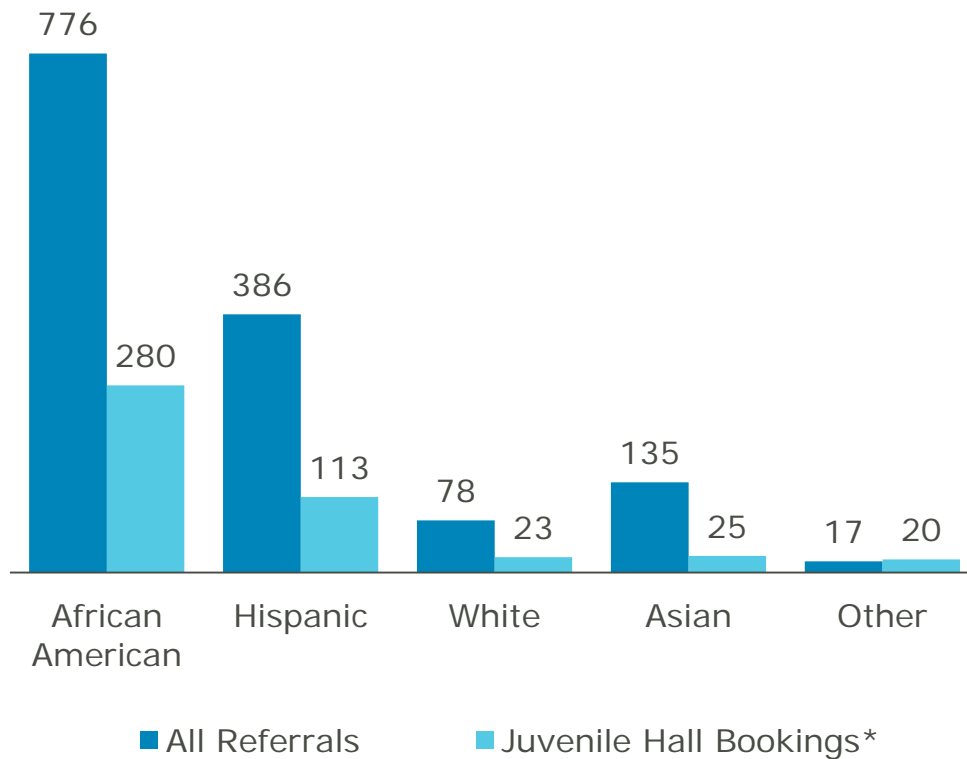
National Council on  
Crime & Delinquency

# Overview of San Francisco's Juvenile Probation Population

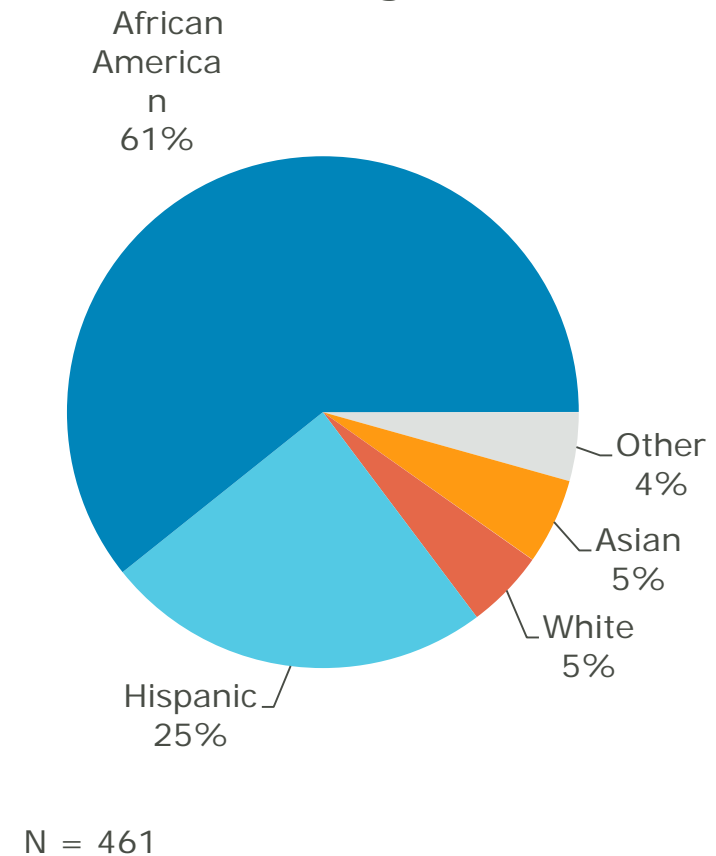


# San Francisco Juvenile Probation Department Clients by Race/Ethnicity – Calendar Year 2014

## Juvenile Referrals and Bookings

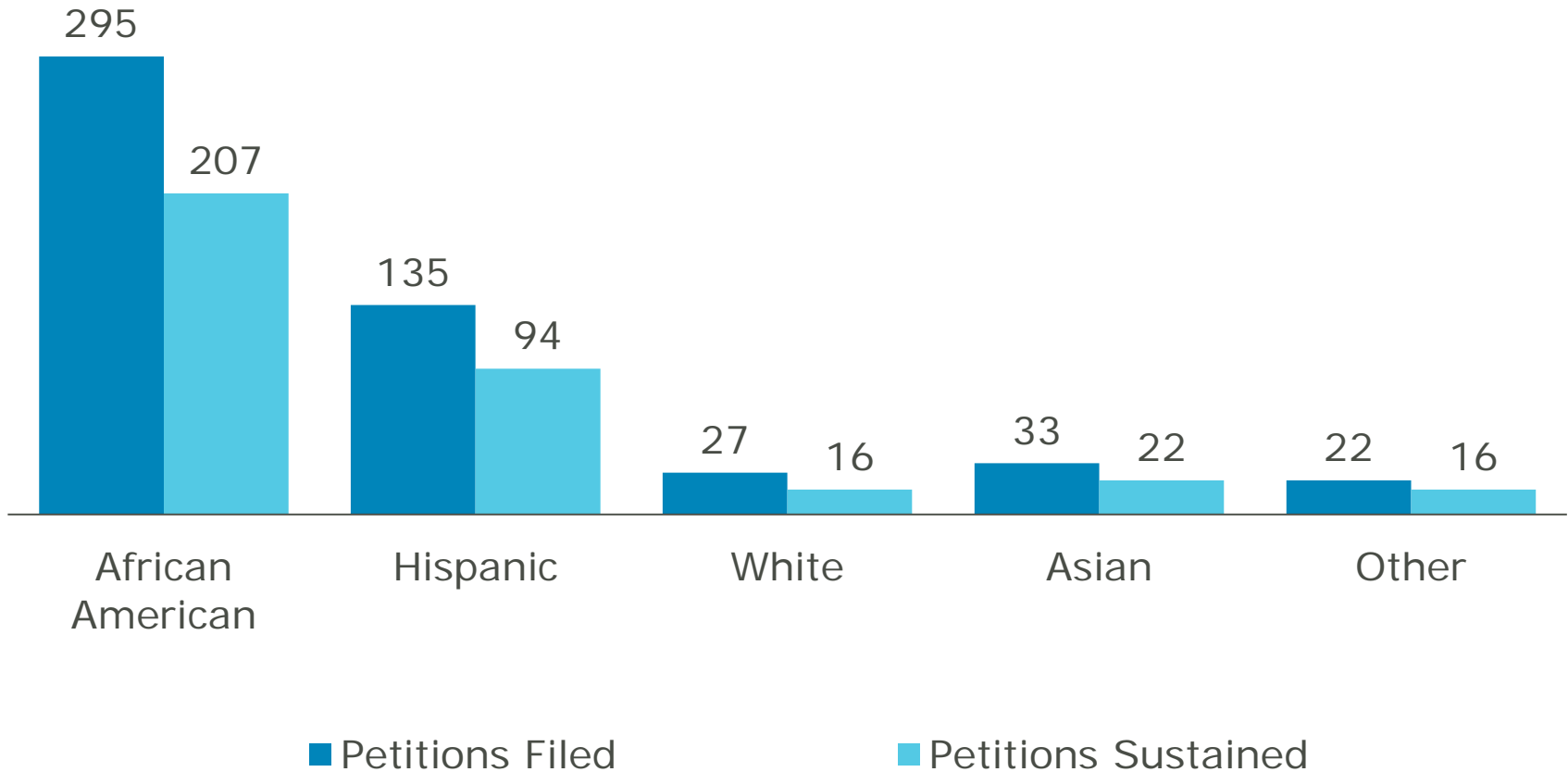


## Bookings



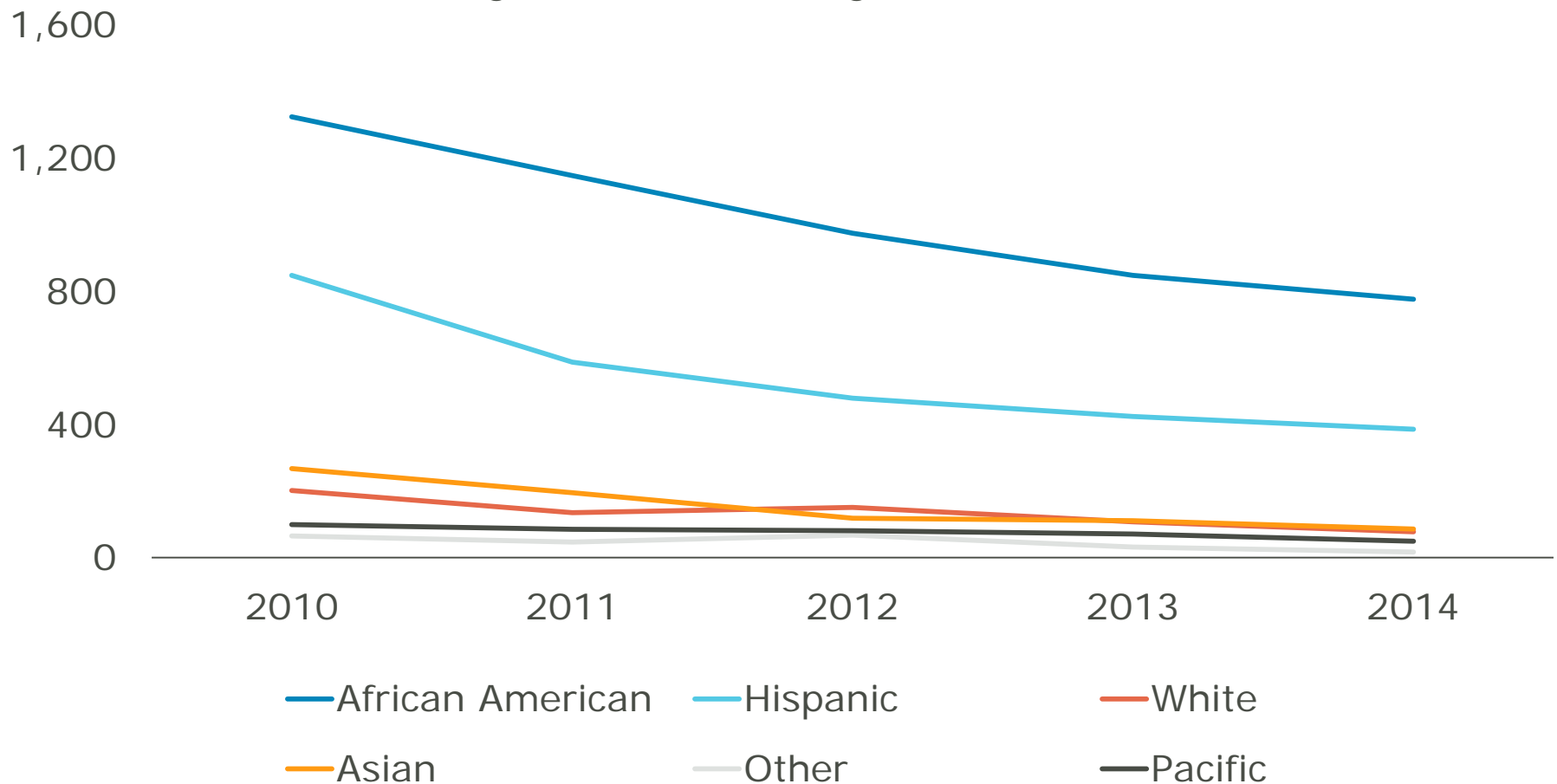
# San Francisco Juvenile Probation Department Clients by Race/Ethnicity – Calendar Year 2014

## Juvenile Outcomes by Race/Ethnicity



# San Francisco Juvenile Probation Department Clients by Race/Ethnicity – Years 2010–14

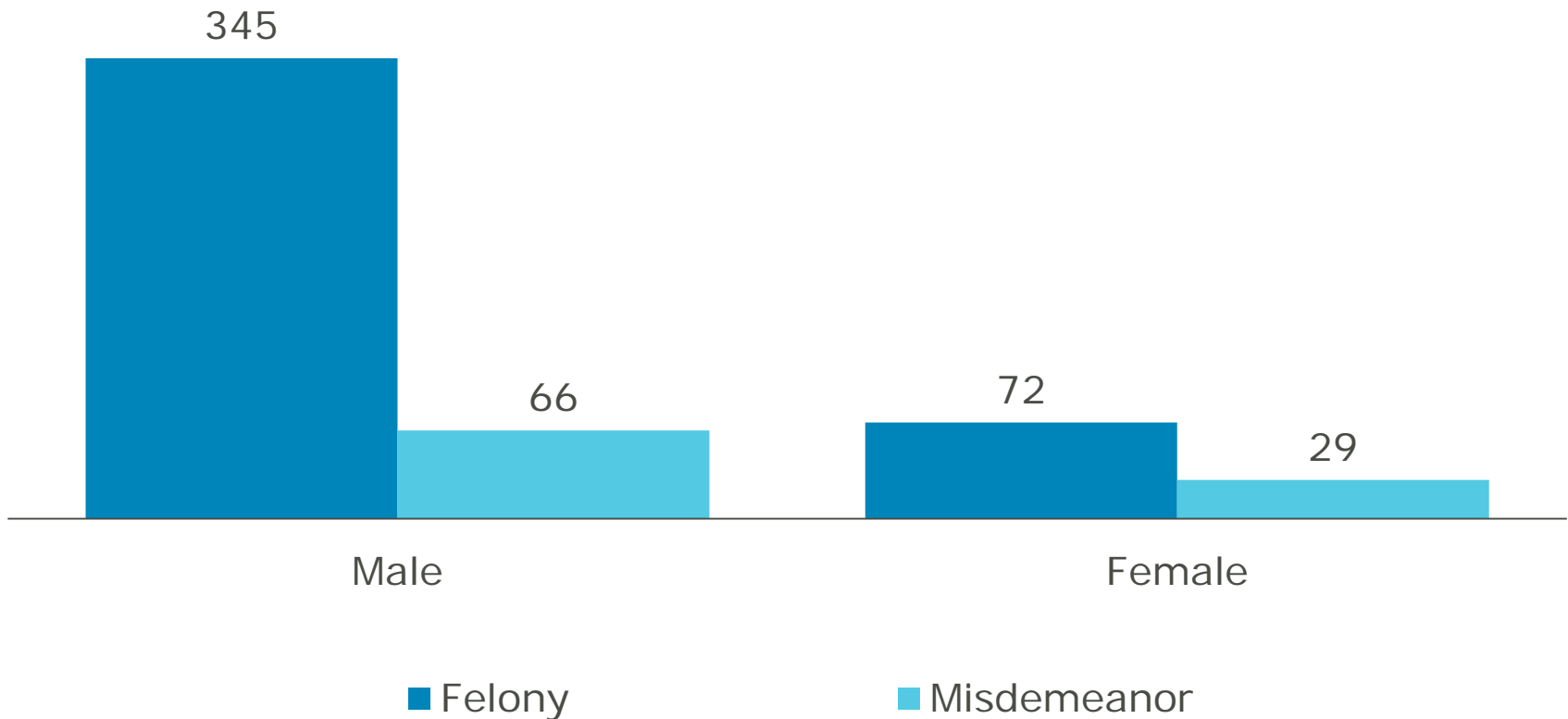
## Duplicated Count of Juvenile Probation Referrals by Race/Ethnicity 2010–14





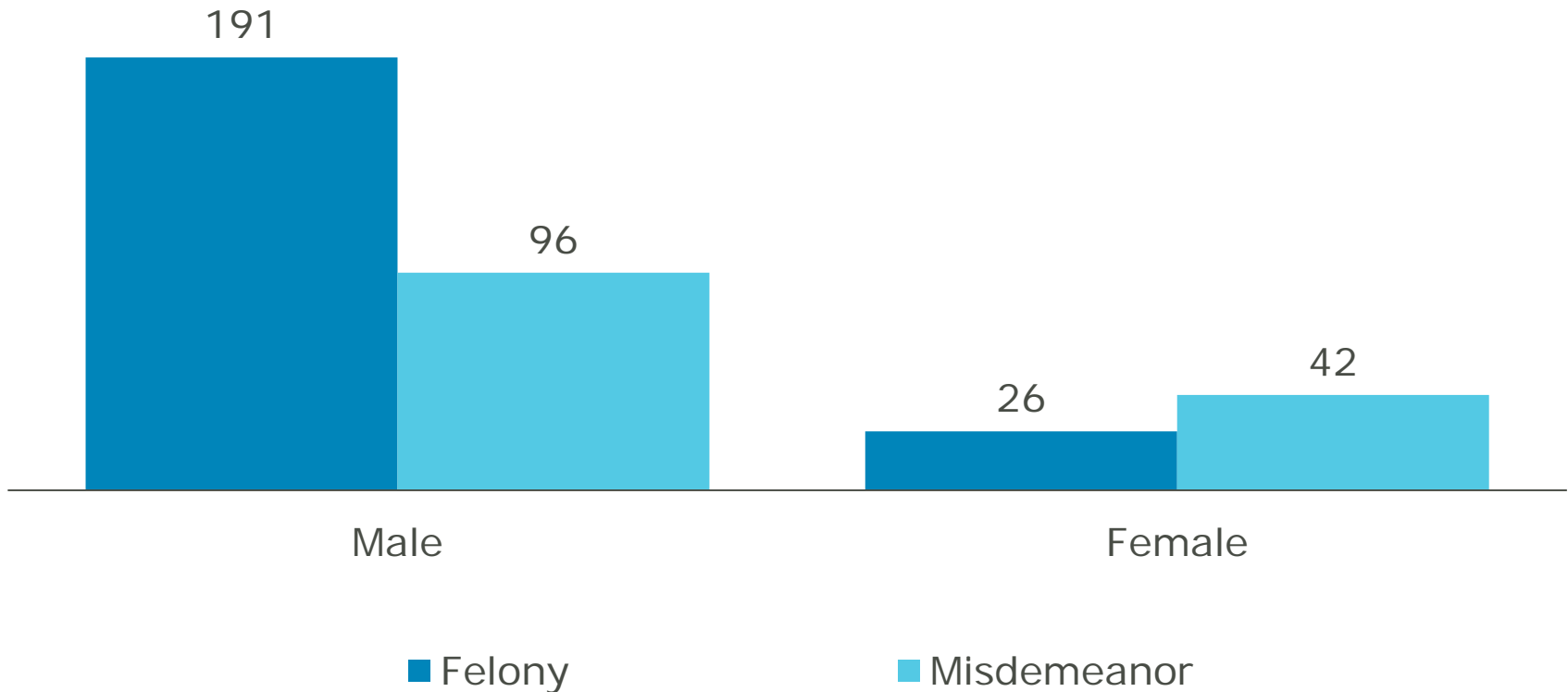
# San Francisco Juvenile Probation Department Felony vs. Misdemeanors – Calendar Year 2014

## Duplicated Count of Petitions Filed Felony vs. Misdemeanors by Gender



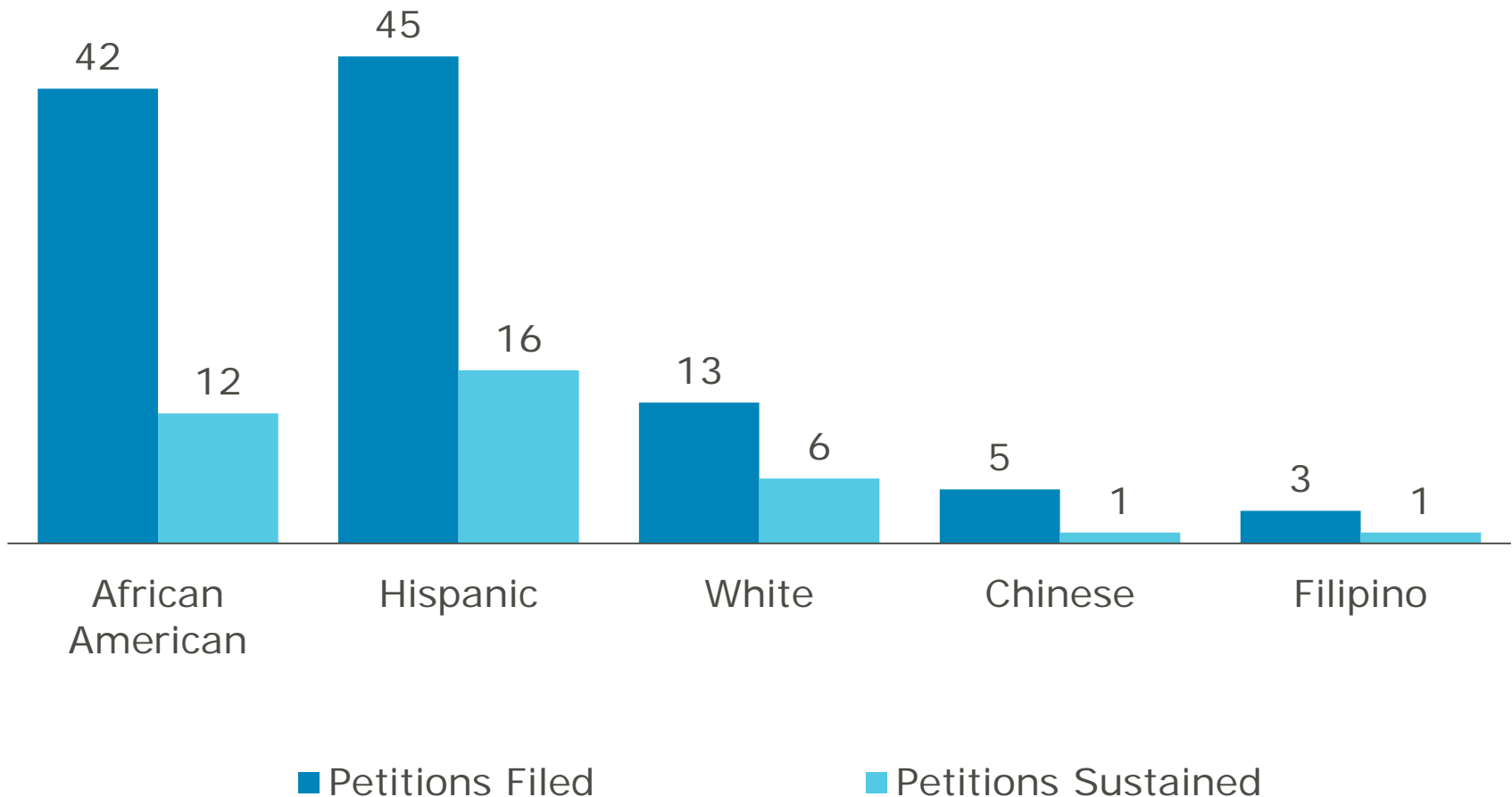
# San Francisco Juvenile Probation Department Felony vs. Misdemeanors – Calendar Year 2014

## Duplicated Count of Petitions Sustained Felony vs. Misdemeanor by Gender



# San Francisco Juvenile Probation Department Clients by Race/Ethnicity – Calendar Year 2014

## Domestic Violence Offenders from 2010-2014



## **Biography of Bruce Chan**

The Honorable Bruce Chan, Judge of the Superior Court of California, County of San Francisco. Judge Chan is currently the supervising judge of the criminal division.

Judge Chan graduated from Stanford University in 1978 and received his law degree in 1981 from the University of California at Davis. He worked as a trial attorney with the San Francisco Public Defender's Office for 15 years and was a State Bar of California Certified Criminal Law Specialist. His professional experience also includes 3 years in private practice, specializing in insurance defense litigation. From 2000 to 2004, Judge Chan served as Chief Counsel to the Assembly Committee on Public Safety. The Committee is responsible for analyzing proposed criminal justice legislation introduced in both the State Assembly and Senate. After being elected by the Judges of the San Francisco Superior Court to the position of Court Commissioner, Judge Chan heard law and motion matters relating to the civil discovery act until his appointment to the bench in 2009.

Judge Chan is a founding member and past chairman of Asian American Recovery Services, the largest provider of substance abuse services to Asian Pacific Americans in California. He was also a member of the task force that established a drug treatment court in San Francisco juvenile court. Judge Chan has also served on the board of directors of the Chinatown Youth Center, Asian Law Caucus, Asian American Bar Association of the greater bay area, and California Judges Association criminal law advisory committee.

# LEAD Program Evaluation: Recidivism Report

Susan E. Collins  
Heather S. Lonczak  
Seema L. Clifasefi

Harm Reduction Research and Treatment Lab  
University of Washington – Harborview Medical Center

March 27, 2015

This report was prepared by the University of Washington LEAD Evaluation Team with important contributions from the LEAD Evaluation Advisory Committee and others acknowledged on the back page.

## Executive Summary

- **Background:** This report was written by the University of Washington LEAD Evaluation Team at the request of the LEAD Policy Coordinating Group and fulfills the first of three LEAD evaluation aims.
- **Purpose:** This report describes findings from a quantitative analysis comparing outcomes for LEAD participants versus “system-as-usual” control participants on shorter- and longer-term changes on recidivism outcomes, including arrests (i.e., being taken into custody by legal authority) and criminal charges (i.e., filing of a criminal case in court). Arrests and criminal charges were chosen as the recidivism outcomes because they likely reflect individual behavior more than convictions, which are more heavily impacted by criminal justice system variables external to the individual.
- **Findings:** Analyses indicated statistically significant recidivism improvement for the LEAD group compared to the control group on some shorter- and longer-term outcomes.
  - **Shorter-term outcomes** were assessed for the six months prior and subsequent to participants’ entry into the evaluation.
    - Compared to the control group, the LEAD group had 60% lower odds (likelihood) of arrest during the six months subsequent to evaluation entry. The effect of LEAD on getting arrested during the 6-month follow-up was statistically significant ( $p = .03$ ).
    - This finding reflected the fact that—comparing the six months prior and subsequent to entry into the evaluation—the proportion of control participants who were arrested increased by 51%, whereas the proportion of LEAD participants who were arrested plateaued (+6%).
    - Inclusion of warrant-related arrests could either a) inflate apparent recidivism by reflecting nonappearance for prior violations or b) accurately represent new criminal activity that triggered prior warrants to be served even if there was no booking on a new crime. Thus, we examined the arrest data both with and without warrant arrests. Analyses of exclusively nonwarrant-related arrests indicated no significant LEAD effects.
    - Further, there were no statistically significant LEAD effects on total charges or felony charges filed over this shorter-term period.

- **Longer-term outcomes** were assessed during the entirety of the LEAD evaluation time frame, ranging from October 2009 through July 2014. Analyses took into account the fact that participants had been in the program for differing amounts of time by statistically controlling for this factor.
  - Compared to the control group, the LEAD group had 58% lower odds of at least one arrest subsequent to evaluation entry. The LEAD effect on arrests over time was statistically significant ( $p = .001$ ).
  - This finding reflected the fact that the proportion of control participants who were arrested at least once subsequent to evaluation entry increased by 4%, whereas the proportion of LEAD participants who were arrested subsequent to evaluation entry decreased by 30%.
  - Analyses indicated that, compared to control participants, LEAD participants had 34% lower odds of being arrested at least once when warrant-related arrests were removed. This effect was marginally significant ( $p = .09$ ).
  - Although there was no statistically significant effect for total charges, the LEAD group had 39% lower odds of being charged with a felony subsequent to evaluation entry compared to the control group. This effect was statistically significant ( $p = .03$ ).
  - The proportion of LEAD participants charged with at least one felony decreased by 52% subsequent to evaluation entry. The proportion of control group participants receiving felony charges decreased by 18%.
- **Interpretation of findings:** These statistically significant reductions in arrests and felony charges for LEAD participants compared to control participants indicated positive effects of the LEAD program on recidivism.
- **Next Steps:** This report is the second in a series that will be prepared by the University of Washington LEAD Evaluation Team over the next two years. The next report, which we plan to release in late spring of 2015, will describe our evaluation of the effectiveness of the LEAD program compared to the system-as-usual control group on criminal and legal systems utilization and associated costs. Later reports will evaluate changes among LEAD participants on psychosocial, housing and quality-of-life outcomes.

## Introduction to the LEAD Program

### Background and Rationale for the Law Enforcement Assisted Diversion (LEAD) Program

Despite policing efforts, drug users and dealers frequently cycle through the criminal justice system in what is sometimes referred to as a “revolving door.”<sup>1</sup> The traditional approach of incarceration and prosecution has not helped to deter this recidivism.<sup>2</sup> On the contrary, this approach may contribute to the cycle by limiting opportunities to reenter the workforce, which relegates repeat offenders to continue to work in illegal markets.<sup>3</sup> This approach also creates obstacles to obtaining housing, benefits, and drug treatment. There have thus been calls for innovative programs to engage these individuals so they may exit the revolving door.<sup>1</sup>

### Description of the LEAD Program

This need for innovative programs to prevent recidivism inspired the focus of the LEAD program, a collaborative pre-booking, community-based diversion program. The LEAD program was established in 2011 as a means of diverting those suspected of low-level drug and prostitution criminal activity to case management and other supportive services instead of jail and prosecution. The primary aim of the LEAD program is to reduce criminal recidivism.<sup>a</sup> Secondary aims include reductions in criminal justice service utilization and associated costs as well as improvements for psychosocial, housing and quality-of-life outcomes. Because LEAD is the first known pre-booking diversion program of its kind in the United States, an evaluation is critically needed to inform key stakeholders, policy makers, and other interested parties of its impact. The evaluation of the LEAD program described in this report represents a response to this need.

For the purpose of the evaluation, the implementation phase of this project occurred from October 2011 through July 2014. The Seattle Police Department’s (SPD) officer shifts for squads making referrals to LEAD were randomly divided into ‘red- and greenlight’ shifts. Offenders who were encountered during greenlight shifts in the LEAD catchment area (i.e., Belltown neighborhood) were screened for project eligibility by officers on duty and, provided they met inclusion criteria and completed the intake process, they were diverted to the LEAD program at point of arrest instead of undergoing standard jail booking and criminal prosecution. A smaller number of individuals were referred by officers as ‘social contacts.’ Social contacts were individuals who were eligible for the LEAD program due to known recent criminal activity, but were recruited by officers outside of a criminal incident during a greenlight shift within the original LEAD catchment area. Both arrest and social contact referrals to LEAD

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<sup>a</sup> Note: Because the LEAD program was launched as a pilot without sufficient resources to engage all possible participants within the planned catchment area, this evaluation did not focus on community- or neighborhood-level impact on crime. It is, however, possible that an approach that changed individual behavior, if later taken to scale with full commitment from all operational partners, would have neighborhood- or community-level impact.



required that participants were suspected of narcotics or prostitution activity and met other program criteria (see Purpose and Methods section below for inclusion criteria).

Interested individuals were referred to a LEAD case manager to complete an intake assessment. This assessment entailed items evaluating participants' substance-use frequency and treatment, time spent in housing, quality of life, psychological symptoms, interpersonal relationships, and health status. After completing the intake process, participants received case management through Evergreen Treatment Services' (ETS) REACH homeless outreach program, which connected participants with existing resources in the community (e.g., legal advocacy, job training or placement, housing assistance, counseling). Additionally, case managers had access to funds to provide financial support for the fulfillment of participants' basic needs (e.g., motel stays, housing, food, clothing, treatment, and various additional items and services). Other key program features included coordination of prosecution strategy in any other pending criminal cases participants had in local courts and legal assistance with miscellaneous civil legal problems. Six months following their entry into the LEAD program, participants completed additional one-on-one interviews with their case managers.

Eligible individuals who were arrested 1) during redlight shifts or 2) in non-LEAD neighborhoods—areas adjacent to Belltown that were not a part of the LEAD program but were patrolled by the same officers—were processed through the criminal justice system as usual (e.g., jail booking, criminal charges). These participants served as the control group in the current evaluation. Arrests in non-LEAD neighborhoods were included in the control group to increase the pool of participants while avoiding skewing the composition of the control group as the number of amenable, qualifying control participants available in the original catchment area decreased over time. All participants were recruited by the same officers using the same criteria.

## Overall Program Evaluation Aims

The overall program evaluation will assess the LEAD program in meeting the following objectives compared to individuals who experienced the criminal justice system as usual.

- *Specific aim 1* is to test the relative effectiveness of the LEAD program compared to a 'system-as-usual' control condition in reducing criminal recidivism (i.e., arrests and charges) from the 6 months prior and subsequent to program entry, and as sufficient data accumulate, extending this analysis to evaluate longer-term outcomes.
- *Specific aim 2* is to test the effectiveness of the LEAD program compared to the 'system-as-usual' control condition in reducing publicly funded criminal justice service utilization and associated costs (i.e., court, prosecutor, public defense, jail) from the 6 months prior and subsequent to program entry. As sufficient data accumulate, this analysis will be repeated using longer-term outcomes.
- *Specific aim 3* is to test within-subjects differences on self-reported psychosocial and housing variables (i.e., alcohol and other drug use frequency; time spent in housing; quality of life; psychological symptoms; health status; and interpersonal relationships with family, partners and other community members).

Following a preliminary, within-subjects analysis that was released in September 2014, the current report reviews the complete set of findings from specific aim 1. Reports documenting findings for specific aims 2 and 3 will be released in late spring 2015 and fall 2015, respectively.

## Purpose and Methods

### Purpose

The purpose of this report is to describe and interpret findings from the quantitative evaluation of shorter- and longer-term recidivism outcomes (i.e., arrests and criminal charges) for evaluation participants who have been assigned to LEAD or the 'system-as-usual' control condition.

### Participants

This quantitative evaluation included 318 adults who were suspected of low-level drug or prostitution offenses. Based on whether law enforcement contact was made during a red- or greenlight shift and whether it occurred in the LEAD catchment area, participants were either assigned to the LEAD ( $n = 203$ ) or control (i.e., booking as usual;  $n = 115$ ) conditions. At the time of referral, 146 of the LEAD participants were under arrest, and 57 were suspected of qualifying criminal activity but were referred outside of an alleged criminal incident.

All LEAD participants were those suspected of recent violations of the uniform controlled substances act (VUCSA) and/or prostitution offenses who were deemed eligible for the program by SPD officers. SPD considered individuals ineligible if they met any of the following criteria:

- The amount of drugs involved exceeded 3 grams, except where an individual was arrested for delivery of or possession with intent to deliver marijuana or possession, delivery or possession with intent to deliver prescription controlled substances (pills).
- The individual did not appear amenable to diversion.
- The suspected drug activity involved delivery or possession with intent to deliver (PWI), and there was reason to believe the suspect was dealing for profit above a subsistence income.
- The individual appeared to exploit minors or others in a drug dealing enterprise.
- The individual was suspected of promoting prostitution.
- The individual had a disqualifying criminal history as follows:
  - Without time limitation: Any conviction for murder 1 or 2, arson 1 or 2, robbery 1, assault 1, kidnapping, Violation of the Uniform Firearms Act (VUFA) 1, any sex offense, or attempt of any of these crimes.
  - Within the past 10 years: Any conviction for a domestic violence offense, robbery 2, assault 2 or 3, burglary 1 or 2, or VUFA 2.
  - The individual was already involved in King County Drug Diversion Court or Mental Health Court. This exclusion criterion served to ensure the

LEAD program was not combined with other models of intervention and case management.

The control group included only individuals arrested by LEAD-referring officers who would have been considered eligible for referral to LEAD had the arrest occurred during a greenlight shift in a LEAD catchment area. Individuals who would not have met LEAD referral criteria were not included in the control group. There was no penalty to officers for excluding individuals from the evaluation based on the inclusion/exclusion criteria. Officers completed forms for each arrest documenting these decisions.

## Measures

The evaluation team obtained all necessary IRB exemptions and data sharing agreements from the appropriate entities. Next, with the assistance and guidance of the LEAD Policy Coordinating Group and the LEAD Evaluation Advisory Committee, the evaluation team obtained demographic and program data from the LEAD case management team and from the SPD LEAD records. Data on criminal recidivism (i.e., arrests, charges) were extracted by the King County Prosecuting Attorney's office from the FBI's National Crime Information Center (NCIC) and were given to the evaluation team for analysis. For the purpose of this evaluation, new arrests refer to having been taken into police custody for a crime committed during the LEAD program evaluation time frame (i.e., 10/1/2009 through 7/31/2014). New arrests did not include parole or probation violations or failure to comply offenses pursuant to prior violations, which were removed for these analyses (5.1%;  $n = 188$ ). New charges were criminal charges—including felonies—that occurred during the LEAD evaluation time frame noted above. During their intake interviews, LEAD participants signed consent forms allowing the release of their administrative data.

## Data Analysis Plan

**Overview.** The goal of this evaluation was to test LEAD effects on recidivism outcomes (i.e., arrests and charges) over both the shorter term (i.e., six months prior and subsequent to program involvement) and the longer term (i.e., encompassing two years prior to the LEAD start date through 7/31/14). This two-tiered data analysis plan was used to assess both shorter- and longer-term LEAD effects. Given their relative statistical rarity, recidivism counts were converted to dichotomous (yes/no) outcomes, excluding any arrest that occurred the day participants entered the evaluation. Dichotomizing recidivism outcomes is standard in analyzing effects of criminal justice programs in Washington State.<sup>4</sup> Because longer-term analyses involved unequal windows of time for participants starting at different points during the program implementation, we statistically controlled for this factor in each of the longer-term models.

**Types of arrest included.** The primary goal of these analyses was to assess changes in recidivism (i.e., new law violations) within the evaluation time frame. We therefore excluded arrests due to prior violations as noted above. Warrant arrests pursuant to incidents occurring after study entry, however, were considered differently because their inclusion could work in two different ways. On the one hand, arrest of control participants due to warrants from the arrest on the would-be LEAD referral date could have a reverberating effect that would overstate new criminal involvement. On the other hand, warrant arrests could reflect new criminal activity that triggered warrants to be served without an arrest for a new offense. Because it is unclear whether warrant arrests are independent of new criminal activity, we conducted two sets of arrest analyses—one including and one excluding warrant arrests—to allow us to understand the range of the possible LEAD effects.

**Group allocation.** Randomized controlled trials represent the gold standard in evaluation. A cluster randomization schema<sup>5</sup> was originally proposed for the LEAD evaluation, such that individuals arrested during specified greenlight shifts in the original catchment area would be randomized to receive LEAD, and individuals arrested during redlight shifts in the original catchment area would be randomized to the system-as-usual control condition.

LEAD, however, was implemented in a real-world setting. Thus, changes to the originally proposed evaluation design were made to ensure LEAD's success on the ground. First, having a pathway for social contacts (i.e., individuals who were encountered on a greenlight shift within the original catchment area, were suspected by officers of recent drug or prostitution activity, had been arrested for these offenses in the past, and met the same inclusion criteria) to enter into the LEAD program was deemed necessary from a policy and policing standpoint. Because they were all subject to the same inclusion criteria, LEAD participants recruited via social contacts and arrest diversion were very likely drawn from the same population (see analyses comparing these groups below). Second, after the evaluation began, operational partners recognized that there was a limited number of potential participants in the originally planned catchment area. Over time, most of these individuals were approached for program involvement leaving a dwindling number of individuals available for the comparison group. Thus, to accommodate the need for an adequate and comparable control group, redlight areas (in addition to redlight shifts) were added to the evaluation. This ensured adequate representation of amenable and qualifying<sup>5</sup> participants in the control condition to make up for the initial catchment area's relatively small population.

After careful consideration, a nonrandomized controlled design was employed for the evaluation of LEAD to accommodate these deliberate and important program implementation features. According to federal standards, nonrandomized controlled designs are consistent with the early intervention development and evaluation exemplified by the LEAD program.<sup>6</sup> Further, high-quality nonrandomized controlled evaluations that account for potential confounds show similar effect sizes and widely correspond to outcomes of randomized controlled trials.<sup>7</sup> In fact,

the current University of Washington evaluation team used a nonrandomized controlled design in a prior, well-regarded evaluation of the 1811 Eastlake Housing First program in Seattle.<sup>8-14</sup> In that evaluation, it was decided that real-world considerations would contraindicate a randomized controlled design, because it was deemed impractical and unethical to withhold essential social services (i.e., housing) from individuals in the community.<sup>13</sup>

Despite its appropriateness for the current evaluation, a nonrandomized controlled design can result in intervention and control group imbalances and statistical biases (e.g., selection bias).<sup>15,16</sup> We therefore employed both methodological and statistical approaches to avoid these problems. First, LEAD officers received focused instructions and training to ensure participants recruited to all groups were representative of the same population. Second, all control and LEAD participants had to meet the same set of inclusion criteria. The fulfillment of these criteria was systematically documented in participant files. Third, the same officers were involved in recruitment of both LEAD and control participants. Finally, we employed a statistical approach called propensity score weighting to balance the intervention and control groups, which increases confidence in the causal impact of the intervention effect.<sup>16</sup>

**Propensity score weights.** We used generalized boosted regression to estimate propensity scores for all eligible participants ( $N = 318$ ). This type of regression employs an automated, data-adaptive algorithm that fits several models by way of a regression tree and then merges the predictions of these various models. The advantage of generalized boosted regression is that it is computationally fast to fit; handles various types of data distributions; and takes into account interaction terms. In addition, it is invariant to one-to-one transformations of the independent variables; thus, the raw, log, and exponentiated variants lead to the same propensity score adjustments.<sup>17</sup>

Next, we created two weighting variables: one for estimating the average treatment effect (ATE) and one for estimating the average treatment effect for treated participants (ATT).<sup>16</sup> ATE may be considered to be a between-subjects' difference or the average effect of moving an untreated population to a treated population.<sup>18</sup> Alternatively, treatment effects may be considered at the individual or within-subjects level. The ATT may be considered to be the average effect of treatment for those who receive the treatment—in this case LEAD.<sup>18</sup> Both types of propensity scores are relevant for the current analysis because, if considered effective, LEAD a) would be applied widely to the larger population of drug and sex work offenders (reflected in ATE) and b) is a highly tailored, individual-level intervention whose effects on treated participants, which are reflected in ATT effects, would be important to track as well. Both propensity score weights were thus used in analyses and reported on in the results section.

Propensity score analyses comprised three steps. First, we generated the propensity scores using generalized boosted regression. Where  $p$  is the propensity score, the ATE is  $1/p$  for LEAD participants and  $1/(1-p)$  for control participants. ATT is equal to 1 for treated participants,

and  $p/(1-p)$  for control participants. Second, we used ATE and ATT weights to conduct balance checks, which comprised a series of ordinary least squares, logistic and multinomial logistic regressions testing whether propensity scores improved the balance between the control and LEAD groups. Finally, we used the ATT and ATE as sampling weights in the primary analyses.

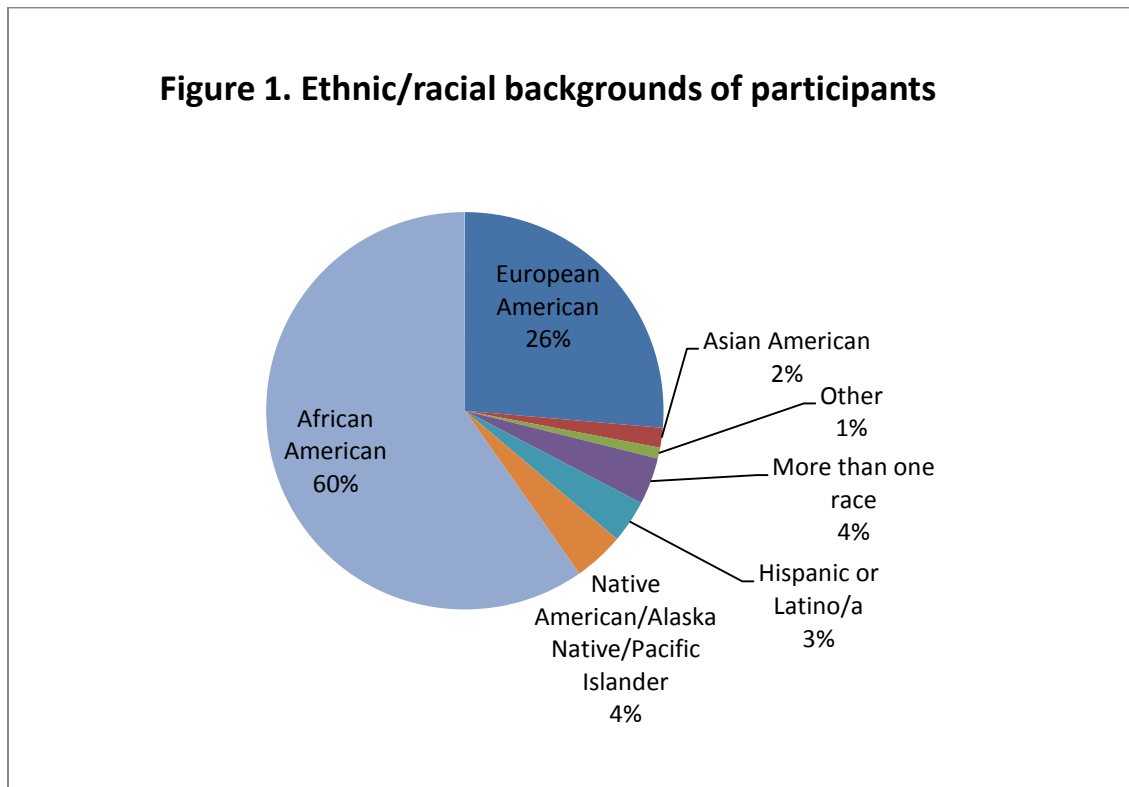
**Primary analyses.** Using SPSS 19 and Stata 13, descriptive analyses were conducted to describe the sample. Population-averaged generalized estimating equations (GEEs)<sup>19</sup> were used in primary analyses. GEEs model marginal effects and may be used to accommodate alternative distributions (e.g., binomial) and correlated data (e.g., data collected on the same participant over time). In this evaluation, GEEs were used to test the relative effects on recidivism outcomes of: a) *time* (0=baseline, 1=follow-up), which controlled for overall, longitudinal effects that could reflect regression to the mean; b) *intervention group* (0=control, 1=LEAD); and c) the two-way *time x intervention group* interaction. The interaction shows the effect of the LEAD intervention on longitudinal recidivism outcomes. Additionally, we controlled for time in the evaluation as a time-varying covariate (i.e., years prior and subsequent to evaluation entry).

Because recidivism outcomes were dichotomous, we specified Bernoulli distributions with the logit link. We assumed an exchangeable correlation structure to accommodate repeated measures on one individual, which served as the sole clustering variable.<sup>20</sup> To enhance model interpretability, resulting effect sizes were exponentiated and reported as odds ratios (*ORs*), where *ORs* < 1 indicate an inverse association, *ORs* = 1 indicate no association, and *ORs* > 1 indicate a positive association. Alphas were set to  $p = .05$ , indicating statistically significant results, and  $p = .10$ , indicating marginally significant results. Confidence intervals were set to 95%.

## Results

### Overall Sample Description

Participants in this evaluation ( $N = 318$ ) had an average age of 40.17 ( $SD = 11.85$ ) years and were predominantly male (34.28% female;  $n = 109$ ). The racial and ethnic diversity of the overall sample is shown in Figure 1.



In the six months prior to evaluation entry, participants had accrued a total of 206 arrests and 151 charges, of which 17% ( $n = 26$ ) were felony charges. Expanding out to all incidents since the start of the evaluation time frame (10/1/09) through the current evaluation window (7/31/14), participants had accrued 1,415 arrests and 994 charges, of which 21% ( $n = 213$ ) were felony charges.

### Group Differences at Baseline

**Arrest diversion versus social contact participants who received LEAD.** Of the baseline demographic and recidivism (i.e., criminal history) variables (including prior criminal history), participant age was the only variable that evinced a statistically significant difference between the arrest diversion ( $M = 40.35$ ,  $SD = 11.09$ ) and social contact ( $M = 45.24$ ,  $SD = 10.65$ ) groups ( $p = .006$ ; other  $ps > .12$ ). Given the lack of observed differences and the fact the two groups were



recruited using the same inclusion criteria by the same officers, it was concluded that these two groups were very likely drawn from the same population. The arrest diversion and social contact groups were therefore collapsed and analyzed as a single LEAD group.

**LEAD versus control group.** Wilcoxon rank-sum and Pearson chi-square tests indicated significant group differences on demographic variables at baseline (see Table 1 for descriptive statistics) between LEAD and control participants. Further, 11 participants died during the 5-year evaluation, including 9 LEAD participants (4.43%) and 2 (1.74%) control participants. This group difference was not statistically significant,  $X^2(1, N = 318) = 1.60, p = .21$ . It should be noted that LEAD participants' deaths were systematically documented, whereas control participants' deaths were not. These individuals were included in all analyses, and death was used in propensity scores and subsequent weighted analyses. There were no significant group differences on baseline recidivism (i.e., criminal history) ( $ps > .09$ ).

**Table 1. Baseline demographic and participation data by group**

Demographic Variables	LEAD Group <i>n</i> = 203 Mean( <i>SD</i> )/%( <i>n</i> )	Control Group <i>n</i> = 115 Mean( <i>SD</i> )/%( <i>n</i> )	<i>z</i> / <i>X</i> <sup>2</sup>	<i>p</i> -value
<b>Age</b>	41.72 (11.16)	37.44 (12.57)	-3.03	.003
<b>Gender</b>	39% (79) female	26% (30) female	5.36	.021
<b>Race/ethnicity</b>			19.43	.003
American Indian/Alaska Native/Pacific Islander	6% (13)	0% (0)		
Asian American	<1% (1)	3% (4)		
Black/ African American	55% (112)	68% (78)		
European American	27% (55)	25% (29)		
Hispanic/Latino/a	5% (10)	1% (1)		
More than one race	4% (9)	3% (3)		
Other	1% (3)	0% (0)		
<b>Death</b>	4% (9)	2% (2)	1.60	.21
<b>Overall years in evaluation</b>	1.54 (.63)	1.78 (.52)	3.66	<.001

Note: Percentages may not total 100% due to rounding.

**Pre- and Postevaluation Descriptive Statistics of Recidivism Outcomes by Group**

Descriptive statistics for raw, unadjusted recidivism outcomes were calculated for LEAD and control groups prior and subsequent to entry into the evaluation (see Table 2).

**Table 2. Recidivism outcome measures by group**

Recidivism measures	LEAD participants		Control participants	
	Mean (SD)		Mean (SD)	
	Pre	Post	Pre	Post
<b>Shorter-term (6 mo) measures</b>				
Arrests	.55(.94)	.68(1.28)	.82(1.37)	1.04(1.24)
Nonwarrant arrests	.33(.71)	.48(.93)	.48(.91)	.59(1.03)
Total charges	.44(1.12)	.45(.93)	.53(1.09)	.59(1.36)
Felony charges	.07(.28)	.13(.45)	.10(.32)	.18(.54)
<b>Longer-term measures</b>				
Arrests/year	1.42(1.49)	1.11(1.69)	1.39(1.70)	1.71(1.75)
Nonwarrant arrests/year	.81(.93)	.86(1.42)	.86(1.14)	1.03(1.46)
Total charges/year	.99(1.52)	.73(1.31)	.95(1.25)	1.01(1.47)
Felony charges/year	.21(.35)	.20(.61)	.22(.33)	.27(.50)

Note: This table features raw values. Because recidivism outcomes were statistically rare events, however, these were dichotomized for primary outcomes.

**Propensity Score Balance Check**

We conducted a check of the group balance after the ATE and ATT weights were applied. Table 3 below shows the balance check results. Nonsignificant values indicate propensity scores successfully balanced the LEAD and control groups for these variables. Findings indicated that both ATE and ATT performed moderately well in balancing the groups; thus, we report findings for both ATE and ATT in this report.

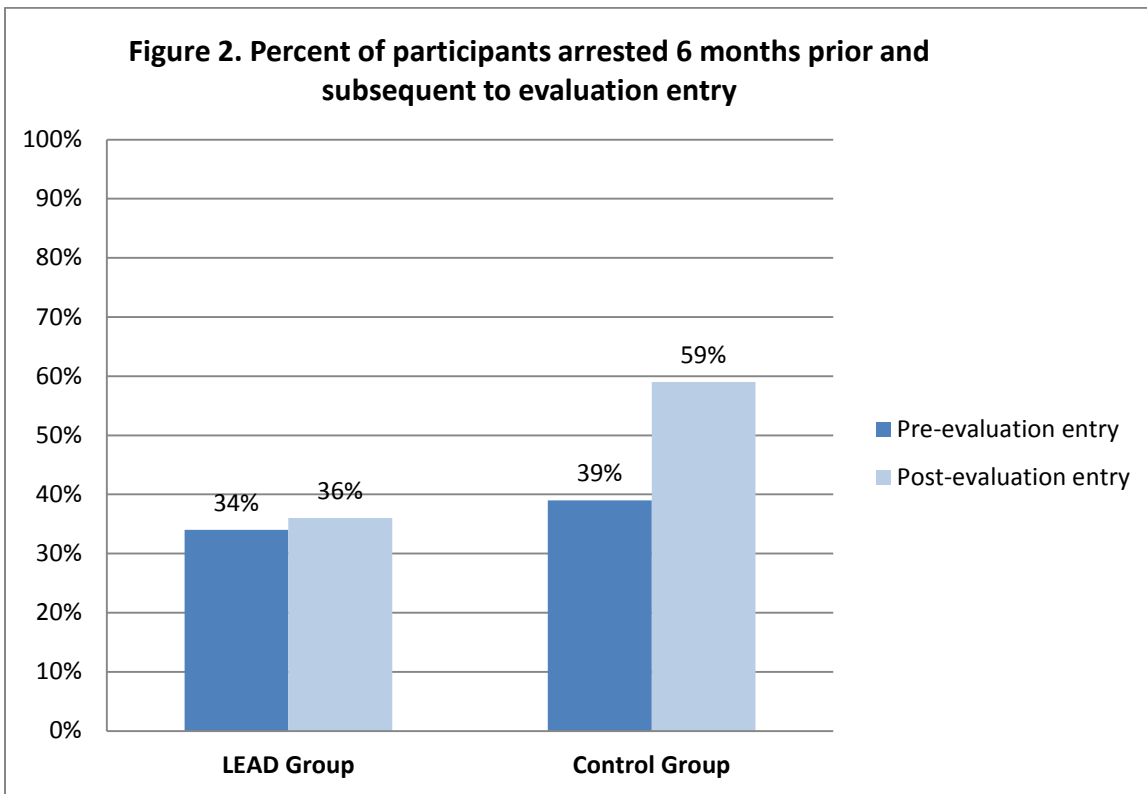
**Table 3. Group balance check following application of propensity score weights**

Covariates	Significance level of treatment imbalance (p-value)	
	ATE	ATT
Age	.03*	.11
Gender	.07	.13
<b>Race/ethnicity (dummy group: European American)</b>		
African American	.31	.37
Other race/ethnicity	.07	.05
Died	.21	.20
Overall years in evaluation	.002*	.003*
Total arrests prior to evaluation entry	.66	.37

Note: \*  $p < .05$ . See Tables 1, 3 for mean values for the imbalanced variables prior to propensity score generation.

**Primary Analyses**

**Shorter-term recidivism analyses.** The average treatment effect (ATE) model, which tested overall group effects, was significant,  $Wald X^2(3, N = 318) = 19.18, p < .001$ . The ATE indicated that, compared to control participants, LEAD participants had 60% lower odds of having at least one arrest subsequent to program entry. Specifically, the time x intervention group interaction effect was significant indicating a LEAD effect over time ( $OR = .49$ , robust  $SE = .16, p < .03$ ). The ATT model, which indicated the treatment effect for LEAD participants alone, was also significant,  $Wald X^2(3, N = 318) = 16.10, p = .001$ . The time x intervention group interaction was likewise significant ( $OR = .50$ , robust  $SE = .17, p = .04$ ), and indicated 57% lower odds of arrest subsequent to LEAD involvement. See Figure 2 below for the percentage of participants arrested in each group both six months prior and subsequent to evaluation entry. See Appendix A for full output and Appendix B for effect size calculations reported in this Primary Analysis section.



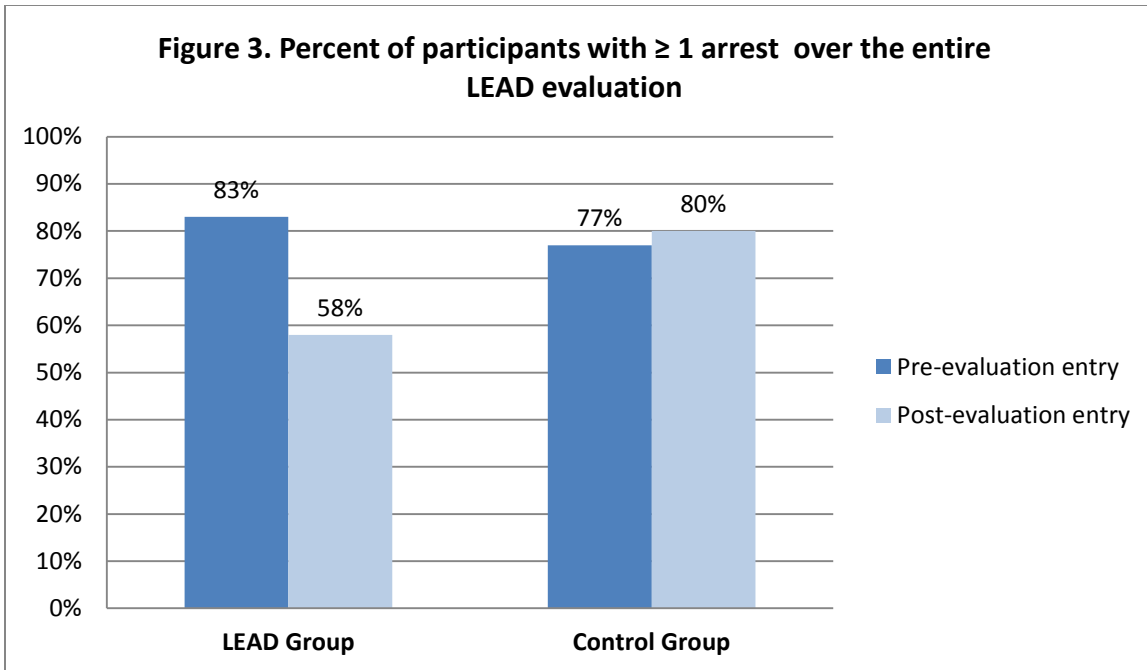
When we considered only nonwarrant arrests, however, these group differences were no longer statistically significant (model  $ps > .11$ ; see Table 4). Further, there were no statistically significant differences between the LEAD and control groups on total charges or felony charges for the 6-month analyses (model  $ps > .28$ ). See Table 4 for percentage of participants with arrests, total charges and felony charges both six months prior and subsequent to evaluation entry.

**Table 4. Short-term changes in recidivism (6 months pre- to 6 months postevaluation entry)**

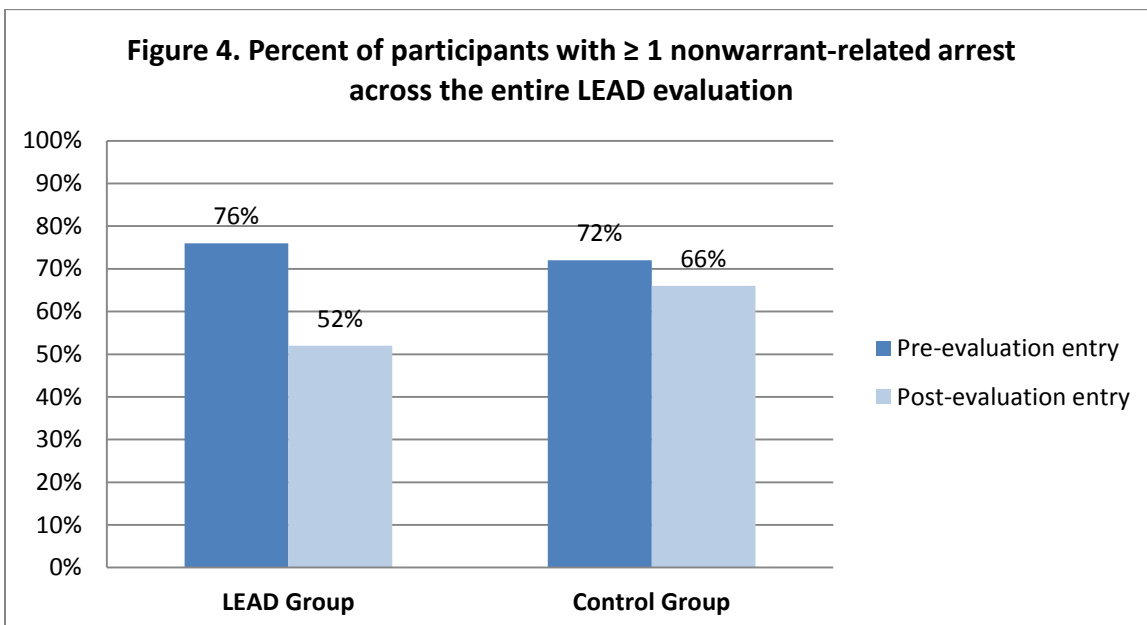
Recidivism measures	LEAD participants		Control participants	
	Pre	Post	Pre	Post
≥ one arrest*	34%	36%	39%	59%
≥ one nonwarrant arrest	24%	30%	29%	37%
≥ one charge	23%	28%	31%	26%
≥ one felony charge	7%	10%	9%	14%

Note: These values are unadjusted. \* = significant group difference favoring the LEAD group ( $p < .05$ ). Other group differences were not statistically significant.

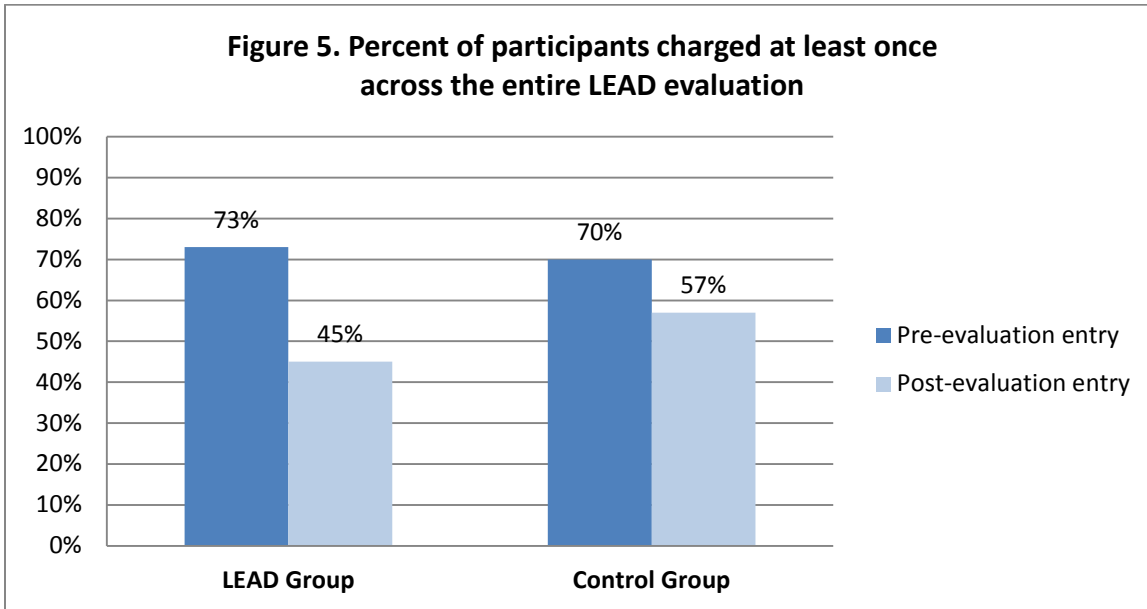
**Longer-term recidivism analyses.** After evaluating short-term LEAD outcomes, we expanded the evaluation time frame to encompass two years prior to the initial LEAD program start date (10/1/2009) to our evaluation close date (7/31/2014). The average treatment effect (ATE) model, which tested overall group effects, was significant, Wald  $X^2(4, N = 318) = 55.09, p < .001$ . The time x intervention group interaction showed a significant LEAD effect over time ( $OR = .30, robust SE = .11, p = .001$ ). This finding indicated that, compared to control participants, LEAD participants had 58% lower odds of being arrested at least once subsequent to program entry. The ATT model, which indicated the treatment effect for the LEAD participants alone, was significant, Wald  $X^2(4, N = 318) = 53.66, p < .001$ . Results indicated 56% lower odds of being arrested at least once subsequent to LEAD involvement, which was reflected in the significant time x intervention group interaction effect ( $OR = .29, robust SE = .11, p = .001$ ). See Figure 3 for the percentage of participants arrested at least once in each group prior and subsequent to evaluation entry.



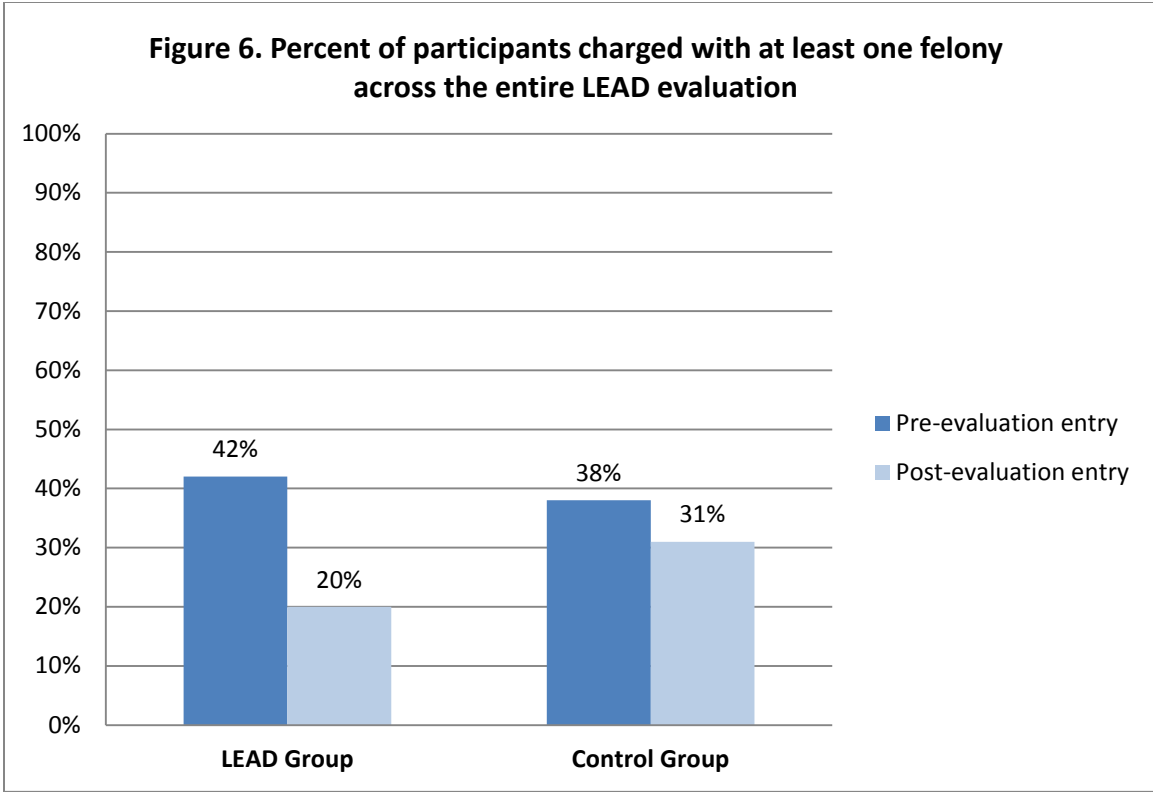
After warrant arrests were removed, the ATE, Wald  $\chi^2(4, N = 317) = 42.16, p < .001$ , and ATT, Wald  $\chi^2(4, N = 317) = 42.26, p < .001$ , models were significant. The ATE model indicated that the odds of at least one nonwarrant-related arrest among LEAD participants were 34% lower than those of control participants. The ATE interaction effect was marginally statistically significant ( $OR = .58$ , robust  $SE = .18, p = .09$ ); however, the ATT interaction effect was not ( $p = .11$ ). See Figure 4 for percentage of participants who were arrested for nonwarrant-related reasons.



Criminal charge models were statistically significant ( $p < .001$ ); however, the time x intervention group interactions were not ( $p > .18$ ). That said, descriptive statistics indicated that the group differences were in the desired direction (see Figure 5).



When we considered group differences for felony charges, the ATE model was significant,  $Wald X^2(4, N = 318) = 33.47, p < .001$ . The time x intervention group interaction effect indicated a significant LEAD effect over time ( $OR = .49, robust SE = .16, p = .03$ ). This finding indicated that, compared to control participants, LEAD participants had 39% lower odds of being charged with at least one felony subsequent to program entry. The ATT model, which indicated the treatment effect for the LEAD participants specifically, was significant,  $Wald X^2(4, N = 318) = 34.85, p < .001$ . Results indicated 36% lower odds of being charged with a felony subsequent to LEAD involvement, and this was reflected in a significant time x intervention group interaction ( $OR = .47, robust SE = .16, p = .02$ ). See Figure 6 below for the percentage of participants charged with at least one felony in each group prior and subsequent to evaluation entry.



## Discussion

The LEAD program is reaching a diverse population that has experienced the street-to-jail-to-street revolving door. Findings indicated that LEAD is associated with positive effects for some shorter- and longer-term recidivism outcomes.

### Arrest Outcomes

When looking at shorter-term, six-month arrest outcomes, there was a significant LEAD effect, which reflected the fact that the number of LEAD participants being arrested leveled off, whereas the number of control participants arrested increased. This shorter-term effect for arrests did not hold when warrant arrests were removed. Over the longer term, however, these effects were more pronounced. When the time frame was expanded to include recidivism since the start of data collection (10/1/09) until last summer (7/31/14), significantly fewer LEAD participants were arrested after they started LEAD, and there was a marginally significant effect for nonwarrant-related arrests, compared to control participants.

Taken together, arrest findings indicate positive LEAD effects on recidivism that are likely due to features of the LEAD program. All LEAD participants receive case management, which supports fulfillment of basic needs, including housing stability, job attainment and enrollment in drug and alcohol treatment. Further, LEAD participants' case managers coordinate with prosecutors to ensure nondiverted cases are managed to support and not compromise LEAD intervention plans.

It is, however, important to discuss other potential explanations for these findings. First, increases in the control group's odds of arrest following evaluation entry across all analyses are worth discussing. It is important to bear in mind that the Seattle West Precinct was subject to policy changes during the LEAD evaluation time period, which could have affected both the LEAD and control groups' rates of arrest. It is therefore possible that more focused enforcement—and not necessarily increased criminal activity—was responsible for increases in the prevalence of arrests in the control group. These larger, systemic changes, however, would not account for the LEAD group's drop in arrest prevalence, which would have been expected to reflect the same environmental conditions as the control group.

Another potential explanation for these findings is that officers could have made intentional decisions to avoid arresting LEAD participants. Upon further consideration, however, this explanation is not highly probable. Only approximately 40 of 1,300 SPD officers were involved in the LEAD program. Further, few—if any—officers outside of the LEAD squads were aware of individuals' group assignment. There were neither department-wide communications/trainings about the program nor system flags visible to officers that would signal LEAD participation. Thus, we are confident the observed LEAD effect in reducing arrest is not primarily due to intentional differences in decision-making by SPD officers.



## Charge Outcomes

Over the 6-month follow-up, LEAD participants did not show statistically significant differences in odds of being charged with a crime or being charged with a felony crime. When considered over the longer term, however, LEAD participants had significantly lower odds of being charged with a felony.

It should be noted that felonies were included for completeness in considering differentiated indices of recidivism. In contrast to arrests, however, this indicator could have been affected by the decisions of LEAD stakeholders, particularly the Trial Unit Chief for the King County Prosecutor. As an unblinded operational partner, the prosecutor's office could take into account LEAD participation and progress in the program when deciding whether and when to file felony charges. Thus, the lower odds of felony charges among LEAD participants compared to control participants could have been precipitated by differential decision-making in the prosecutor's office. As charges may be less purely indicative of changes in recidivism than arrest prevalence, these findings will likely play a more important role in the system utilization analysis that will be addressed in the next report.

## Understanding These Findings in the Context of Existing Evaluations

The present findings are particularly meaningful when placed in the context of the existing literature on interventions targeting recidivism. For example, nationwide meta-analyses and systematic reviews have shown that some programs targeting recidivism, including mental health court, drug court and tailored psychosocial interventions, are superior to mainstream criminal justice processing across various outcomes.<sup>21-23</sup> Closer to home, a recent Washington State Institute for Public Policy (WSIPP) evaluation found that existing evidence- and research-based approaches focusing on tailoring supervision to offender's relative risk level, motivation and needs had a small but significant collective effect ( $d = -.23$ ) and reduced recidivism by about 14 percentage points compared to traditional supervision.<sup>24</sup> It is notable that the current evaluation indicated LEAD had an even larger effect size ( $d = -.33$ ) and reduced recidivism by about 22 percentage points compared to the system as usual, which, in King County where this evaluation was conducted, includes various therapeutic courts. This evaluation therefore provides compelling support for LEAD—an innovative approach to reducing criminal recidivism—as a viable alternative to existing criminal justice system approaches.

## Limitations

This evaluation's limitations should be noted. First, large administrative datasets often feature missing data and clerical errors. That being said, we have no reason to believe such errors asymmetrically affected LEAD participants versus control participants.

Second, given real-world implementation realities, the originally planned randomization schema was relaxed, and a nonrandomized controlled design was employed in its place. To increase confidence in the causal impact of LEAD versus the system-as-usual control condition, both methodological and statistical approaches were used to balance the control and LEAD groups. For example, LEAD officers were trained on the application of the inclusion/exclusion criteria, and they made a systematic effort to identify qualifying LEAD, control and social contact participants using the same criteria. Further, there was no penalty to officers for excluding individuals from the evaluation based on the inclusion/exclusion criteria. LEAD squads were also consistent over the course of the evaluation for both control and LEAD groups; thus, the same officers were responsible for assessing all participants' inclusion/exclusion criteria over the course of the evaluation. Finally, we reduced the influence of potential selection bias using propensity score weighting, which is a statistical technique designed to ensure greater balance across groups and thereby decrease bias due to potentially confounding variables. The propensity scores balanced the groups on variables aside from years included in the evaluation. Thus, we controlled for this factor separately in primary outcome analyses.

Third, descriptive sample analyses indicated some significant baseline differences between LEAD and control groups. Specifically, the LEAD group comprised more older, female participants. However, since the groups were comparable in terms of recent criminal history, this difference does not seem likely to account for differences in post-entry recidivism. It is also worth noting that there was a higher proportion of African Americans in the control condition. Past arrest data suggest that drug arrests in the south end of the West Precinct were more likely to involve African-Americans than those in the Belltown neighborhood. The south end was, however, not included in the LEAD catchment area, and these participants were instead included in the control condition. Thus, the observed imbalance is more likely due to preexisting factors rather than officer behavior. Fortunately, this as well as all other baseline group demographic differences—accept the ATE for age—were successfully balanced by the propensity scores.

### **Conclusions and Future Directions**

Findings indicated positive effects of the LEAD program on reducing criminal recidivism over shorter six-month and longer evaluation-wide time frames. Specifically, the odds of arrests and felony charges were lower among LEAD versus control participants. The limitations of the current evaluation were ameliorated using both methodological and statistical approaches, which increased our confidence that the LEAD effects were due to the program itself and not other potentially confounding factors.

This report represents the second in a series that are being prepared by the University of Washington LEAD Evaluation Team over the next two years. The next report, which we plan to release in late spring of 2015, will describe our evaluation of the effectiveness of the LEAD

program compared to the system-as-usual control group on criminal and legal systems utilization and associated costs. Later reports will evaluate changes among LEAD participants on psychosocial, housing and quality-of-life outcomes.

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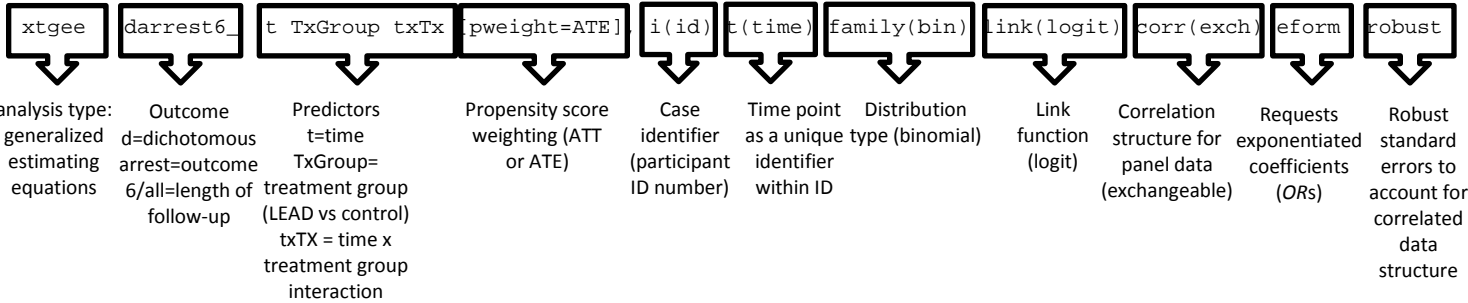
## APPENDICES

**Appendix A.** Primary outcome analysis output

**Appendix B.** Effect size calculations for interpretation of the interaction effect for the LEAD group

# APPENDIX A. Primary outcome analysis output

## Key for abbreviations used in this output



```
. xtgee darrest6_ t TxGroup txTx [pweight=ATE], i(id) t(time) family(bin) link(logit) corr(exc
> h) eform robust
```

Iteration 1: tolerance = 6.874e-11

```
GEE population-averaged model
Group variable:          id          Number of obs      =      636
Link:                   logit       Number of groups   =      318
Family:                 binomial    Obs per group: min =        2
Correlation:           exchangeable          avg =      2.0
                                      max =        2
                                      Wald chi2(3)     =     19.18
Scale parameter:       1           Prob > chi2        =     0.0003
```

(Std. Err. adjusted for clustering on id)

darrest6_	Odds Ratio	Robust Std. Err.	z	P> z	[95% Conf. Interval]	
t	2.226787	.5723846	3.11	0.002	1.345493	3.685325
TxGroup	.8137984	.2001108	-0.84	0.402	.5025841	1.317725
txTx	.49352	.1575403	-2.21	0.027	.2639893	.922621
_cons	.6124741	.1195511	-2.51	0.012	.4177712	.8979185

```
. xtgee darrest6_ t TxGroup txTx [pweight=ATT], i(id) t(time) family(bin) link(logit) corr(exc
> h) eform robust
```

Iteration 1: tolerance = 3.891e-11

```
GEE population-averaged model
Group variable:          id          Number of obs      =      636
Link:                   logit       Number of groups   =      318
Family:                 binomial    Obs per group: min =        2
Correlation:           exchangeable          avg =      2.0
                                      max =        2
                                      Wald chi2(3)     =     16.10
Scale parameter:       1           Prob > chi2        =     0.0011
```

(Std. Err. adjusted for clustering on id)

darrest6_	Odds Ratio	Robust Std. Err.	z	P> z	[95% Conf. Interval]	
t	2.210097	.5983857	2.93	0.003	1.300013	3.757292
TxGroup	.8543784	.2154594	-0.62	0.533	.5211851	1.400582
txTx	.5044208	.1664102	-2.07	0.038	.2642279	.962958
_cons	.5895558	.1199757	-2.60	0.009	.3956432	.8785086



```
. xtgee dcharge6_ t TxGroup txTx [pweight=ATE], i(id) t(time) family(bin) link(logit) corr(exc
> h) eform robust
```

Iteration 1: tolerance = 1.147e-10

```
GEE population-averaged model
Group variable:          id      Number of obs      =      636
Link:                  logit    Number of groups   =      318
Family:                binomial  Obs per group: min =        2
Correlation:           exchangeable          avg          =      2.0
                                                max          =        2
                                                Wald chi2(3)   =      3.30
Scale parameter:       1        Prob > chi2       =      0.3473
```

(Std. Err. adjusted for clustering on id)

dcharge6_	Odds Ratio	Robust Std. Err.	z	P> z	[95% Conf. Interval]	
t	.7331703	.209313	-1.09	0.277	.4189818	1.282964
TxGroup	.6443475	.171368	-1.65	0.098	.382594	1.085181
txTx	1.769279	.6270393	1.61	0.107	.8833386	3.543769
_cons	.450501	.092713	-3.87	0.000	.3009668	.6743307

```
. xtgee dcharge6_ t TxGroup txTx [pweight=ATT], i(id) t(time) family(bin) link(logit) corr(exc
> h) eform robust
```

Iteration 1: tolerance = 1.400e-10

```
GEE population-averaged model
Group variable:          id      Number of obs      =      636
Link:                  logit    Number of groups   =      318
Family:                binomial  Obs per group: min =        2
Correlation:           exchangeable          avg          =      2.0
                                                max          =        2
                                                Wald chi2(3)   =      3.26
Scale parameter:       1        Prob > chi2       =      0.3533
```

(Std. Err. adjusted for clustering on id)

dcharge6_	Odds Ratio	Robust Std. Err.	z	P> z	[95% Conf. Interval]	
t	.701397	.2100087	-1.18	0.236	.3900331	1.261323
TxGroup	.6562352	.1790887	-1.54	0.123	.3843827	1.120354
txTx	1.853739	.6780948	1.69	0.092	.9050663	3.796792
_cons	.4464765	.0960485	-3.75	0.000	.2928758	.6806342

```
. xtgee dfelony6_ t TxGroup txTx [pweight=ATE], i(id) t(time) family(bin) link(logit) corr(exc
> h) eform robust
```

Iteration 1: tolerance = 7.939e-07

```
GEE population-averaged model
Group variable:          id      Number of obs      =      636
Link:                  logit    Number of groups   =      318
Family:                binomial  Obs per group: min =        2
Correlation:           exchangeable          avg          =      2.0
                                                max          =        2
                                                Wald chi2(3)   =      3.80
Scale parameter:       1        Prob > chi2       =      0.2841
```

(Std. Err. adjusted for clustering on id)

dfelony6_	Odds Ratio	Robust Std. Err.	z	P> z	[95% Conf. Interval]	
t	1.639358	.7094269	1.14	0.253	.7019709	3.828499
TxGroup	.8020622	.3501033	-0.51	0.613	.3409221	1.886952
txTx	.947415	.519472	-0.10	0.922	.3234614	2.774968
_cons	.0930288	.0312686	-7.07	0.000	.0481409	.1797714

```
. xtgee dfelony6_ t TxGroup txTx [pweight=ATT], i(id) t(time) family(bin) link(logit) corr(exc
> h) eform robust
```

Iteration 1: tolerance = 5.471e-07

```
GEE population-averaged model          Number of obs   =      636
Group variable:                        id              Number of groups =      318
Link:                                  logit           Obs per group: min =       2
Family:                                binomial        avg =             2.0
Correlation:                           exchangeable    max =             2
                                           Wald chi2(3)    =       3.41
Scale parameter:                        1              Prob > chi2     =     0.3331
```

(Std. Err. adjusted for clustering on id)

dfelony6_	Odds Ratio	Robust Std. Err.	z	P> z	[95% Conf. Interval]	
t	1.59348	.7000028	1.06	0.289	.6736293	3.769403
TxGroup	.8112143	.3600199	-0.47	0.637	.3399141	1.935985
txTx	.9775409	.5447402	-0.04	0.967	.3279427	2.913881
_cons	.0913126	.0316316	-6.91	0.000	.046309	.1800511

```
. xtgee dwarrest6_ t TxGroup txTx [pweight=ATE], i(id) t(time) family(bin) link(logit) corr(ex
> ch) eform robust
```

Iteration 1: tolerance = 2.319e-09

```
GEE population-averaged model          Number of obs   =      634
Group variable:                        id              Number of groups =      317
Link:                                  logit           Obs per group: min =       2
Family:                                binomial        avg =             2.0
Correlation:                           exchangeable    max =             2
                                           Wald chi2(3)    =       5.90
Scale parameter:                        1              Prob > chi2     =     0.1168
```

(Std. Err. adjusted for clustering on id)

dwarrest6_	Odds Ratio	Robust Std. Err.	z	P> z	[95% Conf. Interval]	
t	1.447434	.3934268	1.36	0.174	.8496379	2.465833
TxGroup	.7961789	.2141083	-0.85	0.397	.4700084	1.348701
txTx	.9553831	.3275748	-0.13	0.894	.4878921	1.870817
_cons	.3820835	.0807838	-4.55	0.000	.2524579	.5782658

```
. xtgee dwarrest6_ t TxGroup txTx [pweight=ATT], i(id) t(time) family(bin) link(logit) corr(ex
> ch) eform robust
```

Iteration 1: tolerance = 9.001e-10

```
GEE population-averaged model          Number of obs   =      634
Group variable:                        id              Number of groups =      317
Link:                                  logit           Obs per group: min =       2
Family:                                binomial        avg =             2.0
Correlation:                           exchangeable    max =             2
                                           Wald chi2(3)    =       5.12
Scale parameter:                        1              Prob > chi2     =     0.1632
```

(Std. Err. adjusted for clustering on id)

dwarrest6_	Odds Ratio	Robust Std. Err.	z	P> z	[95% Conf. Interval]	
t	1.460824	.4200739	1.32	0.188	.8314324	2.566664
TxGroup	.8532817	.2361269	-0.57	0.566	.496068	1.467721
txTx	.9495852	.3359098	-0.15	0.884	.4747082	1.899508
_cons	.3629252	.0805065	-4.57	0.000	.2349622	.5605783

```
. xtgee darrestall_ t TxGroup txTx evaltime [pweight=ATE], i(id) t(time) family(bin) link(logi
> t) corr(exch) eform robust
```

Iteration 1: tolerance = .01567455  
 Iteration 2: tolerance = .00027194  
 Iteration 3: tolerance = 5.455e-06  
 Iteration 4: tolerance = 8.671e-08

GEE population-averaged model  
 Group variable: id  
 Link: logit  
 Family: binomial  
 Correlation: exchangeable  
 Scale parameter: 1

Number of obs = 636  
 Number of groups = 318  
 Obs per group: min = 2  
 avg = 2.0  
 max = 2  
 Wald chi2(4) = 55.09  
 Prob > chi2 = 0.0000

(Std. Err. adjusted for clustering on id)

darrestall_	Odds Ratio	Robust Std. Err.	z	P> z	[95% Conf. Interval]	
t	2.836746	1.032337	2.87	0.004	1.390127	5.788771
TxGroup	1.409593	.420773	1.15	0.250	.7852436	2.530365
txTx	.2983829	.1065201	-3.39	0.001	.1482185	.6006831
evaltime	1.902659	.2935394	4.17	0.000	1.406173	2.574442
_cons	.4395685	.2283035	-1.58	0.114	.1588286	1.216535

```
. xtgee darrestall_ t TxGroup txTx evaltime [pweight=ATT], i(id) t(time) family(bin) link(logi
> t) corr(exch) eform robust
```

Iteration 1: tolerance = .01447  
 Iteration 2: tolerance = .00018418  
 Iteration 3: tolerance = 3.288e-06  
 Iteration 4: tolerance = 4.140e-08

GEE population-averaged model  
 Group variable: id  
 Link: logit  
 Family: binomial  
 Correlation: exchangeable  
 Scale parameter: 1

Number of obs = 636  
 Number of groups = 318  
 Obs per group: min = 2  
 avg = 2.0  
 max = 2  
 Wald chi2(4) = 53.66  
 Prob > chi2 = 0.0000

(Std. Err. adjusted for clustering on id)

darrestall_	Odds Ratio	Robust Std. Err.	z	P> z	[95% Conf. Interval]	
t	2.777839	1.06185	2.67	0.008	1.313193	5.876049
TxGroup	1.503565	.4569244	1.34	0.180	.8287947	2.727704
txTx	.2920957	.1075516	-3.34	0.001	.1419407	.6010954
evaltime	1.867028	.2884276	4.04	0.000	1.379282	2.527253
_cons	.4444125	.2358074	-1.53	0.126	.1570849	1.257297

```
. xtgee dwarrestall_ t TxGroup txTx evaltime [pweight=ATE], i(id) t(time) family(bin) link(log
> it) corr(exch) eform robust
```

Iteration 1: tolerance = .0192158  
 Iteration 2: tolerance = .00031694  
 Iteration 3: tolerance = 5.390e-06  
 Iteration 4: tolerance = 8.497e-08

GEE population-averaged model  
 Group variable: id Number of obs = 634  
 Link: logit Number of groups = 317  
 Family: binomial Obs per group: min = 2  
 Correlation: exchangeable avg = 2.0  
 max = 2  
 Wald chi2(4) = 42.16  
 Scale parameter: 1 Prob > chi2 = 0.0000

(Std. Err. adjusted for clustering on id)

dwarrestall_	Odds Ratio	Robust Std. Err.	z	P> z	[95% Conf. Interval]	
t	1.108003	.3593668	0.32	0.752	.5867652	2.092269
TxGroup	1.135148	.30573	0.47	0.638	.6695728	1.924451
txTx	.5838587	.1828716	-1.72	0.086	.3160102	1.078734
evaltime	1.417918	.1899503	2.61	0.009	1.090487	1.843663
_cons	.8728559	.4125679	-0.29	0.774	.3456288	2.204323

```
. xtgee dwarrestall_ t TxGroup txTx evaltime [pweight=ATT], i(id) t(time) family(bin) link(log
> it) corr(exch) eform robust
```

Iteration 1: tolerance = .01876881  
 Iteration 2: tolerance = .0002751  
 Iteration 3: tolerance = 4.419e-06  
 Iteration 4: tolerance = 6.268e-08

GEE population-averaged model  
 Group variable: id Number of obs = 634  
 Link: logit Number of groups = 317  
 Family: binomial Obs per group: min = 2  
 Correlation: exchangeable avg = 2.0  
 max = 2  
 Wald chi2(4) = 42.26  
 Scale parameter: 1 Prob > chi2 = 0.0000

(Std. Err. adjusted for clustering on id)

dwarrestall_	Odds Ratio	Robust Std. Err.	z	P> z	[95% Conf. Interval]	
t	1.064584	.3518934	0.19	0.850	.5569539	2.034889
TxGroup	1.173192	.3233712	0.58	0.562	.683517	2.013673
txTx	.5935156	.1908217	-1.62	0.105	.3160542	1.114558
evaltime	1.410193	.1872166	2.59	0.010	1.08711	1.829295
_cons	.8725695	.4129598	-0.29	0.773	.3451064	2.206211

```
. xtgee dchargeall_ t TxGroup txTx evaltime [pweight=ATE], i(id) t(time) family(bin) link(logi
> t) corr(exch) eform robust
```

Iteration 1: tolerance = .01251121  
 Iteration 2: tolerance = .00006101  
 Iteration 3: tolerance = 6.108e-07

```
GEE population-averaged model          Number of obs   =      636
Group variable:                        id               Number of groups =      318
Link:                                  logit            Obs per group: min =       2
Family:                                binomial         avg =                2.0
Correlation:                           exchangeable     max =                2
                                           Wald chi2(4)     =      46.27
Scale parameter:                        1               Prob > chi2       =      0.0000
```

(Std. Err. adjusted for clustering on id)

dchargeall_	Odds Ratio	Robust Std. Err.	z	P> z	[95% Conf. Interval]	
t	.8663963	.2738005	-0.45	0.650	.4663564	1.60959
TxGroup	1.099226	.2940063	0.35	0.724	.6507567	1.856757
txTx	.644395	.2174559	-1.30	0.193	.332589	1.248523
evaltime	1.410499	.1990524	2.44	0.015	1.069669	1.859928
_cons	.8013325	.3760103	-0.47	0.637	.3194496	2.010126

```
. xtgee dchargeall_ t TxGroup txTx evaltime [pweight=ATT], i(id) t(time) family(bin) link(logi
> t) corr(exch) eform robust
```

Iteration 1: tolerance = .01285182  
 Iteration 2: tolerance = .00005905  
 Iteration 3: tolerance = 6.400e-07

```
GEE population-averaged model          Number of obs   =      636
Group variable:                        id               Number of groups =      318
Link:                                  logit            Obs per group: min =       2
Family:                                binomial         avg =                2.0
Correlation:                           exchangeable     max =                2
                                           Wald chi2(4)     =      47.91
Scale parameter:                        1               Prob > chi2       =      0.0000
```

(Std. Err. adjusted for clustering on id)

dchargeall_	Odds Ratio	Robust Std. Err.	z	P> z	[95% Conf. Interval]	
t	.861725	.2828659	-0.45	0.650	.452853	1.63976
TxGroup	1.122255	.3069712	0.42	0.673	.656541	1.918321
txTx	.6357422	.2190762	-1.31	0.189	.3235622	1.24912
evaltime	1.416724	.19809	2.49	0.013	1.07713	1.863385
_cons	.7879315	.3721243	-0.50	0.614	.312236	1.988355

```
. xtgee dfelonyall_ t TxGroup txTx evaltime [pweight=ATE], i(id) t(time) family(bin) link(logi
> t) corr(exch) eform robust
```

Iteration 1: tolerance = .01610324  
 Iteration 2: tolerance = .00008353  
 Iteration 3: tolerance = 4.640e-06  
 Iteration 4: tolerance = 2.301e-08

GEE population-averaged model  
 Group variable: id  
 Link: logit  
 Family: binomial  
 Correlation: exchangeable  
 Scale parameter: 1

Number of obs = 636  
 Number of groups = 318  
 Obs per group: min = 2  
 avg = 2.0  
 max = 2  
 Wald chi2(4) = 33.47  
 Prob > chi2 = 0.0000

(Std. Err. adjusted for clustering on id)

dfelonyall_	Odds Ratio	Robust Std. Err.	z	P> z	[95% Conf. Interval]	
t	.9341366	.3235802	-0.20	0.844	.4737601	1.841884
TxGroup	1.239366	.3003752	0.89	0.376	.7707268	1.992959
txTx	.4888799	.1591162	-2.20	0.028	.2583216	.925217
evaltime	1.186283	.1660111	1.22	0.222	.9017152	1.560657
_cons	.3347915	.1656909	-2.21	0.027	.1269136	.8831626

```
. xtgee dfelonyall_ t TxGroup txTx evaltime [pweight=ATT], i(id) t(time) family(bin) link(logi
> t) corr(exch) eform robust
```

Iteration 1: tolerance = .0174253  
 Iteration 2: tolerance = .00009575  
 Iteration 3: tolerance = 6.315e-06  
 Iteration 4: tolerance = 3.247e-08

GEE population-averaged model  
 Group variable: id  
 Link: logit  
 Family: binomial  
 Correlation: exchangeable  
 Scale parameter: 1

Number of obs = 636  
 Number of groups = 318  
 Obs per group: min = 2  
 avg = 2.0  
 max = 2  
 Wald chi2(4) = 34.85  
 Prob > chi2 = 0.0000

(Std. Err. adjusted for clustering on id)

dfelonyall_	Odds Ratio	Robust Std. Err.	z	P> z	[95% Conf. Interval]	
t	.9617581	.3433658	-0.11	0.913	.4777171	1.936248
TxGroup	1.347295	.3332451	1.21	0.228	.829704	2.187772
txTx	.4716183	.1556055	-2.28	0.023	.2470277	.9004005
evaltime	1.195887	.1678032	1.27	0.202	.9083476	1.574447
_cons	.3030095	.1514837	-2.39	0.017	.1137403	.8072312

## Appendix B. Effect size calculations for interpretation of the interaction effect for the LEAD group

Outcomes	Intervention group <i>OR</i>	Interaction <i>OR</i>	<i>OR</i> incident at follow-up	Reduction/Increase
arrest6 ATE	0.8137984	0.49352	0.40	-0.60
arrest6 ATT	0.8543784	0.5044208	0.43	-0.57
arrestall ATE	1.409593	0.2983829	0.42	-0.58
arrestall ATT	1.503565	0.2920957	0.44	-0.56
warrest6 ATE	0.7961789	0.9553831	0.76	-0.24
warrest6 ATT	0.8532817	0.9495852	0.81	-0.19
warrestall ATE	1.135148	0.5838587	0.66	-0.34
warrestall ATT	1.173192	0.5935156	0.70	-0.30
charge6 ATE	0.6443475	1.769279	1.14	0.14
charge6 ATT	0.6562352	1.853739	1.22	0.22
chargeall ATE	1.099226	0.644395	0.71	-0.29
chargeall ATT	1.122255	0.6357422	0.71	-0.29
felony6 ATE	0.8020622	0.947415	0.76	-0.24
felony6 ATT	0.8112143	0.9775409	0.79	-0.21
felonyall ATE	1.239366	0.4888799	0.61	-0.39
felonyall ATT	1.347295	0.4716183	0.64	-0.36

**Notes:** Outcomes followed by a “6” indicate shorter-term, six-month outcomes; whereas outcomes followed by “all” indicate longer-term, evaluation-wide outcomes. ATT = Average treatment effect for the LEAD participants. ATE = Average overall treatment effect. OR = Odds ratio.

# The San Francisco Sentencing Commission

## City & County of San Francisco

(Administrative Code 5.250 through 5.250-3)

Recidivism Definition Summary		
Agency	Definition	Notes
CA Attorney General	An arrest resulting in a charge within three years of an individual's release from incarceration or placement on supervision for a previous criminal conviction.	Released on the same day as the statewide AG definition: The <b>California Recidivism Index</b> charts three major indicators of seriousness – offense type, frequency, and timing. The Index is a focused and centralized method for policymakers and local authorities to design and target programs to areas of need, as well as assess the effectiveness of such programs.
Board of State and Community Corrections	Recidivism is defined as a conviction of a new crime committed within three years of release from custody or committed within three years of placement on supervision for a previous criminal conviction.	The base definition was developed to promote consistent statewide reporting. However other useful elements can be measured to better understand recidivism trends. These include, but are not limited to arrests, returns to custody, and technical violations of conditions of supervision.
Chief Probation Officers of California	A subsequent criminal adjudication/conviction while on probation supervision.	In creating a measurement method, it is important to start with a population that is comparable across counties and that will minimize the impact of county differences in case processing and probation practices. Termination (case closure) provides a straightforward definition that allows for the creation of a consistent population of those “exiting” probation.
	Adult: Of those terminated or closed from all adult grants of probation in a given time period, provide a count of how many had new law convictions during their time under supervision  Juvenile: Of those terminated or closed from a juvenile grant of probation in a given time period, provide a count of how many had new true findings / law convictions during their time under supervision	
California State Sheriff's Association	Recidivism is defined as arrest and conviction for a new crime within three years of release from custody for a previous criminal conviction. This does not include arrest and disposition for a technical violation of parole, probation, court ordered or mandatory supervision.	

The Recidivism Workgroup recommends that the San Francisco Sentencing Commission develop a multicomponent definition for Recidivism addressing the following points of contact with the adult criminal justice system:

- 1) Arrest
- 2) Re-incarceration
- 3) Arraignment
- 4) Conviction

The Recidivism Workgroup will use this structure to develop a comprehensive recidivism definition; a structured plan for data collection and analysis; and a dissemination plan. The Workgroup also discussed reviewing recidivism outcomes for specific interventions and subpopulations. The full proposal will be presented to the Sentencing Commission at the September 23<sup>rd</sup> meeting.