



# PERFORMANCE INCENTIVE FUNDING FOR PRISON DIVERSION

An implementation study of the DuPage County Adult Redeploy  
Illinois Program

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# **Performance incentive funding for prison diversion:**

## **An implementation study of the DuPage County Adult Redeploy Illinois Program**

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# Key findings

Adult Redeploy Illinois (ARI) was designed as a response to the high numbers of non-violent offenders incarcerated in Illinois' prisons at great cost to the state. Participating ARI counties divert non-violent offenders from prison and into community corrections programs. These programs are less expensive than prison and designed to be more effective at reducing recidivism. They are required to reduce the number of individuals sent to IDOC from an eligible target population during the grant period—typically 12 months—by at least 25 percent.

This evaluation of DuPage County ARI explored both planning and implementation of ARI programming during its pilot phase starting January 1, 2011 and concluding in June 30, 2012. Data collection had four main components: interviews with ARI program staff and stakeholders, interviews with ARI clients, analysis of ARI administrative data, and analysis of clients' criminal history record information. Key findings from the evaluation of the DuPage County ARI Intensive Probation Supervision (IPS) program with a treatment focus include:

## Program outcomes

- DuPage County's ARI program exceeded its 25 percent prison admission reduction goal. The program successfully diverted 127 non-violent individuals from IDOC, far surpassing its goal of 35.
- Of the 37 clients who were closed (or terminated) from the ARI program, 46 percent successfully completed the program (n=17), while 27 percent had been re-sentenced to IDOC (n=10).
- Of the 106 ARI clients in the sample, 18 percent were arrested while participating in the program (n=19). Of them, 8 percent were arrested for a felony arrest and 3 percent were arrested for a violent crime.
- Program administrators implemented with fidelity eight of 10 Intensive Probation Supervision (IPS) components, but could work toward more fully implementing two components—(1) creating minimum and maximum length of participation and (2) setting contact levels with higher levels initially to lower levels in final stages.

## Client characteristics

- ARI clients in DuPage County were mostly male, white, unmarried, and unemployed with a high school diploma, and living with friends or family.
- Based on criminal histories, risk assessment instruments, and previous probation non-compliance, DuPage County targeted individuals at high risk for recidivism for participation in the program.

- Almost half of the ARI clients were sentenced for a Class 4 felony. Many clients (40 percent) were convicted of a drug offense and 24 percent were convicted of a property offense.
- Slightly more than half of ARI clients were determined to be at high risk for recidivism based on the Level of Service Inventory Revised (LSI-R), a validated instrument that assesses the risk (53 percent).
- DuPage County ARI clients averaged six prior arrests, with 86 percent of clients arrested for a felony offense and 14 percent previously incarcerated.
- According to nine interviewed clients, they met with their probation officer face-to-face an average of two times each month lasting an average of 38 minutes per client.
- Of five interviewed clients who received rewards for following the rules of the program, all found them to be good motivators to do well in the program. The average number of rewards each person received was six.

### **About DuPage County ARI program operations**

- DuPage County probation officers reported ARI caseloads of about 30 clients.
- DuPage County ARI clients interviewed for the evaluation met with their probation officers face-to-face about twice per month for an average of 38 minutes.
- ARI probation officers stated that clients participated in the program for a minimum of six months, often longer, and then transitioned to less intensive probation.
- ARI probation officers said they used the following tools: *Effective Practices in Community Supervision* (EPICS), a highly structured, cognitive-behavioral supervision model, *Thinking for a Change* (T4C), an integrated, cognitive-behavioral change program, and *Carey Guides* which offer homework assignments for clients to better identify and understand factors underlying their offending behavior.
- ARI clients stated they were required to submit to random drug testing administered at unknown days and times.
- Eight of the nine interviewed clients indicated continuous probation supervision was maintained and responses to program noncompliance were immediate.
- Seven interviewed clients shared that they had violated a condition of ARI supervision. As a result they had all received sanctions, the most common of which was a written reprimand.

- Five interviewed clients said they received rewards or incentives in the program (an average of six each) for following the rules and being honest. All five found these incentives to be good motivators to do well in the program.
- Nine interviewed clients agreed with the positive statements about their probation officers—officers treated them with respect, were fair, were concerned about them, and helped them be compliant with probation.

With 127 diversions, the DuPage County ARI program exceeded its goal of reducing prison commitments of the non-violent target population by 25 percent. Probation officers reported offering clients evidence-based, cognitive-behavioral supervision and services. Overall, clients highly regarded the ARI program and their probation officers. However, improvements are needed in implementing two components—(1) creating minimum and maximum length of participation and (2) maintaining probationer contact with higher levels initially to lower levels in final stages. While there are opportunities for further impact, the DuPage County ARI program appears promising as a model for future prison diversion programs.



# Introduction

Although crime rates have steadily declined across Illinois since the early 1990s, first-time court sentences to prison increased 36 percent between 1990 and 2012, from 14,109 to 22,125 (Illinois Criminal Justice Information Authority, 2013). In 2012, Illinois was ranked eighth-highest in prison population in the United States (Carson & Golinelli, 2013). In 2013, there were 186 new court admissions to the Illinois Department of Corrections (IDOC) per 100,000 population. Increasing prisoner populations in IDOC facilities are the result of a combination of factors, including increases in arrests for certain types of offenses, increases in the proportion of felons being sentenced to prison, and changes in statutes that increased penalties for crimes (Olson, Stemen, & Saltmarsh, 2012). This has led to prison overcrowding. In 2012, IDOC housed about 48,000 prisoners, about 14,000 more than the facilities were designed to hold (Illinois Department of Corrections, 2012). According to IDOC's State Fiscal Year (SFY) 2012 Annual Report, the total taxpayer cost of prisons in Illinois was \$1.28 billion with an average annual cost of about \$21,500 per inmate.

While many prisoners need services such as substance abuse or mental health services, few are able to participate with limited programming available. One study found 65 percent of all U.S. inmates meet medical criteria for substance abuse addiction, but only 11 percent receive treatment (National Center on Addiction and Substance Abuse, 2010). In 2011 in Illinois, 7,732 inmates (16 percent) were enrolled in substance abuse treatment programs (Illinois Department of Corrections, 2012). Low-level offenders sentenced to a shorter period of incarceration are often ineligible for treatment because they are not in the system long enough.

Without needed services, inmates are released back to the community with few legitimate resources and prospects, and unaddressed criminogenic needs. Illinois prisons have become a "revolving door" as evidenced by high recidivism rates. According to IDOC, 47 percent of inmates released during SFY08 returned to prison within three years, most after being sentenced for another offense.

The majority of prison admissions in Illinois are for lower-level felony offenses with a maximum sentence of less than five years. Since 2000, Class 3 and Class 4 felony offenses have accounted for more than 50 percent of admissions to IDOC (Olson, Stemen, & Saltmarsh, 2012). The largest group of prison admissions in Illinois has been for drug-related offenses, most often possession of a controlled substance.

Based on an analysis of IDOC data, the majority of Class 3 (74 percent) and 4 offenders (89 percent) admitted to IDOC are eligible for probation. Sixty-three percent of Illinois felony probationers were convicted of Class 3 and 4 felonies (Olson, Stemen, & Saltmarsh, 2012). Rearrests rates have been found to be lower for probationers who receive services, particularly substance abuse treatment, than those who do not. Unfortunately, needed services are not available to every probationer that could benefit from them due to a lack of funding, limited availability, and a lack of reliable transportation options in rural areas.

While incarceration plays a vital role in protecting public safety, research has shown that current rates of incarceration have not led to higher levels of crime prevention, and that prisons have been found to have a criminogenic effect on incarcerated individuals. This leads to higher post-release recidivism rates compared to those who receive services under Intensive Probation Supervision (IPS) (Cullen, Jonson, & Nagin, 2011; Lowenkamp, Paler, Smith, & Latessa, 2006). Additionally, first-time imprisonment has been found to increase criminal activity more than community-based sanctions (Nieuwebeerta, Nagin, & Blokland, 2009; Cullen, Jonson, & Nagin, 2006; Spohn & Holleran, 2002).

Over the last decade, states have started heeding research indicating little return on the financial costs of increasing sentence lengths for low-level offenders and incarcerating non-violent offenders (Pew Center on the States, 2012). Seven states in addition to Illinois (Arkansas, California, Kansas, Kentucky, Ohio, South Carolina, and Texas) enacted legislation to create performance incentive funding (PIF) programs through which community corrections agencies receive part of the state savings achieved when they improve their outcomes and send fewer offenders to prison (Vera, 2012).

Adult Redeploy Illinois (ARI) was established by the Crime Reduction Act [Public Act 96-0761] to provide financial incentives to local jurisdictions for programs that allow diversion of non-violent offenders from state prisons by providing community-based services. Grants are provided to counties, groups of counties, and judicial circuits to increase programming in their areas, in exchange for reducing the number of people they send to IDOC.

Results expected with ARI include reduced prison overcrowding (based on other states' experiences, with no increase in crime), lowered cost to taxpayers—\$21,500 a year for prison versus less than \$200 total for drug school for first offenders or \$3,500 on average for drug treatment), and an end to the expensive vicious cycle of crime and incarceration.

This report focuses on implementation of the ARI program in DuPage County. The evaluation used a combination of staff and client interview data, administrative program data, arrest data, and prison records.

# About Adult Redeploy Illinois

## Background

Adult Redeploy Illinois (ARI) was developed, in part, based on the model of a successful juvenile program started in 2005 called Redeploy Illinois (RI). RI was developed out of recognition that it is detrimental to send juveniles to state facilities for evaluation when these services can be provided in the community more effectively and at a lower cost to taxpayers. To shift the evaluation of juveniles to the community, RI provides funding to individual counties or judicial circuits to divert youth ages 13 to 18 from IDJJ facilities through needs assessments and a continuum of care designed to address their needs. Any local jurisdiction funded through RI must divert 25 percent of their target population from IDJJ. RI has eight sites in 28 counties and boasts a 51 percent reduction in juvenile incarcerations in RI counties (Illinois Department of Human Services, 2013). In 2010, RI effectively diverted 184 juveniles away from incarceration, saving Illinois \$9 million dollars (Kethineni, 2012).

The Crime Reduction Act of 2009 was passed to manage corrections costs, provide appropriate services to offenders on the basis of their risks and needs, and reduce crime. Included in that Act was the creation of ARI. ARI awards funds to counties to divert adult non-violent offenders from state prisons by developing and implementing evidence-based programs in the community. ARI was first funded by a multi-year \$4 million grant from the American Recovery and Reinvestment Act of 2009 (ARRA), administered by ICJIA. As ARI has demonstrated success with its goal of diverting offenders in a cost-effective manner, the Illinois General Assembly allocated \$2 million in SFY13 and \$7 million in SFY14 to support the program.

ARI is a performance-incentive funding program, in that a monetary penalty can be assessed by the ARI Oversight Board if a jurisdiction fails to meet its target of reduced prison admissions set during the planning process. The penalty, as determined by the ARI Oversight Board, is no more than half of the marginal cost of a year in IDOC per individual that is below the ARI site's reduction goal. For example, the marginal cost of incarceration in SFY09 was \$5,000, which would mean a penalty of no more than \$2,500 per individual short of the reduction goal.

Adult Redeploy Illinois is governed by strict statutory eligibility criteria that clients must meet before being considered for enrollment. To be considered for participation, a client must be eligible for probation, must not be on parole or mandatory supervised release (MSR) from IDOC at the time of enrollment, and the current conviction may not have been for a violent offense as defined by the Rights of Crime Victims and Witnesses Act [725 ILCS 120/3(c)]. On top of these statutory eligibility criteria, ARI sites can establish their own criteria through the establishment of targeted sub-populations of offenders (e.g. Class 3 and 4 property offenders, drug court-eligible offenders, or offenders at a high risk of having probation revoked).

Contractual obligations of ARI sites specify that they will divert a certain number of individuals who would have otherwise gone to IDOC from their program's target population. If a client is subsequently sentenced to IDOC in a neighboring county, whether on an outstanding warrant or a new offense, the sentence will not count against the 25 percent reduction. In this case, the offender being sentenced by another county does not violate the contractual agreement between

the state and the ARI site. Instead, the client will be removed from the count altogether, as if he or she had not been enrolled. This limits the risk that ARI jurisdictions face from factors that are out of their control, while not incentivizing counties to send problematic individuals out of their jurisdictions. An ARI client who commits a new offense in a neighboring county has not been successfully reached by ARI interventions. While clients re-sentenced to IDOC from other counties are not reflected in the reduction counts, information on their case is still available for future analyses of program outcomes.

## **ARI goals and process**

Developed as a response to historically high numbers of non-violent offenders driving up prison populations, the overarching goal of ARI is to successfully divert eligible individuals from prison and into community corrections programs. As a part of the planning and funding process, counties or judicial circuits that are interested in implementing ARI in their communities can apply for a grant to conduct three months of planning. ARI emphasizes local control of the program, so the planning process requires each jurisdiction to examine the state of the local criminal justice system, including available diversion options and gaps in services. This analysis is used to determine the unique needs of that jurisdiction and the type of model and services that would address the identified gaps.

One of the main purposes of the planning process is to identify the ARI-eligible target population for that jurisdiction. The target population is composed of individuals who meet ARI eligibility criteria (non-violent<sup>1</sup> and probation-eligible<sup>2</sup>) and other jurisdiction-specific criteria (e.g., drug court-eligible, Class 3 and Class 4 offenders) who would otherwise have been sentenced to IDOC.

ARI's focus on local design and control means that sites are encouraged to identify a target population that meets ARI's criteria for eligibility while demonstrating a need for identified service gaps. For example, if a county sends a high number of probation violators to prison because it lacks an intermediate step between probation and IDOC, the site could identify probation violators as a target population and base its reduction count on those criteria.

Once the target population has been identified and quantified, participating jurisdictions must agree to reduce the number of individuals sent to IDOC from that population during the grant period by at least 25 percent or risk funding reductions.

ARI is governed by a statutorily-created Oversight Board that is responsible for creating a process to monitor and evaluate the overall program. The Board is co-chaired by the director of IDOC and the secretary of the Department of Human Services, and is made up of representatives from ICJIA, the Prisoner Review Board, the Sentencing Policy Advisory Council, and members of other private and public organizations. The Oversight Board reviews reduction goals and the

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<sup>1</sup> The presenting conviction for a violent offense as defined in the Rights of Crime Victims and Witnesses Act (725 ILCS 120/3(c)) would make an individual ineligible. However, a prior violent crime conviction does not make an individual ineligible.

<sup>2</sup> The presenting conviction may not be an offense that requires a term of incarceration as defined in the Unified Code of Corrections (730 ILCS 5/5-5-3).

potential cost-savings to the state and provides final approval of a site's local plan, funding level, and reduction goal. In some cases, the Oversight Board may request a revised target population to ensure an appropriate level of cost-savings.

ARI has a full-time administrator and a project coordinator responsible for formulating and executing policies, scheduling meetings of the Oversight Board, coordinating the proposal and planning grant processes, monitoring grantee performance, and reporting program progress to the Oversight Board. The program also has two part-time technical assistance providers who conduct outreach to existing and potential sites in the field.

Under the initial ARRA grant, Adult Redeploy Illinois funded 10 programs in 10 counties. In June 2014, ARI was funding 19 programs covering 34 counties. Counties and judicial circuits implementing ARI as of June 2014 include (pilot sites in **bold**):

- 2<sup>nd</sup> Judicial Circuit (Crawford, Edwards, Franklin, Gallatin, Hamilton, Hardin, Jefferson, Lawrence, Richland, Wabash, Wayne, White)
- 4<sup>th</sup> Judicial Circuit (Christian, Effingham)
- 9<sup>th</sup> Judicial Circuit (**Fulton**, Hancock, Henderson, **Knox**, McDonough, Warren)
- Boone
- **Cook** (two programs)
- **DuPage**
- **Jersey**
- Kane
- Lake
- LaSalle
- **Macon**
- **Madison**
- **McLean**
- Peoria
- Sangamon
- **St. Clair**
- **Winnebago** (two programs)

## ARI pilot phase

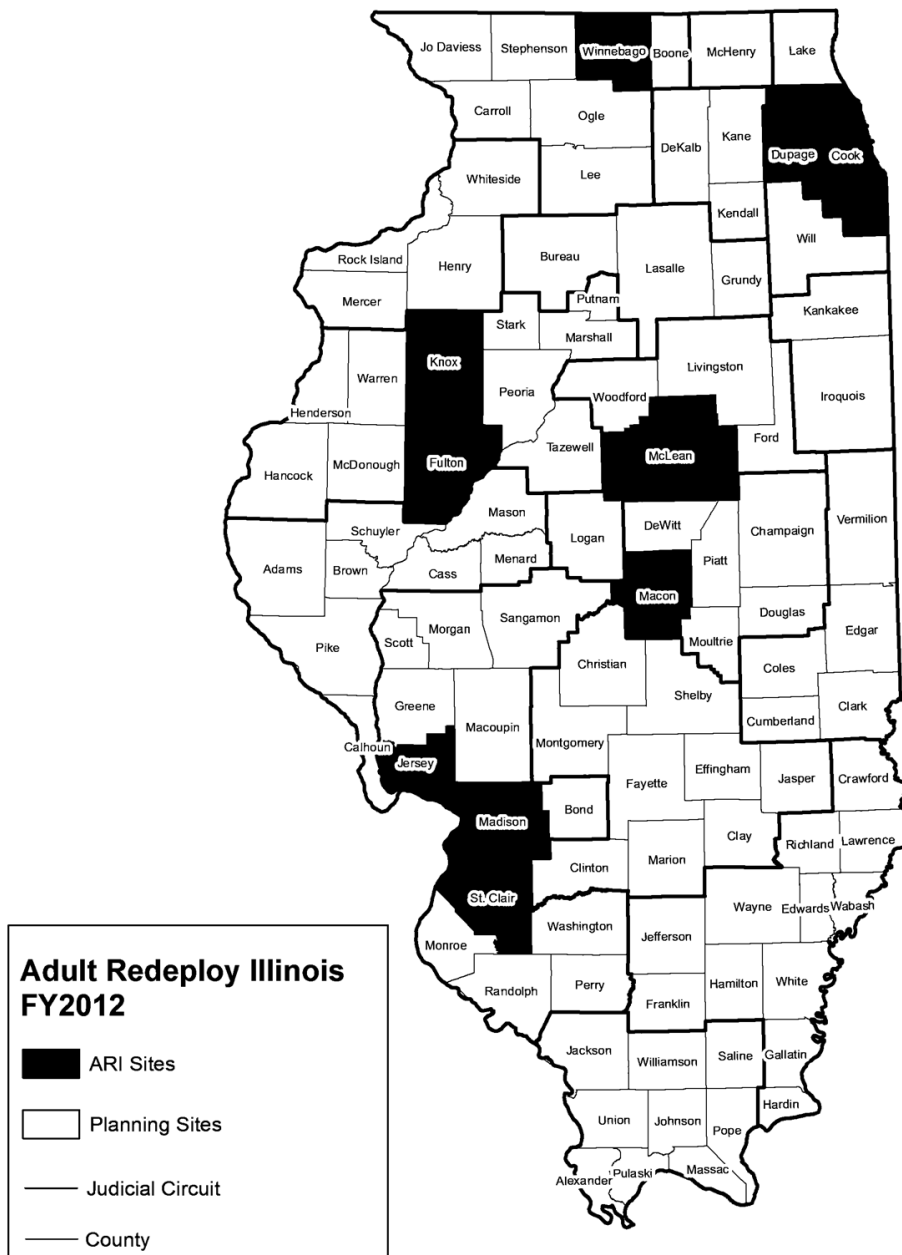
When the Crime Reduction Act became law, it provided a basic framework of the program and left the development of policies and procedures to the Oversight Board. During the course of 2010, ICJIA, the Oversight Board, and other outside groups and individuals worked to create a program model and secure initial funding that would allow ARI to become a fully-realized initiative. During this process, the planning groups determined that creating a pilot of the ARI program model and funding stream would allow ARI staff and the Oversight Board to more carefully develop and test the program and its goals. It would also gather feedback and identify necessary course corrections, as well as giving the earliest participating sites more attention and technical assistance.

During the pilot phase, ARI program staff developed policies and procedures required by the Crime Reduction Act. A process for soliciting proposals from sites was developed by ARI, ICJIA staff, and the Oversight Board, a template for these proposals was created, and an initial process for calculating award amounts based on site characteristics was established. Following initial outreach efforts and funding awarded by ICJIA, five counties submitted local plans for consideration in late 2010: DuPage, Jersey, Knox, Macon, and St. Clair counties. Four of these

sites were approved for pilot funding, with Knox County's proposal initially tabled and later approved after further discussion.

As these four sites began to implement their pilot programs, ARI administrative staff conducted ongoing outreach with a number of other jurisdictions to expand the program. By the end of 2011, ARI had grown from four pilot sites to 10, as Cook, Fulton, Knox, McLean, Madison, and Winnebago counties were approved by the Oversight Board for implementation. *Map 1* depicts the locations of the ARI pilot sites that are the focus of this evaluation.

**Map 1**  
**Adult Redeploy Illinois pilot sites**



The main goal of the pilot phase was to closely monitor the planning and initial implementation of the pilot sites to identify important lessons learned and to provide technical assistance as the sites required. The data collection and evaluation framework of the program were developed by ICJIA staff to assess how the pilot sites had implemented the key components of their programs. The evaluation was designed to provide feedback to the pilot sites for continuous improvement, inform the Oversight Board's decision-making, and assess the fidelity with which sites implemented their program models. This evaluation followed the pilot program in DuPage County from planning through implementation.

## **ARI program models**

During the initial pilot phase, ARI sites developed their programs around two evidence-based program models: (1) Intensive Probation Supervision (IPS) with treatment services and (2) drug courts. DuPage County elected to develop an IPS model with a focus on providing services to probation violators rather than on surveillance and rule enforcement.

### **Intensive Probation Supervision**

Intensive Probation Supervision began in the 1980s as a response to increasing numbers of serious offenders in courts. Surveillance-focused IPS requires offenders to be employed, drug-tested frequently, have frequent face-to-face contact with probation officers, and perform community service (Wiebush, Wagner, McNulty, Wang & Le, 2005). IPS with a treatment focus devotes more resources to addressing criminogenic needs than traditional surveillance and enforcement of conditions. The IPS model is more restrictive than traditional probation, but allows offenders to maintain ties in the community that would be hindered by a prison sentence (Petersilia & Turner, 1991). The ARI use of IPS includes treatment and evidence-based practices within probation services because research has shown IPS alone does not reduce recidivism (Gendreau, Goggin, & Fulton, 2000).

An example of an evidence-based IPS program with treatment services is Reduced Probation Caseload in Evidence-Based Setting. The program has reduced caseloads of high-risk probationers with more hands-on monitoring and greater scrutiny of their treatment efforts and progress. It also uses evidence-based tools and risk assessment techniques (Jalbert, Rhodes, Kane, Clawson, Bogue, Flygare, Kling, & Guevara, 2011). Research found those in the program had a 30 percent lower recidivism rate.

### **Drug courts**

The drug court model provides offenders with detoxification services, risk assessment, regular drug screenings, group counseling, incentives for good behavior, and community reentry services (National Association of Drug Court Professionals, 2004). The first drug court started in Miami, Florida, in 1989, with thousands more having started across the world since then (Franco, 2011). Drug courts were created out of necessity; courts were overwhelmed with drug offenders who were consistently re-offending and being sent to prison (Marlowe & Meyer, 2011). In an effort to standardize the drug court model, 10 key components of drug courts were identified by the U.S. Department of Justice Bureau of Justice Assistance. Research has shown that the closer a

jurisdiction follows these components, the more successful the program will be at reducing recidivism and cost-effectively providing services (Carey, Finigan, & Pukstas, 2008).

The ten key components of drug courts are:

- The drug court integrates drug treatment with case processing
- There is collaboration between the State's Attorney and Public Defender at multiple levels of the drug court process
- The drug court identifies eligible participants early and promptly places them in the program
- The drug court facilitates access to a continuum of alcohol, drug, and other related treatments and rehabilitation
- There is frequent drug testing to measure abstinence
- There is a coordinated strategy and frequent communication between the court team and treatment providers to respond to client compliance
- There is ongoing judicial interaction with participants, including regular status hearings
- There is monitoring and evaluation of program goals and effectiveness
- There is ongoing interdisciplinary education and training for key personnel
- Partnerships exist between the drug court, public agencies, and community based organizations

Drug courts have been thoroughly researched. A meta-analytic review of 154 drug courts, including 92 adult drug courts, conducted by Mitchell, Wilson, Eggers & Mackenzie (2011) found that the majority of adult drug court participants had lower rates of recidivism compared to non-participants. Drug court participants had a recidivism rate of 38 percent compared to 50 percent for non-participants; therefore, future funding for adult drug courts could be justified.

## **About the DuPage County ARI program**

DuPage County is located in the western suburbs of Chicago and has a population close to one million.

### **ARI local plan**

DuPage County submitted an ARI local plan to the ARI Oversight Board with a start date of January 1, 2011. The local plan outlined service needs and how ARI funding would address those needs.

### **Service needs**

Although DuPage County has historically implemented innovative probation programming and offered an assortment of services to offenders, service needs still existed at the time of ARI planning. One need identified by the local plan was that the high-risk offender caseload was 70 cases per officer, which exceeded the state standards of 50 high-risk offenders per probation officer. Understaffing limited the officers' ability to create and implement individualized case plans for each offender and the amount of supervision that officers could provide to clients..



Another need was the lack of publicly funded inpatient substance abuse treatment services or treatment beds.

### **Plan to address service needs**

According to the local plan, the DuPage County ARI program planned to hire three probation officers. These officers would be assigned smaller caseloads than standard probation, which would allow ARI officers to develop individualized case plans and increase contact levels with each probationer. Under the proposed program, officers followed a highly structured, cognitive-behavioral supervision model known as *Effective Practices in Community Supervision (EPICS)*. ARI funds were used for training on cognitive behavioral therapy and it is included in a training module in their new probation staff training. Probationers met with their probation officer two to four times each month using appointments to work on changing pro-criminal thinking patterns and teaching and reinforcing pro-social skills. Probation officers used the evidence-based *Thinking for a Change (T4C)* curriculum. T4C is an integrated, group-based cognitive-behavioral change program designed to help offenders with cognitive restructuring and development of social and problem-solving skills. ARI probation officers referred clients to treatment and ancillary services including substance abuse treatment, mental health services, vocational and employment services, transportation assistance, housing assistance, community service, and drug testing.

There are three ways in which an offender who is sentenced to probation for a non-violent offense may be identified as appropriate for the ARI program in DuPage County. The first is through an administrative sanctions conference after a technical violation of probation has occurred. If the probationer voluntarily accepts placement into the ARI program they are assigned to an ARI probation officer.

Another way is for the probation department to file a court status form requesting the probationer be screened for the program when a Petition to Revoke is pending with the court.

A probation officer also may identify a probationer as someone who is likely to violate probation during the probation intake process, based on previous probation failures or arrest warrant history. Once the determination is made that a probationer is appropriate for the program, a request is submitted to the probation department.

ARI program participants have access to all of the services available to non-ARI probationers. They are also subject to increased reporting and cognitive-behavioral interventions delivered directly by probation staff. Once the probationer has reached all case plan goals, they are either transferred back to standard probation or their probation is successfully closed (or terminated) at sentence completion.

### **ARI-eligible clients**

During the ARI planning phase in State Fiscal Years (SFY) 2007-09, 2,872 offenders were committed to IDOC from DuPage County. About 37 percent of those offenders were deemed ineligible for ARI due to their offenses being non-probationable, a violent offense, or because the offender lived outside of DuPage County.

During that time period, 1,917 offenders were sentenced from DuPage County and committed to IDOC for an ARI-eligible offense. *Table 1* shows eligible offense types.

**Table 1**  
**ARI-eligible offenders sentenced in DuPage County by crime type, SFY 2007-09**

<b>Offense</b>	<b><i>n</i></b>	<b>Percent</b>
Cannabis	48	3%
DUI	189	10%
Other	97	5%
Controlled substance	520	27%
Property offenses	1,063	55%
<b>TOTAL</b>	<b>1,917</b>	<b>100%</b>

Source: ICJIA analysis of data from IDOC Planning & Research Unit

During that period, a number of offenders were determined by DuPage County to be ineligible for ARI based on their county of residence. Only offenders residing within DuPage County were eligible to participate. Between January 1, 2007, and December 31, 2009, 1,019 offenders were committed to IDOC, for an average of 340 eligible offenders per year (*Table 2*).

**Table 2**  
**DuPage County residents sentenced to IDOC for ARI-eligible offenses, CY2007-09**

<b>Offense</b>	<b><i>n</i></b>	<b>Percent</b>
Cannabis	7	0.7%
DUI	182	17.9%
Other	260	25.5%
Controlled substance	268	26.3%
Property offenses	302	29.6%
<b>TOTAL</b>	<b>1,019</b>	<b>100%</b>

Source: DuPage County ARI Local Plan, 2010

### **DuPage County ARI initial funding**

The ARI Oversight Board approved the local plan designating a grant award of \$350,000 over an 18-month pilot period and a 25 percent reduction goal of 21 individuals. DuPage County began full implementation in March 2011, after a three-month planning period, used to identify and hire staff, finalize service provider partnerships, and identify eligible clients. In January 2012, a supplemental funding opportunity was made available to all pilot sites. DuPage County submitted a request for \$64,677 that was granted in return for expanding the 25 percent reduction goal from 21 to 35 individuals. The county's pilot grant period ended on June 30, 2012.

# Methodology

This implementation evaluation of the Adult Redeploy Illinois program in DuPage County consisted of a combination of qualitative and quantitative approaches, which covered the pilot phase from January 1, 2011, through June 30, 2012. Data collection included four components: interviews with ARI program staff and stakeholders, interviews with ARI clients, analysis of ARI administrative data, and analysis of criminal history record information. Together, these research methods allowed ICJIA researchers to explore both the planning and implementation of ARI programming within the 10 pilot sites. Data collection began in February 2011, with the start of the ARI staff and stakeholder interviews, and ended in March 2014.

This report provided a description of the ARI program as implemented in DuPage County and not designed to measure program outcomes. The sample of clients examined was not random but dependent on the screening and enrollment process. The DuPage County ARI program is voluntary, so clients are self-selecting in many cases and there was not a comparison group, so the impact of reducing recidivism or other outcomes was not measured. In addition, the local model, implementation, ARI client population, and local context are different at each ARI site; therefore, comparisons of implementation across sites are not recommended.

## Staff and stakeholder interviews

Program staff and stakeholder interviews were conducted in two phases: program planning and program implementation. ARI program staff interviewed included line staff directly involved with clients, such as probation officers and treatment providers. ARI program stakeholders included representatives involved with program development and implementation from the local state's attorney's office, public defender's office, probation administrators, the judiciary, and local law enforcement agencies. The interviews offered contextual information on implementation, staff and stakeholder involvement, attitudes and perceptions about alternative sanctions, and the fidelity of implementation of evidence-based practices (EBPs) and program models as outlined in DuPage County's local plans and grant agreements.

All ARI program staff and stakeholders targeted for phone interviews were provided with interview questions and a written consent form prior to the interviews. Subjects were asked for verbal consent at the time of the interview, and only those who gave both verbal and written consent were interviewed.

## Program planning

Program planning interviews were conducted during the early stages of implementation. This first phase of the ARI program staff and stakeholder interviews sought to answer the following research questions:

- To what extent did the ARI program staff and stakeholders participate in implementing the local ARI model?
- What were the concerns about, and anticipated benefits from, the ARI program?

- How would the ARI program measure their success?

A total of 81 ARI staff and stakeholders across the 10 pilot sites participated during the first phase of interviews. Eight were interviewed in DuPage County. All participants were asked 12 questions about the planning phase of their local ARI program and their involvement in the process between February 2011 and June 2012. *Appendix A* provides the questions asked. The interviews were conducted by phone and were audio recorded, transcribed, and analyzed using the qualitative data analysis software NVivo. The following is the sample size per county:

- Cook County (n=6)
- **DuPage County (n=8)**
- Fulton County (n=4)
- Knox County (n=8)
- Jersey County (n=6)
- Macon County (n=16)
- Madison County (n=6)
- McLean County (n=8)
- St. Clair County (n=12)
- Winnebago County (n=7)

## **Program implementation**

The program implementation interviews were conducted at least 12 months after the local program had started implementing services. Since ARI is composed of multiple jurisdictions implementing unique programs, the data analysis sought to answer research questions that pertain to all program sites collectively, as well as questions that apply to each site's specific program type. ICJIA researchers created program implementation questions designed to measure the extent to which ARI program staff and stakeholders at each site implemented the structure and key components of the proposed models. These interviews were a follow-up to the earlier interviews conducted to gather information on the planning phase at each site. *Appendix B* provides the interview questions.

ICJIA researchers conducted program implementation interviews by phone with ARI program staff and stakeholders who were involved in the day-to-day operations of the programs, including probation staff, treatment staff, judges, state's attorneys, and public defenders. The program implementation phase of the ARI program staff and stakeholder interviews sought to answer the following research questions:

Research questions for all ARI pilot sites:

- To what extent did the local ARI program maintain fidelity to the evidence-based practice components of the proposed intervention?
- What ARI services impacted client's pro-social indicators, including employment rates, education achievement, successful completion of substance abuse treatment programs, and payment of victim restitution?
- What was ARI impact on re-arrest or technical violations while under program supervision?

- What were the caseloads and frequency of contact between probation officers and ARI clients?
- To what extent did ARI clients “successfully complete” the programs?

A total of 48 ARI staff and stakeholders were interviewed during the ARI program implementation phase and six were interviewed in DuPage County. As with the first phase of interviews, all subjects were given the questions and a consent form before the scheduled interview. Only subjects who gave written consent were interviewed. All implementation interviews took place between August 2012 and July 2013. ICJIA researchers conducted their interviews with ARI staff and stakeholders by phone and conversations were audio recorded, transcribed, and analyzed in the qualitative data analysis software NVivo. The following is the sample size per county:

- Cook County (n=3);
- **DuPage County (n=6);**
- Fulton County (n=6)
- Knox County (n=6)
- Jersey County (n=5)
- Macon County (n=5)
- Madison County (n=4)
- McLean County (n=2)
- St. Clair County (n=6)
- Winnebago County (n=5)

## Client interviews

ICJIA researchers conducted face-to-face interviews with ARI clients in the 10 pilot sites. The purpose of the client interviews was to learn how the pilot programs operate from a client perspective, learn more about ARI clients and their backgrounds, and make suggestions for programmatic improvements. The client interviews sought to answer the following research questions:

- What are the characteristics and service needs of ARI clients?
- How do the ARI programs operate including referral, intake, contact with probation officer, incentives, and services?
- To what extent were clients satisfied with ARI including probation officer, treatment provider, and judge?
- How could ARI probation be improved?

A consent form explaining the purpose of the interview, compensation, selection, length, questions, and confidentiality was signed by each participant. Participants received a \$20 Walgreens gift card as compensation for their time. To be eligible for participation, the clients had to have graduated from or been in the program for at least six months.

Each ARI pilot site was asked to provide a list of clients meeting those criteria and ICJIA researchers created a random list of 40 clients from each site to recruit for an interview. The goal was to reach up to 20 clients per site or 200 clients overall. Some counties had not yet served or enrolled 20 total clients, so recruitment was limited to available probationers in those sites. The final sample size was 110 across all 10 sites, a 55 percent response rate. In DuPage, there were 12 clients that could be interviewed and nine were interviewed, a 75 percent response rate. Some clients were unavailable due to work, illness, or an outstanding warrant, while others declined the interview or did not show up for their scheduled interview. The following is the sample size per county:

- Cook County (n=19)
- **DuPage County (n=9)**
- Fulton County (n=8)
- Knox County (n=4)
- Jersey County (n=7)
- Macon County (n=12)
- McLean County (n=4)
- Madison County (n=13)
- St. Clair County (n=15)
- Winnebago County (n=19)

The interviews used a survey of 128 questions in three sections: demographics and background, program operations, and satisfaction with the program. Some of the questions were adapted from other sources, studies, or instruments to increase reliability and validity (Department of Justice, n.d.; Johnson & Latessa, 2000; May & Wood, 2005; Miller & Tonigan, 1996; Rossman, et al., 2011; and the Texas Christian University Drug Screen II). All data were entered into an Access database and analyzed in PASW (Predictive Analytics Software).

## **Administrative data**

ICJIA researchers collected 18 data elements from each of the 10 pilot sites, including DuPage County, to measure their performance in ARI. Each of the sites submits their administrative data to ICJIA researchers on a quarterly basis as part of an ongoing performance measurement process mandated by the Crime Reduction Act. The data elements were grouped into three sections—demographics, case information, and ARI information. The data elements included the following:

- Number of clients enrolled in ARI
- Number of clients screened for ARI, but not enrolled
- Employment rates/changes in employment during program enrollment
- Changes in education level during program enrollment
- Completion of treatment programs/required conditions including but not limited to cognitive-behavioral therapy, substance abuse treatment, and restitution
- Prevalence of rule-violating behavior: number of new misdemeanor and felony arrests, number and nature of technical violations/non-compliance

- Average number of monthly face-to-face contacts between ARI clients and probation officers
- Rates of successful completion of ARI program
- Rates of unsuccessful termination from ARI program, rate of re-sentence to prison, rate of re-sentence to non-prison sanction
- Rate of Level of Service Inventory–Revised™ (LSI-R) assessment used with clients: percent of clients assessed at high, medium, or low
- Progress towards required 25 percent reduction in prison admissions from the target population

## **Data collection**

A major requirement of the Crime Reduction Act is that the ARI Oversight Board monitors the performance of the programs on specific indicators. To facilitate performance measurement, a framework was developed to collect client-level probation data from the sites. The framework was also utilized to provide data for the implementation evaluations.

ARI probation officers recorded client data in computerized case management systems, but different systems were used across sites. ICJIA researchers provided technical assistance to each pilot site to ensure required information stored in existing case management systems could be retrieved. Sites that did not have an existing case management system were provided with an Access database developed by ICJIA staff to specifically capture the necessary ARI client information. The following pilot sites, including DuPage County, utilized this data collection instrument as a means to fulfill the quarterly data submission requirement:

- **DuPage County**
- Jersey County
- McLean County
- St. Clair County

The following pilot sites used existing electronic case management systems, such as TRACKER and PROMIS. TRACKER is case management software for justice-related agencies and is used by a number of probation departments across Illinois. PROMIS is the probation case management software currently in use by the Cook County Adult Probation Department.

- Cook County
- Fulton County
- Knox County
- Macon County
- Madison County
- Winnebago County

## **Criminal history record information**

ARI client criminal history record information was electronically extracted from the Criminal History Record Information (CHRI) System, the state's central repository for criminal history information maintained by the Illinois State Police (ISP). The purpose was to obtain the arrest history prior to ARI enrollment, as well as arrests occurring during ARI participation.

The CHRI System contains information that is statutorily mandated to be submitted on each offender by arresting agencies, state's attorney's offices, circuit courts, and state and county correctional institutions for the purpose of creating a cumulative history (rap sheet) of such events. Upon arrest, an individual is fingerprinted via a paper card or an electronic Livescan system, which is then forwarded to ISP for processing and posting onto the individual's criminal history record. About 94 percent of all arrest cards in Illinois are submitted electronically via Livescan. ICJIA has access to most information in the CHRI System through a connection to ISP's off-line, ad hoc database, which allows extraction of complete CHRI for research purposes.

ARI sites submitted unique CHRI System identifiers (state identification, or SID numbers) for probationers when available, which ICJIA researchers used to extract the corresponding criminal history information from the system. If an exact match on the SID provided could not be found, researchers used the first three letters of the last name, the first three letters of the first name, and the date of birth to search for the ARI participant's record. This is the conventional standard method for conducting name-based searches. An SQL query into the system returned the unique SIDs of potential matches. The researchers then manually examined the potential matches to confirm their accuracy and make adjustments to the matching procedures. Once matches were confirmed, all arrest records for the matched individuals were extracted, reviewed, and analyzed.

The CHRI data used in this report were extracted in March 2014 for analysis. The arrest incidents examined were limited to statutorily reportable arrests, excluding minor traffic violations and offenses that were less than a Class B misdemeanor. Arrest record information was matched for nearly all of the ARI clients in the overall sample (596 clients out of 599, 99 percent), and for 100 percent of the DuPage County sample. The data available in the CHRI system is limited to events that are submitted by arresting agencies, state's attorney's offices and circuit court clerks and successfully posted to the system by the State Police.

## **Incarceration information**

In addition to matching individuals in CHRI to their prior arrest records before and during ARI enrollment, the sample was linked to any prior IDOC incarcerations dating back to 1989, using an exact match on last name, first name, and date of birth with IDOC records. If a match was not found, the IDOC records were queried for the first three letters of first and last name and date of birth matches. After reviewing those matches manually for accuracy, records were verified using the SID number if available. After the matches were reviewed and verified, all ARI client admissions to IDOC through the most recent year available (SFY12) were extracted from the data files for analysis.



## Analysis of reductions in prison admissions

### ARI calculation of reduction goals

To maintain consistency in the way that the 25-percent reductions were counted, ARI administrative staff developed a step-by-step decision-making process. This process accounts for all types of client exits from an ARI program and an explanation of whether or not that exit was counted towards the reduction goal. The process for determining the individuals who would be counted is described here (see *Appendix C* for a visual depiction of the process):

- Individual was screened for ARI eligibility and referred to the program. An enrollment decision was made by the program with three relevant outcomes:
  1. Individual was rejected or refuses to participate. These individuals are not counted as enrollments and not counted toward the reduction goal.
  2. The individual was enrolled, but does not start the program. Reasons include dropping out before starting, absconding from probation before starting, or being found unsuitable for ARI after enrollment and being re-sentenced or transferred. These individuals were not counted as enrollments or toward the reduction goal.
  3. The individual was enrolled in ARI and starts receiving services. These individuals were counted toward the reduction goal.
- Once enrolled, the client was diverted from IDOC under the assumption that without the ARI program, the client would have been sentenced to IDOC. Active clients were counted towards the reduction goal.
- After enrollment in the program, a client's probation was closed (or terminated) either successfully or unsuccessfully. The decision to terminate probation may be made by ARI staff or the court, with three relevant outcomes:
  1. The client completed (or terminated) ARI unsuccessfully and is re-sentenced *to IDOC*. The county of re-sentencing is determined through IDOC records and probation or court records.
    - If the client was re-sentenced from the supervising ARI site, the individual was counted against the reduction goal.
    - If the client was re-sentenced from a different jurisdiction, the client was removed from the count altogether and their information retained for future analysis.
  2. The client completed (or terminated) ARI unsuccessfully and is re-sentenced *to a sanction other than IDOC*, such as a jail sentence, another probation sentence, or sentence to another problem-solving court, such as a drug or mental health court. Although unsuccessful in ARI, the client was still diverted from IDOC and the client was counted towards the reduction goal.

3. The client completed (or terminated) from ARI successfully and was either removed from probation, stepped down to a lower supervision level, or transferred to probation in another jurisdiction. The client successfully completed ARI, was diverted from IDOC, and was counted towards the reduction goal.
4. Clients who died while in ARI were considered unsuccessful terminations but were counted toward the reduction goal, since they were never admitted to IDOC.

### **ICJIA calculations of reduction goal**

At the end of the 25-percent reduction period (an 18-month pilot period beginning with a site's grant start date), ICJIA research staff produced a preliminary count of total clients enrolled, the number closed (or terminated), and the number still active in the program. The following was the procedure ICJIA researchers used to calculate the reduction goal.

- Clients enrolled were verified to be ARI-eligible. Clients who were on parole/MSR or sentenced for a violent offense were removed from the count.
- Clients, whose probation terms were concluded, both successfully and unsuccessfully, were checked against the online IDOC inmate search tool to see if they were in IDOC custody, either in a facility or on parole/MSR. The online tool provided the county of sentence and the date of admission, which was used to determine how a client would be counted.
- Individuals found to be in IDOC custody were verified with the ARI site's probation department using probation files and court records. Clients enrolled in ARI and subsequently terminated and re-sentenced to IDOC from the ARI site are counted against the reduction goal. Clients enrolled in ARI and subsequently terminated from probation and sentenced to IDOC from a county other than the ARI site are removed from the enrollment count.
- After client statuses were verified and confirmed, researchers produced a final count of progress made towards the reduction goal. The formula used was  $(\text{Diversions} = \text{TE} - \text{P})$ , where TE was the overall total number of ARI-eligible clients enrolled in the program and P was the number of clients re-sentenced to IDOC during the grant period. This formula was applied after removing from the total any ineligible enrollments and clients re-sentenced from other jurisdictions.
- A final count was then shared with ARI administrative staff and the ARI Oversight Board and compared to the site's 25 percent reduction goal.

### **Analysis of fidelity to program models**

ARI was designed to foster the proliferation of evidence-based practices in Illinois. Each of the models used have components recognized as providing the foundation of effectiveness of that particular model. ICJIA researchers constructed a checklist of key components of ARI program models through review of relevant literature. These components helped to determine whether the pilot site implemented models that positively impact recidivism.

ARI staff and stakeholder interviews, client interviews, and administrative data were used to gauge the extent to which the 10 pilot sites implemented key components of their program models. ICJIA researchers also reviewed documentation of each site's local policies and procedures, including approved local plans, program flow charts, and logic models. ICJIA researchers identified 10 components of the model used in DuPage County—IPS with a treatment service focus. The 10 components for treatment-focused IPS include:

- Goals are established for the program overall and for individual probationers (Grant, Smith, Brown, & Goldstein, 2011; Petersilia, 1990).
- The program has a defined, higher-risk, target population (Petersilia & Turner, 1993)
- The program has consistent selection criteria using a standard assessment procedure (Birkel & Wegner, 2000).
- The program has established time parameters including a minimum and maximum length of participation (Petersilia & Turner, 1991).
- The program has established contact levels, ranging from higher levels initially to lower levels in final stages (Petersilia & Turner, 1991; Turner, Petersilia, & Deschenes, 1992; Petersilia & Turner, 1993; Erwin, 1986).
- The program has smaller caseloads than standard probation; between 20 and 50 probationers per officer (Petersilia & Turner, 1991; Petersilia & Turner, 1993).
- The program places emphasis on probation conditions, including electronic monitoring, curfew, employment, education, community service and financial obligations (Petersilia & Turner, 1991; Petersilia & Turner, 1993; Erwin, 1986).
- The program is able to link probationers with appropriate resources and providers, including substance abuse treatment and cognitive-behavioral therapy (Grant, Smith, Brown, & Goldstein, 2011).
- The program has stricter enforcement procedures than standard probation (National Council of Juvenile and Family Court Judges, 2005).
- The program utilizes graduated sanctions to respond to non-compliance (Gamble, n.d.).

## **Research limitations**

This evaluation used administrative data from each pilot site managed by ARI program staff, such as probation officers and treatment providers for case management use rather than for research purposes. Accuracy of the data is based on client self-reporting, user-entry, and selective memory, all of which introduce bias into the data. Gaps in client information may appear.

In addition, ICJIA researchers could not measure internal reliability. For example, unknown was whether a client would receive the same clinical impressions across all ARI program treatment providers, or whether the client would be deemed compliant with required conditions by all supervising probation officers.

# Findings: Client data

## DuPage County ARI client data

Client demographic data were extracted from the Access database created by ICJIA for ARI sites. Data analyzed for DuPage County include clients enrolled from January 1, 2011, through June 30, 2012. This 18-month period represented the initial pilot phase of the DuPage County program, which included a six-month planning period and 12 months of program implementation. During this period, 137 clients were enrolled in the program. Of these, 106 gave written consent allowing ICJIA to analyze data relating to their involvement in ARI.

The mean age for clients was 32 years old. A majority of the clients (80 percent) were male, 66 percent were White, 18 percent were Black, 12 percent were Hispanic, and 2 percent identified as Asian or “other.” In comparison, during the pilot phase, of all IDOC admissions from DuPage County of those meeting ARI eligibility guidelines 48 percent were White, 35 percent were Black, 16 percent were Hispanic, and 2 percent were Asian.

About 40 percent of ARI clients in DuPage County had a high school degree or GED and about 25 percent had education beyond high school. About 83 percent of ARI probationers had never been married at the time of enrollment, while 11 percent were married. More than half of the ARI clients (57 percent) reported being unemployed when they started the ARI program, 19 percent were employed full-time, and 14 percent were employed part-time. More than two-thirds of clients reported living with their family or a friend (67 percent). Seventeen percent owned a home or were renting and 8 percent were living in a shelter or were homeless when enrolled in the program. *Table 3* summarizes the characteristics of the ARI probationers.

**Table 3**  
**DuPage County ARI sample descriptive characteristics at intake**

Characteristic	n	Mean
<b>Average age</b> (in years at enrollment)	106	31.8
<b>Gender</b>		<b>Percent</b>
Male	85	80.2%
Female	21	19.8%
<b>Race</b>		
Black	19	17.9%
White	70	66.0%
Hispanic	13	12.2%
Asian	1	0.9%
Other	1	0.9%
Unknown	2	1.8%
<b>Marital status</b>		
Unmarried	88	83.0%
Married	12	11.3%
Unknown	6	5.7%

**Table 3 continued**

<b>Employment (at intake)</b>		
Unemployed	60	56.6%
Full time	20	18.9%
Part time	15	14.2%
Unknown	11	10.3%
<b>Education attainment (at intake)</b>		
Grade school	0	0.0%
Some high school	22	20.8%
High school graduate/GED	42	39.6%
Some college	18	17.0%
College graduate	8	7.5%
Unknown	16	15.1%
<b>Housing status (at intake)</b>		
Own/rent	18	17.0%
Live w/ friends/family	71	67.0%
Shelter/homeless	8	7.5%
Unknown	9	8.5%
<b>TOTAL</b>	<b>106</b>	<b>100%</b>

About 40 percent of DuPage County ARI clients were convicted of an offense related to controlled substances, usually possession of a controlled substance. Almost 24 percent of clients were convicted of property offenses, 15 percent were convicted of DUI, and 12 percent were convicted of cannabis-related offenses. Although none were convicted of a sex offense, individuals could be eligible for ARI if convicted of non-violent offenses such as sex offender registry violations and prostitution.

Almost half were sentenced for a Class 4 felony. Offense seriousness is determined by class in Illinois, ranging from least serious (A, B, and C misdemeanors), to more serious (Class 4, Class 3, Class 2, and Class 1 felonies), and most serious (Class X and homicide). Class 4 felonies are the least serious felony class in Illinois, and this class consists mainly of lower level property offenses or drug possession offenses and is subject to the shortest potential terms of probation or incarceration. Class X felonies consist of serious violent offenses (aggravated criminal sexual assault, armed robbery, home invasion) and high-level property and drug offenses.

According to DuPage County ARI's intake procedures, 84 percent of all ARI clients were referred by their original probation officer and about 14 percent were referred by a judge. About two-thirds of ARI clients were enrolled due to a probation violation (66 percent).

The Level of Service Inventory–Revised™ (LSI-R) is an actuarial risk assessment instrument that is used by probation departments in Illinois to help determine levels of supervision for probationers. The tool scores probationers on a number of different domains of criminogenic risks and needs, allowing probation staff to target specific areas for intervention. The LSI-R has four levels of risk: containment, high, moderate, and low risk. Slightly more than half of clients (53 percent) were high-risk, 13 percent were medium risk, and 2 percent were low risk. About 21 percent of clients had their risk level classified as “containment,” which DuPage County uses to

flag high-risk clients with additional risk factors that need to be addressed. *Table 4* provides a more in-depth overview of the probation case characteristics of DuPage County ARI clients.

**Table 4**  
**Characteristics of DuPage County ARI probationers at intake**

	<b>n</b>	<b>Percent</b>
<b>ARI offense type</b>		
Property	25	23.6%
Controlled substance	42	39.6%
Cannabis	13	12.3%
DUI	16	15.1%
Sex offense (non-violent)	0	0.0%
Other	10	9.4%
<b>ARI offense class</b>		
Class 1	10	9.4%
Class 2	23	21.7%
Class 3	14	13.2%
Class 4	49	46.2%
Unknown	10	9.4%
<b>Referral source</b>		
Probation	89	83.9%
Judge	15	14.1%
Other	2	1.8%
<b>Enrollment type</b>		
Direct from court	2	1.9%
Probation violator	70	66.0 %
Other eligible enrollment	32	30.2%
Unknown	2	1.9%
<b>LSI-R risk level</b>		
Containment	22	20.8%
High	56	52.8%
Moderate	14	13.2%
Low	2	1.9%
Unknown	12	11.3%
<b>TOTAL</b>	<b>106</b>	<b>100%</b>

## Criminal history

### Prior arrests

For each arrest event in an ARI client’s criminal history, the most serious charge was identified based on class of offense and coded into major categories based on statutory definitions. A violent offense in this study included any offense that met the criteria of violent under the Rights of Crime Victims and Witnesses Act [725 ILCS 120]. The non-violent sex offense category included sex offenses not involving the use or threat of force, including prostitution and sex offender registry violations. ARI clients can have arrests for violent and violent sex offense in their history and still be eligible for ARI.

The number of prior arrests (any arrest before ARI participation, including the arrest for which they were participating in ARI) of the 106 DuPage County ARI clients ranged from one to 25, with a mean of six and a median of five arrests. Eighty-six percent had at least one felony arrest prior to ARI participation (n=91) and 40 percent had at least one prior arrest for a violent offense (n=42). About 69 percent of clients had at least one prior property arrest (n=73). Two-thirds of individuals had a prior arrest for a drug offense (n=70), about 34 percent had a prior DUI arrest (n=36), and less than one percent had a prior arrest for a sex offense (n=2). Two clients had prior Class X arrests (1.9 percent), none for murder (*Table 5*).

**Table 5**  
**Prior arrests of DuPage County ARI clients (n=106)**

	n	Percent
<b>Number of prior arrests</b>		
1	10	9.4%
2 – 5	53	50.0%
More than 5	43	40.6%
<b>Most serious prior arrest type*</b>		
Violent	42	39.6%
Property	73	68.9%
Drug	70	66.0%
DUI	36	34.0%
Sex offense (non-violent)	2	1.9%
Other	50	47.2%
<b>Most serious prior arrest class</b>		
Murder	0	0.0%
Class X	2	1.9%
Class 1 & 2	33	31.1%
Class 3 & 4	82	77.4%
Misdemeanor	96	90.6%

Source: ICJIA analysis of Criminal History Record Information

\*Most serious arrest charge, defined by the statutory class of offense, identified in each arrest event was coded into these categories

### **Analysis of all prior arrest charges**

Because a single arrest incident can involve multiple charges, examining all arrest charges without focusing on only the most serious can give a more complete picture of offending patterns. In an analysis of all charges, offenses with significance for probation programming but lesser penalties (such as misdemeanor cannabis possession) are not masked by offenses with greater penalties (such as felony obstruction of justice). For the DuPage ARI clients, the analysis of all arrest charges revealed that more clients had prior arrests with a DUI charge than had DUI as the most serious charge category. Knowing this would allow DuPage County’s ARI staff to identify this underlying criminogenic factor of alcohol abuse in more clients and target them with appropriate programming.

For DuPage County ARI’s 106 clients, the number of prior charges ranged from one to 38 per client, with an average of 9.5 and a median of eight charges. On average, there were 1.6 charges per arrest incident, which indicates that most of the arrest incidents for the DuPage County ARI

sample included multiple charges. About 87 percent of the sample had at least one felony charge prior to ARI participation (n=92), and 40 percent had at least one prior violent charge (n=42). Seventy percent of ARI clients had at least one prior property charge (n=74). Most clients (70 percent, n=74) had a prior charge for a drug offense, about 41 percent had a prior DUI charge (n=43), and less than one percent had a prior charge for a sex offense (n=2). *Table 6* provides an overview of the arrest charges of ARI clients in DuPage County prior to enrollment in the program.

**Table 6**  
**Prior arrest charges of DuPage County ARI clients**

	Number	Percent
<b>Prior charge type</b>		
Violent	42	39.6%
Property	74	69.8%
Drug	74	69.8%
DUI	43	40.6%
Sex offense (non-violent)	2	1.9%
Other	72	67.9%
<b>Prior charge class</b>		
Murder	0	0.0%
Class X	2	1.9%
Class 1 & 2	34	32.1%
Class 3 & 4	85	80.2%
Misdemeanor	99	93.4%

Source: ICJIA analysis of Criminal History Record Information

### **Prior convictions**

Most of the 106 clients in the sample (80 percent) had had prior convictions (n=85). The number of prior convictions ranged from zero to 17 an average of 3.16. Some clients (40 percent) had prior convictions for drug offenses, 35 percent for a property offenses, and 6 percent for violent offenses (n=6). A total of 53 clients had prior convictions for misdemeanor offenses, 75 for felony offenses, and 14 for “other” offenses such as weapons and status offenses.

Of those 75 clients with prior felony convictions, 56 percent had felony convictions for drug offenses, 44 percent had convictions for property offenses, and 5 percent had a prior violent conviction. *Table 7* provides an overview of the convictions of ARI clients in DuPage County prior to enrollment in the program.



**Table 7**  
**Prior convictions of DuPage County ARI clients**

	<b>n</b>	<b>Percent</b>
<b>Number of prior convictions</b>		
1	26	24.5%
2 – 5	42	39.6%
More than 5	17	16.0%
<b>Prior conviction type</b>		
Violent	6	5.7%
Property	37	34.9%
Drug	42	39.6%
Sex offense (non-violent)	2	1.9%
Other	40	37.7%
<b>Prior conviction class</b>		
Murder	0	0.0%
Class X	1	0.9%
Class 1 & 2	34	32.1%
Class 3 & 4	74	69.8%
Misdemeanor	46	43.4%
<b>Prior felony conviction type</b>	<b>n</b>	<b>% (of those with prior felonies)</b>
Violent	4	5.3%
Property	33	44.0%
Drug	42	56.0%
Other	19	25.3%

Source: ICJIA analysis of Criminal History Record Information

### **Prior prison commitments**

Prior IDOC commitments among clients sampled were examined. IDOC commitment information can offer a more accurate representation of serious offending, since a sentence of incarceration involves a conviction for a felony offense. IDOC population records only include the most serious charge that carries the longest potential sentence. This analysis of prior prison commitments is based on all prior holding offenses experienced by the DuPage County ARI clients.

Of the 106 program clients, most (86 percent) had no prior incarcerations. Few (14 percent) had been previously incarcerated in Illinois (n=15). Clients had a range of zero to five incarcerations and an average of less than one incarceration. Overall, four had been incarcerated for a violent offense, 10 for a property offense, and five for a drug offense. One client had been incarcerated for a DUI offense and no clients had been incarcerated for a sex offense. *Table 8* shows the IDOC admissions of the DuPage County sample.

**Table 8**  
**Prior incarcerations of DuPage County ARI clients**

	<b>Number</b>	<b>Percent</b>
<b>Number of prior incarcerations</b>		
0	91	85.8%
1	12	11.3%
2 – 5	3	2.8%
More than 5	0	0.0%
<b>Prior IDOC offense type</b>		
Violent	4	3.8%
Property	10	9.4%
Drug	5	4.7%
DUI	1	0.9%
Sex offense (non-violent)	0	0.0%
Other	1	0.9%
<b>Prior IDOC offense class</b>		
Murder	0	0.0%
Class X	1	0.9%
Class 1 & 2	6	5.7%
Class 3 & 4	12	11.3%
<b>Prior IDOC admission type</b>		
New sentence admission	15	14.2%
Technical parole violation	2	1.9%

Source: ICJIA analysis of data from Illinois Department of Corrections, Planning & Research Unit

Based on the criminal histories of the DuPage County ARI clients, it appears that these individuals were correctly classified as being at a high risk for recidivism. An average of six prior arrests and almost 10 prior charges indicates that these clients were not first-time offenders, and that IDOC may have been a likely destination.

The high prevalence of prior violent arrests also indicates the high risk level of these individuals; almost 40 percent had a prior violent arrest and almost four percent had been previously incarcerated for a violent offense. Of the few clients that had been previously incarcerated, two-thirds of them had been incarcerated for a property offense (n=10) and 80 percent of them had been incarcerated for Class 3 and 4 offenses (n=12). The high prevalence of drug and property offenses is likely an indicator of underlying criminogenic needs in this population. This could be useful background for the county’s ARI probation staff as they screen clients for involvement in the program, and a helpful measure of the site’s ability to identify and enroll appropriate clients.

### **Arrests and charges during program participation**

Arrest information was also collected from CHRI and analyzed for the period that clients were enrolled in the DuPage County ARI program. At the end of the study period (June 30, 2012), clients had been in DuPage County’s ARI program for a minimum of nine days and a maximum of 488 days (about 16 months). The average length of time on ARI probation and at risk for re-arrest was 242 days (about eight months). An arrest was considered to have occurred during participation if the date of the arrest was after a probationer’s ARI start date and before the

termination date, if closed (or terminated), or the end of the study period end. This timeframe can only provide a measure of in-program recidivism for clients and should not be considered a complete picture of DuPage County ARI recidivism.

Of the 106 probationers in the DuPage County ARI sample, 82 percent had no arrests during ARI participation. Few individuals (18 percent) were arrested at least once during ARI probation (n=19), with a range of zero to four new arrests. Nine individuals were arrested for a felony during ARI participation (8 percent) and three had at least one arrest for a violent offense (3 percent). Six participants were arrested for at least one property arrest during participation (6 percent), and three had at least one arrest for an offense against a person (3 percent). During the program eight individuals were arrested for a drug offense (8 percent) and one had a DUI arrest. No program clients were arrested for a sex offense during the program. *Table 9* provides more in-depth information on the in-program arrests of clients in DuPage County.

**Table 9**  
**Arrests of DuPage County clients during ARI participation**

	Number	Percent
<b>Number of arrests during ARI</b>		
0	86	82.1%
1	15	14.2%
2 – 5	4	3.8%
More than 5	0	0.0%
<b>During ARI arrest type*</b>		
Violent	3	2.8%
Property	6	5.7%
Drug	8	7.5%
DUI	1	0.9%
Sex offense (non-violent)	0	0.0%
Other	6	5.7%
<b>During ARI arrest class</b>		
Murder & Class X	0	0.0%
Class 1 & 2	2	1.9%
Class 3 & 4	8	7.5%
Misdemeanor	12	11.3%

Source: ICJIA analysis of Criminal History Record Information

\*Based on most serious charge in each arrest event

When examining individual arrest charges filed against DuPage County ARI clients during participation, nine of the 106 individuals in the sample were charged with a felony during ARI (9 percent) and three had at least one violent charge (3 percent). The number of arrest charges during ARI participation ranged from zero to eight, with an average of 1.5 charges per arrest incident (*Table 10*).

**Table 10**  
**Arrest charges against clients during DuPage County ARI participation**

	<b>Number</b>	<b>Percent</b>
<b>Charge type</b>		
Violent	3	2.8%
Property	8	7.5%
Drug	9	8.5%
DUI	2	1.9%
Sex offense (non-violent)	0	0.0%
Other	8	7.5%
<b>Charge class</b>		
Murder & Class X	0	0.0%
Class 1 & 2	2	1.9%
Class 3 & 4	8	7.5%
Misdemeanor	16	15.1%

Source: ICJIA analysis of Criminal History Record Information

## **Program performance indicators**

The Crime Reduction Act specifies a number of performance indicators that are to be measured at the site level by ARI staff, including employment rates, education achievement, successful completion of substance abuse treatment, and payment of victim restitution. In addition to these statutorily specified measures, ARI administrative staff and the Oversight Board developed additional performance measures for the individual program models that are implemented at the sites. For the IPS model used in DuPage County, these additional measures include technical violations and non-compliance with probation, frequency of in-person contact with probation officers, and average caseload sizes of the ARI probation officers.

## **DuPage County ARI program conditions**

An analysis of client data shows that four clients were ordered to comply with an education condition (4 percent), 10 clients had a formal employment condition (9 percent), and six had a formal restitution condition (6 percent). Of the clients with required restitution, one client had successfully completed payments, two clients had completed (or terminated) before completing payments, and the remaining three clients were making ongoing payments. In general, probationers are required to pay a certain amount each month but can finish probation without having paid fees if the fees are waived by the court. Additionally, 91 clients had other standard probation requirements and conditions recorded (86 percent), which included fines and fees, community service, and Sheriff's Work Alternative Program (SWAP) participation (deputy-supervised community service). About 42 percent of the clients in the ARI program had more than one of these standard conditions as a part of their probation term. Other conditions, such as drug testing, are standard for all probationers.

Of the 106 clients in the sample, multiple data points on employment and education were available for 101 clients. Of these 101, 11 individuals had gained employment or increased their employment hours while in ARI (11 percent). Ten of these probationers gained employment after being unemployed at intake and one went from part-time to full-time. The remaining 90

probationers had no indicated change. Of these 90 individuals, 34 were recorded as maintaining either part-time or full-time employment and 50 remained unemployed during program participation. In total, 44 individuals (44 percent) were employed at some point throughout their participation. No clients were recorded as having advanced in grade level during their probation term.

### **Substance abuse treatment**

An analysis of client data showed that 57 individuals had been referred to or started substance abuse treatment (54 percent). This figure matched the estimated prevalence of substance abuse treatment needs that the county reported during the creation of the local plan (52 percent). Of the 57 individuals, 48 were recorded as receiving a single referral to substance abuse treatment (84 percent), while the remaining nine clients received two treatment referrals (16 percent). Substance abuse treatment was referred 66 times, with eight clients recorded as having successfully completed a substance abuse treatment referral (12 percent). Three clients were recorded as having unsuccessfully concluded substance abuse treatment, which could mean they were removed for behavioral issues, non-attendance, tardiness, or otherwise did not meet treatment requirements. Of these, two clients unsuccessfully concluded a single referral, while one client was unsuccessful in two separate attempts (6 percent of the 66 referrals). Nineteen clients had a treatment referral recorded, but were closed (or terminated) from probation either successfully or unsuccessfully before a treatment completion was recorded. Of the 66 individual treatment referrals, 35 were ongoing at the end of the pilot phase.

### **Non-compliance with probation requirements**

Information was collected by program administrators on some of the most common violation types, including new felony arrests, new misdemeanor arrests, travel without permission, no employment, residence, or treatment verification, failure to submit to a treatment assessment, missing treatment appointments, missing probation appointments, positive drug or alcohol tests, and failure to make court-ordered payments. Non-compliance was recorded on 41 clients (39 percent) 85 times cumulatively, which included a total of 130 separate incidents (a record may include multiple separate types of non-compliance). Of those with non-compliance records, 24 percent had one incident (n=10). The remaining 31 clients with multiple incidents had totals ranging from two (24.4 percent, n=10) to nine (2.4 percent, n=1).

The most common type of violation that was recorded was a positive drug or alcohol test (31 percent, n=40). Missing probation appointments was the next most common violation type (22 percent, n=29), followed by missing treatment appointments (12 percent, n=15), and new misdemeanor arrests (11 percent, n=14). *Table 11* provides more information on the violation types and their prevalence.

**Table 11**  
**DuPage County ARI program non-compliance incidents**

<b>Non-compliance type</b>	<b>Number of incidents</b>	<b>Percent</b>
Felony arrest	4	3.1%
Misdemeanor arrest	14	10.8%
Travel w/o permission	0	0.0%
No employment verification	0	0.0%
No residency verification	0	0.0%
No treatment verification	11	8.5%
No assessment/evaluation	9	6.9%
Missed treatment appointment	15	11.5%
Missed probation appointment	29	22.3%
Positive drug test	40	30.8%
Failure to pay fines/fees	0	0.0%
Other	8	6.2%
<b>Total incidents</b>	<b>130</b>	<b>100.0%</b>

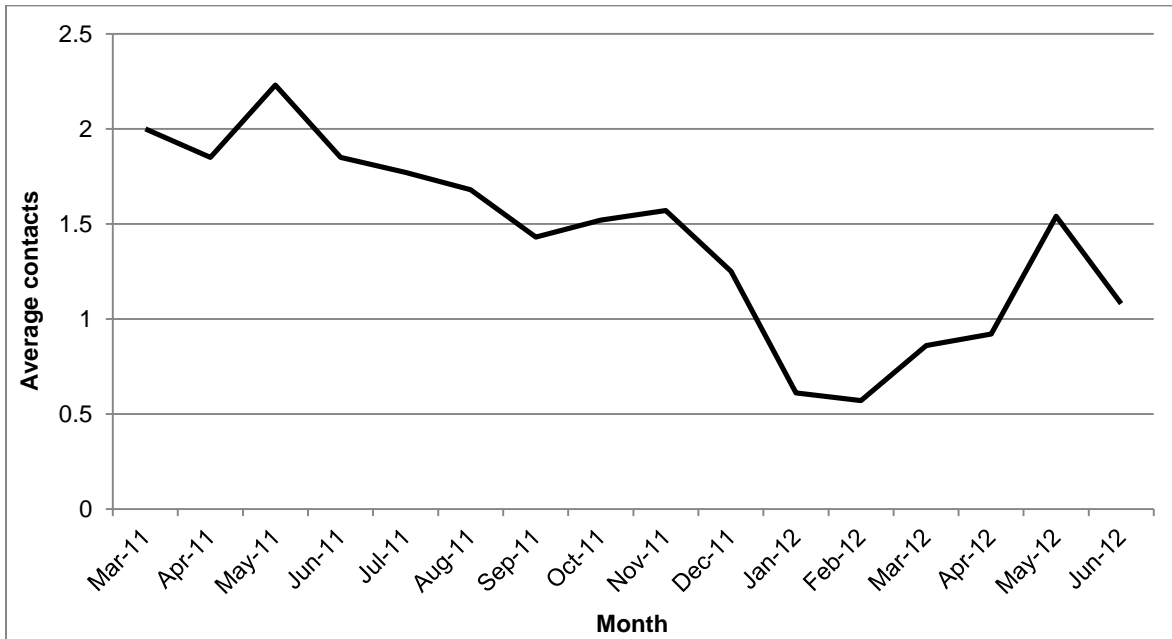
From the available client data, the program made use of informal and administrative sanction options for non-compliance. Of the 85 non-compliance records for clients during the 18-month pilot phase, informal sanctions were used for 18 incidents (21 percent). Informal sanctions in this case include court admonishment, written assignments, or a written reprimand from probation. Referral to treatment or a specialized service was used in 8 percent of these incidents (n=7), community service or SWAP was used in five cases, and increased reporting to probation was used in three cases. The program also used more serious formal sanctions, including court appearances (5 percent, n=4) and filing formal technical violations or Petitions to Revoke (12 percent, n=10).

### **Caseloads and contact levels**

An analysis of the number of monthly contacts with probation as clients progressed through the program indicated that there was a downward trend in the number of contacts as the client progressed in the program. By calculating a line of best fit to determine how the number of monthly contacts changed as a client progressed in the program ( $y=mx+b$ ), it was determined that the average client had a slope of -0.082, indicating that after about 12 months, the typical client had one less contact per month than at the start of that 12 month period.

During the pilot phase, client contacts with probation were averaged for each month. These averages ranged from a high of 2.23 contacts per month in March 2011 to a low of 0.57 in February 2012. The cause of this drop is not likely due to an actual decrease in the number of contacts with clients, but due to layoffs of two of the three ARI probation officers. The remaining officer was left with a larger caseload, which drastically impaired the site's data reporting capability. It is possible that actual contacts with probationers were higher than reported during this period, but reporting dropped off due to prioritizing client interactions. *Figure 1* shows these trends over time, with a demonstrated drop in contact levels as staffing levels were reduced and a rise in contact when staffing levels were increased.

**Figure 1**  
**Average DuPage County ARI client contacts by month**



At the peak of the program in June 2012, 95 active clients were served by three probation officers. This averages out to about 32 clients per officer, which was within the established guidelines of 30 and 50 clients for an intensive supervision program.

### **DuPage County reduction goal**

During the county’s planning period, an analysis of sentences to IDOC found that DuPage County sent an average of 338 ARI-eligible individuals to prison each year in state fiscal years (SFY) 2007-09. For SFY 2007-09 DuPage County new court admissions to prison of those meeting ARI eligibility guidelines, the median projected time to serve in prison was 278 days. After examining the court records of these commitments more closely, DuPage County stakeholders determined that around 25 percent (n=84) of these individuals had been sentenced after violating the terms of their probation. This group of 84 probation violators was identified as the target population for the ARI program in DuPage County, with a 25 percent reduction goal of 21 individuals.

At the end of 2011, the ARI Oversight Board made about \$460,000 available to existing pilot sites as a supplemental funding opportunity. The Oversight Board approved a plan for these funds that included allowing the existing pilot sites to compete for supplemental awards of up to \$100,000. Supplemental funds were designated to expand services or address other programming-related issues. If supplemental funding adversely impacted a site’s potential cost-savings, such as increased the per client cost of a site’s services, the site could be required to increase its target population and reduction goal. In January of 2012, DuPage County requested and received \$64,677 in supplemental funds for a fourth probation officer. In exchange for the

additional funding and the increased client enrollment it would facilitate, DuPage County agreed to increase its reduction goal from 21 individuals to 35.

DuPage County did not engage in a prolonged planning period, but instead started enrolling clients in ARI services in February 2011. Within six months, DuPage County had enrolled 56 clients. *Table 12* provides a monthly count of enrolled clients and clients terminated from ARI and re-sentenced to IDOC.

**Table 12**  
**DuPage County ARI enrollments and IDOC sentences by month**

	<b>Total monthly enrollments</b>	<b>Re-sentences to IDOC</b>
Jan-11	0	0
Feb-11	2	0
Mar-11	8	0
Apr-11	16	0
May-11	17	0
Jun-11	13	0
Jul-11	10	0
Aug-11	14	0
Sep-11	4	1
Oct-11	3	0
Nov-11	2	2
Dec-11	4	1
Jan-12	1	2
Feb-12	3	0
Mar-12	4	2
Apr-12	14	1
May-12	14	0
Jun-12	8	1
<b>TOTAL</b>	<b>137</b>	<b>10</b>

Based on these enrollment trends, DuPage County was able to quickly identify and enroll appropriate clients. The slowdown in enrollments seen in late 2011 is likely explained by two major factors. By September 2011, DuPage County was approaching its specified caseload size of about 30 clients per probation officer. Enrollments predictably slowed to keep caseload sizes within the limits established by the local plan. The second major contributor to this slowdown was the closing of the county's juvenile detention center. As a result of subsequent staffing shifts, two of the three ARI probation officers were laid off and all active ARI clients were transitioned to the remaining officer. The ARI program was running with one probation officer until supplemental funding was approved and awarded after January 2012. At the end of the grant period, DuPage County had enrolled 137 clients and had closed (or terminated) 37 probation cases. Of these, 17 clients had graduated or successfully completed the ARI program (46 percent successful completion rate) and 10 clients had terminated unsuccessfully and were re-sentenced to IDOC (27 percent rate of re-sentence to IDOC).



DuPage County exceeded its 25 percent reduction goal by a wide margin. The program successfully diverted 127 individuals from IDOC during the pilot period (*Table 13*).

**Table 13**  
**DuPage County ARI clients and reduction goal**

Overall clients enrolled	137
Clients re-sentenced to IDOC	10
Other ineligible (removed from count)	0
<b>Total successful diversions</b>	<b>127</b>
<b>Reduction goal</b>	<b>35</b>
<b>Percent of goal reached</b>	<b>362.9%</b>

# Findings: Program planning

DuPage County ARI staff and stakeholders were interviewed during the ARI program planning phase to gather information on the attitudes and perceptions of stakeholders before program implementation. Eight staff members were interviewed from DuPage County Adult Probation, the public defender's office, state's attorney's office, psychological services, Treatment Alternatives for Safe Communities (TASC), and substance abuse providers. Interview questions are provided in *Appendix A*.

## Benefits anticipated

During the ARI program planning phase in the first half of 2011, staff members were asked what benefits they anticipated from DuPage County's participation in ARI. One staff member mentioned community safety and another suggested clients would benefit from the services provided by the county's ARI program. Below are quotes from respondents.

*“As a whole it will improve community safety. I think it will improve access to resources, make them more mainstream, and more effectively channel services to the population that needs it the most. I think overall it will improve collaboration between agencies and tighten the service connections for clients as they access the criminal justice system and improve their access to services more quickly.”*

*“It will benefit our clients directly. We have clients that normally would go to prison directly if they violate probation, so this program will definitely benefit our clients. DuPage currently does not have a lot of options for probation [violators]. Now there will be an alternative to work with.”*

## Measures of success

ARI interview subjects were asked to share what they considered to be the most important measure of success for the program. Five of the eight staff interviewed mentioned that reduced recidivism was an important measure of success. For example, one staff member stated, *“The biggest [measure of success] would be a decrease in recidivism and then a decrease in substance abuse.”*

Another respondent further clarified that success was a reduction of recidivism during and after program participation:

*“If they recidivate while still in the program, it's a complete disaster, either service providers didn't do their job or they selected the wrong person for participation.”*

Of the five staff who stated that recidivism was a measure of success, three defined recidivism as incarceration in prison rather than arrest, while one ARI staffer said success was based on how well clients did in the program while not violating probation.

## Performance-based funding

In the interviews, subjects were asked how they felt about programs that provide funding based on key performance indicators and administer fiscal penalties if goals are not met. Most respondents were in support of performance-based funding. The following are quotes from those respondents.

*“I understand the concept. I had gone to a number of my counties and this seemed to be the one barrier that kept counties from going with projects, this seemed to be the thing that turned them off. I think it is a good thing. It holds programs in counties accountable, [and we get] great suggestions on what to use as evidence-based practices during the planning. I think asking it to work this way makes the county work a little harder, think a little deeper about hitting a specific population rather than just throwing it in their big pool of money. So I think it would bring about change down the road as one of the outcomes of a program like Adult Redeploy, but I also think that it served as a big barrier to making more counties actually participate.”*

*“It causes people to have accountability. I think it does up the ante, it makes you more serious about what you are doing. If you don’t get it, you have to go back in front of the county board and say we owe X amount of money because we screwed this up. It’s good to raise the stakes a little bit.”*

*“It is necessary. Outcomes are what really matters. [We] went into this knowing about the penalties. We have the right people in place and the right stakeholders in place. We are looking forward to the challenge.”*

*“I think it is a good idea, it holds people accountable to doing what they say that they are going to do and forces an outcome system to be established and a tracking system to be put into place, so I am all for it.”*

*“Funding based on performance is a good idea. Penalties are a little scary. Everybody felt pretty confident that we could hit the goals and [we had] a well executable plan and a good population to target and to everyone it seemed we could do this with not much of a problem, it was realistic.”*

One staff member was unsure about supporting performance-based funding. The staff member said the following,

*“Not sure about that. I understand the need to justify funding and that people should be accountable on the one hand, but there are always situations that come up that may affect the outcomes. I see both sides.”*

## ARI concerns

DuPage County ARI staff and stakeholders were asked if they had any apprehensions or concerns about the ARI program. Three expressed concerns and one did not. One respondent had

concerns about enrolling appropriate clients given the pressure to meet a quota of program clients.

*“I’m concerned that they’re forced to pick a set number instead of evaluating candidates who would be appropriate, concerned that they’ll be forced to put people into the program who don’t belong there just to meet that number.”*

Another staff member voiced similar concerns about client selection:

*“I am concerned about coercions. That somebody is not going to have a choice. They are going to have to do it because probation says they have to and they need to fill the slots.”*

One staff member had concerns about recidivism of program clients and the implications for public safety. The respondent explained,

*“The recidivism rate, DUI offenders who are out and then those who would become involved in a reckless homicide, then state’s attorneys become concerned. I’m worried about public safety implications with a program like this and apprehensive that the wrong people may be selected for participation.”*

One staffer did not have any concerns and shared, *“We are looking forward to the challenge.”*

## **Conclusions on program planning**

During the planning phase, DuPage County ARI staff and stakeholders foresaw numerous benefits of the program to the community and clients. Most thought recidivism was the best measure of success, while many thought that the actual behavior change of the clients would also be a measure of success. Many respondents were generally supportive of funding based on performance, although there were some concerns about using penalties to incentivize performance. Some respondents raised concerns about the ARI program serving the appropriate clients, meeting the target number of clients, and demonstrating success.

# Findings: Program implementation

Six ARI DuPage County probation staff were interviewed as a group and were asked questions about ARI program implementation and operations. The following are their responses. The actual interview questions are provided in *Appendix B*.

## Probation officer job duties

DuPage County probation officers that were interviewed stated that their caseloads were about 30 clients, the target caseload for ARI. In comparison, the average caseload for non-ARI, high-risk probationers was up to 70 clients. Probation officers indicated that they initially met with ARI clients weekly, especially if the clients were actively using drugs or had severe mental health issues.

Based on the interviews, the following are the job duties of DuPage County ARI probation officers:

- Monitor compliance with ARI conditions and court orders.
- Administer LSI-R to identify risks and needs.
- Develop an individualized case plan with clients.
- Hold individual and group reporting meetings with clients.
- Assign and review homework.
- Refer to and follow up with treatment services.
- Transport clients and meet with treatment agencies.
- Attend court hearings with clients.
- Facilitate cognitive behavioral therapy (CBT).
- Conduct team home visits in the field.
- Handle crises.
- Network with agencies and court personnel.
- Write grant reports and collect data.
- Attend staffing and operational department meetings.
- Develop policies (e.g. procedures for Sanction Review Board, graduations, screenings, and CBT groups).

ARI probation officers are paired up in teams of two and all probation officers conduct staff meetings together. One probation officer explained that the clients believe that the whole team is invested in their success and is there to guide them through the ARI program. In the event of a crisis, which was rare, the officers used a team approach to assess the situation and decide a course of action. One example provided in the interview concerned a client who was having delusions, therefore, the team of two probation officers together decided to involve a mental health coordinator.

## Probation officer training

According to the interviewees, the entire probation department received Effective Practices in Community Supervision (EPICS) training. EPICS is a highly structured, cognitive-behavioral supervision model (Smith, Schweitzer, Labrecque, & Latessa, 2012). As a part of that training, probation-client visits were audiotaped and submitted to supervisors for critique. The department continues the practice by having supervisors sit in on office visits regularly to provide feedback to probation officers.

One aspect of EPICS was used during client appointments where probation officers provided positive reinforcement as well as negative. One probation officer explained that they might say, *“I’m really proud that you did this because I know it was a struggle for you.”* She expressed that this type of messaging *“makes office visits much more meaningful.”*

In addition, probation officers use homework assignments that lead the clients through different behavioral triggers. The interviewees said that ARI probation officers are able to give a lot more homework than traditional probation. They use decisional balance sheets with clients, which present the pros and cons of different choices, as part of a motivational interviewing approach. Ultimately, this helps to foster effective problem-solving skills. Officers also model behavior and provide examples for handling problematic situations.

The ARI Sanction Review Board is made up of ARI probation officers who hear violations of probation. One officer explained that their board has a *“cognitive-behavioral flair”* by asking questions such as: When did this happen?, What was the situation?, What can you do differently next time?, and How can you prepare yourself? One officer explained, *“It’s just so amazing how much more you get from the person when you ask them to walk through it in a way that you might not if it was a more traditional format.”* The probation officer stated that it promotes ownership, independence, and decision-making. Doing these EPICS-related activities creates *“stronger buy-in to the case plan and to the goals.”*

## Case planning

To develop an initial case plan, ARI staff use LSI-R scores to develop short- and long-term goals. In the early stages of their ARI probation, clients receive a homework assignment that has a case plan worksheet. One probation officer also uses a *“triggers worksheet.”* She explained,

*“I find it helpful to have worksheets that they take home and do and they can think about, instead of being put on the spot. Then they come back and we kind of process those together and then formulate that case plan together.”*

The ARI staff at the interview discussed creating a broad case plan with timeframes for specific goals and steps that change at every appointment depending on interventions needed at that time.

## Staff meetings

The interview participants indicated that they held regular staff meetings to discuss clients and all of the ARI probation officers found them to be beneficial. The staff meetings were done formally on a regular schedule, but informal meetings were held daily. Staff meetings offered a forum to bring forth cases with which they are struggling, to discuss what would be beneficial for the client, and to determine the appropriate the next steps. One interviewee explained that a diverse team helps. She said, *“Every one of us on this team comes from a different background and...has different approaches to doing things.”* Also, unlike traditional probation, interviewees suggested that ARI offers the possibility of unique solutions to problems.

## Typical day

Interviewees shared that the first step of the day is ensuring that their clients come in for their scheduled appointments. It was explained that praising clients for attending is normal because ARI is intensive with many probation requirement and can be discouraging for clients. The officers first review the client’s court-ordered conditions and the goals that the client had set at previous meetings. Clients received homework assignments related to a specific issue the client is working through or designed as a reflection exercise. Interviewees added that while the entire program has procedures and processes in place, they knew that with their client population, their best laid plans will change if a crisis occurs or another issue arises.

## Referrals to ARI

Referrals to ARI often came from probation officers on offenders in violation of probation conditions. The violating offender enters ARI because they have been placed in the program as a sanction. When a violating offender is sanctioned into ARI, the original probation officer meets with an ARI officer to determine if the sanction is appropriate. If the program is deemed suitable, paperwork is completed and the offender is transferred into ARI.

Other referrals occur at probation intake. If an intake officer identifies someone as high-risk and in need of closer supervision, the individual may be transferred to the ARI caseload.

To establish an individual’s suitability upon referral to the program, the offender, the original probation officer, and ARI officer meet. During the meeting, incentives and barriers to the program are discussed, as well as the heightened conditions that ARI has in comparison to traditional probation. It is important to know what a client wants to get out of the program, as well as how probation officers can help clients meet their goals. One probation officer explained, *“It really does help on the front end to have those discussions. You have to have some skin in the game, and we have to have some teeth to the program.”* These conversations allow all parties to determine why admitting the offender would be beneficial, they also lay out expectations for the offender before program admittance.

## **Screening intake process**

Interviewees worked with the courts to set up an initial evaluation process for potential clients to determine whether individuals are suitable for the program. The screening instrument covers a client's offense, where they live, what needs the individual has that must be addressed promptly, and whether or not the individual would be able to report regularly. Probation officers also interview the potential client to determine what the individual wants to get out of the program and how the individual can be supported when it comes to meeting their goals.

Following the interview, a report is drafted letting the judge know whether or not the individual is eligible for the program. From there a judge decides whether or not to admit the individual into the program.

## **Monitoring compliance**

During the interview, ARI probation officers explained they want to make sure clients are working toward completing what is in their court order and case plan, as well as demonstrating a motivation to change and engage in services and treatment. ARI site staff monitors client compliance not only through meeting with clients, but also by building a relationship with service agencies that will communicate how clients are doing in treatment. DuPage County ARI has graduated sanctions which start with verbal reprimands, then formal (written) reprimands, and then administrative sanctions which can bring them before the ARI Sanction Review Board. After sanctions, they may go back in front of the judge. As one person explained, *"that could be a motivator for them to...do the things that have been asked of them."*

## **Phases of supervision**

Interview participants were asked about phases of supervision, in which clients doing well progress to a reduced level of supervision. DuPage County ARI does not refer to reduced supervision as distinct phases. They gradually reduce the amount of time they meet with clients. Weekly meetings were required initially and after two months, meeting requirements dropped to twice per month which was the minimum. Clients who met weekly requirements, including passing drug tests and attending treatment, were eligible for reduced reporting. Non-compliant participants were given increased supervision.

## **Referrals to services**

Interviewees made referrals for services based on court orders and their client's needs. An extensive list of treatment providers was available. Probation officers regularly communicate with providers to ensure their clients are progressing as expected.

Clients are commonly referred to the Special Needs Advocacy Program (SNAP). SNAP is a mental health program through the DuPage County Health Department. Clients without insurance or a psychiatrist are often referred to SNAP for services. Referrals for mentoring also are given, matching clients with mentors to assist them in gaining employment, finding housing



and other needs. Interview participants collaborated with treatment providers to whom they refer clients.

## **Cognitive-behavioral therapy**

The officers gave ARI clients cognitive-behavioral-related homework assignments on addiction, anger management, and restorative justice. The assignments were generated from Thinking for a Change or the *Carey Guides*. Thinking for a Change is an integrated, cognitive-behavioral change program to help offenders with cognitive restructuring, social skills development, and the development of problem solving skills. The Carey Guides help probation officers teach clients to understand the personal and environmental factors underlying their offending behavior and develop skills and tools for positive behavioral changes. One condition of that is if a client missed an appointment, there may be an assignment that focuses on the situation. Questions may include: *What things were going on?* and *What contributed to not reporting?*

## **Sanctions, non-compliance**

Sanctions resulting from minor cases of client non-compliance were determined by individual officers, while significant instances of client non-compliance were addressed by a review board. When all administrative sanctions were exhausted, other sanctions were decided by a judge.

## **Program completion**

After six months, probation staff meet to discuss each client's progress. A termination checklist is completed by the probation officer and clients undergo self-appraisal. Probation officers said self-appraisals were a way to "*put it back on the offender.*" One person explained it is a message to the probationer that, "*This is an earn-your-way-off type of program, so you're in control of the choices that you make. We're here to help guide some of those choices, but ultimately the decision is yours.*" A graduation ceremony is held upon client completion and clients are acknowledged for their accomplishments in the program.

## **Conclusions on program implementation**

DuPage County probation officers interviewed carried ARI caseloads of about 30 clients. Clients underwent ARI programming for a minimum of six months before being considered for transition to a less-intensive probation caseload. DuPage County ARI probation officers used the following tools and programs: EPICS, a highly structured, cognitive-behavioral supervision model; T4C, an integrated, cognitive-behavioral change program; and Carey Guides, which offer assignments for clients to better understand the thinking that underlies their behavior. The probation officers gradually reduce the amount of time they meet with clients based on how the client is responding to the program and meeting requirements. Praise for incremental progress is also an important tool for developing positive relationships between an officer and a probationer.

# Findings: Client interviews

Nine DuPage County ARI clients were interviewed out of 12 possible clients who had to have graduated from, or been in, the program for at least six months. All nine were enrolled in ARI clients at the time of the interview. The average age of the clients in the sample was 41 years old. Of those interviewed, seven were male and two were female. Six clients identified their race as White and three identified as Black. Additional demographic information of the interview sample is shared in *Appendix D*.

## ARI referral and intake

Clients were asked to comment on why they thought they were referred to ARI probation—three were unsure, two said their drug problem, two said their criminal history, one said for a “*second chance*,” and one said because ARI has more restrictions. Since ARI is a voluntary program, clients were asked why they agreed to be on ARI probation. Four clients believed ARI would benefit them and it was something they could complete, three clients said they did not agree to join, and two agreed to avoid jail or prison.

Seven clients shared that they thought their needs were identified when they started ARI probation, while two disagreed. All nine clients agreed that they were asked about their strengths and drug history when they started ARI probation.

Five clients reported that they had been on probation before and four had not. Of those who had previously been sentenced to probation, all found ARI probation to be different than traditional probation explaining that ARI is more intense and structured.

## ARI services

The most commonly needed services were transportation, medical assistance, and dental assistance. Clients could choose as many services as applicable. A total of 36 services were needed by the nine clients and 25 were received. *Table 14* indicates the number of ARI probationers who said they needed a particular service and how many felt they received help obtaining that service.

**Table 14**  
**Services needed and received by DuPage County ARI clients**

<b>Services</b>	<b>Needed services</b>		<b>Received (of those needing services)</b>	
	<b>n</b>	<b>Percent</b>	<b>n</b>	<b>Percent</b>
GED, enrollment in school	0	0.0%	N/A	N/A
Job training	2	22.2%	1	50.0%
Job referrals	2	22.2%	1	50.0%
Assistance with resume	3	33.3%	3	100.0%
Money management	1	11.1%	1	100.0%
Identification (driver's license, social security card)	2	22.2%	1	50.0%
Public financial assistance (food stamps, TANF, or general assistance)	0	0.0%	N/A	N/A
Modifying your child support debt	0	0.0%	N/A	N/A
Obtaining child support payments	0	0.0%	N/A	N/A
Regaining custody of children	1	11.1%	0	0.0%
Legal assistance	1	11.1%	0	0.0%
Assistance securing housing	2	22.2%	0	0.0%
Transportation	5	55.6%	5	100.0%
Medical assistance	5	55.6%	4	80.0%
Dental assistance	5	55.6%	2	40.0%
Anger management	0	0.0%	N/A	N/A
Batterer intervention program	0	0.0%	N/A	N/A
Domestic violence services	0	0.0%	N/A	N/A
Cognitive-behavioral therapy	1	11.1%	1	100.0%
Other mental health services	4	44.4%	4	100.0%
Other life skills	2	22.2%	2	100.0%
<b>TOTAL</b>	<b>36</b>		<b>25</b>	

All nine clients indicated that they developed a case plan with their probation officer with clear goals. Some common services that clients shared they were referred to are cognitive-behavioral therapy, substance abuse treatment, and employment assistance. Eight clients indicated that they followed up and accessed the services they were referred to, while one client reported not accessing referred services. Five clients said that nothing more could be offered by ARI probation that would help them, two clients wanted more assistance with housing, and two wanted more assistance with employment.

### **ARI drug testing**

All nine interviewees were required to submit to drug testing and all nine thought the drug tests were random. Clients reported being drug tested on average two times each month. According to National Drug Court Institute (2012), best practice is for drug courts to conduct drug testing at least twice per week in the first phase. Testing less frequently makes prediction easier, so participants are able to use without detection. Five clients believed the drug testing lowered their drug use, two believed it did not, and two did not respond. *Table 15* depicts the number of self-reported positive drug tests that interviewed clients had during ARI probation.

**Table 15**  
**Number of DuPage County ARI client positive drug tests**

<b>Positive drug tests</b>	<b>n</b>	<b>Percent</b>
None	3	33.3%
1	5	55.5%
2	0	0.0%
3	1	11.1%
<b>TOTAL</b>	<b>9</b>	<b>100%</b>

## **ARI program incentives**

DuPage County offers incentives to ARI probation clients to encourage and reward them for doing well in the program. Five interviewees stated they received rewards, while four did not. Rewards included longer periods of time between reporting, getting called less often for random drug tests, certificates, praise from ARI staff, bus passes, and treats (candy, snacks, etc.). Of those who received rewards, all five found them to be good motivators to do well in the program. The average number of rewards each person received was six. Clients believed that they were rewarded for following the rules and being honest throughout the program. One client expected rewards from the program. Of the five clients who received rewards, three were ‘*very pleased*’ with them and two were ‘*somewhat pleased*.’

In the DuPage County ARI program, probationers who succeed in meeting court-ordered milestones and complying for certain lengths of time move on to different “phases” of the program with fewer restrictions. Of the nine clients interviewed, five reported knowledge of different phases. Of the five with knowledge of the probation phases, three mentioned receiving a certificate/letter upon completion of the program and two said they were told in court that they had finished the program. All five found the system of phases useful, though one thought that the structure should be more defined.

## **Client feedback on ARI**

Clients were asked a number of questions comparing ARI probation to prison in order to help evaluate client perceptions on the two types of sentencing. All nine interviewed clients stated that ARI probation was a better alternative to prison. Additionally, all interviewed clients explained that ARI probation offered a better lifestyle than prison and that ARI probation is easier to complete than a prison term. All agreed that ARI probation has a good reputation. Six clients described themselves as ‘*very engaged*’ with ARI probation.

Clients were asked to rate their agreement with six statements about ARI probation on a scale of 1 (strongly disagree) to 5 (strongly agree). Overall, clients agreed with the positive statements about ARI probation. Eight of the nine clients agreed or strongly agreed that ARI probation helped them report regularly to their probation officer, helped them attend treatment on a regular basis, helped to positively impact their future, made them better off as opposed to other court sanctions, and personally helped them. Client responses to these questions can be found in *Table 16*.

**Table 16**  
**DuPage County client feedback on ARI probation**

<b>ARI probation...</b>	<b>n</b>	<b>Percent</b>
<b>helped you to report regularly to my probation officer</b>		
Strongly agree	4	44.4%
Agree	4	44.4%
Neutral	0	0.0%
Disagree	0	0.0%
Strongly disagree	0	0.0%
N/A	1	11.1%
<b>helped you attend treatment on a regular basis</b>		
Strongly agree	6	66.6%
Agree	2	22.2%
Neutral	1	11.1%
Disagree	0	0.0%
Strongly disagree	0	0.0%
<b>helped to positively impact your future</b>		
Strongly agree	6	66.6%
Agree	2	22.2%
Neutral	1	11.1%
Disagree	0	0.0%
Strongly disagree	0	0.0%
<b>made you better off as opposed to other court sanctions</b>		
Strongly agree	5	55.5%
Agree	3	33.3%
Neutral	1	11.1%
Disagree	0	0.0%
Strongly disagree	0	0.0%
<b>personally helped you</b>		
Strongly agree	5	55.5%
Agree	3	33.3%
Neutral	0	0.0%
Disagree	1	11.1%
Strongly disagree	0	0.0%
<b>TOTAL</b>	<b>9</b>	<b>100%</b>

Five interviewed clients indicated that completing ARI probation was easy, while the remainder shared that they found it difficult. Individuals who thought ARI probation was easy to complete also believed that ARI probation rules were easy to follow. Conversely, individuals that believed ARI probation was difficult to complete believed that ARI probation rules were hard to follow.

### **Feedback on probation officer**

All interviewed clients indicated that they received an orientation on ARI probation from their probation officer. Clients met with their probation officer face-to-face an average of two times each month. These face-to-face contacts lasted an average of 38 minutes per client. Clients reported waiting an average of nine minutes in the waiting room before meeting their probation

officer for their appointment. Four clients explained that they found it difficult to make it to appointments, mainly because of transportation problems.

ARI clients were asked to rate their agreement with six statements about their probation officer on a scale of 1 (strongly disagree) to 5 (strongly agree). Overall, clients agreed with the positive statements provided about their probation officers. Eight clients ‘*agreed*’ or ‘*strongly agreed*’ that ARI probation officers treated them with respect, were fair, were concerned about them, helped them be compliant with probation, and were easy to reach. Client responses to these questions can be found in *Table 17*.

**Table 17**  
**DuPage County client feedback on ARI probation officers**

<b>Your ARI probation officer...</b>	<b>n</b>	<b>Percent</b>
<b>treated you with respect</b>		
Strongly agree	6	66.6%
Agree	3	33.3%
Neutral	0	0.0%
Disagree	0	0.0%
Strongly disagree	0	0.0%
<b>was fair</b>		
Strongly agree	6	66.6%
Agree	3	33.3%
Neutral	0	0.0%
Disagree	0	0.0%
Strongly disagree	0	0.0%
<b>was concerned about you</b>		
Strongly agree	6	66.6%
Agree	3	33.3%
Neutral	0	0.0%
Disagree	0	0.0%
Strongly disagree	0	0.0%
<b>visits helped you be compliant with probation requirements</b>		
Strongly agree	6	66.6%
Agree	3	33.3%
Neutral	0	0.0%
Disagree	0	0.0%
Strongly disagree	0	0.0%
<b>expected too much of you</b>		
Strongly agree	0	0.0%
Agree	0	0.0%
Neutral	2	22.2%
Disagree	5	55.5%
Strongly disagree	2	22.2%

**Table 17 continued**

<b>Your ARI probation officer...</b>	<b>n</b>	<b>Percent</b>
<b>was easy to reach</b>		
Strongly agree	4	44.4%
Agree	4	44.4%
Neutral	1	11.1%
Disagree	0	0.0%
Strongly disagree	0	0.0%
<b>TOTAL</b>	<b>9</b>	<b>100%</b>

Clients were asked to describe their relationship with their ARI probation officer. Two clients referred to their probation officers as supportive, two clients found their probation officers to be respectful, two others found their probation officers to be trustworthy, two clients described their relationship as good, and one explained that their relationship was okay. One client specifically mentioned that their probation officer introduced them to the unemployment counselor, which helped them secure a job. Clients were asked if their probation officer did not do something that would have helped them; all interviewed clients explained that there was nothing their probation officer could have done differently.

### **Feedback on substance abuse treatment staff**

Clients were asked to rate their agreement with five statements about the substance abuse treatment staff on a scale of 1 (strongly disagree) to 5 (strongly agree). Overall, clients agreed with the positive statements provided about treatment staff. Client responses to these questions can be found in *Table 18*.

**Table 18**  
**DuPage County client feedback on ARI treatment staff**

<b>Treatment staff...</b>	<b>n</b>	<b>percent</b>
<b>treated you with respect</b>		
Strongly agree	5	55.5%
Agree	1	11.1%
Neutral	0	0.0%
Disagree	0	0.0%
Strongly disagree	0	0.0%
N/A	3	33.3%
<b>was fair</b>		
Strongly agree	5	55.5%
Agree	1	11.1%
Neutral	0	0.0%
Disagree	0	0.0%
Strongly disagree	0	0.0%
N/A	3	33.3%

**Table 18 continued**

<b>Treatment staff...</b>	<b>n</b>	<b>percent</b>
<b>was concerned about you</b>		
Strongly agree	5	55.5%
Agree	1	11.1%
Neutral	0	0.0%
Disagree	0	0.0%
Strongly disagree	0	0.0%
N/A	3	33.3%
<b>visits helped you to stay in compliance with probation conditions</b>		
Strongly agree	5	55.5%
Agree	1	11.1%
Neutral	0	0.0%
Disagree	0	0.0%
Strongly disagree	0	0.0%
N/A	3	33.3%
<b>expected too much of you</b>		
Strongly agree	0	0.0%
Agree	0	0.0%
Neutral	0	0.0%
Disagree	6	66.6%
Strongly disagree	0	0.0%
N/A	3	33.3%
<b>TOTAL</b>	<b>9</b>	<b>100%</b>

## **Conclusions on client interviews**

Clients met with their probation officer face-to-face an average of two times each month lasting an average of 38 minutes per client. Overall, clients agreed with the positive statements about the ARI program and their probation officers who treated them with respect, were fair, were concerned about them, and helped them be compliant with probation.

Of those who received rewards, all five found them to be good motivators to do well in the program. The average number of rewards each person received was six. Clients believed that they were rewarded for following the rules and being honest throughout the program. Five clients were aware of, and found it helpful to have, different “phases” of the program with fewer restrictions after complying with program conditions.



# Implications for policy and practice

This evaluation examined Adult Redeploy during its pilot phase from January 1, 2011 through June 30, 2012. An initial federal grant allowed the initiative to start with a deliberate and gradual process for identifying the program's overall goals, to secure the participation of initial pilot sites, and to develop the framework for implementing lessons learned during the pilot phase as new sites joined the program. As Adult Redeploy Illinois expands across the state, the insights gained during the pilot phase will become more relevant. Compiling and circulating lessons learned by the pilot sites can help new sites avoid challenges and share ideas.

## Reduction goals

DuPage County exceeded its 25 percent reduction goal by a wide margin (363 percent of goal reached). The program diverted 127 individuals from IDOC, while their reduction goal was to divert 35 individuals.

Specific factors could have contributed to this large reduction. DuPage County ARI was operating as a pilot program during this period, so staff was still exploring the program's capabilities and capacity, as well as fine-tuning the referral and screening process. As a new program in DuPage County, the stakeholders needed to explain the eligibility criteria to the Adult Probation Department staff and work with them to ensure that appropriate clients were being referred.

The process of calculating the reduction goal also likely contributed to the high number. Including clients who are still in the program and receiving services as diversions from IDOC will skew the reduction count towards the high end. The inclusion of a penalty for sites not meeting their reduction goals could have led to an overly-conservative estimation of their target population, and thus their 25 percent reduction goal. Finally, there also may have been an influx of ARI-eligible probationers due to local criminal justice system factors, such as increased arrests or charges filed for ARI-eligible offenses increasing their eligibility pool. While more study is needed to determine the exact reasons behind DuPage County's performance, both the county and the ARI Oversight Board can use this information to help refine the reduction goal in subsequent grants.

## Program fidelity

Research staff at ICJIA identified 10 key components of Intensive Probation Supervision (IPS) by examining the research and evaluation literature on ISP (see Methodology section). To establish whether DuPage County ARI maintained fidelity to the key components of IPS, interviews with clients and staff, as well as client data were examined. The program adhered to eight of the 10 components of IPS, but should work towards fully implementing two of the components to ensure program fidelity—establishing time parameters and standardizing contact with clients.

## **Continue implementation of eight key program components**

As evidenced by ARI staff interviews, DuPage County has established goals for the program that are developed throughout the program and case planning process. The county defined a target population with consistent selection criteria whereby program admission is based on criminal history and the Level of Service Inventory–Revised™ (LSI-R). Of 94 available LSI-R scores for DuPage County clients, 78 were assessed as either high-risk or containment (83 percent), 14 were assessed as moderate risk (15 percent), and two were assessed as low risk (2 percent). The clients in the sample had been arrested an average of six times before being enrolled in ARI, with an average of just less than two prior felony arrests. This client data further substantiates adherence to IPS program model because target population is established and appropriately selected. Additionally, DuPage County ARI had significantly smaller caseloads of about 30 compared to the regular probationer caseload of 65 probationers. Interview participants further indicated that clients were subject to a number of evidence-based, treatment-specific conditions, including substance abuse treatment and Thinking for a Change (T4C) groups. In accordance with evidence-based principles, ARI officers noted that referrals were based on the client’s behavior or violations. Furthermore, the interviewees noted that the DuPage County ARI program used graduated, administrative sanctions for client non-compliance, which is an ISP best practice. Similarly, the ARI staff confirmed that clients were monitored for non-compliance and that violations were immediately addressed.

## **Improve implementation to two key program components**

In order to improve program fidelity, DuPage County ARI should further establish standardized contact levels with clients. The administrative data indicated that clients were seen less often than the literature-recommended two to four times per month during part of the program period. ARI staff should ensure that clients are receiving a stable frequency of contact within each phase of program.

Second, DuPage County should work towards better establishing time parameters. The clients who were interviewed mentioned that they proceeded through “phases,” but based on their responses, they were unclear about what the program phases were. In order to adhere to IPS model, these phases should have minimum and maximum lengths of participation and clients should progress through them as they complete their case plan goals and demonstrate pro-social behavior. ARI probation officers should ensure that clients are aware of the structure of phases, which includes explicitly stating the intended timeframes for each phase.

# Conclusion

ARI pilot sites accepted the challenge of diverting individuals from IDOC and keeping them in the community in an effort to reduce recidivism and save state tax dollars. Stakeholders in DuPage County carefully thought through their involvement with ARI in its early stages. This consideration resulted in a local plan that laid out the approach the county would take to identify appropriate individuals for the ARI program, develop case plans for these individuals that included evidence-based principles, and monitor their compliance to ensure public safety. The planning process included a wide range of planning partners, which indicates the support of not just the justice system in DuPage County but also the treatment providers who would help ensure the success of the program.

Stakeholders were generally optimistic about the plan for DuPage County's participation in Adult Redeploy Illinois, as evidenced by responses gathered through interviews during the planning process. Many of the stakeholders understood the opportunities presented by such a program, including closing gaps in local services, addressing the needs of offenders, and potentially reducing recidivism in the process. As with anything new, the stakeholders had some initial doubts about the program. Stakeholders were concerned that the program would not be able to identify the appropriate clients, or that the threat of a monetary penalty would cause the program to prioritize enrollment numbers over public safety. Neither of these concerns was realized during the pilot phase. Clients identified and enrolled in the program were suitably high-risk based on their criminal histories, compliance issues, and their risk assessment results. Overall, DuPage County ARI was able to identify and enroll appropriate clients. Successful identification and enrollment of clients in turn obviated the second main concern that stakeholders had with the program. With a robust referral stream and procedures for enrolling appropriate individuals, the program did not have to consider enrolling inappropriate clients just to meet the reduction goal.

DuPage County ARI clients relayed general satisfaction with the program. Clients who were interviewed noted that they were involved in the development of their case plan and that their probation officers helped them develop and follow through on their goals and action steps. The clients said they were referred to services, such as cognitive-behavioral therapy and substance abuse treatment, and that they generally followed through on those referrals. The interviews found that clients felt that ARI was an attractive alternative to prison, and that ARI was an opportunity for a better lifestyle than if they had been incarcerated in IDOC. Overall, clients appeared to be positive about the program, their probation officers, and the services provided. However, probationers also stated that they could have used more help with employment, housing, and transportation services. These are areas that can be addressed through more targeted funding from the ARI Oversight Board.

The information gathered from DuPage County's ARI policies and procedures, probation staff interviews, and probationer case progress allows for an analysis of how closely the ARI program in DuPage County adhered to the identified components of intensive probation supervision with a focus on services. Of the 10 components of IPS identified by ICJIA, DuPage County ARI had eight of them implemented during the pilot phase of the program.

The program had a clearly identified target population based on both the ARI eligibility criteria and DuPage County's internal criteria. Individuals in the target population were shown to be high-risk, based on both their histories of non-compliance and their scores on validated risk assessment instruments. The selection criteria in place created a consistent, standard selection process that appeared to strengthen as non-ARI probation officers became more familiar with ARI eligibility criteria and referred more clients. DuPage County's ARI program also had smaller caseloads than standard probation officers and maintained caseloads at recommended levels. An appropriate emphasis was placed on standard probation conditions, including financial conditions and community service. Due to the in-depth planning and partnerships with local service providers, DuPage County was able to identify clients in need of substance abuse treatment services and make referrals when appropriate. Probation staff enforced the probation conditions and court orders of their clients and utilized appropriate graduated sanctions in response to varying levels of non-compliance.

During the pilot phase of the DuPage County ARI program, staff had not yet established time parameters for involvement in the program, aside from the minimum of six months left on the probation term. A maximum length of time in ARI had not yet been established. Additionally, the program did not yet have a policy defining discrete levels or phases of supervision. Although there was evidence that the longer clients stayed in the program, the lower their contacts with probation became, there were no defined standards or recommendations to create a consistent mechanism for termination from ARI participation.

After examining the planning and implementation process, speaking to stakeholders, and analyzing program data, it appears that DuPage County successfully implemented its ARI program following the components of a treatment-and-service-focused IPS model. The components that were successfully implemented were robust, from identifying and enrolling appropriate clients and linking them to services, to closely monitoring behavior and responding appropriately. While two components had not been implemented during the initial pilot phase of the program, DuPage County ARI is taking steps to create a system of phases for clients, including changing contact levels and drug testing requirements. The full implementation of these standard phases and time parameters will bring DuPage County's ARI program fully into line with the expectations for a treatment-service-focused intensive probation program that can be expected to reduce recidivism.

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# Appendix A: Interview questions on program planning

1. What has been your involvement with your county's Adult Redeploy Illinois program to this point (before program roll-out)?
2. What will be your role in the program once it begins?
3. How was the decision reached as to the targeted population for the Adult Redeploy Illinois program?
  - a) Do you feel that your Adult Redeploy Illinois program is targeted to the appropriate sub-population?
  - b) Were any other sub-populations considered?
4. What benefits do you anticipate to your organization from participation in the Adult Redeploy Illinois Program?
5. What benefits do you anticipate to your county system from participation in the Adult Redeploy Illinois program?
6. How do you feel about existing collaboration in your county/jurisdiction between key stakeholders and service providers?
  - a. Do you feel that necessary parties are invested in Adult Redeploy Illinois for it to be successful?
  - b. What do you consider to be the most important measures of "success" for the Adult Redeploy Program for your organization? For your county system?
7. Were there any adaptations necessary in your organization or county system for Adult Redeploy Illinois to be a viable diversion or sentencing option? If yes, what were they?
8. Do you have any apprehensions or concerns about the Adult Redeploy Illinois program as it pertains to your organization? As it pertains to your county system?
9. What type of technical assistance do you foresee your county needing to succeed in Adult Redeploy Illinois?
10. How do you feel about programs like Adult Redeploy Illinois that provide funding based on key performance indicators but also administer penalties when such goals are not met?
11. What do you believe to be your county/jurisdiction's strengths?
12. What do you believe to be your county/jurisdiction's weaknesses?
13. Do you have any other comments you would like to share about the Adult Redeploy Illinois Program?

# Appendix B: Interview questions on program implementation

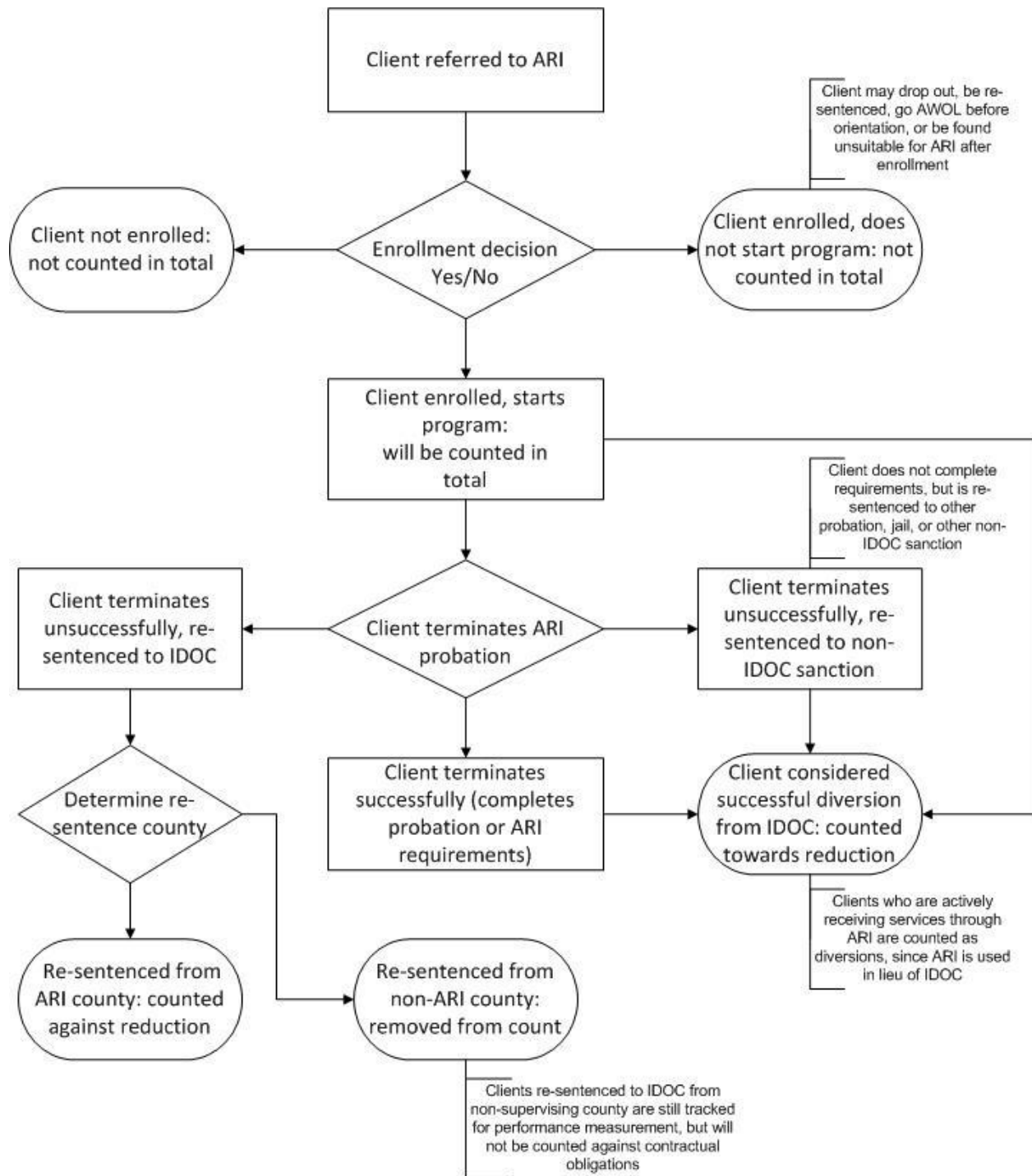
1. Please explain your role in the program. What are your activities with a typical client on a typical day?
2. Please explain the screening and intake decision-making process for the program. Who is involved? How are clients identified for referral and screening? Does any one person have the final determination on acceptance, or is it a group decision? What happens if there is disagreement? Are there any specific screening tools used?
3. PROBATION STAFF: What is the *target* ARI caseload size for a probation officer?
  - a. What is the average caseload size for regular (non-ARI, non-specialized) probation officers?
4. Please explain how staff creates a case plan for each client. What is the process? Who is involved? How are goals determined? How much input does the client have? When is the case plan established? Are clients aware of what is in their case plan? Are the templates or forms used?
  - a. Is the case plan updated? If so, how frequently?
5. Does the program use different levels of supervision?
  - a. If so, how were they established?
  - b. What are the criteria for the levels and for clients moving between levels?
6. What are the guidelines for how long a client will be in the ARI program?
  - a. If there aren't specific time-frames, how is it determined whether a client is ready to move between levels or off of ARI probation?
7. How is compliance with probation conditions monitored? How often is compliance with probation conditions checked or monitored?
  - a. What happens when a client is found in violation of conditions (sanction process, available sanctions, other options, etc.)?
8. When a client is found to be non-compliant with probation conditions and will be sanctioned, who determines what the sanction will be?
  - a. What is the time-frame for issuing a sanction after an infraction or violation is discovered?
  - b. How involved in the sanctioning process is the judge?
9. How are clients referred to treatment and/or direct services (e.g. cognitive-behavioral therapy)?
  - a. Is treatment usually court-ordered or a standard condition (at intake), or is it as-needed (referred later)?

- b. How involved are treatment providers in client status meetings?

**DUPAGE COUNTY-SPECIFIC QUESTIONS:**

1. What types of cognitive-behavioral interventions are used in case management?
  - a. How are these used (e.g. in appointments, as separate instruments, outside services clients are referred to)?
2. What parts of the EPICS model are being utilized with your caseload?
3. Are offender cognitive-behavioral therapy sessions audio recorded? If so, how often do supervisors review audio?

# Appendix C: Process to verify 25 percent reduction in prison commitments



# Appendix D: Characteristics of clients in interview sample

Table A depicts the self-reported characteristics of the nine ARI clients from DuPage County who were interviewed.

**Table A**  
**Description of DuPage County ARI client interview sample**

<b>Characteristics</b>	<b>n</b>	<b>Mean</b>
<b>Average age</b> (in years at time of interview)	9	41.2
<b>Gender</b>		<b>Percent</b>
Male	7	77.7%
Female	2	22.2%
<b>Ethnicity</b>		
Spanish/Hispanic/Latino	1	11.1%
Non-Spanish/Hispanic/Latino	8	88.9%
<b>Race</b>		
Black	3	33.3%
White	6	66.6%
<b>Marital status</b>		
Married	0	0.0%
Unmarried	5	55.5%
Separated	1	11.1%
Divorced	3	33.3%
<b>Education attainment</b> (at enrollment)		
Some high school	0	0.0%
High school graduate/GED	2	22.2%
Some college	4	44.4%
Community college	1	11.1%
College graduate	2	22.2%
<b>Parent</b>		
Yes	4	44.4%
No	5	55.5%
<b>TOTAL</b>	<b>9</b>	<b>100%</b>

Table B summarizes information on the ARI clients that were interviewed.

**Table B**  
**DuPage County ARI clients on finding and keeping employment**

	<b>Frequency</b>	<b>Percent</b>
<b>Finding a job</b>		
Very Easy	0	0.0%
Somewhat Easy	2	22.2%
Somewhat Hard	2	22.2%
Very Hard	5	55.6%
<b>Keeping a job</b>		
Very Easy	3	33.3%
Somewhat Easy	3	33.3%
Somewhat Hard	0	0.0%
Very Hard	2	22.2%
Not Entered	1	11.1%
<b>Annual income</b>		
Less than \$5,000	2	22.2%
\$5,000 - \$10,000	2	22.2%
\$10,000 - \$20,000	3	33.3%
\$20,000 - \$30,000	1	11.1%
\$30,000 - \$40,000	0	0.0%
\$40,000 - \$50,000	0	0.0%
More than \$50,000	1	11.1%
<b>TOTAL</b>	<b>9</b>	<b>100%</b>

## Housing

The ARI clients in the sample lived at a family member’s house or apartment (n=4), their own house or apartment (n=3), friend’s house or apartment (n=1), or at a shelter (n=1). Two ARI probationers stated that it was difficult for them to find housing for the following reasons: criminal background/background checks, lack of employment, not enough money to cover down payment/rent, no affordable housing, and public housing restrictions.

## Physical and mental health

When asked to describe their general physical health, six of the clients replied that their health was “average”, “good”, or “excellent.” Two clients felt their physical health was “very poor” and indicated they had chronic medical problems. Four clients had health insurance and four did not (one unsure).

Of the nine DuPage clients interviewed, four disclosed that they had been treated for a mental health issue, illness, or disorder. Of those, three had been diagnosed with an anxiety disorder, four with a mood disorder, and one with a personality disorder. Each of the four clients had two diagnosed disorders. All four of them had been prescribed medications for their mental health issue and reported to be currently taking medication.

## Substance use

Of the nine clients interviewed, three indicated that they had a serious problem with heroin, three with alcohol, while three denied a serious problem with substance use. Three clients described their substance use as moderately serious, one as slightly serious, and five as not serious at all.

At the time of the interview, six ARI clients reported using marijuana in the past year, one used methamphetamine, and one used heroin. When clients were asked how many times they had been in a substance abuse treatment program, two clients indicated they had been in substance abuse treatment one time, one client had been three times, two clients had been four or more times, and four clients had never been in a substance abuse treatment program.

At the time of the interview, two clients indicated that receiving substance abuse treatment was considerably or extremely important. One client said treatment was moderately important and two said slightly important; however, four said treatment was not at all important to them.

## Peers

At the time of the interview, researchers asked clients with whom they spent their free time. Almost all of the clients (seven of nine) indicated that they spent at least some of their free time with their family. Six out of seven clients spent time with friends, and five said they spent time alone. At the time of the interview, six clients said they spent free time with at least one person who drank alcohol regularly, but no one said they spent time with someone who uses drugs regularly or has involvement with a gang.

At the interview, clients were asked to indicate the number of friends that they could hang out with and not get into trouble. The number of friends ranged from zero to 10, with an average of five friends. All clients denied ever being an active member in a gang.

## Criminal history

Of the clients interviewed, the average age of first arrest was 27 and the average number of prior arrests was seven. When clients were asked if they had been arrested while on ARI probation, seven clients indicated that they had not, one client had been arrested, and one did not respond. Clients were asked to share the crime they committed to be sentenced to ARI probation, which included:

- Misdemeanor retail theft (n=3).
- Possession of a controlled substance (PCS) (n=2).
- Aggravated driving under the influence (DUI) (n=1).
- DUI (n=1).
- felony retail theft (n=1).
- PCS *and* theft (n=1).

None of those interviewed indicated that they had been sentenced to juvenile detention or juvenile probation. *Table C* depicts the number of times that a client self-reported having been sentenced to adult probation, county jail, and state prison.

**Table C**  
**DuPage County ARI client prior criminal sentences**

	<b>n</b>	<b>Percent</b>
<b>Adult probation</b>		
0 times	3	33.3%
1 time	4	44.4%
2 times	2	22.2%
3 times	0	0.0%
<b>Jail stays</b>		
0 times	1	11.1%
1 time	3	33.3%
2 times	1	11.1%
3 times	2	22.2%
6 times	2	22.2%
<b>Incarcerations in prison</b>		
0 times	7	77.7%
1 time	2	22.2%
2 times	0	0.0%
3 times	0	0.0%
<b>TOTAL</b>	<b>9</b>	<b>100%</b>

### Conditions of ARI probation

To better understand the conditions of ARI probation in DuPage County, clients were asked to specify all their ARI probation requirements. *Table D* shows the clients' self-reported conditions of ARI probation.

**Table D**  
**DuPage County ARI client conditions of probation**

<b>Conditions</b>	<b>n</b>	<b>Percent</b>
Drug testing	9	100%
Court costs and fines	7	77.8%
Fees	7	77.8%
Access to recovery support groups	6	66.7%
Drug treatment	5	55.6%
Community service	4	44.4%
License suspension	3	33.3%
Mental health treatment	2	22.2%
Access to any other community organizations	2	22.2%
Restitution	1	11.1%

Several questions examined the clarity of conditions and consequences violating the conditions of ARI probation. Of the nine DuPage ARI clients interviewed, seven stated that ARI probation conditions were 'very clear,' one said 'somewhat clear,' and one said 'somewhat unclear.' When asked how well they understood these conditions, seven chose 'understood completely' and two chose 'understood somewhat.' Eight probationers thought the consequences of not abiding by



ARI rules were made ‘*very clear*.’ Seven clients thought it was ‘*very likely*’ that they would be caught if they violated a condition of probation.

Eight of the nine interviewed clients indicated mandatory drug testing was used, continuous supervision was maintained, and the response to program non-compliance was immediate. Seven clients reported that ARI probation offered incentives to encourage compliance.

## **ARI compliance**

Seven of the nine interviewed clients shared that they had violated an ARI condition of supervision. Of those, six specified that they had failed a drug test and another said that police had seen him intoxicated. All seven reported receiving sanctions while on ARI probation. The most common administrative sanction was a written reprimand (four of the seven who received sanctions), but others included program phase demotion, community service, and electronic monitoring. The most common formal sanction was increased probation officer contact (four of seven who received sanctions), but others included jail time, increased drug testing, and a change in treatment intensity. Six of the clients who received sanctions said they were “fair,” while three did not comment. Four clients indicated that the sanctions they received were ‘*immediate*’ and five did not comment.

Seven of the interviewed clients shared that they had violated an ARI condition of supervision. All seven reported receiving sanctions while on ARI probation with the most common sanction being a written reprimand.



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