

CONNECTICUT JUDICIAL BRANCH BUDGET PRESENTATION

Appropriations Committee Public Hearing
March 5, 2015

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STATE OF CONNECTICUT
JUDICIAL BRANCH

CHAMBERS OF
PATRICK J. CARROLL III
CHIEF COURT ADMINISTRATOR

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HARTFORD, CT 06106

Testimony of Judge Patrick L. Carroll III
Chief Court Administrator
Appropriations Committee Budget Presentation
March 5, 2015

Good afternoon Senator Bye, Representative Walker and members of the Appropriations Committee. I am Judge Patrick Carroll and I serve as Chief Court Administrator. As always, I'm grateful to have the opportunity to come before this Committee to speak with you about the Judicial Branch's budget for the next biennium.

First of all, I acknowledge the incredible challenge you face in crafting the next State budget. Difficult cuts and reductions are going to be made everywhere. Clear and legitimate needs cry out to be met but there never seems to be enough money to address them.

I appreciate the challenge you face but I also know that you always treat the Judicial Branch in a fair and equitable manner. The General Assembly and particularly this Committee always respects and recognizes the Judicial Branch as a co-equal, independent branch of State government.

And I hope you would agree that we have a proven track record of collaborating with you and that we can be counted upon to do our fair share in meeting whatever fiscal challenges the State faces. It's a partnership that has and must continue to thrive regardless of the challenges we face.

The Judicial Branch's current services budget request for FY16 is approximately \$575 million. We have roughly 4,000 employees, and we conduct our operations in more than 70 locations including 44 courthouses.

We are, nevertheless, quite small with respect to the overall state general fund budget -- barely 3%.

While adjudicating cases remains the cornerstone function of the Judicial Branch, the role of Connecticut's courts has been deliberately and consciously expanded over time in order to meet the needs of an evolving society. At the direction of the Legislature we are also responsible for activities such as juvenile and adult probation, juvenile detention, child support enforcement and victim services.

Almost half of the Branch's budget consists of staff, services and programs that are associated with these functions, functions that are now seamlessly integrated and completely interwoven within the court process.

Dismantling the Court Support Services Division

This brings me to my first specific area of concern regarding the Proposed Budget for the FY16 and FY17 Biennium.

The budget proposes to remove approximately \$260 million and about 1,500 court employees from the Judicial Branch and distribute them between two agencies of the Executive Branch -- the Department of Children and Families (DCF) and the Department of Correction (DOC).

This proposal also includes removing from the Branch well over \$100 million of contracts with private, not-for-profit community-based agencies that employ hundreds of people throughout the state, and who partner with us to serve thousands of juvenile and adult offenders safely in the community every day, saving the State tens of millions of dollars annually in the costs of detention and incarceration.

The proposed changes are, on their face, puzzling given the enormity of the court-centered functions that are proposed to be merged into Executive Branch agencies which have little or no experience in administering these court-based functions.

The risk of such a move is great and seemingly counterproductive to everything we have worked on together for so long to reduce incarceration and break the cycle of recidivism in the criminal and juvenile justice system.

The Judicial Branch's Court Support Services Division would be dismantled under this proposal. The comprehensive, court-centered system and approach to supervisory and diversionary services for adults and juveniles, which has been built, methodically and systematically, on empirical evidence and proven results over the past 30 years -- a system and approach based in the Judicial Branch which now stands as a nationally recognized and accredited model -- would be abandoned if this proposal is adopted.

Over the years CSSD's efforts, working with the judges in our criminal courts, have both enhanced public safety and decreased costs throughout the criminal justice system. This is borne out by recent results. The 24-month re-arrest rate for those under the supervision of adult probation has decreased by seven percentage points since 2007, resulting in over 1,700 fewer adult probationers rearrested annually.

On the Juvenile side, the 24-month re-arrest rate for those under the supervision of juvenile probation has decreased by six percentage points since 2007, equating to over 240 fewer juvenile probationers re-arrested annually. In addition, the Jail Re-Interview Program resulted in nearly 10,000 defendants released from DOC custody in 2014.

I cannot emphasize strongly enough that the programs are so successful because they are fully-integrated within the courts and with the Judges. Adult and Juvenile Probation officers are sworn officers of the court and discharge their responsibilities in accordance with their oaths. Extensive case law, and statutes, and a number of Practice Book provisions, have been developed based upon the relationship between the courts and Probation.

It is important to note that we were not consulted during the formulation of the proposal to remove CSSD from the Judicial Branch. We were first informed of it days before the budget was released. Chief Justice Rogers, as you know, has spoken out strongly against the proposal. And since the proposal has been unveiled, virtually everyone familiar with the work of the Judicial Branch's Court Support Services Division has similarly spoken out against it.

To those who would suggest that a move of this magnitude would be seamless, that the CSSD units would continue to do the same work, with the same people, in Executive Branch agencies and that the move could be accomplished in a

matter of mere weeks, I would argue that any such suggestion is premised upon a faulty and incomplete analysis of the role and function of CSSD.

I would argue that those who would make such a suggestion are not aware of the extent to which the CSSD function is intertwined with the court function and with the work that Judges do each and every day in our Juvenile, Criminal, Family and Civil courts.

I would argue that those who would make such a suggestion do not have a clear understanding of the extent to which Judges are involved in the development and implementation of policies and procedures within CSSD to assure compliance with the law and to further assure effective outcomes.

All of that, all of those years of effort and collaboration, all of that integration into the judicial process will be lost if the CSSD function is removed from the Judicial Branch.

This is an unsound proposal made at exactly the wrong time. It should be rejected.

Curiously, a similar proposal surfaced in 2011 when the Legislature directed that a study be conducted on the feasibility of creating a new Executive Branch agency charged with the administration of all adult and juvenile services. The study was undertaken under the auspices of the Criminal Justice Policy and Advisory Committee (CJPAC), chaired by the Executive Branch and representing many Executive Branch agencies as well as the Judicial Branch.

The conclusion reached by that study was that the current system works very effectively and efficiently, promotes interagency collaboration, and should not be changed. The reorganization proposal was summarily rejected. Nothing has since changed that would warrant so radical a policy shift at this time.

As a final comment on this ill-advised proposal, I note that certain functions designated for transfer to the Executive Branch, such as Family Relations in our Judicial District courts, have no connection to adult or juvenile justice, and certain functions identified in the proposal as “remaining in the Branch” are not even part of CSSD.

So, I think I have made the Branch’s position clear with respect to the proposed dismantling of the Branch’s CSSD. This proposed budget nevertheless includes other problems affecting the Judicial Branch that cannot be overlooked.

General Budget Reductions

The Proposed Appropriations Act reduces the recommended budget of the Judicial Branch by almost \$18 million in FY16 and \$24.7 million in FY 17 under the heading “Reduce Funding in Excess of Current Services – Judicial.”

From what we have been able to ascertain, this reduction is based on an attempt to reduce requested funding to a level as close as possible to what was expended by the Branch in FY14, not what is budgeted in the current year, FY15. This is patently unrealistic and does not take into account certain costs that are already being incurred or are necessary going forward. Included among them are:

- *Salary progressions for certain unionized employees that are contractually mandated; \$1.275 million in FY16 and \$2.576 million in FY17.*
- *Full-year funding for positions given to the Branch by the Legislature in FY15 to implement new protocols in family violence cases; \$507,000 in each year.*
- *Funding to fill any vacancies in the Branch in the next 2 years, including critical vacancies in court security and juvenile detention that will simply drive up overtime costs and leave important court functions unsecured; \$8.4 million in each year.*

- *Additional State support for the 54 local Probate Courts, funding that supplements fees collected in those courts and is passed through our budget; \$4 million in FY16 and \$6.66 million in FY17.*
- *Funding for critical and unavoidable upgrades to software licenses for computer programs that are essential to the courts; almost \$2 million in FY16 and \$3.8 million in FY17.*

These reductions are not sustainable.

Elimination of State Funding for Probate Courts

I must take this opportunity to comment on behalf of the Probate Courts and the elimination of State funding that will occur if this budget proposal is adopted as presented.

As you are well aware our 300-year-old system of local courts of probate, which handle matters including adoptions, petitions for custody, conservatorships and settlement of estates has recently emerged from a very difficult and complicated consolidation... from 117 local courts to only 54.

Our Probate Court Administrator, Judge Paul Knierim, worked tirelessly with locally-elected judges of probate, and with you, to fashion a revamped probate system which could be financially sustainable going forward while retaining its tradition of local service and accountability. Accomplishing change of this magnitude was no small feat.

In return for the consolidation, the Legislature agreed to provide state-funding to the Probate System, to be passed through the Judicial Branch budget in a dedicated line item. That funding would supplement stagnant revenues generated from fees collected in the local probate courts. That funding is critical to the survival of the probate courts. Our budget request for the FY16 and FY17 biennium included Judge Knierim's request for \$14,819,000 in FY 16 and \$17,415,000 in FY17.

The "Proposed Appropriations Act" eliminates all state funding to the probate courts, not just the increases requested for the biennium. I would also note that this budget proposal removes a portion of the probate pass-through *twice* -- once under the "Reduce Funding in Excess of Current Services – Judicial" and again under the "Proposed Appropriations Act." If allowed to stand, the Branch would lose an additional \$4 m and \$6.6 million in each year of the biennium because of an OPM calculation error.

Judge Knierim is certainly the most effective and knowledgeable advocate for the Probate System, and he is here today, but I must lend my voice to a call to reject this funding reduction.

Revoking Budget Submission and Rescission Authority

Although it is not directly part of the proposed budget, I must bring to your attention a budget-related provision of Raised Bill No. 6826, *An Act Revising the Requirements for the Governor's Budget Recommendations*.

This provision would undo the manner by which the Judicial Branch's budget is submitted to the Legislature and how rescissions that may be required are implemented. By the way, its provisions would also undo similar budget status of the Legislature and Public Defender Services Commission. We ask that this proposal be soundly rejected.

Under current statute the Governor's budget must reflect the budget requests we, and you, make. As well, any budgetary rescissions that are implemented in a given year must be apportioned to each of us as a single number. It is our responsibility to determine the distribution of those reductions across our various accounts.

The Legislature has had this special budget submission status for decades. You agreed that the Judicial Branch and the Public Defender should also have it beginning July 1, 2010. These measures have been extremely helpful to the Judicial Branch while continuing to ensure budget accountability and fiscal responsibility.

These changes have in no way absolved the Branch from doing its fair share with respect to budget austerity and required savings. The final budget adopted is still the result of the appropriations process and final budget negotiations.

Whatever our final budget is, the Judicial Branch never incurs budget deficiencies. We always live within our means despite the fact that we regularly sustain funding reductions through the appropriations, budget rescission and deficit mitigation processes at least equal to, and frankly often more than, what we would have under the budget process that applies to agencies of the Executive Branch.

However, under current statutes we have confidence that our budget requests are at least viewed by the Legislature as submitted by us and that any required budget reductions will be apportioned by the Branch in ways that best assure we can continue to meet our statutory and constitutional responsibilities and keep intact your legislative priorities.

As I said at the beginning of my remarks, the task you face in crafting a budget for the next biennium is monumental. You have my assurance, and that of Chief Justice Rogers, that you can rely on the Judicial Branch, as always, to work with you. I must, nonetheless, in my role as Chief Court Administrator, firmly and repeatedly advocate for the Branch and advise you of the consequences of proposed actions, financial and otherwise.

I've highlighted today what the Judicial Branch views as the most significant challenges of the proposed budget. None is more concerning to us than what we view as the unnecessary and counterproductive dismantling of CSSD.

I think that CSSD in the Judicial Branch stands as an example of collaborative government policy development and problem solving at its best. I think we should be grateful that we have it, grateful that it is so successful and I think we should protect it so it can continue to prosper and move us toward an ever-better justice system characterized by fairness, opportunity and efficiency.

Thank you and I would be pleased to answer any questions that Committee may have.

Court Support Services Division

The importance of CSSD remaining within the Judicial Branch and remaining intact

CSSD is a highly functioning, nationally recognized division of the Connecticut Judicial Branch that serves as a model to other states.

The proposal calls for moving large highly performing entities and moving them to smaller less highly performing entities. For example, there are approximately 42,000 individuals on adult probation as opposed to 3,905 adults offenders under community supervision by the Department of Correction. In the juvenile system, there are approximately 10,000 juveniles who interact with the juvenile court system compared with approximately 200 individuals who are committed to the Department of Children and Families. As such, we fail to see how such a move could streamline operations.

We believe that such a move will greatly diminish the positive work that CSSD has done over the years because CSSD functions are seamlessly integrated throughout the court process, thereby, producing better results for communities, offenders, families, victims and the general public. Moreover, just as CSSD is seamlessly implemented within the Judicial Branch, units within CSSD are seamlessly integrated to work as one. So, if you take away even one group from the infrastructure, then the entire infrastructure is less effective.

It is important to note that all three branches of government agreed to a court-centered model some 30 years ago, recognizing that every case begins in court and the judges would ultimately need to make decisions to use alternatives to incarceration. The CSSD court-centered model works well because unlike many other states, the Connecticut court system is a unified, single organization that has effectively implemented policies statewide because of its infrastructure. For example:

- CSSD's training academy delivers nearly 100,000 hours of pre- and in-service training to all CSSD employees, as well as to individuals who work for the nonprofit-organizations that contract with CSSD.
- In the area of technology, CSSD information systems exchange data with the Judicial Branch, state agencies, and municipal and private provider systems. These systems are interdependent, for both operational and performance measurement purposes.
- CSSD relies heavily on its ability to procure contracted services for the entire division, not just one individual unit. This ability is enhanced by a deep institutional knowledge of the interwoven responsibilities shared by the entire division and the court. As such, overall services are enhanced.
- CSSD's Center for Research, Program Analyses and Quality Improvement establishes performance measures for all of CSSD's programs and functions, researches best practices nationwide and evaluates the efficiency of the programs and functions.

The information that follows in the next several pages will show how CSSD has been integrated into the court systems, its great successes and the successes that we believe would not have occurred without that seamless integration into the court system.

Results and Outcomes

1. Adult probation is experiencing historically low recidivism rates;
2. The Department of Correction's pretrial population has been significantly reduced as a result of the work done by the Court Support Services Division's court-based bail and jail re-interview staff;
3. Domestic Violence re-arrest rates have dropped;
4. Re-arrest rates for individuals in the Alternatives in the Community (AIC) program have dropped;
5. Juvenile Probation re-arrest rates have dropped;
6. The secure Juvenile Detention population is at a historic low;
7. Juvenile Court commitments to the Department of Children and Families have dropped dramatically.
8. Since its creation in 1999, CSSD has:
 - Focused on best practices and increased reliance on research to make informed decisions;
 - Overseen a major expansion of community supervision programs & services (budgeted alternative sanctions funding grew from \$48 million in 1998 to \$109 million in 2013);
 - Adopted evidence-based practices such as manageable caseloads, use of validated assessment tools, quality assurance and research & evaluation;
 - Created an internal information technology capacity to support a data driven management approach;
 - Embraced Results Based Accountability (RBA) as the framework to measure its progress.

History of the Court Support Services Division (CSSD)

1. CSSD was created in 1999 when the administrative and operational functions of the Judicial Branch were re-structured in accordance with recommendations made by the National Center for State Courts to remove the individual silos that existed at that time.
2. The following existing Judicial Branch functions were consolidated into the newly-created Court Support Services Division (see P.A. 99-215, codified at C.G.S. 51-1b):
 - a. Office of Adult Probation;
 - b. Office of Alternative Sanctions;
 - c. Office of the Bail Commission;
 - d. Family Division;
 - e. Juvenile Detention Services Division;
 - f. Juvenile Probation.
3. The purpose of the consolidation was to enhance public safety by better serving the needs of communities, litigants, defendants, judges and attorneys.
4. The merger created a division managed from a central office. Its responsibilities include coordinating pre-trial services, family services, offender sentencing and supervision options for adults and juveniles, as well as juvenile detention services.

Guiding Principles of the Court Support Services Division

1. Criminal behavior can be changed;
2. Public/private partnership is the most functional and cost-effective model for treatment services;
3. Data-driven decision making ensures the best use of resources;
4. Programs must be quality assured, monitored and evaluated regularly to assure investment in programs that get results;
5. Information technology and data mining capacity are essential;
6. Collaboration with state agency partners is essential;
7. Advances are dependent on support from all three branches of government;
8. CSSD's work will always be a "work in progress."

Functions of the Court Support Services Division

1. ADULT PROBATION SERVICES

Adult probation maintains public safety through its supervision of court-sentenced individuals. Adult probation officers provide intake, assessment, referral, and supervision services to sentenced individuals. To ensure appropriate probationer supervision, clients are classified and supervised based on their assessed risk and need. Accurate assessment of probationers is the foundation for targeting offender service needs and making appropriate intervention referrals.

Adult Probation has been nationally recognized since 2006 for achieving accreditation by the American Correctional Association and Commission on Accreditation for Corrections.

Specialized units providing enhanced supervision include the Probation Transition Program, Domestic Violence Supervision, Intensive Probation Supervision, Technical Violation Unit, Mental Health Supervision, Youthful Offender Supervision, Supervised Diversionary Program, Women's Offender Case Management Model and Sex Offender Caseload.

2. ADULT BAIL/IAR (INTAKE, ASSESSMENT, REFERRAL)

Responsibilities include pre-trial arraignment services, pre-trial supervision services, Jail Re-Interview Program, the Jail Diversion Program and pre-trial diversion programs.

3. FAMILY SERVICES (CRIMINAL AND CIVIL)

Family Services works both in criminal court on family violence cases and in the civil family court. Family Services addresses concerns such as child custody, child access, financial matters, property disputes and temporary restraining orders. Family utilizes conciliation, mediation, conflict resolution conferences, issue-focused evaluations and comprehensive evaluations. Family Services contracts with organizations that offer programs to defendants that address domestic violence.

4. JUVENILE PROBATION

Juvenile Probation is involved in all cases of children referred to Juvenile Court. **Non-judicial resolution** is used for first or second time summons issued to a juvenile for minor delinquency or FWSN charges. These charges may be handled informally by a Juvenile Probation Officer. Approximately half of all juvenile cases are handled this way. **Judicial resolution** cases go before a judge, may have the services of a public defender or defense attorney and a prosecutor is involved in the case. Approximately half of all juvenile cases are handled this way.

5. JUVENILE RESIDENTIAL (DETENTION) SERVICES

Juvenile Residential Services is made up of a vast network of programs and services, including two detention centers in Bridgeport and Hartford, and numerous contracted residential programs.

Connecticut's two state-operated juvenile detention centers are accredited by the National Commission on Correctional Healthcare and the American Correctional Association.

6. CENTER FOR RESEARCH, PROGRAM ANALYSES AND QUALITY IMPROVEMENT

CSSD has built an internal infrastructure to measure and report client outcomes in its contracted service provider net.

CSSD Collaborations

1. DATA SYSTEMS

- Building a short/medium term "Judicial Bridge" function to share data between the Case Management Information System (CMIS) and DCF system.
- Building a longer-term solution for data sharing between CMIS and the new, yet-to-be-built DCF system.
- Adult CMIS shares information with the State Police Offender Based Tracking System (OBTS).

2. DATA ANALYSIS

- Three short-term projects under way all include data sharing and analysis assistance:
 - a. Analysis of committed to CJTS population from 2006-present
 - b. Analysis, including profile and recidivism data on DCF-funded Juvenile Review Boards.
 - c. Analysis of recidivism outcomes for a selected DCF congregate care facility

3. MEMORANDUM OF AGREEMENTS (MOAs)

- CSSD has numerous MOAs that facilitate co-contracting agreements.
- CSSD has an MOA with DCF regarding early intervention services for children 12 and under.

4. RISK TOOL

- Ongoing consultation with Central CT State University on a juvenile justice system risk/needs tool

5. CROSSOVER YOUTH PRACTICE MODEL

- Co-agreement with DCF and Georgetown University (facilitated by a soon-to-be-executed Judicial MOA)

6. DEPARTMENT OF SOCIAL SERVICES

- Collaborated on the expedited medical entitlement screening process for all probations.
- Funded a position dedicated to this project.
- Access and Visitation Federal Grant – MOA since 1997 to address the needs of never-married parents in both the magistrate and family civil court.
- Fatherhood Initiative – participate in a Memorandum of Understanding with numerous state agencies and community partners. Collaboration with strategic plan for Fatherhood Initiative and executive committees.

7. DEPARTMENT OF MENTAL HEALTH AND ADDICTION SERVICES (DMHAS)

- Coordinate and collaborate with DMHAS to operate the jail diversion program in each GA court location.
- Works closely with DMHAS regarding the administration of the pretrial diversion programs. Currently working with DMHAS to get the education providers for the diversion programs into the Contractor Data Collection System.
- Collaborated with DMHAS and DOC to establish the direct placement of defendants held on bond in DOC into Connecticut Valley Hospital Merritt Hall beds.
- Continue to collaborate with DMHAS to access services through its Access to Recovery model, which is now the Behavioral Health Recovery Program.

- Adult probation officers who supervise specialized mental health caseloads collaborate closely with local mental health affiliates.
- Collaborate closely with and access DMHAS services with regard to our young offender population and DMHAS's Young Adult Services program.
- Participate in the High Risk Mental Health discharge planning process with DMHAS and DOC.

8. DEPARTMENT OF CORRECTION (DOC)

- Works closely with DOC to administer the Jail Re-interview program.
- Collaborated with DMHAS and DOC to establish the direct placement of defendants held on bond in DOC into Connecticut Valley Hospital Merritt Hall beds.
- Participate in the high risk offenders (including sex offenders) discharge planning process with DOC.
- CSSD has trained and will continue to train DOC staff in motivational interviewing and the use of the Women's Risk Need Assessment. (CSSD bears the significant cost of the training; DOC does not.)
- Continue to provide electronic access to our Pre-Sentence Investigations and Violation of Probation affidavits for decision-making purposes.
- Branch's Probation Transition Program collaborates with the DOC discharge planners to coordinate offender re-entry. In addition, CSSD collaborates with Parole and Community Supervision to exchange offender information prior to re-entry.
- Work with DOC to assist homeless veterans in obtaining appropriate housing.
- Collaborate and work with DOC community supervision with regard to Project Longevity and Project Safe neighborhoods.
- Pilot to begin April 1st in Bridgeport Superior Court to divert those with drug and alcohol addictions to detox on the day of arraignment. 150 of these nonviolent defendants are currently held at Bridgeport Correctional Center. CSSD is collaborating with Regional Network of Programs as well as the DOC.

9. STATE POLICE

- Collaborate with State Police on the Deadly Weapon Registry and the Sex Offender Registry.
- Just recently worked with the CSP to begin using the offender watch system to better monitor sex offenders statewide.
- Collaborate with CSP in the Drug Endangered Children Alliance.
- Alert Notification / GPS Program (Bridgeport, Danielson and Hartford)
 - State Police were instrumental in the design and implementation of the program.
 - Currently, State Police and local law enforcement respond to high risk domestic violence offender non-compliance and collaborate with the court and Judicial Branch-Family Services to secure victim safety while on the program.

10. STATE VETERANS AFFAIRS

- Collaborate to identify veterans for diversionary program participation that result in veterans having access to more appropriate services to meet their needs.

11. BOARD OF PARDONS AND PAROLE

- Collaborated with and continue to work with the Board regarding certificates of employability.
- Continue to provide electronic access to our PSIs and VOP affidavits for decision-making purposes.

CSSD Procurement, fiscal and contracts oversight

1. PROCUREMENT

- The Judicial Branch Procurement Code, approved by the Legislature in 2011, guides the process.
- The primary method for program contracting is a competitive bidding process referred to as a Request for Proposal (RFP).
- Contracts are drafted and then reviewed by the Judicial Branch's Purchasing and Legal Services units prior to award to providers (primarily non-profit organizations).
- Services are also secured through co-contracting agreements with other state agencies such as DMHAS, DCF and DOC.

2. FISCAL MANAGEMENT

- Monthly budget meeting with Executive Director.
- Ongoing and detailed oversight of all contract budgets and expenditures.
- Monthly and quarterly CORE budget status reports are carefully reviewed by CSSD's Fiscal and Judicial Branch's Budget and Planning units.
- Revenue Maximization: All contractors are required to have a system to capture client fees, third-party reimbursement and public/private resources & to submit a Monthly Program Income Report.

3. CONTRACT AND PROGRAM OVERSIGHT

- CSSD contracts for programs that are evidence and research-based.
- Fidelity of evidence-based programs is directly linked to positive outcomes.
- Fidelity to the model is ensured through a quality assurance component.
- CSSD has implemented the Contractor Data Collection System (CDCS), a web-based data collection system for contracted providers, to collect client level data.
- Biannual reviews of all program performance with executive management and quarterly review with regional personnel are conducted.
- Results-Based Accountability (RBA): CSSD has participated in the General Assembly's RBA initiative since its inception and some program models have been highlighted.

4. GOVERNOR'S CABINET MEMBERSHIP

- The Executive Director of CSSD is an appointed member of the Governor's Cabinet on Nonprofit Health And Human Services.

- Cabinet was established in September of 2011 to analyze existing public-private partnerships with respect to the state's health and human services delivery systems.
- Also established to make recommendations to enhance the effectiveness of those systems in regard to client outcomes, cost-effectiveness, accountability and sustainability.

Awards, accreditations and certificates

1. FAMILY SERVICES

- Innovations in American Government Award (Harvard University, Kennedy School of Government) – 2008
CSSD developed the first family civil intake screening tool in the country.

2. ADULT PROBATION AND BAIL SERVICES

- American Correctional Association
CSSD's Adult Probation was initially accredited in 2006 and has been reaccredited every three years since then.
- National Association of Pretrial Services Agencies
CSSD's Bail Services was the first statewide system in the country to be accredited (2014).

3. JUVENILE PROBATION SERVICES

- American Probation and Parole Association
CSSD's Juvenile Probation was initially accredited in 2010 and was reaccredited in 2013.

4. JUVENILE RESIDENTIAL SERVICES

- American Correctional Association
CSSD's Juvenile Residential Services was initially accredited in 2003 and has been reaccredited every three years since that time.
- National Commission of Correctional Health Care
CSSD's Juvenile Residential Services was initially accredited in 2004 and has been reaccredited every three years since that time.
- Performance Based Standards (PBS) Level 3 and 4
CSSD'S Juvenile Residential Services received Level 4 awards for providing the highest standards of operations, programs and services.
- Barbara Allen-Hagen Award
National recognition for exceeding confinement conditions standards.
- Prison Rape Elimination Act Certification(PREA)
CSSD'S Juvenile Residential Services became the first facility to be PREA-certified in 2014.

Accountability Information/Report Cards

2015 Program Report Card: Judicial Branch - Adult Probation

Quality of Life Result: Connecticut families live in safe communities.

Contribution to the Result: The purpose of Adult Probation Services is to reduce recidivism by engaging offenders in meaningful services, and ensuring compliance with court orders resulting in safer communities throughout the State of Connecticut

Program Expenditures	State Funding	Federal Funding	Other Funding	Total Funding
Actual FY 14	\$68,861,521		\$3,413,561	\$72,305,082
Estimated FY 15	\$69,275,000		\$3,674,001	\$72,949,001

*Adult Probation is supported by contracted treatment programs and services that receive funding from the Judicial Branch estimated at \$32m.

Partners: Criminal Justice System (Judges, prosecutors, public defenders / private attorneys), treatment providers, other state agencies (DMHAS, DOC, DSS, DCF), family members, State and local business officials

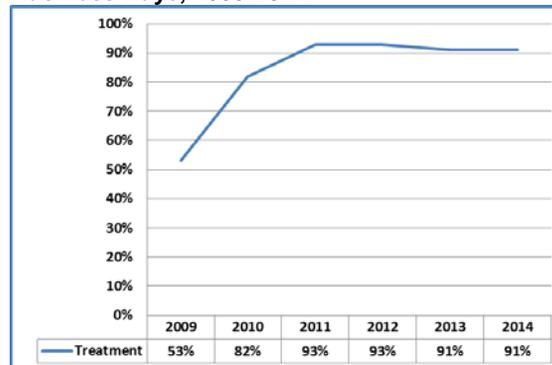
How Much Did We Do? Total and Active Probation Population Counts, 2009-2014



Story behind the baseline: Research in Connecticut has found that manageable probation caseloads contribute to reductions in recidivism. Several factors, including legislative and agency-driven, have resulted in an eleven percent drop in the total number of people on probation and a 29 percent drop in the number of people under active probation supervision. A nationwide trend of decreasing arrest rates, and a state trend of decreasing incarcerations and probations has also contributed to this decrease.

Trend: ▲

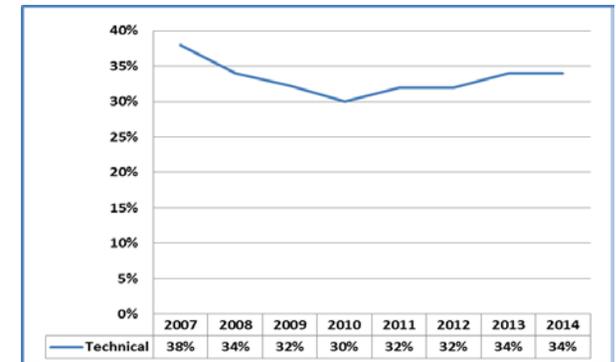
How Well Did We Do It? Probationers Starting Treatment within 30 Business Days, 2009-2014



Story behind the baseline: Research suggests that timely access to appropriate treatment services is a contributing factor to positive offender behavior change. Through several operational initiatives, as well as greater collaboration with contracted treatment providers, the percentage of probationers who start treatment within 30 days after a case plan is established has increased by 40 percentage points in the past three years. CSSD will continue its efforts to engage clients in targeted treatment in a timely manner.

Trend: ◀▶

How Well Did We Do It? Technical Violation Percentage, 2007-2014



Story behind the baseline: A Technical violation of probation involves the violation of probation conditions other than a new arrest (e.g. lack of restitution payments, absconding, and treatment refusal).

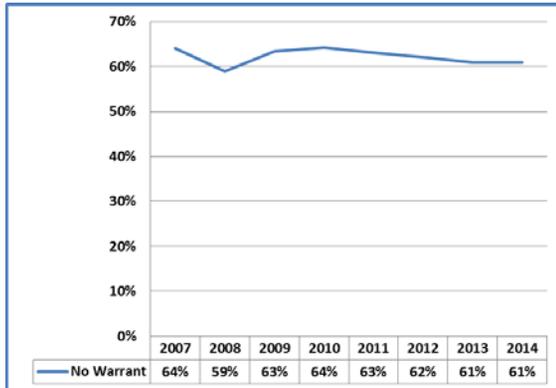
Trend: ▼

2015 Program Report Card: Judicial Branch - Adult Probation

Quality of Life Result: Connecticut families live in safe communities.

Is Anyone Better Off?

Probation Completion Rate, 2007-2014

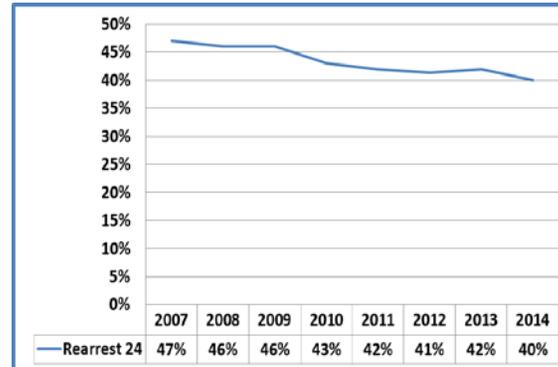


Story behind the baseline: This indicator measures the percent of probationers who complete probation without any violation or arrest activity. This trend has remained stable in four of the past five years.

Trend: ◀▶

Is Anyone Better Off?

Probationer 24-Month Re-arrest Rate, 2007-2014



Story behind the baseline: Re-arrest rates are one of the best indicators of long-term behavior change in probationers. This indicator presents the rate at which probationers are re-arrested 24-months after beginning a probation sentence. Since 2009, re-arrest rates have shown a downward trend. In fact, the 40 percent re-arrest rate for 2014 is the lowest re-arrest rate on record since this measure was introduced in 2006.

Trend: ▲

Proposed Actions to Turn the Curve:

- The Judicial Branch will continue to stress the importance of graduated sanctions and the consistent application of operational policy, as well as the use of specialized caseloads for technical violators;
- Continued use of Early Termination of Probation as an incentive to increase compliance and behavior change;
- A new caseload has been developed that targets young male clients who fall into our highest risk level. Increased concentration on helping these emerging adults, including the use of forensic CBT, is pivotal in meeting the goal of reducing our overall recidivism rate.
- A statewide effort to provide increased support on the administration of our Adult Risk Tool (the LSI-R) has been launched. This risk tool helps us to effectively assess and classify clients. It remains a key tool in our risk reduction strategy

Data Development Agenda:

- Continue to develop Risk Reduction Indicators for Specialized Caseloads
- Expand outcome information to better target information that relates to recidivism

2015 Program Report Card: Alternative in the Community (AIC) – (Judicial Branch)

Quality of Life Result: Connecticut families will live in safe communities.

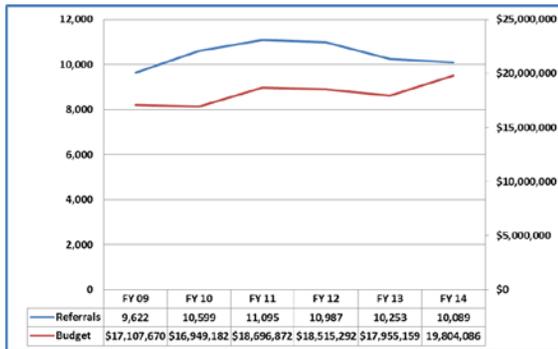
Contribution to the Result: The goals of the Alternative in the Community (AIC) program are: (1) to reduce offender long-term recidivism; (2) change offender behavior resulting in more successful discharges; (3) provide a cost effective criminal justice response to criminal activity; and (4) increased offender accountability. All of these goals contribute to safer communities for Connecticut families.

Program Expenditures	State Funding	Federal Funding	Other Funding	Total Funding
Actual FY 14	\$19,804,086	0	0	\$19,804,086
Estimated FY 15	\$20,030,361	0	0	\$20,030,361

Partners: Criminal Justice System (Judges, prosecutors, Victim Advocates, public defenders / private attorneys), Contracted, non-profit and for-profit treatment providers, Local and State Business officials, Other state agencies (DMHAS, DOC, DCF, DSS), Family members, and Criminal Justice Advocacy agencies.

How Much Did We Do?

Number of Persons Referred and Total Budget – AIC, FY9-FY14

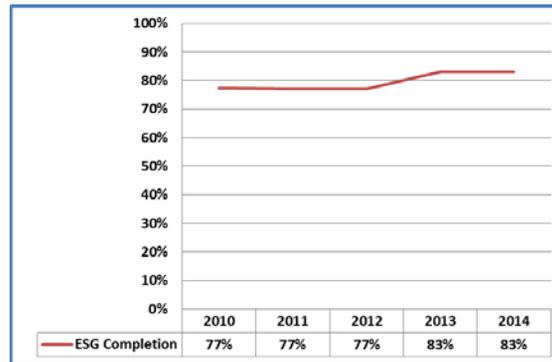


Story behind the baseline: The number of persons referred for services at the AIC steadily increased from FY07 to FY11. A modest decline in both clients referred and expenditures occurred in FY12 and FY13. In Fiscal Year 2014 the expenditures rose slightly based on a combination of initiatives. Money was invested in the new UNITY pilot, Waterbury Transitional House, statewide flex funds, and creating the Derby AIC satellite office.

Trend: ▲

How Well Did We Do It?

Reasoning and Rehabilitation Group Completion, 2010-2014

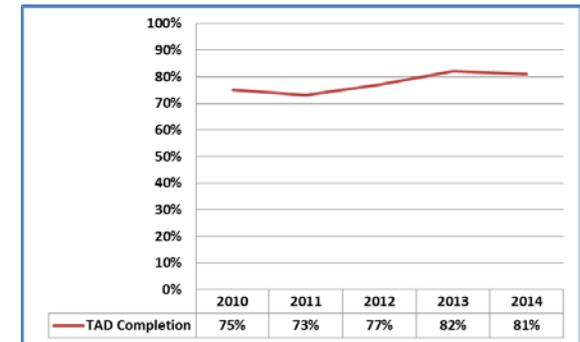


Story behind the baseline: Reasoning and Rehabilitation II (R&R II) is a 14-session group offered at the AIC that utilizes a cognitive-behavioral approach to behavior change. Research suggests lower long-term recidivism rates for those completing services. CSSD's goal is to reach or exceed a 75% R&R completion rate. CSSD partnered with the private, non-profit sector to emphasize the importance of group completion rates. The AIC network has consistently exceeded that goal over the last five years and sustained an 83% completion rate in the two most recent years.

Trend: ◀▶

How Well Did We Do It?

Treating Alcohol & Drug Dependence Group Completion Rate, 2010-2014



Story behind the baseline: Treating Alcohol/Drug Dependence is a 12-session curriculum aimed at reducing the use and abuse of alcohol and illegal substances that have contributed to criminal behavior. CSSD's goal is to reach or exceed a 75% TAD completion rate. In 2013 TAD completion trended upward with an 82% completion rate. In 2014 the AIC network sustained a high completion rate with 81% completion.

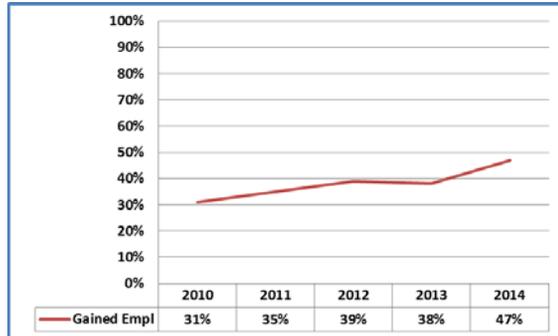
Trend: ◀▶

2015 Program Report Card: Alternative in the Community (AIC) – (Judicial Branch)

Quality of Life Result: Connecticut families will live in safe communities.

Is Anyone Better Off?

Percent of Employment Services Completers Gaining Employment, 2010-2014

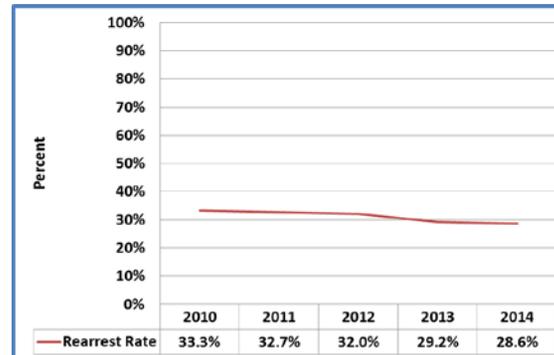


Story behind the baseline: This performance measure examines the rates at which clients that participate in Employment Services obtain employment prior to discharge from the AIC. Despite the economic downturn this measure continuously improved from 2009 through 2012. While the ambitious goal of 50% has not yet been achieved, 2014 performance reached the highest level (47%) in the past five years, up 9% from 2013 numbers. CSSD has submitted a more detailed RBA Report Card that focuses on the how much, how well, and better off measures for this specific service in the AIC.

Trend: ▲

Is Anyone Better Off?

12-month Rearrest Rate for Completers 2010-2014



Story behind the baseline: This performance measure examines the rate at which clients who complete AIC services are re-arrested within 12 months of discharge. In the past five years, there has been a downward trend in re-arrest of AIC completers, with a modest reduction each year. In 2014, the recidivism reached a low of 28.6%. Fewer AIC participants being rearrested directly affect community safety.

Trend: ▲

Proposed Actions to Turn the Curve:

- Renewing AIC contracts during 2015. This may lead to agency turnover of underperforming locations and adoption of higher functioning agencies in these locations.
- Continuing enhancement of Strategic Case Management (SCM) principles into case management sessions to align with emerging best practices research which will positively impact recidivism;
- Furthering the Utilizing New Initiatives with Today's Youth (UNITY) pilot program that will focus on young adult males ages 18-24 for more intensive services including a teaming approach between probation officers and contracted providers;
- Charging the AIC programs to be more proactive with establishing community connections for clients to more expeditiously decrease the amount of unstructured time;
- Developing training that enhances the AIC network to better consider responsivity factors of individual clients such as African American Males who are most at risk for recidivism;

Data Development Agenda:

- Developing an electronic notification system for client reminder text messages of upcoming appointments. Also developing an electronic notification system for automatic notification to referral source of client missed appointments and sessions.

2015 Program Report Card: Alternative in the Community - Employment Services (Judicial Branch)

Quality of Life Result: All Connecticut working age residents have jobs that provide financial self-sufficiency.

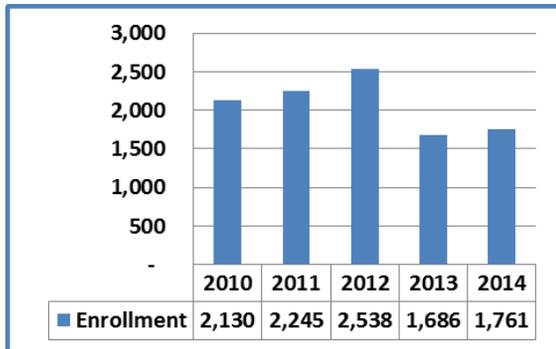
Contribution to the Result: To reduce offender long-term recidivism by introducing and developing the skills necessary for clients to both obtain and retain employment. Employment provides pro-social and structured activity that reduces offender risk of recidivism. The employment program teaches the clients how to be a productive employee by introducing key concepts crucial to meeting the employer's needs and encouraging career growth.

Program Expenditures	State Funding	Federal Funding	Other Funding	Total Funding
Actual FY 14	\$1,500,000	\$0	\$0	\$1,500,000
Estimated FY 15	\$1,500,000	\$0	\$0	\$1,500,000

(Employment Services is one of many services offered at the Alternative in the Community. The total FY14 AIC funding, as determined by the Judicial Branch, is \$19,084,086)

Partners: Private non-profit providers, Criminal Justice officials, Businesses, Department of Labor and associated local programs, Families, Education providers

How Much Did We Do? Number Enrolled in Employment Services 2010-2014

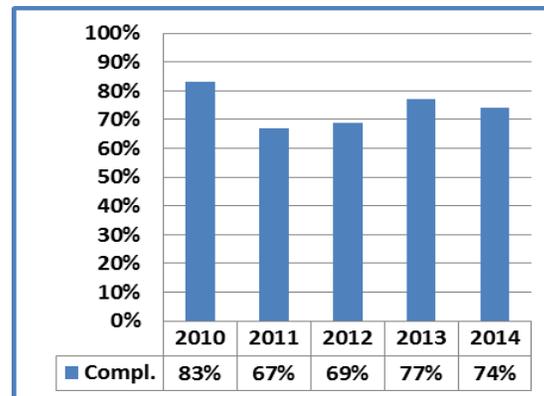


Story behind the baseline: The number of persons referred for employment services at the AIC remained steady from FY09 through FY11. In 2012 the number jumped to a 4 year high for referrals. This increase was due to a policy change within CSSD mandating that probation officers refer all unemployed clients to employment services when all other mitigating factors that act as a barrier to employment have been addressed. 2013 saw a sharp decline in clients enrolled and then a slight increase in 2014. CSSD is continuing to monitor the volume of clients referred.

Trend: ▲

How Well Did We Do It?

Percent Completing Employment Services Group, 2010-2014

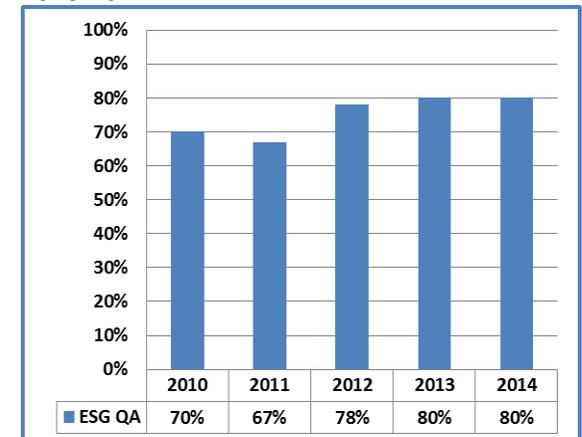


Story behind the baseline: The percentage of clients completing the employment curriculum declined in 2011. This shift was attributed to adoption of an enhanced nine session curriculum from the previous four session curriculum. The enhanced employment group was designed to provide clients with the skills to be more marketable in their job search and promote job retention. Completion Rates improved in both 2012 and 2013, ending with a 77% completion rate. 2014 saw a slight downward trend to 74% completion rate.

Trend: ▼

How Well Did We Do It?

Provider Proficiency (Quality Assurance), 2010-2014



Story behind the baseline: This performance measure identifies staff's ability to deliver the employment services curriculum with fidelity to the curriculum as well as the staff's ability to motivate clients. Research has demonstrated that delivering group interventions with a high proficiency results in better outcomes. In 2013, the 80% goal was achieved for the first time. This is largely due to staff becoming increasingly skilled with the new employment curriculum that was created and implemented during 2010. Staff was able to sustain that increase in 2014 and remained at 80%.

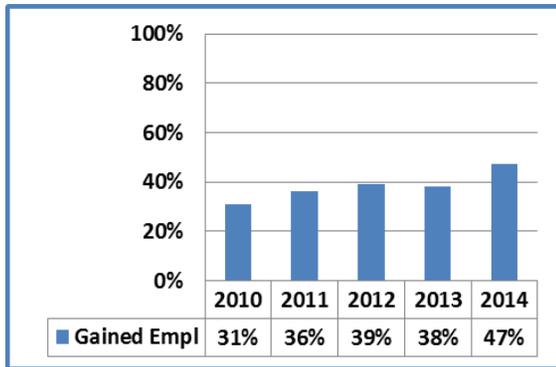
Trend: ▲

2015 Program Report Card: Alternative in the Community - Employment Services (Judicial Branch)

Quality of Life Result: All Connecticut working age residents have jobs that provide financial self-sufficiency.

Is Anyone Better Off?

Percent of Employment Services Group Completers Gaining Employment, 2010-2014

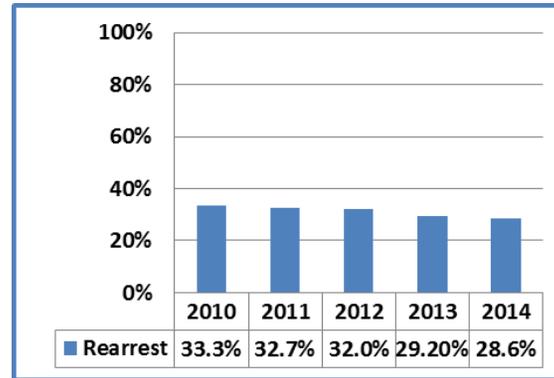


Story behind the baseline: This performance measure examines the rates at which clients that participate in Employment Services obtain employment prior to discharge from the AIC. Despite the economic downturn this measure continuously improved from 2009 through 2012. After a small decline in 2013, 2014 jumped to 47%. This increase was due to a reinvestment of program resources to support the position of job developer across the AIC network.

Trend: ▲

Is Anyone Better Off?

12-month Rearrest Rate for Completers 2010-2014



Story behind the baseline: This performance measure examines the rate at which clients who complete AIC services are re-arrested within 12 months of discharge. In the past five years, there has been a downward trend in re-arrest of AIC completers, with a modest reduction each year. In 2014, the recidivism reached a low of 28.6%. Fewer AIC participants being rearrested directly affect community safety.

Trend: ▲

Proposed Actions to Turn the Curve: No-Cost/Low-Cost Actions

- Review individual AIC program employment initiatives and job development practices;
- Monitor the implementation of the new Job Development training within the AIC network
- Enhance the role of the job developer to explore and identify training, vocational, and educational opportunities in local communities and establish formal agreements for client access
- Focus on establishing formal agreements with area employers to connect AIC clients with new job opportunities
- Continue to improve the youthful offender pilot (Utilizing New Initiatives with Today's Youth or UNITY) program to work collaboratively with programs and CSSD referral sources to increase individual client employability

Data Development Agenda:

- Operationalize our collaboration with the Department of Labor that established a data exchange protocol for tracking longer-term employment retention and average earnings, with a potential comparison to the Connecticut Self-Sufficiency standard.

2015 Program Report Card: EXPLORE Program – (Judicial Branch)

Quality of Life Result: Connecticut citizens live in safer communities.

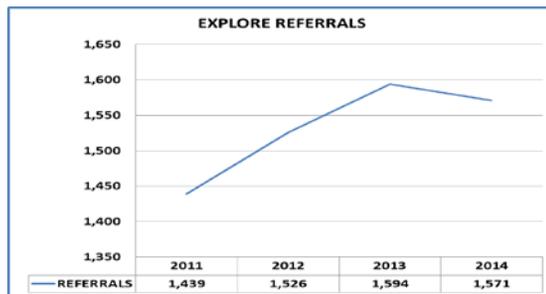
Contribution to the Result: The goals of the EXPLORE program are to: increase domestic violence offender accountability, enhance victim safety, modify offender attitudes and behavior regarding the use of violence, reduce offender long-term recidivism, and ensure timely program initiation and high completion rates.

Program Expenditures	State Funding	Federal Funding	Other Funding	Total Funding
Actual FY 14	\$1,215,455	\$105,760	0	\$1,321,215
Estimated FY 15	\$1,267,822	\$102,688	0	\$1,370,510

Partners: Criminal Justice System (Judges, prosecutors, Victim Advocates, public defenders/private attorneys) along with contracted, non-profit and for profit, service providers.

How Much Did We Do?

EXPLORE Referrals, 2011-2014



Story behind the baseline: Referrals to the EXPLORE program have been stable over the past four years. This demonstrates a continued reliance on the EXPLORE program as a key intervention for post plea/conviction domestic violence offenders. EXPLORE is a 26-session, group-based intervention for men convicted of domestic violence offenses. The focus of this program is education and behavior change through developing awareness, building positive interpersonal conflict resolution and behavior management skills, and understanding the harmful effects of violence on victims and children. EXPLORE is available statewide.

Trend: ◀▶

How Well Did We Do It?

EXPLORE Program Completion Rate, 2011-2014



Story behind the baseline: The EXPLORE program completion rate has improved over time. In 2014, the program completion rate was 72%, a very high rate given the significant challenges faced by a majority of the offenders referred to EXPLORE. In prior years, the program completion rate was 65%, which is typically higher than other nationally reported outcomes for a long-term intervention. Studies also reflect that offenders who complete programming have significantly lower re-arrest rates than those that are discharged from the service.

Trend: ▲

How Well Did We Do It?

Offenders initiated into EXPLORE within 60 days 2011-2014



Story behind the baseline: A major emphasis since 2010 was to ensure that all domestic violence offenders referred to programming initiate service within 60 days. Research is clear that offenders who wait for services are significantly more likely to re-offend. In addition, the majority of domestic violence recidivism occurs soon after the initial incident so placement into programming as early as possible is vital. In 2011, only 88% of offenders started programming within 60 days. The current 98% outcome is an all-time high.

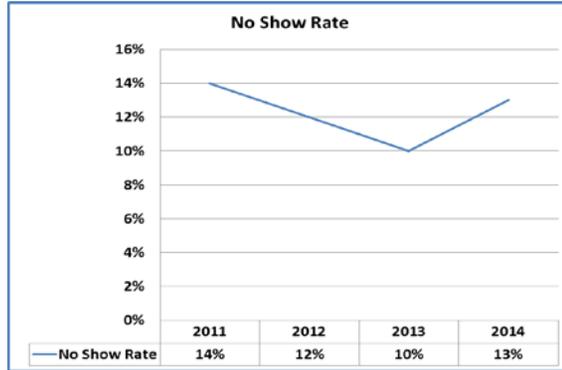
Trend: ▲

2015 Program Report Card: EXPLORE Program – (Judicial Branch)

Quality of Life Result: Connecticut citizens live in safer communities.

How Well Did We Do It?

No Show Rate, 2011-2014

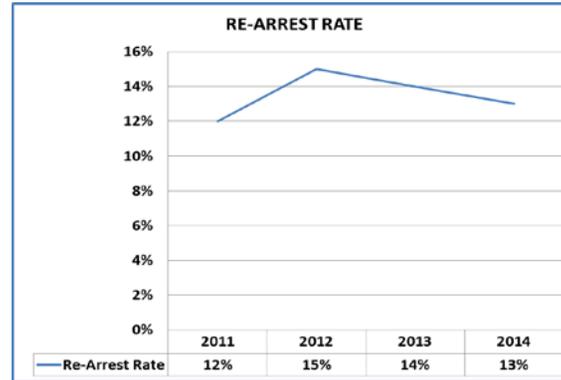


Story behind the baseline: Offender engagement is vital to achieving positive program outcomes. The collaboration between the referral sources (Adult Probation and Family Services) and the EXPLORE program providers has been an on-going point of emphasis. The No-Show Rate is defined as an offender failing to appear for services. Given the personal challenges faced by many of the offenders, a low No-Show rate is difficult to achieve. The 2014 13% No Show Rate is directly related to the numerous efforts made by both Judicial Branch employees and the EXPLORE providers to ensure that the offenders initiate programming.

Trend: ◀▶

Is Anyone Better Off?

12-Month Re-Arrest Rate 2011-2014



Story behind the baseline: This performance measure examines the rate of re-arrest (recidivism) at 12-months post-program completion. The levels of domestic violence re-arrest for EXPLORE program completers has been very low as compared to similar programs in other states. This conclusion is based on recent research conducted on EXPLORE. In 2014, the re-arrest rate was 13% and lower than the past two years (14% in 2013 and 15% in 2012). These positive outcomes are directly correlated to the focus on early initiation into programming, offender engagement, retention, and the quality of service delivery.

Trend: ▲

Proposed Actions to Turn the Curve:

- Implement the recommendations from the legislatively mandated cost-benefit research study conducted by Central Connecticut State University. This includes an additional 18-24 month follow-up period to measure longer term program effects.
- Continue Judicial Branch funding for Clinical Supervision for all EXPLORE program facilitators. This Clinical Supervision provides on-site training and case conferencing. Building and supporting facilitator skills is important to continued program effectiveness.
- In 2014, a leading authority in the field of domestic violence reviewed the current curriculum outlines and made extensive recommendations for potential modifications. A plan for implementing the recommendations is in the initial phases and will be finalized in 2015.
- The on-going monitoring of contract compliance continues to be a primary focus, especially as it relates to fidelity to the EXPLORE model.
- Continue collection of participant surveys post EXPLORE completion. These surveys collect information about the offender's perception of their behavior/attitude changes and the effectiveness of the facilitators.

Data Development Agenda:

Develop analysis that details the re-arrest rate in relation to program completion within the 60 days standard.

2015 Program Report Card: Juvenile Probation – (Judicial Branch)

Quality of Life Result: Connecticut citizens live in safer communities. Connecticut children learn from their mistakes, and live in families that meet their needs and communities that support their success.

Contribution to the Result: The purpose of Juvenile Probation is to reduce the risk of recidivism by engaging juveniles and their families in meaningful services and ensuring compliance with court orders, all of which result in safer communities.

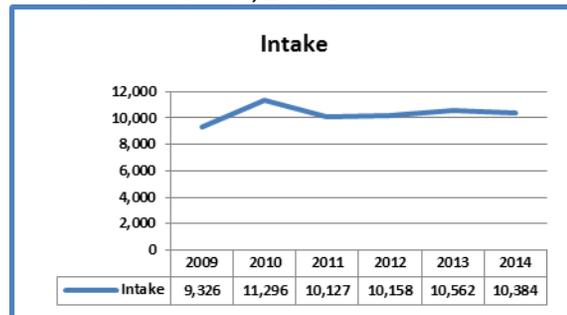
Program Expenditures	State Funding	Federal Funding	Other Funding	Total Funding
Actual FY 13	\$17,678,484	\$0	\$0	\$17,678,484
Estimated FY 14	\$17,700,000	\$0	\$0	\$17,700,000

*Juvenile Probation is supported by contracted treatment programs and services that receive funding from the Judicial Branch totaling \$46.4m.

Partners: Department of Children and Families, the Governor’s Office, General Assembly, Office of Policy and Management, State Department of Education, DMHAS, Office of Workforce Competitiveness, Public Defenders, Prosecutors, parents, parent and juvenile justice advocates, treatment providers, Youth Service Bureaus, Department of Correction, and universities

How Much Did We Do?

Juvenile Court Intake, 2009-2014

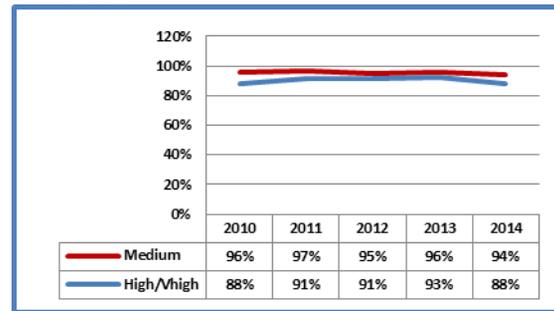


Story behind the baseline: Juvenile court intake in 2014 (10,384) is greater than 2009 prior to 16 and 17 yr.-olds entry into the JJ system yet is down 8% from the high of 2010 when 16 yr.-olds entered JJ. The 2014 figure is also a slight decrease from the previous year consistent with the national trend of declining juvenile crime and likely is enhanced by increased CT diversion initiatives like juvenile review boards and returned summons policy. Thus, caseloads remain at levels allowing JPOs to focus on recidivism reduction strategies.

Trend: ◀▶

How Well Did We Do It?

Juvenile Contacts with Probation Officer, 2009-2012

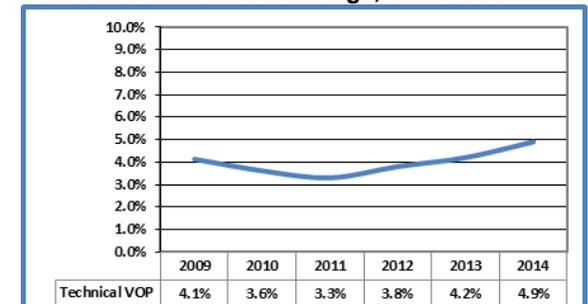


Story behind the baseline: Juvenile probation officers have variable levels of contact with clients based on their criminogenic risk for future delinquency. This measure shows the compliance with Face-to-Face (FTF) contacts standards. Research shows improved recidivism reduction when risk and service intensity are appropriately matched (higher risk=greater intensity). The inversion of medium and high/vhigh compliance trend lines suggest the need for more FTF contacts with the highest risk juveniles despite the high level performance in this area.

Trend: ◀▶

How Well Did We Do It?

Technical Violation Percentage, 2007-2014



Story behind the baseline: Take into Custody Orders or Warrants can be issued when a technical violation of probation orders occurs. Declines in past years are impacted by the increased number of older clients coming in the system although the TIC percentage remains below 5%. In July 2012, 17 yr. - olds entered the JJ system. Juvenile Probation Officers employ a system of graduated incentives and sanctions, including more contact, additional treatment, or electronic monitoring, prior to seeking a Take into Custody Order.

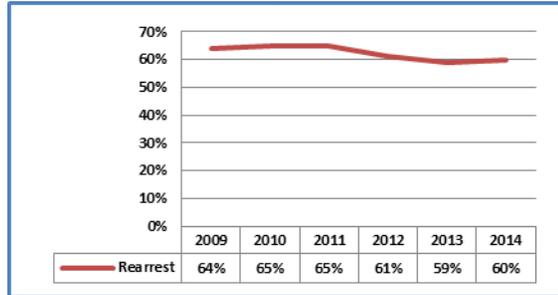
Trend: ▼

2015 Program Report Card: Juvenile Probation – (Judicial Branch)

Quality of Life Result: Connecticut citizens live in safer communities. Connecticut children learn from their mistakes, and live in families that meet their needs and communities that support their success.

Is Anyone Better Off?

24-Month Rearrest Rate, 2008-2014



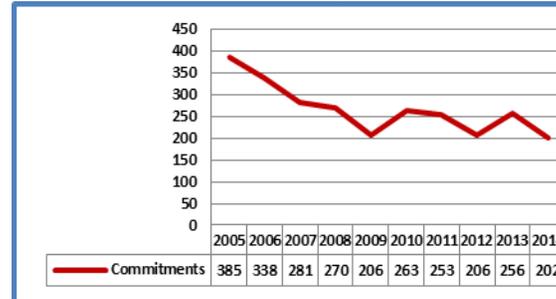
Story behind the baseline: This performance measure examines the rate of re-arrest (recidivism) at 24-months after the start of a period of probation or supervision. For example, 64 percent of the juveniles placed on probation or supervision in 2009 were re-arrested by the time their 24-month follow up period ended in 2011. This trend has been fairly steady over prior years but showed a 4% decline in 2012 falling to 61% and an additional 2% decline in 2013. It is important to note that the 2014 figure includes the cohorts of 16-year olds and the first 6 months of 17-year olds and although up a percentage point from 2013 remains down 5% from the high point seen in (2010, 2011).

Trend: ▲

Rev. 6 (2/10/15)

Is Anyone Better Off?

Juveniles Committed to DCF, 1999-2014



Story behind the baseline: Juveniles committed to either long-term residential placement or to incarceration at the Connecticut Juvenile Training School have steadily decreased. From 2005 to 2014, commitments fell 48 percent. Even with full implementation of Raise the Age, the number of commitments remains well below historical highs. The continued reliance on the use of Case Review Teams over the past several years has contributed significantly to serving more high-risk juveniles in more cost-effective community settings.

Trend: ▲

Trend Going in Right Direction? ▲ Yes; ▼ No; ◀▶ Flat/ No Trend

Proposed Actions to Turn the Curve:

- Implementation of Child Youth and Family Support Centers which will receive all Family with Service Needs clients referred to the Court. A probation officer liaison works with the CYFSC to engage juveniles and their families in a diversion away from the Court and into community-based services.
- Implementation of Learning Collaborative pairing probation officers with clinicians to address trauma experienced by children and youth referred to the Court for delinquent and FWSN behaviors by referral and collaborative efforts to engage families in community based treatment centers.
- Enhancements and revalidation of assessments used to determine the risk and needs of children and youth referred to the Court. The new assessments will include trauma and substance abuse screening.
- Enhanced quality assurance procedures to ensure the quality of client contacts as well as case planning for children and their families.
- Implementation of a re-entry collaborative plan for juveniles detained in detention centers. Re-entry plans will be formulated by both program and classification officers and juvenile probation officers and formally presented to the Court for consideration. Plan will try to address service needs of juveniles to prevent re-entry into the detention centers.

Data Development Agenda:

Developing a data collaborative with education systems to track long-term education outcomes

2015 Program Report Card: Multi Systemic Therapy (MST) – (Judicial Branch)

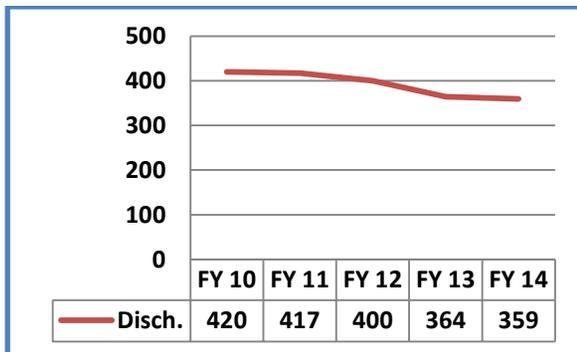
Quality of Life Result: Connecticut families will live in safe communities.

Contribution to the Result: The goal of Multi Systemic Therapy (MST) program is to assist high and very high risk juvenile clients gain the skills and knowledge needed to: (1) remain in the home and out of placement; (2) remain in school or working; and (3) avoid new arrests. All of these goals contribute to safer communities for Connecticut families.

Program Expenditures	State Funding	Federal Funding	Other Funding	Total Funding
Actual FY 14	\$4,951,721	\$0	\$408,123	\$5,359,844
Estimated FY 15	\$4,597,317	\$0	\$404,692	\$5,002,009

How Much Did We Do?

Number of Youth Discharged, 2010-2014

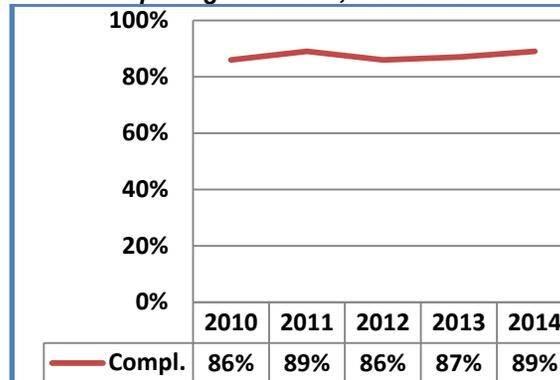


Story behind the baseline: This graph shows the number of clients discharged with the opportunity of a full course of treatment. Youth who moved away, were removed by the referral source, etc. are not included in these numbers. The graph shows a decreasing trend. This correlates with a decreasing number of youth entering the Juvenile Justice system over the past few years.

Trend: ▼

How Well Did We Do It?

Youth Completing Treatment, 2010-2014

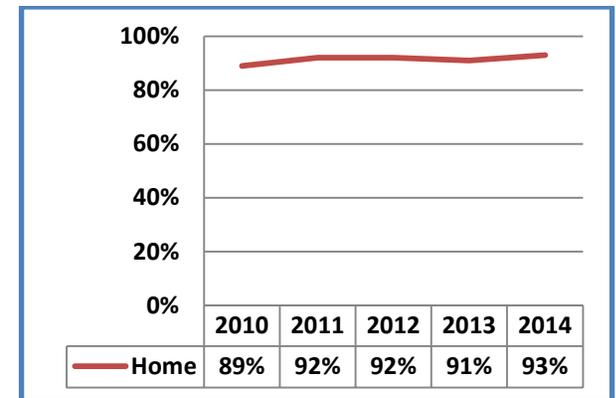


Story behind the baseline: MST is an intensive in-home model that provides families with over 30 hours of treatment in a 4-5 month period. Therapists not only provide in-home services 3-4 times per week (tapering down as services conclude), but they are also on call 24 hours a day to address any crises. Although there was a 3% decrease in completions in 2012, the percentage of Youth Completing Treatment has consistently exceeded the national goal of 85%.

Trend: ▲

Is Anyone Better Off?

% of Youth Living at Home, 2010-2014



Story behind the baseline: This performance measure examines the rates at which clients who participate in MST services are able to remain in the community during treatment, avoiding expensive out-of-home placements that considerable research suggests is neither effective nor warranted for most children. “Youth at home” is an MST ultimate outcome. The percentage of MST clients that are staying in their homes during treatment increased from 89% in 2010 to 93% in 2014 in CT.

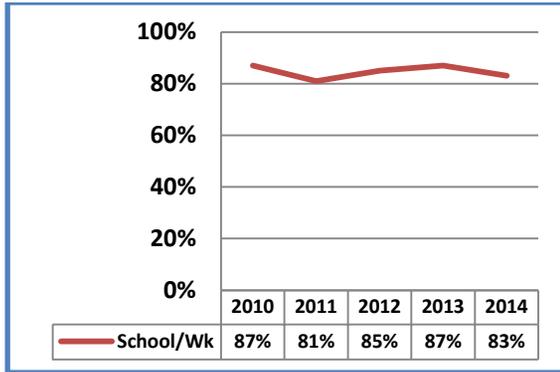
Trend: ▲

2015 Program Report Card: Multi Systemic Therapy (MST) – (Judicial Branch)

Quality of Life Result: Connecticut families will live in safe communities.

Is Anyone Better Off?

% of youth in School/Working, 2010-2014

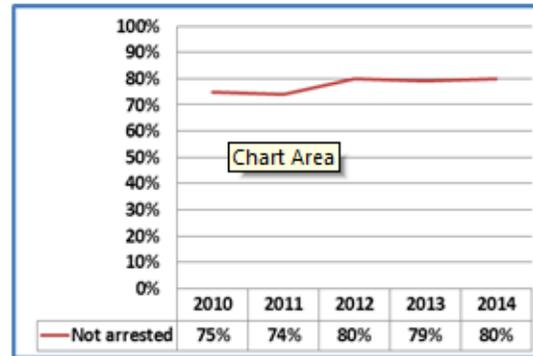


Story behind the baseline: This performance measure examines the rate at which clients who participate in MST are in school or working at program completion. The trend shows a 4% decrease in 2014. Since full implementation of 16 and 17 years old in the juvenile justice system challenges have been noted in re-engaging older youth back into school and in the workforce. Even with these decreases, completers of MST have remained above the 80% threshold for this MST ultimate outcome

Trend: ▼

Is Anyone Better Off?

% of youth with No New Arrest, 2010-2014



Story behind the baseline: This performance measure examines the rates at which clients in MST recidivate during treatment. The threshold for this benchmark is 72% and the trend shows that the CT MST program has consistently exceeded this goal for the past 5 years.

Trend: ▲

Proposed Actions to Turn the Curve:

- Continue to monitor for contract compliance.
- Develop strategies for staff retention.
- Develop strategies focusing on clients' school attendance.
- Continue working with Quality Assurance provider to ensure model fidelity remains high.
- Continue working with Quality Assurance provider to ensure MST providers meet hourly contact with families per Juvenile Justice System Improvement Project.

Data Development Agenda:

- Through sponsorship by the National Institute of Mental Health (NIMH), MST is working on a study designed to develop and evaluate three new technological tools for use by youth and parents participating in MST and by MST therapists. These applications are designed to provide youth who are involved in the juvenile justice system rewards for positive behavior and to help their parents monitor youth's whereabouts and activities. The applications allow for youth and parent reminders, youth check-ins using smartphone GPS system, and positive reinforcement to youth by parents.

Appropriations Committee Budget Hearing

Accountability Information for the Foreclosure Mediation Program

March 5, 2015

1. What is the quality of life result to which the program makes the most important contribution?

Results Statement #1: To stabilize neighborhoods and strengthen communities by allowing Connecticut homeowners to avoid foreclosure by working out mutually agreeable foreclosure alternatives with their mortgage servicers.

Results Statement #2: To ensure that all Connecticut residents have equal access to justice in our courts.

2. How does the program contribute to the result?

- Highly specialized court mediators facilitate communication and the exchange of accurate and complete financial information between homeowners and their mortgage servicers.
- Mediators with extensive knowledge of federal loss mitigation programs and their guidelines ensure that homeowners have the opportunity to be reviewed accurately for appropriate, sustainable loss mitigation options to avoid foreclosure.
- Mediators refer homeowners to community programs and state agencies for additional assistance.
- Mediators ensure that there is procedural fairness by making sure that self-represented homeowners understand the process and outcomes and are provided with information that allows them to make informed decisions. Statistics show that, from July 1, 2008 through December 31, 2014, there was at least one self-represented homeowner in 74% of all cases participating in the Foreclosure Mediation Program.

3. Who are the program's major customers?

- Connecticut homeowners who are defendants in residential mortgage foreclosure actions pending in the court and who (1) own and occupy the property as their primary residence, and (2) are the borrower on the note

secured by the mortgage being foreclosed. The property must be a 1-4 family residence in Connecticut. Homeowners who do not meet these statutory requirements may still be referred to the program by a judge.

- Religious organizations that own real property in Connecticut and are the borrower on the note secured by a mortgage on the property.
- Banks, lenders, and mortgage loan servicers doing business in Connecticut that have commenced mortgage foreclosure actions in Connecticut courts.

4. What measures do you use to tell if the program is delivering its services well? How are you doing on the most important of those measures?

- Staff qualifications: Program staff currently includes one program manager, 24 mediation specialists serving the state's 14 judicial districts, 9 designated caseflow coordinators, and 16 office clerks. Twenty-one mediators are attorneys, two have their Juris Doctorate degrees and one has over 25 years of mediation experience in housing and foreclosure matters. All are highly trained in foreclosure law and federal loss mitigation programs and their guidelines.
- Reporting: Mediators file comprehensive reports within 3 business days of each mediation session that is held. These reports become part of the public court file and are relied upon by judges in ruling on motions and requests filed in the case.
- Program participation:
 - Since July 1, 2008, the Judicial Branch has maintained data on the number of mortgage foreclosure actions filed statewide. This data includes, but does not distinguish between, commercial and residential mortgage foreclosures.
 - The Judicial Branch does not have the ability to determine the number of mortgage foreclosure cases that are eligible for the program because homeowners must first opt-in to the program by filing a mediation request with the court that demonstrates eligibility.
 - The following data is available for program participation rates where homeowners have filed mediation requests.

Timeframe	# of mortgage foreclosures filed (commercial and residential)	Mortgage foreclosures with mediation requests	Mortgage foreclosures assigned to mediation program
FY 2009	20,081	7,605 (38%)	6,860 (90%)
FY 2010	21,362	10,639 (50%)	9,063 (85%)
FY 2011	10,217	5,316 (52%)	4,483 (84%)
FY 2012	11,013	5,172 (47%)	4,333 (84%)
FY 2013	14,576	6,990 (48%)	5,519 (79%)
FY 2014	14,350	6,581 (46%)	5,417 (82%)
July 1, 2008- June 30, 2014	91,599	42,303 (46%)	35,675 (84%)

5. What measures do you use to tell if the program’s customers are better off? How are you doing on the most important of those measures?

- Outcome data: (see Exhibit A)
 - 19,802 cases have completed mediation from 7/1/08 through 6/30/14.
 - Home retention outcomes: In 13,696 (69%) of these cases, mediators facilitated settlements that allowed homeowners to stay in their homes and lenders to retain a performing loan.
 - Graceful exit outcomes: In 3,019 (15%) of these cases, mediators facilitated settlements that allowed homeowners to gracefully exit their homes by way of sale, short sale, deed-in-lieu of foreclosure or negotiated law days or sale dates. Where the property was sold, lenders received all (sale) or an agreed upon portion (short sale) of the loan balance rather than acquiring the property.
 - No settlement: In 3,087 (16%) of these cases, the parties were not able to reach a mutually agreeable settlement through mediation.
- Participant feedback: The creation of a voluntary participant survey has been proposed to evaluate the program’s effectiveness and participant satisfaction. Data to be collected in these surveys would be used to improve the delivery of services to program participants.

6. Who are the partners with a major role to play in doing better?

Partners include HUD-approved housing counseling agencies, the Department of Banking, the Connecticut Housing Finance Authority, the Office of the Attorney

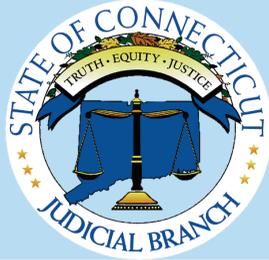
General, consumer advocates, and representatives of loan servicers and the banking industry.

7. What works, what could work, to do better, or to do the least harm in a difficult financial climate?

- The premediation process created in 2013 by Public Act 13-136 has reportedly made the loss mitigation review process, and thus the mediation process, more efficient.
- Program staff should continue to partner with state and community agencies and programs that provide foreclosure assistance to Connecticut homeowners.
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8. What specific actions do you propose to take over the next two years? Focus on 1) no-cost and low-cost actions, 2) actions to reduce the harm of budget reductions, and 3) reallocation of existing resources to obtain best results.

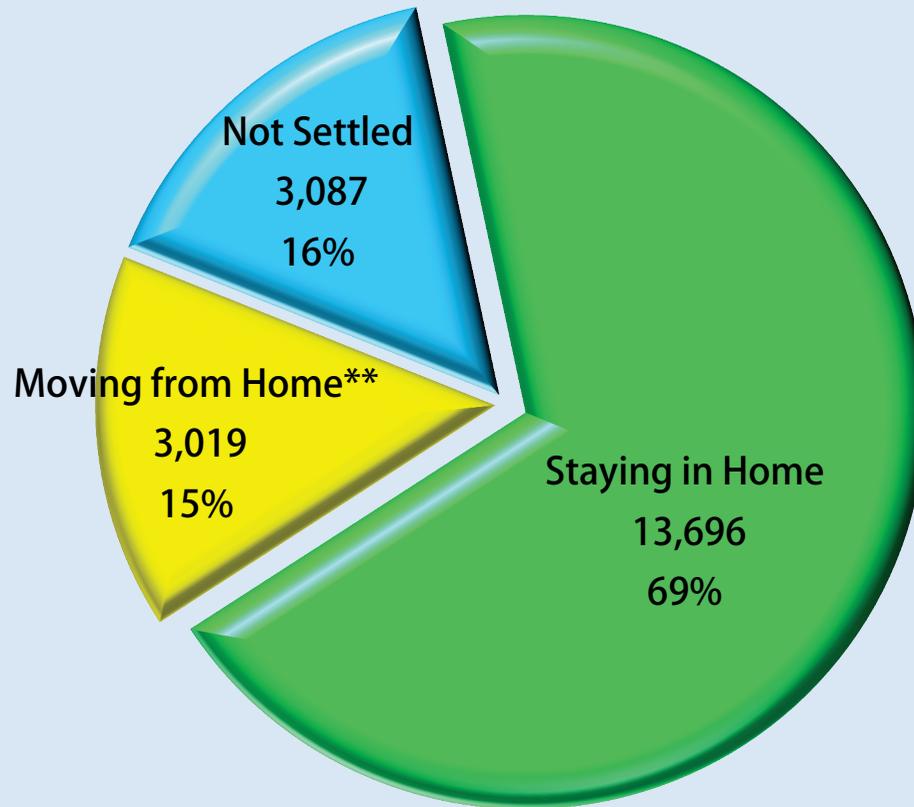
- Program currently is funded through fiscal year 2016 by appropriations from the Banking Fund.
- Reallocation of mediation staff to account for changing caseloads in each judicial district.



Foreclosure Mediation Program

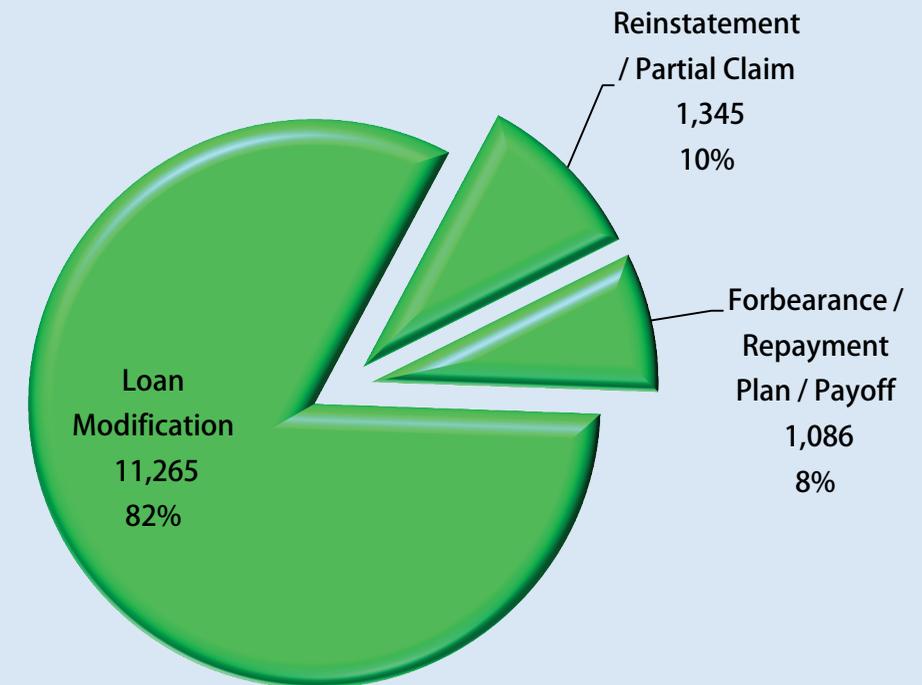
Case Outcomes

July 1, 2008 through June 30, 2014



19,802
cases have completed mediation

84%
settlement rate*



Staying in Home
outcome distribution

* Settlement Rate is "Moving from Home" plus "Staying in Home" divided by cases that have completed mediation.

** "Moving from Home" includes: Agreements for a Short Sale, a Deed In Lieu, or Extension of the Law Day or Sale Date.

Foreclosure Mediation Program

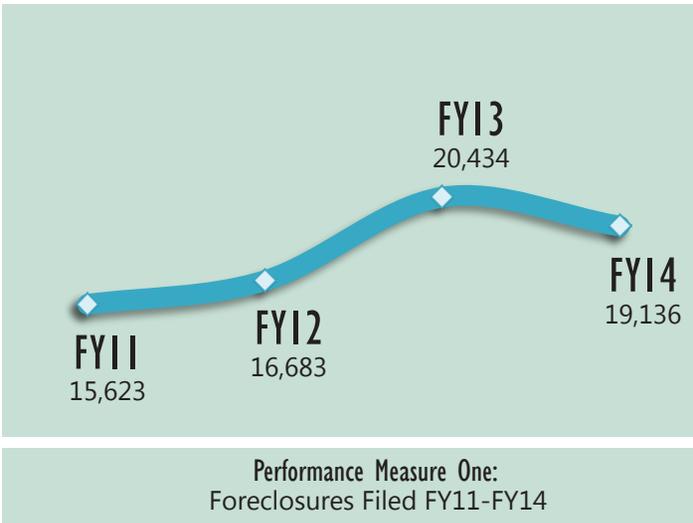
PROGRAM REPORT CARD

Quality of Life Result: Homeowners in Connecticut remain in their homes.

Contribution to the Result: The Foreclosure Mediation Program provides homeowners facing foreclosure the opportunity to negotiate equitable outcomes with lending institutions. The homeowners are predominately self-represented parties (74%) and have reported loss of income as the main reason for their inability to satisfy their mortgage obligation. When successful, program staff facilitate agreements between the lender and borrower that lead to the homeowner staying in their house, or the process results in a negotiated settlement that puts the homeowner in a better long-term financial position.

Partners: Judges, Attorneys, Mortgage Holders, Lending Institutions, Loan Servicing Companies, Connecticut Housing Finance Agency, Department of Banking, Connecticut Bankers Association

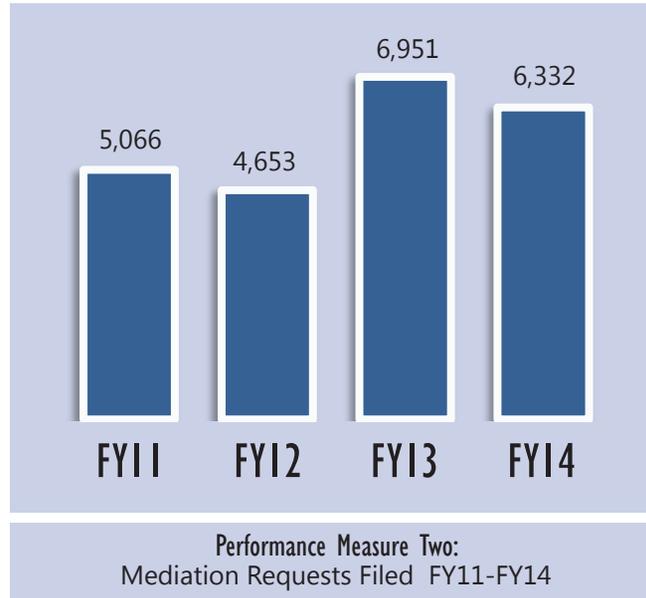
Total Program Funding: FY15 = \$5,902,565



Story Behind the Baseline: Despite a significant decline from the peak of the foreclosure crisis in FY10, foreclosure cases have increased 22% from FY11 (15,623 cases) to FY14 (19,136 cases). Prior to the introduction of the Foreclosure Mediation Program, the majority of the mortgage foreclosure matters would have resulted in the homeowner losing their primary residence.

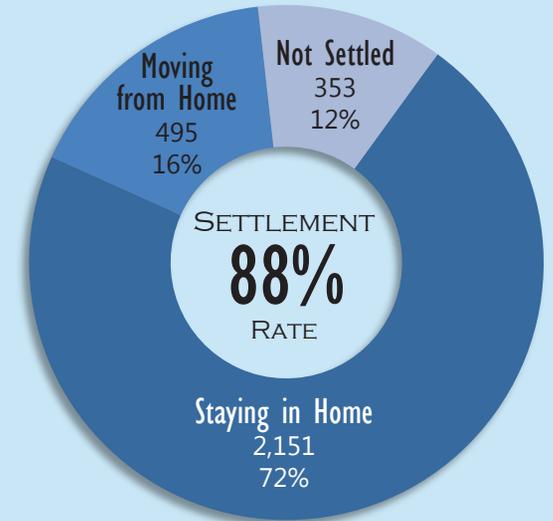
Proposed actions to turn the curve: The filing of foreclosure cases is impacted by a variety of conditions that are driven by economic factors outside the control of the Connecticut Judicial Branch. Factors that impact foreclosure filings include: loss of income, increased medical expenses, divorce and other forms of rising expenses and debt, which contribute to the homeowners' inability to satisfy their mortgage obligation.

Although the filing of the foreclosure action is outside the direct control of the Judicial Branch, the disposition of the foreclosure matter may be influenced by the ability to find an equitable outcome between the lender and the borrower through the Foreclosure Mediation Program. Historically, the Program has met its objective of facilitating negotiated settlements.



Story Behind the Baseline: Over the past four state fiscal years, the number of cases with a request for inclusion in the Foreclosure Mediation Program has risen steadily. From FY11 to FY14, requests have increased 25% to over 6,300 in FY14. The Program serves an important role in facilitating settlements in cases that involve a family dwelling that is owner-occupied. In short, the Program is designed to help Connecticut residents maintain their residence when they are experiencing financial difficulties. The numbers above depict a sustained and growing homeowner interest in participation in the Foreclosure Mediation Program.

Proposed actions to turn the curve: Outreach efforts may continue to impact the number of homeowners availing themselves of the Foreclosure Mediation Program. The Program showed a significant growth in requests to participate from FY11, however, there is a significant number of homeowners who have been determined to be potentially eligible for the Program that have not applied. During FY14, there were over 8,000 mortgage foreclosure cases that did not submit a request to be reviewed for eligibility in the Program.



Story Behind the Baseline: The most significant measure in the foreclosure mediation process involves settlement. In short, did the homeowner and the lender reach an agreement in the process? During FY14, 72% of the Program participants were able to remain in their home. An additional 16% of the homeowners agreed to a graceful exit. The agreement in these circumstances resulted in a more favorable outcome for the homeowner (i.e., when compared to a foreclosure of the property). The overall settlement rate was a resounding 88% for homeowners who participated in the Foreclosure Mediation Program.

Proposed actions to turn the curve: The Judicial Branch and Foreclosure Mediation Program staff will continue to look for ways to facilitate the agreement process, which will include improved communication efforts with the lenders, attorneys, homeowners and other interested entities. Additionally, efforts undertaken in Performance Measure 2 may increase the overall volume of settlements, and consequently will lead to more Connecticut residents staying in their home.