

**SANTA BARBARA COUNTY
BOARD AGENDA LETTER**



Clerk of the Board of Supervisors
105 E. Anapamu Street, Suite 407
Santa Barbara, CA 93101
(805) 568-2240

Agenda Number:
Prepared on: 12/03/02
Department Name: Probation
Department No.: 022
Agenda Date: 03/25/03
Placement: Administrative
Estimate Time:
Continued Item: NO
If Yes, date from:

TO: Board of Supervisors

FROM: Susan J. Gionfriddo, Chief Probation Officer
Probation Department

**STAFF
CONTACT:** Scott Deupree, Deputy Chief Probation Officer, 882-3670
Martin Conoley, Probation Manager, 692-4851

SUBJECT: Execute Agreement with Professional Services Subcontractor for the Juvenile Crime Enforcement and Accountability Challenge Grant II

Recommendation(s):

That the Board of Supervisors:

- A. Execute an agreement that exceeds the \$100,000 threshold for Purchasing contracts with the subcontractor Regents of the University of California, Santa Barbara, a local vendor, to provide research and evaluation services related to the Challenge Grant II project. Grant reimbursed services are to commence on July 1, 2002 and end upon completion, but no later than September 30, 2003, not to exceed the fifteen-month maximum of \$129,821.

Alignment with Board Strategic Plan:

The recommendation(s) are primarily aligned with Goal No. 7. A Community that Fosters the Safety and Well-Being of Families and Children and Goal No. 2. A Safe and Healthy Community in Which to Live, Work, and Visit.

Executive Summary and Discussion:

Your Board is requested to execute agreement for services with the above listed agency for the Juvenile Crime Enforcement and Accountability Challenge Grant II. The agreement is for more than the \$100,000 maximum that may be executed as a County Purchasing contract.

The project had a contract with the State Board of Corrections for fourth year funding which was eliminated in the Governor's May revised budget. Commencing July 1, 2002, the UCSB evaluation component was contracted under a Purchasing Contract utilizing rollover grant funds from FY 01-02. Subsequently, the Board of Corrections awarded Santa Barbara County \$370,128 in additional grant funds for fiscal year 02-03, with the assurance the project could be continued through December 31, 2002 in combination with unused grant funds from prior years. It is this grant funding, coupled with match contributed by the University of California, Santa Barbara which will permit research and evaluation services to continue until 9-30-03 with the final reporting of the project evaluation completed by 9-15-03. This research component is an essential element of the grant award. Without the UCSB research component and completion of their final report, this project would not have been awarded grant funding in 1999. Drs. Shane Jimerson, Manny Casas, Mike Furlong, and Kathryn O'Brien are the Principal Investigators.

The Recurring Performance Measure for the Challenge Grant II NEW VISTAS program is to ensure public safety: Reduce by 10% the number of new law violations committed annually by 100 minors in the Challenge II NEW VISTAS program as compared to the violation rate in the 1994-98 historical comparison study.

Mandates and Service Levels:

The Juvenile Crime Enforcement and Accountability Challenge Grant II is not a mandated program. Grant funds provide an increase in service level through State dollars, Federal dollars leveraged, and through maximizing the coordination of existing resources. Although the Grant itself is not mandated, most services that are provided by such funding are mandated by statutes and Court orders. Statutory mandates governing Probation Department services are attached for your review.

Fiscal and Facilities Impacts:

The 4th Year Funding for the Juvenile Crime Enforcement and Accountability Challenge Grant II requires no General Fund contribution for this contract. The contract to be approved by this Board Agenda item is fully funded by State Challenge Grant II revenue (account # 4339). Also, the subcontractor is required to identify “match” funds consisting of additional program related expenditures separately funded by the respective subcontractor.

The Year 4 budget for the Graduate School of Education, University of California, Santa Barbara for this item is as follows:

<u>AGENCY</u>	<u>FY 2002-03</u> Grant Funds	<u>FY 2002-03</u> Matching Funds	<u>FY 2002-03</u> Total
UCSB	129,821	96,037	225,858

Special Instructions:

Please return the following documents: a second original of the fully executed contract signature page for the UCSB contract and a copy of the Minute Order to Carter Ray, County Probation Department Administration, 117 E. Carrillo Street, CA 93101.

Concurrence:

Auditor-Controller
County Counsel
Risk Management

PROBATION DEPARTMENT MANDATES

GENERAL

131.5 Code of Civil Procedure; 830.5 PC; 1201.7 PC; 273a(c)(3)(A) and 273d(c)(3)(A) PC
1203.097(c) and 1203.098 PC; 13010-13014 PC ; 6035 PC; 3300 Government Code
1020-1031.5 Government Code

CIVIL

1826 Probate Code; 1851 Probate Code; 1851.5 Probate Code; 1513-1513.1 Probate Code
7800 Family Law Code (FLC); 7801 FLC; 7803 FLC; 7804 FLC; 7805 FLC; 7807 FLC.
7808 FLC; 9001 FLC

JUVENILE DIVISION

A. Administrative Responsibility/Notification

131. 7 CIVIL CODE OF PROCEDURE; 270 WIC

B. Juvenile Intake

601 WIC; 601.2 WIC; 601.3WIC; 602 WIC; 627.5 WIC; 628 WIC
628.1 WIC; 630 WIC; 631 WIC; 632 WIC; 652 WIC; 652.5 WIC
653 WIC; 676.5 WIC; 777WIC; 778 WIC; 1404-1405 JUVENILE COURT RULES

C. Juvenile Investigations

200 WIC ;280 WIC ;281 WIC;281.5 WIC ;361.2 WIC ;635 WIC ;636 WIC ;652 WIC
653.5 WIC ;656.2 WIC ;636.1 WIC ;706 WIC ;706.5 WIC ;706.6 WIC ;707 WIC ;727.2 WIC
727.4 WIC ;742 WIC ; 781 WIC ;1499 JUVENILE COURT RULES

D. Juvenile Supervision

241.1 WIC ;366.23 WIC ;366.26 WIC ;625 WIC;625.3 WIC ;641 WIC ;654 WIC ;654.1 WIC
654.2 WIC ;654.3 WIC ;654.4 WIC ;654.6 WIC ;655 WIC ;725 WIC ;727 WIC ;727.1 WIC ;727.2 WIC
727.3 WIC ;727.31 WIC;727.4 WIC ;727.4 (D) (4) ;727.6 WIC ;729 ET ESQ. WIC;729.3 WIC 729.7WIC
;729.8 WIC ;729.9 WIC ;730 WIC ;730.6 WIC ;730.7 WIC ;737 WIC ;738 WIC
740 WIC ;740.1 WIC;742.16 WIC ;790 WIC ;793 WIC ;794 WIC ;795 WIC. ;841 WIC
1300 ET Esq. WIC ;1502.4 (a)(1) H&S ;4096 WIC ;5600.3 WIC ;11400 WIC ;11401 WIC
11402 WIC ;11403 WIC ;11404 WIC ;11404.1 WIC ;11462.01(2)(C) WIC

INSTITUTIONS

A. Juvenile Halls

TITLE 15, DIVISION 1 BOARD OF CORRECTIONS, CHAPTER 1 BOARD OF CORRECTIONS,
SUBCHAPTER 5 MINIMUM STANDARDS FOR JUVENILE FACILITIES
210 WIC ;850 WIC

B. Home Supervision

628.1 WIC ;840 WIC

C. Los Prietos Boys Camp

TITLE 15, DIVISION 1 BOARD OF CORRECTIONS, CHAPTER 1 BOARD OF CORRECTIONS,
SUBCHAPTER 5 MINIMUM STANDARDS FOR JUVENILE FACILITIES

881 WIC ;885 WIC

D. Counseling and Education Centers

654 (c) WIC

E. Non-Secure Detention

210.1 WIC; 601 WIC ;626 WIC

F. Medical Care Juveniles

369 WIC ;739 WIC

G. Separate Categories

284 WIC ;285 WIC ;656.2 WIC ;704 WIC ;729.7 WIC ;742 WIC ;742.20 WIC
749.22 WIC ;749.23 WIC ;751 WIC ;826 WIC ;826.5 WIC ;826.6 WIC ;827 WIC ;48321 ED CODE
56026 ED CODE ;56325 ED CODE

ADULT DIVISION

A. Adult Investigation:

131.3 Civil Code;1000 PC ;1000.1(b) PC;1000.2 PC;1000.3PC ;1000.4PC; 1000.5PC
1001 PC ;1001.9 PC ;1001.20 PC to 1001.34 PC;1001.70 PC to 1001.90 PC;1191 PC
1191.1 PC;1191.2 PC;1191.3 PC;1202.4 PC;1203 PC;1203a PC;1203c PC;1203d PC
1203.9 PC;1203.10 PC;1203.097(b)(3) PC;1203.097(b)(4) PC;4.310 Judicial Rule
4.411(a)(b)(c)(d) Judicial Rule; 4.411.5 Judicial Rule

B. Adult Supervision:

131.3 Code of Civil Procedure;290(c)(1) PC ;290.4 PC Megan's Law ;1202.7 PC
1202.8 PC ;1203.02 PC;1203.016 PC ;1203.044 PC ;1203.044(h) PC ;1203.045 PC
1230.047 PC;1203.055 PC ;1203.055(f) PC;1203.066 PC;1203.067 PC
1203.076 PC; 1203.95PC; 1203. 097 PC ;1203.1 PC ;1203.1(b) PC ;1203.1bb PC
1203.1(d) PC;1203.1(h) PC;1203.1ab PC;1203.1b(a) PC;1203.1e PC;1203.1g PC
1203.1k PC;1203.2 PC; 1203.2(a) PC;1203.3 P;1203.4 PC;1203.9 (a) PC
1203.9 (b) PC;1203.10 PC;1203.12 PC;1389.6 PC;3075 PC to 3076 PC
11180 PC and 11181 PC

Revised 9/01

**CHALLENGE GRANT II SUBCONTRACTOR
AGREEMENT FOR SERVICES OF INDEPENDENT CONTRACTOR**

This Agreement (hereafter Agreement) is made by and between the County of Santa Barbara, a political subdivision of the State of California (hereafter COUNTY) and **The Regents of the University of California, Santa Barbara campus**, having its principal place of business at Santa Barbara, CA (hereafter CONTRACTOR) wherein CONTRACTOR agrees to provide and COUNTY agrees to accept the services specified herein.

NOW, THEREFORE, in consideration of the mutual covenants and conditions contained herein, the parties agree as follows:

1. **DESIGNATED REPRESENTATIVE.** Martin O. Conoley, Probation Manager (805-692-4851) is the representative of COUNTY and will administer this Agreement for and on behalf of COUNTY. Nancy R. Lewis (805-893-4034) is the authorized representative for CONTRACTOR. Changes in designated representatives shall be made only after advance written notice to the other party.

2. **NOTICES.** Any notice or consent required or permitted to be given under this Agreement shall be given to the respective parties in writing, by first class mail, postage prepaid, or otherwise delivered as follows:

To COUNTY: Santa Barbara County Probation Dept.
 4500 Hollister Ave.
 Santa Barbara, CA 93110-1799
 Attention: Martin O. Conoley

To CONTRACTOR: Nancy R. Lewis
 Sponsored Projects Officer
 Room 3227, Cheadle Hall
 University of California
 Santa Barbara, CA 93106

or at such other address or to such other person that the parties may from time to time designate. Notices and consents under this section, which are sent by mail and facsimile to 805-893-2611 shall be deemed to be received five (5) days following their deposit in the U.S. mail.

3. **SCOPE OF SERVICES.** CONTRACTOR agrees to provide services to COUNTY in accordance with Exhibit A attached hereto and incorporated herein by reference.

4. **TERM.** *This contract shall include services performed July 1, 2002 to December 31, 2002 in accordance with the County Purchasing contract (#8350799).* CONTRACTOR shall commence *Grant Reimbursed services in accordance with this County Board Contract* for the period January 1, 2003 and end performance upon completion, but no later than September 30, 2003 unless otherwise directed by COUNTY or unless earlier terminated.

5. **COMPENSATION OF CONTRACTOR.** CONTRACTOR shall be paid for performance under this Agreement in accordance with the terms of Exhibit B attached hereto and incorporated herein by reference. Billing shall be made by invoice, which shall include the contract number assigned by COUNTY and which is delivered to the address given in Section 2 **NOTICES** above following

completion of the increments identified on Exhibit B. Unless otherwise specified on Exhibit B, payment shall be net thirty (30) days from presentation of invoice.

6. **INDEPENDENT CONTRACTOR.** CONTRACTOR shall perform all of its services under this Agreement as an independent contractor and not as an employee of COUNTY. CONTRACTOR understands and acknowledges that it shall not be entitled to any of the benefits of a COUNTY employee, including but not limited to vacation, sick leave, administrative leave, health insurance, disability insurance, retirement, unemployment insurance, workers' compensation and protection of tenure.

7. **STANDARD OF PERFORMANCE.** CONTRACTOR represents that it has the skills, expertise, and licenses/permits necessary to perform the services required under this Agreement. Accordingly, CONTRACTOR shall perform all such services in the manner and according to the standards observed by a competent practitioner of the same profession in which CONTRACTOR is engaged. All products of whatsoever nature which CONTRACTOR delivers to COUNTY pursuant to this Agreement shall be prepared in a first class and workmanlike manner and shall conform to the standards of quality normally observed by a person practicing in CONTRACTOR's profession. Permits and/or licenses, if required, shall be obtained and maintained by CONTRACTOR without additional compensation.

8. **TAXES.** COUNTY shall not be responsible for paying any taxes on CONTRACTOR's behalf, and should COUNTY be required to do so by state, federal, or local taxing agencies, CONTRACTOR agrees to promptly reimburse COUNTY for the full value of such paid taxes plus interest and penalty assessed by the taxing authority. These taxes shall include, but not be limited to, the following: FICA (Social Security), unemployment insurance contributions, income tax, disability insurance, and workers' compensation insurance.

9. **CONFLICT OF INTEREST.** CONTRACTOR covenants that CONTRACTOR's Principal Investigator presently has no financial interest and shall not acquire any financial interest, direct or indirect, which would conflict in any manner or degree with the performance of services required to be performed under this Agreement. CONTRACTOR further covenants that in the performance of this Agreement, no person having any such financial interest shall be employed by CONTRACTOR to work on this project.

10. **RESPONSIBILITIES OF COUNTY.** COUNTY shall provide all information reasonably necessary by CONTRACTOR in performing the services provided herein.

11. **OWNERSHIP OF DOCUMENTS.** CONTRACTOR retains all rights in data developed or collected under this Agreement and may establish claim to copyright in all publications, reports, and other documents produced from data developed under this Agreement, except as indicated in the following paragraph.

COUNTY shall be the owner of all documents, reports, and other items required to be delivered under this Agreement. COUNTY shall have a world-wide, royalty-free right to use all CONTRACTOR-owned data, publications, reports, and other documents which are developed by CONTRACTOR under this Agreement.

During the term of this Agreement, CONTRACTOR shall provide to COUNTY, 30 days in advance, a copy of any public dissemination for COUNTY's review and comment. All publications, reports, and other documents will maintain confidentiality of client records as outlined in Exhibit A.

12. **RECORDS, AUDIT, AND REVIEW.** CONTRACTOR shall keep such business records pursuant to this Agreement as would be kept by a reasonably prudent practitioner of

CONTRACTOR's profession and shall maintain such records for at least four (4) years following the termination of this Agreement. All accounting records shall be kept in accordance with generally accepted accounting practices. COUNTY shall have the right to audit and review all such documents and records upon reasonable notice during CONTRACTOR's regular business hours.

13. **INDEMNIFICATION AND INSURANCE.** CONTRACTOR shall defend, indemnify, and hold COUNTY, its officers, employees, and agents harmless from and against any and all liability, loss, expense (including reasonable attorney's fees), or claims for injury or damages arising out of the performance of this Agreement but only in proportion to and to the extent such liability, loss, expense, attorney's fees, or claims for injury or damages are caused by or result from the negligent or intentional acts or omissions of CONTRACTOR, its officers, agents, or employees.

CONTRACTOR shall agree to procure and maintain insurance or similar program of self insurance in accordance with the provisions of Exhibit C attached hereto and incorporated herein by reference.

14. **NONDISCRIMINATION.** COUNTY hereby notifies CONTRACTOR that COUNTY's Unlawful Discrimination Ordinance (Article XIII of Chapter 2 of the Santa Barbara County Code) applies to this Agreement and is incorporated herein by this reference with the same force and effect as if the ordinance were specifically set out herein and CONTRACTOR agrees to comply with said ordinance.

15. **NONEXCLUSIVE AGREEMENT.** CONTRACTOR understands that this is not an exclusive Agreement and that COUNTY shall have the right to negotiate with and enter into contracts with others providing the same or similar services as those provided by CONTRACTOR as the COUNTY desires.

16. **ASSIGNMENT.** CONTRACTOR shall not assign any of its rights nor transfer any of its obligations under this Agreement without the prior written consent of COUNTY and any attempt to so assign or so transfer without such consent shall be void and without legal effect and shall constitute grounds for termination.

17. **TERMINATION.**

A. **By COUNTY.** COUNTY may, by written notice to CONTRACTOR, terminate this Agreement in whole or in part at any time, whether for COUNTY's convenience or because of the failure of CONTRACTOR to fulfill the obligations herein. Upon receipt of notice, CONTRACTOR shall immediately discontinue all services effected (unless the notice directs otherwise), and deliver to COUNTY all data, estimates, graphs, summaries, reports, and all other records, documents or papers as may have been accumulated or produced by CONTRACTOR in performing this Agreement, whether completed or in process, to the extent that such items would have been provided to COUNTY had the Agreement not been so terminated.

1. For Convenience. Either party may terminate this Agreement upon thirty (30) days written notice. Following notice of such termination, CONTRACTOR shall promptly cease work and notify COUNTY as to the status of its performance.

Notwithstanding any other payment provision of this Agreement, COUNTY shall pay CONTRACTOR for service performed to the date of termination to include actual direct and indirect costs and non cancelable commitments less payments, if any, previously made. In no event shall CONTRACTOR be paid an amount in excess of the full price under this Agreement nor for profit on unperformed portions of service. CONTRACTOR shall furnish to COUNTY such financial information as

in the judgment of COUNTY is necessary to determine the reasonable value of the services rendered by CONTRACTOR. In the event of a dispute as to the reasonable value of the services rendered by CONTRACTOR, the decision of COUNTY shall be final. The foregoing is cumulative and shall not effect any right or remedy which COUNTY may have in law or equity.

2. For Cause. Should CONTRACTOR default in the performance of this Agreement or materially breach any of its provisions, COUNTY may, at COUNTY's sole option, terminate this Agreement by thirty (30) days written notice by certified mail, which shall be effective upon receipt by CONTRACTOR.

B. By CONTRACTOR. Should COUNTY fail to pay CONTRACTOR all or any part of the payment set forth in Exhibit B, CONTRACTOR may, at CONTRACTOR's option terminate this agreement if such failure is not remedied by COUNTY within thirty (30) days of written notice to COUNTY of such late payment.

18. SECTION HEADINGS. The headings of the several sections, and any table of contents appended hereto, shall be solely for convenience of reference and shall not affect the meaning, construction or effect hereof.

19. SEVERABILITY. If any one or more of the provisions contained herein shall for any reason be held to be invalid, illegal or unenforceable in any respect, then such provision or provisions shall be deemed severable from the remaining provisions hereof, and such invalidity, illegality or unenforceability shall not affect any other provision hereof, and this Agreement shall be construed as if such invalid, illegal or unenforceable provision had never been contained herein.

20. REMEDIES NOT EXCLUSIVE. No remedy herein conferred upon or reserved to COUNTY is intended to be exclusive of any other remedy or remedies, and each and every such remedy, to the extent permitted by law, shall be cumulative and in addition to any other remedy given hereunder or now or hereafter existing at law or in equity or otherwise.

21. TIME IS OF THE ESSENCE. Time is of the essence in this Agreement and each covenant and term is a condition herein.

22. NO WAIVER OF DEFAULT. No delay or omission of COUNTY to exercise any right or power arising upon the occurrence of any event of default shall impair any such right or power or shall be construed to be a waiver of any such default or an acquiescence therein; and every power and remedy given by this Agreement to COUNTY shall be exercised from time to time and as often as may be deemed expedient in the sole discretion of COUNTY.

23. ENTIRE AGREEMENT AND AMENDMENT. In conjunction with the matters considered herein, this Agreement contains the entire understanding and agreement of the parties and there have been no promises, representations, agreements, warranties or undertakings by any of the parties, either oral or written, of any character or nature hereafter binding except as set forth herein. This Agreement may be altered, amended or modified only by an instrument in writing, executed by the parties to this Agreement and by no other means. Each party waives their future right to claim, contest or assert that this Agreement was modified, canceled, superseded, or changed by any oral agreements, course of conduct, waiver or estoppel.

24. **SUCCESSORS AND ASSIGNS.** All representations, covenants and warranties set forth in this Agreement, by or on behalf of, or for the benefit of any or all of the parties hereto, shall be binding upon and inure to the benefit of such party, its successors and assigns.

25. **COMPLIANCE WITH LAW.** CONTRACTOR shall, at his sole cost and expense, comply with all County, State and Federal ordinances and statutes now in force or which may hereafter be in force with regard to this Agreement. The judgment of any court of competent jurisdiction, or the admission of CONTRACTOR in any action or proceeding against CONTRACTOR, whether COUNTY be a party thereto or not, that CONTRACTOR has violated any such ordinance or statute in the performance of this agreement, shall be conclusive of that fact as between CONTRACTOR and COUNTY.

26. **CALIFORNIA LAW.** This Agreement shall be governed by the laws of the State of California. Any litigation regarding this Agreement or its contents shall be filed in the County of Santa Barbara, if in state court, or in the federal district court nearest to Santa Barbara County, if in federal court.

27. **EXECUTION OF COUNTERPARTS.** This Agreement may be executed in any number of counterparts and each of such counterparts shall for all purposes be deemed to be an original; and all such counterparts, or as many of them as the parties shall preserve undestroyed, shall together constitute one and the same instrument.

28. **AUTHORITY.** All parties to this Agreement warrant and represent that they have the power and authority to enter into this Agreement in the names, titles and capacities herein stated and on behalf of any entities, persons, or firms represented or purported to be represented by such entity(ies), person(s), or firm(s) and that all formal requirements necessary or required by any state and/or federal law in order to enter into this Agreement have been fully complied with. Furthermore, by entering into this Agreement, CONTRACTOR hereby warrants that it shall not have breached the terms or conditions of any other contract or agreement to which CONTRACTOR is obligated, which breach would have a material effect hereon.

29. **PRECEDENCE.** In the event of conflict between the provisions contained in the numbered sections of this Agreement and the provisions contained in the Exhibits, the provisions of the Exhibits shall prevail over those in the numbered sections.

Agreement for Services of Independent Contractor between the **County of Santa Barbara** and **UCSB**.

IN WITNESS WHEREOF, the parties have executed this Agreement to be effective on the date executed by COUNTY.

COUNTY OF SANTA BARBARA

By: _____
Chair, Board of Supervisors

Date: _____

ATTEST:
MICHAEL F. BROWN
CLERK OF THE BOARD

CONTRACTOR

By: _____
Deputy

By: _____
SocSec or Tax ID Number: _____

APPROVED AS TO FORM:
STEPHEN SHANE STARK

APPROVED AS TO ACCOUNTING FORM:
AUDITOR-CONTROLLER

By: _____
Deputy County Counsel

By: _____
Deputy

APPROVED AS TO FORM:
RISK MANAGER

By: _____
Risk Manager

**EXHIBIT A
STATEMENT OF WORK**

1. The CONTRACTOR shall provide the following services and staffing;

**University of California, Santa Barbara
Challenge II Grant Project Evaluation Work Statement**

UCSB Research and Evaluation Team

**Year 4+ Work Statement
July 1, 2002 - September 30, 2003
(Revised Version 6.10.2002)**

Principal Investigators:

Shane R. Jimerson, Ph.D., Professor, Graduate School of Education
Michael J. Furlong, Ph.D., Professor, Graduate School of Education
J. Manuel Casas, Ph.D., Professor, Graduate School of Education
Phone: 893.3366 Fax: 893.7264; e-mail: jimerson@education.ucsb.edu

Research and Evaluation Contract with:

Santa Barbara County Probation Department
Susan Gionfriddo, Chief Probation Officer
Scott Deupree, Deputy Chief Probation Officer
Martin Conoley, Probation Project Manager
Challenge II Grant - NEW VISTAS
4500 Hollister Avenue
Santa Barbara, CA 93101
Phone: 692-4851

Research and Evaluation Budget:

Year 4+ (15 months): \$129,821; July 1, 2002 through September 30, 2003

Executive Summary

This document provides an overview of the UCSB Research and Evaluation activities with the NEW VISTAS project coordinated by the Santa Barbara County Probation Department. The activities described below are to continue from July 1, 2002 until September 30, 2003. This is year four of a collaborative effort established in 1999. It has been understood that the NEW VISTAS program would continue through June 2003, and a final report is due on October 1, 2003. Recent budget cuts in California require a reduced scope of work to address the program goals. The final research and evaluation report is due on October 1, 2003.

The central aim of the UCSB Research and Evaluation team is to examine the efficacy of the NEW VISTAS project as delineated by the stated goals of the program. These include goals within the targeted neighborhood, families, and youth (listed on page 5). The efforts of the UCSB Research and Evaluation team will provide important information regarding the efficacy of the NEW VISTAS project to the Santa Barbara County Probation Department, the California Board of Corrections, the California Legislature, and professionals working with at-risk youth and families across the country.

The quintessential activities of the UCSB Research and Evaluation team remain the same, however, the scope of the work and staff are to be reduced (e.g., from a 16 person team staff to 6 persons at 25%). The primary activities will include; 1) providing data packets, 2) processing returned data forms, 3) data management of electronic data and processed data, 4) analyses of data, and 5) reporting of results. The data collection schedule has been Intake, Exit, Follow-up 1 (6 months), Follow-up 2 (12 months), and Follow-up 3 (18 months) as delineated in Exhibit B of the Board of Corrections "Challenge Grant II, Program Evaluation Survey." With the reduced scope of work, it is proposed that data collection procedures continue with those youth currently participating in NEW VISTAS. This will include Exit and Follow-up data on participants in the Local Evaluation Measures group.

While the LEM intake data may be valuable for treatment planning, it appears the core sample is established and only the BOC data is required on all participants at this time. Given the reduced resources, the ongoing literature review will cease and we will focus on incorporating this literature into an appropriate format to be included in the final report. Also, due to limited resources, the Community Policing Questionnaire neighborhood survey that has been completed in the targeted neighborhood during each of the past three years will also be omitted. Funding will be used to staff the necessary data collection, data processing, data management, data analyses, and reporting for the NEW VISTAS project.

The proposed activities are those necessary to complete the evaluation of the NEW VISTAS project, examining the efficacy of the project in meeting the established goals.

Introduction and Overview

The Challenge II Grant proposal developed by Santa Barbara County Probation Department was submitted to the State of California Board of Corrections in April, 1999. Drs. Shane R. Jimerson, Michael J. Furlong, and J. Manuel Casas consulted with the Santa Barbara County Probation staff (Assistant Deputy Director, Michael Thompson and Frank Scozzari) on the original development of the proposal. Santa Barbara County Probation Department received notification that the project would be funded in May, 1999. Under the direction of Project Manager Martin Conoley, the Santa Barbara County, NEW VISTAS (Neighborhood Enrichment With Vision Involving Services, Treatment, and Supervision) has been implemented during the past three years, beginning in the Fall of 1999 (Deputy Chief of Probation Scott Deupree joined the NEW VISTAS administration in the summer of 2001).

Beginning in May, 1999, the Santa Barbara County Probation staff and the UCSB researchers met to discuss the implementation of the research and evaluation activities. Additional meetings with Santa Barbara County Probation staff and Drs. Jimerson, Furlong, and Casas resulted in the formalizing the research and evaluation subcontract included in the grant proposal and led to the development of work

statement proposals to carry out the Year 1 through Year 3 evaluation activities. Midway through year two of the project, the California Board of Corrections indicated there would be a fourth year of the challenge II programs and the Santa Barbara County Juvenile Probation Department indicated that the research and evaluation component was to continue three months beyond the end of the fourth year in order to complete the final report by October of 2003.

NEW VISTAS in Brief

The NEW VISTAS program implements a family-focused, neighborhood-based supervision model to provide services to criminally involved families with identified substance abuse problems living in two adjacent targeted neighborhoods in the City of Santa Barbara (this target area was expanded to the city of Santa Barbara in the Fall of 2001). Through using a collaborative service delivery and supervision model, NEW VISTAS addresses five priorities of the Santa Barbara County Juvenile Justice System. Specifically, NEW VISTAS (1) maximizes existing resources; (2) implements a carefully planned drug and alcohol treatment program with a family-focused system of care; (3) has been developing a gender appropriate assets and risks assessment and programming across the juvenile justice continuum; (4) examined the efficacy of neighborhood outreach services and neighborhood-focused restorative justice programs; and (5) maximized the use of local out-of-home placements with a lower Rate Classification Level (RCL) than out-of-county placements. The general hypothesis of the NEW VISTAS project is that a family-focused, neighborhood-based supervision model will reduce juvenile crime rates. NEW VISTAS will implement a comprehensive service model that is composed of five critical service needs for families with substance abuse problems. A brief description of the essential service needs for these specific families is provided below.

Family and Neighborhood-Based Supervision

An interagency, co-located team approach to providing supervision, case planning, and case management services to targeted families is utilized in NEW VISTAS. Key elements of this particular service program include: (a) gateway agencies through which client families will enter the project following alcohol and drug screening assessments; (b) neighborhood supervision teams comprised of gateway agency staff to develop case plans for the client families linking them to appropriate services and monitoring their progress; (c) team leaders who are responsible for the final case plan, brokering of services, and supervision of the family; (d) family coaches who will provide case management and client tracking and provide support (e.g., home visits, transportation, and "coaching") to the family in an effort to meet the goals of their case plan; (e) alcohol, drug, and mental health treatment planners (i.e., licensed clinicians) will conduct in-depth family assessments of substance abuse and dual diagnosis issues, work with supervision team members to develop a treatment plan, and provide case reviews.

Drug and Alcohol Treatment Services

To provide the fundamental needs of a successful adolescent treatment program, NEW VISTAS includes: a structured setting with multiple options that provide youth with choices, appropriate staff and client matching, lasting relationships with positive peer and adult role models, respect for cultural strengths and barriers, therapeutic recreation and skill-based programming (academic, social and living skills), and the involvement of the entire family in the treatment process. Treatment plans include treatment services for family members with substance abuse impairment, prevention services for younger siblings, and appropriate support to increase family cohesion, competency, and social support systems for all family members. Based on the degree of substance abuse impairment (i.e., moderate or severe), families are separated into two separate service tracks.

Support Services

A core network of support services is made available to all client families through linkage to existing services or through services contracted specifically for these families. NEW VISTAS support services include: (a) school-based mentoring programs that match adult mentors with targeted youth at

junior high school campuses in their neighborhoods; (b) friendly PEERsuasion designed to dissuade girls aged 6-14 from using drugs and alcohol by having peer leaders who have completed a training program; (c) children are people, too, designed for children (and siblings) living in a family with a drug or alcohol abuser; (d) anger management counseling and education that provides individual and group counseling and education in anger management skills; (e) family mediation services designed to de-escalate family tensions and enhance family functioning by facilitating effective communication among family members; (f) parent education and support groups that provide a full-time parent educator who conduct culturally appropriate parent education seminars, support groups, and in-home parent support services; (f) teaching responsibility and independence by education designed to provide academic and social learning for at-risk teens and includes tutoring, structured learning activities, and recreational activities; (g) after school activities that provide resources for each family to cover the cost of membership fees, sports uniforms or equipment, tickets to cultural events, ... etc.; (h) linkage to existing services which links families with other existing services in the community (e.g., community-based mentoring, academic support services, ESL classes, job training and employment services, health care, and child care).

Gender Appropriate Services

Target female participants of the NEW VISTAS project receive: (a) life skills training which includes a curriculum of 96 activities to address the realities of adolescent development (health, parenting, skill development, decision making, refusal skills, risk and protection, violence and personal safety, career and life planning, leadership and community action) from a gender equity perspective (also, young women may be matched with community mentors); (b) therapeutic recreational and cultural activities that will expose female offenders to an after school program to engage the participants and help keep them off the streets and away from alcohol, drugs, and violent behavior offering them constructive alternatives to release their anger and express their emotions; (c) health care services provide females with necessary assistance with many gender specific health issues; (d) service linkages provided with at least one of four family coaches being a woman and establish linkages with existing female-specific services; (e) local out-of-home placements that provide foster families in or near the target neighborhoods to provide foster care beds for females participating in demonstration projects, which allow these females to remain in the county and receive services.

Neighborhood Enhancement Programs

Efforts to introduce the project and obtain community buy-in have occurred through community information and mobilization meetings with neighborhood groups, service agencies, and residents in the targeted neighborhoods. In addition, there has been collaboration with the police department to enhance community policing and problem solving efforts and hold neighborhood meetings to obtain residents' feedback. An ongoing component of this project is to establish a neighborhood-focused restorative justice program, which gives victims an opportunity to regain control of their lives, get their questions answered and receive just restitution for their losses. Young offenders are offered a chance to see the human consequences of their crime, work to make things right with the victim and the community, and regain a sense of dignity and self-respect.

Specific goals of the NEW VISTAS program are listed in the following section. Program goals provide the core of the research and evaluation questions to be addressed. The development of semi-annual progress reports and annual evaluation reports will focus on these specific outcomes. NEW VISTAS projects will produce distinct outcomes at three different levels: (1) within the targeted neighborhoods, (2) among the targeted families, and (3) at the systems level.

Challenge II - NEW VISTAS Program Goals

Within the targeted neighborhoods, the project goals are:

1. To reduce juvenile crime in the targeted neighborhoods.

2. To reduce adult crime in the targeted neighborhoods.
3. To decrease alcohol and drug-related offenses among juveniles in the targeted neighborhoods.
4. To increase neighborhood residents' sense of safety and public protection.
5. To increase residents' satisfaction with law enforcement in the targeted neighborhoods.

Within the targeted families, the project goals are:

1. To increase levels of family functioning among the targeted families.
2. To decrease alcohol and drug use among targeted families.
3. To increase the rate of successful completion of probation, restitution and court-ordered community service among targeted juvenile offenders in the targeted families.
4. To decrease the rate of out-of-home placements among juvenile offenders in the targeted families.
5. To decrease the rate of recidivism (new criminal offenses) among juvenile offenders in the targeted families.
6. To prevent the initiation of criminal activity (new criminal offenses) among non-probation juveniles in the targeted families.
7. To decrease the percentage of juveniles among the targeted families under the jurisdiction of Child Protective Services (300 WIC) who subsequently enter the Juvenile Justice system.

Within the local Juvenile Justice System, the project goals are:

1. To increase collaboration among private and public agencies.
2. To increase the accountability of service delivery.
3. To implement a standardized alcohol and drug assessment tool for all agencies.
4. To develop an assessment tool for identifying levels of criminal risks and needs for female offenders.

The activities undertaken by the UCSB Research and Evaluation Team are assisting the Santa Barbara County Juvenile Probation staff to gather appropriate data to examine these objectives. The UCSB Research and Evaluation Team have been actively involved in the development of data collection procedures and data processing. We have developed and maintained all databases required to carefully track these data for all program participants. Towards this end, we utilize a Filemaker Pro database to track all data collection, designed and produced Teleform data collection forms, and processed and incorporated other data into SPSS statistical files. The data has been used to provide periodic data summaries to inform and enhance project planning and monitoring, and provided required information on a semiannual basis to the State of California Board of Corrections. Semi-annual reports have been provided for the time periods as set by the Board of Corrections projected to be July 1, 1999 through

December 30, 1999; January 1, 2000 through June 30, 2000; July 1, 2000 through December 31, 2000, January 1, 2001 through June 30, 2001; July 1, 2001 through December 31, 2001, January 1, 2002 through June 30, 2002. Semi-annual evaluation reports were produced and distributed February 1, 2000, August 1, 2000, February 1, 2001, August 1, 2001, February 1, 2002. Two semi-annual reports and a Final Report will be provided during the upcoming final year (September 15, 2002; February 15, 2003; and August 15, 2003). The draft of the Final Report will be provided to the SB County Probation and the Board of Corrections for review on August 15, 2003. Feedback from both the SB County Probation and Board of Corrections must be received by September 1, 2003 to complete the necessary revisions, printing, and distribution of the final report by October 1, 2003.

During the past three years, the UCSB Evaluation Team has regularly participated in NEW VISTAS meetings and activities in order to facilitate communication with Probation staff. E-mail communication has been available and is encouraged as the primary mode of transmitting information and requests.

An overview of the Challenge II Grant components and the research and evaluation activities associated with each of them is presented below.

Research Design and Evaluation

The Santa Barbara County Challenge II - NEW VISTAS Project focuses primarily on the reduction of law offenses and substance use behaviors among high-risk families. This is based on the assumption that family relations have a strong influence on the youth's behavior. Furthermore, the Office of Juvenile Justice and Delinquency Prevention (OJJDP), in its 1993 Comprehensive Strategy, recommends designing intervention and prevention programs that will counteract family-based risk factors, such as parental conflict, child abuse, and family history of problem behavior. Accordingly, Santa Barbara County's strategy is to provide an intensive, family-focused intervention program for those families who present a high-risk profile for substance abuse. The outcomes of this study, however, will focus only on the impact of the intervention on youths within those families. NEW VISTAS identifies high-risk families as those that are seriously affected by substance abusing behavior of family members who fall into the following categories: In-home caretaker, juvenile, or (in a few instances) both. Once the families are identified, an array of critical services is provided to the family members.

The evaluation database includes data on the target youth within each family unit. In most instances this is the youth family member who has come into contact with Santa Barbara County Juvenile Probation Department and substance use/abuse has been noted as an issue in their probation requirements. In this context, all basic Board of Direction Core data are stored for this particular individual youth. In addition, all local supplemental data are stored in the same database for the same youth. Youths are systematically tracked throughout the course of the study. It is important to note that the collection of family profile data is summarized for these same youths into the same database. For example, we collect a family climate/ functioning measure (the FACES II instrument). The data for the target youth and an adult caretaker are stored in the same unit (row) of the database for the target youth. In this way, family context information will be used as a covariate in analyses to help understand how improvement of family functioning is associated with hypothesized positive outcomes.

The evaluation of the Santa Barbara County Challenge II - NEW VISTAS Project will use three fundamental strategies to examine positive outcomes associated with participation: (1) intervention's effect on targeted neighborhoods, (2) intervention's effects on youths within the targeted families, and (3) the use of a historical comparison group.

Furthermore, the evaluation protocol has been continually reviewed prior to program implementation by a Research Advisory Panel, which has been convened to ensure that all methods are family-friendly and reflect high standards of cultural competence. This is particularly critical to this study because of its neighborhood-focused emphasis. We recruited community agencies reflective of and responsive to the community's ethnic diversity to review evaluation procedures to improve their cultural

competence, and to even participate in the process of conducting neighborhood crime victimization surveys. This panel consists of researchers, independent representatives from the public and private sectors, as well as community members. It considers the racial-ethnic diversity of the target neighborhoods.

This evaluation summary describes this study's hypotheses, outcome variables, assessment tools, the scores/scales to be used, and the type of analyses that are planned. Following is a brief narrative of this general evaluation design that has been implemented during the past three years.

Intervention's Effect on the Targeted Neighborhood

One of the primary global outcomes desired by this study is to determine if providing intensive, family-focused intervention for families experiencing the dual effects of law offenses and substance abuse is associated with an overall reduction in neighborhood crime. This proposition is well founded in research showing that many crimes have a substance use association and that successful interventions with high-risk families may reduce criminal offenses among a group of individuals who are likely to commit a proportionately large number of crimes in a neighborhood. Our strategy will be to collect law offense data from multiple sources (Santa Barbara Police database and the Santa Barbara County Probation mainframe computer). We intend to collect these data for counts of all offenses and substance-related offenses on a monthly basis. In addition, offenses will be expressed as rates per 100 for the specific census tracts within the study's neighborhood boundaries. These data will be adjusted for population estimates within these census tracts (the entire population for all crime and for the 11-17 age population for juvenile crime).

Time-series analyses. To examine the outcome of the program on neighborhood crime indicators, it is proposed to gather historical trends and compare them to neighborhood indicators after program implementation. All required statutory indicators will be collected which include: rate of juvenile arrests, rate of successful probation completion, rate of successful completion of restitution, and rate of completion of court-ordered community service responsibilities. In addition, rates of juvenile arrests by category will also be maintained. These indices will be collected for the 60 months immediately preceding and 36 months after program implementation. The rationale behind this evaluation strategy is that by gathering sufficient information on neighborhood crime indicators it will be possible to model the general incidence (level) and patterns (trend) of crime in the neighborhood. If sufficient observations are made, it is then possible to obtain a meaningful, accurate baseline for a given neighborhood. Given a stable baseline, it is then possible to look for changes occurring after some important event, such as implementing the Challenge II Grant.

Santa Barbara County Juvenile Probation already has the capacity to produce all of the core data required as part of the Challenge I grant evaluation process. Programs have been written to obtain on demand detailed juvenile justice summary variables for any specified time period. In this study, for example, we now have the capacity to obtain these data for any time period prior to the initiation of services, at exit from services, and for any subsequent follow-up period.

For any new variables to be added to the BOC core dataset, the existing program will be modified. In those instances when the desired variables do not currently reside in the County database, we plan to design machine-readable forms that can be easily completed by project staff.

Using the neighborhood-level defense data, we will conduct a set of interrupted time-series analyses to evaluate any changes in the level and/or trend in the mandated juvenile crime indicators associated with program implementation. These correlational analyses certainly do not provide the foundation for making "causal" statements about the overall effect of the continuum of service program, but strong patterns provide substantial information with which to make inferential statements about program impact.

Crime Victimization Reports. Although the use of carefully collected arrest and juvenile contact data will provide valuable insight to the benefits of the proposed study, we also want to expand our understanding of the project's outcomes by simultaneously collecting neighborhood victimization data. This is exactly the same strategy that has been used nationally since the early 1970s. Since that time, the federal government has annually administered the National Crime Victimization Survey

(NCVS) to a representative sample of the US population. These data have been extremely important in understanding the level of crime victimization reported and have helped to contextualize contemporaneous data that has shown huge increases in arrests and convictions. These NCVS studies have shown that self-reported crime victimization has not increased markedly. Although we do not have comparable historical NCVS data for this study's neighborhood, we believe that collecting such data will provide a valuable source of alternative data to evaluate the family-focused intervention's influences on neighborhood crime. The NCVS is a rather lengthy questionnaire written in an interview format. Consequently, it is our plan to carefully modify the NCVS using items of high interest and relevance to this project (e.g., we will definitely include items that focus on substance-related offenses). Although no community NCVS data are available for comparisons, we will obtain historical data for the past 10 years from the US Office of Justice, at minimum for the state of California. These same data will be obtained, whenever possible, for the time period of the study's implementation. Local modified Crime Victimization surveys will be conducted on a representative sample of neighborhood members at the beginning of the study and the end of Year 1, Year 2, and Year 3. We will collaborate with Santa Barbara County probation staff and staff of community organizations to determine which information would be most useful and the best way to gather this information. We will generate an instrument which will be both effective and efficient. Additionally, it is proposed that GIS software will be utilized to map crime data within the neighborhood over time. This mapping system will complement the crime victimization reports by enabling us to examine where adult and juvenile offenders live.

Intervention's Effect on Youths within Targeted Families

As mentioned, the database for this study will use the targeted youth family member as the unit (row in the database) of analysis. All individual youth and family variables will therefore be associated with each youth's individual variables. The data collection strategy is described below. However, it is important to recognize that this strategy also will allow us to examine outcomes across family units. Family outcomes, such as total number of CPS referrals during specific time periods, will be included in the database, using the target youth as the means to store these data. The advantage of this approach is that it will allow us to simultaneously examine how family context variables and outcomes are associated with individual youth outcomes, which is the focus of this grant initiative. Relatedly, this strategy will allow us to better understand the relationship between risk and developmental asset indicators and responsiveness to the intervention.

Within Subjects Repeated Measure Design. As mentioned previously, the ultimate test of the success of the proposed continuum of services is a reduction in juvenile crime incidence. However, additional evidence for the effectiveness of the program can be obtained by evaluating impacts of program participation on each youth and their family. It is recognized that a randomized control group design can eliminate many internal validity threats in a study. Nonetheless, in circumstances when randomization is not feasible for programmatic and ethical reasons, within-subjects designs are often used, as has been done in previous juvenile justice research. Two key additional methodological features are required to increase the internal validity of this proposed design:

First, participants must be measured at multiple points in time so that they can, in essence, "act as their own controls." This will be accomplished in this study by taking all outcome measures at the following intervals: (1) at point of entry into the program; (2) at exit from the program; and (3) at 6 months after program completion.

Based on our on-going experience with program implementation, we have engaged in the following:

- 1) Collection of BOC core data for all participating target youths within participating families.

3) An intensive within-subject, repeated measure design on a randomly selected sample of 130 families, to account for attrition, resulting in a projected minimum sample size of 100 families for which we would have complete data.

4) Demographic information has been collected for all families who participate in the project at any time to evaluate how the target 100 participants compare with the other participating families. Again, our experience has taught us that it is better to collect archival data for all families and youths and detailed data for a core subsample of families. Our intent is to use all available evaluation resources to exhaustively follow these families and to do whatever is necessary to obtain 100% of all data from them. This will provide us with greater confidence of the data's quality and actually increase the power of the study (see Ethnographic Study). It is for this target sample of 100 families and their target youths that the proposed FACES measure and detailed substance use questionnaires (adapted from the California Healthy Kids Survey, which will also provide statewide contemporaneous data and local community data because this survey is administered in junior high schools and the high schools serving the participating community) will be used. The target sample will also include data from the following sources: Addiction Severity Index (for the substance abusing caretaker and/or youth) and the California Healthy Kids Survey's Resilience module.

Historical Comparisons Groups. Whenever possible, it is desirable to obtain information about a relevant comparison group. We use the term "comparison" because we do not mean by this to imply that it is a control group. However, given the logistical constraints of this proposed study, it has been possible to use archival data to gather information about a group of youths similar to those in the current study. To build this comparison group, we have been compiling the characteristics of all youths who entered the Santa Barbara County Juvenile Probation system during the 1994-1998 time period and are not on active probation. We continue to select youth who resided within the community's boundaries at the time of their involvement with the juvenile probation and who had drug or alcohol testing as a condition of their probation. We randomly select a comparison group from this pool of subjects using matching criteria of gender, ethnicity, and severity of offense, whenever possible. These data are limited to variables required as part of the Board of Corrections Evaluation Core Data.

Ethnographic Study. To complement the statistical data, we have conducted ongoing detailed interviews ten selected families that have participated in treatment services. Research on high-risk populations can greatly benefit from ethnographic studies that are culturally sensitive and appropriate. Through the use of ethnographic study we aim to better understand the lives of these youth and families.

Data Collection Procedures

Archival data are being gathered for those youths participating in the project and for a matched comparison group. In addition, new data are being gathered at set intervals. Specifically, collect information at the point of referral or entry into any program component, at the point of exit from that specific component, and then a six-month follow-up, twelve-month follow-up, and eighteen-month follow-up as available. Youths entering the continuum of service options during the final year of the program will not have follow-up data.

Description of Core Data Elements and Instruments Used in the Evaluation

The following instruments have been used in this study, based on their high reliability and strong links to previous outcome studies. They provide a range of information with which to evaluate multiple program impacts.

National Crime Victimization Survey (NCVS). To assess the simultaneous impact of Challenge II on neighborhood crime victimization, a modified version of the NCVS will be completed by a representative sample of the families living in the targeted neighborhoods. In consultation with probation staff, staff of community agencies, and neighborhood residents, the NCVS will be modified to provide the most efficient and effective measurement tool for gathering information on neighborhood crime. Given this study's emphasis on crime and its associations with substance use, the modified version of the NCVS will include items that specifically address this issue. In addition to items assessing perceptions of crime victimization in the targeted neighborhoods, items that measure sense of public safety and satisfaction with law enforcement agencies will also be included.

This survey has been administered annually (i.e., Year 1, Year 2, Year 3) to a representative sample within the targeted neighborhood. Baseline data will be established prior to the beginning of the intervention. Given the reduced funding in year 4, no additional NCVS will be gathered.

Family Adaptability and Cohesiveness Evaluation Scale II (FACES II). Efforts to improve family functioning are central for many of the services provided to the targeted families. The FACES measure will be used in the present study to assess key dimensions (i.e., cohesion, adaptability) of targeted families functioning. FACES II is a 30-item scale which consists of 16 cohesion items (e.g., "Family members feel very close to each other") and 14 adaptability items (e.g., "Our family tries new ways of dealing with problems"). High Reliability and clear evidence for validity of FACES has been demonstrated in numerous studies (see Olson, Portner, & Bell, 1989). Moreover, ease of administration and completion of FACES also have been noted in past studies. Adults and juveniles will complete FACES at intake, exit, and follow-up.

Parent-Adolescent Communication Scale. Family communication will be assessed via the Parent-Adolescent Communication scale (Barnes & Olson, 1982). This 20-item scale consists of two factors: open family communication (e.g., "I find it easy to discuss my problems with my mother") and problems in family communication (e.g., "I am sometimes afraid to ask my mother for what I want"). High reliability and evidence of validity have been shown for the Parent-Adolescent Communication scale. This measure is similar in ease of administration and completion as FACES II and will be administered to adults and juveniles at intake, exit, and follow-up.

California Healthy Kids Survey (CHKS). The CHKS is a comprehensive assessment of youth health and risk behavior. This measure integrates items from the Youth Risk Behavior Survey (YRBS) developed by the Federal Centers for Disease Control and Prevention and the California Substance Use Survey (CSS). Given this integration, comparability with the two major state-wide surveys on youth health-risk behavior is feasible. Both measures and now the CHKS have been widely administered in schools throughout the state. Using the CHKS with targeted youth in the present study allows for state-wide norm comparisons to be made.

The CHKS consists of several distinct modules and for purposes of the present study the alcohol and substance use module and the violence and school safety modules will be used. In addition, we will include assessments of sexual behavior and risk and protective factors also contained in the CHKS. The substance and alcohol module consists of 29 items that assess frequency of use (e.g., "During the past 30 days, how many days did you smoke cigarettes, have at least one drink of alcohol, use marijuana, etc.?") and perceptions of harm resulting from use (e.g., "How harmful do you think it is to use alcohol frequently?"). The violence and school safety module includes 14 items that measure frequency of violent and unsafe episodes (e.g., "someone threatened or injured you with a weapon such as a gun, knife, or club"), frequency of weapon carrying (e.g., gun, knife, club or bat), and perceptions of safety.

Assessment of sexual behavior includes 15 items that measure important aspects of sexual behavior such as age of first sexual encounter, frequency of sexual intercourse, condom use, and discussions with parents or other adults about sex. The Risk and Protective Factors module includes 80

items which assess the presence/absence of positive relations in the youth's life (with a peer, a parent, or other adults (teacher or outside home or school) (e.g., "In my home, there is a parent or some other adult who tells me when I do a good job" or "who is usually too busy to pay attention to me"), youth's perceptions of promotive aspects in themselves or other factors in their life (e.g., "I try to work out problems by talking about them"; "I do things at my school that make a difference").

The administration and completion of the CHKS is very easy. Youth will complete the selected modules of the CHKS at intake, exit, and follow-up.

Orange County Adapted Santa Barbara County Risk and Needs Assessment. To assess the presence of known risk factors associated with negative outcomes, the Santa Barbara County Risk and Needs assessment will be used. This 11-item measure assesses several different risk factors that may be present in the juvenile's life. Risk factors assessed via this measure include: prior criminal history, out-of-home placement or institutional commitment, drug/substance use, alcohol use, parental control/influence, school discipline/employment problems, learning/academic problems, runaway escape behaviors, and negative peer influence. For each item, possible scores reflect the severity of the presence of the risk factor with the more severe given a high risk classification and the absence of the risk factor or mild associated risk given a low risk classification. For example, three scores are possible for the item assessing the risk of drug/chemical dependency. A low risk classification score of zero is given if there is no known use or occasional use but no interference with functioning. A score of two is given if there is occasional excessive use but no immediate threat to health and safety and a score of five is assigned to those juveniles with dependency problems which contribute to criminal behavior and for some drug sales. An overall risk classification score is created by summing across the scores for the 11 individual items. Juveniles may be classified as Low Risk (score between 0 and 5), Medium Risk (score between 6 - 14), and High Risk (score of 15 or higher).

The Needs component of the Santa Barbara County Risk and Needs assessment will also be used to measure different levels of need in several important domains. The Needs component consists of 15 items. Three items are similar to those on the Risk assessment including drug/chemical abuse, alcohol abuse, parental control/influence. In addition, the Needs measure assesses family stability, family support, residential stability, school attendance, learning disabilities, academic achievement, english speaking, emotional stability, health, peer relationships, and recreation/hobbies. Scoring procedures are similar to those used for the Risk component described above and a total score, a needs classification, is created by summing across all items. Santa Barbara County Risk and Needs assessment is administered to youths at intake, exit, and follow-up.

Client Satisfaction Questionnaire (CSQ). To improve the program and gather information from participants concerning their perceptions of the services provided, a modified version of the CSQ will be used. The adult (caretaker) version of the CSQ consists of eight items with scores ranging from one to four. Participants report on the quality of the services received, the desirability of those services, the utility of services, whether they'd recommend the program to friends, satisfaction with amount of help provided by the program, the efficacy of the services, overall satisfaction with the services, and whether they would return to the program if given the chance. The youth version of the CSQ contains five items with scores ranging from one to three. Youth report on how much they liked the help they received, the desirability of the help, the amount of help (i.e., whether they needed more help than they received and whether they received too much assistance), and the efficacy of the help they received. The CSQ is administered at the exit from the program.

Past studies using the CSQ have shown its usefulness in providing information of participant satisfaction with services delivered which greatly enhances the development of future programs.

Addiction Severity Index (ASI). The ASI is a semi-structured interview designed to address seven potential problem areas in substance abusing patients: medical status, employment and support, drug use, alcohol use, legal status, family/ social status, and psychiatric status. This measure will be administered to targeted youth and/or his or her adult caretaker at time of entry into the program by a

trained counselor. The ASI provides two scores: severity ratings of the client's need for treatment, derived by the interviewer; composite scores are measures of problem severity during the prior 30 days and are calculated by a computerized scoring program. The ASI has shown to be a highly reliable and valid assessment tool for treatment planning (see McLellan, Kushner, Peters, Smith, Corse, & Alterman, 1992; McLellan, Luborsky, Cacciola, & Griffith, 1985).

Behavior Assessment System for Children (BASC). The BASC will be used to measure various aspects of adolescents' behavior and personality. In addition to evaluating personality and behavior problems, the BASC identifies positive attributes (e.g., self-esteem, self-reliance). Two versions of the BASC will be used; the Parent Rating Scale (PRS) and the Self-Report Personality (SRP). The PRS to be completed by parent (adult caretaker) is a comprehensive measure of an adolescent's adaptive and problem behaviors in community and home settings. The four scales of the PRS include Externalizing Problems (i.e., Aggression, Hyperactivity, Conduct Problems), Internalizing Problems (i.e., Anxiety, Depression, Somatization), School Problems (i.e., Attention Problems, Learning Problems), Other Behavior Problems (i.e., Atypicality, Withdrawal), and Adaptive Skills (i.e., Adaptability, Leadership, Social Skills, Study Skills).

Similar scales are assessed with the SRP which the adolescent completes thereby obtaining multi-informant information. The SRP is an omnibus personality inventory consisting of statements that are responded to as "True" or "False." The four scales on the SRP consist of: Clinical Maladjustment (i.e., Anxiety, Atypicality, Locus of Control, Social Stress, Somatization), School Maladjustment (Attitude to School, Attitude to Teachers, Sensation Seeking), Other Behavior Problems (i.e., Depression, Sense of Inadequacy), and Personal Adjustment (i.e., Relations with Parents, Interpersonal Relations, Self-Esteem, Self-Reliance)

The reliability and validity of the BASC have been widely demonstrated (see Kamphaus & Reynolds, 1994). The BASC is easy to administer and complete. Norms for the BASC are based on large representative samples and are differentiated according to age, gender, and clinical status. Parent (adult caregiver) and juvenile will complete the BASC at intake, exit, and follow-up.

Alabama Parenting Questionnaire. The Alabama Parenting Questionnaire (Shelton, Frick, & Wooten, 1996) assesses several different dimensions of parenting practices. For purposes of the present study, a modified version which includes the following three dimensions will be used: (1) positive parenting (6 items; e.g., "you reward or give something extra to your child for obeying you or obeying well"); (2) poor monitoring/supervision (10 items; e.g., "you don't check that your child comes home when he/she is supposed to); and (3) inconsistent discipline (6 items; e.g., "your child talks you out of being punished after he/she has done something wrong"). Reliability for the Alabama Parenting Questionnaire has been demonstrated in past research. Parents (adult caretaker) will complete this measure at intake, exit, and follow-up.

Parenting Stress Index (PSI). To assess possible stressful life events that families may have experienced, parents (adult caretakers) report the occurrence of 19 potential stressful events. Included are divorce, marital reconciliation, marriage, separation, pregnancy, other relative moved into the house, income increased or decreased substantially, went deeply into debt, moved, promotion at work, alcohol or drug problem, death of a friend, new job, new school, trouble at work, trouble with teachers at school, legal problems, death of immediate family member. These 19 items are completed by parent (adult caretaker) at intake, exit, and follow-up.

Assessment of Agency Collaboration. To assess collaboration among participating agencies in Challenge II, we will employ a modified version of the coalition survey used as part of the Santa Barbara County Community Partnership Project. We will evaluate changes in agency collaboration across time (i.e., measure will be administered end year 1, end year 2, end year 3).

Collection of the above measures occurs through the NEW VISTAS Probation Officers and Treatment Planners providing the data from participants, to the UCSB Research and Evaluation Team. With the reduced year 4 funding, it is to be understood that the UCSB Research and Evaluation Team will process all data received through the established routes, but will not be responsible additional data collection. Thus, the gathering of intake, exit, and follow-up data is contingent upon NEW VISTAS personnel through the Probation Office, not the UCSB Research and Evaluation Team.

Development of an Appropriate Measure

One goal of the NEW VISTAS project is to develop and implement a gender and culturally appropriate assessment of youths strengths and needs. The UCSB Research and Evaluation Team has developed and is currently piloting the Santa Barbara Assets and Risks Assessment (SB ARA), which is designed as a gender appropriate, culturally sensitive assessment designed to inform supervision and intervention service decisions for youth involved in the juvenile justice system.

The challenge faced in Santa Barbara County is one faced by juvenile justice programs across the state and throughout the nation – the need for appropriate identification of youth’s assets and risks for the allocation of supervision and intervention services, especially those of females and ethnic minority youth involved in the juvenile justice system. The challenge was identified repeatedly in Santa Barbara County during the past few years, for instance, in the 1999 Santa Barbara County Probation Department Local Action Plan and again in the 2000-01 Santa Barbara Grand Jury report Among several objectives delineated by the Santa Barbara County Juvenile Justice Coordinating Council in 1999, one in particular was pivotal in guiding the current project: “To provide gender appropriate and culturally appropriate service delivery to youth involved in the juvenile justice system.”, Santa Barbara County did not have an assessment tool that was both gender appropriate and culturally sensitive, and specifically identified the risks and strengths of females and ethnic minority offenders. This resulted in challenges to appropriately target available services or develop/ restructure new services to meet the needs of females which is an increasing percentage of the Probation Department workload.

The solution to the above problem was accomplished through the development of an appropriate tool, funded under the State Board of Corrections Challenge II grant. UCSB generated a comprehensive three-year plan for the development of a gender appropriate, culturally sensitive, assessment of assets and risks to be used for decisions regarding supervision and services. The UCSB research team engaged in a well defined series of simultaneous tasks: (a) to evaluate the utility of the previous Risk Assessment; (b) to develop the new measure through a multi-step process involving literature review, theoretical consideration, and probation officer interview; (c) consultation with additional Probation Department supervisors and staff with vested interests and relevant knowledge; (d) training for probation officers who would be using the SB ARA; (e) piloting the Santa Barbara Assets and Risks Assessment (SB ARA) with males and females involved in the juvenile justice system, (f) ongoing communication with intake officers throughout the county who utilized the SB ARA, (g) presentations and discussions with colleagues across the state and the nation; (h) statistical analyses regarding the efficacy and utility of the SB ARA, and (i) continual development of the SB ARA through ongoing collaboration with the Santa Barbara County Probation Department. This process has yielded an assessment designed to be both effective and efficient, and gathers important information in 12 domains including; parent-child relationships, familial criminality, familial substance use,

familial mental health, community factors, individual factors, individual criminality, individual substance abuse, peer factors, school factors, sexual activity, and history of trauma. The SB ARA yields item scores as well as summary scores for each of the 12 domains.

The development of the SB ARA relied on the expertise and collaborative efforts of UCSB and the Santa Barbara County Probation Department. The SB ARA has been very well received, not only by probation officers in the county, but also by other probation departments across the state as they have contacted UCSB for further information on how they may implement the SB ARA in their county. Furthermore, we have received several requests and invitations to present the SB ARA at state and national forums and conferences, including great interest from the California State Board of Corrections. Moreover, the SB ARA has been received positively by youth and parents. As mentioned, the SB ARA measures both assets and risks factors. For many youth and parents, the SB ARA provides the first opportunity for them to recognize areas in their lives that are going well and that these areas may be a source of strength for them and also a resource for probation officers and in intervention efforts. Most youth and parents are often asked about the risk factors in their lives and as result often perceive themselves in a very negative way. Because the SB ARA includes assets in addition to risks a more comprehensive understanding of the youth and family is achieved. For example, in addition to learning that a youth's father is in jail for narcoctics sales and the youth is experimenting with marijuana (risks), the probation officer also learns that the youth has a very open and supporting relationship with her mother, is doing well in school and has a close relationship with her uncle who is a positive adult role model (assets).

Budget/Costs/Savings & Results

The development of the SB ARA has been an ongoing process incorporated within the research and evaluation efforts of the Challenge II - NEW VISTAS program in Santa Barbara County. Costs included primarily the efforts of the UCSB research team, but also the efforts of the probation staff who gathered the data. The greatest advantage of the recently developed SB ARA is providing a wealth of knowledge to the probation officers to inform decisions regarding both supervision and intervention services. The SB ARA streamlines the intake interview process, thus generating cost savings in the amount of time expended by probation officers during the intake interview. In addition, the SB ARA facilitates report writing, again saving valuable time of probation officers. The cost savings of providing appropriate supervision and intervention services is not only fiduciary, but also reflected in the reduced recidivism and decreased delinquency of youth in the juvenile justice system. The benefits thus far include the structure and consistency in our assessment process, ability to elicit information that might not otherwise be the case and was simply based on the training/experience of the particular assessment officer, type of information gathered makes identification of problems within the family and the targeting of services more appropriate. The ability to more consistently and appropriately direct services creates a more effective utilization of resources and hopefully will result in fewer program failures and lower rates of delinquent recidivism. Finally, by also identifying youths' relative strengths, there is an opportunity to utilize these and facilitate healthy adaptation and promote wellness among these youth, thus enhancing their developmental outcomes and contributions to the community in the long run. Further analyses during the upcoming years will provide additional data regarding the ultimate positive impact on the community and improved assignment of intervention services and supervision.

Process and Program Implementation Evaluation

Because the Santa Barbara County NEW VISTAS Grant involves collaboration across public and private agencies, we administer questionnaires to program leaders, program staff, and project

participants to solicit their feedback about the nature and quality of these collaborative efforts. For this purpose have been using a modified version of the coalition survey used as part of the Santa Barbara County Community Partnership Project. This instrument measures satisfaction with interagency processes, coordination among care agencies, and conflict among interagency participants.

This evaluation component has been implemented end Year 1, end Year 2, and end Year 3. Administering at end Year 1 provided feedback from participants after they have had one year of project participation and provided the opportunity to give this feedback to the agencies involved. Due to the reduced funding, it will likely not be possible to gather this data in Year 4.

Tracking of Participants

Probation personnel are responsible for tracking families during their participation with NEW VISTAS. Exit interviews for each of the project participants includes gathering follow-up contact information (i.e., address, phone number) of friends or relatives who will know how to contact the family in the future. BOC core data elements will be available for the entire time period of the project. When youths continue to reside in the targeted neighborhood area, collection of local evaluation data measures will depend on the cooperation of the youths and their parents, particularly given that they might not be open to probation. It will be important for probation personnel to continue to gather this data through year 4 as the BOC core data elements are essential to examining the efficacy of the NEW VISTAS program.

Staff Training

Staff training was conducted on the evaluation procedures and all outcome instruments used in the study. We have a strong model for conducting this type of staff training based on the involvement of Challenge I. The program evaluators have trained more than 100 staff countywide in the implementation of a detailed and careful evaluation protocol. These training procedures serve as a model to refine and implement evaluation data collection for the Challenge II Grant. We are committed to training all staff so that they understand the potential utility of the outcome instrument used and to assist, whenever possible, in data gathering. This represents our belief that evaluation data collection must be integrated into program service planning activities to ensure compliance with the evaluation protocol and to promote sustainability.

Database Management

The evaluators for this project have developed all necessary databases needed to compile and monitor all data elements to be included as part of the process, impact, and outcome objectives of this study. These include databases in FileMaker Pro and in SPSS.

Program Evaluation Reporting Procedures

In addition to required reports to the Board of Corrections, the evaluators provide periodic reports to the program's coordinators, staff, JJCC, and other stakeholders. All desktop publishing and graphic arts skills are incorporated to produce meaningful reports designed to impact local and State policy makers are available for use on this project. We also use more advanced technology to rapidly and efficiently acquire data elements and enter them into statistical packages for analysis. For example, we design machine readable questionnaires and surveys using Teleform software. Finally, the program evaluators are committed to compiling information generated by the evaluation of this project into various formats intended to address the interests and needs of various constituencies. In addition, we have presented the information at state and national conferences and to prepared the outcomes for publication in professional outlets.

Additional completed activities and future plans relating to the preparation for state and local evaluation efforts include the following:

Team Meeting Requirements

1. UCSB Research and Evaluation Team representatives attend NEW VISTAS planning and administrative meetings that help enhance the implementation of the evaluation.
2. UCSB Research and Evaluation Team representatives attend the state evaluation meetings required by Board of Corrections as part of the state evaluation and to attend other meetings that enhance the evaluation study.
3. UCSB Research and Evaluation Team members coordinate evaluation activities with representatives from SB Juvenile County Probation Department and their staff who are involved in data collection as part of this project.
4. UCSB Research and Evaluation Team representatives staff various project subcommittees as needed and will also attend committee meetings regarding other project implementation issues such as training, special research projects, multicultural needs, and grant sustainability.
5. UCSB Research and Evaluation Team representatives meet regularly with the SB County staff who are gathering evaluation data to provide consultation, to keep staff informed of evaluation progress, to coordinate research with field staff, and to provide assessment support.

UCSB Research and Evaluation Team members have representation on NEW VISTAS project committees and required team meetings. As the need for additional committees and trainings arise, evaluation members will be available to provide ongoing support, staffing, and evaluation of these efforts. Furthermore, UCSB team members interface their work activities and tasks with those of the staff of the broader project in order to structure and organize a well-managed and maintained system of care and evaluation. Regular personal contact with the NEW VISTAS Assessment staff is considered of primary importance in order to maintain effective working relationships and understanding of the project's progress.

Quality Control Assurance

The UCSB Research and Evaluation Team is concerned with the accuracy and reliability of the data collected by its staff and the staff of partner agencies. In order to provide quality checks and assurance, the UCSB Evaluation Team plans to continue to provide the following services:

1. UCSB Evaluation Team provides both positive and constructively critical feedback in terms of the accuracy and completeness of the data. Staff are given feedback about the clarity of their data completion with written and verbal feedback.
2. UCSB Evaluation Team members conducted feasibility studies on data processing in order to ensure that data are collected reliably and efficiently without undue stress or burden placed on agency staff and NEW VISTAS participants. In addition, the Evaluation Team will be available throughout to assist staff in their collection of information. The Evaluation Team uses this opportunity as a chance to check reliability of data collection and transmission.

3. UCSB Evaluation Team members carry out verifications of data entry to ensure high accuracy. Both mechanical accuracy (searches for typing errors or inaccurate key entries) and interpretive accuracy (searches for misjudgments based on standardized administration and scoring issues) are analyzed. Any corrections and inconsistencies discovered by the State evaluators will be addressed immediately, and procedures have been developed to ensure quality data entry of the highest caliber.
Data are being entered using Teleform, which allows for form by form verification of data entry and tags any responses that are unclear (poorly marked bubbles) or inappropriate (multiple responses on single-option items).

Information Dissemination/Agency Feedback

In order for agency personnel to evaluate the value and outcome of the Challenge II - NEW VISTAS project as well as to provide consultation and support in problem-solving situations, it is critical to have a mechanism that will provide participants with immediate and/or written feedback. The UCSB Research and Evaluation Teams the following communication services:

1. UCSB Evaluation Team members provides semi-annual reports to SB County Probation regarding local outcome data (a copy of the semi-annual report is available online at <http://www.education.ucsb.edu/newvistas/>). The reports update agency administrators, direct service staff, community members, and parents about the process and outcome data relative to the implementation of the Challenge II Grant components, follow-up data to illustrate the status of the youths and their families as they progress through the project, and contrasts with appropriate comparative data. These local quarterly evaluation reports are in addition to preparing data for semi-annual transmission to the Board of Corrections.
2. The UCSB Research and Evaluation Team has conducted a literature search related to empirical research about factors associate with the prediction of recidivism among adolescent males and females. In addition, the UCSB research has processed information for all risk assessments conducted by Probation in order to establish a local baseline about high-risk characteristics of recidivism. We have created a SPSS database to store this anonymous information and then conduct studies to identify which local risk factors are associated with repeat offenses.

The short-term objective regarding information dissemination is to provide quick, accurate feedback regarding the statistical analyses performed on the local data. The UCSB team, as a long-term objective, has provided SB County Probation and other participating agencies with a number of other resources of information including: (a) literature searches of publications relating to effective delinquency prevention programs or other requested information; (b) local data as needed for agencies submitting grants and/or requiring immediate demographic information to enhance and/or evaluate their services; and (c) professional conference presentation applications (in collaboration with other interested agencies and their staff) to disseminate information about the work of Santa Barbara County CHALLENGE II – NEW VISTAS project.

Informed Consent, Human Subjects Application, and Security Procedures

1. UCSB Research and Evaluation Team members work with NEW VISTAS staff, County Probation, and parents to develop an appropriate informed consent and interagency release of information form and procedure. These forms continue to be gathered for every client participating in the NEW VISTAS, and routine annual assessments will include updates of all consent forms.

2. UCSB Research and Evaluation Team members work with County Probation staff to design procedures and guidelines to ensure that all client information collected as part of the evaluation remain confidential, and that confidentiality guidelines and requirements are efficiently and effectively communicated in all staff trainings. A formal security system analysis is conducted throughout the project to ensure safe and confidential transmission of information as well as accessibility of information to appropriate personnel. The UCSB staff is mindful of the strict security that must be maintained with the sensitive information being gathered as part of their evaluation. All data processed by the UCSB evaluators is stored in SPSS files that do not have any names, addresses, or other identifying information.
3. UCSB Research and Evaluation Team has fire-proof media safes to protect the confidentiality and safety of all materials collected and stored on the computer system databases. Procedures to protect the anonymity of the NEW VISTAS participants as well as the integrity of the databases are consistently implemented throughout the duration of the project and when stored for future reference. Copies of these databases will be stored in a lock-fire-safe when not in use. Once each data form is checked for completeness and appropriateness the data are scanned into an anonymous database linked by an ID code of meaning only to SB County Probation, and then the original forms are shredded.
4. UCSB Research and Evaluation Team members have prepared a protocol to be submitted to UCSB Human Subjects Committee for external review of all informed consent procedures. Each year, a renewal of the Human Subjects form is completed.

UCSB Evaluation Team members have consulted with service providers and consumers on issues related to confidentiality on an on-going basis throughout the project. Confidentiality guidelines are available to answer agency or client questions. Furthermore, the UCSB team has provided information to the Human Subjects Committee review board annually to externally analyze our informed consent and research procedures.

Provision of Outcome and Demographic Information to CHALLENGE II Staff

As mentioned in the above section entitled Information Dissemination/ Agency Feedback, UCSB Research and Evaluation Team members provide reports to SB County Probation and their staff regarding local outcome data of the NEW VISTAS project. The reports are published and also available on-line where NEW VISTAS staff can be directly informed of project outcomes, where communication between the assessment staff and the UCSB team can be enhanced, and where technical and other questions can be addressed.

Presentation of Professional Research Papers at State Conferences

On related projects, the UCSB Research and Evaluation Team will collaborate with staff from SB County Probation in professional research presentations at state conferences.

As part of this research project and evaluation, the UCSB staff will work with SB County Probation staff to develop and submit presentations to be made at state conferences. These presentations will be conducted to enhance the reputation of activities being conducted in SB County and to further stimulate program development. We have found that these activities stimulate program improvements and are associated with improved future grant proposal development. All of these submission applications will include SB County Probation staff.

Evaluation Budget Request

A discussion of the budget justification for year 4 of the project follows (see excel file for a line-item copy of the year 4 budget).

Budget Justification

1. Salaries and Benefits

Ninety-five percent of the 2002-2003 (year 4) budget is devoted to salary and benefits costs for the UCSB Research and Evaluation Team staff. Drs. Shane R. Jimerson, Michael J. Furlong, and Manuel Casas will continue to coordinate and supervise all personnel on staff. As reflected in the budget, UCSB faculty are also funded through matching dollars provided by UCSB. Staff members are critical to the completion of daily activities and to the general management of the evaluation project. Staff will include a post-doctoral scholar and two part-time doctoral student researchers all of whom are highly qualified in the areas of program administration, detailed data management, statistical analysis, and report production.

The research and evaluation will benefit greatly from the involvement of Dr. Kathryn M. O'Brien, who has worked on the project as the UCSB Research and Evaluation Team Project Coordinator. Dr. O'Brien has substantial experience and training in outcome evaluation for intervention programs. Her experience includes working with high-risk populations similar to those families participating in the present study. In addition, Dr. O'Brien's research experience includes at-risk girls (in addition to at-risk boys) and examining potential factors associated with deviant outcomes relevant to females. Dr. O'Brien has established efficient data management procedures and facilitate the completion of general office and data processing tasks, which include maintaining data records, entering data, and coordinating materials for delivery to Santa Barbara probation. Funding for this year includes this position at 25% through the duration of the grant.

Two doctoral students who have extensive experience in collaboration, research, data analysis, and program development are to continue to be involved with NEW VISTAS. They assist with developing evaluation instruments, creating computerized data entry and processing procedures, providing evaluation consultation, general office set up, and data collection, management and entry. They also participate in data analysis and interpretation, the production of customized data reports, and the presentation of research findings at meetings and conferences. Completion of these duties requires knowledge of multiple software programs (including Microsoft Word®, Excel®, PageMaker®, Cricket Graph®, SPSS®, Teleform®) and expertise with assessment instruments.

2. Services and Supplies

Office supplies, assessment instruments, computer software, and printing/data storage supplies, are limited during year four of the project. These resources are to be used for the following purchases:

- (a) PC-compatible graphics, statistical, and data base management computer software packages used by the UCSB team for the collection, analysis, and reporting of national and local outcome data;
- (b) computer accessories such as diskettes, and jazz and zip drive cassettes essential for data management;
- (c) in-house print resources such as printer and fax paper, ink toner for both the color and black-and-white laser printers for producing data collection materials and reports;
- (d) ongoing copier service contract, telephone, postage, and ITG computer support;

(e) printing and binding of the final report.

3. Professional Services

None.

4. CBO Contracts

None.

5. Fixed Assets (Equipment)

Allocation of funding for computer equipment, printing equipment, and photocopying equipment has been included in the previous budgets, however, considering the reductions in the available resources and scope of work, there are no dollars budgeted for equipment for the fourth year.

6. Other

There are no other funds budgeted for year 4. It is hoped that we will ascertain additional support for travel to disseminate the results of the research and any necessary meetings.

7. Grand Total

This work statement is for year 4 of the NEW VISTAS project. The total revised research project costs for Year 4 being requested is approximately \$129,821 (with UCSB providing a 77% match to fund the \$225,858 in research and evaluation expenses). A detailed budget is shown for each year in the excel file.

Capacity of the Researchers

Dr. Shane R. Jimerson, Dr. Michael Furlong, Dr. J. Manuel Casas, and Dr. Kathryn M. O'Brien will be the lead evaluators for this project. Drs. Jimerson, Furlong, Casas, and O'Brien have worked on the NEW VISTAS research and evaluation project for the past three years and within Santa Barbara County and across the nation during the past ten years, including one funded by the Center for Substance Abuse Prevention, and Drs. Furlong and Casas were the lead evaluators for the Multiagency Integrated System of Care project, which is funded by the Centers for Mental Health. These projects involve the management of numerous data elements for hundreds of youths being served by a variety of intervention programs in Santa Barbara County.

Dr. Jimerson has been engaged in evaluation research for over seven years. His current position as a Professor in the Graduate School of Education includes a joint appointment with the Counseling, Clinical, and School Psychology program and also with the Developmental Studies emphasis. Dr. Jimerson shares his expertise regarding development and adolescents in several courses at UCSB (e.g., Adolescent Development and Developmental Psychopathology). His publications focus on at-risk adolescents examining risk and protective factors influencing developmental trajectories across time. Recently, Dr. Jimerson received the honor of the 2002 Early Career Scholar Award from Division E: Human Development of AERA. He also received the 2001 Outstanding Research Article Award from the School Psychology Review. Previously he received the 2000 Best Article of the Year Award from the Society for the Study of School Psychology and 2000 Best Article of the Year Award from the Society for the Study of School Psychology. His research expertise is further reflected in his current appointments as the Editor of the California School Psychologist Journal, the Chair of the Research Committee for the

International School Psychology Association, and he serves on the Editorial Boards for several professional journals (e.g., *Journal of School Psychology*, *Journal of Early Childhood Research and Practice*, *School Psychology Review*). He is the Principal Investigator on multiple projects providing services and interventions to adolescents.

Dr. Furlong's expertise in research and evaluation is reflected in his vitae. He is the author of more than 150 professional articles and has provided direct services to schools in the Santa Barbara community for many years prior to assuming his current position as professor in the Graduate School of Education at UCSB. He has also worked extensively with the Probation Department on data processing projects and is very familiar with the data elements residing in the Juvenile Probation MIS database. He is a past president of the California Association of School Psychologists, served as a member of the Commission on Teacher Credentialing School Violence Advisory Panel, and has recently been nominated to serve on the advisory board for the comprehensive youth health survey to be initiated in California during the next three years. He also is technical consultant to the Office of Juvenile Justice and Delinquency Prevention. Dr. Furlong will organize a group of researchers to work with Santa Barbara County Probation to implement all evaluation activities and to work with the state on the important task of collating common data elements across implementation sites.

Dr. Casas is nationally recognized as an expert in the cross-cultural and diversity areas of psychology. This recognition is based on his extensive research on Hispanics and other racial/ethnic minority groups. He has published widely in professional journals (more than 75 articles) in the area of cross-cultural counseling and education. His most recent research and publication endeavors have focused on Hispanic families and children who are at risk for experiencing educational and psycho-social problems, including drug and alcohol abuse. His research in this area gives special attention to resiliency factors that can help Hispanic families avoid and/or overcome such problems.

Dr. O'Brien's research experience and training have focused on familial factors influencing the development and maintenance of aggressive behavior problems as shown in her vitae. Her research represents a much needed gender-balanced assessment of aggression including both physical aggression more common in males and relational aggression more salient for females. Efforts aimed at understanding female aggression, influences and consequences, have been central in her research for the past four years. In addition, Dr. O'Brien's investigations of sibling relationships and their developmental significance in later adjustment problems (e.g., substance and alcohol use) have contributed necessary information on this understudied family relationship. Dr. O'Brien has orchestrated data collection, designed appropriate measures to examine multiple dimensions of aggression, and provided consultation on methodological concerns on many research projects. Recently she applied her expertise to an early intervention program to reduce substance abuse of children with aggressive tendencies. Further reflection of Dr. O'Brien's expertise is provided by her instructional appointment at the University of Minnesota and at California Lutheran University on Child Development and Social Development and arranging symposium and presentations at international conferences (e.g., Society for Research on Child Development).

EXHIBIT B
PAYMENT ARRANGEMENTS
Periodic Compensation

- A. For CONTRACTOR services to be rendered under this contract, CONTRACTOR shall be paid a total contract amount, including cost reimbursements, not to exceed Challenge Grant funded maximum of **\$129,821**. CONTRACTOR shall provide In-Kind match of **\$96,037**.
1. “Hard match” means cash dedicated to the project by public or private organizations. “In kind match” means the value of personnel, goods or services dedicated to the project from public or private organizations.
- B. Payment for services and/or reimbursement of costs shall be made upon CONTRACTOR's satisfactory performance, based upon the scope and methodology contained in **Exhibit A**, as determined by COUNTY. Payment for services and/or reimbursement of costs shall be based upon the costs, expenses, overhead charges and hourly rates for personnel, as defined in **Attachment B1** (Budget). Invoices submitted for payment that are based upon **Attachment B1** must contain sufficient detail to enable an audit of the charges and provide supporting documentation if so specified in **Exhibit A**.
- C. **Monthly**, CONTRACTOR shall submit to the COUNTY DESIGNATED REPRESENTATIVE an invoice or certified claim on the County Treasury for the service performed over the period specified. These invoices or certified claims must cite the assigned Board Contract Number. COUNTY REPRESENTATIVE shall evaluate the quality of the service performed and initiate payment processing. COUNTY shall pay invoices or claims for satisfactory work within 30 days of presentation.
- D. COUNTY's failure to discover or object to any unsatisfactory billings prior to payment will not constitute a waiver of COUNTY's right to require CONTRACTOR to correct such billings or seek any other legal remedy.
- E. CONTRACTOR shall provide a copy of the most recent CONTRACTOR financial audit and related auditor's report (prepared by a Certified Public Accountant) to the County along with the first monthly reimbursement claim for each COUNTY fiscal year during the term of this Agreement. The submission of the aforementioned audit report and management letter shall be a precondition for payment of the first monthly claim for each COUNTY fiscal year.
- F. The CONTRACTOR will submit the following documents and data for reimbursement:

1. Monthly invoice(s) on a COUNTY provided standard format by the twenty-first (21) of the following month for which services were rendered for the program component(s) specified in the Exhibit B-1 Budget.
2. Submit an accounting of all eligible costs incurred relative to Challenge Grant activities categorized as State Funds, Hard Match and In-Kind; broken down as follow
 - Salaries and benefits of contract employees directly involved in the delivery of services associated with the project.
 - b. Services and supplies necessary to deliver services directly associated with the project.
 - c. Professional or Consultant Services, including required audits, and other charges necessary for the delivery of services directly associated with the project.
 - d. Lease payments for equipment, including vehicles, office space, automation and reprographic equipment and other items necessary for the delivery of services directly associated with the project.
 - e. **Fixed assets, up to \$1,000.00 per item, necessary for the delivery of services, directly associated with the project may be grant funded or counted as allowable match. Fixed assets greater than \$1,000 shall not be grant funded or counted as allowable match.**
 - f. Operational overhead, indirect and administrative cost necessary for the success of the project up to a maximum of 10% of the grant award.
3. Submit an accounting of services provided for each billing period relative to the Challenge Grant including hours of service, or as otherwise requested by the COUNTY.
4. Project costs or items which are ineligible for state funding.
 - a. Site acquisition and/or construction costs;
 - b. Fixed Assets, including vehicles, computer equipment, furniture, reprographic equipment, and other items over \$1,000.
 - c. Supplanting existing projects or personnel;
 - d. Personal injury compensation or damages arising out of or connected with the project whether determined by adjudication, arbitration, negotiation or otherwise;
 - e. Fines and penalties due to violation of or failure to comply with federal, state or local laws and ordinances;
 - f. Costs outside the scope of the approved project;
 - g. Interest on bonds or any other form of indebtedness required to finance project costs;
 - h. All costs incurred in violation of the terms, provisions, conditions or commitments of this contract;

i. All costs arising out of or attributable to grantee's malfeasance; misfeasance, mismanagement, or negligence;

j. All costs arising out of or connected with contractor claims against grantee or those persons for whom the grantee may be vicariously liable, including, but not limited to, any and all costs related to defense or settlement of such claims;

k. Criminal justice activities that are not directly related to the approved project.

EXHIBIT B-1

DATE: 6.10.2002

GRANT TITLE:

Challenge II - NEW VISTAS

BUDGET

UNIVERSITY OF CALIFORNIA

YEAR 4

GRADUATE SCHOOL OF EDUCATION

Minimized

SANTA BARBARA, CA 93106-9490

DURATION: 15 months

PHONE: (805) 893-3366

BEGINNING: July 1, 2002

AGENCY: Santa Barbara County

ENDING: September 30, 2003

PI: Shane Jimerson

CO PI: Michael Furlong

A. SALARIES	UNIVERSITY			# OF	%		MATCHING	COUNTY
	<u>NAME</u>	<u>RANK</u>	<u>PROJ TITLE</u>	<u>MONTH</u>	<u>TIME</u>		<u>COST</u>	<u>COST</u>
A.1	S. Jimerson	Assoc. Prof. I	P.I.	2.5	1.00			15953
	" "	" "	" "	2.5	1.00			16273
	" "	" "	" "	10	0.25		16273	
A.2	M. Furlong	Professor II	Co-PI	1	1.00			8127
	" "	" "	" "	1	1.00			8289
	" "	" "	" "	13	0.25		26939	
A.3	M. Casas	Professor IV	Co-PI	1	0.50			4775
	" "	" "	" "	14	0.10		13636	
A.4	K. O'Brien	Assist. Res. II	Proj. Coordinator	3	0.25			3206
	" "	" "	" "	12	0.25			13080
A.5	T.B.N.	Grad Stu Res I	GSR	3	0.25			1829
	" "	" "	" "	12	0.25			7464
A.6	T.B.N.	Grad Stu Res I	GSR	3	0.25			1829
	" "	" "	" "	12	0.25			7464
A.8	T.B.N.	Student Assist.	Student Assist. (100 hours x \$10/hr.)					1000
							MATCHING	
SUB-TOTAL: SALARIES							56847.75	89288

B. BENEFITS	UNIVERSITY			# OF	%	%	MATCHING	COUNTY
	<u>NAME</u>	<u>RANK</u>	<u>PROJ TITLE</u>	<u>MONTH</u>	<u>TIME</u>	<u>BENEFITS</u>	<u>COST</u>	<u>COST</u>
B.1	S. Jimerson	Assoc. Prof. I	P.I.	2.5	1.00	0.092		1468
	" "	" "	" "	2.5	1.00	0.092		1497
	" "	" "	" "	10	0.25	0.170	2766	
B.2	M. Furlong	Professor II	Co-PI	1	1.00	0.092		748
	" "	" "	" "	1	1.00	0.092		763
	" "	" "	" "	13	0.25	0.170	4580	

B.3	M. Casas	Professor IV	Co-PI	1	0.50	0.092		439	
	" "	" "	"	14	0.10	0.170	2318		
B.4	K. O'Brien	Assist. Res. II	Proj. Coordinator	3	0.25	0.170		545	
	" "	" "	" "	12	0.25	0.170		2224	
B.5	T.B.N.	Grad Stu Res I	GSR	3	0.25	0.030		55	
	" "	" "	"	12	0.25	0.013		97	
B.6	T.B.N.	Grad Stu Res I	GSR	3	0.25	0.030		55	
	" "	" "	"	12	0.25	0.013		97	
B.8	T.B.N.	Student Assist.	Student Assist.	(100 hours x \$10/hr.)		0.043		43	
TUITION/FEES:		2 GSR's Fall 2002; Wtr. & Spr. 2003 @ \$4,024 each (3 quarters)							8202
HEALTH INSURANCE:		2 GSR's Fall 2002; Wtr. & Spr. 2003 @ \$980 each (3 quarters)							1960

MATCHING

SUB-TOTAL: BENEFITS	9664	18192
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C. SUPPLIES	COUNTY COST
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C.1	Office Supplies	500
C.2	Ink Toner for HP Laser Printer (10 @ \$100/each)	1000
C.3	Data Processing Software (PageMaker, Clip Art Plus, Eudora, Delta Graph, Photoshop, SPSS site license)	500

SUB-TOTAL: SUPPLIES	2000
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D. OTHER	COUNTY COST
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D.1	Canon Copier Service Contract	2000
D.2	Telephone Tolls & FAX (12 months @ \$25/month)	300
D.3	Postage (12 months @ \$20/month)	240
D.4	Printing and Binding of Final Report	5000
D.6	ITG Computer Support	1000

SUB-TOTAL: OTHER	8540
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E. TRAVEL	COUNTY COST
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E.1	In-state travel (1200 miles @ .345 cents per mile)	0
E.2	CASP Conference for 4 people--RT airfare @ \$200/each	0
	Conference Registration (4 people x \$100/each)	0
	4 days lodging & per diem @ \$146/day (4 people x \$584)	0

SUB-TOTAL: TRAVEL	0
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F. EQUIPMENT	COUNTY COST
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F.1	Gateway PC	0
F.2	Fujitso Scanner	0
F.3	G4 Mac	0

SUB-TOTAL: EQUIPMENT	0
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	MATCHING COST	COUNTY COST
SUB-TOTAL DIRECT COST	66,512	118,019
TOTAL DIRECT COST	(Matching + County Cost)	184,531

	MATCHING COST	COUNTY COST
SUB-TOTAL INDIRECT COSTS	<u>16% of TDC</u> 29,525	<u>10% of TDC</u> 11,802

INDIRECT COST	(Matching + County Cost = 26%)	41,327
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TOTAL COST	MATCHING COST	COUNTY COST
225,858	96,037	129,821

EXHIBIT C

**INDEMNIFICATION AND INSURANCE PROVISIONS
between the Regents of the University of California and
the County of Santa Barbara County
for contracts NOT requiring professional liability insurance**

Exhibit C ... Not Requiring Professional Liability
Children & Families/UCSB ... Revised 10/10/2002

INDEMNIFICATION

CONTRACTOR shall defend, indemnify and save harmless the and the County of Santa Barbara (hereafter COUNTY), its officers, agents and employees from any and all claims, demands, damages, costs, expenses (including attorney's fees), judgments or liabilities arising out of this Agreement or occasioned by the performance or attempted performance of the provisions hereof; including, but not limited to, any act or omission to act on the part of the CONTRACTOR or his agents or employees, but only in proportion to and to the extent that those claims, demands, damages, costs, expenses (including attorney's fees), judgments or liabilities are caused by or result from the negligent or intentional acts or omissions of the Contractor, its agents or employees.

CONTRACTOR shall notify the COUNTY immediately in the event of any accident or injury arising out of or in connection with this Agreement.

INSURANCE

Without limiting the CONTRACTOR's indemnification of the COUNTY, CONTRACTOR shall procure the following required insurance coverages at its sole cost and expense or provide similar coverage through a program of self-insurance. All insurance coverages are to be placed with insurers which (1) have a Best's rating of no less than A: VII, and (2) are admitted insurance companies in the State of California. All other insurers require the prior approval of the COUNTY. Such insurance coverage or program of self-insurance shall be maintained during the term of this Agreement. Failure to comply with the insurance requirements shall place CONTRACTOR in default. Upon request by the COUNTY, CONTRACTOR shall provide a certificate of insurance evidencing said coverage within thirty (30) days.

1. **Workers' Compensation Insurance:** Statutory Workers' Compensation and Employers Liability Insurance shall cover all CONTRACTOR's staff while performing any work incidental to the performance of this Agreement. The policy shall provide that no cancellation, or expiration or reduction of coverage shall be effective or occur until at least thirty (30) days after receipt of such notice by the COUNTY. In the event CONTRACTOR is self-insured, it shall furnish a copy of Certificate of Consent to Self-Insure issued by the Department of Industrial Relations for the State of California. This provision does not apply if CONTRACTOR has no employees as defined in Labor Code Section 3350 et seq. during the entire period of this Agreement and CONTRACTOR submits a written statement to the COUNTY stating that fact.
2. **General and Automobile Liability Insurance:** The general liability insurance shall include bodily injury, property damage and personal injury liability coverage, shall afford coverage for all premises, operations, products and completed operations of CONTRACTOR and shall include contractual liability coverage sufficiently broad so as to include the insurable liability assumed by the CONTRACTOR in the indemnity and hold harmless provisions [above] of the Indemnification Section of this

Agreement between COUNTY and CONTRACTOR. The automobile liability insurance shall cover all owned, non-owned and hired motor vehicles that are operated on behalf of CONTRACTOR pursuant to CONTRACTOR's activities hereunder. CONTRACTORS shall require all subcontractors to furnish separate certificates and endorsements to meet the standards of these provisions by each subcontractor. COUNTY, its officers, agents, and employees shall be Additional Insured status on any policy. A cross liability clause, or equivalent wording, stating that coverage will apply separately to each named or additional insured as if separate policies had been issued to each shall be included in the policies. The limit of liability of said policy or policies for general and automobile liability insurance shall not be less than \$1,000,000 per occurrence and \$2,000,000 in the aggregate. Any deductible or Self-Insured Retention {SIR} over \$10,000 requires approval by the COUNTY.

Said policy or policies or program of self-insurance shall include a severability of interest or cross liability clause or equivalent wording. Said policy or policies shall contain a provision of the following form:

"Such insurance as is afforded by this policy shall be primary and non-contributory to the full limits stated in the declarations, and if the COUNTY has other valid and collectible insurance for a loss covered by this policy, that other insurance shall be excess only."

If the policy providing liability coverage is on a 'claims-made' form, the CONTRACTOR is required to maintain such coverage for a minimum of three years following completion of the performance or attempted performance of the provisions of this agreement. Said policy or policies shall provide that the COUNTY shall be given thirty (30) days written notice prior to cancellation or expiration of the policy or reduction in coverage.

CONTRACTOR shall submit to the office of the designated COUNTY representative certificate(s) of insurance documenting the required insurance as specified above within thirty (30) days of this Agreement becoming effective. COUNTY shall maintain current certificate(s) of insurance at all times in the office of the designated County representative as a condition precedent to any payment under this Agreement. Approval of insurance by COUNTY or acceptance of the certificate of insurance by COUNTY shall not relieve or decrease the extent to which the CONTRACTOR may be held responsible for payment of damages resulting from CONTRACTOR'S services of operation pursuant to the contract, nor shall it be deemed a waiver of COUNTY'S rights to insurance coverage hereunder.

The above insurance requirements are subject to periodic review by the COUNTY. The COUNTY's Risk Manager is authorized to change the above insurance requirements, with the concurrence of County Counsel, to include additional types of insurance coverage or higher coverage limits, provided that such change is reasonable based on changed risk of loss or in light of past claims against the COUNTY or inflation. This option may be exercised during any amendment of this Agreement that results in an increase in the nature of COUNTY's risk and such change of provisions will be in effect for the term of the amended Agreement. Such change pertaining to types of insurance coverage or higher coverage limits must be made by written amendment to this Agreement. CONTRACTOR agrees to execute any such amendment within thirty (30) days of acceptance of the amendment or modification.

EXHIBIT D (County Use Only)

Contract Summary Form: Contract Number : BC-03-141

Complete data below, print, obtain signature of authorized departmental representative, and submit this form (and attachments) to the Clerk of the Board (>\$100,000) or Purchasing (<\$100,000). See also "Contracts for Services" policy. Form not applicable to revenue contracts.

- D1. Fiscal Year : FY 02-03
- D2. Budget Unit Number (plus -Ship/-Bill codes in paren's): 022
- D3. Requisition Number..... :
- D4. Department Name : Probation
- D5. Contact Person : Martin Conoley
- D6. Phone..... : (805) 692-4851
- K1. Contract Type (check one): Personal Service Capital Project/Construction
- K2. Brief Summary of Contract Description/Purpose : Provide Evaluation Services
- K3. Original Contract Amount : \$129,821
- K4. Contract Begin Date : 07/01/2002
- K5. Original Contract End Date : 09/30/2003
- K6. Amendment History (leave blank if no prior amendments):

<u>Seq#</u>	<u>EffectiveDate</u>	<u>ThisAmndtAmt</u>	<u>CumAmndtToDate</u>	<u>NewTotalAmt</u>	<u>NewEndDate</u>	<u>Purpose (2-4 words)</u>
		\$	\$	\$		

K7. Department Project Number :

- B1. Is this a Board Contract? (Yes/No) : Yes
- B2. Number of Workers Displaced (if any) : None
- B3. Number of Competitive Bids (if any) : N/A
- B4. Lowest Bid Amount (if bid) : \$N/A
- B5. If Board waived bids, show Agenda Date :
- B6. ... and Agenda Item Number : #
- B7. Boilerplate Contract Text Unaffected? (Yes / or cite ¶¶) : Yes

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- F1. Encumbrance Transaction Code :
 - F2. Current Year Encumbrance Amount :
 - F3. Fund Number..... : 0001
 - F4. Department Number..... : 022
 - F5. Division Number (if applicable)..... : Program 3850, Org Unit 0100
 - F6. Account Number : 7460
 - F7. Cost Center number (if applicable)..... : 03
 - F8. Payment Terms..... : Net 30

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- V1. Vendor Numbers (A=uditor; P=urchasing) :
 - V2. Payee/Contractor Name : The Regents of the University of California
 - V3. Mailing Address : Office of Research,
 - V4. City State (two-letter) Zip (include +4 if known)..... : Santa Barbara, CA 93106
 - V5. Telephone Number..... : 805-893-4034
 - V6. Contractor's Federal Tax ID Number (EIN or SSN)..... : 96-6006145W
 - V7. Contact Person..... : Nancy R. Lewis
 - V8. Workers Comp Insurance Expiration Date..... : 04/01/03
 - V9. Liability Insurance Expiration Date[s]..... : 04/01/03
 - V10. Professional License Number : #N/A
 - V11. Verified by (name of County staff) :
 - V12. Company Type (Check one): Individual Sole Proprietorship Partnership Corporation

I certify: information complete and accurate; designated funds available; required concurrences evidenced on signature page.

Date : Authorized Signature: _____