

# Santa Cruz County AB 109 Implementation Evaluation

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# Introduction

In 2011, California’s legislature passed Assembly Bill (AB) 109, or Public Safety Realignment, in response to overcrowding in the State’s prison system. AB 109 shifted responsibility for incarcerating and supervising certain felony offenders from the State to the county level. The Santa Cruz County CCP implementation plan establishes the following three goal areas:<sup>1</sup>

- ❖ **Cost-Effective Corrections Management:** Ensuring jail space for locally sentenced offenders by reducing unnecessary jail for misdemeanants and low-level offenders;
- ❖ **Effective Community Supervision:** Utilizing community supervision methods proven to reduce recidivism and ensure proper balance of monitoring and assistance; and
- ❖ **Effective Interventions:** Providing evidence-based programs and services proven to reduce recidivism.

In April 2016, the Santa Cruz County Probation Department contracted with Resource Development Associates (RDA) to carry out an evaluation of the implementation and outcomes of the County’s AB 109 efforts to date.

## Evaluation Purpose and Components

The purpose of the evaluation is to enable the Santa Cruz County Community Corrections Partnership-Executive Committee (CCP-EC)—as well as the County Departments and contracted service providers that comprise the County’s AB 109 system—to make data-driven decisions about AB 109 services and system coordination in order to support positive client outcomes and reduce recidivism in Santa Cruz County.

### Evaluation Questions

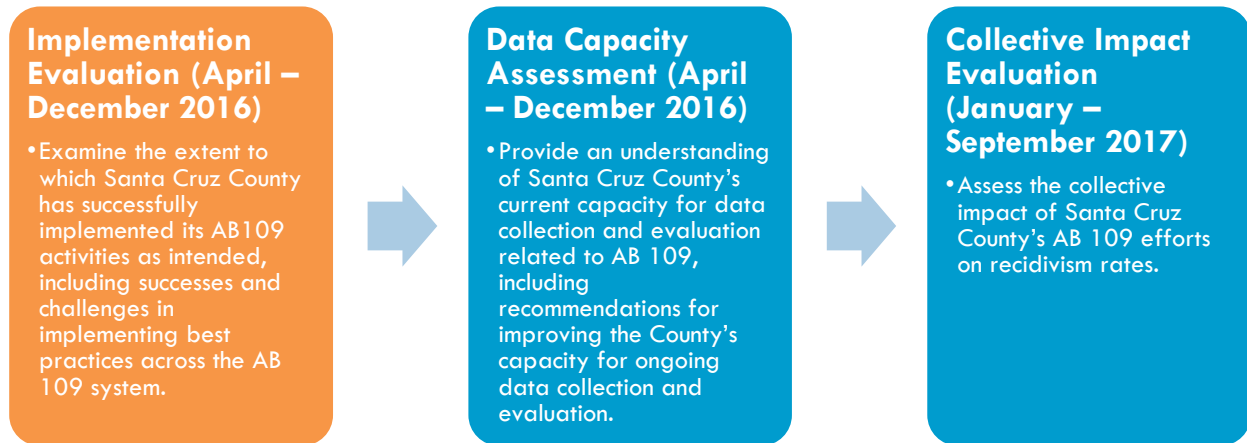
1. To what extent is the County implementing its AB 109 systems and services in alignment with local priorities and established best practices?
2. What is the County’s capacity to monitor and evaluate AB 109 implementation and outcomes?
3. Are individuals supervised and sentenced under AB 109 experiencing desired outcomes, including reduced recidivism and increased overall well-being?
  - What factors are most strongly associated with successful client outcomes?

<sup>1</sup>Santa Cruz County Probation Department (2013). Public Safety Realignment: Santa Cruz County Implementation, 2011-2013.



In order to answer the evaluation questions, the 18-month evaluation includes the following components. The current report presents the results of the implementation evaluation. The data capacity assessment memo is included as an appendix to this report. The collective impact evaluation will be completed in September 2017.

**Figure 1. Three components of Santa Cruz County AB 109 Evaluation**



## Evaluation Methods

RDA worked with the County to develop a mixed methods evaluation using primary and secondary data gathered from the County, contracted service provider organizations, and AB 109 clients. Appendix III has detailed information about the participant affiliations and number of participants for each set of interviews and focus groups, as well as detailed descriptions of the quantitative data used for the evaluation. The section below provides an overview of data collection and analysis for this report.

### Quantitative Data

The RDA team worked with the Santa Cruz County Probation Department, Sheriff's Office, and County Mental Health Services in order to obtain the quantitative data necessary for this report.

Using data from the Probation Department, RDA tracked use of the Correctional Assessment and Intervention System (CAIS) risk and needs assessment in order to identify the number of AB 109 individuals who have received the CAIS, as well as AB 109 individuals' assessed level of risk for recidivism and their CAIS-identified criminogenic needs. RDA also used Probation data to identify AB 109 unit probation officer caseload size, as well as the extent to which probation officers utilize the Effective Practices in Community Supervision (EPICS) model in Santa Cruz County. Additionally, RDA used Probation data to assess the proportion of AB 109 individuals who have received services from contracted service providers, as well as which services AB 109 individuals have utilized most; County Mental Health Services also provided data to identify AB 109 individuals who have received County Mental Health Services in custody or in the community since the start of AB 109.



## Santa Cruz County Probation Department *AB 109 Implementation Evaluation*

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RDA analyzed data gathered from the Sheriff's Office in order to identify the classification statuses of individuals sentenced under AB 109, as well as the extent to which AB 109 individuals participate in in-custody services and differences in the numbers of services attended across the County's three facilities. RDA also identified the number of individuals participating in the County's Custody Alternative Program (CAP) each month, including the proportion of which are AB 109 individuals and the total number of CAP participants terminated each month.

Finally, because the Superior Court was unable to extract reliable data on AB 109 sentences, RDA used data from Probation to assess AB 109 sentencing practices since the start of AB 109.

Please refer to Appendix III for a detailed list of each measure included in the following report.

### Qualitative Data

- **11 Key Informant Interviews with Department and CBO Leadership** to understand the extent to which AB 109 partners express a common vision for the County's AB 109 operations and how relationships and interactions between these partners are consistent with a collective impact approach.
- **9 Focus Groups and Interviews with Managers and Line staff from County Departments and Contracted Providers** to gain an understanding of how staff are carrying out AB 109 practices and service delivery on the ground.
- **5 Focus Groups with AB 109 Clients**, including individuals in local custody and AB 109 clients in the community, to explore clients' experiences with the AB 109 supervision and service system, including experience with correctional and supervision practices, continuity between in-custody and post-release services, access to and engagement in reentry-related programs and services, and perceived facilitators of and barriers to successful reentry. A total of 31 individuals participated in these focus groups.

### Data Analysis

RDA matched data from various data sets collected from Probation and the Sheriff's Office in order to analyze the quantitative data for this report. RDA calculated basic frequencies, percentages, and means to examine AB 109 related County practices and contracted service provision in Santa Cruz County. The evaluation team conducted a thematic analysis of qualitative data according to key accomplishments and areas for growth in each of the five strategy areas in the County AB 109 Implementation Logic Model: Court Processing, Corrections Management, Community Supervision, Treatment and Intervention Services, and System Coordination.



## **Limitations and Considerations**

There are two primary limitations to consider when interpreting the quantitative data in this report. First, while RDA identified 775 individuals subject to AB 109 in Santa Cruz County between October 1, 2011 and August 31, 2016, RDA did not receive data spanning this entire time period for a number of other data points we used for the evaluation. As a result, some of the data presented in the report are from different time periods (e.g., CAIS-assessed needs and client service participation); therefore, readers should use caution when making comparisons across each data element reported. Please see Appendix III for a list of all data measures and the time period for which data was available for each measure.

A second limitation of the quantitative data is that the Superior Court was unable to extract reliable data on AB 109 sentences from their Odyssey Court case management system. As a result, RDA was not able to evaluate sentencing practices using Superior Court data and instead relied on Probation AB 109 case data which tracks start dates and sentence types of AB 109 individuals in order to evaluate changes in sentencing practices since the start of Realignment. RDA was also unable to assess case flow and processing time, which are part of the County's Court Processing strategies.

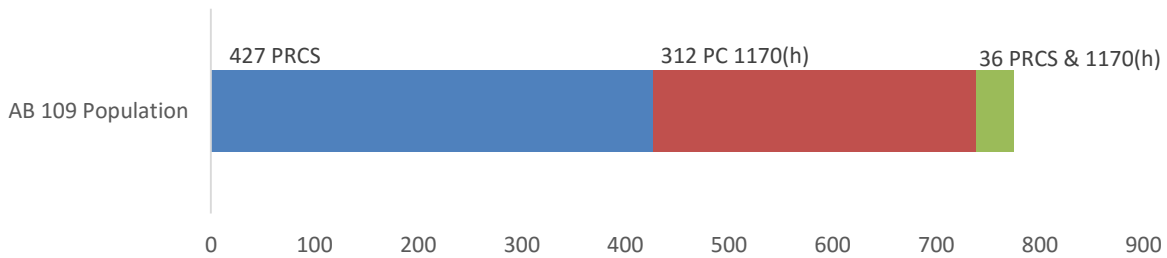
With regard to qualitative methods, it is important to keep in mind that qualitative findings represent the perspectives of the individuals and groups that participated in the evaluation activities. To capture a comprehensive picture of AB 109 implementation, RDA gathered feedback from diverse stakeholder groups (County staff, community-based provider staff, and AB 109 clients) as well as from various levels within organizations (leadership, management, and line staff).



# Overview of AB 109 Population

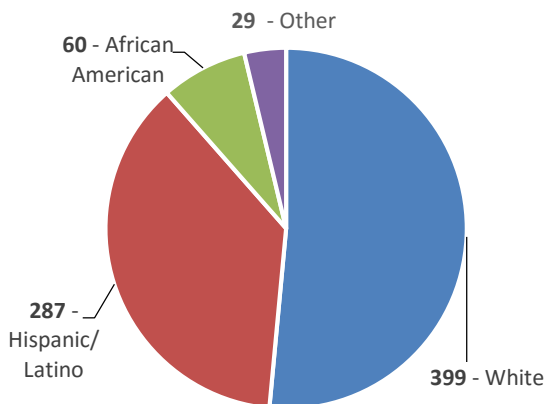
Using data from the Probation Department and the Sheriff’s Office, RDA compiled a list of 775 unique individuals subject to AB 109 in Santa Cruz County between October 1, 2011 (when AB 109 went into effect) and August 31, 2016 (the date through which RDA collected data), including the post release community supervision (PRCS) population and individuals receiving a sentence under Penal Code (PC) 1170(h). Figure 2 below demonstrates that among the County’s 775 AB 109 individuals, 427 individuals are members of PRCS population, 312 are individuals sentenced under PC 1170(h), and 36 are individuals with both PC1170(h) and PRCS cases.

**Figure 2. A majority of Santa Cruz County’s AB 109 Population are PRCS individuals.**

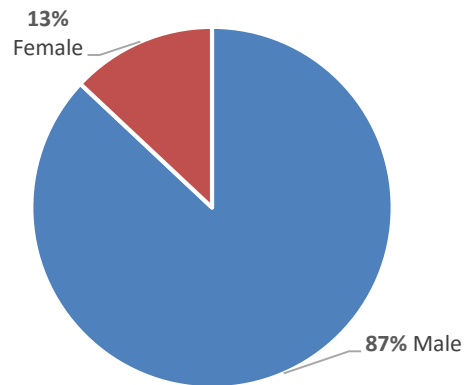


The majority of Santa Cruz County’s AB 109 population are White or Hispanic/Latino, and that 87% of the County’s AB 109 population is male. Among Santa Cruz County’s AB 109 population there are 399 AB 109 individuals who are white, 287 individuals who are Hispanic/Latino, 60 individuals who are African American, and 29 individuals who are from another racial/ethnic background.

**Figure 3. A majority of Santa Cruz County’s AB 109 Population are White or Hispanic/Latino**



**Figure 4. Eighty-seven percent of Santa Cruz County’s AB 109 population is male**



Since December 1, 2012 Santa Cruz County has tracked their use of the Correctional Assessment and Intervention System, a validated risk and needs assessment tool which helps to identify individuals risk



for recidivism and needs. Figure 5 demonstrates that the majority of AB 109 individuals received moderate or high CAIS risk scores during their initial CAIS risk and needs assessment.

**Figure 5. AB 109 individuals have high CAIS risk scores**

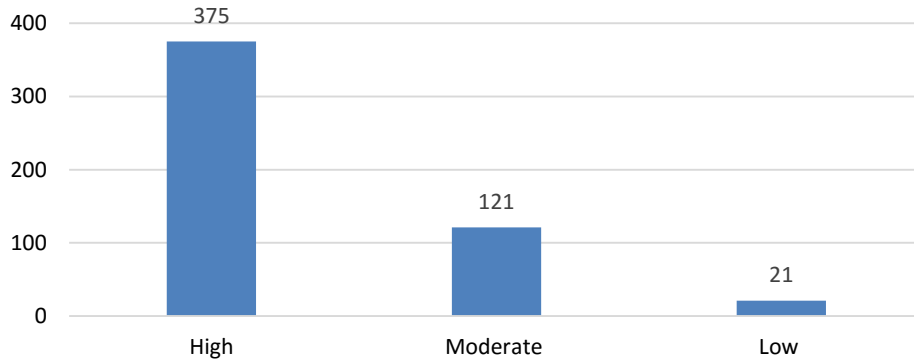
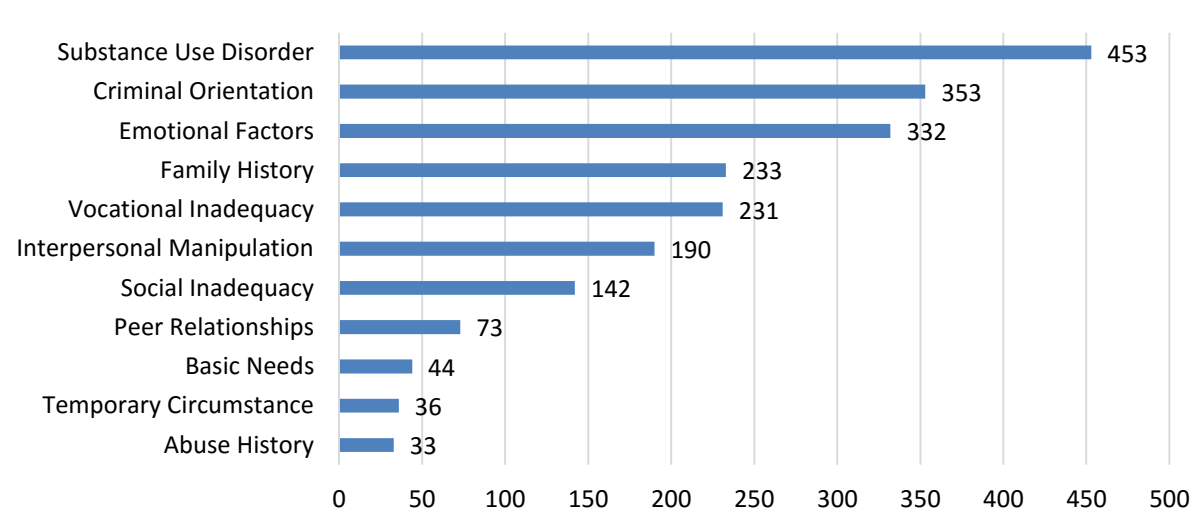


Figure 6 shows the CAIS-identified needs upon initial assessment of 517 AB 109 individuals who received CAIS risk and needs assessments since Probation began using the tool in 2012. Notably, over half of all assessed individuals have substance use disorders (SUD; 453), criminal orientation (353), and emotional factors (332) as identified needs on their initial CAIS risk and needs assessment.

**Figure 6. Substance Use Disorders, Criminal Orientation, and Emotional Factors are the top three CAIS-identified needs of AB 109 individuals**





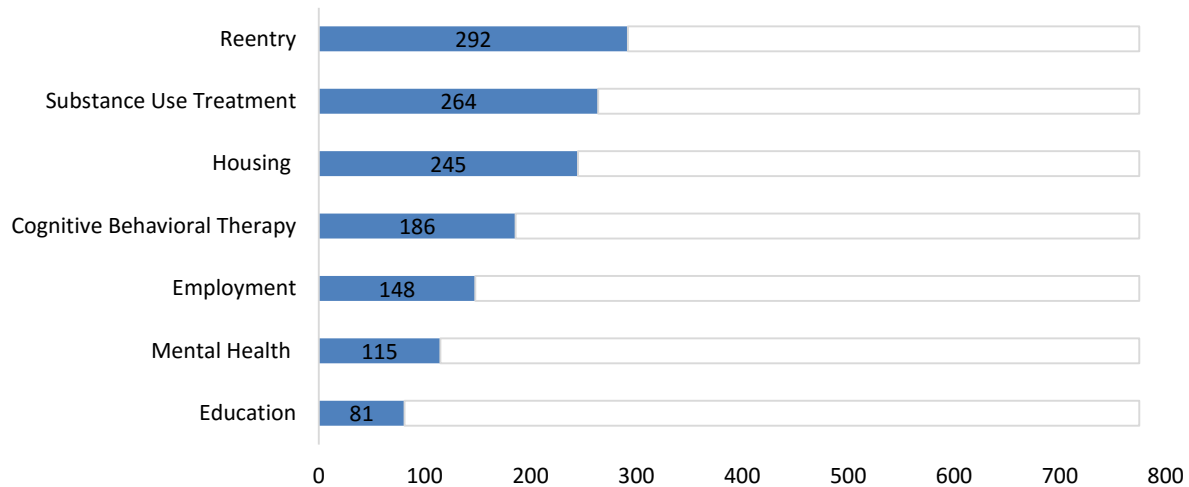


**Santa Cruz County Probation Department**  
*AB 109 Implementation Evaluation*

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Figure 7 depicts the participation of AB 109 clients in the service areas the County funds to address criminogenic needs. All AB109 participants are offered reentry planning, case management, and community support.<sup>2</sup>

**Figure 7. The AB 109-funded services most utilized by AB 109 individuals are Reentry Services, Substance Use Treatment, Housing, and Cognitive Behavioral Therapy**



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<sup>2</sup> The County funds other services to support reentry, such as transportation and community engagement, but does not calculate service dosage for these. These data only reflect service referrals to AB 109-funded programs and services and do not include services that are funded by other sources. AB 109 service receipt data reflect services received from January 1, 2012 - June 30, 2016; data were not available for any other time periods. Mental Health services are from contracted community-based providers; services counts do not include the 246 individuals who received County Mental Health services either in custody or in the community.



# Findings

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In implementing AB 109, Santa Cruz County is building on an already strong system of services that results from positive collaboration, a shared belief in collective impact, and a history of implementing evidence-based practices.

**Santa Cruz County Probation and Corrections leadership have long had positive collaborative relationships and a shared collective impact approach, which have facilitated the transition to AB 109 implementation.**

- Interviews with County leadership and staff suggest that there is a progressive culture in Santa Cruz County that values reform and rehabilitative efforts. Together, criminal justice departments and agencies collaborate to pursue their shared mission of reducing recidivism and protecting public safety.
- The County's collective impact approach guides their activities, data collection, and communication across agencies. Each of these elements, which have been in place in Santa Cruz County for some time, has allowed the criminal justice partners in the County to more successfully implement Realignment in ways that protects public safety while supporting the rehabilitation of AB 109 individuals as they reenter the community.

**In the years prior to the passage of AB 109, Santa Cruz County was already focused on implementing evidence-based practices (EBPs) and rehabilitative services across its justice system, which the County has been able to build upon for AB 109 implementation.**

- Evidence-based practices are a key component of the AB 109 legislation, which mandates that counties prioritize the use of EBPs in their supervision of and programming for AB 109 individuals. In criminal justice practice, EBPs refer to practices, policies, and programs that are rooted in scientific research and proven to reduce recidivism among AB 109 populations.
- Given their previous experience using EBPs, the County leadership was prepared for and motivated to expand its programs and practices to the AB 109 population.

Below, our process evaluation findings are separated into five sections informed by the County's AB 109 implementation logic model:

- A. Corrections Management
- B. Community Supervision
- C. Treatment and Intervention Services
- D. Court Processing
- E. System Coordination

Each section highlights key findings and recommendations for future implementation.



## **A. Corrections Management**

The primary role of the Sheriff's Office under AB 109 is to manage the custodial population in Santa Cruz County and to work to minimize jail crowding. In alignment with this goal, the Sheriff's Office is committed to providing in-custody services and reentry planning for individuals returning to the community.

The Sheriff's Office operates three jail facilities in Santa Cruz County: The Main Jail, Rountree Men's Facility (Rountree), and Blaine Street Women's Facility (Blaine Street). The County is also in the process of modifying unused property at Rountree to house 64 individuals in a step-down reentry facility expected to open in December 2017. Finally, the Custody Alternatives Program (CAP) provides an opportunity for individuals who are incarcerated to serve their sentences in the community through an electronic monitoring program under CAP supervision.

This section addresses the role of the Santa Cruz County Sheriff's Office in the implementation of AB 109, including the extent to which in-custody treatment and services and CAP facilitate reentry and promote positive experiences for individuals who are serving local prison sentences.

### **Highlighted Findings**

#### **Strengths:**

- ❖ The Sheriff's Office prioritizes managing the increase in custody population and sentence length due to AB 109 without increasing facility capacity.
- ❖ The Sheriff's Office prioritizes contracting with in-custody service providers that utilize evidence-based practices.
- ❖ The Sheriff's Office, in collaboration with Probation and contracted providers, places emphasis on improving service continuity during the custody-to-community transition.
- ❖ The Custody Alternative Program (CAP) helps reduce the in-custody population and allows individuals who are incarcerated to transition back to the community.

#### **Challenges:**

- ❖ Some corrections staff are still not bought in to a rehabilitative, program-oriented approach.
- ❖ Women and AB 109 individuals in protective custody have less opportunity to participate in rehabilitative services and earn credits for time served.
- ❖ There are challenges providing continuous care for clients as they transition between custody and the community, especially with services that support clients' medical care, substance use treatment, and mental health medication and treatment.
- ❖ AB 109 clients have limited awareness about their eligibility and selection for release on CAP.



**Finding 1: The Sheriff’s Office prioritizes in-custody programming and contracts with providers that utilize evidence-based practices to support AB 109 individuals’ rehabilitation and reentry. Along with this strong program focus, there are some challenges with access to services across facilities and promoting culture change toward a program orientation among some Sheriff’s Office staff.**

Prior to AB 109, Santa Cruz County provided programming and services in County Jails, and the Sheriff’s Office considered its correctional environments to be strongly program-oriented. Notably, the Sheriff’s Office has prioritized managing the AB 109 population without increasing jail capacity. Since the start of AB 109, the Sheriff’s Office has further prioritized in-custody service provision to meet the needs of AB 109 individuals who are serving longer sentences in County jail. In order to support individuals’ reentry over the course of their sentence and reduce the in-custody population, the Sheriff’s Office has developed a “step-down” system, with the goal of transferring individuals from the Main Jail to a medium security facility (Rountree), and then to an alternative form of confinement such as electronic monitoring before they complete their sentence.

“We want to make sure that people are leaving in better condition than when they arrived—physically, emotionally, educationally, [and in terms of] substance use. It’s always been my philosophy that it’s not our job to judge them; we need to give them tools so they don’t come back [into custody].”  
– Sheriff’s Office Staff

More recently, the Sheriff’s Office assessed its use of in-custody programs and selected those that use evidence-based practices (EBPs) and ensure that programs are outcomes driven. Additionally, Sheriff’s Office staff noted that the Sheriff’s Office now requires statements of work from in-custody service providers, as well as monthly and quarterly updates in order to ensure they have a clear understanding of the services being provided by each program.

According to the Sheriff Office’s Program Inventory there are a total of 61 types of programs, services, and activities available across the County’s three jail facilities.<sup>3</sup> Some of these include:

- ❖ Cognitive Behavioral Treatment
- ❖ Education
- ❖ Employment
- ❖ Mental Health
- ❖ Substance Use Disorder
- ❖ Life Skills
- ❖ Parenting
- ❖ Reentry Planning

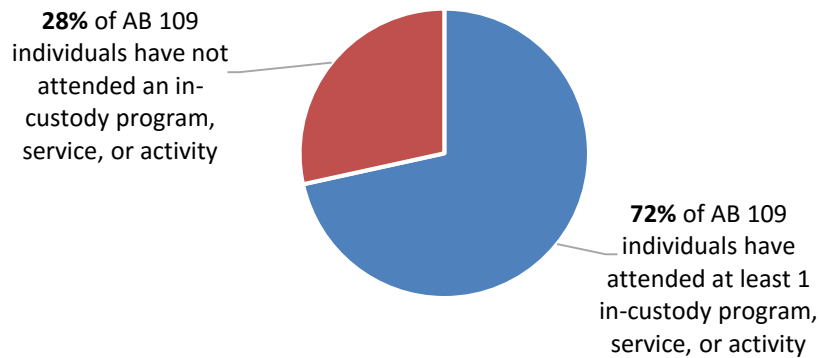
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<sup>3</sup> For a comprehensive list of the programs, services, and activities available across the County’s three facilities please see Appendix IV.



Figure 8 shows in-custody service participation data available between January 1, 2016 and August 31, 2016.<sup>4</sup> Of the 102 individuals who were sentenced under AB 109 and in custody during this period, nearly three-quarters (72 percent) participated in at least one in-custody program, service, or activity, and the majority participated in more than one in-custody program, service, or activity (ranging between one and 31). This demonstrates Santa Cruz County’s focus on providing in-custody services for AB 109 individuals serving local prison sentences.

**Figure 8. A majority of AB 109 individuals attend at least one in-custody program, service, or activity**



While the Sheriff’s Office has emphasized a commitment to in-custody programming, AB 109 individuals have disparate access to in-custody programming depending on the facility in which they serve their sentence.

- ❖ *Main Jail:* The Main Jail houses the majority of individuals incarcerated in Santa Cruz County. The Main Jail population includes individuals who are incarcerated for the most serious offenses and individuals who are in protective custody (e.g., gang drop-outs), some of whom are AB 109 individuals. Because many individuals housed at the Main Jail cannot interact with others and space limitations constrain programming options, it is challenging for the Sheriff’s Office to ensure access to services. For this reason, the Sheriff’s Office implemented the Programs Unit to house approximately 15 individuals at the Main Jail with greater access to services. Since AB 109 was implemented in October of 2011, about 20 percent of AB 109 individuals had classifications other than Minimum or Medium General Population, which suggests that they were housed in Main Jail and therefore had reduced access to in-custody programming compared to those at Rountree. Some AB 109 individuals who were in protective custody after deciding to terminate their gang involvement expressed that it felt frustrating and unfair to have limited access to in-custody services based on making positive life changes. One individual shared, *“We’re the ones who’ve dropped out of gangs ‘cause we’re tired of that lifestyle and are trying to change, and we don’t get to go to Rountree. It makes no sense.”* AB 109 individuals who were unable to be housed at Rountree conveyed that greater access to in-custody programs would make their experiences in

<sup>4</sup> The Sheriff’s Department was only able to provide reliable program attendance data from January – August 2016.

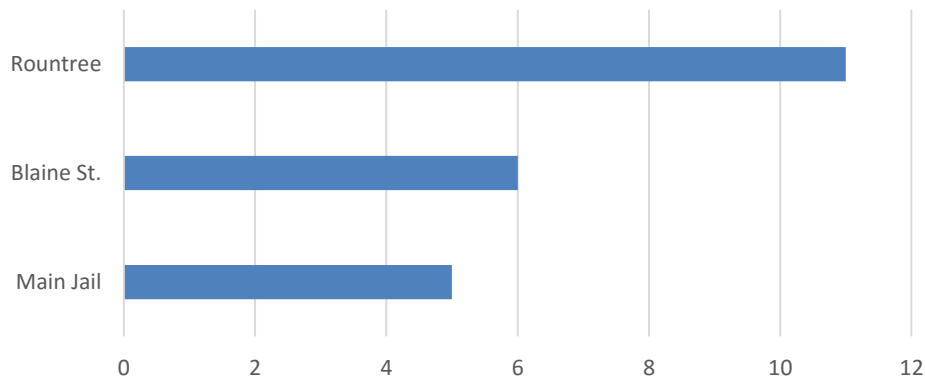


custody more meaningful and rehabilitative, and also provide them with comparable opportunities for earning credits for time served.

- ❖ *Rountree Men’s Facility (Rountree):* Individuals housed at Rountree, including AB 109 individuals, have the greatest access to services and are required to participate in at least four hours of programming each week. AB 109 funds are leveraged to provide numerous in-custody services at Rountree, and the infrastructure and in-custody population at Rountree (i.e., minimum- or medium-security, general population) allow for greater access to service opportunities.
- ❖ *Blaine Street Women’s Facility (Blaine St.):* Blaine St. is a minimum security facility that houses women who are incarcerated for less serious offenses. Until recently, all women at Blaine St. worked shifts in the kitchen, leaving a limited number of women available to participate in services at a given time. As a result, fewer service providers came into the facility. Women no longer work in the kitchen in the morning (from 8:00am – 11:00am), and are expected to participate in services during this time. Despite these recent changes, there are significantly fewer opportunities compared to the diverse array of services provided at Rountree.

Figure 9 below demonstrates that among AB 109 individuals who have served time in Santa Cruz County since January 1, 2016, those housed at Rountree participated in nearly twice as many different types of programs, services, and/or activities than individuals at Main Jail or Blaine Street. Among AB 109 individuals who attended at least one service, individuals at Rountree attended an average of 11 programs, services, or activities while individuals at the Main Jail and Blaine St. attended an average of five and six different programs, services, or activities, respectively. These findings highlight the disparate access to services across the County’s jail facilities.

**Figure 9. AB 109 individuals at Rountree participate in greater numbers of services**



AB 109 clients identified some in-custody programs that are beneficial, including anger management classes and Thinking for a Change; however, those who have participated in the program unit expressed frustration that the type and quality of program offerings has decreased recently. Interviews and focus groups also suggested that AB 109 individuals may not always be informed about the programs and services available to them, which may impede their access to services. While individuals at Rountree participate in an orientation during which programs are introduced, there are no clear processes at the



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Main Jail for sharing information with AB 109 individuals about available in-custody programming. Though Sheriff's Office staff are in the process of improving their system, they primarily use word of mouth to let individuals know about different in-custody programs. Individuals who are incarcerated can submit forms to see if certain programs are available or to express interest in specific types of programming, but the Sheriff's Office does not have formalized processes in place to share information about the availability and scheduling of in-custody programs.

Furthermore, while leadership from the Sheriff's Office expressed a strong commitment to service provision and implementation of EBPs in custody, there does not appear to be consistent buy-in from all levels of staff for a program-oriented custodial environment. According to some Sheriff's Office staff, while a number of staff have welcomed the integration of programs into the county's facilities, the rehabilitative organizational culture has not permeated to all staff throughout the three jail facilities. *[Some] Main Jail officers don't support programming or providers. [The culture is] changing, but it's still a barrier...For programming to work, officers have to feel ownership and buy-in...Officer engagement is key. – Sheriff's Office Staff*

This perspective of Sheriff's Office staff is consistent with comments from AB 109 individuals housed at the Main Jail, who suggested in focus groups that many of the Main Jail correctional officers could do more to help connect them with in-custody services. According to some AB 109 individuals, the correctional officers who advocate for them are discouraged from doing so.

**Finding 2: The Sheriff's Office has become more integrated in the custody-to-community continuum as they have increased their collaboration with Probation and their emphasis on reentry planning to support individuals in successfully transitioning to the community.**

The County uses three types of case plans to support successful reentry for AB 109 individuals. Figure 10 provides a description of the custodial case plan, the reentry case plan, and the community case plan.



**Figure 10. Santa Cruz County implements three different case plans to support successful reentry for AB 109 individuals**

Custodial Case Plan	Reentry Case Plan	Community Case Plan
<ul style="list-style-type: none"> <li>• When Probation becomes aware of an AB 109 individual sentenced under PC 1170(h), a Probation Officer conducts the CAIS assessment while they are in custody in order to identify their needs and develop a custodial case plan.</li> <li>• To support case planning, the Sheriff’s Office and Probation have collaborated to implement the Client Executive Summary (CES). The CES highlights each individual’s CAIS identified needs, as well as their in-custody programming histories in order to serve as a resource for case planning.</li> </ul>	<ul style="list-style-type: none"> <li>• A multidisciplinary team comprising correctional officers, Probation officers, and community providers meet to discuss each 1170 (h) case and develop reentry plans prior to their release, using the CES to guide conversation and planning.</li> <li>• Community providers meet with AB 109 individuals while they are in custody to discuss their needs so that these expressed priorities are considered during the case planning meetings as well.</li> </ul>	<ul style="list-style-type: none"> <li>• Probation officers develop community case plans when they meet with AB 109 individuals in the community.</li> <li>• Community case plans are guided by the Correctional Assessment and Intervention System (CAIS), which suggests the supervision intensity for each AB 109 individual and guides referrals to reentry services.</li> </ul>

To support reentry planning, the Sheriff’s Office collaborates with the Probation Department and contracted in-custody service providers to pilot the Client Executive Summary (CES), which tracks clients’ criminogenic needs and service history and guides case management and reentry planning. In addition, Probation piloted and facilitates the 1170 Case Planning Meeting with a strong emphasis on collaboration with the Sheriff’s Office and community reentry providers. These meetings involve a multidisciplinary group of staff from the Sheriff’s Office, Probation, and contracted service providers for individuals sentenced under PC 1170(h). Interview participants noted that integrating the Sheriff’s Office in reentry planning in this manner demonstrates a shift in culture from years past when the Sheriff’s Office primarily considered the immediate circumstances of individuals who were incarcerated in County jail, and collaborated less with other County Departments and/or service providers to help provide a continuity of services.

“The theory is to frontload services...so [individuals] can be prepared when they leave [custody]. We pay attention to the timing of programs...so they can continue the curriculum in the community.”  
 – Sheriff’s Office Staff





**Finding 3: There remain some challenges in ensuring continuity of care during the transition between custody and the community, especially with services that support clients' medical care, substance use treatment, and mental health medication and treatment.**

Along with strong, ongoing efforts to improve the custody-to-community transition by offering some of the same services in and out of custody, there remain some interruptions in the continuity of services for AB 109 individuals transitioning from the community to custody, and from custody to the community.

The challenges with continuity of care from the community to custody are particularly relevant for AB 109 individuals with medical needs. According to AB 109 individuals in the community and in custody, medical services remain inadequate across the County's jails. One area in which this issue has been especially salient is medication-assisted treatment, which best practices suggest should be part of in-custody treatment plans and pre-release service coordination.<sup>5</sup> One AB 109 individual shared, *"I was getting Suboxone in the community and...[when I got to jail] they gave me nothing. If you're trying to kick drugs, it's a nightmare... You're losing your mind without it."* AB 109 individuals also expressed that there are often long wait times to receive medical attention while in custody and that medical treatment is often overlooked or provided in public spaces when brought to a nurse's attention. The quality of in-custody medical care is the subject of other ongoing County investigations and reports; therefore, they are not addressed further in this report.

Regarding the transition from custody to the community, while many reentry service providers make strong attempts to continue clients' engagement in services post release, service provider staff reported that AB 109 clients face barriers to continuing substance use or mental health treatment when clients are not directly linked to care upon release. Staff shared that the unpredictability of release dates can hinder opportunities for such "warm handoffs," as individuals may be released from custody early or at an unexpected time. One service provider shared, *"For those who don't finish their in-custody treatment, they can transition to outpatient treatment. [But]...when they're suddenly discharged...we lose their trail."* Furthermore, some providers also discussed that it is inherently difficult to ensure that all clients continue with reentry services such as job readiness training or other classes when they are released, since individuals often face multiple challenges and competing needs when returning to the community after a period of incarceration.

**Finding 4: The Custody Alternatives Program reduces the in-custody population and provides the opportunity for individuals who are incarcerated to transition back to the community.**

As a result of AB 109, the Sheriff's Office implemented electronic monitoring through its existing Custody Alternatives Program (CAP) to help reduce the in-custody population and provide individuals who are incarcerated with an opportunity to be released under the supervision of CAP staff. According to CAP staff, the program encourages accountability and stability for individuals returning to the community, helping make the transition a successful one. CAP is managed by a Lieutenant and staffed by a Supervising

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<sup>5</sup> National League of Cities and National Association of Counties Joint Task Force. (2016). A prescription for action: Local leadership in ending the opioid crisis.

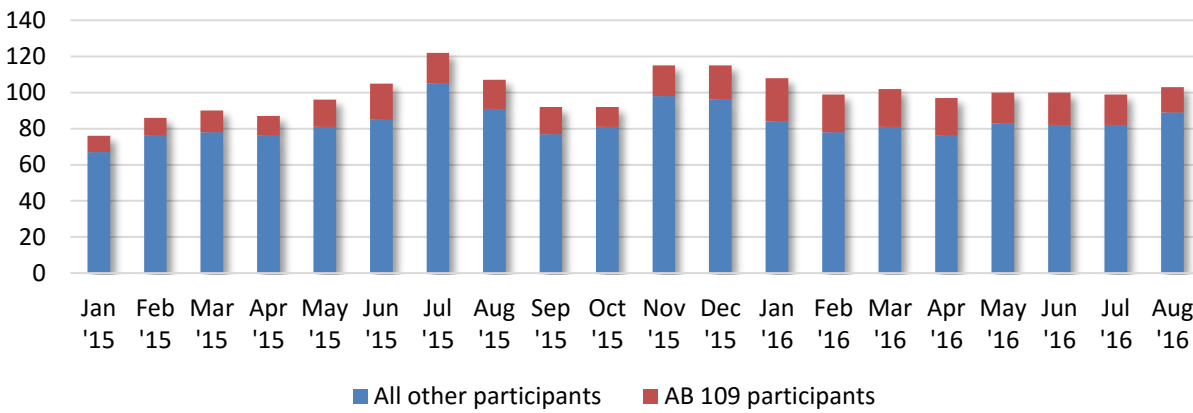


Correctional Officer, three additional Correctional Officers, one Probation Officer, and 1.5 full time administrative employees.

Unlike many other counties who only release their lowest level offenders to electronic monitoring, the Sheriff’s Office has chosen to release some AB 109 individuals as well, indicating a willingness to evaluate public safety risk and trust AB 109 individuals to be successful out of a locked facility. The supervision intensity of individuals released on CAP varies according to an individual’s CAIS assessed risk score.

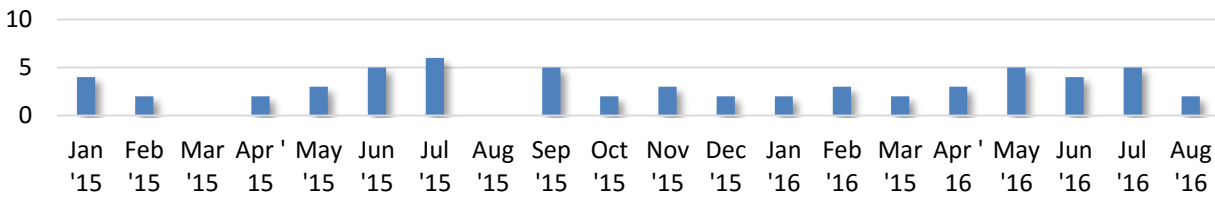
Figure 11 demonstrates that since January 1, 2015 the CAP program has supervised, on average, 99 individuals per month.<sup>6</sup> While some AB 109 individuals are not eligible for custody alternatives due to judicial restrictions, an average of 16 AB 109 individuals have been released on CAP each month, as shown in the top of each bar below.

**Figure 11. AB 109 individuals are released on CAP to reduce the County’s in-custody population**



CAP participants are terminated or remanded to custody if they abscond, cut off their electronic monitor, or commit a new crime, as well as in some cases if they have a positive drug and/or alcohol test or miss meetings with their supervisor (especially if these behaviors are recurrent). Figure 12 demonstrates the number of CAP terminations per month since the January 2015.<sup>7</sup> This figure shows that only a small percentage of all CAP participants—six or fewer per month—have been terminated since the program’s inception, which indicates that releasing high-risk individuals on electronic monitoring can be a safe option.

**Figure 12. There are very few CAP terminations each month**



<sup>6</sup> The Sheriff’s Office was only able to provide CAP data since January 1, 2015

<sup>7</sup> The Sheriff’s Office was only able to provide CAP data since January 1, 2015.



While the County's implementation of CAP has been successful in reducing the jail population and providing options to serve one's sentence in the community, AB 109 individuals expressed that there is a lack of transparency around eligibility requirements and who is selected for CAP, which can lead to confusion and frustration on the part of both clients and service provider staff. CAP staff suggested that all individuals who are incarcerated are assessed for CAP eligibility. In order to be eligible for CAP, individuals must have non-violent offense histories and stable housing options (which may be provided by the County or contracted providers). The majority of individuals, including AB 109 individuals, meet these eligibility criteria.

Once individuals are deemed eligible, CAP staff use discretion to decide who is released, prioritizing individuals without a history of arrests who have their own reliable housing options. Because many AB 109 individuals meet eligibility criteria but are not released, individuals in community and in-custody focus groups expressed that decisions for CAP release feel arbitrary. Some individuals also expressed that personal relationships seem to impact considerations for release. AB 109 clients also had little clarity about the cost of CAP participation. One AB 109 individual articulated the challenges when they stated, *"I didn't know I had to pay. When I was done they gave me a bill...through CAP."* According to CAP staff, the costs associated with CAP are determined by the types of electronic monitoring devices individuals are required to wear; however, AB 109 individuals who participated in focus groups were not aware of this distinction. Some AB 109 individuals expressed that they were released to CAP without knowing there were any charges associated with participation, while others reported that the costs associated with the program were unclear. While CAP has overall been successful in releasing clients on electronic monitoring without future instances of recidivism, without a clear understanding of CAP policies and procedures, clients who are eligible for or have participated in CAP may hold an inaccurate or negative perception of the program.

## Recommendations

**The Sheriff's Office should continue its focus on evidence-based in-custody programming, custody alternatives, and successful reentry.**

- Interviews with leadership and staff from the Sheriff's Office suggest that the current emphasis on systematic selection and implementation of in-custody programming, as well as electronic monitoring, is relatively new. RDA recommends that the Sheriff's Office continue to make this a priority by providing a variety of evidence-based programs for AB 109 individuals in all facilities.

**The Sheriff's Office should continue working with Probation to monitor the pilot implementation of the Client Executive Summary (CES) in custody in order to inform future decision-making about its use as a system-wide tool for reentry planning and case management.**

- According to both Sheriff's Office and Probation staff, the CES is a tool that can facilitate case management and in-custody reentry planning by highlighting the criminogenic needs and programming histories of AB 109 individuals. The Sheriff's Office should collaborate with



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Probation to monitor the in-custody use of the CES in order to evaluate the extent to which Sheriff's Office and Probation staff are using the tool, as well as if and how often contracted service providers and/or AB 109 individuals are able to access the tool. Monitoring the CES might include periodic reviews to assess the extent to which documents are up to date, as well as key informant interviews and/or focus groups with Probation and Sheriff's Office staff, service providers, and AB 109 individuals to assess how effectively the CES is being used in-custody to help facilitate case management and reentry planning pre- and post-release.

**The Sheriff's Office should increase transparency around CAP eligibility and consider alternative options for reducing or eliminating the costs of CAP participation for AB 109 individuals.**

- To promote clarity around CAP procedures and reduce perceptions among AB 109 individuals that CAP eligibility determinations can feel arbitrary, RDA recommends that the Sheriff's Office develop written policies and procedures that clearly define eligibility criteria, selection processes, and the costs surrounding CAP. These policies and procedures should be available for individuals who are incarcerated to view.
- Currently, though CAP fees help fund the program and the Sheriff's Office offers payment plans, CAP promotes cost savings for the Sheriff's Office by reducing the custodial population. Given that research indicates that criminal justice fees significantly limit individuals' chances to reenter society successfully and can begin an ongoing cycle of debt,<sup>8</sup> the Sheriff's Office should consider alternative sources of funding for CAP to reduce the need to charge individuals for participation.

**The Sheriff's Office and Probation should work together to support continuity of care between custody and the community through continued communication and coordination.**

- AB 109 individuals in custody and in the community, as well as Sheriff's Office staff and providers cited examples of clients who were unable to continue services after transitioning either to the community or custody. While ensuring this continuity is not the responsibility of any one agency, it bears noting that this is a persistent and common challenge to the continuity of care in reentry systems. Probation and Sheriff's Office staff should continue to collaborate with each other and with providers through the CES and informal conversations, with particular emphasis on ensuring access to medical care and medication assisted treatment in custody, and supporting communication between jail, probation, and service providers regarding the unpredictability of release dates.

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<sup>8</sup> Bannon, A., Nagrecha, M., & Diller, R. (2010). Criminal justice debt: A barrier to reentry. Brennan Center for Justice.



## **B. Community Supervision**

According to the County's AB 109 implementation logic model, key community supervision activities include the supervision of 1170 and PRCS individuals; their assessment and case management, as guided by the CAIS; the use of motivational strategies and Effective Practices in Community Supervision (EPICS); and linking clients to effective treatment and intervention services.

The Probation Department consists of a pretrial unit, a formal probation unit, and an AB 109 unit (including an officer who works with the Custody Alternatives Program [CAP] to supervise AB 109 individuals released to CAP). In addition to having an AB 109 unit with probation officers who only supervise AB 109 individuals, some probation officers with specialized caseloads (e.g., individuals with identified mental health needs) also supervise AB 109 individuals.

The following sections describe the role of Probation in AB 109 implementation, highlighting the department's use of evidence-based practices (EBPs) to guide supervision, as well as their role as case managers for AB 109 individuals on probation in Santa Cruz County.

### **Highlighted Findings**

#### **Strengths:**

- ❖ Probation is committed to delivering evidence-based practices (EBPs) in community supervision to promote rehabilitation, reduce recidivism, and protect public safety.
- ❖ All Probation staff are trained in and are implementing EBPs including the CAIS, EPICS, motivational interviewing, cognitive behavioral therapy, and trauma-informed care.
- ❖ The Probation Department collaborates with the Sheriff's Office and contracted community-based programs to connect AB 109 individuals to an array of services to meet their identified reentry needs.
- ❖ Probation officers supervise AB 109 individuals who are released to CAP; in doing so Probation helps manage the County's correctional population and supports Sheriff's Office efforts to safely reduce the in-custody population.

#### **Challenges:**

- ❖ Probation officers' workloads can limit their capacity to consistently apply EBPs as intended.
- ❖ It can be difficult for probation officers to connect clients to services to meet every reentry need, given limitations in the availability of services, the existence of multiple and competing needs, and challenges securing client engagement.
- ❖ There are gaps in communication between Probation and contracted service providers about how Probation prioritizes and addresses clients' needs.



**Finding 1: The Probation Department prioritizes and trains staff in a number of evidence-based community supervision practices to promote rehabilitation and reduce recidivism.**

The Probation Department has adopted evidence-based practices to reduce recidivism with a focus on effective community-based treatment and intervention services. Much of the Probation Department's evidence-based approach to community supervision began prior to AB 109 with the implementation of Senate Bill (SB) 678, which Probation views as a precursor to AB 109 that helped the department bring in new tools. Probation officers, who serve as the primary case managers for all individuals under probation supervision, are trained in several EBPs and are expected to use them as often as possible. Probation officers also make referrals to community providers based on the needs of AB 109 individuals as indicated by the Correctional Assessment and Intervention System (CAIS) risk and needs assessment.

Evidence-based practices in use by Probation at the time of this evaluation include the CAIS, Effective Practices in Community Supervision (EPICS), motivational interviewing techniques, cognitive behavioral therapy (CBT), and trauma informed care. The department is also in the process of developing a risk and responsivity tool to match clients to services. In addition, the Department worked with the Judicial Council of California to develop and implement a response grid to guide objective decision-making regarding sanctions and rewards for behavior. Below the use of the CAIS and EPICS are discussed in greater detail.<sup>9</sup>

***Correctional Assessment and Intervention System (CAIS).*** Santa Cruz County Probation uses the CAIS risk and needs assessment to guide risk-based supervision practices. The CAIS is an evidence-based risk and needs assessment developed by the National Council on Crime and Delinquency (NCCD) and used to determine the criminogenic needs, supervision intensity, and case planning for AB 109 individuals in Santa Cruz County. Interviews and focus groups suggested that probation officers and aides are carrying out initial CAIS assessments as intended, with all AB 109 individuals receiving a CAIS assessment either at intake or prior to their release.<sup>10</sup> PRCS individuals who are released from prison and supervised by the county have CAIS assessments conducted by staff from the probation intake unit. AB 109 individuals sentenced to local prison under PC 1170 (h) receive the CAIS assessment in custody. Currently, the Probation Department intake unit completes initial assessments to ensure timeliness, uniformity and consistency in the administration of the CAIS. According to Probation staff, because the community expects the County to monitor AB 109 individuals on probation closely, AB 109 individuals are supervised at no lower than moderate risk, regardless of their CAIS-assessed risk scores. This means that all AB 109 individuals must check in with their probation officer at least once per month, as opposed to being assigned to an administrative caseload (or to a probation officer with a very large caseload) like other low risk individuals.

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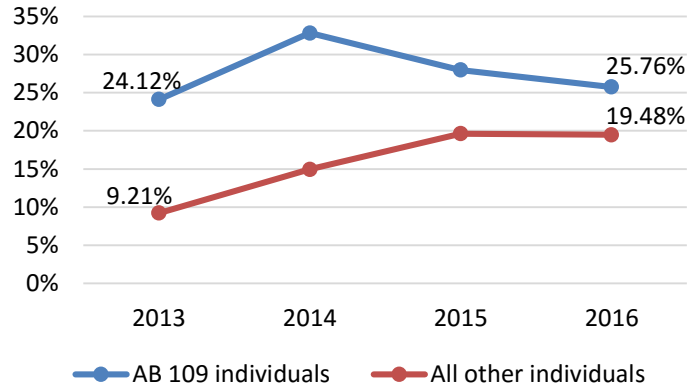
<sup>9</sup> Quantitative data were only available on the use of CAIS and EPICS.

<sup>10</sup> This does not include individuals who were in custody in 2011 and 2012 before Probation began using the CAIS.



**Effective Practices in Community Supervision (EPICS).** The EPICS model “is designed to use a combination of monitoring, referrals, and face-to-face interactions to provide the offenders with a sufficient ‘dosage’ of treatment interventions, and make the best possible use of time to develop a collaborative working relationship.”<sup>11</sup> The intention of EPICS is for probation officers to incorporate EPICS into most, if not all, of their conversations with clients. The Probation Department asks probation officers to document the use of EPICS in the department’s data system. Data between March 1, 2013 and October 31, 2016 suggest that probation officers may not be consistently tracking their use of EPICS, as data show probation officers using EPICS with less than one-third of their clients. The data also suggest that probation officers may be using EPICS more often with AB 109 individuals than with others.

**Figure 13. DPOs use EPICS more often with AB 109 individuals**



Probation officers have a strong understanding of the department’s EBPs and use them as frequently as they can, recognizing that EBPs like the CAIS and EPICS are an opportunity to build rapport with clients. The Probation Department has provided a number of trainings in EBPs and has carried out validation studies to ensure officers are using the tools accurately. Overall, probation officers’ attitudes and practices seem to align with the supportive approach of AB 109 supervision and the implementation of EBPs, despite some challenges with applying new practices as a result of officers’ workload (see Finding 3 below).

The Probation Department also recognizes that in order to implement EBPs with fidelity, all probation staff need to understand the meaning and priority of each criminogenic need as identified by the CAIS. Currently, probation officers receive CAIS results via reports from the National Council on Crime and Delinquency (NCCD), which provide a list of criminogenic needs identified by the assessment. Probation

“The thing about the CAIS is that it’s still subjective once you get the results because you’re choosing what to attack first.”  
 – Probation staff

officers have been trained in how to identify and prioritize needs by identifying the driver of the criminal behavior; at the same time, this process is inherently subjective, which, according to some probation staff, can make it difficult to determine the best course of action for a client.

<sup>11</sup> University of Cincinnati Corrections Institute. (2010). The EPICS Model: Effective Practices in Community Supervision. Retrieved December 8, 2016 from [https://www.uc.edu/corrections/services/trainings/effective\\_practices\\_in\\_community\\_supervision.html](https://www.uc.edu/corrections/services/trainings/effective_practices_in_community_supervision.html)

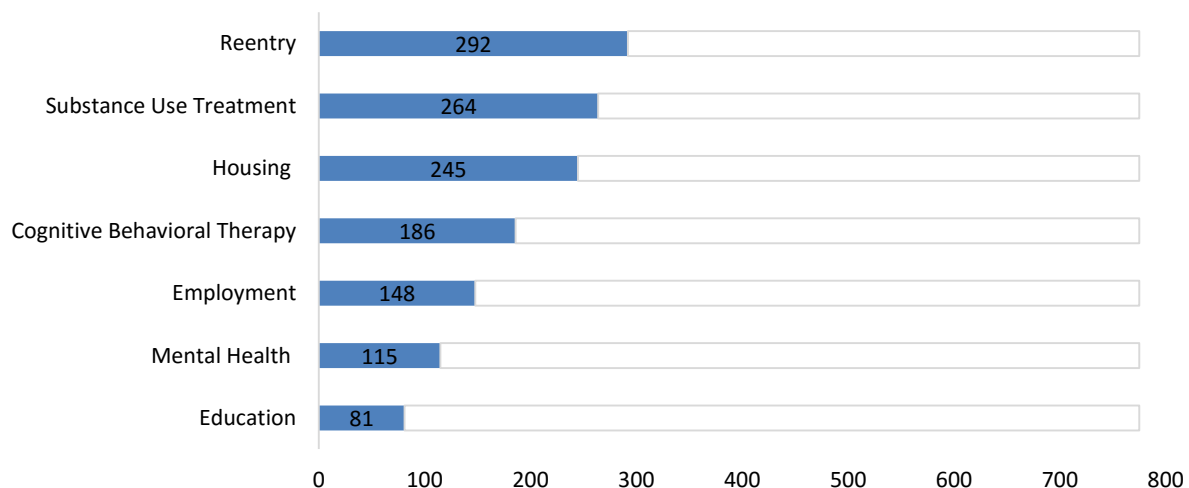


**Finding 2: The Probation Department collaborates with the Sheriff’s Office and contracted service providers to connect AB 109 individuals to a comprehensive array of services to meet their reentry needs.**

The Probation department serves an important role in coordinating the reentry system by collaborating with County stakeholders, including the Sheriff’s Office, public benefits agencies, and contracted CBOs, to connect AB 109 to services. In interviews with leadership it was clear that Probation and the Sheriff’s Office communicate frequently to identify AB 109 individuals and connect them to services while in custody and to develop a reentry plan that can be implemented upon reentry to the community. In line with the Probation Department’s commitment to community-based reentry services, the department directly funds a host of treatment and intervention services (described in Section C below) and also leverages other funding sources and County services to meet the comprehensive needs of AB 109 individuals as they reenter the community.

In order to connect AB 109 individuals to appropriate services, Probation conducts an initial CAIS assessment for each individual to identify and prioritize their treatment and intervention needs. Probation officers then use the CAIS results to refer AB 109 individuals to services. Probation staff noted that most of the time, probation officers attempt to address multiple client needs at once by connecting clients to both AB 109-funded programs as well as other County resources based on their CAIS-identified needs, including housing, job readiness, clothing, transportation, and public assistance services, as well as substance use treatment, mental health services, and cognitive behavioral therapy. As shown in Figure 14 below, of the AB 109-funded services, AB 109 clients most commonly participated in Reentry Services, Substance Use Treatment, Housing, and Cognitive Behavioral Therapy.

**Figure 14. The AB 109-funded services most utilized by AB 109 individuals are Reentry Services, Substance Use Treatment, Housing, and Cognitive Behavioral Therapy**



Probation staff noted that it can sometimes be challenging for probation officers to connect clients to services to meet every client need, given a number of factors, including gaps in the availability of services, the challenge with addressing several needs at once, and challenges maintaining client engagement. For





example, probation officers observed that it can be difficult for some clients to maintain engagement in employment readiness services after they are released from custody, as clients often experience many pressing and competing needs upon reentry. On top of this, there is a general shortage of employment opportunities for individuals with a criminal record, despite an active campaign by the Community Education & Engagement Workgroup of the CCP to identify employers willing to hire formerly incarcerated individuals.

Focus groups with AB 109 individuals suggest that those under community supervision have varied experiences with their probation officers; some individuals felt their probation officers are supportive and work to connect AB 109 individuals to services, while others expressed that their probation officers have been more punitive. Service providers noted that probation officers may have different levels of knowledge of the service infrastructure, and as a result some probation officers make more service referrals than others. Focus group discussions also suggest that some AB 109 individuals may not sufficiently understand the contents of their CAIS to participate meaningfully in their case planning process and to understand and support their case plan. Overall, however, there was consensus among AB 109 individuals with previous criminal justice system experience that probation supervision was highly preferable to parole, noting that the service-oriented approach of AB 109 has helped them move forward in their lives.

“I’ve been on parole and it’s rough...AB 109 is more understanding with us and it’s something we need. It really helped me out and it’s still helping me out.”  
– AB 109 individual

**Finding 3: Heavy workloads can limit probation officers’ capacity to consistently apply EBPs as intended.**

As discussed above, the Probation Department has adopted an evidence-based approach to community supervision and has worked hard to ensure that staff are prepared to implement EBPs. The Probation Department recognizes that staff will benefit from continued training in EBPs to ensure the tools are implemented accurately and consistently. As a result of probation officers’ workloads, including responsibilities such as court appearances and field visits, probation officers expressed that they are not able to implement all EBPs as intended. For instance, some probation officers suggested they are not able to reassess individuals with the CAIS every six months because they do not have time; they may delegate reassessments to another probation aide or intern. Others suggested that it is not always possible to

“I get behind. I’m doing a lot of putting out fires and there is not enough time for reassessment.”  
– Probation Officer

utilize the EPICS model or other supervision techniques in every interaction due to time constraints and other work responsibilities (e.g., court obligations).

Probation staff noted that the ideal caseload ratio for the high risk AB 109 cases is 35 to 1, while the caseload ratio for the moderate caseload is 55 to 1. Probation staff indicated that actual caseloads have fluctuated between approximately 30 to 45 AB 109 individuals per probation officer since the start of AB 109; this indicates that while caseload size may be within the expected range, probation officers still experience heavy workloads that make it challenging to apply EBPs in all instances.





**Finding 4: The Probation Department and its AB 109 contracted service providers do not always agree or communicate clearly about how to serve the AB 109 population, which can lead to missed opportunities for greater collaboration.**

Probation staff have emphasized the department's efforts to secure services to meet a wide array of client reentry needs. However, it appears that contracted AB 109 services providers hold differing perspectives about the extent to which the Probation Department prioritizes and effectively addresses client needs beyond criminal orientation. As part of this challenge, it appears there is not clear communication with AB 109 individuals and service providers about the use and integration of the collaborative reentry plan in individuals' community case plan. As a result, some service providers and clients expressed a perception that probation officers do not adequately address clients' needs beyond their criminal orientation. For example, while Probation staff emphasized that officers make concerted efforts to connect clients to resources for housing, employment, and education based on clients' needs, some service provider staff expressed that Probation referrals to address criminal orientation can take precedence over equally important referrals to meet clients' other needs for successful reentry, such as housing, employment, and education.

Probation staff reported that an analysis conducted in 2014 by George Mason University indicated that the greatest service gap was in programs addressing criminal thinking; since that time, expanding the scope and reach of cognitive behavioral services has been one of the CCP's key objectives. It is possible that the increased focus of the Probation Department on criminal thinking feels new to some service providers who have been providing substance use treatment and reentry services according to a different philosophy.

The perception that certain client needs are not being met can be further compounded when programs for services identified in the collaborative reentry plan are above capacity or currently unavailable in the County (see Section C for more information on services gaps and barriers).

## **Recommendations**

**The Probation Department should continue to prioritize the implementation of evidence-based practices with consistency and fidelity.**

- In interviews with County leadership and Probation staff, it was clear that Probation has been a leader in the County with its implementation of EBPs, even before the passage of AB 109 legislation. Probation is well versed in EBPs for effective community supervision and should continue implementing the existing evidence-based tools and ongoing training for all Probation staff. Moving forward, Probation should evaluate potential solutions to ensure EBPs such as EPICs and CAIS re-assessments are implemented, even with heavy workloads.
- To ensure that data reporting is accurately capturing all instances in which probation officers use EPICS, the Probation Department should continue working with probation officers to make sure they are coding their use of EPICS in the Probation data system.



**The Probation Department should take steps to improve staff's understanding of how to interpret and prioritize CAIS-identified needs, and ensure that providers and clients also understand Probation's approach to applying CAIS results.**

- According to Probation staff and contracted service providers, it is unclear how the CAIS identifies the criminogenic needs of AB 109 individuals and how the needs are prioritized. RDA recommends that Probation work with the NCCD to continue to improve the department's understanding of how the tool identifies criminogenic needs, how to interpret the results of the assessment, and the extent to which the tool can help to prioritize these needs.
- While the Probation Department shares CAIS information with providers on service referral forms, and has reviewed the elements of the referral form with providers, a number of providers expressed that they would like to make sure they understand the CAIS and how Probation expects providers to apply the results of the CAIS in service delivery. This sentiment among providers indicates that it would be beneficial for Probation to revisit the meaning of the CAIS to support providers in tailoring services based on an understanding of clients' CAIS-identified needs.
- To facilitate a shared understanding between probation officers and clients about how Probation uses the CAIS to guide supervision, it would be beneficial to further explore client perceptions of the case planning process in order to understand clients' recommendations for improving the case planning process. Probation may want to create or refine existing procedures and ensure probation officers have a structured process for explaining the CAIS to clients and engaging clients in a conversation about the results.

**The Probation Department should develop systems that allow Probation staff to maintain a client-centered approach that maximizes probation officers' time and integrates community and reentry case plans.**

- Involving AB 109 individuals in their case plan development is an important way to build rapport between the probation officer and the client, help the client feel supported by their probation officer, and ensure their needs are met. Probation officers have strong intentions to include clients in the case planning process, but discussions with AB 109 clients suggest that clients still do not always understand their CAIS needs or the service referrals that are made. The Probation Department should devote attention to refining the process of sharing information with clients to ensure that clients feel included in their case planning process.
- One way to build rapport may be for probation officers to conduct the CAIS assessment, instead of the Probation intake unit. According to the National Council on Crime and Delinquency (NCCD), the CAIS helps officers successfully manage the supervision relationship and can help build rapport with clients. Thus, the CAIS tool may be more effective if administered by probation officers instead of aides. Recognizing that probation officers already have numerous responsibilities, the Probation Department may consider restructuring the distribution of tasks so probation officers conduct initial CAIS assessment and referrals, while probation aides take care of administrative follow-up or extension referrals.



## C. Treatment and Intervention Services

Consistent with Santa Cruz County's emphasis on evidence-based programs, there are many evidence-based treatment and intervention services available to AB 109 individuals living in Santa Cruz County. Services are provided by both the County (i.e., Santa Cruz County Health Services Agency and Office of Education) and contracted service providers, and span the following areas:

- ❖ Criminal Thinking, Behavior, and Identity
- ❖ Educational Programming
- ❖ Family Involvement
- ❖ Housing Support
- ❖ Mental Health Care
- ❖ Reentry Planning and Community Support
- ❖ Substance Use Disorder Treatment and Recovery Maintenance
- ❖ Workforce and Job Placement

Appendix IV presents a summary of the service providers currently receiving AB 109 funds in Santa Cruz County and the types of programs and services delivered.

This section addresses the AB 109-funded treatment and intervention services delivered in the community. This section does not capture service participation information for services that do not receive AB 109 funding, or may leverage other funds in addition to AB 109 funding. For findings regarding in-custody treatment and intervention services, please see the Corrections Management section.

### Highlighted Findings

#### Strengths:

- ❖ Providers are committed to and familiar with a number of evidence-based practices. In addition, they are eager to provide services and connect clients to the most appropriate services.
- ❖ There is a strong connection among the provider network; providers are aware of the services and resources that exist across organizations.

#### Challenges:

- ❖ Challenges and delays in the referral process can hinder the timely connection of clients to services and limit providers' ability to meet contract requirements.
- ❖ There remain gaps in services, including a need for more housing, substance use, and mental health treatment countywide, and a need for more services of all types in South County.



**Finding 1: There is a strong network of service providers eager to collaborate with Probation and other County partners to deliver evidence-based treatment and intervention services.**

Probation prioritizes contracting with providers who implement evidence-based programs and services and requires each contracted service provider to document their program attendance on a weekly basis and their program implementation on a quarterly basis in order to ensure programs are being delivered to fidelity. Focus groups indicated that the current network of providers understand the importance of delivering programs and services to fidelity and are eager to work with Probation to ensure they receive referrals for clients who are appropriate for those services.

Providers have a strong network among one another and are well versed in the services available across Santa Cruz County, which enables them to make recommendations to clients and Probation staff about services a client may need. Some providers described that they have strong relationships with Probation staff that enable them to connect directly with probation staff, which helps facilitate referrals for clients. In focus groups with Probation staff, participants indicated that they appreciate the collaborative nature of their relationship with service providers because it makes it easier to connect clients to services.

Focus groups with contracted service provider staff and managers also highlighted that service providers care about clients and are motivated to connect them to services. Overall, focus groups with clients indicated that AB 109 clients feel service providers care about them and are invested in their success. They said that service providers want them to succeed and provide support to do so. Many clients also stated that when they express a need to their providers or their probation officer, staff are responsive to making those referrals. According to one AB 109 client, *“You’ve got to ask...They help us out a lot, but not if you don’t ask them, and if they don’t have it they’re going to refer you to the right source.”*

**Finding 2: Certain challenges in the referral process, such as unclear roles and communication, data sharing limitations, and time-consuming processes, can limit the timely connection of clients to services.**

The delivery of effective and supportive community-based treatment and intervention services is dependent on partnerships between Probation and contracted service providers. The Probation Department initiates referrals for treatment and intervention services based on the results of clients’ CAIS assessments. When making referrals, Probation officers enter CAIS information electronically and receive an authorization number, which they communicate to service providers through email or fax. Probation analysts track referrals and weekly progress reports from providers.

The referral process is different for substance use or mental health services compared to services that are not treatment-based. When treatment needs emerge from the CAIS assessment, Probation authorizes a staff member from the Alcohol and Drug Program of the Health Services Agency (HSA) to conduct an American Society of Addiction Medicine (ASAM) assessment, which determines the level of care and treatment needed for each client. For all substance and mental health treatment services, providers must wait for a formal referral from Probation, as well as an authorization from the County, to begin providing services. For services other than substance or mental health treatment, Probation aides or officers make referrals directly to providers. For services that do not involve mental health or substance abuse



treatment, in some cases providers have established a relationship and system with Probation that allows providers to work with AB 109 clients prior to getting a formal referral, knowing that the referral will follow.

According to service providers, the referral process works best when there is clear and timely communication from Probation. In other words, referrals are most successful when Probation meets with a client and informs them which organization they are being referred to, then calls the provider and sends an email with the referral. It is also most effective when referrals are set up prior to a client's release.

Both service providers and Probation staff indicated that the following challenges can limit their ability to connect AB 109 clients to services efficiently:

- ❖ *Time-consuming referral process:* Service providers and Probation staff expressed that the current referral process takes too much time. In general, Probation staff stated that the process of

“We could use an easier referral process because it's very time consuming for POs. A simpler process would be helpful.”

– Probation Staff

entering CAIS information for each referral is time-consuming and that the process could be simplified. It was also clear that referrals to substance use treatment services can be even more time consuming because there is only one County staff member processing the assessments for substance use treatment, which can slow the process for getting County authorization.

- ❖ *Inconsistent information sharing:* Information sharing challenges between Probation and contracted service providers include delays in getting referral information to treatment providers, who must wait for a formal referral to begin providing services. This is especially challenging when providers seek extensions for clients already receiving funded services, such as those living in a sober living environment (SLE).
- ❖ *Inconsistent probation officer referrals.* According to providers, the quality and efficiency of the referral process can depend on the personalities of those involved, as well as the relationships between providers and Probation officers. Service providers stated that some probation officers make the majority of referrals and that these probation officers typically have established relationships with service providers. They suggested that it is possible that some probation officers need additional education regarding what services are available for referral.
- ❖ *Unclear roles and communication:* Service providers suggested that when it is unclear or inconsistent which staff members are the appropriate contacts for referrals, service delivery can be delayed. For some service providers, different Probation staff send referrals to different agency personnel, which can be challenging for agencies to track.

Some service providers explained that as a result of low referral numbers, they have put additional mechanisms in place in order to meet their contract requirements. In a focus group of treatment and intervention service managers, all participants in the focus group stated that they were not at capacity. Some have tried promoting their services to Probation in order to get more referrals, but are still struggling to meet their contracted quotas. In an effort to meet capacity and ensure AB 109 clients are connected



to services to meet clients' expressed needs, service providers will suggest to clients that they ask their probation officers for additional service referrals, communicate with Probation about services a client may need, or make informal referrals to other providers

**Finding 3: AB 109 clients are engaging in many helpful reentry services that provide practical, emotional, and behavioral support. At the same time, there remain gaps in service availability and barriers to access that affect the County's capacity to meet the needs of all AB 109 individuals.**

As shown in Section B: Community Supervision (Figure 10), over half of AB 109 individuals have accessed at least one type of service. In focus groups with AB 109 individuals in the community and in custody, individuals identified services that have been most helpful and supportive in their reentry. These included both practical assistance as well as support with behavioral and emotional regulation, as described below.

- ❖ *Support for basic needs:* AB 109 clients appreciated financial support for food, clothing, and transportation access. Many clients in the community cited the reentry support from Friends Outside as a key to their stability and success.
- ❖ *Assistance with benefits enrollment:* Several AB 109 clients specifically appreciated Friends Outside for helping them enroll in Medi-Cal and receive food stamps. Many clients who had been on probation or parole in the past talked about how challenging that process was for them in the past and credited Friends Outside for making the process easier this time.
- ❖ *Substance use treatment and transitional housing:* AB 109 clients who received financial support for residential treatment and/or an SLE unanimously cited that support as valuable to their recovery. One client described how his experience with Sobriety Works allowed him to find a healthy environment away from friends who were using drugs: *"[When I was first released,] I stayed with friends who were using; then I got into Sobriety Works and they put me in an SLE. It's been a godsend... They've been nothing but helpful."*
- ❖ *Support for behavior and emotional regulation:* Many AB 109 clients appreciated the tools they learned in classes like Thinking for a Change (T4C) and anger management because it helped them understand and recognize negative patterns in their behavior and thinking. When describing T4C, one client said, *"We've done things without realizing it and now that we go back and think about it, we can use the tools we've learned. Before, we were high; we didn't think about things. Now we can take our time to think about consequences. [Before], we were hotheads, we snapped, we did things out of instinct. That program helped me."*

Probation has also increased access to services for individuals with 1170 straight sentences. According to Probation staff, there were no services provided for clients on a straight sentence for the first few years of AB 109 implementation. However, in the last couple of years of implementation, the County has worked to improve access to services for AB 109 individuals with straight sentences. Like other AB 109 individuals, those with straight sentences now receive a CAIS assessment while in custody, if possible, to establish their service needs and a referral is made to the appropriate provider (typically Friends Outside or Encompass, according to Probation staff). Unlike clients with split sentences, clients with straight sentences receive no case management and only receive service referrals as long as they are engaging in



## Santa Cruz County Probation Department AB 109 Implementation Evaluation

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services. In other words, AB 109 individuals with straight sentences must follow the case plan established for them while in custody in order to continue receiving referrals from Probation to additional services. Despite this progress, information sharing limitations between Probation and the Courts often prevent Probation from identifying AB 109 individuals with straight sentences early enough in their sentence to conduct a pre-release assessment.

Though AB 109 clients identified many helpful services and providers, interviews and focus groups with County staff, service providers, and AB 109 individuals, indicate that there are additional service needs in the County system, both including and beyond the AB 109-funded system of services.

- ❖ *Treatment for clients with substance use and mental health diagnoses:* Stakeholders indicated that there are not enough residential and outpatient treatment spots for clients who use drugs or alcohol, and particularly for those who have a co-occurring mental illness. According to one member of the CCP, *“Substance use treatment and intensive outpatient, sober living, and in-patient programs are always a gap right now.”*
- ❖ *Housing support for all clients, including those with substance use disorders and mental illness:* There is a strong consensus among stakeholders that more transitional housing and housing assistance are needed for all clients, especially those with substance use disorders and co-occurring disorders, as well as for women. In some instances, AB 109 individuals who do not have substance use issues have been referred to residential treatment programs because they needed housing, which has left providers with the challenge of using bed space for clients who do not need treatment services.
- ❖ *Linkage to vocational training and employment support:* As shown in the AB 109 Population Overview, vocational inadequacy is one of the most common CAIS-identified needs. Probation, Jail staff, and Alcance have been collaborating to focus on job placement. Additionally, some AB 109 clients have been referred to public employment service agencies. The CCP currently supports a community campaign to increase the number of employers committed to hiring formerly incarcerated individuals, and AB 109 funding supports criminal record change workshops and community outreach. At the same time, AB 109 clients themselves in community and in-custody focus groups identified an interest in additional employment and vocational training opportunities, suggesting that challenges remain in connecting clients to these types of services. One AB 109 client observed that relapse rates at their sober living environment (SLE) were elevated because, *“People aren’t getting a job, they’re bored, and they end up using,”* while another discussed the persistent challenge of getting hired with a felony on their record.
- ❖ *Assistance and support for clients with children:* AB 109 clients expressed the need for additional services that support parents, including more housing and financial support for single parents.
- ❖ *Gender-specific programming:* Service providers and AB 109 clients noted that there are few services available for female clients, specifically for those who need substance abuse





treatment. Given that research suggests that co-ed treatment programming is not as effective as gender-specific programming,<sup>12</sup> this service gap is harmful to both male and female clients.

- ❖ *Additional services for clients living outside the city of Santa Cruz and for Spanish-speaking clients:* Service providers, Probation staff, and AB 109 clients all cited the lack of services available in South County (e.g., Watsonville) for AB 109 clients, while providers also cited the importance of ensuring the availability of Spanish-language services.

## Recommendations

**The Probation Department and contracted providers should work together to streamline and clarify the referral process to promote the timely connection of AB 109 individuals to services.**

Developing a streamlined and effective referral process is one of the most common challenges in cross-system service delivery. Probation and County leadership might benefit from the following options to improve the current system for connecting AB 109 individuals to services:

- ❖ **Implement the Client Executive Summary (CES) for use after reentry:** Extending the use of the CES to track clients' referrals to and engagement in treatment and intervention services in the community could facilitate information sharing by ensuring that all parties have access to client information that is complete and standardized. Sharing the CES with contracted service providers will allow Probation to ensure providers understand the contents of the CAIS assessment, will give providers the opportunity to see what other services clients have participated in, and will allow opportunities for providers to engage with clients about their prior service experience. The current 1170 Case Planning meetings provide an appropriate setting for updating and sharing the CES for AB 109 clients who have been in the community for an extended period.
- ❖ **Identify and clarify agency point-people for referrals.** Determining a single point person at each contracted service provider to which probation officers should send referrals could streamline the referral process and reduce confusion.
- ❖ **Increase opportunities for probation officers to learn about available contracted services.** This suggestion, which is further described below in Section E: System Coordination, would provide probation and service provider staff with a venue to share information with one another, which could increase the consistency with which all probation officers make referrals.
- ❖ **Implement a secure online form for service referrals:** Currently, most referrals are made via email or fax. Creating a standardized online form to securely transfer information can ensure all information is shared with providers in a consistent manner.

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<sup>12</sup> Sullivan, C., Smith, P., & Latessa, E. (2013). An evaluation of treatment programs for female offenders in correctional settings. Second International Conference of the South Asian Society of Criminology and Victimology.



**County and community-based partners should work together to expand the availability of and access to a comprehensive array of reentry services that address the full range of client needs.**

While the Probation Department contracts with a range of community-based services and leverages other County services, service providers, clients, and some Probation staff expressed the need for more emphasis on services such as vocational training and job placement, education, family strengthening, and supportive housing. In order to expand access to services, the CCP should consider the following:

- ❖ **Continue to leverage non-AB 109 funding sources:** Given clients' expressed needs, the County should continue to leverage non-AB 109 funding sources, including formalizing agreements with non-contracted providers and tracking client participation in those services.
- ❖ **Discuss creative solutions to address the County's housing shortage:** Finding safe and affordable housing for individuals returning to the community after incarceration is a challenge in many California counties. Probation and other AB 109 partners should work together to develop creative solutions to deal with the current housing shortage in the County. Potential solutions include:
  - **Emphasize family strengthening efforts:** According to the Urban Institute, several studies have shown that contact with family members during and after incarceration can reduce recidivism and support reentry.<sup>13</sup> Probation currently works to identify natural resources for clients, including prosocial family, friends, and neighbors. The CCP might fund more services that support family strengthening and reunification, and/or work with other County partners (e.g., Human Services, Child Protective Services) to support family reunification and family strengthening.
  - **Invest in efforts to secure properties for housing:** The CCP should identify opportunities for the CCP and/or the County to invest in properties for SLEs and transitional housing for special populations (e.g., women, women and children, and people with co-occurring disorders).
- ❖ **Provide gender-specific programming and services:** Research indicates that co-ed treatment programming is not as effective as gender-specific programming<sup>14</sup>; thus, Probation should collaborate with community partners to provide gender-specific programming, particularly for women in need of substance use treatment.
- ❖ **Provide additional services for co-occurring disorders:** Many stakeholders noted that there are insufficient services to help those who have co-occurring mental health and substance use disorders, including long-term services that can support ongoing treatment and recovery. Research indicates that reentry plans for individuals with co-occurring disorders should address both immediate and long-term needs and should be integrated with other services, such as housing support and family involvement.<sup>15</sup>

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<sup>13</sup> Solomon, A. et al. (2004)

<sup>14</sup> Sullivan, C., Smith, P., & Latessa, E. (2013). An evaluation of treatment programs for female offenders in correctional settings. Second International Conference of the South Asian Society of Criminology and Victimology.

<sup>15</sup> Osher, F., Steadman, H.J, and Barr, H. (2002). A best practice approach to community re-entry from jails for inmates with co-occurring disorders: The APIC model. The National GAINS Center.



**County and community-based partners should collaborate to address barriers that prevent clients from accessing existing services.**

The County has a strong rehabilitative focus and has made efforts to provide treatment and intervention services for clients; nonetheless, there are still some barriers that limit clients' ability to engage in programming and services. Potential opportunities to reduce those barriers include:

- ❖ **Improve access to transportation:** All AB 109 individuals who participated in the South County focus group, as well as probation officers who work with this population, mentioned that although they appreciate receiving vouchers for public transit, it is still challenging to get from South County to Santa Cruz for services because they either do not understand the bus system, do not know their way around Santa Cruz, or have fears of taking public transportation and running into former associates. Probation and AB 109 partners can reduce these barriers by providing rideshare opportunities and assistance planning for public transportation.
- ❖ **Increase information sharing between Probation and service providers:** Improving the communication between service providers and Probation staff (see the System Coordination recommendations for more information) can help ensure service providers are given accurate information about clients, which will allow providers to understand clients' service history and build rapport.
- ❖ **Understand and meet the needs of South County residents and monolingual Spanish-speakers:** Additional services to meet the needs of South County residents will support those who are currently relying on public transportation to participate in services in North County, while additional Spanish-language services across the County can better engage and support clients and families of clients who do not speak English. The County should assess the best means of engaging Spanish-speakers and determine what types of services are needed and how best to deliver them.



## D. Court Processing

The Court is responsible for sentencing individuals who are charged with criminal offenses in Santa Cruz County. As of the writing of this report, RDA was unable to access complete data on AB 109 individuals from the Court’s Odyssey data system in order to assess sentencing practices and case processing time.<sup>16</sup> RDA used data from the Probation Department to examine sentencing practices.

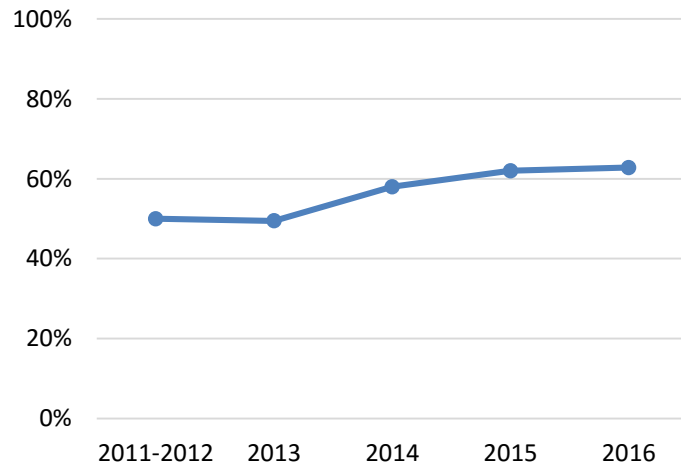
**Finding 1: Challenges with the Court’s Odyssey data system create barriers to accurate and timely information sharing, which prevents other County departments from connecting AB 109 individuals to services efficiently.**

According to Probation and Sheriff’s Office staff, since the Court shifted to the Odyssey data system in October 2015, Sheriff’s Office and Probation staff have not been consistently receiving sentencing information in a timely manner from the Court. As a result, they have less time to identify individuals sentenced under AB 109, complete CAIS assessments, and begin reentry planning. In some cases, individuals have even spent additional time in custody and/or under Probation supervision because of delays receiving data from the Court.

**Finding 2: The Court has gradually increased the use of split sentencing.**

As shown in Figure 15, from October 1, 2011 through December 31, 2013, approximately half of all AB 109 sentences were split sentences. In line with the State of California’s presumptive requirement of mandatory supervision for county jail felony terms,<sup>17</sup> the Court has increased its use of split sentences; since January 2015, approximately 62 percent of all AB 109 sentences have been split sentences.

**Figure 15. Split sentencing has slightly increased since the start of AB 109**



Additionally, though the evaluation had limited access to quantitative data from the Court, interviews with County stakeholders indicated a perception that

AB 109 has led to “stepped up” sentences. In other words, individuals are being given local prison sentences who may not have otherwise received a state prison sentence prior to AB 109. For example, stakeholders indicated that more women are being sentenced locally under PC 1170(h) than were sent to

<sup>16</sup> For additional information on the data sharing and reporting challenges with the Court’s data system, see the data capacity assessment memo.

<sup>17</sup>Byers, G. (2015). New Statutes 2015: The Most Important New Statutes and California Rules of Court Enacted in 2014. Retrieved December 8, 2106 from [http://www.adi-sandiego.com/pdf\\_forms/New\\_Statutes\\_2015\\_CPDA\\_Members\\_website.pdf](http://www.adi-sandiego.com/pdf_forms/New_Statutes_2015_CPDA_Members_website.pdf)



prison prior to AB 109. They also suggested that there are individuals who were not originally sentenced under AB 109 who are receiving AB 109 sentences for probation violations.

RDA will work with the Court and other County partners to secure quantitative data to further investigate these findings in the collective impact evaluation, which will be completed in September 2017.

## **Recommendations**

**The Court should improve its capacity to collect, report, and share accurate and timely data with AB 109 partners.**

- Currently, the Court's data system is a significant limitation on information sharing among AB 109 partners. In order to effectively share information within the current limitations of the Court's new data system, RDA recommends that Probation, the Sheriff's Office, and the Court institute a formal quarterly check-in to identify what is working well and where there are challenges in sharing Court information with the Sheriff's Office and Probation. The Criminal Justice Partners meetings could be used as a forum for this dialogue by adding a standing "information sharing" item to the agenda.

**Upon sentencing, the Court should ensure that AB 109 individuals receive an explanation about what an AB 109 sentence is, how an AB 109 split sentence can connect them to services to promote successful reentry, and what services will be available to them upon release.**

- Though split sentencing represents a best practice in sentencing because it allows probation officers to monitor AB 109 individuals' engagement in evidence-based treatment and intervention services, many clients mentioned feeling initial frustration about having to be on probation. Furthermore, many clients did not know what their AB 109 sentence meant upon sentencing or release from custody; however, the same clients expressed appreciation for access to AB 109-funded services once they began receiving them in the community. Providing an explanation of AB 109 split sentences along with information regarding available services can help promote AB 109 individuals' understanding of their sentence and active engagement in their service engagement.



## **E. System Coordination**

Given Santa Cruz County's strong emphasis on collective impact, it is important to investigate how AB 109 implementation operates at a system level. AB 109 requires that counties establish a Community Corrections Partnership (CCP), chaired by the Chief Probation Officer and responsible for the development and implementation of the Community Corrections Plan. In addition to the full CCP, Santa Cruz County convenes several workgroups to guide implementation of AB 109.

- ❖ Corrections Management
- ❖ Community Supervision
- ❖ Data Analysis
- ❖ Community Engagement and Education
- ❖ Court Processing
- ❖ Intervention Services

Collectively, the workgroups serve to monitor and implement treatment and intervention services, facilitate collaboration across agencies, identify implementation issues, and report on implementation to the CCP.

### **Highlighted Findings**

#### **Strengths:**

- ❖ AB 109 promotes enhanced collaboration among justice and community partners.
- ❖ County leadership have a shared mission, collaborate often, and have positive working relationships.
- ❖ CCP workgroups provide community partners with the opportunity to collaborate and share information.

#### **Challenges:**

- ❖ There are different perspectives about the appropriate role and level of involvement of some AB 109 partners.
- ❖ Not all partners are fully engaged in CCP meetings, and CCP Workgroups appear to have limited influence and decision-making power.
- ❖ Gaps in communication, service availability, and data sharing can create barriers to providing comprehensive reentry support.



**Finding 1: There are positive relationships among County AB 109 leadership, as well as between leadership and service providers, which facilitate collaborative service provision and help connect clients to services.**

Interviews indicate that there is strong consensus among leadership that County partners share the mission to reduce recidivism and protect public safety. At the same time, many members of the County CCP leadership noted that perspectives on how that shared mission should be achieved vary among partners. There is consensus on elements such as the need to be data-driven, but it is likely that this may have a different meaning for different partners. Interviews suggest that the County is “*on the same page philosophically,*” but that they may not have a shared vision for the practical and logistical steps for achieving their goals for AB 109 implementation. Another County stakeholder summarized the current status as, “*We’re at least in the same chapter, if not on the same page.*”

“People are really committed to decreasing recidivism and people having what it takes to be successful in the community and having a safe community that works for everyone.” – County Leadership

Interviews with County leadership and focus groups with providers suggest that AB 109 partners work together in a positive way in order to meet the needs of AB 109 individuals. County leadership, contracted service providers, and County staff have embraced AB 109 as an opportunity to promote positive change in the County’s justice system by implementing evidence-based programs (EBPs) and practices to

reduce recidivism and support AB 109 individuals. One member of the Probation staff referred to AB 109 as the catalyst for a “paradigm shift” that broke down agency-based silos and promoted collaboration across partners. Stakeholders provided several examples of collaboration:

- ❖ Sheriff’s Office staff help Probation work within existing information sharing limitations between Probation and the Courts. Sheriff’s Office staff assist Probation by identifying in-custody AB 109 individuals who Probation may not have known were in custody due to delays in receiving sentencing information from the Courts.
- ❖ According to County Leadership, collaboration between criminal justice partners and other County agencies “*creates a healthy bridge between the criminal justice system and other systems, like mental health.*”
- ❖ Probation and Custody Alternative Program (CAP) staff meet on a bi-weekly basis for case review, which facilitates clear and consistent communication across agencies.
- ❖ Staff from Probation and the Sheriff’s Office meet with service providers to review case plans for 1170(h) individuals prior to their reentry.
- ❖ Collaboration between Probation and providers ensures clients are connected to appropriate services as efficiently as possible.

“The good news is that we can all sit at the table and have frank, honest conversations and still feel good about relationships.” – County Leadership



- ❖ The Probation Department leverages a number of County and State systems to address client needs.

**Finding 2: Though there are positive working relationships among County leadership, there are differing perspectives about the appropriate role and level of involvement of some AB 109 partners, and the current CCP governance structure can limit the role of some partners.**

AB 109 partners shared varied perspectives regarding the appropriate role of certain AB 109 partners. Many stakeholders noted the unique nature of the Court’s role in the AB 109 system, suggesting that the Court partners’ requirement to remain neutral can make it challenging for them to engage in AB 109 planning to the extent of other County agencies.

Additionally, some members of the County leadership and contracted service providers spoke about the prominence of Probation’s role in AB 109 implementation. Though there is a strong consensus that stakeholders appreciate Probation’s leadership and coordination, service providers and some leadership expressed some concern that Probation’s central role in the service referral process slows the process. Providers expressed interest in creating a system that facilitates cross-referrals among the service provider network. Some stakeholders also conveyed that the current structure of CCP meetings and workgroups can inhibit discussion and idea sharing. Providers and some leadership members also suggested that, given the equal distribution of AB 109 funding between Probation, the Sheriff’s Office, and contracted service providers, there should be additional outcomes reporting by both Probation and the Sheriff’s Office that is comparable to the reporting requirements of service providers.

The County’s CCP governance structure can facilitate information sharing and idea generation. County leadership consistently expressed appreciation for the CCP because it provides the opportunity for justice and community partners to come together in a structured manner, which they were not doing prior to AB 109 implementation. According to one CCP member, *“AB 109 gets people talking about sentencing issues; what’s proper; and what services, programming, and resources can we get [clients]. That didn’t happen before.”* Providers had similar feedback regarding the workgroup structure; many said the workgroups are beneficial for sharing ideas and networking with other County and community partners. Probation has made efforts to understand and meet the needs of service providers, conducting annual surveys of the membership of the Service Provider Network and transferring responsibility for chairing the meetings and setting the agendas to the members.

At the same time, stakeholders noted that the current implementation of the CCP and its workgroups can limit the contribution of all AB 109 partners in designing the County’s direction for AB 109. The following limitations to the current governance structure emerged.

- ❖ **Some members of the CCP can be difficult to engage:** CCP members discussed challenges with getting all members to engage in CCP meetings, which often leads to an environment in which Probation reports on AB 109 progress without active involvement or discussion from other partners.





- ❖ **Though the CCP agenda attempts to leave time for dialogue and feedback, discussion is often limited:** As established in AB 109 legislation, Probation chairs the CCP meetings, which comply with Brown Act requirements and include a standing agenda item for public comment; however, provider representatives suggested that the agenda for CCP meetings is often very full and leaves little time for discussion, feedback, or reporting from other partners. When there is time for discussion, little actually occurs.
- ❖ **Workgroups are not operating to their full potential:** Stakeholders who attend CCP workgroups stated that the workgroup meetings provide an important opportunity to share ideas, but are often poorly attended. While CCP by-laws require the 14 legal members of the CCP to participate in work groups, only a few do so. Furthermore, some of the contracted service providers who receive the most funding do not consistently attend the workgroups. While County agencies and contracted providers appreciate Probation’s dedication and involvement in these meetings, some contracted service providers noted that when numerous probation staff are in the room, it can be challenging for service providers who sometimes feel uncomfortable speaking openly in front of the source of their funding. Additionally, though providers acknowledge the potential for workgroups to play an important role in AB 109 implementation, some suggested that workgroups have limited decision-making power or influence and often function as a “rubber stamp” to approve decisions already made by Probation staff.

**Finding 3: The County has made strong progress in implementing a coordinated AB 109 system; at the same time, gaps in communication, service availability, and data sharing can create barriers to providing comprehensive reentry support.**

- ❖ **Communication:** As previously discussed in Section B, there are some communication challenges between Probation and community-based contracted service providers, as well as with AB 109 individuals, regarding the CAIS, how to interpret CAIS-identified criminogenic needs, and how probation officers use the CAIS to make service referrals. Despite past trainings from Probation, some providers do not understand the contents of the CAIS. A similar challenge exists with AB 109 individuals, who do not always understand the role of their CAIS results in the service referral process.
- ❖ **Service availability:** As reviewed in Section C, there are several gaps in the County that make it challenging to connect AB 109 clients to some services. County leadership and service providers identified housing and treatment for individuals with substance use and co-occurring mental health disorders as substantial gaps.
- ❖ **Data sharing:** County leadership and contracted service providers discussed the challenge of working with data systems that cannot communicate across agencies. As a result, there is frequent redundant data entry and issues sharing information in a timely manner. In addition to the aforementioned challenges receiving data from the Courts, there are also issues sharing data among other County AB 109 partners. For example, one service provider discussed the challenge of not having a data management system for service providers, which leaves them to rely on Microsoft Excel workbooks and makes it challenging to track edits to a document. Other service providers and Probation staff also discussed the issues of needing a secure way to share protected



client information in order to better connect AB 109 individuals to services. RDA's data capacity assessment provides an in-depth analysis of the County's current data availability and quality and recommendations for improvement.

## Recommendations

**All partners should continue to prioritize strong working relationships and a collective impact perspective among County leadership.**

- ❖ The County's AB 109 partners agree that a collective impact approach is the most effective way to implement AB 109 in Santa Cruz County. The County should continue its collaborative efforts to prioritize data-driven decision making and implementation of evidence-based and best practices.

**The Probation Department should increase information sharing between Probation and contracted providers by continuing and enhancing existing communication mechanisms.**

When not all partners are on the same page about clients' needs and a determined case plan, this can reduce buy-in and collaboration toward a shared vision of how to most effectively meet the needs of AB 109 clients. Probation should collaborate with contracted service providers to find ways to further promote communication. Potential opportunities include:

- ❖ **Offer regular training on the CAIS.** Given the misunderstandings between Probation and service providers about what information Probation shares about the CAIS and what this information means, it would be useful for Probation to provide trainings on the CAIS on a regular basis, both to update existing providers and to onboard new staff to the CAIS.
- ❖ **Continue to use workgroup meetings as an opportunity for information sharing and communication:** Probation staff should continue to prioritize dialogue between service providers and Probation staff, including continuing to solicit emerging topics for future meetings. Creating an atmosphere that promotes conversation, such as themed meetings with opportunities for small group discussion, can continue to build positive relationships between service providers and Probation staff.
- ❖ **Continue to promote service provider attendance at CCP workgroup meetings:** The workgroup meetings will work best if representatives from contracted service providers are in attendance; Probation and contracted service providers should continue to discuss how to best promote attendance. Revisiting the idea to rotate the meeting location for the Service Provider Network may promote attendance and create an atmosphere where service providers feel more ownership over the meeting.



**The Probation Department should continue and expand efforts to increase the frequency and depth of participation in the CCP and the CCP workgroups.**

According to stakeholders, it is challenging to engage some CCP members in meetings, and some workgroup participants feel their role is limited. Increasing communication and dialogue among CCP members and between the CCP and workgroups can address those challenges. Potential actions the Probation Department can take to improve communication among these groups include:

- ❖ **Solicit input from CCP and workgroup participants:** Continuing and expanding efforts to seek feedback regarding what stakeholders find most useful in meetings and what they find less engaging can be used to implement changes that promote active engagement in both CCP and workgroup meetings.
- ❖ **Create a standing agenda item for workgroup presentations and updates at CCP meetings:** Creating a consistent opportunity for workgroup participants to interact with CCP members would provide them with more agency and power in the implementation process and could also create more diversity in the CCP agenda, which could promote more engagement from CCP members.
- ❖ **Include time for discussion on CCP agendas:** Discussion time could be presented on the agenda of each CCP meeting so stakeholders have the opportunity to discuss content presented at the meeting.
- ❖ **Create mechanisms for accountability for CCP members to participate in workgroups.** As noted above, the legal members of the CCP are expected to attend at least one workgroup, but many do not do so. The CCP should discuss how to best involve CCP members in the workgroups and develop mechanisms to promote accountability for attendance and participation in workgroups.
- ❖ **Define and communicate roles and decision-making authority of workgroups.** Defining and ensuring all partners understand how the CCP workgroups contribute to decision-making may contribute to greater clarity about their role and purview.
- ❖ **Use an external facilitator for workgroup meetings.** An external facilitator could serve as a neutral party to facilitate workgroups that involve multiple AB 109 partners. An outside facilitator may be particularly helpful in mitigating tensions that frequently exist due to differences in roles and resources among County and community-based AB 109 partners.



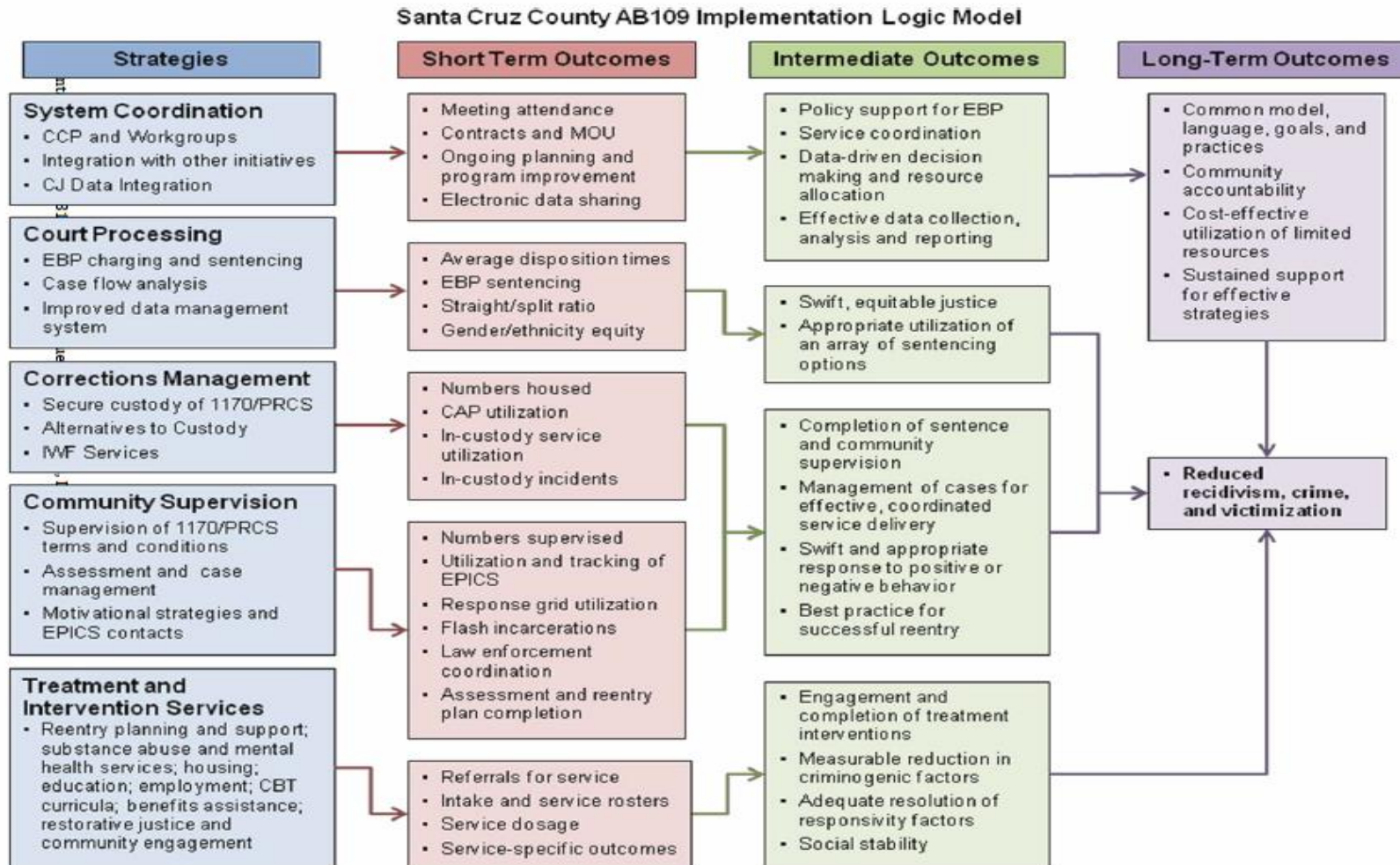
## Conclusion

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Since the passage of AB 109 in 2011, Santa Cruz County has leveraged a number of existing strengths, including positive interagency collaboration and an emphasis on evidence-based programming. Both the Sheriff's Office and the Probation Department espoused rehabilitative values prior to AB 109, and both have continued to promote supportive programs and practices under AB 109. Since 2011, the County has made important strides toward supporting individuals who are sentenced to local prison terms by augmenting in-custody programming and enhancing in-custody reentry planning, for example using the Client Executive Summary (CES) to streamline communication between the Sheriff's Office, Probation, and community providers. Leadership and staff in Santa Cruz County's justice system and community are working together to connect AB 109 individuals returning from state and local prison terms with evidence-based treatment and intervention services in order to reduce recidivism. Rooted in a commitment to data-driven decision making, the County has identified – and will continue to identify – ways to improve systems and processes in response to AB 109 and other criminal justice policies to meet the evolving needs of the County.



## Appendix I: AB 109 Logic Model





## Appendix II: Evaluation Domains, Areas of Inquiry, and Data Sources

Evaluation Domain	Areas of Inquiry	Data Source(s)
<b>Implementation Evaluation</b>		
<i>Implementation Successes and Challenges</i>	<ul style="list-style-type: none"> <li>How are County departments and CBOs implementing AB 109 practices and services, including the following areas?               <ul style="list-style-type: none"> <li>Numbers served and demographic background</li> <li>Services and dosage</li> <li>Referral process and duration between release, referral, and enrollment in services</li> </ul> </li> <li>What are the gaps in the County's continuum of services?</li> <li>To what extent does AB 109 implementation align with other County criminal justice priorities?</li> </ul>	<ul style="list-style-type: none"> <li>Interviews with department and CBO leadership</li> <li>Focus groups with department and CBO line staff</li> <li>Analysis of administrative data from County departments and CBOs involved in AB 109</li> <li>Focus groups with AB109 clients</li> </ul>
<i>Communication and Collaboration</i>	<ul style="list-style-type: none"> <li>To what extent are County partners and CBOs collaborating and coordinating service delivery?</li> <li>What are the challenges and successes in the coordination of services?</li> <li>To what extent have community partnerships been developed in a fashion that promotes a collective impact strategy?</li> </ul>	<ul style="list-style-type: none"> <li>Interviews with department and CBO leadership</li> <li>Focus groups with department and CBO line staff</li> <li>Focus groups with AB 109 clients</li> </ul>
<i>Service Delivery</i>	<ul style="list-style-type: none"> <li>To what extent are County AB 109 partners using best practices in corrections and reentry?</li> <li>How and to what extent do County AB 109 partners use data to inform service delivery decisions?</li> <li>What internal and external barriers affect County and CBO capacity to deliver services?</li> </ul>	<ul style="list-style-type: none"> <li>Interviews with department and CBO leadership</li> <li>Focus groups with department and CBO line staff</li> <li>Analysis of administrative data from County departments and CBOs involved in AB 109</li> </ul>
<b>Data Capacity Assessment</b>		
<i>Type of Data System</i>	<ul style="list-style-type: none"> <li>In what type of data system is data being stored?</li> </ul>	<ul style="list-style-type: none"> <li>Interviews with information technology (IT)/data staff</li> </ul>
<i>Data Reporting Capacity</i>	<ul style="list-style-type: none"> <li>How can data be extracted for analysis?</li> </ul>	<ul style="list-style-type: none"> <li>Interviews with IT/data staff</li> </ul>



**Santa Cruz County Probation Department**  
*AB 109 Implementation Evaluation*

Evaluation Domain	Areas of Inquiry	Data Source(s)
<i>Type of Data Collected</i>	<ul style="list-style-type: none"> <li>• What types of data are being collected related to sentencing, incarceration, supervision, and service delivery?</li> <li>• What types of data may be available but are not currently being collected?</li> </ul>	<ul style="list-style-type: none"> <li>• Review of data extracts</li> </ul>
<b>Collective Impact Evaluation</b>		
<i>Individual-Level</i>	<ul style="list-style-type: none"> <li>• What is the collective impact of AB 109 implementation activities on recidivism outcomes in terms of incidence, length of time to recidivism, and type of crime?</li> <li>• How do rates of recidivism vary by factors such as demographics, service participation, participation in custody alternatives, classification, risk level, and sentencing?</li> <li>• What is the average length of time to recidivism?</li> <li>• What types of new offenses are being committed?</li> </ul>	<ul style="list-style-type: none"> <li>• County, partners, and CBO data on needs, risk level, supervision, and justice system contact</li> </ul>
<i>System-Level</i>	<ul style="list-style-type: none"> <li>• To what extent has AB 109 impacted the County's capacity to serve the AB 109 population in a seamless and coordinated manner?</li> <li>• How has the County allocated and expended AB 109 resources?</li> </ul>	<ul style="list-style-type: none"> <li>• Interviews with department and CBO leadership</li> <li>• Focus groups with department and CBO line staff</li> <li>• Focus groups with AB 109 clients</li> <li>• County, partners, and CBO administrative data</li> </ul>



## Appendix III: Evaluation Methods and Participants

### Key Informant Interviews with Department and CBO Leadership

**Purpose:** RDA conducted key informant interviews (KIIs) with executive leadership from County departments and contracted CBOs. The goal of these interviews was to understand the extent to which different AB 109 partners express a common vision for the County’s AB 109 operations and how relationships and interactions between these partners are consistent with a collective impact approach.

**Participants and Implementation:** In order to select the key informants, RDA and the County began by identifying the departments and organizations represented on the CCP-EC and the full CCP that had in-depth involvement in implementing AB 109. The evaluation team and the County also discussed whether there were additional agencies or organizations not represented on the CCP that had been heavily involved in implementing AB 109 and could provide a unique perspective on implementation. In collaboration with the County, the evaluation team developed a list of key informants representing both County and community stakeholders. The RDA team conducted 60-minute interviews with the key informants shown in Table 1 below.

**Table 1. Participants in Key Informant Interviews**

Activity	Participants
Key informant interviews with Department and CBO leadership	<ol style="list-style-type: none"> <li>1. Probation Department Chief</li> <li>2. Probation Department Analyst</li> <li>3. Probation Department Director of Adult Services</li> <li>4. Sheriff's Office</li> <li>5. Public Defender</li> <li>6. Deputy District Attorney</li> <li>7. Superior Court</li> <li>8. Health Services Agency - Alcohol and Drug Programs</li> <li>9. County Administrator's Office</li> <li>10. CBO Representative to the CCP</li> <li>11. Community Representative to the CCP</li> </ol>

### Focus Groups and Interviews with County Department and CBO Staff

**Purpose:** Following the key informant interviews, RDA conducted five focus groups with managers and line staff from County departments and CBOs to gain an understanding of how staff have carried out AB 109 practices and service delivery on the ground. RDA also conducted four individual interviews with staff from the Sheriff’s Office Custody Alternatives Program (CAP). To the extent possible and appropriate, some of the questions RDA asked in these focus groups mirrored those asked in the key informant interviews with departmental and CBO leadership to enable the evaluation team to compare line staff and leadership perspectives on implementation.

**Participants and Implementation:** During the evaluation planning phase, conversations with County leaders highlighted the importance of exploring the practices and perceptions of staff across the criminal justice system, from sentencing through reentry, including representatives from courts and/or local law





enforcement, in-custody supervisors and staff, probation supervisors and staff, and community-based providers. The RDA team spoke with the groups of staff shown in Table 2 below.

**Table 2. Participants in Staff Focus Groups**

Activity	Participants
Focus groups with department and CBO line staff	1. AB 109 Probation Supervisors 2. AB 109 Probation Officers and Aides 3. In-custody Programs Staff 4. CBO Program Directors/Managers 5. CBO Line Staff
Individual interviews with CAP staff	Custody Alternative Program Staff (4 participants)

### **Focus Groups with AB 109 Clients**

**Purpose:** RDA conducted five focus groups with AB 109 clients, including individuals with 1170 sentences currently local custody and both 1170 and post-release community supervision (PRCS) AB 109 clients in the community. These groups explored clients’ experiences with the AB 109 supervision and service system, including experience with correctional and supervision practices, continuity between in-custody and post-release services, access to and engagement in reentry-related programs and services, and perceived facilitators of and barriers to successful reentry.

**Participants and Implementation:** Based on conversations with County leadership, the evaluation team determined that client demographics and service availability vary according to the geography of the county. In order to reflect the diversity of client experience across the county and encourage the participation of clients throughout the county, focus groups were organized with respect to geographic location. In addition, conversations during the evaluation planning phase highlighted differences over time in the use of split and straight sentences, and differences in access to services by type of sentence. As such, RDA attempted to include individuals who received both split and straight 1170(h) sentences, along with individuals on PRCS. The evaluation team worked with the Sheriff’s Office and other local contacts to arrange focus groups inside the main jail. The evaluation team worked with the Probation Department and local CBOs to identify and invite individuals to participate in focus groups in the community. RDA provided dinner and a \$20 gift card in appreciation of participants’ time. Table 3 shows the focus groups conducted and the number of individuals that participated.



**Table 3. Participants in Client Focus Groups**

Activity	Participants	Number of Participants
Focus groups with AB 109 clients	1. In-custody men	6
	2. In-custody women, main jail	6
	3. AB 109 Clients in Watsonville <sup>18</sup>	2
	4. AB 109 Clients in Mid-County	9
	5. AB 109 Clients in Santa Cruz	8
<b>Total:</b>		<b>31</b>

**AB 109 Related Data from County Departments and CBOs**

RDA collected and analyzed data from the Probation Department, Sheriff’s Office, and County Mental Health Services in order to understand service delivery and AB 109 related practices spanning the AB 109 system. These include sentencing practices, correctional practices, in-custody service delivery, and community provider service delivery upon reentry.

**Table 4. Table of Data Measures and Data Availability**

County Department and Data Type	Data Measures	Date Range of Data Availability
<b>Health Services Agency</b>		
County Mental Health Service Receipt Data	<ul style="list-style-type: none"> <li>• # of AB 109 individuals receiving only in-custody mental health services</li> <li>• # of AB 109 individuals receiving mental health services in the community only</li> <li>• # of AB 109 individuals who received mental health services in custody and in the community</li> </ul>	October 1, 2011 – March 31, 2016
<b>Probation Department</b>		
CAIS Data	<ul style="list-style-type: none"> <li>• # of AB 109 individuals who have received an initial CAIS assessment</li> <li>• Distribution of CAIS assessed risks of AB 109 population upon initial assessment</li> <li>• Distribution of CAIS identified criminogenic needs of AB 109 population upon initial assessment</li> </ul>	December 1, 2012 – August 31, 2016
Caseload Data	<ul style="list-style-type: none"> <li>• AB 109 unit probation officer caseload</li> </ul>	November 2016
Contracted Provider Service Receipt Data	<ul style="list-style-type: none"> <li>• # of AB 109 individuals receiving substance abuse treatment, mental health treatment, reentry services</li> </ul>	January 1, 2012 – June 30, 2016

<sup>18</sup> RDA offered and recruited participants for both an English language and Spanish language focus group in Watsonville. No participants attended the Spanish language focus group. In the future, the County will explore options to better reach Spanish speaking participants to participate in evaluation activities.



**Santa Cruz County Probation Department**  
*AB 109 Implementation Evaluation*

County Department and Data Type	Data Measures	Date Range of Data Availability
	education services, employment services, and CBT.	
EPICS Data	<ul style="list-style-type: none"> <li>Percent of AB 109 contacts using EPICS supervision model</li> <li>Percentage of non-AB 109 Probation contacts using EPICS supervision model</li> </ul>	March 1, 2013 – October 31, 2016
Sentencing Data	<ul style="list-style-type: none"> <li>Percent of all AB 109 sentences that are split sentences</li> </ul>	October 1, 2011 – August 31, 2016
<b>Sheriff's Office</b>		
Classification Data	<ul style="list-style-type: none"> <li>Distribution of classification statuses of individuals sentenced under AB 109</li> </ul>	October 1, 2011 – August 31, 2016
Custody Alternative Program Data	<ul style="list-style-type: none"> <li>Total number of individuals participating in CAP each month</li> <li>Number of AB 109 individuals participating in CAP each month</li> <li>Total number of CAP terminations each month</li> </ul>	January 1, 2016 – August 31, 2016
In-Custody Service Receipt Data	<ul style="list-style-type: none"> <li>Number of individuals sentenced under AB 109 who have attended at least on in-custody service</li> <li>Average number of different in-custody services attended by individuals sentenced under AB 109</li> </ul>	January 1, 2016 – August 31, 2016 (Main Jail and Blaine St.) January 1, 2016 – July 31, 2016 (Rountree)



## Appendix IV: Santa Cruz County Contracted AB 109 Providers and Programs

Agency	Program
<b>Barnes &amp; Nobel (Cabrillo College Bookstore)</b>	Books and academic supplies
<b>Cabrillo College</b>	ACE: In-custody higher education
<b>Community Action Board of Santa Cruz County</b>	Jail to Jobs: employment development and job placement
	MOST Work Crew
<b>Community Options</b>	Community Service Fees
<b>Encompass Community Services</b>	Project ReTurn: mental health services & system navigation
	SAMHSA in-custody anger management curriculum
	SUD treatment: residential, IOT, OT, RMS, SLE
	ICBIP: In-custody batterer's intervention curriculum
	Papás: fatherhood involvement program
	Gender specific programming at Main Jail
	Gemma House
	River Street Shelter
	Fenix & Alto Domestic Violence Classes Alto DUI classes
<b>Food for Change</b>	Food truck-based employment training
<b>Homeless Services Center</b>	Transitional housing
<b>Jan Tice</b>	Recovery Maintenance TA
<b>Janus of Santa Cruz</b>	SUD treatment: residential, IOT, OT, RMS, MAT, Detox, SLE
<b>Letta Harrison</b>	In-custody CBTI: Positive Psychology, Rountree Orientation
<b>New Life Community Services</b>	SUD treatment: residential, outpatient
<b>Santa Cruz Barrios Unidos, Inc.</b>	Reentry mentoring
<b>Santa Cruz County Health Services Agency</b>	ADP Contract Management
	SUD Assessment and Referral
	Vivitrol Pilot
<b>Santa Cruz County Office of Education</b>	In-custody education programs: HSD, HSE
<b>Sobriety Works</b>	SUD treatment: Matrix Model, IOT, SLE
	AB109 Speakers Bureau
<b>United Way of Silicon Valley</b>	CEEW facilitation, media advocacy, and outreach
	SUD community campaign
<b>Volunteer Center of Santa Cruz</b>	Reentry planning and support
	Benefits Enrollment Assistance
	CTBI curricula: Thinking For a Change, Courage to Change
	Literacy program



## Appendix V: Santa Cruz County In-Custody Programs



### SANTA CRUZ COUNTY SHERIFF'S OFFICE INMATE PROGRAMS

Blaine Street Women's Minimum, Rountree Men's Medium  
and Main Jail Maximum Correctional Facilities

### PROGRAM INVENTORY

Inmate Programs are divided into 3 general categories: Activities, Programs and Services

**Sub-categories:**

- Activities:** Art (visual, performing), crafts, music, writing (creative, poetry), recreation, yoga, mindfulness
- Programs:** Cognitive behavioral treatment, education, life skills, mental health, parenting, substance use disorder
- Services:** Benefits enrollment, employment, health services, legal clinics, anonymous programming, library services, re-entry planning, religious services, veteran's services, voting

- There are a total of 61 types of activities, programs and services available between in all three facilities. See individual program descriptions on following pages.
  - By category: 9 Activities, 31 Programs, 21 Services.
- There are over 150 total classes offered between the 3 facilities each week. The majority of programs meet weekly or bi-weekly. Several are offered monthly or quarterly. Many classes are offered in multiple facilities. Some programs are offered in both English and Spanish.
- There are over 50 service providers who offer support across the three facilities. Providers include community-based organizations, community groups, educational institutions, skilled and inspired individuals, and religious organizations. Some providers offer various programs at multiple facilities. There are approximately 600 volunteers and program staff providing services throughout the facilities annually.
- Most of the programming offered in-custody is available to individuals in the community in order to support continuity of care.



## DECSRIPTIONS OF INMATE PROGRAMS

ACTIVITIES	
ART INITIATIVE	<p>Provider: UCSC Art Program Volunteers            Facilities: Blaine Street and Main Jail</p> <p>Utilizes different mediums and styles focusing on personal expression in an artistic framework. This program was proposed and developed by an inmate in the Main Jail facility and UCSC student volunteers.</p>
B.R.A.V.E.	<p>Provider: Community Volunteers            Facilities: Rountree</p> <p>Before Reacting Access Validate and Explore is a class of mindful exercises to reduce stress, increase the ability to self-reflect, and learn how to live with internal and external realities.</p>
CREATIVE ROOTS	<p>Provider: Community Volunteers            Facility: Main Jail</p> <p>Creative roots provides an opportunity for participants to write and draw about their life experiences. Encouragement and support from the facilitators guides students to find their creative voice.</p>
INSIGHT MEDITATION	<p>Providers: Insight Meditation Center Volunteers            Facilities: Main Jail and Rountree</p> <p>Groups assist participants to build present time awareness, increase overall mindfulness including: mind-body awareness, emotional management, coping skills, stress reduction.</p>
INSIDE OUT WRITING PROJECT	<p>Providers: UCSC Women's Center and Cabrillo Volunteers            Facilities: Blaine Street and Main Jail</p> <p>Writing workshops to assist the student to learn to express him or herself clearly and effectively. Students earn a certificate after attending ten workshops. Workshops include: free writing, letters, journaling, memoir writing. Groups share written assignments.</p>
KNITTING AND CROCHETING	<p>Provider: Knitting Guild of Santa Cruz County Volunteers            Facility: Blaine Street</p> <p>An ongoing class developing knitting and crocheting skills with donated yarn. Participants frequently make hats, scarves and blankets for hospital newborn programs or homeless individuals.</p>
POETRY	<p>Provider: Poetry Project Volunteers            Facility: All Facilities</p> <p>Through poetry, students find their voice to tell their story. Students study the craft of modern English and Spanish language poets and uncover the images that bring experiences and dreams to life. Students write original works using prompts and their own experiences. Students receive copies of their work or their work is included in the bi-annual poetry book.</p>



<p><b>THERAPEUTIC RECREATION</b></p>	<p>Provider: Watsonville/Aptos/Santa Cruz Adult Education Staff          Facility: All facilities</p> <p>Pro-social activities provide an opportunity for structured exercise and healthy competition. Certificate of Good Sportsmanship can be earned if participants demonstrate team spirit!</p>
<p><b>YOGA FOR ALL</b></p>	<p>Provider: Yoga for All Volunteers          Facilities: All facilities</p> <p>Yoga is a practice in mindfulness, movement and developing a connection to one's mind and body. This particular yoga class will offer a trauma-sensitive approach to stretching and meditation. Stretching sequences are combined with breath to create flexibility, strength, concentration, body-centered awareness and best of all, relaxation.</p>
<p><b>PROGRAMS</b></p>	
<p><b>ALTERNATIVES TO VIOLENCE PROJECT (AVP)</b></p>	<p>Provider: AVP Volunteers          Facility: Rountree</p> <p>An experiential multi-cultural program that is dedicated to reducing interpersonal violence in our society. The 20-hour workshop, held over a weekend, empowers people to lead nonviolent lives through affirmation, respect for all, community building, cooperation and trust.</p>
<p><b>ANGER MANAGEMENT</b></p>	<p>Providers: Encompass Community Services Staff (English) / Latin American Institute Volunteers (Spanish)          Facility: Rountree          Post release services available</p> <p>A cognitive behavioral series developed by Substance Abuse and Mental Health Services Administration (SAMHSA) addresses substance use and trauma and provides relaxation, cognitive and communication interventions to help manage anger in response to anger provoking events. Certificate of completion can be earned upon completion of 12 classes.</p>
<p><b>GARA Y CORAZON PARENTING CLASS</b></p>	<p>Provider: Health and Human Services Program Volunteers (Spanish)          Facility: Rountree</p> <p>An 8-12 week educational series that focuses in strengthening the parent-child relationship. The goals are to re-integrate family traditions and values that support the unity and harmony of the family. Through these educational series parents may reconnect with their own personal, family, and cultural strengths to create and maintain a balance to guide and support their loved ones in their daily lives.</p>
<p><b>County Mental Health Services Crisis Intervention Team (CIT)</b></p>	<p>Providers: County Mental Health – Health Services Agency          Facility: Main Jail</p> <p>A continuum of services offered including crisis assessment to jail discharge planning. CIT focuses on individuals who present with a stated or suspected risk to themselves, a persistent mental illness, those with psychiatric symptoms, and on a limited basis, those with significant substance use disorders that've been identified as meeting criteria for SUD Specialist services.</p>



<p><b>CODE 4</b>  <b>Correctional Opportunities for Developing Empowerment</b></p>	<p><b>Providers: Staff and volunteers from a variety of community providers</b>  <b>Facility: Main Jail – C Unit</b></p> <p>CODE 4 is a 90 day therapeutic unit for high risk to recidivate individuals. The closed unit targets the areas that are most associated with recidivism and high-risk behavior. The curriculum reinforces pro social behavior, while helping participants develop basic life skills. Participants are provided with programming to address: habitual patterns of thinking, behavior and emotions that have caused harm; substance use, empathy building; connection to values and personal responsibility; family patterns/relationships; as well as educational, vocational and other reentry needs.</p>
<p><b>COMPASSIONATE COMMUNICATION</b></p>	<p><b>Provider: Center for Non-Violent Communication Volunteers</b>  <b>Facility: Main Jail</b></p> <p>Non-Violent Communication: Provides participants with communication skills and tools to handle conflict and resolve issues without the use of violence or aggression.</p>
<p><b>COMPUTER LITERACY (OFFICE SKILLS)</b></p>	<p><b>Provider: Provider: Watsonville/Aptos/Santa Cruz Adult Education Staff</b>  <b>Facility: Blaine Street and Rountree</b>  <b>Post release services available</b></p> <p>Self paced learning of everyday word processing skills including typing and Microsoft Office: Word, Excel and PowerPoint.</p>
<p><b>COURAGE TO CHANGE</b></p>	<p><b>Provider: Encompass Community Services Staff / Friends Outside Staff</b>  <b>Facility: Rountree</b>  <b>Post release services available</b></p> <p>The Courage to Change Interactive Journaling System is a goal directed CBT curriculum that addresses risk factors to recidivate. Topics include Getting Started, Social Values, Responsible Thinking/Healthy Personality, Self-control, Peer Relationships, Family Ties, Substance Use, Skills for Successful Living and Strategies for Success. Individuals can work through Journals independently and in a group setting to accommodate various needs and lengths of sentences.</p>
<p><b>DOMESTIC VIOLENCE INTERVENTION PROGRAM</b></p>	<p><b>Provider: Encompass Community Services Staff</b>  <b>Facility: Rountree</b>  <b>Post release services available</b></p> <p>The goals of this class are to support individuals to develop personal responsibility and accountability for domestic violence, to develop skills to maintain healthy familial relationships, and to provide a method for incarcerated individuals mandated to complete the required 52 week program the opportunity to take classes while incarcerated.</p>
<p><b>ENGLISH AS A SECOND LANGUAGE (ESL)</b></p>	<p><b>Provider: The Literacy Program Staff and Volunteers</b>  <b>Facility: Main Jail and Rountree</b>  <b>Post release services available</b></p> <p>This class prepares non-native speakers and those with low-level English skills to succeed in every day situations and regular academic and vocational classes by helping them read, write, comprehend, and speak American English from beginning to college level.</p>





**Santa Cruz County Probation Department**  
*AB 109 Evaluation: Data Capacity Assessment*

<p><b>ETHICS</b></p>	<p><b>Provider:</b> UCSC Center for Public Philosophy  <b>Facility:</b> Main Jail</p> <p>This class offers inmates the opportunity to engage in a facilitated process of exploration with real life ethical dilemmas. Through this process students learn to identify their belief systems and articulate why they believe them; analyze issues from multiple perspectives; to listen and express themselves clearly and to consider our own roles and impacts they have on intimate and global levels.</p>
<p><b>FREEDOM WITHIN</b></p>	<p><b>Provider:</b> Freedom Within Project Volunteers  <b>Facility:</b> Main Jail and Rountree  <b>Post release services available</b></p> <p>This gender-specific program is designed for men who are looking at changing their behavior and responses around incarceration, violence, and the traditional male experience of thinking, feeling and relating to others. Freedom Within has a goal to change the culture inside prisons/ jails from one of violence and gang oppression, to a place where men learn to take responsibility for their thoughts, feelings, and actions through self-awareness and emotional literacy.</p>
<p><b>HEALING FROM VIOLENCE (WOMEN'S SPIRITUALITY)</b></p>	<p><b>Provider:</b> Peace United Church of Christ Volunteers  <b>Facility:</b> Blaine Street and Main Jail</p> <p>The focus of this course is to address violence in relationships and with ourselves. The Turtle is the oldest symbol of the earth and is associated with the lunar cycle, and the power of the female energies. Utilizing the power of the turtle women can tap in to their power and intelligence in a non-violent way.</p>
<p><b>HIGH SCHOOL DIPLOMA EQUIVALENCY CERTIFICATE</b></p>	<p><b>Providers:</b> County Office of Education Staff / Literacy Program  <b>Facilities:</b> All facilities  <b>Post release services available</b></p> <p>Instruction in language arts, math, social studies, and science to prepare students to earn their high school diploma or take the high school equivalency exams.</p>
<p><b>INTENSIVE OUTPATIENT TREATMENT</b></p>	<p><b>Provider:</b> Encompass Community Services Staff  <b>Facility:</b> Rountree  <b>Post release services available</b></p> <p>An Intensive Outpatient Treatment program offered in custody. The program is 9 hours per week for 16 weeks. IOT uses an enhanced CBT (Matrix Model) and other evidence based curriculums including, individualized and multidimensional assessment with individual goal setting, early recovery skills, relapse prevention skills, mindfulness based stress reduction, Seeking Safety trauma informed treatment, and corrective thinking. The IOT program works in coordination with other Encompass programs both in and out of custody including Relapse Prevention, Continuing Care, Residential Services, Sober Living Environments and Outpatient Counseling.</p>
<p><b>MEDICATION ASSISTED TREATMENT</b></p>	<p><b>Provider:</b> Janus of Santa Cruz  <b>Facilities:</b> Main Jail  <b>Post release services available</b></p> <p>Inmates who are receiving medication assisted treatment prior to admission to the jail as well as pregnant women who are opioid dependent.</p>



<p><b>PAPÁS</b> Supporting Fatherhood Involvement</p>	<p>Provider: PAPÁS Program Staff          Facility: Main Jail and Rountree          Post release services available          Support, education and networking for men who may be fathers or father figures to support their role as healthy men in the lives of others and relationship with themselves thereby building strong families and healthy communities.</p>
<p><b>PEACE EDUCATION</b></p>	<p>Provider: Prem Rawat Foundation Volunteers (English/Spanish)          Facilities: All facilities          Post release services available          An educational program to help participants explore the possibility of personal peace and discover tools for living; such as inner strength, choice, appreciation and hope.</p>
<p><b>PEACE WARRIOR CIRCLE</b></p>	<p>Provider: Barrios Unidos (Spanish)          Facility: Main Jail and Rountree          Culturally inclusive programming that addresses risk factors for continued criminal activity including gang involvement and other harmful behaviors. The Peace Warrior Circle trains individuals as powerful agents of cultural strength to become a cultural identity practitioner as well as a leader of Peace Justice.</p>
<p><b>POSITIVE DISCIPLINE</b></p>	<p>Provider: Positive Discipline Community Resources Staff          Facilities: Blaine Street and Main Jail          Discipline is difficult for every family, but when a parent is recovering from substance use setting and upholding behavioral limits can be particularly tough. Trust has often been broken, emotional boundaries trampled, and abuse perpetrated. Parents often do not have the skills necessary to set effective boundaries and follow through with appropriate disciplinary consequences. The curriculum gives suggestions and advice to help recovering parents learn effective parenting and disciplinary skills, communication, building routines, setting up support networks, and finding ways to break co-dependence patterns.</p>
<p><b>POSITIVE CBT PSYCHOLOGY</b></p>	<p>Provider: Letta Love Consulting          Facilities: Rountree          Positive Psychology is founded on the belief that people want to lead happy and meaningful lives, cultivate what is best within themselves and enhance their experience of love, work, and play. During the 13 week class participants practice cognitive behavioral and pro-social interventions that promote wellbeing and achievement by fostering healthy self-regulation.</p>
<p><b>PROGRAM FOR INMATE EDUCATION (PIE)</b></p>	<p>Provider: UCSC Astronomy Department Professors &amp; graduate student volunteers          Facility: Main Jail          Participants can complete a semester of college level pre-algebra or algebra for course credit.</p>
<p><b>PROGRAMMING FOR WOMEN</b></p>	<p>Provider: Encompass Community Services          Facilities: Main Jail          Post release services available          This program is focused on the specific needs of incarcerated women. Women in the Main Jail attend programming three hours a day, three days a week. The program includes evidence-based programming that addresses histories of trauma that contribute to harmful habitual behaviors including substance abuse, unhealthy relationships, criminal thinking and beliefs. The program also offers reentry support and services.</p>



<p><b>R.E.A.L</b>  <b>Redemption, Empowerment,          Aspiration and Love</b></p>	<p><b>Provider:</b> Black Sheep Redemption Project Staff  <b>Facilities:</b> Main Jail          REAL is a gang desistance program. The curriculum helps participants acquire the skills needed to overcome the destructive, criminal gang mentality which keeps them imprisoned in a self destructive lifestyle of habitual behavior. REAL provides an opportunity for participants who have "dropped out" of their gang to develop a new focus and life, and provides hope for those contemplating dropping out.</p>
<p><b>RELAPSE PREVENTION</b></p>	<p><b>Provider:</b> Encompass Community Services Staff  <b>Facility:</b> Rountree  <b>Post release services available</b>          The Relapse Prevention Group is an evidenced based curriculum (Matrix Model in a Criminal Justice Setting) that helps men who have been able to achieve some sobriety from drugs and alcohol, continue on their path to recovery. The weekly group promotes the development of recovery skills to support long term health and wellbeing.</p>
<p><b>RELIGIOUS GROUPS</b></p>	<p><b>Providers:</b> Local Churches (English / * Spanish)  <b>Facilities:</b> All Facilities  <b>Post release services available</b>          A variety of religious groups from numerous denominations provide individual and group services between the three facilities: Aglow International, Christ Community, Elm Street Mission, Gateway, Holy Cross, Jehovah's Witness, Peace United Church of Christ, Prison Fellowship Ministries, Progressive Baptist, Resurrection, Saint Joseph's, Saint Patrick's, Saint Peter &amp; Paul, Santa Cruz Bible, Santa Cruz Revival, United Methodist.</p>
<p><b>RETURN PROJECT</b></p>	<p><b>Provider:</b> Encompass Community Services Staff  <b>Facility:</b> Main Jail and Rountree  <b>Post release services available</b>          Return Project provides brief one on one counseling to 1170 participants or participants at high risk of becoming an 1170 inmate while in custody and upon release to the community.</p>
<p><b>ROUNTREE          FOUNDATION COURSE</b></p>	<p><b>Provider:</b> Letta Love Consulting  <b>Facilities:</b> Rountree          This 6-hour course is required for all inmates upon transfer to the Rountree facility. This strengths-based class provides a foundation for successful engagement in the services offered at the facility. Participants are encouraged to set a vision for themselves, explore their motivation for change, identify core values and personal strengths, and set SMART goals.</p>
<p><b>SAFE: INSIDE AND OUT          Seeking Safety</b></p>	<p><b>Provider:</b> Community Staff / Encompass Community Services Staff / Monarch Services Staff  <b>Facilities:</b> All facilities          The curriculum, Seeking Safety, is an integrative treatment approach that focuses on utilizing safe coping skills to work toward discontinuing substance use and other high-risk behaviors and gaining control over Post Traumatic Stress (PTSD) symptoms.</p>





<p><b>THINKING FOR A CHANGE</b></p>	<p><b>Providers:</b> Encompass Community Services Staff Friends Outside Staff / SC County Probation Staff  <b>Facilities:</b> All facilities  <b>Post release services available</b></p> <p>A cognitive behavioral curriculum designed by the National Institute of Corrections to help justice involved individuals take control of their lives by taking control of their thinking. Participants learn more effective ways of thinking, which then change behaviors/actions. Three perspectives are taught in the program: cognitive restructuring, problem solving and social skills. Students problem-solve scenarios and do role plays to practice new thinking and new behaviors.</p>
<p><b>TUTORING</b></p>	<p><b>Provider:</b> Literacy Program Staff and Volunteers  <b>Facilities:</b> All Facilities  <b>Post release services available</b></p> <p>The Literacy Program provides adults with the skills and knowledge needed to be successful parents, workers, and citizens. Tutors work with individuals or small groups of students, with a below 4<sup>th</sup> grade academic level, to improve reading, writing or math skills in order to obtain high school equivalency, prepare for a better job, enable them to read to a child, to increase self-esteem. By supporting someone to realize their personal potential, tutors help free that person from the frustrations and limitations that often accompany inadequate literacy skills.</p>
<p><b>SERVICES</b></p>	
<p><b>BENEFITS ENROLLMENT</b></p>	<p><b>Provider:</b> Friends Outside (English/Spanish)  <b>Facility:</b> All facilities  <b>Post release services available</b></p> <p>Assistance to enroll in Health Care benefits, apply for government benefits and financial aid for college and referrals to community resources. Participants are identified and referred to Friends Outside as their release date approaches so they may enroll prior to release.</p>
<p><b>CHAPLAINCY</b></p>	<p><b>Provider:</b> Jail Chaplain  <b>Facilities:</b> All facilities</p> <p>A full time Jail Chaplain ministers to the 400 plus inmates at all facilities. The Jail Chaplain is responsible for providing everyday spiritual support and counseling, performing in-custody marriages, overseeing religious dietary needs, and death notification and comfort. The Chaplains also coordinate jail access for faith leaders to visit their followers who are in custody and provide support to the religious volunteers.</p>
<p><b>CHILD SUPPORT SERVICES</b></p>	<p><b>Provider:</b> Child Support Services Staff  <b>Facilities:</b> All facilities  <b>Post release services available</b></p> <p>Social workers inform participants on the rights and obligations to pay child support. Participants can get assistance to establish paternity, calculate child support, determine eligibility to have child support reduced or eliminated due to incarceration and complete and file court documents.</p>



<p><b>COMMUNITY COLLEGE</b></p>	<p><b>Provider:</b> Cabrillo College  <b>Facility:</b> Rountree  <b>Post release services available</b></p> <p>An outreach specialist presents information on Cabrillo College, course work required for various careers, options to earn advanced degrees, financial aid, and academic support programs.</p>
<p><b>EMPLOYMENT DEVELOPMENT AND JOB PALCEMENT SERVICES</b></p>	<p><b>Provider:</b> Community Action Board ~ Alcance  <b>Facilities:</b> All Facilities  <b>Post release services available</b></p> <p>The Jail to Jobs program assists inmates to achieve employment goals. Assistance to define employment interests/skills, create a resume and master application, practice interviews, search job listings, job placement and job retention support.</p>
<p><b>HEALTHY SEXUALITY</b></p>	<p><b>Provider:</b> Planned Parenthood Mar Monte Staff  <b>Facilities:</b> All facilities  <b>Post release services available</b></p> <p>Alcohol and other drug use/abuse and addiction have been inextricably linked with the spread of sexually transmitted infections (STI). The link has to do with heightened risk—both of contracting and transmitting STI and of worsening the consequences. The presentation has two components. The first hour covers the services that PPMM has to offer, sexually transmitted infections and pregnancy prevention methods. The second hour is on Adult/Child Communication. The focus is on why it is important to talk to youth about reproductive health, and some ways in which adults can lead a discussion with youth.</p>
<p><b>HIV/HCV TESTING</b></p>	<p><b>Provider:</b> County Public Health Department  <b>Facilities:</b> Main Jail</p> <p>Inmates who have exhibited symptoms or those who are concerned they have been exposed to a blood-born illness may request confidential testing services.</p>
<p><b>HOW TO SUCCEED ON SUPERVISION</b></p>	<p><b>Provider:</b> Santa Cruz County Probation Department Staff  <b>Facilities:</b> Rountree  <b>Post release services available with Probation</b></p> <p>Valuable information on the Probation Officers role, probation forms and the expectations of community supervision. This provides an opportunity for participants to understand some of the complexities of probation and how to succeed upon release.</p>
<p><b>LAW LIBRARY SERVICES</b></p>	<p><b>Provider:</b> Legal Research Associates Interns  <b>Facilities:</b> All facilities</p> <p>Provides legal research assistance to inmates. Participants may request information concerning their case or other legal issues. The requests are immediately forwarded to Legal Research Associates who copy or download the information and return it via courier.</p>
<p><b>LIBRARY SERVICES</b></p>	<p><b>Provider:</b> Santa Cruz Public Libraries Staff and Sheriff's Office Volunteers  <b>Facilities:</b> All facilities</p> <p>Santa Cruz Public Library comes to each facility twice a month, and goes unit by unit to interact with participants and distribute library books. Participants receive a library card and can check out books at each visit. Participants may request books and the library will order them. Books are available in English, Spanish and large print. People and Stories, a literature reading and discussion program, encourages participants to encounter literature through the lens of their own life experiences, revealing an inherent ability to tackle difficult themes, issues, and texts often reserved for the college classroom.</p>



<p><b>INMATE SUPPORT SERVICES and KIDS DAYS</b></p>	<p><b>Provider: Friends Outside Staff and Volunteers</b>  <b>Facilities: All Facilities</b>  <b>Post release services available</b></p> <p>Inmate Assistance helps conduct basic and necessary transactions while in custody, maintain outside contacts, and help participants and their families maintain ties, as incarcerated participants may lose contact with loved ones, have pressing financial obligations, or need help with a variety of issues they can't address from inside. Kid's Days are holiday celebrations for participants children conducted at the Blaine Street Facility.</p>
<p><b>RE-ENTRY PLANNING</b></p>	<p><b>Providers: AB109 Friends Outside Staff / General Population Encompass Community Services Staff</b>  <b>Facilities: All Facilities</b>  <b>Post release services available</b></p> <p>Assistance to set goals, make plans and connect to resources for successful reintegration into the community. A re-entry plan document supports individuals to track action steps to achieve their immediate and long term goals.</p>
<p><b>SPEAKER'S BUREAU</b></p>	<p><b>Provider: Sobriety Works</b>  <b>Facility: Rountree</b>  <b>Post release services available</b></p> <p>This 10-hour workshop prepares currently and formerly incarcerated individuals and others affected by the criminal justice system to effectively share their personal story at speaking engagements, meetings and other community events. This serves as a community engagement tool by providing individuals the opportunity to participate in a pro-social, skill-building activity, give back to the community by helping to raise community awareness about issues in the criminal justice system, and build new relationships in the community that can serve as support systems.</p>
<p><b>SUBSTANCE USE TREATMENT PROGRAMS</b>   <b>Program Information and Intakes</b></p>	<p><b>Providers: Encompass Community Services, Janus of SC, Sobriety Works, New Life</b>  <b>Facilities: Rountree (Rountree presentations monthly and Individually as needed)</b>  <b>Post release services available</b></p> <p>Substance Use Disorder Treatment Programs provide an overview of residential and outpatient treatment programs, sober living environments (SLEs), and other services. The cost and intake process is explained. Participants can meet with program staff to apply and get on waitlists.</p>
<p><b>TWELVE STEP MEETINGS</b>   <b>AL-ANON</b>  <b>ALCOHOLICS ANONYMOUS</b>  <b>NARCOTICS ANONYMOUS</b>  <b>SEX/ LOVE ADDICTS ANONYMOUS</b></p>	<p><b>Provider: Hospitals &amp; Institutions Volunteers (English/Spanish)</b>  <b>Facilities: All Facilities</b>  <b>Post release services available</b></p> <p>Twelve Step groups are non-profit fellowships or societies for men and women for whom addictive behavior has become harmful. They are people in recovery who meet regularly to help each other. Volunteers conduct group meetings and answer questions.</p> <ul style="list-style-type: none"> <li>• ALANON is for all who have been affected by addiction whether by family of origin, spouse, partner, parent or child, whether alcoholic or not.</li> <li>• AA - ALOHOLICS ANONYMOUS is for harmful habitual behavior related to alcohol.</li> <li>• NA - NARCOTICS ANONYMOUS is for harmful habitual behavior related to drugs.</li> <li>• SLAA – SEX AND LOVE ADDICTS ANONYMOUS – is for harmful habitual behavior related to relationships. Class at Main Jail Facility.</li> <li>• Individual 12 Step work – volunteers guide interested individuals through the 12 steps.</li> </ul>



<p><b>VETERAN'S SERVICES</b></p>	<p><b>Providers:</b> Veteran Advocate, Veteran's Justice Outreach, Veteran's Treatment Court Staff and Volunteers  <b>Facilities:</b> All Facilities  <b>Post release services available</b></p> <p>Veteran's Justice Outreach visits incarcerated veterans and provides assistance and information on enrollment in VA services, Veterans benefits, medical care, mental health services, substance abuse programs, housing, employment and more.</p>
<p><b>VOTING</b></p>	<p><b>Provider:</b> Santa Cruz County Clerk/Elections Staff  <b>Facilities:</b> All Facilities  <b>Post release services available</b></p> <p>Participants are offered voter registration opportunities and voting materials from the Elections Department. Corrections personnel deliver materials to Election Department on behalf of inmate.</p>
<p><b>WATSONVILLE LAW CENTER</b>   <b>Information and Clinics</b></p>	<p><b>Providers:</b> Watsonville Law Center (WLC) Staff  <b>Facilities:</b> Rountree  <b>Post release services available</b></p> <p>Presentation on the services offered through the WLC. Criminal records and credit reports and how they can impact reentry into the community are explained, as well as an individual's rights with respect to background checks. Participants are assisted in the process of identifying remedies for record clearance and outstanding consumer debt and/or identity theft.</p>



## **Appendix VI: Data Capacity Assessment Memo**





# Santa Cruz County Public Safety Realignment (AB 109) Evaluation: Data Capacity Assessment

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**Prepared by:**

**Resource Development Associates**

**December 12, 2016**





## Introduction

The purpose of this document is to assess the current AB 109-related data capacity and infrastructure, including systems and methods for data collection, monitoring, reporting, and sharing, as well as supporting infrastructure across various partners that hold justice and service data including the Probation Department, Sheriff's Office, the Superior Court, and the Health Services Agency. The goal of this effort is to understand what types and quality of data each department is collecting, the format in which data are stored, and how data can be extracted for analysis. This will inform data collection strategies for subsequent evaluation activities and help identify data elements that can be accessed for evaluation purposes.

In order to assess the AB 109-related data capacity and infrastructure in Santa Cruz County, RDA received data extracts and conducted key informant interviews with leadership and IT staff from the following County Departments:

- ❖ Probation Department
- ❖ Sheriff's Office
- ❖ Superior Court
- ❖ Health Services Agency<sup>19</sup>
  - Alcohol and Drug Program
  - Mental Health Service

## Organization of this Memo

This memo begins with an overview of each County department's data system, as well as an assessment of the availability and quality of their AB 109-related data and the implications of each department's data capacity on AB 109 reporting and evaluation. The department-level findings are followed by an assessment of the County's strengths and challenges around interagency data sharing. The memo concludes with a set of recommendations for the County to consider for improving their AB 109-related data capacity.

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<sup>19</sup> RDA did not receive data extracts from Mental Health Services or the Alcohol and Drug Program.



## Probation Department

### Overview of Data System

The Probation Department manages client data for all individuals on Probation, including AB 109 individuals, in a case management system (CMS) called Caseload Explorer. Caseload Explorer was purchased through AutoMon LLC prior to Realignment, and before the Department was focused on best practices in data collection. At this time the Department did not have a clear understanding of SB 678 reporting requirements (SB 678 resulted in a system of performance-based funding that shares state General Fund savings with county probation departments when they demonstrate success in reducing the number of adult felony probationers going to state prison) or AB 109-specific data elements, and as a result the Department experiences some challenges pulling the data necessary for AB 109 reporting and evaluation.

In addition, Probation also manages client data for all individuals they supervise as a part of the County’s pretrial release program; these data are input into a homegrown data system, as well as in Microsoft Excel files that are used to track the pretrial population.

### AB 109 Data Availability and Quality

Table 5 below describes some of the critical data elements that are available for the AB 109 population via the County’s Caseload Explorer system, as well as the quality of data available.

**Table 5. AB 109 Probation Data Availability and Quality**

Variable	Data Quality	Comments
<b>Personal Identification Number (PIN)</b>	High	Each AB 109 individual has a unique personal identification number (Pin).
<b>Case Number</b>	Medium	There are multiple case numbers reported for each case resulting in AB 109 status, with different sentence types attached to each case number (e.g., custody only, split sentence, mandatory supervision).
<b>Supervision Status (PRCS or 1170(h))</b>	Medium	Each case number has a corresponding supervision status, but because there are multiple case numbers reported for each case resulting in AB 109 status it is time consuming to determine sentence types.
<b>Mandatory Supervision Start Date</b>	Medium	There is some missing data because the mandatory supervision start date must be hand input by probation officers once they start supervising individuals with split sentences.



Variable	Data Quality	Comments
<b>Client Contacts</b>	High	An AB 109 contact log includes the date of each client contact recorded since the start of AB 109.
<b>Use of EPICS</b>	High	An AB 109 contact log includes an indicator of whether EPICS was used during each contact since March of 2013.
<b>CAIS Identified Risk and Needs</b>	High	Each CAIS assessment conducted on AB 109 individuals includes Pin # and date of assessment as well as identified risk scores and needs.
<b>Probation Revocations</b>	Medium	A number of individuals with probation revocations who do not appear to be under mandatory supervision are included in the list of those with probation revocations.
<b>Flash Incarcerations</b>	High	Includes PIN # of each AB 109 individual, date of flash incarceration, date of release, and reason for flash incarceration.
<b>Supervision End date</b>	Medium	End dates are not listed for each case number, and it is difficult to accurately identify all end dates and time consuming to input end dates for cases by reviewing each case number.
<b>Mandatory Supervision Completion Type (Successful vs. Unsuccessful)</b>	Low	The meaning of completion types has been interpreted differently by POs over time, and as a result it is not possible to track successful completions since the start of AB 109.

In addition to these variables, Probation staff expressed that they also have data on the charges AB 109 individuals were convicted on, new charges they have received, referrals to services, among other data elements typically kept in case management systems such as demographic information, recent addresses, phone numbers, and known associates, etc.

Probation also receives service receipt data from contracted providers. AB 109 client service receipt has been tracked consistently since January 1, 2012. However, Probation suggested that the data requires extensive cleaning and quality assurance, and only depicts the participation of AB 109 clients in the six service areas the County funds to address criminogenic needs (i.e., education, mental health, employment, cognitive behavioral therapy, substance use treatment, and reentry). Probation provided RDA with aggregate data for these service areas and therefore RDA was unable to do a thorough assessment of these data. The County also funds other services to support reentry, such as housing, transportation, and community engagement, but does not calculate service dosage for these; moreover, there are a number of services not funded through AB 109 that AB 109 individuals participate in but are not tracked. For these reasons, AB 109 service receipt data should be interpreted cautiously.



In addition to the Department's Caseload Explorer system, as noted above the Probation Department also tracks information on the County's pre-trial program. These data include individual identifying information, including S Numbers (unique identifier from the Sheriff's Office), names, race/ethnicity, and date of birth, etc., as well as Public Safety Assessment-Court Pretrial Risk Assessment information, recommendations of release or detainment, charges pushed from the Sheriff Office's JMS, and court outcomes. According to Probation staff, a major limitation of these data is that they are extracted by the ISD Corporation, and typically take a fairly extensive effort to clean and receive in usable format.

## Data for AB 109 Reporting and Evaluation

While Probation has large amounts of data that they can swiftly provide for AB 109 reporting and evaluation, because the data system relies on probation officers inputting data there are a number of limitations that impact data reporting and evaluation. Some of these limitations include the following:

- ❖ It is not possible to determine supervision start dates for all AB 109 individuals using Probation data because probation officers do not always enter this information. While it is possible to look up this information in the Sheriff's Office data system, this requires someone to manually look up each case and determine the release date that most closely corresponds to the start date indicated in Probation's data. This requires a significant amount time and effort, and makes it difficult for the Probation Department to assess AB 109 population outcomes.
- ❖ Revocations are not tracked reliably by Probation; when individuals enter custody for flash incarcerations and end up revoked from probation, changes are not consistently input into the data system. This means that Probation cannot accurately assess the number of AB 109 individuals who are revoked without matching their data with Sheriff's Office data, which is a time consuming process that makes it difficult for the Department to assess AB 109 population outcomes.
- ❖ Referrals to services are tracked inconsistently by probation officers, which limits their ability to meaningfully assess the extent to which AB 109 individuals are referred to services.
- ❖ The definition of each mandatory supervision completion type has been interpreted differently by probation officers over time, and as a result it is not possible to track successful completions since the start of AB 109. The definitions were recently standardized so successful completions can be better tracked moving forward.

In order to address some of these data reporting challenges, Probation participates in an AutoMon workgroup focused on streamlining processes for capturing data elements required to report on under SB 678. Because it is not currently efficient to utilize the Caseload Explorer system to meet all reporting requirements, Probation keeps a spreadsheet with additional data elements to answer questions they are often asked to report on but are unable to easily answer with Caseload Explorer data, such as returns to prison and successful completions of Probation. Probation is currently in the process of automating reports to match SB 678 requirements and increase reporting efficiency across the County's supervised population, including the AB 109 population.



## Sheriff's Office

### Overview of Data System

The Sheriff's Office purchased a new Jail Management System (JMS) and Records Management System (RMS) in 2009 from Executive Information Services (EIS). The Sheriff's Office conducted extensive research prior to choosing EIS as a vendor, and ultimately purchased these data systems because they are not difficult to input or extract data from, and because they have a strong customer service team that provides support when necessary.

In addition to the JMS and RMS, since the start of 2016 the Sheriff's Office began manually tracking in-custody service receipt in three separate Microsoft Excel sheets, one for each of the County's three jails.

### AB 109 Data Availability and Quality

Overall the Sheriff's Office has a high data capacity; they reliably track numerous data points for AB individuals (as well as all other individuals who are incarcerated) who are incarcerated in the County and IT staff has the capability to extract these data in clean, usable Excel formats.

Some of the key data elements that are tracked reliably and can be queried across AB 109 populations include the following:

- ❖ S Number (unique County ID)
- ❖ California Information and Identification (CII) Number (unique State ID)
- ❖ Booking Number (unique booking ID)
- ❖ Race
- ❖ Gender
- ❖ Date of Birth
- ❖ Arrest Date
- ❖ Booking Date
- ❖ Sentence Date
- ❖ Charge Description
- ❖ AB 109 Population Type (1170, PRCS, Parolee)
- ❖ Classification Date
- ❖ Classification Status
- ❖ Release Date
- ❖ Release Reason

The Sheriff's Office also collects data on the Custody Alternative Program (CAP); they track the monthly CAP population, including the proportion who are AB 109 individuals and the number of terminations each month (although terminations are not currently tracked for the AB 109 CAP population specifically).

In addition to the data elements listed above, the JMS also includes other identifying information such as social security numbers, marriage status, and residency. The RMS holds records and permit information (e.g., concealed weapons permit, sex offender registry, arson offender, etc.), in addition to reports such as police reports and in-custody incident reports for individuals who are incarcerated in the County. While these data are available for the AB 109 population, they are less pertinent for AB 109 reporting and evaluation.



Since the start of AB 109, in-custody service receipt has been the least reliably collected data point for the Sheriff's Office. Some service-related data has been inconsistently input into the JMS, and IT staff expressed these data do not accurately reflect in-custody service receipt. On January 1, 2016 the Sheriff's Office implemented the use of Microsoft Excel sheets to track in-custody service utilization across the County's three facilities (the Main Jail, Rountree Men's Facility, and Blaine St. Women's Facility). Reception staff and/or volunteers hand input attendance information from program attendance sheets into a separate Excel file for each facility to track individual level service receipt within each jail.

The Sheriff's Office currently tracks the following in-custody service utilization data:

- ❖ S Number (unique ID)
- ❖ Program Name
- ❖ Date of Attendance

A limitation of these service-utilization data is that the reliability relies on the accuracy of attendance sheets. Additionally, there are not AB 109 indicators included in the Excel sheets, but because S Numbers are included it is possible to match service data with JMS data and identify the AB 109 population receiving services this way. The Sheriff's Office also intends to track service dosage (e.g., hours of services attended by each individual) and certificates of service completion (individuals who are incarcerated can earn certificates of service completion for participating in 20 hours of certain services), although data RDA received from the Sheriff's Office demonstrates that these data points are not currently being tracked. Corrections staff expressed that they hope to work with a vendor within the next six months to integrate a scanner system and streamline in-custody service receipt data collection processes.

## Data for AB 109 Reporting and Evaluation

Data pulled for AB 109 reporting and evaluation mostly comes from the Sheriff Office's JMS. Correctional officers, including booking and classification officers, input data into the JMS, and IT staff extract and analyze these data. Because these data are reliably input and extracted in a clean and usable format, the majority of the Sheriff's Office data is ideal for AB 109 reporting and evaluation.

One limitation to the JMS data is that multiple rows are generated for each booking to reflect the disparate charges and potentially separate sentences that resulted from each booking; as a result there are often multiple charge descriptions, as well as disparate sentence dates and reasons for release documented for individuals who received two or more separate sentences for disparate law violations, making it more difficult to calculate time served for each sentence. For the purposes of AB 109 evaluation these nuances do not pose a major issue because our evaluation questions do not focus on the types of charges and/or reasons for release of the AB 109 population.

Another limitation of the Sheriff Office's data is that there is no reliable in-custody service receipt data prior to January 2016. Because it is not possible to track in-custody service receipt prior to this time, the evaluation cannot track changes in service receipt since the start of AB 109 or potential differences in outcomes for individuals who participated with in-custody versus those who did not.



## Superior Court

### Overview of Data System

The Superior Court purchased their new Odyssey case management system through Tyler Technologies in October of 2015; upon implementing the system they transferred all information from their legacy ISD Corporation ICMS Course Case Management System. Because Odyssey is still relatively new, Court staff do not have much experience extracting data from the system; as a result the Court is not currently able to produce a dataset that includes all AB 109 sentences since the start of Realignment.

### AB 109 Data Availability and Quality

After shifting to the Odyssey system, the Court only has limited data capacity. According to Court staff the Odyssey system includes a number of AB 109 related data elements. These data elements include the following:

- ❖ Defendant's Name
- ❖ Unique Client Identifiers (Party ID # and S Number)
- ❖ Unique Case Identifier (Case Number)
- ❖ Sentence Date
- ❖ Sentence Type
- ❖ Sentence Description
- ❖ Confinement Terms
- ❖ Probation Terms
- ❖ Court filing Date

While these data elements are included in the Odyssey system, there are a number of limitations to the Odyssey system. The most critical data limitation is that Court staff do not appear to have the capability of querying the system to accurately identify all AB 109 sentences at this time. Another notable limitation is that the sentence types and sentence descriptions for those sentences that are identified do not align with each other; for instance, in data RDA received from the Court there are multiple cases that indicate the sentence type to be a straight sentence (custody only) and the sentence description to be a mandatory supervision sentence. This demonstrates that these indicators do not reliably identify AB 109 sentence types.

A significant challenge with the Odyssey system has been delays in sharing sentencing information with the Sheriff's Office and Probation, which has impacted opportunities for reentry planning and in some cases has led to extended time spent in custody. This challenge is discussed in more detail in the section on data sharing below.

### Data for AB 109 Reporting and Evaluation

As noted above, it does not appear that Court data extracted from the Odyssey system can be reliably used for AB 109 reporting or evaluation at this time. The data extract RDA received from the Court does







not accurately reflect the number of AB 109 sentences since the start of AB 109, and there are inconsistencies in the data as described above. This has large scale implications for RDA's AB 109 outcome evaluation; if the Court cannot accurately query the data system to identify AB 109 sentences RDA will have to rely on Probation and Sheriff's Office data, and perhaps data from the District Attorney's Office to accurately identify the AB 109 population and all recidivism-related outcomes, including the dates of all Probation revocations, new charges, and new convictions for AB 109 individuals.

## Health Services Agency

RDA has not worked directly with the County Health Services Agency (HSA) to request and assess sample data extracts from Mental Health Services or the Alcohol and Drug Program; however RDA has conducted key informant interviews with the Directors of each program, as well as a data analyst from the Alcohol and Drug Program to learn more about each of their data systems.

Mental Health Services and the Alcohol and Drug Program implemented a new Electronic Health Record system called Avatar in April 2016; at that time they completed a one-time data transfer from their previous data system, Sharecare, into Avatar. According to our key informant interviews, service delivery data is entered consistently into Avatar (and Sharecare previously) for the AB 109 population because there is an AB 109 funder flag that providers must mark in order to be paid for providing services for the AB 109 population. While RDA's interviews suggest that service data are input consistently, they also suggested that IT staff have not yet learned how to run queries for extracting data on the AB 109 population because Avatar is still relatively new. The Alcohol and Drug Program analyst we spoke with suggested that reporting data would be more efficient if they could pre-establish reports such that they could easily see graphs or report outputs with the push of a button.

## Interagency Data Sharing

Representatives from multiple County Departments involved in AB 109 implementation suggested that there is a fair amount of data sharing that occurs across justice partners; however, they also expressed that agencies should continue to develop formalized processes for data sharing in order increase efficiency and better serve the AB 109 population in particular and criminal justice-involved individuals in general. The sections below highlight some of the current strengths and challenges in data sharing across Santa Cruz County.

### Strengths

Probation staff expressed that they have numerous collaborative relationships through which they share data with justice partners; **Probation** has access to the **Sheriff's Office** JMS as well as some of the data systems used by Probation's contracted service providers. Probation also receives regular reports from **contracted service providers** indicating the number of AB 109 individuals served, as well as their service dosage and programmatic outcomes. **Law Enforcement agencies** across Santa Cruz County have access to abbreviated information from Probation's Caseload Explorer System, while a number of staff from the



## Santa Cruz County Probation Department

### *AB 109 Evaluation: Data Capacity Assessment*

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Sheriff's Office have access to Probation's CAIS risk and needs assessment information (and a smaller pool of sheriff's Office staff has access to Probation's full database in order to collaboratively apply risk assessments).

The **Sheriff's Office** is also collaborating with **Probation** and **contracted service providers** that provide in-custody services to pilot a Client Executive Summary (CES), which tracks clients' criminogenic needs and service history in order to guide case management and reentry planning.

Finally, the **Superior Court** determines eligibility for pre-trial release based on risk and needs assessment information they receive from **Probation**. Additionally the **Superior Court** has also worked with other County departments on data exchange projects, for instance with the **Sheriff's Office** to automatically push data to them when a bench warrant is issued. The **Superior Court** also provides access to criminal information through their online portal to County partners, as well as the general public, who can query the database to receive criminal information on specific court cases.

### Challenges

In order to develop a greater understanding of what is and is not working well across AB 109 partners and to improve the AB 109 system of services, it is important for AB 109 partners to share appropriate data and prioritize data-driven decision making. Although County staff suggested that data sharing occurs in Santa Cruz County, some also expressed that bureaucratic and political barriers make establishing data sharing agreements a very time consuming and inconsistent process, especially as staff turnover occurs and negotiations lose momentum.

The most notable data sharing challenge in Santa Cruz County today appears related to the **Court's** implementation of the new Odyssey case management system. According to **Probation** and **Sheriff's Office** staff, since the shift to Odyssey they are not consistently receiving sentencing information in a timely manner from the Court. As a result, they have less time to identify individuals sentenced under AB 109, complete assessments, and begin reentry planning. In some cases, individuals have even spent additional time in custody and/or under Probation supervision because of delays receiving data from the Court.

**HSA** staff also expressed that despite sharing large amounts of service delivery data with **Probation**, they do not receive any information about recidivism among individuals who have received their services. Similarly, contracted service providers are expected to produce monthly service delivery and outcome reports, while Probation and the Sheriff's Office are not. It is important for bi-directional data sharing to exist across AB 109 partners because without a clear understanding of client outcomes, HSA and contracted services providers do not have access to the data necessary for adjusting services to better meet AB 109 client needs.



## Recommendations to Improve Data Capacity

- ❖ **Probation** should consider automating AB 109 reports, such as the number of AB 109 individuals starting and completing mandatory supervision each month. This may require establishing additional data sharing agreements with the Sheriff's Office to have JMS data pushed directly to the Caseload Explorer system when individuals are released from custody. Doing so would help increase reporting efficiency and allow Probation to provide more information to AB 109 partners about the AB 109 population on a regular basis. Additionally, having JMS data pushed to Probation would allow Probation Officers to learn of AB 109 individuals (as well as others) immediately upon release from custody.
  
- ❖ **The Sheriff's Office and Probation** should monitor cases for which there is a delay from the Court system to the Sheriff's Office, and ultimately Probation, in order to identify which AB 109 cases are being delayed. In the meantime the Sheriff's Office and Probation should establish a temporary tracking system that ensures Court data is sent to the Sheriff's Office and Probation Department daily so that each department can identify individuals sentenced under AB 109 immediately and complete risk and needs assessments and begin reentry planning as soon as possible.
  
- ❖ **AB 109 partners** should make a commitment to bi-directional data sharing. This will promote data sharing with partners who do not currently receive AB 109 related information from justice partners and allow all AB 109 partners to make data driven decision to better serve the AB 109 population.