



County of Santa Cruz  
Santa Cruz County Community Corrections Partnership  
MEETING NOTICE AND AGENDA

October 30, 2023  
10:00 – 11:00 a.m.

Santa Cruz County Sheriff's Office Community Room  
5200 Soquel Ave, Santa Cruz, CA 95062

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The three goals of the Santa Cruz County Community Corrections Partnership are:

- I. Establish an array of **effective alternatives to incarceration** to address the impacts that the realigned population will have on the county jail in order to avert crowding and poor conditions of confinement without jeopardizing public safety outcomes;
  - II. Implement **Evidence-Based Probation Supervision** that properly assesses risk factors associated with recidivism and provides effective probation interviewing, case planning, and community supervision to ensure public safety and reduce recidivism; and
  - III. Develop community partnerships for **effective intervention services** that adhere to the principles of evidence-based practices for maximum recidivism reduction.
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I. CALL TO ORDER

II. REVIEW OF AGENDA

III. APPROVAL OF MINUTES

IV. PUBLIC COMMUNICATIONS

Members of the public are allowed 3 minutes to address any item pertaining to the CCP, but not on the agenda.

V. ORAL REPORTS AND ACTION ITEMS

1. Probation Initiatives and Updates: Fernando Giraldo
2. Report on CAFES Cohort II and Cohort III Programs (Proposition 47): Hugo Calderon
3. Santa Cruz County Public Safety Realignment Implementation Plan 2022-2023: Fernando Giraldo
4. Sequential Intercept Mapping: Kevin O'Connell, Sarah Fletcher

VI. ADJOURNMENT

*The County of Santa Cruz does not discriminate on the basis of disability, as no person shall, by reason of a disability, be denied the benefits of its services, programs, or activities. If you are a person with a disability, including a communication disability, and require special assistance in order to participate in the meeting or need language service assistance, please contact the Santa Cruz County Probation Department at (831) 454-3105 (TDD: call 711) at least 72 hours in advance of the meeting in order to make arrangements. Persons with disabilities may request a copy of the agenda in an alternate format.*

*Por favor haga arreglos anticipadamente por teléfono al número (831) 454-3105.*



# County of Santa Cruz

## Santa Cruz County Community Corrections Partnership

### MEETING NOTICE AND AGENDA

**May 24, 2023**  
**10:00 – 11:30 a.m.**

**Santa Cruz County Sheriff's Community Room**  
**5200 Soquel Avenue, Santa Cruz, CA 95062**

*The three goals of the Santa Cruz County Community Corrections Partnership are:*

- I. Establish an array of **effective alternatives to incarceration** to address the impacts that the realigned population will have on the county jail in order to avert crowding and poor conditions of confinement without jeopardizing public safety outcomes;*
- II. Implement **Evidence-Based Probation Supervision** that properly assesses risk factors associated with recidivism and provides effective probation interviewing, case planning, and community supervision to ensure public safety and reduce recidivism; and*
- III. Develop community partnerships for **effective intervention services** that adhere to the principles of evidence-based practices for maximum recidivism reduction.*

**I. CALL TO ORDER:** Meeting called to order at 10:05 a.m.

District Attorney's Office  
Health Services Agency  
Sheriff's Office

Probation Department  
Public Defender  
Superior Court of Santa Cruz  
Capitola Police Department  
County Office of Education  
Health Services Agency

District Attorney's Office

Human Services Department

Board of Supervisors  
Human Services Department

Santa Cruz Volunteer Center  
\*Denotes voting member

Tara George, Chief Deputy District Attorney \*  
Monica Morales, Director of Health Services Agency \*

Jim Hart, Sheriff-Coroner \*  
Fernando Giraldo, Chief Probation Officer \*  
Heather Rogers, Public Defender \*

Sasha Morgan, Court Executive Officer \*  
Andrew Dally, Chief of Police \* (absent)

Faris Sabbah, Superintendent of Schools  
Lisa Todd, Chief of Substance Use Disorders  
Programs (absent)

Laura Espindola, Manager of Victim Witness  
Assistance Program (absent)

Randy Morris, Director of Human Services  
Department

Supervisor to be appointed (absent)

Andrew Stone, Director of Workforce Investment  
Board (absent)

Karen Delaney, Executive Director (absent)

Proxy: Tara George is proxy for District Attorney Jeff Rosell

**II. REVIEW OF AGENDA:** (verbal)

**III. APPROVAL OF MINUTES:** Motioned made by Heather Rogers and seconded by Tara George.

**Motion Passed**

Aye: Rogers, Morgan, Giraldo, Morales, Hart, George

No: None

Absent: Dally

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- IV. PUBLIC COMMUNICATIONS: Members of the public are allowed 3 minutes to address any item pertaining to the CCP, but not on the Agenda.

Sheriff-Coroner Jim Hart announced that the Women's Recovery and Reentry Program (WRRP) will be a model site for the nation. The WRRP is a gender specific program intended to improve the safety, functioning and quality of life of female offenders through reduced substance use and recidivism.

V. ORAL REPORTS AND ACTION ITEMS

- 1 Probation Initiatives and Updates: Fernando Giraldo

- 2 Chief Giraldo shared that the Reducing Revocations Challenge is in Phase II of the three-year project in partnership with RDA Consulting. Phase II is the pilot program in which clients are incentivized to come to the office without fear that if they have a positive UA, they might be arrested. If the clients show up clean, they will receive a gift card. The pilot began in September and the response from clients has been positive.

Probation was awarded the Mobile Probation Services Grant to purchase two Sprinter vans to increase accessibility throughout the county and provide mobile services to those who cannot readily access probation offices and/or services.

2. Report on CAFES Cohort II and Cohort III Programs (Proposition 47): Sarah Fletcher

Division Director Sarah Fletcher shared that CAFES Cohort II wrapped up the direct client services component in December 2022, and the data has been submitted data to BSCC. Probation will share the results when they are made public.

Cohort III has helped support the Public Defender's new advocate team and continued expansion of neighborhood court, as well as the services started through Cohort II.

The Request for Proposals (RFP) for CAFES Cohort III will close on June 2, 2023. Solicitation page can be found on the General Services Department webpage.

[Solicitations \(santa-cruz.ca.us\)](https://www.santa-cruz.ca.us/solicitations)

3. Sequential Intercept Model (Full Group Activity): Kevin O'Connell

Please see the attachments for information. Kevin O'Connell presented and gave an overview of the Sequential Intercept Model. The group participated in an exercise going through the Intercepts, adding services and priorities that can/should be added to each Intercept.

- VI. ADJOURNMENT: Meeting adjourned at 11:29 a.m.

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Santa Cruz County  
Community Corrections Partnership

**Public Safety Realignment  
Implementation Plan  
2023-2024**

Submitted by:

Fernando Giraldo, Chief Probation Officer  
Community Corrections Partnership Chair  
November 2023

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• <a href="#">Probation Success Center Goals 2023-24 Draft v.1</a>	
• <a href="#">Shared Safety Workgroup Survivor System Navigation Workshops</a>	
• <a href="#">Office for Victims of Crime TTAC Project Outline</a>	
• <a href="#">Santa Cruz County Survivor System Mapping Project Overview</a>	
• <a href="#">Trauma Recovery Center Overview</a>	
• <a href="#">Reconciliation Project: A Restorative Justice Program</a>	
• <a href="#">Reducing Revocations Challenge: Santa Cruz County Phase II Implementation Plan</a>	

**Community Corrections Partnership Membership, November 2023**

Nicole Coburn	Santa Cruz County Administrator's Office
Karen Delaney	CBO Representative: Volunteer Center Director
Andrew Dally	Law Enforcement Chief*
Laura Espindola	Victim Advocate
Fernando Giraldo (Chair)	Chief Probation Officer*
Jim Hart	Santa Cruz County Sheriff*
Monica Morales	Health Services Agency Director*
Sasha Morgan	Presiding Superior Court Judge Designee*
Randy Morris	Human Services Department Director
Heather Rogers	Santa Cruz County Public Defender*
Jeff Rosell	Santa Cruz County District Attorney*
Faris Sabbah	County Superintendent of Schools
Andrew Stone	Workforce Investment Board Director
Casey Swank	Alcohol and Drug Programs Manager

\* Denotes membership in the CCP Executive Committee

## A. Introduction and Background

On October 4, 2011, the Santa Cruz County Board of Supervisors adopted a Community Corrections Implementation Plan developed by the Santa Cruz County Community Corrections Partnership (CCP) that provides an ongoing framework for local implementation of the California Public Safety Realignment Act, Assembly Bill 109 (AB109). The plan's phased implementation strategy directed evenly divided resources to address goals in the areas of corrections, community supervision, and treatment services to the AB109 population, as follows:

- I. Establish an array of **Effective Alternatives to Incarceration** to address the impacts that the realigned population will have on the county jail to avert crowding and poor conditions of confinement without jeopardizing public safety outcomes;
- II. Implement **Evidence-Based Probation Supervision** that properly assesses risk factors associated with recidivism and provides effective probation interviewing, case planning, and community supervision to ensure public safety and reduce recidivism; and
- III. Develop community partnerships for **Effective Intervention Services** that adhere to the principles of evidence-based practices for maximum recidivism reduction.

The adopted plan articulates a set of core values and principles that guide ongoing implementation and continuous improvement. This plan has been updated annually and continues to direct the implementation and refinement of community corrections strategies, with specific addenda based on outcome data and emerging opportunities.

The initial implementation plan established a formula for allocation of AB109 funding, beginning with a fixed amount (\$200,000) for AB109 administration, including all financial management, contract development and oversight, data collection, evaluation and reporting, and facilitation of ongoing work groups and other meetings. At its May 2022 meeting, the CCP approved a request to increase this to \$360,000 to reflect the increased size and complexity of AB109 funding administration. The remaining allocation from the State is distributed evenly, one-third each, between the three primary components: cost-effective alternatives to incarceration; evidence-based community supervision; and effective treatment and intervention services to address criminogenic needs. The CCP Executive Committee continues to support this model for existing and new realignment funding.

### Major implementation highlights since 2011 have included:

- Initial Planning Work Groups. To guide initial planning and increase community involvement, the CCP convened planning work groups of CCP members and community representatives to address areas of community supervision, intervention services, corrections management, community engagement, data and capacity building, and court processing. These work groups used data and research to develop a comprehensive model for responding to the new responsibilities under AB109.
- Service Provider Selection. A process was developed to select qualified organizations to provide intervention services to the AB109 population, with service areas chosen to address criminogenic needs of the target population. A multi-year selection cycle based on a formal Request for Proposals is now in place to allow for continuous improvement and response to emerging needs and opportunities. Service contracts are refined annually based on program outcomes and changes to assessed needs.

- Program Self-assessment and Continuous Program Improvement. Service providers participated in program self-assessment and continuous program improvement with technical assistance from the Center for Advancing Correctional Excellence at George Mason University (GMU). GMU researchers worked with the Probation Department to conduct a jurisdictional assessment of the match between needs and program availability.
- Probation Officer Training. The Probation Department adopted the **EPICS** model (Effective Practices In Community Supervision) for outcomes-oriented probation supervision, with training and quality assurance provided by the University of Cincinnati.
- Results First Initiative. The Probation Department participated in the Pew/MacArthur Results First initiative to identify the cost/benefit ratio of specific strategies, and to encourage and facilitate the widespread adoption of more rigorous, evidence-based programs and practices for both adult and juvenile probation.
- Substance Abuse Treatment Assessment and Referral. At the request of providers, a new position was funded through AB109 to provide clinical assessment and referral for substance abuse treatment. An additional contract provided court-ordered assessment for individuals in jail custody. AB109 also supported a pilot project utilizing Vivitrol (injectable Naltrexone) to improve outcomes for opioid users.
- Ongoing CCP Work Groups. The composition of the CCP work groups has changed over time to meet the needs for planning and coordination. Currently, the Community Education and Engagement Work Group, recently renamed the Shared Safety Work Group, is the only formal work group of the CCP. Additional coordinating meetings are conducted as part of the operation of the two Probation Success Centers.
- AB109 System Evaluation. Resource Development Associates (RDA) from Oakland was selected to develop and implement an evaluation plan that included a Data Capacity Assessment, an Implementation Evaluation, and an Outcome Evaluation. The findings from the evaluation suggest that Santa Cruz County has had considerable success in reducing recidivism among the AB109 population in comparison with other efforts in California. Recommendations for further improvement focus on improved referral and communication between system partners.
- Records Clearance Services and Outreach. Following passage of California Proposition 47, the CCP authorized limited funds to support education and outreach efforts to increase the number of eligible individuals taking advantage of records clearance services to support reentry.
- Electronic Referral and Reporting System. In response to evaluation findings regarding existing systems for referrals, communication, and tracking client progress, the Probation Department implemented a web-based referral and reporting system linked to its electronic case management system. The new system greatly improved the flow of information during referral hand-off and allows tracking of individual client status and cumulative service exposure.
- Co-location of AB109-Funded Services. To reduce logistical barriers, increase service access and engagement, and promote inter-agency communication and coordination, the CCP approved the establishment of a 3,200 square foot center downstairs from the Adult Probation Department office on Water Street in Santa Cruz. Recently renamed the Probation Success Center (PSC), this facility has been the center of operations for most community-based services coordinated through AB109. The model has now been replicated in the City of Watsonville with a second success center serving south county residents (see 2022-23 Implementation Highlights, below).



- Blueprint for Shared Safety. The CCP and its work groups adopted the Blueprint for Shared Safety, a research- and best practices-driven system framework developed by Californians for Safety and Justice. A key focus is the inclusion of crime survivors at the center of system planning. A two-year process went into adapting the framework locally, involving multiple community forums, focus groups, and community planning meetings that resulted in specific recommendations for local system improvement and reform.
- System Mapping for Services to Crime Survivors. The Shared Safety Work Group facilitated a multi-agency process for identifying the needs and service gaps in Santa Cruz County for survivors of crime. The needs assessment included focus groups, workshops, and support from the Office for Victims of Crime Training and Technical Assistance Center to develop a data bank with detailed information regarding existing services. The group produced informational materials for crime survivors and agencies that serve them. Based on input from the community and service providers, the work group initiated a research and planning process to support the development of a local trauma recovery center to provide survivors with a one-stop location for support and service access.
- Uptrust Communications System. The Probation Department implemented a messaging system to provide text message-based appointment and court date reminders, as well as communication between probationers and probation officers. The intention is to increase on-time attendance at critical monitoring and supervision events, and to reduce unnecessary warrants for failures to appear.
- Integration with CAFES. Coordinated Access for Empowering Success (CAFES) is a project funded by a competitive grant from the Board of State and Community Corrections, Proposition 47 Grant Program. The project provides assessment and services for individuals with low level offenses who have untreated behavioral health issues, including substance use disorder. CAFES services are coordinated through the success centers and CAFES clients are eligible for a variety of support services through AB109-funded programming. The integration between AB109 and CAFES greatly expands the reach of evidence-based services to reduce criminal recidivism among multiple levels of individuals involved in the criminal legal system. During FY2022-23 the County was awarded a second round of Proposition 47 funding to continue this work under the new CAFES Cohort III grant.
- Racial Equity Initiative. The Probation Department initiated an internal and stakeholder process for moving from commitment to action regarding racial equity in the criminal legal system. The Haywood Burns Institute provided foundational training and a co-design process that facilitated a discussion among all staff regarding the values reflected in actual day-to-day practices of the system. These values exploration sessions explored the meaning of public safety, the role of probation, models of criminal legal intervention and their impact on communities of color.

## **B. 2022-23 Implementation Highlights**

Multiple measures, including hospitalizations, positive tests, and wastewater monitoring, indicated that the Covid-19 rate was dropping steadily at the start of FY22-23. The rate began to increase in October and then decreased again after January through June. During the year masking was periodically encouraged but no new public health mandates or requirements were imposed. Despite several short-term closures at treatment and correctional facilities, most AB109 services were delivered without disruption throughout the fiscal year. The option of online services and meetings that kept services in operation through the pandemic remained a useful tool to make services available to individuals who

would otherwise not be able to attend in person. The primary AB109-funded provider organizations in 2022-23 included the following:

- Conflict Resolution Center of Santa Cruz County
- Encompass Community Services
- First 5 Santa Cruz County
- Janus of Santa Cruz
- Justsolve
- Leaders in Community Alternatives
- MENtors Driving Change for Boys, Men, and Dads
- Monarch Services
- New Life Community Services
- Positive Discipline Community Resources
- Santa Cruz Barrios Unidos
- Santa Cruz County Health Services Agency
- Santa Cruz County Office of Education
- Sobriety Works, Inc.
- Streets2Schools
- United Way of Santa Cruz County
- Uptrust Inc.
- Volunteer Center of Santa Cruz County

Gradually improved conditions resulted in an overall increase in the number of clients served and the intensity of service hours delivered to each individual. Physical support services remained a high priority for clients, including clothing, hygiene kits, and basic necessities distributed from the Probation Success Center. Housing and mental health needs continued to reflect the impact of the pandemic, and providers worked to connect clients to limited and impacted community resources. Although service access was expanded with the opening of the South County Success Center, staffing challenges among all providers made it difficult to encourage a return to pre-pandemic levels of utilization. At the same time, new pilot programs and complimentary initiatives created the opportunity to reach underserved populations and address unmet needs. This included the new CAFES Cohort III, the Public Defender's Early Representation Initiative, the Reducing Revocations Challenge, the Reconciliation Project, and planning for local CalAIM implementation.

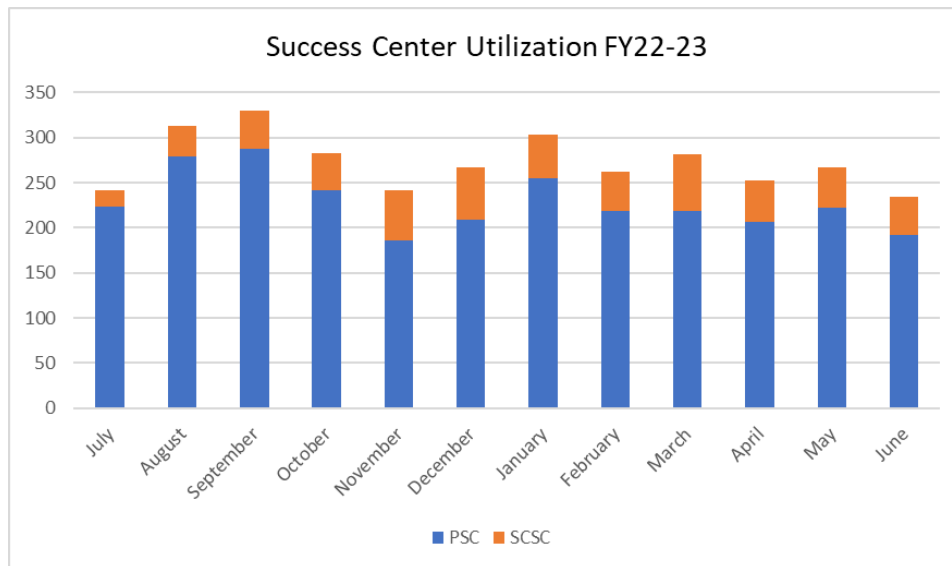
**Notable accomplishments of 2022-23 include the following:**

- South County Success Center and Probation Success Center. The South County Success Center (SCSC) opened in September 2022. The center is operated by Leaders in Community Alternatives, the workforce development and job placement provider for AB109. Services available at the SCSC in its first year included high school diploma classes (COE), cognitive/behavioral curricula (Volunteer Center), reentry support services (Barrios Unidos and Monarch Services), mental health counseling (Encompass), parenting (MENtors), as well as Spanish and English employment readiness classes. The center had a total of 539 client visits during the year, with 8.2% female and 91.8% male. Evening and weekend hours have not been consistently offered due to limited staffing. The center is available for probation staff to meet

clients in a non-threatening community location, as well as being a location for non-funded community resources to outreach to individuals in the criminal legal system.

The Santa Cruz City-based Probation Success Center (PSC) continued providing a one-stop point of entry into multiple services and supports. Co-located with the Adult Probation Division office, the PSC facilitates early referral and engagement in services, as well as on-going communication with probation and health services staff. Providers work together to maintain a welcoming, trauma-informed environment with immediate access to a computer lab, telephones, clothing, and basic needs. Organizations providing service at or through the Probation Success Center include: Conflict Resolution Center, County Office of Education, Encompass Community Services, Leaders in Community Alternatives, MENtors Driving Change, Monarch Community Services, Santa Cruz Barrios Unidos, Santa Cruz County Health Services Agency, Sobriety Works, Streets To Schools, and the Volunteer Center of Santa Cruz County. The center had a total of 2,738 client visits during the year, with 9.9% female and 90.1% male. (See attached PSC and SCSC Weekly Schedule examples)

Success Center Utilization remains lower than pre-pandemic levels and did not grow significantly during the year. This will be a primary goal for the current year, to be accomplished through additional center staffing for case management, non-traditional hours of operation, pro-social activities and events, as well as enhanced integration with the CAFES Cohort III intake and case management team.



- Reducing Revocations Challenge: Stakeholder Retreat and Coaching for Successful Outcomes Pilot. Santa Cruz County continued the implementation phase of the Reducing Revocations Challenge, funded by Arnold Ventures, and administered through City University of New York’s Institute for State and Local Governance. The goal of the initiative is to reduce the impact of probation on driving jail and prison admission rates, often in response to technical violations of court terms rather than new law violations. The local effort brings together line staff with area experts and researchers in a co-design process meant to effectively shift organizational culture and practices. In November 2022 the co-design group produced a day-long retreat for probation staff, law enforcement, courts, service providers, and people with lived experience on probation to explore probation’s purpose, policies, and practices. Eighty-seven individuals attended, including representatives from probation, service providers, the Sheriff’s Office, the District Attorney’s Office, the Superior Court, the County Administrative Officer, the County Office of

Education, the County Health and Human Services Department, as well as over a dozen adults currently on probation.

The retreat featured presentations by APPA Executive Director Veronica Cunningham and Justice Systems Partners Principal Dr. Brian Lovins, with a focus on transitioning from a punitive model of surveillance to one of supportive coaching. Participants worked in cross-sector groups to discuss and respond to questions regarding the appropriate role of probation, as well as policies, programs, and practices that should be implemented, eliminated, or refined to better serve the community and to promote racial equity in the criminal legal system.

The RRC co-design group has also developed and launched an incentive-based case management pilot for individuals with substance use terms. The pilot focuses on individual planning and support, with a commitment to limit the use of mandatory drug/alcohol testing and to refrain from filing formal violations solely for positive drug tests. Special effort was made to recruit clients for the pilot to ensure racial and gender equity. Rather than focus on potential penalties, the case management pilot focuses on an array of incentives, as well as resources and support available through the AB109 service provider network. Reflections from many pilot participants indicate that their experience of the pilot has been profoundly different than past probation, and that in the absence of fear for jail and other sanctions, they are more willing to work in collaboration with probation staff toward positive outcomes. (See attached “Reducing Revocations Challenge: Policy and Practice Implementation in Santa Cruz County”)

- Reconciliation Project: Black Lives Matter Mural. The Conflict Resolution Center of Santa Cruz County has worked with Probation to develop the Reconciliation Project, a pilot effort to extend the principles and practices of restorative justice to more serious cases where the person who caused harm has completed their legal sanctions and are ready to take responsibility for their actions, and where the crime survivor(s) are willing and able to benefit from engaging in a restorative justice process. The pilot has processed a small number of cases, some of which resulted in direct communication, others which did not. After the Black Lives Matter Mural in downtown Santa Cruz was defaced, the artists – the Santa Cruz Equity Collab – called for a restorative justice response. After meeting with the group, Reconciliation Project staff provided on-going support for a full community process, including a community meeting for anyone in the community to share the impact they experienced. This input was included in a facilitated dialog with one of the people who caused the harm, and the outcome of this dialog was shared with the community during the subsequent mural repainting event. Project staff continued to work with the Collab to schedule and facilitate a similar dialog with the second individual. (See attached “Reconciliation Project End-of-Year Report, FY 2022-2023”)
- Coordinated Access For Empowering Success: CAFES Cohort III. The County was selected by the Board of State and Community Corrections for a second round of local support through Proposition 47 funding. CAFES is focused on services and support for individuals with early and lower-level criminal legal system involvement and who have a substance use or mental health disorder. The initiative supports diversion opportunities such as the District Attorney’s Neighborhood Court, as well as early legal representation for equity through the Public Defender’s Office. CAFES also provides assessment, referral, and funding for SUD and mental health treatment. CAFES-funded client support leverages the services available through AB109, and CAFES III case management staff will be co-located at the two Success Centers in the community. Together with AB109 services, CAFES completes a continuum of services that addresses the criminogenic needs for individuals at any stage or level of criminal involvement. The AB109 Community Corrections Partnership continues to serve as the oversight board for CAFES.

- Shared Safety Work Group (SSWG). This year the SSWG concluded a groundbreaking victim services mapping and taxonomy, with support from the Office for Victims of Crime Training and Technical Assistance Center and the State Attorney General’s Office. This resource will be made available through an accessible website linked to the County’s existing 211 information system to direct crime survivors to support in areas including basic needs; immigration services; legal services (restraining orders, victim impact statements, filing police reports, record clearance to support obtaining victims services); grief counseling; shelter/protective care; mental health services; medical services; victim-offender dialogue or restorative justice; and support groups.

The SSWG developed multiple infographic brochures developed to provide clear information to crime survivors regarding their options, the criminal legal process, and services available in the community; hosted regular meetings of criminal legal system stakeholders to promote more responsive practices regarding victim restitution; and conducted additional research and site visits with trauma recovery centers to provide the background for local planning to co-locate services for crime survivors. Representatives from over twenty-five local organizations participated in SSWG regular meetings and events during the year, including non-profit service providers, law enforcement, courts, County departments, faith community organizations, and unaffiliated community members.

**C. Objectives and Activities**

2022-23 Objectives and Activities. Progress toward 2022-23 objectives included the following:

<i>Objective Area</i>	<i>Progress</i>
<p>1. Open and bring the South County Success Center to full operation, including services during non-traditional hours; provide opportunities for non-AB109 funded community programs to provide services and supports to individuals in the criminal legal system; and utilize technology to link services between the South County Success Center and the Probation Success Center to expand access to classes and one-to-one telehealth services.</p>	<p>Partially Completed. The South County Success Center (SCSC) formally opened in September 2022 at a convenient location on Freedom Boulevard in Watsonville. Seven AB109 providers offer services at the SCSC, and over five hundred client visits were logged in the first year of operation. Few services have been provided during non-traditional hours, however, and providers have not yet operationalized the web-based linkage for simultaneous services at the SCSC and the Probation Success Center.</p>
<p>2. As part of the Reducing Revocations Challenge, engage all Probation Department staff, community service providers, system stakeholders, and individuals on probation in an open discussion regarding the purpose, policies, and practices of probation with a focus on moving the department towards a “coaching” model of probation that supports growth and desistance from crime, rather than a “referee” model of probation mostly concerned with catching and punishing technical violations of court terms; co-design and operate an incentive-based case management pilot program for individuals on probation with SUD court terms; and establish data</p>	<p>Completed. A community retreat was conducted in November 2022 with over 80 participants from all stakeholder groups, including individuals with lived experience. Training and resources have been made available for officers to engage with the coaching model, and a special case management model has been implemented to pilot the principles and practices of the coaching model for individuals with drug/alcohol terms (identified as the group with the highest percentage of technical violations). A consultant team has been</p>

tracking mechanisms and timelines to track the impact of these innovations on the rate and type of probation revocations. At the same time maintain a focus on equity issues and support staff and stakeholder participation in the Racial Justice and Structural Well-Being Certificate Training Series.	working with the co-design group, the funder, and County staff to establish data collection priorities and methods to establish baseline and track the impact on probation revocations.
3. Coordinate and integrate AB109 services with multiple other funding sources and initiatives, including CAFES Cohort III, Drug MediCal Organized Delivery System; CalAIM; AB372 Domestic Violence Pilot; and SB129 Pretrial Services, in order to provide seamless services across the full spectrum of individuals in the criminal legal system. Expand resources for new and promising probation practices, including text-based appointment reminders and mobile, van-based probation and support services to increase accessibility.	Completed. The start-up of CAFES Cohort III has focused on integration of services and case management processes with AB109, with a special focus on staffing through the two Success Centers. AB109-funded SUD treatment services continue to be administered through the County Drug MediCal Organized Delivery System, and all AB109 services are accessible to individuals monitored by the Pretrial Division. Text-based court and probation appointment reminders and two-way communication are provided through the Uptrust system, and two new vans have been acquired to provide mobile probation and support services countywide.
4. Complete the survivor services system mapping and develop a plan and proposal for a Santa Cruz County Trauma Recovery Center that addresses the specific populations to be served, the priority need areas to be addressed, key characteristics of the center (location, access, security, layout), as well as existing/ongoing funding sources for staffing and service.	Partially Completed. Crime survivor service mapping was completed, along with the development of online and phone-based information access through the County's 211 information system. Trauma recovery center planning efforts encountered multiple barriers, including the need to broaden community involvement and concerns regarding the availability of ongoing funding.

New Objectives and Activities for 2023-24. During 2023-24, the CCP will continue to provide system-wide coordination of new programs and initiatives linked to the adult criminal legal system. The primary operational objective areas for AB109 funding will be:

1. Increase Success Center Utilization, including system navigation/case management, non-traditional hours, pro-social activities, additional services and supports from the community and other initiatives, especially CAFES Cohort III and CalAIM.
2. Develop and release a new Request for Proposals (RFP) to select service providers for the coming funding cycle. The new RFP will include an additional focus on existing and emerging priority areas, including housing, case management, and diversion/early representation strategies.
3. Reconfigure and streamline processes for contracting and invoice payment to better partner with non-profit service provider organizations.
4. Advance the new policies and practices developed through the Reducing Revocations Challenge, including system-wide support for incentives-based community supervision, greater access to early diversion and SUD treatment, and a strengths-based, coaching model.

**D. AB109 Intervention Service Contracts, 2023-24**

The following is a summary of AB109 treatment and intervention services for 2023-24, arranged by research-bases categories: Programs Addressing Criminal Thinking, Behavior, and Identity; Substance Use Disorder Treatment and Recovery Maintenance; Workforce and Job Placement Services; Educational Programming; Mental Health Care; Parenting and Family Involvement; Emergency Shelter and Housing; Reentry Planning and Reintegration Service Coordination; and Community Education and Engagement. AB109 funding is also budgeted in 2023-24 to provide support, equipment, and materials for the success centers; psychiatric evaluation and other assessment for program participants; LiveScan for service provider staff; and training for providers and system stakeholders.

**1. Programs Addressing Criminal Thinking, Behavior, and Identity (CTBI)**

Criminal thinking, behavior, and peers are the most strongly predictive criminogenic factors for recidivism. Until and unless these areas are addressed, meeting other need areas will not result in significant positive outcomes for individuals in the criminal legal system. A variety of research-based curricula are available, along with training and support for fidelity of implementation. Two key elements are cognitive reframing, based on education and dialectic discussion, combined with behavioral re-patterning through extensive role play and skills practice.

For 2023-2024, the Santa Cruz Community Corrections Partnership will contract for the following CTBI curricula services:

<i>Provider</i>	<i>Funding Amount</i>	<i>Services</i>
Conflict Resolution Center	\$21,704	Gender-specific domestic violence prevention curriculum for women in jail custody and in the community
Conflict Resolution Center	\$47,927	Restorative Justice Reconciliation Project: a pilot project for victim/offender reconciliation screening, preparation, meeting facilitation, and follow-up
Encompass Community Services	\$98,388	SAMHSA Anger Management curriculum to reduce negative behavior and increase compliance with court-ordered services
Streets2Schools	\$86,800	On-line Batterer's Intervention, anger management, and other cognitive/behavioral programming
Volunteer Center of Santa Cruz County	\$276,900	Group and individual instruction utilizing interactive journaling (Courage To Change) on topics that include responsible thinking, self-control, peer relationships, and pro-social values

Common outcome measures for this area will include:

- Pre/post improvement in cognitive and behavioral areas including increased pro-social behavior and understanding the impact of harmful behavior
- Pre/post improvement in utilization of problem-solving, self-control, and communication and conflict resolution skills

**2. Substance Use Disorder Treatment and Recovery Maintenance**

Nationally, almost two-thirds of all jail and prison inmates meet medical criteria for alcohol and/or drug abuse and/or dependence, yet only one in ten of these inmates receive any type of professional treatment since admission. The recidivism and relapse rates of chemically dependent individuals are

extremely high. While substance use contributes to the criminality of this population, it is not enough to treat chemical dependency without also addressing criminal thinking, associations, and other risk factors that may be present in the individual. Responsivity issues with this population that must also be addressed include low readiness for treatment and change, a history of treatment failure, gender-specific issues for women, individuals with co-occurring mental health disorders and life skill deficits.

For 2023-2024, the Santa Cruz Community Corrections Partnership will contract for the following substance abuse treatment services:

<i>Provider</i>	<i>Services</i>
Encompass Community Services	Community-based substance use disorder treatment, including residential, residential dual-diagnosis, intensive outpatient, outpatient, DUI classes; as well as in-custody substance use educational groups
Encompass Community Services	In-custody SUD assessment and reentry treatment placement planning for jail inmates/pretrial
Encompass Community Services	In-custody SUD awareness classes
Janus of Santa Cruz	Community-based substance use disorder treatment, including detox, residential, intensive outpatient, medically assisted treatment, recovery maintenance services
New Life Community Services	Community-based residential substance use disorder treatment
Sobriety Works	Community-based substance use disorder treatment, including outpatient, Matrix Model, intensive outpatient, and drug testing
Santa Cruz County Health Services Agency	Client assessment and referral and follow-up for SUD services; administration and monitoring of all AB109 SUD contracts

A total of \$850,404 in AB109 funding is budgeted for the SUD treatment and related services in 2023-24. Of this, \$395,012 is coordinated through the County’s Drug MediCal Organized Delivery System to cover direct treatment costs not reimbursed by MediCal (e.g., occupancy costs for residential treatment and treatment for individuals who are not eligible or who have exhausted their treatment benefit). An additional \$296,502 is allocated for assessment and referral services including in-custody and court-ordered SUD assessments; and \$158,890 is allocated to provide in-custody SUD curricula and community-based DUI classes. Outcome measures for this area are guided by MediCal reporting measures.

### **3. Workforce and Job Placement Services**

Employment is an essential element in reentry for most individuals returning to the community following incarceration. Employment provides necessary resources for independent living along with esteem and constructive time use, while unemployment leaves individuals vulnerable to involvement in continued criminal behavior. Yet individuals in the criminal legal system often have low levels of education and limited work experience, as well as the stigma of incarceration that may keep employers from considering them. Studies find that fewer than half of former prisoners are employed during the



year following reentry, and that increasing employment opportunities may have an impact on recidivism.

For 2023-2024, the Santa Cruz Community Corrections Partnership will contract for the following workforce and employment services:

<i>Provider</i>	<i>Funding Amount</i>	<i>Services</i>
Leaders in Community Alternatives	\$391,627	Community-based employment readiness and job placement, including individual assessment, preparation, and coaching; outreach to employers; and linkage to local and state job placement resources; support and staffing for Interim South County Success Center

Outcome measures for this area will include:

- Measurable increases in employment preparation, skills, and readiness
- Number/percent of participants hired (new job)
- Number/percent of participants still employed at 90 days (retention)
- Number/percent of participants who improve their earnings/compensation or employment stability

#### 4. Educational Programming

Low educational attainment among individuals in the criminal legal system both reflects their history of low social attachment and predicts a future of low employability and limited career advancement. For most, attaining at least a high school diploma (HSD) or high school equivalency (HSE) is a key step towards pro-social engagement and successful reentry. Responsivity factors include undiagnosed learning disorder, inconsistent motivation, and negative past experiences in educational settings.

For 2023-2024, the Santa Cruz Community Corrections Partnership will contract for the following educational services:

<i>Provider</i>	<i>Funding Amount</i>	<i>Services</i>
Santa Cruz County Office of Education	\$404,622	High school diploma/equivalency preparation program at all jail facilities, including assessment, classroom instruction, and support to obtain HSD/HSE; community-based educational programming and computer lab at the Probation Success Centers

Common outcome measures for this area will include:

- Pre/post improvement on standardized educational assessment
- Number/percent of participants attaining high school diploma or equivalency
- Number/percent of participants passing one or more achievement tests or earning academic credits

#### 5. Mental Health Care

While mental health is not in itself a criminogenic factor, unmet mental health needs among individuals in the criminal legal system can be a barrier to the delivery and effectiveness of other reentry services. Although relatively few meet the threshold for System of Care services, many face untreated post-traumatic stress, depression, anxiety, and other mood disorders. Responsivity issues for this population

include wariness and mistrust engendered by jail/prison culture, complex and sometimes irretrievable histories of mental health services, challenges in transportation and logistical access to office-based clinical services, and difficulty meeting professional service expectations.

For 2023-2024, the Santa Cruz Community Corrections Partnership will contract for the following mental health care services:

<i>Provider</i>	<i>Funding Amount</i>	<i>Services</i>
Encompass Community Services	\$398,743	Mental health services, including assessment, individual and family psychotherapy, system navigation case management, and wraparound case management to increase service access and recidivism avoidance

Common outcome measures for this area will include:

- Pre/post improvement on standardized assessment of mental health and social functioning
- Number/percent of participants who access sustainable mental health services and/or achieve mental health treatment plan goals
- Number/percent of participants who report successful community reintegration and completion of reentry goals

## 6. Parenting and Family Involvement

The opportunity to be a better parent to their children is a profound source of motivation and positive identity for individuals returning to the community from incarceration. Parent education can provide a healthy cognitive framework for effective family management, build skills, and expand pro-social community connections and support. It also provides the opportunity to interrupt the well-documented intergenerational nature of criminal involvement.

For 2023-2024, the Santa Cruz Community Corrections Partnership will contract for the following family involvement services:

<i>Provider</i>	<i>Funding Amount</i>	<i>Services</i>
First Five Santa Cruz	\$30,720	In-custody, research-based parent education program (Positive Parenting Program)
MENtors Driving Change for Boys, Men, and Dads	\$74,520	Community-based supporting father involvement curriculum and groups
Positive Discipline Community Resources	\$36,210	Community-based parent education classes (Positive Discipline)

Common outcome measures for this area will include:

- Pre/post improvement in parenting knowledge and skills
- Pre/post improvement in problem-solving, self-control, and communication skills
- Pre/post improvement in pro-social family supports and access of community resources

## 7. Emergency Shelter and Housing

While lack of housing is not in itself a criminogenic factor, housing instability can be a barrier to the delivery and effectiveness of reentry services. Without stable housing, formerly incarcerated individuals are exposed to victimization, criminal opportunities, and drug use; they face difficulties in phone, mail, or other communication with service providers; their ability to obtain and retain employment is reduced; and their physical health is compromised.

For 2023-2024, the Santa Cruz Community Corrections Partnership will contract for the following housing services:

<i>Provider</i>	<i>Funding Amount</i>	<i>Services</i>
New Life Community Services	\$43,875	Gemma program for women in reentry, including support services, substance use treatment access, and case management
Local Motels	\$48,000	Emergency bridge housing for individuals waiting residential placement
Multiple Sober Living Environment (SLE) Providers	\$130,000	SLE housing for individuals in recovery from substance use disorder

Common outcome measures for this area will include:

- Number/percent of participants with secure housing during community supervision
- Pre/post improvement in housing stability

## 8. Reentry Planning and Reintegration Service Coordination

Numerous barriers and adaptive challenges face individuals returning from incarceration, from the immediate need for food, housing, and clothing to more complex areas such as phone access, legal identification, and driving privileges. Good reentry planning combines validated risk and needs assessment with logistical plans and ongoing support for basic needs and the restoration of pro-social capital to replace institutionalized supports. This includes eligibility and enrollment assistance for ongoing public benefits, including the expanded medical, mental health, and substance use disorder treatment benefits available under the Affordable Care Act.

For 2023-2024, the Santa Cruz Community Corrections Partnership will contract for the following reentry planning, aftercare, and mentoring services:

<i>Provider</i>	<i>Funding Amount</i>	<i>Services</i>
Monarch Community Services	\$48,800	Safe Release Program: gender-specific reentry services for women, including case management, transportation, and housing support
Santa Cruz Barrios Unidos	\$95,850	Culturally based reentry peer mentoring, violence prevention, and case management

Volunteer Center of Santa Cruz County	\$64,010	Court Community Service Program: provide opportunity for individuals to provide community service in lieu of fines and/or incarceration (full program cost supported by additional \$149,356 of Probation General Fund)
Volunteer Center of Santa Cruz County	\$327,907	System navigation and case management, post-release community support, including benefits enrollment, service advocacy and access, and support for probation case plans
Uprtrust Inc.	\$19,200	Text-based system for communication between individuals and Court/Probation staff with automated appointment and hearing reminders to reduce failures to appear

Common outcome measures for this area will include:

- Number/percent of participants with a written, dynamic case plan prior to release based on assessed criminogenic needs
- Number/percent of participants who access and complete reentry services and benchmarks as directed by their assessment-based reentry plan
- Number/percent of participants linked to natural supports and ongoing community resources for long-term support

## 9. Community Education and Engagement

Community education and engagement is an essential element in creating long-term support for effective interventions. This includes developing and distributing information, facilitating public events, media advocacy, and engagement of key community members and sectors. It also involves outreach and involvement of individuals with lived experience in the criminal legal system as well as those who are crime survivors.

For 2023-2024, the Santa Cruz Community Corrections Partnership will contract for the following community education and engagement services:

<i>Provider</i>	<i>Funding Amount</i>	<i>Services</i>
Justsolve, Inc.	\$27,000	Facilitation and support for data collection and client involvement in the Reducing Revocations Challenge to promote alternative community supervision practice
United Way of Santa Cruz County	\$47,766	Community campaign to facilitate the CCP Shared Safety Work Group and coordinate the local implementation of the Blueprint for Shared Safety, with a focus on empowering crime survivors to be at the center for system-wide planning.

Outcome measures for this area will primarily be based on the number of people involved and engaged in planning and activities in the area of system reform and community-based support for positive reentry from incarceration.

## **E. Additional Materials**

Sample Success Center Weekly Schedules. All service providers update the schedule on a weekly basis and provide brief information regarding the services they offer.

Conflict Resolution Center Reconciliation Project End-of-Year Report. Background and detailed description of services and cases, including the process for the BLM Mural defacement.

Conflict Resolution Center Reconciliation Project Informational Fliers. Bilingual fliers for survivors of crime and for people who caused harm.

Reducing Revocations Challenge: Strategy Implementation in Santa Cruz County. Final report by RDA Consulting regarding the process and outcomes of the Santa Cruz County initiative, funded by Arnold Ventures.

# Santa Cruz County Probation *Success!* Center

303 Water Street, Santa Cruz CA 95060 (831) 454-2250

## June 26<sup>th</sup> – July 1<sup>st</sup>, 2023

**!** *Services marked with an asterisk \* are available for walk-in without appointment or enrollment* **!**

Day	Morning	Afternoon/Evening
<b>Mon</b>	8:30 – 12:00 <b>Barrios Unidos Reentry Mentoring*</b> 9:00 – 12:00 <b>ReTurn Project</b> with Mae Conroy (Appt Only) 10:30 – 12:00 <b>Friends Outside Skills for Reentry</b> with Savonne 10:00 – 12:00 <b>COE Computer Lab</b> with Virginia Hartman 10:00 – 11:30 <b>CRC Domestic Violence Prevention</b> with Julia Feldman	1:00 – 4:00 <b>Friends Outside Reentry Support</b> Phone Line (831-427-5078) or Drop-in (1740 17 <sup>th</sup> Avenue) 1:00 – 4:00 <b>COE Computer Lab</b> with Virginia Hartman 1:00 – 4:30 <b>Barrios Unidos Reentry Mentoring*</b> 1:00 – 3:00 <b>MENTors</b> with Deutron Kebebew (Zoom) 5:00 – 8:00 <b>MENTors</b> with Deutron Kebebew (Zoom) 5:00 – 6:30 <b>Friends Outside Skills for Reentry</b> (12 Carr St. Watsonville)
<b>Tues</b>	10:00 - 12:00 <b>LCA Employment Class</b> with Ofelia Ramirez (PSC and Watsonville Success Center)	1:30 – 3:00 <b>Friends Outside Skills for Reentry*</b> with Savonne 12:00 – 5:00 <b>COE Computer Lab*</b> with Ismael Cruz 1:00 – 8:00 <b>MENTors Class</b> (Zoom) with Deutron Kebebew 5:00 – 6:30 <b>Friends Outside Spanish Skills for Reentry</b> (12 Carr St. Watsonville) 5:00 – 7:00 <b>Reentry Group*</b> with Sam Cunningham and Mary Lou Alejandrez at Barrios Unidos 1817 Soquel Ave.
<b>Wed</b>	9:00 – 12:00 <b>COE Computer Lab</b> with Virginia Hartman 10:00 - 12:00 <b>LCA Employment Class</b> with Ofelia Ramirez (PSC and Watsonville Success Center)	1:00 – 2:00 <b>LCA Job Search Group</b> 1:00 – 4:00 <b>COE Computer Lab</b> with Virginia Hartman 1:30 – 3:00 <b>Friends Outside Skills for Reentry*</b> with Savonne 2:00 – 8:00 <b>MENTors Class</b> with Deutron Kebebew (15 Madison Street in Watsonville) 2:00 – 3:30 <b>Encompass Anger Management Class</b> 4:00 – 5:30 <b>Friends Outside Skills for Reentry Class</b> with Viri Roman (12 Carr Street, Watsonville)
<b>Thurs</b>	8:30 – 12:00 <b>Barrios Unidos Reentry Mentoring*</b> 9:00 – 12:00 <b>Monarch Services</b> with Maria Luna 10:00 – 1:00 <b>ReTurn Project</b> with Brooke Giuffre (Appt Only) 10:00 - 12:00 <b>LCA Employment Class</b> with Jesus Najera (PSC and Watsonville Success Center)	12:30 – 2:30 <b>MENTors Class</b> (Zoom) with Deutron Kebebew 12:00 – 5:00 <b>COE Computer Lab*</b> with Ismael Cruz 1:00 – 2:00 <b>LCA Job Search Group</b> 1:00 – 4:30 <b>Barrios Unidos Reentry Mentoring*</b> 2:30 – 4:00 <b>MENTors Class</b> (Zoom) with Deutron Kebebew 4:00 – 6:00 <b>MENTors Class</b> (Zoom) with Deutron Kebebew
<b>Fri</b>	9:00 – 12:00 <b>COE Computer Lab*</b> with Virginia Hartman 10:00 - 12:00 <b>LCA Employment Class</b> with Ofelia Ramirez (PSC and Watsonville Success Center)	
<b>Sat</b>	7:00 – 9:00 <b>MENTors Class</b> (Zoom) with Deutron Kebebew 9:00 – 11:00 <b>MENTors Group</b> (Zoom) with Deutron Kebebew 11:00 – 1:00 <b>MENTors Class</b> (Zoom) with Deutron Kebebew	1:00 – 3:00 <b>MENTors Class</b> (Zoom) with Deutron Kebebew 3:00 – 5:00 <b>MENTors Class</b> (Zoom) with Deutron Kebebew 6:00 – 8:00 <b>MENTors Class</b> – Spanish (15 Madison St. Watsonville) with Tony G.

# Santa Cruz County Probation Success Center

303 Water Street, Santa Cruz CA 95060 (831) 454-2250

## Welcome!

The Santa Cruz County Probation Success Center (PSC) provides a wide variety of support and services to assist individuals in the criminal justice system to comply with court orders, avoid criminal behavior, and successfully reintegrate into their community. Most services are provided through referral from the probation department based on assessed need, but limited walk-in support is also available.

### Hours and Location

The PSC is located at 303 Water Street in Santa Cruz, near the corner of Water and Ocean Street. Ordinary hours are Monday through Friday from 9:00 a.m. to 4:00 p.m. *Note that hours and access may vary based on Shelter in Place Orders (see below).* The front desk can be reached at (831) 454-2250.

### Adaptations to COVID-19 Safety Protocols

Hours and service availability at the PSC will change in response to State and County regulations and guidelines. This may include limited hours of operation; appointment-only services; limits on the number of clients allowed at a time in the center or in each class; or the utilization of web-based or phone-based services. Call ahead to get more information about the current phase of opening.

### Classes and Services

**Reentry Service Peer Navigator.** Assistance in getting started with PSC services. Review and tracking case plan, assistance in overcoming barriers to service access and community reintegration. (Walk-in/ Appointment)

**COE Computer Lab and High School Diploma Tutoring.** Open computer and internet access for job and housing search, computer literacy support and enrolment/tutoring for high school diploma/equivalency. (Walk-in/ Appointment)

**CRC Domestic Violence Prevention Class.** Approved curriculum for women to increase self-control, communication, and problem-solving skills related to domestic violence.

**Encompass Anger Management Class.** Evidence-based curriculum to increase self-control and non-violent problem-solving skills.

**Encompass Discharge Planner.** Support for community reentry from jail for individuals with substance use and behavioral health disorders.

**Encompass ReTurn Project.** Trauma-informed mental health services for AB109 clients who have been incarcerated.

**Friends Outside Skills for Reentry Class.** Evidence-based curriculum addressing criminal thinking, behaviors, and identity by clarifying values, increasing self-awareness, esteem, and control, problem-solving and planning skills.

**LCA Employment Class.** Skills and interest self-assessment, resume writing and interviewing skills, workplace etiquette, and personal finance management.

**LCA Job Search Class.** Support for accessing online job search tools and individualized coaching for contacting employers, completing applications, and successful interviews.

**MENTors Class.** Multi-generational parenting and father involvement program, including skill-building and peer support network, family court and child support navigation. (Zoom/in-person)

**Monarch Community Services Women's Safe Release Program.** Comprehensive-community based support for survivors of domestic violence, sexual assault, and human trafficking. SAFE Release program support for women in re-entry

**CRC Victim Awareness Education Workshop.** Activities and curriculum to increase moral reasoning, self-control, and understanding the harm caused by criminal behavior.

**Clothing and Basic Needs.** The PSC maintains a small collection of items to help individuals in need of clothing and hygiene supplies.

**Barrios Unidos Reentry Mentoring.** Culturally based curriculum and individual support for successful community reentry.

**South County **Success!** Center**  
**2007 Freedom Blvd, Freedom CA 95019 Phone# 831-348-0081**  
**Hours: Monday – Friday 9:00 a.m. to 5:00 p.m.**  
**Center Schedule for June 26<sup>th</sup> – July 01<sup>st</sup>, 2023**

Day	Morning	Afternoon/Evening
Mon	9am - 10:00am <b>Spanish LCA Employment Class</b> with Jesus Najares/Ofelia Ramirez 10:00am - 12:00pm <b>LCA Employment Class</b> with Ofelia Ramirez/Maryanne Porter	3:00pm –4:30pm <b>ReTurn Project</b> with Brooke Giuffre (walk-in/appointment) Monarch Services 1:1 with Maria Luna (TBD) Barrios Unidos 1:1 with Mary Lou (TBD)
Tues	9am - 10:00am <b>Spanish LCA Employment Class</b> with Jesus Najares/Ofelia Ramirez 10:00am - 12:00pm <b>LCA Employment Class</b> with Ofelia Ramirez/Maryanne Porter	1:00pm – 2:30pm <b>Friends Outside Skills for Reentry</b> Viri Roman
Wed	9am - 10:00am <b>Spanish LCA Employment Class</b> with Jesus Najares/Ofelia Ramirez 9:00am – 11:00am <b>MENtors Parenting Group</b> with Deutron Kebebew (Appointment Only) 8:30am – 12:00pm <b>ReTurn Project</b> with Brooke Giuffre (walk-in/appointment) 10:00am - 12:00pm <b>LCA Employment Class</b> with Ofelia Ramirez/Maryanne Porter	1:00pm – 5:00pm <b>ReTurn Project</b> with Brooke Giuffre (walk-in/appointment) 2:00pm – 5:00pm <b>COE High School Diploma Program</b> with Vito Chiaramonte (just for the summer)
Thurs	9am - 10:00am <b>Spanish LCA Employment Class</b> with Jesus Najares/Ofelia Ramirez 9:00 am – 12:00am <b>MENtors Parenting Group</b> with Deutron Kebebew (Appointment Only) 10:00am - 12:00pm <b>LCA Employment Class</b> with Ofelia Ramirez/Maryanne Porter	<b>Barrios Unidos 1:1</b> with Mary Lou (TBD) 12:30pm to 2:30pm <b>MENtors Deutron Kebebew</b> Office hours (drop in)
Fri	9am - 10:00am <b>Spanish LCA Employment Class</b> with Jesus Najares/Ofelia Ramirez 10:00am - 12:00pm <b>LCA Employment Class</b> with Ofelia Ramirez/Maryanne Porter	1:00pm – 2:00pm <b>LCA Job Search Group</b> 9:00am –11:00am <b>COE High School Diploma Program</b> with Vito Chiaramonte (just for the summer)
Sat		



# Conflict Resolution Center

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*of* SANTA CRUZ COUNTY



## Reconciliation Project

End-of-Year Report, FY 2022-2023

Report written by: Alaya Vautier  
Restorative Justice Programs Director  
Conflict Resolution Center of Santa Cruz County  
September 18, 2023

# Reconciliation Project

## End-Of-Year Report

July 1, 2022 through June 30, 2023

### **Conflict Resolution Center of Santa Cruz County**

Our mission is to cultivate peace in the community by providing tools, training, and a guided process for people in conflict. Our services are affordable, confidential and available to all. Since 1986, CRC has helped thousands of clients – businesses, organizations and individuals – find satisfying solutions to difficult problems. Our programs address conflict at all stages-from prevention to intervention-in our homes, neighborhoods, workplaces, and courts. We provide effective alternatives to litigation, hostility, and violence. Through respectful dialogue, participants create their own mutually beneficial solutions.

### **Reconciliation Project**

The Reconciliation Project offers an opportunity for those who have caused harm to meet in a safe and facilitated dialogue with the person(s) they harmed along with support people to discuss what happened, the impacts and harms and what, if anything, needs to be done to make things as right as possible.

Santa Cruz County’s Community Corrections Partnership recently adopted and approved the Blueprint for Shared Safety whose main goals are to prioritize healing and restoration for crime survivors, strengthen community trust and confidence in the criminal justice system, and recognize who is most vulnerable to crime in our community. As a result, CRC in partnership with the Probation Department has begun implementation of The Reconciliation Project for the persons who have served their jail or prison sentence, will be returning to the County, and may be facing the person that they harmed. This project builds on previous victim-offender dialogue work of CRC by expanding the scope to potentially include higher level offenses as eligible cases for dialogue. Most of the time will be dedicated to research, design, identification of eligible and willing participants and implementation of a dialogue to promote personal and community healing.

Criminal justice research points to the fact that strong pro-social relationships are important for successful reentry and for reducing recidivism. Services address several criminogenic needs through positive engagement, facilitated dialogue, brainstorming for options and joint problem solving.

Who is eligible:

- Clients who have served their prison or jail time
- Clients who may be ready to take responsibility for their actions and express remorse

- The crime has to have either occurred in SC County, the client lives in SC County or the person harmed lives in SC County
- No DV, rape or murder cases

### **Outcomes for Fiscal Year 2022-2023:**

Individuals referred for services: 4

Individuals enrolled into services: 4

Individuals who completed services: 1

Average dosage of all clients in services: 4.75 hours

- Case 1: 3 hours total
- Case 2: 11 hours total (for 2 clients)
- Case 3: 5 hours

People served: over 60

Victim-Offender Dialogues Held: 1

Community Meeting Held: 1

Intakes: 27

Open cases: 2

Closed cases: 1

Coordinated and attended meetings with Adult Probation and Santa Cruz Equity Collab: 4

Meetings with Santa Cruz Equity Collab: 7

Staff training: Alternatives to Violence Project, January 17, 18 & 19, 2023

### **Barriers, Challenges, and Solutions**

Barriers and challenges we experienced varied by case, but victim/person harmed engagement is often our greatest challenge that is common across all cases. Some people who have been harmed are hard to contact or locate and others may want nothing to do with this process while others are interested to learn more and may want to engage. Finding ways to communicate the potential benefits of a restorative justice process and invite victims into the process in a way that is safe and does not cause harm is of utmost importance. We are always learning new ways to communicate and reach out to people who have been harmed and are always evaluating and assessing our communication strategies for improvement. For example, when contacting victims in the invasion of privacy case (case details below), each time we talked with a victim/person who was impacted we learned better ways of presenting the point of view of the person who caused harm so as to promote further communication and not cause additional harm.

### **Restorative Justice**

Restorative Justice is a framework and process that starts with understanding the needs of people who have been harmed, brings the impacted community together, and facilitates true accountability, acknowledgment, repair, and change that ensures harm will not happen again.

Restorative justice centers relationships and harm done to communities and people, taking responsibility for one's actions, repairing the harm and doing the hard work needed to make

sure it does not happen again. Restorative justice processes seek to reintegrate people back into the community while criminal justice processes may often result in people being isolated and rejected from communities, thus risking the continuation of cycles of harm.

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*Active participation by victims or survivors of crime in addressing an incident of harm is at the core of restorative justice and is essential for promoting healing and restoration for victims and survivors.*

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Survivors and people impacted and harmed must be given an opportunity to share what happened, how have they been impacted, what do they need, and what does accountability look like to them, all in a trauma informed way. We must inform them about what services and support are available and how can we involve them in the justice process in a way of their choosing. Ideally, we have as much as, if not more, support services available to a person who has been harmed as the person who caused harm.

Accountability and restorative justice go hand in hand. Accountability consists of five elements:

- Acknowledging responsibility for the act/admitting to have done the act
- Listening to and understanding the impacts and harms caused by one's actions
- Expressing true remorse for one's actions
- Doing what it takes to repair the harm to the extent possible
- Doing what it takes to make sure this harm does not happen again

These five elements of restorative justice can be a part of any restorative response, whether incorporated into a direct dialogue between the person who caused harm and the person(s) impacted or in other ways such as engaging in education, paying restitution, reflecting deeply on one's actions, attending therapy or SUD treatment or another therapeutic process, or other actions that support the five elements.

A dialogue is one aspect of a restorative justice response but to be fully restorative we must incorporate all five elements of accountability which must be directly informed by those who have been harmed and impacted.

### **Accomplishments and Activities**

Since June of 2023, we have engaged in three separate cases for the Reconciliation Project:

- Case 1: Murder case - Person who caused harm requested a dialogue. Contact was made with the person harmed who requested no contact with the person who caused harm. See below for details. Case was closed in February 2023.
- Case 2: Black Lives Matter mural defacement case - see below for details (case is ongoing).

- Case 3: Invasion of Privacy (camera placed in communal shower) - person who caused harm reached out to us to engage in a restorative justice process with the people he harmed. See below for details (case is ongoing).

#### Case 1:

The person who caused harm requested a restorative justice dialogue with the survivor (mother of the deceased). We did several intake conversations with the person who caused harm to fully understand the incident, the people involved, motivation and intention of the person who caused harm and more. Once we felt ready, we reached out to the Victim Services Office in San Luis Obispo County to request their assistance in contacting the survivor/victim. The SLO Victim Services Office passed a letter to the survivor/victim on our behalf. After a few weeks, we heard back from the survivor/victim who expressed that they were not interested in a dialogue or contact with the person who caused harm. We updated the person who caused harm and closed the case. Duration: September 2022 to February 2023

#### Case 2:

After the Black Lives Matter mural was defaced, the Santa Cruz Equity Collab (the mural artists) and different community members called for a restorative justice response to the harm. In early November 2022, Probation Division Director Sarah Fletcher reached out to us to hear our thoughts on what a restorative justice response might look like. Since a restorative justice response must be informed by the people who have been harmed, we suggested that we contact impacted community members and ask them what they wanted and needed in relation to the harm done. Sarah Fletcher greenlighted this and we were able to contact 7 people and we reported back to Deputy Probation Officer Max Smith to include in his pre-sentence investigation report.

The different community members asked for the two men who caused harm to engage in extensive education on racial equity, attend counseling or therapy, participate in a restorative justice dialogue, repaint the mural, do a deep dive into what the Black Lives Matter movement is about, be restricted to buy firearms for five years, and pay restitution for the cost of the mural. The community also asked that the two men engage in community service that includes - but is not limited to - being part of the painting and planning process in restoring the mural, attending all community discussions, speeches, and educational opportunities associated with the mural, and a presentation of a public apology to the community in attendance at the restoration event.

We started communicating with the Santa Cruz Equity Collab in November of 2022 and began meeting with them regularly starting in January to discuss what they wanted and needed, what restorative justice might look like in this case and the different ways we can move forward. We decided on two main events: a “community meeting” to hear from anyone and everyone who was impacted to bring their voice into the dialogues and two dialogues, one with each of the two men.

In April 2023, we held a Community Meeting at the Santa Cruz Veteran’s Hall and invited anyone in the community who wanted to share their stories about how this incident impacted them. We invited people to respond to four prompts and asked them to write their responses on paper which we then collected (and later typed up into one document to be shared at the dialogues). We provided free food and drinks, flowers on each table, paper and pens, an emotional support person and two facilitators for the meeting. About 45 people attended the meeting.

In June 2023, we held the first dialogue with one of the people who caused harm, their support person, 14 impacted community members, an emotional support person and two trained facilitators. We provided snacks and coffee for the dialogue which was held at the downtown branch of the Santa Cruz Library. We spent three hours discussing what happened, what people thought about it, how it impacted people and asked questions of the person who caused harm. The facilitators shared the 14 pages of typed up notes from the Community Meeting with the person who caused harm, reading many but not all the statements provided. We had a very meaningful and heartfelt conversation with everyone in the room. After the dialogue, we reached out to all the participants to schedule a debriefing session.

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*“There were a lot of hard truths told, and I feel like it really did come across to (the person who caused harm) how much he hurt the community. You could see the change in his demeanor throughout the day — by the end of it you could see that he felt welcomed.” - community member who attended the dialogue*

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Additionally, in June the Santa Cruz Equity Collab held the mural repaint event where the two men who caused harm were asked to participate in the repainting of the mural and also to give a public apology to the gathered crowd. Alaya Vautier attended the event and was on hand to help monitor the interactions between the people who caused harm and the general public and offer de-escalation as needed. Alaya also spoke on the panel at the event about the dialogue process and restorative justice in general.

Since November of 2022, we have met with the Santa Cruz Equity Collab multiple times, met with the two people who caused harm for at least three intakes each, scheduled intakes and met with 19 people who may want to participate in the dialogues, met with support people for both the people who caused harm, met with Probation multiple times for updates, met several times with the two men who are leading the equity education component for the people who caused harm, organized and conducted a community meeting, and organized and facilitated a dialogue with community members and one of the people who caused harm, organized a debriefing session, and attended the mural repaint event.

Next steps: We will continue to communicate and coordinate with the Santa Cruz Equity Collab on scheduling another dialogue with the other person who caused harm.

### Case 3:

In July of 2019, a man who was a part of the UCSC Farm and Garden Apprentice Program placed a camera in the farm shower where he attempted to film people showering. The camera was discovered and he was caught and went to court. As part of his three-year probation, he was required to have no contact with the farm or anyone involved in the incident. His probation ended in March of 2023, which is when he reached out to the CRC to inquire about engaging in a restorative justice process in an attempt to make amends.

Our initial intake in May with the person who caused harm was followed by several more intakes and many more updates and check-ins throughout the process. The person who caused harm provided us with a list of people who were in the program at the time of the incident. We have reached out, via email, to two current staff members at UCSC with plans to reach out to many more.

Our overall goal is to offer each person who was impacted an opportunity to engage in any or all of the following, in a completely voluntary and supported manner:

- to share their story,
- ask for what they might need for accountability and/or closure,
- ask any questions they might have,
- share any impacts with the person harmed,
- hear remorse from the person who caused harmed,
- exchange communication, and/or meet with the person who caused harm in a facilitated dialogue.

Next steps: We will continue to reach out to the people who have been impacted and share with them this opportunity.

### **Additional Accomplishments**

- Designed two fliers for the Reconciliation Project, in both English and Spanish
- Reached out to and met with RJ experts in the field: Impact Justice and Vicki Assegued
- Met with Caitlin Becker, Director of Holistic Defense at the Public Defender's Office
- Presented on the Reconciliation Project to Adult Probation in September and October
- Met with Barrios Unidos about a potential surrogate victim
- Created a referral form for probation use

### **Hate Crime and Restorative Justice**

When the Black Lives Matter mural was defaced in 2021 it was experienced as a hate crime for many people in the community. The mural artists and community members called for a restorative justice response for many reasons. People who understand restorative justice know that when harm occurs that the results they want may not always be obtained through punishment and incarceration. The artists and community members wanted accountability and

real change. They want the people who caused harm to really understand the impacts of their actions, pay restitution and to do the hard work necessary to make sure they don't commit racially motivated harm again.

BLM mural lead artist Abi Mustapha said, "Jail time doesn't work. I've known people who have gone to jail and it feels like a waste. These men were pretty young, too, and it's a huge opportunity (RJ) if they are interested in taking it, which they were."

These goals are more likely to be obtained through vigorous education, dialogue with community, community service that directly supports the impacted communities and working through the steps of accountability. In contrast, incarceration, community service that is disconnected from the harmed community, or other common punitive terms given by the courts often serve to alienate people and push them to the margins where they will be more susceptible to hate, bigotry and continuing similar harm. It is through a more inclusive restorative justice process that includes true accountability and repair that will contribute to the community's overall wellbeing.

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*Restorative justice can be an effective way for addressing the harms and impacts from a hate crime, serving both the people and communities who have been impacted as well as the person(s) who caused harm.*

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Unfortunately, most hate crimes go unreported and therefore many people who have been harmed may not receive the support and help they need. Here are some facts to consider:

- Hate crime is on the rise: Reported hate crime events increased 20.2 percent from 2021 to 2022 (according to the California Department of Justice 2023 Report)
- 40 to 50% of all hate crimes go unreported to police (according to estimates from the National Crime Victimization Survey)
- Hate crime victims more often feel traumatized by the incident, with 92% of hate crime victims emotionally affected compared to 81% of victims of crime generally (according to US Dept of Justice report "Hate Crimes: Worse by Definition")
- Hate crimes can lead to a wide range of mental health issues, including increased rates of depression, anxiety, suicidal ideation, post-traumatic stress disorder, and substance use.
- Hate crime victims are not getting the support they need. They are less happy with police handling of the incident, with only 52% of victims of hate crime satisfied compared to 73% of victims of crime generally (according to research conducted in the UK)

Providing an opportunity for a restorative justice option is a tangible step towards increasing support for victims of hate crime. Using restorative justice for hate crime remains an under-developed practice here in Santa Cruz County. Benefits of employing a restorative justice response to hate crimes can be:



- Empowering victims by giving them a choice and voice in how an incident will be addressed.
- Empowering victims by actively requesting their input into what needs to be done to lessen the possibility of it reoccurring and acting on their input.
- Support healing by reaching out to the impacted community, asking them what they need and want, and offering tangible support.
- Helping victims regain power by being able to tell their story and share the impacts and harms caused in a trauma informed manner.
- The potential assurances from the people who caused harm can lessen victim/survivors' fear of continued harm and can potentially contribute to their healing process.
- A dialogue can encourage empathy and understanding in people who commit hate crimes.

There is much that restorative justice can offer victims of hate crimes. Hopefully through this process with the Black Lives Matter mural case we can begin to offer more restorative justice options through the courts to more people for more types of cases. The results gained will be of benefit to the whole community.

### **Looking Ahead**

There is still much work to be done in bringing more restorative justice to Santa Cruz County and to better serve people who have been harmed. We are learning many insights through working with people who have been harmed as well as people who have caused harm. Some insights we have gained:

- Make more resources available for people who have been harmed, such as therapy or other healing modalities (paid for), paid time off work, facilitators for internal group processes, etc., especially for victims of hate crimes.
- Restorative justice processes should be enacted early on in a case: don't wait until key decisions have been made to then reach out to impacted people – instead reach out and ask for input early on and then actually utilize and implement that input; offer support early on for people impacted.
- It takes a village: continue to enlist the support of dedicated mentors/teachers to support the readiness of people who caused harm to engage in a dialogue, specifically around hate crimes.
- Expand the definition of who is a “victim”. Many people are impacted and traumatized by harm who do not fall into neat categories of “victims” and therefore do not qualify for support and assistance.
- Restorative justice is not just a dialogue - it is a framework for how to repair the harm and prevent future harm and can be a pathway for healing for people harmed and for people who caused harm. We need to make sure our process is truly reflecting this.

Restorative justice, in its current form, has been active in the United States since the 1970s. It is not a new idea and its roots are found in centuries old indigenous forms of justice. The time is now to start using this framework for supporting healthier, safer and more inclusive

communities that approach harm done with a lens and a process that does not cause more harm but instead promotes healing, repair, accountability and real change. Together, we can do this.

In partnership with the Santa Cruz Equity Collab and  
the Conflict Resolution Center of Santa Cruz County

You are invited!

# COMMUNITY MEETING

Please join this open community meeting focusing on healing and accountability around the defacement of the Black Lives Matter mural. This is an opportunity for you to share how this incident impacted you and your community. Your stories and questions will be collected and shared during a direct dialogue in June with the two men who defaced the mural.

Please reserve your seat [HERE!](#)



Veterans Hall, 846 Front St.

Sunday, April 23

1:00 - 3:30pm



# Reconciliation Project: A Restorative Justice Program For Survivors of Crime

## Is a restorative justice process right for you?

### What is a restorative justice process?

- An opportunity to safely communicate with the person who caused you harm.
- A way for the person(s) who caused you harm to take accountability for what they have done and make amends, if or when possible.

### Why would I take part?

- Ask the person who caused you harm questions that you may have
- Share the impacts and harms of the crime
- Allow the person who caused you harm to express remorse and make amends directly to you
- 85% of people who take part find it helpful for their healing process\*

\*Restorative Justice Council, "Restorative Justice Works", 2015



**“The end result of the dialogue was, in many ways, freedom; the ability to loosen the burden associated with being a victim.”**

**- Survivor of crime**

### How will I know what to do?

- Process is led by a facilitator who supports and prepares you and makes sure that it is safe.
- Facilitator will talk you through the process, answer any questions and explain what will happen every step of the way before you meet for a dialogue.
- It is entirely up to you to decide whether to go through with it. You can opt out at any time.

### Is restorative justice safe?

- Yes. Facilitator will make sure the conversation is respectful and productive with no harsh or violent language.
- You would never be left alone with the person who caused you harm .
- You are encouraged to include support people in the process (family, friends, etc can be present).
- You have choice in every step of the process.

**Want to learn more? Contact Alaya Vautier, Restorative Justice Programs Director:  
alaya@crsantacruz.org or (831) 475-6117, ext 403**

Conflict Resolution Center of Santa Cruz County - [www.crsantacruz.org](http://www.crsantacruz.org)

## ¿Es adecuado para usted el proceso de justicia restaurativa?

### ¿Qué es el proceso de justicia restaurativa?

- Una oportunidad para comunicarse de manera segura con la persona que le causó daño.
- Una manera para que la(s) persona(s) que le causaron daño asuman la responsabilidad por lo que han hecho y hagan las paces, si es posible o cuando sea posible.

### ¿Por qué participaría?

- Podrá hacerle preguntas a la(s) persona(s) que lo/a lastimo.
- Podrá compartir los impactos y daños del crimen
- El proceso permite que la persona que le causó daño exprese remordimiento y haga las paces directamente con usted.
- El 85% de las personas que participan lo encuentran útil para su proceso de curación\*

\*[Consejo de Justicia Restaurativa, "Obras de Justicia Restaurativa", 2015]



**“El resultado final del diálogo fue, en muchos sentidos, la libertad; la capacidad de alivianar la carga asociada con ser una víctima de crimen”.**

**- Sobreviviente de crimen**

### ¿Cómo sabré qué hacer?

- El proceso está dirigido por un facilitador que lo apoya y crea un espacio seguro.
- El facilitador explica el proceso y responde todas las posibles preguntas que tenga antes de reunirse para un diálogo.
- Depende totalmente de usted decidir si lo lleva a cabo o no. Usted puede optar por salirse del proceso en cualquier momento.

### ¿Es la justicia restaurativa un proceso seguro?

- Sí. El facilitador se asegurará de que la conversación sea respetuosa y productiva sin lenguaje áspero o violento.
- Nunca se le dejará a solas con la persona que le causó daño.
- Se le alienta a incluir personas de apoyo en dicho proceso (familiares y amigos, etc.), las cuales pueden estar presente con usted.

### ¿Le gustaría aprender más?

**Comuníquese con Alaya Vautier, Directora de Programas de Justicia Restaurativa:**

**alaya@crsantacruz.org o (831) 475-6117, ext 403**

Centro de Resolución de Conflictos del Condado de Santa Cruz - [www.crsantacruz.org](http://www.crsantacruz.org)



## Is a restorative justice process right for you?

### What is a restorative justice process?

- A voluntary opportunity to meet or communicate with the person(s) who you caused harm to talk about what happened, take accountability and express remorse in a safe and facilitated dialogue

### Why would I take part?

- An opportunity to express remorse and make amends, where possible
- An opportunity to show your humanity and good qualities
- To take accountability, which can be healing and transformative
- To be reintegrated into the greater community



**"What I got from this was a new start. It makes you see people differently, but most of all, it makes you see yourself differently."**

**- Person who caused harm**

### How will I know what to do?

- Process is led by a facilitator who supports you and makes sure that it is safe.
- Facilitator explains the process and answers any questions before you meet for a dialogue.
- It is entirely up to you to decide whether to go through with it. You can opt out at any time.

### Is restorative justice safe?

- Yes. Facilitator will make sure the conversation is respectful and productive with no harsh or violent language.
- You would never be left alone with the person whom you caused harm.
- You are encouraged to include support people in the process (family, friends, etc can be present).

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### ¿Es adecuado para usted el proceso de justicia restaurativa?

#### ¿Qué es el proceso de justicia restaurativa?

- Una oportunidad voluntaria para reunirse o comunicarse con la(s) persona(s) a la(s) que causó daño para poder hablar sobre lo sucedido, asumir la responsabilidad y expresar remordimiento en un diálogo facilitado y seguro.

#### ¿Por qué participaría?

- Es una oportunidad para expresar remordimiento y hacer las paces, de ser posible
- Es una oportunidad para mostrar tus buenas cualidades y tu sentido de humanidad.
- Puede asumir su responsabilidad, lo cual podría ser curativo y transformador.
- Puede ser reintegrado a la gran comunidad.

**"Lo que obtuve de esto fue un nuevo comienzo. Te hace ver a la gente de una manera diferente, pero sobre todo, te hace verte a ti mismo de manera diferente".**

**- Persona que causó el daño.**



#### ¿Cómo sabré qué hacer?

- El proceso está dirigido por un facilitador que lo apoya y crea un espacio seguro.
- El facilitador explica el proceso y responde todas las posibles preguntas que tenga antes de reunirse para un diálogo.
- Depende totalmente de usted decidir si lo lleva a cabo o no. Usted puede optar por salirse del proceso en cualquier momento.

#### ¿Es la justicia restaurativa un proceso seguro?

- Sí. El facilitador se asegurará de que la conversación sea respetuosa y productiva sin lenguaje áspero o violento.
- Nunca se le dejará a solas con la persona a la que usted le causó daño.
- Se le alienta a incluir personas de apoyo en dicho proceso (familiares y amigos, etc.), las cuales pueden estar presente con usted.

¿Le gustaría aprender más?

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# Reducing Revocations Challenge Policy and Practice Implementation in Santa Cruz County





# Reducing Revocations Challenge

Strategy Implementation in Santa Cruz County

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RDA Consulting, 2023





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# Executive Summary

In recognition of the need to fundamentally transform a failing approach to community supervision in the United States, Arnold Ventures announced a major initiative in 2018 seeking to transform community supervision and reduce the failures of supervision that contribute to mass incarceration. Among its efforts was the launch of the Reducing Revocations Challenge (RRC) in collaboration with the CUNY Institute for State and Local Governance (ISLG). The Santa Cruz County Probation Department (SCCPD) was chosen to participate in the RRC conducting research in 2020 and 2021 (Phase I) and then shifting to strategy implementation in 2022 and 2023 (Phase II).

## Shifting Culture and Advancing Probation Practice to Promote Success and Reduce Revocations

Phase I [research findings](#) indicated a need for SCCPD to implement a strategy (Phase II, still in progress) seeking transformational change through a shift in organizational culture, and to develop greater consensus around their purpose while ensuring that all policies and practices are aligned with an agreed upon assistance-oriented supervision approach, or coaching model.<sup>1 2</sup> To achieve this goal, SCCPD undertook a codesign process inclusive of staff from all levels to examine the Department's purpose and supervision approach, and later develop policy and practices aligned with an assistance-oriented supervision model. SCCPD also hosted a retreat with system partners and adults on probation to examine the Department's purpose and supervision approach and develop recommendations for policy and practice implementation aligned with an assistance orientation. The codesign team convened to advance the work from the retreat by developing a set of policy and practice recommendations that staff expect will increase client success on probation and reduce revocations. Leadership has endorsed these recommendations, and the Department, with direction from the codesign team, is working on implementation.

### Strategy Implementation Successes

**The Santa Cruz Action Research Team engaged people with lived experience at all stages of strategy implementation and valued their expertise to inform policy and practice recommendations.** Additionally, the purpose they identified (e.g., probation should help provide stabilization and support) and direct recommendations they made at the retreat (e.g., making early contact, in custody and/or immediately upon release, with people on probation, and increasing the use of early termination as an incentive for compliance and positive behavior change) have been prioritized by the codesign team for implementation.

**Forming a codesign team comprised of probation staff across levels and engaging experts in the field helped to increase buy-in and message the Department's direction.** Specifically, the former associate director for the University of Cincinnati's Corrections Institute and president of the American Probation and Parole Association (APPA), Dr. Brian Lovins; the CEO of APPA, Veronia Cunningham; and the Director of the CoLab at the University of Washington, Dr. Sarah Walker,

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<sup>1</sup> Lovins, B. K., Cullen, F. T., Latessa, E. J., & Jonson, C. L. (2018). Probation officer as a coach: Building a new professional identity. *Federal Probation Journal*, 82(1), 13–19. Retrieved from [https://www.uscourts.gov/sites/default/files/82\\_1\\_2\\_0.pdf](https://www.uscourts.gov/sites/default/files/82_1_2_0.pdf)

<sup>2</sup> Lovins, B.K., Brusman Lovins, L.A., Latessa, E.J. (2022). Reimagining Probation Reform: Applying a Coaching Model to Probation Departments. In: Jeglic, E., Calkins, C. (eds) *Handbook of Issues in Criminal Justice Reform in the United States*. Springer, Cham.

who is an expert in codesign, helped to facilitate meetings with probation staff and system stakeholders over the course of the work.

**Early and consistent involvement of multiple stakeholders has helped to provide system-wide support for proposed changes to probation policy and practice.** One of the greatest implementation successes was bringing representatives from many agencies, including but not limited to the Sheriff's Office, District Attorney's Office, Public Defender's Office, the Santa Cruz County Superior Court, County Office of Education, Health and Human Services, County Administration, and various service providing agencies to the retreat. This allowed everyone to provide their perspective on what probation's purpose should be and feedback on policies and practices that should be in place to promote the success of adults placed on probation in Santa Cruz County.

**The Santa Cruz Probation Department's leadership team has demonstrated their commitment to shifting organizational culture and supporting staff to implement new practices that are in alignment with an assistance-oriented supervision approach.** The entire adult division leadership team attends project calls regularly, and RRC strategies are embedded within the department and county-wide strategic plan so that the goals and objectives of each are all in alignment with one another.

**Convening a codesign team that meets regularly has resulted in the initial implementation of new policies and practices and an opportunity to continue moving the work forward.** SCCPD has centered policy and practice changes around strategies to increase trust and engagement between probation officers (POs) and clients. The Department is working with Justice System Partners, a non-profit organization committed to assisting criminal and juvenile legal systems and community partners with transforming their systems, to implement the coaching supervision model. Probation staff have also updated a presentation called *How to be Successful on Supervision* that they began to deliver monthly in August 2023 to adults in custody who are going to be supervised by probation when they are released. At the time of this report, codesign team members are also reviewing their caseloads to identify Individuals to recommend for early termination; establishing criteria and expectations for early termination recommendations; and working with leadership to engage in discussions with judges to implement a routine use of early termination as a motivation for success.

### Strategy Implementation Challenges

**While a majority of probation staff and system partners are bought in to SCCPD's organizational culture shift and implementation of aligned policy and practices, managing resistance to change remains a challenge.** Leadership recognizes there may be a sense of anxiety as culture and practices begin to shift, and to manage resistance to change, they discourage denigration of past practices, and help to position the past as a positive legacy that paved the way for what's new. They also communicate clear expectations for the transition; provide frequent and direct communication to all levels of the organization; repeat messages often, through multiple mediums, with sensitivity; and intend to measure and celebrate successes as change takes hold.

**Culture change within the Probation Department and among system partners moves slowly and requires patience.** Probation has traditionally functioned as an arm of the court and supervision has been compliance oriented, based on monitoring people more so than providing them with assistance to promote their well-being and public safety. Some policies and practices, such as compliance checks in the community or one's home, are not aligned with an assistance oriented probation approach and have been in place for years, while other policy and practices are related to evidence-based practices that staff have been trained in, but now need refinements

(e.g., utilization of risk and needs assessments). Within this environment, the Probation Department must continue to work internally and with system partners to help educate and provide research that supports Probation's urgency to move more towards a coaching model rooted in assistance.

**Data limitations make tracking outcomes among adults on probation challenging.** During Phase I of the RRC, the Santa Cruz Action Research Team learned that the court could not systematically extract data on revocations that were the result of formal violation petitions filed with the court, particularly for those violations that were the result of a technical violation only. To ensure they are able track outcomes, SCCPD convened a data workgroup who helped design a violation event to be entered in their electronic case management system after any formal violation is adjudicated. A quality insurance process was also put in place to ensure that information on all violations that have been adjudicated is entered into the case management system. While the process SCCPD has put in place can work, it relies on staff data entry that will be difficult to sustain, and a lot of time spent by leadership compiling violation reports from the court and supporting quality assurance on an ongoing basis to ensure data entry is complete.

### **Incentive Based Case Management Pilot for Individuals with Substance Use Terms**

Phase I findings showed that over half (62%) of adults on probation (based on a one-day snapshot in 2019) had specific terms related to alcohol or drug use, testing, and/or programming, and after accounting for differences across demographic characteristics (e.g., race/ethnicity, age, sex), caseload type, and risk level, these individuals were more than twice as likely as others on probation to be convicted of a formal violation. A large proportion (40%) of formal violations were filed for technical violations that typically demonstrated a lack of engagement with probation or drug treatment and not necessarily a grave public safety risk. Based on interviews and focus groups with adults on probation and probation officers in Santa Cruz, drug testing is one of the main reasons clients with substance use issues do not show up to meetings with probation, because they fear being placed in jail if they test positive, creating a situation where individuals on probation are not engaging with their probation officer when they need support and coaching the most. This results in bench warrants, subsequent jail, and litigation over probation violations which both interrupts lives and is costly for the County.

To address this issue, SCCPD initiated an incentive based case management pilot (pilot) for individuals with substance use terms that focuses on reducing formal violations for this population and promoting positive outcomes, such as increased reporting and engagement in treatment services. The objective of the pilot is to develop a safe environment for adults on probation with substance use terms where they are not afraid to report to probation because of addiction issues so that they are able to develop trusting relationships with their probation officers. To that end, regular drug testing for clients in the pilot is not mandatory, and the pilot functions as an extension of a harm reduction model with an understanding of substance use rehabilitation as an ongoing process, not penalizing relapse while incentivizing progress and engagement with probation. POs co-develop individualized success plans with clients in the pilot that include one or more goals clients would like to achieve while on probation, and goals do not need to be based on clients' probation terms and conditions. Success plans include individualized three, six, 12, and 18-month milestones for which clients receive an agreed upon incentive upon achievement.

With these practices in place, it is SCCPD's hope that clients will engage with their probation officers even when they are struggling to comply with the terms and conditions of probation. Findings from the pilot are being used to inform department policies and practices and support the desired culture shift. The pilot is also being used as an incubator, where some policy and

practice recommendations are implemented in the pilot (e.g., developing and implementing success plans), with the intention of rolling out the practice across the Department over time.

### **Pilot Implementation Successes**

***Clients we spoke with expressed that the pilot is different from probation in the past; removing mandatory drug testing and incentivizing engagement, even when clients are struggling with relapse, has removed their fear of probation and allowed clients to develop trust with their PO.***

Nearly every pilot participant had prior experience with adult or juvenile probation, and those that did spoke about how voluntary versus mandatory drug testing was a major departure from past practice. With time in the pilot, the fear of probation for clients we spoke with dissipated. Because 1) clients are not mandated to drug test, 2) they may do so voluntarily, and 3) they will not be placed in custody if they test positive, clients in the pilot we spoke with were not afraid to show up for probation appointments. As a result, they have developed relationships with their probation officers who they now trust have their best interests in mind and are there to support them.

***Increased trust has resulted in pilot participants reporting to probation even when they are struggling with substance use or to achieve goals identified in their success plan.***

Probation officers implementing the pilot expressed that in addition to removing mandatory drug testing, the process of reviewing pilot policies with their clients and offering incentives for developing success plans together has also helped to build trust and ongoing engagement. Some POs have offered incentives to clients for taking voluntary drug tests regardless of the outcome to help build client engagement, which is one of the main objectives of the pilot. These practices have resulted in participants--even those with long histories of disengagement--showing up regularly for appointments, even when they are struggling to maintain sobriety and achieve the goals in their success plan. This is precisely the type of change the pilot is seeking to create.

***Probation officers in the pilot collaborate to discuss cases and seek alternatives to filing bench warrants or formal violations when clients are struggling with substance use or not checking in.***

SCCPD leadership and the codesign team are encouraging all probation officers, not just those supervising people in the pilot, to exhaust all alternatives to filing bench warrants or formal violations if people on their caseloads are out of compliance with probation terms, but do not appear to pose a threat to public safety. Probation officers in the pilot are doing just that. During pilot implementation meetings, one of the standing agenda items is to discuss challenging cases, including those where they are unable to contact their client. Probation officers and supervisors use this time to brainstorm how they might respond to certain forms of noncompliance and discuss how their responses can be used as opportunities to build trust with their clients, working with them to support their growth and drive probation success.

### **Pilot Implementation Challenges**

***Probation officers are trained to be an arm of the court and monitor compliance to probation terms and conditions; as a result, there are adaptive challenges for POs being asked to shift to an assistance-orientated supervision approach to support client success, including exhausting all alternatives before filing formal violations.***

While strides have been made to shift the supervision approach of the probation field, and many probation officers in Santa Cruz County embrace an assistance-oriented supervision approach, adaptive challenges remain that require probation officers in the pilot (and beyond) to confront the status quo and change their behaviors, practices, and ways of working they have been trained on in the past. The pilot challenges probation officers to do things differently and focus on rapport building with their clients by co-developing

individualized success plans and supporting them in reaching those goals -- not compliance monitoring.

**Perceived court expectations and excessive probation terms make it challenging for probation officers to utilize individualized success plans and focus on coaching rather than monitoring compliance.** For instance, because probation terms mandate certain individuals to enter and complete substance use treatment or to totally abstain from use or possession of drugs or alcohol, some clients may be afraid to report to probation under certain circumstances, even after reviewing pilot policies and practices with their probation officer. Additionally, probation officers are in a difficult position working with individuals who are out of compliance because of their drug addiction yet are not threats to public safety. In these instances, probation officers eventually may feel compelled to report a violation to the court, especially in instances where completion of specific treatment is cited, despite this not being the most fruitful action to support client recovery.

## Recommendations

There is much work ahead for SCCPD to continue to refine, sustain, and grow new approaches introduced through the RRC Below are some high-level recommendations to help build upon and sustain the work that has been completed to date.

**Provide continued support of the coaching model.** SCCPD has embarked on adopting a coaching model with support from Justice System Partners which will help the department shift from purpose to practice change. This work should continue and be taken to the scale so that it becomes the way of doing business in the future.

**Apply ongoing strategic management, oversight, and attention to ensure that effective practices evolve and are taken to scale.** The department, in partnership with the pilot implementation and codesign teams will need to develop thoughtful strategies to bring these new policies and practices, such as success planning, to scale so that they become the norm for probation work and apply not only to individuals with drug testing terms but to other probation populations. Sustaining the momentum of the pilot implementation and codesign teams will require buy in and engagement of probation leadership and ongoing partnership with system stakeholders.

**Improve data collection to measure progress.** Quantitative and qualitative data to measure progress and change is essential. Without it, well intentioned interventions may have unintended consequences that go undetected. One lesson learned through Phase I is that capturing data on violations is not easy. This information should be readily available and captured by the courts and probation consistently and in reliable ways. SCCPD should work with court administrators to implement a reliable and more sustainable data collection method.

**Lean into race equity work.** There is much more to learn about the impact of the Santa Cruz County legal system for people of color. We know that Hispanic/Latinx and Black adults are more apt to be placed on probation, and that once on probation, Black adults are more likely to have formal violations filed in Santa Cruz County. This means that even similar probation violation rates reinforce the disparities existing at the onset of probation and call for an equity focus, such as a targeted universalism approach, which would set goals for an entire population (e.g., reducing revocations), but use targeted policies to help different groups achieve them.

**Continue to support culture change through an inclusive and multifaceted approach.** This project reminds us that culture change takes time and requires support. Supporting culture change is a multifaceted endeavor requiring a stratified and inclusive approach that includes input and



interaction from multiple sources including impacted individuals with lived experience on probation; legal system partners; community partners; and credible external experts. Perhaps the most important is buy-in from court stakeholders. Without their endorsement, the viability and sustainability of the coaching supervision model will be in jeopardy. While some work has been done to include them, increased engagement with the court must be a priority moving forward.

## Introduction

American Probation was originally invented by Boston shoemaker John Augustus in 1841, a court volunteer who took errant neighbors under his wing, helped them pay off their debt to society, and reported back to the court on their progress to help them avoid being detained.<sup>3</sup> At its essence, probation was designed as an alternative to incarceration; no one envisioned the current system, where an estimated 3,745,000 adults were under community supervision (probation or parole in the United States) at the end of 2021<sup>4</sup>, and probation violations would become a significant driver of incarceration. A nationwide study by the Council of State Governments (CSG) Justice Center found that 45% of state prison admissions nationwide are due to violations of probation or parole for new offenses or technical violations, such as missing appointments with supervision officers or failing drug tests. Technical violations account for nearly one in four state prison admissions—gravely disrupting lives and costing states approximately 2.8 billion dollars annually.<sup>5</sup> Probation violations drive local county jail populations as well. Jail studies conducted in four California counties between 2015 - 2022 (Santa Cruz, Sacramento, San Bernardino, and Riverside), for instance, suggest that between one quarter and half – and in some cases more than half– of all jail re-bookings are for probation violation or warrants, not new crimes.<sup>6 7 8 9</sup>

In recognition of the need to fundamentally transform a failing approach to community supervision in the United States, Arnold Ventures announced a major initiative in 2018 seeking to transform community supervision and reduce the failures of supervision that contribute to mass incarceration. Among its efforts was the launch of the Reducing Revocations Challenge (RRC) in collaboration with the CUNY Institute for State and Local Governance (ISLG). The Reducing Revocations Challenge is an initiative in which ten Action Research Teams consisting of research partners and local probation departments received funding for a 16-month period to 1) conduct in-depth research and data analysis on the drivers of unsuccessful probation exits and 2) identify policy and practice solutions based on the research findings. Five of the ten sites received funding for a second phase to support implementation of strategies to reduce revocations based on their

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<sup>3</sup> New York City Department of Probation. "Probation - About Probation - History of Probation," Retrieved May 18, 2023, <https://www.nyc.gov/site/probation/about/history-of-probation.page>

<sup>4</sup> Bureau of Justice Statistics (2023). *Probation and Parole in the United States, 2021*. Retrieved May 18, 2023, <https://bjs.ojp.gov/library/publications/probation-and-parole-united-states-2021#:~:text=At%20yearend%202021%2C%20an%20estimated,the%20lowest%20rate%20since%201987.>

<sup>5</sup> The Council of State Governments Justice Center (2019). *Confined and Costly: How Supervision Violations Are Filling Prisons and Burdening Budgets*. Retrieved from <https://csgjusticecenter.org/confinedandcostly/>

<sup>6</sup> Macdonald, Scott and O'Connell, Kevin. California Forward : Justice System Change Initiative-Santa Cruz County Jail Utilization Report (2017). Retrieved from <https://oconnellresearch.files.wordpress.com/2017/11/santa-cruz-jus-report-05222017-final.pdf>

<sup>7</sup> Macdonald, Scott and O'Connell, Kevin. California Forward : Justice System Change Initiative-San Bernardino County Jail Utilization Report (2016). Retrieved from <https://oconnellresearch.files.wordpress.com/2018/05/san-bernardino-jus.pdf>

<sup>8</sup> Macdonald, Scott and O'Connell, Kevin. California Forward : Justice System Change Initiative-Riverside County Jail Utilization Report (2015). Retrieved from <https://oconnellresearch.files.wordpress.com/2016/05/jus-report-12-21-2015-final-rpt.pdf>

<sup>9</sup> O'Connell, Kevin. Data Driven Recovery Project: Sacramento County Jail Study. (2022). Retrieved from <https://oconnellresearch.files.wordpress.com/2022/10/att-3-oconnell-sacramento-jail-study-final.pdf>



research findings. The Santa Cruz County Probation Department (SCCPD) was chosen to participate in the RRC conducting research in 2020 and 2021. After being awarded funding for Phase II, the department shifted to strategy implementation in 2022 and 2023. This report provides an overview of the strategies Santa Cruz Probation implemented from January 2022 through July 2023, including a detailed discussion of implementation successes and challenges, and preliminary outcomes of strategy implementation.

## Structure of the Report

The report begins with a *Background* section that provides an overview of the Santa Cruz County Probation Department Adult Division, including an overview of the probation population and descriptions of the strategies Santa Cruz County Probation implemented in Phase II of the RRC. Next, the *Strategy Implementation and Outcomes* section includes detailed descriptions of the two strategies implemented, including a review of key implementation steps, implementation successes and challenges, and preliminary outcomes. Finally, the *Discussion* section identifies key takeaways from the research and implementation phases, including sustainability plans to continue building on work accomplished in 2022 and 2023 as part of the RRC.

## Background

Signed into law in September 2020, California Assembly Bill (AB) 1950 shortened the length of probation in most misdemeanor cases to one year and most felony cases to two years (previously probation terms were typically 3 – 5 years for felony cases and 2 – 3 years for misdemeanor cases). These reforms helped to lessen the reach of probation by reducing the length of time individuals spend under supervision, which has resulted in reduced numbers of individuals on probation in Santa Cruz County (and across California). SCCPD has a distinct opportunity to not only reduce the number of individuals under their supervision, but to also improve the experiences and outcomes of these individuals. Probation agencies across the country, including SCCPD, have implemented evidence based practices (EBPs) such as risk and needs assessment tools following the risk, need, responsivity (RNR) model, as well as motivational interviewing, cognitive behavioral interventions, and gender responsive programming, among other EBPs. However, probation violations continue to drive local jail and state prison admissions, and racial disparities continue to exist in probation outcomes.

The strategies the Santa Cruz County Probation Department have chosen to implement to shift organizational culture and practice (described in greater detail below) are centered through a race equity lens, with high value placed on feedback and input from adults with lived experience under probation supervision. SCCPD's work builds on the racial equity work facilitated with the Department by James Bell of the W. Haywood Burns Institute in 2020 and 2021; following the completion of this work, Probation included multiple equity-based objectives in the county-wide 2021-2023 Operational Plan, including aims to reduce technical violations for Black adults on formal supervision. Additionally, Probation's entire leadership team (sworn), as well as many department heads across the county, are also participating in or have completed the Annie E Casey Foundation's Results Count Seminar. Results Count is an approach to leadership development that sets a framework for accelerating the well-being of county residents, particularly for groups who face the greatest barriers to success.

The Department is also very intentional to hire diverse staff, and to have diversity represented at all levels of the organization. The workforce composition in 2020 was 53% female and 43% male

(4% unknown). Across race and ethnicity, staff were 55% Hispanic/Latinx, 37% White, 3% Black, and 3% Asian (2% other or unknown). These numbers are very much aligned with the proportion of each group on probation (described in greater detail in the section below). The Department has a diverse management team as well, with representation from adults who identify as Hispanic/Latinx, White, and Black. People of color comprise 50% of the management team. In addition, nearly 50% of the Department's workforce is bilingual. These are just some of the ways the Department aims to increase race equity among adults on probation.

It is within this landscape that SCCPD leadership sought a shift in organizational culture and probation officer (PO) supervision approaches to increase the effectiveness of the agency and promote success among adults on probation.

## Santa Cruz County Adult Probation Division Overview

SCCPD's two Adult Divisions provide a full spectrum of services operating around three major focus areas – Pretrial Services, Court Coverage and Investigations, and Community-Based Supervision. The new Pretrial Division (recently expanded from a single unit to encompass multiple units) completes assessments and makes recommendations for release or detention of individuals pending criminal charges and provides monitoring to those deemed eligible by the courts to remain in the community. The Investigations Unit conducts pre-sentence and pre-plea investigations and makes sentencing recommendations based on the statutory mandates outlined in the Penal Code and Rules of Court. These reports also play a significant role in determining Probation terms and conditions. Central to RRC research and strategy implementation are the Adult Division staff who provide community-based supervision for individuals in Santa Cruz County. The SCCPD Adult Divisions are comprised of the Chief Probation Officer, an Adult Division Director and three Assistant Adult Division Directors, a Pretrial Division Director and one Assistant Pretrial Division Director, in addition to Unit Supervisors, Deputy Probation Officers (DPOs), and Probation Aides (PAs) (see Appendix A and Appendix B to review SCCPD's Adult Division and Pretrial Division organizational charts). Descriptions of the roles of Unit Supervisors, DPOs, and PAs, all who commonly work directly with adults on probation, are included below:

Unit Supervisors are responsible for overseeing a unit of DPOs and hold the responsibility of supervising, training, scheduling, and evaluating their work, in addition to performing more complex and specialized probation casework. Unit Supervisors also approve and sign all bench warrant requests and formal violations filed with the court.

Deputy Probation Officers are sworn officers who provide case management services for a caseload of adults including the referral, supervision, counseling, and rehabilitation of adults on probation. DPOs are responsible for recommending when to file bench warrants and formal violations with the court, including recommended sentences.

Probation Aides are nonsworn staff who provide some similar services as DPOs by assisting in the supervision of adults on probation or pretrial; however, PAs work under a higher level of supervision while DPOs are expected to work more independently and take on more complex casework.

### **Adult Probation Population, Officer Caseloads, and Violations**

Table 1 below shows demographic characteristics of adults living in Santa Cruz County compared to 1,806 adults who were under probation supervision for at least one day from October 1, 2022,

through June 30, 2023.<sup>10</sup> The majority (84%) of adults on probation during this time were male. Hispanic/Latinx and Black individuals were overrepresented in Santa Cruz's adult probation population compared to their county population size. Hispanic/Latinx individuals comprised approximately 46.6% of adults on probation relative to 30% of the adult Santa Cruz County population, while African American/Black individuals comprised 4.8% of the adult probation population but only 1.2% of the adult Santa Cruz County population. Since 2019 (the year for which data were utilized for Phase I research), the proportion of adults on probation who are Hispanic/Latinx has grown from approximately 41% of the adult population to nearly 47%, while the African American/Black population has remained steady at about 5%. Together these trends demonstrate that in Santa Cruz County there are clear disparities among who is placed on Probation relative to their population size in the County.

**Table 1. Demographic Characteristics of Adults on Probation: October 1, 2022 – June 30, 2023**

Demographic Characteristics	Adults in Santa Cruz County (n=217,992) <sup>11</sup>		Adults on Probation October 1, 2022 – June 30, 2023	
	N	%	N	%
<b>Race/Ethnicity</b>				
White	128,334	58.9%	790	43.7%
Hispanic/Latinx	65,474	30.0%	841	46.6%
African American/Black	2,574	1.2%	86	4.8%
Other or Unknown	21,610	9.9%	89	4.9%
<b>Gender</b>				
Male	107,885	49.5%	1,514	83.9%
Female	110,107	50.5%	291	16.1%
<b>Age</b>				
18-24	38,590	17.7%	216	12.0%
25-34	31,915	14.6%	651	36.0%
35-44	32,117	14.7%	545	30.1%
45 or over	115,370	52.9%	395	21.9%

Table 2 below highlights a few of the case characteristics of adults on probation. Based on the Correctional Assessment and Intervention System (CAIS), a validated risk and needs assessment tool used to measure risk for recidivism, 34.3% of adults on probation were assessed as high risk, 27.5% were assessed as moderate risk, and 27.5% were assessed as low risk for recidivism (10.7% were not assessed or data were missing) during this period.

<sup>10</sup> This period was chosen because reliable data measuring demographic characteristics, case characteristics (e.g., CAIS assessed risk, case type, and probation terms), and violations filed were only available for people under active probation supervision on or after October 1, 2022. Reliable data on violations filed and resolved are not accessible through electronic records prior to October 1, 2022.

<sup>11</sup> American Community Survey: 2021: ACS 5-Year Estimates Data Profiles.

Approximately two-thirds (sixty-seven percent (67%) of the adult probation population had alcohol or drug related terms requiring them to abstain from possession or use, and/or requiring them to attend and complete substance use treatment.<sup>12</sup>

**Table 2. Case Characteristics of Adults on Probation: October 1, 2022 – June 30, 2023**

Case Characteristics	Adults on Probation October 1, 2022 – June 30, 2023	
	N	%
<b>CAIS Assessed Risk</b>		
High	630	34.3%
Moderate	497	27.5%
Low	496	27.5%
Missing	193	10.7%
<b>Alcohol or Drug Related Terms</b>		
Yes	1,212	67.1%
No	352	19.5%
Missing	242	13.4%
<b>Case Type</b>		
Formal Supervision	1,515	83.9%
PRCS	185	10.2%
Mandatory Supervision	106	5.9%

The Santa Cruz County Probation Department supervises adults on Formal Supervision and AB 109 Supervision. Most adults under community supervision in Santa Cruz County are on Formal Supervision (83.9%). Formal Supervision includes general supervision caseloads (which includes various offense types), as well as domestic violence caseloads with mandated programming, a gang focused caseload, mental health or wellness focused caseloads, and a sex offender caseload for those required to register or complete State Certified Sex Offender Treatment programs. The remaining 16.1% were on AB 109 supervision (various offenses), which includes Mandatory Supervision and Post Release Community Supervision (PRCS). Those supervised per AB 109 were all convicted of felony offenses and would not have been under the Probation Department’s supervision prior to October 1, 2011, when AB 109 Realignment was enacted. This legislation transferred the responsibility for some individuals incarcerated in state prisons from the state to the county. Individuals in the AB 109 population previously would have been supervised by state parole, not county probation.

Average caseload sizes for probation officers are:

- 84:1 for General Supervision caseloads (down from 100 in 2019)

<sup>12</sup> Approximately 20% did not have alcohol or drug related terms, while data on probation terms were missing for approximately 13% of the adult probation population.

- 57:1 for Domestic Violence caseloads (down from 65 in 2019)
- 30:1 for Specialized/Intensive caseloads (down from 34 in 2019)

Specialized caseloads include the two AB 109 caseloads (Mandatory Supervision and PRCS), in addition to gang, mental health, and sex offender caseloads.

### Formal Violations Filed with the Court

Table 3 presents information on formal violations filed with the court among adults under probation supervision from October 1, 2022 – June 30, 2023. We examine trends in violations filed, not convictions, because nearly half of all violations filed had not yet been resolved for the period that data were available. Overall, the data demonstrate that 22% (n=398) of adults had a formal violation filed during this time. During this same period, 201 adults were convicted of a formal violation, 18 had their violations dismissed or withdrawn, and 179 adults had cases pending.

Consistent with 2019 findings, Hispanic/Latinx adults had lower violation rates (19.9%) than White adults (22.8%). Black adults, in addition to being overrepresented on probation, were more likely to have formal violations filed with the court once on Probation (31.4% violation rate compared to 22.8% violation rate). Because Black adults comprise less than 5% of the adult probation population, their overrepresentation is based on a small number of violations (less than 10). Therefore, SCCPD has an opportunity to reduce or eliminate this disparity by integrating a race equity lens to better understand what drives probation violations among Black adults, and tailor strategies to support their experience under probation supervision.

**Table 3. Formal Violations Filed, by Demographic and Case Characteristics**

Demographic and Case Characteristics	Adult Probation Population	% Adult Probation Population	Population with Formal Violation Filed	% Population with Formal Violation Filed	Formal Violation Filing Rate, by Group
<b>Race/Ethnicity</b>					
White	790	43.7%	180	45.2%	22.8%
Hispanic/Latinx	841	46.6%	167	42.0%	19.9%
African American/Black	86	4.8%	27	6.8%	31.4%
Other or Unknown	89	4.9%	24	6.0%	27.0%
<b>Gender</b>					
Male	1,514	83.9%	352	88.4%	23.2%
Female	291	16.1%	46	11.6%	19.2%
<b>Age</b>					
18-24	216	12.0%	42	10.6%	19.4%
25-34	651	36.0%	132	20.7%	20.3%
35-44	545	30.1%	140	35.2%	25.7%
45 or over	395	21.9%	84	21.1%	21.3%
<b>CAIS Assessed Risk</b>					

Demographic and Case Characteristics	Adult Probation Population	% Adult Probation Population	Population with Formal Violation Filed	% Population with Formal Violation Filed	Formal Violation Filing Rate, by Group
High	630	34.3%	215	54.0%	34.1%
Moderate	497	27.5%	105	26.4%	21.1%
Low	496	27.5%	51	12.8%	10.3%
Missing	193	10.7%	27	6.8%	14.0%
<b>Alcohol or Drug Related Terms</b>					
Yes	1,212	67.1%	332	83.4%	27.4%
No	352	19.5%	61	15.3%	17.3%
Missing	242	13.4%	5	1.3%	2.1%
<b>Case Type</b>					
Formal Supervision	1,515	83.9%	320	80.4%	21.1%
PRCS	185	10.2%	52	13.1%	28.1%
Mandatory Supervision	106	5.9%	26	6.5%	24.5%

Consistent with Phase I findings, a much greater proportion (27.4%) of adults with alcohol or drug related terms had formal violations filed than those without alcohol or drug related terms (17.3%). Additionally, adults assessed at high risk for recidivism had higher violation rates (34.1%) than adults assessed at moderate (21.1% violation rate) or low risk (10.3% violation rate). Adults under AB 109 supervision (PRCS and Mandatory Supervision) also had higher violation rates than those under formal supervision. Because Black adults are disproportionately assessed at high risk for recidivism (49%), and disproportionately represented under PRCS (14% compared to 10% of the entire adult probation population), using risk as a component to determine responses to noncompliance may be a driver of racial disparities in violation rates.

A recommendation to eliminate the use of risk to determine responses to noncompliance, which was included in a set of policy and practice recommendations developed as a part of SCCPD's RRC strategy implementation, is aimed at reducing this disparity. An overview of the Santa Cruz County Probation Department's RRC strategies to increase success and reduce unsuccessful probation exits are provided below.

## Shifting Culture and Advancing Probation Practice to Promote Success and Reduce Revocations

During Phase I of the RRC the Santa Cruz Action Research Team found inconsistencies in probation officer philosophies and practices were directly impacting how officers work with clients, including in their decisions about when to file formal violations and sentencing recommendations. In essence, POs were not on the same page about the purpose of probation, and thus had different approaches to working with clients under their supervision. Some POs utilized an assistance-oriented supervision approach, collaborating with clients to identify their goals and help make



connections to community resources to support them. Other POs utilized a compliance-oriented supervision approach, spending more time monitoring clients' compliance to probation terms and conditions, and less time on goal development and making connections to community resources. Clients we spoke with, therefore, had very different experiences on probation depending on their assigned PO. Some clients felt more connected to their probation officer and suggested they could go to them for support and receive appropriate referrals to services. Others described weaker relationships with a more adversarial and less trustworthy dynamic that, in some cases, resulted in failing to report to probation. Additionally, based on focus groups with probation officers and supervisors, some POs responded to noncompliance more punitively than others, especially for clients assessed as high-risk for recidivism based on a validated criminogenic risk and needs assessment. As a result, individuals on these caseloads or assessed as higher risk are likely to receive more restrictive sanctions for the same behaviors as their counterparts on probation.

These findings indicated a need for the Santa Cruz County Probation Department to implement a strategy (still in progress) seeking transformational change through a shift in organizational culture, and to develop greater consensus around their purpose and supervision approach and ensure that all policies and practices are aligned with the agreed upon assistance-oriented supervision approach. To achieve this goal, beginning in April 2022 SCCPD undertook a codesign process inclusive of staff from all levels to examine the Department's purpose and supervision approach, and later develop policy and practices aligned with an assistance-oriented supervision model. SCCPD sought to include a mix of staff who have been supportive and resistant to past reforms so that current champions could help bring along staff who have been more hesitant to shift supervision approaches. Codesign is a participatory strategy that is used to enhance several aspects of program or policy development, including acceptability and feasibility for real world practice and long-term buy in and ownership within the development site.<sup>13</sup> Codesign processes support greater buy in and sustainability for innovative approaches because the people implementing the approaches are also those who researched and designed them.

As part of this codesign approach, SCCPD also hosted a retreat in November 2022 with system partners and adults on probation to examine the Department's purpose and supervision approach and develop recommendations for policy and practice implementation aligned with an assistance orientation (i.e., coaching model).<sup>14</sup> <sup>15</sup> In 2023, the codesign team convened to advance the work from the retreat by developing a set of policy and practice recommendations that staff expect will increase client success on probation and reduce revocations. Leadership has endorsed these recommendations, and the Department, with leadership from the codesign team, is working on implementation.

## Incentive Based Case Management Pilot for Individuals with Substance Use Terms

During Phase I of the RRC, the Action Research Team found that adults on probation with substance use disorders, mental illness, and housing instability had higher rates of violations in

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<sup>13</sup> CoLab : Community and Behavioral Health Policy. (2022). What is Codesign? Retrieved from <https://uwcolab.org/approaches>

<sup>14</sup> Lovins, B. K., Cullen, F. T., Latessa, E. J., & Jonson, C. L. (2018). Probation officer as a coach: Building a new professional identity. *Federal Probation Journal*, 82(1), 13–19. Retrieved from [https://www.uscourts.gov/sites/default/files/82\\_1\\_2\\_0.pdf](https://www.uscourts.gov/sites/default/files/82_1_2_0.pdf)

<sup>15</sup> Lovins, B.K., Brusman Lovins, L.A., Latessa, E.J. (2022). Reimagining Probation Reform: Applying a Coaching Model to Probation Departments. In: Jeglic, E., Calkins, C. (eds) *Handbook of Issues in Criminal Justice Reform in the United States*. Springer, Cham.

Santa Cruz because of barriers, needs, biases, and common practices (e.g., clearing homeless encampments and bringing people into custody on old probation violation warrants, drug testing people with substance use terms) that impact these vulnerable groups more significantly than other populations. Additionally, a large proportion (40%) of formal violations in 2019 were filed for technical violations of probation terms that typically demonstrated a lack of engagement with probation or drug treatment and not necessarily a grave public safety risk associated with serious, violent offenses or possession of firearms. Over half (62%) of adults on probation (based on a one-day snapshot in 2019) had specific terms related to alcohol or drug use, testing, and/or programming, and after accounting for differences across demographic characteristics (e.g., race/ethnicity, age, sex) caseload type, and risk level, these individuals were more than twice as likely as others on probation to be convicted of a formal violation.

To address this disparity, SCCPD initiated an incentive based case management pilot (“pilot”) for individuals with substance use terms that focuses on reducing formal violations for this population and promoting positive outcomes, such as increased reporting and engagement in treatment services. This pilot provides an opportunity to rethink how the Department approaches case management generally, and how it uses drug testing more specifically. Rather than a tool to punish drug use, the pilot focuses on positive reinforcements to incentivize and support reductions in drug use. This approach is in line with research that indicates that positive reinforcements are strongly linked to behavior change and challenges probation’s traditional reliance on sanctions to punish and discourage drug use.<sup>16</sup> The goal of the pilot is both to “flip the switch” from sanctions to incentives and positive reinforcement to support behavior change, and also to remove a barrier to trust that results in disengagement from probation. Findings from the pilot are being used to inform department policies and practices and support the desired culture shift. The pilot is also being used as an incubator, where some policy and practice recommendations are implemented in the pilot (e.g., developing and implementing success plans), with the intention of rolling out the practice across the Department over time.

## Strategy Implementation and Outcomes

### Shifting Culture and Advancing Probation Practice to Promote Success and Reduce Revocations

Beginning in January 2022, SCCPD began a process to examine the department's purpose, policies, and practices; assess the extent to which they are aligned with an assistance-oriented supervision approach; and develop policy and practice recommendations to help create a more assistance-oriented supervision approach department wide. Below is a summary of the key implementation steps.

#### Strategy Implementation Overview

**Convening the Purpose, Policy, and Practice (3P) Codesign Team:** The Santa Cruz RRC team identified two leadership team members to organize and recruit staff to join the 3P codesign team, Chief Giraldo and an Assistant Adult Division Director. Five probation officers volunteered to join

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<sup>16</sup> Rudes, D.S., Taxman, F. S., et al. (2012). Adding Positive Reinforcement in Justice Settings: Accessibility and Feasibility. *Journal of Substance Use Treatment*, 42(3), 260-270. Retrieved from [https://www.sciencedirect.com/science/article/pii/S0740547211001620?casa\\_token=HNWP84oyfDMAAAAAA:itSoH0kZkmgYYfb\\_zV4zq-fPfoSM70xRm0tKrvFZNjarxUjjhpGA662bPXs2AvyJEkkMJo-CUD4](https://www.sciencedirect.com/science/article/pii/S0740547211001620?casa_token=HNWP84oyfDMAAAAAA:itSoH0kZkmgYYfb_zV4zq-fPfoSM70xRm0tKrvFZNjarxUjjhpGA662bPXs2AvyJEkkMJo-CUD4)



the codesign team. During the kickoff meeting the team reviewed the goals of the RRC, Phase I research that led to the Phase II strategies, and an overview of the work that would be completed over the grant period. To begin the conversation about probation's purpose, the team responded to the following prompt: "Years down the line, if you run into someone you supervised, what do you want them to remember about you?" This prompt was utilized to help remind team members what brought them to the work, which in one way or another for everyone was to help people. This was an important jumping off point to move the codesign group toward reexamining the Department's purpose and refining policies and practices from a compliance to an assistance-oriented supervision approach.

**Ongoing Codesign Team Meetings:** Subsequent codesign meetings were held every month or two, with the objective of having probation staff continue to examine their current practices in preparation for the retreat to be held in November. In one meeting, POs documented and discussed all probation officer tasks and activities and organized them based on whether they better fit an assistance or compliance orientation (for instance, home visits and drug testing were identified as compliance oriented while meeting with clients, conducting assessments, and referring to services were identified as assistance oriented). In another meeting, Dr. Brian Lovins -- president of the American Probation and Parole Association (APPA), principal at Justice System Partners, and former associate director for the University of Cincinnati's Corrections Institute -- who has been instrumental in introducing the referee/coach conversation to the field, presented on and facilitated a discussion on probation's purpose and role; the failures the field has experienced from implementation of a compliance driven model (e.g., referee model); moving from a referee to coaching case management approach (assistance-oriented approach); and effective substance use and behavioral change models.

**Survey of Probation Practices:** To provide additional context at the retreat for probation staff and system stakeholders, including individuals with lived experience, a survey of probation practices was developed for probation staff to complete. The 3P codesign team helped to vet survey questions to ensure they were asked in a way that would resonate with probation officers and encourage honest responses. Probation officer surveys asked questions to better understand (1) what probation officers believe is most important for being an effective probation officer, (2) how probation officers spend their time, (3) what they are trained on, and (4) probation officer and department practices including case planning and management; program referrals and communication; incentives and violations; the extent to which daily practices support a commitment to racial equity; and incorporating feedback and support from people with lived experience under probation supervision. A separate survey was developed for people on probation. Client surveys focused on their perceptions of (1) what probation officers should focus on to be effective, (2) what their probation officer spends the most time on, (3) their experiences on probation, and (4) suggestions for incentives that would be most meaningful for them if SCCPD were able to offer them.

**Interviews and Focus Groups with Adults on Probation.** Santa Cruz research partners conducted twelve interviews with adults under probation supervision who were at the Probation Success Center and/or checking in for probation.<sup>17</sup> Each interview was approximately thirty minutes. The purpose of the interviews was to learn about the degree to which clients trusted and felt supported by their probation officer, and if they did not feel supported by their probation officer, to learn more about their experiences that eroded that trust or made them feel unsupported. Research

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<sup>17</sup> Interviews were conducted with three women and nine men. Seven interviewees were White, three were Hispanic/Latinx, and two were Black/African American.

partners also conducted focus groups with diverse groups of men and women in jail.<sup>18</sup> The purpose was to speak with adults who were under probation supervision and in custody for a violation to learn about what, if anything, probation could have done to support them in a way that would have helped them to be successful. Findings from these data collection activities were incorporated into a presentation that research partners presented at the probation retreat to provide context for a discussion activity centered on policy or practice recommendations that probation should consider.

**Probation Partner Retreat.** The Santa Cruz team, in partnership with Dr. Brian Lovins, facilitated an in-person retreat on November 2, 2022 that included probation staff, people with lived experience on probation, and cross-system stakeholders. The purpose of the retreat was to provide a space for probation partners and people with lived experience on probation to explore different perspectives about what probation's purpose should be, as well as policies and practices that should be in place to drive probation success.

To encourage attendance SCCPD created a Save-the-Date Flyer that was shared widely with partners prior to the event. SCCPD also asked for registration from partners planning to attend. Ninety-five people registered for the event and nearly all attended (approximately 90 people attended). People with lived experience who participated in the retreat were given \$100 gift cards as compensation for their time and expertise. Information about participants' affiliation was gathered during registration (87 people who attended provided this information):

- Probation Department (n=47)
- Adults on Probation (n=14)
- Service Providers (n=10)
- Sheriff's Office (n=2)
- Public Defender's Office (n=3)
- District Attorney's Office (n=1)
- Superior Court of Santa Cruz County (n=3, 2 judges)
- County Administration (n=2)
- Office of Education (n=2)
- Community Action Board (n=2)
- Health and Human Services (n=1)

At the retreat, Dr. Brian Lovins presented on the opportunity for probation officers to change their professional identity from a referee to coach. This resonated with probation staff and partners. Based on a post-retreat survey (n=29), a large majority (83%) thought the coaching model should be fully implemented. There were two discussion activities the retreat was centered around after Dr Lovins' presentation and participants were asked to have discussions at the tables they were assigned to. SCCPD developed a seating chart to ensure that each table included probation staff, people with lived experience, service provider staff, and other county agency staff to encourage discussions among partners. Probation officers were also prepared in advance to provide support for people on probation, as needed, and to help encourage them to share their vantage point. SCCPD spent time preparing people on probation for this experience ahead of the event, offering rides, clothing, or anything else needed to support their participation, also assigning a probation officer to check in with them throughout the event. It was shared with people on probation that their input was necessary to support positive system change and that they were not expected to tell their personal stories unless they wanted to.

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<sup>18</sup> The research team did not ask people their race in jail; based on perceived race there were approximately 40% White, 40% Hispanic/Latinx, 10% Black/African American, and 10% who were some other race. There were 12 men and 6 women who participated in the jail interviews.

*Discussion Activity #1* asked participants to describe what probation's purpose should be, who it should be for, and how long it should last. *Discussion Activity #2* asked participants to have discussions about policies, practices, or programs that should be stopped, started, refined, or grown to better align practices with a coaching model, including what would need to be done for the change to take place and measures to be in place so that changes promote race equity. After each discussion, gallery walks and report outs allowed the partners to read and discuss how each table answered the questions posed to them. Responses to the questions from the activities were the basis for the policy and practice recommendations developed by the probation codesign team.

**Recruiting New Codesign Team Members:** After the retreat, SCCPD leadership did a new round of recruitment for the 3P codesign team to allow additional staff the opportunity to engage in shared leadership and development of policy and practice recommendations. After the second round of recruitment, the codesign team more than doubled in size, from two leadership members and five probation staff members to five leadership members and 11 probation staff members.

**Development of Policy and Practice Recommendations:** Momentum from the retreat resulted in additional buy-in and participation from staff who worked together over three codesign meetings to develop 18 policy and practice recommendations based on the findings from the retreat (see Appendix C). Recommendations for centering the Department's commitment to race equity were built into policy and practice recommendations endorsed by Santa Cruz Probation leadership. Below are two of the policy and practice recommendations for implementation:

- Regularly collect, analyze, and share data with staff to identify race equity issues.
- Provide a space where 1) staff can have conversations about the intersection of race and probation work, and 2) devise, monitor, and revise strategies to address race equity issues identified in their work.

In addition to these, another recommendation to “*revisit the violation response grid to eliminate bias and use of risk level in determining sanctions*” will help eliminate the overrepresentation of Black adults among probation violations since they are disproportionately assessed at high risk (53% compared to 36% of White population and 30% of Hispanic/Latinx population based on 2019 data used in Phase I research).

The codesign team also met to discuss an implementation strategy to ensure that some policies and practices are implemented as soon as possible, while others that require more planning and partnership (e.g., revising probation terms) are worked towards over time. The strategy centers on a three pronged approach:

1. Identify practices individual POs can implement and begin doing so immediately (e.g., strength based court reporting)
2. Develop policy or practices to be vetted by leadership and/or other stakeholders to implement over time (e.g., updated terms and conditions).
3. Scale policy and practice implementation department wide.

## Strategy Implementation Successes

**The Santa Cruz Action Research Team engaged people with lived experience at all stages of strategy implementation and valued their expertise to inform policy and practice recommendations.**

People with experience on probation are intimately aware of what some of the barriers to success are and the types of challenges people face, as well as what helps support success on probation. SCCPD demonstrated their commitment to valuing the expertise of the people they supervise by ensuring they had many opportunities to provide feedback and support the design of policy and practice recommendations. Additionally, adults on probation received an incentive or some compensation for their time whenever providing input. Providing financial incentives to clients should be the norm, especially when others who are participating in research discussions are being compensated for their time. This practice demonstrates there is no expectation for clients to attend additional meetings as a volunteer, and that researchers and probation agencies value their time. Adults who completed the client survey (n=60) or who participated in an interview (n=12) received \$15 gift cards to target, and people who participated in focus groups while in custody (n=18) all received \$20 on their commissary. Adults on probation who attended the day long retreat (n=14) all received a \$100 gift card for their time.

*"[Probation should be] a place to transition to society and get back on track . . . like a support system for getting back on your feet, especially if you don't have someone . . . but that part is missing, and it has been missing. During the transition [from custody] things have never been enough."*

- Probation Client

*"Having people with lived experience involved was the best thing Probation did."*

- Retreat Participant

Probation staff and community partners agreed that having direct input from people on probation, including having them participate at the retreat was invaluable. In fact, 100% of people who responded to a post-retreat survey agreed or strongly agreed

that "people with lived experience added valuable perspective to the event." Additionally, the needs they identified (e.g., probation to help provide stabilization and support) and direct recommendations they made (e.g., making early contact, in custody and/or immediately upon release, with people on probation, and increasing the use of early termination recommendations as an incentive for compliance and positive behavior change) have been prioritized by the codesign team for implementation. This includes 1) initial implementation of the coaching supervision model, 2) connecting with adults in custody who are or will be under probation supervision upon release, and 3) a commitment to increase the use of early termination recommendations to the court. Equally as important to their valuable input was that clients felt genuine appreciation for being invited to provide their feedback in ways that were meaningful and impactful, as well as excitement learning that probation is actively seeking to improve their practices to build trust and increase engagement between POs and the people they serve.

**Forming a codesign team comprised of probation staff across levels and engaging experts in the field helped to increase buy-in and message the Department's direction.**

To promote buy-in and ensure that probation staff drive the change process, codesign teams that included probation leadership, supervisors, and staff met on an ongoing basis during strategy implementation. SCCPD sought to include a mix of staff who have been supportive and resistant to past reforms so that current champions could help bring along staff who have been more hesitant to shift supervision approaches.

As a part of the codesign process, the Santa Cruz Action Research Team also brought in experts from the field (e.g., Brian Lovins, Sarah Walker, and Veronica Cunningham) to facilitate some of the meetings. Dr. Lovins facilitated a codesign meeting and a portion of the retreat, identifying challenges with the traditional compliance-based supervision approach and sharing an overview of the coaching model, while also highlighting on the ground success stories of incentive-based and assistance-oriented supervision models. Dr. Sarah Walker, Director of the CoLab at the University of Washington, is an expert in codesign and leader in the field who focuses on evidence translation and knowledge exchange to improve system and policymaking, especially in behavioral health. Dr. Walker presented on codesign, focusing on how it can be used effectively to successfully implement new policy and practices within the Department. Finally, Veronica Cunningham, a former probation chief and Executive Director of the APPA, underscored the importance of inclusion and engaging individuals with lived experience during the retreat. This was an important message for probation officers in Santa Cruz and system partners to hear from a national leader in probation. Utilizing the codesign approach and bringing in experts from the field helped to cultivate buy-in and leadership in the organizational change effort.

***Early and consistent involvement of multiple stakeholders has helped to provide system-wide support for proposed changes to probation policy and practice.***

SCCPD engaged system stakeholders early on and consistently to ensure they were aware of the work the Department was doing through the RRC and able to participate in it. There were many ways partners engaged in the work. The Santa Cruz Action Research Team worked with the Sheriff's Office to gain access to the jail, and the Sheriff's Office staff also helped to identify people who were in custody on a probation violation so that we were able to conduct focus groups with them in custody. The Action Research Team also worked with substance use service providers who collected information from the people they serve to get a better understanding of their most recent interactions with their PO; the extent to which they felt supported by their PO; what kind of support they would like from their PO and what they think the purpose of probation should be; and finally, whether they had ever had a warrant for not making contact with their PO, and if so, what their reason for not making contact was. We also spoke with attorneys from the Public Defender's Office to understand what, from their perspective, are the biggest challenges for people on probation, and what can be done to reduce violations. Working with partners to obtain context from varying perspectives both helped to inform the retreat content and promote it.

One of the greatest implementation successes was bringing representatives from many agencies including but not limited to the Sheriff's Office, District Attorney's Office, Public Defender's Office, the Santa Cruz County Superior Court, County Office of Education, Health and Human Services, County Administration, and various service providing agencies to the retreat. This allowed everyone to learn about the direction of the Probation Department and provide their perspective on what probation's purpose should be, and policies and practices that should be in place to promote the success of adults placed on probation in Santa Cruz County. Many retreat participants expressed that having so many agencies represented at the retreat was very valuable because everyone came together for the same purpose -- to discuss how to advance probation practice to promote success for adults on probation -- and everyone was able to share their perspective and be heard by a broad stakeholder group. The meeting

*"I loved being able to speak to our criminal justice partners directly and get input from someone who has had experience [on probation]. We had great conversations that I believe really influence the judge at our table . . . it was great to not have a bureaucratic barrier and to have real conversations."*

*– Retreat Participant*



also broke down bureaucratic barriers and allowed partners, and especially people with lived experience, the opportunity to have candid and constructive conversations with one another.

***The Santa Cruz Probation Department's leadership team has demonstrated their commitment to shifting organizational culture and supporting staff to implement new practices that are in alignment with an assistance-oriented supervision approach.***

Santa Cruz County Probation leadership demonstrated that RRC strategy implementation is a high priority by including the entire adult division leadership team on project calls (shifting from every two weeks to monthly depending on the intensity of the implementation stage) and making calls ninety minutes long to allow time for project updates and planning, and to also use the meetings as working meetings. The RRC strategies were also embedded within the department and county-wide strategic plan so that the goals and objectives of each are all in alignment with one another. For example, equity is also being highlighted in requirements and scoring for recent and future Request for Proposals (RFP) as part of the competitive County bidding process for service agreements. Elements include how organizations support diversity and responsiveness, as well as increasing equitable access by requiring a plan for expanding some direct service hours to the evenings and weekends.

*"At a recent codesign team meeting, I made a commitment, along with the other managers, that we will get back to staff within a week after their submission of ideas that align with and support the 18 areas."*

*– Chief of Probation*

Santa Cruz leadership attended codesign meetings that were open to all feedback from staff, and they provided guidance and space for staff to try different approaches. There was, in fact, no recommendation made that the leadership team did not support, and leadership pushed staff to think outside of the box so that policy and practice recommendations are innovative and not bound

by previous or current practices. For instance, some probation officers who are case managers in the pilot (described in greater detail below) are now offering incentives for people who choose to voluntarily drug test whether the test is positive or negative. The POs goals are to build trust and increase engagement with this practice. In addition, the Department started a Monthly Data Blast in June, incorporating success stories and/or officer spotlights to lift staff who are embracing the coaching model and supporting client success. Managers also worked with POs to help recruit for different qualitative data collection activities and checked in with them to provide guidance around how they can help prep clients for the retreat and debrief with them.

During Phase II of the RRC, SCCPD also went through hiring for managers and line staff. Leadership updated the hiring announcements with language regarding equity and alignment with an assistance-oriented approach, and as part of a revised interview process, candidates were asked to speak about their views on the role of probation and their experience with any efforts or initiatives to implement assistance-oriented practices and policies. During the interview, SCCPD's efforts to adopt and engrain an assistance-oriented approach are discussed and candidates are encouraged to be part of this shift. For example, the interview for supervisors includes the following questions:

*"I have incorporated the important "WHY" question in my conversations with staff who I am considering hiring. I want to know why they want to assist clients and how they plan to do that."*

*– Chief of Probation*

- What does it mean to "center equity" in probation practices? Tell us how you would work with staff to provide equitable opportunities for the success of those we serve?

- The practice of probation is evolving, and change can be challenging to many - which sometimes reflects staff aren't aligned with equitable and data driven practices and results in disparate responses, revocations and/or custody recommendations. What information would you need and how would you lead staff to align their responses, decisions, and actions to achieve equitable practices and positive outcomes?

Staff applying for the position highlighted the importance of using data to identify disparities, and to focus resources on populations or individuals in need of additional or different types of supports to keep them engaged with probation and on track to complete successfully. Some noted the significance of the South County Success Center to ensure that people located outside of the City of Santa Cruz have access to valuable resources, while others also highlighted the importance of addressing language barriers for clients who are monolingual Spanish speakers to ensure they understand probation expectations and have an opportunity to engage with services as needed.

Finally, in June of 2023 Chief Giraldo conducted final interviews for an Assistant Division Director position, and each of them referenced their knowledge and support for the Department's implementation of the coaching model. This demonstrates the expectation that has been generated for this shift in supervision approach in Santa Cruz County, and the commitment leadership has made to bring staff in who are aligned with the approach.

***Convening a codesign team that meets regularly has resulted in the initial implementation of new policies and practices and an opportunity to continue moving the work forward.***

Phase I research demonstrated that technical probation violations were most commonly filed because people were not reporting to probation. Based on interviews with adults on probation, the most common reason for not reporting was fear of being placed in jail when they were not in compliance with all probation terms and conditions, especially terms related to substance use and programming. In response, SCCPD has centered policy and practice changes around strategies to increase trust and engagement between POs and clients. To that end, with buy-in from staff and system partners, SCCPD is collaborating with Justice System Partners to implement the coaching supervision model. In April 2023, two supervisors from the Adult Division and one supervisor from the Juvenile Division enrolled in a coaching network facilitated by Justice System Partners, working with peers from other states in a four month program to learn to implement the model. After supervisors are trained, all adult and juvenile probation officers will be trained (likely through Justice System Partners with support from supervisors who receive training) to implement the coaching model. This will help to concretize the model as the approach all POs are expected to use and provide staff with the necessary training and tools to assist clients while limiting monitoring activities and punitive responses to client behavior to the greatest extent possible. Chief Giraldo, in partnership with Dr. Brian Lovins, have also had opportunities to influence the field more broadly by delivering a presentation to promote the coaching model to over one hundred judges across the state of California to members of the California Juvenile Law Institute.

In addition to initial implementation of the coaching model, SCCPD utilized findings from Phase I of the RRC to apply for and receive funding through the Board of State and Community Corrections (BSCC) Mobile Probation Service Centers Grant Program to establish the Santa Cruz County Mobile Success Center (MSC). The aim of the MSC is to assist unhoused individuals struggling to meet their supervision terms. The MSC will serve approximately 300 individuals where they reside by providing 1) access to legal services, 2) support obtaining housing and other resources to promote their health and wellbeing, and 3) assistance meeting their terms of probation. A key goal is to increase probation accessibility in different locations of the county, thereby reducing how often clients must travel a longer distance to meet with probation. The MSC

is alignment with SCCPD's effort, in partnership with the Public Defender's Office and District Attorney's Office, to reduce the number of warrants currently on the books and the prevention of new warrants.

Probation staff have also updated a presentation called *How to be Successful on Supervision* that they began to deliver monthly in August 2023 to adults in custody who are going to be supervised by probation when they are released. The development of this pre-jail release presentation was based on the fact that individuals often fail to connect or report to probation based on myths or misunderstandings about probation expectations. With better information and pre-release contact with probation, greater engagement and fewer violations should occur. At the writing of this report, codesign team members are also reviewing their caseloads to identify cases to recommend for early termination; establishing criteria and expectations for early termination recommendations; and working with leadership to engage in discussions with judges to reinstate the routine use of early termination as a motivation for success. Leadership intends to hold these meetings with judges in 2023. Other policy and practice changes that require additional planning and cross-system partnership that the codesign team will begin working on in the second half of 2023 and 2024 include, but are not limited to, reviewing and eliminating the use of risk to determine responses to noncompliance and engaging judges with a goal to reduce the standard number of probation terms and conditions and change the wording of them so that they are aligned with a coaching model and allow for POs to create individualized success plans for the people they supervise.

*"I am offering regular opportunities for staff to share ideas and build leadership skills within their roles - with a particular emphasis on peer leadership at the line level. I support the beginning of the conversation, then invite staff to continue the discussions and planning on their own - circling back for feedback, coaching, and implementation approval."*

*- Adult Division Director*

### Strategy Implementation Challenges

***While a majority of probation staff and system partners are bought in to SCCPD's organizational culture shift and implementation of aligned policy and practices, managing resistance to change remains a challenge.***

Within the Department, most staff are excited to implement new approaches to better support adults under their supervision. However, there remain some staff that have demonstrated resistance to change; this can have trickle down effects, especially for new staff or staff who have been on the fence about some of the policy or practice recommendations developed by the codesign team. SCCPD understands that communication during organizational transition is key. In fact, managing the psychological transitions of people impacted by policy and practice changes may be more difficult than the set of tasks associated with operational system changes. Leadership recognizes there may be a sense of anxiety as culture and practices begin to shift. To manage resistance to change, SCCPD leadership intends to:

- Discourage denigration of past practices, and help to position the past as a positive legacy that paved the way for what's new;
- Communicate clear expectations for the transition;
- Provide frequent and direct communication to all levels of the organization;
- Repeat messages often, through multiple mediums, and with sensitivity; and
- Measure and celebrate successes as change takes hold.



***Culture change within the Probation Department and among system partners moves slowly and requires patience.***

America's justice system has long functioned to disenfranchise people and exacerbate inequalities across race and socioeconomic status. Probation has functioned as an arm of the court and supervision has traditionally been compliance oriented, based on monitoring people more so than providing them with assistance to promote their well-being and public safety. Within this landscape, SCCPD has been a national leader helping to advance local policy and practices in alignment with evidence-based and best practices to reduce the justice system's reach while prioritizing public safety. In 1999, for instance, SCC became a model site for the Annie E. Casey Foundation's Juvenile Detention Alternatives Initiative (JDAI), which has since been replicated nationwide, saving millions of dollars and resulting in dramatic reductions to unnecessary youth incarceration. In 2010, SCCPD partnered with the National Institute of Justice on the Research Practitioner Project to conduct research on the use of risk assessments and probation violation structured decision decision-making grids. And in 2017, SCC participated in California Forward's Justice System Change Initiative to assist counties in implementing data-driven strategies that address new and longstanding justice system challenges. These are just a few of the initiatives that reflect the Department's culture that is ripe for moving the needle and advancing practice to support the success of people under their supervision.

Despite SCCPD being positioned to continue to move culture and practice to an assistance orientation, large shifts in culture do not happen immediately. Some policies and practices that are not aligned with an assistance oriented probation approach (e.g., compliance checks in the community or one's home) have been in place for years and take coordination, collaboration, and time to eliminate or modify. Other policies and practices are related to evidence-based practices that staff have been trained in, but now need refinements (e.g., utilization of risk and needs assessments). Within this environment, the Probation Department must continue to work internally and with system partners to help educate and provide research that supports Probation's urgency to move more towards a coaching model rooted in assistance and support.

As noted above, one goal probation is committed to work on in partnership with the courts is to revisit and reduce the number and orientation of supervision conditions adults on probation are ordered to follow (e.g., moving from "Totally abstain from . . . controlled substances and marijuana" to something more flexible such as "Do not use controlled substances as you work towards sobriety and be sure to attend your scheduled meetings with your probation officer if you relapse and use a controlled substance that you should not have"). Rather than individualized case plans which involve and motivate clients to be the primary driver of the probation process, compliance monitoring of excessive and often irrelevant, "one size fits all" probation terms become the primary focus. In addition to being excessive and sometimes irrelevant, terms and conditions are not revisited often and there is reluctance from judges to make large scale changes. Probation must work with judges and other system partners such as the District Attorney and Public Defender's Office to demonstrate how reducing the number and changing the orientation of terms will allow POs greater agency to work individually with the clients they supervise to support their needs, increase engagement, and help them have success on probation.

### ***Data limitations make tracking outcomes among adults on probation challenging.***

During Phase I of the RRC, the Santa Cruz Action Research Team learned that the court could not systematically extract data on revocations that were the result of formal violation petitions filed with the court, particularly for those violations that were the result of a technical violation only. SCCPD is targeting reductions in these types of revocations specifically as part of the Phase II work, so monitoring outcomes for policy and practice changes is challenging.

To ensure they are able track outcomes, SCCPD convened a data workgroup who helped design a violation event to be entered in their electronic case management system after any formal violation is adjudicated. The violation event includes:

- Arraignment date
- Sentencing date
- Name of PO alleging violation
- Basis for the violation (e.g., felony, misdemeanor, technical violation, or new infraction)
- Alleged technical reasons
- Violation outcome
- Probation status (reinstated or terminated)
- Custody time imposed
- Pre-hearing custody time served
- Indicator of whether terms were modified (added or deleted)
- New probation expiration date (if applicable)
- Indicator of whether court's decision was the same as the recommendation, less punitive or more punitive (i.e., more days in custody or prison instead of jail)

The workgroup also supported the development of a process to internally capture information on all violations that have been adjudicated. Below is a summary of the process.

- Court sends Probation a weekly report of all adults on probation (other than adults under post release community supervision) who had bench warrants or formal violations filed. Supervisors for PRCS caseloads identify all bench warrants or formal violations filed for the PRCS population weekly.
- For everyone with a bench warrant or formal violation filed, Santa Cruz leadership compiles a log that includes each person's name, P-Number (unique ID), filing date, case number, and an indicator of whether a violation event has been entered in the Department's case management system.
- POs are expected to review all cases for which a bench warrants or formal violations have been filed on a monthly basis and to enter a violation event for all that have been resolved.
- On a quarterly basis, probation leadership works with supervisors and line staff to ensure all violation events have been entered for cases that have been resolved.

This process SCCPD has put in place can work, however it relies on staff data entry that will be difficult to sustain and a lot of time spent by leadership compiling violation reports from the court and supporting quality assurance on an ongoing basis to ensure data entry is complete. SCCPD plans to work with the court to explore the possibility of developing a report that can produce case level data for all formal violations filed and resolved in Santa Cruz County. This will support data driven decision making for the County and ensure the Department can measure outcomes moving forward.

# Incentive Based Case Management Pilot for Individuals with Substance Use Terms

## Overview of Incentive Based Case Management Pilot for Individuals with Substance Use Terms

Drug testing decreased drastically during the COVID19 pandemic in Santa Cruz County, and SCCPD leadership does not want to see drug testing rates return to pre-pandemic levels. Drug testing is one of the main reasons clients do not show up to meetings with probation because they fear being placed in jail if they test positive. The objective of the pilot is to develop a safe environment for adults on probation with substance use terms where they are not afraid to report to probation because of addiction issues so that they are able to develop trusting relationships with their probation officers. The pilot functions as an extension of a harm reduction model with an understanding of substance use rehabilitation as an ongoing process, not penalizing relapse while incentivizing progress and engagement with probation. Within this environment, it is SCCPD's hope that clients will engage with their probation officers even when they are struggling to comply with all the terms and conditions of probation.

### **Below is an overview of pilot policy and practices.**

- POs co-develop individualized success plans with clients. Success plans include one or more goals clients would like to achieve while on probation. Success plans do not need to be based on clients' probation terms and conditions.
- Individualized success plans include 3, 6, 12, and 18-month milestones for which clients receive an agreed upon incentive upon achievement.
- Incentives are individualized and determined with clients. They may include gift cards, letters of support to obtain employment, and recommendations for early termination, among other options.
- Clients are not asked to provide mandatory drug/alcohol tests as part of routine office visits unless there is a clear and present danger to the safety of self or others based on visible signs of being under the influence. Clients may voluntarily ask to be drug tested at any time to demonstrate their sobriety.
- Probation officers will not file a formal violation in court solely based on a positive drug test/self-admit for using prohibited drugs or alcohol.
- Probation will work with clients who leave court ordered programming and explore all alternatives prior to filing a formal violation in court, provided that clients report as soon as possible to probation to avoid a warrant and keep weekly contact until the matter is resolved.
- If clients are arrested for a low-level drug or alcohol offense, probation will continue to work with them to address their behavior prior to filing a formal violation. Not all new offenses require the filing of a formal violation; however, a review or modification in court may be pursued to support progress.

### **Pilot Implementation Overview**

**Planning Prior to Convening the Pilot Codesign Team:** The Santa Cruz Action Research Team identified two Assistant Adult Division Directors (ADD's) to help organize the Incentive Based Case Management pilot codesign team. Prior to convening the codesign team the Assistant ADD's met with the research team to brainstorm ideas for what the pilot could look like and what the structure of the codesign meetings would be. During these meetings, the Assistant ADD's also reviewed drug testing data that provided context about the amount of testing that occurred from 2019

through 2021. The data demonstrated that drug testing dropped drastically during COVID, from 2,322 drug tests in 2019, to 640 in 2020, and 337 in 2021 (there were 370 drug tests administered in 2022). Approximately 60% of tests resulted in a positive drug test (57% in 2019, 64% in 2020, and 61% in 2021) across the three years. Among positive tests, 58% were for marijuana use only. While marijuana is legal to consume in California, it is still considered a violation of probation terms. These data were used to demonstrate how environmental changes affected probation practice. Probation leadership emphasized that they do not want to see drug testing rates return to pre-pandemic levels because it is costly for the Department and one of the main reasons some clients do not show up to meetings with probation -- because they think that if they test positive, they are likely to be placed back in jail.

**Convening the Pilot Codesign Team:** Eight probation officers representing a variety of client caseloads (e.g., general supervision, PRCS, specialized/intensive) and the Peer Navigation Lead,<sup>19</sup> whose job was to oversee and bring in Peer Navigators, were recruited to join the codesign team. The pilot codesign team kickoff meeting was facilitated by the research consulting team. The meeting began with committee members responding to the prompt, “As an organization, and as individual probation officers, what do you want to accomplish with people who have substance use disorders?” Almost everyone highlighted goals aimed towards increasing the types and quality of support they and the County provide for these individuals to help them successfully overcome addiction and complete probation. This prompt helped to center everyone around the values they bring to the work and some of the goals of the pilot. After the kickoff discussion, the research team provided an overview of Phase I findings to help demonstrate why the Department chose to implement the pilot. Then the pilot codesign team reviewed the drug testing data described above and discussed maintaining lower levels of drug testing.

Finally, the group had a discussion centered around the following questions:

- What was interesting or surprising about the data we reviewed? Were there any takeaways?
- Do you see a need to go back to more drug testing? Why or why not?
- How do you determine when to drug test?
- What do you do when you get a positive drug test? What do you do when you get a negative test?
- What could we do to sustain reductions and further reduce technical and/or other probation violations for individuals with drug testing terms (including positive drug tests, absconding)?

This discussion served as a jumping off point for future codesign meetings and pilot development.

**Ongoing Codesign Team Meetings:** At subsequent codesign meetings, the initial focus was on generating buy-in for why the pilot was needed and the codesign method, and then the focus shifted to developing the parameters of the pilot. With support from the Santa Cruz team, Dr. Sarah Walker who is an expert in codesign co-facilitated a meeting to describe some of the key elements of a codesign process, highlighting that they typically yield products that are more valued and enduring because participants' involvement results in buy-in and sustainability of developed innovations. At the meeting with Dr. Walker, the team completed an exercise to identify some of the key concepts codesign team members had interest in learning more about

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<sup>19</sup> Peer Navigators assist probation clients at the Probation Service Center (PSC) with accessing services in the community. Peer Navigators provide a client-centered approach to accessing and participating in services; they also provide peer support, mentoring, and motivation to support people under probation supervision to engage with and complete services.

as pilot development evolved (e.g., harm reduction treatment approaches that are not abstinence only, Medically Assisted Treatment, behavior change models/best practices). The CoLab then conducted a rapid evidence review of reducing revocations and sanctions in adult probation for drug-related offenses. The review suggested that individual jurisdictions: 1) should be thoughtful about increasing the perceived voluntariness of treatment options, 2) increase the use of rewards over sanctions, and 3) provide the least restrictive treatment option proportionate to the client's level of harm to others (see Appendix D for reference to full Rapid Evidence Review).

The pilot codesign team also attended the 3P codesign meeting described earlier that was facilitated by Dr. Brian Lovins. The meeting ended with an activity where small groups answered the following questions:

- What policies and practices would support a framework for using drug testing (or not) to increase client engagement and reduce warrants and punitive sanctions?
- What policies and practices would support a framework for using incentives to increase client engagement and reduce warrants and punitive sanctions?
- What policies and practices would support a framework for using drug testing (or not) to increase client engagement and reduce warrants and punitive sanctions?

We used suggestions from these discussions as a starting point for developing the framework of the pilot, and during subsequent meetings the codesign team, with facilitation support from the research consultant team, worked to define the drug testing, incentive, and violation structure of the pilot that was approved by the leadership team. The pilot implementation team, described below, used the framework developed by the codesign team to finalize the pilot model.

**Forming the Pilot Implementation Team and Finalizing the Model:** Three POs representing a diverse set of caseloads were recruited by SCCPD leadership to implement the pilot.

- South County General Supervision Caseload
- All County General Supervision Caseload
- North County PRCS Caseload

In addition to the POs who would be directly supervising clients in the pilot, the pilot implementation team included two supervisors (one for general supervision caseloads and another for the PRCS caseload) and the Adult Division Director. This group used the framework developed by the codesign team to finalize the parameters of the pilot and develop pilot documentation. The process of finalizing the model and developing documentation took several months, and pilot implementation began in January 2023. An overview of the pilot model is described below.

### **Pilot Recruitment and Race Equity**

Beginning in January 2023, the three pilot POs began recruiting clients from their caseloads who had terms related to substance use or programming into the pilot. Each PO sought to recruit up to five clients into the pilot each month (more information on the number of people in the pilot, and their demographic characteristics are included in the next section).

Because the pilot seeks to reduce probation violations among individuals with substance use terms--and a larger proportion of White individuals (approximately 82% of White individuals with probation term data available) than Hispanic/Latinx (approximately 74% of Hispanic/Latinx with probation term data available) and Black/African American (approximately 78% of Black/African American individuals with probation term data available) individuals have substance use terms -- this strategy could reduce violations for all but increase racial disparities in violation rates if SCCPD

Hispanic/Latinx and Black/African American adults were not appropriately represented in the pilot. To account for this, during the pilot planning phase, the Action Research Team reviewed the demographics of the caseloads that would be included in the pilot. The analysis found that the pilot caseloads had greater representation of Black/African American and Hispanic/Latinx adults than the overall probation population, and that among pilot caseloads a greater proportion of Black/African American and Hispanic/Latinx adults had alcohol or drug terms than White adults. This suggested that implementing the pilot with these caseloads would help to ensure that Black/African American and Hispanic/Latinx adults were represented. In addition, SCCPD leadership has communicated expectations for the pilot to have at least as many Hispanic/Latinx adults as White adults, and for Black/African American adults to be overrepresented to help ensure that the pilot does not increase disparities in violation rates by underrepresenting these groups.

**Focus Groups with Pilot POs and Clients in the Pilot**

The research team conducted one focus group remotely with the POs implementing the pilot, as well as one remote interview with the supervisor overseeing the pilot to learn about how pilot implementation was going, including the successes and challenges they have experienced during early implementation. The research team also conducted focus groups with 13 pilot participants – five at the South County Success Center and eight at the North County Success Center – to learn about their experiences in the pilot, including what they understand the pilot to be, the extent to which they trust their PO, and how, if at all, the pilot felt different to prior experiences on probation. Probation Officers supported recruitment for focus groups, and all clients received \$40 gift cards to Target for their participation.

**Pilot Implementation**

As of July 31, 2023, there were 34 adults who had entered the Incentive Based Case Management Pilot, having reviewed the policies and practices with their probation officer. These individuals, on average, had been in the pilot for 104 days (minimum 19 days and maximum 209 days). Twenty-nine (85%) had worked with their probation officer to co-develop individualized success plans and review them during monthly check-ins. Probation officers had updated 8 client success plans based on progress made and/or discussions with their client.

Table 4 below shows the demographic and case characteristics of people in the pilot.

**Table 4. Demographic and Case Characteristics of Adults in Pilot**

Demographic and Case Characteristics	Adults in the Pilot January – July 2023	
Race/Ethnicity	N	%
White	10	29%
Hispanic/Latinx	16	47%
African American/Black	5	15%
Other or Unknown	3	9%
Gender		
Male	29	85%



Demographic and Case Characteristics	Adults in the Pilot January – July 2023	
Female	5	15%
<b>Age</b>		
18-25	4	12%
26-35	13	38%
36-45	12	35%
46-55	3	9%
Over 55	2	6%
<b>Risk</b>		
High	18	53%
Moderate	11	32%
Low	4	12%
Missing	1	3%
<b>Case Type</b>		
Formal Supervision	19	56%
PRCS	15	44%
Mandatory Supervision	--	--

### ***Incentives and Formal Violations***

Incentives are typically offered when a client has completed a goal they identified in their success plan, or demonstrated positive behavior change (e.g., successfully completing residential treatment or completing steps, such as submitting job applications, or gaining employment). This may include regular reporting, especially for people who are unhoused and/or have other challenges or a history of not reporting. Through July 31, 2023, 25 of 34 adults in the pilot had received at least one financial incentive. Three clients had earned an internal or administrative reduction in supervision, and one client received public recognition of their success. In this case, their PO, with consent, posted a story of their achievements on the success board at one of the Probation Success Centers.

Three clients (9% of pilot participants) have had a bench warrant or formal violation filed with the court. The reasons for these are for 1) absconding, 2) possessing drugs for sale and contributing to the delinquency of a minor, and 3) new gun related charges. While very early in pilot implementation, it is encouraging that 9% of pilot participants had formal violations filed, compared to 22% of adults on probation (from October 1, 2022 - June 30, 2023), especially given the fact that a majority of people in the pilot have a long history on probation (juvenile and adult), with over half assessed at high risk for recidivism and 44% under PRCS.



## Pilot Implementation Successes

*“When you try to change yourself and you try to change what you have done for so long it’s awkward and things come up. You need to be able to call someone and say what is going on and not have fear of going to jail. . . . This pilot takes away the fear of going back to jail [for drug use]. That one fear would start a snowball effect for me . . . . But with this pilot it is night and day. There is someone there advocating for me not just waiting there to bust me.”*

- Pilot Participant

**Clients we spoke with expressed that the pilot is different from probation in the past; removing mandatory drug testing and incentivizing engagement, even when clients are struggling with relapse, has removed their fear of probation and allowed clients to develop trust with their PO.**

Uniformly across the two focus groups with clients, participants were emphatic that the pilot is different than probation in the past. Nearly every participant had prior experience with adult and/or juvenile probation, and those that did all spoke about how voluntary vs mandatory drug testing was a major departure from past practice. Some even expressed having a hard time trusting the policy at first, feeling that it might be a trick. They described previous experiences coming to the probation department as a traumatic process during which they always felt like they could be placed in custody, particularly if they were struggling with ongoing substance use.

*“I can honestly say that [my PO] is really trying to help. We have set up a plan for success and he has told me about the incentives program, and it has been extremely helpful . . . . I can be honest with him. Any time I told a PO before that I had used I’ve been told to come in and test and we’ll deal with it. Then I would wind up getting incarcerated. That happened once or twice and then I just stopped reporting. No one wants to get locked up for being honest.”*

- Pilot Participant

With time in the pilot, the fear of probation for clients we spoke with has dissipated. Because clients are not mandated to drug test; they may do so voluntarily; and they will not be placed in custody if they test positive, clients in the pilot are not afraid to show up for probation appointments. As a result, they have developed relationships with their probation officers who they now trust have their best interests in mind and are there to support them. Clients suggested that they can reach out to their probation officer, even when they are struggling with relapse, and they know that their probation officer will try to help them. They do not fear that their probation officer will place them in jail if they are honest about their struggles with drug use.

*“I relapsed the first week [in the pilot] and came straight to [my PO]. I was afraid I would get violated but she didn’t violate me. I have been clean ever since. I used to feel like I was trying to run from probation and not get caught when I was struggling . . . . it was like catch me if you can . . . . Now it feels like you can run to your probation officer when you need help.”*

- Pilot Participant

**Increased trust has resulted in pilot participants reporting to probation even when they are struggling with substance use or to achieve goals identified in their success plan.**

Probation officers implementing the pilot expressed that in addition to removing mandatory drug testing, the process of reviewing pilot policies with their clients and offering incentives for developing success plans together has also helped to build trust and ongoing engagement. As the clients in the pilot described, the policies help demonstrate to them that their probation officer's goal is to support them, and that their probation officer will work with them to avoid filing a formal violation if they are struggling to comply with terms of their probation if they remain in contact. Over time, clients gain experience working with their probation officer and see that they are asking how they can help, offering resources, and not placing them in custody for violating technical terms of probation if they continue to show up.

*"I reach out to ask if they are working on goals . . . . Some have worked on their goals, and some haven't. One [of my clients] had a history of not checking in. That person is reporting and that is a big difference and a step forward."*

*- Probation Officer*

*"One client made a trek [to my office in South County] from Santa Cruz and he was open and honest. He said I think I will test dirty but he chose to provide a voluntary test and it was positive. I provided a gift card because he made the trek. Him making the good faith effort to come to my office. That was huge for me."*

Some POs have offered incentives to clients for taking voluntary drug tests regardless of the outcome to help build client engagement, which is one of the main objectives of the pilot. These practices have resulted in participants, many with a history of lacking engagement with probation, showing up regularly for appointments, even when they are struggling to maintain sobriety and achieve the goals in their success plan. This is precisely the type of change the pilot is seeking to create.

**Probation officers in the pilot collaborate to discuss cases and seek alternatives to filing bench warrants or formal violations when clients are struggling with substance use or not checking in.**

SCCPD leadership and the codesign team are encouraging all probation officers, not just those supervising people in the pilot, to exhaust all alternatives to filing bench warrants or formal violations if people on their caseloads are out of compliance with probation terms, but do not pose a threat to public safety. Probation officers in the pilot are doing just that. During pilot implementation meetings, one of the standing agenda items is to discuss challenging cases, including those where they are unable to contact their client. Probation officers and supervisors use this time to brainstorm how they might respond to certain forms of noncompliance and discuss how their responses can be used as opportunities to build trust with their clients, working with them to support their growth and drive probation success.

Probation officers note that when clients do not show up for appointments, they contact service providers and their clients' natural supports, including family members, to help re-engage them. In one pilot implementation meeting, a probation officer who was struggling to connect with a client discussed reaching out to all the supports he had contact information for, including his client's grandmother, to relay the same message to family members that they had reviewed with their client when entering the pilot— that they want to help them succeed and will not file a bench warrant or violation if they make contact, even if they are using drugs (assuming no new crimes have been committed). Providing this message to service providers and other natural supports ensures that people who may make contact with clients can encourage them to connect with probation and reassure them they will not go to jail for drug use or a missed appointment if they check-in with their probation officer.

*"It's hard to get them to achieve their goals, or even come back in when they go on a binge and forget . . . I reach out in a multitude of ways, just to get them back and let them know what is going on and make them feel comfortable they will not be violated for using drugs."*

*– Probation Officer*

### **Pilot Implementation Challenges**

***Probation officers are trained to be an arm of the court and monitor compliance to probation terms and conditions; as a result, there are adaptive challenges for POs being asked to shift to an assistance-orientated supervision approach to support client success, including exhausting all alternatives before filing formal violations.***

While strides have been made to shift the supervision approach of the probation field, and many probation officers in Santa Cruz County embrace an assistance-oriented supervision approach, adaptive challenges remain that require probation officers in the pilot (and beyond) to confront the status quo and change their behaviors, practices, and ways of working they have been trained on in the past. The pilot challenges probation officers to do things differently and focus on rapport building with their clients by co-developing individualized success plans and supporting them in reaching those goals- - not compliance monitoring. It relies primarily on clients' voluntary drug testing to demonstrate sobriety rather than regular drug testing to monitor drug use, as well as implementation of success plans to help clients achieve their goals rather than monitoring their compliance to a litany of terms.

Despite initial pilot implementation team meetings where probation officers and supervisors suggested that the pilot resembled the supervision approach already in place in Santa Cruz, when working together to finalize pilot policies some officers initially suggested that they should not include people who had committed violent offenses. There were also questions about including people who had been assessed at high risk for recidivism. It took several discussions with the team and guidance from SCCPD leadership to encourage them to include people who have previously committed violent offenses, as well as individuals assessed as high risk for recidivism, in the pilot. The group agreed that rather than excluding any group, they would discuss cases where they had questions about eligibility based on specific case circumstances (e.g., someone with a history of domestic violence while using substances, who is living with a partner they have previously been violent towards).

In addition, case management in the pilot looks different on the ground depending on how bought in each PO and supervisor is to the model. Not all POs are comfortable shifting from their traditional compliance-orientation. As a result, they are spending less time introducing new clients to the pilot in initial meetings with them, and more time reviewing terms and conditions and

ensuring they are following court orders. As the Department continues to scale the pilot, it is imperative to choose probation officers and supervisors who are dedicated to the intended pilot supervision approach, and who have the skillset to apply motivational interviewing and strength-based case management approaches so that they can share successes while the Department seeks to scale the assistance-oriented supervision approach department wide.

***Perceived court expectations and excessive probation terms make it challenging for probation officers to utilize individualized success plans and focus on coaching rather than monitoring compliance.***

Compliance monitoring of excessive probation terms is an obstacle for probation officers in the pilot (and beyond) who are seeking to engage with clients and minimize their use of punitive responses to noncompliance. For instance, because probation terms mandate certain individuals to enter and complete substance use treatment or to totally abstain from use or possession of drugs or alcohol, some clients may be afraid to report to probation under certain circumstances, even after reviewing pilot policies and practices with their probation officer. Additionally, probation officers are in a difficult position working with individuals who have probation terms they are not in compliance with because of their drug addiction yet are not threats to public safety. In these instances, probation officers eventually may feel compelled to report a violation to the court, especially in instances where completion of specific treatment is cited, despite this not being the most fruitful action to support their recovery.

## Summary and Discussion

Probation began as an alternative to jail, and a service dedicated to assisting and supporting change. Over the past 40 years the focus shifted to monitoring compliance to a set of probation rules that are often standardized and that, if broken, result in punishment and jail. The growing reliance of jail and prison as an outcome of probation has disproportionately impacted people of color who are overrepresented on probation, in jail, and in prison as compared to White individuals. These negative outcomes have persisted despite the implementation of evidence base programs and tools designed to assess risk, needs, and responsivity.

Probation practice is heavily influenced by culture. Tools, techniques, and training are important, but they are heavily influenced, or worse, overridden by a culture that that rejects them. The duality of probation approaches rooted in both control and compliance vs support and assistance has led to role confusion and variance in individual probation officers' philosophy and approaches that can be seen, not only across jurisdictions, but across probation cubicles within a single jurisdiction.

The findings in the RRC show that the national challenges affecting probation's efficacy are relevant in Santa Cruz as well. At its core, the findings from Phase I spoke to the importance of addressing probation's purpose and overall culture:

- Probation officers' approaches and philosophies varied, therefore their practices varied.
- Clients described very different experiences on probation based on their probation officer – some felt supported and thought of their POs as a resource, while others felt their probation officer was “out to get them,” and simply focused on monitoring or finding fault.
- Revocation data showed that court conditions mattered particularly for individuals with drug testing terms, who had much higher rates of violations, mostly for failing to keep in contact.

Phase I findings led to the implementation of strategies with the following premises:

1. Advancing a probation culture that supports revocation reduction and probation success must start with a reexamination of purposes and practice. To do this, Santa Cruz:
  - a. Created dedicated space to build consensus about probation's purpose, approach, and practice.
  - b. Established a shared implementation process to codesign and implement practice change.
  - c. Involved probation officers and system stakeholders, including individuals with lived experience, throughout the process.
  
2. Revocation reduction strategies should focus on individuals who are vulnerable to probation violations based on needs, starting with individuals with drug testing terms due to substance use or abuse. Strategies included:
  - a. Piloting a new probation approach to address disengagement and to build trusting relationships between probation officers and individuals on probation.
  - b. Shifting the probation approach to motivate behavior change through incentives and rewards rather than sanctions and punishment.
  - c. Engaging pilot staff through codesign in developing strength-based approaches including success plans and an incentives model.
  - d. Collecting data to evaluate efficacy of the pilot in reducing revocations and engaging staff in positive behavior change.
  - e. Applying an equity approach to ensure that Black and Hispanic/Latinx populations are highly represented in the pilot.

### **A Work in Progress**

The premises and strategies described in this report began to take root during Phase II of the RRC. The probation retreat resulted in a strong consensus that probation officers should conduct themselves as coaches to facilitate and support positive growth and success. This, in and of itself, was an important outcome of the retreat. Involving individuals currently on probation was also a huge success as measured by the retreat evaluations. SCCPD, with leadership from line probation officers, were key to this success in that they helped identify, prepare, and support individuals to meaningfully engage in the retreat as equal partners without stigmatizing, marginalizing, or tokenizing their participation.

Concrete suggestions were made on practice and systemic changes that could improve probation outcomes at the retreat. These suggestions, coming from justice stakeholders (judges, defense and prosecution attorneys, law enforcement and probation officers themselves), in concert with community partners and individuals on probation, informed a voluntary Purpose, Practice and Policy codesign team of probation officers to develop a set of policy and practice recommendations and implement system change. The codesign team has begun a process of developing specific steps to operationalize and prioritize changes internally and develop approaches to engage stakeholders necessary to institute broad change. Involving line staff who are most proximal to the day-to-day interactions of individuals on probation is pivotal to sustainable culture and practice change.

The examination, discussions, and consensus around purpose are central to the pilot in that individuals with drug testing terms and issues with substance use and abuse have high rates of revocations and stand to benefit greatly from a coaching model and other policies and practices

aimed at reducing violations. The probation officers assigned to the pilot are endorsed by probation administration to “flip the switch” and move from punishing undesirable behavior to incentivizing and rewarding desirable behavior. This has involved trust building with clients and creating new approaches and agreements with them that encourage ongoing contact and engagement with probation, especially when they are struggling. It has also involved POs forming individualized and shared success plans with the individuals on probation they supervise with achievable short-term goals and incentives leading to long term goals. Establishing these new approaches while simultaneously supervising additional probation cases has been challenging, however, it is providing essential space for probation officers to be thoughtful in developing and refining this new approach with a small group of clients. Anecdotally, probation officers say the approach is working and that they are experiencing increased engagement from their clients.

### **The Work Ahead, Including Recommendations for SCCPD**

There is a lot of work ahead for SCCPD to continue to refine, sustain, and grow the new approaches. Below are some high-level recommendations to build upon and sustain the work that has been completed to date:

**Provide continued support of the coaching model.** Training and ongoing internal support to adopt a coaching model is needed. SCCPD has embarked on adopting a coaching model with support from Justice System Partners which will help the department move from purpose to practice change. This work should continue and be taken to scale so that it becomes the way of doing business in the future.

**Apply ongoing strategic management, oversight, and attention to ensure that effective practices evolve and are taken to scale.** The department, in partnership with the pilot implementation and codesign teams will need to develop thoughtful strategies to bring these new policies and practices, such as success planning, to scale so that they become the norm for probation work and apply not only to individuals with drug testing terms but to other probation populations. Sustaining the momentum of the pilot implementation and codesign teams will require ongoing organization and management of the shared leadership efforts, including well designed meetings with agendas, minutes, and action steps that ensure accountability and follow through. It will also require buy in and engagement of stakeholders. For example, court conditions that are excessive, irrelevant, and onerous for individuals on probation are also impediments to full implementation of an individualized success plan. This will require ongoing partnership and collaboration with the judiciary and other court partners. It will also require that written communications, including presentence reports and recommendations, subsequent written reviews, violation reports, and modifications incorporate language and references to the coaching approach, including the recognition of progress and positive change.

**Improve data collection to measure progress.** Quantitative and qualitative data to measure progress and change is essential. Without it, well intentioned interventions may have unintended consequences that go undetected. One lesson learned through Phase I is that capturing data on technical and new law violations is not easy. This information should be readily available and captured by the courts and probation routinely and consistently in reliable ways. SCCPD should work with court administrators to implement a reliable and more sustainable data collection method.

**Lean into race equity work.** There is much more to learn about the impact of the Santa Cruz County criminal justice system for people of color. We know that Hispanic/Latinx and



Black populations are more apt to be placed on probation. This means that even similar probation violation rates would reinforce the disparities existing at the onset of probation and call for an equity focus, such as a targeted universalism approach, that would set goals for an entire population (e.g., reducing revocations), but use targeted policies to help different groups achieve that goal. To implement this approach successfully, SCCPD must fully understand the barriers and circumstances leading to probation violations for overrepresented groups to help reverse disparities and implement strategies specifically designed for them. SCCPD is taking steps to ensure that Hispanic/Latinx and Black probation populations are prioritized for the pilot, and it will be important to monitor pilot implementation to ensure high rates of success and to guard against racial bias. Additionally, SCCPD should take a targeted universalism approach to examine other types of violations, not involving individuals with drug testing terms, to create equity for Black, Hispanic/Latinx, and other vulnerable populations (e.g., unhoused, and individuals with mental health issues).

**Continue to support culture change through an inclusive and multifaceted approach.** The findings in Phase I revealed that approach, philosophy, and practices varied across probation officers and crystalized the need to start with the purpose of probation and address organizational culture as a central and influential component driving probation outcomes. Through this project, we have been reminded that culture change takes time and requires support. Supporting culture change is a multifaceted endeavor requiring a stratified and inclusive approach that includes input and interaction from multiple sources, listed below. These partners should continue to play a vital role going forward:

Impacted individuals: Feedback from individuals on probation in Phase I helped to triangulate other sources of information that led to the Phase II implementation plan. They continued to provide feedback and guidance in Phase II through responding to surveys, interviews, focus groups in jail, and participation at the retreat. Their presence was powerful and convinced probation officers and system partners that ongoing engagement from individuals with lived experience is essential.

Legal System Partners: Probation officers make recommendations that are endorsed or argued by defense and prosecuting attorneys that often determine probation terms and conditions for those sentenced to probation. Legal system partners also have expectations of probation and must be engaged in the organizational culture shift process to understand how to support probation's purpose and role. Changing probation culture is, at best, difficult without engaging the larger legal system.

Community partners: As connectors and brokers of supportive services, probation officers rely on governmental and community-based organizations to provide services such as substance use treatment, mental health, health, employment, and housing services, among others. Having partners at the table is essential to provide information about system improvement and to understand the role of probation as coach, and the importance of non-coercive motivational approaches over forced mandates of a needs-based case plan.

Credible External Experts: The design of the RRC provided outside expertise to SCCPD to assist in research design, analysis, and ongoing implementation support for the codesign process including agenda building for meetings, facilitation of codesign meetings, and facilitation of the retreat as well. The principal consultants also identified other experts that provided critical and extraordinary expertise and consultation that provided credibility



and affirmation to the change process. This included Veronica Cunningham, who's stature in the field as a former probation chief and Executive Director of the APPA, provided credible ongoing advisory support and underscored the importance of inclusion and engaging individuals with lived experience during the retreat. Dr. Sarah Walker provided essential support and advice on the codesign process and led a rapid evidence review that provided foundational research to support the pilot design. And finally, Dr. Brian Lovin's provided compelling presentations and information about the coaching model, which was very well received and led to twice as many probation officers joining the codesign team, as well as commitment from SCCPD to implement the model. SCCPD should continue to enlist outside subject area support tailored to their needs.

While Arnold Ventures' Reducing Revocations Challenge is winding down, SCCPD remains committed to the work in progress and the next steps needed to build upon its successes. As SCCPD continues their efforts to advance probation practice, ongoing interaction and partnership from the full stratum of partners will be essential to success.

# Appendix A: Adult Division Organizational Chart

<b>Santa Cruz County Probation Adult Division</b>		
	1/13/2023	

Division Director  
Sarah Fletcher

OA III  
Vanessa Valenzuela

Asst. Division Director  
Natalie Berns  
DV / MH / Sex Off / STC

Asst. Division Director  
Hugo Calderon  
P47 / PSC

Asst. Division Director  
Lori Feldstein  
Investigations / AB-109 / MAA

Sr. Departmental  
Admin Analyst  
Andrew Davis

DPO III  
Alissa Dunnett  
Mental Health/Sex  
Offender

DPO III  
Mindy Sutter  
DV

DPO III  
Sam Palomares  
General Supervision

DPO III  
Stephanie Hagan  
Investigations

DPO III  
Linda Perez  
AB-109/Intensive

OA III  
Chase Brown  
.5

OA III  
Barbara Eisenbeis

DPO I/II  
Duc Huynh  
Wellness/MH

DPO I/II  
Julio Juarez  
Sex Offender South

DPO I/II  
Andy Lesniak  
MOST (Water St)

DPO I/II  
Ana Gallardo  
MOST (Emiline)

DPO I/II  
Leigh Armentano  
All Co Intensive

DPO I/II  
Dan Cocherell  
North Co DV

DPO I/II  
Carlo Castagnetto  
North Co DV

DPO I/II  
Nicole Sheldon  
South Co DV

DPO I/II  
Tati Dias Martins  
South Co DV

DPO I/II  
Myra Rodriguez  
Mid Co DV

OA II  
Kirstin Pulliam

DPO I/II  
Kevin Berns  
General Sup

DPO I/II  
Glaris Carrillo  
General Sup North

DPO I/II  
Liz Haro  
General Sup South

DPO I/II  
Matt Diaz  
General Sup South/  
All

DPO I/II  
Avery Keller  
General Sup

GS  
PSC  
Will Dicochea

DPO I/II  
Max Smith  
Investigations

DPO I/II  
Genalle Gilmore  
Investigations

DPO I/II  
Joey Miller  
Investigations

DPO I/II  
Olga Perez  
Prop 63

DPO I/II  
Nereida Rodriguez  
ICOTS/1203.9

DPO I/II  
Bruce Acio  
Court Officer/Prop  
63

OA III  
Gail DeLano

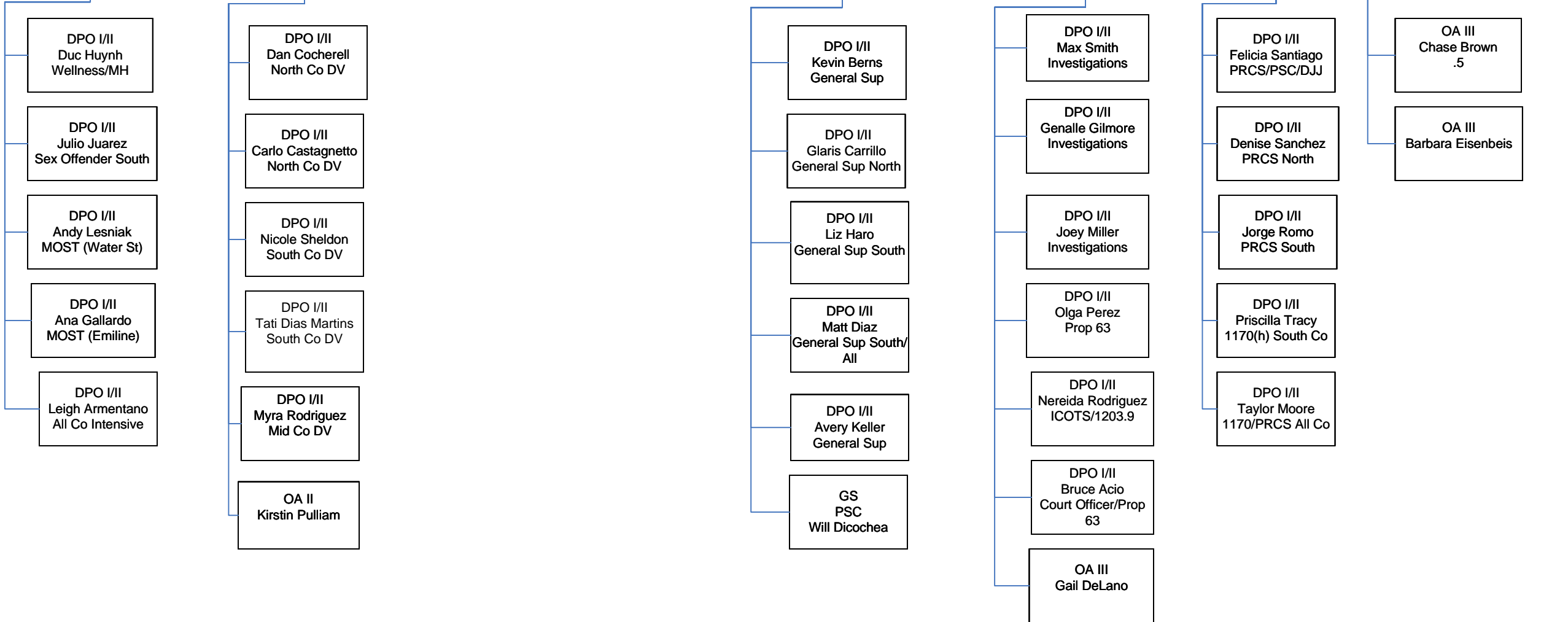
DPO I/II  
Felicia Santiago  
PRCS/PSC/DJJ

DPO I/II  
Denise Sanchez  
PRCS North

DPO I/II  
Jorge Romo  
PRCS South

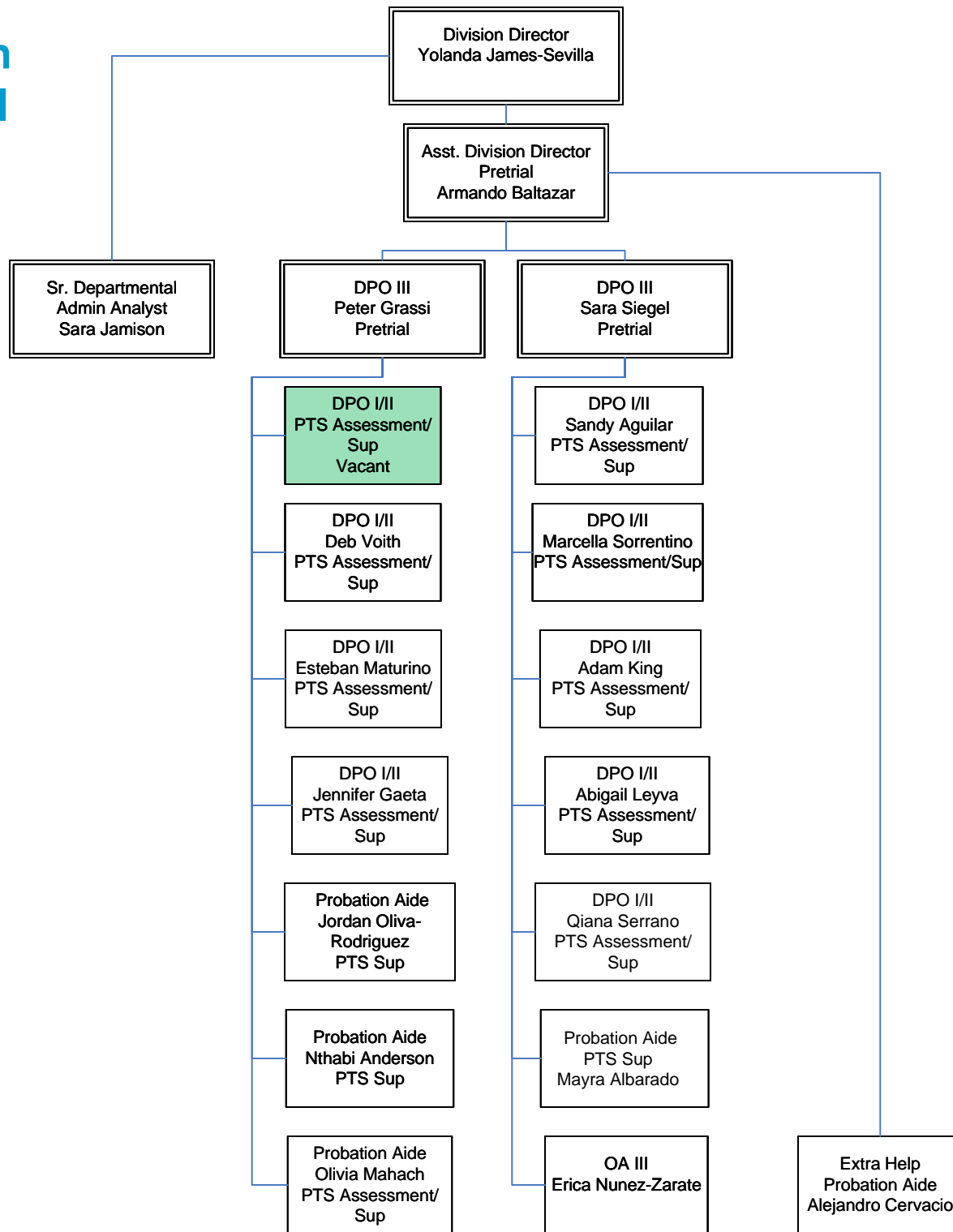
DPO I/II  
Priscilla Tracy  
1170(h) South Co

DPO I/II  
Taylor Moore  
1170/PRCS All Co



# Appendix B: Pretrial Division Organizational Chart

<b>Santa Cruz County Probation Pretrial Division</b>		
	1/3/2023	



# Appendix C: Probation Department Policy and Practice Recommendations

Policy and Practice Recommendations
<b>Early and Ongoing Contact with Adults Under Probation Supervision</b>
1. Station DPOs at courthouse for early contact
2. Increase contact between POs and people who are in custody
3. Adults placed under community supervision should contact Probation within 24/48 hours after release from custody (term currently says to report to probation within five days).
4. At sentencing (or before), have a system navigator (e.g., peer navigator, probation staff) in court to assist clients (navigator would go over checklist to clarify probation expectations and resources, and make in custody contact pre-release).
5. Implement peer mentorship program with peers from diverse backgrounds.
<b>Case Planning</b>
6. Train probation officers on coaching case management approach and implement department-wide
7. Individualize/revise and reduce the number of probation terms and conditions.
8. Create Success Plan with Clients.
<b>Increase Use of Incentives and Strength Based Court Reporting</b>
9. Provide strength based reports to court to recognize progress
10. Recognize areas of progress in formal violation petitions to ensure balanced reporting.
11. Increase use of incentives, and use a wider range of incentives (e.g., Early termination, reduced reporting, recognitions of successes, trips to Gilroy Gardens, Great America, or a spa treatment).
12. Increase PO use of early termination recommendations to court for clients demonstrating success.
13. Standardize early termination for people who have no technical violations for one year (like PRCS).
<b>PO Response to Noncompliance</b>
14. Identify alternatives (e.g., programs, community resources, peer mentor program) to formal filing on technical violations. Ensure all POs are aware of available resources.
15. Revisit violation response grid to eliminate bias and use of risk level in determining sanctions.
16. Re-institute warrant reduction program or implement similar concepts (e.g., use social media and more wide use of CBO staff and natural supports for client contact).
<b>Race Equity</b>
17. Regularly collect, analyze, and share data with staff to identify race equity issues
18. Provide a space where 1) staff can have conversations about the intersection of race and probation work, and 2) devise, monitor, and revise strategies to address race equity issues identified in their work

## Appendix D: Rapid Evidence Review

### Reducing revocations and sanctions in adult probation for drug-related offenses

#### Purpose

The purpose of this review is to identify theory and effective strategies for reducing revocations and sanctions in adult probation with a focus on probationers who have substance use disorders.

#### Approach

We used a five-phase rapid evidence review process to assess the relevant research literature with a focus on systematic and conceptual reviews. The sources for the review included PubMed, Academic Search Complete, and Google Scholar. The initial searches yielded 531 articles. Following title and abstract review and exclusion, we retained 18 articles for full text review and coding. To be included, articles had to focus on strategies to improve probation outcomes without using revocation as a behavior change strategy. Articles could be empirical review, individual studies, conceptual review or opinion papers. The full text articles and a list of other useful resources are included at the end of this report.

#### Findings

The search identified three schools of thoughts in the research literature relevant to this question. The first included scholarship on *therapeutic jurisprudence*, the second arose from *harm reduction* philosophies, and the third explored the use of *incentives* on top of routine probation practice. We also identified a meta-literature related to ethical and effectiveness considerations of compulsory treatment. We begin by summarizing articles that reviewed the ethics of compulsory treatment, followed by a synthesis of the literature within the three scientific schools of thought in adult probation and SUD outcomes.

**Ethical and effectiveness considerations in compulsory treatment.** Four of the articles explicitly addressed the ethics or effectiveness of compulsory and coerced treatment for SUD. Stevens (2012) argues that the issue of “effectiveness is secondary to the issue of ethics.” He draws from human rights law and the ethics guiding medical intervention to analyze the ethical implications of forcing or coercing clients in SUD treatment. He defines two types of coercion. The first type is when a client is given no choice about treatment (compulsory), the second is when the client is given a choice between treatment or punishment (quasi-compulsory). Stevens argues that compulsory treatment is never ethical and quasi-compulsory treatment (giving individuals a choice) is only ethical for clients who are drug-dependent and the site and approach to treatment must not exceed restrictions to liberty posed by the offense seriousness. For example, for client who only have a drug possession offense, it would exceed proportionality to offer drug treatment in a residential, secure setting because of the restrictions to liberty. In cases where the client is also convicted of harm towards others, the treatment alternative could include more proportionally restrictive settings if the client is facing penal sanctions that would restrict their liberty due to the potential to inflict ongoing harm. The four articles addressing the effectiveness of compulsory treatment include a systematic review that had a rigorous approach to reviewing the relevant literature (Werb et al., 2019), a literature review that did not use a rigorous review method (Hunt et al., 2003), a case study of client perspectives of coerced treatment (Urbanoski, 2010), and a conceptual overview of the literature on strategies to reduce drug-related harm by leading research figures (Degenhardt et al., 2019). The papers were consistent in concluding that compulsory treatment for SUD-related harm was ineffective or, at

best, mixed. Urbanoski (2010) finds that the “perception of coercion” can reduce motivation to engage in treatment. In other words, motivation to actively participate in treatment is strengthened when the client does not feel coerced but feels they have voluntarily chosen a treatment option.

**Therapeutic jurisprudence.** The field of therapeutic jurisprudence hypothesizes that the legal process can be structured in such a way to promote recovery. We identified two papers that reviewed the conceptual assumptions and effectiveness of this approach. Shaffer et al (2011) conducted a meta-analysis of drug court evaluations (from the U.S.) using a rigorous method. The review found variation in individual evaluations and that, overall, drug courts were moderately effective reducing recidivism but could not conclude they were effective in reducing SUD. The analysis found that providing drug education to clients and have internal drug treatment providers facilitated more effective outcomes. Hora (2002) provided a conceptual review of the research literature on drug courts, concluding they can be “therapeutic or anti-therapeutic.” Overall, there appear to be risks to using drug courts and uncertainty regarding how to structure drug courts to eliminate risk.

**Harm reduction.** We identified twelve papers that reviewed harm reduction or human rights-based approaches to drug-related offenses and harms. The majority of the papers were conceptual overviews or opinion papers. In addition to the Werb et al (2016) review of compulsory treatment cited earlier, we identified a systematic review of police-based diversion as a strategy for reducing legally coercive approaches to addressing drug-related offenses (Blais et al, 2022). Blais et al (2022) used rigorous review methods and concluded police-based diversion was effective in reducing recidivism and promising in reducing SUD and improving overall health. The remaining articles provided conceptual overviews of harm reduction and strengths-based or human rights-based approaches to drug-related offenses as alternatives to formal legal involvement or non-proportionate coercion. For example, Vandeveld et al. (2017) notes that strengths-based approaches to drug-related offenses differ in aims and approach from risk-based models (e.g. Risk Needs Responsivity) and the two cannot be compared on their “outcomes” alone.

**Incentive schedules.** We identified four papers focusing on rewards and sanctions as a behavior change strategy within a legal process for drug-related offenses. Three of the four papers examined the use of rewards and sanctions within therapeutic courts (mental health and drug courts). In a 4-site study of mental health courts, Callahan et al (2013) found that individuals with person-related offenses were the least likely to receive sanctions and those with only drug-offenses were the most likely. The authors conclude that the use of sanctions and rewards lacks consistency and an understanding of ethical and effectiveness considerations. Lindquist et al (2006) conducted a multi-site study of drug courts in Florida and found that sanctions were used by drug courts more often than typical probation, and rewards were used only half as much as sanctions. The analysis did not examine the relationship between sanctions, rewards, and outcomes. Barber-Rioja (2014) provides a conceptual review and proposal that rewards should be “tailored” to individual preferences and goals in order to be more effective. Marlowe et al (2008) compared providing higher and lower value incentives in a reward schedule for adults and probation and did not finding meaningful differences in the size of the reward.

## Summary

Our review identified substantial debate in the scientific literature regarding the ethics and effectiveness of coercive (sanction-based) approaches to drug-related offenses. The therapeutic jurisprudence literature which largely encompassed review of drug and mental health courts, views coercion allowable to the degree that it reduces recidivism. However, reviews of the quality of drug court implementation suggests poor

implementation presents active risks to client recovery and well-being. Further, drug courts tend to sanction individuals more often than usual probation, which likely violates ethical guidelines for non-coercive treatment. Harm reduction approaches cite police-based diversion as effective approaches to reducing client recidivism and following principles of “least restrictive” treatment and the “perception of voluntariness” emerged as promising principles for ethical and effective drug policy. Overall, the literature suggests individual jurisdictions

1. Should be thoughtful about increasing the perceived voluntariness of treatment options,
2. Increase the use of rewards over sanctions, and
3. Provide the least restrictive treatment option proportionate to the client’s level of harm to others.

## Methods

### Topic(s) of Interest

Alternatives to abstinence-only probation for those with SUD with focus on reducing violations

### Exclusion/Inclusion Criteria

Exclude books and book chapters

Include only articles in last 10 years

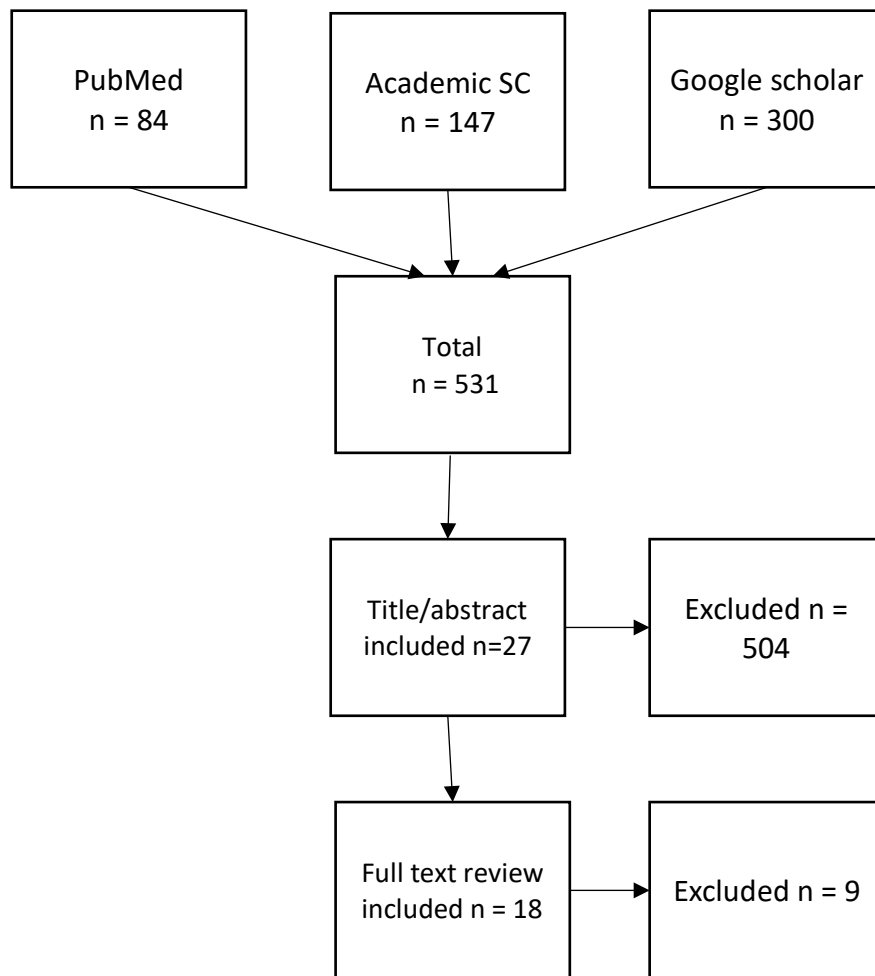
Adult probation only

### Search terms

Search #1:	therapeutic jurisprudence review systematic narrative meta
Search #2:	harm reduction or human rights and courts or offenders and review
Search 3	drug or substance and contingency or incentives and court or offenders or probation or parole or sanctions and review



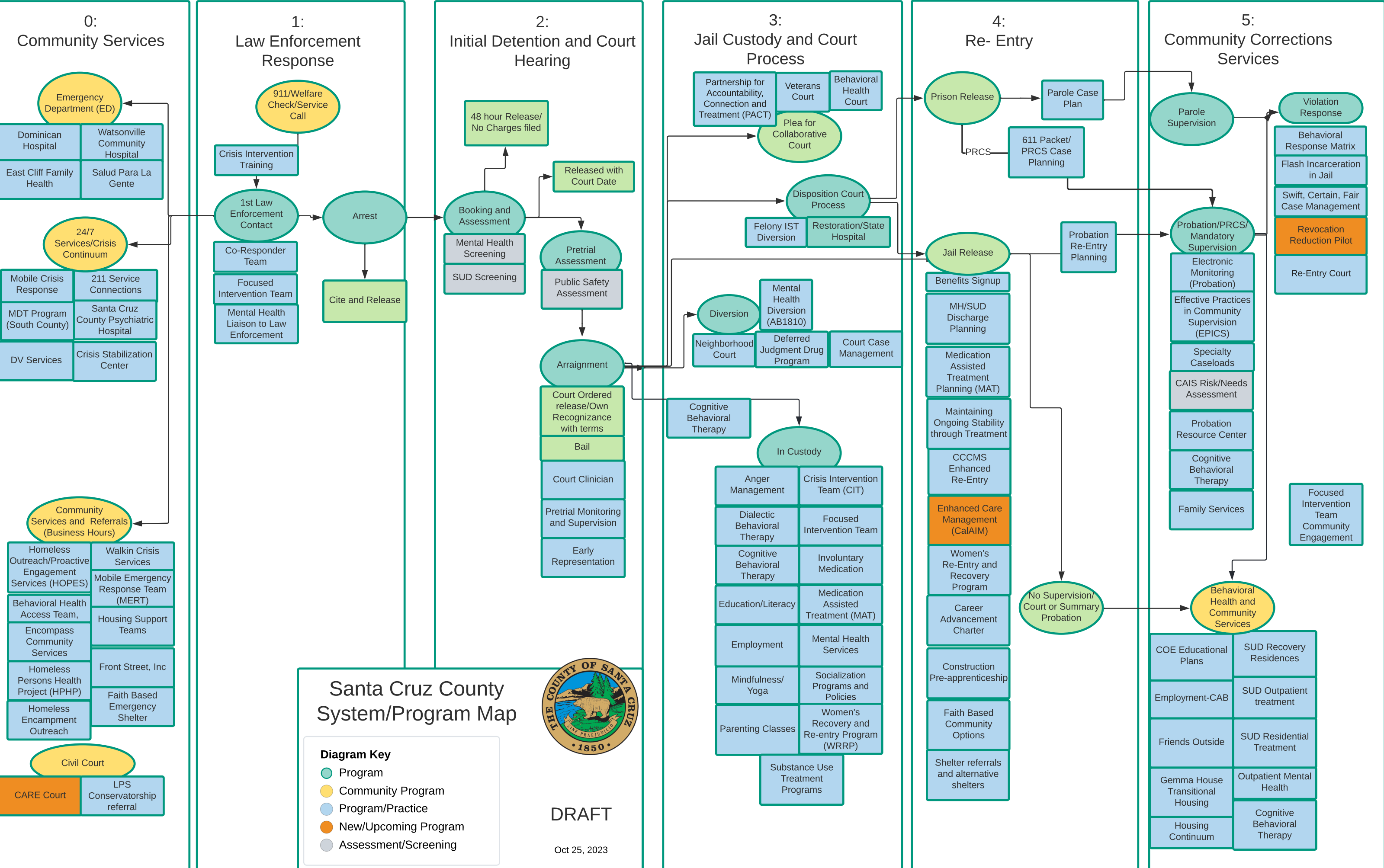
## PRISMA Diagram




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**Santa Cruz County System/Program Map**

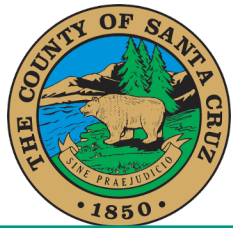


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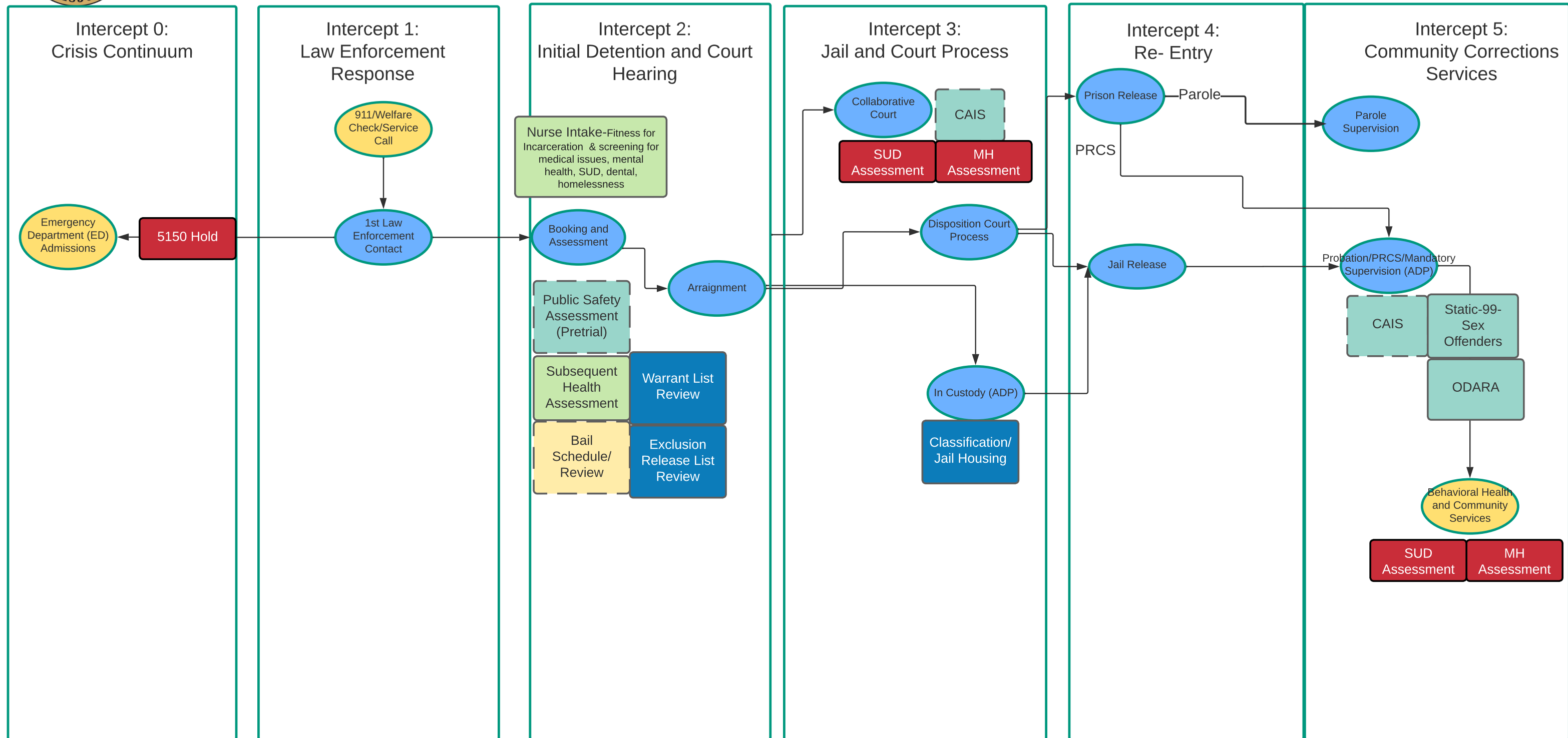
Oct 25, 2023

**Diagram Key**

- Program
- Community Program
- Program/Practice
- New/Upcoming Program
- Assessment/Screening



# Santa Cruz Screening and Assessments



- Diagram Key**
- Jail
  - Public Defender
  - Probation
  - Behavioral Health
  - Correctional Health
  - District Attorney

Tools with dashed borders have links to the tool

Contact: Kevin O'Connell (kevin@oconnellresearch.com)

Draft V1