

# Santa Clara County AB109 Public Safety Realignment Interim Evaluation

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March 6, 2013



Prepared by:

Resource Development Associates





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*Public Safety Realignment Interim Evaluation*

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## Acknowledgements

RDA would like to acknowledge the contributions of all the organizations and individuals that participated in the evaluation process. This effort would not have been possible without the generous accommodation and information provided by key stakeholders in Santa Clara County. These individuals gave their time, their facilities, their data, their expertise, and most importantly, their insight, to support this evaluation, and their contributions were pivotal in completing the report that follows. We at RDA extend our sincere thanks for their efforts.

### *Santa Clara County Community Corrections Partnership*

Sheila Mitchell, Chief Probation Officer (Chair)	Gina Sessions, Director, Social Services Agency
Karen Fletcher, Deputy Chief Probation Officer	Gary Graves, Chief Operating Officer
Laurie Smith, Sheriff	Erin O'Brien, CEO/Director, Community Solutions
Richard Loftus, Jr., Presiding Judge	Rose Amador, President/CEO, Center for Training & Careers
Mary Greenwood, Public Defender	David Tran, Director, Victim Witness Assistance Program
Kevin Kyle, Chief of Police, City of Santa Clara	Charles Weis, Superintendent County Office of Education
Jeff Rosen, District Attorney	
Bruce Copley, Director, Drug & Alcohol Services	
Nancy Pena, Director, Mental Health	

### *Participating Agencies and Departments*

Santa Clara County Office of the County Executive	Santa Clara County Mental Health Department
Santa Clara County Superior Court	Santa Clara County Department of Alcohol and Drug Services
Santa Clara County Office of the District Attorney	Santa Clara County Social Services Agency
Santa Clara County Office of the Public Defender	Santa Clara County Community-Based Service Providers
Santa Clara County Probation Department	
Santa Clara County Office of the Sheriff	
Santa Clara County Department of Correction	

### *Key Contacts and Support for Data Collection*

Fran Palacio, Office of the County Executive	Quang Vo, Probation Department
Javier Aguirre, Office of the County Executive	Lynn Wang, Probation Department
Kathy Sanchez, Information Services Department	Anthony Holguin, Mental Health Department
Jeff Ishizaka, Information Services Department	Kakoli Banerjee, Department of Alcohol and Drug Services
Neelam Wadhvani, Office of the Sheriff	Patricia Sun, Social Services Agency
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## Executive Summary

In October 2011, California legislatively changed the supervision responsibility for a specific category of offender from the State to the County, known as Public Safety Realignment, or AB109. This legislative change impacted Counties on many levels, and resulted in the need for Counties to modify systems and protocols to accommodate a new offender population. Each County created an Implementation Plan that detailed strategies to address the AB109 population. The County of Santa Clara's Office of the County Executive contracted with Resource Development Associates (RDA) to conduct an Interim Evaluation of the County's progress toward executing objectives contained in their Implementation Plan during the time frame of October 1, 2011 through September 30, 2012. This Executive Summary is based on the findings and recommendations reported in the Interim Evaluation.

### Objectives of Evaluation

The interim evaluation attempted to answer a specified set of research questions. The findings are organized into three key areas of analysis: Formative, Process, and Summative. The Formative section is intended to provide feedback on the degree to which the County was able to complete the steps identified as necessary in order to execute the Implementation Plan. The Process section offers an assessment of how closely County stakeholders were able to execute tasks as outlined in the Implementation Plan. Finally, the Summative section offers analysis of interim outcome measures related to recidivism and service provision.

### Methodology

The evaluation team used a mixed methods approach to evaluate the implementation and interim outcomes of the County of Santa Clara's Public Safety Realignment program. The evaluation findings were derived from a combined review and analysis of departmental documentation, quantitative data from county data systems; and qualitative data from interviews with CCP partner agencies, service providers, and individuals eligible for supervision under AB109.

For the purposes of this report, recidivism data were analyzed based on "supervision/ post-release failures", which was defined as any post-release "failure" including: 1) arrests; 2) convictions; 3) violations; and 4) commitments (to jail, prison, or flash incarceration). This broad definition is intended to provide a picture of the overall potential for recidivism among the Public Safety Realignment population during this period as one of many indicators that might drive targeted supervision and programmatic strategies. Note that the outcomes reflected by this definition may over-estimate the actual potential for future recidivism, and it is assumed that future evaluation efforts will follow the soon-to-be adopted formal definition of recidivism.



## Key Findings

### Formative Evaluation

The Formative portion of this evaluation assesses the degree to which Santa Clara County has taken the steps necessary to implement its Public Safety Realignment program. This was done through an evaluation of departmental documentation gathered from the Office of the County Executive, the Probation Department, the Mental Health Department, and the Sheriff's Office.

Overall, the County of Santa Clara has successfully taken many of the steps necessary to execute its Implementation Plan for Public Safety Realignment. Fifteen (15) tasks were identified in the Implementation Plan, of which 53% have been met and 47% are currently in progress.

- The Superior Court of Santa Clara County met two of five tasks, with three currently in progress:
  - The Court has instituted a collaborative court system and utilizes the Parolee Reentry Court for offenders in need of monitored treatment and rehabilitative services.
  - Collaboration between the Court and Probation is documented, but collaboration among other departments is less evident.
  - While the Court has redesigned calendars to better serve defendants, its progress toward redesigning forms and other processes is less evident.
  - Judges have been assigned to preside over PRCS revocation hearings and probation violation hearings, no one has been assigned to preside over parole violation hearings.
- The Office of the District Attorney and the Office of the Public Defender have progressed toward completing the task assigned to them:
  - Progress has been made toward identifying roles and responsibilities of staff involved with PRCS and MS revocation cases, and the graduated sanctions model was in the process of being developed.
- The Probation Department has completed two of three tasks:
  - The Department has implemented an evidence-based supervision and service delivery model by adding two High Risk Offender Units.
  - The Department has developed a revocation process that identifies the underlying causes of revocation, and uses this process to enforce offender accountability through a graduated sanctions grid – however the graduated sanctions grid has yet to be formalized.
  - The Reentry Team has not been formally established; although the Multi-Agency Program (MAP) Team addresses some of the activities of the Reentry Team, there remain gaps in the system of reentry services defined by the Implementation Plan.
- The Sheriff's Office and Department of Correction have completed one of three tasks, with one currently in progress:
  - The Custody Alternative Supervision Program (CASP) was created.





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- The Recruiting and Training Unit has been altered to consist of two separate units, one in the Department of Correction and one in the Sheriff's Office.
- It is unclear whether new guidelines for facility operations have been established.
- The Mental Health Department has completed their two tasks:
  - The Department implemented the Reentry Multi-Agency Program (MAP).
  - The Department has secured contracts with three local faith-based and community-based organizations.
- Community-Based Treatment Service Providers have progressed toward completing their one task:
  - It is unclear whether all Community-Based Treatment Service Providers are required to use evidence-based treatment models and practices, use is not consistent across all providers.

### **Process Evaluation**

The Process section assesses the extent to which the County of Santa Clara's realignment activities have been implemented with fidelity to the Implementation Plan. The section includes a synthesized analysis of qualitative data from internal conversations and key informant interviews with staff from CCP Partner Agencies, Community-Based Service Providers, and individuals supervised under AB109. This analysis is intended to provide context for the facilitators for and barriers to execution of the activities proposed in the Implementation Plan.

- While the Reentry Team was not established, the MAP team is completing some of the activities initially designated as Reentry Team responsibilities.
- Pre- and post-release meetings with the AB109 population are not consistently occurring.
- The Reentry Resource Center has helped promote inter-agency collaboration and has helped facilitate and streamline linkages between reentry clients and services.
- Though graduated sanctions and incentives are used in a limited and informal way, use is not formalized or consistent when working with reentry clients.
- All CCP partner agencies are tracking some information on AB109 clients, but current data collection efforts do not capture many of the elements necessary for long-term evaluation.

### **Summative Evaluation**

The Summative section assesses interim outcomes as a result of the County's Implementation Plan. The outcomes are based on quantitative data collected from partner agencies and community-based organizations that interact with the Realignment population. These data were used to illustrate short-term outcomes related to service provision and recidivism, defined for the purposes of this evaluation as all supervision/ post-release failures inclusive of new arrests, charges, and violations.

- Between October 2011 and September 2012, the total realignment population was 2,498 individuals. Of those 48% were classified as 1170(h), 44% as PRCS, and 8% as 1170(h) MS.

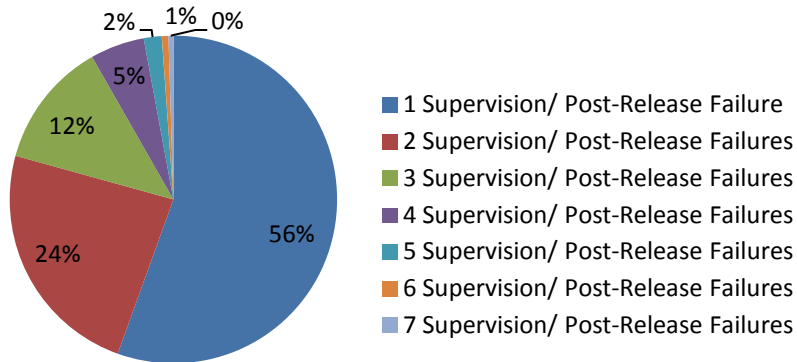




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- A greater percentage of PRCS offenders than 1170(h) MS offenders were identified as being high risk for re-offense as determined by CAIS.
- Overall, a greater percentage of PRCS offenders than 1170(h) and 1170(h) MS offenders committed more than one supervision/ post-release failure during the evaluation time period.
- Overall, the PRCS population had supervision/ post-release failures with higher offense levels than the 1170(h) and 1170(h) MS populations.
- Following the opening of the Reentry Resource Center in May 2012, referrals to and enrollment in post-custody services increased, suggesting that the increased coordination at the Reentry Center resulted in improved linkages between clients and services.

**Public Safety Realignment Population with Supervision/ Post-Release Failures (n=563)**



Source: CJIC Data Extraction, 1/7/13

Note: Supervision/ post-release failures representing <1% were removed from this chart

**Emerging Themes**

**Communication and collaboration**

- The Reentry Resource Center has significantly improved communication and collaboration between agencies working with the AB109 population.
- Cross-agency participation in the MAP team and different agencies represented at the Reentry Resource Center are largely responsible for increased communication and collaboration.
- The most commonly reported barriers were inconsistent levels of “buy-in” and participation in collaborative efforts by staff from other agencies, differences in opinion on what is best for the client, and difficulties sharing information due to different data/tracking systems and confidentiality.

**Linking reentry clients to services**

- Interviewees consistently reported that they can easily link reentry clients to services. Staff cited the Reentry Resource Center as a major factor in facilitating this process.
- Reentry clients reported feeling impressed and satisfied by the services available to them and





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the timeliness of the referral process; the quick turnaround instead of waiting for appointments and lengthy referral/eligibility processes helped them to feel cared for and hopeful for the future.

- Reentry clients also reported feeling comfortable going to their Probation Officers or Rehabilitation Officers when they needed a new or different type of service.
- Limitations on service capacity still restrict access for some reentry clients. Lack of sufficient housing was the most commonly cited deficiency, followed by employment.
- While staff felt that the Reentry Resource Center has improved linkages to services, some expressed frustration with client “no-shows”, difficulty tracking down clients, and the lack of a consistent way to track clients’ referrals to and enrollment in services across agencies.

### **Adjusting to the needs of the population**

- Interviewees reported a wide range of changes in order to adjust to the needs of the AB109 population, including modifying or implementing new processes and tools, and hiring and training more staff.
- Staff across agencies reported flexibility and a willingness to adjust as the AB109 population reenters the community.
- Staff has demonstrated initiative in identifying unanticipated needs of AB109 clients and has often acted proactively to find solutions.

### **Change in culture and attitude**

- Reentry clients both in-custody and in post-custody supervision recognized a noticeable change in attitude and approach in agency staff, reported feeling more supported by staff.
- Reentry clients report relationships with supervision and other staff is more positive and respectful than previously experienced, and that supervision staff are more forthcoming with information and opportunities for services.
- Reentry clients noted that the increased opportunities are met with an increase in expectations, and recognized that this supervision requires more initiative and follow through, higher levels of accountability, and often longer periods of supervision.
- Changes in culture and attitude are less clear among staff themselves, and particularly in interviewees’ views of staff from other departments; many reported inconsistencies in approach and levels of cooperation among staff from departments other than their own.

## **Conclusion and Recommendations**

This section offers global observations that respond to the formative, process, and summative evaluation questions, and summarizes overall program strengths and challenges, lessons learned, and opportunities for program modification. Finally, it proposes recommendations about the type of long-term evaluation strategies appropriate for the County of Santa Clara.

### **Implementation Recommendations for Programmatic Fidelity**

The following observations come from analysis of the key informant interviews with Partner Agency





staff, Community-Based Organization staff, and interviews with the AB109 population.

### *Reentry Team*

- There is confusion around the roles and responsibilities of the MAP Team and its relationship to the Reentry Team.
- The pre- and post-release meetings with offenders returning to the community that are defined in the Implementation Team are not happening through the MAP Team.

### *Communication and Collaboration*

- Improve communication and collaboration among the Partner Agencies as well as between the Partner Agencies and the Community-Based Organizations that serve the AB109 clients.
- Increase communication to clarify the purpose and capacity of different programs to improve the referral process and better connect clients to appropriate services.
- Better prepare Realignment population for supervision under AB109.

### **Recommendations for Program Implementation**

The following observations come from analysis of the key informant interviews with Partner Agency staff, Community-Based Organization staff, and interviews with the AB109 population.

### *Evidence-Based Practices (EBPs)*

- Improve use of EBPs across the Partner Agencies.
- Increase consistency of use of EBPs across Community-Based Organizations.

### *Improvements to Data Collection*

Currently, there is no way to track clients across services received – from the Probation Department through to those provided by Community-Based Organizations. Such data would allow the County to draw more comprehensive observations about AB109 clients in terms of meeting needs and illuminating corrective areas systemically.

### *Probation Department*

- Institute tracking protocols to document the point at which assessments are administered.
- Formalize the creation and tracking of case plans.
- Create a tracking protocol to document when AB109 clients are met with and reassessed after a flash incarceration or revocation.
- Formalize the use of a graduated sanctions grid and integrate it into decision-making.

### *Sheriff's Office/DOC*

- Create a tracking protocol to document the number of AB109 clients referred and enrolled in in-custody services.



**Mental Health**


- Create a tracking protocol to document the number of AB109 clients served through programs.

**DADS**

- Create a tracking protocol to document the number of AB109 clients assessed and referred for services by service type so that future evaluation efforts are able to identify the types of service provided to each client.

**Long-term Evaluation Strategies**

As part of the interim evaluation, RDA surveyed the members of the CCP and Board of Supervisors to determine their priorities for evaluating the County’s Public Safety Realignment Program. The following priorities emerged:



Evaluation Priority	Average Score	Median Score
Utility for Program Improvement	9.2	10
Reach to Target Population/Quantity of Services <sup>1</sup>	8.8	10
Sustainability	8.6	9
Staff/Organizational Capacity	8.6	9
Collaboration	8.4	9
Systems transformation	8.4	9
Attribution	8.0	8

These priorities indicate the need for both a process evaluation to continue to assess the extent to which the County’s Realignment Program has been implemented with fidelity to the Implementation Plan, and the expansion of the outcomes evaluation, which will examine the impact of Realignment programs in terms of both service completion and recidivism.

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<sup>1</sup> *Reach to Target* combines *Quantity of Services* evaluation priorities as they support similar objectives. The *Resource Needs* priority, although rated as the second highest is not called out separately since it is used as a factor to determine resource needs for each activity.



### *Need for Additional Programmatic Resources*

- As a result of many AB109 offenders serving longer sentences in county jail – up to three years under the AB109 legislation – the County may want to consider increasing and diversifying the programmatic offerings within the jail to prevent those with longer sentences from cycling through the same programs.

### *Raise Awareness of Shifting Jail Culture*

- The County may consider strategic planning around the impact of former state prisoners on the culture of those who have more traditionally served their sentences in jails. The former state prisoners are reportedly bringing a more sophisticated, seasoned culture to the jail that includes shot-calling – a practice whereby high-ranking incarcerated gang members communicate directives to lower ranking gang members to carry out illegal, often violent activity on their behalf or on behalf of the gang. Raising awareness of these concerns, and developing strategies to combat the potential for a more organized jail population could help the County contend with any issues arising in the future.

### *Voices of the AB109 Population*

In addition to measures of fidelity to the Implementation Plan, service provision, and recidivism, a key measure of success can be found in the experiences of those supervised under AB109. The following are excerpts from interviews with the AB109 population, which relay their impressions of how the County is serving them.

*“I have a hard time even explaining about it sometimes, I’ve come such a long way. I kept saying ‘next time, next time.’ Through AB109... it’s just the beginning for me, at 42 years old, it’s my beginning.”*

*“The referral process has been excellent. They’ve been able to give me resources, access to programs – the support is tremendous.”*

*“This is the first time I’ve been able to feel open with my PO, not try to hide things. He listens to what I have to say. He’s not rude, he thinks you’re somebody, not nobody like before. I just like it all around. It’s great.”*

*“I feel more welcomed here, helped. I feel like...they reach out. I like it. Probation is harder, but that’s what I need... Here they’re not playing. I have no problem with it being harder.”*

*“Please continue with this program and help people like me because most of the time we don’t have the resources, because we think nobody that cares about us, but there are people who care about us. They don’t want me stuck, they want me to get better and better.”*

*“I was the first mental health patient through AB109. It was a good process, because they paid attention to me and my needs, because it’s through the system, and I didn’t have to access them myself. I didn’t have to make an appointment with a doc and wait 2 weeks, and they took me right away, they drove me down there right away and I got the medication I needed. If I wouldn’t have gotten my mental health issue addressed, and gotten my meds, I would still be using drugs to cover my symptoms.”*

*“I feel really hopeful, before I was really full of anxiety and I would cry every day, but the RCP class has*



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*changed my orientation. I already feel like I'm on the path for change, and that I'm ready to change."*

*"Our teachers are very organized, they always have something good for us. I think we have the best teachers, and the best RO. She has a heart for everybody. You go in there depressed, and you come out feeling support, she gives you the strength. We always get what we need in here."*

*"The RCP, and this AB109 is an excellent program because it gives us the opportunity to make the change."*

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The Resource Development Associates evaluation team is grateful for the opportunity to work with the County of Santa Clara in this Interim Evaluation endeavor. Through working with staff across the many stakeholder agencies and organizations, the evaluation team was privileged to hear first-hand how the County is adapting to Public Safety Realignment. Overall, there is an exceptional level of committed individuals who not only take pride in the services they provide, but who are genuinely devoted to improving the work they do on behalf of those supervised as AB109 clients.



## Introduction

Resource Development Associates (RDA) has developed an interim evaluation for the County of Santa Clara's Office of the County Executive that assesses the progress made toward execution of the County's Public Safety Realignment (AB109) implementation plan during the timeframe between October 1, 2011 and September 30, 2012. The interim evaluation concludes with recommendations about the type of long-term evaluation strategies appropriate for the County of Santa Clara. This report focuses specifically on the realignment population, separate and distinct from the general reentry population.

## Background

In an effort to reduce the number of offenders incarcerated in the California prison system and assist in alleviating the state's financial crisis, Assembly Bill 109 (AB109) was signed into law on April 4, 2011. Subsequently, on June 30, 2011 Governor Brown signed AB117, further outlining the provisions of Realignment. Through changes to the penal code and sentencing laws, this law shifts the responsibility for supervision of specified offenders from the state to their county of legal residence for supervision by a county agency.

The AB109 legislation also requires that each county establish an Executive Committee of each county's Community Correction Partnership (CCP). The CCP is empowered to recommend an implementation plan to the Board of Supervisors detailing how AB109 should be implemented within that county. A fundamental principle of effective community corrections management is ongoing measurement of outcomes. Outcome reporting and ongoing evaluation are necessary for stakeholders to understand whether the plan and its components are having the intended impact, and if not, what needs to change. To that end, the County created the Evaluation Design and Policy Research and Data Analysis work group (the Data Working Group) by the CCP. The CCP and its committee are tasked with the objectives to oversee the integration of new protocols and data systems developed to manage the AB109 population. Ultimately, the Data Working Group will promote the implementation and long term sustainability of data collection and analysis, track outcomes, and determine the effectiveness of policies, programs and practices in affecting offender behavior, reducing recidivism and enhancing public safety.

An earlier report completed by RDA on behalf of the County of Santa Clara, Office of the County Executive, surveyed the Public Safety Realignment evaluation activities of the 12 largest California counties to understand how other counties are approaching evaluation and to provide guidance on establishing a set of best practices for criminal justice and public safety realignment evaluation. The findings from that report inform the recommendations of the interim evaluation report.

## Scope of Effort

The purpose of this interim evaluation is to provide an assessment of the first year of the Public Safety







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Realignment implementation in the County of Santa Clara over the timeframe October 1, 2011 through September 30, 2012. The evaluation findings are based on documentary, qualitative, and quantitative data gathered from agencies, community-based organizations and individuals from the AB109 population. As the one year timeframe is insufficient to draw conclusions regarding outcomes related to the investment in services, the interim evaluation focuses on assessing the progress made toward execution of the County's Implementation Plan through an examination of collaboration among partner agencies and the assessment and referral process for the Realignment population to needed services and supports.

The primary study group is adults who were released from CA Department of Correction and Rehabilitation (CDCR) into the custody of the County's Probation Department ("Post Release Community Supervisees" or PRCS) as well as offenders who were locally sentenced under section 1170(h). We assess their experience in receiving services through in-custody and community-based programs during the first year of the Public Safety Realignment implementation.

### **Objectives of Evaluation**

The interim evaluation is organized into three key areas of analysis: Formative, Process, and Summative. The Formative section is intended to provide feedback on the degree to which the County was able to complete the steps identified as necessary in order to execute the Implementation Plan. The Process section offers an assessment of how closely County stakeholders were able to execute tasks as outlined in the Implementation Plan. Finally, the Summative section offers analysis of interim outcome measures related to recidivism and service provision.

Through the interim evaluation, RDA will address the following questions:

- **Program Implementation:** To what extent has Public Safety Realignment been implemented as stated in the plan? If not, how was the plan deviated? Was the staffing pattern filled as intended?
- **Program Reach (PRCS and 1170(h)):** How many offenders were sentenced under Penal Code 1170(h);<sup>2</sup> of these how many were sentenced with a term of Mandatory Supervision? How many PRCS were released from state prison and placed under Mandatory Supervision with Probation? How many 1170(h) offenders were enrolled in treatment through the Parolee Reentry Court? How many PRCS/MS were enrolled in community-based treatment and services? How many 1170(h) offenders were enrolled in in-custody programming?

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<sup>2</sup> PC 1170(h) is the section of the Penal Code that modified by AB109 legislation that describes the new terms for sentencing of offenders.



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- **Case Planning:** What proportion of locally sentenced offenders met with the Reentry Team? How many PRCS met with the Reentry Team while in prison? Did they develop and revise Reentry Case Plans? If not, what were the barriers to doing so? What was the average length of time prior to release that the Reentry Team met with locally-sentenced offenders? Were AB109 Offenders referred to appropriate services based on their risk/need assessments and case plans? What was the average length of time between service referral and service receipt?
- **Scope of Services:** What was the average length of treatment and service time provided to offenders? What were the types of services provided, and by whom? How did offenders access these services? What percentage of offenders successfully completed treatment or other-community based services?
- **Behavioral Health:** What are the rates of referrals versus enrollment in behavioral health services? Were there any improvements in offenders' mental health status by program completion? If so, what was the level of improvement?
- **Employment, Vocational Training, and Housing:** How many offenders were enrolled in job training or workforce development since the start of the program? How have offenders' employment status changed? How many offenders have stable housing since the start of the program? What is the nature of their living situation?
- **Criminal Justice Involvement:** What is the rate of re-arrest, re-conviction, new charges from the DA, and revocations?

The interim evaluation begins with a discussion of the methodology used in data collection, and then shifts to the three sections of analysis: Formative, Process, and Summative, followed by Recommendations.



## Methodology

### Introduction

The Resource Development Associates (RDA) evaluation team used a mixed methods approach to evaluate the implementation and interim outcomes of the County of Santa Clara's Public Safety Realignment program. The evaluation findings were derived from a combined review and analysis of departmental documentation, such as reentry case plans, case notes, and service referrals; quantitative data from county data systems; and qualitative data from interviews with CCP partner agencies, service providers, and individuals eligible for supervision under AB109. Using these data sources, the evaluation team produced an interim evaluation of the first year of the County of Santa Clara's Public Safety Realignment program, that is comprised of three sections: Formative, Process, and Summative. This section outlines the methods used to approach the evaluation and limitations that were encountered during this process.

### Formative Evaluation

The Formative portion of this evaluation assesses the degree to which the County of Santa Clara has taken the steps necessary to implement its Public Safety Realignment program. This was done through an evaluation of departmental documentation gathered from the Office of the County Executive, the Probation Department, the Mental Health Department, and the Sheriff's Office. Requested documentation included those pertaining to:

- Serving and supervising AB109 offenders, such as Reentry Case Plans, case notes, and risk/need assessments;
- Court documents related to redesigning forms, calendars, and processes to maximize the information given to defendants about the advantages of substance abuse and mental health treatment, and rehabilitation services;
- Probation data related to the implementation and use of evidence-based practices, such as the creation of graduated responses to noncompliance;
- Mental Health data related to the development of the Reentry Multi-Agency Pilot (Reentry MAP) as a Mental Health Services Act (MHSA) Innovation Project;
- Memoranda of Understanding (MOUs) between CCP partner agencies and service providers, documentation related to service referrals and linkages, funding allocations to each department, and the establishment of the Parolee Reentry Court; and
- Additional documentation obtained from the County of Santa Clara's website and Office of the County Executive (CEO), including status reports and information regarding the Parolee Reentry Court.



**Process Evaluation**

The Process portion of this evaluation assesses the extent to which the County of Santa Clara’s Public Safety Realignment program has been executed with fidelity to the Implementation Plan. This was done through an analysis of key informant interviews conducted with staff from CCP Partner Agencies, Community-Based Service Providers, and individuals supervised under AB109. Interviewees were selected based on recommendations from County of Santa Clara’s CEO (County Executive’s Office) staff.

**Figure 1: Key Informant Interviews by Agency**

Agency	Total # of Interviews
<b>Partner Agencies</b>	
Probation	3
Sheriff’s Office/DOC	1
DADS	1
Mental Health	1
Custody Health	1
Social Services	1
Public Defender	2
ISD/Data	1
<b>Community-Based Service Providers</b>	
Voc/Ed	1
Cognitive Behavior	1
DADS-Residential	1
DADS-Outpatient	1
DADS-THU	1
Mental Health-Housing	1
Mental Health-Full Service Partnership	1
Mental Health-Faith Based Collaborative	1
<b>AB 109 Offenders</b>	
Offenders: Probation	10
Offenders: Sheriff/DOC	10

***Key Informant Interview Protocols***

To obtain the most relevant information from each interviewee, RDA staff developed five distinct protocols (See Appendices A through E), specific to:

- Probation, District Attorney, and the Sheriff’s Office/Department of Correction
- Mental Health, Department of Alcohol and Drug Services, and the Social Services Agency
- Information Services Department
- Community-Based Service Providers
- Individuals sentenced under AB109



## **Summative Evaluation**

The Summative portion of this evaluation examined interim outcomes of the Public Safety Realignment program, including service completion, supervision/post-release failures, and other short-term outcomes. This was done through an evaluation of quantitative data collected from the following sources:

- Criminal Justice Information Control (CJIC) database
- Departmental data tracking systems and case management databases
- Public Safety Realignment Program (AB 109) Summary of Implementation Data (CEO)

## **Limitations of the Data**

This section explains the data limitations encountered throughout this evaluation process.

### *Qualitative Data*

Every effort was made to contact and interview individuals within agencies and service providers who have the most experience with the Public Safety Realignment program, and who work closely with AB109 clients. However, in most cases only one individual from each agency was interviewed. As a result, the information obtained from the key informant interviews represents individual viewpoints, and is not intended to be representative of the whole agency or provider department. Further, individuals under AB109 supervision who were interviewed were selected by Probation and Sheriff's Office staff as those who would be able to provide the evaluation team with ample feedback on their supervision experience under AB109. As a result, the information provided may not be representative of all individuals under AB109 supervision.

### *Documentary Data*

Every effort was made to contact the relevant agencies and departments to request the needed documentary data. However, in some instances, information found in status reports was used in place of service agreements or MOUs that were not made available during the analysis timeframe.

### *Quantitative Data*

Using the output measures developed as part of the evaluation logic model, RDA worked closely with County of Santa Clara staff to determine available data sources and elements within the County's current databases and other data reporting tools. After mapping the existing data elements to the output measures from the Interim Evaluation Logic Model, RDA worked with the ISD Application Services Manager to determine the form and accessibility of these elements. Data requests were developed to yield an ample discussion of the Public Safety Realignment population and interim outcomes. In some instances, specific departments did not provide expected data elements, either due to an inability to fulfill the data request within the required timeframe or due to a lack of availability of the data.

It should be noted that the County of Santa Clara is in the process of developing a data warehouse,





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which will significantly streamline the process of accessing data for future evaluation and reporting purposes.

As of the end of the evaluation timeframe, no definition of recidivism had been vetted and formalized for use in the County. For the purposes of this report, recidivism data were analyzed based on “supervision/post-release failures”, which have been defined as any post-release “failure” including: 1) arrests; 2) convictions; 3) violations; and 4) commitments (to jail, prison, or flash incarceration). This broad definition is intended to provide a picture of the overall potential for recidivism among the Public Safety Realignment population during this period while the County works to confirm a more formal definition of recidivism. Note that the outcomes reflected by this definition may over-estimate the actual potential for future recidivism. The quantitative data intended to be used for an analysis of supervision/post-release failures lacked information regarding the initiating charges that first placed an individual under AB109 supervision. As a result, it was assumed that the initiating charge could not occur prior to the evaluation time period. Any charges occurring after the initiating charge were considered a “supervision/post-release failure.”



## Formative Evaluation

### Introduction

This section is intended to assess the degree to which the County of Santa Clara has taken the steps necessary to execute its Public Safety Realignment Implementation Plan. The section includes a synthesized analysis of documentary data gathered from County departments and agencies, and include monthly status reports, funding allocations and expenditures, and program forms and processes. This analysis is intended to assess the progress made towards the tasks outlined in the Public Safety Realignment Implementation Plan.

Information on progress toward the execution of designated tasks is presented by Departmental agency. Those listed as “task met” are tasks that have been executed or are in the process of being executed with fidelity to the Implementation Plan. Those listed as “tasks in progress” are tasks that have not been fully met or tasks that cannot be confirmed as met due to insufficient data.

### Summary of Key Findings

Overall, the County of Santa Clara has successfully taken many of the steps necessary to execute its Implementation Plan for Public Safety Realignment. Fifteen (15) tasks were identified in the Implementation Plan, of which 53% have been met and 47% are currently in progress. Figure 2 provides an overview of the total number of tasks identified within the Implementation Plan for each agency/department involved and their progress toward completing those tasks.

**Figure 2: Status of Formative Tasks by Agency/Department**

Agency/ Department	# of Tasks	Tasks Met	Tasks In Progress
<b>Superior Court</b>	5	2	3
<b>District Attorney and Public Defender</b>	1	--	1
<b>Probation Department</b>	3	2	1*
<b>Sheriff’s Office and Department of Correction</b>	3	2	1
<b>Mental Health Department</b>	2	2	--
<b>Community-Based Treatment Service Providers</b>	1	--	1

\*See discussion of the “Reentry Team” in the Process Evaluation of this report.



It should be noted that the Implementation Plan for Public Safety Realignment did not outline specific planning or operational tasks for either the Department of Alcohol and Drug Services (DADS) or the Social Services Agency (SSA). Both DADS and SSA are, however, included in the “Process” section of this report, as both play key roles in working with the AB109 population. For evaluation of processes by participating departments/agencies, please see the “Process” section of this report.

Current as of the end of the evaluation period (September 30, 2012):

- The Superior Court of Santa Clara County met two of five tasks, with three in-progress;
- The Office of the District Attorney and the Office of the Public Defender progressed toward completing their one task;
- The Probation Department completed two of three tasks;
- The Sheriff’s Office and Department of Correction have completed one of three tasks, with one currently in-progress;
- The Mental Health Department completed their two tasks;
- Community-Based Treatment Service Providers progressed toward completing their one task.

Each of these tasks will be explored in greater detail below.

**Funding Allocations**

As Figure 3 illustrates, the County allocated roughly \$13.6 million to Public Safety Realignment during fiscal year 2012 (October 2011 - June 2012), of which nearly \$8.75 million was actually spent. This represents a total expenditure of 64% of the allocated funding. Any unspent funding rolled over to the next fiscal year. During the first three months of fiscal year 2013 (July 2012 - September 2012), Public Safety Realignment was allocated nearly \$6.5 million, of which roughly \$4.6 million was actually spent. This represents a total expenditure of 71% of allocated funding. During our evaluation time period, spending on Public Safety Realignment totaled approximately \$13.3 million, roughly 66% of the total allocation.

**Figure 3: Public Safety Realignment Funding--Allocations versus Actual Expense**



Source: AB109 One Year Allocations and Actual Expenses, 2/11/13







## *Analysis*

During the evaluation time period, actual expense for Public Safety Realignment has been 66% of total allocated funding. While some departments spent above their original allocation, mid-year budget adjustments resulted in a reallocation of funding among departments. This may have caused some departments to report actual expenses well above the original allocation outlined in the Public Safety Realignment Implementation Plan.

## **Tasks by Agency/Department**

### **Superior Court**

To meet the objective of the Implementation Plan, the following tasks were identified for the Superior Court of the County of Santa Clara.

#### *Tasks Met*

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***Task: Review its own internal sentencing, and work to adopt best practices at the time of sentencing consistent with the intent of the Realignment Legislation.***

Documentary data indicate that the Superior Court of Santa Clara County instituted a *collaborative court system*, which attempts to use the reentry court to separate high-risk offenders from the offenders who pose little threat to the community. Doing so allowed the County of Santa Clara to expand and provide coverage not just to drug offenders, but also to veterans, the mentally ill, parolees, and other distinct criminal justice populations (Santa Clara County Mental Health Department, 2012).

***Task: Utilize Parolee Reentry Court for the large number of offenders in violation who are in need of Court monitored treatment and rehabilitation.***

In 2009, California initiated the Parolee Reentry Court Program in an effort to reduce recidivism, parole revocation, and re-incarceration among parolees. Six superior courts were awarded Reentry Court Program Grants, including the County of Santa Clara. As part of this program, courts must use a collaborative court model that employs evidence based practices and services. The program authorizes parole agents to refer parolees with a history of substance abuse or mental illness who have violated their parole conditions to the Parolee Reentry Court Program. The Reentry Court teams are authorized to determine the appropriate conditions of parole, order rehabilitation and treatment services, determine appropriate incentives, order appropriate sanctions, lift parole holds, and hear and determine appropriate responses to alleged violations (Judicial Council of California: Administrative Office of the Courts, June 2011). Since being awarded the Reentry Court Program Grant, the County of Santa Clara has utilized the Parolee Reentry Court for offenders in need of monitored treatment and rehabilitation.



### *Tasks In-Progress*

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***Task: Encourage the collaboration of Probation, the Sheriff, DADS, Mental Health and other providers of treatment and services.***

Documentary data demonstrate that the Superior Court of the County of Santa Clara collaborated with the Probation Department to develop a revocation process that works with offenders to identify the underlying causes that lead to revocation (County of Santa Clara, November 2012).

From the documentary data provided to the evaluation team, there was little evidence that the Superior Court has participated in meaningful collaboration with the Sheriff's Office, DADS, Mental Health, and other providers of treatment and services.

***Task: Redesign forms, calendars and processes to give defendants the maximum exposure to the advantages of treatment for substance abuse, treatment for the mentally ill and mentally challenged, and rehabilitation services.***

Documentary data indicate that initially, Post Release Community Supervision (PRCS) and Mandatory Supervisions (MS) Revocation Cases were heard at the Hall of Justice (Department 24) on designated calendars each Monday morning. Due to increased demand for the Department 24 PRCS and MS Revocation Case Calendar, the court added a second session on Tuesday afternoons (County of Santa Clara, November 2012).

The documentary data provided do not indicate whether forms and processes were redesigned or the degree to which they provide defendants maximum exposure to the advantages of treatment for substance abuse, treatment for the mentally ill and mentally challenged, and rehabilitation services.

***Task: Hire a Judicial Hearing Officer.***

During the interim evaluation period, Judge Paul Cole (retired) was the hearing officer assigned to preside over Post Release Community Supervision (PRCS) revocation hearings, and Judge Rene Navarro was assigned to hear violations of probation. As of the end of the interim evaluation period (September 30 2012), the court had not yet hired someone to handle parole violation hearings.

### *Analysis*

Overall, the Superior Court took many of the steps necessary to meet or make progress toward the tasks identified in the Public Safety Realignment Implementation Plan. The court succeeded in adopting best practices at the time of sentencing through the institution of a *collaborative court system*. They also succeeded in utilizing the Parolee Reentry Court for offenders in need of monitored treatment and rehabilitation services.

While collaboration between the Superior Court and the Probation Department is clearly documented, evidence of collaboration among the Superior Court and other departments/agencies is scarce,



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suggesting that formalized processes for encouraging or documenting departmental collaboration have not yet been established. Although the Superior Court made considerable progress in redesigning calendars to better serve defendants and accommodate the increased demand for court hearings, it remains unclear whether progress was made in redesigning forms and processes. Further, judges were assigned to preside over PRCS revocation hearings and probation violation hearings, respectively. No one was assigned to preside over parole violation hearings. Nevertheless, a basic framework for giving defendants exposure to the advantages of treatment for substance abuse, treatment for the mentally ill and mentally challenged, and rehabilitation services was established.

### **District Attorney and Public Defender**

To meet the objective of the Implementation Plan, the following task was identified for the Office of the District Attorney and Office of the Public Defender.

#### *Tasks In-Progress*

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***Task: Develop a revocation process and a graduated sanctions model which will be implemented to ensure consistency in the supervision and prosecution of cases.***

Documentary data indicate that during the evaluation time period, the Office of the District Attorney assigned one senior Deputy District Attorney (DDA) and the Office of the Public Defender assigned one senior Deputy Public Defender (DPD) to prepare cases and appear at Post Release Community Supervision (PRCS) and Mandatory Supervision (MS) Revocation hearings at the Hall of Justice (Department 24). The assigned DDA and DPD are responsible for reviewing each revocation file and any underlying case information that may be available (County of Santa Clara, November 2012).

In addition to tasks related to the revocation process, when issuing new criminal cases, DDAs and DPDs must determine whether each defendant, if convicted, is eligible for Penal Code (PC) §1170(h) sentencing options (County of Santa Clara, November 2012).

The Office of the District Attorney assigned one Assistant District Attorney (ADA) and the Office of the Public Defender assigned one Assistant Public Defender (APD) as the primary point for contact for most issues related to Public Safety Realignment. The ADA is responsible for preparing for and attending recurring County-wide meetings, disseminating information about emerging practices, coordinating monitoring processes, and exchanging information with County criminal justice partners and other jurisdictions on revocation and other tasks related to Public Safety Realignment (County of Santa Clara, November 2012).

Interviews with key informants indicate that no formalized graduated sanctions grid was established, but one was drafted and is expected to be implemented in the future.

#### *Analysis*

Overall, the Office of the District Attorney and the Office of the Public Defender took many of the steps necessary to meet or make progress toward the task identified in the Public Safety Realignment





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Implementation Plan. Considerable progress was made in clearly identifying the roles and responsibilities of staff involved with PRCS and MS Revocation Cases. However, based on the documentary data provided, it is unclear whether or not the graduated sanctions model was developed.

### **Probation Department**

To meet the objectives of the Implementation Plan, the following tasks were identified for the Probation Department.

#### *Tasks Met*

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***Task: Implement an evidence-based supervision and service delivery model to serve both PRCS and AB 109 populations.***

According to documentary data, the Probation Department added two High Risk Offender Units, each comprised of a supervising probation officer and eleven deputy probation officers. All staff was trained in Motivational Interviewing, an evidence-based interviewing technique proven effective in reducing recidivism in offenders. Each supervising probation officer and deputy probation officer underwent extensive training in the use of the Probation Department's new evidence based assessment tool, known as the Correctional Assessment and Intervention System (CAIS), and each offender was assessed using this new tool (County of Santa Clara, November 2012).

***Task: Develop a system of sanctions and rewards for use as a graduated sanctions or response grid model which will guide intervention decisions with all offenders under supervision.***

Documentary data indicate that the Probation Department, in collaboration with Court system partners, Office of the District Attorney, and Office of the Public Defender, developed a revocation process that works with offenders to identify the underlying causes that lead to revocation and to then hold the offender accountable through the use of graduated sanctions. This response grid model is intended to guide intervention decisions, such as service adjustments and Court Reviews (County of Santa Clara, November 2012). Interviews with key informants indicate that while no formalized graduated sanctions grid was established, one was drafted and is expected to be implemented in the future.

#### *Tasks In-Progress*

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***Task: Establish Reentry Team***

Based on the documentary data provided and discussions with the County of Santa Clara staff, the Reentry Team was not established. Please see the Process Evaluation section of this report for additional information regarding the Reentry Team.

### *Analysis*

Overall, the Probation Department took many of the steps necessary to meet or make progress toward the tasks identified in the Public Safety Realignment Implementation Plan. The department succeeded in





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implementing an evidence-based supervision and service delivery model by adding two High Risk Offender Units. All probation officers were trained in evidence-based practices, including Motivational Interviewing and the CAIS assessment tool. With regard to developing a system of sanctions and rewards, the Probation Department developed a revocation process that identifies the underlying causes of revocation and then holds the offender accountable through the use of graduated sanctions. However, as of the end of the evaluation period (September 30 2012), the graduated sanctions grid was not formalized and was in draft form and the Reentry Team was not operating.

### **Sheriff's Office/ Department of Correction**

To meet the objective of the Implementation Plan, the following tasks were identified for the Sheriff's Office/Department of Correction.

#### *Tasks Met*

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***Task: Hire staff to manage custodial alternative programs/provide intensive monitoring of pre- and post-sentenced inmates in these programs.***

According to documentary data, the Custody Alternative Supervision Program (CASP) was created by the Sheriff's Office/Department of Correction in response to the anticipated needs of the AB109 population. The program is a collaboration between the Programs Unit and the newly created Custody Alternative Supervision Unit (CASU) (County of Santa Clara, Office of the Sheriff, Custody Bureau, Support Services Division, February 2012).

**Task: Reopen the Recruiting and Training Unit and hire and train additional staff.**

The Recruiting and Training Unit referred to in the Implementation Plan evolved into two separate units. This consists of an existing unit in the Department of Correction and the Sheriff's Office's Custody Alternative Supervision Unit (CASU). CASU trained all deputies in their respective roles and their work in public safety realignment and reentry. Positions already existing within the Sheriff's Office were used to staff the units, and new positions were added. As of the end of the evaluation period (September 30 2012), all positions had been filled.

#### *Tasks In-Progress*

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***Task: Reorganize the inmate classification process; Redraft policies and procedures; Establish new guidelines for facility operations.***

According to documentary data, the Custody Alternative Supervision Program (CASP) consists of two phases:

*The In-custody Phase:* During this phase inmates sentenced under 1170(h) may participate in available in-custody rehabilitation or vocational programs. Rehabilitation Officers (RO) provide case management and assess the needs of the participants. Participants are assessed for eligibility and suitability to participate in CASP. When appropriate, participants are transitioned to the out-of-custody phase,





described below.

*The Out-of-custody Phase:* During this phase, participants are supervised by Correctional Deputies assigned to CASU and case managed by Rehabilitation Officers. Based on needs, participants may be referred to a Residential or Outpatient Treatment Program, Vocational Training classes, or Work Release or School Release programs. All participants are expected to live in verified, clean, and sober homes either with family members or in community-based transitional housing (County of Santa Clara, Office of the Sheriff, Custody Bureau, Support Services Division, February 2012).

Documentary data indicate a clear process for determining whether an inmate is suitable for participation in CASP, including the staff involved in the initial assessment, forms and/or assessment tools used, and the process for transitioning to out-of-custody supervision.

Based on the documentary data provided and a search of the County of Santa Clara website, it is unclear whether new guidelines for facility operation were established.

### *Analysis*

Overall, the Sheriff's Office and Department of Correction took many of the steps necessary to meet or make progress toward the tasks identified in the Public Safety Realignment Implementation Plan. The departments succeeded in creating the Custody Alternative Supervision Program (CASP) in response to the anticipated needs of the Realignment population. CASP is a two-phase program consisting of in-custody programming and out-of-custody supervision. There is a clearly established process for determining whether or not an inmate is suitable for participation in CASP, including the staff involved in the initial assessment, and the forms and/or assessment tools used, as well as the process for transitioning to out-of-custody supervision. The Recruiting and Training Unit was altered to consist of two separate units; one in the Department of Correction and another in the Sheriff's Office. Use of existing resources allowed the departments to more efficiently execute those duties normally assigned to the Recruiting and Training Unit. As of the end of the evaluation period (September 30 2012), it remains unclear whether new guidelines for facility operations were established.

### **Mental Health Department**

To meet the objective of the Implementation Plan, the following tasks were identified for the Mental Health Department.

#### *Tasks Met*

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***Task: Implement a Mental Health Services Act (MHSA) Innovation Project to benefit the realignment population as they transition from custody to the community, known as the ReEntry Multi-Agency Project.***

The ReEntry Multi-Agency Project (ReEntry MAP) developed and tested a service needs assessment and delivery model that facilitates interagency coordination in assessing and providing relevant and effective re-entry services for incarcerated adults exiting prison and jail settings. This encompasses a collaborative



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approach and consists of a team made up of Probation, Mental Health, Social Services Agency, Custody Health, and DADS (County of Santa Clara, November 2012).

***Task: Secure contract for Faith, Family and Community Support Service Partnerships***

Documentary data indicate that the Mental Health Department utilized Mental Health Services Act (MHSA) funds to support self-help and peer support services, while also providing ministry and mentorship opportunities. These efforts were combined with the faith-based center proposal, a process to select three faith-based community centers for support services. Faith-Based Center Contracts were executed with three local faith-based community organizations, to include Maranatha Christian Center, Bible Way Christian Center, and Breakout Prison Outreach. These organizations provide self-help and referrals for drop-in services (County of Santa Clara, November 2012).

***Analysis***

Overall, the Mental Health Department took many of the steps necessary to meet or make progress toward the tasks identified in the Public Safety Realignment Implementation Plan. The department succeeded in implementing the ReEntry Multi-Agency Project (MAP) that facilitates interagency coordination in assessing and providing services to the Realignment population. Key informant interviews suggest great success among the ReEntry MAP, however increased demand among the Realignment population caused strains on the limited available resources. The department has secured contracts with three local faith-based, community-based organizations. These additional resources will help to offset some of the increased demand on the ReEntry MAP.

**Community-Based Treatment Service Providers**

To meet the objective of the Implementation Plan, the following tasks were identified for the Community-Based Treatment Service Providers.

***Tasks in Progress***

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***Task: Require service providers to use evidence-based treatment models and practices.***

Based on the documentary data provided, it is unclear whether service providers were required to use evidence-based treatment models and practices during the evaluation time period (October 1 2011 through September 30 2012). Some service agreements between CCP partner agencies and service providers clearly required the use of a specific evidence-based practice, but others did not. It should be noted that MOUs and service agreements were not available for all departments, however, an attempt was made to interview a comprehensive sample of service providers regarding their use of evidence-based practices. However, as departments were still working toward establishing evidence-based practice requirements, and more information is needed to determine the use of these practices across providers, this task is listed as “in-progress”.



### *Analysis*

Overall, it is unclear whether all Community-Based Treatment Service Providers are required to use evidence-based treatment models and practices. Key informant interviews suggest that while some service providers use evidence-based practices when working with AB109 clients, use is not consistent across all providers. For more information, please see the Process Evaluation section of this report.





## Process Evaluation

### Introduction

This section is intended to assess the extent to which the County of Santa Clara’s realignment activities have been implemented with fidelity to the Implementation Plan. The section includes a synthesized analysis of qualitative data from internal conversations and key informant interviews with agency staff, service providers, and reentry clients, as well as documentary and quantitative data provided by agencies working with the AB109 population. This analysis is intended to provide context for the facilitators for, and barriers to, execution of the activities proposed in the Implementation Plan.

Information on progress toward implementation is presented by Departmental agency and by Community Service Providers. A “successfully implemented” activity is defined as an activity that has been executed or is in the process of being executed with fidelity to the Implementation Plan. Activities that represent “challenges to implementation” are defined as activities with significant barriers to reaching full implementation, or activities that cannot be confirmed as implemented due to insufficient data.

### Summary of Key Findings

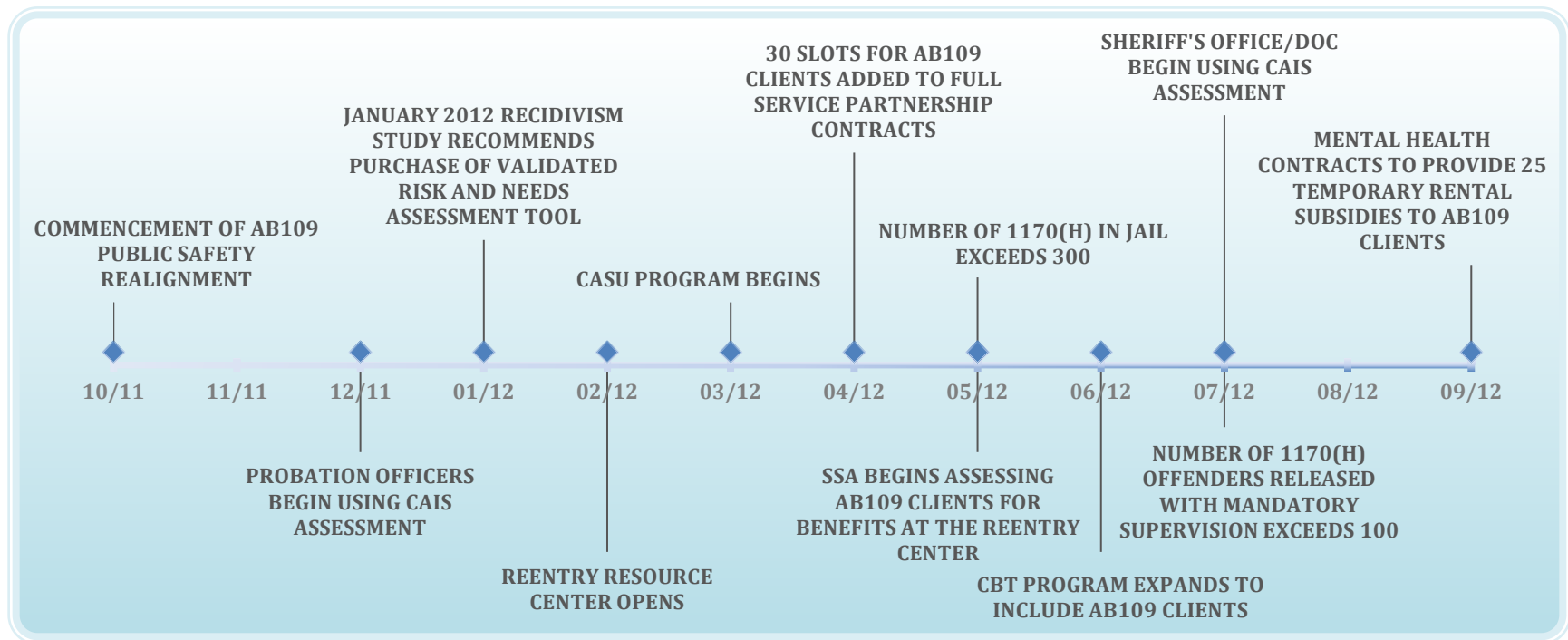
- While the Reentry Team was not established, the MAP team is completing some of the activities initially designated as Reentry Team responsibilities.
- The Reentry Resource Center has helped to promote inter-agency collaboration and has helped facilitate and streamline linkages between reentry clients and services.
- Though graduated sanctions and incentives are used in a limited and informal way, use is not formalized or consistent when working with reentry clients.
- All CCP partner agencies are tracking some information on AB109 clients, but current data collection efforts do not capture many of the elements necessary for long-term evaluation.



### Public Safety Realignment Timeline

Before the implementation of Public Safety Realignment, agencies in the County of Santa Clara prepared and planned for the influx of the AB109 population. As part of this planning process, a cross-systems collaborative participated in the creation of the County of Santa Clara 2011 Public Safety Realignment Implementation Plan. Participating agencies were aware of the necessarily iterative nature of the planning process, as well as the probability that some activities and processes outlined in the Implementation Plan would require revision based on the needs of the AB109 population. This timeline does not include all events related to implementation; it is intended to highlight milestones in order to give context to the Process Evaluation section of this report, as many of the activities discussed in the section have required enormous planning, effort, and flexibility by agencies and their staff.

Figure 4: Public Safety Realignment Timeline





## Activities by Agency/Department

### Court, District Attorney, and Public Defender

#### *Successfully Implemented*

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**Activity: Sentence 1170(h) clients to Parolee Reentry Court and other treatment courts, and monitor PRCS/1170(h) MS clients enrolled in treatment in Parolee Reentry Court.**

Court data indicate that AB109 offenders were sentenced through the Reentry Court and other treatment courts. However, the process for directing 1170(h) clients to specialty courts remains unclear.

**Activity: Utilize incentives and sanctions for supervisees receiving treatment and rehabilitation services, and consider the use of graduated sanctions and treatment when making revocation decisions.**

Interviewees reported that specialty court judges were considering past history, mental illness and addiction, and the need for services when making sentencing decisions. Comments from interviews indicate that the consequences and sentencing for drug use and other probation violations were inconsistent among judges. Interviewees also reported that while the attitudes of some judges regarding the benefits of blended sentences and alternative supervision options have changed over time, lack of “buy-in” remained an issue.

**Activity: Advocate for/against PSR sentencing options as appropriate, and represent the People’s interests (DA) / Offender’s interests (PD) at Mandatory Supervision (MS) and Post Release Community Supervision (PRCS) Revocation Proceedings, and Reentry Court Proceedings.**

According to documentary data, representatives from the Office of the District Attorney and the Office of the Public Defender were assigned to represent the People’s interests and the offender’s interests in all AB109-related court proceedings. Interviewees reported a mixed level of buy-in and use of AB109-related sentencing options among Public Defenders, District Attorneys, and judges.

### Probation Department

#### *Successfully Implemented*

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**Activity: Provide ongoing supervision period using social learning or cognitive behavioral interventions; respond to infractions with graduated sanctions.**

Probation officers in High Risk Offender Units provide intensive supervision to PRCS and 1170(h) MS clients. Probation officers were trained in cognitive behavioral techniques as well as motivational interviewing, and staff reported that they were encouraged to use these techniques in supervision. According to interviewees, officers followed a loose set of guidelines to respond to different probation violations and infractions. These guidelines encouraged officers to consider treatment, service, and intervention options before revoking or flash incarcerating supervisees. No formalized graduated



sanctions grid was formally established but one was drafted and is expected to be implemented in the future.

***Activity: Reassess needs, adjust case plan as needed.***

Probation officers reported that they could change or add new referrals, change the frequency of supervisory meetings, and adjust other aspects of supervision as situations change for clients. Probation officers also had the option to refer clients to the MAP team to be reassessed, and case plans could be adjusted after or during flash incarceration. When situations or needs changed, Probation Officers could refer clients to the Reentry Resource Center for new or additional services. Reentry clients on supervision reported feeling confident that their Probation or Rehabilitation Officer would help them if their situation or needs changed.

***Activity: Develop tracking systems.***

The Probation Department tracked population, assessment, and referral data for supervisees. Although there are significant gaps in the data that were tracked, staff from the Department expressed willingness to add new data elements to their case management system for future tracking. Additionally, the Department developed a new referral tool to track clients through the referral process. This tool will allow probation officers to track whether a supervisee has pursued the referral and shown up to the referred service. For more information regarding gaps in the data collection process and recommendations for future data collection, please see the Recommendations section of this report.

### *Challenges to Implementation*

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***Activity: Have 3 monthly face-to-face meetings with each supervisee, including 2 at the supervisees' residence.***

Interviewees reported significant challenges in meeting mandated goals for the number and location of supervisee meetings. Interviewees cited high caseloads and increased time required for supervision as the most significant barriers to meeting with supervisees the mandated number of times (3). Interviewees also reported that only one of the three monthly meetings was intended to take place at the supervisee's residence, and that these meetings were sometimes conducted in the field (as "site visits") instead of at residences. As of the end of the evaluation period (September 30 2012), the Probation Department was in the process of conducting a review of business processes regarding these meetings, and data on the number of meetings were not available. During the evaluation period, no differentiation in tracking was made between meetings that occur in the field and those that take place at a residence.

***Activity: Form a Reentry Team***

The Probation Department was tasked with forming a Reentry Team in conjunction with the Sheriff's Department and the Mental Health Department. This team was not formed, although some of these activities were and continue to be performed by members of the MAP team, as well as Probation Officers, Rehabilitation Officers, and DADS and Mental Health staff. In interviews, staff members from various agencies expressed confusion about the difference between the Reentry Team and the MAP



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team and reported that many of the planned activities for the Reentry Team were and are currently conducted by the MAP team.

1. *Meet with all locally-sentenced AB109 clients least 60 days prior to release to conduct a risk/needs assessment and develop a comprehensive case plan*

Interviewees reported that probation officers sometimes met with offenders prior to release, but that many assessments and case plans were completed after the offender was released to supervision. Staff cited insufficient resources and the size of the AB109 population as barriers to meeting with AB109 clients prior to release. Interviewees reported that the process for meeting with offenders pre-release was still in development, and cited the short time some offenders are in jail as a barrier to a formalized process. During the evaluation period (October 2011 through September 2012), there was no differentiation in tracking of meetings or assessments conducted pre- versus post-release.

2. *Meet with all locally-sentenced AB109 clients 30 days prior to release to review case plans, explain conditions of release, and provide service referrals*

Barriers to meeting with locally-sentenced AB109 clients 30 days prior to release were similar to those mentioned above for meeting with clients 60 days prior to release. Interviewees reported that all clients were presented with and read their release conditions prior to release, and that case plans were developed and reviewed with supervisees post-release.

3. *Facilitate offenders' linkage to referred services*

Probation staff reports linking supervisees to services through direct referrals and by referring supervisees to the MAP Team and the Reentry Resource Center. Reentry clients repeatedly stated that their probation officers had consistently helped them access needed services, and that they felt comfortable returning to their probation officer if they needed new or additional services.

4. *Collaborate with the Sheriff's Office to provide intensive supervision/case management during the first 30-90 days following release of 1170(h) clients*

Interviewees did not report any collaboration with the Sheriff's Office to provide supervision or case management to 1170(h) clients. The Sheriff's Office provided supervision and case management through CASU and other alternative supervision options.

5. *Meet with all returning PRCS offenders in state prison approximately 60 days prior to release to conduct a risk/needs assessment and develop a comprehensive case plan, explain conditions of release, and provide service referrals*

Probation staff participated in a MAP Team pilot project to meet with the first 50 AB109 clients reentering the County of Santa Clara, which included meeting with PRCS offenders in state prison prior to their release. This practice was not continued by Probation following the completion of the pilot project. Interviewees cited the distance and dispersal of state prisons as barriers to pre-release meetings for those being released from state prison; it was indicated that additional staff and resources would be necessary to achieve this task on a regular basis.



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#### 6. *Meet with any client who has been returned to custody for a flash incarceration or short term revocation to reassess and modify the case plan*

According to interviews and internal conversations with staff, a probation officer or another member of the MAP Team could see a supervisee who had been returned to custody, but this practice was not consistent and the information was not tracked. Interviewees also indicated that a flash incarceration or short-term revocation did not always result in a modification of the supervisee's case plan.

It should be noted that most staff and reentry clients interviewed felt that it would be very helpful to meet with all AB109 clients prior to release in order to prepare them for the expectations of their supervision and release.

### Sheriff's Office: Department of Correction

#### *Successfully Implemented*

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#### **Activity: Develop new reentry programs.**

The Sheriff's Office/Department of Correction created the CASP (Custody Alternative Supervision Program) in response to the anticipated needs of the AB109 population. The Programs Unit and Custody Alternative Supervision Unit collaborated to provide this program, which is comprised of an in-custody phase and out-of-custody phase, both of which include case management and programming. While in custody, participants had multiple programming options, including:

- Re-Entry Correction Program (RCP)
- Women Investigating New Gates to Sobriety Program (WINGS)
- Parents and Children Together program (PACT)
- M8 programs
- New Beginnings program
- Program About Change and Experience (PACE)
- Breaking Barriers program
- Get Right program
- Veterans Educated to Succeed program (VETS)
- Roadmap to Recovery program
- Vocational programs

Once released from custody, a variety of programs were available to reentry clients through the Sherriff's Office/DOC and other departments, including:

- Phase 2 of the RCP
- Public Service
- Electronic Monitoring
- House Arrest
- County Residential Treatment
- County Transitional Housing





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- Private Sober Living Environment
- Private Residential

The Sheriff's Office/DOC did not track the number of AB109 clients in each in-custody program during the interim evaluation period (October 2011 through September 2012); total numbers for each program were tracked but were not separated by AB109 and general jail population. The number of 1170(h) reentry clients enrolled in out-of-custody programs was tracked by the Sheriff's Office/DOC.

The Sheriff's Office identified several barriers to providing comprehensive and appropriate services and reentry programs for 1170(h)-sentenced clients. According to documentary data and key informant interviews, insufficient staffing created a variety of challenges, including assessing newly housed inmates, providing sufficient case-management, and preventing rule violations in out-of-custody programs. Additionally, inmates could not always be placed in the most appropriate treatment programs or classes due to lack of resources (County of Santa Clara, Office of the Sheriff, Custody Bureau, Support Services Division, February 2012).

***Activity: Creation of certified records to document prior convictions.***

The Board of Supervisors approved the addition of a Law Enforcement Records Administrator position in the Fiscal Year 2013 budget, and the position was filled. One of the responsibilities of this position is to perform the official Custodian of Records functions, including functions related to prior conviction documentation.

***Activity: Establish baseline recidivism data.***

The CCP created a task force to establish a baseline definition of recidivism, and this effort is still in progress. Data elements that may be used to determine recidivism rates were tracked across various agencies, although there were significant barriers in preparing these data to be analyzed for the purposes of measuring recidivism. For more information on recommendations for data collection and tracking, please see the Conclusion and Recommendations section of this report.

***Challenges to Implementation***

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***Activity: Participate in Reentry Team activities.***

The Sheriff's Office was tasked with participation in the Reentry Team in conjunction with the Probation Department and the Mental Health Department. The Reentry Team was not formed: for more information on barriers to the formation of the Team, see "Activity: Form a Reentry Team" under "Probation Department" above.



## Mental Health Department

### *Successfully Implemented*

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#### **Activity: Form and Participate in the Reentry MAP.**

1. *Design and test unified assessment model*

The CCP Reentry MAP Critical Needs Index was used by the MAP Team to assess AB109 clients. The index is an eight-item questionnaire that evaluates risk level across eight domains, and is designed to collect data to track participants' status over time (Santa Clara County Mental Health Department, 2012).

2. *Design and test comprehensive multi-domain reentry service plan*

The MAP did not formally design or test a reentry service plan. A Probation Officer or Rehabilitation Officer completes a case plan after doing an initial assessment (CAIS), then the client is assessed by a member of the MAP team. After the MAP assessment, the assessor prioritizes which services are the most immediate and connects the client to these services.

3. *Provide assessment, case planning, and service provision for first 50 AB109ers reentering in the County of Santa Clara*

The MAP team completed the pilot project with the involvement of Mental Health and Probation. Staff from various departments expressed confusion over whether this pilot was the responsibility of the Reentry Team or the MAP Team. Probation reported that case information was not tracked for the pilot, but that around 50 people were seen prior to release. Mental Health collected and entered assessment information for these clients into their assessment database, but did not track the pilot project clients separately from subsequent clients. The MAP team provided assessment, referrals, and service provision, and established a regular presence at the Reentry Resource Center.

4. *Design and test Reentry Outcome Dashboard*

During the interim evaluation period (October 2011 through September 2012), the MAP team developed and began the use of a Reentry Needs Assessment Database, which includes demographic, assessment, and benefits eligibility data. Documentary data indicate that work is underway on the dashboard to track pilot progress in addressing client needs in multiple domains (Santa Clara County Mental Health Department, 2012).

### *Challenges to Implementation*

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#### **Activity: Participate in Reentry Team activities.**

The Mental Health Department was tasked with participation in the Reentry Team in conjunction with the Probation Department and the Sheriff's Office/Department of Correction. The Reentry Team was not formed; see the information provided for the Probation Department for details related to barriers to the formation of the Reentry Team.





***Activity: Expand Full Service Partnership and Mental Health Outpatient Services.***

According to information provided by the Mental Health Department, the Full Service Partnership consistently operated at full capacity (30 clients) throughout the evaluation period. The Mental Health Department did not track the unique number of individuals served each month or in total.

The Mental Health Department did not track the number of AB109 clients receiving mental health outpatient services during the evaluation period. Staff expressed plans to track this data element in the future.

***Activity: Expand Transitional Housing.***

After discussing the specific housing needs of the AB109 population, MAP Team members agreed to provide temporary rental subsidies to clients who may be able to become economically self-sufficient in place of permanent subsidies for clients with disabling conditions. As a result, Mental Health contracted with a provider to administer a program providing temporary subsidies beginning in September 2012 (County of Santa Clara, 2012). The Mental Health Department also began providing ten supported shelter beds through contracts beginning in April 2012. No additional subsidies or shelter beds were added following their respective start-up dates.

## **Department of Alcohol and Drug Services (DADS)**

### ***Successfully Implemented***

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***Activity: Increase outpatient and residential treatment services.***

The monthly number of DADS placements in both outpatient and residential treatment services steadily increased from October 2011 to September 2012. Outpatient placements experienced a sharper rise, with residential treatment placements showing a slower but steady increase over the evaluation timeframe (Santa Clara County Office of Budget and Analysis, 2012).

***Activity: Increase transitional housing.***

The number of clients placed in transitional housing units showed a general upward trend from October 2011 to September 2012, with a sharp increase in placements between August and September 2012 (Santa Clara County Office of Budget and Analysis, 2012).

***Activity: Assess AB109 clients.***

According to key informant interviews, DADS assessed AB109 clients via their Gateway call center and through their satellite offices, one of which is housed in the Reentry Resource Center. DADS staff assessed reentry clients with one of two tools: a shorter screening tool or a longer, more comprehensive assessment. As of the end of the evaluation period, DADS did not track the origin of referrals to their services or the number of referrals from each referring department or agency. Instead, they tracked the number of people who contacted DADS to be screened or assessed, and asked clients how they were referred. Clients disclosing that they were part of the AB109 program had "AB109" listed under their referral field. Staff members at the residential and outpatient facilities that contract with DADS to



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provide services had access to the assessments that DADS conducted and were trained on how to read the assessments.

**Activity: Participate in Reentry MAP.**

DADS had a staff member located at the Reentry Resource Center who participates in the MAP Team. As part of the MAP team, the DADS staff person interacted with staff from other departments to help connect clients to services and to adjust service and case plans to meet client needs.

### **Social Services Agency (SSA)**

*Successfully Implemented*

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**Activity: Participate in Reentry MAP.**

An SSA staff member participated in the Reentry MAP at the Reentry Resource Center. Initially there were difficulties with applications and paperwork; some difficulties existed with collaboration because of different systems for each department. During the evaluation time period, an AB109 clerk was hired to register AB109 clients and help with applications; this reduced administrative burdens for members of the MAP team, and helped expedite the process of assessing clients for benefits.

**Activity: Assess individuals for public benefits eligibility at resource centers.**

SSA had a staff member located at the Reentry Resource Center who assessed individuals for public benefits eligibility. The number of individuals assessed showed a general upward trend during the interim evaluation time period.

**Activity: Participate in AB109 Data Collection and Sharing Project.**

SSA tracked required information and provided it for the AB109 data collection and sharing project.

### **Community Based Service Providers**

*Successfully Implemented*

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**Activity: Use evidence-based treatment models and practices.**

Most CBOs used evidence-based treatment models and practices, including motivational interviewing, cognitive behavioral therapy, evidence-based curriculums, and treatment models such as the “housing first” and “community treatment” models. Many staff members felt that their organizations were supportive of the use of evidence-based models and practices and many provided training in their use, although some required employees to already be trained and familiar with evidence-based treatments prior to hire.



*“I have a hard time even explaining about it sometimes, I’ve come such a long way. I kept saying ‘next time, next time.’ Through AB109... it’s just the beginning for me, at 42 years old, it’s my beginning.”*

## Emerging Themes

### Communication and collaboration

Staff from CCP partner agencies as well as CBOs reported that the Reentry Resource Center significantly improved communication and collaboration between agencies working with the AB109 population. Interviewees listed cross-agency participation in the MAP team and having different agencies represented at the Reentry Resource Center as the main contributors to increased communication and collaboration. CBO staff especially felt that collaboration helped to reduce duplication of services, and interviewees from various agencies reported sharing information about clients through informal as well as formal processes. Many staff reported that relationships had improved and that staff members from

other agencies were reachable by phone or email to discuss client needs.

*“There’s a lot [that still has to be done] but a lot of it is just getting people on the same page. I don’t think we’re in really hard silos, but it’s about people really changing their thought processes.”*

As of the end of the evaluation period, barriers to collaboration were still present, although most interviewees agreed that collaboration had increased. The most commonly reported barriers were inconsistent levels of “buy-in” and participation in collaborative efforts by

staff from other agencies, differences in opinion on what is best for the client, and difficulties sharing information because of different data/tracking systems and confidentiality. Many interviewees also felt that although they would like to refer clients to other services, the types of services, capacity, and referral process were either unclear or unknown. Several respondents suggested creating and distributing a comprehensive list or description of agencies, services, and referral processes for staff working with the AB109 population. Staff from community-based organizations in particular reported that their relationships with Probation Officers and Rehabilitation Officers were especially important to maintain and many expressed hope to further improve these relationships in order to better serve their clients.

### Linking reentry clients to services

Interviewees consistently reported that they could easily link reentry clients to services. Staff cited the Reentry Resource Center as a major factor in facilitating this process, not only simplifying the

*“The referral process has been excellent. They’ve been able to give me resources, access to programs – the support is tremendous.”*





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referral process but also increasing clients' knowledge of what services are available. Reentry clients also reported feeling impressed and satisfied by the services available to them and the timeliness of the referral process. Clients often commented that the speed of connections to services were hugely helpful to them; the quick turnaround instead of waiting for appointments and lengthy referral/eligibility processes helped them to feel cared for and hopeful for the future. Reentry clients also reported feeling comfortable going to their Probation Officers or Rehabilitation Officers when they needed a new or different type of service; both Officers and Reentry Resource Center staff helped with new referrals when needs or situations changed.

Although interviewees from CCP partner agencies and CBOs generally agreed that the referral process is easier and that access to services has increased, limitations on the capacity of services still restricted access for some reentry clients. Lack of sufficient housing was the most commonly cited deficiency, with employment being another commonly reported concern. As mentioned above, interviewees felt that a lack of knowledge about the capacity, services provided, and referral process in agencies other than their own created barriers to linking clients to services that their own agencies do not provide. Also, although staff members felt that the Reentry Resource Center has helped to improve linkages to services, some staff expressed frustration with client "no-shows", difficulty tracking down clients, and the lack of a consistent way to track clients' referrals to and enrollment in services across agencies.

**Adjusting to the needs of the population**

Interviewees reported a wide range of changes in order to adjust to the needs of the AB109 population, including modifying or implementing new processes and tools, and hiring and training more staff. Comments and actions of staff across agencies indicated flexibility and a willingness to adjust as the AB109 population reentered the community. Staff demonstrated initiative in identifying unanticipated needs of AB109 clients and often acted proactively to find solutions. Some interviewees credited this flexibility with creating positive changes that helped staff accommodate the specific needs of the AB109 population as they emerge. For example, staff at the Reentry Resource Center opened a clothes closet after recognizing a need for access to clothing among their clients. Interviewees also reported changing processes to eliminate waiting time for services, such as referring clients directly instead of to a general service number, and prioritizing the process for obtaining proper identification in order to expedite eligibility screening.

*"We try to look at the big picture and apply what we need to get done with the resources we have and what we're seeing with the clients. We try to keep it a bit flexible, adjust to the clients. We're still trying to fine-tune things as we go."*



*"I believe that the people that are really tired of the same routine, going in and out, they have a much better chance to succeed. It's always been about the client, but this collaboration... has improved their chances of success."*

Although staff from many agencies reported that their ability to manage the AB109 population had improved over time and as the numbers of clients leveled, probation officers were still managing an overburdened caseload. Interviewees reported that some officers had over forty supervisees, whereas the County recommendation is 30. Interviewees reported that the large caseload made it difficult for officers to schedule and complete the mandated number of meetings and provide sufficient supervision to every client.

### **Change in culture and attitude**

Reentry clients both in custody and in post-custody supervision recognized a noticeable change in attitude and approach in agency staff, most notably in the Probation Department and the Sheriff's Office/DOC. Interviewees reported feeling supported by supervision staff and felt that supervision had shifted to focus more on reentry and rehabilitation, instead of incarceration. Many interviewees also felt that their relationships with supervision and other staff were more positive and respectful, and that supervision staff were more forthcoming with information and opportunities for services. Reentry clients also noted that the increased opportunities were met with an increase in expectations; interviewees recognized that this type of supervision required more initiative and follow through, higher levels of accountability, and often longer periods of supervision.

Changes in culture and attitude were less clear among staff themselves, and particularly in interviewees' views of staff from other departments. Many interviewees reported inconsistencies in approach and levels of cooperation among staff from departments other than their own. Although interviewees reported that staff culture had changed for the better, many repeatedly mentioned the need for more consistent adoption of these new attitudes.

*"I feel more welcomed here, helped. feel like...they reach out. I like it Probation is harder, but that's what need... Here they're not playing. have no problem with it being harder."*

### **Data collection, tracking, and sharing**

Agencies working with the AB109 population tracked data on clients differently and with varying levels of comprehensiveness. Although all departments tracked data on AB109 clients, some were not tracking AB109 clients separately from the general population that they served. Many agencies appeared to collect and report on data strictly within the guidelines of what they were required to produce for the Public Safety Realignment Data Report spreadsheet. CCP partner agencies reported selected data elements monthly, and the data were compiled and maintained for reporting by the Information Services Department. Although this report includes many useful data elements, information were not captured for all populations and service areas, and there was a lack of consistency in the definition of terms used for reporting.



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The MAP team worked collaboratively to track and share some information on reentry clients across agencies. Probation staff also reported that a new tool was in development to track client referrals, in order for both providers and Probation Officers to see the status of the referral and enrollment in services. Although these are positive steps, interviewees still reported difficulties obtaining information from other agencies, including basic information that identifies AB109 clients. For recommendations regarding data collection and tracking please see the Conclusion and Recommendations Section of this report.

*“This is the first time I’ve been able to feel open with PO, not try to hide things. He listens to what I have to say. He’s not rude, he thinks you’re somebody, not nobody like before. I just like it all around. It’s great.”*



## Summative Section

### Introduction

This section examines outcomes from the execution of the Public Safety Realignment Implementation Plan over the timeframe of October 2011 through September 2012. As the evaluation timeframe is insufficient to draw conclusions regarding long-term outcomes, this section focuses on assessing interim outcomes as a result of the County's Implementation Plan. The outcomes are based on quantitative data collected from partner agencies and community-based organizations that interact with the Realignment population. These data were used to illustrate short-term outcomes related to service provision and recidivism, defined for the purposes of this evaluation as all supervision/post-release failures inclusive of new arrests, charges, and violations.

The section is organized by a review of Key Findings, followed by characteristics of the AB109 population, and outcomes related to service provision and recidivism.

### Key Findings

- Between October 2011 and September 2012, the total realignment population was 2,498 individuals. Of those 48% were classified as 1170(h), 44% as PRCS, and 8% as 1170(h) MS.
- A greater percentage of PRCS offenders than 1170(h) MS offenders were identified as being high risk for re-offense as determined by CAIS.
- Overall, a greater percentage of PRCS offenders than 1170(h) and 1170(h) MS offenders committed more than one supervision/post-release failure during the evaluation time period.
- Overall, the PRCS population had supervision/post-release failures with higher offense levels than the 1170(h) and 1180(h) MS populations.
- Following the opening of the Reentry Resource Center in February 2012, referrals to and enrollment in post-custody services increased, suggesting that the increased coordination at the Reentry Resource Center resulted in improved linkages between clients and services.

### The Public Safety Realignment Population

The Public Safety Realignment Population is made up of three distinct groups:

- ❖ **Post Release Community Supervision (PRCS):** this population includes inmates released from a state facility who, regardless of prior offenses, are not serving a current state prison commitment for a serious, violent, or high-risk sex offense (often referred to as "non-nonnons"). Offenders released from state prison on or after October 1, 2011 after serving a sentence for an eligible offense are subject to a period of post release community supervision for a period not to exceed three years. The PRCS population is not a new criminal population, therefore it is expected that this population will continue to decline as these inmates are



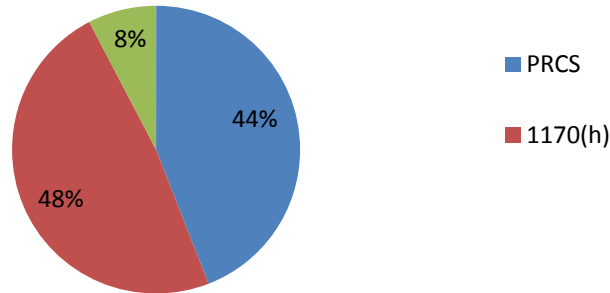
released from state prison.

- ❖ **1170(h)**: this population includes low-level felony offenders who will serve their time in county jail rather than state prison (known as a straight sentence).
- ❖ **1170(h) MS**: this population includes low-level felony offenders who will either be sentenced to out-of-custody mandatory supervision (MS) or will serve time in county jail and then be released to out-of-custody MS (known as a split sentence).

**Population Breakdown**

Between October 2011 and September 2012, the total realignment population was 2,498 individuals. Of that, 48% were 1170(h), 44% were PRCS, and 8% were 1170(h) MS (Figure 5). It is expected that over time the PRCS population will continue to decrease as the 1170(h) and 1170(h) MS populations continue to increase.

**Figure 5: Total Realignment Population (n=2498)**

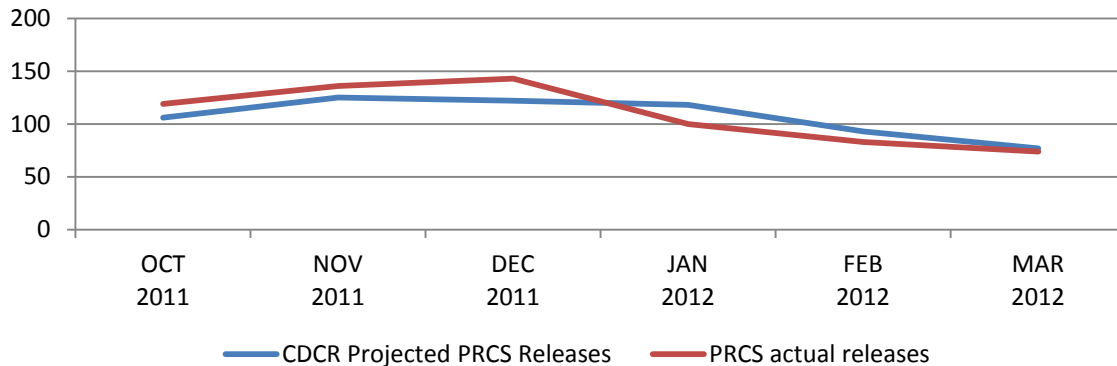


Source: CJIC Data Extraction, 1/7/13

**Supervision Populations**

Between October and December 2011, the California Department of Correction and Rehabilitation (CDCR) underestimated the number of PRCS released to the County of Santa Clara, while overestimating the number of PRCS releases between January and March 2012 (Figure 6). Overtime, the projected and actual PRCS releases are getting closer in value.

**Figure 6: CDCR Projected PRCS Releases vs. Actual Releases**



Source: Public Safety Realignment Program (AB109) FY 2013 Recommended Budget Report



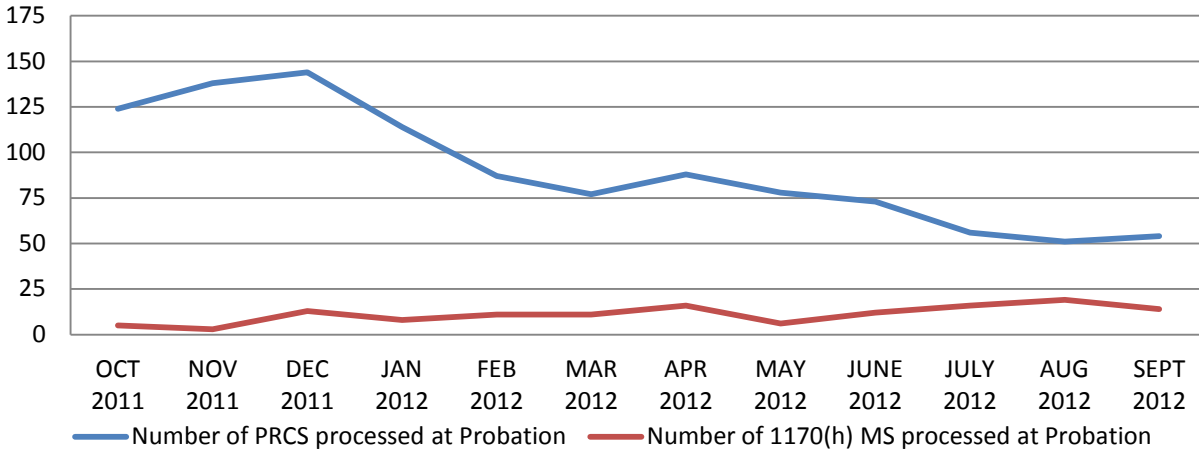




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As expected, the total monthly PRCS population processed at Probation (Figure 7) showed a downward trend between December 2011 and August 2012, decreasing from nearly 150 PRCS offenders processed in December 2011 to 50 offenders processed in August 2012. The total monthly 1170(h) MS population released with mandatory supervision showed a relatively constant trend, hovering around 15 offenders released with mandatory supervision per month, with minor changes month to month.

**Figure 7: Supervision Populations Processed at Probation**

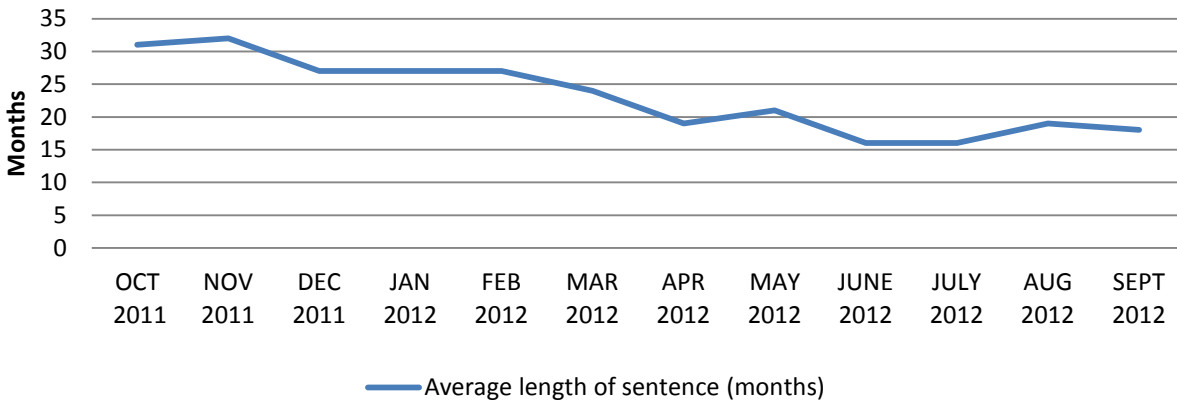


Source: Public Safety Realignment Program (AB109) Summary of Implementation Data, 12/11/12 and data provided by Probation Department 1/15/13

**Average Length of Jail Sentence**

Of the total 1170(h) population, which includes both 1170(h) and 1170(h) MS populations, 81% served or are serving “straight” sentences, whereas 19% served or are serving “split” sentences. While the average length of sentence for the 1170(h) population showed a downward trend from 31 month sentences in October 2011 to 18 month sentences in September 2012 (Figure 8), as anticipated, the number of 1170(h) offenders in jail by month rose steadily from October 2011 to July 2012.

**Figure 8: 1170(h) Realignment Population - Average Length of Sentence**



Source: Public Safety Realignment Program (AB109) Summary of Implementation Data, 12/11/12





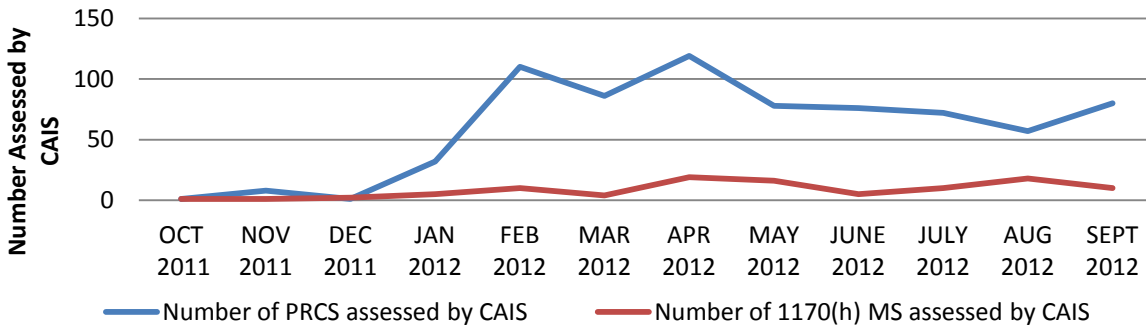
### CAIS Assessments

The Correctional Assessment and Intervention System (CAIS) is a comprehensive, evidence-based approach to the supervision of adult offenders. CAIS combines a risk assessment and a needs assessment to determine the underlying motivation for criminal behavior. This information is used to develop a supervision strategy intended to reduce cycles of recidivism. Those assessed by CAIS are identified as high, medium, or low risk for re-offense and appropriate supervision strategies are recommended based on this identified risk level.

The Probation Department administered CAIS assessments to those offenders released with supervision (Figure 9). CAIS assessments of all new PRCS and 1170(h) MS cases started in December 2011, which may explain the sharp increase in CAIS assessments in January and February 2012. Probation is currently going back and assessing those who were not originally assessed by CAIS.

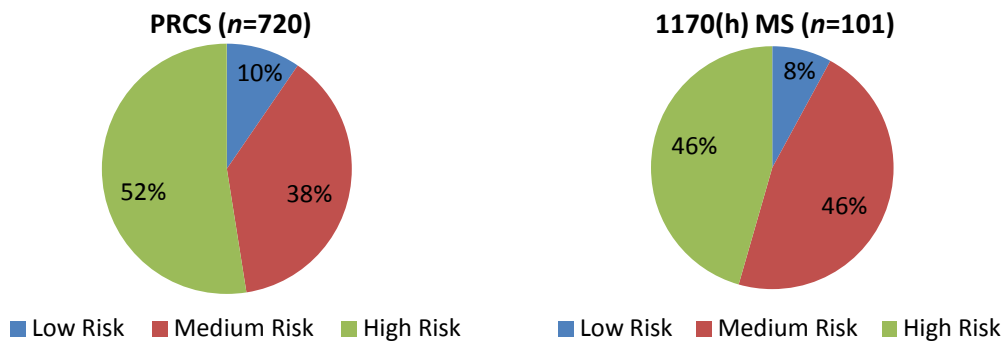
Of those PRCS offenders assessed by CAIS, 52% were identified as having a high risk for re-offense, 38% a medium risk for re-offense, and 10% a low risk for re-offense (Figure 10). For the 1170(h) MS offenders assessed by CAIS, 46% were identified as having a high risk for re-offense, 46% a medium risk for re-offense, and 8% a low risk for re-offense. Generally speaking, a greater percentage of PRCS offenders than 1170(h) MS offenders were identified as being high risk for re-offense.

**Figure 9: PRCS and 1170(h) MS Realignment Population Assessed by CAIS**



Source: Public Safety Realignment Program (AB109) Summary of Implementation Data, 12/11/12

**Figure 10: PRCS and 1170(h) MS by CAIS Risk Tier**



Source: Public Safety Realignment Program (AB109) Summary of Implementation Data, 12/11/12



## Interim Outcomes

### Referrals and Enrollment in Services

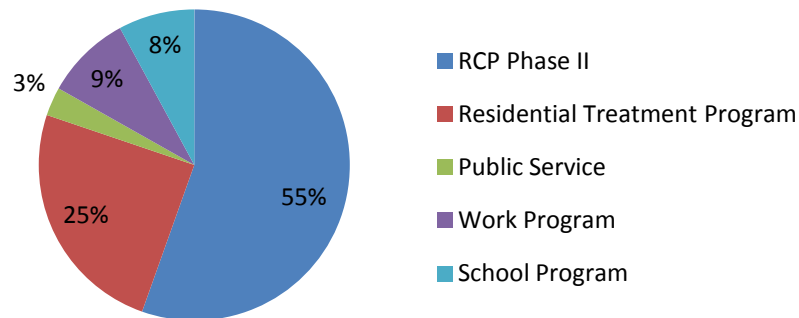
The following charts illustrate findings related to service provision for all Public Safety Realignment populations.

#### Post-Custody Services

Generally speaking, following the opening of the Reentry Resource Center in February 2012 and the establishment of services in the following months, referrals to and enrollment in post-custody services increased, suggesting that the increased coordination at the Reentry Resource Center resulted in improved linkages between clients and services.

Between October 2011 and September 2012, 103 individuals participated in Custody Alternative Supervision Unit (CASU) out-of-custody programs. The majority (55%) participated in RCP Phase II, 25% in Residential Treatment Programs, 9% in Work Programs, 8% in School Programs, and 3% in Public Service programs (Figure 11).

**Figure 11: 1170(h) Offenders Participating in Out of Custody Services (n=101)**



Source: Public Safety Realignment Program (AB109) Summary of Implementation Data, 12/11/12

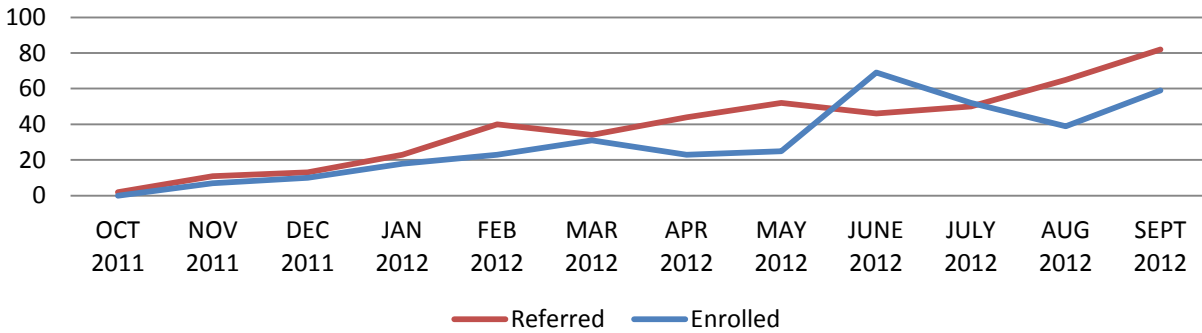
#### Substance Abuse Treatment Services

Of the PRCS population in need of substance abuse treatment services, nearly 72% of those referrals were for outpatient treatment services, compared with 24% for residential treatment services, and 4% for transitional housing units.

The number of referrals to substance abuse treatment services steadily increased across the evaluation period (Figure 12). Although, enrollment in services shows patterns of increase and decrease, the sharpest increase in enrollment in services occurs in June 2012, following the opening of the Re-entry Center in February 2012.



**Figure 12: PRCS Referrals and Enrollment in Substance Abuse Treatment Services**



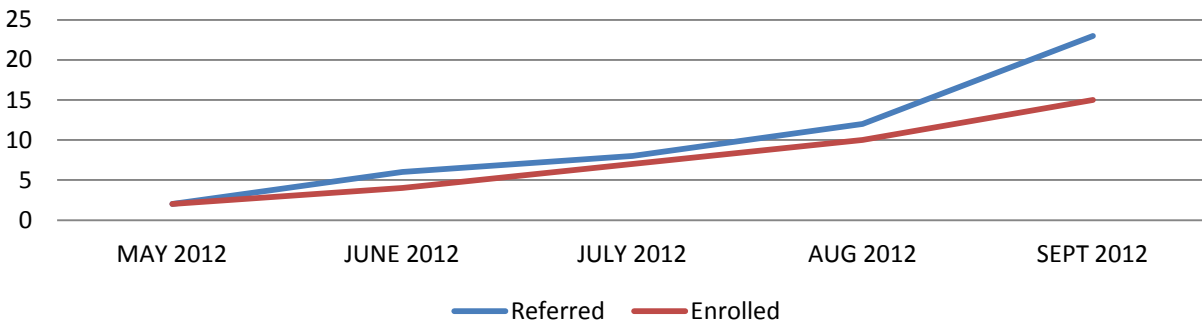
Source: Public Safety Realignment Program (AB109) Summary of Implementation Data, 12/11/12

Note: Data include residential treatment services, outpatient treatment services, and transitional housing units.

**Cognitive Behavioral Services**

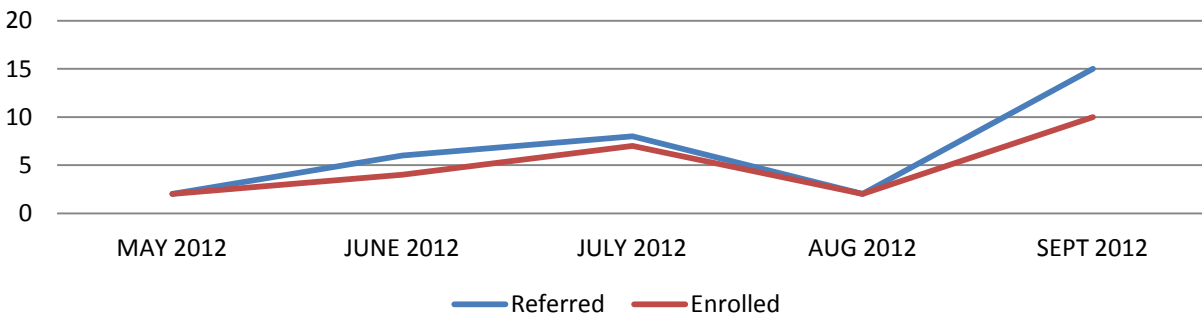
The number of PRCS offenders referred to and enrolled in cognitive behavioral services steadily increased between May and September 2012 (Figure 13). Data prior to May 2012 were not available. The 1170(h) MS population shows a marked increase in referrals and enrollment in cognitive behavioral services between August and September 2012 (Figure 14).

**Figure 13: PRCS Referrals versus Enrollment in Cognitive Behavioral Services**



Source: Public Safety Realignment Program (AB109) Summary of Implementation Data, 12/11/12

**Figure 14: 1170(h) MS Referrals versus Enrollment in Cognitive Behavioral Services**



Source: Public Safety Realignment Program (AB109) Summary of Implementation Data, 12/11/12



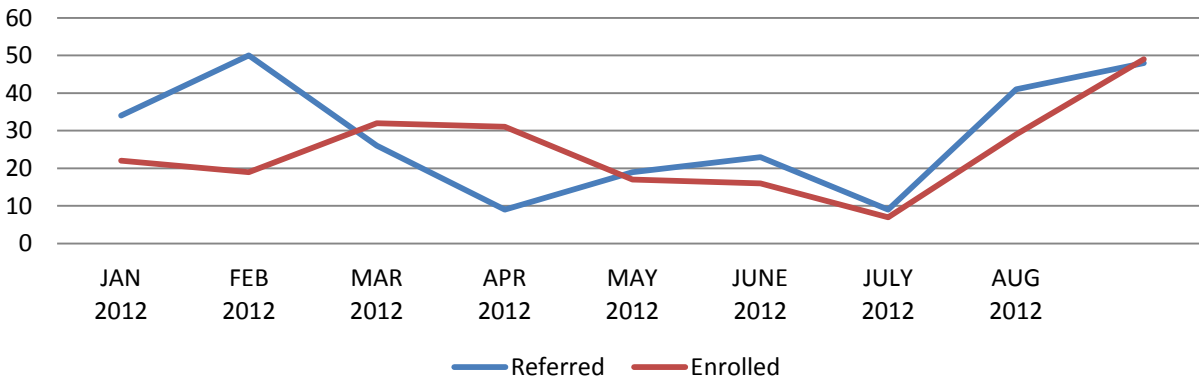
*Employment, Vocational, and Education Services*

The number of 1170(h) MS offenders being referred to and enrolled in employment, vocational, and education services is considerably less than that of the PRCS population.

The number of PRCS offenders referred to employment, vocational, and education services declined dramatically between February and April 2012, while enrollment levels actually increased during this time period (Figure 15). In the months following the opening of the Reentry Resource Center in February 2012, referrals and enrollment numbers more closely matched, further evidence that the Reentry Resource Center plays an important role in linking the Public Safety Realignment population to needed services.

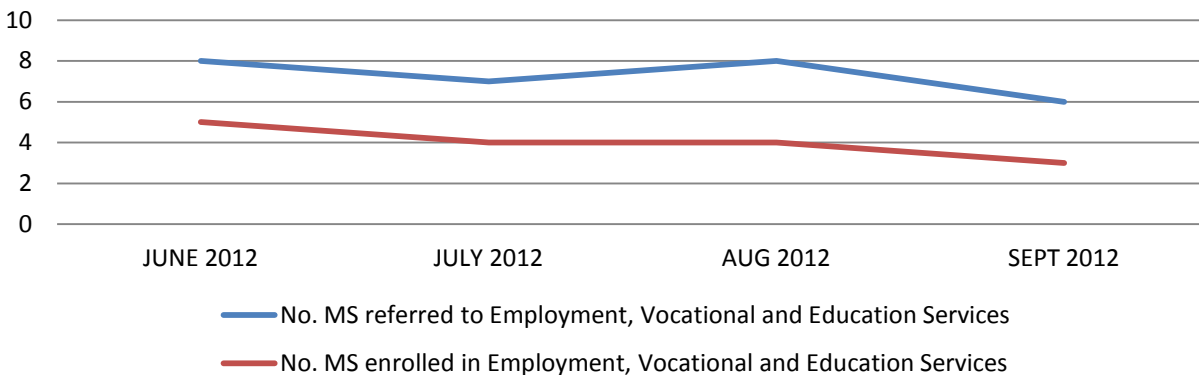
The 1170(h) MS population remained relatively consistent in both the number of referrals and enrollment in employment, vocational, and education services between June and September 2012 (Figure 16). Data prior to June 2012 is not available.

**Figure 15: PRCS Referrals and Enrollment in Employment, Vocational, and Education Services**



Source: Public Safety Realignment Program (AB109) Summary of Implementation Data, 12/11/12

**Figure 16: 1170(h) MS Referrals and Enrollment in Employment, Vocational, and Education Services**



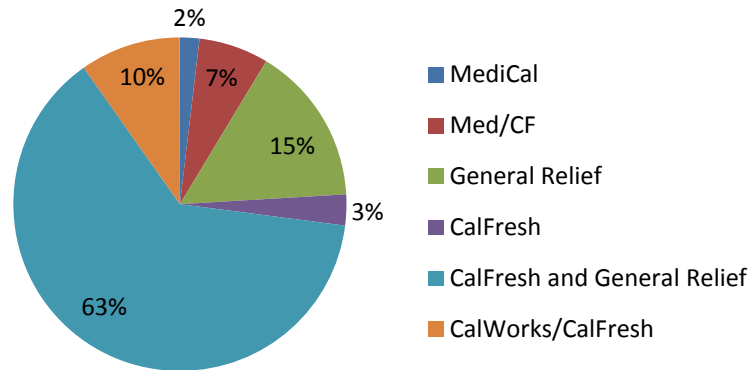
Source: Public Safety Realignment Program (AB109) Summary of Implementation Data, 12/11/12



**Social Services**

Between May and September 2012, the number of Public Safety Realignment clients who were screened for benefits by the Social Services Agency (SSA) showed a general upward trend. Data on benefits screening became available after the establishment of an SSA presence at the Reentry Resource Center in May 2012. Of the Public Safety Realignment population enrolled in social services, the vast majority was enrolled in CalFresh and General Relief, accounting for 63% of all service types (Figure 17).

**Figure 17: Public Safety Realignment Population Enrolled in Social Services by Type (n=266)**



Source: Public Safety Realignment Program (AB109) Summary of Implementation Data, 12/11/12

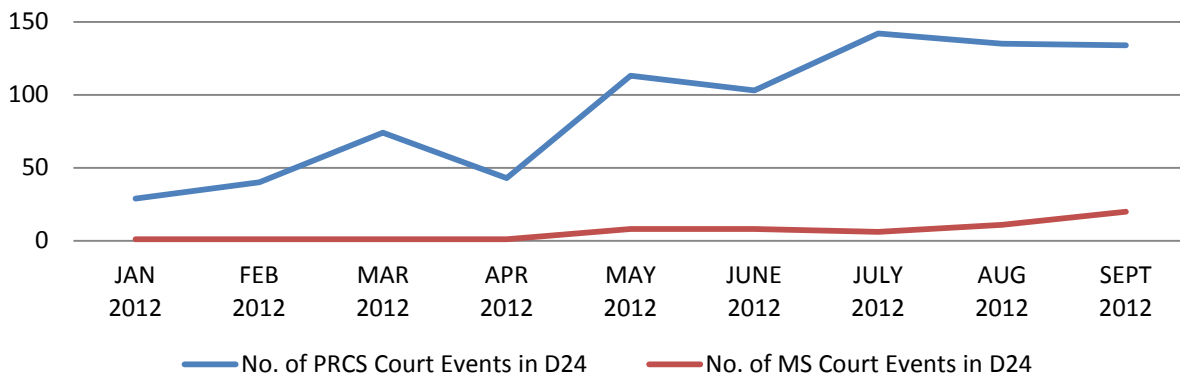


**Recidivism**

*Court Events*

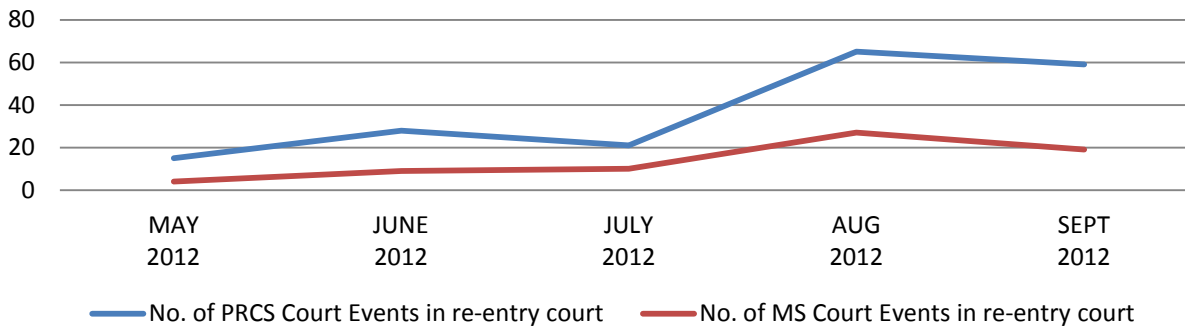
Court events for PRCS and 1170(h) MS offenders can occur in the Hall of Justice or the Parolee Reentry Court. The Hall of Justice hears criminal cases, and the Parolee Reentry Court is a specialty treatment court which is intended to be utilized for offenders who are in need of Court monitored treatment and rehabilitation. Revocation court events for the PRCS population greatly outnumbered the revocation court events for the 1170(h) MS population (Figure 18). It appears that the number of court events for the PRCS has leveled off or gradually declined since July 2012. This is expected as the PRCS population continues to decline. The Reentry court demonstrated a similar pattern (Figure 19), with the PRCS population representing the majority of Reentry court events, with declines reported for both PRCS and 1170(h) MS populations in August 2012.

**Figure 18: PRCS and 1170(h) MS Revocation Court Events Heard in Hall of Justice (D24)**



Source: Public Safety Realignment Program (AB109) Summary of Implementation Data, 12/11/12

**Figure 19: PRCS and 1170(h) MS Court Events in Re-Entry Court**



Source: Public Safety Realignment Program (AB109) Summary of Implementation Data, 12/11/12

*Flash Incarcerations, Parole Revocations, and New Arrests*

During the evaluation time period, the number of 1170(h) offenders with parole revocations rose and fell over the course of the year, reaching a high of seventeen parole revocations in March 2012 (Figure 20). There has since been a decline in parole revocations between August and September 2012. Flash

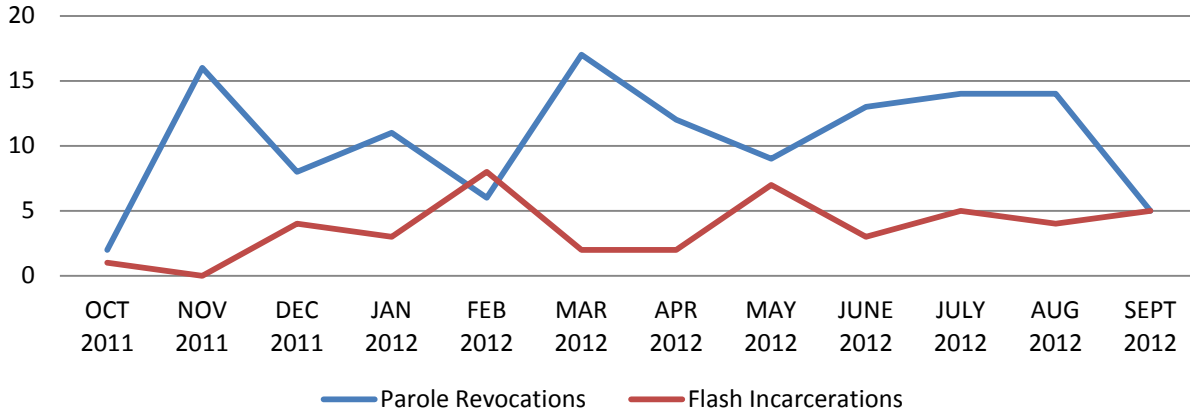




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incarcerations among 1170(h) offenders reached its highest level in February 2012 with eight flash incarcerations. These have since leveled off. The 1170(h) populations experienced more parole revocations than flash incarcerations during the evaluation time period.

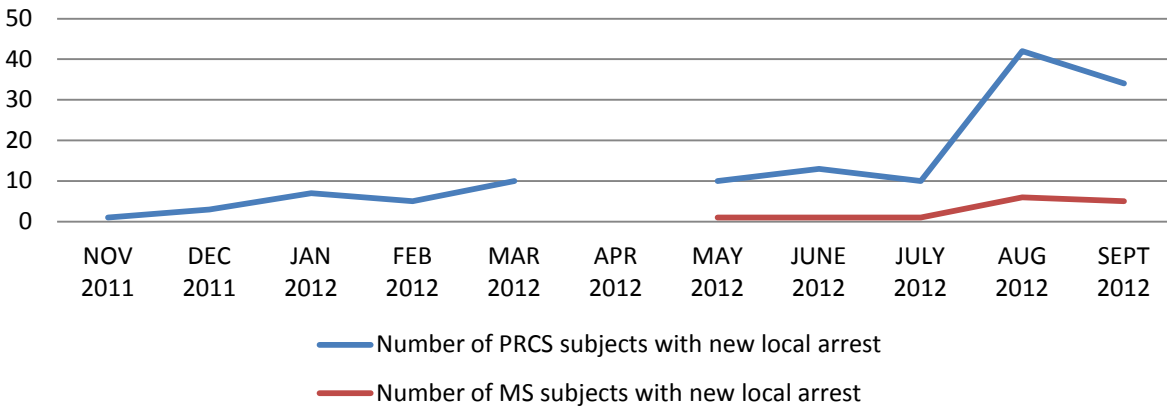
**Figure 20: 1170(h) Parole Revocations and Flash Incarcerations**



Source: Public Safety Realignment Program (AB109) Summary of Implementation Data, 12/11/12

Based on the available data, the PRCS population with new local arrests is significantly higher than the 1170(h) MS population. Between July and August 2012, the PRCS population more than quadrupled the number of new local arrests, whereas the 1170(h) population remained below relatively low.

**Figure 21: PRCS and 1170(h) MS Populations with New Local Arrest**



Source: Public Safety Realignment Program (AB109) Summary of Implementation Data, 12/11/12





### Supervision Terminations

Between October 2011 and September 2012, a total of 3.2% of all PRCS offenders processed at probation and 5.2% of all 1170(h) MS offenders processed at probation had their supervision terminated as a result of being violation free for at least six months. One half percent (0.5%) of PRCS offenders had their supervision terminated as a result of new criminal convictions, whereas the 1170(h) MS population reported none (0%) for the same time period.

### Supervision/Post-Release Failures

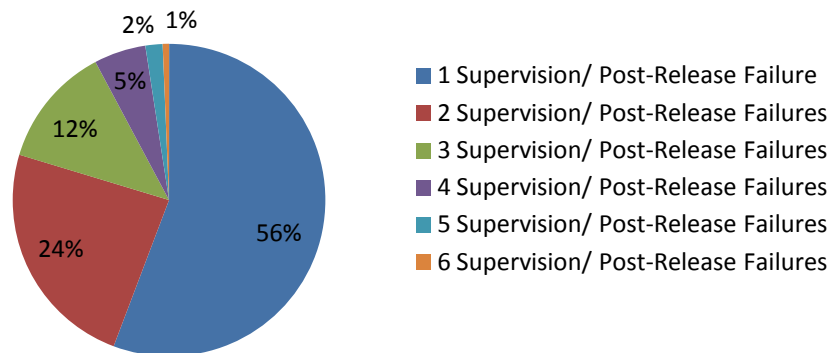
For the purposes of this report, a supervision/post-release failure has been defined as any post-release “failure” including: 1) subsequent arrests; 2) subsequent convictions; 3) subsequent violations; and 4) subsequent commitments (to jail, prison, or flash incarceration). According to this definition, the supervision populations may report higher supervision/post-release failures than the other populations due to the added element of flash incarcerations. Individuals with bookings/charges that resulted in an acquittal, dismissal, or discharge have been eliminated from the data set. Only those incidents with unique bookings numbers were used as part of this analysis.

### Total Public Safety Realignment Population

Between October 2011 and September 2012, 64% of the Public Safety Realignment population had a booking/charge that resulted in an arrest, conviction, violation, or commitment. Thirty percent of the total population had at least one supervision/post-release failure.

Figure 22 shows the total Public Safety Realignment Population who has had a supervision/post-release failure during the evaluation time period, broken down by the number of supervision/post-release failures committed by an individual. Fifty-six percent of all supervision/post-release failures are committed by those with one supervision/post-release failures. Forty-four percent are committed by those with two or more supervision/post-release failures. Twenty percent of all supervision/post-release failures were committed by those with three or more supervision/post-release failures during the evaluation time period.

Figure 22: Public Safety Realignment Population with Supervision/Post-Release Failures (n=563)



Source: CJIC Data Extraction, 1/7/13

Note: Supervision/post-release failures representing <1% were removed from this chart





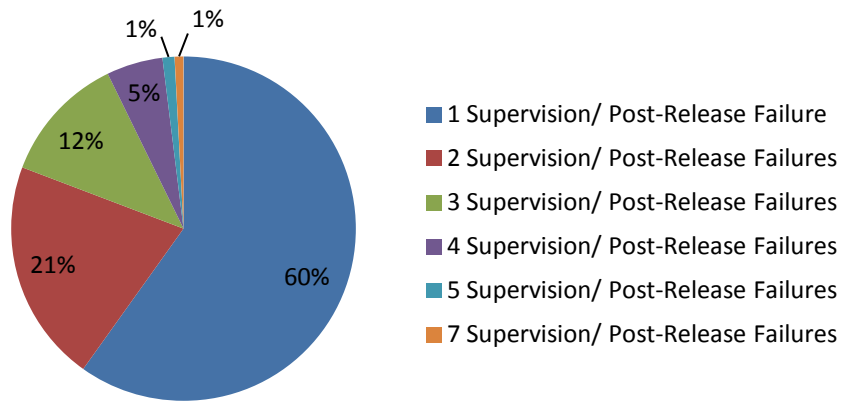
**1170(h) Population versus PRCS Population**

Overall, a greater percentage of the PRCS population committed more than one supervision/post-release failure during the evaluation time period relative to the 1170(h) and 1170(h) MS populations.

Eighty-six percent of the 1170(h) population had a booking/charge that occurred during the evaluation time period. Of those bookings/charges, 37% are considered supervision/post-release failures among the 1170(h) population.

Figure 23 shows the supervision/post-release failures committed by the 1170(h) population. Sixty percent of all supervision/post-release failures were committed by individuals with one supervision/post-release failure. Nineteen percent of all supervision/post-release failures committed by the 1170(h) population were committed by individuals with three or more supervision/post-release failures.

**Figure 23: 1170(h) Population with Supervision/Post-Release Failures (n=340)**



Source: CJIC Data Extraction, 1/7/13

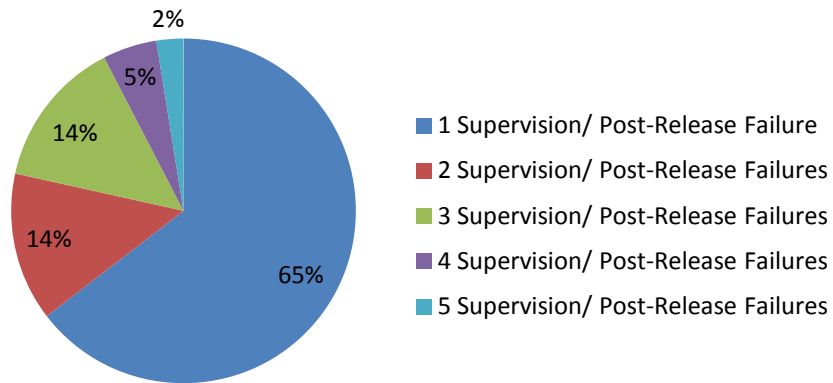
Note: Supervision/post-release failures representing <1% were removed from this chart

Eighty percent of the 1170(h) MS population had a booking/charge that occurred during the evaluation time period. Of those bookings/charges, 40% are considered supervision/post-release failures among the 1170(h) MS population.

Figure 24 shows the supervision/post-release failures committed by the 1170(h) MS population. Sixty-five percent of all supervision/post-release failures committed by the 1170(h) MS population were committed by individuals with one supervision/post-release failure. Twenty-one percent of all supervision/post-release failures committed by the 1170(h) MS population were committed by individuals with three or more supervision/post-release failures.



Figure 24: 1170(h) MS Population with Supervision/Post-Release Failures (n=79)

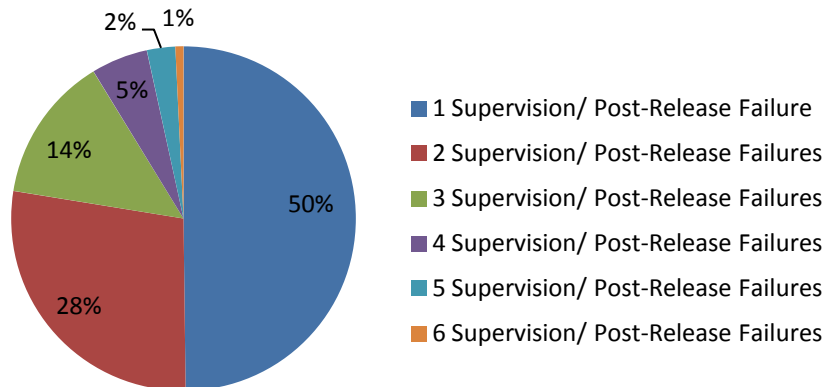


Source: CJIC Data Extraction, 1/7/13

Note: Supervision/post-release failures representing <1% were removed from this chart

Fifty percent of the PRCS population had a booking/charge that occurred during the evaluation time period. Of those bookings/charges, 24% are considered supervision/post-release failures among the PRCS population. Figure 25 shows the supervision/post-release failures committed by the PRCS population. Fifty percent of all supervision/post-release failures were committed by individuals with one supervision/post-release failure. Twenty-two percent of all supervision/post-release failures committed by the PRCS population were committed by individuals with three or more supervision/post-release failures.

Figure 25: PRCS Population with Supervision/Post-Release Failures (n=258)



Source: CJIC Data Extraction, 1/7/13

Note: Supervision/post-release failures representing <1% were removed from this chart

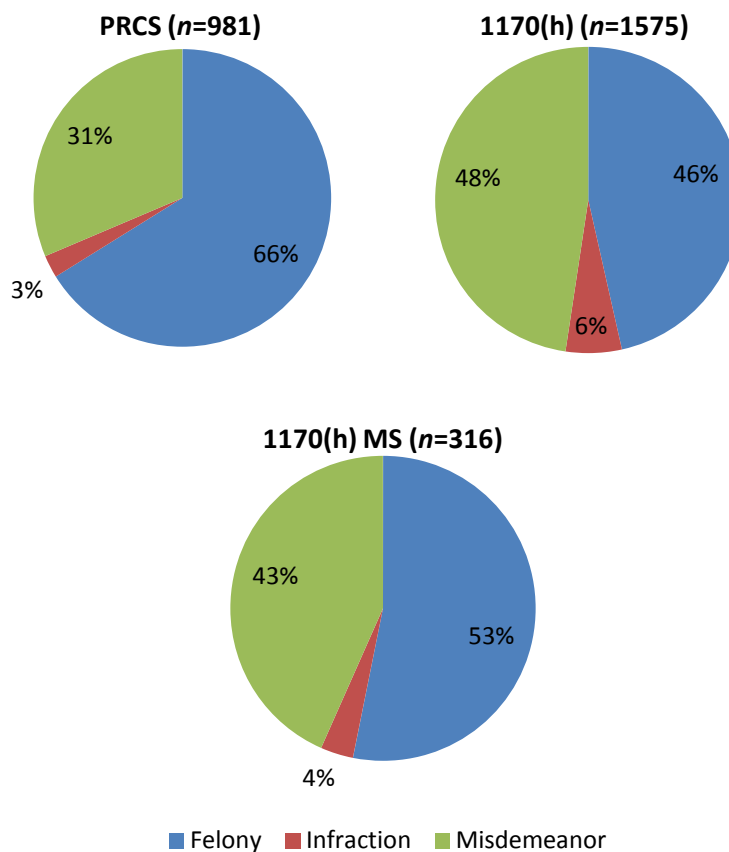


### Level of Offense

It should be noted that a single incident can result in multiple charges with varying offense levels. Therefore, *n* values are larger than the number of supervision/post-release failures that occurred by each population.

Of the Public Safety Realignment population with supervision/post-release failures, 54% were felonies, 41% misdemeanors, and 5% were infractions (*n*=2516). Overall, PRCS population supervision/post-release failures brought higher offense levels than the 1170(h) and 1170(h) MS populations (Figure 26). Of the PRCS population with supervision/post-release failures, 66% were felonies, 31% misdemeanors, and 3% infractions. On the other hand, of the 1170(h) population with supervision/post-release failures, 46% were felonies, 48% misdemeanors, and 6% infractions. Comparatively, of the 1170(h) MS population with supervision/post-release failures, 53% were felonies, 43% were misdemeanors, and 4% were infractions.

**Figure 26: Offense Level of PRCS, 1170(h), and 1170(h) MS Populations with Supervision/Post-Release Failure(s)**



Source: CJIC Data Extraction, 1/7/13



## Conclusion and Recommendations

This Interim Evaluation assessed the progress made toward – and fidelity to – the County’s Public Safety Realignment Act (AB109) Implementation Plan, as well as analyzed short-term outcomes related to recidivism and service provision during the evaluation timeframe of October 1, 2011 to September 30, 2012. This section offers global observations that respond to the formative, process, and summative evaluation questions, and summarizes overall program strengths and challenges, lessons learned, and opportunities for program modification. Finally, it proposes recommendations about the type of long-term evaluation strategies appropriate for the County of Santa Clara.

### Programmatic Strengths

Since the AB109 legislation prompted the systemic shifts to accommodate the AB109 population in October 2011, the County of Santa Clara has made significant progress toward the goals outlined in its Implementation Plan. Overall, County departments have instituted a number of changes to systems, processes, and services such that offenders supervised under AB109 have reported a great deal of satisfaction with their experience. As detailed in the Formative Section, over half of the 15 tasks identified in the Implementation Plan have been met, and another one-third are in progress. Further, the Process Section reports that the provision of services to the AB109 population through the Reentry Resource Center has resulted in streamlined referral systems and expedited connections of clients to needed supports in the community. The success of the Reentry Resource Center in linking clients to services is highlighted in the Summative Section, which documents the different AB109 sub-populations, and their referral and enrollment to out-of-custody programming.

Further, interview data from the AB109 population reveals an overall satisfaction with the Reentry Resource Center, and the availability of services. AB109 clients reported that referrals and access to services have been streamlined, allowing them to engage with needed providers without delay. They also report feeling as though the orientation of the Probation officers/Rehabilitation officers offer has changed to reflect a more humanized approach than they are accustomed to, where they feel they are treated with respect, supported, and that their success is a shared goal. This has resulted in clients communicating that they feel hopeful for their future – many for the first time.

While the County has made much progress, there are aspects of implementation that require additional attention. These areas are detailed below.

### Implementation Recommendations for Programmatic Fidelity

The following observations come from analysis of the key informant interviews with Partner Agency staff, Community-Based Organization staff, and interviews with the AB109 population.



## **Formation of the Reentry Team**

One of the fundamental aspects of the Implementation Plan involves the establishment of the Reentry Team. While the County has accomplished many of the objectives of the Reentry Team through the activities of the MAP Team, the County could improve its adherence to its Implementation Plan through the formalized creation of a Reentry Team, as the Reentry Team is responsible for additional activities, such as pre-release planning and reassessment of needs. There was a great deal of confusion around the roles and responsibilities of the MAP Team and its relationship to what the Reentry Team is tasked to oversee.

One of the more significant impacts stemming from the delayed formation of the Reentry Team was the inconsistent implementation of pre- and post-release meetings with offenders returning to the community. The pre-release meetings are identified in the Implementation Plan as serving a critical role in reentry planning. Further, the Reentry Team is tasked through the Implementation Plan as meeting with clients at regularly scheduled intervals: 30, 60, and 90 days post-release to make adjustments to the client's case plan to account for changing circumstances. Underscoring the importance of pre- and post-release meetings are reports from AB109 clients who relay their desire to have better preparation prior to their release.

## **Communication and Collaboration**

One of the more common themes that emerged from speaking with stakeholders involves the need for improved communication and collaboration among the Partner Agencies as well as between the Partner Agencies and the Community-Based Organizations that serve the AB109 clients. This was especially true for the AB109 population, who reported that they would like to have more pre-release planning, as is designated in the Implementation Plan.

*Increase communication and collaboration between agencies to improve attitudes and reduce "silos."*

As with any new initiative, it takes time for staff – from leadership to line staff – to integrate different strategies into their work, and to change orientation toward the population served. Increased communication that focuses on clarifying the purpose and capacity of different programs will improve the referral process and better connect clients to appropriate services. Efforts may also be directed toward improving consistency among Partner Agency staff – particularly among Probation staff – such that responses to calls or contact about clients are more uniform.

*Meet with clients prior to their release to create a continuum of care, explain available services and conditions of release.*

The most common suggestion for improvement from the AB109 population was to prepare people better for supervision under AB109: to have someone meet with them, pre-release, and explain conditions, what services are available, and expectations. Meeting with clients prior to release to explain available services may help to break through some of the initial distrust and confusion the AB109 clients



have experienced.

## **Recommendations for Program Implementation**

The following observations come from analysis of the key informant interviews with Partner Agency staff, Community-Based Organization staff, and interviews with the AB109 population.

### **Evidence-Based Practices (EBPs)**

The evaluation team found inconsistent evidence of the use of EBPs across the Partner Agencies and the Community-Based Organizations. While there are many specific applications of EBPs (e.g. the use of CAIS and Motivational Interviewing within the Probation Department), it was difficult to determine whether the Memoranda of Understanding between Partner Agencies and the CBOs required that the services provided were evidence-based. Efforts to ensure consistency across all stakeholder agencies and organizations are advised.

### **Improvements to Data Collection**

The evaluation team documented the data elements that were unavailable when requested for this analysis. These data were identified in the Evaluation Logic Model developed by RDA as information necessary to report findings related to recidivism and service provision. In its effort to arrive at data-driven decisions, the County will need to augment its data collection capacity through the institution of new data tracking protocols. The systematic tracking of these data elements will improve the County's ability to evaluate the AB109 population more comprehensively.

### ***Probation Department***

- The Probation Department tracks the number of 1170(h) MS offenders who receive risk/needs assessment, however they do not track whether the assessment was administered pre- or post-release. We recommend that the Probation Department institute tracking protocols to document at what point the assessments are administered.
- The Probation Department does not formally write or track case plans. Transitioning this critical activity to a more formalized, electronic process will greatly improve the Department's ability to track, update, and share case plans.
- A Probation Officer or a member of the MAP Team may meet with an offender prior to release from flash incarceration or revocation, however, this does not always happen and it is not formally tracked. Further, whether AB109 clients are reassessed after flash incarceration or revocation is also not uniformly tracked. We recommend that the Probation Department create a tracking protocol to document when AB109 clients are met with and reassessed after a flash incarceration or revocation, perhaps as an adjunct to the case plan.



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- Finally, the Probation Department reports that a graduated sanctions grid has been written, but is not formalized or distributed. We recommend that a graduated sanctions grid be integrated into decision-making, and that appropriate training on its use be provided.

### *Sheriff's Office/DOC*

- The Sheriff's Office/DOC does not track the number of 1170(h) offenders referred/enrolled to in-custody services – only the total number of offenders in out-of-custody programs are tracked. We recommend that the Sheriff's Office/DOC create a tracking protocol to document the number of AB109 clients referred and enrolled in in-custody services.

### *Mental Health*

- AB109 clients have not been tracked as a separate population of those served through the Faith Collaborative; nor have data been collected on the number of AB109 clients referred to the Full Service Partnership. We recommend that Mental Health create a tracking protocol to document the number of AB109 clients served through these two programs.

### *DADS*

- DADS does not track the number of AB 109 clients assessed or referred for services. DADS relied on clients to self-identify as AB109 clients. We recommend that DADS create a tracking protocol to document the number of AB109 clients assessed and referred for services by service type so that future evaluation efforts are able to identify the types of service provided to each client. Because clients may access more than one service through DADS and other departments, it would be useful to develop a tracking protocol that can account for access to multiple services.

### **Summary Observation**

During the evaluation timeframe, there was no way to track clients across services received – from the Probation Department through to the services received. Such data would allow the County to draw more comprehensive observations about AB109 clients in terms of meeting needs and illuminating corrective areas systemically. This action would most likely require the implementation of a unique client identification number. Further, the implementation of the additional data tracking protocols described above will allow for the collection of data elements not currently captured as will efforts to standardize the way in which data are defined and collected within and across departments and community-based partners. Finally, the institution of the Data Warehouse as envisioned by the Data Work Group, which will create a central repository for data, will greatly enhance and facilitate the cross-departmental sharing of data.





## Long-term Evaluation Strategies

As part of the interim evaluation, RDA surveyed the members of the CCP and Board of Supervisors to determine their priorities for evaluating the County’s Public Safety Realignment Program. The following priorities emerged:

Order of Importance by Average Score

Evaluation Priority	Average Score	Median Score
Utility for Program Improvement	9.2	10
Reach to Target Population/Quantity of Services <sup>3</sup>	8.8	10
Sustainability	8.6	9
Staff/Organizational Capacity	8.6	9
Collaboration	8.4	9
Systems transformation	8.4	9
Attribution	8.0	8

These priorities indicate the need for both a process evaluation to continue to assess the extent to which the County’s Realignment Program has been implemented with fidelity to the Implementation Plan, and the expansion of the outcomes evaluation, which will examine the impact of Realignment programs in terms of both service completion and recidivism.

### Need for Additional Programmatic Resources

As a result of many AB109 offenders serving longer sentences in county jail – up to three years under the AB109 legislation – the County may want to consider increasing and diversifying the programmatic offerings within the jail to prevent those with longer sentences from cycling through the same programs. As an example of the type of programming that might be offered to AB109 offenders, several clients expressed their desire to work with youth to prevent their involvement in the criminal justice system. One client suggested creating or increasing involvement in a program

<sup>3</sup> *Reach to Target* combines *Quantity of Services* evaluation priorities as they support similar objectives. The *Resource Needs* priority, although rated as the second highest is not called out separately since it is used as a factor to determine resource needs for each activity.



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where AB109 clients could work as motivational speakers.

On a related note, many of those interviewed requested the expansion or improvement of existing services including:

- More employment services
- More transportation vouchers or subsidies
- More housing in general; more slots for housing programs/shelter beds, more opportunities/connections to longer-term housing
- Higher pay for in-custody work
- Better in-custody health care services

### *Raise Awareness of Shifting Jail Culture*

Due to the fact that Public Safety Realignment legislation redirects many offenders who would have served time in state prison to county jails, the County may wish to devote resources toward strategic planning around the impact of this population of former state prisoners on the culture of those who have more traditionally served their sentences in jails. The former state prisoners, many of whom have longer criminal histories and are serving longer sentences, are reportedly bringing a more sophisticated, seasoned culture to the jail that includes shot-calling – a practice whereby high-ranking incarcerated gang members communicate directives to lower ranking gang members to carry out illegal, often violent activity on their behalf or on behalf of the gang. Raising awareness of these concerns, and developing strategies to combat the potential for a more organized jail population could help the County contend with any issues arising in the future.

### *Voices of the AB109 Population*

In addition to measures of fidelity to the Implementation Plan, service provision, and recidivism, a key measure of success can be found in the experiences of those supervised under AB109. The following are excerpts from interviews with the AB109 population, which relay their impressions of how the County is serving them.

*“I have a hard time even explaining about it sometimes, I’ve come such a long way. I kept saying ‘next time, next time.’ Through AB109... it’s just the beginning for me, at 42 years old, it’s my beginning.”*

*“The referral process has been excellent. They’ve been able to give me resources, access to programs – the support is tremendous.”*

*“This is the first time I’ve been able to feel open with my PO, not try to hide things. He listens to what I have to say. He’s not rude, he thinks you’re somebody, not nobody like before. I just like it all around. It’s great.”*

*“I feel more welcomed here, helped. I feel like...they reach out. I like it. Probation is harder, but that’s what I need... Here they’re not playing. I have no problem with it being harder.”*





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*"Please continue with this program and help people like me because most of the time we don't have the resources, because we think nobody that cares about us, but there are people who care about us. They don't want me stuck, they want me to get better and better."*

*"I was the first mental health patient through AB109. It was a good process, because they paid attention to me and my needs, because it's through the system, and I didn't have to access them myself. I didn't have to make an appointment with a doc and wait 2 weeks, and they took me right away, they drove me down there right away and I got the medication I needed. If I wouldn't have gotten my mental health issue addressed, and gotten my meds, I would still be using drugs to cover my symptoms."*

*"I feel really hopeful, before I was really full of anxiety and I would cry every day, but the RCP class has changed my orientation. I already feel like I'm on the path for change, and that I'm ready to change."*

*"Our teachers are very organized, they always have something good for us. I think we have the best teachers, and the best RO. She has a heart for everybody. You go in there depressed, and you come out feeling support, she gives you the strength. We always get what we need in here."*

*"The RCP, and this AB109 is an excellent program because it gives us the opportunity to make the change."*

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The Resource Development Associates evaluation team is grateful for the opportunity to work with the County of Santa Clara in this Interim Evaluation endeavor. Through working with staff across the many stakeholder agencies and organizations, the evaluation team was privileged to hear first-hand how the County is adapting to Public Safety Realignment. Overall, there is an exceptional level of committed individuals who not only take pride in the services they provide, but who also are genuinely devoted to improving the work they do on behalf of those supervised as AB109 clients.



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## Appendix A

### *Key Informant Interview Protocol: Probation Department, Department of Correction/Sheriff's Office/District Attorney*

#### **Introduction**

The goal of this interview is to ascertain the extent to which *agencies partnering with the CCP* are engaging in the activities outlined in the Implementation Plan, and to get a sense of how implementation of the plan is working or not working for the departments involved.

#### **Cross-Agency Questions:**

1. How has the Implementation Plan increased the connections and coordination between offenders and those in the community who might support them?
2. How do you refer AB 109ers to services and facilitate their linkage to those services?
  - a. How has the Implementation Plan changed the way you link offenders to services?
  - b. Is the referral process easier or more difficult now? Why?
3. Do AB 109 offenders have sufficient access to services? (housing, employment, health, physical health, mental health, substance treatment)
  - a. Has access improved?
  - b. How could access be improved?
4. What was your intended role in Reentry Team activities?
  - a. What were the barriers to forming the Reentry Team?
  - b. In the absence of the Reentry Team, who has been engaging in Reentry Team activities?
  - c. How have Reentry Team activities affected the AB 109 population?
5. How do you use evidence based practices in your work with the AB 109 population?
  - a. How does your department support the use and implantation of evidence based practices?
  - b. How do you use evidence based practices in your collaboration with other agencies to serve the AB 109 population? (example: risk assessment tool)

#### **Agency specific questions: Probation/DOC/Sheriff's Office:**

6. When meeting with AB 109 and PRCS offenders prior to release, how do you assess risk/needs, create a case plan, and explain conditions of release?
  - a. What are the barriers to meeting with 1170(h) at County Jail and PRCS offenders at State Prison prior to release?
  - b. (Probation) Probation is supposed to meet with offenders 30-60 days prior to their release from state prison (PRCS) and from County Jail (1170(h)). Are CDCR and DOC/Sheriff providing the opportunity for Probation to meet with the offenders prior to release?



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- c. (DOC/Sheriff's Office) What are CDCR and DOC/Sheriff doing to provide the opportunity for Probation to meet with the offenders prior to release?
7. How do you use evidence-based practices to assess offenders and create case plans?
8. How do you assess and reassess needs of AB 109 offenders on an ongoing basis?
  - a. How has the Implementation Plan changed the way you assess offenders?
9. How has increased collaboration between County departments changed your ability to manage the AB 109 population?
  - a. How has increased collaboration affected AB 109ers?
10. How has the use of incentives and/or graduated sanctions changed as you have begun to execute the Implementation Plan? (During incarceration, and post-release during ongoing supervision)
  - a. What are the barriers to formalizing and implementing the use of a graduated sanctions grid?
  - b. How has the use and process of flash incarceration/short term revocation changed since the Plan has been implemented? (Re-assessing case plans, graduated sanctions?)
11. What is your involvement in the development of the Re-Entry Multi-Agency Pilot?

#### **Closing Questions Across Agencies:**

12. What have you developed or modified in order to better serve AB 109 offenders? (Examples: modified assessment tools, implemented evidence-based practices, developed linkages to services)
13. Is there anything else you would like to mention about barriers to or facilitators for serving the AB 109 population?



## Appendix B

### *Key Informant Interview Protocol: Mental Health, DADS and Social Services Agency*

#### **Introduction**

The goal of this interview is to ascertain the extent to which *agencies partnering with the CCP* are engaging in the activities outlined in the Implementation Plan, and to get a sense of how implementation of the plan is working or not working for the departments involved.

#### **Cross-Agency Questions:**

1. How has the Implementation Plan increased the connections and coordination between offenders and those in the community who might support them?
2. How do you refer AB 109ers to services and facilitate their linkage to those services?
  - a. How has the Implementation Plan changed the way you link offenders to services?
  - b. Is the referral process easier or more difficult now? Why?
3. Do AB 109 offenders have sufficient access to services? (housing, employment, health, physical health, mental health, substance treatment)
  - a. Has access improved?
  - b. How could access be improved?
4. What was your intended role in Reentry Team activities?
  - a. What were the barriers to forming the Reentry Team?
  - b. In the absence of the Reentry Team, who has been engaging in Reentry Team activities?
  - c. How have Reentry Team activities affected the AB 109 population?
5. How do you use evidence based practices in your work with the AB 109 population?
  - a. How does your department support the use and implantation of evidence based practices?
  - b. How do you use evidence based practices in your collaboration with other agencies to serve the AB 109 population? (example: risk assessment tool)

#### **Agency specific questions: Mental Health/DADS/SSA:**

6. (Mental Health) How have the Full Service Partnership and Mental Health Outpatient services expanded since the Implementation Plan has been in place?
  - a. How has this affected AB 109 offenders?
7. (DADS) How have outpatient and residential treatment services and transitional housing increased since the Implementation Plan has been in place?
  - a. How has this affected AB 109 offenders?
8. (SSA) How has the Implementation Plan affected your ability to provide benefit eligibility services?
  - a. How has this affected AB 109 offenders?



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9. (SSA) How has your experience with MAP and DOC clients helped shape the expansion of benefit eligibility services to both PRCs and 1170(h) clients?
10. How has increased collaboration (through MAP) between County departments changed your ability to manage the AB 109 population?
  - a. How has increased collaboration affected AB 109ers?

#### **Closing Questions Across Agencies:**

11. What have you developed or modified in order to better serve AB 109 offenders? (Examples: modified assessment tools, implemented evidence-based practices, developed linkages to services)
12. Is there anything else you would like to mention about barriers to or facilitators for serving the AB 109 population?





## Appendix C

### *Key Informant Interview Protocol: Information Services Department*

#### **Introduction**

The goal of this interview is to ascertain the extent to which *agencies partnering with the CCP* are engaging in the activities outlined in the Implementation Plan, and to get a sense of how implementation of the plan is working or not working for the departments involved.

#### **Interview Questions:**

1. One of the goals outlined in the implementation plan was to identify business and operational processes and perform workflow analysis to highlight critical data and information needs. Can you explain how these needs were assessed?
  - a. What were the main data and information needs that were identified?
  - b. How did you and others plan to address these gaps in information and data?
2. Another integral part of the implementation plan was to establish the Data Collection and Sharing Project, to be developed and led by ISD. Can you tell me about that process?
3. The established goal of the Data Collection and Sharing Project was to enable collection and data sharing between and among County and other agencies, and to establish a multi-jurisdictional and comprehensive data warehouse whereby all data/information will be accessible to assist and improve direct services to AB109 clients.
  - a. In what ways have you met these goals?
  - b. What still needs to be developed/implemented in order to meet these goals?
  - c. What have been the challenges in implementing the Data Collection and Sharing Project?
  - d. What have been the successes?
4. How has the establishment of the Data Collection and Sharing Project affected those who work with the AB109 population?
  - a. How has it affected the AB109 population?
5. What do you see as the next steps or potential improvements in the data collection process?
6. Where would you like the process to be in two years?



## Appendix D

### *Key Informant Interview Protocol: Community Based Organizations and Service Providers*

#### **Introduction**

I am calling on behalf of the County of Santa Clara as part of an effort to evaluate the Public Safety Realignment Plan implementation, as required by AB 109. The goal of this interview is to determine the extent to which *organizations partnering with the CCP* (Community Corrections Partnership) are engaging in the activities outlined in the Implementation Plan, and to get a sense of how implementation of the plan is working or not working for the organizations involved.

#### **Cross-Agency Questions:**

1. How are AB109 offenders referred to your organization's services?
  - a. How has the Implementation Plan changed the way offenders are linked to your organization's services?
  - b. How do you feel the referral process is working?
  - c. Are there challenges? If yes, how have they been/are they being addressed?
2. How has the Implementation Plan increased connections and coordination between offenders and your organization?
  - a. Has the Implementation Plan made it easier or more difficult for your organization to connect and coordinate with offenders?
  - b. Have there been any challenges/barriers? If yes, how have they been/are they being addressed?
3. Has your organization developed new practices or modified current practices in order to better serve AB 109 offenders?
  - a. New/modified tools? (Example: modified assessment tools)
  - b. New/modified evidence-based practices?
  - c. New/modified ways of linking to other services and service providers?
4. In what ways are evidence-based practices used in your work with the AB 109 population?
  - a. What evidence-based practices are in place in your organization that relate to serving this population?
  - b. Do you track how many AB 109 clients receive services that use evidence-based practices? If so, can you send us that information? (whatever form they have the data in)
  - c. How does your organization support the use of these evidence-based practices? Can you provide examples?
  - d. How do you use evidence-based practices in your collaboration with other agencies to serve the AB 109 population? (example: using a common risk assessment tool as a basis for developing a common understanding of the client's needs)



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5. How do you assess and reassess needs of AB 109 offenders on an ongoing basis?
  - a. Has the Implementation Plan changed the way you assess offenders? Please describe.
6. What methods do you use to collaborate with County departments to serve the AB109 population?
7. One goal of the Implementation Plan is to increase collaboration between County departments. Have you noticed any changes [increase/decrease/no change] in collaboration between County departments?
  - a. How has [increased/decreased/lack of change in] collaboration between County departments changed your ability to serve the AB 109 population?
  - b. In what way do you believe increased collaboration impacts AB 109 offenders? Can you provide examples?
8. Overall, can you please describe your impressions of the Public Safety Realignment Plan implementation?
  - a. What is working particularly well? What are the barriers to implementation?

#### **Closing Questions across Agencies:**

9. Is there anything else you would like to mention about what is working or what could be improved in the effort to serve the AB 109 population?
10. Is there anything else you would like to add regarding the Public Safety Realignment implementation plan and how it is being implemented?
11. Is there anything else you would like to mention about your involvement in serving the AB109 population?



## Appendix E

### *Key Informant Interview Protocol: AB109 clients*

#### **Introduction**

We were hired by the County of Santa Clara to assess the process and transition of Public Safety Realignment. As part of our assessment, we are interviewing individuals such as yourself who are included in the new law and are being supervised at the local level. We are grateful for your input, and for any feedback you can provide. Your response will be included in the report, but your name will not be connected to your answers. Your answers will help improve the way the County monitors individuals returning to supervision at the local level.

#### **Questions:**

1. Have you been supervised before as a non-AB109 offender? If you have, can you compare the previous experience(s) with your current experience as an AB109 offender.
2. How do you feel about the coordination of services you are receiving?
  - a. In what way do you see different services/agencies working together to help support you? (prompt specific agencies/services)
3. How have you been referred and linked to those services?
  - a. What has improved your awareness of and access to those services?
  - b. What has been challenging?
4. Do you feel that you have access to services you need? (housing, employment, health, physical health, mental health, substance treatment)
  - a. How could access be improved?
5. Did someone meet with you prior to release to assess your risk/needs, create a case plan, and explain the conditions of your release?
  - a. Please tell me a little about that experience/process.
6. How do agencies learn that your situation or needs have changed?
  - b. Do these changes result in changes to your case plan? (Probation Officer, mental health, physical health)
  - c. Please explain why or why not.
7. How would you describe your general sense of well-being?
8. Is there anything else you would like to add?