

# Alameda County AB 109 Evaluation

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## Process Evaluation



**Prepared by:**

**Resource Development Associates**

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# **Alameda County AB 109 Evaluation**

## **Process Evaluation**

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### **About Resource Development Associates**

Resource Development Associates (RDA) is a consulting firm based in Oakland, California, that serves government and nonprofit organizations throughout California as well as other states. Our mission is to strengthen public and non-profit efforts to promote social and economic justice for vulnerable populations. RDA supports its clients through an integrated approach to planning, grant-writing, organizational development, and evaluation.





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## List of Acronyms

The following list defines acronyms used throughout this report.

Acronym	Full Name
<b>AB</b>	Assembly Bill
<b>ACJRP</b>	Justice Restoration Project
<b>BACS</b>	Bay Area Community Services
<b>BHFP</b>	Berkeley Food and Housing Program
<b>BHCS</b>	Behavioral Health Care Services
<b>BOSS</b>	Building Opportunities for Self-Sufficiency
<b>BSCC</b>	Board of State and Community Corrections
<b>CCF</b>	Community Capacity Fund
<b>CCP-EC</b>	Community Corrections Partnership Executive Committee
<b>CEO</b>	Center for Employment Opportunities
<b>CJCM</b>	Criminal Justice Case Management
<b>DPO</b>	Deputy Probation Officer
<b>EIC</b>	Early Intervention Court
<b>EOCP</b>	East Oakland Community Program
<b>FREE</b>	Forensic Re-Entry and Empowerment
<b>FUBU</b>	For Us By Us
<b>HAC</b>	Homeless Action Center
<b>HCD</b>	Housing and Community Development Agency
<b>IIR</b>	Innovations in Reentry
<b>LCA</b>	Leaders in Community Alternatives
<b>LS/CMI</b>	Level of Service/Case Management Inventory
<b>MS</b>	Mandatory Supervision
<b>OMHT</b>	Operation My Home Town
<b>OPIC</b>	Oakland Private Industry Council
<b>PRCS</b>	Post-Release Community Supervision
<b>RHP</b>	Realignment Housing Program
<b>SAGE</b>	Success at Generating Empowerment
<b>T/DRC</b>	Transition Day Reporting Center
<b>YFSB</b>	Youth and Family Services Bureau



## Introduction

Resource Development Associates (RDA) has been working with Alameda County since February 2016, providing comprehensive evaluation services of the implementation and outcomes of the Public Safety Realignment Act of 2011, also known as Assembly Bill (AB) 109 (and referred to throughout this report interchangeably as “Realignment” and “AB 109”). This evaluation represents a *point-in-time* analysis of the County’s AB 109 system and services. Interviews and focus groups were conducted from December 2017 through April 2018, with additional information provided from Community Corrections Partnership Executive Committee (CCP-EC) partners through December 2018.

It is important to note that Alameda County had invested in a set of sentencing priorities and a cross-system continuum of services for individuals in contact with the justice system prior to the enactment of Realignment. Alameda County continued to build on this infrastructure after the enactment of Realignment, dedicating 50% of AB 109 funding for community services to develop new programs and services at each stage in the justice process – a greater percentage than any other California county. In alignment with Alameda County’s Vision 2026 Strategic Plan, the Probation Department also adopted a comprehensive Five-Year Strategic Plan (referred to in this report as the Plan) in 2018, VISION 2023, to support its stated goals of creating the safest communities in the nation and providing compassionate supervision and accountability to individuals on probation.

While this report references how the continuum of services established prior to the enactment of Realignment functioned to support the County’s realigned population, the focus of this process evaluation is the AB 109-funded system of services in place to support the realigned population. It is worth noting that Alameda County’s AB 109 system of care is constantly evolving, while the data analysis that informs evaluation is inherently a point-in-time activity. Even as RDA was collecting data about AB 109 implementation, new individuals were coming into contact with the justice system, starting supervision, and receiving services. Similarly, the County’s service delivery system continued to evolve in response to emerging needs and priorities. Consequently, as noted above, this evaluation represents a *point-in-time* analysis of the system which yields findings that can be utilized to identify overarching strengths and opportunities for improvement; however, some programs and services adopted by the County after data collection activities took place are not discussed in detail in this report.

## Evaluation Overview

The objective of this evaluation is to assess the extent to which the County has successfully achieved the stated goals of the Alameda County Board of Supervisors and CCP-EC, highlighted below.

### **Major Goals of Realignment Adopted by Alameda County Board of Supervisors in November 2012**

- ❖ Protect the public through transparent and accountable administration and service: Activities include staffing and programming in both custody and community settings designed to promote and sustain client’s rehabilitation.



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- ❖ Ensure effective and supportive transitions from detention to the community: Activities include emphasizing and enhancing transition services designed to provide a continuum between in-custody services and support, and their community-based counterparts.
- ❖ Develop innovating and therapeutic support for clients focus on health, housing, and improving access to family sustaining employment: Activities include, among others, maximizing partnerships with community-based organizations to deliver behavioral healthcare, housing, employment services, and other transitions services know to help reduce client's recidivism.

This evaluation seeks to identify opportunities to build on existing system investments by examining the County's AB 109 system and services, and analyzing the extent to which it functions efficiently and effectively to support the County's realigned population.<sup>1</sup> The research questions guiding this process evaluation are:

1. To what extent is the County implementing its AB 109 systems and services in alignment with local priorities and established best practices?
2. How are AB 109 individuals being connected to different services including employment, mental health, substance use, and housing services, among others?

### **Organization of the Report**

To provide context for the evaluation, the report begins with a set of brief overviews, highlighted below:

- ❖ Realignment Overview
- ❖ Alameda County Pre-Realignment
- ❖ Realignment-Related Best Practices
- ❖ Realignment in Alameda County

These sections are followed by a description of the data sources used for this process evaluation. The majority of the evaluation addresses key findings across five areas: Adjudication; Custody Services; Custody to Community Transition; Supervision; and Service Delivery System. The report concludes with a discussion of system level progress and recommendations for the County to consider.

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<sup>1</sup> For program inventory and county-specific cost-benefit outcome analyses, Alameda County is working with the California State Association of Counties-Results First Initiative.



## Realignment Overview

Realignment was enacted on October 1, 2011 to transfer the responsibility of supervising specific lower-level incarcerated individuals and parolees from the state-level California Department of Corrections and Rehabilitation (CDCR) to the counties. The bill was passed in response to the United States Supreme Court's decision in *Brown vs. Plata*, which ordered California to reduce its prison population to no more than 137.5% of design capacity within two years because conditions of confinement were unconstitutional due to severe overcrowding, adversely affecting health care and other services across California's prisons. Specifically, the bill realigned three major areas of the criminal justice system. Realignment:

- ❖ Transferred the responsibility toward individuals incarcerated for specified non-violent, non-serious, non-sex offenses from state prison to local county jail and provided for an expanded role of post-release supervision, Mandatory Supervision (MS), for these individuals;
- ❖ Transferred the responsibility toward post-release supervision of individuals incarcerated in state prisons for specified non-violent, non-serious, non-sex offenses from the state to the county by creating Post Release Community Supervision (PRCS) as a new category of county-level supervision; and
- ❖ Shifted the responsibility for processing certain parole revocations from the state Board of Parole Hearings to the Superior Court, District Attorney's Office, and the Public Defender's Office; also shifting the responsibility for housing revoked supervision clients affected by the above changes from CDCR to county detention facilities.

In addition to transferring the responsibility of housing and supervising realigned populations from the state to the county, Realignment also required that counties 1) create a Community Corrections Partnership (CCP) to oversee the implementation of the bill; and 2) use AB 109 funding to build partnerships with local health and social service agencies and community-based organizations. These partnerships aimed to facilitate the successful re-entry and reintegration of realigned individuals into the community and to reduce the likelihood of recidivism.

The next section describes the systems and services that were in place in Alameda County prior to the enactment of AB 109 Realignment.



## Alameda County Pre-Realignment

Prior to Realignment, Alameda County had a pre-established trend of housing and supervising individuals convicted of lower-level non-violent, non-serious, non-sex offenses locally, and the County had invested in a continuum of services for those in contact with the justice system. The evaluation period for this report follows the creation of these programs. However, descriptions of the County's systems and services established prior to Realignment are included in this report to provide the context for understanding the foundation on which Alameda County's AB 109 system and services are built.

### Sentencing Practices

**When Realignment was enacted, Alameda County had sentencing practices were already in place to reduce the number individuals sentenced to state prison.** Prior to Realignment, Alameda County rarely sentenced individuals to state prison for offenses that are now defined as realigned non-violent, non-serious, non-sex offenses. In fact, despite having violent crime rates that were approximately 40% higher than the state average,<sup>2</sup> the rate at which individuals from Alameda County were sentenced to state prison was consistently lower than the state average by almost one-third.<sup>3</sup> This demonstrates that sentencing practices were already in place to reduce the number of individuals sentenced to state prison when Realignment was enacted.

### Continuum of Services

**Prior to the enactment of Realignment, Alameda County justice partners made investments to establish a continuum of services for individuals who came in contact with the justice system.** At the front end of the justice system, Alameda County offered legal services and a number of specialty and diversion court options, including the Behavioral Health Court, Drug Court, Homeless Court, and Parole Re-entry Court, to support individuals coming into contact with the justice system. This specialty courts were designed to offer alternatives to traditional sentencing. They provide additional support for individuals under the court's supervision, and in some cases result in charges or convictions being dropped after successful completion of an alternative program. For example, the Parole Re-entry Court offers a collaborative team approach for individuals on parole who are in violation status, including a regularly assigned judge, Public Defender, and District Attorney, as well as parole agents and case managers who integrate evidence-based treatment practices and provide connections to community-based organizations to support individuals under the court's supervision and promote public safety.

**Prior to Realignment, both the County's Sheriff's Office and the Probation Department collaborated with county agencies and community-based providers to deliver programs supporting the County's justice-involved population** The Sheriff's Office worked with county departments and community providers to deliver services to individuals in custody, including education and employment services, and

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<sup>2</sup> Healthy Alameda County. (2018). Violent crime rate. Retrieved from <http://www.healthyalamedacounty.org/indicators/index/view?indicatorId=522&localeId=238&comparisonId=7127>

<sup>3</sup> California Sentencing Institute. (2018). State prison population. Retrieved from <http://casi.cjcj.org/Adult/Alameda>



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services for parents for both those detained pre-trial and those serving custodial sentences. Since 1999, the Maximizing Opportunities for Mothers to Succeed (MOMS) program, a cross-system collaboration between ACSO, BHCS, the Oakland Housing Authority and other agencies has offered pre-and post-release case management services for mothers exiting custody. Building on MOMS, the Dads Acquiring and Developing Skills (DADS) program was designed in 2009 to support men in custody to view their roles as fathers differently and become more involved in the lives of their children, becoming less likely to return to crime as a result. The Probation Department worked with county agencies and community-based organizations focused on connecting individuals under their supervision to services such as Measure Y funded violence prevention services and employment services. Service connections are aimed at supporting client needs to enhance the likelihood that they successfully complete the terms of their supervision without recidivating.

The next section provides a brief discussion of established best practices related to the implementation of Alameda County's AB 109 systems in place to support the realigned population.



## Realignment-Related Best Practices

Driven by a large body of research, justice practices across California are being transformed with county agencies implementing new strategies and processes, including established best practices to support realigned individuals and those making contact with the justice system. Table 1 summarizes best practices related to Realignment implementation.

**Table 1. Established Best Practices Related to the Implementation of Realignment**

Best Practice	Description of Practice
<b>Alternatives to Incarceration</b>	<ul style="list-style-type: none"> <li>Amidst a reevaluation of incarceration as an effective means of reducing crime and improving public safety, California counties are adopting and expanding alternatives to custody-based punishment that still hold individuals accountable, are cost-effective, and do not have detrimental effects on public safety. These alternatives include home detention programs, programs offered through specialty courts, and work release programs.</li> </ul>
<b>Probation Case Management Practices</b>	<ul style="list-style-type: none"> <li>To reduce recidivism, Deputy Probation Officers (DPOs) should utilize validated risk and needs assessment tools. These tools determine each client's risk for recidivism and their supervision intensity needs, including static and dynamic risk factors as well as service needs to be addressed through strengths-based case management and connections with services.<sup>4</sup></li> <li>Research also suggests that successful probation supervision is highly dependent on building rapport between DPOs and their clients. DPOs who balance law enforcement and intervention roles, and establish clear roles and expectations with clients while modeling prosocial behaviors, build the most successful relationships and outcomes.<sup>5</sup></li> </ul>
<b>Structured Decision-Making: Incentives and Graduated Sanctions</b>	<ul style="list-style-type: none"> <li>To enhance transparency and reduce bias, DPOs should implement structured decision-making processes to guide rewards and graduated sanctions, for instance:               <ul style="list-style-type: none"> <li>Providing incentives and recognition to promote behavioral change rather than negative accountability methods of punishment and criticism increase the likelihood of success for individuals under community supervision.<sup>6</sup></li> <li>Research suggests a 4:1 reward-to-sanction ratio is ideal,<sup>7</sup> and that utilizing structured, incremental responses to non-compliant behavior helps promote behavioral change and reduce recidivism.<sup>8</sup></li> </ul> </li> </ul>

<sup>4</sup> Pamela M. Casey et al., "Offender Risk & Needs Assessment Instruments: A Primer for Courts," (National Center for State Courts, 2014), [http://www.ncsc.org/~media/Microsites/Files/CSI/BJA%20RNA%20Final%20Report\\_Combined%20Files%208-22-14.ashx](http://www.ncsc.org/~media/Microsites/Files/CSI/BJA%20RNA%20Final%20Report_Combined%20Files%208-22-14.ashx).

<sup>5</sup> Guevara and Solomon, "Implementing Evidence-Based Policy and Practice in Community Corrections."

<sup>6</sup> Faye S. Taxman, David Soule, and Adam Gelb, "Graduated Sanctions: Stepping into Accountable Systems and Offenders," *The Prison Journal* 79, no. 2 (June 1, 1999): 182–204, doi:10.1177/0032885599079002004.

<sup>7</sup> Nathan Lowe, Brett Garland, and Eric Wodahl, "Use of Incentives and Sanctions to Promote Compliance with Supervision during Reentry: An Implementation Strategy" (American Probation and Parole Association, n.d.), [https://csgjusticecenter.org/wp-content/uploads/2013/05/5.15.13\\_Incentives-Sanctions-Implementation-Strategy-for-Reentry\\_NRR-Webinar\\_Lowe-Garland-Wodahl\\_May-2013.pdf](https://csgjusticecenter.org/wp-content/uploads/2013/05/5.15.13_Incentives-Sanctions-Implementation-Strategy-for-Reentry_NRR-Webinar_Lowe-Garland-Wodahl_May-2013.pdf).

<sup>8</sup> Taxman, Soule, and Gelb, "Graduated Sanctions."



Best Practice	Description of Practice
	<ul style="list-style-type: none"> <li>○ Implementing a graduated response matrix that accounts for the frequency and severity of infractions to guide decision-making practices around revoking probation for non-compliant behavior brings more consistency, reliability, and equity to the assessment and decision-making process.<sup>9</sup></li> </ul>
<b>Re-entry Planning</b>	<ul style="list-style-type: none"> <li>● Successful re-entry planning should begin as close to intake as possible, with screening conducted to identify medium to high-risk individuals that DPOs should try to meet with prior to their release from custody.<sup>10</sup> Case management should be guided by the use of validated risk and needs assessments. Ideally:               <ul style="list-style-type: none"> <li>○ The in-custody risk and needs assessment tools being used in custody should be the same instrument that Probation uses post-release, so that staff are using the same vocabulary and addressing similar criminogenic risk categories.</li> <li>○ One case plan should be used by all agencies interacting with the client, including the Sheriff’s Department, Probation Department, and community-based organizations.<sup>11</sup></li> <li>○ The risk and needs assessment tools being used should be shared electronically by all involved agencies.<sup>12</sup></li> </ul> </li> <li>● DPOs should have a larger role supporting the custody-to-community transition for individuals who will be under community supervision upon release. In order to help establish a smooth custody to community transition:               <ul style="list-style-type: none"> <li>○ DPOs should work in county jails, if resources allow.</li> <li>○ DPOs should provide “in-reach” services to the individuals they will be supervising prior to their release. “In-reach” should include                   <ul style="list-style-type: none"> <li>▪ Clarifying expectations, conditions, and terms of supervision; and</li> <li>▪ Review of individualized case plans and establishing referrals to community-based organizations.<sup>13</sup></li> </ul> </li> </ul> </li> <li>● To the greatest extent possible, service providers should provide in-custody and community-based programming to promote continuity of care; referrals and appointments with community-based services should also be established prior to individuals being released from custody.</li> </ul>
<b>Data-Driven Decision-Making and Performance Management</b>	<ul style="list-style-type: none"> <li>● Any organization concerned with the quality and impact of its services must track critical data elements over time to monitor improvements and identify areas of need.<sup>14</sup> Justice partners should use data to measure staff performance and make decisions about budget allocation, organizational structures, and changes in practices in order to promote positive organizational- and client-level outcomes.<sup>15</sup></li> </ul>

<sup>9</sup> National Council on Crime and Delinquency, “Disposition Matrices: Purpose,” 2015, [http://www.nccdglob.org/sites/default/files/publication\\_pdf/disposition-matrices-purpose\\_handout.pdf](http://www.nccdglob.org/sites/default/files/publication_pdf/disposition-matrices-purpose_handout.pdf).

<sup>10</sup> Kevin Warwick, Hannah Dodd, and Rebecca Neusteter, “Case Management Strategies for Successful Jail Reentry.”

<sup>11</sup> Ibid.

<sup>12</sup> Vincent Schiraldi, interview.

<sup>13</sup> Kevin Warwick, Hannah Dodd, and Rebecca Neusteter, “Case Management Strategies for Successful Jail Reentry.”

<sup>14</sup> Tony Fabelo, Geraldine Nagy, and Seth Prins, “A Ten-Step Guide to Transforming Probation Departments to Reduce Recidivism.”

<sup>15</sup> John A. Tuell and Kari L. Harp, “Probation System Review Guidebook 2nd Edition.”



## Realignment in Alameda County

The sections below describe Alameda County's realigned population, population trends since the enactment of Realignment, and the services established to support the County's realigned population.

### Alameda County's Realigned Population

As noted on the Alameda County Probation Department's website:<sup>16</sup>

**The 'Realigned Population' is defined as people charged with/convicted of low-level felony offenses, who were previously eligible to be supervised, incarcerated or adjudicated by the state, who are now supervised, incarcerated or adjudicated by local authorities.** Defining who comprises the realigned population is necessary to set funding parameters and drive effective corrections and re-entry policy.

**The population consists of:**

1. *Post-Release Community Supervision (PRCS)*. Individuals released from prison for non-serious and non-violent offenses, and are not classified as high-risk sex-offenders, who will no longer be supervised by state parole but will instead be supervised by local probation agency under PRCS.
2. *Individuals charged and/or resolved with an 1170(h)-eligible offense*. If a custody sentence is imposed those individuals will no longer be sent to state prison but will instead be sentenced to serve their time in county jail or local prison. If they are not sentenced to local prison they will be supervised by the probation department under traditional probation. If they are sentenced to local prison they will receive no supervision or be placed on mandatory supervision to be supervised by the probation department (also known as a split sentence).
3. *Parole Violators*. Individuals who violate their state parole will no longer be adjudicated by state authorities but will instead be adjudicated in local courts.

Other California counties define their realigned population as individuals *sentenced* under the new PC 1170(h) sentencing option created through Realignment as well as the PRCS population and parolees, excluding those serving life terms, who violate the terms of their parole. In addition to these three populations, Alameda County includes in their realigned population:

- ❖ **All individuals eligible to be sentenced under the new PC 1170(h) option, including those who, in accordance with Penal Code Section 1170(h)(4), were sentenced to traditional county jail and felony probation sentences, or alternative treatment sentences.**

<sup>16</sup> Alameda County Probation Department. (n.d.). Definition of realigned population. Retrieved from <https://www.acgov.org/probation/documents/DefinitionofRealignedPopulation3-18-13final.doc>



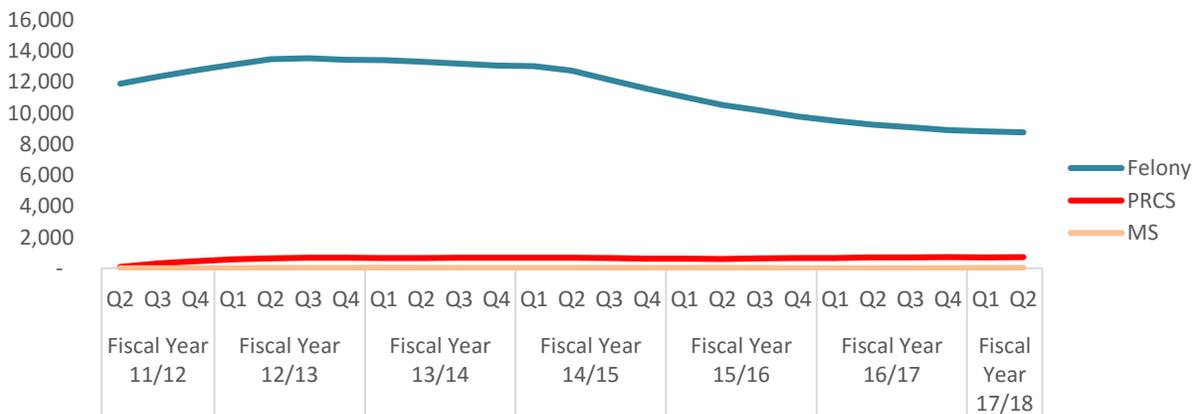
Alameda County includes all possible individuals in their realigned population, however at the time of data collection for this evaluation, the Court’s Odyssey case management system was unable to measure all realigned populations. Thus, the analyses below are limited to the PRCS, MS, and felony probation populations. However, the Court’s case management system is now capable of identifying the entire realigned population described above. Through collaboration between ITD and the DA’s office, the County is able to measure specific populations and trends for its entire realigned population, and future reports should no longer be limited to the PRCS, MS, and felony probation populations. This accomplishment enables the County to measure its 1170(h) population who are on probation, which is especially significant because those on probation have always been highest share of the County’s realigned population.

### Population Trends since the Enactment of Realignment

Since the enactment of Realignment, as is consistent across the state, Alameda County has experienced a decline in the number of individuals in custody and under Probation’s supervision. The reduction in the custodial and supervised populations since October 2011 can be attributed to a variety of factors including statutory changes related to the passage of Proposition 47 and the 2014 ballot initiative that reduced certain property and drug possession felonies to misdemeanors. Although Probation’s overall supervision population has declined, the decline was primarily for low-risk clients on services as needed or “banked” caseloads. Additionally, it is significant to note that all classifications of adults under the jurisdiction of the Department are predominately on supervised caseloads that exceed standards set by the American Parole and Probation Association. This means that DPOs are assigned an inordinate number of adults on their individual caseloads, a factor that creates challenges in the supervision of adults.

With respect to the PRCS population, this population has remained consistent since the start of Fiscal Year 12/13. However, clients under PRCS and MS supervision still comprise a small proportion of the overall population under Probation’s supervision. In addition, PRCS clients who were released from state prison have continued to significantly outnumber individuals under MS who were sentenced under the new PC 1170(h) sentencing option created through Realignment.

**Figure 1. Average Daily Supervision Population, by Case Type**





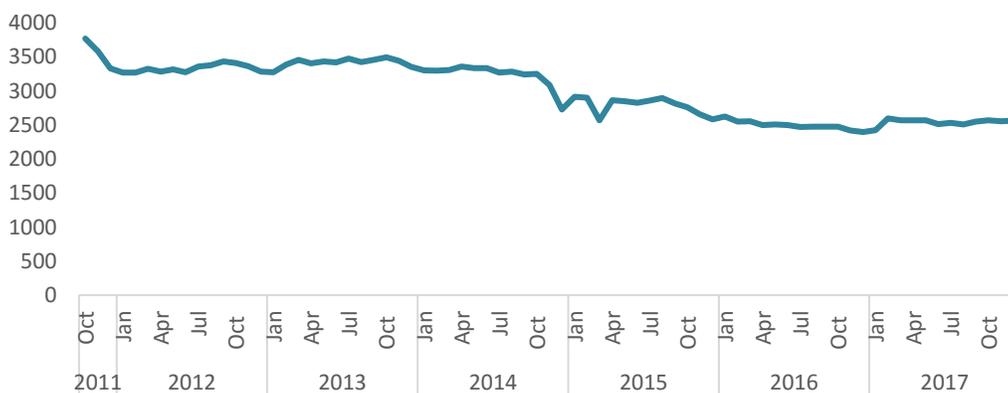
During the second quarter of Fiscal Year 17/18 (October 2017 – December 2017), Probation’s average daily supervised population was approximately 9,487 individuals, 731 of whom were either PRCS (n=718) or under MS (n=13). It is noteworthy that almost all PRCS individuals are male (approximately 95%). In addition, a greater proportion of the PRCS population is Black (approximately 64%) compared to the felony probation population (47%) as Table 2 illustrates below. This demonstrates that a greater proportion of individuals returning from prison are Black and/or male compared to individuals who are sentenced locally.

**Table 2. Demographic Characteristics of the Active Probation Population as of December 31, 2017<sup>17</sup>**

Demographic Characteristics	Felony Probation	PRCS/MS
<b>Male</b>	83%	95%
<b>Female</b>	17%	5%
<b>Average Age</b>	39	38
<b>Race/Ethnicity</b>		
<b>Black</b>	47%	64%
<b>Hispanic</b>	24%	18%
<b>White</b>	20%	13%
<b>Asian/PI</b>	7%	4%
<b>Other</b>	2%	1%

According to data published by the Board of State and Community Corrections (BSCC), Alameda County’s average daily jail population has also declined since the enactment of Realignment, from approximately 3,769 individuals in October 2011 to 2,564 in December 2017.

**Figure 2. Average Daily Jail Population in Alameda County<sup>18</sup>**



<sup>17</sup> MS individuals make up less than 2% of the combined MS and PRCS populations that are supervised by Probation’s AB 109 Unit. The MS population has a substantially higher percentage of females and white individuals, and a substantially lower percentage of Black individuals compared to the PRCS population.

<sup>18</sup> Figure 2 data from the BSCC’s jail survey. Board of State and Community Corrections. (2018). Jail profile survey query. <https://app.bscc.ca.gov/joq//jps/QuerySelection.asp>



Despite declines in Alameda County’s custodial and supervised populations, the County has continued to invest in improving the available system of services for the realigned population. The continuum of services is intended to address individual needs from arrest through successful completion of probation supervision.

## Continuum of Services for Realigned Population

**Alameda County continued to build on the existing infrastructure to support justice-involved individuals prior to Realignment, dedicating 50% of AB 109 funding for community services to develop new programs and services at each stage in the justice process – a greater percentage than any other California county.** Alameda County uses AB 109 funds to expand their programs and services that support the realigned population, thereby building on the continuum of services that existed prior to Realignment.<sup>19</sup> Investments span from the traditional justice system to behavioral health, and the creation of a Community Advisory Board (CAB) to incorporate the voices of local residents in the decision-making process around AB 109 funding allocation.

As the lead agency responsible for contracting for community services associated with Realignment, the Probation Department continues to work with the Alameda County Auditor’s Office to ensure funding is accessible to community-based organizations, as directed by the Board of Supervisors. Probation assumed a two-pronged approach in an effort to manage the work associated with executing and managing over fifteen million dollars in service contracts during Fiscal Year 17/18.

First, Probation collaborated with the County’s General Services Agency in 2017 and embedded two procurement specialists within Probation to assist in clearing the contracts backlog, as well as the development, release, and award of new service contracts. Second, because Probation did not have the contracting infrastructure and personnel to let the numerous contracts associated with the AB 109 funding stream, as of December 2018, the Department was in the process of creating a Contracts Unit by utilizing internal savings and redirecting positions. This approach has enabled Probation to increase the number of service contracts with local providers, thereby expanding the number of AB 109 clients who can be served.

Probation’s strategy has resulted in the letting of numerous contracts and Requests for Proposals (RFPs) from potential vendors for a variety of services for the AB 109 client population. Table 2 reflects the services that were under contract as of December 2018, contracts beginning in 2019, and contracts for which RFPs are being released in 2019. The table also includes a brief description of each service and the funding source.

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<sup>19</sup> This report focuses on AB 109-funded programs and services, while recognizing that there were several programs and services already in place that are not funded through AB 109 and available to the realigned population. The report highlights several non-AB 109-funded programs and services that were noted in key informant interviews and focus groups. However, it is important to note that these programs and services are not the focus of this evaluation, and many other programs that are not mentioned in this report exist in Alameda County and are also available for realigned individuals.



**Table 2. AB 109-Funded Contracts Overseen by Probation**

Probation Service Contract	Description of AB 109 Service	Funding Source
<b>Career Technical Education</b>	Provides evidence-based career technical education and/or Employment Training to recruit and retain students in a program of study and training that leads to the completion of a certified credentialed training program that will enable clients to obtain employment.  <b><u>Service Providers</u></b> <ul style="list-style-type: none"> <li>• Center for Employment Opportunities</li> <li>• Cypress Mandela</li> <li>• Lao Family</li> <li>• Rising Sun Energy</li> <li>• Xerox Corp</li> <li>• Youth Employment Partnership</li> </ul>	<ul style="list-style-type: none"> <li>• AB 109, 50% CBO Allocation</li> </ul>
<b>Education</b>	Provides educational services in the community that support a client’s pathway to Career Technical Education, community college, and post-secondary education.  <b><u>Service Providers</u></b> <ul style="list-style-type: none"> <li>• Five Keys Charter School</li> </ul>	<ul style="list-style-type: none"> <li>• AB 109, 50% CBO Allocation</li> </ul>
<b>Higher Education</b>  RFP responses due Jan ‘19	A program aimed at providing access to higher education (credential or degree) to formerly incarcerated individuals.	<ul style="list-style-type: none"> <li>• AB 109, 50% CBO Allocation</li> </ul>
<b>Family Reunification</b>  Service Delivery to begin Jan ‘19	Provides reunification and family services.  <b><u>Service Providers</u></b> <ul style="list-style-type: none"> <li>• Centerforce</li> <li>• Tri Cities</li> <li>• Chinese for Affirmative Action</li> </ul>	<ul style="list-style-type: none"> <li>• AB 109, 50% CBO Allocation</li> </ul>
<b>Transportation*</b>  RFP to be released in 2019	Provides on-demand “Ride to Re-entry” transportation services. Transportation services will be available twenty-four hours a day, seven days a week, for those returning to Alameda County from County Jail or State Prison within a designated service area, and to/from Probation-related appointments within the County limits.	<ul style="list-style-type: none"> <li>• AB 109, 50% CBO Allocation</li> </ul>
<b>For Us By Us (FUBU) – Mentoring &amp; Reengagement Services</b>	For Us By Us (FUBU) programming was introduced in Fiscal Year 17/18 to connect with individuals that have disengaged from services or participation in the requirements for probation supervision. The goal of these services is to encourage participation in supervision and service requirements through peer mentoring, reconnecting clients with community services, and eliminating critical barriers in their lives. Four providers that comprise FUBU provide these services:	<ul style="list-style-type: none"> <li>• AB 109, 50% CBO Allocation</li> </ul>



Probation Service Contract	Description of AB 109 Service	Funding Source
	<p><b><u>Service Providers</u></b></p> <ul style="list-style-type: none"> <li>• Building Opportunities for Self Sufficiency (BOSS)</li> <li>• Oakland California Youth Outreach</li> <li>• Men of Valor</li> <li>• Tri-Cities Community Development Center</li> </ul>	
<p><b>Early Intervention Court Services</b></p>	<p>Through the Early Intervention Court (EIC), individuals are diverted from traditional sentencing and connected to appropriate services such as housing, employment, substance abuse, and/or education services based on their need. Upon successful completion of programming, an individual’s case is dropped. Leaders in Community Alternatives (LCA) provide supervisions services for individuals enrolled in the EIC.</p> <p><b><u>Service Providers</u></b></p> <ul style="list-style-type: none"> <li>• LCA</li> </ul>	<ul style="list-style-type: none"> <li>• AB 109, 50% CBO Allocation</li> </ul>
<p><b>Employment</b></p>	<p>Provides assessment-driven and culturally-competent employment services to AB109 clients. Prepares clients for and places clients in long term, full or part time, and/or transitional employment.</p> <p><b><u>Service Providers</u></b></p> <ul style="list-style-type: none"> <li>• Fiscal Years 12/13 and 13/14 from America Works</li> <li>• Fiscal Years 14/15 and 15/16 from the Oakland Private Industry Council (OPIC), the Center for Employment Opportunities (CEO), ACTS Full Gospel (ACTS), and Building Opportunities for Self-Sufficiency (BOSS)</li> <li>• Fiscal Year 16/17 and 17/18 from BOSS only.</li> </ul>	<ul style="list-style-type: none"> <li>• AB 109, 50% CBO Allocation</li> </ul>
<p><b>2-1-1 Alameda County Information &amp; Referral</b></p>	<p>Assists individuals on Probation, re-entry clients, their families and Probation Officers, by responding to inquiries for services that will assist in reducing recidivism. Services include housing, food, health services, and legal aid referrals.</p>	<ul style="list-style-type: none"> <li>• AB 109, 50% CBO Allocation</li> </ul>
<p><b>Transition/Day Reporting Center</b></p>	<p>Provides case management services that include, but are not limited to, barrier removal assistance, transportation to and from group meetings and community appointments, and referrals to other community-based organizations. The core component of the program is evidence-based Cognitive Behavioral Therapy to address targeted criminogenic risks and needs that are identified through validated assessment tools. Evidence-based curricula are delivered through group sessions, small group discussions, and one-on-one meetings with case managers.</p> <p><b><u>Service Provider</u></b></p> <ul style="list-style-type: none"> <li>• LCA</li> </ul>	<ul style="list-style-type: none"> <li>• AB 109, 50% CBO Allocation</li> </ul>



Probation Service Contract	Description of AB 109 Service	Funding Source
<b>Housing Contract</b>	<p>Dedicated to creating shelter and affordable housing. Contract also includes the implementation of the Realignment Housing Program, which includes shelter diversion, shelter provision, housing services and rapid re-housing, along with policies and procedures, contracts, monitoring and oversight.</p> <p><b>Service Provider</b></p> <ul style="list-style-type: none"> <li>Alameda County Community Development Agency, Housing and Community Development Department               <ul style="list-style-type: none"> <li>Housing support services, including emergency and transitional housing, are available through Abode Services, the East Oakland Community Program (EOCP), and the Berkeley Food and Housing Program (BHFP).<sup>20</sup> Men of Valor also provide shelter services and wraparound case management services for realigned individuals.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>AB 109, 50% CBO Allocation</li> </ul>

Additionally, the CCP-EC allocated funds for programs overseen by Behavioral Health Care Services (BHCS) to support the provision of behavioral health services for the realigned population. These services are highlighted below in Table 3.

**Table 3. AB 109-Funded Contract Overseen by BHCS**

Service Contract	Description of AB 109 Service	Funding Source
<b>Case &amp; Care Management Program</b>	<p>Intensive case and care management services are available to connect individuals with serious mental illness to resources prior to and after release from Santa Rita Jail. These include:</p> <ul style="list-style-type: none"> <li><i>Bay Area Community Services (BACS) Forensic Re-Entry and Empowerment (FREE) Triage Program</i>: Pre-release planning and post-release case management services to re-entry individuals with serious mental illness.</li> <li><i>Benefit Enrollment Services – Bay Area Legal Aid &amp; Homeless Action Center (HAC)</i>: Pre-release planning and post-release benefits advocacy and enrollment (e.g., Supplemental Security Income (SSI) for re-entry individuals with serious mental illness).</li> <li><i>Re-entry Legal Services – Bay Area Legal Aid</i>: Legal services for low-income re-entry residents, including removal of barriers due to criminal history.</li> <li><i>Success at Generating Empowerment (SAGE) Program</i>: Pre-release case planning and post-release case management for re-entry individuals with serious mental illness who receive disability advocacy to achieve stabilization upon transition into the community.</li> </ul>	<ul style="list-style-type: none"> <li>AB 109, 50%, CBO Allocation</li> <li>Medi-Cal</li> <li>County Services Block Grant</li> </ul>

<sup>20</sup> BHFP services were terminated in November 2016



Service Contract	Description of AB 109 Service	Funding Source
<b>BHCS Mental Health Services – Adult Forensic Behavioral Health Program</b>	Limited mental health services are available to realigned individuals with mental illness while in custody at Santa Rita Jail, including assessment, brief therapy, crisis intervention, and discharge planning.	<ul style="list-style-type: none"> <li>• AB 109, 50% CCP-EC Partner Allocations (BHCS)</li> </ul>
<b>BHCS Mental Health Services – ACCESS Line</b>	A triage system operated through BHCS. Based on an initial assessment, ACCESS refers individuals with serious mental illness who meet medical necessity to the appropriate level of care through BHCS or another provider.	<ul style="list-style-type: none"> <li>• AB 109, 50% CBO Allocation</li> <li>• Medi-Cal</li> </ul>
<b>BHCS Substance Use Services – CenterPoint</b>	CenterPoint operates Alameda County’s Criminal Justice Case Management Program (CJCM) to provide substance use treatment and care management services for individuals in the realigned population under Probation’s supervision in the community.	<ul style="list-style-type: none"> <li>• AB 109, 50% CBO Allocation</li> </ul>

**To support and inform system enhancements, the Alameda County Board of Supervisors established a number of workgroups, as well as the Community Advisory Board (CAB) in 2014.** The CAB is comprised of 15 members representing the five supervisorial districts in the County, including formerly incarcerated individuals, advising and making recommendations to the CCP-EC on matters pertaining to Realignment.

**In addition to these services and system enhancements, the Public Defender’s Office and the District Attorney’s Office made additional resources available for the realigned population utilizing AB 109 Realignment funding.** The Public Defender’s Office funded four social workers who assess realigned individuals’ needs, develop re-entry plans, and connect consumer with various treatment centers and service providers throughout the County. In addition, the District Attorney’s Office, in partnership with other county agencies, led the effort to implement the Early Intervention Court, a non-statutory diversion program funded through Realignment offering diversion services for individuals eligible to be sentenced under PC 1170(h). The District Attorney’s Office, in partnership with the Probation Department, County Administrator’s Office, Sheriff’s Office, Public Defender’s Office and community-based organizations, also leads the Alameda County Justice Restoration Project (ACJRP). The ACJRP, funded through the Recidivism Reduction Fund and AB 109, focuses on delivering services to young adults who are realigned, have prior felony convictions on their record, and commit a new low-level felony offense. Individuals who successfully complete the program have their new felony conviction dropped from their record.

**In 2014, the Sheriff’s Office, in collaboration with the Probation Department, established the Transition Center at Santa Rita Jail, in which service providers work with realigned individuals serving custodial time and support their pre-release planning.** In addition, the Sheriff’s Office contracted with Five Keys Charter School to expand and provide education services to all housing units, while also working with the Alameda County Workforce Development Board to establish an American Job Center to provide job training services to the in-custody population, including those in the realigned population.<sup>21</sup> Operation

<sup>21</sup> These in-custody programs are not funded through AB 109.



My Home Town (OMHT), a program offered by the Sheriff Office's Youth and Family Services Bureau (YFSB), also provides evidence-based services for some sentenced individuals in custody, conducting validated risk and needs assessments (Level of Service/Case Management Inventory, or LS/CMI), and developing individualized re-entry plans to facilitate the provision of pre-release services and referrals for services upon release to support the custody to community transition.

**To support realigned individuals under Probation's supervision, Probation created a distinct AB 109 unit to supervise the PRCS and MS populations, and since late 2016, the Department has modified the program and service delivery model to one that is aligned with progressive evidence-based practices.** The major components of Probation's Adult service delivery model, including AB 109 service delivery, are reflected below.

### **Probation's Adult Field Services Service Delivery Model**

Since Chief Wendy Still's appointment as Alameda County's Chief Probation Officer in 2016, the Probation Department has modified its adult service delivery model to one that is aligned with progressive, evidence-based practices. Chief Still reports that the Department has updated critical policies to reflect compliance with existing legislation, local mandates, and operational needs, and also collaborated with pre-trial services in an effort to support community safety efforts by providing accurate information to the courts on release decisions. Additionally, in April 2018 the Department adopted the most comprehensive strategic plan in its 100 plus year history, the Five-Year Strategic Plan (Plan), VISION 2023. The Plan is aligned with the County's Vision 2026 Strategic Plan, and incorporates an action, execution, and quality control component intended to assure operationalization of the Plan.

Probation also reported that changes being made to the adult service delivery model are aligned with the United States Department of Justice' Smart Supervision initiative, a strategy for reducing incarceration rates through the use of recognized evidence-based practices that effectively address individual needs and reduce recidivism. A separate evaluation and outcome component was incorporated to support the implementation of this model, and to help assess the extent to which changes in supervision practices and the provision of collaborative services impact the behavior and outcomes of adults under the jurisdiction of the Department.

The Probation Department is in the final stages of implementing 11 programmatic components intended to support a marked improvement in its service delivery model. These components include:

1. Mandatory evidence-based practice training for all sworn and non-sworn staff to ensure employees are familiar with progressive practices that prove to reduce recidivism;
2. Mandatory BriefCASE training to enable supervisors to coach, mentor, reinforce, and refine deputy probation officers' skills in the application of risk reduction techniques involving their clients;
3. The establishment of caseload management standards for adults, to include the development of specialized standards to manage client populations that may require a more intensive level of supervision and services within the community (i.e., individuals convicted of sex offenses or domestic violence offenses, as well as clients with mental illness);



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4. The implementation of an automated caseload management system, CaseloadPRO, to enable the Department to effectively manage individual client cases and to produce quality control reports;
5. The incorporation of a Partner Portal, an automated application hosted within CaseloadPRO, to allow two-way communication and automated service referrals directly to providers, and the collection of data and automated reports that enable data-driven decision making to better serve individuals under Probation's supervision;
6. The utilization of a case management mobile application, Probation Remote Information Management Environment (PRIME), to enable DPOs to remotely access information specific to their clients and to enable them to receive immediate officer safety information from participating law enforcement agencies on a smartphone;
7. The utilization of business analytical instruments (PowerBI) to produce reports that analyze and visualize data in a cloud-based dashboard that provides detailed and immediate information (when fully operational, the PowerBI system will eventually be utilized to display program usage and demographic data);
8. The use of an adult risk and needs assessment tool, Correctional Offender Management Profiling for Alternative Sanctions (COMPAS), to enable DPOs to develop case plans that are specific to the risk and needs of the client;
9. The use of the Static-99R (adult male sex offender risk tool), ODARA (Ohio Domestic Assault Risk Assessment) and the MCAS (Multnomah Community Ability Scale) assessment tools to determine the risk and/or needs of clients with convictions for sex offenses, domestic violence, or a history of mental health issues;
10. The utilization of Skype, an interactive video and voice application, to enable DPOs to interview adult clients who are pending release from state prison in an effort to facilitate the completion of the COMPAS risk and needs assessment and pre-release planning; and
11. The development of a Pathways Pilot program, a partnership between Probation and the California Department of Corrections and Rehabilitation, that will weave together critical re-entry support systems to create pathways to re-entry prior to release for the state's highest risk and need clients returning to Alameda County from California State Prisons.

Probation expressed that the multi-pronged system will support DPOs in the development of case plans tailored to address criminogenic risk and need factors that may have contributed to the justice involvement of individuals under their supervision. Furthermore, CaseloadPRO and PRIME (described in greater detail in the *Supervision* section) will assist in data collection and analysis, enabling the Department to make data-driven decisions, and increase productivity and reduce redundancy in the entry of data. Finally, quality control processes produced through this system will support the Department's efforts to improve outcomes through the incorporation of a continuous improvement process.

In an effort to facilitate the provision of services, the Probation Department also contracted with LCA to provide and coordinate essential supportive services to supplement each client's engagement with the Transition Day Reporting Center program (T/DRC) and their successful re-entry into the community. These services include, but are not limited to, barrier removal assistance, transportation to and from groups and community appointments, and referrals to other community-based organizations in an effort to address a client's needs. The T/DRC's onsite partners include the Department of Social Services, which provides



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Medi-Cal and CalFresh enrollments, and a variety of employment partners. Greater detail about the T/DRC's program model is described in Appendix C.

Finally, the Alameda County Probation Department is undergoing a reorganization of its administrative infrastructure in an effort to strengthen operations, enable data-driven decision making, and facilitate the most effective utilization of limited resources. The reorganization entails the creation of support units for research and evaluation, evidence-based practices, policy development, contracts and procurement, and program design and development. It is anticipated that the restructure will be completed in 2019.



## Data Sources and Considerations

To evaluate implementation of Alameda County’s AB 109 system and services, RDA collected quantitative and qualitative data from County departments, AB-109-contracted service providers, and realigned individuals. The following sections summarize the data collection and analysis for this process evaluation.

### Quantitative Data

RDA used quantitative data gathered from County departments to examine AB 109 population characteristics and the utilization of AB-109-funded programs and services from October 1, 2011 through June 30, 2017 (RDA’s subsequent report, the *Updated AB 109 Client Overview and Outcome Analysis*, will measure service utilization through December 2018).<sup>22</sup> Because the Court’s Odyssey case management system was unable to measure all realigned populations at the time of this evaluation, RDA’s analyses examined the PRCS, MS, and felony probation populations. Table 4 identifies all data sources and key data elements used for this evaluation.

**Table 4. Quantitative Data Sources**

Data Source	Key Measures
<b>Board of State and Community Corrections (BSCC) Jail Survey Data</b>	<ul style="list-style-type: none"> <li>• Average daily jail population for Alameda County (2011-2017)</li> </ul>
<b>Contracted Service Providers</b>	
<b>Education</b>	<ul style="list-style-type: none"> <li>• Individuals starting Education Services</li> </ul>
<b>Employment</b>	<ul style="list-style-type: none"> <li>• Individuals referred to Employment Services</li> <li>• Individuals enrolled in Employment Services</li> </ul>
<b>Mentoring and Reengagement</b>	<ul style="list-style-type: none"> <li>• Individuals enrolled in Mentoring and Reengagement Services</li> </ul>
<b>Transition/Day Reporting Center (T/DRC)</b>	<ul style="list-style-type: none"> <li>• Individuals referred to T/DRC</li> <li>• Individuals enrolled in T/DRC</li> </ul>
<b>District Attorney’s Office</b>	<ul style="list-style-type: none"> <li>• PC 1170(h) sentences</li> <li>• Individuals served by EIC</li> <li>• Individuals removed from EIC</li> <li>• Individuals who graduated from EIC</li> </ul>
<b>Housing and Community Development (HCD)</b>	<ul style="list-style-type: none"> <li>• Individuals referred to Realignment Housing Program Services</li> <li>• Individuals receiving Realignment Housing Program Services</li> </ul>
<b>Probation Department</b>	<ul style="list-style-type: none"> <li>• Demographic characteristics</li> <li>• Supervision start and end dates</li> <li>• Supervision type (e.g., felony probation, PRCS, MS)</li> <li>• Flash incarcerations</li> </ul>
<b>Public Defender’s Office</b>	<ul style="list-style-type: none"> <li>• Individuals receiving services from AB 109-funded social workers</li> <li>• Case plans submitted to Court</li> <li>• Case plans accepted by Court</li> </ul>
<b>Sheriff’s Office YFSB</b>	<ul style="list-style-type: none"> <li>• Individuals served by OMHT</li> </ul>

<sup>22</sup> Service data for Early Intervention Court reflect utilization through May 2018.



RDA worked with the Probation Department to gather supervision and service data, examine changes in the PRCS, MS, and felony probation populations since the start of Realignment, and assemble demographic profiles of these populations as of December 31, 2017. RDA used service data provided by Probation to identify the number of individuals on probation each fiscal year who were referred to, enrolled in, and/or receiving AB 109-funded services, including T/DRC, employment, housing, education, and mentoring and reengagement services. RDA also worked with the District Attorney, Public Defender, and Sheriff’s Offices to collect data on individuals served by the EIC, Public Defender’s Office social workers, and OMHT, respectively.

### Qualitative Data

RDA conducted 17 interviews and nine focus groups (n=40 individuals) with management and staff from county departments and contracted service providers. RDA also conducted three focus groups with 20 realigned individuals under Probation’s supervision to identify successes and challenges in implementing the County’s AB 109 system and services. In total, RDA held a total of 29 interviews and focus groups with county stakeholders and realigned individuals under Probation’s supervision, as detailed in Table 5.

**Table 5. Interviews and Focus Groups with County Stakeholders and Realigned Individuals**

Department/Organization	Participants
<b>Behavioral Health Care Services (BHCS)</b>	<ul style="list-style-type: none"> <li>• In-Custody Mental Health Services Management</li> <li>• BHCS Re-entry Program Managers</li> <li>• BHCS Re-entry Program - Provider Management</li> <li>• CenterPoint Management and Staff</li> <li>• ACCESS Management</li> </ul>
<b>Clients</b>	<ul style="list-style-type: none"> <li>• Individuals currently under Probation’s supervision (includes realigned individuals being supervised by the AB 109 Unit, and individuals receiving T/DRC or Realignment Housing Program services).</li> </ul>
<b>Contracted Service Providers</b>	
<b>Education</b>	<ul style="list-style-type: none"> <li>• Education Management</li> </ul>
<b>Employment</b>	<ul style="list-style-type: none"> <li>• Employment Management</li> </ul>
<b>Mentoring</b>	<ul style="list-style-type: none"> <li>• For Us By Us (FUBU) Management</li> </ul>
<b>Transition/Day Reporting Center (T/DRC)</b>	<ul style="list-style-type: none"> <li>• T/DRC Management</li> </ul>
<b>District Attorney’s Office</b>	<ul style="list-style-type: none"> <li>• Attorneys</li> <li>• Information Technology Staff</li> </ul>
<b>Housing and Community Development (HCD)</b>	<ul style="list-style-type: none"> <li>• Realignment Housing Program Manager</li> <li>• Realignment Housing Program - Provider Management and Staff</li> </ul>
<b>Probation Department</b>	<ul style="list-style-type: none"> <li>• Probation Management</li> <li>• AB 109 Unit Supervisors</li> <li>• AB 109 Unit Deputy Probation Officers</li> <li>• Deputy Probation Officer stationed at Santa Rita Jail</li> </ul>
<b>Public Defender’s Office</b>	<ul style="list-style-type: none"> <li>• Attorneys</li> <li>• Social Workers</li> </ul>



Department/Organization	Participants
<b>Sheriff's Office</b>	<ul style="list-style-type: none"> <li>• Inmate Services Staff</li> <li>• OMHT Management</li> </ul>

Through conventional content analysis of the interview and focus group transcripts, RDA identified emerging themes that effectively highlight the County’s Realignment implementation strengths and challenges (described in the *Findings* section).

### Limitations and Considerations

As is the case with all research and evaluation, there are limitations to consider. One major limitation affecting this evaluation is that during data collection for this evaluation, the Court’s Odyssey case management system was unable to measure all realigned populations. Thus, the analyses included in this report are limited to the PRCS, MS, and felony probation populations. However, the Court’s case management system should be capable of identifying the County’s entire realigned population moving forward, and future reports should no longer be limited to the PRCS, MS, and felony probation populations. An additional data source limitation is that BHCS was unable to share their mental health and substance use services data in time for this report due to a misunderstanding of the scope of RDA’s data request. As a result, this report does not include service data for a key component of the County’s continuum of services. However, RDA is working to secure this BHCS data for the next report in this evaluation series, the *Updated AB 109 Client Overview and Outcome Analysis*.

Throughout this process evaluation, RDA remained aware of the existing continuum of services for the justice-involved population implemented prior to the enactment of Realignment. The continuum of services available for the realigned population includes services that were already in place and are not funded through AB 109. While RDA recognizes many of these continued efforts, the focus of this evaluation is specifically on those resources that are available to the realigned population as a direct result of Realignment.

Finally, Alameda County’s AB 109 system of care is constantly evolving, whereas the data analysis that informs evaluation is inherently a point-in-time activity. Even as RDA was collecting data about AB 109 implementation, new individuals were coming into contact with the justice system, starting supervision, and receiving services. Similarly, the County’s service delivery system continued to evolve in response to emerging needs and priorities. Consequently, this evaluation represents a point-in-time analysis of the system which yields findings to help identify overarching strengths and opportunities for improvement. Key informant interviews and focus groups were conducted from December 2017 through April 2018, and CCP-EC partners provided supplemental information through December 2018.



## Findings

RDA identified strengths and challenges in AB 109 implementation at each stage in the justice process, organized into the following five areas:

- Adjudication
- In-Custody Services
- Custody to Community Transition
- Supervision
- Service Delivery System

Across each section, we identified emerging patterns and themes and highlight the extent to which the County's AB 109 system and services are being implemented in alignment with local priorities and best practices.

## Adjudication

As noted previously, prior to Realignment, Alameda County sentenced the vast majority of individuals currently eligible to be sentenced under PC 1170(h) to county jail and/or probation sentences, while rarely sentencing individuals to state prison for what are now realigned non-violent, non-serious, non-sex offenses. The County also had a number of diversion and treatment courts in place prior to Realignment, offering alternatives to traditional custodial sentences, and in some cases dropping charges upon successful program completion. Today, the following treatment courts and diversion programs are available for adults who make contact with the criminal justice system:

- |                             |                                       |
|-----------------------------|---------------------------------------|
| ❖ Behavioral Health Court   | ❖ Veterans Court                      |
| ❖ Drug Court                | ❖ Misdemeanor Pre-Charging Diversion  |
| ❖ Early Intervention Court  | ❖ Justice Restoration Project         |
| ❖ Homeless and Caring Court | ❖ Project Clean Slate                 |
| ❖ Mentor Diversion Court    | ❖ Alameda County Propositions 47 & 64 |
| ❖ Re-entry Court            | Resentencing Program                  |

The Early Intervention Court (EIC) and Justice Restoration Project (ACJRP) were partially funded through AB 109 Realignment; both emphasize the use of pre-existing programs and services to address, as early as possible, the needs associated with criminal behavior to prevent recidivism without reliance on traditional incarceration and sentencing. In addition to seeking alternatives to traditional incarceration and sentencing options immediately after charges are filed, the District Attorney's Office offers rehabilitative alternatives in lieu of filing charges through the long-standing DA Citation Interventions (DACI) program and PES. In addition, the Public Defender's Office has added four AB 109-funded social workers to connect clients with appropriate programs and services prior to sentencing.

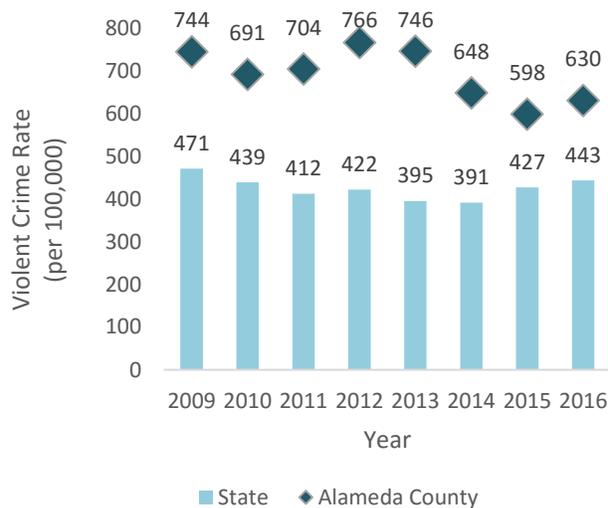
This section discusses the impact of Realignment on sentencing practices in Alameda County, and the extent to which alternative sentencing options and additional services available prior to adjudication are in alignment with local priority.



Realignment had minimal impact on sentencing, as the County was already sentencing a vast majority of cases currently eligible to be sentenced under PC 1170(h) to county jail and/or formal probation, rather than state prison.

Figure 3 and Figure 4 below demonstrate that each year since 2009, despite Alameda County having a higher violent crime rate than the state average, the County’s average daily population in state prison (per 100,000 residents) is approximately two-thirds that of the state average. This demonstrates the County’s commitment to utilizing the least restrictive sentencing approach, where appropriate.

**Figure 3. Violent Crime Rate - Alameda County versus State Average<sup>23</sup>**



**Figure 4. Average Daily Prison Population - Alameda County versus State Average<sup>24</sup>**



Sentencing fewer individuals to state prison is consistent with the County’s approach favoring non-custodial sentences, which was in place prior to Realignment and in alignment with best practices that suggest minimizing disruption to individuals’ lives to support re-entry while maintaining public safety. District Attorneys’ Office

*At both a charge and a plea bargain level, the impact [of AB 109] was relatively small. The nice thing is we now have the funding we didn’t have before and that is so important in shaping the lives of the AB 109 population. Now we have solutions beyond treating them leniently in court.*

– District Attorney Staff

staff suggested that the County has continued to sentence individuals who have committed low level offenses to alternative treatment sentences or only probation with relatively little, or no, jail, instead of

<sup>23</sup> Healthy Alameda County. (2018). Violent crime rate. Retrieved from <http://www.healthyalamedacounty.org/indicators/index/view?indicatorId=522&localeId=238&comparisonId=7127>. 2016 data are calculated utilizing DOJ’s Open Justice Crime and Clearances Dataset and 2016 population estimates for Alameda County published by the Department of Finance. These are same data sources used to calculate violent crime rates on the Health Alameda County website.

<sup>24</sup> California Sentencing Institute. (2018). State prison population. Retrieved from <http://casi.cjcj.org/Adult/Alameda>



either MS or local prison, which inherently require custody time. This has resulted in a relatively small number of individuals returning to Alameda County under PRC, and limited the impact of the realigned population on the County's Probation system (illustrated in Figure 1 in the *Population Trends since the Enactment of Realignment* section above).

Representatives from the Public Defender's Office noted that since the enactment of Realignment, there is increased agreement on the extent to which non-custodial sentences are appropriate. As a result, there has been greater coordination at the adjudication phase to seek alternatives to custody, and increased emphasis on utilizing programs and services to address individuals' criminogenic risks and needs as a strategy for reducing recidivism. These efforts are described in greater detail below.

*In the day-to-day negotiation process, because there has been recognition under the law that these charges are less serious than others...it makes it possible to talk about them in a different way. Before it was hammering us about the seriousness [of the offense] . . . [But] if we know that it is a low-level felony, and the ultimate hammer is going to be more time in county jail, it gives us the ability to push for diversion and services more than before.*

– Public Defender Staff

**Alameda County has continued to invest in programs and resources to support realigned individuals prior to and at sentencing.**

As noted previously, Alameda County has utilized AB 109 funds to develop additional programs and services available to realigned individuals early in the justice process. These include the EIC, ACJRP, and the addition of four Public Defender's Office social workers. Each resource is intended to connect individuals with programs and services to address their criminogenic risks and needs, promote alternatives to custody, and ultimately improve outcomes.

**Early Intervention Court (EIC).** Alameda County began implementation of the EIC in 2016 to provide programs and services aimed at reducing recidivism for individuals facing charges who are eligible to be sentenced under PC 1170(h). The EIC is a non-statutory diversion program funded through AB 109, and overseen by the District Attorney's Office in partnership with the Public Defender's Office, Superior Court Judges, the Probation Department, and LCA. Through the EIC, realigned individuals are diverted from traditional sentencing and connected to appropriate services such as housing, employment, substance abuse, and/or education services based on their need. Upon successful completion of programming, an individual's case is dropped. Between April 2016 and May 2018, 77 individuals participated in the EIC. Of those, 22 individuals successfully graduated and had their cases dropped, while 18 individuals were removed from the program to face traditional sentencing. The remaining 37 individuals were still enrolled in programming as of May 2018.

**Alameda County Justice Restoration Project (ACJRP).** In September 2017, the District Attorney's Office piloted the ACJRP, which focuses on providing services to young adult realigned individuals with prior felony records who commit a low-level felony. Funded through the Recidivism Reduction Fund, BSCC, White House Office of Innovation, James Irvine Foundation, and Nonprofit Finance Fund (NFF), the ACJRP



## Alameda County

### *AB 109 Evaluation: Process Evaluation*

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is led by the District Attorney's Office in partnership with the Probation Department, County Administrator's Office, Sheriff's Office, Public Defender's Office and service providers in the community. Over the course of the 18-month program, individuals work with peer mentors who connect them with services in the community and assist with service navigation. When an individual successfully completes the program, the new conviction is dismissed and dropped from his/her record.

**AB 109-Funded Social Workers.** Since the start of Realignment, the Public Defender's Office has added four AB 109-funded social workers to work with realigned individuals. In the last four years, these social workers have served 808 clients, conducting assessments and connecting them to programs and services. For individuals assessed as having a high level of need, the social workers develop individualized case plans that they submit to the Court, promoting the successful use of program and service participation as an alternative to more serious sentences, including custodial sentences. In Fiscal Year 2016/2017, these social workers submitted 76 case plans to the Court, of which 84% were accepted.

### **Alameda County is currently redesigning its Pre-Trial Release Program.**

Alameda County is committed to early service intervention and minimizing time in custody. Pre-trial release programs provide a means for individuals to be supervised in the community while awaiting trial. The Superior Court of the State of California in Alameda County originally received a non-AB 109-related grant to implement a Pre-Trial Release Program. The program, which never contained a supervision component, was eventually terminated due to capacity and funding issues. In December 2018 a workgroup led by Probation and consisting of representatives from the Superior Court, District Attorney's Office, Public Defender's Office, and LCA (the contracted supervision provider) was in the process of creating a comprehensive pre-trial program, with planning underway to develop and finalize the program model.

## Custody Services

The Alameda County Sheriff's Office operates two detention and corrections facilities: the Glenn Dyer Detention Facility in Oakland and the Santa Rita Jail in Dublin. In addition to housing individuals pre-trial and post-conviction, these facilities provide a range of medical services, behavioral health, and other support services (e.g., education, job skills training, parenting) which are delivered by contracted providers and/or BHCS. Many of these service relationships existed prior to Realignment; as described previously, the Sheriff's Office worked with providers to deliver programs and services for the in-custody population that remain in place, although services such as MOMS and DADS are not funded through AB 109.

Since the start of Realignment, the Sheriff's Office has continued to expand the availability of programs and services, including services funded through AB 109. In 2014, the Sheriff's Office, in partnership with the Probation Department, established the Transition Center at Santa Rita Jail. The Transition Center is a converted space in Santa Rita Jail where service providers can facilitate pre-release planning for individuals who are sentenced (including individuals sentenced under PC 1170(h)), on felony probation, or under PRCS. The Transition Center is staffed with two deputies who help communicate what programs



are available through the Transition Center and ensure the secure and safe transfer of individuals from their housing unit to the Transition Center. A DPO is also assigned to the Transition Center to coordinate with providers and manage the process of screening referrals and messenger requests for accessing programs through the Center. The DPO is responsible for coordinating and communicating with a client’s assigned DPO, when necessary. The Transition Center is used by AB 109-funded service providers as well as other CBOs and providers, and while AB 109-funded programs are prioritized, many non-AB 109-funded providers also access the Transition Center to meet with individuals while they are in custody.

In addition to the Transition Center, the Sheriff’s Office also coordinates custody to community transition services via the Youth and Family Services Bureau’s (YFSB’s) Operation My Hometown (OMHT). OMHT facilitates a pre- and post-release continuum of care (discussed in greater detail below) for sentenced individuals, including the PRCS population and individuals sentenced under PC 1170(h), who are identified as medium to high risk for recidivism (through LS/CMI while in custody).

This section highlights the extent to which the in-custody services at Santa Rita Jail are able to address the needs of the County’s in-custody realigned population to support their rehabilitation and successful re-entry into the community.

**The Transition Center enables providers to deliver in-reach services to support pre-release planning.**

In alignment with best practices, the development of the Transition Center has resulted in a greater number of service providers coming in to Santa Rita Jail to provide pre-release planning services. These pre-release planning services mostly include providing information about available community services, and beginning the enrollment process for post-release services and programs. Both County agencies and CBO providers who use the Transition Center have noted ways in which this access improves awareness of and participation in available services and programs post-release.

*The jail has been doing a lot. The in-reach is better than when I started . . . We are going in there . . . [and] there is a lot of effort to bring in service providers.*  
 – Realignment Housing Program Staff

Despite the County’s emphasis on AB 109-contracted service providers hiring formerly incarcerated individuals, the Sheriff’s Office cannot grant the majority of them clearance to the Transition Center due to security requirements. As a result, some providers have had trouble accessing the Transition Center. There are some staff for these service providers who do meet the security requirements and can access the Transition Center. Nonetheless, issues around security clearance highlight potential conflicts between the vision for the County’s AB 109 system of services and its implementation, demonstrating the importance of communication and planning among CCP-EC partners and AB 109-contracted providers.

*In some of our contracts, it says we should hire formerly incarcerated individuals, but it is hard to get clearance in custody for someone with a previous record.*  
 - CBO Program Manager



**There are a number of services provided to individuals in custody at Santa Rita Jail; however, access to services remains challenging.**

In Santa Rita Jail, a range of services are offered to individuals who qualify through the Inmate Services Unit. In June 2018, in-custody programming included the following:

- ❖ Adult Basic Education
- ❖ Adult Secondary Education
- ❖ Anger Management
- ❖ Art Therapy
- ❖ Computer Coding
- ❖ Employment Readiness
- ❖ ESL (English as a Second Language)
- ❖ Financial Literacy
- ❖ Food Service, Commercial Baking, Commercial Kitchen
- ❖ Literacy
- ❖ Parenting
- ❖ Restorative Justice
- ❖ Serve Safe
- ❖ Substance Abuse
- ❖ TALK (Teaching and Loving Kids)

However, according to realigned individuals on probation who had spent time in Santa Rita Jail, access to these services is limited by both space and capacity limitations, and a lack of information resources about the services.<sup>25</sup> Multiple clients indicated that they were not aware of the services available to them, or had trouble accessing services in a timely manner.

*Everything at Santa Rita takes time.  
I hooked up with OMHT by chance.  
It's kind of word of mouth.*  
- Client

In-custody service delivery is limited because providers cannot access most of the housing units, and many individuals cannot access the physical spaces where services are provided due to their classification statuses (e.g., maximum-security population, individuals with serious mental illness). Consequently, individuals with restrictive housing classifications may not be accessing programs and services that could support their re-entry transition. As noted by a BHCS re-entry program manager, there is also very limited space to discuss confidential issues with those in custody, which inhibits service delivery, especially for providers discussing sensitive mental health and medical information with clients.

In addition to the challenges of service accessibility, there is currently limited structured outreach for and limited advertisement of the services that are available at Santa Rita Jail. While the Sheriff's Office will inform individuals about potential service opportunities by handing out brochures or posting flyers, according to Sheriff's Office staff, most service providers do not provide them with these materials. In addition, the Sheriff's Office hosts biannual re-entry expositions for individuals who are in custody; however, Sheriff's Office staff expressed that the individuals in custody rarely attend. As a result, individuals typically learn of services only through word of mouth. As service provider staff suggested, this results in many individuals who do not understand the in-custody and post-release services that are available, the scopes of those services, nor their eligibility to engage in services. Ultimately, misinformation and a lack of awareness can impact client engagement during the initial phase of service delivery.

<sup>25</sup> Because RDA did not ask each individual the dates they were in custody, it is unclear when they most recently spent time in Santa Rita Jail.

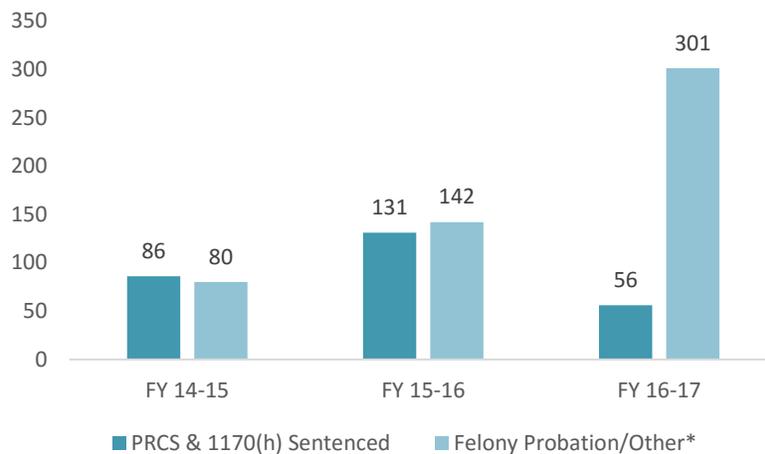


Even when individuals in custody are aware of services and meet the qualifications for accessing them, they experience long wait times to be connected to services because there is limited staff capacity to review the volume of requests that are made. Staff from the Transition Center, OMHT, and in-custody Mental Health Services each expressed the need for increased clerical support to expedite the screening process and reduce wait periods for services.

**OMHT is a model in-custody program that utilizes evidence-based practices to support sentenced individuals who are on felony probation or classified as realigned while they are in custody and through the custody to community transition.**

OMHT facilitates a pre- and post-release continuum of care for sentenced individuals who are identified as medium to high risk for recidivism, the PRCS population, and individuals serving 1170(h) sentences. OMHT is staffed by a group of clinical case managers that work with Santa Rita Jail’s Inmate Services Unit, AB 109-funded and non-AB 109-funded service providers, and the Probation Department, to support in-custody service provision and the custody to community transition. Figure 5 below shows the number of individuals served by OMHT from Fiscal Year 14-15 through Fiscal Year 16-17.

**Figure 5. Number of Individuals served by OMHT**



*\*Other includes Mentally Ill Offender Crime Reduction (MIOCR) and Parent and Children Together (PACT) individuals*

OMHT applies numerous evidence-based and best practices in their service delivery model. Individuals enrolled in OMHT are assigned a clinical case manager who conducts a validated risk and needs assessment (LS/CMI), develops an individualized re-entry plan with individuals, facilitates the provision of pre-release services, coordinates referrals for services upon release, and provides support post-release until re-entry goals are achieved (for up to one year from release date).<sup>26</sup> However, one limitation of OMHT is that it only serves a limited number of individuals who must either be sentenced under PC 1170(h) or another sentencing option, on felony probation, or under PRCS. If unsentenced individuals submit a request and do not meet qualifications, OMHT provides them with resources and referrals to other post-release services.

<sup>26</sup> Hatchuel Tabernik & Associates. (2013). Operation My Home Town Final Evaluation Report 2011-12.



## Custody to Community Transition

As noted previously, the Transition Center has supported pre-release planning for realigned individuals in Santa Rita Jail by increasing the number of referrals generated through in-reach services. Eligible individuals work with service providers and a DPO stationed at the Transition Center to facilitate referrals for services upon release from custody. According to the Sheriff’s Office, in June 2018, the following AB 109-funded partners had access to the Transition Center:

- ❖ Building Opportunities for Self-Sufficiency
- ❖ CenterPoint
- ❖ Five Keys Charter School<sup>27</sup>
- ❖ Realignment Housing Program (RHP) including Abode Services; BFHP; and EOC
- ❖ T/DRC

Although the Transition Center prioritizes AB 109-funded service providers, other community-based organizations also had access to the Transition Center, including:

- ❖ A Safe Place
- ❖ American Job Center
- ❖ California Forensic Medical Group
- ❖ Tri Valley Heaven
- ❖ Refocus
- ❖ Roots
- ❖ Roots of Labor Birth Collective
- ❖ UCSF Benioff Children’s Hospital

While the Transition Center has helped support pre-release planning in Alameda County, the extent to which comprehensive pre-release planning is conducted for all realigned individuals is limited. The next section addresses the strengths and challenges of the County’s current pre-release planning efforts.

**In-reach at the Transition Center has resulted in service referrals generated through Santa Rita Jail; however, some service delivery challenges remain.**

The development of the Transition Center has resulted in a greater number of service providers connecting with realigned individuals in custody to explain to them the services they offer in the community. Realigned individuals can also work with the DPO stationed at Santa Rita Jail to facilitate referrals to post-release services after meeting with service providers. As a result, greater numbers of individuals are being connected to community-based services through in-reach services at Santa Rita Jail.<sup>28</sup>

Although the County works with an extensive number of community providers at the Transition Center, there are limitations to service delivery at the Center. According to the Inmate Services staff that RDA interviewed, eligibility criteria limits access to individuals who are sentenced (under PC 1170(h) or some other sentencing option), on felony probation, or under PRCS. However, other Sheriff’s Office staff suggested that the general custodial population should also have access to all non-AB 109 funded service providers accessing the Transition Center. There is a lack of shared understanding about whether this is the case. As a result, it appears that many unsentenced individuals do not receive services through the Transition Center, although they comprise a substantial portion of the jail population. Staff also expressed

<sup>27</sup> Five Keys Charter School has an AB 109-funded contract to provide services in the community to the realigned population. Representatives from this organization can access the Transition Center.

<sup>28</sup> The DPO stationed at Santa Rita Jail also helps facilitate in-custody service provision, and in some cases transitions clients to their assigned DPO.



that there are long wait periods for individuals seeking to meet with service providers, because the Transition Center receives a high volume of requests and there is limited staffing of Sheriff Deputies for moving inmates from their units to the programs.

**Limited systematic pre-release planning takes place in custody.**

Aside from individuals who are enrolled in OMHT or in the *Bay Area Community Services (BACS) Forensic Re-Entry and Empowerment (FREE) Triage Program*, there is limited systematic pre-release planning done with realigned individuals who are in custody. While the Transition Center does facilitate pre-release planning for post-release referrals, there is still a lack of structured, systematic pre-release planning done in alignment with best practices for individuals who are at Santa Rita Jail.

Staff from Probation, contracted service providers, or the Sheriff's Office have not traditionally worked with realigned individuals to conduct a validated risk and needs assessment nor to develop individualized case plans with realigned individuals while they are in custody. This has occurred mostly due to a lack of staffing and procedures mandating the completion of these activities. As a result, the criminogenic risks and needs of most individuals who are in custody have not systemically been identified or appropriately addressed through in-custody service provision or warm handoffs to post-release services. In addition, because DPOs are not consistently meeting with clients while they are in custody, DPOs miss the opportunity to build rapport with them, or provide support during the custody to community transition by making referrals prior to their release. This results in delays between the time individuals are released from custody and the time when they meet with their DPO to receive referrals for services. Probation recently began conducting Skype interviews with PRCS clients that are in state prison. During the interviews, the DPO completes the COMPAS assessment and pre-release planning.

In order to address these deficiencies, a policy was drafted under Chief Still's leadership to address this gap. The Department's Caseload Management Standards policy, currently undergoing the collective bargaining process, mandates the completion of the COMPAS Re-Entry Assessment, to include, where appropriate, the completion of a sex offender, domestic violence, and/or mental health assessment prior to the sentencing of all adults under the jurisdiction of the Department. This information will be incorporated into the pre-sentencing report and also be made available through the Department's automated case management system, CaseloadPRO, to all deputy probation officers, both in the Transition Center and in the field.

**There is a lack of resources in place to support individuals during the custody to community transition.**

To support the custody-to-community transition for individuals with serious mental illness, OMHT and three service providers (*Homeless Action Center (HAC)*, BACS FREE program, and Bay Area Legal Aid) deliver case management services for individuals being released from custody. HAC and Bay Area Legal Aid work with in-custody mental health clinicians to enroll individuals with serious mental illness in public benefits such as SSI as well. Providers noted that most clients who receive these services do not receive public benefits for a significant period after release because the enrollment process is lengthy, and it takes



a long time to recover documentation (e.g., ID, social security card), which can cause disruptions in treatment.

For other realigned individuals, a lack of coordinated discharge planning results in clients experiencing high levels of uncertainty on the day of their release, especially among those who did not receive pre-release planning or referrals while in-custody. Many clients expressed that they were released late at night without access to transportation, a place to stay, or access to medication, which all posed significant challenges to their re-entry success. The unpredictability of the release process and lack of pre-release planning results in few, if any, warm hand-offs for clients who have housing, medical, mental health, and/or other needs during the custody to community transition.

*If we could have someone on the inside working on documentation that would be great! Often times we are waiting 2-4 weeks for IDs to come back. It depends on the state. It could be forever. So many people have nothing and then where do you start?*

– BHCS Re-entry Program Provider

To mitigate the impacts of late-night jail releases, which is a pervasive problem across many counties, Behavioral Health Care Services is planning an Assessment, Referral, and Drop-In Center to be located on the grounds of Santa Rita Jail, operating between 11:00 pm and 7:00 am. The center is intended to provide a safe, non-threatening temporary stopover to offer connections to services, including housing referrals, medication, counseling, substance use and mental illness treatment, food, clothing, and access to phone and internet service.

The period after release is a critical time to provide support for individuals, and to connect them with services to address their basic needs and criminogenic risk factors. Without intentional discharge planning in place, released individuals face a myriad of challenges that leave them vulnerable and at a higher risk for recidivism. Many clients shared that without any supports in place following discharge, they felt vulnerable and uneasy.

Another challenge that clients face during the custody to community transition is difficulty coordinating with DPOs to schedule their initial post-release meetings. A number of clients expressed that it took multiple weeks, and in rare cases months, before they were able to meet with their assigned DPO. Delays in these meetings pose another barrier to connecting with services to address their basic needs in a timely manner. As one client expressed, even a few days without a way to fulfill basic needs such as food and housing make re-entry very difficult.

*It can be intimidating if you don't have anything set up. I came out to pretty much nothing. There was no house or hotel room to go back to. It can be very overwhelming.*

– Client

As noted above, Probation is in the process of undergoing the collective bargaining process encompassing its Caseload Management Standards policy for adults. Implementation of this policy will help address the issue noted above, because assessments will occur prior to sentencing, and the development of case plans will be initiated, in collaboration with the PRCS/MS individual, within two to five days from release, and no later than 14 days from an individual's initial reporting date.



## Supervision

Evaluation of supervision practices occur against the backdrop of a dynamic system in the process of change. As noted previously, the Probation Department recently adopted a five-year strategic plan, *Vision 2023*, the first since 2004, to support its stated goals: creating the safest communities in the nation and providing compassionate supervision and accountability to individuals on probation. To achieve these results, the strategic plan (outlined in *Appendix A*) focuses on empowering staff, collaborating with stakeholders and the community, using research and data to inform practice, and honoring the belief that, given appropriate opportunities and tools, people can change. In addition, the goals and objectives incorporated into the strategic plan are aligned with the County's Strategic Vision 2026, and reflect the collective thinking of Departmental staff and stakeholders on how to advance strategies that promote behavioral change among the individuals that they serve.

The Probation Department is also currently in the process of implementing a number of evidence-based and best practices in Probation. As noted previously, the Department's adult service delivery model is in the process of being redesigned to one that reflects innovation, incorporation of strategies proven to reduce recidivism, and use of technology to inform practice and improve outcomes. The redesign is meant to enable DPOs to develop a personalized and progressive approach to supervising clients in the community by utilizing the results of the various validated assessments previously mentioned, in conjunction with caseload management standards that allow DPOs to be better positioned to develop case plans tailored to the criminogenic factors that may have contributed to justice involvement.

Furthermore, the utilization of CaseloadPRO, a new case management system, and PRIME, a case management mobile application that will allow staff to input case notes (including voice-to-text and photo capability), view caseloads, and receive warrant alerts via a smartphone, will enable DPOs to more easily document and access information about their clients while in the community. CaseloadPRO and PRIME will both assist in the collection and analysis of data, and are intended to increase productivity, reduce redundancy in data entry, and facilitate the Department's ability to maintain quality control systems and make data-driven decisions. Through these systems, Probation will be able to capture the necessary data to determine if outcomes are improving, and institute a continuous system improvement process to refine and improve system procedures and implementation to support the successful reintegration of the supervised population.

In October of 2017, Probation piloted CaseloadPRO in the PRCS and PROPs<sup>29</sup> units, and on January 7, 2019, the Probation Department officially launched CaseloadPRO for every client under supervision in the Adult Field services Division. All staff has been trained and ongoing new-user or refresher (booster) training continues to occur as needed. A unique component within CaseloadPRO is the provider Partner Portal component. This innovative component allows probation staff to make referrals to providers, communicate via electronic notes, attach documents, and receive program status updates as they occur. Contracted providers were trained on the utilization of the Provider Portal on December 20, 2018 and January 4, 2019.

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<sup>29</sup> PROPs receives 18 - 25 year old young adults who are under probations supervision



The following sections highlight the supervision strengths and challenges identified by Probation management and staff, service providers, and probation clients amidst this period of change, in order to support continuous improvement.

**Probation leadership is in the process of implementing a department-wide rehabilitative supervision approach by reducing caseload sizes, placing emphasis on updating policies, training staff, and implementing automated case management tools.**

Under new leadership, Alameda County’s Probation Department is progressing toward a more rehabilitative supervision approach, with a particular focus on implementing evidence-based and best supervision practices to address the criminogenic risks and needs of individuals on probation. Leadership has invested in training staff and implementing automated case management tools to support this work, while also reducing caseloads sizes from 60:1 to 50:1 across PRCS/MS caseloads to align more closely with best practice.

Several clients interviewed for this evaluation had been on prior probation terms before Realignment and these clients observed a shift in how their DPOs worked with and supervised them. In particular, these clients noted that recently, their DPOs have been more supportive and less likely to sanction them. This has meant that their DPOs emphasized linkages to services and supports, and took a more recovery-oriented approach, giving more leeway around minor regressions or infractions.

*The structure now allows you to breathe. The way things are now, the programs they help you with housing and gift cards and anything it is going good because I need programs that will get me off [probation].*  
– Client

While Probation is moving toward implementing a department-wide rehabilitative approach to supervision, providers and clients identified some inconsistency in the approaches being used by DPOs. Some DPOs apply strength-based, rehabilitative supervision approaches, make service connections for their clients to address the underlying needs associated with criminal behavior and reward positive changes. Others still utilize deficit-based, punitive approaches and are hesitant or unwilling to make service connections for clients, focusing on punishing negative behavior to encourage compliance.

Probation clients described ideal DPOs as supportive, helpful, and understanding. They suggested that supportive DPOs treat them with respect, demonstrate empathy and understanding, and refer them to services to support their re-entry. Ultimately, clients establish stronger relationships with these DPOs and have a greater likelihood of stabilization and supervision success. Several clients highlighted successes working with DPOs who express care for them as individuals. DPOs who inquired about the whole individual and their lives rather than solely focusing on the client’s criminal behavior fostered more positive relationships. Many clients attributed those positive DPO qualities to their own successful outcomes and tried to mirror this respect and cooperation.

*My PO asks about how my family is doing. It feels like he genuinely cares. So if you have people like that, it . . . [is] beneficial.*  
– Client



Clients also shared their experiences with DPOs who are not supportive. They suggested that these DPOs do not treat them with respect, or they do not encourage and support their successful re-entry. This results in diminished trust with their DPOs, which can hinder clients' receptiveness towards receiving services and complying with the terms of their supervision, and impair the cooperation needed for successful outcomes. Some Probation management, service providers, and clients suggested that DPOs who had been with Probation for longer periods may be among those most resistant to adopting a rehabilitative approach; in particular, some DPOs have been slow to embrace the Department's changing direction under its new leadership, instead relying on their past experiences and knowledge.

*A bad [PO] tells you what to do .  
.. [she] talks down to me.  
– Client*

In an effort to address these issues, the Department has taken a multi-pronged approach to address entrenched cultural issues and practices that, to some extent, hindered the organization's ability to embrace progressive practices for justice-involved individuals. In addition to the changes outlined in the *Probation's Adult Field Services Service Delivery Model* section above, the Department has also provided all staff, sworn and non-sworn, with training in evidence-based practices. Sworn staff, in particular, have been trained in motivational interviewing and cognitive behavioral interventions, among other practices, to more effectively manage individuals under Probation's supervision.

In order to ensure that staff are practicing the skills they are trained in, Probation reports that supervisors are receiving evidence-based BriefCASE training from external consultants with over 70 years of combined experience supporting the advancement of progressive trends within criminal justice agencies. Training commenced in April 2018 and will conclude in December 2019. The BriefCASE training provides first-line supervisors with all of the materials they need to coach and reinforce skills with their staff. In addition, the external consultants conduct "observations" of supervisors during their one-hour meetings with staff and provide feedback to supervisors regarding their coaching and mentoring skills in the applications of evidence-based practices. Through this training and continuous improvement process, the Department is seeking to address this issue in a comprehensive and thoughtful manner, with a focus on sustaining and supporting critical change.

**The Probation Department continues its implementation of evidence-based and best practices, with a focus on service delivery and continuity of care.**

Implementation of evidence-based practices is emphasized throughout all human service agencies that are seeking to provide effective services. Interventions within the corrections environment are considered effective when they reduce risk and subsequent recidivism, and make a positive long-term contribution to public safety.

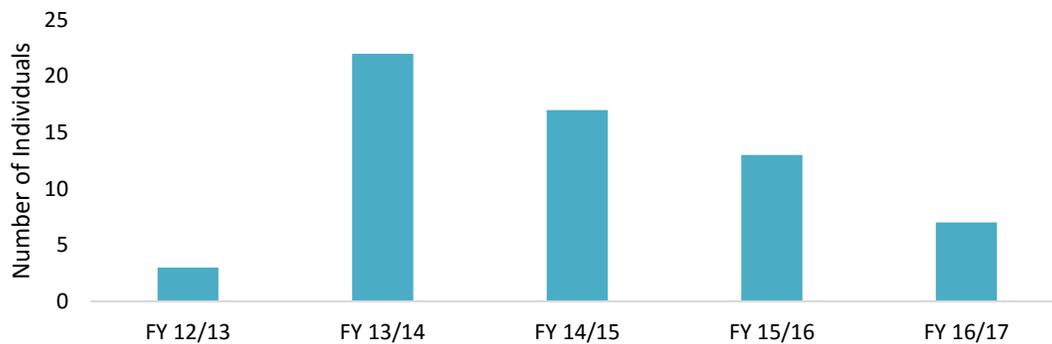
In recognition of this philosophy, and as described previously, the Probation Department's current implementation model is rooted in evidence-based service delivery (refer to Appendix C for Probation's detailed description of its efforts to align departmental practices with the eight principles of evidence-based practices outlined by the Department of Justice, and how these practices align with the



Realignment-related best practices highlighted previously). By initiating and maintaining interventions and supervision consistent with evidence-based practices and principles, the Probation Department is positioning itself to realize the greatest net improvements in service delivery and public safety impact. Department leadership recognizes that separate but related strategies encompassing external stakeholder collaboration and internal organizational development are necessary to maximize the effectiveness of its services, and to enable Probation to build a strength-based supervision model that is aligned with best practices.

In addition to the adult service delivery model outlined previously, it worth noting that DPOs utilize a graduated response matrix<sup>30</sup> to determine appropriate responses to clients’ compliance and/or violations. The graduated response matrix provides guidelines for appropriate sanctions given a client’s risk level and the severity of their probation violation(s). This allows for consistency in standards in the application of sanctions and in response to violations. One response option is the use of flash incarceration, whereby DPOs, with their Director’s approval, can place individuals in custody for up to 10 days for violating the terms of their supervision. Flash incarcerations are intended to serve as a deterrent and a “wake-up call” for individuals, and are oftentimes used in lieu of a revocation encompassing a longer period of incarceration. Officers have only used flash incarcerations sparingly in Alameda County, as shown in Figure 6, instead using more intermediate sanctions wherever appropriate.

**Figure 6. Realigned Individuals Flash Incarcerated by Fiscal Year**



**Challenges tied to prior leadership turnover have inhibited the consistency with which DPOs implement EBPs and a rehabilitative supervision approach.**

**High Caseloads.** DPO caseloads hover around 80:1 for felony probation and 50:1 for MS and PRCS, although MS and PRCS caseloads have historically been 60:1. These high caseloads pose a barrier to learning and implementing evidence-based practices, which take substantial time to learn and implement on a day-to-day basis. As a result, DPOs are positioned to focus more on responding to immediate

<sup>30</sup> A graduated response matrix determines the type of sanctions or rewards to offer an individual on probation based on the type of violation or progress they exhibit. The response grid is couched in the research that shows that incentives and recognition promote behavioral change better than punishment and criticism. At the same time, sanctions must be immediate and proportionate to the violation and history of prior compliance/violations. Appropriate incentives and sanctions support the likelihood that the client will successfully complete probation.



concerns rather than implementing evidence-based practices or developing and implementing case plans for long-term improvement in client outcomes.

In an effort to increase efficiency and safety for DPOs working in the field, the Probation Department has developed the PRIME mobile application which will allow DPOs to input case notes into CaseloadPRO, view caseloads, and receive warrant alerts via a smartphone. This mobile application also includes voice-to-text and photo capability. The application is expected to improve the capacity of DPOs to manage their caseloads given that the information entered into PRIME is automatically uploaded into CaseloadPRO. This eliminates the need for DPOs to return to their assigned probation office to capture the information. The system will enable DPOs to remotely access individual client case information in a succinct and organized fashion and increase the time available for DPOs to collaborate with service providers on individual probation cases, interact with their clients and their families, and more effectively manage their caseloads.

**Leadership Turnover.** Since the appointment of Chief Wendy Still in late 2016, the Probation Department has had leadership stability and strong support from the Board of Supervisors. Prior to that, organizational challenges within the Probation Department—many due to previous leadership transitions that created organizational instability—hindered prior efforts to implement effective supervision tools and practices.

DPOs who spoke with RDA expressed that previous efforts to implement evidence-based and best practices failed due to rapid turnover in leadership and approaches, as well as a lack of coordinated planning and training for implementing these approaches. This instability resulted in frustration and a lack of investment in learning and adopting new approaches. DPOs described the need to strategically and systematically implement these practices in order to ensure fidelity and sustainability of any new practices and/or tools. This requires having adequate time and training for officers to learn to implement new practices with fidelity. The Probation Department, under Chief Still's leadership, is currently developing a comprehensive training and implementation plan, as outlined in this report, to ensure that evidence-based principles are embedded in the Department.

**Communication Challenges.** Clear and consistent communication between individuals who are on probation and their DPO is an ongoing challenge. Some clients shared that they did not hear from their DPO for weeks, and in rare cases even months, after release. Other clients highlighted communication challenges that were prevalent throughout their supervision term. These communication challenges often impede timely access to service linkages.



Clients and providers indicated that it is often challenging to make contact with DPOs when seeking a referral or when following up. Although there is an “officer of the day” that clients and providers can contact, providers suggested that only some of these DPOs collaborate with them in initiating referrals. These coordination challenges sometimes result in delayed referrals and less service receipt among the County’s realigned population. Multidirectional communication between DPOs, service providers, and probation clients is essential to ensure probation clients are connected with appropriate programs and services to support their rehabilitation goals.

*The POs have more information about the clients’ background, and [more information] would help [our staff] locate the clients sooner . . . We want the POs to realize that the referral form is a conversation. Actually engaging in a conversation to get the information to help the clients [is what we need].*

– Realignment Housing Program Staff

The Department recognizes these deficiencies and is currently seeking to address them by incorporating automation, training, quality control systems, accountability measures, and updated policy requirements.

**Home Visits.** DPOs can utilize unannounced home visits to confirm a probation client’s residence, determine compliance with the terms of their probation, and assess an individual’s adjustment in the community by interacting with others in the residence and the client. However, AB 109 Unit DPOs who spoke to RDA indicated that they do not consistently perform home visits because of concerns for their safety, citing a lack of appropriate equipment or law enforcement support. DPOs also expressed that some local law enforcement partners do not want to provide support for home visits, and that seeking to pull them in can cause tension between the Probation Department and law enforcement agencies.

To address safety concerns, Chief Still recently received support from the Board of Supervisors to expand the number of DPOs who are armed in the Department. The Department has also identified safety equipment and training needs for its DPOs, and is in the process of developing a Field Training Officer program. Additionally, home visits are mandated in the Caseload Management Standards that are currently in the bargaining process, along with a number of other case management requirements.

## Service Delivery System

Realignment required that counties use AB 109 funding to build partnerships with local health and social service agencies and community-based organizations. As documented above (see *Realignment in Alameda County* section), Alameda County offers a wide range of AB-109-funded programs and services for the realigned population across the following areas:

- Mental health and substance use treatment
- Housing support
- Employment
- Education
- Mentoring and Reengagement



- T/DRC services

DPOs are expected to work with realigned individuals to identify their needs and make referrals to AB 109-funded services based on their needs. Although realigned individuals can access other services without a referral from Probation, in order to receive AB 109-funded programming in the community, a DPO must provide the referral for a client. As the source of referral for all AB 109-funded programming, DPOs play a key role connecting realigned individuals with the County's continuum of services to address the criminogenic needs of the realigned population.

While Realignment has resulted in substantial improvements in the County's capacity to deliver services for the realigned population, building collaborative partnerships is an ongoing process, and service delivery challenges, especially with the referral process, currently remain and limit the utilization of some AB 109-funded services. The following sections describe both the successes and challenges in service provision for the realigned population in greater detail.

**Alameda County has invested in a continuum of services for the County's realigned population to support their successful re-entry into the community.**

Alameda County dedicates 50% of AB 109 funding for community services to develop new programs and services at each stage in the justice process – a greater percentage than any other California county. The Probation Department and other CCP-EC agencies partner with CBOs to provide services for the County's realigned population. The County has a strong network of CBOs that are focused on providing culturally competent services aligned with best practices, and the CCP-EC draws on these organizations to support the County's realigned population. The collaborative of CBO agencies provides cognitive behavioral health, housing, employment, and education services, among others.

In addition to these core services, the County developed the Community Capacity Fund (CCF) and Innovations in Reentry (IIR) programming to help build the capacity of certain organizations and test innovative pilot projects to improve services and reduce recidivism, respectively.

Over the past six (6) years, the Probation Department has been charged with developing procurement instruments and contracts for the CCF. The CCF is intended to provide support for smaller organizations to incorporate evidence-based and best practices into their treatment models, and have a need to build their capacity across one of the following areas:

- Mission, vision, strategy
- Governance and leadership
- Organizational structure
- Partnerships, external relations, and networking
- Management systems and operational ability
- Fundraising, revenue generation, fiscal sustainability
- Sector-specific knowledge



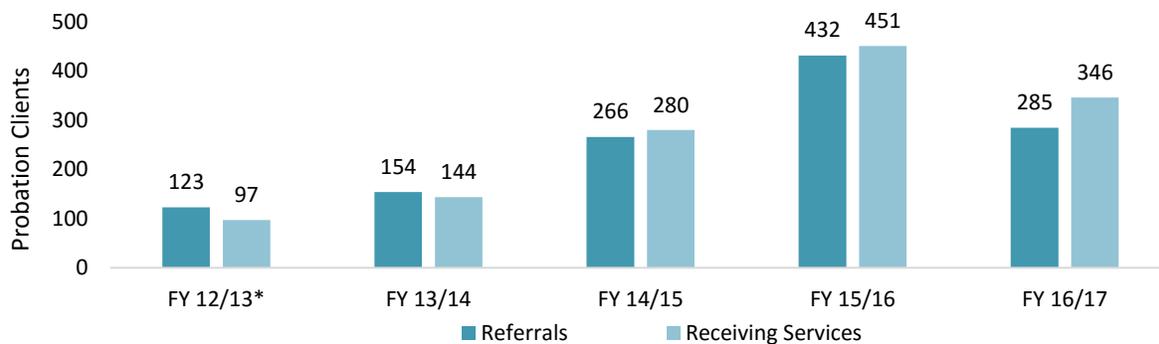
In FY 2017/18, the Probation Department worked closely with the County’s General Services Agency, resulting in 71 new contracts with local providers and totaling over \$12.7 million, with \$2.02 million pending award as of December 2018.

IIR funds pilot projects that test innovative program models designed to improve services to and reduce recidivism for the entire adult re-entry population, including but not limited to the realigned population.<sup>31</sup> IIR encourages projects developed by smaller grass-roots CBOs, as well as organizations that hire justice-involved individuals to deliver services. Past IIR projects have included leadership development for re-entry adults, training re-entry adults to serve as peer specialists, and strategies for employment barrier removal for the re-entry population. Both the CCF and the IIR are helping to increase the number of providers and the quality of services across Alameda County.

Below is a summary of AB 109-funded services received in Alameda County through FY 16/17.<sup>32</sup>

**Housing Services.** The Housing and Community Development Agency (HCD) oversees the County’s Realignment Housing Program (RHP), which consists of housing services (e.g., emergency housing, transitional housing, wraparound case management) provided by Abode Services, the East Oakland Community Program (EOCP), Men of Valor, and the Berkeley Food and Housing Program (BHFP), whose contract was terminated in November 2016. Alameda County began providing AB 109-funded services through HCD in August of Fiscal Year 12/13; since that time, fewer than 500 individuals have been referred to and received RHP services each year (see Figure 7 below). While the number of referrals and individuals receiving RHP services increased each year from Fiscal Year 12/12 – Fiscal Year 15/16, there was a noteworthy decline in referrals and services received during Fiscal Year 16/17, despite affordable housing being identified as one of the largest needs in the County.

**Figure 7. Realignment Housing Program Referrals and Individuals Receiving Services, by Fiscal Year**



\* FY 12/13 spans 11 months from August 2012 through June 2013

**Employment Services.** Alameda County began funding AB 109 employment services (e.g., employability assessments, job readiness training, transitional work programs, subsidized and unsubsidized employment and job retention services) in Fiscal Year 12/13. RDA received referral and enrollment data

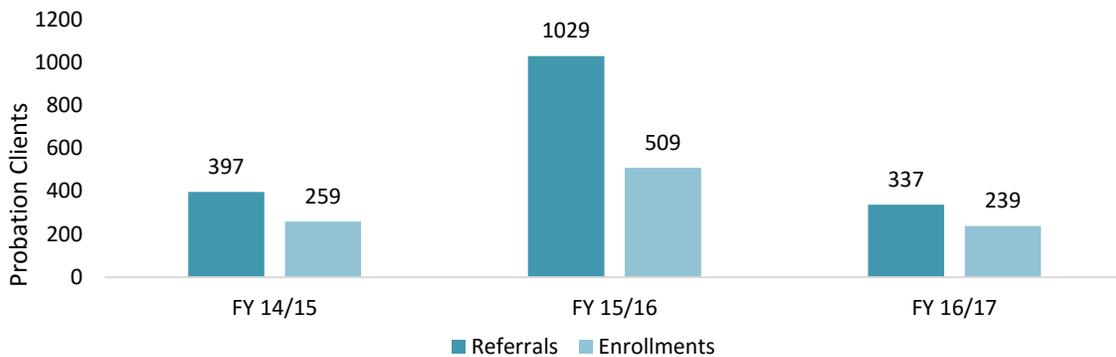
<sup>31</sup> IIR is 50% funded through AB 109 and 50% funded through the Mental Health Services Act.

<sup>32</sup> RDA’s subsequent report, the *Updated AB 109 Client Overview and Outcome Analysis*, will include service utilization data through December 2018.



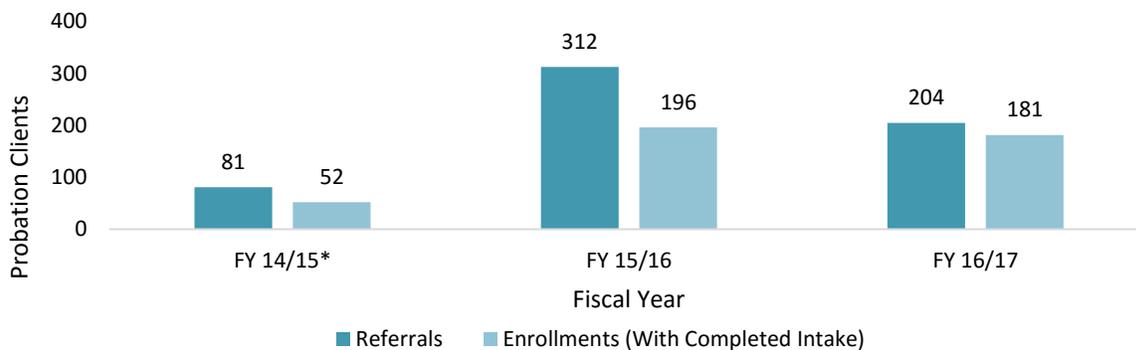
for employment services provided since Fiscal Year 14/15, during which time the Oakland Private Industry Council (OPIC), the Center for Employment Opportunities (CEO), ACTS Full Gospel (ACTS), and Building Opportunities for Self-Sufficiency (BOSS) provided these services (BOSS was the only AB 109-funded employment service provider in FY 16/17). Figure 8 demonstrates that the number of referrals and enrollments increased significantly from Fiscal Year 14/15 to Fiscal Year 15/16, and then decreased substantially in Fiscal Year 16/17. While the number of referrals in FYs 14/15 and 16/17 were lower, the enrollment rate was far higher.

**Figure 8. Employment Service Referrals and Enrollments, by Fiscal Year**



**Transition Day Reporting Center (T/DRC) Services.** The T/DRC, which opened in March 2015, serves as a central hub for a range of services for participating realigned individuals. In addition to a core focus on providing CBT for all participants enrolled at the T/DRC, case managers also work with clients to remove barriers to successful re-entry (e.g., document recovery, paying fines), refer clients to services, and provide transportation assistance. As shown in Figure 9, during the first full year of T/DRC implementation, approximately 300 individuals received referrals to the T/DRC, of whom approximately two-thirds enrolled. The number of referrals dropped significantly in Fiscal Year 16/17, although enrollment remained relatively stable.

**Figure 9. T/DRC Referrals and Enrollments, by Fiscal Year**



\* FY 14/15 spans 4 months from March 2015 through June 2015

**Education Services.** Alameda County also introduced AB 109-funded education services provided in the community through Five Keys Charter School in January of Fiscal Year 16/17. Between January 1, 2017



and June 30, 2017, 82 individuals received referrals for AB 109-funded education services, of which 29 enrolled in high school, General Equivalency Diploma (GED), or college programs.

**Mentoring and Reengagement Services.** Alameda County also introduced mentoring and reengagement services for the realigned population through FUBU providers that began providing services in August 2017.

The following section discusses the successes and challenges of delivering the above services to the realigned population.

**Individuals on probation and enrolled in the T/DRC, or who participated in housing or employment services, reported mostly positive experiences.**

Individuals with longer histories of justice involvement highlighted that the increased availability of resources through AB 109 has supported successful re-entry. Moreover, probation clients expressed that, overall, the services they participated in helped address their needs and supported their re-entry into the community. While there have been challenges with the referral process and some service providers (discussed in greater detail below), individuals who were enrolled in the T/DRC, employment services, and/or housing services shared mostly positive experiences participating in these programs.

**T/DRC Services.** Clients enrolled in the T/DRC expressed appreciation for the support that they receive from case managers at the T/DRC, as well as the resources available to them through the T/DRC. In addition to using CBT, Motivational Interviewing (MI), and interactive journaling to support probation clients, the T/DRC provides referrals to services to address client needs. Clients expressed that their relationships with T/DRC staff are positive and encouraging, and that it is often easier to receive referrals to services through T/DRC staff than with their DPOs. The T/DRC also utilizes a point system to encourage participation in programming, allowing those who participate in classes and activities to earn points they can redeem for gift cards and other incentives, which T/DRC clients expressed are a significant motivator for frequent participation.

**Housing Services.** Clients repeatedly highlighted housing services as a critical need to support their successful reintegration into the community. Clients who ultimately received housing services expressed appreciation for these services, especially those that offered additional resources (e.g., laundry facilities, computers) within the facility.

*Everybody has hope in their hearts for housing because they just don't want to be homeless.*

– Client

However, clients shared their frustration about the overall lack of housing availability in Alameda County (an issue for the entire community) and shared their experiences of long, vulnerable periods of waiting for housing support. In addition, several clients identified challenges with shared housing spaces, including a lack of privacy and concern about theft of property.



**Employment Services.** Probation clients who participated in employment services expressed that the training and support they received through AB 109-funded employment services helped them successfully connect with employment opportunities. Clients also expressed that these services provided them with the tools and connections necessary to obtain employment, and that the responsibility of securing and maintaining employment remained on them. To support this effort, realigned individuals receive a stipend through AB 109-funded employment services while they are engaged in job readiness training and seeking employment. Clients who spoke to RDA suggested that this stipend was crucial for helping them during periods of unemployment. However, recently the number of hours for which the stipend is offered was reduced from 240 hours to 80 hours. Employment service providers expressed that this reduction presents a challenge for maintaining client engagement, because when the stipend is terminated, clients typically have not completed their training and/or attained employment. The providers reported that clients often do not return when they become ineligible for the stipend.

*I had nothing but good experiences. I was with BOSS. I'm working on a computer and things and looking for a job. They're not trying to give me a job; they're trying to teach me how to get it.*

– Client

**Confusion about roles and responsibilities, and the scope of services available through County agencies and contracted service providers results in fewer service referrals.**

As an evolving system, it is expected that there are still service delivery challenges to be addressed. Some AB 109 Unit DPOs suggested that a lack of clarity persists around the services available through AB 109-funded providers, which leads to confusion and ultimately resistance to making service referrals to them. Some Probation management also expressed concern with the quality of service from contracted providers, suggesting that this results in fewer DPOs referring clients to AB 109-funded service providers. It is especially challenging for DPOs who perceive that their roles and the service providers' roles overlap.

More frequently, DPOs expressed concern that they are not well-informed of the services that are available through the providers, and do not learn of changes in the services that are available based on occasions where contracts are modified. This is especially the case when there are multiple providers for similar services, or when there are changes in the types of services over time. This confusion and frustration can become especially problematic when individuals referred for services have expectations are not aligned with the services provided. For instance, there appears to be a lack of clarity about the types of housing services available through the AB 109-funded Realignment Housing Programs. OMHT management indicated that there is substantial confusion about the types of housing services they can provide, and that DPOs frequently refer individuals for housing services that are not available through AB 109 funding. This lack of clarity causes miscommunication between DPOs, service providers, and clients, impairing the service delivery process.



When realigned individuals arrive at a provider's office for services only to find that they are not available, this can damage trust between the individual and both their DPO and service provider, adversely impacting further program participation.

*The clients will come with no income and say, 'they said you're going to have housing for me today.' Sometimes we have to say that it is not how it goes, and it is giving them a false hope.*  
– Realignment Housing Program Staff

Similarly, referrals to BHCS's ACCESS program have been limited because there appears to be a lack of clarity among some DPOs about ACCESS' scope of services. ACCESS is a countywide point of contact for information, screening, and referral for individuals assessed to have a serious mental illness. It was reported that some DPOs have sought ACCESS clinicians to provide direct services to the realigned population, however ACCESS clinicians serve only as one point of contact to provide assessment and referral services to individuals that are clinically assessed as having a serious mental illness; they do not provide the actual treatment. Due to this misunderstanding, DPOs make few referrals to ACCESS and have instead sought alternative routes for linking clients to mental health services, even after ACCESS staff were stationed in both the Hayward and Oakland Probation offices. To combat this challenge, BHCS clinicians responsible for providing behavioral health services and treatment have been embedded at two Probation sites.

As is the case with any new program model and service delivery system, it takes time for providers to build capacity and refine administrative processes, for staff to become aware of the various services, criteria, and referral processes; and for providers and staff to establish and build trust among each other. The Partner Portal application in CaseloadPRO, when in full use by all service partners and DPOs, will allow for a more coordinated and efficient system of referrals, and support greater utilization of services by clients with the most need.

**Challenges with the current referral process have resulted in lower utilization of AB 109-funded services than anticipated.**

Despite the availability of services, the referral process creates barriers that delay or prevent some realigned individuals from accessing the services they need. Because DPOs serve as a gatekeeper to AB 109-funded services, they play a critical role in ensuring the referral process works as intended. Clients who spoke with RDA suggested that some DPOs would not refer them to services or that they experienced significant pushback or delays receiving referrals from DPOs. As a result, AB 109-funded service access has been uneven across the County's realigned population and largely determined by individual DPO.

As previously noted, the Probation Department is in the process of implementing the COMPAS assessment and CaseloadPRO case management system to address these challenges. Ongoing COMPAS training informs all staff on how to use the results of the validated assessment to create an individualized case plan, and the case plan helps prioritize referrals to target each client's criminogenic risks and needs. The case planning process requires DPOs to work with clients to identify goals and appropriate interventions. Additionally, the use of PowerBI (business analytics system) by Probation will allow for the production of



immediate reports on program placement, program utilization, DPO service referrals, and success metrics that can be utilized to gauge expansion of programs to other areas of the County.

Individuals on banked caseloads or those who report to a kiosk do not have an assigned DPO to provide a referral for them (although there are DPOs assigned to the kiosks), making it more difficult for these individuals to become aware of and able to access AB 109-funded services. Because AB 109-funded services require a referral from a DPO, this lack of contact makes it more difficult for this population to identify available resources and attain necessary services. These realigned individuals must contact and work with the officer of the day to receive a referral for AB 109-funded services. Clients reported that it is often difficult to get in touch with the officer of the day and that some never respond, making it challenging for them to receive services. Should realigned individuals contact the service providers directly, the agency is unable to enroll the individual without a referral from a DPO, resulting in further delays in service connection. These delays can create a challenge to the individual, particularly when there is an immediate and/or serious need or when service providers are unable to re-engage a potential client.

*One of the issues with the referral [requirement] is that sometimes someone may show up with an immediate need [without a referral]. Sometimes we have to refer them back to Probation and we have to check in with the officer of the day . . . and that creates a delay.*

– Realignment Housing Program Staff

The implementation of the Caseload Management Standards policy and CaseloadPRO will help resolve many of these issues in that this policy encompasses specific timeframes by when individuals must be seen by their DPO, a case plan developed, and a referral to services made. Furthermore, CaseloadPRO and implementation of PROBSTAT (a data management system used to determine trends, anomalies and/or to refine existing practices) encompass quality control components to enable supervisors and managers to assess the extent to which DPOs are complying with these requirements and take corrective action where appropriate.

For individuals who do receive referrals to AB 109-funded programs or services, service providers expressed that additional challenges arise because they typically receive limited information in the referral form—often, there is only the name of the individual, their telephone number, and the name of the referring DPO. Service provider staff expressed that it can be difficult to locate the referred individuals if initial contact cannot be made, especially when DPOs do not support them in seeking probation clients' whereabouts. Service providers also shared that it would be ideal to receive some information with the referral about individual's justice involvement history, their current conviction, and/or other information such as their housing status. However, because the Probation Department must adhere to Department of Justice (DOJ) regulations regarding the sharing of Criminal Offender Record Information (CORI), this presents challenges with including criminal justice information on a referral form. Nevertheless, as CenterPoint staff expressed, if it is not possible to share certain information electronically, scheduling conversations with referring DPOs to learn more about the client they are referring would be very helpful.



The Department is addressing this issue through the incorporation of the Partner Portal application, which is currently hosted within the CaseloadPRO automated system. Through this system, community-based organizations have access to basic non-confidential information about the individual, as well as the name and contact information of the assigned DPO.

**There is a perceived lack of trust between some DPOs and AB 109-funded service providers which impact referrals to these services.**

Due to the challenges highlighted above (e.g., lack of awareness of available services, misunderstanding of provider roles and responsibilities), a lack of trust has developed between some DPOs and AB 109-funded service providers. This in turn has resulted in resistance from some DPOs to provide referrals for realigned individuals to these services. This poses a significant challenge when consistent negative experiences with one service provider impacts a DPO's perception of service providers more generally.

Employment service providers noted that some DPOs avoid making referrals to AB 109-funded service providers because they lack trust in the providers' ability to work well with their clients. Instead, some DPOs utilize non-AB 109-funded providers with whom they have worked in the past and had more positive experiences.

Newer services provided through Five Keys Charter School and FUBU providers have not received the number of anticipated referrals either. This may be a result of the time it takes for DPOs to learn about the services available through AB 109, as well as the need for them to prioritize referrals to meet court-ordered supervision conditions and/or other needs. A FUBU provider suggested it may be that DPOs do not trust their model because it was developed without input from Probation, but instead by individuals who were formerly justice-involved.

The full implementation of the adult service delivery model outlined throughout this report should support increased referrals and communication between DPOs and providers. Additionally, as a component of its Strategic Plan: VISION 2023, the Department recently established a Partnership Subcommittee to focus on how the organization can better engage with justice system and community partners in an effort to advance a shared vision of public safety; improve communication, data, and information exchange; and improve the Department's service delivery system, outcomes, and client satisfaction.

**There are additional gaps in Alameda County's AB 109 system of services that impact the County's ability to adequately meet the needs of the County's realigned population.**

Service providers, DPOs, and probation clients identified gaps in housing, mental health, substance use, and employment services, as well as regional gaps in service availability. The most frequently cited gap was a lack of affordable housing options for the County's realigned population. This is even

*I can't win a scratcher and they want to put me in a lottery for a house.*  
– Client

more challenging for individuals with criminal histories that include arson or sex offenses. Realigned individuals expressed their frustration and disappointment regarding the lack of housing availability.



## **Alameda County**

### *AB 109 Evaluation: Process Evaluation*

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In addition, while employment services have been effective at connecting individuals with employment opportunities, there are ongoing challenges that impact long-term employment security for realigned individuals. As noted previously, the number of hours for which a stipend is offered was reduced from 240 hours to 80 hours in the current employment contract. This presents a challenge to maintain client engagement because 80 hours is typically not enough time for clients to complete training or attain employment. Several probation clients also suggested that while they were successfully connected to employment opportunities through AB 109-funded services, there were challenges obtaining long-term employment and/or employment that pays a sufficient living wage. Clients suggested that identifying and adding training and job certification opportunities in the County could lead to more stable and higher paying employment for them.

The geographic distribution of services was also consistently highlighted as a challenge for connecting realigned individuals who live in South County with AB 109-funded services. In general, a majority of services were initially located in or near Oakland, where most of the County's realigned individuals live. Comparatively, there were fewer services available for clients under supervision in South County. Since April 2018, the County has sought to expand the geographic availability of services. For instance, Behavioral Health Care Services is in the process of increasing services in the South County region. A new South County Mobile Crisis Team is anticipated to launch in early 2019, and will operate seven days a week between the hours of 10:00 AM and 8:00 PM. This two-clinician team will respond to individuals experiencing mental health crisis in the community, and also provide outreach, prevention, early intervention, and follow-up services when an individual's needs are less urgent. Two countywide post-crisis follow-up teams will augment the work of the mobile crisis team: one for high-utilizers and one for all other crises. These teams will link clients with services, prevent secondary crisis, and help coordinate continued follow-up with service providers. However, the T/DRC, which was highlighted by several realigned individuals as an effective and supportive service, is only located in Oakland and few clients supervised in South County enroll in T/DRC services. Similarly, ACCESS staff highlighted the need for additional mobile crisis teams to address crises that occur outside of Oakland.



## System-Level Progress

Since the enactment of Realignment in 2011, Alameda County has built on existing investments in an effort to create an effective AB 109 system of services aimed at reducing recidivism and improving outcomes for the County's realigned population. In support of these efforts, the County's CCP-EC has prioritized the development of a continuum of AB 109-funded programs and services including behavioral health, housing, education, employment, and mentoring and reengagement services to meet the needs of the realigned population at every stage in the justice process.

As noted previously, there are three pre-plea AB 109-funded services available through the District Attorney (EIC, ACJRP) and Public Defender's Office (AB 109-funded social workers), which are not available to a wide net of people. There is limited access to treatment and services available at Santa Rita Jail, and Alameda County has invested in the development of the Transition Center to support pre-release planning by helping realigned individuals connect with community service providers while in custody. At the Transition Center, realigned individuals can learn about services available to them in the community and begin the referral process to support their custody to community transition. Other providers also offer case management services in-custody and facilitate referrals to community services prior to release. For instance, case managers at OMHT conduct validated risk and needs assessments, develop individualized case plans, make referrals for services in the community, and provide case management services upon release to facilitate a smooth custody to community transition.

For realigned individuals on probation, the Probation Department has started implementing, or has completed, the implementation of evidence-based and best practices in probation, as outlined in this report. These are intended to support the department-wide implementation of a rehabilitative supervision approach. In addition, the CCP-EC has allocated funds to BHCS and the CDA to support the provision of behavioral health and housing services for the realigned population, as well as a number of service providers to operate the T/DRC and provide employment, education, and mentoring and reengagement services. Through the CCF and the IIR, Alameda County is also actively seeking to fund innovative and evidence-based programs and services for the realigned population, including services provided by formerly justice-involved individuals, and to integrate a greater number of local CBOs that have not traditionally received funding through RFP and grant applications into the service delivery system.

Finally, the County has also continued to invest in evaluation and continuous quality improvement in order to identify challenges and develop solutions that provide support for the County's realigned population. However, at the time of data collection for this evaluation, the Court's Odyssey case management system was unable to measure all realigned populations. County staff have reported that the Court's case management system is now be capable of identifying the County's entire realigned population, and Probation invested in CaseloadPRO, a case management system that allows the Department to identify the realigned population based on the definition established by the CCP-EC.

In many ways, the efforts associated with the implementation of the County's AB 109 system have resulted in increased collaboration among the Realignment partners to improve outcomes for realigned



## **Alameda County**

### *AB 109 Evaluation: Process Evaluation*

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individuals. For example, the addition of programs such as the EIC and the ACJRP bring together CCP-EC partners and service providers under the leadership of the District Attorney's Office to provide programs and services starting at the earliest phases of the justice process. Ongoing efforts of the Pre-trial Services workgroup is another cross-system effort aimed at reestablishing pre-trial services in Alameda County. Finally, a workgroup consisting of representatives from the Probation Department, District Attorney's Office, Public Defender's Office, Sheriff's Office, Superior Court, and the County's Information Technology Department met regularly after the enactment of Realignment to define the County's realigned population and define and measure recidivism outcomes.

These examples demonstrate some of the ways in which AB 109 has increased collaboration. However, as an evolving system, the County has experienced challenges in leadership transition, staff turnover, and service coordination that are typical in the early stages of systems-level change. As the County moves forward, it must leverage the lessons learned from these challenges and continue working to build successful partnerships between all AB 109 partners on an ongoing basis to support improved client outcomes.

Leadership turnover has resulted in changes in the County's vision for how the CCP-EC should function to support the implementation of Realignment in Alameda County. Each change in leadership has created a shift in direction and a need to develop new working relationships with AB 109 partners. As a result, there have been challenges synchronizing County leadership's vision with on-the-ground implementation. Fortunately, AB 109 stakeholders, including Probation staff, other County partners, and service providers all expressed optimism about the County's current leadership and its vision.

High rates of staff turnover across County Departments and services providers have also hindered the extent to which a shared vision for AB 109 implementation exists in Alameda County, and a lack of coordination among County partners has resulted in misunderstandings and disagreements about the types of services that should be funded through AB 109, and how these services should be implemented. For example, while the County has emphasized having AB 109-funded service providers employ individuals with former justice involvement, the Sheriff's Office cannot provide clearance for most of these individuals to access the Transition Center due to their security policies.

In addition, as identified above, a perceived lack of trust and limited coordination between some DPOs and service providers have resulted in a lack of clarity around their respective roles and responsibilities, which in turn has created barriers to effective service delivery and resulted in lower utilization of AB 109-funded services than anticipated. Moreover, limited coordinated case planning, high caseloads, and separate case management provided by DPOs and service providers can sometimes create confusion and frustration, especially when there are disagreements about the service needs of realigned individuals.

Despite these implementation challenges, the system advancements documented in this report demonstrate the County's commitment to improving its Realignment system and continuum of services for the realigned population. Driven by the findings presented in this report, the following recommendations are meant to support the County in its continued improvement of its Realignment systems and processes.



## Recommendations

**Recommendation 1:** The CCP-EC should consider re-establishing a structured process to facilitate ongoing data collection and analysis of the County’s realigned population, including the assessment of service and recidivism outcomes.

### Context

After the enactment of Realignment, a workgroup consisting of representatives from the Probation Department, District Attorney’s Office, Public Defender’s Office, Sheriff’s Office, and Superior Court met regularly to define the categories and data sources for the County’s realigned populations, as well as define and measure recidivism outcomes. However, this workgroup of representatives is no longer meeting consistently. At the time of data collection for this evaluation, the Court’s Odyssey case management system was unable to measure all realigned populations. However, County staff have reported that the Court’s case management system is now be capable of identifying the County’s entire realigned population, and Probation invested in CaseloadPRO, a case management system that allows the Department to identify the realigned population based on the definition established by the CCP-EC. This means CCP-EC partners can measure service and recidivism outcomes for the entire realigned population, which should be accomplished through an existing workgroup, or the re-establishment of an additional cross-system workgroup that includes representatives from each public protection partner and AB 109-funded service providers.

Objectives	Action Steps
<ul style="list-style-type: none"> <li>• <b>Create a structured process to facilitate ongoing evaluation of Realignment, including an assessment of service and recidivism outcomes.</b></li> <li>• <b>Facilitate interagency data sharing and data-driven decision making.</b></li> </ul>	<ul style="list-style-type: none"> <li>• Re-establish a cross-system workgroup that includes representatives from each CCP-EC partner and AB 109-funded service providers to:               <ul style="list-style-type: none"> <li>○ Determine appropriate data points each agency should collect to facilitate the ongoing evaluation of Realignment, including the assessment of service and recidivism outcomes.</li> <li>○ The workgroup should meet quarterly to discuss service and recidivism outcomes, as well as other data elements agreed upon.</li> </ul> </li> <li>• Identify representatives from each partner agency to:               <ul style="list-style-type: none"> <li>○ Participate in workgroup meetings;</li> <li>○ Oversee data collection and analysis for each agency to ensure the data is collected and reported out in accordance with standards agreed upon by the workgroup;</li> <li>○ Serve as a point of contact for data sharing across agencies; and</li> <li>○ Ensure that data sharing agreements or memorandums of understanding are in place for all partners that clearly identify the scope of data to be shared, the process for data requests and transfer, and limitations and protections for sharing individual-level data.</li> </ul> </li> <li>• Identify a lead agency responsible for the coordination of regular meetings, including securing a space for the meeting, developing agendas, and sharing meeting minutes, as necessary.</li> </ul>



**Recommendation 2:** Probation should coordinate regular meetings with CCP-EC partners and AB 109-funded service providers to discuss implementation successes and challenges and provide updates on AB 109-funded services available to the realigned population, with a goal of process improvement.

**Context**

It is natural for implementation challenges to arise in an evolving system of services such as Alameda County’s AB 109 system. Findings from this report suggest that some DPOs and OMHT staff remain unclear about the scope of services provided through AB-109-funded programs, in part because scopes of work are modified from year to year, and new service providers are contracted to provide services over time. CCP-EC partners and service providers do meet when service delivery challenges are identified or new providers and/or services are contracted. For instance, providers who deliver services at Santa Rita Jail meet quarterly to learn which other providers enter the jail, and the services they offer. In addition, Probation meets with all AB 109-funded service providers it oversees contracts for, including housing, employment, mentoring and re-engagement, and education providers on an as-needed basis to discuss roles and responsibilities and implementation challenges. The new referral portal in CaseloadPRO will increase opportunities for communication among DPOs and service providers. However, the CCP-EC should consider how to better publicize changes in services provision, and CCP-EC partner agencies should develop mechanisms for communicating information with all line staff or assure that the communication processes already in place are effective.

**Objectives**

**Action Steps**

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| <ul style="list-style-type: none"> <li>• <b>Ensure an ongoing and shared understanding of the scope of services available through AB 109-funded service providers.</b></li> <li>• <b>Facilitate communication and build trust between CCP-EC partners and AB 109-funded service providers to maximize opportunities to connect realigned individuals with AB 109-funded services.</b></li> <li>• <b>Identify, discuss, and address challenges in the implementation of AB 109-funded services, including the referral process and service outcomes.</b></li> <li>• <b>Highlight successes in collaboration between CCP-EC partners and AB 109-funded service providers, and positive impacts for realigned individuals.</b></li> </ul> | <ul style="list-style-type: none"> <li>• Establish a regular meeting where CCP-EC partners and AB 109-funded service providers meet annually, at a minimum. These meetings should be structured to achieve identified objectives and include representatives from leadership and line staff.             <ul style="list-style-type: none"> <li>○ Probation should serve as the lead agency responsible for coordination of regular meetings, including securing a space for the meeting, developing agendas, and sharing meeting minutes. (Probation leadership reported that the first of these meetings is already scheduled for March 2019).</li> </ul> </li> <li>• Identify partners who will attend this meeting, which at a minimum should include AB 109-funded service providers, as well as representatives from Probation and the Sheriff’s Office.             <ul style="list-style-type: none"> <li>○ Identify a representative from each partner agency to serve as a point of contact between the agency and AB 109-funded service providers to identify emerging issues and facilitate discussion, and meetings, on an ongoing basis as needed.</li> </ul> </li> </ul> |
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**Recommendation 3: CCP-EC partners, in collaboration with AB 109-funded services providers, should clearly define and document the roles and responsibilities of each agency to ensure comprehensive pre-release planning for the County’s realigned population.**

**Context**

Alameda County developed a *Road to Re-entry* that was adopted by the Board of Supervisors in March 2014. A next step in the County’s evolving AB 109 system is to integrate systematic pre-release planning for all realigned individuals who are in custody, because there is limited pre-release case planning that takes place with the County’s realigned population, and the custody to community transition is filled with challenges for individuals being released from custody. Some preliminary steps to support pre-release planning are forthcoming, such as Probation’s utilization of Skype interviews with PRCS clients to facilitate the completion of the COMPAS and pre-release planning. Revisiting re-entry planning to reflect changes in the AB 109 system is imperative so that each agency’s roles and responsibilities are clearly defined to ensure comprehensive pre-release planning takes place for all realigned individuals. This is an important next step to ensure Alameda County’s AB 109 system and services are able to more effectively support realigned individuals.

**Objectives**

- **Establish a systematic pre-release planning process for realigned individuals who are in custody that begins as close to intake as possible.**
  - **A validated assessment (e.g., COMPAS) should be used to identify the criminogenic risk and needs of all realigned individuals and to develop case plans while they are in custody to support individuals upon release (e.g., support with transportation, housing, mental health, substance use services), and establish referrals to community-based providers.**

**Action Steps**

- Align existing efforts (e.g., CCP and CCP-EC workgroups) so that roles and responsibilities of each agency are developed and documented to support coordinated and systematic pre-release planning for the realigned population. The County should work with all agencies that will have a role in the process in order to generate buy-in and trust. At a minimum, the County should consider:
  - Identifying a lead agency with primary responsibility for conducting in-custody assessments and developing pre-release case plans for realigned individuals, including those released from state prison and county jail;
  - Developing a logic model to coordinate the services each agency provides; and
  - Mapping the system of case management across different stages in the justice process.
- County departments should continue to meet with service providers on an as-needed basis to meet one-on-one, or in some other smaller setting, to have detailed discussions about implementation challenges, etc.



## **Appendix A. Summary of Probation's Strategic Plan: Vision 2023**

The Probation Department recently adopted a five-year strategic plan called Vision 2023, their first since 2004. Vision 2023 was developed over the course of six months by a Strategic Planning Committee representing different parts of the organization and labor. It was adopted by the Chief Probation Officer and her Executive Management team on April 27, 2018. Vision 2023 will enable the Department to focus its energies and resources on strengthening its service to the community and its clients, and is reflective of the voices of its clients and external stakeholders. In addition, the goals and objectives incorporated into Vision 2023 are aligned with the County's Strategic Vision 2026 plan and reflect the collective thinking of departmental staff and stakeholders on how to advance strategies that promote behavioral change among the individuals that they serve.

Through the following goals and objectives, Vision 2023 will serve as a roadmap for the Alameda County Probation Department as it works over the course of the next five years to fulfill its vision of creating the safest communities in the nation and providing compassionate supervision and accountability to justice-involved youth and adults. The key to achieving these results is empowering staff, collaborating with stakeholders and the community, using research and data to inform practice, and honoring the belief that when given the appropriate opportunities and tools, people can change.

### **Goal 1: A commitment to the success of every client and their family**

Achieving the Department's vision and mission requires a balanced approach. This approach includes the use of accountability and crime suppression techniques along with behavioral interventions that help clients to change the attitudes and behaviors that led to law-breaking behavior and to develop skills that support a successful, law-abiding lifestyle.

#### **Objectives**

- 1a. Provide clients the tools for success through the use of evidence-based case management practices, including accountability measures designed to support positive behavioral change.
- 1b. Join with community-based partners to establish effective services that promote client success.
- 1c. Provide all clients with services and opportunities to support stable living and to thrive.
- 1d. Provide opportunities for all clients to successfully transition home.
  - 1e. Align caseload and workload size to maximize client success.
  - 1f. Consistently apply core correctional practices.
  - 1g. Ensure that clients have access to a full continuum of services, including front-end diversionary and restorative opportunities.
  - 1h. Ensure a family-centered approach to all client services.



**Goal 2: A robust system of wraparound client services and continuity of care**

Transitioning back to the community can be a complex endeavor for justice-involved individuals and their families. The Probation Department strives to provide a comprehensive approach to re-entry that recognizes the nature and breadth of needs among its clients.

**Objectives**

- 2a. Prepare clients for re-entry, from the point of their entry through their final discharge.
- 2b. Provide clients effective wraparound services and programs tailored to their criminogenic needs.
- 2c. Ensure clients are afforded the opportunity for safe and sustainable housing.
- 2d. Offer opportunities to address stabilization needs for all clients upon re-entry.

**Goal 3: A vibrant and exemplary workforce**

The Department will recruit, hire, and effectively prepare staff to meet their professional responsibilities; acknowledge their contributions to the Department; provide professional development opportunities; support career advancement; and provide a safe, healthy, and supportive work environment.

**Objectives**

- 3a. Provide an environment of emotional and personal support and safety.
- 3b. Create and maintain a thriving, healthy organizational culture.
- 3c. Recruit, hire, train, and retain staff of the highest caliber.
- 3d. Create a culture of learning and professional development.
- 3e. Establish a culture that acknowledges and rewards excellence in the workplace.
- 3f. Support performance improvement through formal and informal evaluation, feedback, and accountability measures.

**Goal 4: A high-functioning, data-driven organization**

High-performing organizations formulate clear policies and procedures, place a premium on metrics that enable the objective assessment of the organization's success, build and maintain systems that support ongoing research and evaluation, and encourage a culture of learning.

**Objectives**

- 4a. Develop and implement a set of comprehensive policies and procedures.



## **Alameda County**

### *AB 109 Evaluation: Process Evaluation*

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- 4b. Develop a communication infrastructure throughout the Department that provides for the timely, complete, and accurate exchange of information.
- 4c. Strengthen systems and reporting structures throughout the Department to support data-driven decision-making and accountability.
- 4d. Invest in programs, services, and strategies supported by the latest advancements and best practice research.
- 4e. Establish performance measures and continuous quality improvement processes for all departmental divisions and contracted programs and services.
- 4f. Utilize robust, meaningful data to evaluate outcomes against departmental performance measures.

#### **Goal 5: A network of partnerships fostering a safe community**

High-functioning justice systems have as their hallmark collaborative partnerships among those who affect, or are affected by, crime. Through these partnerships, and the effective use of technology and deliberative problem-solving processes, justice systems seek to overcome the limitations of traditional and non-systematic approaches.

##### **Objectives**

- 5a. Collaboratively engage with justice system and community partners to advance a shared vision of public safety.
- 5b. Share and exchange data and information to demonstrate that Alameda County will be the safest in the nation.
- 5c. Improve the Probation Department's service delivery system, outcomes, and client satisfaction through the utilization of technologically advanced interactive methods.

#### **Goal 6: A victim-centered approach supporting those impacted by crime**

By adopting a victim-centered approach, the Department commits to fulfilling its responsibility to hold clients accountable to those harmed by their actions, and to provide compassionate and sensitive support to victims.

##### **Objectives**

- 6a. Bolster victim support through a comprehensive, victim-centered infrastructure within the Department.
- 6b. Exponentially increase the rate of restitution collection.
- 6c. In partnership with governmental and non-governmental entities, strengthen the system of care for victims.



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### *AB 109 Evaluation: Process Evaluation*

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On June 28, 2018, Probation “kicked off” the action planning and execution phase of their strategic planning process. This component encompassed the establishment of performance measures, milestones and an accountability process by which to measure progress on a consistent basis. Through this process and its alignment with the County’s Vision 2026, the Probation Department will be poised to continue building its programs, enhance its collaboration with stakeholders, and improve the quality of service to its clients and the community.



## **Appendix B. Transition Day Reporting Center Program Components**

The core components of the T/DRC program are evidence-based Cognitive Behavior Therapy (CBT) workshops that are proven to change criminal thinking by targeting criminogenic risks and needs identified through validated assessment tools. Research has clearly revealed that targeting individualized risks and needs is essential for helping formerly incarcerated individuals to permanently exit the criminal justice system.

Engagement for high-risk justice involved clients is a major challenge throughout the country. The T/DRC has deployed several strategies to address this issue. For example, for some clients exiting Santa Rita Jail (SRJ), T/DRC staff coordinate a transition plan with the client and their assigned Deputy Probation Officer 30 days prior to their discharge date. Transportation is provided from the Santa Rita Jail to Probation, the T/DRC, and/or housing on the day the client is released. Clients who are actively participating in the core cognitive components of the program receive a Clipper Card to assist them in getting from home to the program. Clients with additional transportation barriers are provided with transportation. Additionally, T/DRC staff make outreach calls to clients to remind them about scheduled groups and to ask if any transportation assistance is needed.

Participating clients are also welcome to bring pro-social family members and friends to the T/DRC, to participate in special events, such as monthly client birthday and holiday celebrations. Another engagement strategy is a comprehensive incentive program where clients earn points by completing activities and then redeem points for items such as gift cards, phones, duffle bags, computer tablets, and other desirable items. Free meals and clothing closet access are also available for clients who actively participate in the program.

Collaborative teamwork between the Deputy Probation Officers and T/DRC Case Managers is an essential component of the T/DRC model. Frequent case conferences and client engagement between Probation and its T/DRC partners serve to improve services and outcomes for probation clients. T/DRC statistics demonstrate reduced risk levels for those clients who participate an average of six to eight months. The results of these assessments are used to guide the discussions between the client, Case Manager, and Probation and help to build the client's Individual Case Plan.



## Appendix C. Probation’s Report of Department’s Alignment with the Principles of Evidence-Based Practices & Best Practices

Eight (8) Principles of Evidence-Based Practices <sup>33</sup>	Best Practice (see <i>Realignment-Related Best Practices</i> section)	Alameda County Probation Department Strategy Currently in Place or in the Process of Implementation
<p><b>1. Assess the risk and needs of the individual utilizing actuarial assessment tools.</b></p> <p>This includes the use of assessment tools that focus on dynamic (changing factors) and static (factors that cannot be changed) risk factors and the client’s criminogenic needs. Criminogenic needs are individual <i>needs</i> that must be addressed in order to reduce the likelihood that a client will commit a crime in the future. Those needs may be in the form of professional skills, such as literacy or job training, or be more personally oriented, such as anger management, substance abuse, financial planning, or conflict resolution.</p>	<ul style="list-style-type: none"> <li>✓ Probation Case Management Practices</li> <li>✓ Re-entry Planning</li> </ul>	<ul style="list-style-type: none"> <li>• COMPAS Risk and Needs Assessment Tool</li> <li>• Static 99R (sex offender assessment tool)</li> <li>• ODARA (domestic violence assessment tool)</li> <li>• ANSA (mental health assessment tool)</li> <li>• In-Custody Re-Entry Planning (to include assessments) at the Santa Rita Jail and via Skype for adult clients in State prison</li> </ul>
<p><b>2. Utilizing motivational interviewing and other techniques to enhance the intrinsic motivation of the individual to recognize and addressing his/her needs.</b></p> <p>Behavioral change is quite often an inside job; for lasting change to occur there needs to be a level of intrinsic motivation. Motivation to change is dynamic and the probability for change to occur is strongly influenced by interpersonal interactions with a prosocial support system.</p>	<ul style="list-style-type: none"> <li>✓ Probation Case Management Practice</li> <li>✓ Structured Decision Making: Incentives and Graduated Sanctions</li> <li>✓ Re-Entry Planning</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence-Based Practices Training: Four Core Competences, etc.</li> <li>• BriefCASE Training for Supervisors to enable them to coach and mentor their staff on the application of evidence-based practices.</li> <li>• Observations by an external consultant and supervisors – focused on observing the quality of the interaction between the deputy probation officer and the individual on their caseload and to reinforce skills and/or correct deficiencies in the staff’s interaction with individuals.</li> <li>• In-Custody Re-Entry Planning (to include assessments) at the Santa Rita Jail and via Skype for adult clients in State prison.</li> </ul>

<sup>33</sup>Brad Bogue, Bill Wodward, Nancy M. Campbell, Elyse Clawson, & Dorothy Faust, “Implementing Evidence-Based Practice in Community Corrections: The Principles of Effective Intervention” (Crime and Justice Institute, 2004) <https://nicic.gov/implementing-evidence-based-practice-community-corrections-principles-effective-intervention>



Eight (8) Principles of Evidence-Based Practices <sup>33</sup>	Best Practice (see <i>Realignment-Related Best Practices</i> section)	Alameda County Probation Department Strategy Currently in Place or in the Process of Implementation
<p><b>3. Targeting interventions/services in a manner that is tailored to the individual based upon their unique characteristics.</b></p> <p>This includes three primary principles:</p> <ol style="list-style-type: none"> <li>1. Risk Principle: Prioritization of supervision and treatment resources for higher risk clients.</li> <li>2. Need Principle: Targeting interventions to the client’s criminogenic needs.</li> <li>3. Responsivity Principle: When assigning programs, being responsive to temperament, learning style, motivation, culture, and gender.</li> </ol>	<ul style="list-style-type: none"> <li>✓ Probation Case Management Practices</li> <li>✓ Structured Decision-Making: Incentives and Graduated Responses</li> <li>✓ Re-Entry Planning</li> <li>✓ Alternatives to Incarceration</li> </ul>	<ul style="list-style-type: none"> <li>• Case planning requirements outlined in the Caseload Management Standards policy</li> <li>• Incorporation and training related to COMPAS (risk and needs assessment tool), PRIME (smartphone application that allows for DPOs to access and maintain case information remotely) and CaseloadPRO (case management system).</li> <li>• Utilization of Partner Portal, an application hosted within CaseloadPRO, which enables automated service referrals to be made directly to service providers and provides electronic communication capability between the programs (service providers) and probation staff.</li> <li>• In-Custody Re-Entry Planning (to include assessments) at the Santa Rita Jail and via Skype for adult clients in State prison.</li> <li>• Contracts with community-based organizations that incorporate performance standards related to the services provided to individuals.</li> </ul>
<p><b>4. Provide evidence-based programming that emphasizes cognitive-behavioral strategies and is delivered by well trained staff.</b></p> <p>This includes evidence-based training where staff are taught to understand anti-social thinking, social learning and appropriate communication techniques. The training also includes the delivery targeted and timely treatment interventions by staff.</p>	<ul style="list-style-type: none"> <li>✓ Probation Case Management Practices</li> <li>✓ Alternatives to Incarceration</li> </ul>	<ul style="list-style-type: none"> <li>• Contracts with community-based organizations that incorporate performance standards related to the services provided to individuals.</li> <li>• Evidence-Based Practices Training: Four Core Competences, etc.</li> <li>• BriefCASE Training for Supervisors to enable them to coach and mentor their staff on the application of evidence-based practices.</li> </ul>



Eight (8) Principles of Evidence-Based Practices <sup>33</sup>	Best Practice (see <i>Realignment-Related Best Practices</i> section)	Alameda County Probation Department Strategy Currently in Place or in the Process of Implementation
		<ul style="list-style-type: none"> <li>• Observations by an external consultant and supervisors – focused on observing the quality of the interaction between the deputy probation officer and the individual on their caseload and to reinforce skills and/or correct deficiencies in the staff’s interaction with individuals.</li> </ul>
<p><b>5. Focus on a strength-based approach by increasing positive reinforcement efforts in order to better achieve long-term behavioral changes.</b></p> <p>When learning new skills and making behavioral changes, human beings respond better and maintain learned positive behaviors for longer periods of time when approached with carrots rather than sticks. Behaviorists recommend applying a much higher ratio of positive reinforcements to negative reinforcements in order to better achieve sustained behavioral change.</p>	<p>✓ Probation Case Management Practices</p>	<ul style="list-style-type: none"> <li>• Evidence-Based Practices Training: Four Core Competences, etc.</li> <li>• BriefCASE Training for Supervisors to enable them to coach and mentor their staff on the application of evidence-based practices.</li> <li>• Observations by an external consultant and supervisors – focused on observing the quality of the interaction between the deputy probation officer and the individual on their caseload and to reinforce skills and/or correct deficiencies in the staff’s interaction with individuals.</li> <li>• The use of a graduated sanction matrix to determine the type of sanctions or rewards to offer an individual based on a probation violation or progress exhibited by the individual.</li> </ul>
<p><b>6. Actively engage the individual’s support in the community as a means by which to enhance their support system and in order to reinforce desired behavior.</b></p>	<p>✓ Probation Case Management Practices</p>	<ul style="list-style-type: none"> <li>• Caseload Management Standards Policy</li> <li>• Realignment of existing caseloads based on geographical location, service needs, classification, etc.</li> <li>• Provision of Safety Equipment, Training and County Vehicles to enable deputy probation officers to conduct home visits with individuals and engage their support system.</li> <li>• Evidence-Based Practices Training: Four Core Competences, etc.</li> </ul>



<b>Eight (8) Principles of Evidence-Based Practices<sup>33</sup></b>	<b>Best Practice (see <i>Realignment-Related Best Practices</i> section)</b>	<b>Alameda County Probation Department Strategy Currently in Place or in the Process of Implementation</b>
<p>Includes actively encouraging pro-social support for clients in their communities. Research indicates that many successful interventions include the recruitment and use of family members, spouses and others in the client’s immediate environment to positively reinforce desired new behaviors.</p>		<ul style="list-style-type: none"> <li>• BriefCASE Training for Supervisors to enable them to coach and mentor their staff on the application of evidence-based practices.</li> <li>• Observations by an external consultant and supervisors – focused on observing the quality of the interaction between the deputy probation officer and the individual on their caseload and to reinforce skills and/or correct deficiencies in the staff’s interaction with individuals.</li> </ul>
<p><b>7. Measure relevant processes and practices.</b></p> <p>By routinely assessing the individual’s change in cognitive and skill development and recidivism, staff are better equipped to make substantive case management decisions. This also includes staff performance in that staff should be periodically evaluated and corrective action taken where appropriate in order to enable the Department to achieve greater fidelity to program design, service delivery principles, and outcomes.</p>	<p>✓ Data-Driven Decision Making and Performance Management</p>	<ul style="list-style-type: none"> <li>• The use of PROBSTAT, a continuous quality control improvement and accountability process that utilizes specific data elements to assess trends, resource utilization and allow for a comparative analysis.</li> <li>• Establishment of Program Design and Development Unit to enable the Department to develop programs and contract for services and training that is aligned with progressive evidence-based practices.</li> <li>• Establishment of Research and Evaluation Unit to enable the Department to collect, analyze and refine existing programs based upon outcomes, fidelity to progressive models and as a continuous process improvement component of the Department’s reorganization.</li> <li>• Establishment of a Contract Unit to develop, let and monitor contracts with community-based organizations for services for those under the jurisdiction of the Department.</li> </ul>



Eight (8) Principles of Evidence-Based Practices <sup>33</sup>	Best Practice (see <i>Realignment-Related Best Practices</i> section)	Alameda County Probation Department Strategy Currently in Place or in the Process of Implementation
		<ul style="list-style-type: none"> <li>• Establishment of an Evidence-Based Practices Unit to collaborate with external entities and the Program Design and Development, Contracts and Research and Evaluation Units in the creation of programs, services and training based upon progressive trends and promising practices.</li> </ul>
<p><b>8 Provide Measurable Feedback</b></p> <p>An overarching quality assurance system is necessary to monitor the delivery of services and to maintain and enhance fidelity and integrity. Providing feedback builds accountability and is associated with enhancing motivation for change among clients, lowering treatment attrition rates and improving outcomes.</p>	<p>✓ Data-Driven Decision Making and Performance Management</p>	<ul style="list-style-type: none"> <li>• The use of PROBSTAT, a continuous quality control improvement and accountability process that utilizes specific data elements to assess trends, resource utilization and allow for a comparative analysis.</li> <li>• Establishment of Program Design and Development Unit to enable the Department to develop programs and contract for services and training that is aligned with progressive evidence-based practices.</li> <li>• Establishment of Research and Evaluation Unit to enable the Department to collect, analyze, and refine existing programs based upon outcomes, fidelity to progressive models and as a continuous process improvement component of the Department’s reorganization.</li> <li>• Establishment of a Contract Unit to develop, let, and monitor contracts with community-based organizations for services for those under the jurisdiction of the Department.</li> <li>• Establishment of an Evidence-Based Practices Unit to collaborate with external entities and the Program Design and Development, Contracts and Research and Evaluation Units in the creation of programs, services, and training based upon progressive trends and promising practices.</li> </ul>