



# Yolo County Assessment Report of Realignment Plan Strategies

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Crime and Justice Institute at Community  
Resources for Justice

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# Assessment of Yolo County Realignment Strategy

## Introduction

In January of 2013 Yolo County, California and its Community Corrections Partnership (CCP) contracted with the Crime and Justice Institute (CJI) at Community Resources for Justice to conduct a brief assessment of the County's realignment strategy under AB109. The purpose of this assessment is to assist the County in achieving its realignment mission of providing well-informed offender/probationer case management and an appropriate blend of criminal justice supervision and evidence-based treatment strategies.

The CCP in Yolo County has invested AB 109 realignment funds in nine different strategic areas to accomplish this mission. In the CCP's July 2012 Realignment Plan, these strategic investment areas are listed as:

1. Maintaining Jail Bed Capacity
2. Electronic Monitoring
3. Community Corrections Case Management
4. Local Law Enforcement
5. Long Term Planning
6. Additional AB 109 Dedicated Beds to total 75 at the Leinberger Facility
7. Treatment Services/Day Reporting Center
8. Pretrial Program
9. Supplemental Funding for District Attorney's Office

The County requested that CJI collect and analyze information on the value of its investment in order to inform funding decisions for the upcoming year, as well as to evaluate the long-term fiscal and public safety impact. To accomplish this within the available timeframe and resources, CJI conducted a brief assessment to provide feedback to the CCP in the short term, as well as set the stage for a more comprehensive, future assessment process. This brief assessment included the following activities:

- 1) **Intervention Review:** Facilitate a meeting with CCP members and designees to map the current intervention continuum available to AB109 offenders and review the status of the nine CCP strategies.
- 2) **Program Assessment:** Conduct an on-site assessment of three of those strategic areas, including the pretrial program, electronic monitoring, and community corrections case management.
- 3) **Literature Review:** Conduct a literature review on the design and effectiveness of Yolo County's realignment interventions, including cost-benefit information where available.

This report summarizes the three activities and will be presented to both the CCP and the County's Board of Supervisors in May 2013.

## 1. Intervention Review

### Overview

On March 26, 2013 a subcommittee of the Yolo County Community Corrections Partnership convened for a full day work session. The meeting was facilitated by Lore Joplin and Kristy Danford from CJI. The objectives of the work session were to:

- Provide an overview of the technical assistance work plan;
- Identify services/interventions available to 1170(h) and PRCS offenders; and
- Review status of nine CCP strategies.

Meeting participants included the following:

- Cathleen Berger, Yolo County Superior Court
- Patrick Blacklock, Yolo County Administrator's Office
- Dirk Brazil, Yolo County Administrator's Office
- Robin Faille, Yolo County Sheriff's Department
- Jeff Goldman, Yolo County Probation Department
- Steve Mount, Yolo County District Attorney's Office
- Tracie Olson, Yolo County Public Defender's Office
- Nate Palmer, Yolo County Probation Department
- Darren Pytel, Davis Police Department
- Rosario Ruiz-Dark, Yolo County Sheriff's Department
- Joanie Turner, Yolo County Alcohol, Drug and Mental Health Services Department
- Marlon Yarber, Yolo County Probation Department

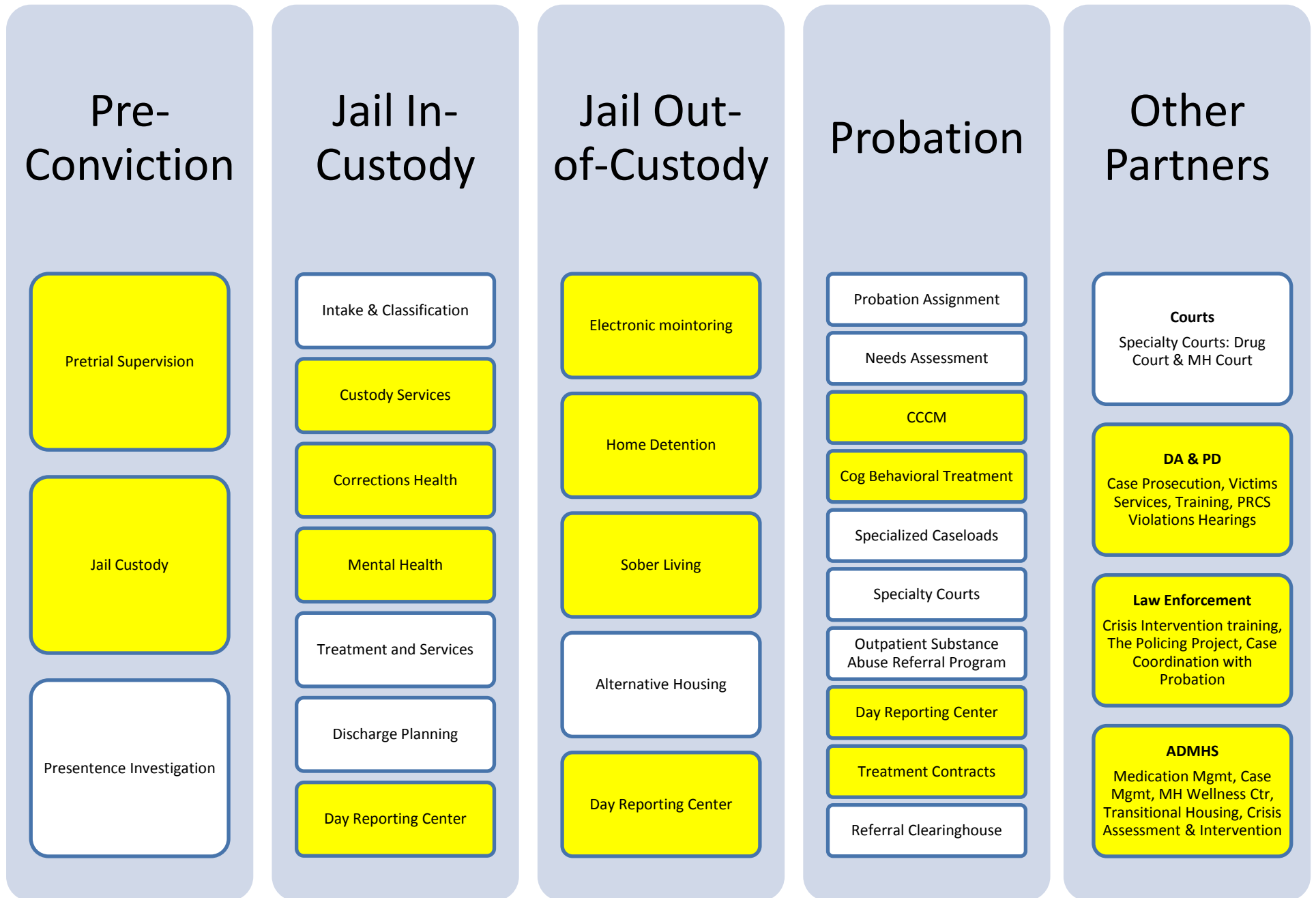
### Intervention Map

Work session participants engaged in discussion with the aim of clarifying the current status of County funded interventions. Participants defined interventions as *any intended strategy to reduce recidivism*. While focusing primarily on AB109 offenders (1170(h) and PRCS), the group chose to develop a listing of all interventions available to Yolo County pretrial defendants and sentenced offenders. Figure 1 provides a summary of the interventions identified by the work session participants. Interventions funded either fully or partially by AB109 funds are highlighted in yellow. A detailed listing of interventions, service capacity, and other information is included in Appendix A.

### Strategy Status Update

In addition to the development of the intervention map, work session participants provided a brief status update for all nine of the CCP strategies approved by the Yolo County Community Corrections Partnership in its July 24, 2012 Public Safety Realignment report. Those status updates are included in Table 1.

Figure 1: Intervention Map Summary



<b>Table 1: CCP Funding Strategies Status Update*</b>	
<b><i>Strategy 1: Maintain Jail Bed Capacity</i></b>	
<b>Funding Allocation</b>	\$942,860
<b>Funding History</b>	Provided funds to reopen 30 beds which had previously been closed
<b>Funded Services</b>	Currently funding 30 beds, 8 corrections officers, and 4 deputy 1
<b>Capacity</b>	30 beds
<b>Utilization</b>	All 30 beds are currently in use
<b>Effectiveness</b>	No increase in assault (I-S, I-I)
<b>Target Population</b>	AB109 Offenders
<b><i>Strategy 2: Electronic Monitoring</i></b>	
<b>Funding Allocation</b>	\$586,000
<b>Funding History</b>	AB109 expanded services slots from 30 to 100.
<b>Funded Services</b>	5 deputies
<b>Capacity</b>	AB109 added 70 slots, increasing capacity from 30 to 100
<b>Utilization</b>	39 slots filled (as of March 26, 2013)
<b>Effectiveness</b>	Monitor rebooking data
<b>Target Population</b>	AB109 Offenders
<b><i>Strategy 3: Community Corrections Case Management</i></b>	
<b>Funding Allocation</b>	\$1,647,804
<b>Funding History</b>	Expanded existing services with AB109
<b>Funded Services</b>	Added 14 new positions, added new West Sacramento Office, increased supervision services to include enhanced case planning and case management techniques, including drug testing, use of the response matrix, referrals to community based services and county agencies, reduce barriers to referrals (cell phones, clothing, transportation), use of motivational interviewing techniques, surveillance, home and office visits
<b>Capacity</b>	Reduced caseloads from 300:1 to 50:1
<b>Utilization</b>	
<b>Effectiveness</b>	% of offenders that commit new crimes
<b>Target Population</b>	High Risk Offenders
<b><i>Strategy 4: Local Law Enforcement</i></b>	
<b>Funding Allocation</b>	\$400,000
<b>Funding History</b>	AB109 has funded expanded services targeted at AB109 offenders
<b>Funded Services</b>	Strategies specific to each agency, including Winters (\$10k for overtime), Davis & West Sacramento (\$260k to be split between the agencies based on a formula)
<b>Capacity</b>	NA
<b>Utilization</b>	NA
<b>Effectiveness</b>	Collecting data related to contacts with AB109 offenders
<b>Target Population</b>	AB109 offenders
<b><i>Strategy 5: Long Term Planning</i></b>	
<b>Funding Allocation</b>	\$150,000
<b>Funding History</b>	New funding for new services
<b>Funded Services</b>	Funding has been used for contracted data analysis (Kevin O'Connell's services), collaborative planning, data collection, and quality assurance. Funds provided for development of the data dashboard, including a monthly snapshot report for CCP and the County Board of Supervisors. Data includes geographic information and crime trends
<b>Capacity</b>	NA

<b>Utilization</b>	NA
<b>Effectiveness</b>	Completion and use of data dashboard
<b>Target Population</b>	AB109 Offenders
<b>Strategy 6: Additional AB109 Dedicated Beds to total 75 at Leinberger Facility</b>	
<b>Funding Allocation</b>	\$627,823
<b>Funding History</b>	AB109 funds backfilled funding for 75 beds and staff at Leinberger
<b>Funded Services</b>	75 beds at Leinberger, 8 corrections officers (backfill), 2 new corrections records specialists (data collection), and a 50k contract with Northern CA Construction Training (inmate skill building)
<b>Capacity</b>	75 beds
<b>Utilization</b>	All 75 beds are currently in use
<b>Effectiveness</b>	No increase in assault (I-S, I-I)
<b>Target Population</b>	AB109 Offenders
<b>Strategy 7: Treatment Services/Day Reporting Center</b>	
<b>Funding Allocation</b>	\$1,000,000
<b>Funding History</b>	New services
<b>Funded Services</b>	<ul style="list-style-type: none"> <li>Day reporting services including treatment services provided through contract with community-based providers, including shared case management, cognitive based therapy, Thinking for a Change, independent living, residential and ADMH services and peripheral supports (transportation, clothing, etc.)</li> <li>Sober Living: Drug free transitional housing, includes drug testing, electronic monitoring, outpatient substance abuse treatment, building manager check-in, meals, vouchers (clothing, transportations)</li> <li>OSARP: Outpatient Substance Abuse Referral Program (Communicare), includes outpatient substance abuse treatment and mental health case management</li> </ul>
<b>Capacity</b>	<ul style="list-style-type: none"> <li>125 DRC slots, including 50 in-custody and 75 out-of-custody</li> <li>Sober Living: 16 beds, \$810/person/month (\$27/day)</li> <li>OSARP: Woodland (85 slots), West Sacramento (85 slots), perinatal (20-25 slots), Cost=3k/offender participation in 4 phase/6 month program</li> </ul>
<b>Utilization</b>	<ul style="list-style-type: none"> <li>25-30 DRC slots in use (March 26, 2013). Program is still in startup mode (in-custody start date was January 2013, out-of-custody start date was March 2013)</li> <li>Utilization numbers for treatment slots</li> <li>Sober Living: 4 beds currently filled 3/26/13)</li> <li>OSARP: 60-70 slots filled per site</li> </ul>
<b>Effectiveness</b>	NA
<b>Target Population</b>	AB109 Offenders, in-custody transitioning high risk inmates, high risk probation clients
<b>Strategy 8: Pretrial Program</b>	
<b>Funding Allocation</b>	\$499,196
<b>Funding History</b>	AB109 funds backfilled after loss of BJA ARRA grant dollars. Overall staffing was reduced by 2 line officers (currently 6 line officers + 1 supervisor), current funding does not fund operational costs
<b>Funded Services</b>	Services include supervising pre-conviction defendants. Unit is designed to allow supervision with small caseloads which allows close attention to defendant behavior. Services include reminder calls, transportation to court, home and office visits, GPS, Scram. Officers use motivational interviewing techniques, write pretrial reports, conduct reference checks, provide regular status updates to the court, and make referrals to community based services and county agencies. The unit uses the Ohio Risk Assessment System (ORAS).
<b>Capacity</b>	NA
<b>Utilization</b>	NA
<b>Effectiveness</b>	FTA, New Crimes

<b>Target Population</b>	Pre-conviction, medium and high risk
<b><i>Strategy 9: Supplemental Funding for District Attorney's Office</i></b>	
<b>Funding Allocation</b>	\$425,000
<b>Funding History</b>	New funding for expanded workload
<b>Funded Services</b>	DA & PD workload expansion related to AB109 offenders, including victim services, training on AB109 laws, PRCS violations hearings, and new crimes committed by AB109 offenders (in jail and in the community)
<b>Capacity</b>	NA
<b>Utilization</b>	NA
<b>Effectiveness</b>	NA
<b>Target Population</b>	AB109 offenders

\*NA indicates not available or not provided



## 2. Literature Review of CCP Funding Strategies

### Overview

CJI staff conducted a literature review to identify the most recent evidence on the strategies chosen by CCP to fund for its AB109 realignment activities. Research relating to the various strategies is summarized in this section, including evidence on effectiveness and harms, and cost benefit information, when available.

### Search Protocol

The literature review was conducted primarily through the use of Google Scholar with multiple variations of search terms, depending on the strategic investment activity. Special attention was given to articles with high citation counts and/or high tier journals. The Campbell Collaboration library was also searched for related systematic reviews and meta-analysis. Cost-benefit analysis data was identified in a separate search, but was cross referenced with documents identified in the initial literature review.

## Strategies 1 & 6: Maintain and Enhance Jail Bed Capacity

### Introduction

Jails perform several different functions within the criminal justice system. A majority of jails are used for general population confinement (pre- or post-conviction) and for probationers and parolees returned to custody (sanctions or revocations). In addition to confinement, jails frequently provide services and treatment, such as work release, health care delivery, and behavioral health treatment. This literature review focused on three jail functions, including: pretrial detention, use as a sanction for violation of conditions of supervision, and confinement of individuals sentenced to time in jail. When used judiciously and in accordance with the evidence, the ability to detain individuals in jail provides a jurisdiction with a public safety tool that can increase public safety, reduce recidivism, and support the effective use of public resources.

### Effectiveness of Pretrial Detention in Jails

Detaining some defendants before trial is necessary, particularly in cases where defendants have been evaluated with a risk assessment instrument as high-risk for commission of new offenses or failure to appear (FTA) in court. Detaining some defendants prior to trial can enhance public safety and reduce costs associated with the commission of new offenses and court delays from FTAs. A recent cost-benefit analysis suggested the optimal detention rate of pretrial defendants may be around 25%. This analysis takes into account criminal justice costs for new offenses, bail administration costs, the expense of holding pre-trial detainees in jail, costs associated with failure to appear, and lost freedom costs to the defendant (e.g., lost wages, family costs, etc.)<sup>1</sup>

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<sup>1</sup> Bowles, R., & Cohen, M. (2008). Pretrial detention: A cost-benefit approach. *DFID London, UK & OSJI, New York.*

## Effectiveness of Jail as a Sanction for Community Supervision

Short stays in jail are frequently used as a response to technical violations of conditions of probation. However, research has indicated that, when used alone and exclusively, jail stays are not effective and are actually associated with an increase in reoffending upon release from community supervision.<sup>2,3</sup>

In response to technical violations, jurisdictions across the country have begun using graduated sanctioning grids (also referred to as decision-making matrices) to guide sanctioning decisions. These take into account the assessed risk level of the offender, the severity of the violation, and the number of previous violations. Use of sanctioning grids enhances the objective and consistent distribution of sanctioning violations, and research indicates that their use results in lower revocation rates.<sup>4</sup> When the sanctions included in these grids incorporate a treatment component, evidence suggests that recidivism can be reduced. As part of the sanctioning grid, short stays in jail are typically used for more serious violations only (e.g., deliberate pattern of noncompliance, absconding, etc.)<sup>5</sup>

As part of a well-designed intensive supervision program, jail beds can provide an efficient method of sanctioning offenders who are being supervised in the community. The literature is clear that jail sanctions should be delivered in a swift and certain manner (i.e., immediately following the offending behavior, and based on standardized sanctioning guidelines). An example of a program that uses jail sanctioning in alignment with the research is Hawaii's Opportunity Probation with Enforcement (HOPE). This intensive-supervision program focuses on drug-involved offenders and delivers swift and certain sanctions for each detected violation (e.g., a positive drug test, failing to appear to take a drug test, or violation of other terms of probation). Sanctions typically involve short jail stays, which increase for successive violations.<sup>6,7</sup> This program has experienced success across the state of Hawaii (e.g., decreases in drug use, missed probation appointments, revocations of probation, and arrests for new crimes), and other states have implemented similar programs with similar successes.<sup>8,9,10,11,12</sup>

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<sup>2</sup> Rengifo, A. F., & Scott-Hayward, C. S. (2008). *Addressing the Effectiveness of Intermediate Sanctions in Multnomah County, Oregon*. New York: Vera Institute of Justice.

<sup>3</sup> Smith, P., Goggin, C., & Gendreau, P. (2002). *The Effects of Prison Sentences and Intermediate Sanctions on Recidivism: General Effects and Individual Deterrence*. Canada: Public Works and Government Services.

<sup>4</sup> Murphy, A., & Turner, S. (2009). *Parole Violation Decision-Making Instrument Process Evaluation*. Irvine, CA: Center for Evidence-Based Corrections.

<sup>5</sup> Center for Effective Public Policy. (2001). *Responding to Parole and Probation Violations: A Handbook to Guide Local Policy Development*. Washington, D.C.: National Institute of Corrections.

<sup>6</sup> Hawken, A., & Kleiman, M. (2009). Managing drug involved probationers with swift and certain sanctions: Evaluating Hawaii's HOPE.

<sup>7</sup> National Institute of Justice. (2008). HOPE in Hawaii: Swift and sure changes in probation. In *Short: Toward Criminal Justice Solutions*. Washington, D.C.: U.S. Department of Justice.

<sup>8</sup> Office of National Drug Control Policy. (2011). *Alternatives to incarceration: A smart approach to breaking the cycle of drug use and crime*. Washington, D.C.: Executive Office of the President.

<sup>9</sup> Sabet, K. (2012). The fix: Hawaii's probation paradise. Retrieved from <http://kevinsabet.com/the-fix-hawaiiis-probation-paradise>

<sup>10</sup> O'Connell, D., Visher, C. A., Martin, S., Parker, L., & Brent, J. (2011). Decide your time: Testing deterrence theory's certainty and celerity effects on substance-using probationers. *Journal of Criminal Justice*, 39(3), 261-267.

<sup>11</sup> Hawken, A., & Kleiman, M. (2011). Washington intensive supervision program: Evaluation report.

## Effectiveness of Incarceration

Literature on the effectiveness of incarceration mostly focuses on prison, not jails, and researchers disagree on the effect of incarceration on crime.<sup>13,14</sup> Cost-benefit analyses generally find that the benefits of imprisonment outweigh the costs of confinement for offenders who have committed violent person crimes and are at high risk of reoffending. Jail can be used as a condition of felony probation (referred to as “split sentencing,” where offenders spend part of their sentences in jail and the remainder under supervision in the community). Evaluation of this type of sentence indicates that the best outcomes in terms of recidivism are seen with high-risk offenders, and recidivism is not associated with the length of time spent in jail.<sup>15</sup> When jail time is used with low-level offenders (non-violent, non-serious, and non-sex offenders) who have been assessed as low risk, jail confinement may have questionable benefits, including the potential for actually increasing recidivism and increasing long term costs.<sup>16</sup> Furthermore, considerable evidence exists that supports the certainty rather than the severity of punishment as important in deterring crime or violations. Therefore, short, certain, jail stays in response to technical violations may help deter future violations.<sup>17</sup>

## Strategy 2: Electronic Monitoring

### Introduction

Electronic monitoring is often used internationally as a strategy in lieu of prison sentences or as an enhancement to community supervision. Particularly when used as an alternative to custodial sentences, electronic monitoring (EM) has the potential to allow offenders to remain within the community and maintain ties to family and friends, as well as keep or acquire jobs.

Offenders sentenced to electronic monitoring generally have their movement restricted using electronic surveillance and are required to remain at home unless participating in approved activities (e.g., work, school, treatment, etc.). Types of electronic surveillance include radio frequency monitoring with base units and ankle bracelets, GPS tracking devices using ankle bracelets, voice recognition using landline telephones, and surveillance using a combination of electronic surveillance and tests for alcohol or drugs (e.g., breath, skin, etc.).<sup>18</sup>

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<sup>12</sup> Carns, T. W. & Martin, S. (2011). Anchorage Probation accountability with certain enforcement: A preliminary evaluation of the Anchorage pilot PACE project. Anchorage, AK: Alaska Judicial Council.

<sup>13</sup> Spelman, W. (2006). The limited importance of prison expansion. In A. Blumstein and J. Wallman (eds.) *The Crime Drop in America revised edition*. New York: Cambridge University Press, 97-129.

<sup>14</sup> T. B. Marvell (2010). Prison population and crime. In B. L. Benson & P. R. Zimmerman (eds.) *Handbook on the Economics of Crime*, Cheltenham, UK: Edward Elgar Publishing, 145-174.

<sup>15</sup> Prospero, M., & Tanama, M. (2009). *Jail as a Condition of Felony Probation*. Utah: Center for Public Policy & Administration.

<sup>16</sup> Washington State Institute for Public Policy. (2003). *The Criminal Justice System in Washington State: Incarceration Rates, Taxpayer Costs, Crime Rates, and Prison Economics*. Olympia, WA.

<sup>17</sup> Durlauf, S. N., & Nagin, D. S. (2010). *The Deterrent Effect of Imprisonment*.

<sup>18</sup> Renzema, M., & Mayo-Wilson, E. (2005). Can electronic monitoring reduce crime for moderate to high-risk offenders? *Journal of Experimental Criminology*, 215-237.

## Effectiveness of Electronic Monitoring

A systematic review of several (pre-2002) studies designed to measure the effectiveness of EM found no significant differences in recidivism among offenders who had been electronically monitored and those assigned to control groups supervised in the community<sup>19</sup>. However, the review points out that many of these evaluations had flawed methodologies, and technology has advanced significantly since those studies were completed. Recent studies with more rigorous methodologies (e.g., random assignment or more adequate control groups, larger sample sizes, etc.) indicate that offenders that are electronically monitored have lower recidivism rates than those offenders supervised without EM in the community.<sup>20,21</sup> Additionally, offenders released from EM are less likely to reoffend than those released from prison.<sup>22</sup> The reduction in recidivism is particularly evident for high-risk offenders – in fact, EM has been associated with increased recidivism for low-risk offenders.<sup>23</sup> Research also indicates that the effectiveness of EM can be enhanced when it is paired with cognitive behavioral therapy that is assigned based on the risk level and criminogenic needs of the offender.<sup>24,25</sup>

## Costs and Benefits

Cost-benefit analyses have overwhelmingly shown that the benefits of EM far outweigh the costs. For example, in the state of Washington, the total benefits for each offender placed on EM in lieu of jail or prison is approximately \$18,745. These benefits are based on the effectiveness of EM as measured by the most rigorous studies from around the world. The estimated reduction in crime is monetized using Washington State estimates of the costs to crime victims, police, courts, prosecutors, jails, probation and parole departments, and corrections departments.<sup>26</sup> In Washington, D. C., the net benefits were estimated at approximately \$5,000 per offender sentenced to electronic monitoring with probation as compared to probation alone. These benefits are measured using a similar methodology as Washington State, and include program costs for administering EM, and the benefits to criminal justice agencies and society from reductions in recidivism associated with EM.<sup>27</sup>

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<sup>19</sup> Ibid.

<sup>20</sup> Bales, W., Mann, K., Blomberg, T., Gaes, G., Barrick, K., Dhungana, K., & McManus, B. (2010). *A Quantitative and Qualitative Assessment of Electronic Monitoring*. Washington, D. C.: National Institute of Justice.

<sup>21</sup> Killias, M., Gillieron, G., Kissling, I., & Villettaz, P. (2010). Community service versus electronic monitoring: What works better? *British Journal of Criminology*, 50, 1155-1170.

<sup>22</sup> Tella, R. D., & Schargrodsky, E. (2013). Criminal recidivism after prison and electronic monitoring. *Journal of Political Economy*, 121(1), 28-73.

<sup>23</sup> Bonta, J., Wallace-Capretta, S., & Rooney, J. (2000). A quasi-experimental evaluation of an intensive rehabilitation supervision program. *Criminal Justice and Behavior*, 27(3), 312-329.

<sup>24</sup> Taxman, F. S. (2008). To be or not to be: Community supervision déjà vu. *Journal of Offender Rehabilitation*, 47(3), 209-219.

<sup>25</sup> Bonta, J., Wallace-Capretta, S., & Rooney, J. (2000). A quasi-experimental evaluation of an intensive rehabilitation supervision program. *Criminal Justice and Behavior*, 27(3), 312-329.

<sup>26</sup> Lee, S. (2012). *Return on Investment: Evidence-Based Options to Improve Statewide Outcomes April 2012 Update*. Olympia, WA: Washington State Institute for Public Policy.

<sup>27</sup> Roman, J. K., Liberman, A. M., Taxy, S., & Downey, P. M. (2012). *The Costs and Benefits of Electronic Monitoring for Washington, D. C.* Washington, D. C.: Urban Institute & District of Columbia Crime Policy Institute.

## Strategy 3: Community Corrections Case Management

### Introduction

Community supervision, including both probation and parole, is the most common form of criminal justice supervision within the United States. Over 4.8 million adults (1 in 50 people in the United States) were under community supervision at the end of 2011, while over 2.2 million adults (1 in 107 people) were incarcerated in prison or jail.<sup>28</sup> Because probationers and parolees represent such a large portion of offenders under correctional supervision, it is essential that community supervision agencies operate with efficient and effective practices. When correctional systems follow the principles of effective interventions (i.e., focusing resources on higher-risk offenders, targeting criminogenic needs, and approaching interactions through the lens of cognitive behavioral approaches), they have a greater likelihood of achieving significant reductions in reoffending.<sup>29,30</sup>

Yolo County Probation uses the term *community corrections case management* to describe the use of supervision practices that are in alignment with the current research. This research indicates that effective community supervision must incorporate the use of a validated assessment tool that measures criminogenic risk and need, assignment of supervision level and the development of a case plan based on assessment data, and assignment of programmatic and service resources based on criminogenic needs identified in the case plan. By aligning these supervision practices with the principles of effective intervention (risk, needs, and responsivity), evidence indicates recidivism reductions can be achieved that are significantly improved from outcomes of traditional supervision models.<sup>31</sup>

### Effectiveness in Community Corrections

Across the field of community corrections, risk assessment has become a widely established practice that is strongly supported by research.<sup>32,33</sup> Agencies utilize tools that assess the probability of recidivism, identify criminogenic needs, and integrate a case plan system with steps to reduce the risk of reoffending. Risk assessment instruments are vital for adherence to the risk and needs principles of effective community corrections. The risk principle states that supervision and treatment levels must be commensurate with risk levels; the majority of services and supervision should be directed to higher-risk offenders. It is with this group of offenders that such interventions are most effective. Low-risk offenders should be identified and excluded, as a general rule, from higher-end correctional

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<sup>28</sup>Maruschak, L. M., & Parks, E. (2012). Probation and parole in the United States, 2011. Washington, D.C.: Bureau of Justice Statistics.

<sup>29</sup>Dowden, C., & Andrews, D. A. (2004). The importance of staff practice in delivering effective correctional treatment: A meta-analytic review of core correctional practice. *Journal of Offender Therapy and Comparative Criminology*, 48(2), 203-214.

<sup>30</sup>Smith, P., Schweitzer, M., Labrecque, R. M., & Latessa, E. (2012). Improving probation officers' supervision skills: An evaluation of the EPICS model. *Journal of Crime & Justice*, 35(2), 189-199.

<sup>31</sup>Washington State Institute for Public Policy. (2011). "What works" in community supervision: Interim report. Olympia, WA: Document No. 11-12-1201.

<sup>32</sup>Andrews, D. A., Bonta, J., & Wormith, J. S. (2006). The recent past and near future of risk and/or need assessment. *Crime & Delinquency*, 52(7), 7-27.

<sup>33</sup>Latessa, E. J., & Lovins, B. (2010). The role of offender risk assessment: A policy maker guide. *Victims & Offenders*, 5(3), 203-219.

interventions which can actually serve to increase recidivism with this population. Several studies and meta-analyses support the principle of case stratification based on risk; results indicate correctional interventions are associated with a greater recidivism reduction when delivered to higher-risk versus lower-risk offenders.<sup>34,35,36,37</sup>

Identifying criminogenic needs with a validated instrument, and developing case plans that target these needs, are important as well. The need principle indicates that correctional interventions should target criminogenic needs of offenders, defined as dynamic factors (e.g., antisocial attitudes, antisocial personality, antisocial peers, etc.) that are associated with criminal offending and other high-risk behaviors. Research on the need principle indicates that correctional interventions targeting multiple criminogenic needs are associated with reductions in recidivism. The largest effect sizes are found with multi-modal interventions addressing at least three criminogenic needs.<sup>38,39</sup>

Finally, the responsivity principle is two-pronged. General responsivity applies to the model of programming or intervention used (e.g., cognitive behavioral or social learning interventions) that result in the largest recidivism reductions<sup>40,41,42</sup>. Specific responsivity focuses on individual characteristics (e.g., gender, motivation, learning styles, anxiety, language barriers, etc.) that can affect participation and completion. Identifying and addressing these factors is essential for effective intervention.<sup>43,44,45</sup>

Many jurisdictions, including Yolo County, are in the process of implementing electronic case management systems that allow enhanced information sharing, access, and accuracy. Automating the

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<sup>34</sup>Andrews, D. A. & Dowden, C. (1999). A meta-analytic investigation into effective correctional intervention for female offenders. *Forum on Corrections Research*, 11, 18-21.

<sup>35</sup>Andrews, D. A., & Dowden, C. (2006). Risk principle of case classification in correctional treatment: A meta-analytic investigation. *International Journal of Offender Therapy and Comparative Criminology*, 50, 88-100.

<sup>36</sup>Lowenkamp, C.T., Latessa, E.J., & Holsinger, A. (2006). The risk principle in action: What have we learned from 13,676 offenders and 97 correctional programs? *Crime and Delinquency*, 52, 77-93.

<sup>37</sup>Lowenkamp, C.T. & Latessa, E.J. (2005). Increasing the effectiveness of correctional programming through the risk principle: Identifying offenders for residential placement. *Criminology & Public Policy*, 4, 263-290.

<sup>38</sup>Gendreau, P., French, S., and Taylor, A. (2002). What works (what doesn't work): The principles of effective correctional treatment. Unpublished manuscript. University of New Brunswick at Saint John.

<sup>39</sup>Gendreau, P., Smith, P., & French, S. (2006). The theory of effective correctional intervention: Empirical status and future directions. In F. T. Cullen, J. P. Wright, & K. R. Blevins (Eds.), *Taking Stock: The Status of Criminological Theory, Volume 15, Advances in Criminological Theory* (pp. 419-446). New Brunswick, NJ: Transaction Publishers.

<sup>40</sup>Dowden, C. and Andrews, D. A.. (2000). Effective correctional treatment and violent reoffending: A meta-analysis. *Canadian Journal of Criminology*, 44, 449-467.

<sup>41</sup>MacKenzie, D. L. (2000). Evidence-based corrections: Identifying what works. *Crime and Delinquency*, 46, 457-471.

<sup>42</sup>Lipsey, M. W. (2009). The primary factors that characterize effective interventions with juvenile offenders: A meta-analytic overview. *Victims and Offenders*, 4, 124-147.

<sup>43</sup>Cullen, F. T. (2002). Rehabilitation and treatment programs." In J. Q. Wilson and J. Petersilia (eds.), *Crime: Public Policies for Crime Control*, 2<sup>nd</sup> edition. San Francisco, CA: ICS Press.

<sup>44</sup>Andrews, D. A., & Bonta, J. (1998) *The Psychology of Criminal Conduct*. Second Edition. Cincinnati, OH: Anderson.

<sup>45</sup>Van Voorhis, P., Braswell, M., & Lester, D. (2004). *Correctional counseling and rehabilitation (5<sup>th</sup> ed.)*. Cincinnati, OH: Lexis/Nexis.

case management process allows for real-time updating of case plans, facilitates information sharing between probation officers and agencies, and allows for program evaluation.<sup>46</sup>

## **Strategy 4: Local Law Enforcement**

### **Introduction**

Partnerships among criminal justice agencies can be mutually beneficial. Interagency partnerships between police and probation/parole can enhance public safety by increasing the level of surveillance of high risk offenders under community supervision. These partnerships often involve police and community supervision officers working together to jointly supervise offenders, share information, and participate in joint training. Potential benefits of these partnerships include the improved ability of the criminal justice system to protect the community (e.g., when police have a better sense of who is on community supervision and the conditions of supervision, they can assist with deterring violations and crime). Additionally, partnerships involving joint patrols with police officers and probation officers can enhance officer safety, the capacity of probation officers to enforce probation terms, and communication and relationships between agencies<sup>47</sup>

### **Effectiveness of Interagency Partnerships**

Few evaluation studies have examined the effectiveness of interagency partnerships between police and probation/parole officers, but the few that have been conducted show promising results. For example, Boston's Night Light program (which focused on enhanced supervision of juveniles on probation) was associated with a decline in assaults with firearms,<sup>48</sup> and reductions in juvenile arrests followed the implementation of a police-probation partnership in California.<sup>49</sup>

In considering outcomes other than effects on crime, studies have found that partnerships between law enforcement officers and probation officers improve law enforcement's perception of probation. In surveys of police officers who were engaged in formal partnerships with probation departments, the officers believed that the partnerships contributed to crime reductions, and increased understanding of the roles of community supervision agencies<sup>50</sup>. As with any formal partnership, communication and training are cited as essential for success. This is particularly important with partnerships between police and probation/parole to avoid mission distortion, or the blurring of roles.<sup>51</sup>

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<sup>46</sup>Carey, M. (2010). *Effective Case Management: Coaching Packet*. Washington, D.C.: Bureau of Justice Assistance.

<sup>47</sup>Kim, B., Gerber, J., Beto, D. R. (2010). Listening to law enforcement officers: The promises and problems of police-adult probation partnerships. *Journal of Criminal Justice*, 38, 625-632.

<sup>48</sup>Evans, D. G. (1997). Boston's probation and police partnership. *Corrections Today*, 59(4), 126-129.

<sup>49</sup>Worrall, J. L. & Gaines, L. K. (2006). The effect of police-probation partnerships on juvenile arrests. *Journal of Criminal Justice*, 34(6), 579-589.

<sup>50</sup>Kim, B., Gerber, J., Beto, D. R. (2010). Listening to law enforcement officers: The promises and problems of police-adult probation partnerships. *Journal of Criminal Justice*, 38, 625-632.

<sup>51</sup>Murphy, D., & Worrall, J. L. (2007). The threat of mission distortion in police-probation partnerships. *Policing: An International Journal of Police Strategies & Management*, 30(1), 132-149.

## Strategy 5: Long Term Planning

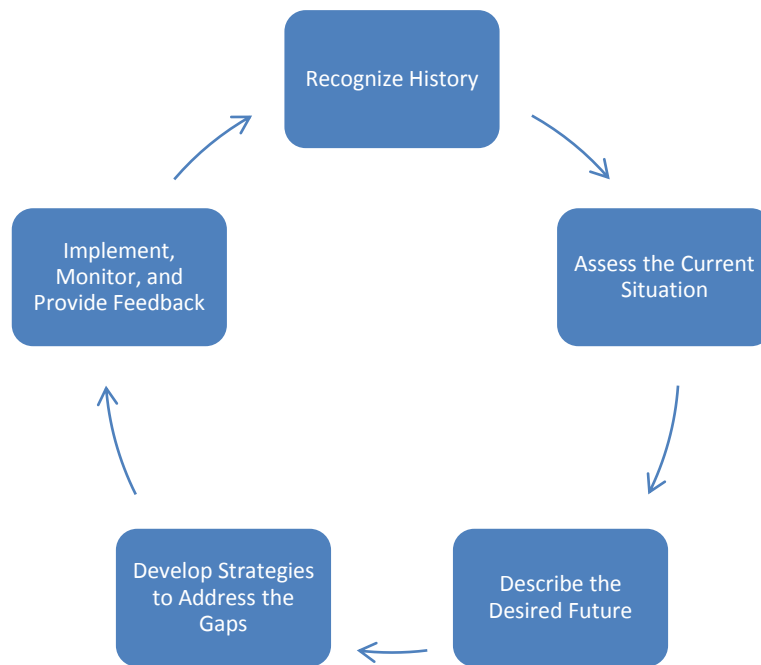
### Introduction

The CCP 's July 2012 Public Safety Realignment Report referred to implementation science's recognition of the time it takes to fully implement evidence-based practices in human services, as well as the need to engage in thoughtful planning and preparation for that change. Criminal justice agencies can use the same principles used in the case management framework to achieve related organizational change.

### Effectiveness of Organizational Development Practices

Using principles of assessment, intervention, and monitoring and measuring performance, organizational leaders can manage the change necessary to implement evidence-based practices in criminal justice organizations. The National Institute of Corrections and CJI developed an Integrated Organizational Change Process Model that highlights the various steps to this process:

**Figure 2: Integrated Organizational Change Process Model**



Organizational leaders, who take the time to thoughtfully conduct a series of strategic steps, will have a better chance of successfully adjusting organizational culture and practice to implement evidence-based practices. These steps can be integrated into a strategic planning process to support development of an implementation plan.

**Step 1: Recognize History.** Recognizing the history, culture, and values of an organization, as well as fully understanding how it operates will better position leadership to be able to target areas for change. This also provides a baseline of data from which to assess and monitor change over time.



Step 2: Assess the Current Situation. Organizations must assess their current situation at the beginning of any planning process in order to understand the gap between where they are and where they want to be.

Step 3: Describe the Desired Future. Identify organizational goals and a vision for success.

Step 4: Develop Strategies to Address the Gaps. Develop tactical plans for decreasing the identified gaps. Include specific, measurable, achievable, realistic, and time limited objectives. Assign responsibility for completing the tasks and achieving the objectives to specific individuals.

Step 5: Implement, Monitor, and Provide Feedback. Collect and feedback data on identified tasks and performance areas at the organization, unit, and individual level. Include strategic objective status in all organizational meetings and performance measurement tools/assessments.<sup>52</sup>

### **Effectiveness of Data-based Decision Making in Organizational Development**

Organizations intent on implementing evidence-based practices, must be willing and able to use data to make organizational practice decisions and enhance organizational effectiveness. They must have the capacity to collect, analyze, and utilize data from their local operations, and review similar data from research in other jurisdictions, to support those efforts.<sup>53</sup>

Developing the data collection and analysis capacity to assess and evaluate operations within the organization and share those results with staff and stakeholders is also critical to developing a culture that understands the importance of and how to use evidence.<sup>54</sup> This understanding can lead to enhanced public safety, offender outcomes, and result in cost savings to communities.<sup>55</sup> These potential cost-savings can then be reinvested to further improve the effectiveness of the local criminal justice system.<sup>56</sup>

## **Strategy 7: Day Reporting Center / Treatment Services**

### **Introduction**

Day Reporting Centers are operated as in-custody and/or out-of-custody facilities, where offenders receive services in a highly structured environment. Out-of-custody offenders are generally required to check in regularly (one to six times per week), are typically allowed to leave facilities to attend work or school, and spend evenings at home. Day reporting centers are often utilized to support transition of

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<sup>52</sup> Bogue, B., Campbell, N., Clawson, E. (2004). Implementing Evidence-based Principles in Community Corrections: Leading Organizational Change and Development. *National Institute of Corrections*, <http://nicic.gov/Library/019344>

<sup>53</sup> Crime & Justice Institute. (2003). *Implementing Evidence-Based Principles in Community Corrections: Leading Organizational Change and Development*. Washington, D.C.: National Institute of Corrections.

<sup>54</sup> Pfeffer, J., & Sutton, R. I. (2006). Evidence-based management. *Harvard Business Review*, 1-13.

<sup>55</sup> Center for Effective Public Policy, Pretrial Justice Institute, Justice Management Institute, and The Carey Group. (2010). *A Framework for Evidence-Based Decision Making in Local Criminal Justice Systems*. Washington, D.C.: National Institute of Corrections.

<sup>56</sup> Clear, T. R. (2010). Policy and evidence: The challenge to the American Society of Criminology: 2009 presidential address to the American Society of Criminology. *Criminology*, 48(1), 1-25

offenders from incarceration back to the community and as an intermediate sanction between community supervision and incarceration.<sup>57</sup>

### **Effectiveness of Day Reporting Centers**

Studies of day reporting centers' effect on recidivism have shown mixed results. Some studies have found no difference in rearrest between those sentenced to day reporting centers versus intensive supervision.<sup>58</sup> Others have found that offenders who complete day reporting center programming have lower rearrest rates.<sup>59</sup> Some have found that rearrest and reincarceration rates were lower for those offenders treated in day reporting centers than in a control group.<sup>60</sup> By assigning offenders to day reporting centers based on risk assessment data (high versus low risk offenders), researchers have suggested that effectiveness of day reporting centers can be enhanced.<sup>61</sup>

### **Costs and Benefits**

Only one study was found to have evaluated the costs and benefits associated with day reporting centers – one in an urban area, and one in a rural area. The results indicate that the benefits outweighed the costs in both facilities, particularly because probation officers tended to assign probationers to day reporting centers in lieu of revocation (i.e., incarceration).<sup>62</sup>

There have been multiple studies of intensive community supervision programs (the umbrella under which day reporting centers fall). A meta-analysis of these studies found that intensive supervision with surveillance only did not affect crime, while intensive supervision with treatment (as is common with day reporting centers) reduced crime by 10%. A cost-benefit analysis revealed that for every dollar spent on intensive supervision with only surveillance, fourteen cents was lost; in contrast, for every dollar spent on intensive supervision with treatment, almost two dollars was saved. (It should be noted that supervision focusing on the risk need and responsivity principle reduced crime by 16% and produce a cost-benefit ratio of \$6.93.)<sup>63</sup>

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<sup>57</sup> Marciniak, L. M. (2000). The addition of day reporting to intensive supervision probation: A comparison of recidivism rates. *Federal Probation*, 64(1).

<sup>58</sup> Ibid.

<sup>59</sup> Craddock, A., & Graham, L. A. (2002). Recidivism as a function of day reporting center participation. *Journal of Offender Rehabilitation*, 34(1), 81-97.

<sup>60</sup> Martin, C., Lurigio, A. J., & Olson, D. E. (2003). An examination of rearrest and reincarcerations among discharged day reporting center clients. *Federal Probation*, 67(1).

<sup>61</sup> Kim, D., Joo, H., & McCarty, W. P. (2008). Risk assessment and classification of day reporting center clients: An actuarial approach. *Criminal Justice and Behavior*, 35(6), 792-812.

<sup>62</sup> Craddock, A. (2004). Estimating criminal justice system costs and cost-savings benefits of day reporting centers. *Journal of Offender Rehabilitation*, 39(4), 69-98.

<sup>63</sup> Lee, S., Aos, S., Drake, E., Pennucci, A., Miller, M., & Anderson, L. (2012). *Return on investment: Evidence-based options to improve statewide outcomes, April 2012*. Olympia: Washington State Institute for Public Policy.

## Strategy 8: Pretrial Program

### Introduction

The average daily population in jails nationwide in 2011 was 726,657 people. On a snapshot date at midyear, over 60% of all jail inmates were unconvicted.<sup>64</sup> This number varies greatly in jurisdictions across the country, but overall, a large portion of jail space is taken up by people who have not been convicted of the crime for which they are being detained. Not only does this cost counties a great deal of money to house these inmates, but there are high costs to the offender as well. While in jail, these offenders are not working to support their families – they may even lose their jobs while awaiting trial and/or sentencing. The emotional turmoil this causes the defendant, their significant others, children, and other family members should not be overlooked. Additionally, pretrial outcomes have been shown to affect decision-making in criminal justice – defendants detained prior to trial are almost six times more likely to be incarcerated, and to have longer sentences than those released prior to trial (controlling for legally relevant characteristics).<sup>65,66</sup>

Pretrial defendants can have financial or non-financial conditions set for their release, or can be preventatively detained. Financial conditions include conditional surety bonds, deposit bonds, full cash bonds, and unsecured bonds; while non-financial conditions include release on recognizance (ROR) and conditional release. Preventive detention can be used when the defendant poses a serious danger to the community. From 1990-2004, in state felony courts, approximately 42% of defendants that were released before trial were released on surety bonds, five percent (5%) on unsecured bond, five percent (5%) on full cash bond, and eight percent (8%) on deposit bond, for a total of 26% of defendants released with financial conditions. Twenty-eight percent (28%) of released defendants were released on recognizance, and 12% with non-financial conditions of release.<sup>67</sup> It should be noted that there are many negative aspects associated with financial conditions of release – lower-income defendants are disproportionately affected, commercial bail bondsmen profit from doing business with high-risk defendants with high bond amounts, and evidence does not suggest improved outcomes from bail. The research indicates that defendants supervised by pretrial service programs have the same appearance rates and lower rearrest rates than those released on financial conditions.<sup>68</sup>

### Effectiveness of Pretrial Programs

Pretrial release policy should rely on data from an objective, validated risk assessment tool that assesses the risk of commission of new offenses before trial, and the risk of failing to appear for court (FTA). In large urban counties across the United States in 2006, approximately 18% of released felony defendants

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<sup>64</sup> Minton, T. D. (2012). Jail inmates at midyear 2011: Statistical tables. Bureau of Justice Statistics.

<sup>65</sup> Spohn, C. (2009). Race, sex and pretrial detention in federal court: Indirect effects and cumulative disadvantage. *University of Kansas Law Review*, 57, 879-902.

<sup>66</sup> Williams, M. R. (2003). The effect of pretrial detention on imprisonment decisions. *Criminal Justice Review*, 28(2), 299–316.

<sup>67</sup> Cohen, T. H., & Reaves, B. A. Pretrial release of felony defendants in state courts. Bureau of Justice Statistics.

<sup>68</sup> The National Association of Pretrial Service Agencies. (2009). The truth about commercial bail bonding in America. *Advocacy Brief*, 1(1).

were arrested for a new offense – 11% of these were felonies – within one year of release. Overall, 33% of released felony defendants had some type of pretrial misconduct, including failure to appear, fugitive status, or rearrest<sup>69</sup> While an exact comparison is not possible, from 2010-2012 for defendants on supervised release, Yolo County had an 84% success rate, with 7% of released defendants arrested for a new crime and 9% failing to appear for a court date.

### **Costs and Benefits**

A recent theoretical model of comparing the costs and benefits of pretrial detention and release examined the costs of new offenses, bail administration costs, the expense of holding defendants in jail, costs associated with failure to appear, and lost freedom costs to the defendant (e.g., wages, family costs, etc.) The results suggested that the ideal detention rate, in terms of economics, is approximately 25%.<sup>70</sup> However, this optimal rate may vary for each jurisdiction based on local data (e.g., the proportion of the jail population composed of pretrial detainees and the average length of stay, the proportion of those released on bail that reoffend and how serious the offenses are, the availability of police and private resources utilized to track those defendants who fail to appear, etc.) The average pretrial detention rate in large urban counties across the United States averages 44%, a potential over expenditure of resources.

## **Strategy 9: Supplemental Funding for District Attorney's Office**

### **Introduction**

Supplemental funding was provided to the District Attorney's Office to support swift, certain, and proportionate responses to violations of law and/or conditions of probation, mandatory supervision and/or parole. These funds were specifically requested to support key prosecution, investigative, and victim services, and avoid case processing delays associated with the expanded caseloads of AB 109.

### **Effectiveness of Efficient Case Processing**

The Bureau of Justice Statistics reports that nationally, the median number of days from arrest to adjudication for a detained defendant was forty-five days from 1990-2004. For released defendants, the median was one hundred twenty-seven days.<sup>71</sup> Decreasing this span of time for detained defendants reduces both the negative effects of detention and the costs associated with confining these defendants in jail. Decreasing this span of time for released defendants, provides for swifter convictions and related incarcerations, thereby enhancing public safety. In addition, providing swift responses to crimes is a key component of deterrence theory, the basis of the American criminal justice system, which says that punishments are most effective when they are swift, certain, and proportionately severe.

Arguments have been made for expediting case processing for minor offenses to reduce jail crowding. An evaluation of one jurisdiction's project which served this function indicated that utilizing a separate processing center with a deputy prosecutor on duty 20 hours per day, 6 days per week yielded positive

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<sup>69</sup> Cohen, T. H., & Reaves, B. A. Pretrial release of felony defendants in state courts. Bureau of Justice Statistics.

<sup>70</sup> Bowles, R., & Cohen, M. (2009). *Pre-Trial Detention: A Cost-Benefit Approach*. New York: Open Society Justice Institute.

<sup>71</sup> Cohen, T. H., & Reaves, B. A. Pretrial release of felony defendants in state courts. Bureau of Justice Statistics.

results. The expedited initial processing decreased case screening time, length to initial court hearing, and saved resources by reducing time spent in custody.<sup>72</sup> When addressing case processing time, it should be noted that both the defense and prosecution need time to prepare for trial. Reduction in case processing time should be paired with resources that support expedited case processing for all partners, i.e., staffing, and should not be so drastic that it sacrifices justice.<sup>73</sup>

### **Effectiveness of Victims' Services**

The criminal justice system often is perceived as neglecting victims of crime. Crime victimization results not only in out-of-pocket costs (e.g., medical costs, financial loss, property loss/damage, etc.), but also in emotional and physical costs to victims.<sup>74,75</sup> In response to increased recognition of these costs, crime victims' rights have been considerably expanded over the past few decades, both at the federal and state level.<sup>76</sup>

Past studies have indicated that crime victims overwhelmingly underutilize the services available to them, particularly crime prevention, property replacement, and household logistical support needs (e.g., repair damaged property, finding a house sitter/babysitter, help with household work). One reason behind this is a lack of knowledge about available services. Researchers have recommended emphasizing public awareness of victims' services, adequately staffing victims' service programs with trained individuals, increasing the types of services available, and directly reaching out to victims.<sup>77,78</sup>

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<sup>72</sup> Baumer, T. L. (2007). Reducing lockup crowding with expedited initial processing of minor offenders. *Journal of Criminal Justice*, 35.

<sup>73</sup> Luskin, M. L., & Luskin, R. C. (1986). Why so fast, why so slow? Explaining case processing time. *Journal of Criminal Law & Criminology*, 77(1).

<sup>74</sup> Cohen, M. A. (1988). Pain, suffering, and jury awards: A study of the costs of crime to victims. *Law & Society Review*, 22(3), 537-556.

<sup>75</sup> Office for Victims of Crime. (2009). *OVC Report to the Nation, Fiscal Years 2007-2008*. Washington, D.C.: Office for Victims of Crime.

<sup>76</sup> Ibid.

<sup>77</sup> Sims, B., Yost, B., & Abbott, C. (2005). Use and nonuse of victim services programs: Implications from a statewide survey of crime victims. *Criminology & Public Policy*, 4(2), 361-384.

<sup>78</sup> Davis, R., Lurigio, A. L., & Skogan, W. G. (1999). Services for victims: A market research study. *International Review of Victimology*, 6, 101-115.

### 3. Program Assessments

#### Overview

Program implementation is a complex process, and an assessment and feedback loop are helpful in ensuring that the program is implemented according to its model, and that desired outcomes will be achieved. Not all of Yolo County's realignment strategies are amenable to assessment due to the early stage of implementation. In addition, time frame and resources required that only a limited number of program assessments be completed, therefore CJJ was asked to focus on the following three programs: Community Corrections Case Management (CCCM), Electronic Monitoring (EM), and Pretrial. The program assessments included the following activities:

- Interviews with key staff for each of the three programs;
- Collection and review program related reports and other documentation; and
- On-site visits to each of the three programs to review files, observe operations, and further clarify operational processes.

Site visits were conducted the week of April 15, 2013 with visits to each of the three programs. Program staff were very helpful and took time from their busy schedules to assist CJJ staff by providing documents and files, answering questions, and providing on-site support. Their cooperation was critical to CJJ's ability to gather this information. Additional information regarding the program assessments, including interview questions, a list of documents reviewed by assessing staff, and a list of participating staff are included in Appendix B.

#### Program Assessment: Community Corrections Case Management

##### Overview

Community Corrections Case Management (CCCM) describes a comprehensive system of managing offenders in the community. Offenders are triaged using an assessment tool and the level of supervision and services provided to offenders is determined based on data provided by that assessment tool. In general, resources are targeted to offenders at higher risk to recidivate. In alignment with this concept, Yolo County places low risk offenders on a banked caseload; moderate risk offenders on a telephone monitoring system; and high risk offenders on active supervision. Triaging cases by risk level, targets resources where they will be most effective and reduces active supervision caseloads to allow officers the time and resources to appropriately supervise high risk offenders. Under the CCCM model, active supervision include the development of individualized needs-assessment-driven case plans, assignment of services based on these case plans, and support of the offenders' rehabilitative efforts. By aligning supervision practices with these principles of effective intervention (risk, needs, and responsivity), evidence indicates recidivism reductions can be achieved that are significantly improved from outcomes of traditional supervision models.<sup>79</sup>

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<sup>79</sup> Washington State Institute for Public Policy. (2011). "What works" in community supervision: Interim report. Olympia, WA: Document No. 11-12-1201.

Expected outcome measures of CCCM include the percentage of high risk offenders who do not commit a new crime while under supervision and the percentage of high risk offenders who successfully complete supervision. CCCM was also designed to support long-term data gathering, analysis and planning efforts through the use of assessment information that can be aggregated, extracted and analyzed to determine service needs for the high risk population.

Yolo County's Community Corrections Case Management (CCCM) is managed by the Yolo County Probation Department. CCCM is the framework within which Yolo County Probation Officers manage all community corrections caseloads. The CCP allocated FY 2013 AB109 funds of \$1,647,804 for CCCM. These resources fund 15.75 full time positions. The funding has supported the Probation Department to more effectively and safely manage high-risk offenders in the community on caseloads of approximately 50 offenders per officer.

At the request of the Yolo County CCP, the Crime and Justice (CJI) Institute at CRJ conducted an assessment of the CCCM program over the course of March and April of 2013. During the assessment process, the CJI team conducted phone and in-person interviews with two management staff, one supervisor, and four line staff, reviewed and analyzed numerous program documents, including case files. A copy of the interview questions and materials reviewed are included in the appendix.

## **Findings**

An analysis of probation data since the inception of AB109 in October 2011 indicated the following:

- Since the inception of AB109, 1667 offenders have been placed on probation supervision. Of those, 272 (16%) were placed on a low-risk (banked) caseload, 370 (22%) were placed on a moderate (telephone monitoring) caseload, and 666 (40%) were placed on a high-risk (supervision) caseload.
- Of those placed on high-risk supervision, 121 (18%) were allocated to high-risk supervision due to a supervisor risk assessment override, i.e., assessment tool did not categorize the offender as high risk.
- The average length of probation supervision is three years.

### **1. The implementation of evidence based practices (EBP) has been hampered by leadership transitions and a lack of attention to organizational change.**

When correctional systems follow the principles of effective interventions (i.e., focusing resources on higher-risk offenders, targeting criminogenic needs, and approaching interactions through the lens of cognitive behavioral approaches), they have a greater likelihood of achieving significant reductions in reoffending.<sup>80 81</sup> Through numerous initiatives including the California Risk Assessment Pilot Project, SB 678, and AB109, several efforts were initiated to strengthen the Yolo County Probation Department's

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<sup>80</sup> Dowden, C., & Andrews, D. A. (2004). The importance of staff practice in delivering effective correctional treatment: A meta-analytic review of core correctional practice. *Journal of Offender Therapy and Comparative Criminology*, 48(2), 203-214.

<sup>81</sup> Smith, P., Schweitzer, M., Labrecque, R. M., & Latessa, E. (2012). Improving probation officers' supervision skills: An evaluation of the EPICS model. *Journal of Crime & Justice*, 35(2), 189-199.

alignment with such practices. Efforts include implementing the Static Risk Assessment and Offender Needs Guide (STR and ONG) to assess risk and needs, implementing case planning practices to target services to assessed risk and needs, implementing graduated responses to non-compliance, revising case management software and reporting capacity, revising policies and procedures, and initiating quality assurance efforts.

The complexity and volume of organizational change required to implement each of the aforementioned efforts is challenging and requires strong and effective leadership. The recent transitions and uncertainty in the Department's leadership has exacerbated these challenges. In addition, the department has a history of procuring technical assistance from numerous external providers on multiple topics. These challenges have resulted in a lack of ability to manage the organizational change necessary to implement the principles of effective intervention. The Department has struggled to fully integrate these concepts into its day to day work. Therefore, many of the EBP alignment initiatives remain in a state of flux which hinders the ability of the department to advance recidivism reduction efforts.

***Recommendations:***

- Support organizational development efforts under the new Chief Probation Officer to further assess agency culture and alignment to EBP.
- Develop a tactical EBP implementation plan that incorporates the Department's strengths and challenges.
- Target technical assistance to support the implementation of that tactical implementation plan at a pace that is manageable.
- Reexamine training and quality assurance practices and consider developing a comprehensive plan for training officers on corresponding quality assurance processes to reinforce and integrate implementation efforts.

**2. Supervision and rehabilitation practices are being guided by assessment instruments that have not been validated on the Yolo County population and there is a lack of internal procedures in place to provide booster training and quality assure the assessment process.**

The department uses the Static Risk Assessment (STR) and the Offender Needs Guide (ONG) to assess probationers' criminogenic risk and need. The data from completing the STR and ONG guide supervision and rehabilitation decisions. These tools serve as the foundation of all case management services in the department. The STR is used to identify the level or risk each offender poses and the ONG is used to identify the needs to target for intervention for high risk offenders. All offenders assessed and overridden as high risk are placed on a high supervision caseload and given the ONG. Those assessed as low risk are placed on a banked caseload and moderate risk offenders are placed on a telephone monitoring system caseload. These tools are valid risk and need assessment instruments being used in a number of jurisdictions across the country, however, they have not been validated on the Yolo County probation population to determine if the instruments accurately identify the level of risk and



criminogenic needs of Yolo County specific offenders. Periodic validation is required to ensure accurate prediction.

Furthermore, the utilization of assessment instruments requires ongoing training and quality assurance to ensure the tools are administered in a consistent manner by all who use them<sup>82, 83</sup>. For example, staff should understand the rationale for using the tool; how to administer it appropriately; how to apply it to case planning, supervision and treatment; and use the results to drive interventions. Currently, periodic audits are conducted as time allows, but there are no internal procedures in place to provide booster training or systematically monitor the quality of the assessment process. In addition, the department does not plan to validate the existing instruments since they are in the process of adopting a new risk assessment instrument.

***Recommendations:***

- Implement and validate the new risk and needs assessment instrument.
- Develop and implement ongoing training and quality assurance processes.

**3. Case planning is not currently being used in the case management of probationers.**

According to the department's post order document, case management begins at the initial meeting between the probation officer and probationer which occurs within two business days of an offender's placement on probation. At the initial meeting, the probation officer is required to verify the STR assessment information and complete the ONG. Case plans are an essential component of effective case management<sup>84</sup>, yet the Department does not currently use a case plan to guide supervision and rehabilitation efforts. The department has developed a case plan tool and is currently piloting its use. All offenders placed on high risk supervision are assessed for criminogenic needs using the ONG. Policy indicates that probation officers are required to verbally go over the results of the ONG with the probationer, but it is unclear whether or not this takes place. Additionally, ONG reassessments are conducted every six months or when a significant life change occurs. It is unclear whether or not internal audits are being conducted to ensure reassessments are being completed or whether the reassessments have any impact on supervision.

Staff have received training on some components of evidence-based practices including motivational interviewing and risk assessment as part of the requirement for 40 hours of annual training. Heretofore, no case management training has been provided.

***Recommendations:***

- Further develop and implement the use of case planning with offenders and include case plans in the electronic case management system.

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<sup>82</sup> Edward J. Latessa and Brian Lovins (2010): The Role of Offender Risk Assessment: A Policy Maker Guide, *Victims & Offenders*, 5:3, 203-219.

<sup>83</sup> D. A. Andrews, James Bonta and J. Stephen Wormith (2006): The Recent Past and Near Future of Risk and/or Need Assessment, *Crime & Delinquency*, 52: 7.

<sup>84</sup> Carey, M. and Carter, M.M. (2010). Coaching Packet: Effective Case Management.

- Require staff to be trained on case planning and a directed case management model which puts into daily practice structured one on one interactions with offenders. These interactions should be based on risk, need, and responsivity principles and target criminogenic needs.

#### **4. The department uses graduated sanctions to respond to probation violations but a system of incentives is not currently in place.**

The department currently uses a violation matrix it refers to as *The Evidence Based Response to Violation of Probation Model* to respond to probation violations. This model includes a violation matrix and a response level grid to determine the appropriate response to each probation violation. Probation officers have the authority to impose administrative sanctions but must seek approval for overrides and under rides of the identified response level determined by the matrix and grid. Currently, there is no use of incentives but staff has identified this as an important tool in changing offender behavior.

##### ***Recommendation:***

- Develop and incorporate a system of incentives to reward positive behavior, including efforts to step down or terminate supervision.

#### **5. The ability of the department to use data to drive decisions is jeopardized by inefficient data systems**

The Department's case management software, Law Suite, allows staff to review the case status, demographic data, and chronological case notes in one electronic database. In addition, *OffenderLink*, the telephone monitoring system allows the moderate caseload to be supervised through a process of call-ins and letters. Both of these systems function to their purpose, however, the reporting capacity of the systems is dependent upon the availability of contracted programming staff. Several efforts have supported the development of reporting capacity within the department. However, throughout this assessment process, it was apparent that database programming and reporting capacity is a challenge for the Department and that a more systematic effort to update the case management database and its reporting capacity is needed.

##### ***Recommendation:***

- Ensure the existing or any new case management system includes effective reporting capability that supports data-based decision-making.

#### **Summary**

The Department has undertaken significant efforts to implement the CCCM model. This model represents a comprehensive change in practice and requires attention to the quality of offender interactions, risk/need assessment, case plans, service referrals, responses to positive and negative behaviors, and the use of data to continuously improve practices. All of these practice changes require concurrent attention to organizational change. The findings and recommendations included here will require the full commitment and attention of Department leadership.

## **Program Assessment: Pretrial**

### **Overview**

The Yolo County Pretrial Program assists the Court in making release/detention decisions and monitors and supervises defendants released on supervised own recognizance (SOR) pending trial. Supervision is designed to minimize the risk of non-appearance at court proceedings, as well as risk to public safety. Yolo County's Pretrial Program is managed by the Yolo County Probation Department. The CCP allocated \$499,196 in AB109 funds for the pretrial program. These resources fund 5.25 full time employees.

The pretrial program was identified by the CCP as one of three custody and alternative to custody programs utilized to ensure incarceration resources are allocated in a cost effective way. Expected outcomes of the pretrial program include the percentage of defendants on SOR who do not commit a new crime while pending trial and the percentage of defendants on SOR who appear for a court hearing.

At the request of the Yolo County, CCP, the Crime and Justice Institute (CJI) at CRJ conducted an assessment of the pretrial program over the course of March and April of 2013. During the assessment process, the CJI team conducted interviews with two pretrial line staff and one supervisor, reviewed and analyzed numerous program documents, and conducted file reviews. A copy of the interview questions and materials reviewed are included in the appendix.

### **Findings**

An analysis of data from the pretrial program between November 2012 and April 13, 2013 indicated the following:

- 175 defendants were placed on SOR, 15% of whom were assessed as high risk, 48% were assessed as moderate risk, 5% were assessed as low risk, and 32% were not assessed for risk prior to placement on SOR.
- Of the 175 placed on SOR, the court approved the pretrial program's recommendations on 59% of the cases.
- Of the 175 defendants placed on SOR:
  - 26% completed supervision;
  - 26% had supervision revoked; and
  - 48% remain under supervision.

#### **1. Certain pretrial practices have resulted in the inefficient use of pretrial resources.**

Currently, the pretrial interview, investigation and report writing process takes pretrial staff approximately two hours per defendant to complete which is significantly longer than other jurisdictions nationally. A significant portion of this time is spent administering both the Ohio Risk Assessment (ORAS) and the Static Risk Assessment (STR) on all defendants screened for pretrial release eligibility. The results of ORAS are used to inform the pretrial release recommendations and have been specifically designed to assess the risk of commission of new offenses before trial, and the risk of failing to appear (FTA). However, the results of STR are only occasionally used by pretrial to assist in pretrial recommendations. The results of this assessment tool are most often utilized by probation once a defendant is convicted and sentenced to probation. The STR takes a significant amount of time to

complete due to the need to enter the criminal history information into the case management data base. In addition, this tool has not been designed for use with a pretrial population nor validated on any Yolo population.

Currently, the results of ORAS are not being used to guide the supervision of defendants placed on SOR. All defendants placed on SOR are supervised similarly and there appear to be no graduated levels of supervision based on risk which is inconsistent with the risk principle (e.g., target resources to moderate and high risk and limit interactions with lower risk). Supervising defendants using differential supervision levels based on risk provides officers the time necessary to focus on reducing the likelihood of pretrial failure for moderate and high risk defendants. Pretrial staff expressed frustration about spending a significant amount of their time on clerical duties (e.g. printing and copying reports), including calling defendants to remind them of their court dates, which also may reduce the amount of time available to supervise moderate and high-risk defendants. Finally, pre-arraignment releases are not being utilized to their full capacity. In the past three years, only 10-13 pre-arraignment releases have occurred. Expanding the use of pre-arraignment releases could free up court, jail and pretrial resources by expediting the release of the lowest risk population.

***Recommendations:***

- Discontinue the use of the STR by pretrial.
- Consider adding a clerical support position to provide more time for the officers to focus on high risk defendants.
- Provide differential levels of supervision to defendants based on ORAS assessment results (e.g., from call reminders for lower risk to intensive supervision for higher risk).
- Consider implementing an automated call reminder system to increase program efficiency.
- Develop a standing pre-arraignment release process guided by the use of a risk assessment.

**2. The lack of systematic risk assessment results in pretrial release decisions that lack the benefit of actuarial risk assessment data.**

The current SOR placement and supervision practices of the program are inconsistent with current research, as well as departmental policy. Research indicates pretrial release decisions should be based on data from an objective, validated risk assessment tool that assesses the risk of commission of new offenses before trial, and the risk of failing to appear for court (FTA). Departmental policy requires all defendants who pass the initial eligibility screening to be assessed for risk using the ORAS, however, in practice, the use of ORAS is not guiding pretrial release or supervision decisions since not every defendant is being assessed for risk. As previously mentioned, 32% of defendants placed on SOR during the period of November 2012 to April 13, 2013 were not assessed for risk. In such instances, the court determines placement on SOR without the benefit of an actuarial risk assessment.

A 1991 federal consent decree, amended in 1997, strictly limits the jail population to a maximum capacity of 455 inmates<sup>85</sup>. In order to maintain the jail population under this threshold, the jail is currently releasing defendants to the community at a greater rate than those released to pretrial. These jail released defendants are released without the guidance of an actuarial risk assessment to determine level of risk.

***Recommendations:***

- Require all defendants be assessed for risk and use graduated levels of release based on assessment results.
- Require periodic validation of the ORAS to ensure validity and reliability.
- Collaborate with the Sheriff's Office and judges toward systematic risk based decision making.

**3. Data is collected for obsolete grant requirements and is not used for quality assurance and program improvement efforts.**

The pretrial program has made considerable efforts to collect and track information on pretrial defendants using excel spreadsheets. In addition, pretrial staff use the LawSuite case management system to monitor their cases. However, the majority of the data entered into the spreadsheets is specific to SOR, related to requirements of a previous grant, and not used to aid decision making. The information entered into the spreadsheets is comprehensive; however the ability to actually use the information collected to aid in decision making is limited. The ability to report on the data relies heavily on one programmer. Additionally, only the outcomes of defendants placed on SOR are currently tracked. The outcomes of those released without SOR are not systematically tracked. These challenges leave the County unable to determine which pretrial release decisions are most effective for which types of defendants.

***Recommendations:***

- Implement a more systematic database collection, management and reporting capacity.
- Require regular reporting of outcomes for all types of pretrial release.

**Summary**

The Pretrial Program is making substantial efforts towards ensuring the success of defendants placed on SOR. Increased collaboration with the Sherriff's Department and the Court to expand risk assessment driven release decisions and graduated levels of supervision for all pretrial defendants is necessary to enhance the successful administration of pretrial justice in the County. Implementing these recommendations will enhance the County's ability to administer pretrial justice practices consistent with national standards, streamline the decision making process, and provide for the most effective use of county resources.

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<sup>85</sup> Jessy Roy, et.al.v. County of Yolo, CV S-90-0393 DFL-JFM P (E.D. Cal.1997) Consent Decree, Modified Aug. 18, 1997 (E.D. Cal. 1997))

## Program Assessment: Electronic Monitoring

### Overview

Electronic Monitoring (EM) programs require offenders to wear devices that monitor their proximity to a designated residence or location and ensure home detention compliance using electronic surveillance, including GPS, radio frequency and sobriety technology. The Yolo County EM program is managed by the Yolo County Sheriff's Department. In 2013, the Yolo County CCP allocated \$586,000 of AB109 funds to expand the program from 20 to 100 service slots. The purpose of expanding this program was to provide an alternative to incarceration and open up jail beds for AB109 offenders. The YCSO indicated that the AB 109 funding allocation would fund up to five (5) deputies to operate the 100 slot program.

The EM program in Yolo County was identified by the CCP as one of three programs focused on custody and alternatives to custody that would be used to support cost effective allocation of criminal justice resources. The goals of these three programs (EM, jail beds, and pretrial supervision) are to maximize the use of less expensive, alternatives to jail custody, safely manage offenders and defendants in the community, and make the most efficient use of jail space. Expected outcome measures for the EM program included the percentage of offenders that do not commit a new crime while on EM and the percentage of offenders who successfully complete EM.

At the request of the CCP, the Crime and Justice Institute (CJI) at CRJ conducted an assessment of the EM program over the course of March and April of 2013. During the assessment process, the CJI team conducted telephone and in-person interviews with five program representatives. In addition, the team reviewed and analyzed numerous program documents including client files, program policies and procedures, program reports and log books. A list of interviewees, copy of the interview questions and materials reviewed are included in the appendix.

### Findings

- An analysis of EM program data between February 8, 2012 and March 27, 2013 indicated the following:
- There were 38 recorded program installations and 14 recorded program denials.
- Eighteen (18) of the 38 individuals who entered the program are no longer participating. Twenty (20) remain active.
- Of the 18 individuals who are no longer on the program, 13 (72%) successfully completed and five (28%) failed the program.
- The average length of program participation was 67 days; with a range from less than 30 to over 150 days.

**1: Over the last year, the program has made a series of ongoing improvements, including efforts to increase utilization and enhance organization of documentation and reporting systems.**

Program staff have made considerable efforts to increase utilization and improve program management. Previously, offenders were charged for participation in the program, which was perceived as a disincentive to participation. That policy has been changed and there is no longer a charge for participation. Program staff have made an effort to communicate this revised policy to potential

participants and currently, all newly sentenced individuals are made aware of the program and encouraged to apply. Staff also report the complexity and length of the EM program application form, which is approximately 11 pages, can be overwhelming for and deter potential participants. Program staff are exploring the possibility of reducing the length and complexity of the program application.

The EM program staff work together to ensure program operations are in alignment with stated policy. Paper based documentation derived from management reports and manual note entries by program, control room, retiree and patrol staff is organized in a manner that seems to function well for the current program model. The patrol division and control room staff each maintain log books for recording interactions with EM participants, and they contact program staff as necessary. Program staff are then responsible for entering relevant information into individual offender files. Program records and management reports are meticulously maintained in Excel and Word documents and manually updated to reflect any status changes for potential and existing program participants. The status of each potential participant, at any point in the application process, can be quickly identified (e.g., expressed interest and application provided, declined participation, application received, interview scheduled, etc.) as long as the manual records are maintained. The current documentation process is time consuming and somewhat complicated, and as the number of offenders placed on EM increases, sustaining this manual record keeping system may not be feasible.

### ***Recommendations:***

As the program continues to evolve and utilization increases, we recommend additional efforts to streamline efficiency and information sharing, including:

- Reduce the length and complexity of the application form to increase the likelihood potential participants will apply.
- Shift from paper records to a single electronic database to enter and store participant information.
- Develop key program performance indicators and corresponding data elements to enter into the electronic database.
- Develop regular electronic management reports that can be used to assess and improve program performance.

## **2: The target population and supervision practices do not reflect a strategic vision for recidivism reduction.**

EM program participation eligibility determinations are geared to low risk offenders, are made on a case by case basis, and include the following exclusion factors<sup>86</sup>:

- *Demonstrated violent behavior.*
- *Internet related crime.*
- *Past or present charges involving weapons or implied use of weapons.*
- *Pose a threat to the community or victim(s).*
- *Documented history of flight, escape, or failure to appear.*

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<sup>86</sup> Yolo County Sherriff's Office, Home Custody Electronic Surveillance Program Policy, P-300, revised 10/01/2011.

- *Active restraining orders.*
- *Documented history of jail rule violations and program failures.*
- *Restriction by courts to participate in a program.*
- *Conviction of sex offenses, felony assaults, or 290 PC registrants.*
- *Mentally disabled persons who fall under 5150 W&I.*
- *Previous convictions or current charges for crimes against law enforcement officers.*
- *Documented history of abuse of authority or trust.*
- *Documented gang affiliations or offenses which are gang-related.*

*Other possible exclusion factors, including:*

- *Employment which requires the participant to work in the home of a family member or close personal friend may not meet the criteria listed above.*
- *Employment which relates to the current offense or previous criminal history.*
- *Employment which precludes effective supervision such as delivery, door-to-door sales, canvassing, etc.*
- *Applicants who meet the criteria of the program may not be suitable or appropriate for the program and may be denied participation.*

The current process used to determine program eligibility is time consuming and labor intensive. The case by case consideration is driven predominantly by professional discretion, using the objective and subjective exclusion criteria. Eligibility determination is not informed by objective data from a validated actuarial assessment of criminogenic risk or needs. Using an assessment tool is important because using identified risk level to determine program eligibility can directly affect recidivism outcomes.

Research indicates offenders released from EM are less likely to reoffend than those released from prison.<sup>87</sup> This reduction in recidivism is specific to high-risk offenders, and there is evidence that links EM to increased recidivism for low-risk offenders.<sup>88</sup> Research further indicates that the effectiveness of EM can be enhanced when it is paired with cognitive behavioral therapy that is assigned based on the risk level and criminogenic needs of the offender.<sup>89,90</sup>

Current supervision of program participants is strictly focused on surveillance and monitoring, with no cognitive behavioral treatment component. Violation responses are consistent with rule violation practices within the jail setting. Training provided to program staff has included training in inmate management, care and custody, criminal history checks, booking, Tiburon (computer system areas relevant to EM), fingerprinting, classification, web-based EM equipment tutorials, gangs and general on-the-job experience.

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<sup>87</sup>Tella, R. D., & Schargrotsky, E. (2013). Criminal recidivism after prison and electronic monitoring. *Journal of Political Economy*, 121(1), 28-73.

<sup>88</sup> Bonta, J., Wallace-Capretta, S., & Rooney, J. (2000). A quasi-experimental evaluation of an intensive rehabilitation supervision program. *Criminal Justice and Behavior*, 27(3), 312-329.

<sup>89</sup> Taxman, F. S. (2008). To be or not to be: Community supervision déjà vu. *Journal of Offender Rehabilitation*, 47(3), 209-219.

<sup>90</sup> Bonta, J., Wallace-Capretta, S., & Rooney, J. (2000). A quasi-experimental evaluation of an intensive rehabilitation supervision program. *Criminal Justice and Behavior*, 27(3), 312-329.



**Recommendations:**

Ultimately, if the CCP would like to use the EM program to contribute to reducing recidivism, several steps can be taken to streamline the decision making process and align program practices with core principles of recidivism reduction. This can include:

- Revisit the intent of the program to determine its role in county wide recidivism reduction efforts.
- Clarify the program mission, goals, and measurable objectives
- Develop a tactical plan for adjusting current program operations to achieve the identified outcomes. This plan should include a comprehensive training and quality assurance component. Clearly identify the target population and objective criteria for admission, responses to violations, and completion.
- Adopt or develop a risk assessment screening tool to be used prior to the application process. This screening step will allow staff to quickly pinpoint offenders who are eligible and limit the amount of staff resources expended on those that are not.
- Use actuarial risk/need assessment tool to determine criminogenic needs of program participants and access corresponding treatment interventions offered through the Day Reporting Center (DRC) or other program providers.

**3: The shortage of dedicated program staffing resources impacts program efficiency and capacity.**

At the time of the on-site observations on April 17, 2013, a snapshot of the EM program demonstrated the potential for increased utilization. That data snapshot indicated:

- 33 active program participants;
- 14 individuals who had completed the application, but were awaiting an interview;
- 5 individuals who were identified as eligible, but were awaiting an installation date; and
- 30 installations that were scheduled through the end of May.

Less than three full time equivalencies (FTE) are allocated to the program which limits its capacity to process applications, determine eligibility, and install units. Program staff include one FTE responsible for conducting all program duties, one partial FTE (Sergeant) who oversees program staff in addition to other duties, and one partial FTE support staff that provides overall support for the program, among other duties. In addition, higher level oversight is provided by a Lieutenant and Captain on an as needed basis. Control room, patrol and retirees provide additional program support. Staff in the control room monitor and respond to equipment alerts, conduct nightly calls, and log related activity. The patrol staff and retirees also conduct surveillance, respond as needed, and log activities accordingly. It is unclear how much of the AB 109 funds are allocated to patrol or control room staff.

The shortage of dedicated program staff hampers the efficiency of the program. The one full time staff person allocated to the program is responsible for reviewing applications, conducting interviews, making recommendations and obtaining approval or denial information, installing equipment, conducting random urine analyses, monitoring and responding to compliance issues, and collecting equipment upon

completion. This limited staffing capacity has resulted in a backlog in the placement of offenders on EM and created timing delays throughout the process that impact program utilization.

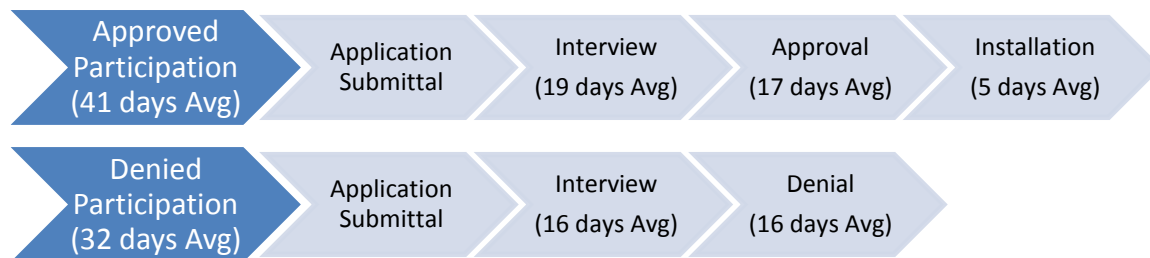
**Recommendations:**

If program utilization is to grow from the current 33 participants to a full capacity of 100 participants, current staffing allocations will need to be expanded. Recommendations for the consideration of program staffing patterns, include:

- Determine the exact number of FTE funded through AB109 to ensure that all funded personnel capacity is allocated to EM program responsibilities.
- Determine a manageable case load for each EM staff person and adjust staffing allocations accordingly.
- Consider a segregation of duties among program staff that will allow for increased efficiencies.

**4: Delays in program application processing hamper the ability of the program to provide a swift and economical means of punishment.**

Data from February 8, 2012 to March 27, 2013 indicate several processing delays from the date an application is received to the date of program installation<sup>91</sup>. The longest delay in the process appears to be the time between receiving an application and conducting an interview. Thereafter, there are delays between the date of the interview and the official participation approval or denial. In addition, there is a subsequent delay related to scheduling and installation of the equipment. The figure below includes the average time between each milestone in program processing. Approvals and subsequent installations take an average of 41 days from the date an application is received to the date of installation. Denials take an average of 32 days from the date of application submittal to participation denial.



The delay in application processing can be attributed to a lack of staffing capacity and a lack of clear criteria for program eligibility. The delays in the process decrease the ability of the program to provide a

<sup>91</sup> The approval and denial process averages came from a small subset of the total program installs and denials due to the unavailability of dates. Of the 38 total program installs, 12 individuals had application to approval and application to interview dates available, and 16 individuals had interview to approval and approval to install dates available. Of the 14 total denials, 11 individuals had application to denial and interview to denial dates available and 10 individuals had application to interview dates available. Additionally, outliers that inflated the averages were removed from the average calculations.

swift and economical means of punishment for newly sentenced offenders. A portion of offenders apply to the program while already living out of custody, i.e., they are living in the community while awaiting the EM approval process (often over 30 days). These may be probation violators or those who apply for EM as an alternative to incarceration. These offenders live in the community while their applications are processed and approved or denied. If an application is approved, the offender continues to live in the community until an installation is scheduled. By the time a unit is finally installed, there may only be a very limited amount of time left on the offender's sentence due to the processing delay.

### ***Recommendations:***

Decreasing the processing delays described above will increase program efficiency and effectiveness:

- Identify a method of *fast tracking* out of custody applicants to decrease eligibility determination and unit installation wait time.
- Consider assigning out of custody applicants to immediate probation supervision at a cost of \$8 per day per client<sup>92</sup> versus the \$34 per day based per client<sup>93</sup> for EM program participation.
- More clearly define eligibility criteria to reduce the delays between application and installation or denial.
- Provide regular feedback, using management reports, to program staff and stakeholders on the status of the program. Feedback should include performance measures, such as processing timelines, to allow for a focus on enhanced program functioning and problem solving.
- Provide a standing forum for continuous improvement discussions.

### **Summary**

The EM program as funded under AB109 is relatively new and has been evolving since its inception. The findings and recommendations discussed above are indicative of the early stages of program implementation. The staff assigned to the program work incredibly hard to conduct program operations within the allocated resources. Time and attention paid to revisiting the program purpose, model and staffing structure will allow for a more effective use of the EM strategy and realignment funds.

### **Conclusion**

Yolo County has made a concerted effort to invest in strategies that provide services focused on the needs of AB109 offenders. These strategies were selected in an effort to enhance public safety and reduce the recidivism of these targeted offenders. Research indicates evidence of positive effect on recidivism outcomes for some of these interventions, when they are implemented in alignment with the principles of risk, need, and responsivity. In addition, there is existing cost benefit analysis that indicates that some of these interventions can also provide opportunities for cost savings/ shifting for jurisdictions. Regardless of the availability of evidence on effectiveness, there are some critical aspects missing from the implementation of these interventions. The alignment with the principles of risk, need

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<sup>92</sup> Daily costs are as indicated in the *Public Safety Realignment: Planning for FY 2013 AB 109 Implementation* presented by the Yolo County's Community Corrections Partnership, July 24, 2012, page 27.

<sup>93</sup> Daily costs are as indicated in the *Public Safety Realignment: Planning for FY 2013 AB 109 Implementation* presented by the Yolo County's Community Corrections Partnership, July 24, 2012, page 25.

and responsivity should be the primary focus of any program implementation. Services and programs provided to offenders who are assessed as low risk to recidivate represent both a poor use of public resources and present the possibility of actually increasing offender recidivism. In addition to the specific program recommendations included in this report, CJI urges the CCP and County Departments to refocus their efforts to ensure comprehensive integration of these principles in all criminal justice services, to include:

- All criminal justice involved individuals are screened and/or assessed for risk for committing new crimes, prior to any system intervention/action.
- All criminal justice involved individuals receive a criminogenic needs assessment prior to receiving any intervention/service.
- Case plans are developed based on the needs assessment information and programs and outline services to be received based on data from the needs assessment.

Integrating these principles into all criminal justice activities will support the County's desire to fund services that are cost effective and contribute to recidivism reduction.

## Appendix A

### Yolo County Criminal Justice System Interventions Detail

*Interventions for the purpose of this document are defined as any intended strategy to reduce recidivism*

Color Coding Legend	
	Lead Agency: YCPD
	Lead Agency: YCSO
	Lead Agency: YCSAMHD, Courts, Law Enforcement
	AB109 Funding

	<b>Intervention/Program Title:</b> Pretrial Supervision		
	<b>Intervention Description:</b> Supervising offenders pre-conviction. Unit is designed to allow supervision with small caseloads which allows close attention to defendant behavior. Services include reminder calls, transportation to court, home and office visits, GPS, Scram. Officers use motivational interviewing techniques, write pretrial reports, conduct reference checks, provide regular status updates to the court, and make referrals to community based services and county agencies. The unit uses the Ohio Risk Assessment System (ORAS).		
	<b>Coordinating Agency:</b> YCPD	<b>Funding Source:</b> AB109	<b>Funding History:</b> Backfill, AB109 was used to backfill BJA ARRA grant dollars, which ended. Staffing was reduced by 2 line officers (currently 6 line officers + 1 supervisor), current funding does not fund operational costs
	<b>Referrals:</b> Court	<b>Target Population:</b> Pre-conviction, medium and high risk	<b>Effectiveness Measures:</b> FTA, New Crimes
	<b>Capacity:</b> Caseloads: Marie Van Nostrand. recommended expanding release population & caseloads of 25-30:1. Currently approx. 280 pre-conviction jail inmates.		<b>Utilization:</b> Currently 18:1 (106 defendants - 6 officers) as of March 26, 2013

	<b>Intervention/Program Title:</b> Intake and Classification		
	<b>Intervention Description:</b> Booking, jail intake, and classification to determine appropriate jail housing		
	<b>Coordinating Agency:</b> YCSO	<b>Funding Source:</b>	<b>Funding History:</b> Existing
	<b>Referrals:</b> Law enforcement, Courts, Probation	<b>Target Population:</b> All inmates	<b>Effectiveness Measures:</b>
	<b>Capacity:</b>		<b>Utilization:</b>
	<b>Intervention/Program Title:</b> Correctional Health Care		
	<b>Intervention Description:</b> Screening and provision of health care services to inmates		
	<b>Coordinating Agency:</b> YCSO	<b>Funding Source:</b>	<b>Funding History:</b> Existing
	<b>Referrals:</b>	<b>Target Population:</b> All inmates	<b>Effectiveness Measures:</b>
	<b>Capacity:</b>		<b>Utilization:</b>
	<b>Intervention/Program Title:</b> Mental Health Services		
	<b>Intervention Description:</b> Mental health screening and treatment		
	<b>Coordinating Agency:</b> YCSO	<b>Funding Source:</b>	<b>Funding History:</b> Existing
	<b>Referrals:</b>	<b>Target Population:</b> All inmates	<b>Effectiveness Measures:</b>
	<b>Capacity:</b>		<b>Utilization:</b>

<b>Intervention/Program Title:</b> Jail Custody			
<b>Intervention Description:</b> Detention/housing within the jail			
<b>Coordinating Agency:</b> YCSO		<b>Funding Source:</b> Existing + AB109	<b>Funding History:</b> AB109 provided the following: <ul style="list-style-type: none"> <li>• opportunity to reopen 30 beds, funding 8 corrections officers + 4 deputy 1</li> <li>• backfill for 75 beds at Leinberger, funding 8 corrections officers (backfill), 2 new corrections records specialists (data collection), 50k contract with Northern CA Construction Training (skill building)</li> </ul>
<b>Referrals:</b>		<b>Target Population:</b> AB109	<b>Effectiveness Measures:</b> Assault (I-S, I-I)
<b>Capacity:</b> General: 30 beds Leinberger: 75 beds		<b>Utilization:</b> General: 30 beds Total ADP 455	
<b>Intervention/Program Title:</b> In Custody Treatment and Services			
<b>Intervention Description:</b> religious, education (GED), domestic violence, anger management, parenting, alcohol and drug treatment, trade skills (cooking, woodworking, landscaping) and trauma (females)			
<b>Coordinating Agency:</b> YCSO		<b>Funding Source:</b>	<b>Funding History:</b> Existing
<b>Referrals:</b>		<b>Target Population:</b>	<b>Effectiveness Measures:</b>
<b>Capacity:</b>		<b>Utilization:</b>	

	<b>Intervention/Program Title:</b> Electronic Monitoring		
	<b>Intervention Description:</b> GPS tracking and surveillance level case management (patrol)		
	<b>Coordinating Agency:</b> YCSO	<b>Funding Source:</b> AB109, existing	<b>Funding History:</b> AB109 expanded services slots from 30 to 100. AB109 currently funds 5 deputies
	<b>Referrals:</b> Inmate self referral, YCSO	<b>Target Population:</b> Sentenced county and state inmates, county residents only	<b>Effectiveness Measures:</b> Rebooking data
	<b>Capacity:</b> 30 original + 70 AB109 = 100 slots		<b>Utilization:</b> 39 (March 26, 2013)
	<b>Intervention/Program Title:</b> Home Detention		
	<b>Intervention Description:</b> Telephone technology tracking and surveillance level case management (patrol)		
	<b>Coordinating Agency:</b> YCSO	<b>Funding Source:</b>	<b>Funding History:</b> Existing
	<b>Referrals:</b> Inmate self referral, YCSO	<b>Target Population:</b> Sentenced county and state inmates, county residents only	<b>Effectiveness Measures:</b> Rebooking data
	<b>Capacity:</b>		<b>Utilization:</b>



	<b>Intervention/Program Title:</b> Sober Living		
	<b>Intervention Description:</b> Drug free transitional housing, includes drug testing, electronic monitoring, outpatient substance abuse treatment, building manager check-in, meals, vouchers (clothing, transportations)		
	<b>Coordinating Agency:</b> YCSO	<b>Funding Source:</b> AB109	<b>Funding History:</b>
	<b>Referrals:</b> YCSO screening	<b>Target Population:</b> In custody, releasable, need housing, EM enrolled	<b>Effectiveness Measures:</b>
	<b>Capacity:</b> 9 beds (4 female, 4 male), \$810/person/month (\$27/day)		<b>Utilization:</b> 4 residents w/waiting list
	<b>Intervention/Program Title:</b> Alternative Housing		
	<b>Intervention Description:</b>		
	<b>Coordinating Agency:</b> YCSO	<b>Funding Source:</b>	<b>Funding History:</b> Existing
	<b>Referrals:</b> YCSO screening	<b>Target Population:</b> In custody, releasable, need housing, EM enrolled	<b>Effectiveness Measures:</b>
	<b>Capacity:</b>		<b>Utilization:</b>

	<b>Intervention/Program Title:</b> Jail Discharge Planning		
	<b>Intervention Description:</b> Planning for discharge and connection with reentry resources (VA, parole, probation, housing, mental health)		
	<b>Coordinating Agency:</b> YCSO	<b>Funding Source:</b>	<b>Funding History:</b> Existing
	<b>Referrals:</b> YCSO	<b>Target Population:</b> Inmates preparing for discharge	<b>Effectiveness Measures:</b>
	<b>Capacity:</b>		<b>Utilization:</b>
	<b>Intervention/Program Title:</b> Day Reporting Center (in custody and out of custody)		
	<b>Intervention Description:</b> Day reporting center for in custody jail inmates and out of custody probation clients. Services provided by Communicare		
	<b>Coordinating Agency:</b> YCSO & YCPD	<b>Funding Source:</b> AB 109, \$600k annually	<b>Funding History:</b> NA
	<b>Referrals:</b> YCSO & YCPD	<b>Target Population:</b> in-custody transitioning inmates, ideally high risk, probation clients (high risk)	<b>Effectiveness Measures:</b>
	<b>Capacity:</b> 50 in custody + 75 out of custody = 125 total		<b>Utilization:</b> 25-30 (March 26, 2013). Program is still in startup mode (in custody start date was January 2013, out of custody start date was March 2013)

	<b>Intervention/Program Title:</b> Treatment		
	<b>Intervention Description:</b> Treatment contracts with community-based providers, including shared case management, cognitive based therapy, continuum from jail to the community, independent living, Thinking for Change, and peripheral supports (transportation, clothing, etc).		
	<b>Coordinating Agency:</b> YCPD	<b>Funding Source:</b> AB109	<b>Funding History:</b> New/expanded with AB109
	<b>Referrals:</b> YCPD	<b>Target Population:</b> High risk offenders	<b>Effectiveness Measures:</b>
	<b>Capacity:</b>		<b>Utilization:</b>
	<b>Intervention/Program Title:</b> Presentence Investigation		
	<b>Intervention Description:</b> Risk assessment (using Static Risk Assessment of the STRONG instrument), compiling of presentence investigation report and recommendations for the court		
	<b>Coordinating Agency:</b> YCPD	<b>Funding Source:</b>	<b>Funding History:</b> Existing
	<b>Referrals:</b>	<b>Target Population:</b> Convicted, presentence	<b>Effectiveness Measures:</b>
	<b>Capacity:</b>		<b>Utilization:</b>
	<b>Intervention/Program Title:</b> Probation Supervision: Assignment		
	<b>Intervention Description:</b> Offenders are assigned to supervision level based on assessment (high risk: probation officer, medium risk: phone reporting, low risk: case bank)		
	<b>Coordinating Agency:</b> YCPD	<b>Funding Source:</b>	<b>Funding History:</b> Existing
	<b>Referrals:</b> Courts	<b>Target Population:</b>	<b>Effectiveness Measures:</b>
	<b>Capacity:</b>		<b>Utilization:</b>

	<b>Intervention/Program Title:</b> Probation Supervision: offender need assessment		
	<b>Intervention Description:</b> Probation Supervision of high risk offenders includes conducting assessment of offender criminogenic needs using the Offender Need Guide of the STRONG Instrument		
	<b>Coordinating Agency:</b> YCPD	<b>Funding Source:</b>	<b>Funding History:</b> Existing
	<b>Referrals:</b> Assignment	<b>Target Population:</b> High risk offenders	<b>Effectiveness Measures:</b> % of offenders that commit new crimes
	<b>Capacity:</b>		<b>Utilization:</b>
	<b>Intervention/Program Title:</b> Probation Supervision: Community Corrections Case Management		
	<b>Intervention Description:</b> Probation Supervision of high risk offenders including, case planning and case management techniques, including drug testing, response matrix, referrals to community based services and county agencies, reduce barriers to referrals (cell phones, clothing, transportation), use of motivational interviewing techniques, surveillance, home and office visits		
	<b>Coordinating Agency:</b> YCPD	<b>Funding Source:</b> AB109	<b>Funding History:</b> Expanded services with AB109, added 14 new positions, reduced case loads from 300:1 to 50:1, added new West Sacramento Office
	<b>Referrals:</b> Assignment	<b>Target Population:</b> High risk offenders	<b>Effectiveness Measures:</b> % of offenders that commit new crimes
	<b>Capacity:</b> AB109 added 14 officers, caseload of 50:1		<b>Utilization:</b>
	<b>Intervention/Program Title:</b> Probation Supervision: Specialized Caseloads		
	<b>Intervention Description:</b> Specialized caseload supervision, including domestic violence, sex offenders, and stalking		
	<b>Coordinating Agency:</b> YCPD	<b>Funding Source:</b>	<b>Funding History:</b> Existing
	<b>Referrals:</b>	<b>Target Population:</b>	<b>Effectiveness Measures:</b>
	<b>Capacity:</b>		<b>Utilization:</b>

	<b>Intervention/Program Title:</b> Specialty Courts		
	<b>Intervention Description:</b> Specialty Courts include drug court and mental health court		
	<b>Coordinating Agency:</b> Courts, YCPD	<b>Funding Source:</b>	<b>Funding History:</b> Existing
	<b>Referrals:</b>	<b>Target Population:</b>	<b>Effectiveness Measures:</b>
	<b>Capacity:</b>		<b>Utilization:</b>
	<b>Intervention/Program Title:</b> OSARP: Outpatient Substance Abuse Referral Program (Communicare)		
	<b>Intervention Description:</b> Outpatient Substance Abuse Referral Program provided through a contract with Communicare, outpatient substance abuse treatment and mental health case management		
	<b>Coordinating Agency:</b> YCPD	<b>Funding Source:</b> Medical, AB109, self-pay, grants	<b>Funding History:</b> Service contract funded with AB109, Cost=3k/offender participation in 4 phase/6 month program
	<b>Referrals:</b> Self referral, probation, County mental health, court, DSS	<b>Target Population:</b> High risk probationers with identified substance abuse need	<b>Effectiveness Measures:</b>
	<b>Capacity:</b> 85: Woodland, 85 West Sacramento, 20-25 perinatal		<b>Utilization:</b> 60-70 individuals/site
	<b>Intervention/Program Title:</b> Community Based Services Referral Clearinghouse		
	<b>Intervention Description:</b> Electronic database of community based services available to Yolo county offenders		
	<b>Coordinating Agency:</b> YCPD	<b>Funding Source:</b>	<b>Funding History:</b> Existing
	<b>Referrals:</b>	<b>Target Population:</b>	<b>Effectiveness Measures:</b>
	<b>Capacity:</b>		<b>Utilization:</b>

	<b>Intervention/Program Title:</b> County Provided Services		
	<b>Intervention Description:</b> Services accessible to probationers that are provided by county agencies, including medication management, case management, mental health wellness center, individual therapy (limited), mental health services transitional housing, mental health residential treatment (contracted), crisis assessment and intervention		
	<b>Coordinating Agency:</b> YCADMHS	<b>Funding Source:</b>	<b>Funding History:</b>
	<b>Referrals:</b>	<b>Target Population:</b>	<b>Effectiveness Measures:</b>
	<b>Capacity:</b>		<b>Utilization:</b>
	<b>Intervention/Program Title:</b> Law enforcement services targeted to probation offenders		
	<b>Intervention Description:</b> <ul style="list-style-type: none"> <li>• Crisis intervention training for law enforcement officers (provided by mental health providers)</li> <li>• The Policing Project is funded through technical assistance from University of Cincinnati and focuses on evidence-based policing, including information sharing and surveillance targeted to high risk individuals and crime <i>hot spots</i></li> <li>• AB109 funded specific strategies in Winters (10k for overtime), Davis &amp; West Sacramento (\$260k to be split between the agencies based on a pending formula)</li> </ul>		
	<b>Coordinating Agency:</b> Law Enforcement Agencies	<b>Funding Source:</b> Expanded with AB109	<b>Funding History:</b> AB109 has funded expansion services targeted to related workload increase (not fully funded)
	<b>Referrals:</b> YCPD	<b>Target Population:</b> AB109 Offenders	<b>Effectiveness Measures:</b> Collecting data regarding contacts with AB109 offenders
	<b>Capacity:</b>		<b>Utilization:</b>

		<b>Intervention/Program Title:</b> District Attorney's Office and Public Defender's Office			
		<b>Intervention Description:</b> DA & PD workload expansion related to AB109 offenders, including victim services, training on AB109 laws, PRCS violations hearings, and new crimes committed by AB109 offenders (in jail and in the community)			
		<b>Coordinating Agency:</b> DA and PD Offices	<b>Funding Source:</b> AB109	<b>Funding History:</b> 120k in AB109 funding for workload expansion and backfill from grant loss and budget cuts	
		<b>Referrals:</b> Law Enforcement, Courts	<b>Target Population:</b> AB109 Offenders	<b>Effectiveness Measures:</b>	
		<b>Capacity:</b>		<b>Utilization:</b>	
		<b>Intervention/Program Title:</b> AB109 Long Term Planning			
		<b>Intervention Description:</b> <ul style="list-style-type: none"> <li>Funding for data analysis (Kevin OConnell), collaborative planning, data collection, and quality assurance (CPC)</li> <li>Funds development of data dashboard, which provides a monthly snapshot report for CCP and County Board. Data includes geographic information and crime trends</li> </ul>			
		<b>Coordinating Agency:</b> YCPD	<b>Funding Source:</b> AB109	<b>Funding History:</b> New with AB109	
		<b>Referrals:</b>	<b>Target Population:</b> NA	<b>Effectiveness Measures:</b> Data Dashboard/regular reporting	
		<b>Capacity:</b>		<b>Utilization:</b>	

## Appendix B

### Community Corrections Case Management

#### Interview Questions

##### General Information

- What are the goals and objectives of Community Corrections Case Management (CCCM)?
- What training do Probation Officers receive in case management (e.g., assessment, case planning, programming, supervision, recidivism reduction, etc.)?
- How many offenders are currently on probation by type of caseload?
- What are the variations in service among caseloads (e.g., banked, telephone and supervision)?
- How many offenders are currently supervised by risk level?
- What is the average caseload size per probationer officer?

##### Eligibility/Placement

- What is the process for placing an individual on the various caseloads (e.g., banked, telephone, supervision)?
  - Are there specific eligibility and exclusion criteria for each?
- Are offenders assessed using a validated risk and needs assessment tool?
- What is the instrument(s) used and when are they applied?

##### Supervision

- What are the required terms and conditions of probation?
- How often are probationers required to meet face-to-face with their probationer officer and what other type of contacts are required?
- What process, if any, is currently in place for developing case plans and how they are used in the case management process?
- How do probation officers ensure offenders are compliant with their conditions of supervision?
- Are incentives and/or sanctions used to support behavior change/ compliance with conditions?
- Who receives the information about individual progress on probation and what is done with the information?
- What is the criteria for offenders to complete probation?

##### Interventions

- What intervention services are available to offenders on probation (e.g. Behavioral Health Services, Cognitive Behavioral Interventions, Independent Living, and Employment Training)?
- How do offenders access available intervention services?
- Please explain how Probation outreaches with community services and programs to ensure that clients are receiving treatment.
- How is the quality of intervention services assessed?

##### Data/Quality Assurance

- What performance measures are tracked and reported?



- Since the inception of AB109 in October 2011:
  - How many offenders have been placed under supervision?
    - Of those placed, what is the breakdown by risk level?
    - Of those placed, how many were supervisor risk assessment overrides?
    - Of those placed, how many have discharged?
    - Of discharges, number of successful discharges, revocations, and/or discharges to a new sentence?
  - What is the average length of supervision?
- Since the inception of AB 109 in October 2011, how many referrals have been made?
  - Of the referrals made, what is a breakdown of the referral types?
  - What, if any, data is available to determine what happened with the referrals (e.g., did the offender make it to and/or complete the intervention)?

### **Documents/Data Reviewed**

- Post Order: Case Management for High Risk Community Corrections Adult Populations
- Probation Standard Terms and Conditions
- Dashboard data spreadsheet
- AB109 tracking spreadsheet
- CPOC realignment reporting spreadsheet
- DOJ probation survey spreadsheet
- SB678 reporting spreadsheet
- Referral tracking spreadsheet

## **Pretrial Program**

### **Interview Questions**

#### General Information

- What are the goals and objectives of the Pretrial Services Program (PSP)?
- What type of training has staff received?
- How many current pretrial services staff are there by position?
- How many defendants are currently supervised on pretrial, by risk level?
- What is the average pretrial caseload size per probationer officer?

#### Screening /Eligibility/Release

- What are the options for pretrial release in Yolo County (e.g., OR, Bail, PSP)?
- What is the process for releasing a defendant pretrial?
- How is eligibility for pretrial release determined?
  - Are there specific eligibility and exclusion criteria?
- Are defendants assessed using a validated risk and needs assessment tool?
  - Does this apply to all or what portion of defendants?
- What officials have the authority, and in what situation, to release a defendant on pretrial release?
- Is there a pretrial interview or investigation?
  - If yes, when does this occur and who does it?

- What is the process for placing an individual on the various options for pretrial release?

#### Supervision and Monitoring

- What typically happens once a defendant has been granted each form of pretrial release (e.g., OR, supervised OR, bail)?
- What is the risk level of those on each form of pretrial release?
- How do officers ensure that clients are compliant with their conditions of release?
- What are the required terms and conditions of pretrial release?
- How often are defendants on PSP required to meet face-to-face with their probationer officer and what other type of contacts are required?
- What process, if any, is currently in place for developing case plans and how they are used in the case management process?
- How do probation officers ensure defendants are compliant with their conditions of release?
- Are incentives and/or sanctions used to support behavior change/ compliance with conditions?
- Who receives the information about individual progress on those released pretrial and what is done with the information?
- What are the criteria for defendants to complete PSP?

#### Interventions

- What type of referral and resource information to community-based service is provided to defendants (e.g. substance abuse treatment)?
- How do defendants access community-based services?
- Please explain how Pretrial outreaches with community services and programs to ensure that clients are receiving treatment.

#### Data/Quality Assurance

- What performance measures are tracked and reported?
- Pretrial Processing from October 2011 to date
  - # of bookings
  - # of defendants eligible for pretrial release
  - # defendants assessed
  - # not interviewed and why they were not assessed
  - # recommended for release, by type of release recommendation and risk level
  - # not recommended for release, by reasons why they were not recommended and risk level
  - # of defendants released, by release type and risk level
  - # of defendants under pretrial supervision, by risk level
- Pretrial Outcomes from October 2011 to date
  - # of pretrial releases, by type of release and risk level
  - # of failure to appear, by type of release and risk level
  - # of re-arrest, by type of release and risk level
  - # of technical violations, by type of release and risk level
- Services from October 2011 to date
  - # of program referrals, by service type and risk level
  - # of successful completions, by service type and risk level

## **Documents/Data Reviewed**

- Pretrial Program Summary Report
- Pretrial Program Background
- Cal RAPP Decision Points
- Pretrial Unit Case Closure Flowchart
- Pretrial Services Unit, Marlon Taber, Interim Chief Probation Officer Testimony
- Pretrial Unit Assessment Findings and Recommendations provided by Marie VanNostrand, Ph.D., Luminosity, Inc.
- Bryne Grant Data
- Bonaparte Napoleon PSI

## **Electronic Monitoring**

### **Interview Questions**

#### General Information

- Please define Electronic Monitoring (EM).
- What are the goals and objectives of the Electronic Monitoring (EM) program?
- Are there policies and procedures in place specific to EM?
- What type of training has staff received for EM?
- How many Yolo County Sheriff's Office (YCSO) staff work on the EM program by position?
- How many offenders are currently on EM?
- What is the average EM caseload size per officer?

#### Screening/Eligibility/Placement

- What is the process for placing someone on EM?
- How is eligibility for EM determined?
  - Is there specific eligibility and exclusion criteria?
- Are EM candidates assessed using a validated risk and/or needs assessment tool?
- What officials have the authority, and in what situation, to release a defendant on EM?

#### Supervision and Monitoring

- How are individuals on EM monitored?
- What systems, if any, are in place to track and report on the status of individuals on EM?
- How frequently are contacts made with those on EM?
- What typically happens once individuals are placed on EM?
- If an assessment is used, what is the risk level of those on EM?
- What are the required terms and conditions of EM?
- How do officers ensure that clients are compliant with their EM conditions?
- How does the YCSO respond to non-compliance?
- How often are those on EM required to meet face-to-face with their officer and what other type of contacts are required?
- What process, if any, is currently in place for developing case plans and how they are used in the case management process?

- Who receives the information about individual progress on EM and what is done with the information?
- What are the criteria for offenders to complete EM?

#### Data/Quality Assurance

- What performance measures are tracked and reported?
- Since the inception of AB 109 in October 2011:
  - How many inmates have been eligible for EM?
  - Of those eligible, how many were placed on EM?
  - Of those placed, how many have discharged EM?
  - Of discharges, number of successful and unsuccessful discharges?
- What is the average length of supervision on EM?

#### Equipment

- Is the County leasing or purchasing the equipment used in the EM program?
- What is the cost of leasing or purchasing?
- Does the offender on EM pay for the cost?
- What are the terms of the contract with the provider?
- What are the recovery/replacement costs if an offender absconds with or destroys the equipment?
- Is there a process in place to charge the offender with the cost of the equipment if damages of cut?

#### **Documents/Data Reviewed**

- EM reports: status reports, closed files, program installs, and program denials
- Home Custody Electronic Surveillance Program Policy
- Post Orders: Night & Day Shift Leinberger Control Office
- Sheriff's Office Department Rulebook
- HC GPS Alert Procedures
- Exacutrack Service Agreement
- Electronic Surveillance Application Requirements

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  - Teri Huerta, Supervising Probation Officer
  - Renee Carter, Senior Deputy Probation Officer
  - Cory Johnson, Deputy Probation Officer II
  - Silvia Diaz, Deputy Probation Officer II
  - Sean Schaer, Deputy Probation Officer II
- Probation Department-Pretrial Program

- Danin Fruchtenicht, Supervising Probation Officer
  - Alexandra Loris, Deputy Probation Officer II
  - Sam Perri, Deputy Probation Officer II
- Sheriff's Department-Electronic Monitoring
  - Sergeant Robin Malugani
  - Amber Snyder, Correctional Officer II
  - Pattie Silva, Sheriff Services Technician