

Local Evaluation Plan (2019-2023)

Santa Cruz County

Project Background

Overview of CAFES (Prop 47 Grant Program)

From 2019 to 2023, the CAFES project will fund an array of diversion and re-entry services to prevent unnecessary engagement in the justice system, and reduce recidivism for those already system involved, while improving the health and well-being of adults who have committed low level crimes (non-strikes).

Led by the Santa Cruz County Probation Department, the project is based on a multi-agency continuum of care model that includes the Santa Cruz County Superior Court, the District Attorney's Office, County Behavioral Health, and multiple community-based organizations (CBOs). The project model is designed to address specific gaps in services available to people who are first-time offenders or are ineligible for county behavioral health services and who are not eligible for funding through AB 109.

Since going into effect in 2011, AB 109 has provided funding for local supervision and rehabilitative services specifically for adults released from state prison for non-serious, non-violent, and non-sex offense felony convictions, or those sentenced to serve their prison sentence in the local jail. Left unaddressed are the needs of adults who do not meet the criteria as part of a specialty population to address the root causes behind their recent offenses. CAFES fills this gap by addressing the needs of low level and often first-time offenders through a combination of restorative justice practices, diversion programs, and expanding existing re-entry services linking clients to appropriate resources early in the adjudicative process (and prior to a prison sentence). Such services will primarily address clients' mental health, substance use, housing, and employment needs.

Ultimately, the goal of CAFES is to reduce the number people who enter the justice system by providing necessary treatment and support *before* they have committed a serious offense rather than *after*. By dedicating upstream support early in the judicial process, CAFES intends to reduce the likelihood of further downstream engagement in the justice system.

The project intends to serve 450 individuals annually over the four-year grant period, with a focus on low-level offenders and underserved criminal justice-involved adults with mental health (MH) or substance use disorders (SUD) who do not qualify for specialized services. CAFES clients will be referred to the project by attorneys, judges, probation staff, collaborative court staff, local CBOs, and by self-referral. Clients will be eligible to participate in restorative justice programs, receive mental health treatment, substance use treatment, case management, and housing support based on established criteria and assessed need.

Project Roles and Services

The CAFES project will support clients by funding a continuum of diversion and reentry services tailored to their individual MH, SUD, and other basic needs.

- 1) The County HSA Behavioral Health Division will provide a **court clinician** to provide early assessment and linkages to MH/SUD services. Beginning at their arraignment, the clinician will provide in-court behavioral health and SUD screenings when possible, recommend treatment options and determine eligibility for participation in appropriate collaborative courts (e.g.,

Behavioral Health Court, PACT Court, Veterans Court). This is expected to reduce the time individuals spend in jail while waiting for assessments and treatment options.

- 2) A **center program manager** (Assistant Division Director) and **center case manager** (Group Supervisor) at the Probation Service Center will offer a point of entry into CAFES and will assist clients with overall system navigation.
- 3) A **Collaborative Courts program manager** and **collaborative courts case manager** will serve as an additional point of entry and provide navigation support for clients.
- 4) A **restorative justice coordinator** at the Conflict Resolution Center of Santa Cruz County (CRC) will partner with the District Attorney's Office to launch the Neighborhood Courts (NC) program. An alternative to a traditional criminal court, the Neighborhood Court is ideally a pre-filing diversion program for low-level offenders and to identify services and diversion opportunities for CAFES clients (though may include some post-filing yet pre-conviction cases). The court follows the principles and practices of restorative justice to address and repair harms related to the low-level offenses.
- 5) Two **discharge planners/housing navigators** (Transition Coordinators) at Encompass Community Services will support clients in their transition from custody to treatment and will help them locate stable housing.
- 6) **Two clinicians** and an **employment specialist** at New Life Community Services, a drug and alcohol treatment center, will enhance existing services to support case plan development, case management, individual and group therapy, transitional housing and employment navigation. New Life will increase their local bed capacity from 20% to 70% to accommodate CAFES clients referred to the center.
- 7) Three **peer navigators** at Sobriety Works will support clients in early engagement and linkage to services.
- 8) Other local MH/SUD providers to be selected will provide sober living environments (SLEs) and treatment funded by CAFES.
- 9) Two **community trainers** at Encompass Community Services will train local CBOs, and criminal justice partners, in a range of Evidence Based competencies / topics, such as trauma-informed care; cultural responsiveness; crisis intervention; the risk-need-responsivity model (RNR); and criminal thinking, behavior and intervention (CTBI).

In addition to these services, the Prop 47 Local Advisory Committee (The Community Corrections Partnership) will provide oversight to the CAFES project utilizing workgroups for evaluation oversight and to increase community involvement and project accountability.

The combination of these efforts is intended to create long-term and system-wide changes in how adults with mental health and substance use needs who commit low level offenses are treated when they interact with the criminal justice system. The first change will be to emphasize prevention by expanding diversion opportunities to address root causes, early intervention, and accelerated services. The second change will be to establish an organized continuum of care centered on a hub or "one stop" model (rather than a fragmented set of services), and the third change will be to shift the system's attention from punishment toward a focus on community health and well-being including victim/survivor reparation.

Goals & Objectives

The goals and objectives detailed below are drawn from the workplan submitted with the CAFES proposal and approved by BSCC.

Goal 1. Increase Diversion Opportunities

Increase diversion opportunities to minimize entry into the criminal justice system for low level crimes related to clients' substance use disorders and mental health needs.

Obj. 1.1. Create diversion pathways pre-conviction and/or pre-filing that redirect low level individuals to appropriate treatment interventions and community resources.

Activities:

1. *Create eligibility criteria:* District Attorney's Office to create eligibility criteria for potential Neighborhood Court Model opportunities.
2. *Train RJ/NC system partners.*
3. *Establish RJ/NC referral and follow-up procedures.*

Obj. 1.2. Implement restorative justice practices to support offender behavior change and repair harm to survivors of crime (i.e., Neighborhood Courts).

Activities:

1. *Recruit volunteers for Neighborhood Court.*
2. *Train volunteers.*
3. *Locate NC sites.*
4. *Support clients to complete NC or diversion requirements.*
5. *Provide restitution & reparation to crime survivors and/or community (as appropriate).*

Goal 2. Reduce Recidivism and Improve Individual and Community Health and Wellbeing.

Obj. 2.1. Divert underserved criminal justice involved individuals with MH/SUD from further system involvement.

Activities:

1. *Provide court-based screening and assessment to determine placement in collaborative court or RJ program.*
2. *Initiate RJ programming.*

Obj. 2.2. Improve life outcomes for underserved criminal justice involved individuals with MH/SUD and the survivors of their crimes.

Activities:

1. *Provide screening and assessment for MH/SUD, housing and employment needs.*
2. *Discharge planning for clients.*
3. *Provide treatment:* culturally responsive, trauma informed, client centered, comprehensive treatments and services.
4. *Place clients in sober living environments.*
5. *Provide peer support to clients.*

Goal 3. Improve Existing Systems and Collaboration Efforts for Those in Criminal Justice System.

Obj. 3.1. Build the capacity of a multidisciplinary system that addresses the needs of underserved criminal justice involved individuals with MH/SUD.

Activities:

1. *Execute partner CBO contracts.*
2. *Recruit & hire staff.*
3. *Recruit additional Advisory Committee members:* Recruit members and set up work groups to implement data-based decision making.
4. *Launch community trainings.*
5. *Finalize local evaluation plan, begin data collection, analyze & disseminate findings.*

Criteria for Participant Eligibility

CAFES was launched to close a gap in diversion opportunities for Santa Cruz County adults who are first-time offenders with little or no criminal history and who need mental health, substance use and other related services that had been inaccessible prior to Prop 47. Eligibility for CAFES services shall be based on the criminal history, mental health and substance use needs, and severity of recent offenses of people arrested or cited for various low-level offenses.

Eligibility for Neighborhood Court (*proposed criteria -- subject to change during implementation*)

The Neighborhood Court shall serve adults who meet the following criteria:

1. Have been cited or arrested for a low level, nonviolent offense. Initial eligible offenses may include theft, shoplifting, vandalism, trespassing, disorderly conduct, misdemeanor battery or assault, drug possession, drug paraphernalia, receipt of stolen property, possession of burglary tools, drunk in public.
2. Have no criminal history (applies to early period of NC). In later years, the NC will expand to include those with a limited crime record and no prior “strikes.”
3. Agree to take responsibility for the incident.
4. Are willing to pay restitution, if warranted.

Eligibility for Other CAFES-Linked Services

Adults will be eligible for CAFES services if they meet the following criteria:

1. Have been cited or arrested for a low level (nonviolent) offense and referred to Neighborhood Court or eligible for Mental Health Diversion (pursuant to AB 1810).
2. Are eligible for any collaborative court, and not eligible for services via AB 109 funds.
3. Are currently under supervision / monitoring by the Probation Department (pretrial or formal probation) and have an identified SUD / MH need.

Evaluation Methods & Design

Key Evaluation Questions

ASR’s evaluation seeks to answer the following overarching questions related to the design, implementation, and outcomes of the CAFES project.

Design & Implementation: What has the CAFES project done?

- 1) When and to what degree did program services launch (e.g., new staff hired, protocols and policies created, programs begun)? What circumstances have limited or slowed implementation, if any?
- 2) How many people have been deemed eligible for CAFES and referred to CAFES-funded services? What are their distinguishing characteristics? (e.g., arrest records, pre-filing/pre-conviction, MH and SUD needs, housing and employment status)
- 3) How has the process of identification, screening, assessment and diversion changed for this client population (in comparison to what was in place before this project)?
- 4) How many clients have participated in each of the services or treatment funded through CAFES? (e.g., restorative justice services, mental health and substance use treatment, case management)
- 5) What kinds of collaboration or partnerships have occurred through CAFES, and how have they contributed to its implementation?

- 6) What amount and types of training have been implemented by Encompass's two community trainers?
- 7) What new or altered policies have been implemented across the county in connection with CAFES?

Outcomes: How effective was CAFES in achieving its goals?

- 1) What percentage of clients (a) completed their court-ordered diversion terms and (b) achieved the goals set with their case manager?
- 2) What changes have occurred for clients in terms of housing, employment, mental health, substance use and other basic needs by the end of their CAFES services?
- 3) How satisfied are clients with the diversion pathway and services they have received?
- 4) What are the key justice-related outcomes among clients after joining CAFES: arrests, incarceration, other violations?
- 5) What has been the impact of CAFES-funded collaboration and training efforts for staff across the county?
- 6) Did the project contribute to better outcomes than might have been expected without it?

Design and Evaluation Services

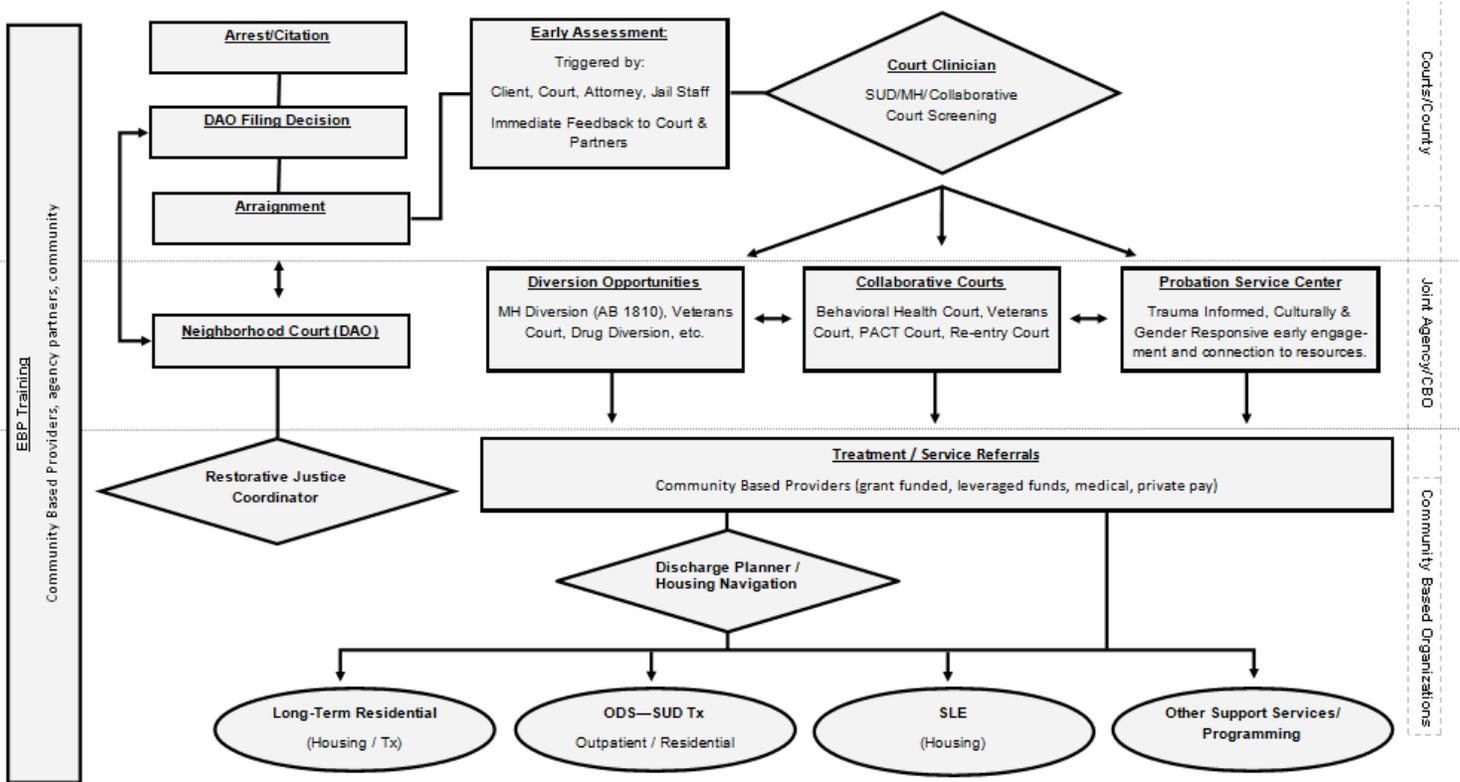
Creation of a Client Data Collection System

To answer the evaluation questions listed above, ASR is currently working with Probation and other primary stakeholders to develop a data collection system to record CAFES-funded services, activities and outcomes. ASR will analyze data and report progress in implementation and outcomes throughout the program period.

In the first few months of the project, ASR will create documentation to establish the methodology behind each measure, along with its source and the office or entity responsible for collecting and transmitting the data. All clients will be required to sign a release of information (ROI) when they agree to join CAFES. Each client will be assigned a unique Participant ID in accordance with BSCC guidelines.

Client data will be entered by service providers into a Program / Provider Portal or other approved format that includes all required BSCC measures and custom measures detailed in this plan. All client enrollments in CAFES will be tracked in a centralized database, to be administered by Probation; and designed to generate report files that integrate client-level data which can be exported and used for detailed data analysis as well as quarterly files to be submitted to the BSCC. CAFES client data will be captured at each step of the client's pathway.

Figure 1. CAFES Client Case Flow



ASR will review the program materials and assessments used for each element of CAFES as shown in Figure 1 (above) to determine what additional assessments or surveys may be needed. ASR will conduct a literature review to identify any best practices and additional validated assessments to ensure appropriate intake and ongoing assessment data may be collected at each stage of a client’s pathway.

The client implementation and outcome data will be used to conduct analyses to determine the overall success of CAFES in routing clients to appropriate services and preventing clients from recidivating (see Outcomes Analysis section).

Focus Groups & Interviews

In addition to the quantitative data collected from case management records, assessments and surveys, ASR will conduct a series of focus groups and interviews periodically during the project. Initially, these focus groups and interviews will document the baseline status of coordination, referrals, and treatment options for the intended population. They will also seek to understand the most common barriers to successful coordination and access to treatment and solicit recommendations for how stakeholders within the system believe the CAFES project can reduce those barriers. In later years, ASR will conduct focus groups and interviews to explore, evaluate and document the impact of the initiative.

CBO Training Surveys

ASR, Probation and Encompass will review the content of all trainings planned for partner CBOs before developing pre- and post-training assessment. Where possible, validated survey instruments will be used to assess changes in knowledge, attitudes and beliefs resulting from the trainings.

Data Dashboards & Reports

Every 3-6 months, ASR will collect and report on the progress of CAFES implementation and outcomes via dashboard reports on key measures and summary reports of focus group and interview findings. The precise schedule for these reports will be set in coordination with other key CAFES events and deadlines, such as mandated quarterly reports to BSCC, periodic Prop 47 Advisory Committee meetings and the required BSCC interim and final evaluation reports.

An interim two-year evaluation report will be completed and submitted to BSCC in August 2021, and a final evaluation report will be completed by May 2023.

Process & Outcome Measures

ASR will collect and report on the following process measures to answer the key evaluation questions related to CAFES implementation.

In early 2020, ASR and Probation staff will create a data dictionary to operationalize each process and outcome measure listed below. This information will include the population to which each measure applies, the precise criteria for milestones such as “referral,” “completion” and “recidivate.”

PROCESS MEASURE	SOURCE
CAFES system referral and enrollment procedures established	
1. Neighborhood Courts process established	DAO/CRC
2. Number of NC volunteers and sites	DAO/CRC
3. Number of NC volunteers trained	DAO/CRC
4. Other CBO processes in place for CAFES clients	All CAFES partner CBOs
5. Number of people referred to CAFES, by <ul style="list-style-type: none"> - Referral source - Eligible offense - MH needs - SUD Need - Criminal history - Demographics (age, gender, race) 	DAO, Collaborative Courts (CC), Probation
6. Number of clients screened & assessed (by assessor, by MH & SUDS assessment/screening)	CC, Probation, service/treatment providers
Referrals and Entry in Programs/Services	
7. Number of clients assigned court diversion	DAO, CC, HSA
8. Number referred to and entered Neighborhood Courts	NC/DAO
9. Number referred to Collaborative Courts (by court type)	CC
10. Number served by the Probation Service Center	Probation
11. Number receiving case management & support services (e.g., employment, housing, civil/legal, education, food)	Probation, CBOs

12. Number referred and enrolled in MH treatment	CBOs (e.g., Encompass, New Life)
13. Days enrolled in MH treatment (residential & outpatient)	CBOs (e.g., Encompass, New Life)
14. Number referred and enrolled in SUDS treatment	CBOs (e.g., Encompass, New Life)
15. Days enrolled in SUDS treatment (residential & outpatient)	CBOs (e.g., Encompass, New Life)
16. Number receiving peer support; average duration of support.	CBOs
17. Average time between system processing points	DAO, CC, Probation, CBOs

Community/CBO Trainings

1. Number of trainings, by type	Encompass
2. Number of clients in trainings	Encompass

OUTCOME MEASURE	SOURCE
Short Term	
1. Percentage who successfully completed Neighborhood Court.	DAO/CRC
2. Percentage who completed court-ordered diversion requirements.	CC
3. Percentage who completed MH treatment. (local definition to be established in CAFES data dictionary, early 2020)	CBOs: MH service providers
4. Percentage who completed SUD treatment. (local definition to be established in CAFES data dictionary, early 2020)	CBOs: SUD service providers
5. Percentage with improved housing status. (Based on housing hierarchy: unhoused, shelter, residential treatment, SLE/Transitional housing, permanent housing)	CBOs: case managers
6. Change in employment status (Percentage who maintained or acquired new jobs)	CBOs: case managers
7. Changes in access to benefits, e.g., Medi-Cal, income assistance SSI, housing vouchers.	CBOs: case managers
8. Jail bed days: fewer days six months after joining CAFES than six months prior.	Sheriff's Office
9. CBO Trainings: Improvements in knowledge, skills, beliefs of participants.	Encompass
Long Term	

10. Reduction in Recidivism: Percentage of clients who re-offend after joining CAFES (using local and BSCC definitions).

Indicators:

- a) Reduced arrests & citations
- b) Reduced misdemeanor bookings & convictions
- c) Reduced felony bookings & convictions
- d) Reduced local & state prison sentences

Sheriff's Office, District Attorney, Superior Court

11. Overall reduction in adults with assessed MH/SUDS needs entering criminal justice system.

CC, HSA, DAO

12. Improved capacity of CBO partners to address MH and SUD needs of criminal justice involved clients.

CBOs (focus groups, interviews)

13. Policy shifts implemented in connection with CAFES

All CAFES partners

Successful Program Completion

Overall, CAFES clients will be considered to have successfully completed the program if they achieve any of the following outcomes:

1. Diversion - Neighborhood Court: Pre-filing case "no-filed" or pre-conviction case "dismissed;"
Mental Health Diversion: Pre-filing case "no-filed" or pre-conviction case "dismissed."
2. SUD/MH Program - Completion of client's self-identified goals for their MH/SUD treatment plan.

Due to the Organized Delivery of Services (MediCal funded treatment) system changes and shifts in treatment culture, we are moving away from program "graduations" and "completions," and have stopped using length of stay as a marker of success. Participation is based on an assessed level of care and client identified goals.

Analysis of the Long-Term Effect of CAFES on Recidivism

If the policies, services and trainings carried out through the CAFES project are successful, then it is expected that the number of clients who re-offend or enter the criminal justice system will decline. Rather than entering the justice system, such individuals would achieve greater health and well-being through a combination of mental health and substance use treatment, housing and employment navigation, and/or other related supports for their individual needs.

To estimate the overall net effect of CAFES on countywide shifts in recidivism and entry into the justice system, ASR will compare diversion and justice outcomes of CAFES-eligible individuals between 2020 and 2022 with those of a similar group of individuals arraigned prior to 2020 and not sentenced to jail. These pre-CAFES individuals are assumed to have had fewer resources accessible to them than those whose cases began after CAFES launched and thus, according to the logic behind CAFES, posed a greater risk of re-offending.

The validity of this comparison may be weakened by the presence of non-CAFES related developments during the grant period that affect who becomes involved in the justice system and how their cases are handled. Not all these concurrent developments may be fully accounted for as they are happening during the project; some may not be visible until after the grant ends. However, the evaluation will highlight and seek to account for any factors outside of CAFES that could potentially impact the completion of services and recidivism rates during the grant period. The analysis will also apply statistical methods to control for

differences in the pre- and post-CAFES sample populations that may predict recidivism (e.g., a regression model with independent variables that include CAFES status, initial offense category, criminal history, age, and other health conditions).

With those caveats in mind, this evaluation will compare individuals with similar sets of offenses and criminal histories prior to and after CAFES services launched and will infer the effect of those services based on changes in justice.

The CAFES/treatment group will consist of adults who meet the following eligibility criteria for between **2020 – 2022**:

The Neighborhood Court shall serve adults who meet the following proposed criteria:

1. Have been cited or arrested for a low level, nonviolent offense. Initial eligible offenses may include theft, shoplifting, vandalism, trespassing, disorderly conduct, misdemeanor battery or assault, drug possession, drug paraphernalia, receipt of stolen property, possession of burglary tools, drunk in public.
2. Have no criminal history (applies to early period of NC). In later years, the NC will expand to include those with a limited crime record and no prior “strikes.”
3. Agree to take responsibility for the incident.
4. Are willing to pay restitution, if warranted.
5. Not eligible for AB 109 funding or Behavioral Health System of Care services.

Adults will be eligible for all other CAFES services if they meet the following criteria:

1. Have been cited or arrested for a low level (nonviolent) offense and referred to Neighborhood Court or eligible for Mental Health Diversion (pursuant to AB 1810).
2. Are eligible for any collaborative court, and not eligible for services via AB 109 funds.
3. Are currently under supervision / monitoring by the Probation Department (pretrial or formal probation) and have an identified SUD / MH need.
4. Not eligible for AB 109 funding or Behavioral Health System of Care services.

The pre-CAFES comparison group will consist of adults with similar eligibility components for between **2017 – 2019**. We are still developing the comparison group methodology, which will be solidified as the program components are implemented.

Outcome Measures to be analyzed for participant and comparison groups:

1. Percentage who were offered and completed diversion terms.
2. Percentage arrested within one year of their initial offense.
3. Percentage booked on misdemeanor charges within one year of their initial offense.
4. Percentage booked on felony charges within one year of their initial offense.
5. Percentage convicted of a misdemeanor offense within one year of their initial offense.
6. Percentage convicted of a felony within one year of their initial offense.
7. Percentage sentenced to jail within one year of their initial offense.

The analysis is intended to assess the overall net effect of CAFES on recidivism for people with low-level offenses, little to no prior criminal history, and those underserved by existing resources yet involved in the criminal justice system. The specific effects of each type of CAFES-based intervention may be difficult to estimate because CAFES is a blend of new services (i.e., Neighborhood Courts, court clinician) and additional resources to enhance services that existed prior to CAFES (i.e., mental health substance use treatment, case management), and many clients will likely participate in multiple CAFES-funded services.

CAFES Logic Model

INPUTS	ACTIVITIES	SHORT TERM OUTCOMES	LONG TERM OUTCOMES
<p>County Probation Department</p> <p>District Attorney’s Office (DAO)</p> <p>Sheriff’s Office</p> <p>Superior Court</p> <p>Behavioral Health Department (BH)</p> <p>Conflict Resolution Center (CRC)</p> <p>New Life Community Services</p> <p>Encompass</p> <p>Sobriety Works</p> <p>Applied Survey Research</p> <p>Prop 47 Local Advisory Committee (CCP & Workgroups)</p>	<ul style="list-style-type: none"> Behavioral health screening & assessments by court clinician. Probation risk and needs assessments Probation case manager: general case mgmt. and system navigation Superior Court: Collaborative Courts program management DAO & CRC: Restorative Justice via Neighborhood Courts New Life: SUD treatment, case management, housing and employment navigation Encompass: discharge planning & housing navigation; Encompass: community trainings for local CBOs and Criminal Justice Partners Sobriety Works: peer navigators & Other CBOs: provide sober living environments and treatment programs 	<p>Screening & Referrals:</p> <ul style="list-style-type: none"> Reduction in time between arraignment and beginning of services (via court clinician) <p>Neighborhood Court:</p> <ul style="list-style-type: none"> Establish RJ/NC procedures Community outreach and education Recruitment of RJ/NC volunteers Training of staff and volunteers Successful restitution and harm repair in Neighborhood Courts <p>Diversion & Treatment</p> <ul style="list-style-type: none"> Participants establish & complete MH/SUD treatment goals Completion of diversion terms (via a dismissal or “no file”) <p>Case Management/Navigation</p> <ul style="list-style-type: none"> Participants linked to housing and employment resources <ul style="list-style-type: none"> Obtain stable housing Obtain employment County CBOs better informed in a range of treatment practices and modalities 	<p>CAFES Participants:</p> <ul style="list-style-type: none"> Reduced recidivism Fewer individuals sentenced to local/state prison <p>System-wide:</p> <ul style="list-style-type: none"> Fewer individuals with MH/SUD needs entering justice system Greater capacity of service providers to serve individuals with MH/SUD needs who are criminal justice system involved or at risk for system involvement.