

**Yolo County District Attorney**  
**Proposition 47 Cohort 3 Pathways to Home Program**  
**Local Evaluation Plan**

**Project Background**

The Yolo County District Attorney (DA)'s Pathway to Home (P2H) project is a diversion program that provides intensive case management (ICM) and services including mental health treatment, trauma-informed wrap-around care, and housing assistance, for adults who are facing misdemeanor charges and have had a doubt declared as to their competency.

When seriously mentally ill (SMI) individuals are unable to understand the nature of the criminal proceedings or to assist counsel in the conduct of a defense due to a mental illness, a doubt may be declared by their attorney that they are incompetent to stand trial (IST) pursuant to Penal Code<sup>1</sup> section 1368.

On January 1, 2022, an amended version of section 1370.01 went into effect changing how misdemeanor IST defendant's cases are managed. Competency restoration is no longer contemplated. Instead, judges have the option of mental health diversion pursuant to section 1001.36 for a maximum period of one year when services are available.

In IST cases, criminal proceedings are suspended, and the case is continued for a report by an alienist evaluating the defendant's competency. The alienist's report takes approximately four weeks to receive. In Yolo County, in-custody defendants typically remain incarcerated during that time. After receiving the report and holding a hearing, the court will either reinstate criminal proceedings or follow the process outlined in section 1370.01.

A significant portion of the misdemeanor IST population is chronically homeless and not engaged in behavioral health services. Those with unmet housing and behavioral health needs are more likely to experience repeated criminal justice system involvement. P2H will serve up to 8-10 participants at any one time and individuals may be engaged for this program prior to the final ruling on competency, as the referral to P2H will occur when the court suspends criminal proceedings in order to initiate the IST proceedings. The program has three specific goals with supporting objectives summarized below:

Goal #1: Improve the behavioral health of participants with identified mental health needs through engagement in the appropriate services while developing a participant's insight into their mental illness. The following objectives support this goal:

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<sup>1</sup> All further references are to the Penal Code unless specified otherwise.

- A. 90% of eligible participant have their initial assessments completed within two weeks of referral.
- B. 90% of eligible participants have at least two treatment contacts in the first 30 days in the program.
- C. 75% of participants remain in the program for a minimum of 90 days.
- D. 60% of participants successfully graduate from the program.
- E. 75% of participants with identified co-occurring SUD needs engage in SUD treatment consistent with the recommendation based on their ASAM score prior to program exit.
- F. 75% of participants enrolled in mental health (MH) treatment improve their behavioral health (BH) rating on the SSM from time of intake to program exit.
- G. 75% of participants with identified mental health needs engage in mental health treatment services at the correct level based on a mental health assessment prior to program exit.
- H. 60% of participants receiving MH and SUD treatment report improved ability to manage their behavioral health or co-occurring disorder symptoms on a survey administered prior to program exit.

Goal #2: Increase the self-sufficiency of program participants through secured stable housing, improved income, and enrollment in health insurance. The following objectives support this goal:

- A. 60% of unhoused participants transition to permanent housing prior to program exit.
- B. 80% of participants retain permanent housing for 6 months post program exit.
- C. 70% of unhoused participants have an improved housing stability rating on the Self-Sufficiency Matrix from intake to program exit.
- D. 80% of participants increase their government benefits during program participation.
- E. 80% of those enrolled will transition from P2H treatment team to other treatment management program<sup>2</sup>, regardless of graduation status.
- F. 95% of participants who are eligible but are not enrolled in health insurance at time of intake are enrolled in health insurance during program participation.
- G. 70% of participants enrolled experience improved self-sufficiency as measured by improvement on the Self-Sufficiency matrix from intake to program exit.

Goal #3: Reduce the criminal justice system involvement for participants through prevention, diversion, and restorative justice. The following objectives support this goal:

- A. 75% of participants in a restorative justice conference complete all agreement items.
- B. 90% of participants will not be booked in jail within 12 months of graduation.
- C. 75% of participants will not recidivate within 3 years of graduating the program.

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<sup>2</sup> Other treatment management program for the purposes of this program indicates that the participant has engaged with a local provider for services for which participants are eligible in their county of residence outside of the P2H program.

- D. 50% reduction in jail bookings for participants while in the program.
- E. 50% fewer days in jail during program participation compared to the prior 3 years.
- F. 50% fewer arrests during program participation compared to prior 3 years.

## **Process Evaluation Method and Design**

The methodology for the evaluation plan will be a mixed-method design. Collecting both qualitative and quantitative data maximizes validity and allows for a thorough analysis of process and outcome measures, implementation, and overall effectiveness. Qualitative data sources will include focus groups and/or key informant interviews with program administrators, staff, participants, and other stakeholders. Quantitative data sources will include data collected by the contracted Community Based Organization (CBO) summarizing treatment engagement and self-sufficiency measures. Eligibility, referral, justice system involvement, and recidivism data will be collected by the DA. Data sharing agreements will be executed between all program collaborators including Health and Human Services Agency (HHSA), DA, Public Defender, CBO, and the evaluator.

Yolo DA in collaboration with the Public Defender will track all misdemeanor cases where the court suspends criminal proceedings pursuant to section 1368 to ensure all eligible individuals are referred to P2H for services. Since this is a voluntary program and not court ordered, defendants may decline to participate.

The grant funding for this program will be used to contract with a local community-based organization (CBO) who will provide wraparound services, intensive case management (ICM), and assist the DA in gathering and tracking data on project outcomes. The program management spreadsheet (included) will be used to record all quantitative data that will be collected collaboratively by the DA's office and contracted CBO. This spreadsheet will include comprehensive data related to all three of the program goals. Data will be collected at the time of referral into the program, at the time of program exit, and updated continuously during program participation, and updated measures will be reported to BSCC on a quarterly basis.

In order to meet the first P2H goal of improving behavioral health through appropriate engagement in services, participants will complete timely assessments upon enrollment. Once referred to the program, the CBO will reach out to the individuals to provide a formal offer of enrollment. Services will be immediately available at the time of referral. The clinicians employed by the CBO will administer and/or confirm completion of assessments as required to identify needs, including (1) Mental Health and Substance Use Assessment to determine diagnosis and need; (2) American Society of Addiction Medicine (ASAM)<sup>3</sup> Criteria Assessment which provides level of care recommendations for substance use disorder (SUD) treatment (as needed); (3) Vulnerability Index and

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<sup>3</sup> ASAM (American Society of Addiction Medicine) CONTINUUM is an electronic assessment tool that allows clinicians, counselors, and other staff to leverage a computerized clinical decision support system (CDSS) to assess individuals with addictive substance use disorders and co-occurring conditions.

Service Prioritization Decision Assistance Tool or other assessment tool to assess the vulnerability level of those experiencing homelessness and recommend appropriate housing solutions, and (4) a self-sufficiency matrix (SSM) covering four life domains (housing, self-sufficiency, behavioral health, and physical health)<sup>4</sup>. DA and CBO staff will note date of referral and date of initial assessment, respectively, to track whether initial assessment was completed within 2 weeks of referral.

After initial assessment, participants will begin receiving services at the level determined by the assessment. The CBO will keep a log of all dates in which participants have treatment contact. Initial treatment contact will likely entail working with the case management team in establishing a treatment plan to first meet participants' most pressing and immediate needs and design a longer-term treatment plan moving forward. From there, any engagement with services will be logged as a treatment contact including appointments with psychiatrists, individual counseling, group counseling, substance use classes, self-sufficiency training, etc.<sup>5</sup> The log of treatment contacts will allow us to measure whether participants meet our goal of a minimum of two treatment contacts within the first 30 days of program enrollment, as well as active engagement at the 90 day mark and general levels of engagement throughout program participation. The CBO will also be responsible for monitoring and logging data regarding specific diagnoses of participants and whether they are receiving services at the appropriate level based on these diagnoses.

By statute, the section 1370.01 diversion period can be no more than one year, at which time the criminal case will be dismissed. However, it is anticipated that some participants may need case management services well beyond this period, so an additional buffer period of up to 6 months will be provided as needed. With the buffer period, participants will be able to continue to receive services from the program while they transition to a longer-term treatment management program. The CBO will be responsible for designing and implementing a transition plan and keeping data regarding whether participants are successfully transferred to a new treatment management plan by the time they exit P2H, and the program to which participants have transitioned. The goal will be to transition those needing longer-term treatment by the 12-month mark, but the additional time will support a smooth transition from services with P2H and better ensure that participants are set up for long term success.

Successful program completion (graduation) will occur when a participant either is engaged in behavioral health treatment with stable housing and no longer needs case management assistance, or after a year in the program, where the participant is engaged in behavioral health treatment and is successfully transferred to a longer-term case management program.

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<sup>4</sup> Within each of these life domains, respondents will be rated as one of the following 4 statuses based on the assessment: in crisis, at risk, safe, and self-sufficient.

<sup>5</sup> These will be refined during contracting process with CBO

Participants may exit the program prior to graduating, either by choosing to opt out of services or being terminated from the program due to lack of engagement or other circumstances (e.g., moving out of state, death, felony arrest, etc.). Graduation rate will be logged in the program management spreadsheet to assess the objective of 60% of participants' reaching graduation.

Regardless of graduation status, the CBO will make all necessary efforts to conduct an exit survey<sup>6</sup> and final assessments, including re-administering the SSM. They will obtain data on housing status<sup>7,8</sup>, access to public benefits, as well as improvement in SSM composite scores and scores in the mental health and housing stability domains. Case managers will also be responsible for maintaining records of health insurance status during the program (which they will have access to for billing purposes)<sup>9</sup>.

Six months after participants have exited the program, a staff member from the DA's office will reach out to participants who transitioned to permanent housing by the time they exited the program to determine if they have retained permanent housing by that point. This information will also be logged in our spreadsheet.

The third P2H program goal involves reducing the criminal justice system involvement of participants through prevention, diversion, and restorative justice. There are six stated objectives within this goal that will require data collection. Some of these objectives are more related to program outcomes than process and will be discussed in the following section.

During the program, participants are expected to partake in a restorative justice conference. The participant must engage in a pre-conference meeting with a facilitator who manages the conference. This is done to orientate the participant on the conference process and ensure they are prepared to fully engage community volunteers (called panelists) and the victim (if joining). These conferences include: 1. the participant telling their story; 2. working with the panelists and victim to identify the harm to the victim, the community and themselves resulting from their criminal conduct; 3. determining how the participant will, to the best of their ability, make things right by addressing the harm that they have caused; and 4. how they intend to avoid criminal conduct in the future.

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<sup>6</sup> This survey will include a self-disclosure on whether participants report improved ability to manage their behavioral health or co-occurring disorder symptoms.

<sup>7</sup> Whether the participant has obtained permanent housing and whether they have improved their rating on the housing domain of the SSM.

<sup>8</sup> Permanent housing for this program will include the following definitions from HUD. First, permanent housing (PH) indicates a tenant on a lease (or sublease) which must: (1) Have an initial term of at least one year, (2) Be renewable for a minimum term of one month, (3) Be terminable only for cause. Second, permanent supportive housing (PSH) is defined as indefinite leasing or rental assistance combined with supportive services for disabled persons experiencing homelessness so that they may live independently.

<sup>9</sup> This will include logging data in the program management spreadsheet regarding whether participants who were eligible for health insurance but did not have it when they entered the program obtained insurance during participation in the program.

These conferences generate an agreement between the participant, the panelists and victim (if participating) that often include specific things that the participant will do to either make things right or avoid future criminal conduct. Examples include an apology letter, a specific number of community service hours, or a relapse prevention plan. Participants who complete all their agreement items as determined by DA staff will meet this goal.

All conference participants complete a satisfaction survey that provides feedback on their perspective of how the restorative justice conference went. DA staff will collect these surveys and make them available to the program evaluators.

Some participants may not engage in a restorative justice conference if, due to the severity of their mental illness, they are not capable of participation or participation in the conference is likely to cause more harm than good. Non-engagement will be determined by the treatment team in collaboration with the participant's attorney and DA staff.

## **Outcome Evaluation Method and Design**

One of the primary outcome measures our office is concerned with is future criminal activity of participants in the program. Making a significant reduction in measurable criminal activity (in comparison to a participant's prior history as well as similarly situated defendants who choose not to take advantage of this program) would represent a successful outcome of this program.

Data for recidivism, arrests, convictions, jail bookings, and jail days will be collected as follows:

Phase 1, Data Collection: Using information from LawSUITE<sup>10</sup> DA staff will compile a spreadsheet containing the CII numbers<sup>11</sup> of every individual who participated in P2H. New CIIs will be run for everyone recorded in the spreadsheet. This spreadsheet will improve the efficiency of future data collection by enabling staff to simply copy the CII numbers for past participants into the Omnixx<sup>12</sup> system for subsequent recidivism checks. DA staff will run all participants through Tiburon<sup>13</sup> to determine jail bookings and jail days in the Yolo County jail. The Web Known Person Finder (WebKPF)<sup>14</sup> will be used to collect the same data from the Sacramento jail. For all other arrests noted on a participant's CII DA staff will directly contact the jail corresponding to each arrest in other counties to determine booking and jail day information. Data will be collected on or about March 1, 2025, and again within 30 days of program completion.

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<sup>10</sup> LawSUITE: The Yolo County District Attorney's internal case management system.

<sup>11</sup> CII: Criminal Index Inquiry. Everyone captured in the CII system has a unique CII number. The CII database captures information on criminal offenses recorded by all law enforcement agencies in the state of California

<sup>12</sup> Omnixx: The software used by District Attorney staff to pull CIIs from the state's database.

<sup>13</sup> Tiburon: The software used by District Attorney staff to pull booking and jail day data from the Yolo jail.

<sup>14</sup> WebKPF: The software used by District Attorney staff to pull booking and jail day data from the Sacramento jail.

Phase 2, Data Entry: After CII, booking and jail day data is collected for all individuals in P2H, it will be entered into the program management spreadsheet for each data collection event. These spreadsheets capture every offense recorded on the CII, allowing for analysis based on the type of offense and number of offenses prior to and during participation in P2H and after graduation from the program. Booking dates and periods of incarceration will also be entered into the spreadsheets.

Phase 3, Quality Control: CII's will be reviewed by trained DA staff to ensure the accuracy of data reported. Department of Motor Vehicle records will be used to verify outcomes for driving under the influence (DUI) offenses. Statistics will be generated following this review process.

Recidivism is defined as conviction of a new felony or misdemeanor committed within three years of program completion. A conviction is defined as entry of judgment of guilty on a plea of guilty or no contest, or entry of judgment of guilty on a verdict of guilty. A supplemental measure defined as a new arrest for a new felony or misdemeanor regardless of conviction within three years of program completion will be tracked.

For purposes of this program an arrest is taking a person into custody for the commission of a new criminal offense. An arrest may result in either the individual being booked into the county jail or released on a signed promise to appear in court often referred to as a citation.

Only data from the CII and DMV systems will be used to determine recidivism, the results will be based entirely on the data available at the time the recidivism data was collected. For the purposes of this evaluation, local internal data captured in LawSUITE will not be used in determining recidivism. This is to ensure consistency in reporting as LawSUITE provides data for Yolo County offenses only. It would create an inaccurate bias to include locally collected data when similar data for offenses that occurred in other counties is not readily available.

All periods of incarceration for each participant (inmate) will be determined by the number of days from date of intake to date of release. The length of stay for each inmate is the number of days from date of intake to date of release regardless of changes in classification, housing, or sentencing status during that period. Any part of one calendar day counts as one day (e.g., if booked/received at 9:00pm on Monday and released at 2:00 am on Tuesday, counts as two days).

Due to privacy concerns contained in the Health Portability and Accountability Act (HIPPA) Yolo DA will not be able to track participants engagement in mental health services once they graduate from Pathways to Home unless the participant signs a release of information (ROI) for this purpose. It is unknown if any of these individuals will agree to continued tracking of their treatment engagement and sign an ROI.

Yolo DA will track the recidivism, arrests, bookings, and jail days for all individuals who are found incompetent to stand trial pursuant to section 1368 regardless of their participation in or graduation from Pathways to Home for the duration of the grant period to create a control group to determine if program graduation results in reduced criminal justice system involvement.