AGENDA

REGULAR MEETING
ORANGE COUNTY COMMUNITY CORRECTIONS PARTNERSHIP

Thursday, April 28, 2016, 2:00 P.M.

PROBATION DEPARTMENT
Training Room 5
1001 S. Grand Ave.
Santa Ana, California

STEVE SENTMAN, Chair
Chief Probation Officer

TODD ELGIN
Chief of Police, Garden Grove

MARY HALE
Health Care Agency

SANDRA HUTCHENS
Sheriff-Coroner

SHARON PETROSINO
Public Defender

TONY RACKAUCKAS
District Attorney

The Orange County Community Corrections Partnership welcomes you to this meeting. This agenda contains a brief general description of each item to be considered. The Partnership encourages your participation. If you wish to speak on an item contained in the agenda, please complete a Speaker Form identifying the item(s) and deposit it in the Speaker Form Return box located next to the Clerk. If you wish to speak on a matter which does not appear on the agenda, you may do so during the Public Comment period at the close of the meeting. Except as otherwise provided by law, no action shall be taken on any item not appearing in the agenda. When addressing the Partnership, please state your name for the record prior to providing your comments.

In compliance with the Americans with Disabilities Act, those requiring accommodation for this meeting should notify the Clerk of the Board's Office 72 hours prior to the meeting at (714) 834-2206

All supporting documentation is available for public review in the office of the Clerk of the Board of Supervisors located in the Hall of Administration Building, 333 W. Santa Ana Blvd., 10 Civic Center Plaza, Room 465, Santa Ana, California 92701 during regular business hours, 8:00 a.m. - 5:00 p.m., Monday through Friday.

AGENDA

ADMINISTRATIVE MATTERS: (Items 1 - 3)

At this time, members of the public may ask the Partnership to be heard on the following items as those items are called.

1. Welcome and Introductions

2. Discussion and approval of AB 109 Ad Hoc Committee's recommended plan for use of unspent AB 109 funds

3. Realignment Updates:

   - Probation
   - Sheriff
   - District Attorney
   - Public Defender
   - Courts
   - Health Care/Mental Health
   - Local Law Enforcement
   - Board of Supervisors
   - Social Services
   - OC Community Resources
   - OC Department of Education
   - Community-Based Organization (Representative)
   - CSP (Victims Representative)

PUBLIC & PARTNERSHIP COMMENTS:

At this time members of the public may address the Orange County Community Corrections Partnership on any matter not on the agenda but within the jurisdiction of the Partnership. The Partnership or Chair may limit the length of time each individual may have to address the Partnership.

PUBLIC COMMENTS:

PARTNERSHIP COMMENTS:

ADJOURNMENT

NEXT MEETING:
May 26, 2016 Regular Meeting, 2:00 P.M.

Ad Hoc Committee Status Update & Recommendations
April 28, 2016

Projects/Items Recommended for CCP Approval:

1. *Community Corrections Partnership Coordinator Position* – Addition of an Administrative Manager I position in the Probation Department. This position would work under the general direction of the CCP Executive Committee and CCP Chair to support effective implementation of Public Safety Programs under the purview of the CCP and act as a multi-agency coordinator for CCP activities and special projects. For Scope of Work, see Attachment A. This position would be funded through one-time and/or growth funds allocated for this specific purpose on an ongoing basis.
2. *Day Reporting Center (DRC) Expansion(s)* – Probation currently has one DRC that serves both AB109 and General Supervision populations. Probation will work with BI, Inc. (current vendor) to explore the possibility of and implement additional DRC sites. The DRCs offer a variety of services that are aimed at reducing recidivism. Based on the recent expansion of the use of AB 109 funding, Probation feels this would be an appropriate use of funds as it supports the overall goals and intent of AB 109. Probation would use their current allocation to fund this expansion and is not requesting additional funds at this time.
3. *Social Worker Pilot Project* – The Public Defender is requesting the addition of four limited-term social worker positions for a pilot project aimed at effectuating successful integration into the community and promoting Public Safety. These positions would be added to the Office of the Public Defender and would provide support for clients with developing a pre-release plan and assistance with achieving/following this plan. These staff would provide services such as referrals, linkage to and navigation of services, transportation assistance and reintegration into the community. Linkage, referral and process navigation for services and resources that the Social Workers would assist with include, but aren't limited to: General Relief, CalFresh, Medi-Cal, Substance Use Disorder and/or Mental Health Treatment, Transitional Housing, Transportation, etc... This is a successful program that has been implemented in multiple counties in California as well as nationwide and has proven outcomes for reducing recidivism. For additional detailed information, see Attachment B.

Additional Projects/Items being explored:

1. *Re-entry Facility* – As previously discussed, the group is working on developing the model Orange County would like to implement. Further research needs to be completed before the committee is prepared to develop the whole model, but will be working on this and providing regular updates to the CCP.
2. *District Attorney Staffing and Equipment Needs* – Currently evaluating needs and will work with Ad Hoc Chair on the request to be submitted to the Ad Hoc for review/approval. Plan is to present to the CCP at the next meeting.
3. *Mental Health Facilities/Needs* – Ad Hoc will be exploring needs, alternate funding sources, etc... for issues identified with resource and facility availability to clients with mental health needs that are not eligible for mental health court programs (e.g., WIT).

Next Steps:

1. Approval of Board in 1st Quarter Budget Report of items approved by the CCP (November 2016).
2. Additional Ad Hoc meetings to develop projects identified and potential other uses of funds and/or adjustment to current & future AB 109 Budgets that allow flexibility in spending.

Attachment A

JOB TITLE: Community Corrections Partnership (CCP) Coordinator

SUMMARY: The CCP Coordinator will work under the general direction of the CCP Executive Committee and CCP Chair (Chief Probation Officer. Duties may include strategic planning, revisions to the Public Safety Realignment Plan, support for development of data collection and evaluation systems, and coordination of services in support of successful CCP Project implementations. The CCP Coordinator will work in a collaborative capacity and holds no supervisory authority over the CCP or the agencies and organizations represented.

Essential Duties and Responsibilities may include the following. Other duties may be assigned.

- Facilitating the implementation of Local Realignment Plan and preparing updates to the plan as approved by the CCP Executive Committee

- Advancing effective coordination and collaboration between agencies and organizations

- Assisting in budget development, monitoring, reporting and interpretation of budget related issues as directed by the CCP Executive Committee

- Identifying and coordinating multi-agency needs such as training and resources

- Identifying funding opportunities, coordinating and compiling funding applications as approved by the CCP Executive Committee, and as required, by the Orange County Board of Supervisors

Qualifications

Knowledge of criminal justice and community services programs, bachelor's degree or advanced degree is highly desirable; experience in financial and program management is also preferred.

- Excellent written and oral presentation skills as well as superior skills using software such as Word, Excel and PowerPoint

- Highly developed interpersonal skills, ability to work effectively across agencies and disciplines

- Knowledge of evidence-based practices, project management, data collection and program evaluation is desirable

- Meeting facilitation skills

Language Skills
Ability to read, analyze and interpret general business correspondence, professional journals, technical procedures, or government regulations. Ability to write reports, business correspondence, and policies and procedures.

Mathematical Skills
Ability to comprehend budgets, statistics and spreadsheets.

Reasoning Ability
Ability to define problems, collect data, establish facts, draw conclusions and provide feedback to assist agencies with implementation of CCP desired projects and outcomes.

Other Special Elements
The CCP Coordinator should be flexible, creative, and possess strong leadership and collaborative qualities. The ideal candidate will be self-directed, multitasking, be a problem-solver and be able to prioritize tasks. The ideal candidate will take initiative, possess critical thinking skills, and be supportive of the CCP's missions and goals.

Attachment B

LAW OFFICES

ORANGE COUNTY PUBLIC DEFENDER

SHARON PETROSINO
INTERIM PUBLIC DEFENDER

MARK S. BROWN
SENIOR ASSISTANT PUBLIC DEFENDER

DANIEL J. COOK
SENIOR ASSISTANT PUBLIC DEFENDER

MARTIN F. SCHWARZ
SENIOR ASSISTANT PUBLIC DEFENDER

14 CIVIC CENTER PLAZA
SANTA ANA, CA 92701-4029
(714) 834-2144 FAX: (714) 834-2729
www.pubdef.ocgov.com

April 19, 2016

To: Ms. Dana Schultz, Division Director Orange County Probation Department
From: David Dworakowski, Assistant Public Defender
Re: AB109 Unspent Revenue

Proposal

Funding of Licensed Social Workers to Effectuate Successful Integration into the Community and Promote Public Safety

Realignment and its goal of reducing recidivism necessitates more than ever that the Orange County Public Defender (OCPD) provide AB109 clients a legal defense that accounts for underlying and contributing social and behavioral health needs. In this regard, supporting the client in the development of a pre-release plan, and aiding the client in achieving this plan, is essential for the client's successful integration into the community. To accomplish this goal, the OCPD requests funding for four licensed Social Workers (Social Worker II) on a 1-year limited term position. The cost of employing four social workers is $328,000. Presently, the OCPD does not employ any social workers.

The Public Defender believes, and studies support, that the use of social workers in a public defender's office decreases the number of persons incarcerated, greatly reduces the recidivism rate, and saves money. One study by the State of Kentucky showed that using social workers in their county public defender's offices had a dramatic impact on lowering recidivism rates and ensuing compliance with the terms of probation. Among other services, the social workers assisted clients in securing drug, alcohol, and mental

health treatment, helped identify alternative sentencing plans, and aided clients in obtaining employment. In the Kentucky study, an encouraging 82% of adult defendants released from incarceration who received public defender social worker services remained law abiding. (See attached "Social Work Pilot Project Report," Kentucky Department of Public Advocacy.) In short, public defender clients linked with social workers in the office experience a much greater success rate.

The use of social workers, working hand-in-hand with public defender attorneys, is a model currently utilized by multiple offices in California. Indeed, the Los Angeles Public Defender employs multiple social workers, as does the San Francisco, Riverside and San Bernardino Public Defenders Offices. Most recently, Yolo County used AB109 funds to hired two social workers.

In sum, the use of social workers by the OCPD is consistent with the goals of AB109 to reduce recidivism, lower costs to the taxpayer, and ensure success for clients reintegrating into the community. Social workers are resourceful in finding necessary treatment and services appropriate for each individual, they are also skilled at empowering clients in their successful transition to self-sufficiency.

For all the reasons stated above, we request that our proposal for AB 109 unspent revenue funds be granted.

Sincerely,

David Dworakowski
Assistant Public Defender
Managing Attorney Writs and Appeals

Attachment B

Department of Public Advocacy, Social Worker Pilot Project

ID # (assigned by CSG): 08-S-28KY
Commonwealth of Kentucky

- *Designed to enhance Public Safety*
- Social Worker Pilot Project
- Commonwealth of Kentucky, Department of Public Advocacy, state-wide public defender system
- Dawn Jenkins, Co-Chair, Social Worker Pilot Project
- 100 Fair Oaks Lane, Frankfort, KY 40601
- 502-564-8006 X126 (phone)
- 502-564-7890 (fax)
- dawn.jenkins@ky.gov
- www.dpa.ky.gov
- The DPA Social Worker Pilot Project was funded in the amount of $172,000 by the 2006 Kentucky General Assembly to test whether social workers in pubic defender offices could decrease the number of persons incarcerated through diversion to treatment, change the lives of those addicted and mentally ill, prevent them from re-offending, and thus save Kentucky money. The funding was used to place four social workers in four Pilot regions covering 17 counties: Bowling Green, Covington, Morehead, and Owensboro. The social workers served 229 adults and juveniles from October 15, 2006 to October 15, 2007 and resulted in substantial savings, treatment and decreased recidivism. (See: UofL *Social Worker Pilot Report*)
- The Pilot began October 15, 2006 and ended October 15, 2007, although social workers are continuing to track the success and failure of persons from the Pilot. (See: *Scope of Services*)
- The program was created to study the effectiveness social workers working side by side with attorneys to divert persons addicted or mentally ill to community-based treatment. Kentucky jails and prisons are 20% over capacity. The number of persons in Kentucky jails and prisons increased 12% according to the Pew Charitable Trust Report, more than any other state in the nation. The cost is eating into education budgets, health budget and other important services. Corrections budget is more than 10% of state budget overall. Many jails do not have money or services to deal with chronically mentally and socially ill individuals and youth. As a result Kentucky inmates are not being rehabilitated. 34% of those released are reoffending. (See: *Pew Charitable Trust Report*) 64% of persons in jail or prison in KY are addicated to drugs or alcohol, 56% show signs of depression or mental illness, 50% are illiterate.
- The Pilot was designed to use social workers to identify persons coming through the public defenders office who are amenable to treatment, find prescribed treatment in the community, provide alternative sentencing plans and other evidence to support recommendation for treatment, where health care providers are more prepared to deal with there problems.
- A committee was formed to design the Pilot, design interview and data collection tools, select the Pilot regions, hire and train the social workers. Three of them were MSW and one was a BSW. The first step of the Pilot was that social workers conducted a *baseline interview* for 229 defendants. Each social worker was appointed early in the case and participated in the client's recovery through the disposition of the case or until the person re-entered the community. Social workers have the training that neither the defense attorneys nor the judges have to connect persons to resources. Social Workers have ethical and professional standards to advocate for defendants with chronic socio-economic problems. They are trained to

understand health and mental health problems, are resourceful in finding necessary treatment and services appropriate for each individual, and are skilled to empower defendants in their successful transition to self-sufficiency. Social workers interviewed defendants and determined the medical, social, and economic barriers to getting out of the criminal justice system. They collected medical records and criminal records (a total of 394 records for the 292 defendants). The social workers:

- Worked with youth and adult clients with drug and alcohol problems and mental illness,
- Found prescribed treatment in the community, other counties or states that would treat the root problems for each defendant including therapy, medications and/or treatment programs,
- Wrote interventions that supported a judge or prosecutor's decision to either conditionally release/divert the case or impose alternative sentencing which combined job training and treatment, employment, mental health treatment and GED classes,
- Created other successful recommendations for pre-trial diversion for adult clients linking poor clients to services they would not have been able to access alone,
- Created other successful dispositional plans for youth and children in the juvenile justice system which presented reasonable alternatives to detention and commitment, and
- After six months, social workers surveyed the defendants to measure services, condition, and criminal status. By October 2007, 181 defendants completed a six month follow-up interview to measure the same factors. 229 defendants were served between October 2006 through October 2007, Three social workers served an average of 68 indigent defendants. Roughly 8% of the services that clients received were less intensive "quick action" items, such as referrals. The remaining 92% or 181 were assigned to social workers by court appointment that continued until re-entry. In the majority of cases, courts asked social workers to conduct in-depth assessments and develop alternative sentencing recommendations. If the charges were dismissed or the client was granted parole, the social workers entered into intensive engagement to connect local services with the defendants to help them become fully integrated into their community. (See: Gap in Services Chart)

- The Social Worker Program is a model program being utilized by very few public defenders nationwide and no state-wide public defender systems other than Kentucky. The only states using this model are local city-based defender systems. The University of Louisville's study found that the Pilot has the potential to save Kentucky $3.1 million net annually if the Pilot is replicated state-wide, and in addition, return the investment made by state. In other words, for every $50,000 invested in a social worker, Kentucky can recoup that investment and save $100,000. During this desperate budget crisis as a result of revenue shortage, Kentucky can save money while also changing the lives of defendants and their families. The Pilot was highlighted as an innovative new program in the New York Law School Brennan COD Newsletter, over 25 local Kentucky newspapers, and the Justice Cabinet's ODCP Newsletter. (See: Office of Drug Control Policy Newsletter and Press Articles)
- The Pilot's start-up costs were $43,000 per social worker or $172,000 for (4) social worker. The Education Branch absorbed the cost of training because the training was held during regularly scheduled annual attorney training. We used volunteers to advise the design and implementation of the program and used experts from other states, at no cost. We provided each social worker with an office, a computer, and merit system benefits. These expenses were included in the $43,000.

- The program's annual operational costs were $172,000. We are requesting $1.8 million in each year of the biennium to fully implement the program. The 2008 Kentucky General Assembly is considering this request as part of HB 406.
- The program was funded by the 2006 Kentucky Legislature. If fully funded, the program will be funded by the 2008 Kentucky General Assembly.
- The Pilot was passed in the 2006 Budget Bill.
- The social worker used a case management tracking form in an ADOBE format called the baseline report and the follow up report by utilizing Microsoft Word. (See: data collection form)
- The Pilot orginiated in Kentucky. There is no other Pilot or Program like ours in any other state. Ernie Lewis, ernie.lewis@ky.gov, same address as above, Kentucky's Public Advocate worked with two individuals to invent this Pilot, Rebecca DiLoreto, attorney and manager in Fayette County, Kentucky, and Dawn Jenkins, an MSW from the University of Louisville and Executive Advisor to the Public Advocate to create the Social Worker Pilot. The Policy, Design, Implementation, data collection, evaluation, reporting, training and job descriptions were all created by the Department of Public Advocacy.
- I am aware of other states utilizing a social worker in this capacity but not a Program.
- This program has not been fully implemented. UofL has written the evaluation, the press has written on the project, DPA has requested full funding, the legislature in Kentucky is considering putting the necessary funding in HB 406.
- The Pilot was effective in several ways:
    1. The recidivism rate of clients who worked with social workers was 15 to 18 percent compared to 34 percent overall in Kentucky.
    2. 93 percent of the adults who received drug or alcohol treatment abstained from those substances.
    3. 80 percent of the clients referred to job training stayed in the training or completed it.
    4. 10,000 days of incarceration were saved by each social worker, equal to 27 years
    5. After accounting for the cost of the social workers and the services used by the clients, the program saved $3.25 for every dollar invested.
    6. saved $300,000 and an estimated $3.1 million if the program is fully funded.
    7. The program "aims at changing the pattern of drug offenders endlessly recycled through the judicial and correctional systems, burdened with felony convictions that make it difficult for them to get work when they eventually rejoin society. It's a small wager when the stakes are so high and the odds are so good." (Lexington Herald-Leader, January 27, 2008)
    8. Provided information to judges that they wouldn't have gotten otherwise in order to make informed decisions about those cases (See: judges' letters attached)
- Throughout the year the program evolved. The report fully captures the project.
- The most difficult challenge was changing the culture in local public defender offices, training attorney on how to work with non-attorneys to create a different result in criminal cases. Collecting data and evaluation was a challenges and took time and patience.

SOCIAL WORK PILOT PROJECT REPORT

Kentucky Department of Public Advocacy

January 2008 Evaluation Conducted by Kent School of Social Work, University of Louisville, Dr. Gerard "Rod" Barber & Dr. Ramona Stone

SUMMARY

The Kentucky Department of Public Advocacy (DPA) conducted a Social Work Pilot Program between October 2006-October 2007 in three regions to **measure the impact of social workers in a public defender office. Among other services, the social workers assisted clients to secure treatment, identify alternative sentencing plans and helped them to obtain and abide by the terms of supervised probation.** 229 defendants were served by three social workers and 181 were tracked for statistical purposes (141 adults and 40 juveniles). Prior to the introduction of social workers, 86% of adults and 52% of juveniles reported factors that indicated substance abuse and a similarly disturbing percentage reported signs of mental distress: 73% of both adults and juveniles. An **encouraging 82% (79 of 96) adult defendants** who received social worker services that were released from incarceration were still in the community – an extremely low **15% to 18% recidivism rate compared to DOC's recidivism rate of approximately 34%).** The Social Worker Pilot Program thus determined that **each social worker saved 10,000 days of incarceration annually or 27 years each.** Additionally, 93% of the **defendants abstained from prohibited substances.** The number of defendants **that participated in AA, NA** or other self-help groups **tripled in six months.** The program's saved $100,000 per social worker annually after taking out the cost for treatment and operating costs. Another way to view the program is that **the state saved $3.25 of incarceration costs for every $1 invested in social workers' salaries,** If this program were funded **for statewide implementation, the estimated taxpayer savings would be between $3.1 and $4 million per year.**

INTRODUCTION

The Rationale

The 2006 Kentucky General Assembly funded the Social Work Pilot Program to determine whether the placement of social workers in a public defender office would lessen the taxpayer burden of overcrowded prisons and jails. The Program also sought to find out whether social workers' intervention would increase the percentage of defendants that access services to help address substance and mental health issues (the primary reasons for recidivism).

At the time it was funded, the population of Kentucky jails and prisons was at an all time high leading to policymakers' grave concerns regarding the associated costs. The number of persons incarcerated since this Pilot was funded has grown from 20,000 to 22,000. This trend of 10% annual growth is expected to continue through 2014. Currently, the Department of Corrections budget is $417 million and they are asking for an additional $75 million for additional beds.

The Program

During 2006-07, DPA (Justice and Pubic Safety Cabinet) contracted with the Kent School of Social Work to evaluate a Social Work Pilot Project. Social workers were placed in Covington, Morehead and Owensboro Trial Offices in October 2006. A fourth social worker was placed in the Bowling Green Trial Office in July 2007. (Bowling Green was excluded from this analysis.)

Methodology

The first step of the Pilot was that social workers conducted a ***baseline interview*** for 229 defendants. After six months, social workers surveyed the defendants to measure services, condition, and criminal status. By October 2007, 181 defendants completed a six month fol-

DEFENDANTS SERVED

229 Defendants Served

229 defendants were served between October 2006 through October 2007, Three social workers served an average of 68 indigent defendants. Roughly 8% of the services that clients received were less intensive "quick action" items, such as referrals. The remaining 92% or 181 were assigned to social workers by court appointment that continued until re-entry. In the majority of cases, courts asked social workers to conduct in-depth assessments and develop alternative sentencing recommendations. If the charges were dismissed or the client was granted parole, the social workers entered into intensive engagement to connect local services with the defendants to help them become fully integrated into their community.

What Were Defendants Charged With?

Two types of charges emerge that are common to the vast majority of adult defendants who received services in the Pilot. The most prevalent charges were substance-related, including controlled substances (32%), driving while intoxicated (14%), and public intoxication (12%). The second most common charges were theft-related, including burglary (12%) and forgery (16%). One third of adult defendants were charged with parole/probation violations. The most common charges for juveniles were beyond control (15%), public intoxication (15%), assault (13%) and burglary (11%).

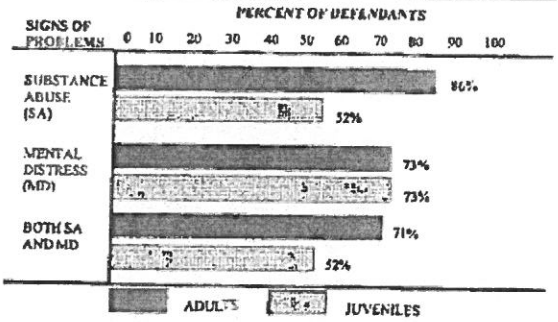
Special Emphasis on Substance Abuse and Mental Distress

Figure 1 illustrates the troublingly high percentage of defendants (both adult and juvenile) who showed signs of substance abuse and mental distress. The social workers used a diagnostic tool called the Kennedy Axis V

For more information contact Gerard "Rod" Barber PhD and Ramona Stone PhD
Kent School of Social Work, University of Louisville, Louisville, KY 40292

when considering clients' symptoms. In addition, substance abuse signs included prior use or charges of drug or alcohol abuse, past attendance at AA or NA support groups, or self-reporting defendants who felt that substance abuse treatment would prevent re-arrest. Mental distress indicators included prior hospitalization, use of medications for nerves, depression or other psychological problems, or those who self-reported that mental health treatment would prevent re-arrest.

Figure 1: DEFENDANTS WITH SIGNS OF MENTAL DISTRESS OR SUBSTANCE ABUSE



It is interesting that 147 adults of the 181 or (81%) showed signs of both substance abuse and mental distress. Unfortunately, the mental illness issues would disqualify this high number of defendants from participating in drug court.

Results shown in **Figure 1** are consistent with disability information reported by defendants. 45 adults (25%) and 19 (37%) of juveniles reported a disability. Mental health was the most frequently mentioned impairment for adults (78%) and juveniles (90%). 10% of adults and juvenile defendants reported medical disabilities. A small number of adults and juvenile defendants reported to be enrolled on SSI for these conditions.

Table 1: WHAT SOCIAL WORKERS DID

TASK	# ADULTS (N=177)	# JUVENILES (N=52)
MADE REFERRAL FOR COMMUNITY SERVICES	150	46
CONUDUCTED NEEDS ASSESSMENT	124	36
PROVIDED SUPPORT TO FAMILY	49	37
CONDUCTED SOCIAL HISTORY	125	37
WROTE REPORT FOR REDUCED SENTENCE	28	9
WROTE ALTERNATIVE SENTENCING RECOM	130	17

What Social Workers Did?

Table 1 illustrates the services that social workers provided. They created social histories that largely consist of time-consuming interviews of defendants. Further, the process of needs assessments, including obtaining records to gain an in-depth knowledge of their condition and the evaluation of what assistance that is likely to be effective requires many hours. Social workers reported that they had to obtain 394 records (family services 5; crime records 128, medical 42, mental health 98, social history 109, other 12) for the 177 adult defendants and 153 records (family services 10, crime 32, medical 19, mental health 36, school 38, social history 18) for the 52 juveniles. It is very unlikely given the enormous workload of judges and attorneys, that they could invest the time it would take to conduct such extensive assessments and evaluate possible alternative sentencing.

Table 2: PERCENT OF SELECTED REFERRALS BY SOCIAL WORKERS

SPECIFIC REASONS FOR REFERRALS	% ADULTS (N=177)	% JUVENILES (N=52)
SUBSTANCE ABUSE TREATMENT	79%	38%
COUNSELING FOR PERSONAL PROBLEMS	61%	63%
MENTAL HEALTH TREATMENT	44%	60%
JOB TRAINING PROGRAMS	25%	2%
MEDICAL CARE	25%	8%
HOUSING ASSISTANCE	18%	8%
GED CLASSES	15%	6%
FAMILY NEEDS	15%	31%
FAMILY COUNSELING	13%	37%
CHILD CARE	13%	4%

Table 2 shows social workers referred defendants for a wide variety of reasons. It also illustrates the extensive knowledge that they must have about community resources and how to access them.

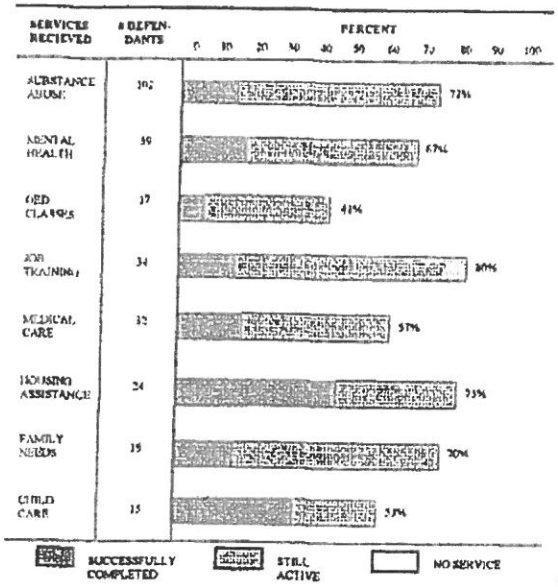
COMMUNITY SERVICE OUTCOMES

This section focuses on defendants who spent six months or more in the Social Work Pilot Program. The information is based on the 181 defendants who completed both baseline and six month follow-up interviews. There were 141 adults and 40 juveniles who completed both interviews. **Figures 2 and 3** show the status of client referrals for adults and juveniles.

Good Service Outcomes in Major Focus Areas

The most frequently used services for adults were substance abuse and mental health treatment. 72% of adult defendants who received substance abuse treatment were either still active in the program or had successfully

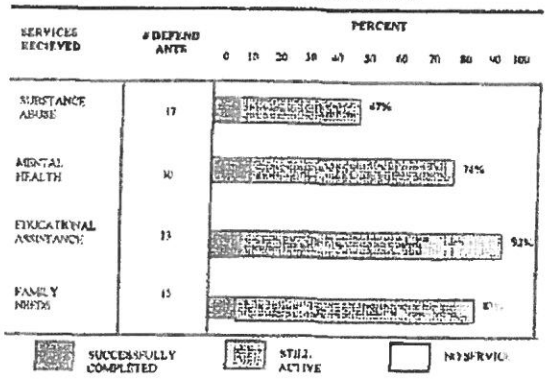
Figure 2: SELECT ADULT SERVICE OUTCOMES



completed it. 67% of adult defendants who received mental health treatment were either still active in the program or had successfully completed it. 80% of adult defendants referred to job training were still active in programs or had successfully completed them. Three quarters of defendants referred for housing assistance were either still actively seeking housing or had actually received it.

Enrollment in GED classes, medical care, and child care was lower than other services. Male defendants struggled to obtain child care services relative to female defendants. Seven of the eight women seeking child care reported that they had either arranged it or were expecting it soon. Only one of the seven males successfully obtained child care.

Figure 3: SELECT JUVENILE SERVICE OUTCOMES



Juvenile Services Outcomes

The most frequent referral for juveniles was for mental health treatment. At the time of this report, 74% of juveniles were either still active in treatment or had successfully completed it. Substance abuse referrals were less successful as a little over half the juveniles were referred but many did not get services. Education assistance and meeting family needs was much more successful. About 80% of clients were still getting help in these areas and almost 10% had successfully completed the service.

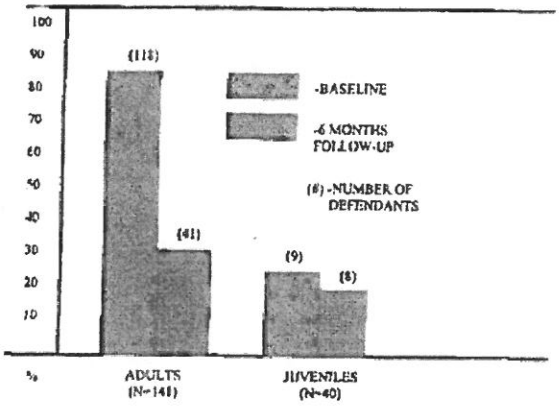
DEFENDANT OUTCOMES

This section continues reporting on the 141 adults and 40 juveniles, but the focus shifts to client outcomes or changes in their status, behavior, or attitudes.

Social Workers Helped Reduce Incarceration:

Figure 4 shows the number of defendants incarcerated at baseline and then at the six month follow-up. Initially, 118 adult defendants (84%) were incarcerated. The incarceration rate decreased substantially in six months to

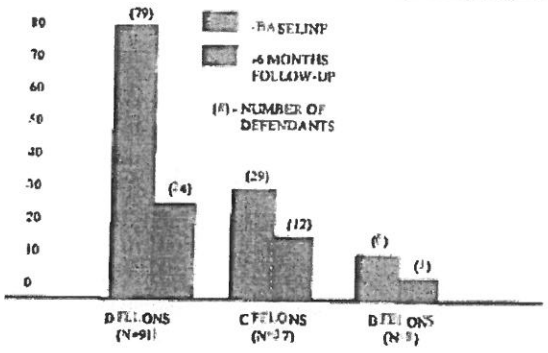
Figure 4: NUMBER OF DEFENDANTS INCARCERATED



only 41 adult defendants (29%). This is a decrease of 77 defendants or 55% of the adult defendants. The percentage change for juveniles is less meaningful because only 9 defendants (23%) were incarcerated at the baseline period. At the six month follow-up the 9 incarcerated cases dropped to 3. However, 5 of the 31 juvenile defendants who were not incarcerated at the time of the baseline interview were incarcerated at the six month follow-up. Thus, the number of incarcerated juveniles dropped to 8 from 9 at the six month follow-up although that 8 included newly incarcerated individuals from the baseline.

Figure 5 shows that most reduction in adult incarceration was among class C and D felons. Class D adult felons decreased from 79 defendants at baseline to 24 defendants at the six month follow-up (a 70% reduction).

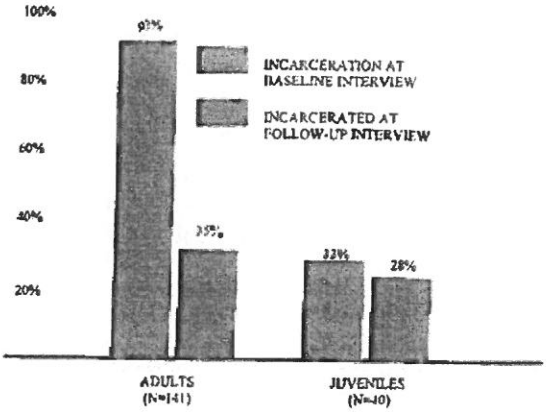
Figure 5: NUMBER OF FELONS INCARCERATED BY CLASS LEVEL



Class C adult felons decreased from 29 to 12 (59%) during the same period. There were only 8 adult class B felons and they decreased from 6 to 3 incarcerated defendants. There were 5 adult cases for which there was no baseline or follow-up incarceration information.

Figure 6 shows that the 30 day adult incarceration rate dropped from 92% to 35%. The amount of time defendants spent in jail or prison also declined. 30 days after social worker intervention. 92% of adults spent an average 22.7 days incarcerated at baseline. At the six month follow-up only 35% of adults were incarcerated. They spent 9.1 days on average in jail or prison 30 days

Figure 6: PERCENT INCARCERATED 1-30 DAYS



before the follow-up interview. This is a statistically significant change as it saved the taxpayer the cost of incarceration (not to mention the positive impact on the defendant and his/her families' lives). Only 33% of juveniles were incarcerated before the baseline interview. Thus, there was little reduction in the percentage from baseline to follow-up: average days of incarceration went from 8.2 days to 6.8 days.

Social workers played a direct role in the reduction of our clients' sentences. The overburdened actors in the criminal justice system rarely have sufficient time to fully explore community treatment alternatives to incarceration (leading to increased sentences and precious little treatment). Unlike those judges and attorneys, social workers' primary function in the process is to seek cost-effective treatment solutions. Their involvement in the process demonstrated a dramatic difference between potential incarceration time before baseline and actual time given at sentencing. Social workers' efforts to obtain alternative community-based treatment led to a reduction of total time given by 10,000 days (27 years) per social worker. The Pilot achieved a total incarceration reduction of 82 years.

The adult six month **recidivism rate was 18%.** 118 adult defendants were incarcerated at the baseline interview and 22 of these defendants never left jail or prison. The remaining 96 adult defendants were released from jail or prison, 79 adults (82%) never returned to jail or prison during the six month period, but 17 (18%) of the 96 defendants did.

The recidivism rate for juveniles is less illuminating because only 9 were incarcerated at baseline. A brief look at this more anecdotal data might nonetheless be helpful. 3 of those 9 youths were incarcerated during the entire six-month period. 25 juveniles were released on bond/terms or dismissed. Only 2 of those re-offended and 1 was re-incarcerated. 6 juveniles were released directly to the community without bond or terms applied or charges dismissed. 2 of these juveniles re-offended and four were re-incarcerated. While these numbers are small, it is a pattern that should be identified for further study.

Substance Abuse Decreased and AA/NA Participation Increased

Table 3 shows a very significant decrease in substance abuse. The biggest decrease in drug use was with marijuana; 72 adults and 14 juveniles used marijuana at baseline and this decreased to 2 adults and 1 juvenile at the six month follow-up, or (97%) and (83%) respectively. Even for those who continued to use marijuana, the amount they used after 6 months was less; it went from 20.2 days in a 30 day period to 12.7 days. The next most commonly used drugs were tranquilizers, pain killers and crack/cocaine. The number of adults using these drugs was about 60-66 of adults at the baseline interview but went down to about 3-4 adults at the six month follow-up interview (a 95% reduction rate).

Alcohol use also decreased significantly; 82 (58%) of adult defendants reported using "alcohol to intoxication" 30 days before the baseline interview, but this was reduced to 6 adults 30 days before the six month follow-up interview; or a decrease of 93%. Juveniles also reported a significant drop in alcohol consumption. Eleven juveniles (28%) reported drinking "alcohol to intoxication" within

Table 3: REDUCTION IN SELECT SUBSTANCES (N=181)

SUBSTANCE USED	NUMBER DEFENDANTS USING		MEAN DAYS USING	
	BASE	6 MTHS	BASE	6 MTHS
MARIJUANA	86	3	20.2	12.7
TRANQUILIZERS/ NERVE PILLS	66	4	18.5	11.3
PAIN KILLERS (OXYCONTIN, etc.)	61	0	21.8	0
COCAINE/CRACK	61	3	13.5	11
METHAPHET./ AMPHETAMINE	16	1	16.8	3
ALCOHOL TO INTOXICATION	82	6	14.5	6.8

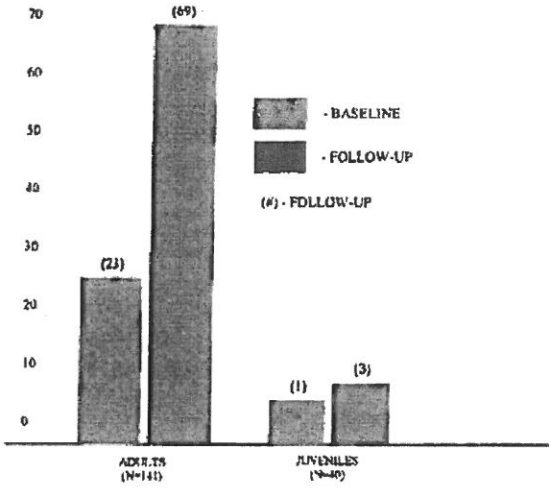
30 days of the baseline interview. This went down to only one case 30 days before the six month follow-up interview or a decrease of (91%).

Figure 7 shows that the number of adults who used AA, NA or other self-help groups tripled after social service involvement. There is a scholarly consensus that participation in these groups dramatically improves the chances that individuals can maintain sobriety. This 300% participation increase (from 23 to 69 defendants) is likely the main reason for their ability to resist substances during the six-month period.

Employment Unchanged Due To Most Defendants Still in Training or Treatment

Results indicate that there was little change in employment status. Only four of the defendants gained employment during the six month period. The responses indicated a change from two unemployed selections to the "other" category. The social workers explained this change as a result of the defendants' participation in treatment or employment training programs and thus were not seeking employment at the time.

Figure 7: PERCENT AND NUMBER ATTENDING AA, NA, GROUP IN PAST 30 DAYS



ANNUAL COST SAVINGS ESTIMATE

Reduced Incarceration Saved $1,371,894

65 adults and 24 juveniles were released on bond or had their charges dismissed and thus were not incarcerated at the follow-up interview. Consequently, they did not serve any jail or prison time after sentencing. Savings for other cases (76 adults and 16 juveniles) were considered (felony, misdemeanor, and juvenile) and level (B, C and D felony, A and B misdemeanor, and juvenile status). The social worker recorded the midrange of the potential sentence the person was facing at baseline minus the actual sentence received at the follow-up. The number of days reduced was multiplied by the cost of a day in jail, prison, or juvenile detention. 365 days of incarceration was assigned for the one year Pilot only. Savings in the subsequent years were not counted.

Kentucky saved a total of approximately 10,000 days of incarceration per social worker (27 years) per social worker) or 30,087 days for three social workers (82 years).

In the period of October 2006 to October 2007, the Social Work Pilot Program saved the Commonwealth $1,371,894 in reduced incarceration costs (adults $830,746, juveniles $541,148).

Estimated Cost of Program and Community Services $1,081,386

The cost of the Social Work Pilot Program included both costs for the social workers and alternative community services. The cost of social workers was $43,000 for each social worker (includes salary and fringe benefits) for a total of $129,000. Costs for alternative community services were obtained from defendants reported use of community services. Social workers asked each defendant how many times they used each service or program. The research staff obtained service unit costs from similar agencies in Jefferson County. For example, mental health case management and counseling visit costs were obtained from Seven Counties Services, Inc. The unit costs and reported service units are shown in Table 4.

The total cost of alternative community services is estimated at $952,386. Thus, the total program and community service cost was $1,081,386.

The Social Worker Pilot Program was Very Cost Effective

The Social Worker Pilot paid for itself and returned approximately **$100,000 per social worker** to the Kentucky coffers. This is an annualized estimate thought to be extremely conservative. The reason this is conservative is it does not include incarceration days saved in the second and third years when B, C, or D felons were diverted

SOCIAL WORK PILOT PROJECT

Table 4. COST ESTIMATE FOR ALTERNATIVE COMMUNITY SERVICES

Service (Unit Costs)	# of Defendants	# Service Units	Total Costs
Mental Health Case Management (287)	60	1685	483,863
Substance Abuse/Alcohol Treatment (58)	91	5681	328,646
Domestic Violence/ Sexual Abuse Counseling (58)	15	1311	75,191
Employment Support/ Job Training (50)	29	832	41,600
Child Care (24)	4	480	11,520
Medical Care (100)	22	67	6,700
Dental Care (75)	6	24	1,800
Family Needs (58)	23	53	3,066
Total Costs	181		5952,386

to treatment, nor does it include the savings in social programs such as foster care and aid to families.

Kentucky **saved $3.25** of incarceration costs for **every $1 invested** in social workers' salaries Thus, the Social Work Pilot Program was cost-effective and illustrates a new savings pathway for the taxpayer in the our grim fiscal environment.

State-wide Implementation

Statewide implementation would generate an estimated savings of at least $3.1 million This is calculated by multiplying the net savings per social worker of $100,000 by 32 new social workers, the number required for DPA's 30 trial offices. Am additional $1 million is the estimated amount saved when considering the second and third years, when B, C, and D felons are diverted to community treatment. The cost of incarcerating a felon for one year in prison costs $18,611 or in jail costs $12,431.

This also includes the savings when children of persons formerly incarcerated are no longer in the foster care system. Foster care per child age birth to eleven is $19.70 per day or $7,190 a year. Foster care per child age twelve and over is $21.70 per day or $7,920 per child per year.

It is fair to estimate that an additional $1 million can be added to the $3.1 million in total net savings per year or $4 million per year by using social workers in public defender offices state-wide.

Consistent with other States

This savings is conservative compared to other states using social workers, including Rhode Island, Colorado, New York, Minnesota. Minnesota uses social workers in their public defender system but call them dispositional advisors. Colorado saved $4.5 million, and Rhode Island saved $15 million by using social workers to divert defendants from incarceration to community-based treatment.

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