



Improving performance to better serve our county residents

Countywide operational performance review –
Santa Barbara Probation Department

December 2020

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Executive summary

Scope and methodology

The County of Santa Barbara (the County) contracted with KPMG in May 2019 to conduct an operational and performance review of all County departments. The Probation Department (Department) review commenced in June 2020. The purpose of this review is to provide a high-level assessment of the Department, identify strengths and opportunities, and benchmark financial and operational areas with similar jurisdictions with the focus to improve the overall operational efficiency, effectiveness, and service delivery provided by the Department.

Over a 16-week period, the KPMG team conducted the following activities:

- **More than 30 interviews** with Department leadership and staff to understand the organizational structure, roles and responsibilities, operations, and processes of the Department.
- **Analysis of data available, reports, and policy documents** to understand the demands upon and the operations of the Department.
- A **benchmarking and leading practice review** was conducted of the County with eight recommended benchmark counties: Marin, Monterey, Placer, San Luis Obispo, Santa Cruz, Solano, Sonoma, and Tulare. Specific additional counties were analyzed based on feedback from Probation Department leadership, subject matter experts, and available online information.

This report outlines the findings of the operations and performance review and details recommendations for the management of the Probation Department.

As revenue and cost constraints grow due to the economic impact of the COVID-19 pandemic, pressure will increase for public safety agencies to diagnose cost drivers and develop savings solutions—without undermining the delivery of public safety services to county residents. Given this fiscal environment, this report outlines recommendations to help maximize the impact of the Probation Department’s available resources through optimized population, staffing, workload, and performance management, as well as technology and process improvements.



Executive summary

Department orientation

Mission statement: The Probation Department’s mission is to protect and serve the community by providing information and recommendations to the Courts; providing safe, secure, and effective juvenile detention and treatment programs; enforcing court orders and supervision and release conditions, requiring client responsibility/accountability, and supporting rehabilitation; and supporting victims of crime by facilitating reparation and restitution collection.

Probation Department responsibilities within the scope of this review:

- 1 Provide custody, education, vocational, and treatment services for youth detained at the Santa Maria Juvenile Hall (SMJH) and the Los Prietos Boys Camp (LPBC).
- 2 Provide assessment, investigation, pretrial, and supervision services for justice-involved individuals
- 3 Provide victim assistance through notification services and the collection of restitution.

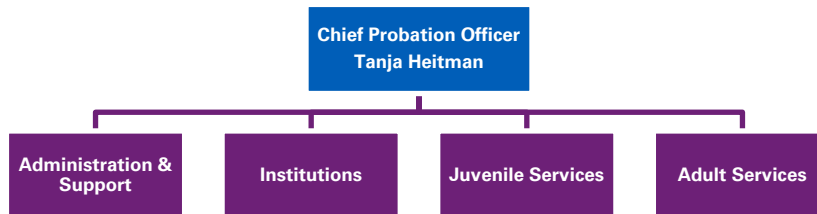
Recommended budget (2020/21):

\$61.9M	\$0K	337
Operating Expenses	Capital Expenses	Full-time Equivalents (FTE)

County benchmarks:

		Santa Barbara County	Average
		Budgets in \$'000	
FY19	<i>Probation FTE</i>	328	216
	<i>Percent of Enterprise</i>	7.71%	6.02%
	<i>Probation Budget</i>	\$58,932	\$45,489
	<i>Percent of Enterprise</i>	5.16%	3.98%

Organizational structure



Executive summary

Commendations

Staff dedication

The staff of the Probation Department demonstrated a clear commitment to the pursuit of justice and to supporting their clients. Department management and leadership cited numerous examples of staff who work long hours to carry heavy workloads or overcome administrative or process obstacles to deliver results for the Department.

Reduction in juvenile detention

In recent years, the Department has dramatically reduced the County's use of juvenile detention. Prior to this work, one-third of youth in Juvenile Hall were in custody for a technical violation and half of youth at the Los Prietos Boys' Camp had committed only misdemeanor offenses. To reduce the in-custody population, the Department has implemented initiatives such as revised booking criteria, an updated risk assessment tool, a graduated sanctions matrix, and the expansion of trauma-informed care in place of traditional models of compliance-based supervision.

Efforts to reduce technical violations in the adult population

The Adult Services Division has commendably been working to reduce the use of probation revocations. Recognizing that 45 percent of the pre-pandemic jail population had Probation involvement, Department leadership has instituted enhanced oversight of revocations to help ensure they are used only when a client poses a "imminent, contemporaneous public safety issue." Additionally, the Department has implemented a bank caseload (i.e., low-risk caseload) reduction project to allow eligible clients to terminate their probation in response to sustained good behavior or other positive achievements.

Commitment to data and outcome measurement

The Department's Research and External Affairs team has been working to revise the performance measures in its contracts with third-party providers, who deliver services to Probation clients. These updated measures focus on client outcomes, rather than contractor outputs. The Juvenile Division contract performance measures have been revised, while the Adult Division contract performance measures revisions are targeted for the upcoming year. This report details recommendations to further expand performance measurement at the Department. However, it is important to note that leadership and management Department-wide embrace data-driven assessments of Department operations.

Creation of the Master Name Index (MNI)

The Department should be commended for its lead role in developing the MNI. The impetus behind the MNI is to increase data sharing between the Santa Barbara County justice-related departments. It allows for the bidirectional sharing of information into a secure portal that allows for accurate status updates regarding the people involved with multiple departments. The County's four criminal justice departments (Sheriff, Probation, Public Defender, and District Attorney) are committed to the MNI, as is the Court, and implementation is proceeding. In addition, Behavioral Wellness (BeWell) has also committed to the project and signed the memorandum of understanding (MOU). The creation and expansion of the MNI has largely been driven by the Probation Department.

Executive summary

Renew '22 Mapping

The recommendations made within the Department operational and performance review have been aligned to the Renew '22 Transformation Behaviors to help ensure that the recommendations are driving toward the Renew '22 strategic vision, as seen in Figure 1 below. The blue tiles identify the Renew '22 Transformation Behaviors that align to each recommendation.

		Transformation Behaviors				
		Alignment with Vision	Data Driven Decision Making	Strategic Thinking	Risk Taking	Collaborative Problem Solving
Department Recommendations	1.1	Develop overarching strategic plan to align Department operations, new initiatives, and budget development to strategic priorities				
	1.2	Strengthen capacity for monitoring and planning for legislative changes, and review processes for communicating information to staff				
	2.1	Review senior staff responsibilities to enhance delegation of tasks to the appropriate staff level and right-size manager workload				
	2.2	Develop a proactive strategy to enhance succession planning and Department resiliency				
	3.1	Enhance use of an activity-driven, workload-based caseload allocation model to inform staffing and budgeting decisions				
	3.2	Continue commitment to analyzing drivers of Probation and Post Release Community Supervision (PRCS) revocations to improve client outcomes while maximizing state funding				
	4.1	Continue efforts to utilize demand-based, data-driven staffing to best align workforce to changes in population size and supervision philosophy				
	4.2	Develop a strategic roadmap to guide and prioritize ongoing expansion of rehabilitative programming				
	4.3	Expand scenario planning for excess Juvenile Hall and Camp capacity to maximize impact of County resources				
	5.1	Develop a data management strategy to improve the quality and efficient use of data across the Department				
	5.2	Expand performance measures to increase insight into staff activities and Department operations				

Figure 1: Source: KPMG LLP

Executive summary

Department recommendations

Department recommendations relate to the systems and processes needed for the Department to more efficiently manage its operations in delivering public safety services to County residents.

#	Department recommendations
Strategy and budget	
1.1	Develop overarching strategic plan to align Department operations, new initiatives, and budget development to strategic priorities
1.2	Strengthen capacity for monitoring and planning for legislative changes, and review processes for communicating information to staff
Organizational structure	
2.1	Review senior staff responsibilities to enhance delegation of tasks to the appropriate staff level and right-size manager workload
2.2	Develop a proactive strategy to enhance succession planning and Department resiliency
Community supervision	
3.1	Enhance use of an activity-driven, workload-based caseload allocation model to inform staffing and budgeting decisions
3.2	Continue commitment to analyzing drivers of Probation and Post Release Community Supervision (PRCS) revocations to improve client outcomes while maximizing state funding
Institutions	
4.1	Continue efforts to utilize demand-based, data-driven staffing to best align workforce to changes in population size and supervision philosophy
4.2	Develop a strategic roadmap to guide and prioritize ongoing expansion of rehabilitative programming
4.3	Expand scenario planning for excess Juvenile Hall and Camp capacity to help maximize impact of County resources
Data-driven decision-making	
5.1	Develop a data management strategy to improve the quality and efficient use of data across the Department
5.2	Expand performance measures to increase insight into staff activities and Department operations

This report details recommendations that can be implemented by the Department to enable increased operational efficiency and effectiveness. However, the performance and operations review also identified challenges and improvement opportunities affecting the Department, which will require interagency collaboration to implement. Referenced below, these interagency recommendations will be detailed in an addendum report to the CEO. Below are some examples, and areas of focus:

Interagency observations

Observation and analysis

Collaborate with other County departments to procure translation services (Mixtec)

- As noted in the reviews of the Public Defender’s Office and Sheriff’s Office, Probation staff also report challenges serving individuals with limited English proficiency, specifically individuals who speak Mixtec. Probation Department staff do not presently report challenges related to Spanish translation. However, should the County pursue the development of an interagency solution to translation services, there may be efficiencies and benefits to including the Probation Department in this effort.

Work with CEO’s Office to improve data sharing between departments

- As noted previously, the Department should be commended for originating and driving the creation of the MNI to facilitate the sharing of data between all criminal justice departments. There is an opportunity to build on this work to include additional County departments who commonly deliver services to justice-involved individuals. For example, interviewees report that expanded data sharing between Behavioral Wellness and Probation would be useful in helping to design case management plans for clients who may have an existing relationship with Behavioral Wellness, particularly given that untreated mental health conditions may be a driver of criminal activity in some cases. Probation Department leadership notes that Behavioral Wellness has committed to the MNI project and signed the MOU to participate. Building upon this work, the Probation Department should collaborate with the CEO’s Office to develop bidirectional data sharing agreements with Behavioral Wellness that align with health privacy regulations but enable the more effective delivery of mental health services to individuals under supervision. Similarly, the CEO’s Office should collaborate with the Probation Department to support the continued development of the MNI and its adoption across all county public safety departments. Due to the high number of departments within the County that are justice-adjacent, this might be an area in which multidisciplinary teams would be appropriate to help guide decision-making and data sharing efforts.

Review fund balance planning to support interagency goals and outcomes

- In 2011, the State of California passed AB109 and began issuing funding to the counties for local criminal justice initiatives. Currently, the AB109 fund balance is reflected in the Probation budget; however, Probation is best described as stewards for the money, and the funding is allocated by the Community Corrections Partnership (CCP), which comprises stakeholders such as the Sheriff, Public Defender, District Attorney, Chief Probation Officer, CEO, BeWell, Board of Supervisors, and members of the community.
- There is approximately \$15 million currently in the AB109 fund balance, \$10 million of which is currently encumbered. A common theme among all public safety department in the County has been regarding data sharing and data utilization. While the previous recommendation describes the need for data-sharing agreements to facilitate a bidirectional manual sharing of data, there should also be a focus of the CCP to invest in improving the connectivity and information sharing of systems. While the Master Name Index is a good start, only two departments are actively participating leaving the majority of the public safety, and public safety-adjacent, departments realizing no benefits. Following data sharing, the above listed initiatives will be able to be implemented.

Executive summary

Current and recommended operating model

Figure 2 below summarizes the Probation Department’s current-state operating model across six design layers, as well as the target state that can be achieved by implementing the recommendations in the following sections. Each operating model layer describes a continuum of maturity that articulates how the Probation Department can be designed to deliver services optimally. These layers were also used to structure the observations, analysis and recommendations of the review of the Probation Department. Detailed descriptions of the six design layers can be found in Appendix D.

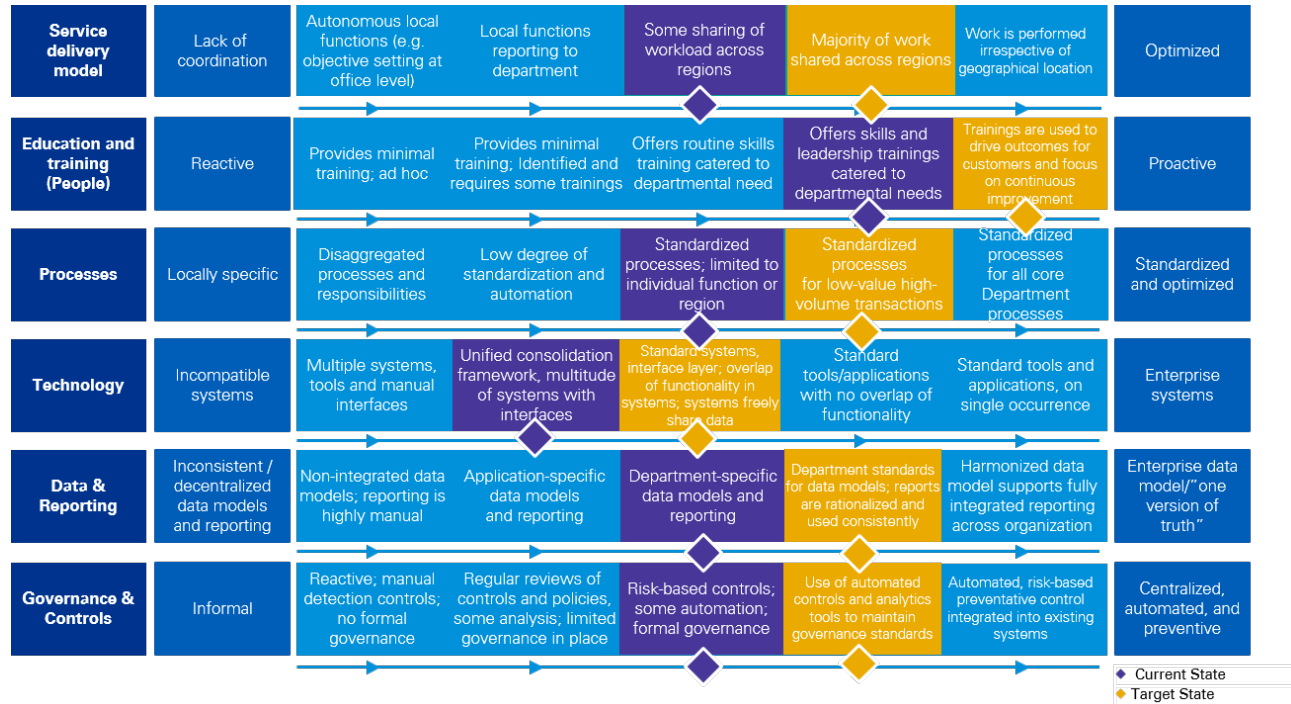


Figure 2: Source – KPMG LLP

Department recommendations

Department recommendations relate to the systems and processes needed for the Probation Department to more efficiently manage its operations in delivering public safety services to County residents.

#	Department recommendations
Strategy and budget	
1.1	Develop overarching strategic plan to align Department operations, new initiatives, and budget development to strategic priorities
1.2	Strengthen capacity for monitoring and planning for legislative changes, and review processes for communicating information to staff
Organizational structure	
2.1	Review senior staff responsibilities to enhance delegation of tasks to the appropriate staff level and right-size manager workload
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4.1	Continue efforts to utilize demand-based, data-driven staffing to best align workforce to changes in population size and supervision philosophy
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4.3	Expand scenario planning for excess Juvenile Hall and Camp capacity to help maximize impact of County resources
Data-driven decision-making	
5.1	Develop a data management strategy to improve the quality and efficient use of data across the Department
5.2	Expand performance measures to increase insight into staff activities and Department operations

Strategy and budget

1.1

Develop overarching strategic plan to align Department operations, new initiatives, and budget development to strategic priorities

Observation and analysis

Department leadership has commendably launched numerous initiatives in recent years to continuously improve the Department's supervision philosophy and strategies to help ensure they are in line with leading practices:

- In the Adult Services Division, the Department has launched an initiative to reduce the Department's bank or administrative caseload and reduce the use of revocations to instances in which a client presents an "imminent, contemporaneous public safety issue."
- In the Juvenile Supervision and Institutions Divisions, this work has primarily focused on implementing trauma-informed care, for example by shifting away from traditional models of compliance-based community supervision and reducing the County's use of detention.
- In the Administrative Division, the Department's Research and External Affairs team has been working to revise the performance metrics detailed in its contracts with service providers from a focus on compliance and outputs to a focus on outcomes. Once renegotiated, these contracts will contain performance metrics that align with the outcomes agreed to by the vendor, enabling the Department to conduct a cost benefit analysis when assessing the efficacy of the contract.

While it is clear the Department's leadership is working to revamp the Department's supervision philosophy and practices, there is not an overarching strategy document that ties together the implementation of these various initiatives and creates a robust implementation and monitoring plan. In interviews, Department leadership mentioned that strategic planning has at times been difficult to prioritize, given leadership turnover and other pressing challenges facing the Department.

The Department could benefit from creating a clear and concise document that outlines the Department's strategic priorities and links them to ongoing and planned initiatives. This document should include implementation plans for key initiatives, documenting the required funding and staffing for effective implementation, as well as prioritization and sequencing across these initiatives. This document should also be used to inform the Department's performance management efforts, guiding the development of performance indicators that monitor and reinforce the Department's progress toward overarching strategic goals and document the impact of these initiatives on client outcomes. Finally, the priorities outlined in this document may be useful in guiding cultural and operational decisions around issues such as training, recruiting, and promotions.

At present, the Department does produce multiple annual reports that define the goals, strategy, desired outcomes, and programming for the upcoming fiscal year. Examples are the Comprehensive Multi-Agency Juvenile Justice Plan and the Public Safety Realignment Plan. However, these documents appear siloed by client population or funding stream (e.g., they may only cover activities related to the juvenile population or a specific grant). Additionally, they do not appear to be incorporated into the budget-setting and review processes, and instead seem to be a product of required reporting enumerated from the State. This recommendation outlines a multistep strategic review process, which can be led by the Research and External Affairs team with oversight from Division leadership, to develop an overarching strategic plan, align the Department's ongoing initiatives to the priorities outlined in this plan, and then deployed to guide decision-making around issues such as funding, performance management, training, and hiring.

- **Action 1: Codify the Department's overarching strategic priorities:** This may involve compiling priorities and language from existing reports including the budget documents, annual reports,

grant reports, and policy presentations. This effort should prioritize the development of concise, action-oriented documents outlining the Department’s strategic goals.

- **Action 2: Map division activities to enumerated goals and areas of focus:** The Research and External Affairs team should work with Division leadership to map the Department’s current activities and initiatives to the goals enumerated in the Department’s strategic plan. Department leadership should clarify how operational objectives and activities across divisions contribute to the broader department-level goals and, ultimately, with goals identified as part of Renew ‘22.
- **Action 3: Realign division budgets and activities to match strategic goals and establish a prioritization structure for key initiatives:** The mapping exercise described above will provide a high-level view of the Department’s current operations that can inform leadership decision-making around activities that should be prioritized or sequenced appropriately. These prioritization decisions should be incorporated into the Department’s budgeting process, helping to ensure that activities that align with the Department’s strategic goals receive the appropriate funding and staffing they need to succeed. Below is an example of a framework that enables a more collaborative relationship within the Department to help ensure that budgeting and forecasting is driven by the strategic direction of the County, Department goals, and operational, workforce and capital/investment needs.

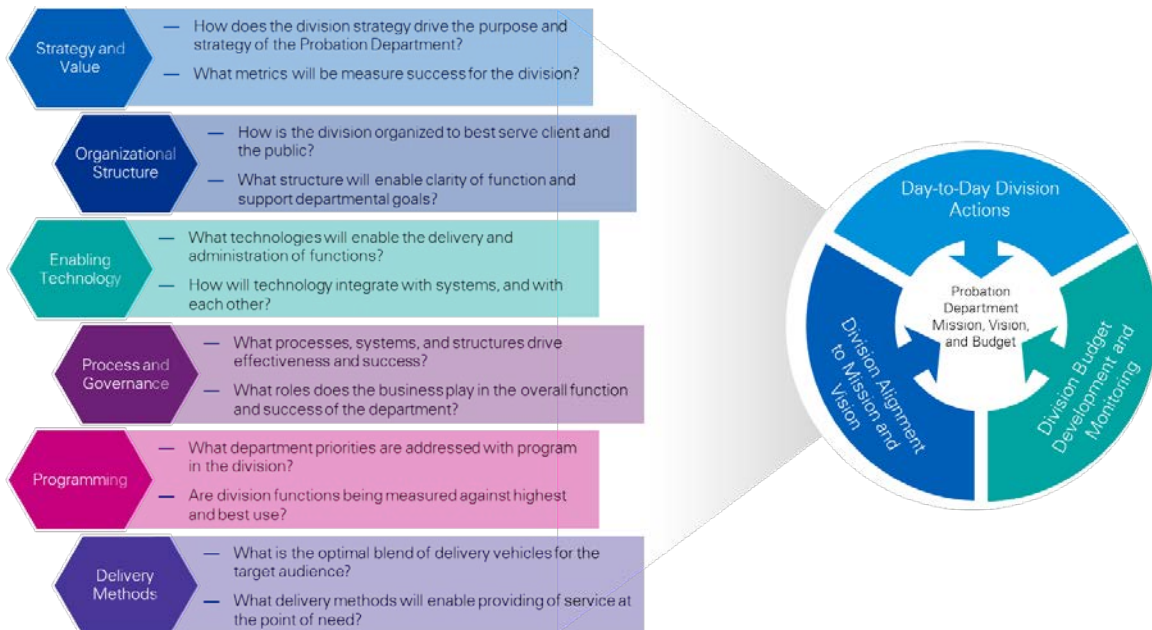


Figure 3: Source – KPMG LLP 2020

- **Action 4: Incorporate overarching strategic goals into Department operations:** The strategy document described in this recommendation can be used to guide management decision-making around performance management frameworks, hiring and recruiting, training, and performance reviews. For example, the implementation plans created for the strategic plan will help Department leadership decide whether it is feasible to undertake multiple initiatives simultaneously or whether it will be necessary to prioritize and sequence the implementation of new programs, based on the Department’s staffing and resources. Additionally, client outcome data will allow the Department to identify and resolve challenges as they arise and, when programs are successful, to build a business case for continuing or expanding these initiatives based on the established key performance indicators (KPIs) and outcomes.

Anticipated impact

Aligning department budgets and actions to the overall department mission and vision will focus operations, promote a unified department strategy, and support the goals of the county outlined in Renew

'22. Aligning performance metrics to these goals, as described above, should help ensure proper execution and evaluation of the success of initiatives.

1.2 Strengthen capacity for monitoring and planning for legislative changes and review processes for communicating information to staff

Observation and analysis

The Department's operations are significantly and frequently impacted by state and federal regulation. The method and frequency of engagement with clients, the number of clients and caseloads allowed per employee, the types of clients managed by the county as opposed to the state, and the reporting structure and frequency are all guided by those regulations. Adding complication to the litany of regulations, the Department operates as the field of juvenile justice is in a period of rapid change. Examples of recent, pending, or potential changes required by the state are:

- Revised reporting requirements for juveniles
- Elimination of the use of pepper spray by juvenile institution officers
- Changes in the funding of programs such as AB109
- Realignment of youth sentenced to Department of Juvenile Justice (DJJ) facilities to local jurisdictions.

The Department dedicates significant staff time to tracking legislation that may affect Department operations. At present, much of this effort comes from the deputy chiefs, who are responsible for tracking legislative changes and preparing for their implementation.

It is recommended that the Department maintain its emphasis on proactively tracking and preparing for legislative changes. To maximize the efficiency and effectiveness of these efforts and to communicate the operational impact of these changes to staff, it is recommended that the Department consider two opportunities:

- **First, designate internal staff member(s) to track and monitor potential regulatory changes.** Deputy Chief oversight of this legislative tracking will be required, given the specialized knowledge to conduct this work effectively. However, it may be possible to delegate some of this workload away from the deputy chiefs and to a designated staff member, thereby allowing the Department's most senior staff more capacity to focus on other key responsibilities. One option would be for this position to be housed on the Department's Research and External Affairs team, and the role would be focused on identifying bills and regulation changes that would impact the operations of the Department, summarizing the impacts, developing fiscal and operational impact analysis, and notifying the relevant stakeholders in the Department. The Department should investigate whether there is a current staff member, either on the Research and External Affairs team or elsewhere, who would be positioned to take on this workload to support the Deputy Chiefs.
- **Second, review processes to communicate legislative changes to Department staff.** Department leadership notes that legislative changes are communicated to staff at policy council meetings, division meetings, administrative meetings, and in minutes from those meetings which are made available on the Department's portal. At the same time, leadership noted that there may be inconsistencies across divisions in how these changes are communicated. To help ensure that supervisors and line staff are aware both of the Department's investment in legislative tracking and of operational changes well in advance of their implementation, the Department may benefit from reviewing existing processes related to communication of potential or pending legislative changes.

Anticipated impact

Delegating responsibility for tracking relevant legislation away from the Deputy Chief level will free up capacity for Department leadership to focus on other pressing issues. Additionally, reviewing practices for communicating about upcoming legislative changes to Department staff will help ensure staff are aware of the Department's efforts to proactively prepare for legislative changes and feel they have sufficient notice and involvement to implement any required changes.

Organizational structure

2.1 Review senior staff responsibilities to enhance delegation of tasks to the appropriate staff level and right-size manager workload

Observation and analysis

Based on interviews, the Department's leadership, specifically at the manager level and above, encounters two intertwined challenges that contribute to bottlenecks and operational inefficiencies.

First, significant numbers of funded yet unfilled positions increase the responsibilities and span of control expected to be handled by each manager, as they attempt to manage a portfolio designed to be spread across multiple FTEs:

- In the Adult Services Division, of three budgeted FTEs, only one manager position is currently filled. The Division's two vacancies have persisted since early 2020. Following the completion of interviews for this report, one of the manager vacancies was filled as of November 2020.
- The Institutions Division has two manager positions in its budget, yet only one is filled.
- The Administrative Division has filled its only budgeted manager position, but an Administrative Office Professional (AOP) Expert position that is intended to provide managerial support remains vacant.

Second, Division leaders or managers may carry responsibilities that could be delegated to less senior or nonsworn staff.

- While the leadership position within the IT team is filled, at the time of the interview, the IT Division had three vacancies out of seven funded positions. Due to these vacancies, the Chief Innovation Officer (CIO) is the only person in the IT Division with the expertise to conduct coding and report development support. As a result, this senior leadership position dedicates significant time to tasks that would typically be delegable to lower cost staff.
- The Adult Services Manager carries responsibilities that may not require sworn expertise, including the review of contracts and invoicing compliance. It is important to note that the Department has made an effort to shift delegable responsibilities away from this staff member, given the breadth of their portfolio. It is recommended that this effort continue to right-size the workload carried by this manager.
- The Department's Professional Standards Unit Manager position also bears responsibilities that do not appear to require sworn expertise, including oversight of the Department's HR functions. Some duties assigned to this role, such as peace officer training, citizen complaints, and internal affairs investigations, may need to be carried out by sworn staff. However, at a time when the Department is carrying unfilled manager positions in the Adult Services and Institutions Divisions, the Department should assess whether there are opportunities to civilianize a subset of the responsibilities carried by this sworn manager to allow for realignment of managerial staffing across the Department.

The recommendation below outlines steps the Department can take to realign workload to the most appropriate staff level, expand delegation, and adjust its workforce mix. In doing so, this reallocation will allow the Department to most efficiently utilize its current workforce, allowing senior staff to focus their attention on strategic decision-making and the highest profile items while delegating other matters. Simultaneously, the Department could benefit from collaborating with County HR to identify and address the underlying causes of vacancies within the Department.

Action 1: Document and analyze current manager responsibilities and spans of control across all divisions

Interviewees noted that some managers throughout the department currently carry a workload that may not be feasible for one employee, a trend that is exacerbated by the Department's vacancies. For example, interviewees reported that both the Adult Services Manager and Operations Manager carried a large span of control at the time of our interviews, although the Department was in the process of filing vacancies, one of which has now been filled after seven months, and revising roles and responsibilities to address these challenges, as detailed below. To build on this work, the Department may benefit from deploying the workload analysis described in Recommendation 3.1 to review and rightsize manager workload across the Department – helping to ensure that workload and spans of control are delegated equitably and efficiently across divisions.

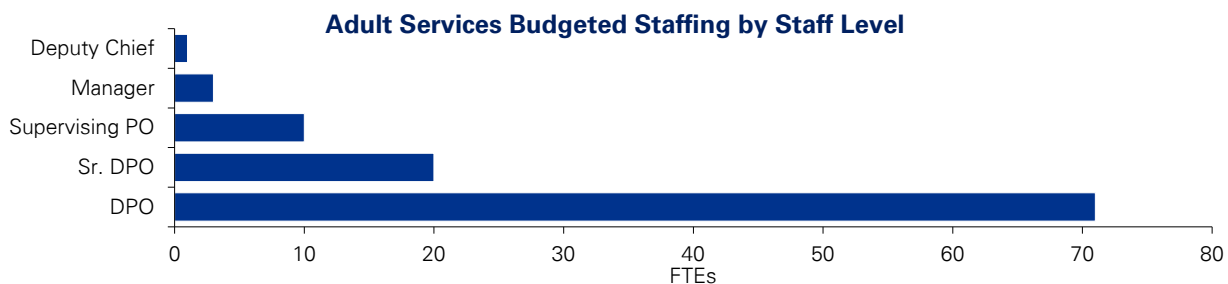


Figure 4: Source: Santa Barbara County Probation Department FY21 Budget

An analysis prepared for the National Institute of Corrections in 2011 of the Community Based Correctional System in Iowa¹ found that the highest span of control a probation supervisor should have is 7:1, also noting that going above that span of control creates challenges in the “continued implementation and sustainability of effective, evidence-based practices.”

The Operations Manager in the Administrative Division currently oversees seven supervisor positions across the Department's Adult Services, Juvenile Services, and Institutions Divisions, as well as a handful of nonsupervisory direct reports within the Administrative Division. It is important to note that the supervisory responsibilities for this position are under review, and that the Department is looking to fill an AOP Expert position that would carry some of these supervision responsibilities. As the Department further defines the supervisory responsibilities for this position, it is recommended that Department leadership consider balancing workload across the Operations Manager and AOP Expert positions.

Finally, while the Institutions manager oversees just three Supervising Probation Officers, this portfolio includes oversight of two correctional facilities that are 50 miles apart and employ approximately 75 staff. Institutions leadership report that the manager vacancy results in less attention dedicated to activities such as strategic planning, outcome analysis, community meetings, and training.

When their workload grows beyond what can be managed by one FTE, managers respond by prioritizing the core responsibilities that are necessary for Division operations to continue functioning, while deprioritizing other tasks that may be deemed noncritical. For example, interviewees reported that tasks such as policy revision, community meetings, and cross-jurisdictional meetings may be deprioritized due to workload limitations. As a first step to right-sizing senior staff workload, Division and team leadership should build on the analysis and observations above to fully document their current direct reports, core responsibilities, and spans of control. This list should help guide division and department leadership in identifying tasks that can be delegated or realigned, as discussed below, but should also help to identify the tasks that can be de-prioritized due to limited supervisor time.

¹ <https://s3.amazonaws.com/static.nicic.gov/Library/024881.pdf>

Action 2: Delegate eligible responsibilities to nonsworn manager positions or more junior staff

Based on the documented responsibilities and spans of control, Department leadership should assess opportunities to delegate responsibilities from the Department's current managers to other staff. Based on interviews, opportunities may include:

- The CIO has been performing the majority of the custom coding and report development support for the Department, a bottleneck the Department hopes to resolve when it can fill its funded vacancies. In the interim of filling the IT vacancies, the Department should investigate options for interdepartmental collaboration with the General Services ICT Division to support some of these coding and programming responsibilities, allowing for them to be shifted from the CIO. In the midterm, the Department should collaborate with County HR to assess the barriers to filling these IT positions: specifically, a disconnect between the position salary and responsibilities, and the option to hire a more junior employee in an Extra Help capacity to manage some of these responsibilities.
- The Department may benefit from the creation of a civilian managerial position in the Adult Services Division. In recent years, the Department created its first nonsworn manager position, which currently oversees the Research and External Affairs team. Within the Adult Services Division, Department leadership should assess whether administrative and analytical managerial responsibilities can be consolidated and delegated to one nonsworn manager position, which may face fewer barriers to hiring. This would reduce the workload on the current sworn manager position, who is widely viewed to be managing an overly broad workload. It should be noted that Department leadership has been working to delegate eligible responsibilities to nonsworn staff where possible.
- Similarly, Department leadership should consider whether there may be benefits to civilianizing the Professional Standards Unit Manager position. A majority of responsibilities carried by this position do not appear to require sworn expertise, such as HR-related duties and managing citizen complaints. Additionally, converting this role to a nonsworn managerial position would allow for the reallocation of the current sworn staff member to fill a vacant budgeted manager position elsewhere in the Department, given that managers have often transitioned from the Professional Standards Unit role into manager positions in other divisions. Responsibilities currently carried by the Professional Standards Unit Manager that do require sworn expertise—for example, some functions related to peace officer training—likely do not occupy a majority of the position's time and could be allocated to one of the Department's other sworn managers.

The list above is intended to provide a starting point for Department leadership, rather than a comprehensive list of all opportunities. Given the Department's challenges recruiting staff to fill its manager positions, it is particularly critical for Department leadership to confirm the tasks and workload prioritization allocated to managers are aligned with the Department's strategic priorities.

Anticipated impact

By reviewing management responsibilities to prioritize strategic tasks and by delegating work to the appropriate staff level, Department leadership and management will be better able focus on the strategic functions and decision-making that they are best equipped to handle. This recommendation has the potential to increase the quality and level of service provided by the Department, without hiring staff or procuring new technology.

2.2 Develop a proactive strategy to enhance succession planning and Department resiliency

Observation and analysis

In recent years, the Probation Department experienced near-complete turnover among its executive staff, which was then followed by the departure of a number of managers and other experienced team members. Department leadership note that much of this turnover stemmed from earned retirements, and that voluntary staff turnover at the Department is low. Additionally, interviewees noted that Department leadership appreciate the need for strong succession and workforce planning strategies. This is especially true for those positions which require strong functional and technical knowledge.

To achieve this, the Department should consider formalizing a collaborative effort with County HR based on the hybrid model outlined in the Review of the Human Resources Department. In the review, it is recommended that the County develop a shared service strategy to create a more structured workforce development and succession plan across all departments, including Probation. This effort should be led by the Probation Department's Professional Standards Unit in collaboration with County HR.

During line staff interviews, it was noted multiple times that frustration and burnout among staff can be high. It is important to note that these interviews took place during the COVID-19 pandemic, which has placed an additional strain on staff. Separately, during leadership and line staff discussions, employee salary and cost of living challenges were consistently cited as reasons for vacancies and voluntary departures.

Succession planning is a priority area countywide. To prepare to more efficiently navigate staff turnover in the future, the Department could benefit from developing processes to document the priority skill sets and critical processes required for its current operations, identify existing skills gaps within its workforce, identify positions which lack adequate succession planning at present, and implement programs to train or recruit staff to address these skill set or resiliency gaps.

By dedicating staff time to succession planning, and leveraging the support of County HR, the Department can build resiliency while adopting a more proactive approach to workforce planning and development. Outlined below are a series of iterative steps to improve succession planning across the Department.

- **Action 1: Perform a position-level skills assessment:** The Department should conduct an assessment of the desired skill set for core positions Department-wide. This work should document key responsibilities, required expertise, and any existing succession plans for each position. In interviews, managers and supervisors mentioned that they at times felt unclear as to the desired skill sets for employees, and as the Department shifts to a new model of care, understanding what the desired skills sets of staff are is extremely important. This exercise can remedy confusion about the skills required for success at each position. Additionally, it may be beneficial to note how core competencies may have shifted with the Department's heightened emphasis on increasing wrap around services during case management and supervision.



Figure 5: Source - KPMG LLP 2020

- **Action 2: Assess training needs and adequacy of current succession planning processes at the position level:** Building on the findings of the skills assessment, Department leadership should identify whether particular positions could benefit from additional training to better align the current workforce's skill set with the Department's skill set needs and new supervision philosophy. Additionally, this review should identify single points of failure across the Department, for example, staff who lack a replacement should they depart. It should be noted that this

challenge with single points of failure is most pressing among the Department's IT and Research and External Affairs team, and that Department leadership has expressed awareness of this challenge.

- **Action 3: Develop procedures to document critical information and transfer across staff:** Interviews noted that the Department lacks documents memorializing key processes related to department operations (one key example related to SQL code is detailed in the Data and Technology section of this report). Division managers and supervisors should identify key tasks and processes performed by each unit and prioritize the documentation of relevant instructions and key pieces of information (e.g., data dictionaries, policies and procedures).
- **Action 4: Utilize cross-training to address single points of failure:** Cross-training is a critical aspect of organizational resilience, and a key component of succession planning. Examples of this are teamwork, rotational positions, job sharing, job shadowing, interviewing, and mentoring. Department leadership should collaborate with supervisors to help train and identify staff to provide resiliency to any positions that are currently single points of failure and lack an adequate succession plan. While the Department recognizes the value of cross-training, and in some discreet instances requires it, it is not a codified policy throughout the Department.
- **Action 5: Redesign training, mentorship, and leadership programs to address skills gaps:** Building on the findings of the above skills and training assessments, Department leadership should develop an action plan to address any identified skills gaps among its current workforce. Based on interviews, it is possible the Department may benefit from additional trainings to accompany its transition to a case management-focused supervision model. For example, in recent years, the Department has prioritized the increased use of de-escalation techniques in Institutions, the greater adoption of risk assessments tools, and a shift away from the use of pepper spray. This transition requires staff to adopt not only additional skills but also requires a different temperament from staff. To support this transition, Department leadership should consider not only traditional trainings but also tools such as leadership and mentorship programs. While the Department previously operated a leadership training program, this program is no longer operational.
- **Action 6: Collaborate with County HR to modify pay and incentives to create a promotion pathway that encourages recruiting, retention, and advancement:** A consistent topic of discussion during interviews was the lack of enthusiasm among supervisors to promote into leadership positions. This reticence appears to stem from a disconnect between pay and responsibilities. Specifically, manager positions were viewed as requiring a significant increase in responsibility without a commensurate increase in pay. Additionally, interviewees noted that some manager positions appeared to have large spans of control that did not set them up for success. Salary analysis supports the assertion that these promotions may not result in a financial reward commensurate with the increase in responsibility. The average pay of a Supervising Probation Officer is approximately \$101,000 while the starting pay for a Probation Manager is approximately \$99,000, 2 percent below the average pay for a supervisor. While the average pay for a Probation Manager is approximately \$122,000, newly promoted managers may be at the lower end of manager pay range, meaning they would receive significant additional responsibilities without a commensurate pay increase. The impetus of this recommendation isn't that they would take a pay cut to take a job, but that the average salary of a supervisor is more than the starting pay of a manager, which doesn't create a large enough incentive to promote. As shown below, when compared to cohort counties, Santa Barbara ranks the lowest in the different pay differentials between the equivalent of supervisor and manager. While most supervisors would not promote into the bottom of the Manager salary range, there is not a likelihood that they would promote into the high side either, creating a disincentive that is compounded by the difference in the amount of work a manager is expected to performed as compared to a supervisor. Department leadership should work with County HR to assess the manager salary range to create a monetary incentive for supervisors to promote to manager and fill funded vacancies.

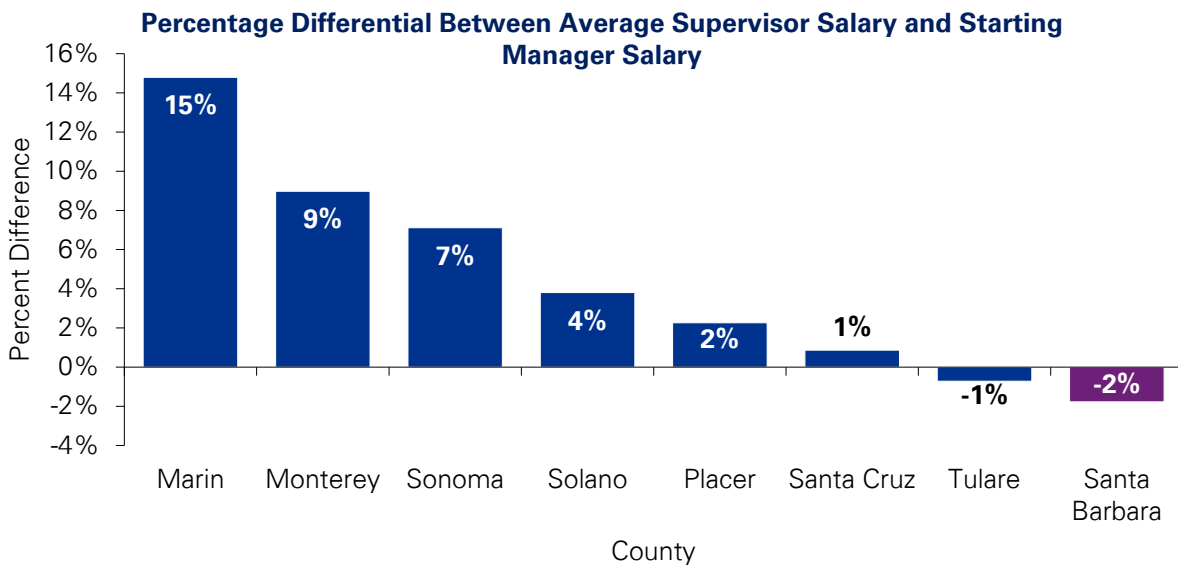


Figure 6: Source – KPMG LLP analysis of Probation Department data

All the recommendations above can be conducted independently or concurrently and will allow for the Department to not only better prepare for knowledge and skills transfer, but reduce the risk associated with the loss of institutional knowledge and increase the overall resiliency of the organization.

Anticipated impact

While the skill set analysis and succession planning exercises documented above will require an up-front investment in staff time, this investment will prepare the Department to better weather staff turnover. The resulting documentation, cross-training, and succession planning will help prevent a disruption in operations as the Department experiences turnover going forward. This will also allow the Department to enhance their overall strategic planning effort and better utilize available tools which can be leveraged to address current and future challenges.

Community supervision

3.1 Enhance use of an activity-driven, workload-based caseload allocation model to inform staffing and budgeting decisions

Observation and analysis

In both the Adult Services and Juvenile Services divisions, probation officers provide mandated supervision to clients in the form of direct contacts, referrals to and oversight of participation in counseling and treatment, and the production of court reports containing dispositional recommendations. These services are designed to facilitate client rehabilitation, accountability, and community safety, and they require Probation Officers to work collaboratively across county agencies, with key partners including the courts, behavioral health services, substance abuse programs, veterans’ services, and community-based organizations.

The Department classifies clients by risk level, placing individuals into three categories: high, medium, or low risk. A client’s risk level is determined through the use of multiple risk assessment tools. The Adult Services Division runs its initial risk assessment via the Adult Risk Initial Screening Tool (ARIST), and if further assessment is needed, they will use the Correctional Offender Management for Profiling Alternative Sanctions (COMPAS) assessment. The Juvenile Services division relies on the Positive Achievement Change Tool (PACT) assessment as of 2019. Adult risk reassessments occur every 8 months or when a significant event occurs, such as a violation of probation, while juvenile probation having an optional reassessment at 3 months and a mandatory reassessment at 6 months. While there are no national standards for the frequency in which reassessments occur, benchmarking indicates that Santa Barbara County performs reassessments for adult clients under supervision less frequently than other jurisdictions across the nation.

	Adult Risk Re-Assessment Frequency
Santa Barbara County	Every 8 months or a significant event occurs
State of Florida	Every 90 days
Solano County	Every 6 months
State of Virginia	Every 6 months

Figure 7: Source - <https://www.ncjrs.gov/pdffiles1/ojdp/grants/244477.pdf>

The supervision activities carried out by officers vary by risk level. Based on their caseload’s risk level, each officer has a cap on the number of clients that they can supervise. This cap differs between Adult and Juvenile Supervision. For example, the high-risk cap for Juvenile Services is 20:1, while the high-risk cap for Adult Services is 30:1. In addition to these high, medium, or low risk caseloads, each division has various specialized programs that carry caseloads, such as Substance Abuse Treatment Court (SATC), Veterans Treatment Court (VTC), Targeted Gang Intervention (TGI), Commercially Sexually Exploited Children, and others.

The Juvenile Services Division recently codified its supervision guidelines and caseload caps into a draft document, which outlines the activities that should be conducted by Probation Officers for each supervision level. For example, high-risk youth should be placed on caseloads of no more than 20, should receive one field contact per month and one office contact per month (one of which must include a parent/guardian contact), as well as a minimum of two collateral contacts and program referrals. These draft guidelines were piloted in the South County and were scheduled to be rolled out in the North County until these plans were disrupted by the COVID-19 pandemic. The Adult Services Division has a similar policy document which outlines activities and caps by caseload type.

The Department should be recognized for its work to enhance its case management guidelines. Additionally, based on interviews and documents received, there are a number of opportunities to further deepen the Department’s implementation of this activity-based caseload management model, and to use

this model to inform staffing and budget decisions. Prior to analyzing workload and performance data to manage caseloads and workload, there must be a standardization of roles and activities and an enhancement of outcome and time tracking. The below recommendations will enhance the implementation of an activity-based caseload allocation model and use this data to review the feasibility of the Department's current activity guidelines, caseload caps, and staffing:

Action 1: Expand supervision guidelines to more thoroughly detail expected activities.

- While the supervision guidelines for the Adult Services and Juvenile Services Divisions detail supervision activities by caseload type, these guidelines do not contain sufficient detail to help ensure these activities are conducted consistently across officers.
- Expanded supervision guidelines should include direction around issues such as: what topics should be discussed, what activities should take place, minimum standards for how long a visit should last (based on leadership estimates) to help ensure quality interactions, the number of officers expected to conduct the visit, etc. These updated guidelines should provide sufficient detail for officers to conduct the recommended activities in a consistent manner across staff and offices and to recommend a manageable workload for each officer. It is important to note that these supervision guidelines should not include an expected "cap" on the amount of time dedicated to each activity or visit, but rather provide a minimum estimated time or range of time for common activities, and list expected tasks associated with each activity to help ensure quality and the appropriate level of access.
- Implementation of these guidelines may involve the delivery of trainings on existing supervision guidelines, as well as the creation of performance measurement programs to track whether officers are successfully completing the activities enumerated in the caseload guidelines.
- It is also important to note that the Department should continue its existing quality assurance (QA) processes while implementing these expanded supervision guidelines. For example, juvenile supervisors perform case audits looking at both the quantity and type of contacts and the activities performed on a caseload. These QA efforts can support the implementation of the expanded supervision guidelines described above.

Action 2: Implement a time-tracking study to assess the time required to conduct the above supervision activities:

- Following the implementation of enhanced supervision guidelines to help ensure staff are conducting activities consistently across officers and teams, the Department should use time tracking to develop a data-driven understanding of the time and workload associated with these activities. This workload data can be used to assess whether current caseload caps are feasible.
- The Department's current caseload guidelines do not include a workload estimate for required supervision activities—that is, while the guidelines enumerate expected activities, they do not specify an expected or minimum amount of time associated with each of these activities. Without this workload estimate, it is difficult to assess whether current caseload caps are feasible or if officers can complete all expected activities to a high quality for each individual on their caseload in their typical working hours.
- While all staff members were aware of mandated caseloads caps, some staff were unaware of the number of monthly hours of client contact expected per client or across their caseload. Some interviewees expressed interest in a time study to determine whether the current activity guidelines and caseload caps were feasible in terms of workload – that is, if officers can supervise up to 35 medium risk clients, and each client requires one home visit and one office visit per month as well as ad hoc searches and substance abuse testing, is it feasible for an officer to conduct these activities on a monthly basis during their expected work hours?
- To answer questions such as this, the Department should develop a low-tech pilot program for probation officers to enter time spent on client contacts, training, scheduling and administration, and

other work demands. This program can be facilitated via a simple spreadsheet with prepopulated drop-down fields to reduce the time it takes to enter information. When structuring the way in which activities are recorded, there should be five workload categories: Supervision Contacts, Presupervision Contacts, Investigations, Informal Investigations, and Administrative or Reporting Writing Time. This time-tracking exercise should be conducted for 3 to 6 months, and then analyzed to enhance the understanding of how staff are spending their time in the field. If time tracking over this length of time is not the desire of leadership of the Department or creates a significant administrative burden, the Department could consider utilizing periodic sampling (for example, a six-week time study on an annual basis) to compile initial workload estimates. For example, a recent workload study of the Maricopa County Adult Probation Department conducted in partnership with the American Probation and Parole Association relied on a five week time-tracking period.²

- It is important to note that any time-tracking study should not occur during the COVID-19 pandemic, but rather when the Department returns to normal operations.
- This time-tracking data can be used to estimate the workload associated with activities detailed in the Department’s enhanced supervision guidelines by client. A time-tracking and workload study will also allow Department leadership to develop an understanding of the amount of time spent by staff on administrative activities as compared to supervisory activities. This analysis may highlight processes that can be automated or streamlined to reduce the administrative workload carried by officers.

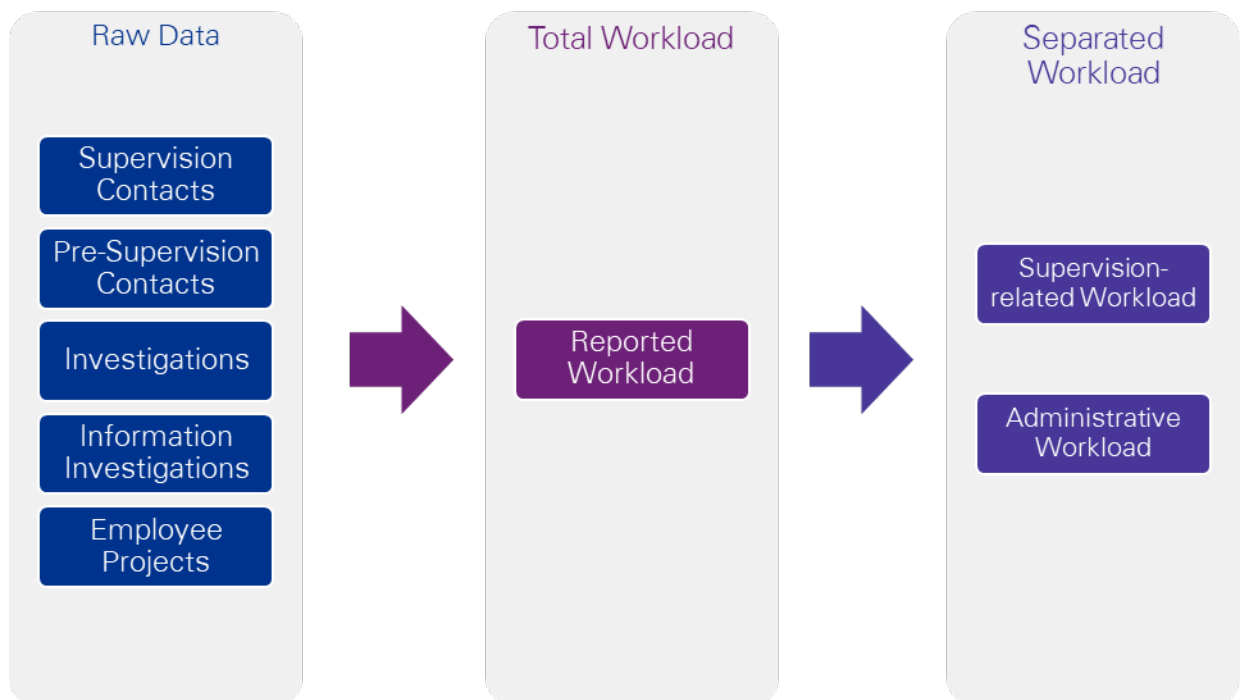


Figure 8: Source: KPMG LLP 2020

Action 3: Utilize enhanced time-tracking and workload data to inform caseload and workload caps.

In interviews, some staff expressed feeling overwhelmed by their workload or were unclear about how to translate caseload caps to expected activities and workload:

- Interviewees expressed concern that current caseload caps do not allow sufficient time to deliver the case management services that the Department is aiming to emphasize.
- Additionally, court services staff reported a sentiment that current performance targets may not be feasible. It was noted that each employee in court services is expected to write five reports per pay period. Staff indicated that each report takes an average of 13 hours to write. Based on those assumptions, an employee in court services will spend 1,690 hours per year spent on

² <https://superiorcourt.maricopa.gov/media/5416/fy2019-mcapd-annual-report.pdf>

report writing. While employees average 82 percent productivity according to a lost time analysis of the Probation Department, a conservative estimate of 80 percent productive hours for each employee yields 1,664 available work hours in a year. Based on this assumption, court services employees are expected to spend more hours writing reports, which is just one facet of their duties, than productive hours in a work year. Department leadership asserts that court services workload has fallen significantly. The workload and time-tracking processes described above would enable the Department to develop a quantitative estimate of this workload and therefore a data-driven staffing estimate to meet the demand.

Action 4: Utilize caseload caps, workload data, and population size to develop a data-driven staffing model:

Based on the time and workload analysis detailed in Action Items 2 and 3, accurate workload estimates can be combined with the Department’s caseload guidelines, and enhanced performance management, to produce evidence-based estimates of the number of staff needed for the Department to complete its supervision responsibilities. The data produced from existing processes and the steps above will allow Department leadership to make a quantitative case for the number of staff required based on demand for supervision services.

Action 5: Expand performance measurement and activity tracking. The Department does not currently universally track officer activities to assess adherence to the caseload activity guidelines. (It should be noted that the Juvenile Supervision Division performs case audits looking at both the quantity and type of contacts and the activities performed on a caseload). One supervisor estimated that their staff likely do not typically complete all recommended supervision activities for their caseload, emphasizing the important of “high-quality” visits rather than a larger volume of visits. Following the revision of supervision guidelines and caseload caps, the Department should implement processes to track officer’s adherence to the activities enumerated in these guidelines.

Action 6: Maintain and expand tracking of client outcomes to assess efficacy of supervision programs:

The Department has invested commendably in outcome tracking for clients who participate in the Department’s supervision programs. This effort will enable continuous improvement and allow the Department to prioritize funding for programs that deliver results. It will also allow the division to assess the supervision level of clients based on their outcomes.

Below is a high-level view of the work that should be performed as described in this section. These steps must be taken iteratively, because the data being used to develop an understanding of workload and performance must be the highest quality possible.

Standardization and Tracking	Analyze and Implement
<ul style="list-style-type: none"> — Expand supervision guidelines to more thoroughly detail expected activities — Utilized enhanced time-tracking and workload data to inform caseload caps — Expand performance measurement and output tracking — Implement outcome tracking 	<ul style="list-style-type: none"> — Strengthen expectation that staff will adhere to the activities enumerated in the supervision guidelines — Implement a time tracking study to assess the time required to conduct the above supervision activities — Utilize workload data to determine the appropriateness of current caseload caps — Utilize caseload caps, workload data, and population size to develop a data-driven staffing model — Tracking client outcomes to assess efficacy of supervision programs

Figure 9: Source – KPMG LLP 2020

Anticipated impact

By developing an enhanced understanding of what work is being performed by probation officer, and how long that work is taking, there is an opportunity to realign and balance client load and caseloads among the probation officers to improve the service offerings to clients and improve outcomes.

Observation and analysis

Assembly Bill 109 (AB 109) was passed in 2011 to address overcrowding in California state prisons and transferred the responsibility for supervising specific lower level inmates and parolees from the California Department of Corrections and Rehabilitation (CDCR) to the counties. Once on supervision, a majority of these adult felons are classified as high risk and therefore are sometimes supervised by Probation Officers. As detailed below, the Department supervised between 232 and 270 individuals on PRCS each year between 2015 and 2018.

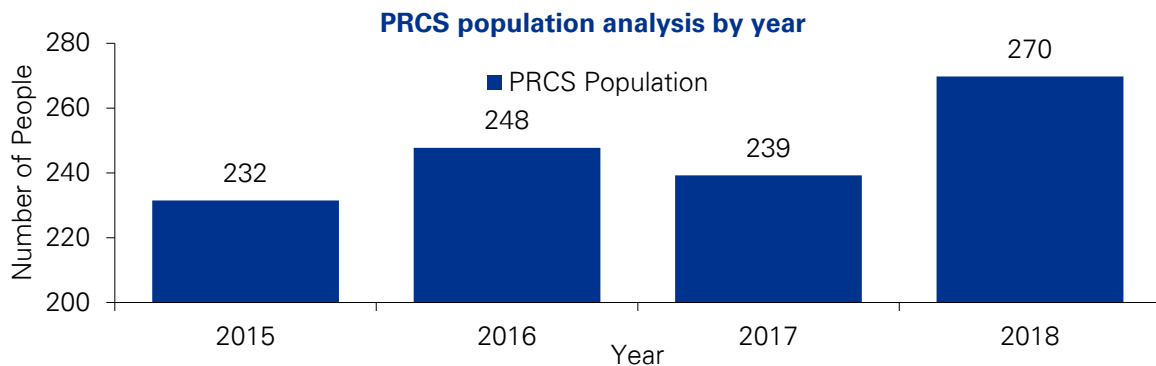


Figure 10: Source – KPMG LLP analysis of Probation Department Data

The State of California provides funding to counties to supervise this population through several funding mechanisms. The California Community Corrections Performance Incentive Act (SB 678, CCPIA) provides performance-based funding to support evidence-based practices for reducing recidivism rates and reducing the number of revocations of probation to state prison relating to the supervision of adult felony clients.

Through AB 109 and SB 678, the State of California allocates funding to counties based on the return-to-prison rate of individuals on PRCS. If the return-to-prison rate is less than 1.5 percent, the county will receive 100 percent of its highest prior payment³. If this return-to-prison rate is between 1.5 percent and 3.2 percent, the county will only receive 70 percent of its highest prior payment. If the return-to-prison rate exceeds 3.2 percent, the County will receive 60 percent of its highest prior payment.

The Department should be commended for the fact that Santa Barbara's return-to-prison rate is the lowest of the comparison counties and among the lowest in the state. Between 2014 and 2018, Santa Barbara's return-to-prison rate fell between 1.5 percent and 2.2 percent each year. As a result, the county has received 70 percent of the potential funding offered through AB 109 and SB 678. Additionally, it should be noted that no county has been able to consistently hold return-to-prison rates low enough to receive 100 percent of potential funding. Department leadership report that there is discussion at the state level of revising the return-to-prison targets, which may impact the funding received through this mechanism in the future.

³ <https://www.courts.ca.gov/programs-communitycorrections.htm>

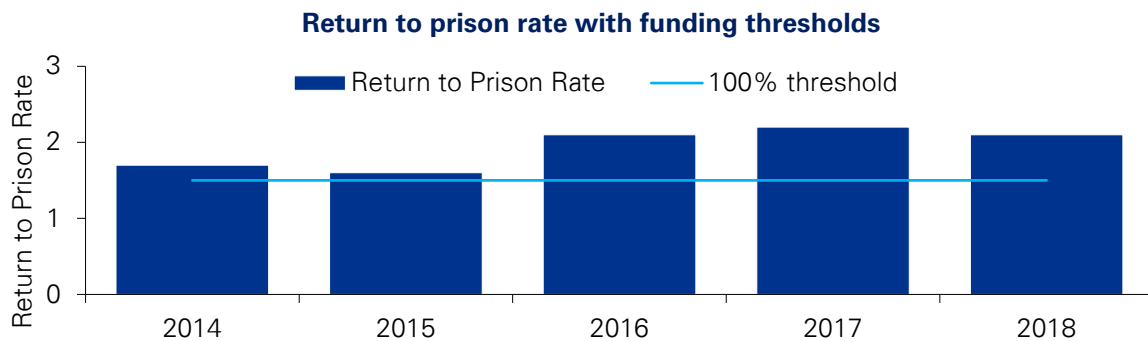


Figure 11: Source – <https://www.courts.ca.gov/documents/lr-2019-ca-community-corrections-performance-incentives-act-2019-pc-1232.pdf>

Santa Barbara County’s return-to-prison rate is driven by two types of commitments: those for violations related to the original crime and those for new crimes.

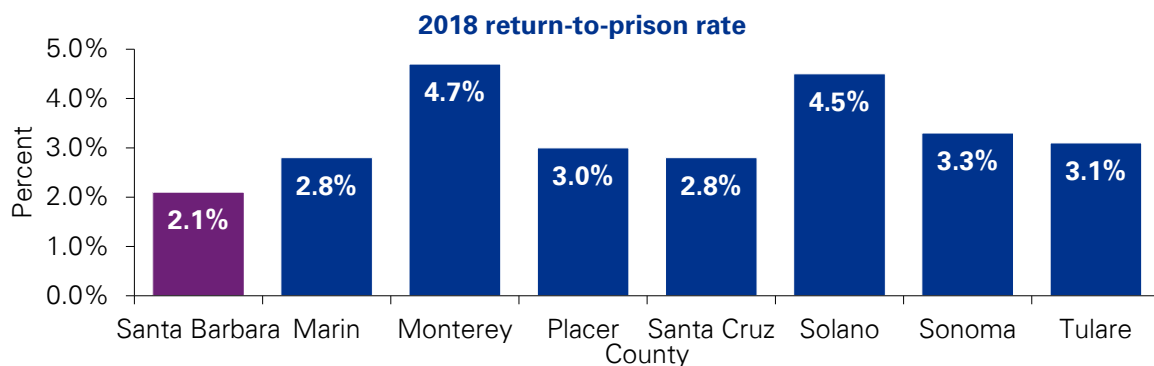


Figure 12: Source – <https://www.courts.ca.gov/documents/lr-2019-ca-community-corrections-performance-incentives-act-2019-pc-1232.pdf>

Analysis of Santa Barbara’s PRCS revocations reveals that revocations to jail for the same crime are decreasing; however, prison commitments for new offenses and jail commitments for new offenses are rising. As illustrated in the graphic below, between 2015 and 2019, revocations for the same crime fell from 20.2 percent to 9.9 percent as a share of the PRCS population. During the same period, PRCS Jail commitments for new offenses grew from 0.2 percent to 1.1 percent, and PRCS Prison Commitments for new crimes grew from 1.8 percent to 2.8 percent of the population.

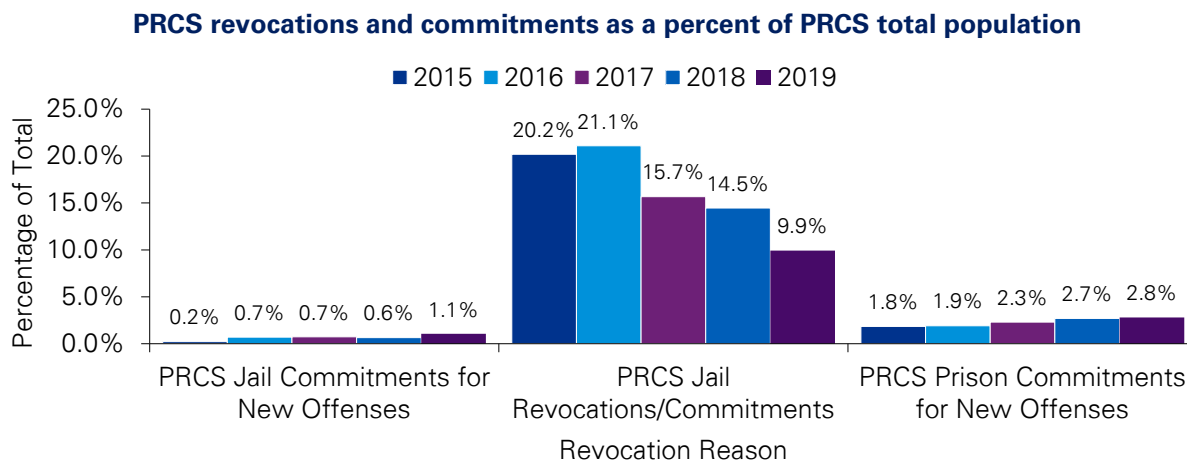


Figure 13: Source – KPMG LLP analysis of Probation Department data

The Department should be commended for its efforts to analyze the factors that lead to revocations. The Department has conducted internal assessments of revocations among the PRCS population and is also partnering with BetaGov and the University of Cincinnati to study the drivers of revocations.

The Department should continue this investment, led by the Research and External Affairs team in partnership with the Adult Services Division, to identify any trends in revocations, whether they be by office, officer, or risk level, crime type, or geography. The findings from this analysis can be used to determine whether there are options available to the Probation Department to reduce revocations and help maximize the funding received from the state—whether that be a modification in supervision type, case management, referrals to supportive services, or increased partnerships with other County agencies.

Anticipated impact

By continuing to invest in studying the drivers and predictors of the PRCS revocations, the Department can continuously improve the services delivered to these clients. Additionally, should the State revise the funding thresholds under AB 109 and SB678, the County will be well-positioned to earn the maximum funding made available.

4.1 Continue efforts to utilize demand-based, data-driven staffing to best align workforce to changes in population size and supervision philosophy

Observation and analysis

The Juvenile Institutions Division of Santa Barbara County is tasked with running two facilities: the Santa Maria Juvenile Hall (SMJH) and the Los Prietos Boys Camp (LPBC). SMJH is dedicated to providing a secure environment for detained youth, with the goal of protecting public safety while facilitating family reunification and successful reintegration into the community. LPBC is a 24-hour correctional and treatment facility in Los Padres National Forest, with a focus on creating personalized individual treatment plans encouraging youth to develop behavioral controls, establish a relationship between behavior and consequences, and improve self-esteem.

Context: Declining populations and FTEs alongside rising expenditures

In recent years, the Department has consciously reduced the use of juvenile detention in Santa Barbara County through initiatives such as revised booking criteria, an updated risk assessment tool, and adoption of a case management approach to juvenile justice, which focuses on diverting children away from detention facilities and into community-based supportive services whenever possible. This effort is in line with leading practice, which recommends intervention over detention and suggests that detention may be associated with negative outcomes for youth.

The Department’s efforts have proven successful: since 2014, the population inside both SMJH and LPBC has declined dramatically, a phenomenon in line with trends in juvenile justice across the state of California. SMJH has seen a 34 percent decrease in its average daily population (ADP), while the LPBC has seen a 51 percent decrease.

With this decline in population, the Department has reduced the number of FTEs allocated to the Institutions Division. From FY16 to FY20, there was an 11 percent decrease in the number of FTEs allocated to the Institutions budget, as shown in the graphic at right. This decline in staff, however, has been accompanied by an increase in the total Institutions budget of approximately 6 percent.

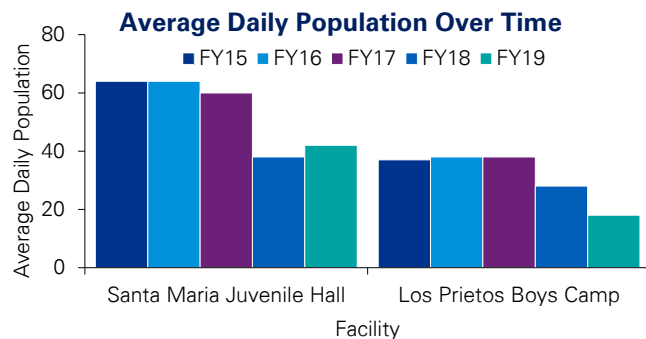


Figure 14: KPMG LLP analysis of Probation Department data

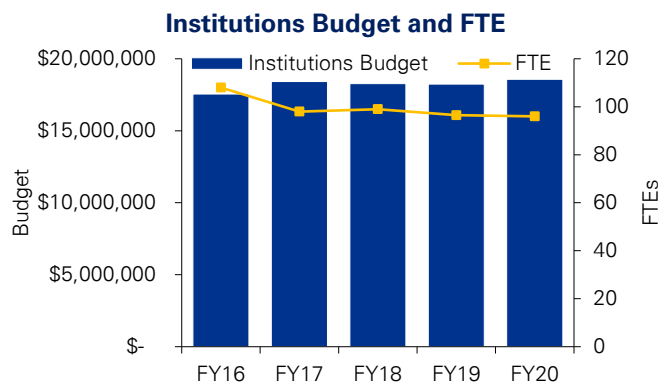


Figure 15: Source - KPMG LLP analysis of Probation Department data

An initial analysis of budgeted expenditures indicates that salaries and benefits are the main drivers of cost for both facilities, as shown in the graphic at right.

The financial analysis demonstrates that the increase in the Department’s budget stems from slight growth in total expenditures on salaries and benefits – growth that likely stems from inflation and cost of living adjustments – coupled with significant growth in the “Services and Supplies” budget from FY15 to FY19, which is largely driven by the line item

‘Medical, Dental and Lab.’ As shown in the graph below, between FY15 and FY19 there was a 3 percent increase in the Salaries and Benefits category. This growth rate is lower than would be expected due to inflation and reflects the 11 percent reduction in Department’s total FTEs. During that same time period, there was a 14 percent increase in the budget expenditures allocable to Services and Supplies, a particularly notable trend given the concurrent reductions in ADP experienced of both facilities during that same timeframe. Department leadership notes that some of this increase is attributable to medical costs and associated expenses to increase the service level due to NCCHC accreditation requirements. Finally, while there was a 31 percent decrease in the budgeted expenditures within the “Other Charges” category, this expenditure reflects only a small part of the budget.

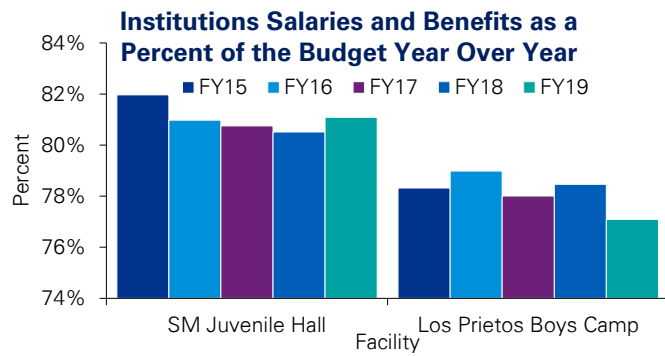


Figure 16: KPMG LLP analysis of Probation Department data

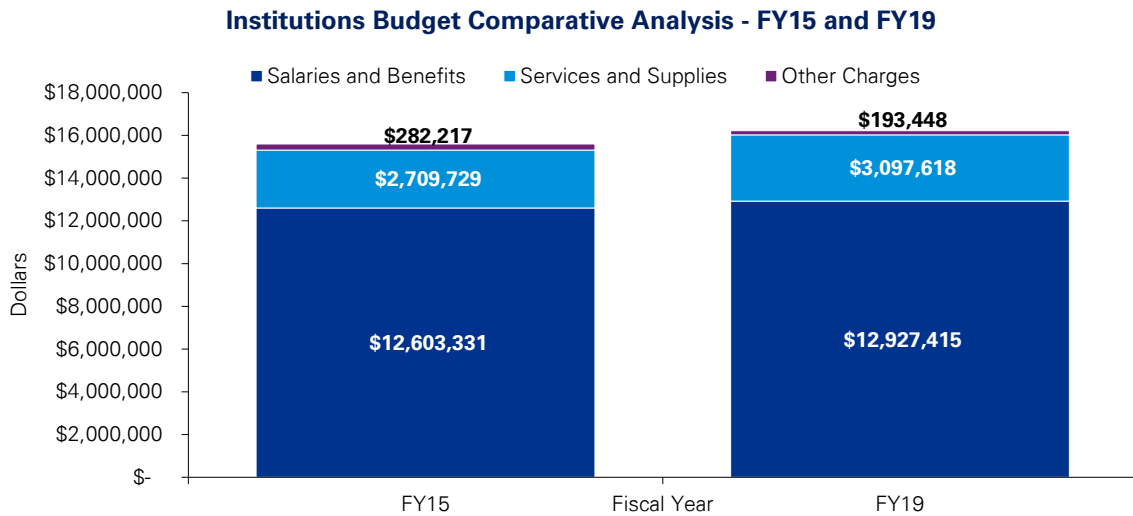


Figure 17: Source – KPMG LLP analysis of Probation Department data

Context: Significant growth in the cost per youth per year

The dual trends of rising budgets coupled with significant declines in the number of detained youth has led to exponential growth in the cost per child in each facility, as illustrated by the graphs below. Between FY15 and FY19, there has been a 52 percent increase in the cost per child in the Santa Maria Juvenile Hall, leading to a \$252,723 average cost per child. During that same time period there has been a 134 percent increase in Los Prietos Boys Camp, leading to a \$311,339 average cost per child.

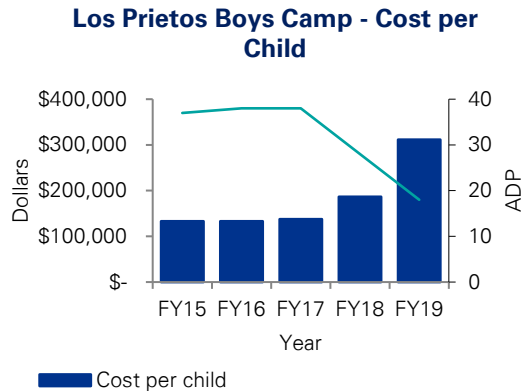


Figure 18: Source - KPMG LLP analysis of Probation Department data

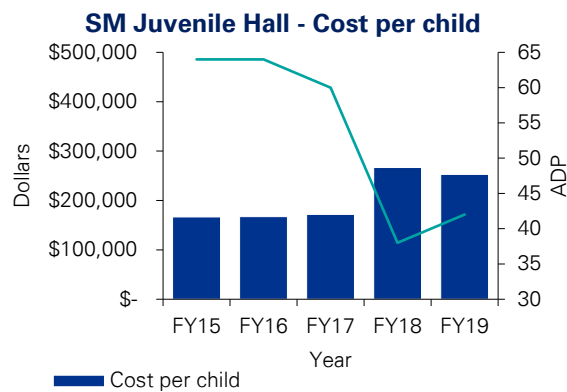


Figure 19: Source - KPMG LLP analysis of Probation Department data

Department leadership is aware of these rising costs and a desire to find opportunities to rein in this cost growth. Additionally, it is important to note that these cost growth trends are not unique to Santa Barbara and reflect a common challenge facing counties across the state as ADP continues to decline. For example, in Santa Clara, the cost per year to detain a juvenile grew from \$187,000 in 2011 to \$514,000 in 2018; in Alameda County, these costs grew from \$157,000 per year per youth in 2011 to \$493,000 per youth during the same period.⁴

The County and the Department should be commended for their success in reducing the use of youth detention in Santa Barbara County. To build on this work, this section of the report identifies a series of opportunities to halt and reduce this growth in the cost per child. Opportunities detailed in the following pages include:

- Continue efforts to utilize demand-based, data-driven staffing to best align workforce to changes in population size and supervision philosophy (Recommendation 4.1)
- Develop a strategic roadmap to guide and prioritize ongoing expansion of rehabilitative programming (Recommendation 4.2)
- Expand scenario planning for excess Juvenile Hall and Camp capacity to help maximize impact of County resources (Recommendation 4.3)

Action 1: Continue to utilize a demand-based, workload-driven staffing model to maximize impact of staff and align resources to reduced population size and temporal variations in demand for services

In juvenile institutions, demand for staff time varies by hour and by day of the week. For example, certain scheduled activities – such as court transportation, attorney visits, family visits, pill call, medical appointments and programming – may require more intensive staff workload, while other periods (such as the night shift) may require less staff time. It is important to note that the Department should and does meet the legally required supervision minimums at all times of day.

The National Institute of Corrections has developed a standard template for designing a staffing model through answering questions around coverage plans, activity schedules, and staff summary.⁵ While this staffing model is designed for adult institutions, there may be transferable insights from applying this model to juvenile facilities as well. Under this methodology, based on minimum staffing requirements, facility activity trends, and field observations, the Department can forecast workload intensity by unit or facility by time of day, as illustrated in the exemplar graphic on the following page. These workload

assessments can then be used to determine appropriate staffing and scheduling practices at each unit within each facility to help ensure staff are used as efficiently as possible.

Exemplar Graphic: Temporal Trends in Staff Workload by Time of Day

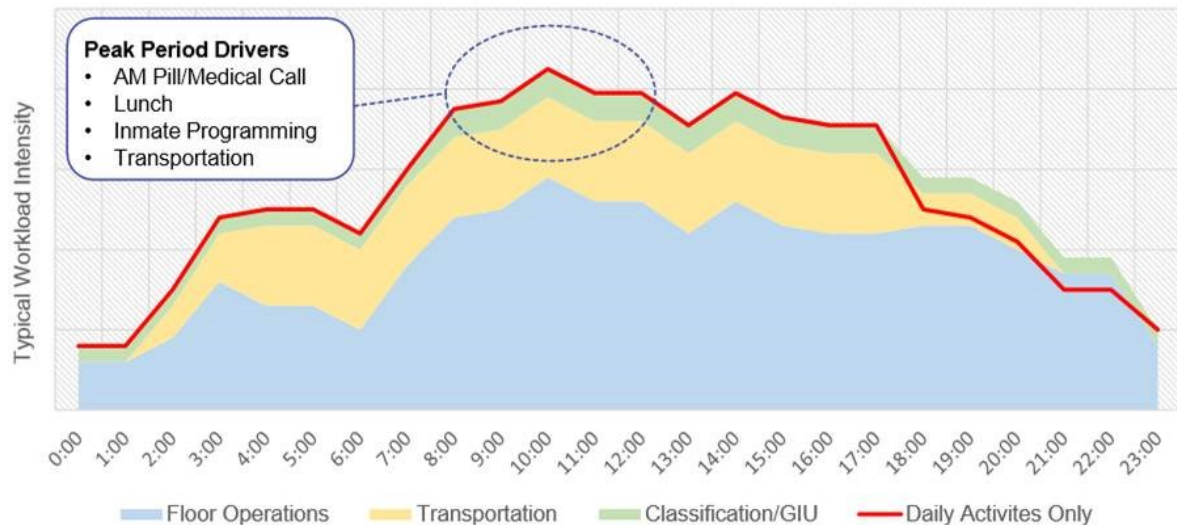


Figure 20: Source – KPMG LLP, 2020

The Department reports utilizing a demand-based, workload-driven staffing plan for both facilities. For example, Division leadership noted that transports are scheduled using the Schedule Express software to maximize scheduling efficiencies, and if a transportation officer is not needed for transport on a particular day, they will be reassigned to another assignment. The Deputy Chief notes that it is uncommon for the facility to have more staff on hand than required for posting, supervisory oversight, and scheduled activities. Additionally, leadership emphasized an effort to delegate programming responsibilities to nonsworn staff, volunteer, or outside service providers (although this delegation has been interrupted by the COVID-19 pandemic).

In interviews, staff expressed a sense of feeling overwhelmed by their current responsibilities or a concern that workload may become unmanageable should ADP rise above its current levels. However, staff noted that this feeling of being overburdened stemmed from feeling that their typical supervisory responsibilities are now being augmented by programming responsibilities.

The population of the Juvenile Institutions is in a period of transition. Emergency measures put in place to respond to the COVID-19 pandemic have resulted in a reduction in detentions. Additionally, upcoming plans to close the Department of Juvenile Justice in California will soon result in additional youth being detained in facilities in Santa Barbara County, rather than being transferred to DJJ custody, as discussed in the following recommendation.

When the Department returns to normal operations, leadership should reassess the staffing levels at the juvenile institutions to help ensure they are in alignment with each facility's projected population. This reevaluation should rely on the workload-driven staffing model described above and should clearly delineate responsibility for specific tasks across staff, align staffing to temporal trends in demand by time of day, and build on the time-tracking recommendations outlined in Recommendations 3.1 and 4.1.

To achieve this, the Division should develop workload estimates of all activities the Department intends to deliver in its juvenile facilities, including but not limited to supervision, transport, programming,

⁴ <https://projects.sfchronicle.com/2019/vanishing-violence/part-2/>

⁵ <https://s3.amazonaws.com/static.nicic.gov/Library/016827.pdf>

administrative duties, etc. and the time of day when these activities are required. As detailed in the Community Supervision recommendation, these workload estimates may be developed through a time-tracking pilot, through continuous time tracking, or through leadership estimates of the amount of staff time and workload expected to be consumed by specific tasks. Based on this workload data, the Division should determine how Institutions staff can most efficiently be utilized and flexed throughout the facility and the number of staff required to effectively carry out key activities by time of day and day of week.

The Probation Department, working in conjunction with the Board of Supervisors, has set a goal of staffing its facilities to meet the supervision ratios set by the Prison Rape Elimination Act (PREA). These PREA ratios exceed the staffing requirements currently mandated by the state of California under Title 15. In conducting a workload-driven review of staffing needs, the Department should consider producing two staffing and cost estimate scenarios – one utilizing the Title 15 standards and one utilizing the PREA standards. This comparison will provide Department leadership and the Board of Supervisors with an updated assessment of the associated costs and benefits of the decision to staff to PREA standards that takes into account the significant reductions in ADP. It is important that the staffing levels are reviewed and monitored to ensure the achievement of the desired benefits to include increased safety for the youth and officers, available capacity to engage with the youth and improve long terms outcomes such as reentry and recidivism, especially under the higher PREA supervision levels.

Anticipated impact

By conducting a demand-based review of the workload carried by staff at the Juvenile Hall and Boy's Camp, the Department can create a data-driven case for the number of officers required to staff the two facilities, given declining populations and efforts to increase access to programming and rehabilitative services.

4.2

Develop a strategic roadmap to guide and prioritize ongoing expansion of rehabilitative programming

Observation and analysis

The Department should be commended for its commitment to shifting to a trauma-informed approach to juvenile supervision and detention focused on rehabilitation and encouragement, as opposed to traditional models focused on compliance and punishment. With this shift, there has been a focus on increasing the programming offered to youth in both the Juvenile Hall and Camp. At present, the Hall and Camp offer programs including but not limited to Seeking Safety, Reasoning and Rehabilitation, El Joven Noble (a trauma-informed, culturally sensitive program based on the principles of cognitive behavioral therapy), Interactive Journaling, a Behavioral Management Program (BMP) called the Trust Unit, a restorative justice program run by volunteers, and a poetry program. All units implement a BMP where youth can earn additional privileges (such as use of a phone or time out of their room) through good behavior; however, the Trust unit is the pinnacle of the program where upon entry, they are required to participate in programming but also receive significant ongoing privileges, including freedom of movement, open and increased recreation, additional activities, increased phone calls, visiting time, and shower time to name a few.

The Department tracks performance metrics related to many of these programs. For programs provided by vendors under contract with the Department, such as Seeking Safety and El Joven Noble, performance measures are included in the contracts – including metrics such as total referrals, total enrollments, and total completions. The contracted Youth Coach program tracks behavioral impacts on youth in the form of room confinement hours. For internally developed programs, such as the Trust Unit, the Department has developed performance metrics and is in varying stages of implementing this performance tracking. Programs may be delivered by Department staff, vendors, or volunteers (due to the COVID-19 pandemic, volunteer-led programs have had to be shifted to virtual instruction or suspended temporarily).

Concurrent with this focus on expanding access to programming, the Department is in the process of redesigning the Camp. This redesign is intended to shift the Camp away from a traditional “bootcamp”-style supervision model to a rehabilitative, trauma-informed supervision model in line with leading practices in juvenile justice. While the redesign remains a work-in-progress – the Department currently holds a standing weekly redesign meeting – key principles guiding the redesign include:

- Updating the Camp’s behavioral management program with greater emphasis on positive incentives
- Removing the Camp’s previous compliance emphasis, and instead focusing on positive youth development
- Implementing targeted programming based on identified criminogenic need
- Redesigning and improving community transition elements.

Given the economic impacts of the COVID-19 pandemic, counties such as Santa Barbara are beginning to experience reduced revenues. Additionally, as detailed above, the cost to incarcerate a youth in a juvenile institution is substantial – averaging approximately \$250,000 to \$310,000 per year in Santa Barbara depending on whether they are housed in the Juvenile Hall or Camp. Given the high cost of its operations, as well as expected budget constraints county-wide, the Department should be commended for its focus on evidence-based programming and commitment to tracking performance and outcomes. This data will provide the Department with a quantitative justification for continued investment in successful programs.

Additionally, under the current leadership, the Department has implemented a significant number of new initiatives related to rehabilitative programming – including the redesign of the Camp, the implementation of the Trust Unit, and the expansion of programs offered at the Hall and Camp by contractors, staff, and volunteers. To further strengthen the case for its investment in these services, the Department may benefit from the development of a codified strategy to guide and prioritize the selection, facilitation, and evaluation of programming offered at SMJH and LPBC. This document will help Department and County leadership make budgetary and resourcing decisions related to Institutions programs.

This roadmap should consider the criminogenic needs of the Department’s current population, the differences in population across the two facilities, and the differing environments offered at the two facilities. For example, the Juvenile Hall population is a mix of pretrial and sentenced youth with an average length of stay of approximately 30 days. Additionally, this length of stay has declined due to policies put in place to respond to the COVID-19 pandemic. In contrast, the Camp holds only sentenced youth who have an average length of stay of more than 120 days. Interviewees also stress the different environments at the Hall and the Camp – SMJH feels like a detention facility, while the Camp is an open setting that feels like a ranch.

This roadmap could build on the Juvenile Program Directory and SMJH and LPBC Program Lists currently maintained by the Department. However, the roadmap should include a summary of the rationale for each program as well as the goals for its impact on the Department’s youth population. The strategy roadmap should then prioritize each program by its level of urgency, expected impact, and operational need, as well as the level of effort and investment required in its implementation. For programs that are in the process of being rolled out, or those for which expansion is planned, the strategy roadmap can detail launch timelines and key milestones. Finally, the roadmap document should then capture the performance and outcome data current collected by the Department.

It will become increasingly important to efficiently manage the deployment of rehabilitative programming and outcomes measurement associated with these programs as the County feels the economic impact of the COVID-19 pandemic. This strategy roadmap is intended to enable executive leadership to establish clear prioritization and timelines for programming, to help ensure that the most critical programs receive the resources, staffing, and attention necessary to continue to be offered, and most effectively capture and communicate outcomes of programming to justify its continued offering.

Anticipated impact

By developing a strategic plan to guide the deployment of programming at the Department's detention facilities, the Department will be positioning itself to most effectively sequence, resource, and track the programs, measure associated outcomes, and enhance offerings to detained youth, building on the Department's commendable efforts to expand access to rehabilitative programming in recent years.

Observation and analysis

The Department's Juvenile Institutions Division is going through a period of transition as operations are impacted by rapid changes in juvenile justice policy:

- As noted previously, the current client population has fallen significantly in recent years at both the Hall and the Camp – a phenomenon that is occurring statewide as policymakers strive to minimize youth detention.
- Additionally, in 2021, the Institutions Division will become responsible for supervising youth from Santa Barbara County would previously have been transferred to facilities run by the DJJ. In September 2020, Governor Newsom signed legislation to close the DJJ and youth prisons. As a result, responsibility for justice-involved youth who would previously have been housed in DJJ facilities will shift to the counties beginning in July 2021, thereby likely increasing the number of youth incarcerated in Santa Barbara County, and in particular the number of youth incarcerated for serious crimes. Department leadership note that the number of DJJ commitments has historically varied significant from year to year, but may range from one to five youth per year. According to information provided by the Chief Probation Officers of California (CPOC), the average length of stay for these youth in 2019 was 28 months.
- Within Santa Barbara County, the Department is in the process of redesigning the LPBC to embrace a rehabilitative model focused on programming. The supervision model and programming offered at this facility may impact the resourcing and costs associated with its operation. Additionally, Chief Heitman has expressed an interest in Transitional Age Youth Programs, which would use currently unutilized juvenile hall wings to provide services to young adults between the ages of 21 and 24.

As the Department plans for the future of the two facilities during a period of flux, ongoing scenario planning related to the operational impacts of expected and potential policy changes becomes increasingly important. It should be noted that the Department has initiated scenario planning related to the three changes listed above. Department leadership is aware of the rising cost per youth and has discussed the challenge with the CEO's Office and the Court. Additionally, the Department remodeled an unused, old section of the Juvenile Hall and repurposed the space to house some Juvenile Supervision operations. The Department is participating in state working groups and cross-county information sharing groups related to DJJ realignment and is conducting ongoing conversations with neighboring counties around regional cooperation related to juvenile detention. Department leadership have also drafted high-level estimates of the staffing and cost associated with supervising the DJJ population and conducted more extensive research related to evidence-based programs to support this population. Finally, the Department has a weekly meeting guiding the redesign of the Camp.

To build on this work, it is recommended that the Department continue to pursue and to expand this ongoing scenario planning. Most significantly, these planning efforts should aim to address the rising costs per youth, building on previous conversations with the CEO's Office. A secondary consideration is the repurposing of vacant juvenile hall and camp space which could be used to house other programs (which may allow the Department or the County to access alternative funding streams) or regional collaboration as it relates to juvenile detention services.

Additionally, these planning efforts should continue to model and detail the impacts of expected and potential policy changes on the Department's operations, staffing, and supervision models. For example, scenario planning related to DJJ Realignment could more specifically detail the expected impact on the Juvenile Hall's ADP, bed and unit utilization, staffing, and funding. It should be noted that the Department's scenario planning related to DJJ realignment is ongoing; however, there is potential to conduct additional scenario planning regarding the utilization of the remaining Hall and Camp capacity over and above the DJJ realignment.

In an effort to provide context to future conversations related to the utilization of juvenile facilities, below are two examples of innovation or leading practice in the juvenile institutions field that have been utilized by neighboring California counties. As mentioned above there may also be opportunities to explore how

facility utilization could be improved through the implementation of programs which utilize alternative funding sources i.e. grant or state funding, without increasing costs or impacting general fund spend.

Example: The Coastal Valley Academy in San Luis Obispo County

San Luis Obispo County's Coastal Valley Academy is a coed probation camp program located within the County's Juvenile Hall for youth aged 14-17. The program is designed as an alternative to group homes and provides schooling and wraparound services to youth who are considered to have a high risk of reoffending. Youth are court ordered to the Academy for six to twelve months to receive intensive case management and supportive services. The Academy offers cognitive behavioral treatment and life skills development training to all youth as well as prosocial activities and is operated in a partnership between the county's juvenile justice departments, mental health department, and Office of Education. Outcome data suggests that the program reduces recidivism by over 40 percent. The program earned a 2020 CSAC Challenge Award and appears in line with the rehabilitative philosophy embraced by Probation Department leadership in Santa Barbara County.⁶

Example: The State of Missouri Model

The State of Missouri model⁷, which utilizes a model of small, dorm-like detention centers where youth wear street clothes and join group therapy daily rather than traditional juvenile halls, is utilized by many jurisdictions across the nation, such as, Santa Clara County, Sonoma County, and the states of Louisiana, Colorado, New Mexico, and Missouri. Santa Barbara County Probation leadership cite this model as inspiration for the Department's recently created Trust Unit, which is based on key elements from the Missouri model. The Department's outcome tracking related to the Trust Unit is positive, showing that in the months following the Unit's opening in January 2020, there were zero physical altercations among youth, zero use of force on youth, and zero emergency responses.

The Missouri Division of Youth Services was facing similar operational and fiscal challenges as Santa Barbara County: an increasing budget and decreasing number of children. Separately, they were seeing skyrocketing recidivism rates which spurred them to make both programmatic and facility changes. The program is defined by six core characteristics:

- Place youth who require confinement into smaller facilities located near their homes and families
- Place the youth into closely supervised small groups and apply group treatment and ongoing individual attention
- Keep the youth safe from physical and emotional abuse
- Develop academic, prevocational, and communications skills
- Involve family members as both partners and allies in the treatment process
- Provide considerable support and supervision for youth transitioning home from a correctional placement.

In 2017, the cost per youth in these centers ranges from \$68,000 to \$82,000 per year depending on security level, far less than expenditures at most juvenile facilities in California. Separately, the results of Missouri's approach have been promising. Missouri's recommitment rate (new juvenile offenses) was 6.6 percent. Long-term recidivism into the adult system was 6.6 percent (incarceration within 3 years) and 69 percent of youth remained law-abiding for 3 years or more. Additionally, critical incidents, in which young people or staff are assaulted, occur 4 ½ times more often for youth and 13 times more often for staff in other youth correctional systems outside of Missouri. Given the success of the Department's implementation of the Trust Unit, the Department may benefit from continuing to incorporate the philosophy of this program into other Department operations.

Anticipated impact

The Department may benefit from continuing to invest in further scenario planning related to addressing the rising cost per youth and the utilization of Juvenile Institutions, given significant policy changes in the

⁶ <https://www.counties.org/county-voice/san-luis-obispo-county-theres-new-and-effective-way-working-high-risk-youth>

⁷ <https://www.aecf.org/m/resourcedoc/aecf-missourimodelsummary-2010.pdf>

field of juvenile justice. This scenario planning should include continued efforts to evaluate and address the rise in the cost per youth. Department leadership should continue to work with the CEO's Office, the Courts, and the Board of Supervisors to review the Department's expenditures related to youth detention and to evaluate innovative options to minimize costs while improving outcomes.

Data-driven decision-making

5.1 Develop a data management strategy to improve the quality and efficient use of data across the Department

Observation and analysis

Data-driven decision-making is core to the efficient and effective management of operations and requires timely and accurate processes for recording data, analyzing the information, and operationalizing key insights. Probation Department leadership should be commended for their commitment to data-informed decision-making, and their efforts to develop internal reports that provide visibility into key Department operations. The Department has created the Research and External Affairs team, which is tasked with developing reports and performance measures, and the Department's IT team is also a key partner in this effort.

However, while the Department invests significant staff time and resources into data management and analysis, interviews suggest that the Department's processes for generating performance reports contain flaws that at times result in a need for manual quality assurance or data cleaning in order to enable accurate reporting. Supervisory and line staff reported challenges around the generation of reports and noted that reports often required manual checking and staff time to help ensure accuracy. As detailed below, at present, the reliability, utility, and efficiency of the Department's internal data reporting processes appear limited by challenges with data integrity and a frequent need for manual cleansing or review.

To develop more efficient internal reporting processes, the Department should develop a data management strategy to deliver, control, protect, and enhance the value of data and information throughout their lifecycles. This strategy should focus on helping to ensure that:

- The **quality** of the data is consistently reliable;
- The **integrity** of the data leads to an acceptable use of analytics in the measurement of programs;
- The **resilience** of the data helps ensure that data sets do not go stale, and can be reliably used for operational understanding; and
- The data is **effectively used** to guide operational, financial, and performance-related decisions



Figure 21: Source - KPMG LLP 2020

Outlined below are three key steps critical to improving the Department's data tracking processes which should be prioritized as the Department develops and pursues a long-term data management strategy. The below steps, while conducted independently, should be the foundational pillars of an overall data management strategy that aligns with the mission and vision of the Department that can be prioritized, sequenced, and assessed for level of investment and the resources required to implement.

Action 1: Catalog all operationally critical SQL queries and prioritize their refresh to enable accurate, efficient reporting

The Department utilizes a case management system known as IMPACT. When the Department requests support from the vendor in creating a custom report, the Department is charged a fee, and the vendor may also increase the annual maintenance fees associated with those customized reports. Historically, to avoid these vendor- and contract-related fees for custom report development, the Department has tasked internal staff to independently generate custom SQL code for a data extract, which is then migrated to an on-site server and manipulated to develop the desired report.

However, the Department historically has not maintained strong documentation around the custom SQL code that facilitates data pulls. Additionally, much of this SQL code was created by an employee who was self-taught in SQL, and as a result, the code does not always adhere to standard formats. As a result, at present, inconsistencies or uncertainty in the SQL code results in unreliable internal reporting, requiring manual and time-intensive validation efforts to determine accuracy.

The Research and External Affairs team is working to review and rewrite the code for the Department's internal reports. However, it is recommended that the Department prioritize this effort to shore up the foundation for its internal reporting capabilities. A near-term investment in this area to develop efficient and reliable processes for data pulls from IMPACT will save significant staff time going forward through a reduction in manual review and validation of internal reports.

The Department's Chief Innovation Officer and the Manager of the Research and External Affairs team should jointly lead an effort to catalog and document all SQL queries with specific focus on documenting their relevance to current operations and the accuracy of the current output. The joint leadership of this exercise should then rank the priority of the queries and then present and receive confirmation from executive leadership regarding this ranking and investment and effort required.

The Department should then coordinate with ICT to identify resources with SQL knowledge that can support the Department in refreshing the queries and establishing a centralized document that contains the code, describes what need the code satisfies, and lists basic descriptor fields such as: author, create date, brief description, and the division to which the code belongs. Department leadership notes that they have initiated a conversation with ICT around collaboration in the past and would welcome support in this area if available.

Action 2: Develop an efficient reporting mechanism to track caseload and workload

As discussed in Recommendations 3.1 and 4.1, Department leadership and management could benefit from enhanced time and workload data—most significantly, a real-time assessment of the caseload and associated workload currently carried by staff across the Department.

At present, the Department utilizes a caseload report that is generated monthly in a Word document. The creation of this Word document requires heavy data cleansing and blending, which is manually managed by an AOP. Additionally, the current report omits some data that might benefit decision makers, for example the report does not provide insight into case complexity, backlog, timeliness of completing duties related to cases (field visits, assessments, contact, etc.), or outcomes (success, revocations, etc.) The Department does possess some additional PDF-based reports that provide insight into upcoming expiring cases, overdue assessments, and upcoming assessments. However, as with the Word-based workload report, these reports must be independently pulled, are not automated, and do not proactively inform supervisors when a task is overdue.

The current case management system has the ability to perform raw data extracts, which should be utilized to develop a live reporting view that supervisors and staff can use to manage upcoming and overdue work. It is recommended that the Department pull the data points required to answer basic operational questions from its case management system, focusing on data that can provide managers with an enhanced understanding of key factors such as caseloads, case complexity, and outcomes. Currently, the Department utilizes Power BI to create discreet reports that help to inform staff of metrics that are closely related to their reporting requirements. For example, gender and race of institutions population, upcoming due dates for activities, and the criminal background of probation clients. However, these reports do not help to give insight into the granular operational data that drives these high-level metrics and inform leadership of the day-to-day activities of staff. A list of suggested operations-based KPIs can be found in recommendation 5.2

The following recommendation details steps the Department can take to expand its performance measures broadly, including but not limited to measures related to workload and caseload.

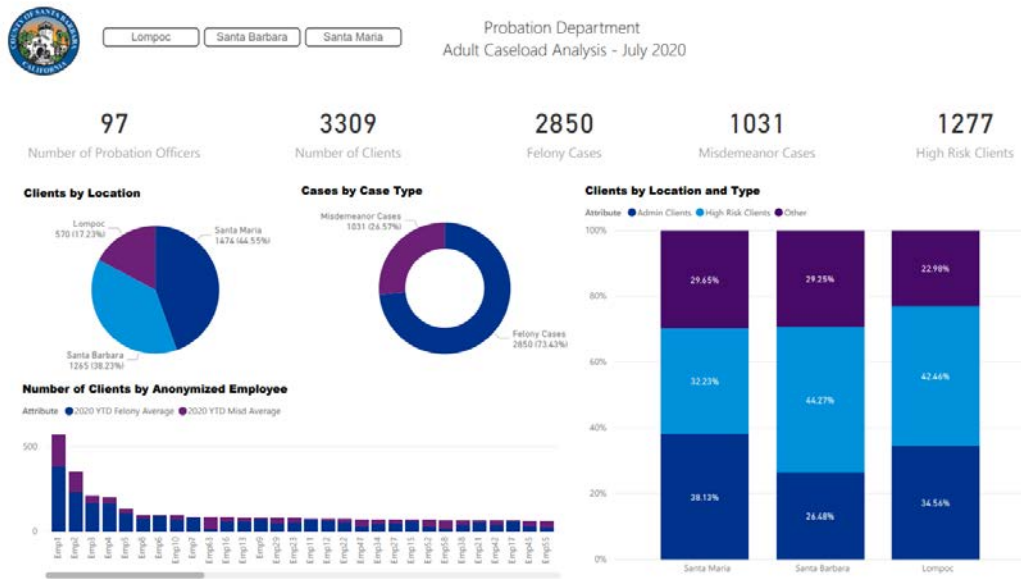


Figure 22: Source – KPMG LLP 2020

Action 3: Develop data and technology strategy to improve interoperability and efficiency of data systems

The Probation Department should be commended for facilitating and leading the development of the Master Name Index program, which works to create a technology solution to allow critical client data to be transferred across County criminal justice agencies. However, the Department could benefit from increased connectivity between the software systems currently used internally by staff within the Probation Department.

For example, the Court Services Division utilizes a pretrial module to store and input information relevant to their work; however, this module also does not share data with IMPACT, resulting in further redundant data entry by Department staff. This redundant data entry consumes staff time that could be otherwise directed to key Department priorities. Additionally, these inefficiencies within the Department data systems, when coupled with the challenges detailed above regarding heavy data cleansing, contribute to a general distrust among staff in the data that is produced by the software systems.

It is recommended that Department leadership, in coordination with office management, identify the future state of operations by detailing desired functionality, processes, workflows, and activities for Department’s case management system. Department leadership can then prioritize the system upgrades, create a timeline for the rebuild, and identify the investment, workload requirements and staffing needs to achieve this timeline. In creating this roadmap, Department leadership can assess whether the current plan of relying on a small number of staff will be sufficient to carry out the enhancement of functionality in a timeline that is satisfactory for the Department, or whether they should consider the cost benefit of other interim resourcing methods.

Anticipated impact

By developing a data management strategy that focuses on enabling future-state operations for the Department, the Department will address inefficiencies with their data and reporting processes that consume staff time and may result in inaccuracies. Efficient and effective processes for data collection and analysis are critical to the implementation of many of the recommendations within this report, such as the development of data-driven staffing plans, the implementation of performance management, and adoption of processes to enable continuous improvement.

Observation and analysis

Pursuant to federal and California law, the Department tracks and reports numerous metrics regarding juvenile detention as well as adult and juvenile probation supervision. On top of legally mandated reporting, the Department should be commended for having developed strong high-level reporting and visualization capabilities. Specifically, the Department possesses PowerBI-based dashboards that draw on IMPACT and other case management data to visualize high-level metrics related to the Probation population. Exemplar reports provided to the project team include detail on:

- The number of clients under supervision in the Juvenile Hall and Boy's Camp, broken down by race gender, and facility, as well as admissions and incidents by month.
- The pretrial population, noting new cases, active cases, failure to reports by contact type, caseload weights, and failed drug tests by drug.

The Department has numerous reports that provide leadership with insight into the size and characteristics of the population under supervision, which inform leadership decision-making regarding how best to meet the needs of this population. Additionally, the Department has invested in developing outcome tracking and outcome assessments related to supervision programs. These include the partnerships with BetaGov, and the University of Cincinnati previously mentioned, as well as internal evaluations of outcomes for participants in various supervisory or rehabilitative programming (such as failures to appear, incidents within the Juvenile Institutions, etc.). As detailed in Recommendation 5.1 above, processes for pulling, analyzing, and reporting these metrics may be currently inefficient and labor intensive. However, the Department should be commended for its efforts to overcome these challenges and build a robust reporting capability.

A review of the performance metrics and reports received suggests there may be an opportunity for the Department to increase its tracking of staff activities and operations. Current reporting practices provide leadership with insight into the Probation population as well as outcome data for this population: recidivism rates, behavior in the Institutions, etc. However, as noted in Recommendation 3.1, there is an opportunity for improved tracking to determine whether Probation clients received the services recommended (e.g., the recommended number of contacts and the quality of these contacts within a designated period). This activity or operations-focused metrics can inform the Department's efforts to manage staff workload, and to tie this workload to client outcomes. For example, if a client experiences a negative outcome, these metrics will help determine whether this suggests the program itself is not working in this instance or whether it was adherence to the program or implementation of the program that failed.

Action 1: Expand performance measurement to capture staff outputs, activities, and adherence to caseload guidelines

Building on the strong performance measurement practices detailed above, there appears to be an opportunity for the Department to expand performance tracking related to staff outputs, activities, and adherence to caseload guidelines. In interviews, some supervisors reported their officers may not always complete all activities outlined in the supervision guidelines for their caseload due to workload constraints. To better understand and manage staff workload and the delivery of key services, the Department would benefit from improving tracking related to whether officers were able to successfully complete prescribed contacts, home visits, or other supervisory activities associated with their caseload.

Prior to the pandemic, the Juvenile Division conducted case audits to assess the quality and type of contacts conducted by officers on a particular caseload. These audits provide one route to acquire the activity tracking data recommended here. Expanding this practice across Divisions would help inform the Department's evaluations of its current supervisory practices. Tracking whether clients receive all officer interactions prescribed to their caseload will help the Department interpret the outcome data currently

collected, allowing leadership to assess whether revocations can be best addressed by shifting to a different supervision model or by increasing adherence to the current model.

When combined with the Department’s existing reports at the population and outcome levels, this activity or operations-focused KPIs will enhance the Department’s capabilities in two ways:

- These performance metrics will provide quantitative evidence of the Department’s progress toward workload goals and can be used to advocate for additional resources when necessary or to shift resources across teams.
- Department leadership and management will gain increased visibility into their team’s performance, thereby enabling the rapid detection and resolution of issues that may arise.

Exemplar operational metrics are detailed in the graphic below. It should be noted that the project team has not reviewed the full scope of performance metrics tracked by the Probation Department. The metrics below are intended to provide a focus on activity and operations-focused metrics to support the understanding of the outcome metrics. As a whole, the Department’s performance measurement processes should be balanced appropriately across inputs, outputs/activities, and outcomes in order to provide thorough visibility to Department leadership.

Supervision	Institutions
<ul style="list-style-type: none"> — Total average contacts over supervision — Contact rate per month on supervision — Rate of identified needs to treatment placement — Percent of population with matched risk and supervision level — Average days from referral date to treatment start date 	<ul style="list-style-type: none"> — Number of violent incidents — Successful de-escalations — Average time between risk assessments — Percent of time youth did not arrive on time to activity

Figure 23: Source – KPMG LLP 2020

Action 2: Develop a framework for performance review and feedback loop

While performance metrics provide value in managing geographical office, division, and employee performance, they can also be useful in providing coaching to enable employee development. In interviews it was noted by staff that performance reviews are only formally conducted during the EPR process, and any other performance discussion was a reaction to an event. In some interviews it was also noted that there had been a discontinuation of monthly or quarterly staff meetings.

To build a culture of open communication, constructive and proactive coaching, and continuous improvement, in addition to the benefit of increasing retention, the Department should establish a formal process to facilitate regular performance coaching and feedback. Shifting from an ad hoc approach to formalized approach may maximize the outcomes achieved by Department staff. It is recommended that Department leadership establish monthly or quarterly performance discussions at the functional leader and staff level. These conversations can be used to discuss opportunities for improvement (both in terms of staff performance and geographical office processes), as well as career development, retention, succession planning, and to identify staff who may be carrying too heavy of a caseload or workload. These individual-level meetings should be augmented by a monthly Department-wide management meeting, in which Department and team leadership can share successful practices and discuss solutions to challenges identified.

By strengthening and formalizing performance feedback loops, the Department can more effectively share effective practices, provide support and coaching to employees, and deliver high-quality services to their clients.

Anticipated impact

By expanding its current repertoire of KPIs to increase the number of metrics related to officer activity and outputs, analyzing these reports on a regular basis, and establishing a formal structure to discuss and implement this data, the Department will have a greater ability to evidence the results it is achieving for County residents, measure progress toward established strategic goals, proactively detect and address challenges as they arise, and provide support and coaching to its staff.



Implementation tear sheets

The implementation roadmap is accompanied by a detailed “tear sheet” for each Department recommendation outlined in the roadmap that would have the most impact or is anticipated to be the most difficult to implement. Each tear sheet provides an explanation of the activities, resources required, impact, level of effort, and other considerations. With careful assessment of these factors and the organization’s current capabilities, the sequence of recommendations reflects the appropriate course action that the County should take in implementing the recommendations.

Strategy and Budget

Develop overarching strategic plan to align Department operations, new initiatives, and budget development to strategic priorities

This tear sheet describes the steps needed to be taken to align operations, initiatives, and budget development to the mission, vision, and goals of the Department.

Key activities:

- Codify the Department’s overarching strategic priorities. This will include aligning language from existing reports (such as budget documents, annual reports, grant reports, and policy presentations) to the Department’s mission, as well as leadership’s vision and goals.
- Map the Department’s current activities and initiatives to the goals and areas of focus enumerated in the Department’s strategic plan. To achieve this, Department staff should document how operational objectives and activities across divisions contribute to the Department’s strategic priorities as well as goals identified as part of Renew ‘22.
- Realign division budgets and activities to match strategic goals and establish a prioritization structure for key initiatives. The mapping exercise described above will provide a high-level view of the Department’s current operations that can inform leadership decision-making around activities that should be prioritized or sequenced appropriately. These prioritization decisions should be incorporated into the Department’s budgeting process, helping to ensure that activities that align with the Department’s strategic goals receive the appropriate funding and staffing they need to succeed.
- Incorporate overarching strategic goals into Department operations. The strategy document described in this recommendation can be used to guide management decision-making around performance management frameworks, hiring and recruiting, training, and performance reviews.

Resources		Deliverables	
<ul style="list-style-type: none"> — Department leadership 		<ul style="list-style-type: none"> — Unified strategy document — Prioritize list of programming with budgetary impact and staffing needs 	
Level of Impact	Level of Effort	Duration	
Medium impact	Low effort	6 – 9 months	

Organizational Structure

Review senior staff responsibilities to enhance delegation of tasks to the appropriate staff level and right-size manager workload

This tear sheet describes the steps that should be taken to right-size manager workload and help ensure that work is being performed by the appropriate staff levels.

Key activities:

- Document current manager responsibilities and spans of control. This exercise should list key responsibilities and areas of oversight for each position, as well as the number of direct reports. Additionally, this exercise should document the relative importance of each task on this list, whether it requires specific licensing or training (e.g., sworn officer), and what category the action falls in to (e.g., administrative, supervisory, strategic, etc.)
- Utilize time-tracking and workload-based analysis to assess workload assigned to each manager position.
- Using the list of responsibilities, delegate eligible responsibilities to nonsworn manager positions or more junior staff. For example, delegating review of contracts, invoicing compliance, and the oversight of grants from the sworn officer manager of adult supervision to a more junior, nonsworn staff member.
- Adjust Department staffing, as needed, to realign staffing to most efficiently manage the activities and workload documented through this exercise.

Resources		Deliverables
<ul style="list-style-type: none"> — Department and functional leadership 		<ul style="list-style-type: none"> — List of current manager responsibilities — Delegation of low-level tasks away from manager roles where possible
Level of Impact	Level of Effort	Duration
High impact	Medium effort	2 – 3 months

Community Supervision

Enhance use of an activity-driven, workload-based caseload allocation model to inform staffing and budgeting decisions

This tear sheet describes the steps that should be taken to utilize data and workload to improve caseload allocation.

Key activities:

- Expand supervision guidelines to more thoroughly detail expected activities. Revised guidelines should contain sufficient detail to enable activities to be implemented consistently across officers. For example, listing what topics should be covered, activities conducted, and an expected length for a home visit.
- Facilitate a time-tracking study to develop and validate and develop a data-driven understanding of the amount of time consumed by officer activities. This time tracking should be facilitated through a simple spreadsheet that utilizes drop-down menus and high-level categories to provide ease of use by the staff.
- Utilize the above data-driven workload estimates and updated Department’s caseload guidelines to revise caseload caps by case type if required.
- Use the above data-driven workload estimates and caseload caps to produce an evidence-based assessment of the number of staff needed for the Department to complete its supervision responsibilities. Work with the CEO’s Office to transition to this workload-based staffing model.
- Expand performance measurement and output tracking to assess adherence to the caseload activity guidelines, with a focus on identifying outliers in performance. A detailed performance management model can be found in Recommendation 8, and the Performance Management Tear Sheet.
- Implement outcome tracking to assess the effectiveness of the Department’s array of supervision programs and models.

Resources		Deliverables
<ul style="list-style-type: none"> — Office leadership 		<ul style="list-style-type: none"> — Detailed supervision guidelines — Time-tracking analysis and workload estimates — Data-driven caseload caps — Enhanced, data-driven staffing plans — Expanded performance measure tracking
Level of Impact	Level of Effort	Duration
High impact	High effort	One to two years

Continue efforts to utilize demand-based, data-driven staffing to best align workforce to changes in population size and supervision philosophy

This tear sheet describes the steps that should be taken to align the Institutions workforce to population size and supervision guidelines.

Key activities:

- Document key activities and regulations at each facility, such as required supervision ratios (based on current, historical, and projected populations and complexity of individuals), transport, safety checks, and delivery of programming. This plan should take the number of staff required to perform daily and nightly duties and required relief factor for each position based on the shift length.
- Implement a time-tracking exercise with current Institutions employees. There should be five workload categories: Floor operations, Programming, Transportation, Classification, and Administrative duties. Once the data is collected, it should be processed and bucketed into four categories: "Supervision-related Workload," "Administrative-related Workload," "Programming."
- Using the task-based documentation created above, identify opportunities to delegate eligible responsibilities, such as programming, to nonsworn or specialized part-time staff.
- Utilizing the above time-tracking and workload data, the Department should develop a data-informed justification for staffing levels that takes programming additions and supervision philosophy changes into account. This should be calculated on both BSCC and PREA standards, as the Department utilizes both.

Resources		Deliverables	
<ul style="list-style-type: none"> — Department leadership 		<ul style="list-style-type: none"> — Time-tracking analysis — Shift relief calculation — Justified staffing model informed by operational needs 	
Level of Impact	Level of Effort	Duration	
High impact	High effort	One to two years	

Data-driven Decision-making

Expand performance measures to increase insight into staff activities and Department operations

This tear sheet provides the iterative steps toward developing and measuring performance metrics across the Department.

Key activities:

- Develop a comprehensive list of performance metrics currently measured at the Department, Division, team, and initiative levels.
- Review existing metrics list to determine opportunities to expand performance tracking related to staff outputs, activities, and adherence to caseload guidelines. When combined with the Department’s existing reports at the population and outcome levels, this activity or operations focused KPIs will provide quantitative evidence of the Department’s progress toward workload goals and will provide Department leadership and management with increased visibility into their team’s performance.
- Utilize expanded performance data to guide Department decision-making, building on existing Power BI capabilities and dashboards.
- Develop routine feedback loops for performance at the Department, Division, team, initiative, and individual levels. This may include biweekly or monthly performance discussions at the functional leader and staff level to review performance data and discuss opportunities for improvement. These individual-level meetings should be augmented by a monthly Division-wide management and supervisor meetings, as well as monthly performance management meetings at the team level. In these meetings, Department and team leadership can share successful practices, discuss solutions to challenges identified, and reinforce performance goals at the Department, Division, team, and initiative levels.

Resources		Deliverables
<ul style="list-style-type: none"> — Office leadership 		<ul style="list-style-type: none"> — Comprehensive list of performance metrics, including expanded workload-related metrics — Automated dashboards with expanded performance data — Monthly performance meeting
Level of Impact	Level of Effort	Duration
High impact	Medium effort	6 – 9 months

Prioritized Timeline

The graphic below provides an implementation timeline for the action items detailed in the tear sheets above.

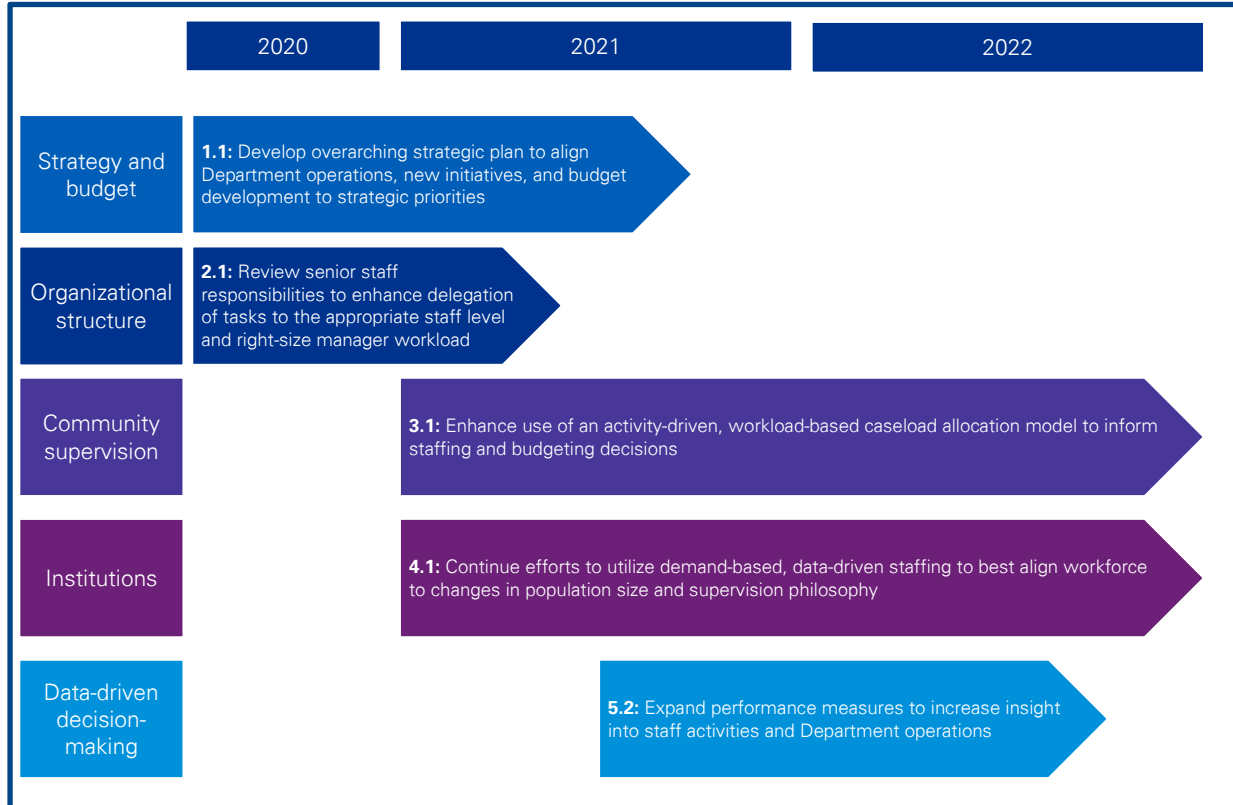


Figure 24: Source – KPMG LLP

Appendix A: Benchmark comparisons

Benchmark comparisons were conducted with the recommended eight benchmark counties. It should be noted that not all County budgets present information on budget and staffing at the branch level. This limitation drove what information is presented in the following branch-level benchmarking tables. Counties with zero values for either FTEs or budget have not been included in the averaging.

Probation Department benchmark comparison

	Budgets in \$'000	Santa Barbara County	Average	Monterey	Solano	Sonoma	Tulare	Placer	San Luis Obispo	Marin	Santa Cruz
FY17	Probation FTE	321	220	290	224	292	397	152	164	112	126
	Percent of Enterprise	7.86%	6.12%	5.56%	7.39%	6.97%	7.94%	5.23%	5.87%	4.90%	5.11%
	Probation Budget	\$56,057	\$40,565	\$67,910	\$41,826	\$75,624	\$41,884	\$29,623	\$22,709	\$21,753	\$23,194
	Percent of Enterprise	5.21%	3.99%	5.17%	4.20%	5.48%	3.80%	3.42%	3.77%	3.10%	2.99%
FY18	Probation FTE	329	218	288	220	285	397	152	164	113	128
	Percent of Enterprise	7.90%	5.40%	5.42%	7.15%	6.83%	7.89%	0.00%	5.88%	4.94%	5.14%
	Probation Budget	\$57,549	\$43,079	\$73,101	\$43,244	\$78,108	\$46,311	\$30,560	\$23,505	\$26,003	\$23,802
	Percent of Enterprise	5.21%	3.92%	4.89%	4.12%	4.96%	4.11%	3.15%	3.72%	3.66%	2.73%
FY19	Probation FTE	328	216	288	219	268	406	152	163	112	124
	Percent of Enterprise	7.71%	6.02%	5.57%	7.21%	6.66%	7.95%	5.22%	5.83%	4.83%	4.87%
	Probation Budget	\$58,932	\$45,489	\$76,721	\$43,802	\$84,186	\$54,368	\$31,623	\$24,562	\$23,683	\$24,967
	Percent of Enterprise	5.16%	3.98%	5.08%	4.31%	5.16%	4.23%	3.06%	3.88%	3.07%	3.02%

Figure 25: Source – KPMG LLP 2020

The Santa Barbara County's Probation Department has approximately 100 more FTEs than the comparison cohort. It is the second largest of the group behind Tulare County, which averages approximately 400 Probation FTEs per year. Similarly, the Department has the second largest budget of the comparison cohort, behind Sonoma County.

Probation Adult Services benchmark comparison

	Budgets in \$'000	Santa Barbara County	Average	Monterey	Solano	Sonoma	Tulare	Placer	San Luis Obispo	Marin	Santa Cruz
FY17	Probation - Adult FTE	131	79	85	87	98	-	-	53	55	97
	Percent of Enterprise	3.20%	2.51%	1.63%	2.86%	2.34%	-	-	1.90%	2.40%	3.94%
	Probation - Adult Budget	\$21,838	\$17,344	\$29,266	\$14,671	\$17,376	-	-	\$6,789	\$0	\$18,619
	Percent of Enterprise	2.03%	1.70%	2.23%	1.47%	1.26%	-	-	1.13%	0.00%	2.40%
FY18	Probation - Adult FTE	134	81	86	88	100	-	-	58	57	96
	Percent of Enterprise	3.20%	2.55%	1.62%	2.85%	2.40%	-	-	2.08%	2.50%	3.85%
	Probation - Adult Budget	\$22,657	\$18,413	\$31,537	\$15,112	\$18,880	-	-	\$7,574	\$0	\$18,959
	Percent of Enterprise	2.05%	1.62%	2.11%	1.44%	1.20%	-	-	1.20%	0.00%	2.17%
FY19	Probation - Adult FTE	139	80	86	90	97	-	-	58	57	95
	Percent of Enterprise	3.26%	2.55%	1.66%	2.95%	2.41%	-	-	2.07%	2.47%	3.72%
	Probation - Adult Budget	\$23,901	\$19,716	\$32,903	\$16,127	\$21,252	-	-	\$8,275	\$0	\$20,022
	Percent of Enterprise	2.09%	1.76%	2.18%	1.59%	1.30%	-	-	1.31%	0.00%	2.42%

Figure 26: Source – KPMG LLP 2020

Note: Santa Cruz County combines adult and juvenile services into one budget, and Tulare and Placer Counties do not provide detailed information in their budget books.

Santa Barbara Probation's Adult Services Division has approximately 66 percent more FTEs than the average among the comparison counties, and it is the largest among the benchmark cohort. Additionally, the Department's staffing grew by eight FTEs from FY17 to FY19 as the comparison cohort's staffing average remained flat. The Department's Adult Services budget is approximately \$4 million above the comparison cohort's average budget.

Probation Juvenile Services benchmark comparison

	Budgets in \$'000	Santa Barbara County	Average	Monterey	Solano	Sonoma	Tulare	Placer	San Luis Obispo	Marin	Santa Cruz
FY17	Probation - Juvenile FTE	59	39	47	43	49	-	-	31	25	-
	Percent of Enterprise	1.43%	1.13%	0.89%	1.42%	1.17%	-	-	1.10%	1.09%	-
	Probation - Juvenile Budget	\$9,606	\$8,026	\$8,315	\$9,493	\$10,274	-	-	\$4,024	\$0	-
	Percent of Enterprise	0.89%	0.75%	0.63%	0.95%	0.74%	-	-	0.67%	0.00%	-
FY18	Probation - Juvenile FTE	60	37	47	42	48	-	-	27	23	-
	Percent of Enterprise	1.43%	1.08%	0.88%	1.37%	1.15%	-	-	0.97%	1.01%	-
	Probation - Juvenile Budget	\$9,728	\$8,323	\$8,581	\$10,331	\$11,386	-	-	\$2,991	\$0	-
	Percent of Enterprise	0.88%	0.69%	0.57%	0.98%	0.72%	-	-	0.47%	0.00%	-
FY19	Probation - Juvenile FTE	54	36	47	43	42	-	-	27	23	-
	Percent of Enterprise	1.26%	1.07%	0.91%	1.42%	1.04%	-	-	0.96%	0.99%	-
	Probation - Juvenile Budget	\$9,441	\$8,807	\$9,051	\$10,488	\$11,789	-	-	\$3,901	\$0	-
	Percent of Enterprise	0.83%	0.74%	0.60%	1.03%	0.72%	-	-	0.62%	0.00%	-

Figure 27: Source – KPMG LLP 2020

Note: Santa Cruz County combines adult and juvenile services into one budget, and Tulare and Placer Counties do not provide detailed information in their budget books.

The Department's Juvenile Services FTE count is approximately 50 percent larger than the average among the comparison cohort, and it is the largest among the benchmark cohort. The Department's budget for Juvenile Services is approximately \$1 to \$1.5 million above that of its comparison cohort. However, Santa Barbara's budget for Juvenile Services fell by approximately \$200,000 from FY17 to FY19 while the benchmark comparison budget grew by \$800,000.

Probation Institutions benchmark comparison

	Budgets in \$'000	Santa Barbara County	Average	Monterey	Solano	Sonoma	Tulare	Placer	San Luis Obispo	Marin	Santa Cruz
FY17	Probation - Institution FTE	98	67	119	76	109	-	-	46	22	30
	Percent of Enterprise	2.40%	1.87%	2.27%	2.51%	2.60%	-	-	1.65%	0.96%	1.21%
	Probation - Institution Budget	\$18,421	\$12,998	\$21,506	\$12,896	\$19,388	-	-	\$6,626	-	\$4,575
	Percent of Enterprise	1.71%	1.21%	1.64%	1.30%	1.41%	-	-	1.10%	-	0.59%
FY18	Probation - Institution FTE	99	65	118	73	100	-	-	45	22	30
	Percent of Enterprise	2.38%	1.79%	2.21%	2.38%	2.40%	-	-	1.61%	0.94%	1.21%
	Probation - Institution Budget	\$18,277	\$13,617	\$24,792	\$13,016	\$18,511	-	-	\$6,923	-	\$4,842
	Percent of Enterprise	1.66%	1.14%	1.66%	1.24%	1.18%	-	-	1.10%	-	0.56%
FY19	Probation - Institution FTE	97	60	119	70	94	-	-	27	21	30
	Percent of Enterprise	2.27%	1.66%	2.29%	2.31%	2.34%	-	-	0.96%	0.90%	1.18%
	Probation - Institution Budget	\$18,235	\$12,707	\$23,387	\$12,732	\$18,569	-	-	\$3,901	-	\$4,945
	Percent of Enterprise	1.60%	1.03%	1.55%	1.25%	1.14%	-	-	0.62%	-	0.60%

Figure 28: Source – KPMG LLP 2020

The Department's Institutions FTE count is approximately 30-40 percent larger than the average among the comparison cohort. Santa Barbara has the third largest institutions staffing in FY17 and FY18, following Monterey and Sonoma Counties. As of FY19, Santa Barbara rose to become the second largest in its peer group in FTE count due to declines in staffing in Sonoma County the Department's budget for Juvenile Services is approximately \$5 million above that of its comparison cohort.

Average Daily Population as a Percentage of Rated Capacity for Juvenile Halls

	2017	2018	2019	Rated Capacity
Santa Barbara County	51%	31%	33%	120
Marin County	32%	31%	35%	40
Monterey County	60%	60%	54%	84
Placer County	29%	25%	19%	78
SLO County	54%	34%	35%	50
Santa Cruz County	43%	38%	41%	42
Solano County	39%	26%	27%	118
Sonoma County	30%	25%	26%	147
Tulare County	97%	67%	53%	60

Figure 29: Source – http://www.bscc.ca.gov/s_fsojuvenile detentionprofile/

Santa Barbara’s Juvenile Hall has the second largest rated capacity among the comparison cohort, following Sonoma County. Its ADP has declined from 51 percent in 2017 to 33 percent in 2019. This significant decline in utilization was also observed Placer County, SLO County, Solano County, and Tulare County.

Average Daily Population as a percentage of Rated Capacity for Juvenile Camps

	2017	2018	2019	Rated Capacity
Santa Barbara County	68%	50%	32%	56
Monterey County	33%	36%	42%	76
SLO County	42%	43%	41%	15
Solano County	23%	26%	26%	30
Sonoma County	53%	31%	56%	24
Tulare County (Youth Facility)	63%	51%	36%	60
Tulare County (Detention Camp)	31%	30%	21%	90

Figure 30: Source – http://www.bscc.ca.gov/s_fsojuvenile detentionprofile/

Santa Barbara’s Camp has the fourth largest rated capacity among the comparison cohort, following Tulare County (2 facilities) and Monterey County. Its ADP has declined from 68 percent in 2017 to 32 percent in 2019. This significant decline in utilization was observed only in one comparison county – Tulare County – and only in one facility. Bed utilization increased in Monterey County, while utilization remained approximately flat in SLO, Solano, and Sonoma counties.

Pre- and Post- Conviction as a Percentage of Average Monthly Population of Juvenile Halls

	2017		2018		2019	
	Pre	Post	Pre	Post	Pre	Post
Santa Barbara County	46%	54%	61%	39%	44%	56%
Marin County	46%	54%	44%	56%	31%	69%
Monterey County	65%	35%	66%	34%	72%	28%
Placer County	32%	68%	35%	65%	32%	68%
SLO County	52%	48%	61%	39%	57%	43%
Santa Cruz County	64%	36%	82%	18%	76%	24%
Solano County	53%	47%	72%	28%	65%	35%
Sonoma County	52%	48%	50%	50%	54%	46%
Tulare County	81%	19%	89%	11%	94%	6%

Figure 31: Source – http://www.bscc.ca.gov/s_fsojuvenile detentionprofile/

On average, the Juvenile Hall's population was 50 percent presentence and 50 percent postsentence from FY2017 to 2019. Across the comparison cohort, the population was 59 percent presentence and 41 percent postsentence. This average is driven up by Tulare County, which has a population that is heavily presentence. When this outlier is removed, the comparison cohort average is 55 percent presentence and 45 percent postsentence.

Misdemeanor and Felony Conviction as a Percentage of Average Monthly Population by Juvenile Halls

	2017		2018		2019	
	Misdemeanor	Felony	Misdemeanor	Felony	Misdemeanor	Felony
Santa Barbara County	61%	39%	57%	43%	14%	86%
Marin County	46%	54%	44%	56%	31%	69%
Monterey County	41%	59%	24%	76%	27%	73%
Placer County	57%	43%	39%	61%	31%	69%
SLO County	51%	49%	46%	54%	45%	55%
Santa Cruz County	43%	57%	38%	62%	36%	64%
Solano County	22%	78%	23%	77%	32%	68%
Sonoma County	48%	52%	47%	53%	56%	44%
Tulare County	28%	72%	22%	78%	20%	80%

Figure 32: Source – http://www.bscc.ca.gov/s_fsojuvenile detentionprofile/

Across FY17 to FY19, 44 percent of the Juvenile Hall's population was held on misdemeanor charges as compared to 56 percent on felony charges. This ratio shifted dramatically during this period however: by

FY2019, 86 percent of youth in the Hall were detained on felony charges. The comparison cohort population averaged 37 percent on misdemeanor charges and 63 percent on felony charges across the three years.

Misdemeanor and Felony Conviction as a Percentage of Average Monthly Population by Juvenile Camps

	2017		2018		2019	
	Misdemeanor	Felony	Misdemeanor	Felony	Misdemeanor	Felony
Santa Barbara County	75%	25%	75%	25%	11%	89%
Monterey County	11%	89%	7%	93%	10%	90%
SLO County	78%	22%	56%	44%	55%	45%
Solano County	57%	43%	10%	90%	1%	99%
Sonoma County	47%	53%	51%	49%	61%	39%
Tulare County	34%	66%	19%	81%	23%	77%

Figure 33: Source – http://www.bscc.ca.gov/s_fsojuvenile detentionprofile/

Across FY17 to FY19, 54 percent of the Juvenile Camp’s population was held on misdemeanor charges as compared to 46 percent on felony charges. This ratio shifted dramatically during this period however: by FY2019, 89 percent of youth in the Camp were detained on felony charges. The comparison cohort population averaged 35 percent on misdemeanor charges and 65 percent on felony charges across the three years.

Appendix B: Meeting tracker

This section provides detail on the meetings held with the Probation Department during the review.

Subject	KPMG attendees	Meeting date
Interview with Deputy Chief Kim Shean	Bill Zizic, Caoimhe Thornton, Alex Rothman, Steven David	6/25/2020
Interview with Deputy Chief Holly Benton	Caoimhe Thornton, Steven David	6/25/2020
Interview with Probation Chief Tanja Heitman	Bill Zizic, Caoimhe Thornton, Alex Rothman, Steven David	6/26/2020
Interview with Administrative Deputy Director Damon Fletcher	Caoimhe Thornton, Alex Rothman, Steven David	6/26/2020
Interview with John Kuo	Steven David	7/13/2020
Interview with Manager Brian Swanson	Alex Rothman, Steven David	7/14/2020
Interview with Karyn Milligan	Alex Rothman, Steven David	7/17/2020
Interview with Manager Spencer Cross	Alex Rothman, Steven David	7/22/2020
Interview with Erin Cross, Rose Zamora, and Maria Story	Steven David	7/22/2020
Follow-up interview with Damon Fletcher	Alex Rothman, Steven David	7/23/2020
Interview with Julianna Groves and Barton Clark	Alex Rothman, Steven David	7/28/2020
Interview with Bill Roberts and Miguel Monge	Alex Rothman, Steven David	7/29/2020
Interview with Joe Talaugon and Maria Story	Steven David	7/30/2020
Interview with Manager Kristina Brumbaugh	Alex Rothman, Steven David	7/31/2020
Interview with Amber Flores, Alejandra Ochoa, and Veronica Santana	Steven David	8/4/2020
Interview with Maria Mendoza	Steven David	8/10/2020
Follow-up interview with John Kuo	Steven David	8/10/2020
Follow-up interview with Erin Cross	Alex Rothman, Steven David	8/11/2020
Follow-up interview with John Kuo	Steven David	8/11/2020
Interview with Karla LeBrun	Steven David	8/12/2020
Themes Briefing with Chief Tanja Heitman	Caoimhe Thornton, Alex Rothman, Steven David	8/28/2020

Interview with Jon Vittone	Steven David	9/1/2020
Follow-up interview with John Kuo	Steven David	9/10/2020
Interview with Lidia Stoner and Buffy Harrington	Alex Rothman	9/13/2020
Interview with Monica Ruiz, Tina Centeno, Donald Heath, and Nancy Valdez	Alex Rothman, Steven David	9/13/2020
Interview with Monica Ruiz, Tina Centeno, Donald Heath, and Nancy Valdez	Alex Rothman, Steven David	9/13/2020
Follow-up interview with Erin Cross	Alex Rothman, Steven David	9/14/2020
Interview with Jerry Gerue and Crystal Rains	Alex Rothman, Steven David	9/15/2020
Follow-up interview with Deputy Chief Holly Benton	Alex Rothman, Steven David	9/16/2020
Follow-up interview with Damon Fletcher	Alex Rothman, Steven David	9/16/2020
Follow-up interview with Amber Flores, and Alejandra Ochoa	Alex Rothman, Steven David	9/16/2020
Follow-up interview with Deputy Chief Kimberly Shean	Alex Rothman	9/18/2020
Follow-up interview with Deputy Chief Shawn Small	Alex Rothman, Steven David	9/22/2020
Follow-up interview with Crystal Rains	Alex Rothman	9/28/2020
Interview with Liz Krene	Alex Rothman	9/30/2020

Figure 34: Source: KPMG LLP

Appendix C: Data tracker

This section provides detail on data received throughout the Probation Department Review.

Data Item	File Name
Finances	Probation Insitutions.xlsx
Finances	Probation Financial Status.xlsx
Operations	Violation Response Decision Matrix.docx
Operations	2020 Juvenile Detention Profile.pdf
Operations	AB109 Monthly Statistics.pdf
Operations	AB109 Violation Summary.pdf
Operations	ADULT DIVISION CASELOAD DATA Mar 2020.docx
Operations	April 2020 enrollment stats.pdf
Operations	Department Workload Report.pdf
Operations	ProbationApplications.xlsx
Operations	Violation Response Decision Matrix.docx
Finances	SM-MHTCEval5-2017.pdf
Data	CMJJP FY 2018-19.pdf
Data	CMJJP FY 2019-20.pdf
Data	CMJJP FY 2020-21.pdf
Data	Department Overview 2020.pdf
Data	FY 2018-19 Realignment Plan.pdf
Data	FY 2019-2020 Realignment Plan.pdf
Operations	FY 2020-21 Realignment Plan.pdf
Operations	Intervention Over Detention Presentation.pdf
Operations	JFAS-StrategicPlanningProposal11-2016.pdf
Operations	Juvenile Division Big Picture goals 8-22-18.docx
Operations	Juvenile Justice Data Presentation July 2018.pdf
Operations	Motivational.Interviewing.Guidelines.June2019.pdf
Operations	Program Inventory_2018.pdf
Operations	PRRC Report Mar-Apr 2020.pdf
Operations	Reimagining Juvenile Justice Cohort Presentations Dec 2019.pdf
Operations	RJJ Cohort Recommendations Dec 2019.docx
Operations	SantaBarbaraAB109Evaluation_2011_2017.docx
Operations	SB678 2018 - 2019 Report.pdf
Operations	SB678 Variance_Q1.xlsx
Operations	SM-MHTCEval5-2017.pdf
Operations	Shift Bid LPBC summer 2019.xlsx
Operations	Copy of PP201701 to PP201926 022 Lost Time Report.xlsx
Operations	Copy of PP201701 to PP201926 022 New Hires.xlsx
Operations	Copy of PP201701 to PP201926 022 Separations.xlsx
Operations	PP201626 022 Biweekly Staffing.pdf
Reports	PP201726 022 Biweekly Staffing.pdf
Operations	PP201826 022 Biweekly Staffing.pdf

Figure 35: Source: KPMG LLP 2020

Appendix D: Operating model framework

This section describes the operating model framework that was developed to articulate how a function should be designed, structured, and operated to improve operational efficiency, effectiveness, and service delivery. It consists of six interacting layers that need to be considered in conjunction with each other to determine how to optimally deliver services to the public.

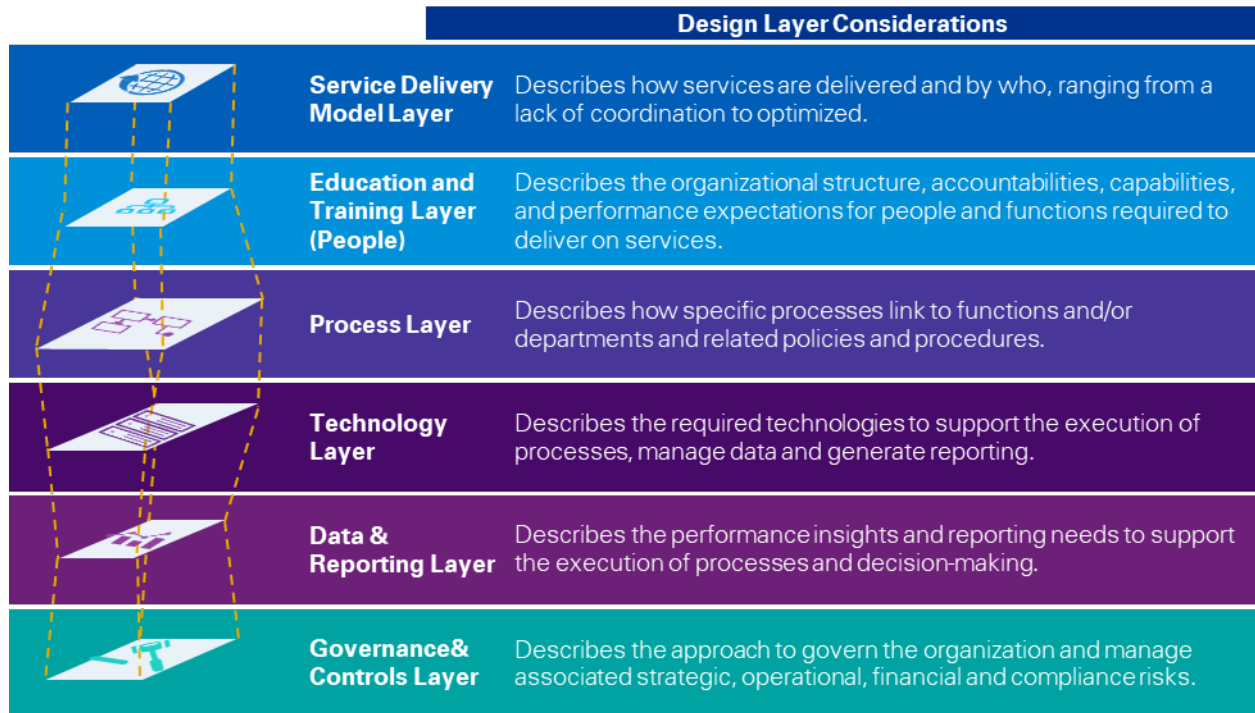


Figure 36: Source – KPMG LLP 2020