

SAN JOAQUIN COUNTY
PUBLIC SAFETY REALIGNMENT
Phase 3 Implementation Plan



October 21, 2014

Executive Committee of the Community Corrections Partnership

Helen Ellis, Collaborative Courts Manager (Presiding Judge Designee)

Peter Fox, Public Defender

Mark Helms, Chief of Police, Lodi Police Department

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BACKGROUND

In an effort to address overcrowding in California's prisons and assist in alleviating the State's financial crisis, the Public Safety Realignment Act (Assembly Bill 109) was signed into law on April 4, 2011. AB109 transferred responsibility for supervising specified lower level inmates and parolees from the California Department of Corrections and Rehabilitation to counties. AB109 did not contain funding for county agencies to implement the realignment shift and was not operative until funding was provided for counties. On June 30, 2011, Governor Brown signed a series of legislative bills as part of the State budget that provided funding and made necessary technical changes to implement the Public Safety Realignment Act, which went into effect on October 1, 2011.

AB109 transferred responsibility for supervising non-violent, non-serious, non-sex offenders (non/non/non's or PRCS-Post Release Community Supervision) upon release from State Prison to County Probation in lieu of being supervised by State Parole. Further, any non/non/non's sentenced after October 1, 2011 are no longer eligible to serve their prison sentence in State Prison and instead must serve it at the County Jail (Penal Code 1170(h)). The third population realigned from state to local responsibility is parolees that are no longer revoked to State Prison; their revocation period is instead served at the County Jail and is capped at 180 days. AB109 allows counties maximum flexibility in developing offender interventions and sanctions at the local level.

The San Joaquin County Community Corrections Partnership completed a 2011 Implementation Plan that was approved by the Board of Supervisors on August 30, 2011 and a Phase 2 Public Safety Realignment Plan that was approved by the Board of Supervisors on September 25, 2012. A plan was not submitted for Fiscal Year 2013-2014 as the Executive Committee approved a "status quo" budget, which only included salary and benefit increases.

The Phase 3 Public Safety Realignment Plan supplements and is not designed to replace the 2011 Implementation Plan or the Phase 2 Public Safety Realignment Plan. The Phase 3 Plan details plan additions and enhancements and outlines

the budget for all programs and strategies that have been put into place in San Joaquin County to serve the realigned populations.

SAN JOAQUIN COUNTY FUNDING

The Realignment Allocation Committee (RAC) formed by the California State Association of Counties (CSAC) has been tasked with making recommendations to the State Department of Finance (DOF) for the statewide formula for AB109 funds. Based on the RAC's recommendation, the "two year funding formula" for the 2012-2013 and 2013-2014 Fiscal Years allocated San Joaquin County 1.75% of the statewide allocation for the "base funding." For the "growth funds," a new formula was also developed by the RAC which reduced San Joaquin County's "growth funds" allocation for 2012-2013 (received in fall of 2014) to 1.34% of the statewide allocation for the growth funds.

For the 2014-2015 Fiscal Year and beyond, the RAC was again tasked with coming up with a "permanent" funding formula to be approved by the DOF. The below formula was just released in September 2014 and has been recommended to the DOF; however, it is still pending final approval. The RAC developed separate formulas for base funding and growth funding.

The proposed formula for base funds is comprised of the following: 22.5% from jail impacts (# of 1170h jail inmates); 22.5% from probation impacts (# of PRCS and felony probation population); 22.5% from Part 1 crimes in the county; 22.5% from county population aged 18-64; and 10% for poverty, small county minimums, or presence of state prison in the county. However, instead of being permanent, this formula will be in place for approximately three to five years.

The proposed formula for the growth funds will be based on "performance" beginning in 2015-2016 (based on performance during 2014-2015) and beyond: 60% from the Probation Department's success with SB678 (where counties are incentivized for reducing new prison commitments, either at the state or local level, for the felony probation population); 20% for the Probation Department's improvements in failure rates from one year to the next (based on SB678); 10% based on reductions to state prison for felons with 2nd strikes; and, 10% for success as measured by being prison admission rates lower than the statewide

per capita rate. However, for 2014-2015 to help counties with the transition of the shifting of funds, growth funds will be allocated based on 2/3^{rds} performance and 1/3rd stabilization (based on permanent base share).

See the below table for a comparison of funds allocated to San Joaquin County:

	Base	%	Growth	%	One-Time	Total
2013-2014	\$17,514,713	1.75%	\$1,158,827	1.34%	-	\$18,673,540
2014-2015	\$16,066,726	1.9425%	\$1,623,674	2.2185%	-	\$17,690,400
2015-2016	\$18,144,580	1.9425%	\$1,547,708	1.0196%	\$638,877	\$19,692,288
2016-2017	\$21,093,244	1.9425%	?	?	-	?

It is important to note, for 2014-2015, the statewide allocation for both base and growth funds is significantly less than the funds allocated in 2013-2014.

In addition, San Joaquin County will receive another AB109 Planning Grant in the amount of \$150,000 for submitting an updated Public Safety Realignment Plan to the Board of State and Community Corrections. These funds will be available at the end of December 2014.

Due to the hiring of staff and ramping up of services in the early years of Public Safety Realignment, there are significant carryover funds:

CARRY OVER	AMOUNT
Public Safety Realignment funding	\$6,511,039
AB109 Planning Grant	\$408,181
AB109 Training and Implementation Grant (one-time funding)	\$380,785
Growth Funds	\$774,827
TOTAL	\$8,074,832

LOCAL PLANNING AND OVERSIGHT

Community Corrections Partnership

The Executive Committee of the CCP oversees the realignment process and the development and implementation of the plan.

This plan was developed by the Executive Committee members, CCP members, and other key partners. Voting members of the Executive Committee are:

- Helen Ellis, Collaborative Courts Manager (Presiding Judge Designee)
- Peter Fox, Public Defender
- Mark Helms, Chief of Police, Lodi Police Department
- Stephanie L. James, Chief Probation Officer (Chair)
- Steve Moore, Sheriff
- Vic Singh, Director, Behavioral Health Services
- James Willett, District Attorney (in January 2015 it will be Tori Verber Salazar)

Non voting members of the CCP are:

- Steve Bestolarides, Board of Supervisors
- Joe Chelli, Human Services Agency
- Mick Founts, County Office of Education

- Gabriela Jaurequi, Victim Witness
- John Solis, Employment and Economic Development
- Gretchen Newby, Friends Outside

Other CCP meeting participants include representatives from the Probation Department, Sheriff's Office, District Attorney's Office, Human Services Agency; Employment and Economic Development Department; Behavioral Health Services; Superior Court; Employment and Economic Development Department, Correctional Health Services; San Joaquin Community Data Co-Op, Fathers & Families; Mary Magdalene Community Services; El Concilio; Community Partnership for Families; Friends Outside; Health Care Services; County Administrator's Office; County Office of Education; Stockton Police Department; Escalon Police Department; State Parole; the American Civil Liberties Union; local legislative representatives; various other public and private agencies, community and faith based organizations; and, community members at large.

The CCP would like to acknowledge Sammy Nunez from Fathers & Families of San Joaquin who served as the community based organization representative for the 2013-2014 Fiscal Year. Additionally, our deep appreciation goes to District Attorney James Willett, who has served as a member of the Executive Committee since its inception. DA Willett will be retiring at the end of December, at which time District Attorney Elect Tori Verber-Salazar will be taking his place on the Executive Committee. Lastly, our gratitude goes to Joe Chelli, Director of the Human Services Agency, who has sat as a member of the Community Corrections Partnership since its inception. Mr. Chelli will also be retiring in December; however, his replacement is not known at the time of this writing.

The San Joaquin County CCP continues to meet regularly through monthly Full Partnership meetings and Executive Committee meetings.

Plan Oversight

In January 2014, the CCP formed an AB109 Oversight Committee. This committee is led by the Probation Department and has a representative from each funded agency in attendance at the monthly meetings. The AB109 Oversight Committee

is reviewing and assessing each plan component to improve processes, increase accountability, standardize invoicing and reporting, and evaluate the appropriateness of allocated resources.

Also, beginning in January 2014, the CBO Compliance Monitoring Process was implemented (see Attachment A). This detailed monitoring process is completed on each community based organization and treatment provider on an annual basis, with bi-annual reports going before the Executive Committee.

IMPLEMENTATION STRATEGIES

Phase 1 of Public Safety Realignment occurred during the first nine months and served as a foundation for addressing the impacts and needs of the realigned population. Phase 1 attempted to address the preliminary impacts to inmate housing and community supervision, while also addressing the supportive services, treatment, and programming needs of the offenders. Many of the Phase 1 programs had cost-savings due to the ramping up of offenders as well as with delays in hiring new staff.

Phase 2 of Public Safety Realignment focused on data driven decision-making. The CCP used preliminary implementation and evaluation data to expand Phase 1 programs and develop new programs and services to address the needs of the realigned offenders.

Phase 3 of Public Safety Realignment continues to fund the programs and strategies implemented during Phases 1 and 2. It also includes two new program components as well as enhancements that were made to respond to issues that arose since the implementation of Phase 2.

PHASE 1 PROGRAMS AND STRATEGIES

For more detailed information, refer to the 2011 Implementation Plan for Public Safety Realignment. Enhancements funded in the Phase 2 Public Safety Realignment Plan are also included.

High Risk Unit

The Probation Department implemented a High Risk Unit to provide community supervision to the Post Release Community Supervision (PRCS) offenders and the new offenders sentenced under 1170(h) PC, referred to as Local Community Supervision (LCS) offenders.

Evidence Based Programming

The Probation Department utilizes the Static Risk Assessment Offender Needs Guide (STRONG) instrument to assess and identify the criminogenic needs of offenders. These needs are then addressed through targeted interventions (i.e. evidence based programs, cognitive behavioral restructuring groups).

These evidence based programs have been offered to those offenders released into the community through a balanced approach, by contracting with community based organizations and direct services provided by probation officers.

Probation Officers have been trained and are facilitating the following evidence based curricula:

- Motivational Interviewing (MI)
- Effective Practices in Community Supervision (EPICS)
- Moral Reconation Training (MRT)
- Women Moving On (WMO)
- Aggression Replacement Training (ART)

Community based organizations and Behavioral Health Services are facilitating the following evidence based curricula:

- Thinking for a Change
- Common Sense Parenting (CSP)
- University of Cincinnati Correctional Institute (UCCI) Cognitive Behavioral Training for Substance Abuse (CBT-SA)

The Probation Department is currently under contract with the University of Cincinnati Correctional Institute to review and enhance the menu of cognitive behavioral interventions offered to the clients as well as a focus on continuous quality improvement.

Home Detention with Electronic Monitoring or Global Positioning Satellite

Home detention with Electronic Monitoring (EMP) or Global Positioning Satellite (GPS) allows for the offender to remain in their home in lieu of being incarcerated in jail, reserving beds in the County Jail for more serious and violent offenders. Both systems are viable solutions to alleviate much needed jail space and are appropriate intermediate sanctions for offenders who commit technical violations of probation as well as for those offenders who are sentenced on new low-level offenses.

Day Reporting Center Expansion

The Probation Department expanded its existing Day Reporting Center (DRC) to serve the realigned population. The Department is currently receiving Technical Assistance from the University of Cincinnati Correctional Institute to revamp the Day Reporting Center and enhance the number of evidence based programs received, as well as create a new system for phase advancement. These changes will be implemented in January 2015.

Assessment Center

The Probation Department implemented the San Joaquin County Assessment Center in conjunction with San Joaquin County Behavioral Health Services (BHS), the San Joaquin County Employment and Economic Development Department (WorkNet), and the San Joaquin County Human Services Agency (HSA). The Assessment Center serves as a hub for the comprehensive delivery of service to offenders as a result of the Public Safety Realignment.

Post Supervision Release Re-Entry Court

The Superior Court of San Joaquin County implemented a Post Supervision Release Re-Entry Court based on the evidence based Drug Court Model. Offenders are assigned to a compliance officer, in addition to being supervised by a probation officer and receive case management services, mental health treatment, substance abuse counseling, residential treatment, and academic and vocational programming.

Sheriff's Office (Jail Beds)

Funding to re-open three housing units (210 beds) at the Honor Farm that had been previously taken off-line due to budget cuts to house the AB109 populations.

Sheriff's Office (In-Custody Programming)

Funding for the Sheriff's Office to increase the use of evidence based programming for offenders in custody. Additionally, funding was allocated for vocational programs as well as educational testing.

Sheriff's Office (Alternatives to Incarceration)

The Sheriff's Office expanded the use of its Alternatives to Custody program of home detention and Global Positioning Satellite (GPS) electronic monitoring. Additionally, alcohol monitoring equipment was added for those offenders who meet the criteria for an alternative to incarceration and have an alcohol related offense.

Correctional Health Services

Correctional Health Services provides health care to inmates housed in the County Jail. Funding was allocated for increased health care costs with the addition of 210 jail beds. Since offenders may be detained at the County Jail for

longer than one year, costs have increased for inpatient, outpatient services, and pharmaceuticals.

Behavioral Health Services

San Joaquin County Behavioral Health Services (BHS) provides mental health and substance abuse services at the County Jail, at the Assessment Center, and at the Day Reporting Center. BHS also refers offenders to residential treatment through the various programs.

Educational Services

Although not funded through Public Safety Realignment, the San Joaquin County Office of Education provides educational services at the Day Reporting Center and at the County Jail.

Job Training Assistance

The Employment and Economic Development Department (EEDD) provides a variety of services, information, and training opportunities to help the realigned population secure employment. WorkNet is stationed at the Assessment Center, and also works with offenders at the Day Reporting Center.

Eligibility Screening for Human Services Agency Programs

San Joaquin County Human Services Agency is housed at the Assessment Center and screens all realigned offenders for eligibility for General Assistance, Cal Fresh, CalWorks, and Medi-Cal.

Transitional Housing

For those offenders who do not qualify for General Assistance housing, transitional housing for a period of up to 45 days will be made available while the offender transitions back into the community.

Transportation Needs

In order to eliminate some of the barriers offenders face, bus passes are made available through the Assessment Center to those who are making satisfactory progress.

Administrative Overhead

Probation Department staff were added to the Administrative Services Division to assist with overseeing and managing the Public Safety Realignment Plan for San Joaquin County.

Data Collection and Evaluation

Data Collection and Evaluation efforts for the San Joaquin County Public Safety Realignment Plan have been contracted with the San Joaquin Community Data Co-Op.

PHASE 2 PROGRAMS AND STRATEGIES

For more detailed information, refer to the Phase 2 Public Safety Realignment Plan.

Sheriff's Office (AB 109 Support)

As a result of the significant increase in AB 109 offenders in custody at the County Jail, AB109 support is being provided to the Sheriff's Office through a variety of staff positions to assist with oversight, monitoring, and coordination of services.

Community Based Organizations

Four community based organizations are being provided funding to work with the realigned populations: Community Partnership for Families; El Concilio; Fathers & Families; and, Mary Magdalene Community Services. These agencies provide a

variety of supportive services including integrated case management, wraparound services, mentoring, outreach, and linkages to pro-social activities and associates.

Warrant Reduction and Advocacy Program

The Warrant Reduction and Advocacy Program (WRAP) pairs assertive outreach to those who are on the verge of triggering a warrant with community based wraparound services for offenders and their families. WRAP aims to address unmet criminogenic needs which contribute to recidivism, permitting probation officers to spend their time targeted toward high risk offenders, and avoid unnecessary bench warrants which avert law enforcement from more critical duties.

Parole Re-Entry Court

In response to the overwhelming number of parolees booked into the County Jail on 3056 holds, the Superior Court of San Joaquin implemented a Parole Re-Entry Court, based on the Drug Court Model. The Superior Court manages and limits the number of parolees housed at the County Jail on a parole revocation to no more than 40 on an average daily population. All follow-up supervision and treatment services continue to be paid for by State Parole. Public Safety Realignment funds are used to fund the court as a mechanism for handling the volume of parolees who are serving their revocation period at the County Jail.

High Violent Offender Court

The Superior Court of San Joaquin County implemented a High Violent Offender Court, which is based on the Drug Court Model. A Probation Officer is assigned to monitor and supervise the caseload of offenders in the program and works in collaboration with the case manager as well as various treatment and service providers. The primary goals of this court are to address recidivism, minimize revocations, address the criminogenic needs of the offenders, and assist with the offender's re-entry into the community.

Violent Crimes Unit

The Probation Department implemented a Violent Crimes Unit (VCU) to specifically address the population of offenders that are most likely to reoffend for a violent crime. The VCU works a non-traditional schedule to address these offenders outside of traditional work hours. The flexibility of working evenings and weekends provides added opportunities to provide services to this select population of offenders and allows for additional close supervision.

Community Corrections Partnership Task Force

The CCP Task Force is a collaborative between the Stockton Police Department, the Lodi Police Department, the Manteca Police Department, and the Tracy Police Department that works closely with the Violent Crimes Unit. The CCP Task Force is not responsible for supervising realigned offenders, but assists in conducting compliance checks and actively searching for wanted offenders. The CCP Task Force will balance its time between the host agency (Stockton Police Department) and the employer agencies. This hybrid deployment model is a force multiplier because it will maximize effectiveness by periodically including additional police officers.

Pretrial Assessment and Monitoring

Funds were set aside in the Phase 2 Public Safety Realignment Plan for a Pretrial Assessment and Monitoring Program; however, full program and budgetary details were not known at that time. This is being added as a new program in the Phase 3 Public Safety Realignment Plan.

PHASE 3 PROGRAMS AND STRATEGIES

Pretrial Assessment and Monitoring

The Community Corrections Partnership is committed to implementing a validated Pretrial Assessment and Monitoring Program to better utilize our scarce jail beds by reserving detention for those individuals that pose a significant risk to

the community or are at risk for failing to appear in court. A validated pretrial assessment tool will assist in determining whether offenders should be released or remain detained pending their court proceedings. Additionally, pretrial monitoring will provide a continuum of monitoring services based on the offenders risk to reoffend while going through the court process and likelihood to appear in court.

With the assistance of the National Institute of Corrections and the Crime and Justice Institute, the Pretrial Subcommittee has been diligently working since August 2013 on developing a robust Pretrial Assessment and Monitoring Program in San Joaquin County. This program will be implemented on October 27, 2014.

Parole Revocation Hearings

Beginning in July 2013, parole revocation hearings were transferred from the responsibility of the Board of Parole Hearings to local Superior Court. This resulted in an increase in workload for both the District Attorney's and Public Defender's Offices; therefore, the Phase 3 Public Safety Realignment Plan included funding for one attorney for each office.

PHASE 3 ENHANCEMENTS

High Violent Offender Court

It was originally anticipated the offenders referred to the High Violent Offender Court would not have significant substance abuse issues. However, since the High Violent Offender Court began in January 2013, 80% of the clients have substance abuse issues. Therefore, additional funds were allocated for residential treatment, outpatient treatment, narcotic replacement, and sober living environments.

Correctional Health Care

With the additional jail beds reopened at the Honor Farm (from 170 in 2011-2012 to 210 in 2012-2013), an additional nurse was needed to work the "p.m." shift

five days a week. The nurse provides mandated health and mental health assessments, triage, emergency medical care, sick calls, labs, treatments, and medication administration. This additional position reduced the cost of transporting the inmates to the main jail or the hospital when they need to be evaluated by medical staff during the evening hours.

DATA COLLECTION AND EVALUATION

The Community Corrections Partnership continues to be committed to data driven decision making. Since the implementation of Public Safety Realignment, a 6-month Preliminary Evaluation Report, a 1-Year Evaluation Report, and the 2014 Annual Report: An Examination of AB109 Recidivism in San Joaquin County in Year 2 has been published. Currently, data is being collected for the 2015 Annual Report.

In April 2012, the Executive Committee of the CCP adopted a definition of “recidivism” as a conviction of a new crime within three years of the start of supervision. However, other measures of recidivism, such as arrests and technical violations are also collected and analyzed. It is important to note, the Board of State and Community Corrections was tasked by the legislature to define the term “recidivism.” On September 25, 2014, the BSCC presented its final version of the definition which will be presented to the Board in November. The Adult Recidivism definition is “defined as a conviction of a new felony or misdemeanor committed within three years of release from custody or committed within three years of placement on supervision for a previous criminal conviction.” As noted by the BSCC, *committed* refers to the date of offense, not the date of conviction.

AB109 PUBLIC SAFETY REALIGNMENT BUDGET

The Phase 2 Public Safety Realignment Plan was approved by the San Joaquin County Board of Supervisors on September 25, 2012. For the 2013-2014 Fiscal Year, a “status quo” budget (which only included salary and benefit increases) was approved by the Executive Committee of the Community Corrections Partnership on March 28, 2013. Therefore, there was not a need to submit a Phase 3 Plan at that time. However, during the course of 2013-2014 Fiscal Year,

the Executive Committee approved additional expenditures to the base plan; therefore, a Phase 3 Public Safety Realignment Plan is being prepared for the 2014-2015 Fiscal Year.

Funding for Fiscal Year 2014-2015 was approved by the Executive Committee on March 12, 2014 and was incorporated into each County Department's budgets during the budget cycle. The only position that needs to be allocated is the Office Assistant position to the Probation Department for the Pretrial Assessment and Monitoring Program. The contracts for Friends Outside, Community Partnership for Families, El Concilio, Fathers & Families of San Joaquin, Mary Magdalene Community Services, the San Joaquin Community Data Co-Op, and Superior Court were approved by the Board of Supervisors on June 24, 2014 and the contract with the City of Stockton for the CCP Task Force was approved by the Board of Supervisors on August 26, 2014. Attachment B shows a comprehensive breakdown by agency and service need area.

Below are the proposed budgets for each program funded by the Phase 3 Public Safety Realignment Plan.

Probation Department

Pretrial Assessment and Monitoring Program

Proposed Budget Line Items	Status Quo	Total
1. Salaries and Benefits		\$1,182,124
2. Services and Supplies		\$6,900
3. Professional Services		\$43,785
4. CBO Contracts		
5. Administrative Costs		
6. Fixed Assets/Equipment		

7. Data Collection/Program Evaluation		\$15,000
8. Other		
TOTAL	\$370,000	\$1,247,809

Salaries and Benefits:

One (1) Probation Unit Supervisor = \$145,504

One (1) Probation Officer III = \$125,305

One (1) Probation Officer I/II = \$114,796

Two (2) Pretrial Senior Program Specialists = \$97,005 x 2 = \$194,010

Six (6) Pretrial Program Specialists = \$91,049 x 6 = \$546,294

One (1) Office Assistant = \$56,215

TOTAL SALARIES AND BENEFITS = \$1,182,124

Sheriff's Office

Jail Beds

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$2,545,339
2. Services and Supplies	\$1,353,717
3. Professional Services	\$10,000
4. CBO Contracts	
5. Administrative Costs	
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	
8. Other	

TOTAL	\$3,909,056
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Jail Programming

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$290,309
2. Services and Supplies	\$31,246
3. Professional Services	\$72,300
4. CBO Contracts	
5. Administrative Costs	
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	
8. Other	
TOTAL	\$394,855

Alternatives to Incarceration

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$262,499
2. Services and Supplies	\$26,764
3. Professional Services	
4. CBO Contracts	

5. Administrative Costs	
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	
8. Other	
TOTAL	\$289,263

Bailiff

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$217,422
2. Services and Supplies	
3. Professional Services	
4. CBO Contracts	
5. Administrative Costs	
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	
8. Other	
TOTAL	\$217,422

AB 109 Support

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$673,959

2. Services and Supplies	
3. Professional Services	
4. CBO Contracts	
5. Administrative Costs	
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	
8. Other	
TOTAL	\$673,959

Probation Department

High Risk Unit

Proposed Budget Line Items	Status Quo	Phase 3 (New)	Total
1. Salaries and Benefits	\$1,318,902	-\$230,476	\$1,088,426
2. Services and Supplies	\$82,040	-\$8,004	\$74,036
3. Professional Services	\$42,515	-\$2,000	\$40,515
4. CBO Contracts			
5. Administrative Costs			
6. Fixed Assets/Equipment			
7. Data Collection/Program Evaluation			
8. Other	\$13,000		\$13,000
TOTAL	\$1,456,457	-\$240,480	\$1,215,977

The below have been moved to the Violent Crimes Unit

Salaries and Benefits:

Two (2) Probation Officer I/IIs = $\$115,238 \times 2 = \$230,476$

Services and Supplies = $\$8,004$

Professional Services = $\$2,000$

Violent Crimes Unit

Proposed Budget Line Items	Status Quo	Phase 3 (New)	Total
1. Salaries and Benefits	\$616,965	\$230,476	\$847,441
2. Services and Supplies	\$26,952	\$8,004	\$34,956
3. Professional Services		\$2,000	\$2,000
4. CBO Contracts			
5. Administrative Costs			
6. Fixed Assets/Equipment			
7. Data Collection/Program Evaluation			
8. Other	\$5,000		\$5,000
TOTAL	\$649,917	\$240,480	\$889,397

The below have been transferred from the High Risk Unit

Salaries and Benefits:

Two (2) Probation Officer I/IIs = $\$115,238 \times 2 = \$230,476$

Services and Supplies = $\$8,004$

Professional Services = $\$2,000$

Assessment Center

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$310,747
2. Services and Supplies	\$16,592
3. Professional Services	
4. CBO Contracts	
5. Administrative Costs	
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	
8. Other	
TOTAL	\$327,339

Day Reporting Center

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$356,217
2. Services and Supplies	\$18,688
3. Professional Services	\$50,000
4. CBO Contracts	\$66,667
5. Administrative Costs	
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	

8. Other	\$10,700
TOTAL	\$502,272

Evidence Based Programming

Proposed Budget Line Items	Total
1. Salaries and Benefits	
2. Services and Supplies	\$25,000
3. Professional Services	\$25,000
4. CBO Contracts	\$50,000
5. Administrative Costs	
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	
8. Other	
TOTAL	\$100,000

Correctional Health Services

Proposed Budget Line Items	Status Quo	Phase 3 (New)	Total
1. Salaries and Benefits	\$685,881	\$134,721	\$820,602
2. Services and Supplies	\$405,013		\$405,013
3. Professional Services			
4. CBO Contracts			

5. Administrative Costs			
6. Fixed Assets/Equipment			
7. Data Collection/Program Evaluation			
8. Other			
TOTAL	\$1,090,894	\$134,721	\$1,225,615

Salaries and Benefits:

One (1) Staff Nurse III = \$134,721

Behavioral Health Services

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$738,258
2. Services and Supplies	\$6,950
3. Professional Services	
4. CBO Contracts	
5. Administrative Costs	
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	
8. Other	\$232,500
TOTAL	\$977,708

Employment and Economic Development Department

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$295,873
2. Services and Supplies	\$253,878
3. Professional Services	
4. CBO Contracts	
5. Administrative Costs	\$30,349
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	\$18,331
8. Other	\$504
TOTAL	\$598,935

Transportation

Proposed Budget Line Items	Total
1. Salaries and Benefits	
2. Services and Supplies	
3. Professional Services	\$42,000
4. CBO Contracts	
5. Administrative Costs	
6. Fixed Assets/Equipment	

7. Data Collection/Program Evaluation	
8. Other	
TOTAL	\$42,000

Global Positioning Satellite

Proposed Budget Line Items	Total
1. Salaries and Benefits	
2. Services and Supplies	
3. Professional Services	\$92,000
4. CBO Contracts	
5. Administrative Costs	
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	
8. Other	
TOTAL	\$92,000

Human Services Agency

Eligibility Screening

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$139,387
2. Services and Supplies	\$26,484

3. Professional Services	
4. CBO Contracts	
5. Administrative Costs	\$43,210
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	
8. Other	
TOTAL	\$209,081

Transitional Housing

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$3,798
2. Services and Supplies	\$395
3. Professional Services	\$66,682
4. CBO Contracts	
5. Administrative Costs	\$251
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	
8. Other	\$48,874
TOTAL	\$120,000

San Joaquin County Superior Court

Post Release Supervision Re-Entry Court

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$198,567
2. Services and Supplies	\$23,000
3. Professional Services	\$6,933
4. CBO Contracts	\$487,900
5. Administrative Costs	
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	
8. Other	
TOTAL	\$716,400

Parole Re-Entry Court

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$169,000
2. Services and Supplies	\$19,000
3. Professional Services	
4. CBO Contracts	
5. Administrative Costs	
6. Fixed Assets/Equipment	

7. Data Collection/Program Evaluation	
8. Other	
TOTAL	\$188,000

High Violent Offender Court

Proposed Budget Line Items	Status Quo	Phase 3 (New)	Total
1. Salaries and Benefits	\$280,748		\$280,748
2. Services and Supplies	\$14,000		\$14,000
3. Professional Services	\$3,470		\$3,470
4. CBO Contracts	\$50,000	\$70,450	\$120,450
5. Administrative Costs			
6. Fixed Assets/Equipment			
7. Data Collection/Program Evaluation			
8. Other			
TOTAL	\$348,218	\$70,450	\$418,668

Community Corrections Partnership Task Force

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$668,757
2. Services and Supplies	
3. Professional Services	

4. CBO Contracts	
5. Administrative Costs	
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	
8. Other	
TOTAL	\$668,757

Community Based Organizations

Warrant Reduction and Advocacy Program (Friends Outside)

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$212,464
2. Services and Supplies	\$2,000
3. Professional Services	
4. CBO Contracts	
5. Administrative Costs	\$19,830
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	
8. Other	\$2,260
TOTAL	\$236,554

Community Partnership for Families

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$133,978
2. Services and Supplies	\$4,200
3. Professional Services	\$3,700
4. CBO Contracts	
5. Administrative Costs	\$8,258
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	\$2,000
8. Other	\$7,864
TOTAL	\$160,000

El Concilio

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$106,000
2. Services and Supplies	\$16,710
3. Professional Services	
4. CBO Contracts	
5. Administrative Costs	\$21,790
6. Fixed Assets/Equipment	\$2,100
7. Data Collection/Program Evaluation	\$500

8. Other	\$12,900
TOTAL	\$160,000

Fathers & Families of San Joaquin

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$109,760
2. Services and Supplies	\$810
3. Professional Services	\$5,000
4. CBO Contracts	
5. Administrative Costs	\$18,903
6. Fixed Assets/Equipment	\$500
7. Data Collection/Program Evaluation	\$1,376
8. Other	\$23,651
TOTAL	\$160,000

Mary Magdalene Community Services

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$121,742
2. Services and Supplies	\$9,300
3. Professional Services	
4. CBO Contracts	

5. Administrative Costs	\$20,258
6. Fixed Assets/Equipment	\$1,000
7. Data Collection/Program Evaluation	
8. Other	\$7,700
TOTAL	\$160,000

District Attorney

Proposed Budget Line Items	Phase 3 (new)	Total
1. Salaries and Benefits	\$214,085	\$214,085
2. Services and Supplies		
3. Professional Services		
4. CBO Contracts		
5. Administrative Costs		
6. Fixed Assets/Equipment		
7. Data Collection/Program Evaluation		
8. Other		
TOTAL	\$214,085	\$214,085

Public Defender

Proposed Budget Line Items	Phase 3 (new)	Total
1. Salaries and Benefits	\$214,085	\$214,085

2. Services and Supplies		
3. Professional Services		
4. CBO Contracts		
5. Administrative Costs		
6. Fixed Assets/Equipment		
7. Data Collection/Program Evaluation		
8. Other		
TOTAL	\$214,085	\$214,085

San Joaquin Community Data Co-Op

Proposed Budget Line Items	Total
1. Salaries and Benefits	
2. Services and Supplies	
3. Professional Services	\$141,856
4. CBO Contracts	
5. Administrative Costs	
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	
8. Other	
TOTAL	\$141,856

Probation Department

Administrative Overhead

Proposed Budget Line Items	Total
1. Salaries and Benefits	\$874,240
2. Services and Supplies	\$62,120
3. Professional Services	
4. CBO Contracts	
5. Administrative Costs	
6. Fixed Assets/Equipment	
7. Data Collection/Program Evaluation	
8. Other	
TOTAL	\$936,360

SUMMARY

The San Joaquin County Executive Committee strives to create a balanced plan that focuses on both law enforcement related activities and re-entry services. The plan is intended to improve the success rates of offenders under supervision resulting in reduced recidivism, less victimization, and increased public safety. Accomplishing this in the most cost effective manner and through data driven decision making, while employing proven correctional and justice system evidence based practices continues to be the Community Corrections Partnership's primary strategic goal.



**San Joaquin County
Probation Department**

AB 109 Contract Services Monitoring Guidelines

Objective *To review and evaluate contracts on a semi-annual basis to ensure that the contractor is meeting the terms and conditions set forth in the contract.*

Monitoring Documents

The following list contains monitoring documents that may be used in the contract monitoring process.

Part I Contractor Evaluation Self-Monitoring Report – To be filled out by the contractor and reviewed with the Program Monitor or designee

Part II Site Visit Form – A generalized form for recording/reporting observations while performing site visits – Contracts Program Monitor or designee

Part IIA Contract Agency Staff Interview – A questionnaire to interview contractor staff – Contracts Program Monitor or designee

Part IIB Internal Staff Interview – a questionnaire to interview internal County Department staff – Program Monitor or designee

Part III Participant Interview – A questionnaire to interview program participants – Program Monitor or designee

Part IV Summary of Semi-Annual Review – A summary report to be filled out after completing the semi-annual contract monitoring process (due by end of January following the end of County fiscal mid-year) - Program Monitor or designee.

Part V Annual/Final Summary Evaluation – A summary report to be filled out at the end of the contract or end of County fiscal year (due by end of the month following end of contract term or end of July following the end of County fiscal year) - Program Monitor or designee.

Part VI Follow-Up/Assistance Report – To be filled out (as needed) only if the contractor requires follow-up or the contractor requests assistance - Contracts Administration, Program Monitor or designee.

Part VII Corrective Action Plan – A report to guide Program Monitors in developing a corrective action plan if needed – Contracts Administration, Program Monitor or designee.

Part VIII Corrective Action Plan Progress Review – A report to guide Program Monitors in follow-up reporting the results of previously developed corrective action plans (if needed) – Contracts Administration, Program Monitor or designee.

Contract Information

All Probation Department AB 109 Services contracts will contain the following:

1. **Boiler Plate** – common language information found in most County contracts which includes: insurance, indemnification, deliverables, report guidelines, etc.
2. **Contract Specifics** – start and end date, amount of contract, deliverables, reporting requirements, etc.
3. **Scope of Services** – the part of the contract that summarizes the scope of services and is specific as to the numbers and types of services offered by the contractor.
4. **Budget** – a line item budget that details the cost for services performed.
5. **Invoices** – Monthly Cost Reimbursement Claim, Receipts



**San Joaquin County
Probation Department**

AB 109 Contract Services Monitoring Guidelines

Setting up Site Visit

Monitoring visits should be mutually set up with the contractor and the Program Monitor or *designee*. Appointments will be confirmed by email which describes the purpose of the visit, requirements, and expectations of the monitor. The first appointment should occur as soon as reasonably possible following the end of each fiscal mid-year and fiscal year. The contractor should provide the completed Part I self-monitoring tool to the Program Monitor prior to the first site visit appointment.

Desk Review Prior to the on-site visit, the Program Monitor shall perform the following tasks:

1. **Review the Contract** – to determine and verify start/end dates, contract amount and type of services.
2. **Review reports received prior to the site visit** – *These documents are the basis of the contract evaluation.*
3. **Review Part I – Contractor Self-Monitoring Report** – To be completed by the contractor and submitted every six months, prior to the site visit.

On-Site Monitoring Visit

Administrative Review

1. The Program Monitor will review the Contractor Self-Monitoring Report with the administrator of the program. This report should be submitted prior to the site visit. Reviewing this tool with the administrator is key to understanding and verifying contract compliance. This interview process will help the Program Monitor gain a clear understanding of the program and its services. If there are any questions or concerns as a result of the preparation process and interview with the program administrator, the Program Monitor should seek clarification during the review. Provide a corrective action plan if appropriate.

Interviews

2. **Staff Interviews** – Use the Part IIA Contract Agency Staff Interview questionnaire to ask interview questions as to how program services are provided. This can be very revealing when compared to the Contractor Self-Monitoring Report and the contract. Also use the Part IIB Internal Staff Interview questionnaire to conduct **internal department staff interviews** – DPOs, Fiscal, Contracts Administration, Courts, BHS, etc.
3. **Participant Interviews**– Use the Part III Participant Interview questionnaire to interview program participants. Ask questions as to what services the participant has obtained from the contractor.

On-site File Review

4. **File Review** – Determine what types of documents should be contained in a participant's file. The contractor will note this on Part I Contractor Self-Monitoring Tool, (documents can vary by program and vary by the types of services provided), ask to see a sampling of the participant's record. Follow the trail as to how records are kept, recorded and reported. This exercise can verify the contractor is keeping adequate records, and can substantiate reporting statistics, Service Delivery Goals and Client Outcomes, and that the Contractor is in compliance with their own By-Laws and has verification of current non-profit status (as applicable).

Checklist of Monitoring Objectives

Establish that as the Program Monitor you have completed and/or reviewed all of the following:

1. Onsite Visit
2. Review of the Contractor's Self-Monitoring Tool (Part I)
3. Site Visit (Part II)
4. Staff Interviews (Parts IIA&B)
5. Participant Interviews (Part III)
6. File Review



San Joaquin County
Probation Department

AB 109 Contract Services Monitoring Guidelines

Completing Semi-Annual Monitoring Findings Report

After completing all of the monitoring objectives, complete the Part IV Summary of Semi-Annual Review. This summary was designed to address all pertinent questions relating to the evaluation of the contractor. It should be based on all of the objectives noted above. If there were no discrepancies found the Program Monitor shall check the YES box for each question. By checking the YES box the Program Monitor is **certifying** that all findings are true and correct. **If a discrepancy was found** check the NO box and write a small summary detailing your specific findings and **do one of the following**:

1. If the discrepancy was such that the program requires follow-up or assistance, complete Part VI Follow-Up/Assistance Report.
- OR
2. If the discrepancy was such that the program requires corrective action, complete Part VII Corrective Action Plan.

AND

Program Monitor shall send copies of completed report to the Chief Probation Officer and the Assistant Chief Probation Officer.

Part VI - Follow-Up/Assistance

For monitoring purposes follow-up is defined as "a method to obtain further information or to seek clarification on a certain issue." Some examples of when follow-up action is appropriate include:

1. Statistical data is not yet available.
2. Statistical data is incomplete.
3. Services have been delayed.
4. Staff was not available for interview.
5. Clients/Participants were not available for interview.
6. Files were misplaced or not available at the time of the on-site visit.
7. Services were not available at the time of the on-site visit.

If the Program Monitor determines the contractor will require follow-up and/or technical assistance, use Part VI Follow-up/Assistance Report. This report is designed to assist the Program Monitor to keep track of the needs of the contractor. If unsure as to whether the issue requires follow-up or corrective action, consult your manager for guidance.

Part VII – Corrective Action Plan

A corrective action plan is defined as a plan of activities designed to correct a significant deficiency that exists with the contractor's ability to fulfill the requirements and expectations of their contract. The **Program Monitor has the responsibility to assist the contractor** to come into compliance with the contract. A corrective action plan must be developed mutually with the contractor. It should include specific activities and specific timelines for the contractor. Every effort and avenue should be explored to provide the necessary assistance to the contractor. Below is a partial list of where corrective action is appropriate:

1. Contractor is not meeting Service Delivery Goals (below 60%).
2. Contractor is not meeting Client Outcomes (below 60%).
3. Contractor is not providing services to clients.
4. Staffing is significantly lower than stated in Contract Scope of Services and is affecting client services.
5. Contractor is not keeping adequate records to substantiate client services.
6. Contractor does not have facilities to provide services.



San Joaquin County
Probation Department

AB 109 Contract Services Monitoring Guidelines

If unsure as to whether the issue requires follow-up or corrective action, consult your manager for guidance.

Part VIII – Corrective Action Plan Progress Review

Whenever a Corrective Action Plan is developed with a contractor the Program Monitor must follow up within the timeframe specified in the Corrective Action Plan, and report on progress of the contractor toward becoming compliant to the terms of the contract. Use the Part VIII - Corrective Action Plan Progress Review to report the progress of the contractor toward becoming contract compliant.

Annual/Final Summary Evaluation

The annual/final program evaluation is performed at the end of the contract term or at the end of each County Fiscal Year if the contract extends beyond the end of the fiscal year. The Program Monitor shall fill out Part V Annual/Final Summary Evaluation. It must be based upon the Part IV Semi-Annual Program Review, any Reports reviewed, follow-up activities (if applicable) and corrective action plans (if applicable).

Based upon review, the Program Monitor shall either recommend or NOT recommend contractor for future funding (Question 10). If **no discrepancies** were found the Program Monitor shall check the YES box (Question 10). By checking the YES box the Program Monitor is certifying that all findings are true and correct. **If a discrepancy was found**, the Program Monitor shall check the NO box (question 10). Regardless of whether the YES or NO box in Question 10 is checked, the Program Monitor shall write a summary detailing specific finding (Question 11).



**San Joaquin County
Probation Department**

AB 109 Contract Services Monitoring Guidelines

Contract #: _____
 Program Name: _____
 Contract/Agency: _____

Page 1 of 4
 Date: _____

Part I - CONTRACTOR EVALUATION SELF-MONITORING REPORT

ADDRESS:	_____
CONTRACT AMOUNT:	_____
NAME(S) OF PERSON(S) & TITLE(S) COMPLETING THIS FORM:	_____
PHONE #:	_____
FAX #:	_____
EMAIL:	_____
CONTRACTOR WEB SITE (IF APPLICABLE):	_____
AB 109 Services PROGRAM MONITOR:	PATRICK MULLIN, SAN JOAQUIN COUNTY PROBATION DEPARTMENT
AB 109 Services CONTRACTS ADMINISTRATION UNIT ANALYST:	_____

INSTRUCTIONS: The contractor is to answer the following questions as they relate to the contract number stated above. Please attach additional comments on a separate page. Please type or print legibly.

Questions	PROGRAM SERVICES Response /Comments
1. In general, what services does your agency provide to the community?	
2. What types of services are funded by this contract?	
3. What other sources of revenue fund this program? Is your agency currently seeking additional sources of revenue? Please explain.	
4. How does your agency utilize other resources to augment or enhance program services?	
5. How are clients recruited / referred?	
6. What are the eligibility requirements for clients to obtain program services and how is the provided information validated?	



PROGRAM STAFFING			
Questions	Response		Comments
7. Is the program currently staffed as planned in the original scope of services? If no, please explain.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
8. Is training provided for staff and/or volunteers? If yes, please describe.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
9. Are all planned services / interventions currently up and running/functional?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
10. Have there been any modifications to the delivery of services affecting the design or scope of the program as described in the contract?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
PROGRAM EVALUATION			
Questions	Response /Comments		
11. Describe how a client's progress is monitored and evaluated.			
12. Name and describe the types of documents that would be contained in a client file.			
13. How is statistical data tracked for service delivery goals and client outcomes? Indicate the method(s) used to verify data (e.g., MIS system, case managers, etc.)			
14. If your program is not meeting its <u>Service Delivery Goals and/or Client Outcomes</u> , explain the reason(s) and any corrective action begun.			
15. How are records maintained? By whom and for how long?			



Program Evaluation/Data Collection			
16. Does your agency have an established system to track data for contracted services? Please explain.			
17. Is your agency successfully tracking and reporting required performance data? If not, please explain.			
18. If required, is your agency successfully tracking and reporting additional evaluation data? If not, please explain.			
OTHER			
19. Do you require any assistance? If so, what specifically?	Yes	No	
	<input type="checkbox"/>	<input type="checkbox"/>	
20. Do you require any training? What training would you like to receive to help support your efforts?	Yes	No	
	<input type="checkbox"/>	<input type="checkbox"/>	
21. Have there been any changes to your Board of Directors, Executive Staff / Senior Management in the past six months, If yes, specify.	Yes	No	
	<input type="checkbox"/>	<input type="checkbox"/>	
22. Has any Member of your Board of Directors, Executive Staff / Senior Management served on the Board of Directors or worked at any other Agency or Company in the past six months which might be seen as a potential conflict of interest? If yes, specify.	Yes	No	
	<input type="checkbox"/>	<input type="checkbox"/>	
23. List all current members of the Board of Directors, Executive Staff / Senior Management and any positions outside your organization they currently hold.			



San Joaquin County
Probation Department

AB 109 Contract Services Monitoring Guidelines

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CERTIFICATION

I hereby certify that I am an authorized representative of the above agency, and, to the best of my knowledge, the data contained in this report is true and accurate.

Representative's Printed/Typed name and title: _____

Representative's signature and date: _____

FOR Probation Department AB 109 Services STAFF ONLY

I have reviewed the evaluation and have determined the contractor's performance is:

Satisfactory Not satisfactory and a corrective action plan is attached.

Program Monitor Name(Print) _____ Signature _____ Date _____



San Joaquin County
Probation Department

AB 109 Contract Services Monitoring Guidelines

Contract #:
Program Name:
Contract/Agency:

Date:

Part II – SITE VISIT FORM

Name of individual conducting site visit: _____.

Date of Site Visit:

A. Program Review (if any answer is "no", complete Corrective Action Plan)

1. Does the agency maintain source documentation of the clients served? (e.g., records, case files, sign-up sheets, eligibility reviews, etc.).
 Yes No Additional Comment:
2. Are they in a secure location?
 Yes No Additional Comment:
3. Did the records reviewed at the site visit provide sufficient details to support information reported in the regular reports to County/Probation Department AB 109 Services?
 Yes No Additional Comment:
4. Are all positions funded by the contract filled and performing contract-related duties at this time?
 Yes No Additional Comment:

B. Additional Verifications/Review requested by Auditor's Office and/or Board of Supervisors

1. Verification of non-profit status (review of filings and public records).
 Yes No Additional Comment:
2. Minutes of last two Board of Director's meetings. (Are minutes being kept for BOD meetings?)
 Yes No Additional Comment:
3. Most recent year financial statements. (Do the financial statements appear to be in order?)
 Yes No Additional Comment:
4. Verification of compliance with organization's By-Laws. (Are Board of Director Meetings and other requirements of the By-Laws being adhered too?)
 Yes No Additional Comment:
5. Verification of contents of Corporate Master files (corporate binder contains basic records as required).
 Yes No Additional Comment:
6. Review for potential conflicts of interest (Contractor Evaluation Self-Monitoring report #22 &23).
 Yes No Additional Comment:



C. Other Comments, Issues, or Observations:

Item	Adequate			Comments
	Yes	No	N/A	
Cleanliness of facility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Disabled Accessibility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Confidentiality of Client Interview Room	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Automated Record Keeping	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
File Organization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Storage/Confidentiality of Files	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Accessibility/Availability of Resources for Clients	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Additional Comment: _____

Site visit completed by: _____

(Printed Name)

(Signature and Date)

Contract Agency Representative: _____

(Printed Name)

(Signature and Date)

Date copy sent to Contract Agency: _____

Date Original filed with Probation Department AB 109 Services Administration Unit: _____



San Joaquin County
Probation Department

AB 109 Contract Services Monitoring Guidelines

Contract #: _____
Program Name: _____
Contract/Agency: _____

Date: _____

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Part IIA – CONTRACT AGENCY STAFF INTERVIEW

Staff Name: _____

Title: _____

Date of Interview _____

Question	Response/Comments	
1. Describe the services provided by this program. How do they relate to the overall goals and objectives of the program?		
2. How are clients recruited / referred?		
3. Are client's required to pay for services? If yes, what amount and for what services?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
4. What are the eligibility requirements for this program? How is the information validated?		
5. Does this program utilize a client tracking system? If so, please describe.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
6. Does your program have a plan to meet <u>Service Delivery Goals and Client Outcomes</u> ? If yes, how is this done?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
7. How is the program measured and evaluated? How often is this done?		
8. Who is responsible for maintaining client files		
9. Do you have other job assignments besides this project? If yes, please describe these other assignments.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
10. Do you have any other comments and/or suggestions that you wish to make regarding your program and/or activities?		



San Joaquin County
Probation Department

AB 109 Contract Services Monitoring Guidelines

Contract #: _____
Program Name: _____
Contract/Agency: _____

Date: _____

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Part IIA – CONTRACT AGENCY STAFF INTERVIEW

Staff Name: _____

Title: _____

Date of Interview _____

Question	Response/Comments	
1. Describe the services provided by this program. How do they relate to the overall goals and objectives of the program?		
2. How are clients recruited / referred?		
3. Are client's required to pay for services? If yes, what amount and for what services?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
4. What are the eligibility requirements for this program? How is the information validated?		
5. Does this program utilize a client tracking system? If so, please describe.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
6. Does your program have a plan to meet <u>Service Delivery Goals and Client Outcomes</u> ? If yes, how is this done?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
7. How is the program measured and evaluated? How often is this done?		
8. Who is responsible for maintaining client files		
9. Do you have other job assignments besides this project? If yes, please describe these other assignments.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
10. Do you have any other comments and/or suggestions that you wish to make regarding your program and/or activities?		



**San Joaquin County
Probation Department**

AB 109 Contract Services Monitoring Guidelines

Contract #: _____
 Program Name: _____
 Contract/Agency: _____

Date: _____

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Part III – PARTICIPANT INTERVIEW

Program Monitor: _____

Participant's Name (optional): _____

Date of Interview _____

Questions	Response/Comments		
1. How did you enter this program?			
2. When did you start the program and what were you told about the program?			
3. Have you or your parents ever had to pay for any services received in this program? If yes, what was the amount that was paid?	Yes	No	
	<input type="checkbox"/>	<input type="checkbox"/>	
4. Have you been referred to other programs (e.g., transportation, legal, housing etc.)?	Yes	No	
	<input type="checkbox"/>	<input type="checkbox"/>	
5. Describe the type(s) of programs you have received from this agency and how often you receive these services.			
6. How often are you told about your progress (weekly, monthly, quarterly etc.)? Please explain.			
7. If attending classes, are the materials you use helpful? Is there enough for everyone? Do the instructors appear to know the subject(s) being taught?	Yes	No	N/A
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Has program staff been knowledgeable and helpful in meeting your needs? If yes, please describe how they have assisted you. If no, please describe how they have not assisted you.	Yes	No	
	<input type="checkbox"/>	<input type="checkbox"/>	
9. Are you satisfied with the services that have been provided to you? If not, please explain.	Yes	No	
	<input type="checkbox"/>	<input type="checkbox"/>	
10. Are there any other comments or suggestions you have regarding this program?			



San Joaquin County
Probation Department

AB 109 Contract Services Monitoring Guidelines

Contract #: _____
Program Name: _____
Contract/Agency: _____

Date: _____

Part III – PARTICIPANT INTERVIEW

Program Monitor: _____

Participant's Name (optional): _____

Date of Interview _____

Questions	Response/Comments		
1. How did you enter this program?			
2. When did you start the program and what were you told about the program?			
3. Have you or your parents ever had to pay for any services received in this program? If yes, what was the amount that was paid?	Yes	No	
	<input type="checkbox"/>	<input type="checkbox"/>	
4. Have you been referred to other programs (e.g., transportation, legal, housing etc.)?	Yes	No	
	<input type="checkbox"/>	<input type="checkbox"/>	
5. Describe the type(s) of programs you have received from this agency and how often you receive these services.			
6. How often are you told about your progress (weekly, monthly, quarterly etc.)? Please explain.			
7. If attending classes, are the materials you use helpful? Is there enough for everyone? Do the instructors appear to know the subject(s) being taught?	Yes	No	N/A
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Has program staff been knowledgeable and helpful in meeting your needs? If yes, please describe how they have assisted you. If no, please describe how they have not assisted you.	Yes	No	
	<input type="checkbox"/>	<input type="checkbox"/>	
9. Are you satisfied with the services that have been provided to you? If not, please explain.	Yes	No	
	<input type="checkbox"/>	<input type="checkbox"/>	
10. Are there any other comments or suggestions you have regarding this program?			



San Joaquin County
Probation Department

AB 109 Contract Services Monitoring Guidelines

Contract #: _____
Program Name: _____
Contract/Agency: _____

Date: _____ Page 1 of 2

Part IV - SUMMARY OF SEMI-ANNUAL REVIEW

Instructions: The Program Monitor is to fill out the following summary of Semi-Annual Review based upon contract review, onsite visit and administrative, staff and participant interviews. Attach corrective action plan if applicable.

Questions	Response/Comments		
1. Is the contractor providing services as stated in the contract? If no, please explain.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
2. Were the clients/participants satisfied with the services that they received? If no, please explain.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
3. Based on reports received, is the contractor meeting its contract Scope of Services <u>Service Delivery Goals</u> and <u>Client Outcomes</u> ? If no, summarize where the contractor is not meeting the goals.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
4. Does the program staffing generally meet those as outlined in the contract Scope of Services? If no, summarize where staffing issues are a concern.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
5. Does the contractor evaluate and monitor the program? If no, explain how the contractor submits statistical reports.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
6. Does the contractor submit Self-Monitoring, Semi-Annual reports or other required reports in a timely manner? If no, please explain?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
7. Does the contractor maintain records? For what period of time? If no, please explain.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
8. Were the files consistent with activities described in the Work Plan?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
9. Is the contractor compliant with providing financial documents? (e.g., Invoices, client lists, financial reports, etc.)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
10. Does the contractor require assistance? If yes, please explain.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	



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Questions		Response/Comments	
11. Does the contractor require any additional follow-up that would not be part of a corrective action plan? If yes, explain.	Yes	No	
	<input type="checkbox"/>	<input type="checkbox"/>	
12. Does the contractor require a corrective action plan based upon the results of monitoring visit? If yes, explain and fill out Part VII - Corrective Action Plan.	Yes	No	
	<input type="checkbox"/>	<input type="checkbox"/>	

I hereby certify that based upon my review, the above is true and factual.

Program Monitor Print Name

Program Monitor Signature

Date



San Joaquin County
Probation Department

AB 109 Contract Services Monitoring Guidelines

Contract #: _____
 Program Name: _____
 Contract/Agency: _____

Date: _____ Page 1 of 2

Part V - ANNUAL/FINAL SUMMARY EVALUATION

Instructions: The Program Monitor is to fill out this Annual/Final Program Evaluation at the end of the first year and subsequent years' ends of the contract. It is to be based on the Summary of Semi-Annual Review report, and the results of all Reports Received.

Questions		Response/Comments	
1. Did the contractor provide the services as described in their contract? If no, please explain.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
2. Were the clients/participants satisfied with the services that they received?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
3. Did the contractor meet all of its <u>Service Delivery Goals and Client Outcomes</u> based upon the Scope of Services Reports? If no, please explain.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
4. Was the staffing consistent with the contract? If no, please explain.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
5. Were programmatic reports submitted, and on time? If no, please explain.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
6. Did the agency measure and evaluate its performance outcomes (<u>Service Delivery Goals and Client Outcomes</u>)? If no, please explain.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
7. Did the contractor demonstrate efforts to seek and apply for other sources of revenue for this program? Please explain.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
8. Did the contractor seek to collaborate their efforts with other community agencies? If no, please explain.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
9. If the contractor had corrective actions, did they resolve the problem(s)? If no, which deficiencies/problem areas remain unresolved?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	



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Questions			Response/Comments
10. Based upon analysis of prior reports and the semi-annual program review, is the contractor recommended for future funding and/or renewal?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
11. State reasons for either recommending future service with contractor or why contractor should not be used again.			

San Joaquin County Probation Department
Contract Monitoring Report – Part V

Contract #: _____

Program name: _____

Contract /Agency name: _____

MONITORS COMMENTS:

If Program Monitor would like to make any additional comments about this program please attach an additional sheet.

_____ I hereby certify that based upon my review, the above is true and factual.

_____ Program Monitor Print Name

_____ Program Monitor Signature

_____ Date



San Joaquin County
Probation Department

AB 109 Contract Services Monitoring Guidelines

Contract #: _____
Program Name: _____
Contract/Agency: _____

Date: _____ Page 1 of 1

Part VI - FOLLOW-UP/ASSISTANCE REPORT

Instructions: This report is only to be used if the contractor requires follow-up or requests assistance. It is intended to assist in developing follow-up notes and noting the needs for assistance by the contractor.

Dates where follow-up or assistance was noted.	
Explain the nature of the contact (assistance and/or follow-up).	
Describe action(s) to be taken, as a result of the contact.	
Describe the outcome of your contact.	

Program Monitor (Print Name)

Program Monitor Signature

Date



San Joaquin County
Probation Department

AB 109 Contract Services Monitoring Guidelines

Contract #: _____
Program Name: _____
Contract/Agency: _____

Date: _____ Page 1 of 1

Part VII - CORRECTIVE ACTION PLAN

Instructions: This form is to be used if the contractor requires corrective action. Corrective action is needed if the contractor is not in compliance with the terms and conditions of the contract. This report is to be completed and mutually agreed upon by both the program monitor and contractor.

List the area(s) where the contractor is not in compliance with the contract.	
Provide a detailed description of activities (developed with the contractor) that will assist the contractor to reach contract compliance.	
Provide a timeframe in which activities are to be implemented to assist the contractor with reaching contract compliance.	
List possible actions that may be taken by the County if the contractor will be unable to meet contract compliance.	Failure to meet contract compliance may result in: reduction of referrals from Probation/Courts, reduction of contractor's AB 109 funding, and/or elimination from participation in AB 109 funded programs.

I hereby certify that this Corrective Action Plan was developed in collaboration with the contractor and has been mutually agreed upon by both parties.

Program Monitor Name (Print)

Contractor Representative Name (Print)

Program Monitor Signature Date

Contractor Signature Date



**San Joaquin County
Probation Department**

AB 109 Contract Services Monitoring Guidelines

Contract #: _____
 Program Name: _____
 Contract/Agency: _____

Date: _____

Part VIII - CORRECTIVE ACTION PLAN PROGRESS REVIEW

Instructions: This form is to be used if the contractor requires corrective action. Corrective action is needed if the contractor is not in compliance with the terms and conditions of the contract. This report is to be completed and mutually agreed upon by both the program monitor and contractor.

List the area(s) where the contractor was not in compliance with the contract.		In Compliance <input type="checkbox"/> Yes <input type="checkbox"/> No Comments:
Provide a detailed description of activities undertaken to assist contractor to reach contract compliance.		In Compliance <input type="checkbox"/> Yes <input type="checkbox"/> No Comments:
Provide the timeframe in which activities were to be implemented to assist the contractor reach contract compliance.		Timeline met? <input type="checkbox"/> Yes <input type="checkbox"/> No Comments:
List possible actions that have been or will be taken by the County if the contractor is unable to meet contract compliance.		Any action taken? <input type="checkbox"/> Yes <input type="checkbox"/> No Comments:
List follow-up date(s) to determine any actions to be taken for the contractor's failure to progress towards contract compliance.		

I hereby certify that a Corrective Action Plan was previously developed with the contractor and this Corrective Action Pan Progress Review reflects the current status of the contractor's state of contract compliance.

 Program Monitor Name (Print)

 Contractor Representative Name (Print)

 Program Monitor Signature Date

 Contractor Signature Date

**2014-2015 Status Quo Budget
Public Safety Realignment**

Service Need Area	2014-2015
Pretrial Assessment and Monitoring	\$1,247,809
Sheriff's Office (Jail Beds)	\$3,909,056
Sheriff's Office (Jail Programming)	\$394,855
Sheriff's Office (Alternatives to Incarceration)	\$289,263
Sheriff's Office (Bailiffs)	\$217,422
Sheriff's Office (AB109 Support)	\$673,959
Probation Department (High Risk Unit)	\$1,456,457
Probation Department (Violent Crimes Unit)	\$649,917
Probation Department (Assessment Center)	\$327,339
Probation Department (Day Reporting Center)	\$502,272
Evidence Based Programming	\$100,000
Correctional Health Services	\$1,225,615
Behavioral Health Services	\$977,708
Employment and Economic Development Department	\$598,935
Transportation	\$42,000
Global Positioning Satellite (Probation)	\$92,000
Human Services Agency (Assessment Center)	\$209,081
Human Services Agency (Transitional Housing)	\$120,000
Superior Court (Post Release Supervision Re-Entry Court)	\$716,400
Superior Court (Parole Re-Entry Court)	\$188,000
Superior Court (Violent Offender Re-Entry Court)	\$418,668
Community Corrections Partnership Task Force	\$668,757
Friends Outside	\$236,554
Community Partnership for Families	\$160,000
El Concilio	\$160,000
Fathers & Families of San Joaquin	\$160,000
Mary Magdalene Community Services	\$160,000
District Attorney (Parole Revocation Process)	\$214,085
Public Defender (Parole Revocation Process)	\$214,085
San Joaquin Community Data Co-Op	\$141,856
Probation Department (Admin Overhead)	\$936,360
Total	\$17,408,453

March 24, 2014