

Santa Cruz County Probation Department  
Adult Division

**Request for Proposals for  
AB109 Treatment and Intervention Services  
RFP#: ADULT2019**

Funding Period: July 1, 2019 – June 30, 2020

Proposals Due: February 22, 2019 5:00 p.m.

Bidders Conference: January 22, 2018 2:00 p.m.

Letter of Intent to Apply Due: January 29, 2018

Santa Cruz County Probation Department  
303 Water Street, Suite 9  
Santa Cruz, CA 95060

## Table of Contents

<b>Section 1 Invitation</b>	<b>2</b>
<b>Section 2 Background</b>	<b>2</b>
2.1 AB109	
2.2 Strategic Plan	
2.3 Collaborative Initiatives Linked to AB109	
<b>Section 3 Target Population</b>	<b>5</b>
3.1 Population Characteristics	
3.2 Criminogenic Needs	
<b>Section 4 Service Delivery Model</b>	<b>9</b>
4.1 Assessment, Planning, Services and Supervision	
4.2 Evidence-Based Practice	
4.3 Service Center Model	
<b>Section 5 Service Areas and Funding Amounts</b>	<b>14</b>
5.1 Funding Amounts for FY2019-20 and Beyond	
5.2 Service Areas	
<b>Section 6 Instructions to Respondents</b>	<b>16</b>
<b>Section 7 Criteria and Submission Information</b>	<b>18</b>
7.1 Criteria and Scoring Rubric	
7.2 Items to be Submitted	
7.3 Additional Terms and Conditions	
7.4 Submission Information	
7.5 Late Responses	
<b>Section 8 Point of Contact</b>	<b>24</b>
<b>Section 9 RFP Process Schedule</b>	<b>24</b>
9.1 Pre-Proposal Conference	
<b>Section 10 Additional RFP Instructions</b>	<b>25</b>
10.1 Reservations	
10.2 Notification of Withdrawals of RFPs	
10.3 Interpretation	
10.4 Respondent Responsibility and Performance	
10.5 Permit	
10.6 Proprietary Information	
10.7 Protest and Appeals Procedures	

## SECTION 1. INVITATION

The County of Santa Cruz Probation Department invites sealed proposals to seek to fund qualified organizations to provide evidence-based Adult Treatment and Intervention Services.

The Probation Department will competitively fund organizations to deliver Evidenced-Based (EBP) services that achieve measurable positive outcomes impacting the well-being of justice involved individuals and that contribute to a reduction in recidivism. This RFP solicits proposals that address the assessed Risk, Needs, and Responsivity of the local justice involved adults and aligns to the County of Santa Cruz Strategic Plan (2018-2024) and the Probation Department Strategic Plan (2017). The Probation Department is aligned to the County Strategic Plan with a focus on Comprehensive Health & Safety- Local Justice to increase public safety through practices, partnerships and transformative opportunities that respect victims and reduce recidivism.

Activity	Date
Release RFP (pending Board of Supervisors approval)	January 15, 2019, 5:00 p.m. PST
Pre-Proposal Conference	January 22, 2019 2:00 p.m. PST
Submission deadline for Non-binding Intent to Apply Letter	January 29, 2019 5:00 p.m. PST
Submission deadline for questions from bidders	January 29, 2019 5:00 p.m. PST
Answers to Questions Posted to Website	February 4, 2019 5:00 p.m. PST
Deadline for Submittals	February 22, 2019 5:00 p.m. PST
Recommendations to the Board of Supervisors	Tentative April 16, 2019
Contract Start Date	July 1, 2019

## SECTION 2. BACKGROUND

### 2.1 AB109

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 (AB109) was signed into law on April 4, 2011. AB109 transfers responsibility for supervising specified lower level inmates and parolees from the California Department of Corrections and Rehabilitation to counties. Implementation of the Public Safety Realignment Act took effect October 1, 2011.

On October 4, 2011, the Santa Cruz County Board of Supervisors approved the Santa Cruz County Public Safety Realignment and Post Release Community Supervision 2011 Implementation Plan (<http://sccounty01.co.santa-cruz.ca.us/prb/RealignmentPlan.pdf>). This plan describes the State and local background, the values and principles guiding local implementation of AB109, as well as the organizational model, membership, and planning process for the Community Corrections

Partnership (CCP). The plan calls for ongoing implementation and planning that focuses on three main areas:

1. Establish an array of effective alternatives to incarceration to address the impacts that the realigned population will have on the county jail in order to avert crowding and poor conditions of confinement without jeopardizing public safety outcomes;
2. Implement evidence-based probation supervision to properly assesses risk factors associated with recidivism and provide effective probation interviewing, case planning, and community supervision to ensure public safety and reduce recidivism; and
3. Develop community partnerships for intervention services that adhere to the principles of evidence-based practices for maximum recidivism reduction.

Funding was approved in each of these categories to enable AB109 implementation to begin with the initial cohort while a full community planning process was completed. On March 27, 2012 the CCP voted to approve a funding formula that divides AB109 implementation funding evenly between the three areas of corrections, probation, and services.

AB109 creates an opportunity for our community to take greater responsibility for sentenced offenders, and to commit our local expertise to reducing recidivism among this population. A key aspect of this effort is the delivery of evidence-based intervention strategies and services that directly address criminogenic needs of the AB109 offender populations.

Probation has strategically and successfully partnered with community stakeholders to support the Adult Divisions efforts to provide comprehensive and culturally responsive supervision and services that the court, court partners, and community rely on to enhance community safety. Organizations providing services under AB109 funding commit to training and policy development in order to provide the most responsive, continually-improving services to the target population. This will include active participation in the CCP work groups. Service providers are in a unique position to identify systemic barriers to successful reentry, and the work group will provide a venue to develop policy recommendations to reduce or eliminate such barriers.

Please visit Probation's website for more information and copies of the annual reports at: <http://www.co.santa-cruz.ca.us/Departments/ProbationDepartment.aspx>.

## **2.2 Strategic Plan**

The County of Santa Cruz has developed a four-year strategic plan (2018-2024) with a focus on a healthy, safe and affordable community. This plan establishes a vision, mission, values and focus areas and goals for the County. Probation falls under the focus area: Comprehensive Health & Safety- Local Justice to increase public safety through practices, partnerships and transformative opportunities that respect victims and reduce recidivism. The Probation Department also

contributes to the County's strategic plan focus area: County Operational Excellence- Customer Experience, County Workforce, County Infrastructure and Continuous Improvement.

The Probation Department has adopted a department strategic plan (2016-2021) for a safe and thriving community with justice for all. The mission of the Probation Department is to promote public safety, reduce recidivism, and support victims and all those impacted by crime. In partnership with our community, we provide balanced supervision, accountability, and opportunities for positive change through results driven practices. Probation's core values include; Creativity and Innovation, Dignity and Respect, Diversity, Integrity, and Teamwork. Proposed services must align with the County of Santa Cruz and the Probation Department's strategic plans.

### **2.3 Collaborative Initiatives Linked to AB109**

*Justice Reinvestment Initiative (JRI).* For the last five years, the County has received funding and technical assistance from the U.S. Bureau of Justice Assistance to implement the JRI model, including in-depth, system-wide data analysis, development of priorities for system improvement, and funding to initiate and assess cost-effective, sustainable practices to produce better public safety outcomes.

*Pew-MacArthur Results First Initiative.* Santa Cruz County continues to work with staff from the Pew-MacArthur Results First initiative, including implementing a new and sophisticated analytical tool for assessing the economic impact of selected criminal justice interventions. Results First analyses were embedded in the selection of new AB109 services and providers, establishing a priority on implementing research-based programs to fidelity and interventions with a proven benefit/cost ratio. Please see the PEW Charitable Trusts website for additional information and to access the Results First Clearinghouse Database:

<http://www.pewtrusts.org/en/research-and-analysis/issue-briefs/2014/09/results-first-clearinghouse-database>

*Sheriff's Office Corrections Bureau- Division of Re-Entry (DOR).* Probation partners with the Corrections Bureau to assist in preparing individuals for successful community re-entry. The Corrections Bureau provides a safe and secure environment to persons committed to the custody of the Sheriff. The Sheriff's Office Corrections Bureau, Division of Re-Entry (DOR) offered 65 activities/services in-custody in 2017, amounting to over 170 total classes offered each week throughout the facilities. Probation and Corrections Bureau partner to provide treatment, intervention and educational services and programs at the adult jail facilities to help inmates successfully re-enter society.

*County of Santa Cruz Drug Medi-Cal Organized Delivery System.* The Probation Department partners with the Health Services Agency (HSA) and community substance use disorder community-based organizations for the delivery of substance use disorder services. Drug Medi-Cal (DMC) is the health insurance that covers substance use disorder services for Medi-Cal AB109 Treatment and Intervention Services Request for Proposals 2019

beneficiaries. DMC Organized Delivery System (ODS) is designed to connect all providers at all levels of care across the County. The range of services include; residential, outpatient and intensive outpatient treatment, withdrawal management services, case management, recovery support and medication assisted treatment. An assessment and determination of medical necessity is a required part of the process. Additionally, Probation through the use of AB109 funds additional treatment not covered by DMC and also funds Sober Living Environments (SLE). Funding for these occurs through a transfer to HSA for the delivery on on-demand SUD services through the network of community SUD providers.

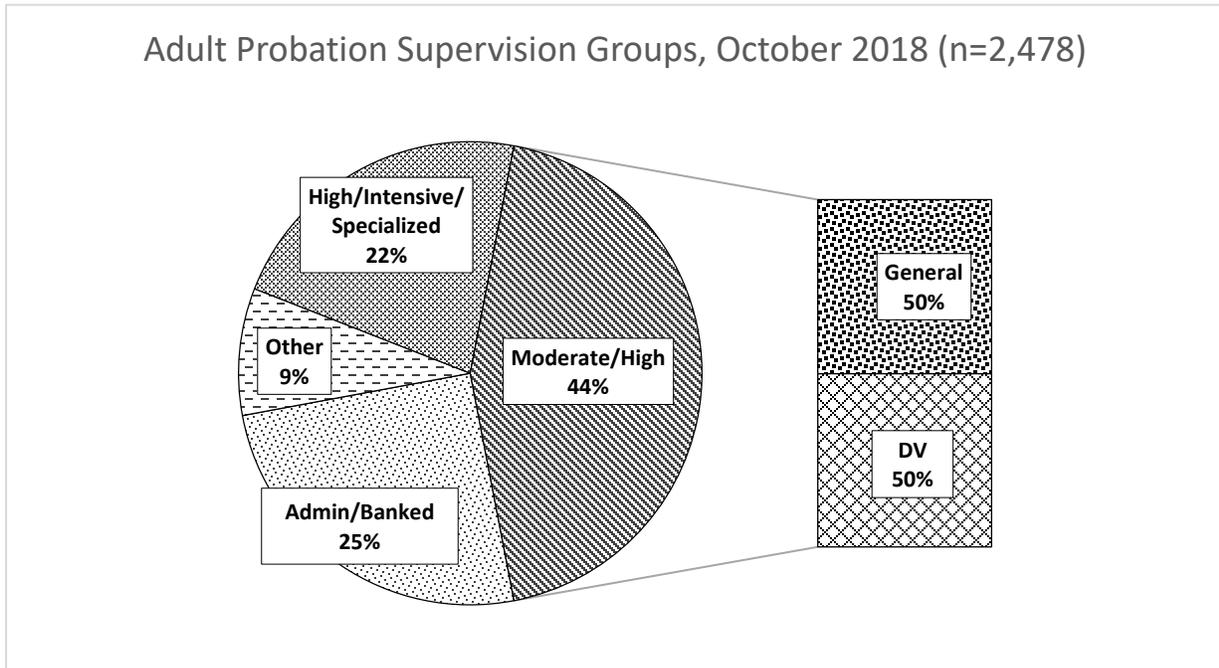
*Santa Cruz County Superior Court Programs: Parole Reentry Court, Behavioral Health Court.* Superior Court of Santa Cruz County works closely with system partners to support collaborative programs to deal with certain types of criminal cases referred to as “collaborative courts”. These collaborative courts combine judicial supervision with rehabilitative services. Santa Cruz County Behavioral Health Court (BHC) is a supportive post-adjudication review court designed to improve treatment outcomes for defendants in an effort to reduce recidivism. Parolee Reentry Court is a supportive post-adjudication review court that provides resources, services and assistance to individuals on State Parole who are in violation of the terms of their parole or who are at risk of parole violation to improve parolee outcomes, reduce recidivism and to support successful community reentry.

*Whole Person Care.* Spearheaded by the Health Services Agency (HSA), Santa Cruz County received a five-year grant for a Whole Person Care (WPC) project. The WPC project is an Integrated Health-Housing-and Data Connect project utilizing intensive support services in a multidisciplinary approach to allow the participants to live in the least restrictive setting. The proposed program will provide affordable, safe and supportive housing and an alternative option to more restrictive placements such as locked care and/or board and care. As part of the project, probation was funded for one 1.0 FTE, with the expectations of referring eligible individuals to WPC, participating in coordinated care for those on probation with health care providers (up to 63 clients), data sharing, and participation in various workgroups.

### **SECTION 3 TARGET POPULATION**

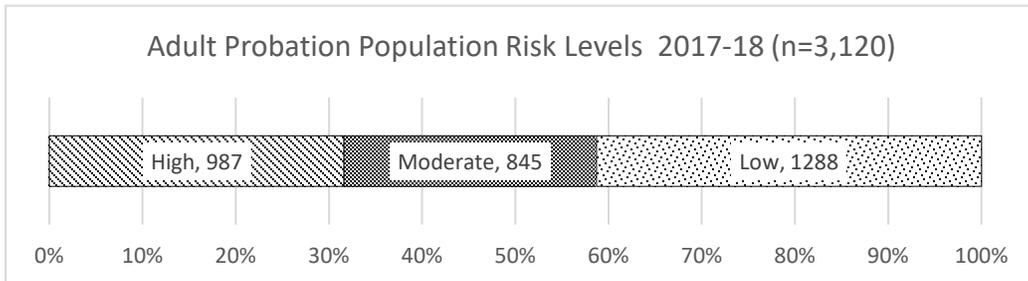
The primary target includes the AB109 Realignment population, which is comprised of two groups: individuals sentenced to serve a prison term in the local jail facility under PC 1170.h; and those returning from State Prison whose are subject to Post Release Community Supervision (PRCS) by the County Probation Department. Santa Cruz County has averaged approximately 180 AB109 cases per year, with about 60% of these PRCS and 40% 1170. In addition to this primary group, services under this request for proposals will be provided at the Probation Resource Center, which will serve the broader population of individuals under probation supervision, based on referrals from probation staff. The active probation population averages close to 1,800 individuals,

with an additional six hundred on bench warrant or administrative caseloads. Up to 150 additional pretrial individuals are under supervision by the department.

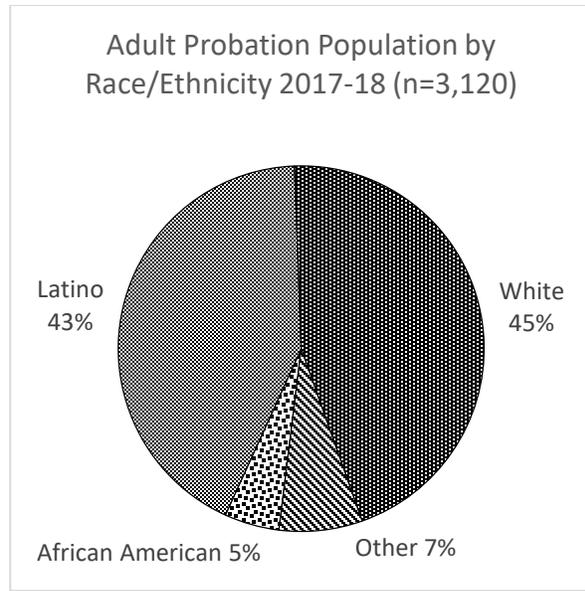
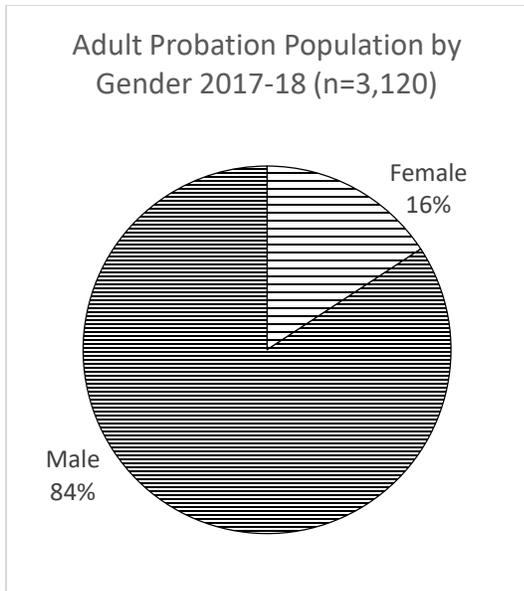


### 3.1 Population Characteristics.

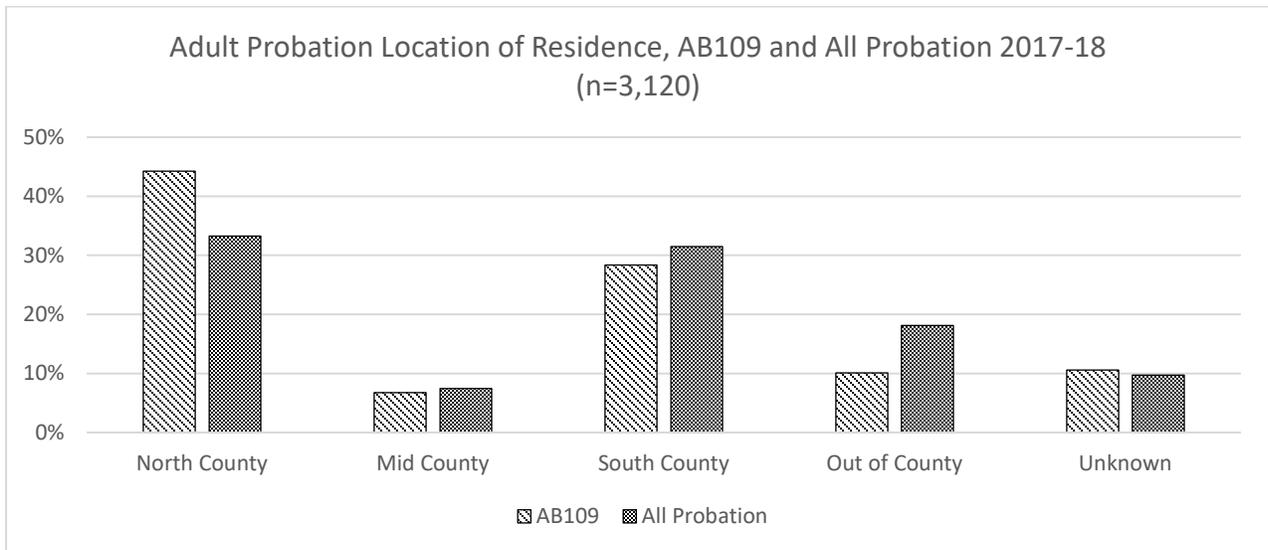
Reviewing all cases for FY17-18, approximately 32% were assessed at high risk for continued criminal behavior, 27% were moderate risk, and 41% were low risk.



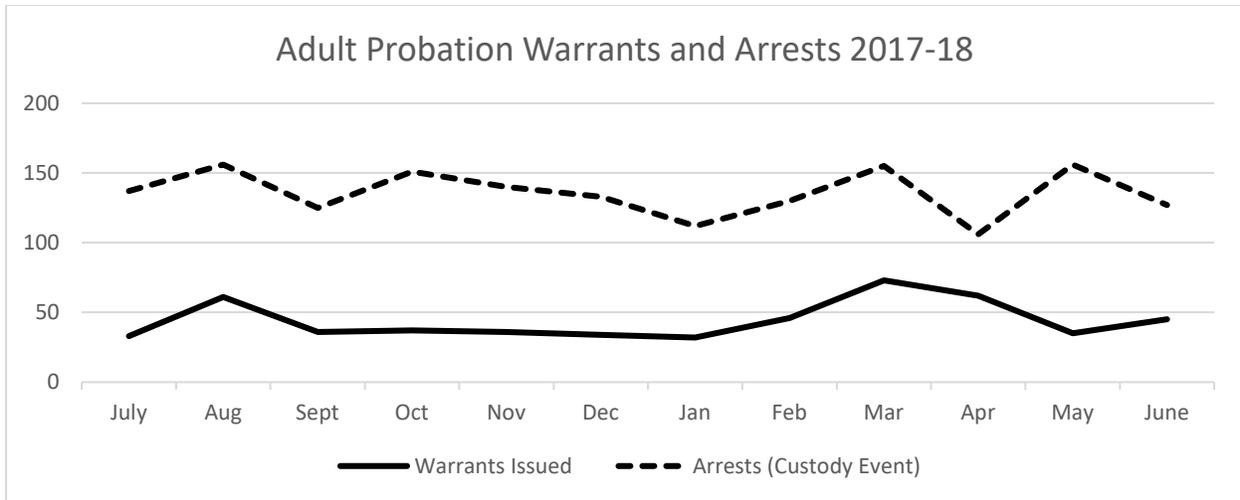
The population is largely male, but at 16%, females are an important component of the service group. The race/ethnic breakdown is similar to the overall local criminal justice population, with the majority split evenly between White and Latino, but with a significant group that are African American or other race/ethnicities.



Location of residence is generally split between five groups: north county (including Santa Cruz, Live Oak, San Lorenzo Valley and Scotts Valley); south county (Watsonville, Freedom, and Corralitos); mid county (Capitola, Soquel, Aptos); out of county; and unknown address. North and south county each comprise a third of the population, with the final third representing the combination of mid county, out of county, and unknown.



While the majority of individuals complete the terms of their probation successfully, many continue to engage in criminal behavior. During 2017-18 the department recorded an average of 136 arrests per month for violations of probation and/or new charges, and 44 warrants issued.



### 3.2 Criminogenic Needs

Individuals in the criminal justice system have needs in multiple areas directly related to criminal recidivism. Research and meta-analysis (Andrews, Bonta, Wormith, 2006; Latessan & Reitler 2015) identifies a core set of static and dynamic factors that need to be addressed in order to reduce the risk of recidivism:

1. A history of antisocial behavior
2. Anti-social personality pattern conducive to criminal activity
3. Antisocial/pro-criminal attitudes, values, beliefs and cognitive-emotional states
4. Pro-criminal associates and isolation from prosocial others
5. Family factors that include criminality and a variety of psychological problems in the family of origin
6. Low levels of personal educational, vocational or financial achievement
7. Low levels of involvement in prosocial leisure activities
8. Abuse of alcohol and/or drugs

While individuals in the criminal justice system may have multiple additional needs in order to successfully reintegrate into the community, until and unless these core criminogenic factors are addressed, we are not likely to see a reduction in criminal behavior over time. The following table shows the overall percentage of the target population that have needs in each of the listed service areas that are “high significant,” “significant,” or a combination of these two. Because each individual can have needs in more than one area, the total is greater than 100%.

Total Estimated %
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	Highly Significant	Significant	Combined
Alcohol and/or Drug Abuse	77%	11%	88%
Emotional Factors	58%	22%	81%
Criminal Orientation	56%	16%	72%
Vocational Inadequacy	41%	21%	62%
Relationships	38%	21%	58%
Family History Problems	21%	18%	39%
Interpersonal Manipulation	18%	16%	34%
Social Inadequacy	15%	15%	30%
Basic Living Needs	13%	13%	26%
Abuse/Neglect and Trauma	7%	8%	15%
Isolated/Situational	6%	2%	8%
Physical Safety	4%	4%	8%

## **SECTION 4. SERVICE DELIVERY MODEL**

### **4.1 Assessment, Planning, Services, and Supervision**

The service delivery model developed by the CCP brings together multiple organizations providing a broad menu of services to address specific criminogenic needs of individuals on Probation, specifically AB109. This service system is guided by current research regarding reentry, which identifies specific process points which individuals must successfully navigate in order to achieve lasting, pro-social community reintegration. The model includes early, validated assessment and service engagement prior to community release, the critical time period immediately following community reentry and continuing for the first 90 days, and each point of service completion or referral handoff. Responsive service delivery is essential to the effectiveness of reentry services. The SCCPD is committed to equity and ensuring that culturally, linguistically, cognitively and developmentally appropriate and proficient services are available in order to facilitate full engagement, positive change, and reentry success. This includes the provision of services and information in appropriate languages, at appropriate educational and literacy levels, and in the context of the individual's cultural identity. Cultural competency requires a demonstrated respect, awareness, and dynamic appreciation of the beliefs, practices, traditions, religion, history, languages, and criminal histories of diverse individuals and communities.

A dedicated unit of AB109 Probation Officers serves as lead case managers to coordinate and track all intervention services. This begins with a comprehensive and research-validated assessment of risk and need. Risk level determines supervision and service intensity, with high level monitoring and service delivery reserved for individuals at highest risk for recidivism.

Areas of criminogenic need – needs which have been clearly linked by research to recidivism – are identified and prioritized by the assessment tool. Assessment data is used to develop an individualized case plan that incorporates all court terms and conditions, priority need areas to be addressed by specific services, client and family goals, and logistical reentry plans that articulate immediate post-release objectives and timelines.

AB109 Probation Officers, in partnership with service providers, are responsible for delivering cognitive-behavioral curriculum and motivational interviewing to engage participants and address key areas of criminal thinking and behavior. Probation Officers conduct random drug testing; monitor supervision terms, including fines and restitution; conduct regular jail, office, home and worksite meetings to confirm residence and employment status; provide resource referral and system advocacy to help participants access community supports; meet with family members, mentors, and others who play a role in ongoing support for reentry; impose sanctions for non-compliance, up to and including flash incarceration; provide liaison and reporting to courts, including evidence-based pre-sentence investigations, written reviews, modifications, and probation violation reports and warrant requests.

As lead case managers, AB109 Probation Officers work in collaboration with staff from service providers to further assess, refer, and monitor progress of participants over time. Probation Officers convene multi-disciplinary case management meetings as needed to coordinate services, identify and address barriers to success, and revise and refine the case plan over time. Special focus is placed on maximizing enrollment in public benefits, including Medi-Cal, in order to provide ongoing support for physical health, SUD treatment, mental health, housing, case management, employment development or other services.

In keeping with best practices for reentry, service delivery begins, whenever possible, prior to community release. This RFP supports funding limited to key interventions and services to assist individuals with community reintegration. Please reference the Service Area chart (Appendix C) for the amount and percent of funding in each service area that will be dedicated for in-custody services. In-custody service providers develop active linkages with community-based services, including in-custody presentations and meetings with community program intake staff and supervised day release to begin attending groups. The Probation Department convenes a regular 1170 Program and Reentry Meeting in collaboration with Corrections, the Custody Alternative Program, and jail program staff, along with representatives from service providers conducting reentry planning and case management. This group is responsible for coordinating multiple in-custody services, as well as providing multi-disciplinary planning and monitoring for seamless reentry services.

## **4.2 Evidence Based Practice**

*Background.* Criminal justice research has consistently found that the most powerful recidivism reduction effects are seen through a combination of intensive probation supervision and services

(Petersilia and Turner, 1990; Bonta, 2000; Paparozzi and Gendreau, 2005), and that the greater the use of evidence-based practices (EBP) in probation supervision and services, the greater the recidivism reduction. The National Institute of Corrections describes evidence-based practice as follows:

“Evidence-based practice is the objective, balanced and responsible use of current research and the best available data to guide policy and practice decisions, such that outcomes for consumers are improved. In the case of corrections, consumers include offenders, victims and survivors, communities, and other key stakeholders. Used originally in the health care and social science fields, evidence-based practice focuses on approaches demonstrated to be effective through empirical research rather than through anecdote or professional experience alone.

An evidence-based approach involves an ongoing, critical review of research literature to determine what information is credible, and what policies and practices would be most effective given the best available evidence. It also involves rigorous quality assurance and evaluation to ensure that evidence-based practices are replicated with fidelity, and that new practices are evaluated to determine their effectiveness.”

(National Institute of Corrections. 2009. *Implementing Evidence-Based Policy and Practice in Community Corrections*, 2nd ed. Washington, DC)

*Probation Department EBP.* The Santa Cruz County Probation Department was an early leader in the field in its adoption of evidence based practices. The department has continuously incorporated research evidence in developing strategies to reduce recidivism, including those outlined by the NIC: assess actuarial risk/needs; enhance intrinsic motivation; target interventions; skill train with directed practice; increase positive reinforcement; engage ongoing support in natural communities; and measure relevant processes/practices (*ibid*). See Appendix B: Probation Department Evidence Based Practices for more information about the department’s approach and commitment to effective practices.

*Evidence Based Treatment and Intervention Services.* AB109 services are expected to implement evidence based practices in order to have the greatest possible impact on recidivism in the target population. Services should be selected from those that have been proven effective for the target population by multiple national research studies, and they must be implemented to fidelity. Applicants are encouraged to consult with the Pew Charitable Trust’s Results First Clearinghouse Database, found online at:

[http://www.pewtrusts.org/en/multimedia /data-visualizations/2015/results-first-clearinghouse-database](http://www.pewtrusts.org/en/multimedia/data-visualizations/2015/results-first-clearinghouse-database)

This resource identifies hundreds of programs that have been rigorously evaluated by one or more of eight national clearinghouses.. Practices not found in clearinghouses may fit the criteria of a Promising or Innovative depending on the level of evidence available.

Level	Criteria
Model	<b>Model</b> practices have the highest level of scientific evidence demonstrating that they are effective. For practices to be considered MODEL, they must be listed in a credible EBP Clearinghouse at that level.
Promising	<b>Promising</b> practices have valid scientific evidence demonstrating effectiveness. Often these practices can be listed in an EBP clearinghouse as the second highest level of evidence. They must be supported by at least one evaluation by an independent researcher using experimental or quasi-experimental research methods showing a statistically significant positive impact.
Innovative	<b>Innovative</b> practices allow for local innovation and provide some evidence that the intervention is effective. These practices must have demonstrated positive outcomes through previously collected data.

*Fidelity.* In response to this RFP, applicants must describe what adaptations, if any, will be made to the evidence based practices they propose. Examples of potentially low risk include changing language translation or modification; replacing images to reflect the target audience; or adding culturally relevant examples. High risk adaptations would include omitting key content; reducing the number or length of sessions; eliminating key messages or skill areas; or using staff who are not adequately trained or qualified.

*Service and Outcomes Monitoring.* Service outcomes are the benefits for clients or systems that result from the services and activities. Outcomes of Model and Promising EBPs are usually defined by the developers of the EBP. Each scope of work must identify at least one outcome that will assess the benefit of the service or practice by showing the change that will occur in the target population as a result of participating in the activities. An outcome is a change in at least one of the following areas: knowledge, attitude, skill, behavior or condition. The outcome should be expressed as a percentage and the measurement should be cited in the statement. The outcome measurement may be on the entire population it serves not just the amount the funding request will support.

### 4.3 Service Center Model

Based on the results from a comprehensive external evaluation of local AB109 implementation and outcomes, the Probation Department is improving and expanded the AB109 service delivery model by opening a new, centralized service center. The Probation Service Center (PSC) will open in the early Spring of 2019. Services will be co-located at the center to improve the re-entry transition for individuals by centralizing and improving the access and delivery of post release services. The PSC will also provide access points for Drug Medi-Cal Organized Delivery System and linkages to needs assessments and benefits enrollment. The center will be accessible to all adults under the probation supervision

AB109 and probation services will continue to be provided in multiple locations, especially in South County. In negotiating service contracts for services selected through this RFP, the probation department will maintain a priority on equitable service access for the target population.

The work groups of the CCP and several community planning groups have developed a vision of the PSC that is designed to increase client success through:

- Improved system and service navigation. Peer Navigators will greet and assist individuals in accessing the AB109 network of services available in the PSC and the community. The Peer Navigators will provide peer support, mentoring and motivation in following through and completing services. The Peer Navigators provide a client-centered approach to accessing and participating in services.
- Improved case planning around needs and service matching. Service coordinators will meet individually with moderate to high risk individuals to coordinate and match services to needs and develop a case plan for successful community reintegration. The service coordinators will work with the individual and their probation officer to prioritize and access services and interventions recommended by the assessment and case plan..
- Centralized delivery of services. Centralizing the delivery of services will decrease logistical barriers for clients who no longer need to find transportation to multiple locations throughout the county in order to participate in services. It will also allow for better information-sharing and face-to-face referral transitions.
- Increased service dosage. Centralizing services in the center with the support of peer navigators and service coordinators will also improve an individual's ability to increase their dosage (amount of time in services). Dosage is strongly linked to reduction in recidivism. y.

*Levels of Services.* The PSC will have multiple levels of services to ensure that individuals are receiving the appropriate types and amount of services specific to their assessed needs.

**Ancillary/Universal Services:** (All Risk Levels, services do not require CAIS assessment or Probation Officer case management) This level includes self-directed, non-referred activities and services. Examples include: general re-entry and based needs support (bus passes, clothing, shelter coordination, job leads, education and literacy, benefits enrollment); assistance in navigating community resources and services; use of phones and computers for housing, job search and educational activities; Cognitive Thinking and Behavior Intervention Workbooks conducted in small groups; or DMC-ODS assessments and coordination for treatment.

**Core Services:** (Moderate and High Risk Levels, CAIS assessment and Case Plan drive service delivery and Probation Officer case manages individual's case plan) Cognitive Thinking and

Behavior Intervention (CTBI) workbooks conducted individually or in groups of the same risk level; Thinking for a Change, anger management, batter's intervention, parenting and/or similar CTBI curriculums; intensive or forensic case management,; re-entry mentoring; job placement and coaching; short-term therapy; dedicated DMC-ODS assessment and treatment coordination including AB109 funded treatment (SLE's).

**Intensive Services:** (Moderate and High Risk Levels, CAIS and Case Plan drive service delivery and Probation Officer case manages individual's case plan) Short-term and/or long-term therapy, dedicated DMC-ODS assessment and treatment coordination including AB109 funded treatment (SLE's); specific treatment services for specialized caseloads.

**In-custody Services:** (All Risk Levels) Best practice and research identifies that engagement prior to community release decreases barriers and improves reentry and reintegration outcomes for individuals. This RFP supports funding limited to key interventions and services to assist individuals with community reintegration. Please reference the Service Area chart (Appendix C) for the amount and percent of funding in each service area that will be dedicated for in-custody settings. The Corrections Bureau has divided inmate programming into three categories:

1. Programs: cognitive behavioral based curricula, high school diploma/equivalency, life skills, mental health, parenting, substance use disorder, mindfulness, Career Technical Education and Batters Intervention.
2. Services: benefits enrollment, health services, legal services, 12-step programming, library services, re-entry planning, spiritual support services, veteran's services and voting.
3. Activities: visual arts, writing, recreation, and yoga.

Under this funding, proposals should target services that address criminogenic needs of the target population and align to the RFP Service Areas and types of inmate programming described in the above Programs and Services. In-Custody services will need to be somewhat flexible in the delivery of services. The schedule is determined by the Corrections Bureau and will be negotiated prior to executing an agreement. Staff and their direct supervisors will need jail clearance approved by the Correction Bureau prior to entering any custody setting. Being selected to provide services under this RFP does not constitute jail access or clearance.

## **SECTION 5. SERVICE AREAS AND FUNDING AMOUNTS**

### **5.1 Funding Amounts for FY2019-20 and Beyond.**

The total amount of funding available and the projected amount of funding for each of the service areas are projections based on current realignment funding provided to Santa Cruz County based on the State formula. No guarantee of the total funding amount is made or implied by this request

for proposals. The actual funding amount will not be known until the State FY19-20 budget is approved.

All funding decisions made on the basis of this request for proposals are subject to continued availability of State Realignment funding. Contracts developed based on this request for proposals will be for one year, renewable by the Board of Supervisors for up to three additional years without a new solicitation on a year-by-year basis at the recommendation of the Probation Department, based on achievement of outcomes, service utilization, and State funding availability.

PLEASE READ THE FOLLOWING CAREFULLY. It is important for applicants to be aware that State Realignment funding is partly based on sales tax revenue, and that this may decline in the future from its current level. Applicants are also advised to be aware of the impact that new minimum wage requirements will have on organizational budgets and the critical ability of non-profit agencies to recruit and retain skilled staff. (See the report from the Human Care Alliance on this subject, available at <http://humancarealliance.org/programs-activities/hca-wage-equity-report-1-revised-060716/>). This means that staff costs will almost certainly increase, while State Realignment funding is likely to decrease. No County general funds are available to make up any potential shortfall in AB109 service funding, and so it is expected that AB109-funded staffing and service levels will decrease over time.

## **5.2 Service Areas**

Based on research and an analysis of local data, the CCP has identified priority service areas to address factors directly linked to recidivism that have been assessed among the local AB109 population. This includes established criminogenic needs as well as basic needs to support community reintegration. All services are expected to include a focus on cognitive/behavioral strategies targeting primary criminogenic needs (i.e. criminal personality; antisocial attitudes, values and beliefs; criminal peers; and low self-control), and to utilize motivational enhancement to increase participant engagement. Services may include curriculum that directly addresses criminal thinking, behaviors and identity (CTBI) or services that infuse cognitive and behavioral strategies in other services to support a social learning model that reinforces change in these areas.

The vision of the CCP is the development of a focused, community-based network of service providers available to meet these needs within the framework of assertive, forensic case management by the Probation Department and community corrections by the Sheriff's Office. All services address established criminogenic needs and responsivity associated factors that impact recidivism risk. Probation officers utilize this menu of service options to create responsive, individualized treatment plans for participants.

This solicitation seeks responses from organizations ready to provide services as part of the Probation Service Center. Organizations are encouraged to express their interest in providing services that are within their current scope and mission. Priority will be given to proven services

that can document a track record of achieving the desired outcomes with this target population. Location of services will include both the Probation Service Center as well as in-custody under the authority of the Sheriff's Corrections Division. Funding will be allocated based on the following service areas. See Appendix C for a full description and funding allocation for each area.

The County intends to fund evidence-based services in the following areas:

1. Programs Addressing Criminal Thinking, Behavior and Identity
2. Substance Use Disorder Treatment and Recovery Maintenance
3. Workforce and Job Placement Services
4. Educational Programming
5. Mental Health Care and Forensic Case Management
6. Parenting and Family Involvement
7. Emergency Shelter Services
8. Reintegration Service Coordination
9. Community Education and Engagement
10. Innovative and promising services which may not meet the criteria for evidence-based programming.

Funding amounts for each area are projected based on current offender populations, utilization patterns and unit service costs patterns from the first six years of implementation. Potential community partners will be asked to describe services they are interested in providing within one or more service areas, along with specific information about the research base, manualization and fidelity measures, dosage and unit cost, and ability to partner with Probation and Corrections for coordinated service delivery. Providers are encouraged to consult with the Pew Charitable Trust's Results First Clearinghouse Database, found online at:

<http://www.pewtrusts.org/en/multimedia/data-visualizations/2015/results-first-clearinghouse-database>.

This resource identifies hundreds of programs that have been rigorously evaluated by one or more of eight national clearinghouses. **Proposals must demonstrate that services to be implemented have been proven effective for the target population by multiple national research studies, and that they will be implemented to fidelity.**

## **SECTION 6. INSTRUCTIONS TO RESPONDENTS**

The SCCPD seeks to partner with entities that have expertise in delivering a range of reentry services to a diverse population under supervision with a specific focus on those who have been

assessed by the Probation Department as moderate or high risk to re-offend (based on the *Correctional Assessment and Intervention System*). This includes individuals, ages 18 and older, on Post-Release Community Supervision (PRCS) or PC 1170(h), including individuals housed at Santa Cruz County jail facilities as well as those in the community on mandatory supervision or the Custody Alternatives Program (CAP).

It is the intention of the SCCPD to identify service providers who are ready and able to provide the above services within the existing framework of the local criminal justice system, as evidenced by experience in providing the proposed services to the criminal justice population; the Probation Service Center model, a history of working effectively with local corrections and probation departments; knowledge and capacity to provide services that are culturally competent and responsive to the characteristics of the population; current staffing capacity to provide evidence-based services; a history of successful collaboration with service providers in other domains; willingness to participate in additional training; readiness to collect and report service and outcome data; flexibility to revise service delivery strategies over time in order to achieve better outcomes; and commitment to engage in continuous service improvement based on outcome data.

Organizations are encouraged to propose services that are within their current scope and mission. Priority will be given to proven programs that can document a track record of achieving the desired outcomes with this target population. Location of services will include both the Probation Service Center as well as in-custody.

All proposed services should address established criminogenic needs and responsivity associated factors that impact recidivism risk. All services are expected to include a focus on cognitive/behavioral strategies targeting primary criminogenic needs (i.e. criminal personality; antisocial attitudes, values and beliefs; criminal peers; family dysfunction; and low self-control). Services may include curriculum that directly addresses criminal thinking, behaviors and identity (CTBI) or services that infuse cognitive and behavioral strategies in other services to support a social learning model that reinforces change in these areas.

Service providers should be trained in trauma informed approaches and motivational enhancement; show the willingness and ability to respond immediately to client-determined needs and goals; and to work flexibly under the lead case management of the Probation Department as needed to reduce barriers to service engagement. Service delivery must address cultural and linguistic factors of the multicultural populations to be served. Population identities may include, but are not limited to, race and ethnicity, gender and gender identity, sexual orientation, economic class, age, family status, immigration status, language spoken and understood, physical and mental disabilities, living situation, drug of choice, criminal history, and experience of trauma.

Potential community Service Center partners will be asked to describe services they are interested in providing within one service areas, along with specific information about the research base,

manualization and fidelity measures, dosage and unit cost, and ability to partner with Probation and other stakeholders for coordinated service delivery.

## SECTION 7. CRITERIA AND SUBMISSION INFORMATION

### 7.1 Criteria and Scoring

There are three required elements to respond to this solicitation: the Application Summary Form; Proposal Narrative; and the Draft Budget. The Application Summary Form collects information and data about your organization’s proposed services and organization’s operations. The Proposal Narrative provides a description of the proposed service, the evidence base of the service, multi-disciplinary collaboration, and a statement of organizational qualifications. The Draft Budget contains estimated costs for staffing and operations, as well as matching resources available to expand services to the target population.

Reviewers will assess the merits of each completed proposal, assigning up to 100 points for the individual elements of the proposal as described below.

<b>RFP CRITERIA AND SCORING</b>	
<b>Review Criteria</b>	<b>Points</b>
<p><b>Service Description:</b> The extent to which the service description aligns to the model and describes the measurable services and activities, quality measures and outcomes.</p> <ul style="list-style-type: none"> <li>• Does the proposal identify a single service area from the list provided?</li> <li>• Are services and activities quantified and clearly described?</li> <li>• Are services responsive to the target population?</li> <li>• Are the measurement(s) of the outcome(s) appropriate to determine the impact of the program?</li> </ul>	30
<p><b>Evidence-Based Practices:</b> Demonstration of Evidence</p> <ul style="list-style-type: none"> <li>• To what extent does the research base confirm the effectiveness of the proposed services?</li> <li>• Will services be implemented to fidelity and are any adaptations clearly described and limited to low risk adaptations?</li> <li>• Is the extent to which EBP can/will be implemented clearly described?</li> </ul>	20
<p><b>Multi-Disciplinary Collaboration:</b> Articulation between your organization’s proposed services and the overall Probation service delivery model.</p>	15

<ul style="list-style-type: none"> <li>To what extent do the proposed service(s) align with the Probation service delivery model?</li> </ul>			
<p><b>Matching Resources:</b> Existing or potential resources are provided to supplement funding.</p> <ul style="list-style-type: none"> <li>To what extent are matching resources identified that will expand capacity or continue services without duplicating existing efforts.</li> </ul>	5		
<p><b>Statement of Organizational Qualifications:</b> The extent to which the applicant demonstrates capacity to deliver services.</p> <ul style="list-style-type: none"> <li>Does the applicant have a history of successfully providing similar or equivalent service delivery?</li> <li>Does the applicant have a history of successful justice system collaboration?</li> <li>Are services responsive and implemented with linguistic and cultural competency?</li> <li>Does the applicant have a history of successful interagency collaboration with local human service and other domain providers?</li> <li>Extent to which staff are trained or will participate in trainings.</li> <li>Extent to which the organization measures fidelity of EBP.</li> <li>Extent to which the organization has the <u>technical</u> capacity to collect, track, analyze and report on outputs and outcome(s).</li> <li>Extent to which the organization's service delivery is flexible and incorporates continuous service improvements.</li> </ul>	25		
<p><b>Budget:</b> The budget request and total budget is reasonable and is sufficient to achieve the proposed outcomes</p>	5		
<table border="1"> <tr> <td>Total Points</td> <td>100</td> </tr> </table>		Total Points	100
Total Points	100		

## 7.2 Items to Be Submitted

The following items should be submitted in one package prior to the submission deadline:

### I. Application Summary Form

Please provide the name of your organization with contact person, mailing address, phone number, fax number, and e-mail address. Provide a web address if available. Please answer all required questions on the form.

### II. Proposal Narrative (Maximum 10 pages, single spaced, 1-inch margins, 12 point font)

Please submit a brief response stating your interest in providing the services in one of the areas listed in this solicitation. If your organization is interested in providing more than one service, please submit separate responses for each separate service. Proposals for standalone, case management, or bundled/wrap-around programs are not compatible with the local CCP service center delivery model described above.

Include the following information in your response. Please number your responses to match the following items in order to allow the review panel to better assess your proposal. (Narrative responses must be consistent with the information provided on the Application Summary Form to avoid loss of points.)

1. Service Description (30 points)

- A. Identify the **service area** from the list which your organization is interested in providing services to the target population.
- B. Describe the **specific services** your organization is interested in providing, including service location, key interventions and expected client outcomes. All service providers are encouraged to include proven cognitive/behavioral interventions specific to the criminal justice population. Estimate the number of clients to be served during the twelve-month period from July 1, 2019 through June 30, 2020. Identify the service intensity (direct service hours per week), the projected length of service, (average number of weeks for completion of service), the total dosage of service (total direct hours of evidence-based services), and the unit cost (cost per hour of service and/or cost per participant for completed service).
- C. Describe specific strategies for **maintaining client engagement** and **service continuity** for successful reentry, and how you will address **responsivity** factors.
- D. Describe the proposed data collection and analysis, including both **program implementation data collection** and **performance outcome measures**. Outcome measures should be quantifiable and based on validated pre/post assessment tools and protocols. Based on the type of service these outcome measures should specify the number and percent of participants that will achieve benchmark criteria for success. Applicants selected for funding will meet with the Probation Department to refine these measures for inclusion in service contracts to be approved by the Board of Supervisors.

2. Evidence-Based Practice (20 points)

The SCCPD is committed to implementing strategies and services identified by a consensus of research as constituting evidence-based practice within the criminal justice system, effective at reducing the risk of recidivism among the target population. Each organization submitting a response must clearly demonstrate that the proposed services match those identified as being effective with the adult criminal justice population. Responses should reference the Results

First Clearinghouse Database, described above, and should provide a summary that addresses the following information:

- A. Identify the level of evidence (model, promising, innovative) and the **research base** that confirms the effectiveness of the proposed services in reducing recidivism with moderate to high risk populations similar to AB109 participants.
- B. Describe the process for ensuring fidelity of implementation of evidence based practice. Please also describe in detail any adaptations to fidelity. (*Adaptations to fidelity may only be low risk adaptations. See section 4.4 above*). If no published curriculum is to be used, please describe your plan for ensuring program quality, integrity and consistency.
- C. Describe the **current** level of staff capacity for implementation of evidence- based practice, including training and certification.
- D. Identify training and technical assistance needed to increase the integration of evidence-based practices in your organization's delivery of services to the target population.

### 3. Multi-Disciplinary Collaboration (15 points)

AB109 intervention services are provided within an assertive **forensic case management model** structured around Probation Officers serving as lead case managers providing seamless services in custody and in the community at the various stages of the criminal justice process.

- A. Please describe the articulation between your organization's proposed services and the overall AB109 service delivery model, including strategies for information sharing, multi-disciplinary service delivery, interagency communication and coordination, and shared responses to participant behavior.

### 4. Matching Resources (5 points)

- A. Identify and quantify existing and potential resources for service delivery to the target population to supplement AB109 funding. This may include existing community resources and funding streams, redirected service capacity, community volunteerism, new competitive funding, and legislative or regulatory changes to eligibility and benefits. Ensure that AB109 funding and matching resources without supplanting.

### 5. Statement of Organizational Qualifications (25 points)

Provide details indicating factors that uniquely qualify your organization as the best provider for these services. Resumes and/or biographies of staff, including those who will provide direct services and those who will supervise and/or guide the work included under the services may be included as attachments.

- A. *Service History.* Identify the services your organization has provided to high risk individuals in the criminal justice population similar to AB109 participants. Please

- provide details of the number served, the setting, the number of years the service was provided, and evidence of successful completion of contract deliverables and outcome evaluation(s).
- B. *Justice System Collaboration.* Describe your organization's history of prior successful collaboration with probation, corrections, or other justice system stakeholders. Indicate whether your staff currently have local jail clearance and your history of working effectively within a corrections setting.
  - C. *Responsivity.* Describe your organization's understanding of the responsivity factors associated with your reentry service and your history of addressing these.
  - D. *Interagency Collaboration.* Summarize your organization's history of successful collaboration with local human service providers in other domains, including multi-disciplinary service delivery, shared funding strategic planning, and policy development.
  - E. *Staff Training.* Describe your organization's staff training plan and your commitment to participate in additional trainings through AB109 funding regarding effective, evidence-based interventions and services to the target population.
  - F. *Data Collection and Reporting, and Continuous Service Improvement.* Describe your organization's experience in collecting and reporting service delivery statistics, measures of fidelity to evidence-based service delivery, and program-related impact and outcome measures. Describe for your organization's commitment to flexible service delivery and continuous program improvement to enhance effective coordination throughout the AB109 service provider network.

### **III. Draft Budget (5 points)**

Please include a draft budget covering the time period from July 1, 2019 through June 30, 2020. Include estimated costs for staffing and operations, as well as matching resources available to expand services to the target population. This draft budget may be revised based on input from the review panel and discussion with the SCCPD and the CCP Executive Committee.

### **7.3 Additional Terms and Conditions**

The County reserves the right to negotiate the proposed cost with the Respondent prior to contract signing. Agreed-to costs are to be firm through June 30, 2019. Upon renewal, rates may be adjusted by mutual agreement.

In the event that an organization is selected for funding, additional documentation will be required in order to develop a contract for services. **These additional items are provided for your information. They are not to be completed and submitted as a part of the RFP.**

This will include the following:

- Attached is an example copy of a standard County Independent Contractor Agreement (ICA) with terms and conditions that will be incorporated into the contract for services.
- Please note that evidence of insurance for all Worker's Compensation, Automobile Liability, Comprehensive or Commercial General Liability and Professional Liability Insurances will be required as described on page 2 of the ICA.
- W-9 Form (If current W-9 not already on file with the County of Santa Cruz)
- Living Wage Forms
- Detailed Scope of Services
- Services Budget with detailed Rate Sheet/Cost Schedule (total not to exceed the amount identified for one year of service)

#### **7.4 Submission Information**

Respondents shall submit the completed Request for Proposals (RFP) with appropriate attachments or explanatory materials. Responses to the RFP shall be delivered in a sealed envelope clearly marked as **RFP #Adult2019**. All attachments shall be identified with the Respondent's name, RFP number and page number. No oral, telephone, facsimile, electronic responses or photocopies will be accepted. RFPs must be typewritten or word processed.

Respondents shall submit Two (2) originals of the completed RFP. All items must be submitted in one package by:

February 22, 2019  
5:00 p.m. Pacific Standard Time  
Santa Cruz County Probation Department  
Attn: Andrew Davis, Senior Departmental Administrative Analyst  
RFP#: ADULT2019  
303 Water Street, Suite 9  
Santa Cruz, CA 95060

Proposals must be received prior to the time specified above. Late proposals will not be considered under any circumstances.

For technical questions regarding this solicitation, contact Andrew Davis at the Santa Cruz County Probation Department by phone at (831) 454-3393 or by email at [andrew.davis@co.santa-cruz.ca.us](mailto:andrew.davis@co.santa-cruz.ca.us).

#### **7.5 Late Responses**

All responses to the RFP must be delivered in person or received by mail no later than February 22, 2019 by 5:00 P.M. Pacific Time. Respondents shall be responsible for the timely delivery of their RFPs. Responses to this RFP received after the deadline will be returned unopened.

## **SECTION 8. POINT OF CONTACT**

All questions regarding this RFP shall be directed to Andrew Davis, Senior Departmental Administrative Analyst who may be reached by e-mail at [Andrew.Davis@santacruzcounty.us](mailto:Andrew.Davis@santacruzcounty.us) or by phone at 831-454-3393. No other individual has the authority to respond to any questions submitted unless specifically authorized by the Chief Probation Officer. Failure to adhere to this process may disqualify the Respondent.

## **SECTION 9. RFP ROCESS SCHEDULE**

The following is an anticipated RFP and engagement schedule. The County may change the estimated dates and process as deemed necessary.

<b>Activity</b>	<b>Date</b>
Release RFP (pending Board of Supervisors approval)	January 15, 2019, 5:00 p.m. PST
Pre-Proposal Conference	January 22, 2019 2:00 p.m. PST
Mandatory Intent to Apply Letter	January 29, 2019 5:00 p.m. PST
Questions from Bidders	January 29, 2019 5:00 p.m. PST
Answers to Questions Posted to Website	February 4, 2019 5:00 p.m. PST
Deadline for Submittals	February 22, 2019 5:00 p.m. PST

### **9.1 Pre-Proposal Conference**

The Probation Department will be hosting prospective contractors to attend the Pre-Proposal Conference regarding the RFP requirements. The Pre-Proposal Conference will be conducted on January 22, 2019 at 2:00 pm at the Probation Department located at 303 Water Street, Suite 9, Santa Cruz, CA.

For contractors unable to attend the Pre-Proposal Conference, telephone conferencing will be available. Send an email request no later than January 18, 2019 at 5:00 pm to [Sara.Jamison@santacruzcounty.us](mailto:Sara.Jamison@santacruzcounty.us), to make your telephone reservation and to be provided the phone number and any codes that may be required.

During the Pre-Proposal Conference, providers may ask general questions about the project or technical requirements of the RFP. The Probation Department will answer all questions that can be

addressed. However, the response to any question that is given orally at the Pre-Proposal Conference is to be considered tentative and nonbinding on the County of Santa Cruz. Following the Pre-Proposal Conference, questions must be submitted in writing by email to Andrew.Davis@santacruzcounty.us, by January 29, 2019 at 5:00 pm.

Answers to all questions received by the deadline will be released in the form of an addendum that will be posted on the Probation Department website: <http://www.co.santa-cruz.ca.us/Departments/ProbationDepartment.aspx>. There will be no individual notifications or alerts regarding this information. **Applicants are responsible to access this information.**

## **SECTION 10. ADDITIONAL RFP INSTRUCTIONS**

### **10.1 Reservations**

The County reserves the right to do the following at any time and for its own convenience, at its sole discretion:

- To reject any and all RFPs, without indicating any reasons for such rejection.
- Waive or correct any minor or inadvertent defect, irregularity or technical error in any RFP or procedure, as part of the RFP or any subsequent negotiation process.
- Withdraw this RFP and issue a new Request for Proposals anytime thereafter.
- Procure any materials or services specified in the RFP by other means.
- Extend any or all deadlines specified in the RFP, including deadlines for accepting proposals, by issuance of an Addendum at any time prior to the deadline for receipt of responses to the RFP.
- Disqualify any Respondent on the basis of any real or perceived conflict of interest or evidence of collusion that is disclosed by the RFP or other data available to the County. Such disqualification is at the sole discretion of the County.
- Reject the RFP of any Respondent that is in breach of or in default under any other agreement with the County.
- Reject any Respondent deemed by the County to be non-responsive, unreliable, or unqualified.

### **10.2 Notification of Withdrawals of RFPs**

RFPs may be modified or withdrawn prior to the date and time specified for RFP submission by an authorized representative of the respondent or by formal written notice. All RFPs not withdrawn prior to the response due date will become the property of the County of Santa Cruz.

### **10.3 Interpretation**

Should any discrepancies or omissions be found in the RFP, or doubt as to its meaning, the respondent shall notify the County in writing at once (e-mail is acceptable). The County may issue written instructions or addenda to all participants in this RFP process. No oral statement of interpretation by County staff shall be binding. Questions must be received by April 3, 2019, 5:00 pm, PT. All addenda issued shall be incorporated into the Contract.

#### **10.4 Respondent Responsibility and Performance**

The County will consider the Respondent to be the sole point of contact with regard to all contractual matters. Respondent shall provide the services of one (1) or more qualified contract manager(s) responsible for assuring that the services provided under the Contract are satisfactory. It is desirable that the Respondent have local representation to provide onsite consultation/problem resolution if required.

#### **10.5 Permit**

Respondent must possess and provide a copy of license or permit to do business in the State of California and the County of Santa Cruz. Add copy of permit as attachment to this RFP.

#### **10.6 Proprietary Information**

All information appearing within the response is subject to Public inspection under applicable laws. Any proprietary information must be clearly marked as such and submitted in a separate sealed envelope and referenced only within the body of the response.

#### **10.7 Protest and Appeals Procedures**

County staff will review all application documents and assess if the proposal is from an eligible applicant, the proposal is complete and if the proposal is timely. If these three factors are met, the proposal will be considered responsive. The Probation Department will notify all applicants by Friday March 1, 2019 at 5:00 pm, PT regarding whether their proposal was considered responsive or not.

For applications considered non-responsive, a protest may be submitted before March 8, 2019, 5:00 pm, PT. The protest must cite and provide evidence regarding any protested procedures. Protests must be sent by an authorized representative of the organization. All letters of protest may be dropped off or sent by certified mail to:

Andrew Davis  
Senior Departmental Administrative Analyst  
Attention Adult RFP 2019  
303 Water Street, Suite 9  
Santa Cruz, CA 95060

The County will issue a written decision within five working days of receipt of the protest. The Chief of Probation or designee will provide the final decision.

## **10.8 Contract Negotiations**

Contracted services will be negotiated during April through June 2019 for Santa Cruz County Board of Supervisors' approval prior to starting services July 1, 2019. In order to secure the contract, awarded agencies **must** have a representative available in May and June of 2019 who has organization permission to negotiate the terms of the contract and services including the budget, scope of services and deliverables, and also has contract signatory approval.

## **10.9 Term of Contract**

Contracts are expected to be developed in May and June 2019 for operation from July 1, 2019, through June 30, 2020. The contracts may be renewed for three (3) additional years on an annual basis. Should a new contract be awarded for subsequent years, the County reserves the right to award a new contract with selected contractors for services without the need for further competitive procurement, subject to approval by the Probation Department and the County of Santa Cruz Board of Supervisors, the availability of sufficient funds and satisfactory performance by the contractor.

## **10.10 Funds Available**

Funding is made available from Public Safety Realignment Act. The County reserves the right to adjust award amounts on the basis of its final budget to be approved by the Board of Supervisors in June 2019 and on the responses to this RFP.

Funding amounts may increase or decrease during the contract period based on the funds available and on contractor performance. Regardless, contractor should be aware that budgets will be dependent upon the continuing availability of revenue, contractor performance and a determination of needs by Santa Cruz County.

## **10.11 Cost Liability**

Applicants is solely responsible for all costs incurred in preparing for or submitting the proposal.

## Appendix A: Four Principles of Evidence-Based Service

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**The Risk Principle** (WHO) is the prioritization of supervision and treatment services for individuals at higher risk of re-offending. Shifting resources to these individuals results in much greater gains in public safety, while targeting those with lower risk factors can actually increase their likelihood of recidivism. By focusing on individuals with high risk factors, programs are able to address multiple criminogenic areas with greater intensity, thus resulting in greater impact on behavior.

**The Need Principle** (WHAT) directs intervention resources to address primarily those areas which are directly linked to criminal behavior. While individuals have a variety of needs, not all have an equal impact on their risk to reoffend. Primary criminogenic needs include: a history of antisocial behavior; anti-social personality pattern; antisocial/pro-criminal attitudes, values, and thinking; and pro-criminal associates. Secondary criminogenic needs include family dysfunction; low levels of educational and vocational achievement; low levels of prosocial activities; and abuse of alcohol and/or drugs. All services should target primary criminogenic needs as well as any other areas addressed.

**The Dosage Principle** (HOW MUCH) directs programs to provide direct client services at a minimum of 100-150 hours for moderate risk and 200+ hours for high risk (across multiple criminogenic need areas) in order to achieve measurable reduction in recidivism. Dosage under one hundred hours produces relatively small effects for this population. High intensity programs should be provided and should occupy 40% to 70% of participants free time in order to be effective.

**The Responsivity Principle** (HOW) requires that service delivery match specific characteristics of individuals in order for them to benefit. Independent of the type of service being delivered, evidence shows that the criminal justice population most benefits from services that are cognitive and behavioral in nature. That is, services should identify and address anti-social thinking and build pro-social skills through extensive behavioral practice. Responsivity also includes the consideration of culture, gender, motivational stages, and learning styles, and logistical considerations and community functioning, such as transportation, housing, food, or behavioral and physical health. While these factors are not themselves criminogenic, they should be addressed to the extent that they create barriers to an individual's ability to receive services.

The criminal justice population includes many individuals still at a pre-contemplative stage with regard to treatment and change. Responsivity requires that service providers develop competency in meeting clients at any stage of readiness for change, enhancing intrinsic motivation and raising awareness of and capacity for change. Service providers are expected to show the willingness and ability to respond immediately to client-determined needs and goals, to work flexibly under the lead case management of the Probation Service Center, and to provide field-based services in the community *as needed to reduce barriers to service engagement*.

Equitable service delivery is essential to achieving criminal justice outcomes. This includes cultural competency, gender-specific service design, and trauma-informed service delivery. Cultural competency requires a demonstrated respect, awareness, and dynamic appreciation of the beliefs, practices, traditions, religion, history, languages, and criminal histories of diverse individuals and communities. Gender-specific services are designed with an understanding of the unique etiology of criminal behavior for women and men. Trauma-informed delivery incorporates a broad array of practices that avoid re-triggering of traumatic responses, as well as a systematic ability to appropriately distinguish trauma responses from program non-compliance.

**The Fidelity Principle** (HOW WELL) is the extent to which a practice is implemented in a way that adheres to the protocol of the evaluated practice. Practices that are implemented with fidelity demonstrate that critical elements including the type, amount, and quality of the services are provided. Fidelity applies to practices or programs at each level in the framework: Model, Promising and Innovative. Model and Promising EBP often have guidance provided on what adaptations are considered low risk. Innovative EBP may also implement the program "to fidelity" by implementing the established program as evaluated. In all programs, adaptations to the services may be made; however, it is strongly encouraged that adaptations be considered low risk adaptations. Low risk adaptations do not change how critical program elements are provided.

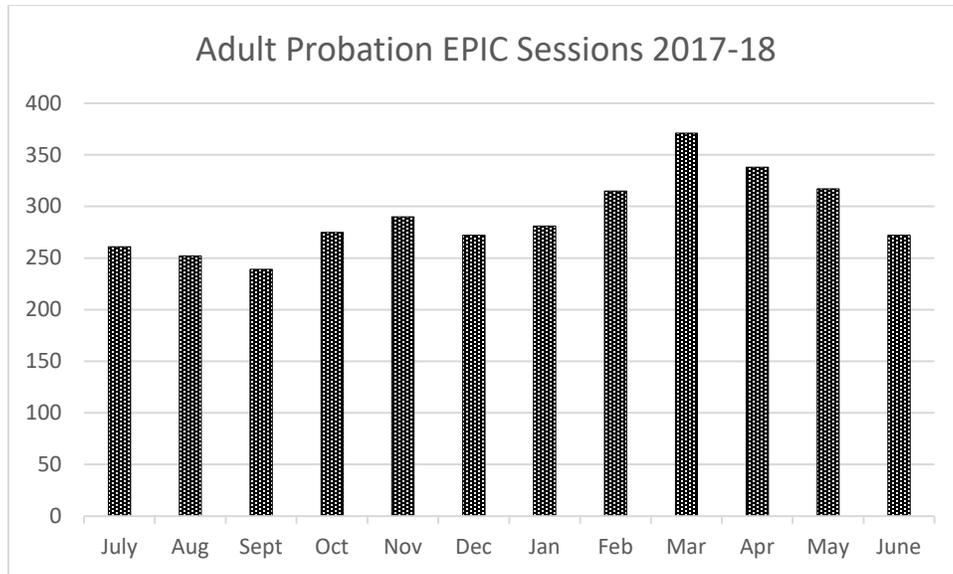
## Appendix B: Probation Department Evidence Based Practices

The Adult Probation Division has adopted the following key evidence-based supervision strategies to meet our goals, maximize resources, and be good financial stewards of public funds:

Key Supervision Strategies	Methods	Implementation
<ul style="list-style-type: none"> <li>• Use empirically-based assessments to guide decisions.</li> <li>• Focus on criminogenic needs (drivers of criminal behavior).</li> <li>• Develop rapport/enhance intrinsic motivation.</li> <li>• Teach skills, role plays, and assign homework/skills practice.</li> <li>• Spend 20 minutes per session [with highest risk offenders].</li> <li>• Match programming (responsivity).</li> <li>• Seek to achieve proper dosage [100-300 hours of programming for moderate to high risk cases].</li> <li>• Redirect antisocial / criminal sentiments [as it occurs].</li> </ul>	<ul style="list-style-type: none"> <li>• Cap caseloads sizes</li> <li>• Ensure mastery of effective supervision practices techniques.</li> <li>• Focus coaching and training efforts on supervisors.</li> <li>• Acquire tools and skills.</li> <li>• Develop a CQI (continuous quality improvement) and coaching structure.</li> <li>• Alter policy and procedures as needed.</li> </ul>	<ul style="list-style-type: none"> <li>• Utilization of a risk/needs assessment tools: CAIS; ODARA; Static-99R.<sup>1</sup></li> <li>• Continuous right-sizing of supervision caseloads (focusing on the higher risk and specialized populations).</li> <li>• Utilization of EPICS, Thinking for a Change, cognitive workbooks, and other Cognitive Behavioral Interventions; Re-entry Services.</li> <li>• Ongoing trainings to enhance evidence based skills, and increasing internal capacity with Training for Trainers.</li> <li>• Utilization of Rewards / Incentives grid, as well as a Violation Response grid.</li> <li>• Continued Revision of Policies and Procedures.</li> <li>• Engagement in a variety of technical assistance and evaluation.</li> </ul>

<sup>1</sup> The Correctional Assessment and Intervention System (CAIS) identifies underlying reasons for criminal behavior; classifies offenders into risk level and supervision strategy groups; provides recommendations for specific supervision and communication techniques for each. The Ontario Domestic Abuse Risk Assessment (ODARA) is used to assess risk of future domestic assault, frequency, and severity of future assaults. The Static-99R is a tool used to assess the potential for sexual re-offending by male offenders.

*Effective Practices in Community Supervision (EPICS).* EPICS model is designed to use a combination of monitoring, referrals, and face-to-face interactions to provide offenders with a sufficient “dosage” of treatment interventions and make the best possible use of time to develop a collaborative working relationship. Below is a chart demonstrating the number of EPICS sessions conducted by the Probation Department.



*Assessment and Case Plan.* Probation Officers provide community supervision services and serve as the primary lead case managers to coordinate and track treatment and intervention services. This begins with a comprehensive and research-validated assessment of Risk and Need. The assessment tool is designed to help develop strategies, approaches, programs and sanctions that work best with each individual, based on an individual’s strengths and needs, to effectively and efficiently supervise them. Assessment data is used to develop an individualized case plan that incorporates all court terms and conditions, priority need areas to be addressed by specific services, client and family goals, and logistical plans that articulate immediate objectives and timelines. Probation officers will also utilize EBP service options to create responsive, individualized treatment plans for participants.

*Risk and Needs Data.* The assessed risk level determines supervision and service intensity, with high level monitoring and service delivery reserved for individuals at highest risk for recidivism.

As lead case managers, Probation Officers work in collaboration with staff from service providers to further assess, refer, and monitor progress of participants over time. Probation Officers convene multi-disciplinary case management meetings as needed to coordinate services, identify and address barriers to success, and revise and refine the case plan over time.

Probation Officers, in partnership with service providers, are responsible for delivering cognitive-behavioral curriculum and motivational interviewing to engage participants and address key areas of criminal thinking and behavior. Primary activities of the Probation Officers include (but not limited to):

- Provide liaison and reporting to courts, including evidence-based pre-sentence investigations, written reviews, modifications, and probation violation reports and warrant requests;

- Monitor supervision terms, including fines and restitution;
- Conduct regular in-custody, office, home and work site meetings to confirm residence and employment status;
- Provide resource referral and system advocacy to help participants access community supports;
- Engage family members, mentors, and others who play a role in ongoing support;
- Motivate and incentivize positive behavior;
- Impose sanctions for non-compliance; and
- Conduct random drug testing.

## Appendix C: Service Areas and Estimated Funding

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### 1. Programs Addressing Criminal Thinking, Behavior and Identity (CTBI)

Services: Manualized CTBI curricula that addresses the criminogenic needs of the target population both in custody and in the community. CTBI curricula should focus on both inner awareness of thoughts and feelings that influence behavior as well as extensive behavioral practice. Classes must be open-enrollment rather than closed cohort in order to serve the target population. Current curricula include: Thinking For a Change, Courage to Change, SAMHSA Anger Management, and Getting Motivated To Change.

Funding: Approximately \$225,000 is available to fund services in this area.

Estimated In-Custody Percentage: Up to 50% of funding will be available for in-custody services (\$112,500).

Target Population: 300 moderate to high risk participants per year.

Criminogenic Need/Responsivity Factor: Antisocial cognition, antisocial personality, coping skills, history of antisocial behavior, pro-criminal attitudes and behaviors.

Performance Measures: Curriculum completion, pre/post individual evaluation and instructor observation; demonstration of skill development; pattern of reduced impulsivity and criminal behavior.

### 2. Substance Use Disorder Treatment and Recovery Maintenance

NOTE: Services under this funding area are administered through existing County contracts managed by the County Health Services Agency in coordination with the Drug Medi-Cal Organized Delivery System (DMC-ODS). Service delivery is based on the DMC-ODS system for assessment and referral, and funding dynamically follows treatment assignment. For this reason, **allocation of funding for Substance Use Disorder Treatment services will not be subject to this competitive Request for Proposals, and no proposals for Substance Use Disorder Treatment services will be accepted.** The following is for informational purpose only:

Services: DMC-ODS Community-based outpatient, intensive outpatient, and residential substance use disorder treatment; perinatal SUD treatment services; detox; medically assisted treatment, including Methadone and Vivitrol; sober living environments; recovery maintenance services; clinical assessment and referral; in-custody intensive outpatient SUD treatment and Seeking Safety curriculum.

Funding: Approximately \$990,000 is available to fund services in this area.

Estimated In-Custody Percentage: Up to 10% of funding will be available for in-custody services (\$99,000).

Target Population: 300 treatment incidents per year.

Criminogenic Need/Responsivity Factor: Addiction and substance use disorders; substance abuse related to criminal behavior.

Performance Measures: Program engagement and completion; pre/post addiction severity (ASAM or ASI); continued improvement in recovery following treatment completion (RMS Program Recovery Measures Tool); increased duration of abstinence from substance

use.

### **3. Workforce and Job Placement Services**

Services: Workforce development and preparation for job application (resume development, interview practice and coaching); transferable skills and career exploration and goal setting; job placement and coaching for job retention and promotion.

Funding: Approximately \$150,000 is available to fund services in this area.

Estimated In-Custody Percentage: Workforce and Job Placement services will not be provided in custody through AB109 funding.

Target Population: 125 moderate to high risk participants per year.

Criminogenic Need/Responsivity Factor: Community employment.

Performance Measures: Job placement, job retention and career advancement; increased measures of self-sufficiency and replacement of governmental supports with legal income.

### **4. Educational Programming**

Services: Adult Basic Education; HSD completion and/or GED preparation and proctoring tests; computer skills and operation of a computer lab at the Probation Service Center.

Funding: Approximately \$275,000 is available to fund services in this area.

Estimated In-Custody Percentage: Up to 50% of funding will be available for in-custody services (\$137,500).

Target Population: 250 participants per year of all risk levels.

Criminogenic Need/Responsivity Factor: Educational attainment.

Performance Measures: Pre/post scores on standardized educational assessments (e.g. CASAS or TABE); passage of GED tests and successful award of HSD or GED or other high school equivalency; demonstration of increased vocational skills; retention and completion of post-secondary degree.

### **5. Mental Health Care and Forensic Case Management**

Services: Clinical assessment; individual and group mental health counseling; mental health system navigation and service advocacy; clinical case management

Funding: Approximately \$300,000 is available to fund services in this area.

Estimated In-Custody Percentage: Mental Health Care and Forensic Case Management services will not be provided in custody through AB109 funding.

Target Population: 125 Moderate to high risk participants per year.

Criminogenic Need/Responsivity Factor: Aggression, coping skills. Responsivity issues include mental health and community functioning.

Performance Measures: Validated pre/post assessment of mental health and social functioning; medication compliance; self-reported increases in mental and social functioning.

### **6. Parenting and Family Involvement**

Services: Evidence-based, manualized programs addressing family management, communication, and relationships

Funding: Approximately \$35,000 is available to fund services in this area.

Estimated In-Custody Percentage: Up to 100% of funding will be available for in-custody services (\$35,000).

Target Population: 60 participants per year of all risk levels.

Criminogenic Need/Responsivity Factor: Family and marital relationships, coping skills, antisocial associates. Responsivity factors include ongoing social support and resources for community functioning.

Performance Measures: Pre/post assessment of knowledge, skills and behaviors for appropriate family management and communication.

## **7. Emergency Shelter**

Services: Emergency short term housing beds (Note that transitional housing is provided through sober living environments that are funded through Substance Use Treatment in Area 2, above)

Funding: Approximately \$50,000 is available to fund services in this area.

Estimated In-Custody Percentage: Housing funding will not be provided in custody through AB109 funding.

Target Population: 50 participants per year

Criminogenic Need/Responsivity Factor: Responsivity factors include residential stability, physical safety, service access, and employability

Performance Measures: Physical safety and ability to participate in other probation services; development of on-going support for stable housing

## **8. Reintegration Service Coordination**

Services: Individualized support for successful community reintegration, including peer navigation services and client service staffing at the Probation Service Center, case plan support services countywide, flex fund management to address barriers to reentry.

Funding: Approximately \$460,000 is available to fund services in this area (\$300,000 is available for community-based services. See immediately below.)

Estimated In-Custody Percentage: 35% of funding in this category is dedicated to in-custody services (\$162,000) provided by staff from the Health Services Agency working with the Sheriff's Department of Reentry.

Target Population: 700 moderate to high risk participants per year

Criminogenic Need/Responsivity Factor: Antisocial associates, leisure and recreation, coping skills. Responsivity factors include community functioning and service access.

Performance Measures: Completion of reentry plan objectives; increase access to on-going community and family support (including expanded Medi-Cal benefit); reduced barriers to successful reentry (e.g. driver's license, transportation)

**9. Community Education and Engagement**

Services: Outreach and community organizing to implement the Blueprint for Shared Safety, with a focus on promoting the involvement of crime survivors and formerly incarcerated individuals and their families; community education regarding AB109, restorative justice, and criminal justice system reform.

Funding: Approximately \$45,000 is available to fund services in this area.

Estimated In-Custody Percentage: Community engagement services will not be provided in custody through AB109 funding.

Target Population: n.a.

Criminogenic Need/Responsivity Factor: n.a.

Performance Measures: Increased participation by crime survivors and formerly incarcerated individuals in the assessment and implementation of criminal justice policy; increased awareness of and commitment to justice system reform among policy-makers and community opinion leaders.

**10. Innovative and Promising Services**

Services: This service area will support innovative pro-social activities that do not raise to the level of evidence-based service, but which show promise based on limited evaluation and outcome data. All services must respond to the needs of the stated target population and must be provided within the overall service program framework described in the request for proposals.

Funding: Approximately \$90,000 is available to fund services in this area.

Estimated In-Custody Percentage: (to be determined based on proposed services)

Target Population: (to be determined based on proposed services)

Criminogenic Need/Responsivity Factor: (to be determined based on proposed services)

Performance Measures: (to be determined based on proposed services)

## **APPENDIX D: INDEPENDENT CONTRACTOR AGREEMENT (NON-PROFIT)**

This Contract, which is effective on the date it is fully executed, is between the COUNTY OF SANTA CRUZ, hereinafter called COUNTY, and (enter contractor name), hereinafter called CONTRACTOR. The parties agree as follows:

1. **DUTIES.** CONTRACTOR agrees to exercise special skill to accomplish the following results: (enter scope of work) as described in the attached Exhibit A - Scope of Services, for the County of Santa Cruz Probation Department (hereinafter "the project").

CONTRACTOR will submit program data and quarterly progress reports. Additionally, if directed by Probation, CONTRACTOR may be required to provide ongoing program data directly into the Probation Department's case management system(s) when a secure electronic interface is available. CONTRACTOR shall utilize evidence-based practices and principles in program development and implementation of services under this contract in order to address individually assessed criminogenic needs to reduce recidivism and increase public safety. CONTRACTOR shall also provide services that are racially and culturally responsive.

2. **COMPENSATION.** In consideration for CONTRACTOR accomplishing said result, COUNTY agrees to pay CONTRACTOR as follows: Payment not to exceed \$(enter amount of contract), processed for payment in full after completion of the project, receipt of invoice, and approval of project manager [OR] after receipt and project manager approval of monthly invoices based upon the amount of actual progress achieved on the project during the preceding month.

3. **TERM.** The term of this Contract shall be: (first date of contract) through (last date of contract). If this Contract is placed on the County's Continuing Agreement List before the Contract term expires, the parties agree to extend the terms and conditions of the Contract as set forth herein, and as reflected in any executed amendment hereto, until the Contract is thereafter terminated.

4. **EARLY TERMINATION.** Either party hereto may terminate this Contract at any time by giving thirty (30) days' written notice to the other party.

5. **INDEMNIFICATION FOR DAMAGES, TAXES AND CONTRIBUTIONS.** CONTRACTOR shall exonerate, indemnify, defend, and hold harmless COUNTY (which for the purpose of paragraphs 5 and 6 shall include, without limitation, its officers, agents, employees and volunteers) from and against:

A. Any and all claims, demands, losses, damages, defense costs, or liability of any kind or nature which COUNTY may sustain or incur or which may be imposed upon it for injury to or death of persons, or damage to property as a result of, arising out of, or in any manner connected with the CONTRACTOR'S performance under the terms of this Contract, excepting any liability arising out of the sole negligence of the COUNTY. Such indemnification includes any damage to the person(s), or property(ies) of CONTRACTOR and third persons.

B. Any and all Federal, State, and Local taxes, charges, fees, or contributions required to be paid with respect to CONTRACTOR and CONTRACTOR'S officers, employees and agents engaged in the performance of this Contract (including, without limitation, unemployment insurance, social security and payroll tax withholding).

6. **INSURANCE.** CONTRACTOR, at its sole cost and expense, for the full term of this Contract (and any extensions thereof), shall obtain and maintain, at minimum, compliance with all of the following insurance coverage(s) and requirements. Such insurance coverage shall be primary coverage as

respects COUNTY and any insurance or self-insurance maintained by COUNTY shall be considered in excess of CONTRACTOR'S insurance coverage and shall not contribute to it. If CONTRACTOR normally carries insurance in an amount greater than the minimum amount required by the COUNTY for this Contract, that greater amount shall become the minimum required amount of insurance for purposes of this Contract. Therefore, CONTRACTOR hereby acknowledges and agrees that any and all insurances carried by it shall be deemed liability coverage for any and all actions it performs in connection with this Contract.

If CONTRACTOR utilizes one or more subcontractors in the performance of this Contract, CONTRACTOR shall obtain and maintain Contractor's Protective Liability insurance as to each subcontractor or otherwise provide evidence of insurance coverage from each subcontractor equivalent to that required of CONTRACTOR in this Contract, unless CONTRACTOR and COUNTY both initial here / \_\_\_\_.

**A. Types of Insurance and Minimum Limits**

(1) Workers' Compensation Insurance in the minimum statutorily required coverage amounts. This insurance coverage shall be required unless the CONTRACTOR has no employees and certifies to this fact by initialing here \_\_\_\_\_.

(2) Automobile Liability Insurance for each of CONTRACTOR'S vehicles used in the performance of this Contract, including owned, non-owned (e.g. owned by CONTRACTOR'S employees), leased or hired vehicles, in the minimum amount of \$500,000 combined single limit per occurrence for bodily injury and property damage. This insurance coverage is required unless the CONTRACTOR does not drive a vehicle in conjunction with any part of the performance of this Contract and CONTRACTOR and COUNTY both certify to this fact by initialing here \_\_\_\_ / \_\_\_\_.

(3) Comprehensive or Commercial General Liability Insurance coverage at least as broad as the most recent ISO Form CG 00 01 with a minimum limit of \$1,000,000 per occurrence, and \$2,000,000 in the aggregate, including coverage for: (a) products and completed operations, (b) bodily and personal injury, (c) broad form property damage, (d) contractual liability, and (e) cross-liability.

(4) Professional Liability Insurance in the minimum amount of \$\_\_\_\_\_ combined single limit, if, and only if, this Subparagraph is initialed by CONTRACTOR and COUNTY \_\_\_\_ / \_\_\_\_.

**B. Other Insurance Provisions**

(1) If any insurance coverage required in this Contract is provided on a "Claims Made" rather than "Occurrence" form, CONTRACTOR agrees that the retroactive date thereof shall be no later than the date first written above (in the first paragraph on page 1), and that it shall maintain the required coverage for a period of three (3) years after the expiration of this Contract (hereinafter "post Contract coverage") and any extensions thereof. CONTRACTOR may maintain the required post Contract coverage by renewal or purchase of prior acts or tail coverage. This provision is contingent upon post Contract coverage being both available and reasonably affordable in relation to the coverage provided during the term of this Contract. For purposes of interpreting this requirement, a cost not exceeding 100% of the last annual policy premium during the term of this Contract in order to purchase prior acts or tail coverage for post Contract coverage shall be deemed to be reasonable.

(2) All policies of Comprehensive or Commercial General Liability Insurance shall be endorsed to cover the County of Santa Cruz, its officials, employees, agents and volunteers as additional insureds with respect to liability arising out of the work or operations and activities performed by or on behalf of CONTRACTOR, including materials, parts or equipment furnished in connection with such work or operations. Endorsements shall be at least as broad as ISO Form CG 20 10 11 85, or both

CG 20 10 10 01 and CG 20 37 10 01, covering both ongoing operations and products and completed operations.

(3) All required insurance policies shall be endorsed to contain the following clause: “This insurance shall not be canceled until after thirty (30) days’ prior written notice (10 days for nonpayment of premium) has been given to:

**Santa Cruz County  
Probation Department  
Attn: Julie Rudge, Administrative Services Manager  
Post Office Box #1812  
Santa Cruz, CA 95061-1812**

Should CONTRACTOR fail to obtain such an endorsement to any policy required hereunder, CONTRACTOR shall be responsible to provide at least thirty (30) days’ notice (10 days for nonpayment of premium) of cancellation of such policy to the COUNTY as a material term of this Contract.

(4) CONTRACTOR agrees to provide its insurance broker(s) with a full copy of these insurance provisions and provide COUNTY on or before the effective date of this Contract with Certificates of Insurance and endorsements for all required coverages. However, failure to obtain the required documents prior to the work beginning shall not waive the CONTRACTOR’s obligation to provide them. All Certificates of Insurance and endorsements shall be delivered or sent to:

**Santa Cruz County  
Probation Department  
Attn: Julie Rudge, Administrative Services Manager  
Post Office Box #1812  
Santa Cruz, CA 95061-1812**

(5) CONTRACTOR hereby grants to COUNTY a waiver of any right of subrogation which any insurer of said CONTRACTOR may acquire against the COUNTY by virtue of the payment of any loss under such insurance. CONTRACTOR agrees to obtain any endorsement that may be necessary to affect this waiver of subrogation, but this provision applies regardless of whether or not the COUNTY has received a waiver of subrogation endorsement from the insurer.

7. **EQUAL EMPLOYMENT OPPORTUNITY.** During and in relation to the performance of this Contract, CONTRACTOR agrees as follows:

A. The CONTRACTOR shall not discriminate against any employee or applicant for employment because of race, color, creed, religion, national origin, ancestry, physical or mental disability, medical condition (including cancer-related and genetic characteristics), marital status, sexual orientation, age (over 18), veteran status, gender, pregnancy, or any other non-merit factor unrelated to job duties. Such action shall include, but not be limited to, the following: recruitment, advertising, layoff or termination, rates of pay or other forms of compensation, selection for training (including apprenticeship), employment, upgrading, demotion, or transfer. The CONTRACTOR agrees to post in conspicuous places, available to employees and applicants for employment, notice setting forth the provisions of this non-discrimination clause.

B. If this Contract provides compensation in excess of \$50,000 to CONTRACTOR and if CONTRACTOR employs fifteen (15) or more employees, the following requirements shall apply:

(1) The CONTRACTOR shall, in all solicitations or advertisements for employees placed by or on behalf of the CONTRACTOR, state that all qualified applicants will receive consideration for employment without regard to race, color, creed, religion, national origin, ancestry, physical or mental

disability, medical condition (including cancer-related and genetic characteristics), marital status, sexual orientation, age (over 18), veteran status, gender, pregnancy, or any other non-merit factor unrelated to job duties. Such action shall include, but not be limited to, the following: recruitment; advertising, layoff or termination, rates of pay or other forms of compensation, selection for training (including apprenticeship), employment, upgrading, demotion, or transfer. In addition, the CONTRACTOR shall make a good faith effort to consider Minority/Women/Disabled Owned Business Enterprises in CONTRACTOR'S solicitation of goods and services. Definitions for Minority/Women/Disabled Owned Business Enterprises are available from the COUNTY General Services Purchasing Division.

(2) In the event of the CONTRACTOR'S non-compliance with the non-discrimination clauses of this Contract or with any of the said rules, regulations, or orders said CONTRACTOR may be declared ineligible for further contracts with the COUNTY.

(3) The CONTRACTOR shall cause the foregoing provisions of subparagraphs 7B(1) and 7B(2) to be inserted in all subcontracts for any work covered under this Contract by a subcontractor compensated more than \$50,000 and employing more than fifteen (15) employees, provided that the foregoing provisions shall not apply to contracts or subcontracts for standard commercial supplies or raw materials.

**8. INDEPENDENT CONTRACTOR STATUS.** CONTRACTOR and COUNTY have reviewed and considered the principal test and secondary factors below and agree that CONTRACTOR is an independent contractor and not an employee of COUNTY. CONTRACTOR is responsible for all insurance (workers' compensation, unemployment, etc.) and all payroll related taxes. CONTRACTOR is not entitled to any employee benefits. COUNTY agrees that CONTRACTOR shall have the right to control the manner and means of accomplishing the result contracted for herein.

**PRINCIPAL TEST:** The CONTRACTOR rather than COUNTY has the right to control the manner and means of accomplishing the result contracted for.

**SECONDARY FACTORS:** (a) The extent of control which, by agreement, COUNTY may exercise over the details of the work is slight rather than substantial; (b) CONTRACTOR is engaged in a distinct occupation or business; (c) In the locality, the work to be done by CONTRACTOR is usually done by a specialist without supervision, rather than under the direction of an employer; (d) The skill required in the particular occupation is substantial rather than slight; (e) The CONTRACTOR rather than the COUNTY supplies the instrumentalities, tools and work place; (f) The length of time for which CONTRACTOR is engaged is of limited duration rather than indefinite; (g) The method of payment of CONTRACTOR is by the job rather than by the time; (h) The work is part of a special or permissive activity, program, or project, rather than part of the regular business of COUNTY; (i) CONTRACTOR and COUNTY believe they are creating an independent contractor relationship rather than an employer-employee relationship; and (j) The COUNTY conducts public business.

It is recognized that it is not necessary that all secondary factors support creation of an independent contractor relationship, but rather that overall there are significant secondary factors that indicate that CONTRACTOR is an independent contractor.

By their signatures on this Contract, each of the undersigned certifies that it is his or her considered judgment that the CONTRACTOR engaged under this Contract is in fact an independent contractor.

**9. NONASSIGNMENT.** CONTRACTOR shall not assign the Contract without the prior written consent of the COUNTY.

**10. ACKNOWLEDGMENT.** CONTRACTOR shall acknowledge in all reports and literature that the Santa Cruz County Board of Supervisors has provided funding to the CONTRACTOR.

**11. RETENTION AND AUDIT OF RECORDS.** CONTRACTOR shall retain records pertinent to this Contract for a period of not less than five (5) years after final payment under this Contract or until a final audit report is accepted by COUNTY, whichever occurs first. CONTRACTOR hereby agrees to be subject to the examination and audit by the Santa Cruz County Auditor-Controller-Treasurer-Tax Collector, the Auditor General of the State of California, or the designee of either for a period of five (5) years after final payment under this Contract.

**12. PRESENTATION OF CLAIMS.** Presentation and processing of any or all claims arising out of or related to this Contract shall be made in accordance with the provisions contained in Chapter 1.05 of the Santa Cruz County Code, which by this reference is incorporated herein.

**13. ATTACHMENTS.** Should a conflict arise between the language in the body of this Contract and any attachment to this Contract, the language in the body of this Contract controls. This Contract includes the following attachments:

- **Exhibit A: Scope of Services**
- **Exhibit B: Budget**

**14. LIVING WAGE.** This Contract is covered under Living Wage provisions if this section is initialed by COUNTY\_\_\_\_\_.

If Item # 14 above is initialed by COUNTY, then this Contract is subject to the provisions of Santa Cruz County Code Chapter 2.122, which requires payment of a living wage to covered employees (per County Code Chapter 2.122.050, non-profit contractors are exempt from the living wage rate requirement of this chapter, but are not exempt from, and must adhere to, the “non-wage” related requirements of County Code Chapter 2.122.100, 2.122.130, and 2.122.140, as well as all other applicable portions of County Code Chapter 2.122). Non-compliance with these Living Wage provisions during the term of the Contract will be considered a material breach, and may result in termination of the Contract and/or pursuit of other legal or administrative remedies.

CONTRACTOR agrees to comply with Santa Cruz County Code section 2.122.140, if applicable.

**15. NON-PROFIT CONTRACTOR MISCELLANEOUS REQUIREMENTS.** The following requirements shall be met, in addition to any other requirements of this Contract:

- A. **WEB LINKS** – If a non-profit CONTRACTOR has an organizational web site, it shall be a requirement of this Contract to provide links to the HelpSCC ([www.helpscc.org](http://www.helpscc.org)), Santa Cruz County Government ([www.co.santa-cruz.ca.us](http://www.co.santa-cruz.ca.us)), and Workforce Santa Cruz County ([www.workforcescc.com](http://www.workforcescc.com)) web sites.

**16. MONITORING PROGRAM FOR 501(c)(3) NONPROFIT AGENCIES.** Each of the following requirements shall be met, in addition to any other requirements of this Contract.

- A. Within 180 days of the end of each of the CONTRACTOR’S fiscal years occurring during the term of this Contract, the CONTRACTOR shall provide the Contract Administrator with two copies of Financial Statements relating to the entirety of the CONTRACTOR’S operations. Financial statements normally include: (1) a Statement of Financial Position or Balance Sheet; (2) a Statement of Activities or Statement of Revenues and Expenses; (3) a Cash Flow Statement; and (4) a Statement of Functional Expenses. The Contract Administrator will forward one copy of the financial statements to the Santa Cruz County Auditor-Controller-Treasurer-Tax Collector (“ACTTC”).

- (1) For the purposes of this paragraph, "CONTRACTOR'S fiscal year" shall be that period the CONTRACTOR utilizes for its annual budget cycle.
- (2) The Contract Administrator with concurrence of the ACTTC may agree to extend the deadline for the Financial Statements required by this paragraph.
  
- B. In the sole discretion of the County, the requirements of this paragraph may be exempted where the Contract Administrator and the ACTTC ascertain that such reporting is not essential, and both certify to its inapplicability by initialing here \_\_\_\_ (Aud); \_\_\_\_ (CA).
- C. The CONTRACTOR shall make a good faith effort to provide the Contract Administrator with timely notice of any event or circumstance that materially impairs the CONTRACTOR'S financial position or substantially interferes with the CONTRACTOR'S ability to offer the services it has agreed to provide as set forth in this Contract. The Contract Administrator shall notify the ACTTC of any impairment upon being notified by the contractor.
- D. For audit authority of the ACCTC refer to the paragraph on "Retention and Audit of Records."

**17. NON-BINDING UNTIL APPROVED.** Regardless of whether this Contract has been signed by all parties, if the total compensation identified in Paragraph 2 of this Contract is greater than \$100,000, this Contract is not binding on any party until the Contract has been approved by the Santa Cruz County Board of Supervisors.

**18. MISCELLANEOUS.** This written Contract, along with any attachments, is the full and complete integration of the parties' agreement forming the basis for this Contract. The parties agree that this written Contract supersedes any previous written or oral agreements between the parties, and any modifications to this Contract must be made in a written document signed by all parties. The unenforceability, invalidity or illegality of any provision(s) of this Contract shall not render the other provisions unenforceable, invalid or illegal. Waiver by any party of any portion of this Contract shall not constitute a waiver of any other portion thereof. Any arbitration, mediation, or litigation arising out of this Contract shall occur only in the County of Santa Cruz, notwithstanding the fact that one of the contracting parties may reside outside of the County of Santa Cruz. This Contract shall be governed by, and interpreted in accordance with, California law.

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SIGNATURE PAGE

Contract No. \_\_\_\_\_

**INDEPENDENT CONTRACTOR AGREEMENT**  
**(NON-PROFIT)**

IN WITNESS WHEREOF, the parties hereto have set their hands the day and year first above written.

2. **(ENTER CONTRACTOR NAME)**

4. **COUNTY OF SANTA CRUZ**

By: \_\_\_\_\_  
SIGNED

By: \_\_\_\_\_  
SIGNED

\_\_\_\_\_  
PRINTED

\_\_\_\_\_  
PRINTED: Fernando Giraldo, Chief Probation Officer

Company Name:  
Address:  
Telephone:  
Fax:  
Email:

3. **APPROVED AS TO INSURANCE:**

1. **APPROVED AS TO FORM:**

\_\_\_\_\_  
Risk Management

\_\_\_\_\_  
Office of the County Counsel

DISTRIBUTION:

- Probation Department
- Auditor-Controller-Treasurer-Tax Collector
- Risk Management
- *Contractor*

ATTACHMENT A

**Proposal Summary Form**

ORGANIZATION NAME:	Click or tap here to enter text.		
ADDRESS:	Click or tap here to enter text.		
PHONE:	Click or tap here to enter text.	EMAIL:	Click or tap here to enter text.
NAME OF CEO:	Click or tap here to enter text.	URL:	Click or tap here to enter text.
INCORPORATED IN:	Click or tap here to enter text.	NUMBER OF EMPLOYEES:	Click or tap here to enter text.
TYPE OF ORGANIZATION:	<input type="checkbox"/> US Government Entity <input type="checkbox"/> For profit organization <input type="checkbox"/> Non-profit organization <input type="checkbox"/> University <input type="checkbox"/> Foundation		

Please complete the application and answer all questions. This application follows the RFP Narrative Response Section 7.2 (II). Please provide additional and specific details in your narrative response. Make sure your application is consistent with the information you provided in your narrative response. Discrepancies from the Application to the Narrative Response may result in a loss of points.

**1. SERVICE DESCRIPTION**

**a. SERVICE AREA**

***Select ONLY 1 service area that best aligns to the service being prosed in the RFP response.***

<input type="checkbox"/>	Services Addressing Criminal Thinking, Behavior and Identity
<input type="checkbox"/>	Substance Use Disorder Treatment and Recovery Maintenance
<input type="checkbox"/>	Workforce and Job Placement Services
<input type="checkbox"/>	Educational Programming
<input type="checkbox"/>	Mental Health Care and Forensic Case Management
<input type="checkbox"/>	Parenting and Family Involvement
<input type="checkbox"/>	Emergency Shelter Services
<input type="checkbox"/>	Reintegration Service Coordination
<input type="checkbox"/>	Community Education and Engagement

ATTACHMENT A

<input type="checkbox"/>	Innovative and promising services which may not meet the criteria for evidence-based programming
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**b. SPECIFIC SERVICES**

NAME OF CURRICULUM OR SERVICE MODEL	Click or tap here to enter text.
LOCATION OF SERVICES	<input type="checkbox"/> In-Custody <input type="checkbox"/> Service Center <input type="checkbox"/> Community
KEY INTERVENTION(S)	Click or tap here to enter text.
EBP EXPECTED LENGTH OF CURRICULUM OR SERVICE TO COMPLETE	Click or tap here to enter text.
EBP AVERAGE SERVICE INTENSITY/DOSAGE PER INDIVIDUAL TO COMPLETE	Click or tap here to enter text.
EXPECTED NUMBER TO INDIVIDUALS TO BE SERVED	Click or tap here to enter text.
ANTICIPATED TOTAL FISCAL YEAR DIRECT SERVICE DOSAGE	Click or tap here to enter text.
UNIT COST	Click or tap here to enter text.
TOTAL COSTS	Click or tap here to enter text.

**c. ENGAGEMENT AND SERVICE CONTINUITY**

DOES YOUR ORGANIZATION HAVE A STRATEGY FOR MAINTAINING CLIENT ENGAGEMENT?	Yes/No
<i>(FOR SERVICES DELIVERED IN MORE THAN 1 SERVICE LOCATION)</i> DOES YOUR ORGANIZATION HAVE A STRATEGY FOR SERVICE CONTINUITY?	Yes/No

**d. PERFORMANCE OUTCOME MEASURES**

Propose specific **performance outcome measures** that will be collected to substantiate client outcomes related to the service proposed and reduced risk of recidivism. These should be quantifiable and based on validated pre/post assessment tools and protocols.

ATTACHMENT A

Based on the type of service these outcome measures should specify the number and percent of program participants that will achieve benchmark criteria for success.

EXPECTED OUTCOME	Click or tap here to enter text.
EXPECTED OUTCOME	Click or tap here to enter text.
EXPECTED OUTCOME	Click or tap here to enter text.

**2. EVIDENCE BASED PRACTICES (EBP)**

If no published curriculum is to be used in the delivery of services, describe plan for ensuring service quality, integrity and consistency.

IDENTIFY THE CLEARINGHOUSE AND RATING OF THE PROPOSED SERVICE	<input type="checkbox"/> Model <input type="checkbox"/> Promising <input type="checkbox"/> Innovative Clearinghouse: Click or tap here to enter text.	
IDENTIFY THE EVIDENCE BASED SERVICE OR CURRICULUM	Click or tap here to enter text.	
IDENTIFY THE NUMBER OF STAFF CURRENTLY TRAINED AND/OR CERTIFIED IN THE PROPOSED EBP	Click or tap here to enter text.	
DOES YOUR ORGANIZATION HAVE A PROCESS FOR MONITORING FIDELITY TO ENSURE SERVICES/INTERVENTIONS ARE IMPLEMENTED AS INTENDED?	Yes/No	
WILL THERE BE ADAPTATIONS TO FIDELITY? <i>(If Yes- MUST describe in your narrative response.)</i>	Yes/No	
IS TRAINING OR TECHNICAL ASSISTANCE REQUIRED TO IMPLEMENT THE PROPOSED SERVICE? <i>(If Yes- MUST describe in your narrative response.)</i>	Yes/No	

**3. MULTI-DISCIPLINARY COLLABORATION**

DOES THE PROPOSED SERVICE ALIGN WITH PROBATION’S SERVICE DELIVERY AND CASE MANAGEMENT MODEL? <i>(If No- MUST describe in your narrative response.)</i>	Yes/No
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**4. MATCHING RESOURCES**

AMOUNT AND SOURCE OF MATCH FUNDING	Click or tap here to enter text.
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ATTACHMENT A

**5. STATEMENT OF ORGANIZATIONAL QUALIFICATIONS**

**A. SERVICE HISTORY**

SERVICE DELIVERED (INCLUDE THE SETTING AND LOCATION)	Click or tap here to enter text.	
NUMBER OF YEARS DELIVERING THE SERVICES TO THE TARGET POPULATION	Click or tap here to enter text.	
FUNDING AGENCY	Click or tap here to enter text.	
CRIMINAL JUSTICE POPULATION SERVED	Click or tap here to enter text.	
ACTUAL UNDUPLICATED NUMBER OF INDIVIDUALS SERVED IN 12 MONTHS	Click or tap here to enter text.	
DID THE SERVICE ACHIEVE THE EXPECTED OUTCOME(S)?	Yes/No	
DID YOUR ORGANIZATION HAVE A HISTORY OF TIMELY SUBMISSION OF PROGRAMMATIC REPORTING?	Yes/No	
ARE THERE ANY ANTICIPATED CHANGES TO YOUR ORGANIZATION, STAFF, OR SERVICES THAT WOULD IMPACT THE DELIVERY OF THE PROPOSED SERVICE? <i>(If Yes, please describe in your narrative response)</i>	Yes/No	

**B. JUSTICE SYSTEM COLLABORATION**

DOES YOUR ORGANIZATION HAVE A HISTORY OF SUCCESSFUL COLLABORATION WITH THE PROBATION DEPARTMENT, CORRECTIONS, OR OTHER JUSTICE SYSTEM STAKEHOLDERS?	Yes/No
DOES YOUR STAFF CURRENTLY HAVE LOCAL JAIL CLEARANCE?	Yes/No

**C. RESPONSIVITY**

DOES YOUR ORGANIZATION HAVE STRATEGIES TO MAXIMIZE THE INDIVIDUAL'S ABILITY TO LEARN FROM THE INTERVENTION BY PROVIDING COGNITIVE BEHAVIORIAL TREATMENT AND TAILORING THE INTERVENTION TO THE LEARNING STYLE, MOTIVATION, ABILITES AND STRENGTHS OF THE INDIVIDUAL?	Yes/No
DOES YOUR ORGANIZATION HAVE A WRITTEN POLICY TO PROVIDE MEANINGFUL ACCESS TO SERVICES AND ACTIVITIES TO A PERSON WHO HAS LIMITED ENGLISH PROFICIENCY (LEP)?	Yes/No

ATTACHMENT A

**D. INTERAGENCY COLLABORATION**

DOES YOUR ORGANIZATION HAVE A HISTORY OF SUCCESSFUL COLLABORATION WITH LOCAL HUMAN SERVICE PROVIDERS IN OTHER DOMAINS?	Yes/No
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**E. STAFF TRAINING**

DOES YOUR ORGANIZATION HAVE A STAFF TRAINING PLAN?	Yes/No
HAS YOUR STAFF BEEN TRAINED IN EBP?	Yes/No
HAS THERE BEEN A CHANGE IN YOUR SENIOR MANAGEMENT TEAM IN THE PAST YEAR?	Yes/No
HAVE ANY KEY PROGRAM STAFF STARTED WITH THE ORGANIZATION IN THE PAST YEAR?	Yes/No
ARE ALL PROPOSED STAFF POSITIONS FILLED? <i>(If No, list unfilled position(s) in your narrative response)</i>	Yes/No

**F. DATA COLLECTION AND REPORTING CONTINUOUS SERVICE IMPROVEMENT**

DOES YOUR ORGANIZATION COLLECT DATA ON SERVICE DELIVERY?	Yes/No
DOES YOUR ORGANIZATION MEASURE FIDELITY TO EBP?	Yes/No
DOES YOUR ORGANIZATION MEASURE SERVICE RELATED IMPACT AND OUTCOMES?	Yes/No
IS YOUR ORGANIZATION COMMITTED TO FLEXIBLE SERVICE DELIVERY?	Yes/No
IS YOUR ORGANIZATION COMMITTED TO CONTINUOUS SERVICE IMPROVEMENT?	Yes/No
DOES YOUR ORGANIZATION MAINTAIN AN AUTOMATED OR WEB-BASED CASE MANAGEMENT TOOL AND/OR DATA COLLECTION SYSTEM TO TRACK CLIENTS SERVED UNDER THIS PROPOSED PROJECT (OTHER THAN THE PROBATION PORTAL)?	Yes/No

ATTACHMENT A

**ORGANIZATIONAL OVERVIEW**

As part of this Request for Proposal (RFP), we need some additional information about the operation of your organization, and the proposed services. This section is optional but will be required prior to executing a service agreement.

Have your annual financial statements been audited by an independent audit firm covering the organizations internal control structure within the last two years?	Yes/No
Does your organization have a financial management system that records the source and application of funds for funded-supported activities?	Yes/No
Can your organization verify that expenditures submitted for reimbursement under this proposal are <b>not</b> also claimed/reimbursed under another separate agreement or funding stream (supplanting).	Yes/No
Will the organization generate income from this proposed funding? (e.g., registration fees, fundraisers, etc.)	Yes/No
Does the organization have an effective system or procedure for authorization and approval of:	
Travel expenditures?	Yes/No
Participant or Service expenditures?	Yes/No
Participant or Service Incentive expenditures?	Yes/No
Has your organization purchased equipment using Government funding?	Yes/No
Is Government property inventory maintained that identifies purchase date, cost, vendor, description, serial number, location, and ultimate disposition data?	Yes/No
Does your organization have a history of timely submission of financial invoices?	Yes/No
Does your organization have appropriate insurance documents?	Yes/No
Do you have written policies that address discrimination?	Yes/No
Do you have written policies that address privacy and confidentiality?	Yes/No
Do you have written policies that address conflicts of interest?	Yes/No

ATTACHMENT A

Do you have written policies that address record retention?	Yes/No
Will you subcontract to perform duties under this proposal?	Yes/No
Does your organization have a current organizational chart for the department responsible for programmatic oversight of the proposed services?	Yes/No
Does your organization have an Equal Employment Opportunity Plan (EEO) on file for review?	Yes/No
Does your organization notify participants that it does not discriminate on the basis of race, color, national origin, religion, sex, disability, and age in the delivery of services?	Yes/No
Does your organization have written policies or procedures in place for notifying participants how to file complaints alleging discrimination by the organization?	Yes/No
Does your organization have grievance procedures (for both employees and participants) that incorporate due process standards and provide for prompt and equitable resolution of complaints?	Yes/No
Has your organization had any findings of discrimination against the organization issued by a federal or state court, or federal or state or county administering agency?  <b><i>If yes, please describe in text box below</i></b>	Yes/No
Click or tap here to enter text.	
If the organization conducts religious activities as part of services, do they:	
Provide services to everyone regardless of religion or religious belief?	Yes/No
Ensure participation in religious activities is voluntary for participants?	Yes/No
Ensure it does not use funds to conduct inherently religious activities (such as prayer, religious instruction, or attempt to convert participants to another religion) and that such activities are kept separate in time or place from funded activities?	Yes/No