

File No. 160282

Committee Item No. 6  
Board Item No. \_\_\_\_\_

**COMMITTEE/BOARD OF SUPERVISORS**  
AGENDA PACKET CONTENTS LIST

Committee: Budget & Finance Sub-Committee Date April 6, 2016

Board of Supervisors Meeting Date \_\_\_\_\_

**Cmte Board**

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| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Legislative Digest                           |
| <input type="checkbox"/>            | <input type="checkbox"/> | Budget and Legislative Analyst Report        |
| <input type="checkbox"/>            | <input type="checkbox"/> | Youth Commission Report                      |
| <input type="checkbox"/>            | <input type="checkbox"/> | Introduction Form                            |
| <input type="checkbox"/>            | <input type="checkbox"/> | Department/Agency Cover Letter and/or Report |
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| <input type="checkbox"/>            | <input type="checkbox"/> | Grant Information Form                       |
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| <input type="checkbox"/>            | <input type="checkbox"/> | Award Letter                                 |
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Completed by: Linda Wong Date April 1, 2016  
Completed by: Linda Wong Date \_\_\_\_\_

1 [Agreement Amendment - Leaders in Community Alternative, Inc. - Operation of the  
2 Community Assessment and Services Center - Reentry Service - Not to Exceed  
3 \$11,490,153]

4 **Resolution approving the fifth amendment to an agreement between the Adult**  
5 **Probation Department and Leaders in Community Alternatives, Inc., for reentry**  
6 **services and operations of the Community Assessment and Services Center, to**  
7 **increase the contract amount to \$11,490,153 over the agreement term of June 1, 2012,**  
8 **through June 30, 2017.**

9  
10 WHEREAS, The Mission of the Adult Probation Department ("ADP") is to achieve  
11 excellence in community corrections, public safety and public service through the integration  
12 of Evidence Based Practices and a victim centered approach into its supervision strategies, to  
13 collaborate with law enforcement, Courts, Department of Public Health, victim organizations  
14 and community based organizations to provide a unique blend of enforcement, justice and  
15 treatment, to extend a continuum of integrated services to address its clients' criminogenic  
16 needs and empower them to become productive law-abiding citizens; and

17 WHEREAS, In 2011 the state of California initiated criminal justice realignment which  
18 ignited funding and policy shifts focused on more robust integration of evidence based and  
19 innovative strategies into probation department work; and

20 WHEAREAS, ADP created both AB109/Realignment Community Services and Reentry  
21 Divisions on the heels of criminal justice realignment to address additional probation  
22 supervision and reentry services needs of its clients; and

23 WHEREAS, ADP's risk assessment tool clearly defines the broad range of challenges  
24 faced by its clients including behavioral health, housing, employment, education, and life skills  
25 deficiencies; and

1           WHEREAS, ADP conducted research to determine that a broad range of client needs  
2 could be efficiently addressed through establishing a one-stop services center that co-locates  
3 reentry services and supervision strategies; and

4           WHEREAS, On February 6, 2012, the Civil Service Commission ("CSC") approved  
5 Personal Service Contract ("PSC") No 4077-11/12 for an amount of \$6,142,957 permitting  
6 ADP to advance a service procurement process to identify a vendor to operate the  
7 Community Assessment and Services Center ("CASC"), a one stop reentry services center for  
8 clients of ADP; and

9           WHEREAS, ADP completed a competitive bid process and entered into a professional  
10 service contract with Leaders In Community Alternatives, Inc. ("LCA") as the operator of the  
11 CASC for the period of June 1, 2012, through June 30, 2017, with a not-to-exceed contract  
12 amount of \$6,142,957; and

13           WHEREAS, On April 15, 2013, the Office of Contract Administration ("OCA") approved  
14 a first contract amendment to increase total encumbrance amount for the first year of services  
15 and to update scope of work; and

16           WHEREAS, On July 1, 2013, OCA approved a second contract amendment to update  
17 scope of work and include budget details; and

18           WHEREAS, On November 22, 2013, modification of PSC No. 4077-11/12 was  
19 approved by the Department of Human Resources, to increase the PSC amount by  
20 \$3,071,000 for a total PSC amount of \$9,213,957; and

21           WHEREAS, On July 1, 2014, OCA approved a third contract amendment to increase  
22 the not-to-exceed contract amount to \$9,213,957, to set up the total encumbrance amount for  
23 the third year of services, to update scope of work, and to update standard contractual  
24 clauses; and

1           WHEREAS, On August 17, 2015, OCA approved a fourth contract amendment to set  
2 up the total encumbrance amount for the fourth year of services, to update scope of work, and  
3 to update standard contractual clauses; and

4           WHEREAS, On September 21, 2015, modification of PSC No. 4077-11/12 was  
5 approved by CSC, to increase the current PSC amount by \$3,786,043 for a total PSC amount  
6 of \$13,000,000; and

7           WHEREAS, The actual cost to operate the CASC through June 30, 2017, will be a total  
8 of \$11,490,153 and

9           WHEREAS, ADP wishes to continue services provided under this contract with LCA  
10 through June 30, 2017; and

11           WHEREAS, ADP obtained approval of funding for this services during the annual  
12 appropriation ordinance of FY2015-2016; and

13           WHEREAS, The San Francisco Charter, Section 9.118, requires that professional  
14 services contracts that exceed ten million dollars (\$10,000,000) must be approved by the  
15 Board of Supervisors; and

16           WHEREAS, ADP requests approval of amendment number five to ADP's contract for  
17 reentry services with LCA, for the operations of the CASC, to increase the contract amount to  
18 \$11,490,153; now, therefore, be it

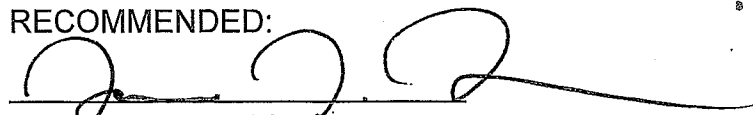
19           RESOLVED, That the Board of Supervisors hereby authorizes the Chief Adult  
20 Probation Officer and the Director of the Office of Contract Administration/Purchaser, on  
21 behalf of the City and County of San Francisco to execute the Fifth Amendment, which is on  
22 file with the Clerk of the Board of Supervisors in File No. 160282, to increase the total not to  
23 exceed amount of the contract by \$2,276,196, to \$11,490,153; and, be it

24           FURTHER RESOLVED, That within thirty (30) days of the contract amendment being  
25 fully executed by all parties, the Chief of Adult Probation Officer and/or the Director of the

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Office of Contract Administration/Purchaser shall provide the final contract to the Clerk of the Board for inclusion into the official file (File No. 160282).

RECOMMENDED:



Supervisor Jane Kim

<b>Items 6 and 7</b> <b>Files 16-0282 and 16-0283</b>	<b>Departments:</b> Adult Probation Department Real Estate Division
<b>EXECUTIVE SUMMARY</b>	
<p style="text-align: center;"><b>Legislative Objectives</b></p> <p><b>File 16-0282</b> approves fifth amendment to the contract between the Adult Probation Department and LCA to operate the Community Assessment and Services Center (CASC).</p> <p><b>File 16-0283</b> approves a ten-year lease between the City, as tenant, and Presidio Bay Ventures (PBV) II, LLC, as landlord for office space located at 564 6<sup>th</sup> Street for use as the CASC.</p> <p style="text-align: center;"><b>Key Points</b></p> <ul style="list-style-type: none"> <li>• The Adult Probation Department entered into a contract in June 2012 with the Leaders in Community Alternatives, Inc. (LCA) to operate the CASC. In addition, LCA leases space at 564 6<sup>th</sup> Street for the CASC. The proposed fifth amendment to the contract between the Adult Probation Department and LCA would exercise the final one-year contract extension option from July 1, 2016 to June 30, 2017.</li> <li>• The proposed lease between the City and PBV II, LLC replaces the existing lease between LCA and PBV II, LLC for 564 6<sup>th</sup> Street. The proposed lease is for ten years from July 1, 2016 through June 30, 2026 with four 5-year options to extend through June 30, 2046.</li> </ul> <p style="text-align: center;"><b>Fiscal Impact</b></p> <ul style="list-style-type: none"> <li>• The proposed fifth amendment to the contract increases the not-to-exceed amount by \$2,276,196, from \$9,213,957 to \$11,490,153. Rent to be paid by the City to PBV II, LLC for 564 6<sup>th</sup> Street over the initial ten-year lease term is \$9,723,548.</li> </ul> <p style="text-align: center;"><b>Policy Consideration</b></p> <ul style="list-style-type: none"> <li>• Based on the inquiry of the Budget and Legislative Analyst, PBV II, LLC, owner of 564 6<sup>th</sup> Street, will agree to revise the proposed lease to provide the City the right to terminate the lease with one year's notice in order to give the Capital Planning Committee the opportunity to evaluate and recommend alternatives to the Adult Probation Department's long-term lease for 564 6<sup>th</sup> Street.</li> </ul> <p style="text-align: center;"><b>Recommendations</b></p> <ul style="list-style-type: none"> <li>• Approve the proposed resolution approving the fifth amendment to the contract between the Adult Probation Department and Leaders in Community Alternatives, Inc. (File 16-0282).</li> <li>• Amend the proposed resolution (File 16-0283), approving the lease between the City and PBV II, LLC for 564 6<sup>th</sup> Street, to (a) request the Capital Planning Committee to evaluate alternatives to the Adult Probation Department's long-term lease for 564 6<sup>th</sup> Street as part of the evaluation of the Sheriff's Department's and Adult Probation Department's space needs, and incorporate these alternatives into the City's capital plan; and (b) state that the City's Real Estate Division and PBV II, LLC have agreed to add a clause to the proposed lease providing the City the right to terminate the lease with one year's notice. This right to terminate the lease would expire in two years on June 30, 2018.</li> <li>• Approve the proposed resolution (File 16-0283) as amended.</li> </ul>	

**MANDATE STATEMENT**

City Charter Section 9.118(b) requires Board of Supervisors approval for contracts that have a term of more than ten years or expenditures of \$10 million or more.

City Administrative Code 23.27 states that any lease with a term of one year or longer or with rent of \$5,000 or more and where the City is the tenant is subject to Board of Supervisors approval.

**BACKGROUND**

The Adult Probation Department's Community Assessment and Services Center (CASC) is a one-stop service center to coordinate services, such as behavioral health and job training, to individuals under the jurisdiction of the Adult Probation Department. These individuals include offenders sentenced to probation supervision by the Adult Probation Department, and offenders released from State prison to post release community supervision by the Adult Probation Department (rather than State parole) under Assembly Bill (AB) 109.<sup>1</sup>

The Adult Probation Department entered into a contract in June 2012 with the Leaders in Community Alternatives, Inc. (LCA), a non-profit organization, through a competitive Request for Proposals (RFP) process, to operate the CASC. Under the contract, LCA assesses individuals under Adult Probation Department supervision to identify appropriate treatments and services, provides direct services, and refers individuals to other services, such as housing referrals. In addition, LCA leases space at 564 6th Street for the CASC.

The original contract was for one year from June 1, 2012 through June 30, 2013, with four one-year options to extend through June 30, 2017. The original contract not-to-exceed amount was \$2,258,879. The contract has been amended four times to extend the contract through June 30, 2016 and increase the not-to-exceed amount to \$9,213,957.

**DETAILS OF PROPOSED LEGISLATION**

**File 16-0282** is a resolution approving the fifth amendment to the contract between the Adult Probation Department and LCA to operate the CASC. The fifth amendment authorizes the fourth option to extend the contract by one year to June 30, 2017 and increases the not-to-exceed amount by \$2,276,196, from \$9,213,957 to \$11,490,153.

**File 16-0283** is a resolution approving a ten-year lease between the City, as tenant, and Presidio Bay Ventures (PBV) II, LLC, as landlord for office space located at 564 6<sup>th</sup> Street for use as the Community Assessment and Services Center. LCA initially entered into a lease with PBV II, LLC for 564 6<sup>th</sup> Street in September 2012 for use as the CASC. LCA's lease for 564 6<sup>th</sup> Street was for

<sup>1</sup> In 2011, the State Legislature adopted AB 109, which shifted responsibility for certain offenders from the State to the County. AB 109 revised the State Penal Code to create a new category of non-serious, non-violent and non-sex crimes for offenders without serious prior convictions that would be prosecuted by the County rather than the State. These offenders are now sentenced to County jail time (rather than State prison time) or a combination of jail time and mandatory supervision by the Adult Probation Department. Also, under AB 109, inmates exiting from state prison on or after October 2011, who were serving sentences for lower level felonies, were released to post release community supervision by the Adult Probation Department (rather than State parole).

approximately four years and 10 months from September 7, 2012 through June 30, 2017. The proposed lease between the City and PBV II, LLC for 564 6<sup>th</sup> Street would replace the lease between LCA and PBV II, LLC.

**File 16-0283: Proposed Lease for 564 6<sup>th</sup> Street**

The proposed lease terms are shown in Table 1 below.

**Table 1: Proposed Lease Terms for 564 6<sup>th</sup> Street**

Premises	17,500 square feet of office space on the first and second floors of 564 6 <sup>th</sup> Street
Lease Term	10 years from July 1, 2016 through June 30, 2026
Options to Extend	Four five-year options to extend, totaling 20 years, through June 30, 2046
Initial Rent	Approximately \$48.47 per square foot per year for 17,500 square feet \$848,190 annual rent in first year
Annual Rent Increase	3 percent per year
Rent Adjustment on Exercise of Options	95 percent of fair market rate based on properties of comparable size and location. If the City and landlord do not agree to the prevailing market rate, then the fair market rate will be determined by an independent appraisal.
Property Taxes	City pays increase in property taxes over 2016/2017 base year property tax
Operating Expenses	City pays gas, electricity, water, sewer, trash removal, pest control, janitorial, security

According to information provided by the Real Estate Division to the Budget and Legislative Analyst's Office, rents for comparable properties in the neighborhood range from \$60 per square foot to \$73 per square foot, which is \$11.53 to \$24.53 per square foot more than the proposed rent for 564 6<sup>th</sup> Street of \$48.47 per square foot.

Sublease between the City, as sub-landlord, and LCA, as sub-tenant

The proposed resolution would also approve a one-year sublease between the City, as sub-landlord, and LCA, as sub-tenant for LCA to use the space at 546 6<sup>th</sup> Street to operate the CASC. The sublease would continue through June 30, 2017, when the contract between the Adult Probation Department and LCA will terminate. The sublease may be extended beyond June 30, 2017 if LCA is awarded a new contract to operate the CASC following a new competitive RFP process.

Under the sublease, LCA would occupy approximately 4,923 square feet, including 2,085 exclusive use space and 2,838 shared space including common areas. The sublease states that LCA would pay to the City initial rent of \$238,596 in the first year, which is LCA's proportional



share of the City’s rent for 564 6<sup>th</sup> Street, <sup>2</sup> and a proportional share of utilities, property tax, and other charges. However, LCA will not pay rent, utilities and other charges to the City during the term of the contract between the City and LCA for LCA to operate the CASC which expires on June 30, 2017.

Current and Proposed Use of Space

Of the 17,500 square feet of space at 564 6<sup>th</sup> Street:

- 5,326 square feet are occupied by the Adult Probation Department;<sup>3</sup>
- 2,085 square feet are occupied by LCA;<sup>4</sup> and
- 10,089 square feet are shared program space.

Change in Rent Arrangement under Proposed Lease

Currently, LCA has the lease with PBV II, LLC, for 564 6<sup>th</sup> Street, which terminates on June 30, 2017. Under the contract between LCA and the Adult Probation Department, LCA pays rent and operating expenses to PBV II, LLC and is reimbursed the full amount by the Adult Probation Department. In addition the City pays a lease administration fee to PBV II, LLC, as shown in Table 2 below.

Under the proposed lease, the City pays rent directly to PBV II, LLC. As shown in Table 2 below, the City’s rent payments to PBV II, LLC under the proposed lease are 8.7 percent less than the City’s reimbursements to LCA and lease administration fees under the current lease.

**Table 2: Comparison of City Costs under Current and Proposed Lease**

	Current Lease Between LCA and PBV II, LLC			Proposed Lease Between City and PBV II, LLC	Decrease in Rent Under Proposed Lease	
	LCA Rent Paid to Landlord and Reimbursed by City	City Lease Administration Fee	Total Current Lease	City Rent Paid to Landlord	Amount	Percent
Annual	\$807,792	\$121,169	\$928,961	\$848,190	(\$80,771)	-8.7%
Per Square Foot <sup>a</sup>	\$46.16	\$6.92	\$53.08	\$48.47	(\$4.62)	-8.7%

Source: Real Estate Division

<sup>a</sup> Amounts may differ by \$.01 due to rounding

<sup>2</sup> 4,923 square feet equals 28.1 percent of 17,500 total square feet, and rent of \$238,597 equals approximately 28.1 percent of the City’s total rent of \$848,190.

<sup>3</sup> 31 Adult Probation Department staff, and four Department of Public Health staff, totaling 35 staff, are assigned to the CASC at 564 6<sup>th</sup> Street (resulting in approximately 152 square feet per staff member). The Adult Probation Department staff consist of probation officers providing probation supervision services, and civilian staff providing contract administration, record keeping, probation support and other services.

<sup>4</sup> 25 LCA staff are assigned to 564 6<sup>th</sup> Street (resulting in approximately 83 square feet per staff member).

**File 16-0282: Proposed Fifth Amendment to the Contract between the Adult Probation Department and LCA**

The proposed fifth amendment to the contract between the Adult Probation Department and LCA for LCA to operate the CASC would exercise the final one-year contract extension option from July 1, 2016 to June 30, 2017. The Adult Probation Department will issue a new competitive RFP to select a contractor to operate the CASC prior to June 30, 2017.

The proposed fifth amendment includes the following provisions:

- Continues LCA's scope of work as part of the operation of the CASC, including: (1) staff training in the National Institute of Correction's evidence-based principles for effective community corrections interventions; (2) assessment of individuals under community intervention, and planning for appropriate services; (3) oversight of service provision, including case management; and (4) providing rehabilitative programs, such as anger management and substance abuse counseling.

According to Ms. Diane Lim, Adult Probation Department Director of Finance and Administrative Services, eligibility for these services will be extended to any San Francisco resident who is currently involved in the criminal justice system or who has a criminal history.

- Continues LCA's role in maintaining the CASC facility at 564 6<sup>th</sup> Street, including onsite security and other facility maintenance. However, while LCA currently holds the lease for 564 6<sup>th</sup> Street and is compensated by the City for the rent, under File 16-0283, the City would enter directly into a ten-year lease with PBV II, LLC, for 564 6<sup>th</sup> Street and pay the rent directly to PBV II, LLC.

**FISCAL IMPACT****File 16-0282: Proposed Fifth Amendment**

The proposed fifth amendment increases the contract not-to-exceed amount by \$2,276,196, from \$9,213,957 to \$11,490,153, as shown in Table 3 below.

**Table 3: Contract Budget Compared to Actual and Projected Contract Expenditures**

	Start Date	End Date	Budget	Actual and Projected	Over/ (Under) Budget
Original Contract/ First Amendment	6/1/12	6/30/13	\$3,075,795	\$2,048,465	(\$1,027,330)
2nd Amendment	7/1/13	6/30/14	2,360,603	2,822,023	461,420
3rd Amendment	7/1/14	6/30/15	2,361,603	2,384,773	23,170
4th Amendment	7/1/15	6/30/16	1,415,956		(1,415,956)
5th Amendment	7/1/15	6/30/16		2,556,286	2,556,286
5th Amendment	7/1/16	6/30/17		1,678,606	1,678,606
<b>Total</b>			<b>\$9,213,957</b>	<b>\$11,490,153</b>	<b>\$2,276,196</b>

Source: Adult Probation Department and Contract Amendments

The FY 2015-16 and FY 2016-17 budgets for the CASC contract are shown in Table 4 below.

**Table 4: FY 2015-16 and FY 2016-17 CASC Budget**

	FY 2015-16 Revised Budget	FY 2016-17 Budget
LCA Staff Salaries and Benefits	\$807,774	\$894,968
Program and Operating Expenses	559,289	539,522
Subtotal, Staff and Operating	1,367,063	1,434,490
Rent for 564 6th Street	807,792	0
Utilities and Other Charges	48,002	48,002
Subtotal, Facilities	855,794	48,002
Indirect Expenses	333,429	196,114
<b>Total</b>	<b>\$2,556,286</b>	<b>\$1,678,606</b>

Source: Contract Fifth Amendment

Sources of funds to pay for the contract are State Public Safety Realignment funds, authorized under AB 109, subject to appropriation approval by the Board of Supervisors.

**File 16-0283: Proposed Lease for 564 6<sup>th</sup> Street**

Rent to be paid by the City to PBV II, LLC for 564 6<sup>th</sup> Street over the initial ten-year lease term is \$9,723,548, as shown in Table 4 below. In addition, the City's Real Estate Division estimates \$1,219,471 in operating costs, including utilities, security, and other costs over ten years, for total estimated lease and operating costs of \$10,943,019.

**Table 4: Rent to be Paid by the City to PBV II, LLC for 564 6<sup>th</sup> Street**

<b>Lease Year</b>	<b>Month Rent</b>	<b>Annual Rent</b>
FY 2016-17	\$70,683	\$848,190
FY 2017-18	72,803	873,636
FY 2018-19	74,987	899,845
FY 2019-20	77,237	926,840
FY 2020-21	79,554	954,645
FY 2021-22	81,940	983,285
FY 2022-23	84,399	1,012,783
FY 2023-24	86,931	1,043,167
FY 2024-25	89,538	1,074,462
FY 2025-26	92,225	1,106,696
<b>Total</b>		<b>\$9,723,548</b>

Source: Proposed Lease

The lease costs are City General Fund costs. Funds to pay the lease costs will be requested in the Department's annual budget submission, subject to appropriation approval by the Board of Supervisors.

#### **POLICY CONSIDERATION**

##### **The City needs to develop a space plan for re-entry programs to avoid duplication of programs and related lease costs**

According to the March 11, 2016 memorandum from the Chief Adult Probation Officer to the Board of Supervisors, the Adult Probation Department seeks to retain 564 6<sup>th</sup> Street as the dedicated CASC facility due to (a) the proximity to the Adult Probation Department offices in the Hall of Justice, (b) the usefulness of the facility as a one-stop service center for re-entry services for people in the criminal justice system, and (c) continued use of \$1.6 million in tenant improvements paid by the City in 2013 when LCA entered into the original lease with PBV II, LLC for 564 6<sup>th</sup> Street.

The Budget and Legislative Analyst previously noted in the report to the April 30, 2014 Budget and Finance Committee that the Adult Probation Department provides programs at the CASC at 564 6<sup>th</sup> Street which are similar to the programs provided by the Sheriff's Department at the leased space at 70 Oak Grove Street (File 14-0249). Based on the Budget and Legislative Analyst's recommendation, the Board of Supervisors amended File 14-0249 to state that "re-entry programs provided by community justice departments of the City be analyzed for opportunities of consolidation where feasible to effect reductions in leasing expenses".

The City needs to develop a longer-range plan to consolidate space for re-entry programs provided by the Adult Probation Department and the Sheriff's Department to avoid duplication

of leased space and high costs to the City.<sup>5</sup> According to Mr. Brian Strong, Director, Capital Planning Program, the Sheriff's Department is currently evaluating a facility master plan that will consider the space needs for the Sheriff's Department, including re-entry programs. Further, the Capital Planning Committee is evaluating (1) the alternatives to constructing a jail to replace County Jails No. 3 and 4, (2) the alternatives to the Sheriff's Department's use of 70 Oak Grove Street for re-entry programs, and (3) the relocation of the Adult Probation Department from the Hall of Justice. The Capital Planning Committee should evaluate alternatives to the Adult Probation Department's long-term lease for 564 6<sup>th</sup> Street as part of the evaluation of the Sheriff's Department's and Adult Probation Department's space needs, and incorporate these alternatives into the City's capital plan.

Based on the inquiry of the Budget and Legislative Analyst and in order to give the Capital Planning Committee the opportunity to evaluate and recommend alternatives to the Adult Probation Department's long-term lease for 564 6<sup>th</sup> Street, according to Mr. Charlie Dunn, Real Estate Division, Senior Real Property Officer, PBV II, LLC, owner of 564 6<sup>th</sup> Street, will agree to revise the proposed lease to provide the City the right to terminate the lease with one year's notice. This right to terminate the lease would expire in two years on June 30, 2018.

## RECOMMENDATIONS

1. Approve the proposed resolution approving the fifth amendment to the contract between the Adult Probation Department and Leaders in Community Alternatives, Inc. (File 16-0282).
2. Amend the proposed resolution (File 16-0283), approving the lease between the City and PBV II, LLC for 564 6<sup>th</sup> Street, to (a) request the Capital Planning Committee to evaluate alternatives to the Adult Probation Department's long-term lease for 564 6<sup>th</sup> Street as part of the evaluation of the Sheriff's Department's and Adult Probation Department's space needs, and incorporate these alternatives into the City's capital plan; and (b) state that the City's Real Estate Division and PBV II, LLC have agreed to add a clause to the proposed lease providing the City with the right to terminate the lease with one year's notice. This right to terminate the lease would expire in two years on June 30, 2018.
3. Approve the proposed resolution (File 16-0283) as amended.

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<sup>5</sup> The estimated costs to the City to lease 564 6<sup>th</sup> Street would be \$40.3 million over 30 years, based on annual rent increases of 3 percent per year, if the City were to exercise the four 5-year options to extend the lease for 546 6<sup>th</sup> Street for up to 30 years. The annual rent increases during the initial 10-year term by 3 percent per year; the rent adjusts to 95 percent of fair market value for each of the four 5-year options to extend the lease.



**City and County of San Francisco  
Office of Contract Administration  
Purchasing Division**

**Fifth Amendment**

THIS AMENDMENT (this "Amendment") is made as of April 1, 2016, in San Francisco, California, by and between **Leaders in Community Alternatives, Inc.** ("Contractor"), and the City and County of San Francisco, a municipal corporation ("City"), acting by and through its Director of the Office of Contract Administration.

RECITALS

WHEREAS, City and Contractor have entered into the Agreement (as defined below); and

WHEREAS, City and Contractor desire to modify the Agreement on the terms and conditions set forth herein to increase the contract amount, set up annual encumbrances, update Appendices A-4 and B-4, and update standard contractual clauses;

WHEREAS, approval for this Amendment was obtained when the Civil Service Commission approved Contract number 4077-11/12 on **September 21, 2015**;

NOW, THEREFORE, Contractor and the City agree as follows:

**1. Definitions.** The following definitions shall apply to this Amendment:

**1a. Agreement.** The term "Agreement" shall mean the Agreement dated **June 1, 2012** between Contractor and City, as amended by the:

<b>First amendment,</b>	dated <b>April 15, 2013,</b>
<b>Second amendment,</b>	dated <b>July 1, 2013,</b>
<b>Third amendment,</b>	dated <b>July 1, 2014,</b> and
<b>Fourth amendment,</b>	dated <b>August 17, 2015.</b>

**1b. Other Terms.** Terms used and not defined in this Amendment shall have the meanings assigned to such terms in the Agreement.

**2. Modifications to the Agreement.** The Agreement is hereby modified as follows:

**2a. Section 5.** Section 5 **Compensation** of the Agreement currently reads as follows: Compensation shall be made in monthly payments on or before the **15th** day of each month for work, as set forth in Section 4 of this Agreement, that the **Chief of Adult Probation**, in her sole discretion, concludes has been performed as of the **final** day of the immediately preceding month. In no event shall the amount of this Agreement exceed **\$9,213,957 (Nine Million Two Hundred Thirteen Thousand Nine Hundred Fifty Seven Dollars)** as follows:

- June 1, 2012 – June 30, 2013 – Not to exceed: \$3,075,795 (\$895,705 to be encumbered in June, 2012 and \$1,663,090 in July, 2012, and \$517,000 to be encumbered by June, 2013).
- July 1, 2013 – June 30, 2014 – Not to exceed: \$2,360,603 (Two Million Three Hundred Sixty Thousand Six Hundred Three Dollars).
- July 1, 2014 – June 30, 2015 – Not to exceed: \$2,361,603 (Two Million Three Hundred Sixty One Thousand Six Hundred Three Dollars).

- July 1, 2015 – June 30, 2016 – Not to exceed: \$1,415,956 (One Million Four Hundred Fifteen Thousand Nine Hundred and Fifty-Six Dollars).
- July 1, 2016 - June 30, 2017 – To be determined.

The breakdown of costs for the period of June 1, 2012 – June 30, 2016 appears in this Agreement as Appendix B-4 attached hereto and incorporated by reference as though fully set forth herein. The actual award amount to be realized during the full period of this contract, June 1, 2012 – June 30, 2017 is contingent on the availability of funds for this project each year, and on the satisfactory Contractor performance. All subsequently negotiated project costs are and will be in line with generally accepted industry standard costs associated with delivering CASC services.

No charges shall be incurred under this Agreement nor shall any payments become due to Contractor until reports, services, or both, required under this Agreement are received from Contractor and approved by **the San Francisco Adult Probation Department** as being in accordance with this Agreement. City may withhold payment to Contractor in any instance in which Contractor has failed or refused to satisfy any material obligation provided for under this Agreement. In no event shall City be liable for interest or late charges for any late payments.

The Controller is not authorized to pay invoices submitted by Contractor prior to Contractor's submission of CMD Progress Payment Form. If Progress Payment Form is not submitted with Contractor's invoice, the Controller will notify the department, the Director of CMD and Contractor of the omission. If Contractor's failure to provide CMD Progress Payment Form is not explained to the Controller's satisfaction, the Controller will withhold 20% of the payment due pursuant to that invoice until CMD Progress Payment Form is provided. Following City's payment of an invoice, Contractor has ten days to file an affidavit using CMD Payment Affidavit verifying that all subcontractors have been paid and specifying the amount

**Such section is hereby amended in its entirety to read as follows:**

Compensation shall be made in monthly payments on or before the 15<sup>th</sup> day of each month for work, as set forth in Section 4 of this Agreement, that the **Chief Adult Probation Officer**, in her sole discretion, concludes has been performed as of the **final** day of the immediately preceding month. In no event shall the amount of this Agreement exceed **\$11,490,153 (Eleven Millions Four Hundred and Nineteen Thousand One Hundred and Fifty-Three Dollars)** as follows:

- June 1, 2012 – June 30, 2013 – Not to exceed: \$3,075,795 (\$895,705 to be encumbered in June, 2012 and \$1,663,090 in July, 2012, and \$517,000 to be encumbered by June, 2013).
- July 1, 2013 – June 30, 2014 – Not to exceed: \$2,360,603 (Two Million Three Hundred Sixty Thousand Six Hundred Three Dollars).
- July 1, 2014 – June 30, 2015 – Not to exceed: \$2,361,603 (Two Million Three Hundred Sixty One Thousand Six Hundred Three Dollars).
- July 1, 2015 – June 30, 2016 – Not to exceed: \$2,556,286 (Two Million Five Hundred Fifty-Five Thousand Two Hundred and Eighty-Six Dollars).
- July 1, 2016 - June 30, 2017 – No to exceed: \$1,678,606 (One Million Six Hundred and Seventy-Eight Thousand Six Hundred and Six Dollars).

The breakdown of costs for the period of June 1, 2012 – June 30, 2017 appears in this Agreement as Appendix B-5 attached hereto and incorporated by reference as though fully set forth herein. The actual award amount to be realized during the full period of this contract, June 1, 2012 – June 30, 2017 is contingent on the availability of funds for this project each year, and on the satisfactory



Contractor performance. All subsequently negotiated project costs are and will be in line with generally accepted industry standard costs associated with delivering CASC services.

No charges shall be incurred under this Agreement nor shall any payments become due to Contractor until reports, services, or both, required under this Agreement are received from Contractor and approved by the **San Francisco Adult Probation Department** as being in accordance with this Agreement. City may withhold payment to Contractor in any instance in which Contractor has failed or refused to satisfy any material obligation provided for under this Agreement. In no event shall City be liable for interest or late charges for any late payments.

The Controller is not authorized to pay invoices submitted by Contractor prior to Contractor's submission of CMD Progress Payment Form. If Progress Payment Form is not submitted with Contractor's invoice, the Controller will notify the department, the Director of CMD and Contractor of the omission. If Contractor's failure to provide CMD Progress Payment Form is not explained to the Controller's satisfaction, the Controller will withhold 20% of the payment due pursuant to that invoice until CMD Progress Payment Form is provided. Following City's payment of an invoice, Contractor has ten days to file an affidavit using CMD Payment Affidavit verifying that all subcontractors have been paid and specifying the amount

**2b. Appendix A-4.** Appendix A-4 Services to be provided by Contractor of the Agreement currently reads as follows:

**Appendix A-4  
Services to be provided by Contractor**

**1. Description of Services:**

The Contractor will manage and operate the Community Assessment and Services Center facility, and oversee the delivery of Center rehabilitative services as described below for clients of the San Francisco Adult Probation Department. Services may be provided at the Center, in County Jail or other locations in the community as needed to support APD clients' success.

**SCOPE OF WORK**

**CASC – Service Delivery Responsibilities**

**A. PRINCIPLES OF EFFECTIVE INTERVENTION**

Leaders in Community Alternatives ("LCA") agrees to train all staff on and appropriately integrate the National Institute of Correction's eight evidence-based principles for effective intervention within community corrections into every facet of service delivery. The eight principles are:

- 1) Assess Criminogenic Risks/Needs
- 2) Enhance Intrinsic Motivations
- 3) Target Interventions
  - i. Risk Principle: Prioritize supervision and treatment resources for higher risk offenders.
  - ii. Need Principle: Target interventions to criminogenic (correlated to crime) needs.
  - iii. Responsivity Principle: Be responsive to temperament, learning style, motivation, culture, and gender when assigning programs.

- iv. Dosage: Structure 40-70% of high-risk offenders' time for three to nine months.
- v. Treatment Principle: Integrate treatment into the full sentence/sanction requirements.

- 4) Skill Train with Directed Practice (e.g., use cognitive behavioral treatment methods)
- 5) Increase Positive Reinforcement
- 6) Engage Ongoing Support in Natural Communities
- 7) Measure Relevant Processes/Practices
- 8) Provide Measured Feedback

The CASC program design incorporates these principles in services for all clients. Each client will complete a COMPAS risk-assessment (principle 1) with the aim of identifying and targeting interventions (principle 3). All of the services offered are structured to enhance intrinsic motivation (principle 2) and will engage all individuals in skill building activities (principle 4). The services offered will provide positive reinforcement for the development of new skills and behaviors (principle 5) and will support the socialization of individuals as they re-enter their communities (principle 6). In an effort to demonstrate the success of the proposed model, LCA will measure the implemented practices (principle 7) and will provide measured feedback and outcomes to the SFAPD (principle 8). As established in cooperation with SFAPD and tracked by CASC staff, progress will be measured, including clients' compliance with their COMPAS Individualized Treatment and Rehabilitation Plan attendance, participation in assigned onsite and community activities, completion of components, and any special accomplishments and challenges. 9) Case manager to client case load ratios will not exceed 1:25 except in circumstances in which LCA and APD have discussed, and agreed upon a modification to that ratio. Any concerns or problems will be reviewed in the weekly case conferences with SFAPD, with adjustments made as needed.

## **B. ASSESSMENT, PLANNING AND TREATMENT**

A comprehensive program is essential for our clients' successful, sustained community reintegration.

The CASC services will incorporate and include:

- 1) Gender Responsive Strategies
- 2) Strength Based, Trauma Informed and Family Focused Strategies
- 3) Criminogenic Needs and Community Functioning Factors
- 4) Collaborative and Coordinated Case Conferencing
- 5) Review of COMPAS Assessment and creation of Reentry Services Plan
- 6) Administration of Secondary Assessments
- 7) Coordinated Case Management

## **C. OVERVIEW OF SERVICE DELIVERY COMPONENTS**

LCA, will provide the services set forth in this Appendix from program referral to client termination from or completion of services. LCA may provide the services directly or through a subcontractor as specifically indicated below. A subcontractor's failure to deliver the services indicated below does not relieve LCA's responsibility for providing the services. Client referrals may originate in the Reentry Pod located inside of County Jail #2 or by SFAPD DPOs whose clients are already under community supervision.

Services components include:

- 1) Reentry Transportation
- 2) Intake

- 3) Orientation and Enrollment
- 4) Rehabilitation Services
- 5) Individualized Case Management, including Clinical Case Management
- 6) Community Service and Activities
- 7) Aftercare Services

#### **D. INCENTIVES, REWARDS, AND REMEDIAL SANCTIONS**

The overall LCA CASC program design emphasizes and supports clients' strengths, positive change, and the importance of accountability. Best practices includes providing incentives and rewards for progress and achieving goals, and structured sanctions that are swift and certain when clients do not meet program expectations or personal responsibilities.

#### **E. REHABILITATIVE PROGRAMS**

The CASC will offer a full array of **on and off site rehabilitative programs** directly or through subcontractors listed below that are designed to successfully transition offenders back into their communities. The interventions and services strive to use evidenced-based curricula whenever available, and to engage clients and address their criminogenic needs and community functioning factors. Clients will be assigned to rehabilitative services in accordance with their Individualized Treatment and Rehabilitation and/or Reentry Services Plan. Requirements for program completion of each component will be identified in the Reentry Services Plan and adjusted, as needed, through case conferences. Program capacity outlined below is based on current funding availability, and will be adjusted based on actual funding received. Programs include:

##### **1. Gender Responsive Treatment and Services for Women Client Groups - LCA**

**Primary Curriculum:** Helping Women Recover: A Program for Treating Substance Abuse – Special Edition for Use in the Criminal Justice System (Covington, Rev. Ed. 2008).

**Schedule:** The modules will be delivered 2 days a week, 1 ½ hours each, for 9 weeks, for a total of 25.5 hours, and optional 11 sessions delivered 2 days a week, 1 ½ hours each, for 6 weeks, for a total of 16.5 hours. Proposed program capacity is 48 women per year.

Following completion of Helping Women Recover, clients will be assessed, in cooperation with SFAPD, and those in need of further trauma work will continue with additional treatment utilizing Beyond Trauma: A Healing Journey for Women (Covington 2003) to extend and deepen the trauma work introduced in Helping Women Recover. Clients will also be referred to community providers for ongoing gender responsive services.

##### **2. Gender Responsive Treatment and Services for Men Client Groups - LCA**

**Primary Curriculum:** Seeking Safety A Treatment Manual for PTSD and Substance Abuse (Najavits 2007), a flexible, cognitive-based curriculum designed for co-occurring post traumatic stress disorder and substance use disorder, focusing on coping skills and psychoeducation, with safety as the overarching goal (helping clients attain safety in their relationships, thinking, behavior, and emotions).

**Schedule:** The modules will be delivered 3 days a week, 1 hour each, for 9 weeks for total of 25 hours. Proposed program capacity is 240 men per year.

### 3. Cognitive Skills Development - LCA

**Primary Curriculum:** Thinking for a Change (T4C), (National Institution of Corrections, 3.0 edition), an integrated, cognitive behavior change program for offenders. It is anticipated that this core program will be included in the Reentry Services Plan for the majority of CASC clients. The three components of T4C are: cognitive self-change, social skills, and problem-solving skills.

**Schedule:** The modules will be delivered 3 days a week, 1½ hours each, for 9 weeks for a total of 37.5 hours (excluding optional sessions). Proposed program capacity is 420 clients per year.

### 4. Anger Management - LCA

**Primary Curriculum:** Anger Management for Substance Abuse and Mental Health Clients – A Cognitive Behavioral Therapy Manual (Reilly, Shopshire - SAMHSA, 2002)

**Schedule:** The modules will be delivered once a week, 1½ hour sessions, one a week for 12 weeks, for a total of 18 hours. Proposed program capacity is 96 clients per year

### 5. Substance Abuse Components – LCA

#### a. Substance Abuse Education Group

**Primary Curriculum:** ADDICTION: A Biopsychosocial Model (Terence T. Gorski, 2004): Part 1: Mind-Altering Substances; Part 2: Addictive Risk Factors; Part 3: Substance Abuse and Addiction.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

#### b. Outpatient Substance Abuse Treatment

**Primary Curriculum:** RECOVERY: A Developmental Model (Terence T. Gorski, 2004): Part 1: The Recovery Process; Part 2: Building a Foundation for Recovery; Part 3: Creating Quality Recovery.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

#### c. Relapse Prevention Training

**Primary Curricula:** RELAPSE (Terence T. Gorski, 2004): Session 1 - Basic Principles; Session 2 - Relapse Warning Signs; Sessions 3 and 4: Managing Relapse Warning Signs. The Relapse Prevention Training groups will then utilize: Relapse Prevention Therapy Workbook: Identifying Early Warning Signs Related to Personality and Lifestyle Problems (Terence T. Gorski and Stephen F. Grinstead, 2010)

**Schedule:** The modules will be delivered 2 days a week, 1 hour each, for 10 weeks for a total of 20 hours. Proposed program capacity is 48 women and 288 men per year..

### 6. Life Skills Development Training – To be provided by community partner, Center on Juvenile and Criminal Justice (CJCJ)

**Primary Curriculum:** Northern California Service League Life Skills and Employment Readiness Program. That program covers such topics as self-assessment, communications, job search techniques and interview skills. CJCJ transitional services specialist will also offer supportive services to CASC case managers for clients that are preparing for program discharge. Emphasis will be placed on budgeting, money management, technology, finding a safe place to live, nutrition, exercise, and many other topics designed to help clients live successfully in the community. The Transitional Specialist will provide a full range of resource development and service referrals to CASC clients returning to the community.

**Schedule:** The modules will be delivered 5 days per week, 4 hours each, for 1 week for a total of 20 hours. This program will be provided once per month. Proposed program capacity is 300 clients per year.

#### **7. Parenting/Family Dynamics Training, and Batterers Intervention Services — Community Works**

**Primary Curriculum:** Parenting Inside Out, an evidenced-based, cognitive-behavioral parenting curriculum will be used for the parenting/family dynamics work. The research based Manalive™ program curriculum will be used for the Batterers Intervention Program.

**Schedule:** The Parenting/Family Dynamics, and Manalive™ modules will be delivered both at the CASC and in the Reentry Pod, on a schedule that is agreed upon by Community Works, LCA, and APD. Each class size should not exceed 16 people.

#### **8. Education/High School Diploma/GED – Five Keys Charter High School**

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will be established by Five Keys.

#### **9. Employment Services – Three community partners, Anders and Anders Foundation, America Works and Center on Juvenile and Criminal Justice (CJCJ)**

##### a) Employment Readiness

**Primary Curriculum:** Awakening New Futures created in 1988 by Northern California Services League, specifically designed for ex-offenders. Other curriculum may also be used by CJCJ or America Works.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. The curriculum will be delivered 2 days a week, 1 ½ hours each, for 5 weeks, for a total of 15 hours. Proposed program capacity is 480 clients per year.

##### b) Vocational Services

America Works will bring 1 FTE Job Developer to the CASC to provide vocational training and employment assistance to clients for pre-apprenticeship and vocational programs, as well as job placement. In addition, one-on-one career counseling will be provided. Once placed in training or on the job, America Works will establish a weekly retention working relationship with employer and employee to immediately address any concerns or problems.

Additionally, CJCJ operates two federally funded employment programs. CJCJ will move the San Francisco Training Partnership and Homeless Employment Coalition services and staff to the CASC facility, allowing clients easy access to these services. Clients will receive an array of services including assessment and referral to short-term training, counseling, and job placement services. Participants in both of these programs will also receive CJCJ's employment focused life skills trainings. In addition to providing the above described services, CASC clients will be able to receive monetary support through a flexible pool of monies identified to offer clients training and other relevant supportive services. These funds can be utilized for specific vocational trainings, uniform costs, and work equipment and tools, if deemed appropriate and necessary. These funds provide direct assistance to the clients, allowing for better successes among the participant population.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will vary based on needs of the clients.

#### c) Job Development

Anders and Anders Foundation will provide bi-monthly construction workshops, construction trades/union, and green jobs job development services, will work in close coordination with LCA and all CASC partners, and will track, and monitor clients in accordance with LCA/CASC protocols.

### **10. Recreation and Leisure Activities - LCA and community partners**

CASC clients will be introduced to physical recreation and multi-cultural celebrations, personal development activities such as the RENEW program, and creative arts events, initially coordinated by staff and volunteers, and subsequently also through their independent exploration.

**Schedule:** LCA will develop a weekly recreation and leisure plan for pro-social activities on site and in the community.

### **11. Physical Health Services – various community providers**

CASC clients not eligible for public insurance programs such as Medi-Cal, and who do not have other health insurance, will be enrolled in Healthy San Francisco. LCA has letters of Intent (LOI) from the Transitions Clinic, South of Market Health Center, and St. James Infirmary to accept eligible clients for medical assessment, treatment and care. Additionally we have an LOI from St. Vincent de Paul Society who through their Wellness Center will work on the emotional side of physical health with programs of stress reduction techniques, exercise, spiritual development as well as health topic discussions.

### **12. Graduations – LCA**

To receive A CERTIFICATE OF GRADUATION, clients must satisfactorily complete all of their required individual program components as identified in their Reentry Services Plan, and demonstrate their ability to apply the knowledge and tools they learned.

**Schedule:** Twice per year.

### **13. Additional On-site Groups – LCA**

LCA Case Managers and other trained staff and interns will facilitate weekday open morning, lunchtime, and evening check-in groups. Open N.A. and A.A. Meetings. The Community Room will have current resource information including community events and services.

**Schedule:** vary - during CASC hours of operation.

### **14. Recovery and Faith-Based Activities – various groups**

Throughout the CASC program, clients will be provided with information if they choose to explore and join organizations offering spiritual and healing groups and activities. Clients will be provided extensive recovery group resource information.

### **15. Creative Arts – Community Works**

Community Works will conduct active Creative Arts groups at the CASC and County Jail, A-Pod/Reentry Pod.

**Schedule:** vary - during CASC hours of operation.

### **16. Clothing Closet - LCA**

The CASC will work with various community groups to establish a clothing closet on-site at the facility.

### **17. Childcare - LCA**

LCA is will partner with Community Works for the parenting portion of the CASC. Case Managers will develop a childcare plan with each client who has children. Referrals will be made to agencies which offer multi-lingual family services, including child care.

### **18. Food Service - BHPMSS**

The CASC will provide wholesome and nutritionally balanced meals 5 days per week for clients who spend four or more hours engaged in programming a day. Bayview Hunters Point Multipurpose Senior Services or another approved provider of food services will be responsible for the food service. Programming will include nutrition education, information on shopping and preparation, and also the opportunity to learn about foods of different cultures, expanded to include information on multicultural music, art, and lifestyles.

### **19. Saturday Services - LCA**

Case Managers and other program staff will rotate coverage, supported by security staff. There will be a morning 12-Step meeting, a review of available weekend recreation and community service projects, and the resource guides. Computer stations will be available for client use. The on-duty Case Manager will have individual meetings with clients to address any immediate concerns. Rehabilitative programming will be available for working clients.

### **20. Alumni Group program - LCA**

LCA Milestones program demonstrated the invaluable contribution of an active alumni group, for the alumni themselves supporting each other, and as role models and support to current clients, the

program, and the community. Alumni co-facilitated cognitive-behavioral and recovery groups, led groups for community recreation and cultural activities, provided peer support on a 1:1 basis, and led the weekly Sunday evening group meeting.

CASC will establish and strongly support an active Alumni Group with similar invaluable contributions and benefits to the clients and the program. Representative members selected by the Alumni Group, along with current clients, will serve on a Client Advisory Board.

#### **21. Community Advisory Board**

The CASC will be an important contributor to its community. An Advisory Board will be established to provide ongoing support for planning and feedback, as well as additional resources for the program. This Board will meet quarterly at the facility. Members will include social service providers, other community organizations, businesses, clients, SFAPD and others.

#### **CASC – Facility Oversight and Operations Responsibilities**

##### **Facility and Grounds requirements:**

1. The CASC facility must be used exclusively for serving the target population and the staff associated with the program.
2. The CASC must be and remain in compliance with all applicable building, sanitation, health, safety and fire codes, as well as city and county zoning and use ordinances.
3. The CASC will have a plan for onsite security/monitoring of all equipment, supplies, staff and clients. The plan will include monitoring and oversight of entry and exit traffic and will ensure a sign-in/sign-out protocol for all facility visitors
4. Clients will be prohibited from loitering outside of the facility.
5. The facility will include a staffed reception lobby for CASC services. The SFAPD will staff a separate SFAPD lobby.
6. The CASC should provide a cheerful décor and color-coordinated furnishings for the facility with special emphasis on the lobby, hallways, classrooms and treatment restrooms, and dining area (eating and break room).
7. The CASC must have sufficient space designated for clients to take scheduled breaks and eat lunch.
8. The CASC must provide for multiple classrooms to permit training and services to be offered simultaneously.
9. The facility must provide an adequate number of functional, clean, bathrooms in accordance with City and County of San Francisco standards. The sinks shall provide both hot and cold water. Hand soap, paper towels, paper seat covers should be available. Restrooms must be considerate of gender needs and be separately located. Restrooms must be in compliance with the Americans with Disabilities Act (ADA).
10. Client restrooms shall not be co-located with the restrooms for staff.
11. If urinalysis testing is phased into programming, there must be a restroom for urinalysis testing.
12. The CASC kitchen, cafeteria, food storage area, equipment, appliances, furnishings and cabinetry, as well as all food service and preparation areas must meet all applicable health and sanitation code standards. Accommodations shall be made for participants with disabilities.
13. The CASC shall provide a wholesome and nutritionally balanced lunch a minimum of 5 days per week for all program participants who spend 4 or more hours engaged in programming on a given day. The CASC will be considerate of general health and dietary restrictions and food prohibitions associated with cultural and religious traditions.



14. LCA shall regularly inspect the facility for pest infestation and shall maintain pest control services to ensure the facility is free of insect and rodent infestation. Documentation of pest control services will be maintained at the facility and made available to the SFAPD staff upon request.
15. The CASC shall have proper lighting, heating, and ventilation.
16. The CASC shall have a secured maintenance room for storage of cleaning supplies, tools and equipment (e.g., mops, brooms, buckets, etc.) and shall be equipped with a utility sink. The facility, equipment, furniture, appliances, etc. shall be kept clean and in good operating condition at all times and replaced when necessary.
17. The CASC shall have a plan to ensure comprehensive janitorial services
18. All repairs including plumbing, electrical and/or structural which affect the health and safety of any occupant must be made within 48 hours of discovery and at the LCA's expense. LCA must notify the SFAPD Reentry Services Manager immediately.
19. LCA will ensure safety and security of facility exterior, interior, equipment, supplies, staff, clients and all client information.
20. If LCA anticipates transporting participants via a private vehicle, all staff shall possess a valid driver's license and the vehicle shall be fully insured.
21. LCA shall have written CASC policies and procedures in accordance with SFAPD's regulations. This policies and procedures will be submitted to the SFAPD Reentry Division for retention in the case file.
22. All CASC staff shall be trained and certified in first aid, including cardiopulmonary resuscitation (CPR) within the first six weeks of employment and remain current throughout their employment relative to this contract. A record of first aid training shall be maintained on file by the LCA.
23. Fully stocked first aid kits will be readily available throughout the facility. The telephone numbers of all local emergency service agencies shall be posted and readily available to all staff.
24. No Smoking signs shall be posted in full view of the participants, staff and visitors.

**Security and Safety Requirements:**

1. **Facility Security** – The safety and security of clients, staff and visitors is of paramount importance.
  - a. LCA staff and on site security protocols will take a dignified and reasonable approach to ensuring that the facility is free of weapons and contraband, and protected from outside intrusions. Daily security and perimeter inspection of the facility will make certain that functioning locks and latches are on all windows, doors and gates, and that electrical lighting (inside and out) is operating properly. Door alarms may be used to eliminate unauthorized egress or ingress during evening and night hours. Security policies shall ensure that the clients are not locked inside the facility at any time.
  - b. Given the large number of offenders in the facility at any given time, all staff should be adequately trained in effective relationship building, de-escalation strategies, and emergency response and evacuation protocols. CASC monitors that play a security leadership role should make routine safety checks throughout the facility, and be primarily responsible for prompting attention towards any lighting, signage, training or other upgrade that is needed to further ensure the safety of people and property at the CASC.
2. **Case Files**
  - a. LCA will develop and maintain properly organized participant files and secure them in a locked file cabinet or drawer. Files shall be considered confidential and protected from any unauthorized use or disclosure. Electronic client files will be held to the same security standard as hard copy files. The CASC will have written procedures for the release of case file information to include: 1) the participant's signed and dated Release of Information Form, 2)

the name of the person, agency or organization to whom the information was released, and 3) the signature of the employee who released the information and date of release.

### **3. Searches and Contraband**

- a. Whereas safety and security of CASC persons and property is of paramount importance, and whereas SFAPD and CASC staff will take a responsible harm reduction approach to addressing client substance abuse issues, CASC will create and honor a dignified contraband search and client substance use response policy that will be in compliance with SFAPD regulations, policies, and procedures. Clients that enter the CASC are subject to search. Any findings of contraband and/or signs of substance abuse shall be reported to the SFAPD staff as soon as possible after discovery. SFAPD and CASC staff will follow an agreed upon protocol for responding to contraband, weapons and substance use.

### **4. Disturbance Control Plan**

- a. LCA will have a written Disturbance Control Plan in the event of a major disturbance such as riots, strikes, attacks upon staff, visitors or participants, explosions or fires, suicides or attempted suicides, natural disasters; and accidental injuries to staff and others. The plan shall include assistance from local law enforcement and/or emergency agencies as circumstances warrant. The development of the Disturbance Control Plan shall be coordinated with the SFAPD Reentry Services Manager. Once the Disturbance Control Plan is developed, LCA will submit a copy to the SFAPD Reentry Services Manager for retention in the contract file.

### **5. Fire Evacuation Emergency Procedures**

- a. LCA will have written procedures pertaining to fire prevention, safety requirements, evacuation and emergency procedures that include instructions for the following:
  - o Immediate notification of the fire department (inclusive of the designated fire department's address and telephone number)
  - o Alert notification and/or evacuation of all occupants
  - o Notification of authorities
  - o Control and the extinguishing of fires
  - o Evacuation routes and procedures
  - o Other to be identified procedures

### **6. Emergency Evacuation Training**

- a. All personnel shall be trained in the implementation of emergency procedures within 24 hours of their initial employment. Annual refresher training shall be provided to all personnel. All training is to be documented for compliance and maintained in employee files.

### **7. Quarterly Emergency Evacuation Drills**

- a. LCA will conduct and document quarterly emergency evacuation drills. Documentation of each drill shall include: date and time of day; evacuation path used; number of staff, participants and visitors involved; amount of time to complete the drill, and any pertinent comments.

## 8. Posting of Emergency Evacuation Floor Plans

- a. Clear, concise and site-specific emergency evacuation floor plans shall be posted as appropriate at every occupied floor location throughout the facility. The floor plans should be located near the identified exit doors on each floor. The evacuation diagram plans shall be placed in tamper-proof frames and include the following:
  - o Evacuation diagram plan that identifies the "You Are Here," location that is compatible with the building floor plan.
  - o Evacuation plans, which include the location of building exits, fire extinguishers, pull-stations, fire hose cabinets, and first aid supplies.
  - o Emergency and evacuation procedures, including diagrammed evacuation routes, shall be communicated to each new participant upon arrival.

## 9. Smoke Detectors and Fire Extinguishers

- a. LCA shall provide operable and regularly tested smoke detectors and fire extinguishers in key locations including the kitchen and classrooms. All tests shall be documented and maintained at the facility site.

## 10. Hazardous, Toxic and Volatile Substances

- a. LCA shall maintain a written policy for inventory, use, storage and disposal of all hazardous, toxic, and volatile substances in accordance with the Hazardous Substances Information and Training Act, Chapter 2-5 (commencing with Section 6360), Part 1 of Division 5 of the Labor Code. Hazardous, toxic and volatile substances shall not be stored in furnace areas, kitchens, dining areas, or in close proximity to stored food or kitchen supplies. Flammable substances such as gasoline, kerosene and paint thinner shall be stored outside the facility's main structure in approved containers inside properly ventilated and labeled fireproof cabinets.
- b. Material Safety Data Sheets (MSDS) must be maintained on-site for all hazardous materials used in the facility. The MSDS shall be posted and immediately accessible to staff and participants wherever these substances are used.
- c. LCA will provide training to facility staff and program participants. Documentation of training shall be maintained in the facility files.

The SFAPD and LCA will conduct an annual review of facility protocols, and will work together to resolve any review findings. "The periodic reporting required by this Agreement should address LCA's progress toward meeting the above operational and safety requirements, as well as any operational or safety issues that have arisen".

## 2. Data Collection and Reports

The Contractor shall submit written reports as requested by the **San Francisco Adult Probation Department**. Format for the content of such reports shall be determined by the **San Francisco Adult Probation Department**. The timely submission of all reports is a necessary and material term and condition of this Agreement. The SFAPD shall require the following reports:

Monthly Referral Tracking Report, attached below as Attachment A

Monthly Client Activity Report, attached below as Attachment B

Monthly Traffic Tracking Report, the template of which is attached below as Attachment C

Quarterly and Annual Reports, the template of which is attached below as Attachment D

All Monthly Reports are due by the 15<sup>th</sup> of each month following the reporting month.

Quarterly and Annual Reports shall be submitted in accordance with the following schedule:

Q1: July 1 – September 30 due by October 30

Q2: October 1 – December 31 due by January 30

Q3: January 1 – March 31 due by April 30

Q4: April 1 – June 30 due by July 30

Annual: July 1 – June 30 due by August 15

Should any of the due dates fall on a weekend day, the Report shall be submitted the Friday prior to the due date.

Reports shall be submitted to the Reentry Services Manager.

All CASC information, reports, writings, summary documents or press releases shall be reviewed and approved by the SFAPD prior to dissemination. LCA, and partners associated with the CASC will consult with the SFAPD before publically releasing any CASC related information to the public or other professional groups.

### 3. Securing Contract Staff

#### **Contractor shall:**

- Provide SFAPD with a copy of the job descriptions that govern the minimum requested qualifications for Contractor staff. SFAPD reserves the right to negotiate the terms of the job descriptions for management level positions for the benefit of the program and Participants. SFAPD and Contractor must agree on the language of management level descriptions prior to posting. Contractor shall hire qualified staff for each position. Contractor shall manage staff performance in accordance with applicable laws and collective bargaining agreements;
- Provide SFAPD with the indication of intent to hire staff. For management level positions, Contractor will provide SFAPD with the names and resumes of its final candidates and discuss candidates' qualifications with SFAPD.
- Arrange for all staff and volunteers, including subcontractors' staff and volunteers, to be fingerprinted, and cleared by the Department of Justice (DOJ);
- Bring to SFAPD's Program Manager immediate attention any staff vacancies. Contractor may fill temporary vacancies internally by a temporary reassignment of existing qualified staff. A temporary vacancy is defined as a vacancy of less than 60 calendar days. Vacancies in excess of 60 calendar days require the immediate recruitment of new, qualified staff. Contractor must make all reasonable efforts to fill vacancies within 90 calendar days.

Contractor shall include the below language in job descriptions, and ensure it and its Subcontractor use the guidelines described below when recruiting and hiring staff who will work under this Agreement (some language may not be required due to position function). Contractor will seek SFAPD's Program Manager approval for any omission or modification of any of the below language.

"Candidates should:

- Demonstrate a thorough knowledge of the adult criminal justice system, knowledge of the National Institute of Corrections' Principles of Effective Intervention and the Six Gender Responsive Strategies for Women Offenders, and a thorough understanding of criminal justice criminogenic needs and community functioning factors.

- Have developed or be able to develop working relationships with other community-based organization providing rehabilitative treatment and other supportive services to Participants.
- Successfully clear a post offer background check, as well as an SFAPD security check.
- Qualified applicants with arrest and/or conviction records will be considered for employment in a manner consistent with Federal, state and local laws, including but not limited to the San Francisco Fair Chance Ordinance. All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, sexual orientation, protected veteran status, or disability status.”

While SFAPD will not require that Contractor hire staff that possess a Drug and Alcohol Counselor Certificate per the California Department of Alcohol and Drug Programs or the California Association of Addiction Recovery Services, SFAPD does request that Contractor include the following language in job announcements pertaining to this Program: “Drug and Alcohol Counselor Certification Preferred”.

If Contractor or Subcontractor would like to offer a position for employment to a candidate who does not meet the criteria above, Contractor and SFAPD will review the applicant’s qualifications and discuss waiving the criteria above on a case-by-case basis.

Contractor shall ensure that its staff and that of its Subcontractor is trained and certified in first aid, including cardiopulmonary resuscitation (CPR) within the first six weeks of employment and remain current throughout their employment relative to this Agreement. Contractor shall maintain a record of first aid training on file.

Contractor understands that its employees working under this Agreement cannot be:

- Currently on parole, mandatory supervision, post-release community supervision, probation, or under any structured supervision as a result of criminal conduct.
- Required to register per health and Safety Code Section 11590, Penal Code 290, and/or Penal Code Section 451.

**4. Attachments**

**Attachment A: Monthly Referral Tracking Report**

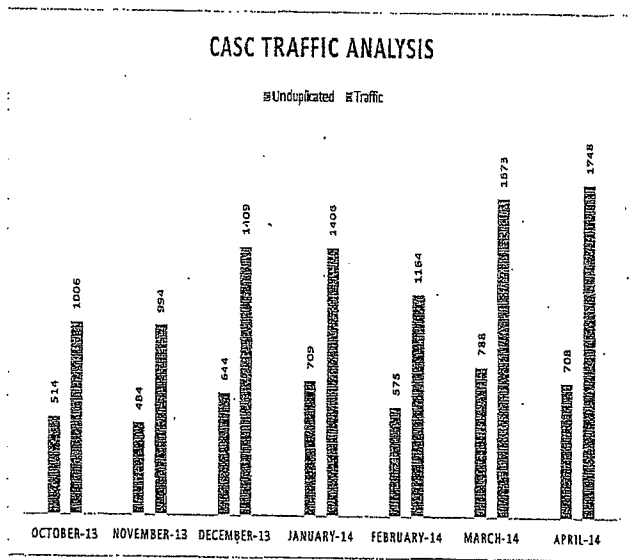
Attachment A - Monthly Referral Data (Please maintain a cumulative list)							
SF#	Date Referred	Probation Officer	Service Type	Status	Status Date	Supervision Unit	

### Attachment B: Monthly Client Activity Report

ATTACHMENT B- Monthly Client Activity Report												
CASC Partner Agency: <input type="text"/>												
Reporting Month: <input type="text"/> (Please include new clients per reporting month, and maintain a cumulative list of monthly clients)												
Reporting Month	PARTNER POPULATED FIELDS			CASC POPULATED FIELDS				PARTNER POPULATED FIELDS				
	Client Last Name	Client First Name	SFN	DPG	Service Type	JPD Referral Date	CASC Referral Date	Partner Assessment Date	Notes	Service	Status	Date of Last Contact

### Attachment C: Monthly Traffic Tracking Report

### Attachment C: Monthly Traffic Report



**Attachment D: Quarterly and Annual Reports**

**A. Client Activity Summary**

	In Reporting Period	To Date
1. Clients entering		
2. Clients active		
3. Clients discharged – inactive		
4. Clients discharged – completed		
5. Clients attending class		
6. Clients entering from Reentry Pod (subset of #1)		
7. Clients active from Reentry Pod (subset #2)		
8. Clients from Reentry Pod discharged – inactive (subset of #3)		
9. Clients from Reentry Pod discharged – completed (subset of #4)		

**B. Referral Analysis for Reporting Period\***

\*If fourth quarter, please provide both the fourth quarter and aggregate annual data.

By APD Division:

1. Total Referrals (FCM and SFA and Pod).
2. Total Referrals FCM.
3. Total Referrals SFA.
4. Total Referrals Pod.
5. Total Enrollments.
6. Total Discharged – Inactive.
7. Total Discharged - Completed Probation.
8. Total Discharged - Completed Specified Service.

**C. Engagement Analysis for Reporting Period**

\*If fourth quarter, please provide both the fourth quarter and aggregate annual data.

*Note: Items 1 – 5 below are totals for the reporting period. Item 6 is a point-in-time count as of the end of the reporting period.*

**Summary**

	Full Case Management	Services for All
1. Total Referrals		
2. Total Enrolled		
3. Total Discharged- Inactive		
4. Total Discharged – Completed Probation		
5. Total Discharged – Completed Service		
6. Total Active as of end of reporting period		

**Partner workshops**

	<b>5 Keys</b>	<b>CJCJ Employment Services</b>	<b>Community Works</b>	<b>America Works</b>
1. Total Referrals				
2. Total Enrolled				
3. Total Discharged- Inactive				
4. Total Discharged – Completed Probation				
5. Total Discharged – Completed Service				
6. Total Active as of end of reporting period				

**CASC Workshops**

	<b>Anger Management</b>	<b>Helping Women Recover</b>	<b>Seeking Safety (Pod)</b>	<b>Seeing Safety (CASC)</b>
1. Total Referrals				
2. Total Enrolled				
3. Total Discharged- Inactive				
4. Total Discharged – Completed Probation				
5. Total Discharged – Completed Service				
6. Total Active as of end of reporting period				

	<b>Substance Abuse Education</b>	<b>Thinking for a Change</b>	<b>Education/5Ke ys</b>	<b>Add-in All Other Workshops</b>
1. Total Referrals				
2. Total Enrolled				
3. Total Discharged- Inactive				
4. Total Discharged – Completed Probation				
5. Total Discharged – Completed Service				
6. Total Active as of end of reporting period				

	<b>THC (Lauren will collect / compile)</b>
1. Total Referrals	
2. Total beds available	
3. Total placements	
4. Total in housing as of end of reporting period	



**D. Client Engagement Incentive Program Activity for Reporting Period**

	<b>Number Distributed</b>	<b>Number of Clients Served</b>
1. Food Distribution:		
a. Breakfasts		
b. Lunches		
c. Other food		
2. Tokens Distributed		
3. Other incentives as implemented		

**E. Narrative**

**a. Administrative Operations:**

Successes, challenges, resolutions, and plans for the next quarter.

**b. Staffing and Training Updates:**

Successes, challenges, and resolutions, and plans for the next quarter.

**c. CASC Program, Client and Community Development:**

Successes, challenges, and resolutions, and plans for the next quarter.

**d. Reentry Pod:**

Successes, challenges, and resolutions, and plans for the next quarter.

**e. Additional information to further illustrate successes, challenges, resolutions, and plans for next quarter**

**F. Annual Report Outcomes** (The below outcomes are to be provided in the Annual Report along with Q4 data as per the above sections, inclusive of a narrative that reflects on highlights of the year).

**1. Employment Outcomes** (CJCC and America Works)

- a. Total job placements in reporting period
- b. Number of clients who worked in job placement for 90 days or more in reporting period
- c. Number currently employed in job placement as of end of reporting period

**2. Education Outcomes** (5 Keys Partnership)

- a. Total completed GED or HSD in reporting period
- b. Total participating in literacy classes in reporting period
- c. Total completing food handler certification

**3. Housing Outcomes**

- a. Number of clients under-housed at intake in reporting period
- b. Number of clients homeless at intake in reporting period
- c. Number placed in permanent housing in reporting period
- d. Number placed in stabilization unit in reporting period
- e. Number placed in transitional housing in reporting period

**4. Income Support Outcomes**

- a. Total in need of income support at intake
- b. Total receiving GA as of end of reporting period
- c. Total receiving SSI as of end of reporting period

d. Total employed as of end of reporting period

**5. Behavioral Health Outcomes**

- a. Number of clients with identified mental health need at intake during reporting period
- b. Number of clients with identified substance dependency issue at intake during reporting period
- c. Number of clients referred to behavioral health services during reporting period.

**Such Appendix (Appendix A-4) is hereby amended in its entirety to read as follows:**

**Appendix A-5  
Services to be provided by Contractor**

**1. Description of Services:**

The Contractor shall manage and operate the Community Assessment and Services Center facility, and oversee the delivery of Center rehabilitative services as described below for clients of the San Francisco Adult Probation Department. Services may be provided at the Center, in County Jail or other locations in the community as needed to support a CASC client's success.

**Expanded Eligibility Regulations**

- 1. Contractor shall prioritize referrals for services from APD clients.
- 2. Contractor shall accept referrals for criminal justice involved, San Francisco residents. Referrals may be for San Francisco residents who are currently under state parole, or federal probation, participating in San Francisco collaborative courts, released from jail or prison (San Francisco and otherwise), who have active cases in other counties, this includes San Francisco residents who have a criminal history.
- 3. Contractor shall ensure that program capacity for non-APD clients is limited to 30% of overall service capacity (*i.e.*, if Contractor is able to serve 100 people per year, there should be no more than 30 active non-APD clients at any time.) APD and the Contractor may determine exceptions to this rule. APD must approve any request to serve non-APD clients beyond the 30% threshold.
- 4. Contractor shall track criminal justice system status of each client (under supervision of county adult probation, state parole, federal probation, release from county jail, etc.) as part of routine monthly data collection.

**SCOPE OF WORK**

**CASC – Service Delivery Responsibilities**

**A. PRINCIPLES OF EFFECTIVE INTERVENTION**

Leaders in Community Alternatives ("LCA") agrees to train all staff on and appropriately integrate the National Institute of Correction's eight evidence-based principles for effective intervention within community corrections into every facet of service delivery. The eight principles are:

- 1) Assess Criminogenic Risks/Needs
- 2) Enhance Intrinsic Motivations
- 3) Target Interventions

- i. Risk Principle: Prioritize supervision and treatment resources for higher risk offenders.
- ii. Need Principle: Target interventions to criminogenic (correlated to crime) needs.
- iii. Responsivity Principle: Be responsive to temperament, learning style, motivation, culture, and gender when assigning programs.
- iv. Dosage: Structure 40-70% of high-risk offenders' time for three to nine months.
- v. Treatment Principle: Integrate treatment into the full sentence/sanction requirements.

4) Skill Train with Directed Practice (e.g., use cognitive behavioral treatment methods)

5) Increase Positive Reinforcement

6) Engage Ongoing Support in Natural Communities

7) Measure Relevant Processes/Practices

8) Provide Measured Feedback

The CASC program design incorporates these principles in services for all clients. Each client will complete a COMPAS risk-assessment (principle 1) with the aim of identifying and targeting interventions (principle 3). All of the services offered are structured to enhance intrinsic motivation (principle 2) and will engage all individuals in skill building activities (principle 4). The services offered will provide positive reinforcement for the development of new skills and behaviors (principle 5) and will support the socialization of individuals as they re-enter their communities (principle 6). In an effort to demonstrate the success of the proposed model, LCA will measure the implemented practices (principle 7) and will provide measured feedback and outcomes to the SFAPD (principle 8). As established in cooperation with SFAPD and tracked by CASC staff, progress will be measured, including clients' compliance with their COMPAS Individualized Treatment and Rehabilitation Plan attendance, participation in assigned onsite and community activities, completion of components, and any special accomplishments and challenges. 9) Case manager to client case load ratios will not exceed 1:25 except in circumstances in which LCA and APD have discussed, and agreed upon a modification to that ratio. Any concerns or problems will be reviewed in the weekly case conferences with SFAPD, with adjustments made as needed.

## **B. ASSESSMENT, PLANNING AND TREATMENT**

A comprehensive program is essential for our clients' successful, sustained community reintegration.

The CASC services will incorporate and include:

1) Gender Responsive Strategies

2) Strength Based, Trauma Informed and Family Focused Strategies

3) Criminogenic Needs and Community Functioning Factors

4) Collaborative and Coordinated Case Conferencing

5) Review of COMPAS Assessment and creation of Reentry Services Plan

6) Administration of Secondary Assessments

7) Coordinated Case Management

## **C. OVERVIEW OF SERVICE DELIVERY COMPONENTS**

LCA, will provide the services set forth in this Appendix from program referral to client termination from or completion of services. LCA may provide the services directly or through a subcontractor as specifically indicated below. A subcontractor's failure to deliver the services indicated below does not relieve LCA's responsibility for providing the services. Client referrals may originate in the Reentry Pod located inside of County Jail #2 or by SFAPD DPOs whose clients are already under community supervision.

Services components include:

- 1) Reentry Transportation
- 2) Intake
- 3) Orientation and Enrollment
- 4) Rehabilitation Services.
- 5) Individualized Case Management, including Clinical Case Management
- 6) Community Service and Activities
- 7) Aftercare Services

#### **D. INCENTIVES, REWARDS, AND REMEDIAL SANCTIONS**

The overall LCA CASC program design emphasizes and supports clients' strengths, positive change, and the importance of accountability. Best practices includes providing incentives and rewards for progress and achieving goals, and structured sanctions that are swift and certain when clients do not meet program expectations or personal responsibilities.

#### **E. REHABILITATIVE PROGRAMS**

The CASC will offer a full array of **on and off site rehabilitative programs** directly or through subcontractors listed below that are designed to successfully transition offenders back into their communities. The interventions and services strive to use evidenced-based curricula whenever available, and to engage clients and address their criminogenic needs and community functioning factors. Clients will be assigned to rehabilitative services in accordance with their Individualized Treatment and Rehabilitation and/or Reentry Services Plan. Requirements for program completion of each component will be identified in the Reentry Services Plan and adjusted, as needed, through case conferences. Program capacity outlined below is based on current funding availability, and will be adjusted based on actual funding received. Programs include:

##### **1. Gender Responsive Treatment and Services for Women Client Groups - LCA**

**Primary Curriculum:** Helping Women Recover: A Program for Treating Substance Abuse – Special Edition for Use in the Criminal Justice System (Covington, Rev. Ed. 2008).

**Schedule:** The modules will be delivered 2 days a week, 1 ½ hours each, for 9 weeks, for a total of 25.5 hours, and optional 11 sessions delivered 2 days a week, 1 ½ hours each, for 6 weeks, for a total of 16.5 hours. Proposed program capacity is 48 women per year.

Following completion of Helping Women Recover, clients will be assessed, in cooperation with SFAPD, and those in need of further trauma work will continue with additional treatment utilizing Beyond Trauma: A Healing Journey for Women (Covington 2003) to extend and deepen the trauma work introduced in Helping Women Recover. Clients will also be referred to community providers for ongoing gender responsive services.

## 2. Gender Responsive Treatment and Services for Men Client Groups - LCA

**Primary Curriculum:** Seeking Safety A Treatment Manual for PTSD and Substance Abuse (Najavits 2007), a flexible, cognitive-based curriculum designed for co-occurring post traumatic stress disorder and substance use disorder, focusing on coping skills and psychoeducation, with safety as the overarching goal (helping clients attain safety in their relationships, thinking, behavior, and emotions).

**Schedule:** The modules will be delivered 3 days a week, 1 hour each, for 9 weeks for total of 25 hours. Proposed program capacity is 240 men per year.

## 3. Cognitive Skills Development - LCA

**Primary Curriculum:** Thinking for a Change (T4C), (National Institution of Corrections, 3.0 edition), an integrated, cognitive behavior change program for offenders. It is anticipated that this core program will be included in the Reentry Services Plan for the majority of CASC clients. The three components of T4C are: cognitive self-change, social skills, and problem-solving skills.

**Schedule:** The modules will be delivered 3 days a week, 1½ hours each, for 9 weeks for a total of 37.5 hours (excluding optional sessions). Proposed program capacity is 420 clients per year.

## 4. Anger Management - LCA

**Primary Curriculum:** Anger Management for Substance Abuse and Mental Health Clients – A Cognitive Behavioral Therapy Manual (Reilly, Shopshire - SAMHSA, 2002)

**Schedule:** The modules will be delivered once a week, 1 ½ hour sessions, one a week for 12 weeks, for a total of 18 hours. Proposed program capacity is 96 clients per year

## 5. Substance Abuse Components – LCA

### a. Substance Abuse Education Group, Outpatient Substance Abuse Treatment, and Relapse Prevention Training

**Primary Curriculum:** Milkman and Wanberg Curriculum, “Criminal Conduct and Substance Abuse Treatment: Strategies For Self-Improvement and Change, Pathways to Responsible Living”

**Schedule:** Modules will be delivered weekly. Proposed program capacity is 48 women and 288 men per year.

## 6. Life Skills Development Training – To be provided by community partner, Center on Juvenile and Criminal Justice (CJCJ)

**Primary Curriculum:** Northern California Service League Life Skills and Employment Readiness Program. That program covers such topics as self-assessment, communications, job search techniques and interview skills. CJCJ transitional services specialist will also offer supportive services to CASC case managers for clients that are preparing for program discharge. Emphasis will be placed on budgeting, money management, technology, finding a safe place to live, nutrition, exercise, and many other topics designed to help clients live successfully in the community. The

Transitional Specialist will provide a full range of resource development and service referrals to CASC clients returning to the community.

**Schedule:** The modules will be delivered 5 days per week, 4 hours each, for 1 week for a total of 20 hours. This program will be provided once per month. Proposed program capacity is 300 clients per year.

#### **7. Parenting/Family Dynamics Training, and Batterers Intervention Services — Community Works**

**Primary Curriculum:** Parenting Inside Out, an evidenced-based, cognitive-behavioral parenting curriculum will be used for the parenting/family dynamics work. The research based Manalive™ program curriculum will be used for the Batterers Intervention Program.

**Schedule:** The Parenting/Family Dynamics, and Manalive™ modules will be delivered both at the CASC and in the Reentry Pod, on a schedule that is agreed upon by Community Works, LCA, and APD. Each class size should not exceed 16 people.

#### **8. Education/High School Diploma/GED – Five Keys Charter High School**

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will be established by Five Keys.

#### **9. Employment Services – Three community partners, Anders and Anders Foundation, America Works and Center on Juvenile and Criminal Justice (CJCJ)**

##### a) Employment Readiness

**Primary Curriculum:** Awakening New Futures created in 1988 by Northern California Services League, specifically designed for ex-offenders. Other curriculum may also be used by CJCJ or America Works.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. The curriculum will be delivered 2 days a week, 1 ½ hours each, for 5 weeks, for a total of 15 hours. Proposed program capacity is 480 clients per year.

##### b) Vocational Services

America Works will bring 1 FTE Job Developer to the CASC to provide vocational training and employment assistance to clients for pre-apprenticeship and vocational programs, as well as job placement. In addition, one-on-one career counseling will be provided. Once placed in training or on the job, America Works will establish a weekly retention working relationship with employer and employee to immediately address any concerns or problems.

Additionally, CJCJ operates two federally funded employment programs. CJCJ will move the San Francisco Training Partnership and Homeless Employment Coalition services and staff to the CASC facility, allowing clients easy access to these services. Clients will receive an array of services including assessment and referral to short-term training, counseling, and job placement services. Participants in both of these programs will also receive CJCJ's employment focused life skills trainings. In addition to providing the above described services, CASC clients will be able to receive monetary support through a flexible pool of monies identified to offer clients training and

other relevant supportive services. These funds can be utilized for specific vocational trainings, uniform costs, and work equipment and tools, if deemed appropriate and necessary. These funds provide direct assistance to the clients, allowing for better successes among the participant population.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will vary based on needs of the clients.

#### c) Job Development

Anders and Anders Foundation will provide bi-monthly construction workshops, construction trades/union, and green jobs job development services, will work in close coordination with LCA and all CASC partners, and will track, and monitor clients in accordance with LCA/CASC protocols.

### **10. Recreation and Leisure Activities - LCA and community partners**

CASC clients will be introduced to physical recreation and multi-cultural celebrations, personal development activities such as the RENEW program, and creative arts events, initially coordinated by staff and volunteers, and subsequently also through their independent exploration.

**Schedule:** LCA will develop a weekly recreation and leisure plan for pro-social activities on site and in the community.

### **11. Physical Health Services – various community providers**

CASC clients not eligible for public insurance programs such as Medi-Cal, and who do not have other health insurance, will be enrolled in Healthy San Francisco. LCA has letters of Intent (LOI) from the Transitions Clinic, South of Market Health Center, and St. James Infirmary to accept eligible clients for medical assessment, treatment and care. Additionally we have an LOI from St. Vincent de Paul Society who through their Wellness Center will work on the emotional side of physical health with programs of stress reduction techniques, exercise, spiritual development as well as health topic discussions.

### **12. Graduations – LCA**

To receive A CERTIFICATE OF GRADUATION, clients must satisfactorily complete all of their required individual program components as identified in their Reentry Services Plan, and demonstrate their ability to apply the knowledge and tools they learned.

**Schedule:** Twice per year.

### **13. Additional On-site Groups – LCA**

LCA Case Managers and other trained staff and interns will facilitate weekday open morning, lunchtime, and evening check-in groups, inclusive of African America Focused Groups, Raw Talk or other approved on-site groups that are deemed as meeting criminogenic or community needs.

**Schedule:** vary - during CASC hours of operation.

#### **14. Recovery and Faith-Based Activities – various groups**

Throughout the CASC program, clients will be provided with information if they choose to explore and join organizations offering spiritual and healing groups and activities. Clients will be provided extensive recovery group resource information.

#### **15. Creative Arts – Community Works**

Community Works will conduct active Creative Arts groups at the CASC and County Jail, A-Pod/Reentry Pod.

**Schedule:** vary - during CASC hours of operation.

#### **16. Clothing Closet - LCA**

The CASC will work with various community groups to establish a clothing closet on-site at the facility.

#### **17. Childcare - LCA**

LCA is will partner with Community Works for the parenting portion of the CASC. Case Managers will develop a childcare plan with each client who has children. Referrals will be made to agencies which offer multi-lingual family services, including child care.

#### **18. Food Service - BHPMSS**

The CASC will provide wholesome and nutritionally balanced meals 5 days per week for clients who spend four or more hours engaged in programming a day. Bayview Hunters Point Multipurpose Senior Services or another approved provider of food services will be responsible for the food service. Programming will include nutrition education, information on shopping and preparation, and also the opportunity to learn about foods of different cultures, expanded to include information on multicultural music, art, and lifestyles.

#### **19. Saturday Services - LCA**

Case Managers and other program staff will rotate coverage, supported by security staff. There will be a morning 12-Step meeting, a review of available weekend recreation and community service projects, and the resource guides. Computer stations will be available for client use. The on-duty Case Manager will have individual meetings with clients to address any immediate concerns. Rehabilitative programming will be available for working clients.

#### **20. Alumni Group Program - LCA**

LCA Milestones program demonstrated the invaluable contribution of an active alumni group, for the alumni themselves supporting each other, and as role models and support to current clients, the program, and the community. Alumni co-facilitated cognitive-behavioral and recovery groups, led groups for community recreation and cultural activities, provided peer support on a 1:1 basis, and led the weekly Sunday evening group meeting.



CASC will establish and strongly support an active Alumni Group with similar invaluable contributions and benefits to the clients and the program. Representative members selected by the Alumni Group, along with current clients, will serve on a Client Advisory Board.

#### 21. Community Advisory Board

The CASC will be an important contributor to its community. An Advisory Board will be established to provide ongoing support for planning and feedback, as well as additional resources for the program. This Board will meet quarterly at the facility. Members will include social service providers, other community organizations, businesses, clients, SFAPD and others.

#### **CASC – Facility Oversight and Operations Responsibilities**

##### **Facility and Grounds requirements:**

1. The CASC facility must be used exclusively for serving the target population and the staff associated with the program.
2. The CASC must be and remain in compliance with all applicable building, sanitation, health, safety and fire codes, as well as city and county zoning and use ordinances.
3. The CASC will have a plan for onsite security/monitoring of all equipment, supplies, staff and clients. The plan will include monitoring and oversight of entry and exit traffic and will ensure a sign-in/sign-out protocol for all facility visitors
4. Clients will be prohibited from loitering outside of the facility.
5. The facility will include a staffed reception lobby for CASC services. The SFAPD will staff a separate SFAPD lobby.
6. The CASC should provide a cheerful décor and color-coordinated furnishings for the facility with special emphasis on the lobby, hallways, classrooms and treatment restrooms, and dining area (eating and break room).
7. The CASC must have sufficient space designated for clients to take scheduled breaks and eat lunch.
8. The CASC must provide for multiple classrooms to permit training and services to be offered simultaneously.
9. The facility must provide an adequate number of functional, clean, bathrooms in accordance with City and County of San Francisco standards. The sinks shall provide both hot and cold water. Hand soap, paper towels, paper seat covers should be available. Restrooms must be considerate of gender needs and be separately located. Restrooms must be in compliance with the Americans with Disabilities Act (ADA).
10. Client restrooms shall not be co-located with the restrooms for staff.
11. If urinalysis testing is phased into programming, there must be a restroom for urinalysis testing.
12. The CASC kitchen, cafeteria, food storage area, equipment, appliances, furnishings and cabinetry, as well as all food service and preparation areas must meet all applicable health and sanitation code standards. Accommodations shall be made for participants with disabilities.
13. The CASC shall provide a wholesome and nutritionally balanced lunch a minimum of 5 days per week for all program participants who spend 4 or more hours engaged in programming on a given day. The CASC will be considerate of general health and dietary restrictions and food prohibitions associated with cultural and religious traditions.
14. LCA shall regularly inspect the facility for pest infestation and shall maintain pest control services to ensure the facility is free of insect and rodent infestation. Documentation of pest control services will be maintained at the facility and made available to the SFAPD staff upon request.
15. The CASC shall have proper lighting, heating, and ventilation.
16. The CASC shall have a secured maintenance room for storage of cleaning supplies, tools and equipment (e.g., mops, brooms, buckets, etc.) and shall be equipped with a utility sink. The facility,

equipment, furniture, appliances, etc. shall be kept clean and in good operating condition at all times and replaced when necessary.

17. The CASC shall have a plan to ensure comprehensive janitorial services
18. All repairs including plumbing, electrical and/or structural which affect the health and safety of any occupant must be made within 48 hours of discovery and at the LCA's expense. LCA must notify the SFAPD Reentry Services Manager immediately.
19. LCA will ensure safety and security of facility exterior, interior, equipment, supplies, staff, clients and all client information.
20. If LCA anticipates transporting participants via a private vehicle, all staff shall possess a valid driver's license and the vehicle shall be fully insured.
21. LCA shall have written CASC policies and procedures in accordance with SFAPD's regulations. This policies and procedures will be submitted to the SFAPD Reentry Division for retention in the case file.
22. All CASC staff shall be trained and certified in first aid, including cardiopulmonary resuscitation (CPR) within the first six weeks of employment and remain current throughout their employment relative to this contract. A record of first aid training shall be maintained on file by the LCA.
23. Fully stocked first aid kits will be readily available throughout the facility. The telephone numbers of all local emergency service agencies shall be posted and readily available to all staff.
24. No Smoking signs shall be posted in full view of the participants, staff and visitors.

#### **Security and Safety Requirements:**

1. **Facility Security** – The safety and security of clients, staff and visitors is of paramount importance.
  - a. LCA staff and on site security protocols will take a dignified and reasonable approach to ensuring that the facility is free of weapons and contraband, and protected from outside intrusions. Daily security and perimeter inspection of the facility will make certain that functioning locks and latches are on all windows, doors and gates, and that electrical lighting (inside and out) is operating properly. Door alarms may be used to eliminate unauthorized egress or ingress during evening and night hours. Security policies shall ensure that the clients are not locked inside the facility at any time.
  - b. Given the large number of offenders in the facility at any given time, all staff should be adequately trained in effective relationship building, de-escalation strategies, and emergency response and evacuation protocols. CASC monitors that play a security leadership role should make routine safety checks throughout the facility, and be primarily responsible for prompting attention towards any lighting, signage, training or other upgrade that is needed to further ensure the safety of people and property at the CASC.
2. **Case Files**
  - a. LCA will develop and maintain properly organized participant files and secure them in a locked file cabinet or drawer. Files shall be considered confidential and protected from any unauthorized use or disclosure. Electronic client files will be held to the same security standard as hard copy files. The CASC will have written procedures for the release of case file information to include: 1) the participant's signed and dated Release of Information Form, 2) the name of the person, agency or organization to whom the information was released, and 3) the signature of the employee who released the information and date of release.

3. **Searches and Contraband**

- a. Whereas safety and security of CASC persons and property is of paramount importance, and whereas SFAPD and CASC staff will take a responsible harm reduction approach to addressing client substance abuse issues, CASC will create and honor a dignified contraband search and client substance use response policy that will be in compliance with SFAPD regulations, policies, and procedures. Clients that enter the CASC are subject to search. Any findings of contraband and/or signs of substance abuse shall be reported to the SFAPD staff as soon as possible after discovery. SFAPD and CASC staff will follow an agreed upon protocol for responding to contraband, weapons and substance use.

#### **4. Disturbance Control Plan**

- a. LCA will have a written Disturbance Control Plan in the event of a major disturbance such as riots, strikes, attacks upon staff, visitors or participants, explosions or fires, suicides or attempted suicides, natural disasters; and accidental injuries to staff and others. The plan shall include assistance from local law enforcement and/or emergency agencies as circumstances warrant. The development of the Disturbance Control Plan shall be coordinated with the SFAPD Reentry Services Manager. Once the Disturbance Control Plan is developed, LCA will submit a copy to the SFAPD Reentry Services Manager for retention in the contract file.

#### **5. Fire Evacuation Emergency Procedures**

- a. LCA will have written procedures pertaining to fire prevention, safety requirements, evacuation and emergency procedures that include instructions for the following:
  - o Immediate notification of the fire department (inclusive of the designated fire department's address and telephone number)
  - o Alert notification and/or evacuation of all occupants
  - o Notification of authorities
  - o Control and the extinguishing of fires
  - o Evacuation routes and procedures
  - o Other to be identified procedures

#### **6. Emergency Evacuation Training**

- a. All personnel shall be trained in the implementation of emergency procedures within 24 hours of their initial employment. Annual refresher training shall be provided to all personnel. All training is to be documented for compliance and maintained in employee files.

#### **7. Quarterly Emergency Evacuation Drills**

- a. LCA will conduct and document quarterly emergency evacuation drills. Documentation of each drill shall include: date and time of day; evacuation path used; number of staff, participants and visitors involved; amount of time to complete the drill, and any pertinent comments.

#### **8. Posting of Emergency Evacuation Floor Plans**

- a. Clear, concise and site-specific emergency evacuation floor plans shall be posted as appropriate at every occupied floor location throughout the facility. The floor plans should be located near the identified exit doors on each floor. The evacuation diagram plans shall be placed in tamper-proof frames and include the following:

- Evacuation diagram plan that identifies the "You Are Here," location that is compatible with the building floor plan.
- Evacuation plans, which include the location of building exits, fire extinguishers, pull-stations, fire hose cabinets, and first aid supplies.
- Emergency and evacuation procedures, including diagrammed evacuation routes, shall be communicated to each new participant upon arrival.

#### 9. Smoke Detectors and Fire Extinguishers

- a. LCA shall provide operable and regularly tested smoke detectors and fire extinguishers in key locations including the kitchen and classrooms. All tests shall be documented and maintained at the facility site.

#### 10. Hazardous, Toxic and Volatile Substances

- a. LCA shall maintain a written policy for inventory, use, storage and disposal of all hazardous, toxic, and volatile substances in accordance with the Hazardous Substances Information and Training Act, Chapter 2-5 (commencing with Section 6360), Part 1 of Division 5 of the Labor Code. Hazardous, toxic and volatile substances shall not be stored in furnace areas, kitchens, dining areas, or in close proximity to stored food or kitchen supplies. Flammable substances such as gasoline, kerosene and paint thinner shall be stored outside the facility's main structure in approved containers inside properly ventilated and labeled fireproof cabinets.
- b. Material Safety Data Sheets (MSDS) must be maintained on-site for all hazardous materials used in the facility. The MSDS shall be posted and immediately accessible to staff and participants wherever these substances are used.
- c. LCA will provide training to facility staff and program participants. Documentation of training shall be maintained in the facility files.

The SFAPD and LCA will conduct an annual review of facility protocols, and will work together to resolve any review findings. "The periodic reporting required by this Agreement should address LCA's progress toward meeting the above operational and safety requirements, as well as any operational or safety issues that have arisen".

<b>2. Data Collection and Reports</b>
---------------------------------------

The Contractor shall submit written reports as requested by the **San Francisco Adult Probation Department**. Format for the content of such reports shall be determined by the **San Francisco Adult Probation Department**. The timely submission of all reports is a necessary and material term and condition of this Agreement. The SFAPD shall require the following reports:

- Monthly Referral Tracking Report, attached below as Attachment A
- Monthly Client Activity Report, attached below as Attachment B
- Monthly Traffic Tracking Report, the template of which is attached below as Attachment C
- Quarterly and Annual Reports, the template of which is attached below as Attachment D

All Monthly Reports are due by the 15<sup>th</sup> of each month following the reporting month.

Quarterly and Annual Reports shall be submitted in accordance with the following schedule:

- Q1: July 1 – September 30 due by October 30
- Q2: October 1 – December 31 due by January 30

Q3: January 1 – March 31 due by April 30

Q4: April 1 – June 30 due by July 30

Annual: July 1 – June 30 due by August 15

Should any of the due dates fall on a weekend day, the Report shall be submitted the Friday prior to the due date.

Reports shall be submitted to the Reentry Services Manager.

All CASC information, reports, writings, summary documents or press releases shall be reviewed and approved by the SFAPD prior to dissemination. LCA, and partners associated with the CASC will consult with the SFAPD before publically releasing any CASC related information to the public or other professional groups.

### 3. Securing Contract Staff

#### Contractor shall:

- Provide SFAPD with a copy of the job descriptions that govern the minimum requested qualifications for Contractor staff. SFAPD reserves the right to negotiate the terms of the job descriptions for management level positions for the benefit of the program and Participants. SFAPD and Contractor must agree on the language of management level descriptions prior to posting. Contractor shall hire qualified staff for each position. Contractor shall manage staff performance in accordance with applicable laws and collective bargaining agreements;
- Provide SFAPD with the indication of intent to hire staff. For management level positions, Contractor will provide SFAPD with the names and resumes of its final candidates and discuss candidates' qualifications with SFAPD.
- Arrange for all staff and volunteers, including subcontractors' staff and volunteers, to be fingerprinted, and cleared by the Department of Justice (DOJ);
- Bring to SFAPD's Program Manager immediate attention any staff vacancies. Contractor may fill temporary vacancies internally by a temporary reassignment of existing qualified staff. A temporary vacancy is defined as a vacancy of less than 60 calendar days. Vacancies in excess of 60 calendar days require the immediate recruitment of new, qualified staff. Contractor must make all reasonable efforts to fill vacancies within 90 calendar days.

Contractor shall include the below language in job descriptions, and ensure it and its Subcontractor use the guidelines described below when recruiting and hiring staff who will work under this Agreement (some language may not be required due to position function). Contractor will seek SFAPD's Program Manager approval for any omission or modification of any of the below language.

#### "Candidates should:

- Demonstrate a thorough knowledge of the adult criminal justice system, knowledge of the National Institute of Corrections' Principles of Effective Intervention and the Six Gender Responsive Strategies for Women Offenders, and a thorough understanding of criminal justice criminogenic needs and community functioning factors.
- Have developed or be able to develop working relationships with other community-based organization providing rehabilitative treatment and other supportive services to Participants.
- Successfully clear a post offer background check, as well as an SFAPD security check.
- Qualified applicants with arrest and/or conviction records will be considered for employment in a manner consistent with Federal, state and local laws, including but not limited to the San

Francisco Fair Chance Ordinance. All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, sexual orientation, protected veteran status, or disability status.”

While SFAPD will not require that Contractor hire staff that possess a Drug and Alcohol Counselor Certificate per the California Department of Alcohol and Drug Programs or the California Association of Addiction Recovery Services, SFAPD does request that Contractor include the following language in job announcements pertaining to this Program: “Drug and Alcohol Counselor Certification Preferred”.

If Contractor or Subcontractor would like to offer a position for employment to a candidate who does not meet the criteria above, Contractor and SFAPD will review the applicant’s qualifications and discuss waiving the criteria above on a case-by-case basis.

Contractor shall ensure that its staff and that of its Subcontractor is trained and certified in first aid, including cardiopulmonary resuscitation (CPR) within the first six weeks of employment and remain current throughout their employment relative to this Agreement. Contractor shall maintain a record of first aid training on file.

Contractor understands that its employees working under this Agreement cannot be:

- Currently on parole, mandatory supervision, post-release community supervision, probation, or under any structured supervision as a result of criminal conduct.
- Required to register per health and Safety Code Section 11590, Penal Code 290, and/or Penal Code Section 451.

**4. Attachments**

**Attachment A: Monthly Referral Tracking Report**

Attachment A - Monthly Referral Data (Please maintain a cumulative list)

SF#	Date Referred	Probation Officer	Service Type	Status	Status Date	Supervision Unit

**Attachment B: Monthly Client Activity Report**

ATTACHMENT B - Monthly Client Activity Report

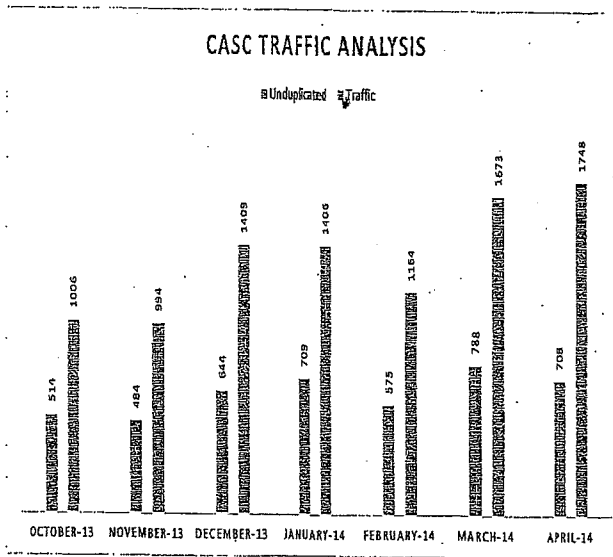
CASC Partner Agency:

Reporting Month:  (Please include new clients per reporting month, and maintain a cumulative list of monthly clients)

Reporting Month	PARTNER POPULATED FIELDS			CASC POPULATED FIELDS				PARTNER POPULATED FIELDS				
	Client Last Name	Client First Name	SF#	DPD	Service Type	APD Referral Date	CASC Referral Date	Partner Assessment Date	Notes	Service	Status	Date of Last Contact

Attachment C: Monthly Traffic Tracking Report

Attachment C: Monthly Traffic Report



Attachment D: Quarterly and Annual Reports

A. Client Activity Summary

	In Reporting Period	Fiscal Year To Date
1. Clients entering		
2. Clients active		
3. Clients discharged – successful		
4. Clients discharged – unsuccessful		
5. Clients discharged – discharged CASC services		
6. Clients attending class		
7. Clients entering from Reentry Pod (subset of #1)		
8. Clients active from Reentry Pod (subset #2)		
9. Clients from Reentry Pod discharged – successful (subset of #3)		
10. Clients from Reentry Pod discharged – unsuccessful (subset of #4)		
11. Clients from Reentry Pod discharged – discharged CASC services		

**B. Referral Analysis for Reporting Period\***

\*If fourth quarter, please provide both the fourth quarter and aggregate annual data.

By APD Division:

1. Total Referrals (FCM and OPS and Pod)
2. Total Referrals FCM
3. Total Referrals OPS
4. Total Referrals Pod
5. Total Enrollments
6. Total Discharged – Successful - Completed Probation
7. Total Discharged – Successful - Completed Specified Service
8. Total Discharged – Without Prejudice – Medical/Incarceration
9. Total Discharged – Unsuccessful - discharged CASC services

**C. Engagement Analysis for Reporting Period**

\*If fourth quarter, please provide both the fourth quarter and aggregate annual data.

*Note: Items 1 – 5 below are totals for the reporting period. Item 6 is a point-in-time count as of the end of the reporting period.*

**Summary**

	<b>Full Case Management</b>
1. Total Referrals	
2. Total admitted to Phase 1	
3. Total advanced to Phase 2	
4. Total advanced to Phase 3	
5. Total Discharged- Unsuccessful	
6. Total Discharged – Successful - Completed CASC Program	
7. Total Discharged – Successful - Completed Probation Term	
8. Total Discharged – Without Prejudice (Medical/Incarceration)	
9. Total Discharged – Unsuccessful - discharged from CASC services	
10. Total Active in Phase 1 as of end of reporting period	
11. Total Active in Phase 2 as of end of reporting period	
12. Total Active in Phase 3 as of end of reporting period	

	<b>OPS</b>
1. Total Referrals	
2. Total Enrolled	
3. Total Discharged – discharged CASC services (unsuccessful)	
4. Total Discharged – Successful - Completed Probation	
5. Total Discharged – Successful - Completed OPS Service	
6. Total Discharged – Without Prejudice (Medical/Incarceration)	
7. Total Active as of end of reporting period	



**Partner workshops**

	<b>5 Keys</b>	<b>CJCJ Employment Services</b>	<b>Community Works</b>	<b>America Works</b>
1. Total Referrals				
2. Total Enrolled				
3. Total Discharged – discharged CASC services (unsuccessful)				
4. Total Discharged – Successful - Completed Probation				
5. Total Discharged – Successful - Completed Program Component				
6. Total Discharged – Without Prejudice (Medical/Incarceration)				
7. Total Active as of end of reporting period				

**CASC Workshops**

	<b>Anger Management</b>	<b>Helping Women Recover</b>	<b>Seeking Safety</b>	<b>Other</b>
1. Total Referrals				
2. Total Enrolled				
3. Total Discharged – discharged CASC services (unsuccessful)				
4. Total Discharged – Successful - Completed Probation				
5. Total Discharged – Successful - Completed Program Component				
6. Total Discharged – Without Prejudice (Medical/Incarceration)				
7. Total Active as of end of reporting period				

	<b>Substance Abuse Education</b>	<b>Thinking for a Change</b>	<b>Education/5Keys</b>	<b>Add-in All Other Workshops</b>
1. Total Referrals				
2. Total Enrolled				
3. Total Discharged – discharged CASC services (unsuccessful)				
4. Total Discharged – Successful - Completed Probation				
5. Total Discharged – Successful - Completed Program Component				
6. Total Discharged – Without Prejudice (Medical/Incarceration)				
7. Total Active as of end of reporting period				

	<b>THC (APD Program Manager will collect/compile)</b>
1. Total Referrals	
2. Total beds available	
3. Total placements	
4. Total in housing as of end of reporting period	

**D. Client Engagement Incentive Program Activity for Reporting Period**

	<b>Number Distributed</b>	<b>Number of Clients Served</b>
1. CASC credits issued		
2. Food Distribution: Lunches		
a.		
b.		
c.		
3. Tokens		
4. Hygiene kits		

**E. Narrative**

**A. Administrative Operations**

Successes, challenges, resolutions, and plans for the next quarter

**B. Staffing and Training Updates**

Successes, challenges, and resolutions, and plans for the next quarter

**C. CASC Program, Client and Community Development**

Successes, challenges, and resolutions, and plans for the next quarter

**D. Reentry Pod**

Successes, challenges, and resolutions, and plans for the next quarter

**E. Additional information to further illustrate successes, challenges, resolutions, and plans for next quarter**

**F. Annual Report Outcomes** (The below outcomes are to be provided in the Annual Report along with Q4 data as per the above sections, inclusive of a narrative that reflects on highlights of the year).

**1. Employment Outcomes** (CJCC and America Works)

- a. Total job placements in reporting period
- b. Number of clients who worked in job placement for 90 days or more in reporting period
- c. Number currently employed in job placement as of end of reporting period

**2. Education Outcomes** (5 Keys Partnership)

- a. Total completed GED or HSD in reporting period
- b. Total participating in literacy classes in reporting period
- c. Total completing food handler certification

**3. Housing Outcomes**

- a. Number of clients under-housed at intake in reporting period
- b. Number of clients homeless at intake in reporting period
- c. Number placed in permanent housing in reporting period
- d. Number placed in stabilization unit in reporting period
- e. Number placed in transitional housing in reporting period

**4. Income Support Outcomes**

- a. Total in need of income support at intake
- b. Total receiving GA as of end of reporting period
- c. Total receiving SSI as of end of reporting period
- d. Total employed as of end of reporting period

**5. Behavioral Health Outcomes**

- a. Number of clients with identified mental health need at intake during reporting period
- b. Number of clients with identified substance dependency issue at intake during reporting period
- c. Number of clients referred to behavioral health services during reporting period

**2c. Appendix B-4.** Appendix B-4 Monthly Cost Reimbursement Invoice and Budget of the Agreement currently reads as follows:

**Appendix B-4  
Monthly Cost Reimbursement Invoice and Budget**

**Monthly Cost Reimbursement Invoice**

- The SFAPD will reimburse for actual line item expenses incurred over the month for expenses according to the approved budget in Appendix B-4.
- Monthly cost reimbursement invoices are due by the 15<sup>th</sup> of each month following the reporting month. The SFAPD has 30 days following the receipt of an accurate, complete, and final Monthly Cost Reimbursement Request to reimburse the Contractor for approved expenses. If the Contractor does not turn the Invoice in by the 15<sup>th</sup> of the month, or it takes extra days for the Contractor to submit all information needed to satisfy a "final" Monthly Invoice, the SFAPD will have 30 days from the date a "final" Reimbursement Invoice was completed to reimburse the Contractor.



- Monthly invoices are due to SFAPD by the 15<sup>th</sup> of each month following the reporting month. The SFAPD has 30 days following the receipt of an accurate, complete, and final Monthly Invoice to pay the Contractor for approved expenses. If the Contractor does not submit the Invoice in by the 15<sup>th</sup> of each month, or requires additional time for the Contractor to submit all information needed to satisfy a “final” Monthly Invoice, the SFAPD will have 30 days from the Final Invoice date to issue payment to the Contractor.
- Contractor agrees to enter into a Sublease on a form acceptable to the City for the use of dedicated Contractor’s space and the sharing of common areas and shared rooms and facilities on a prorate basis (28.13%) of the costs of rent and other property and operating expenses. The term of such Sublease shall be from July 1, 2016 to June 30, 2017 and it shall be subject to extension of the service contract, if any. Cost reimbursement will include reimbursement of the CASC facility fee as per the budget included heretofore as Budget B-5. Pursuant to the sublease agreement between CCSF and LCA, LCA will remit sublease payments within 5 business days following being reimbursed under this agreement. SFAPD will remit to LCA costs associated with the sublease pursuant to the contract terms, including the budget including at B-5, provided LCA remains in lawful possession of the Premises.

DETAIL BUDGET BY FISCAL YEAR						
DETAIL BUDGET BY FISCAL YEAR	FY12/13	FY13/14	FY 14/15	FY 15/16	FY 16/17	
Description	FY12/13 Budget Allocation	FY13/14 Budget Allocation	FY14/15 Budget Allocation	FY15/16 Projected Allocation	FY16/17 Proposed Budget Allocation	Total Proposed Contract Amount
Total Salaries	\$ 182,406	\$ 651,415	\$ 666,879	\$ 632,876	\$ 689,720	\$ 2,823,296
Fringe Benefits	\$ 22,261	\$ 120,740	\$ 173,389	\$ 174,898	\$ 208,248	\$ 699,536
<b>Total Personnel Expenses</b>	<b>\$ 204,667</b>	<b>\$ 772,155</b>	<b>\$ 840,268</b>	<b>\$ 807,774</b>	<b>\$ 897,968</b>	<b>\$ 3,522,832</b>
<b>Operating Expenses</b>						
Program Curriculum	\$ 1,620	\$ 2,000	\$ 1,500	\$ 3,000	\$ -	\$ 8,120
Supplies	\$ 7,240	\$ 52,000	\$ 18,135	\$ 34,200	\$ 34,821	\$ 146,396
Equipment	\$ 450	\$ 17,500	\$ 6,000	\$ 39,204	\$ 28,200	\$ 91,354
Travel	\$ 1,850	\$ 3,500	\$ 2,500	\$ 10,950	\$ 13,200	\$ 32,000
Client Supportive Services	\$ 360	\$ 65,000	\$ 3,500	\$ 40,200	\$ 37,200	\$ 146,260
Nutritional Workshops	\$ -	\$ -	\$ 18,000	\$ 30,000	\$ 30,000	\$ 78,000
Interpretive Client Services	\$ -	\$ 900	\$ 900	\$ 900	\$ 900	\$ 3,600
Senior Services (FY13/14 in personnel)	\$ -	\$ -	\$ 51,513	\$ 58,573	\$ 59,904	\$ 169,990
Parenting Skills Training	\$ 1,000	\$ 24,000	\$ 21,701	\$ -	\$ -	\$ 46,701
African-American Focused groups	\$ -	\$ -	\$ -	\$ 9,308	\$ -	\$ 9,308
Vocational/Employment Services(FY13/14 in personnel)	\$ -	\$ -	\$ 46,899	\$ 58,573	\$ 59,904	\$ 165,376
Transitional Services (FY13/14 in personnel)	\$ -	\$ -	\$ 50,899	\$ 58,573	\$ 59,904	\$ 169,376
HUD Matching Funds - CJCJ	\$ 1,667	\$ 20,000	\$ 20,000	\$ 20,000	\$ 20,000	\$ 81,667
Cultural Services - Village Connect	\$ -	\$ -	\$ 37,500	\$ -	\$ -	\$ 37,500
Reentry Transportation - Vehicle/Insurance/etc	\$ -	\$ -	\$ 9,900	\$ 22,300	\$ 22,300	\$ 54,500
Other Occupancy Costs	\$ -	\$ 29,000	\$ -	\$ 7,500	\$ 7,500	\$ 44,000
Janitorial	\$ -	\$ 30,000	\$ 1,263	\$ -	\$ -	\$ 31,263
Insurance	\$ 5,125	\$ 12,300	\$ 18,116	\$ 23,119	\$ 23,119	\$ 81,779
Maintenance/Repair/Janitoria (FY14/15)	\$ -	\$ 29,000	\$ 27,587	\$ 48,000	\$ 47,681	\$ 152,268
Communications	\$ 2,410	\$ 24,000	\$ 6,075	\$ 15,600	\$ 15,600	\$ 63,685
Training and Education (Staff) (ongoing only)	\$ 2,090	\$ 25,000	\$ -	\$ 9,000	\$ 9,000	\$ 45,090
Food	\$ 48,737	\$ 54,795	\$ 21,000	\$ 70,289	\$ 70,289	\$ 265,110
Drug Testing	\$ -	\$ 5,000	\$ 4,550	\$ -	\$ -	\$ 9,550
<b>Total Operating Expenses</b>	<b>\$ 72,549</b>	<b>\$ 393,985</b>	<b>\$ 367,538</b>	<b>\$ 559,289</b>	<b>\$ 539,522</b>	<b>\$ 1,932,893</b>
<b>Facilities</b>	<b>\$ 160,690</b>	<b>\$ 807,792</b>	<b>\$ 877,792</b>	<b>\$ 807,792</b>	<b>\$ -</b>	<b>\$ 2,654,066</b>
<b>Utilities/Building Reimbursements</b>	<b>\$ 1,515</b>	<b>\$ 78,756</b>	<b>\$ 37,970</b>	<b>\$ 48,002</b>	<b>\$ 48,002</b>	<b>\$ 214,245</b>
<b>TOTAL DIRECT EXPENSES</b>	<b>\$ 439,421</b>	<b>\$ 2,052,698</b>	<b>\$ 2,123,568</b>	<b>\$ 2,222,857</b>	<b>\$ 1,485,492</b>	<b>\$ 8,324,036</b>
<b>Indirect Expenses</b>	<b>\$ 65,425</b>	<b>\$ 307,905</b>	<b>\$ 308,035</b>	<b>\$ 333,429</b>	<b>\$ 193,114</b>	<b>\$ 1,207,908</b>
Tenant Improvements	\$ 2,570,949	\$ -	\$ (70,000)	\$ -	\$ -	\$ 2,500,949
Budget Carryforward						\$ (542,740)
<b>TOTAL BUDGET</b>	<b>\$ 3,075,795</b>	<b>\$ 2,360,603</b>	<b>\$ 2,361,603</b>	<b>\$ 2,556,286</b>	<b>\$ 1,678,606</b>	<b>\$ 11,490,153</b>

Personnel and Fringe						
POSITION TITLE	FY12/13 Budget Allocation	FY13/14 Budget Allocation	FY14/15 Budget Allocation	FY 15/16 Projected Allocation	FY 16/17 Proposed Budget Allocation	Total Contract Amount of Personnel and Fringes
Program Director	\$ 37,216	\$ 75,750	\$ 77,500	\$ 78,250	\$ 80,000	\$ 348,716
Asst. Program Director / Financial Manager	\$ 11,227	\$ 65,325	\$ 72,000	\$ 65,500	\$ 67,500	\$ 281,552
Clinical Supervisor / Lead Case Manager	\$ 68,950	\$ 67,279	\$ 71,000	\$ 72,000	\$ 74,000	\$ 353,229
Admin Assistant / Intake Specialist	\$ 5,369	\$ 35,453	\$ 41,600	\$ 42,120	\$ 43,680	\$ 168,221
Case Manager/Group Facilitator	\$ 24,880	\$ 39,726	\$ 43,680	\$ 42,640	\$ 43,680	\$ 194,606
Case Manager/Group Facilitator	\$ 4,320	\$ 42,094	\$ 43,680	\$ 48,360	\$ 49,920	\$ 188,374
Clinical Case Manager				\$ 43,680	\$ 52,000	\$ 95,680
Case Manager	\$ -	\$ 24,910	\$ 43,680	\$ 47,840	\$ 49,920	\$ 166,350
Case Manager	\$ -	\$ 30,382	\$ 43,680	\$ 43,853	\$ 48,880	\$ 166,795
Case Manager	\$ 3,996	\$ 40,232	\$ 43,680	\$ 31,893	\$ 48,880	\$ 168,681
Case Manager - POD	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Case Manager - POD	\$ -	\$ 26,165	\$ 43,680	\$ -	\$ -	\$ 69,845
Barrier Removal/Discharge Navigator	\$ -	\$ 11,705	\$ 43,680	\$ 44,720	\$ 46,800	\$ 146,905
Program Monitor / Counselor	\$ 3,236	\$ 28,399	\$ 33,280	\$ 34,320	\$ 38,480	\$ 137,715
Program Monitor / Counselor	\$ 3,240	\$ 30,772	\$ 34,320	\$ 31,200	\$ 38,480	\$ 138,012
Staff Incentives	\$ -	\$ 2,950	\$ 5,000	\$ 6,500	\$ 7,500	\$ 21,950
<b>PARTNERS</b>						
Seniors Specialist / Case Manager	\$ 16,016	\$ 47,718	\$ 8,397	\$ -	\$ -	\$ 72,131
Employment Specialist (A&AF)	\$ 321	\$ 9,235	\$ -	\$ -	\$ -	\$ 9,556
Employment Specialist (Arm Works)	\$ -	\$ 22,733	\$ 9,011	\$ -	\$ -	\$ 31,744
Transitional Specialist	\$ 3,635	\$ 50,588	\$ 9,011	\$ -	\$ -	\$ 63,234
Employment Specialist - HUD Funded	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
HUD FUNDING	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Transportation Staff	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Transportation Staff	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
<b>TOTALS</b>	<b>\$ 182,406</b>	<b>\$ 651,415</b>	<b>\$ 666,879</b>	<b>\$ 632,876</b>	<b>\$ 689,720</b>	<b>\$ 2,823,296</b>
<b>EMPLOYEE FRINGE BENEFITS</b>	<b>\$ 22,261</b>	<b>\$ 120,740</b>	<b>\$ 173,389</b>	<b>\$ 174,898</b>	<b>\$ 208,248</b>	<b>\$ 699,536</b>
<b>TOTAL SALARIES &amp; BENEFITS</b>	<b>\$ 204,667</b>	<b>\$ 772,155</b>	<b>\$ 840,268</b>	<b>\$ 807,774</b>	<b>\$ 897,968</b>	<b>\$ 3,522,832</b>

**2d. Sugar-Sweetened Beverage Prohibition.** Section 57 is hereby replaced in its entirety to read as follows:

**57. Sugar-Sweetened Beverage Prohibition.** Contractor agrees that it will not sell, provide, or otherwise distribute Sugar-Sweetened Beverages, as defined by San Francisco Administrative Code Chapter 101, as part of its performance of this Agreement.

**3. Effective Date.** Each of the modifications set forth in Section 2 shall be effective on and after the date of this Amendment.

**4. Legal Effect.** Except as expressly modified by this Amendment, all of the terms and conditions of the Agreement shall remain unchanged and in full force and effect.

IN WITNESS WHEREOF, Contractor and City have executed this Amendment as of the date first referenced above.

**CITY**

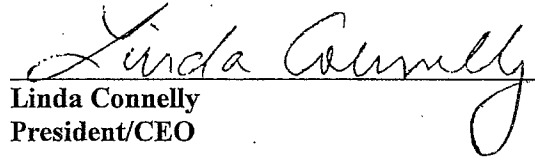
**CONTRACTOR**

**Recommended by:**

**Leaders in Community Alternatives, Inc.**



**Karen L. Fletcher  
Chief Adult Probation Officer  
Adult Probation Department**



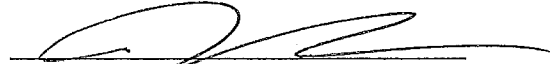
**Linda Connelly  
President/CEO**

**City vendor number: 25546**

**Approved as to Form:**

**Dennis J. Herrera  
City Attorney**

**By:**



**Jana Clark  
Deputy City Attorney**

**Approved:**

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**Jaci Fong  
Director of the Office of Contract  
Administration, and Purchaser**





City and County of San Francisco  
Office of Contract Administration  
Purchasing Division

Fourth Amendment

THIS AMENDMENT (this "Amendment") is made as of August 17, 2015, in San Francisco, California, by and between Leaders in Community Alternatives, Inc. ("Contractor"), and the City and County of San Francisco, a municipal corporation ("City"), acting by and through its Director of the Office of Contract Administration.

RECITALS

WHEREAS, City and Contractor have entered into the Agreement (as defined below); and

WHEREAS, City and Contractor desire to modify the Agreement on the terms and conditions set forth herein to determine additional encumbrance amount, to modify Appendices A-3 and B-3, and update standard contractual clauses;

NOW, THEREFORE, Contractor and the City agree as follows:

1. **Definitions.** The following definitions shall apply to this Amendment:

1a. **Agreement.** The term "Agreement" shall mean the Agreement dated June 1, 2012 between Contractor and City, as amended by the:

First amendment,	dated April 15, 2013,
Second amendment,	dated July 1, 2013, and
Third amendment,	dated July 1, 2014.

1b. **Other Terms.** Terms used and not defined in this Amendment shall have the meanings assigned to such terms in the Agreement.

2. **Modifications to the Agreement.** The Agreement is hereby modified as follows:

2a. **Section 5.** Section 5 Compensation of the Agreement currently reads as follows:

Compensation shall be made in monthly payments on or before the 15th day of each month for work, as set forth in Section 4 of this Agreement, that the Chief of Adult Probation, in her sole discretion, concludes has been performed as of the final day of the immediately preceding month. In no event shall the amount of this Agreement exceed \$9,213,957 (Nine Million Two Hundred Thirteen Thousand Nine Hundred Fifty Seven Dollars) as follows:

- June 1, 2012 – June 30, 2013 – Not to exceed: \$3,075,795 (\$895,705 to be encumbered in June, 2012 and \$1,663,090 in July, 2012, and \$517,000 to be encumbered by June, 2013).
- July 1, 2013 – June 30, 2014 – Not to exceed: \$2,360,603 (Two Million Three Hundred Sixty Thousand Six Hundred Three Dollars).
- July 1, 2014 – June 30, 2015 – Not to exceed: \$2,361,603 (Two Million Three Hundred Sixty One Thousand Six Hundred Three Dollars).
- July 1, 2015 – June 30, 2016 – To be determined.
- July 1, 2016 – June 30, 2017 – To be determined.

The breakdown of costs for the period of June 1, 2012 – June 30, 2013 appears in this Agreement as Appendix B-3 attached hereto and incorporated by reference as though fully set forth herein. The actual award amount to be realized during the full period of this contract, June 1, 2012 – June 30, 2017 is contingent on the availability of funds for this project each year, and on the satisfactory Contractor performance. All subsequently negotiated project costs are and will be in line with generally accepted industry standard costs associated with delivering CASC services.

No charges shall be incurred under this Agreement nor shall any payments become due to Contractor until reports, services, or both, required under this Agreement are received from Contractor and approved by the **San Francisco Adult Probation Department** as being in accordance with this Agreement. City may withhold payment to Contractor in any instance in which Contractor has failed or refused to satisfy any material obligation provided for under this Agreement. In no event shall City be liable for interest or late charges for any late payments.

The Controller is not authorized to pay invoices submitted by Contractor prior to Contractor's submission of CMD Progress Payment Form. If Progress Payment Form is not submitted with Contractor's invoice, the Controller will notify the department, the Director of CMD and Contractor of the omission. If Contractor's failure to provide CMD Progress Payment Form is not explained to the Controller's satisfaction, the Controller will withhold 20% of the payment due pursuant to that invoice until CMD Progress Payment Form is provided. Following City's payment of an invoice, Contractor has ten days to file an affidavit using CMD Payment Affidavit verifying that all subcontractors have been paid and specifying the amount.

**Such section is hereby amended in its entirety to read as follows:**

Compensation shall be made in monthly payments on or before the 15th day of each month for work, as set forth in Section 4 of this Agreement, that the **Chief of Adult Probation**, in her sole discretion, concludes has been performed as of the final day of the immediately preceding month. In no event shall the amount of this Agreement exceed **\$9,213,957 (Nine Million Two Hundred Thirteen Thousand Nine Hundred Fifty Seven Dollars)** as follows:

- June 1, 2012 – June 30, 2013 – Not to exceed: \$3,075,795 (\$895,705 to be encumbered in June, 2012 and \$1,663,090 in July, 2012, and \$517,000 to be encumbered by June, 2013).
- July 1, 2013 – June 30, 2014 – Not to exceed: \$2,360,603 (Two Million Three Hundred Sixty Thousand Six Hundred Three Dollars).
- July 1, 2014 – June 30, 2015 – Not to exceed: \$2,361,603 (Two Million Three Hundred Sixty One Thousand Six Hundred Three Dollars).
- July 1, 2015 – June 30, 2016 – Not to exceed: \$1,415,956 (One Million Four Hundred Fifteen Thousand Nine Hundred and Fifty-Six Dollars).
- July 1, 2016 - June 30, 2017 – To be determined.

The breakdown of costs for the period of June 1, 2012 – June 30, 2016 appears in this Agreement as Appendix B-4 attached hereto and incorporated by reference as though fully set forth herein. The actual award amount to be realized during the full period of this contract, June 1, 2012 – June 30, 2017 is contingent on the availability of funds for this project each year, and on the satisfactory Contractor performance. All subsequently negotiated project costs are and will be in line with generally accepted industry standard costs associated with delivering CASC services.

No charges shall be incurred under this Agreement nor shall any payments become due to Contractor until reports, services, or both, required under this Agreement are received from Contractor and approved by the **San Francisco Adult Probation Department** as being in

accordance with this Agreement. City may withhold payment to Contractor in any instance in which Contractor has failed or refused to satisfy any material obligation provided for under this Agreement. In no event shall City be liable for interest or late charges for any late payments,

The Controller is not authorized to pay invoices submitted by Contractor prior to Contractor's submission of CMD Progress Payment Form. If Progress Payment Form is not submitted with Contractor's invoice, the Controller will notify the department, the Director of CMD and Contractor of the omission. If Contractor's failure to provide CMD Progress Payment Form is not explained to the Controller's satisfaction, the Controller will withhold 20% of the payment due pursuant to that invoice until CMD Progress Payment Form is provided. Following City's payment of an invoice, Contractor has ten days to file an affidavit using CMD Payment Affidavit verifying that all subcontractors have been paid and specifying the amount.

2b. **Appendix A-3.** Appendix A-3 Services to be provided by Contractor of the Agreement currently reads as follows:

**Appendix A-3  
Services to be provided by Contractor**

**1. Description of Services:**

The Contractor will manage and operate the Community Assessment and Services Center facility, and oversee the delivery of Center rehabilitative services as described below for clients of the San Francisco Adult Probation Department. Services may be provided at the Center, in County Jail or other locations in the community as needed to support APD clients' success.

**SCOPE OF WORK**

**CASC - Service Delivery Responsibilities**

**A. PRINCIPLES OF EFFECTIVE INTERVENTION**

Leaders in Community Alternatives ("LCA") agrees to train all staff on and appropriately integrate the National Institute of Correction's eight evidence-based principles for effective intervention within community corrections into every facet of service delivery. The eight principles are:

- 1) Assess Criminogenic Risks/Needs
- 2) Enhance Intrinsic Motivations
- 3) Target Interventions
  - i. Risk Principle: Prioritize supervision and treatment resources for higher risk offenders.
  - ii. Need Principle: Target interventions to criminogenic (correlated to crime) needs.
  - iii. Responsivity Principle: Be responsive to temperament, learning style, motivation, culture, and gender when assigning programs.
  - iv. Dosage: Structure 40-70% of high-risk offenders' time for three to nine months.
  - v. Treatment Principle: Integrate treatment into the full sentence/sanction requirements.
- 4) Skill Train with Directed Practice (e.g., use cognitive behavioral treatment methods)
- 5) Increase Positive Reinforcement
- 6) Engage Ongoing Support in Natural Communities

- 7) Measure Relevant Processes/Practices
- 8) Provide Measured Feedback

The CASC program design incorporates these principles in services for all clients. Each client will complete a COMPAS risk-assessment (principle 1) with the aim of identifying and targeting interventions (principle 3). All of the services offered are structured to enhance intrinsic motivation (principle 2) and will engage all individuals in skill building activities (principle 4). The services offered will provide positive reinforcement for the development of new skills and behaviors (principle 5) and will support the socialization of individuals as they re-enter their communities (principle 6). In an effort to demonstrate the success of the proposed model, LCA will measure the implemented practices (principle 7) and will provide measured feedback and outcomes to the SFAPD (principle 8). As established in cooperation with SFAPD and tracked by CASC staff, progress will be measured, including clients' compliance with their COMPAS Individualized Treatment and Rehabilitation Plan attendance, participation in assigned onsite and community activities, completion of components, and any special accomplishments and challenges. 9) Case manager to client case load ratios will not exceed 1:25 except in circumstances in which LCA and APD have discussed, and agreed upon a modification to that ratio. Any concerns or problems will be reviewed in the weekly case conferences with SFAPD, with adjustments made as needed.

#### **B. ASSESSMENT, PLANNING AND TREATMENT**

A comprehensive program is essential for our clients' successful, sustained community reintegration.

The CASC services will incorporate and include:

- 1) Gender Responsive Strategies
- 2) Strength Based, Trauma Informed and Family Focused Strategies
- 3) Criminogenic Needs and Community Functioning Factors
- 4) Collaborative and Coordinated Case Conferencing
- 5) Review of COMPAS Assessment and creation of Reentry Services Plan
- 6) Administration of Secondary Assessments
- 7) Coordinated Case Management

#### **C. OVERVIEW OF SERVICE DELIVERY COMPONENTS**

LCA, will provide the services set forth in this Appendix from program referral to client termination from or completion of services. LCA may provide the services directly or through a subcontractor as specifically indicated below. A subcontractor's failure to deliver the services indicated below does not relieve LCA's responsibility for providing the services. Client referrals may originate in the Reentry Pod located inside of County Jail #2 or by SFAPD DPOs whose clients are already under community supervision.

Services components include:

- 1) Reentry Transportation
- 2) Intake
- 3) Orientation and Enrollment
- 4) Rehabilitation Services
- 5) Individualized Case Management, including Clinical Case Management
- 6) Community Service and Activities
- 7) Aftercare Services

## D. INCENTIVES, REWARDS, AND REMEDIAL SANCTIONS

The overall LCA CASC program design emphasizes and supports clients' strengths, positive change, and the importance of accountability. Best practices includes providing incentives and rewards for progress and achieving goals, and structured sanctions that are swift and certain when clients do not meet program expectations or personal responsibilities.

## E. REHABILITATIVE PROGRAMS

The CASC will offer a full array of **on and off site rehabilitative programs** directly or through subcontractors listed below that are designed to successfully transition offenders back into their communities. The interventions and services strive to use evidenced-based curricula whenever available, and to engage clients and address their criminogenic needs and community functioning factors. Clients will be assigned to rehabilitative services in accordance with their Individualized Treatment and Rehabilitation and/or Reentry Services Plan. Requirements for program completion of each component will be identified in the Reentry Services Plan and adjusted, as needed, through case conferences. Program capacity outlined below is based on current funding availability, and will be adjusted based on actual funding received. Programs include:

### 1. Gender Responsive Treatment and Services for Women Client Groups - LCA

**Primary Curriculum:** Helping Women Recover: A Program for Treating Substance Abuse – Special Edition for Use in the Criminal Justice System (Covington, Rev. Ed. 2008).

**Schedule:** The modules will be delivered 2 days a week, 1 ½ hours each, for 9 weeks, for a total of 25.5 hours, and optional 11 sessions delivered 2 days a week, 1 ½ hours each, for 6 weeks, for a total of 16.5 hours. Proposed program capacity is 48 women per year.

Following completion of Helping Women Recover, clients will be assessed, in cooperation with SFAPD, and those in need of further trauma work will continue with additional treatment utilizing Beyond Trauma: A Healing Journey for Women (Covington 2003) to extend and deepen the trauma work introduced in Helping Women Recover. Clients will also be referred to community providers for ongoing gender responsive services.

### 2. Gender Responsive Treatment and Services for Men Client Groups - LCA

**Primary Curriculum:** Seeking Safety A Treatment Manual for PTSD and Substance Abuse (Najavits 2007), a flexible, cognitive-based curriculum designed for co-occurring post traumatic stress disorder and substance use disorder, focusing on coping skills and psychoeducation, with safety as the overarching goal (helping clients attain safety in their relationships, thinking, behavior, and emotions).

**Schedule:** The modules will be delivered 3 days a week, 1 hour each, for 9 weeks for total of 25 hours. Proposed program capacity is 240 men per year.

### 3. Cognitive Skills Development - LCA

**Primary Curriculum:** Thinking for a Change (T4C), (National Institution of Corrections, 3.0 edition), an integrated, cognitive behavior change program for offenders. It is anticipated that this core program will be included in the Reentry Services Plan for the majority of CASC clients. The three components of T4C are: cognitive self-change, social skills, and problem-solving skills.

**Schedule:** The modules will be delivered 3 days a week, 1½ hours each, for 9 weeks for a total of 37.5 hours (excluding optional sessions). Proposed program capacity is 420 clients per year.

#### **4. Anger Management - LCA**

**Primary Curriculum:** Anger Management for Substance Abuse and Mental Health Clients – A Cognitive Behavioral Therapy Manual (Reilly, Shopshire - SAMHSA, 2002)

**Schedule:** The modules will be delivered once a week, 1 ½ hour sessions, one a week for 12 weeks, for a total of 18 hours. Proposed program capacity is 96 clients per year

#### **5. Substance Abuse Components – LCA**

##### **a. Substance Abuse Education Group**

**Primary Curriculum:** ADDICTION: A Biopsychosocial Model (Terence T. Gorski, 2004): Part 1: Mind-Altering Substances; Part 2: Addictive Risk Factors; Part 3: Substance Abuse and Addiction.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

##### **b. Outpatient Substance Abuse Treatment**

**Primary Curriculum:** RECOVERY: A Developmental Model (Terence T. Gorski, 2004): Part 1: The Recovery Process; Part 2: Building a Foundation for Recovery; Part 3: Creating Quality Recovery.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

##### **c. Relapse Prevention Training**

**Primary Curricula:** RELAPSE (Terence T. Gorski, 2004): Session 1 - Basic Principles; Session 2 - Relapse Warning Signs; Sessions 3 and 4: Managing Relapse Warning Signs. The Relapse Prevention Training groups will then utilize: Relapse Prevention Therapy Workbook: Identifying Early Warning Signs Related to Personality and Lifestyle Problems (Terence T. Gorski and Stephen F. Grinstead, 2010)

**Schedule:** The modules will be delivered 2 days a week, 1 hour each, for 10 weeks for a total of 20 hours. Proposed program capacity is 48 women and 288 men per year.

#### **6. Life Skills Development Training – To be provided by community partner, Center on Juvenile and Criminal Justice (CJ CJ)**

**Primary Curriculum:** Northern California Service League Life Skills and Employment Readiness Program. That program covers such topics as self-assessment, communications, job search techniques and interview skills. CJ CJ transitional services specialist will also offer supportive services to CASC case managers for clients that are preparing for program discharge. Emphasis will be placed on budgeting, money management, technology, finding a safe place to live, nutrition,

exercise, and many other topics designed to help clients live successfully in the community. The Transitional Specialist will provide a full range of resource development and service referrals to CASC clients returning to the community.

**Schedule:** The modules will be delivered 5 days per week, 4 hours each, for 1 week for a total of 20 hours. This program will be provided once per month. Proposed program capacity is 300 clients per year.

#### 7. Parenting/Family Dynamics Training, and Batterers Intervention Services — Community Works

**Primary Curriculum:** Parenting Inside Out, an evidenced-based, cognitive-behavioral parenting curriculum will be used for the parenting/family dynamics work. The research based Manalive™ program curriculum will be used for the Batterers Intervention Program.

**Schedule:** The Parenting/Family Dynamics, and Manalive™ modules will be delivered both at the CASC and in the Reentry Pod, on a schedule that is agreed upon by Community Works, LCA, and APD. Each class size should not exceed 16 people.

#### 8. Education/High School Diploma/GED — Five Keys Charter High School

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will be established by Five Keys.

#### 9. Employment Services — Two community partners, America Works and Center on Juvenile and Criminal Justice (CJ CJ)

##### a) Employment Readiness

**Primary Curriculum:** Awakening New Futures created in 1988 by Northern California Services League, specifically designed for ex-offenders. Other curriculum may also be used by CJ CJ or America Works.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. The curriculum will be delivered 2 days a week, 1 ½ hours each, for 5 weeks, for a total of 15 hours. Proposed program capacity is 480 clients per year.

##### b) Vocational Services

America Works will bring 1 FTE Job Developer to the CASC to provide vocational training and employment assistance to clients for pre-apprenticeship and vocational programs, as well as job placement. In addition, one-on-one career counseling will be provided. Once placed in training or on the job, America Works will establish a weekly retention working relationship with employer and employee to immediately address any concerns or problems.

Additionally, CJ CJ operates two federally funded employment programs. CJ CJ will move the San Francisco Training Partnership and Homeless Employment Coalition services and staff to the CASC facility, allowing clients easy access to these services. Clients will receive an array of services including assessment and referral to short-term training, counseling, and job placement services. Participants in both of these programs will also receive CJ CJ's employment focused life skills trainings. In addition to providing the above described services, CASC clients will be able to

receive monetary support through a flexible pool of monies identified to offer clients training and other relevant supportive services. These funds can be utilized for specific vocational trainings, uniform costs, and work equipment and tools, if deemed appropriate and necessary. These funds provide direct assistance to the clients, allowing for better successes among the participant population.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will vary based on needs of the clients.

#### **10. Recreation and Leisure Activities - LCA**

CASC clients will be introduced to physical recreation and multi-cultural celebrations and creative arts events, initially coordinated by staff and volunteers, and subsequently also through their independent exploration.

**Schedule:** Clients will develop a weekly recreation and leisure plan for pro-social activities in the community with their Case Manager.

#### **11. Physical Health Services – various community providers**

CASC clients not eligible for public insurance programs such as Medi-Cal, and who do not have other health insurance, will be enrolled in Healthy San Francisco. LCA has letters of Intent (LOI) from the Transitions Clinic, South of Market Health Center, and St. James Infirmary to accept eligible clients for medical assessment, treatment and care. Additionally we have an LOI from St. Vincent de Paul Society who through their Wellness Center will work on the emotional side of physical health with programs of stress reduction techniques, exercise, spiritual development as well as health topic discussions.

#### **12. Graduations – LCA**

To receive A CERTIFICATE OF GRADUATION, clients must satisfactorily complete all of their required individual program components as identified in their Reentry Services Plan, and demonstrate their ability to apply the knowledge and tools they learned.

**Schedule:** Twice per year.

#### **13. Additional On-site Groups – LCA**

LCA Case Managers and other trained staff and interns will facilitate weekday open morning, lunchtime, and evening check-in groups. Open N.A. and A.A. Meetings. The Community Room will have current resource information including community events and services.

**Schedule:** vary - during CASC hours of operation.

#### **14. Recovery and Faith-Based Activities – various groups**

Throughout the CASC program, clients will be provided with information if they choose to explore and join organizations offering spiritual and healing groups and activities. Clients will be provided extensive recovery group resource information.



**15. Creative Arts – Community Works**

Community Works will conduct active Creative Arts groups at the CASC and County Jail, A-Pod/Reentry Pod.

**Schedule:** vary - during CASC hours of operation.

**16. Clothing Closet - LCA**

The CASC will work with various community groups to establish a clothing closet on-site at the facility.

**17. Childcare - LCA**

LCA is will partner with Community Works for the parenting portion of the CASC. Case Managers will develop a childcare plan with each client who has children. Referrals will be made to agencies which offer multi-lingual family services, including child care.

**18. Food Service - BHPMSS**

The CASC will provide wholesome and nutritionally balanced meals 5 days per week for clients who spend four or more hours engaged in programming a day. Bayview Hunters Point Multipurpose Senior Services or another approved provider of food services will be responsible for the food service. Programming will include nutrition education, information on shopping and preparation, and also the opportunity to learn about foods of different cultures, expanded to include information on multicultural music, art, and lifestyles.

**19. Saturday Services - LCA**

Case Managers and other program staff will rotate coverage, supported by security staff. There will be a morning 12-Step meeting, a review of available weekend recreation and community service projects, and the resource guides. Computer stations will be available for client use. The on-duty Case Manager will have individual meetings with clients to address any immediate concerns. Rehabilitative programming will be available for working clients.

**20. Alumni Group program - LCA**

LCA Milestones program demonstrated the invaluable contribution of an active alumni group, for the alumni themselves supporting each other, and as role models and support to current clients, the program, and the community. Alumni co-facilitated cognitive-behavioral and recovery groups, led groups for community recreation and cultural activities, provided peer support on a 1:1 basis, and led the weekly Sunday evening group meeting.

CASC will establish and strongly support an active Alumni Group with similar invaluable contributions and benefits to the clients and the program. Representative members selected by the Alumni Group, along with current clients, will serve on a Client Advisory Board.

**21. Community Advisory Board**

The CASC will be an important contributor to its community. An Advisory Board will be established to provide ongoing support for planning and feedback, as well as additional resources

for the program. This Board will meet quarterly at the facility. Members will include social service providers, other community organizations, businesses, clients, SFAPD and others.

### **CASC – Facility Oversight and Operations Responsibilities**

#### **Facility and Grounds requirements:**

1. The CASC facility must be used exclusively for serving the target population and the staff associated with the program.
2. The CASC must be and remain in compliance with all applicable building, sanitation, health, safety and fire codes, as well as city and county zoning and use ordinances.
3. The CASC will have a plan for onsite security/monitoring of all equipment, supplies, staff and clients. The plan will include monitoring and oversight of entry and exit traffic and will ensure a sign-in/sign-out protocol for all facility visitors
4. Clients will be prohibited from loitering outside of the facility.
5. The facility will include a staffed reception lobby for CASC services. The SFAPD will staff a separate SFAPD lobby.
6. The CASC should provide a cheerful décor and color-coordinated furnishings for the facility with special emphasis on the lobby, hallways, classrooms and treatment restrooms, and dining area (eating and break room).
7. The CASC must have sufficient space designated for clients to take scheduled breaks and eat lunch.
8. The CASC must provide for multiple classrooms to permit training and services to be offered simultaneously.
9. The facility must provide an adequate number of functional, clean, bathrooms in accordance with City and County of San Francisco standards. The sinks shall provide both hot and cold water. Hand soap, paper towels, paper seat covers should be available. Restrooms must be considerate of gender needs and be separately located. Restrooms must be in compliance with the Americans with Disabilities Act (ADA).
10. Client restrooms shall not be co-located with the restrooms for staff.
11. If urinalysis testing is phased into programming, there must be a restroom for urinalysis testing.
12. The CASC kitchen, cafeteria, food storage area, equipment, appliances, furnishings and cabinetry, as well as all food service and preparation areas must meet all applicable health and sanitation code standards. Accommodations shall be made for participants with disabilities.
13. The CASC shall provide a wholesome and nutritionally balanced lunch a minimum of 5 days per week for all program participants who spend 4 or more hours engaged in programming on a given day. The CASC will be considerate of general health and dietary restrictions and food prohibitions associated with cultural and religious traditions.
14. LCA shall regularly inspect the facility for pest infestation and shall maintain pest control services to ensure the facility is free of insect and rodent infestation. Documentation of pest control services will be maintained at the facility and made available to the SFAPD staff upon request.
15. The CASC shall have proper lighting, heating, and ventilation.
16. The CASC shall have a secured maintenance room for storage of cleaning supplies, tools and equipment (e.g., mops, brooms, buckets, etc.) and shall be equipped with a utility sink. The facility, equipment, furniture, appliances, etc. shall be kept clean and in good operating condition at all times and replaced when necessary.
17. The CASC shall have a plan to ensure comprehensive janitorial services
18. All repairs including plumbing, electrical and/or structural which affect the health and safety of any occupant must be made within 48 hours of discovery and at the LCA's expense. LCA must notify the SFAPD Reentry Services Manager immediately.
19. LCA will ensure safety and security of facility exterior, interior, equipment, supplies, staff, clients and all client information.

20. If LCA anticipates transporting participants via a private vehicle, all staff shall possess a valid driver's license and the vehicle shall be fully insured.
21. LCA shall have written CASC policies and procedures in accordance with SFAPD's regulations. This policies and procedures will be submitted to the SFAPD Reentry Division for retention in the case file.
22. All CASC staff shall be trained and certified in first aid, including cardiopulmonary resuscitation (CPR) within the first six weeks of employment and remain current throughout their employment relative to this contract. A record of first aid training shall be maintained on file by the LCA.
23. Fully stocked first aid kits will be readily available throughout the facility. The telephone numbers of all local emergency service agencies shall be posted and readily available to all staff.
24. No Smoking signs shall be posted in full view of the participants, staff and visitors.

#### **Security and Safety Requirements:**

1. **Facility Security** – The safety and security of clients, staff and visitors is of paramount importance.
  - a. LCA staff and on site security protocols will take a dignified and reasonable approach to ensuring that the facility is free of weapons and contraband, and protected from outside intrusions. Daily security and perimeter inspection of the facility will make certain that functioning locks and latches are on all windows, doors and gates, and that electrical lighting (inside and out) is operating properly. Door alarms may be used to eliminate unauthorized egress or ingress during evening and night hours. Security policies shall ensure that the clients are not locked inside the facility at any time.
  - b. Given the large number of offenders in the facility at any given time, all staff should be adequately trained in effective relationship building, de-escalation strategies, and emergency response and evacuation protocols. CASC monitors that play a security leadership role should make routine safety checks throughout the facility, and be primarily responsible for prompting attention towards any lighting, signage, training or other upgrade that is needed to further ensure the safety of people and property at the CASC.
2. **Case Files**
  - a. LCA will develop and maintain properly organized participant files and secure them in a locked file cabinet or drawer. Files shall be considered confidential and protected from any unauthorized use or disclosure. Electronic client files will be held to the same security standard as hard copy files. The CASC will have written procedures for the release of case file information to include: 1) the participant's signed and dated Release of Information Form, 2) the name of the person, agency or organization to whom the information was released, and 3) the signature of the employee who released the information and date of release.
3. **Searches and Contraband**
  - a. Whereas safety and security of CASC persons and property is of paramount importance, and whereas SFAPD and CASC staff will take a responsible harm reduction approach to addressing client substance abuse issues, CASC will create and honor a dignified contraband search and client substance use response policy that will be in compliance with SFAPD regulations, policies, and procedures. Clients that enter the CASC are subject to search. Any findings of contraband and/or signs of substance abuse shall be reported to the SFAPD staff as soon as possible after discovery. SFAPD and CASC staff will follow an agreed upon protocol for responding to contraband, weapons and substance use.

**4. Disturbance Control Plan**

- a. LCA will have a written Disturbance Control Plan in the event of a major disturbance such as riots, strikes, attacks upon staff, visitors or participants, explosions or fires, suicides or attempted suicides, natural disasters; and accidental injuries to staff and others. The plan shall include assistance from local law enforcement and/or emergency agencies as circumstances warrant. The development of the Disturbance Control Plan shall be coordinated with the SFAPD Reentry Services Manager. Once the Disturbance Control Plan is developed, LCA will submit a copy to the SFAPD Reentry Services Manager for retention in the contract file.

**5. Fire Evacuation Emergency Procedures**

- a. LCA will have written procedures pertaining to fire prevention, safety requirements, evacuation and emergency procedures that include instructions for the following:
- o Immediate notification of the fire department (inclusive of the designated fire department's address and telephone number)
  - o Alert notification and/or evacuation of all occupants
  - o Notification of authorities
  - o Control and the extinguishing of fires
  - o Evacuation routes and procedures
  - o Other to be identified procedures

**6. Emergency Evacuation Training**

- a. All personnel shall be trained in the implementation of emergency procedures within 24 hours of their initial employment. Annual refresher training shall be provided to all personnel. All training is to be documented for compliance and maintained in employee files.

**7. Quarterly Emergency Evacuation Drills**

- a. LCA will conduct and document quarterly emergency evacuation drills. Documentation of each drill shall include: date and time of day; evacuation path used; number of staff, participants and visitors involved; amount of time to complete the drill, and any pertinent comments.

**8. Posting of Emergency Evacuation Floor Plans**

- a. Clear, concise and site-specific emergency evacuation floor plans shall be posted as appropriate at every occupied floor location throughout the facility. The floor plans should be located near the identified exit doors on each floor. The evacuation diagram plans shall be placed in tamper-proof frames and include the following:
- o Evacuation diagram plan that identifies the "You Are Here," location that is compatible with the building floor plan.
  - o Evacuation plans, which include the location of building exits, fire extinguishers, pull-stations, fire hose cabinets, and first aid supplies.
  - o Emergency and evacuation procedures, including diagrammed evacuation routes, shall be communicated to each new participant upon arrival.

9. **Smoke Detectors and Fire Extinguishers**

- a. LCA shall provide operable and regularly tested smoke detectors and fire extinguishers in key locations including the kitchen and classrooms. All tests shall be documented and maintained at the facility site.

10. **Hazardous, Toxic and Volatile Substances**

- a. LCA shall maintain a written policy for inventory, use, storage and disposal of all hazardous, toxic, and volatile substances in accordance with the Hazardous Substances Information and Training Act, Chapter 2-5 (commencing with Section 6360), Part 1 of Division 5 of the Labor Code. Hazardous, toxic and volatile substances shall not be stored in furnace areas, kitchens, dining areas, or in close proximity to stored food or kitchen supplies. Flammable substances such as gasoline, kerosene and paint thinner shall be stored outside the facility's main structure in approved containers inside properly ventilated and labeled fireproof cabinets.
- b. Material Safety Data Sheets (MSDS) must be maintained on-site for all hazardous materials used in the facility. The MSDS shall be posted and immediately accessible to staff and participants wherever these substances are used.
- c. LCA will provide training to facility staff and program participants. Documentation of training shall be maintained in the facility files.

The SFAPD and LCA will conduct an annual review of facility protocols, and will work together to resolve any review findings. "The periodic reporting required by this Agreement should address LCA's progress toward meeting the above operational and safety requirements, as well as any operational or safety issues that have arisen "

**2. Data Collection and Reports**

The Contractor shall submit written reports as requested by the **San Francisco Adult Probation Department**. Format for the content of such reports shall be determined by the **San Francisco Adult Probation Department**. The timely submission of all reports is a necessary and material term and condition of this Agreement. The SFAPD shall require the following reports:  
Monthly Referral Tracking Report, attached below as Attachment A  
Monthly Client Activity Report, attached below as Attachment B  
Monthly Traffic Tracking Report, the template of which is attached below as Attachment C  
Quarterly and Annual Reports, the template of which is attached below as Attachment D

All Monthly Reports are due by the 15<sup>th</sup> of each month following the reporting month.

Quarterly and Annual Reports shall be submitted in accordance with the following schedule:

- Q1: July 1 – September 30 due by October 30
- Q2: October 1 – December 31 due by January 30
- Q3: January 1 – March 31 due by April 30
- Q4: April 1 – June 30 due by July 30
- Annual: July 1 – June 30 due by August 15

Should any of the due dates fall on a weekend day, the Report shall be submitted the Friday prior to the due date.

Reports shall be submitted to the Reentry Services Manager, also known herein as the Program Liaison.

All CASC information, reports, writings, summary documents or press releases shall be reviewed and approved by the SFAPD prior to dissemination. LCA, and partners associated with the CASC will consult with the SFAPD before publically releasing any CASC related information to the public or other professional groups.

### 3. Securing Contract Staff

- The Program and Associate Director should have a Master's Degree in Social Sciences or a related field, and at least one year of administrative experience in a program setting; or, a four-year degree in Social Sciences or related fields, and the equivalent of three cumulative years of documented experience demonstrating a history of administrative responsibility in criminal justice programs; or a two-year degree (AA or AS) and the equivalent of five years of full-time administrative experience in substance abuse programs combined with demonstrable familiarity working with the target population.
- The LCSW/LMFT staff must be in possession of a valid license as a LCSW or a LMFT issued by the California Board of Behavioral Science Examiners (CBBS), or Registered Intern with CBBS.
- Program staff will possess a four-year degree in Social Sciences or related fields and the equivalent of one year of documented criminal justice, substance abuse or social services program management experience; or a two-year (AA or AS) and the equivalent of two years' experience, or a High School Diploma or GED and four cumulative years of full-time experience
- The Contractor shall review and approve in advance the resumes/qualifications of all required personnel assigned to the contract to ensure the minimum specified standards are met.
- If a candidate or staff does not meet the minimum qualifications described, the LCA and SFAPD should review the circumstances, and decide a course of action that is in the best interest of the CASC program.
- The Contractor will send all final job descriptions to SFAPD for review prior to posting; and will let SFAPD know when posting or active recruitment for any position commences.
- The Contractor will provide SFAPD with candidate resumes, as well as indication of intent to hire a candidate. If a program staff is already a part of the Contractor team, the Contractor will provide SFAPD with staff name, and resume information.
- All CASC program employees and subcontractors, as well as any person in the operator's organization who will have access to or entrance into the facility, or other services locations shall be required to meet the requirements to obtain a SFAPD security clearance to enter and work at the facility. It shall be the operator's responsibility to retain approved clearancés on-site as long as the staff member is employed. The SFAPD reserves the right to deny and/or retract security clearances upon written notification to the operator.
- Criteria for approval or denial of a position may include, but may not be limited to:

- No arrests during the past three years.
  - Cannot currently be on parole, mandatory supervision, PRCS or probation or under any structured supervision as a result of criminal conduct.
  - Not required to register per Health and Safety Code Section 11590, Penal Code Section 290, and/or Penal Code Section 451.
- Staff vacancies shall be brought to the immediate attention of the SFAPD Reentry Division. The operator may fill temporary vacancies internally by a temporary reassignment of existing qualified staff. The hiring process shall not exceed 30 days from the date of vacancy and the position must be filled within 60 days.
  - The Contractor can make staffing and hiring modifications as needed for the benefit of the CASC program, and with the prior approval of SFAPD.

**4. Department Liaison**

In performing the services provided for in this Agreement, Contractor's liaison with the San Francisco Adult Probation Department will be Lauren Bell.

**5. Attachments**

**Attachment A: Monthly Referral Tracking Report**

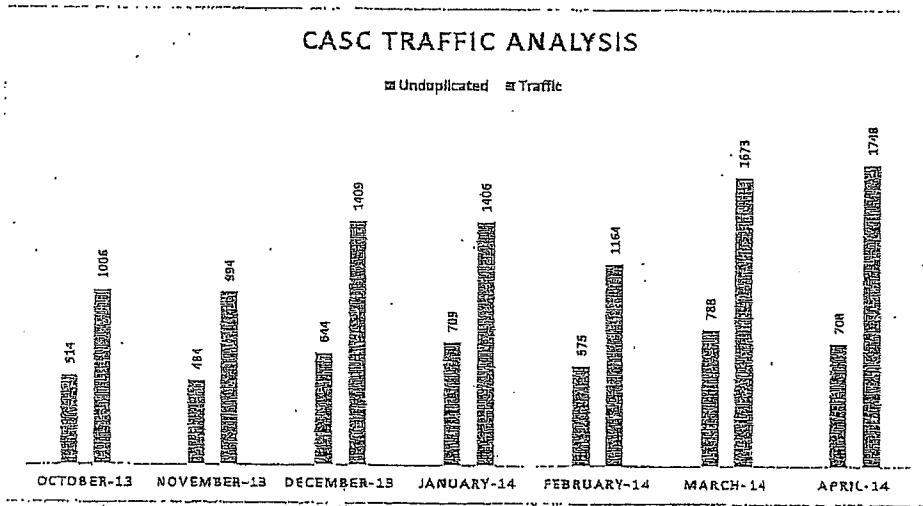
Attachment A - Monthly Referral Data (Please maintain a cumulative list)						
SF#	Date Referred	Probation Officer	Service Type	Status	Status Date	Supervision Unit

**Attachment B: Monthly Client Activity Report**

ATTACHMENT B - Monthly Client Activity Report												
CASC Partner Agency: <input type="text"/>												
Reporting Month: <input type="text"/> (Please include new clients per reporting month, and maintain a cumulative list of monthly clients)												
Reporting Month	PARTNER POPULATED FIELDS			CASC POPULATED FIELDS				PARTNER POPULATED FIELDS				
	Client last Name	Client First Name	SF#	DPD	Service Type	AED Referral Date	CASC Referral Date	Partner Assessment Date	Notes	Service	Status	Date of last Contact

Attachment C: Monthly Traffic Tracking Report

Attachment C: Monthly Traffic Report



Attachment D: Quarterly and Annual Reports

A. Client Activity Summary

	In Reporting Period	To Date
1. Clients entering		
2. Clients active		
3. Clients discharged – inactive		
4. Clients discharged – completed		
5. Clients attending class		
6. Clients entering from Reentry Pod (subset of #1)		
7. Clients active from Reentry Pod (subset #2)		
8. Clients from Reentry Pod discharged – inactive (subset of #3)		
9. Clients from Reentry Pod discharged – completed		



(subset of #4)		
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**B. Referral Analysis for Reporting Period\***

\*If fourth quarter, please provide both the fourth quarter and aggregate annual data.

By APD Division:

1. Total Referrals (FCM and SFA and Pod).
2. Total Referrals FCM.
3. Total Referrals SFA.
4. Total Referrals Pod.
5. Total Enrollments.
6. Total Discharged – Inactive.
7. Total Discharged - Completed Probation.
8. Total Discharged - Completed Specified Service.

**C. Engagement Analysis for Reporting Period**

\*If fourth quarter, please provide both the fourth quarter and aggregate annual data.

*Note: Items 1 – 5 below are totals for the reporting period. Item 6 is a point-in-time count as of the end of the reporting period.*

**Summary**

	Full Case Management	Services for All
1. Total Referrals		
2. Total Enrolled		
3. Total Discharged- Inactive		
4. Total Discharged – Completed Probation		
5. Total Discharged – Completed Service		
6. Total Active as of end of reporting period		

**Partner workshops**

	5 Keys	CJ CJ Employment Services	Community Works	America Works
1. Total Referrals				
2. Total Enrolled				
3. Total Discharged- Inactive				
4. Total Discharged – Completed Probation				
5. Total Discharged – Completed Service				
6. Total Active as of end of reporting period				

**CASC Workshops**

	Anger Management	Helping Women Recover	Seeking Safety (Pod)	Seeing Safety (CASC)
1. Total Referrals				
2. Total Enrolled				
3. Total Discharged- Inactive				
4. Total Discharged – Completed Probation				
5. Total Discharged – Completed Service				
6. Total Active as of end of reporting period				

	Substance Abuse Education	Thinking for a Change	Education/5Ks	Add-in All Other Workshops
1. Total Referrals				
2. Total Enrolled				
3. Total Discharged- Inactive				
4. Total Discharged – Completed Probation				
5. Total Discharged – Completed Service				
6. Total Active as of end of reporting period				

	THC (Lauren will collect / compile)
1. Total Referrals	
2. Total beds available	
3. Total placements	
4. Total in housing as of end of reporting period	

**D. Client Engagement Incentive Program Activity for Reporting Period**

	Number Distributed	Number of Clients Served
1. Food Distribution:		
a. Breakfasts		
b. Lunches		
c. Other food		
2. Tokens Distributed		
3. Other incentives as implemented		

**E. Narrative**

**a. Administrative Operations:**

Successes, challenges, resolutions, and plans for the next quarter.

**b. Staffing and Training Updates:**

Successes, challenges, and resolutions, and plans for the next quarter.

**c. CASC Program, Client and Community Development:**

Successes, challenges, and resolutions, and plans for the next quarter.

**d. Reentry Pod:**

Successes, challenges, and resolutions, and plans for the next quarter.

**e. Additional information to further illustrate successes, challenges, resolutions, and plans for next quarter**

**F. Annual Report Outcomes** (The below outcomes are to be provided in the Annual Report along with Q4 data as per the above sections, inclusive of a narrative that reflects on highlights of the year).

**1. Employment Outcomes** (CJCC and America Works)

- a. Total job placements in reporting period
- b. Number of clients who worked in job placement for 90 days or more in reporting period
- c. Number currently employed in job placement as of end of reporting period

**2. Education Outcomes** (5 Keys Partnership)

- a. Total completed GED or HSD in reporting period
- b. Total participating in literacy classes in reporting period
- c. Total completing food handler certification

**3. Housing Outcomes**

- a. Number of clients under-housed at intake in reporting period
- b. Number of clients homeless at intake in reporting period
- c. Number placed in permanent housing in reporting period
- d. Number placed in stabilization unit in reporting period
- e. Number placed in transitional housing in reporting period

**4. Income Support Outcomes**

- a. Total in need of income support at intake
- b. Total receiving GA as of end of reporting period
- c. Total receiving SSI as of end of reporting period
- d. Total employed as of end of reporting period

**5. Behavioral Health Outcomes**

- a. Number of clients with identified mental health need at intake during reporting period
- b. Number of clients with identified substance dependency issue at intake during reporting period
- c. Number of clients referred to behavioral health services during reporting period

Such section is hereby amended in its entirety to read as follows:

**Appendix A-4  
Services to be provided by Contractor**

**1. Description of Services:**

The Contractor will manage and operate the Community Assessment and Services Center facility, and oversee the delivery of Center rehabilitative services as described below for clients of the San Francisco Adult Probation Department. Services may be provided at the Center, in County Jail or other locations in the community as needed to support APD clients' success.

**SCOPE OF WORK**

**CASC – Service Delivery Responsibilities**

**A. PRINCIPLES OF EFFECTIVE INTERVENTION**

Leaders in Community Alternatives ("LCA") agrees to train all staff on and appropriately integrate the National Institute of Correction's eight evidence-based principles for effective intervention within community corrections into every facet of service delivery. The eight principles are:

- 1) Assess Criminogenic Risks/Needs
- 2) Enhance Intrinsic Motivations
- 3) Target Interventions
  - i. Risk Principle: Prioritize supervision and treatment resources for higher risk offenders.
  - ii. Need Principle: Target interventions to criminogenic (correlated to crime) needs.
  - iii. Responsivity Principle: Be responsive to temperament, learning style, motivation, culture, and gender when assigning programs.
  - iv. Dosage: Structure 40-70% of high-risk offenders' time for three to nine months.
  - v. Treatment Principle: Integrate treatment into the full sentence/sanction requirements.
- 4) Skill Train with Directed Practice (e.g., use cognitive behavioral treatment methods)
- 5) Increase Positive Reinforcement
- 6) Engage Ongoing Support in Natural Communities
- 7) Measure Relevant Processes/Practices
- 8) Provide Measured Feedback

The CASC program design incorporates these principles in services for all clients. Each client will complete a COMPAS risk-assessment (principle 1) with the aim of identifying and targeting interventions (principle 3). All of the services offered are structured to enhance intrinsic motivation (principle 2) and will engage all individuals in skill building activities (principle 4). The services offered will provide positive reinforcement for the development of new skills and behaviors (principle 5) and will support the socialization of individuals as they re-enter their communities (principle 6). In an effort to demonstrate the success of the proposed model, LCA will measure the implemented practices (principle 7) and will provide measured feedback and outcomes to the SFAPD (principle 8). As established in cooperation with SFAPD and tracked by CASC staff, progress will be measured, including clients' compliance with their COMPAS Individualized Treatment and Rehabilitation Plan attendance, participation in assigned onsite

and community activities, completion of components, and any special accomplishments and challenges. 9) Case manager to client case load ratios will not exceed 1:25 except in circumstances in which LCA and APD have discussed, and agreed upon a modification to that ratio. Any concerns or problems will be reviewed in the weekly case conferences with SFAPD, with adjustments made as needed.

#### **B. ASSESSMENT, PLANNING AND TREATMENT**

A comprehensive program is essential for our clients' successful, sustained community reintegration.

The CASC services will incorporate and include:

- 1) Gender Responsive Strategies
- 2) Strength Based, Trauma Informed and Family Focused Strategies
- 3) Criminogenic Needs and Community Functioning Factors
- 4) Collaborative and Coordinated Case Conferencing
- 5) Review of COMPAS Assessment and creation of Reentry Services Plan
- 6) Administration of Secondary Assessments
- 7) Coordinated Case Management

#### **C. OVERVIEW OF SERVICE DELIVERY COMPONENTS**

LCA, will provide the services set forth in this Appendix from program referral to client termination from or completion of services. LCA may provide the services directly or through a subcontractor as specifically indicated below. A subcontractor's failure to deliver the services indicated below does not relieve LCA's responsibility for providing the services. Client referrals may originate in the Reentry Pod located inside of County Jail #2 or by SFAPD DPOs whose clients are already under community supervision.

Services components include:

- 1) Reentry Transportation
- 2) Intake
- 3) Orientation and Enrollment
- 4) Rehabilitation Services
- 5) Individualized Case Management, including Clinical Case Management
- 6) Community Service and Activities
- 7) Aftercare Services

#### **D. INCENTIVES, REWARDS, AND REMEDIAL SANCTIONS**

The overall LCA CASC program design emphasizes and supports clients' strengths, positive change, and the importance of accountability. Best practices includes providing incentives and rewards for progress and achieving goals, and structured sanctions that are swift and certain when clients do not meet program expectations or personal responsibilities.

#### **E. REHABILITATIVE PROGRAMS**

The CASC will offer a full array of **on and off site rehabilitative programs** directly or through subcontractors listed below that are designed to successfully transition offenders back into their communities. The interventions and services strive to use evidenced-based curricula whenever available, and to engage clients and address their criminogenic needs and community functioning factors. Clients

will be assigned to rehabilitative services in accordance with their Individualized Treatment and Rehabilitation and/or Reentry Services Plan. Requirements for program completion of each component will be identified in the Reentry Services Plan and adjusted, as needed, through case conferences. Program capacity outlined below is based on current funding availability, and will be adjusted based on actual funding received. Programs include:

#### 1. Gender Responsive Treatment and Services for Women Client Groups - LCA

**Primary Curriculum:** Helping Women Recover: A Program for Treating Substance Abuse – Special Edition for Use in the Criminal Justice System (Covington, Rev. Ed. 2008).

**Schedule:** The modules will be delivered 2 days a week, 1 ½ hours each, for 9 weeks, for a total of 25.5 hours, and optional 11 sessions delivered 2 days a week, 1 ½ hours each, for 6 weeks, for a total of 16.5 hours. Proposed program capacity is 48 women per year.

Following completion of Helping Women Recover, clients will be assessed, in cooperation with SFAPD, and those in need of further trauma work will continue with additional treatment utilizing Beyond Trauma: A Healing Journey for Women (Covington 2003) to extend and deepen the trauma work introduced in Helping Women Recover. Clients will also be referred to community providers for ongoing gender responsive services.

#### 2. Gender Responsive Treatment and Services for Men Client Groups - LCA

**Primary Curriculum:** Seeking Safety A Treatment Manual for PTSD and Substance Abuse (Najavits 2007), a flexible, cognitive-based curriculum designed for co-occurring post traumatic stress disorder and substance use disorder, focusing on coping skills and psychoeducation, with safety as the overarching goal (helping clients attain safety in their relationships, thinking, behavior, and emotions).

**Schedule:** The modules will be delivered 3 days a week, 1 hour each, for 9 weeks for total of 25 hours. Proposed program capacity is 240 men per year.

#### 3. Cognitive Skills Development - LCA

**Primary Curriculum:** Thinking for a Change (T4C), (National Institution of Corrections, 3.0 edition), an integrated, cognitive behavior change program for offenders.. It is anticipated that this core program will be included in the Reentry Services Plan for the majority of CASC clients. The three components of T4C are: cognitive self-change, social skills, and problem-solving skills.

**Schedule:** The modules will be delivered 3 days a week, 1½ hours each, for 9 weeks for a total of 37.5 hours (excluding optional sessions). Proposed program capacity is 420 clients per year.

#### 4. Anger Management - LCA

**Primary Curriculum:** Anger Management for Substance Abuse and Mental Health Clients – A Cognitive Behavioral Therapy Manual (Reilly, Shopshire - SAMHSA, 2002)

**Schedule:** The modules will be delivered once a week, 1 ½ hour sessions, one a week for 12 weeks, for a total of 18 hours. Proposed program capacity is 96 clients per year

## 5. Substance Abuse Components – LCA

### a. Substance Abuse Education Group

**Primary Curriculum:** ADDICTION: A Biopsychosocial Model (Terence T. Gorski, 2004): Part 1: Mind-Altering Substances; Part 2: Addictive Risk Factors; Part 3: Substance Abuse and Addiction.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

### b. Outpatient Substance Abuse Treatment

**Primary Curriculum:** RECOVERY: A Developmental Model (Terence T. Gorski, 2004): Part 1: The Recovery Process; Part 2: Building a Foundation for Recovery; Part 3: Creating Quality Recovery.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

### c. Relapse Prevention Training

**Primary Curricula:** RELAPSE (Terence T. Gorski, 2004): Session 1 - Basic Principles; Session 2 - Relapse Warning Signs; Sessions 3 and 4: Managing Relapse Warning Signs. The Relapse Prevention Training groups will then utilize: Relapse Prevention Therapy Workbook: Identifying Early Warning Signs Related to Personality and Lifestyle Problems (Terence T. Gorski and Stephen F. Grinstead, 2010)

**Schedule:** The modules will be delivered 2 days a week, 1 hour each, for 10 weeks for a total of 20 hours. Proposed program capacity is 48 women and 288 men per year.

## 6. Life Skills Development Training – To be provided by community partner, Center on Juvenile and Criminal Justice (CJ CJ)

**Primary Curriculum:** Northern California Service League Life Skills and Employment Readiness Program. That program covers such topics as self-assessment, communications, job search techniques and interview skills. CJ CJ transitional services specialist will also offer supportive services to CASC case managers for clients that are preparing for program discharge. Emphasis will be placed on budgeting, money management, technology, finding a safe place to live, nutrition, exercise, and many other topics designed to help clients live successfully in the community. The Transitional Specialist will provide a full range of resource development and service referrals to CASC clients returning to the community.

**Schedule:** The modules will be delivered 5 days per week, 4 hours each, for 1 week for a total of 20 hours. This program will be provided once per month. Proposed program capacity is 300 clients per year.

### 7. Parenting/Family Dynamics Training, and Batterers Intervention Services — Community Works

**Primary Curriculum:** Parenting Inside Out, an evidenced-based, cognitive-behavioral parenting curriculum will be used for the parenting/family dynamics work. The research based Manalive™ program curriculum will be used for the Batterers Intervention Program.

**Schedule:** The Parenting/Family Dynamics, and Manalive™ modules will be delivered both at the CASC and in the Reentry Pod, on a schedule that is agreed upon by Community Works, LCA, and APD. Each class size should not exceed 16 people.

### 8. Education/High School Diploma/GED – Five Keys Charter High School

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will be established by Five Keys.

### 9. Employment Services – Three community partners, Anders and Anders Foundation, America Works and Center on Juvenile and Criminal Justice (CJ CJ)

#### a) Employment Readiness

**Primary Curriculum:** Awakening New Futures created in 1988 by Northern California Services League, specifically designed for ex-offenders. Other curriculum may also be used by CJ CJ or America Works.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. The curriculum will be delivered 2 days a week, 1 ½ hours each, for 5 weeks, for a total of 15 hours. Proposed program capacity is 480 clients per year.

#### b) Vocational Services

America Works will bring 1 FTE Job Developer to the CASC to provide vocational training and employment assistance to clients for pre-apprenticeship and vocational programs, as well as job placement. In addition, one-on-one career counseling will be provided. Once placed in training or on the job, America Works will establish a weekly retention working relationship with employer and employee to immediately address any concerns or problems.

Additionally, CJ CJ operates two federally funded employment programs. CJ CJ will move the San Francisco Training Partnership and Homeless Employment Coalition services and staff to the CASC facility, allowing clients easy access to these services. Clients will receive an array of services including assessment and referral to short-term training, counseling, and job placement services. Participants in both of these programs will also receive CJ CJ's employment focused life skills trainings. In addition to providing the above described services, CASC clients will be able to receive monetary support through a flexible pool of monies identified to offer clients training and other relevant supportive services. These funds can be utilized for specific vocational trainings, uniform costs, and work equipment and tools, if deemed appropriate and necessary. These funds provide direct assistance to the clients, allowing for better successes among the participant population.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will vary based on needs of the clients.



### c) Job Development

Anders and Anders Foundation will provide bi-monthly construction workshops, construction trades/union, and green jobs job development services, will work in close coordination with LCA and all CASC partners, and will track, and monitor clients in accordance with LCA/CASC protocols.

#### 10. Recreation and Leisure Activities - LCA and community partners

CASC clients will be introduced to physical recreation and multi-cultural celebrations, personal development activities such as the RENEW program, and creative arts events, initially coordinated by staff and volunteers, and subsequently also through their independent exploration.

**Schedule:** LCA will develop a weekly recreation and leisure plan for pro-social activities on site and in the community.

#### 11. Physical Health Services – various community providers

CASC clients not eligible for public insurance programs such as Medi-Cal, and who do not have other health insurance, will be enrolled in Healthy San Francisco. LCA has letters of Intent (LOI) from the Transitions Clinic, South of Market Health Center, and St. James Infirmiry to accept eligible clients for medical assessment, treatment and care. Additionally we have an LOI from St. Vincent de Paul Society who through their Wellness Center will work on the emotional side of physical health with programs of stress reduction techniques, exercise, spiritual development as well as health topic discussions.

#### 12. Graduations – LCA

To receive A CERTIFICATE OF GRADUATION, clients must satisfactorily complete all of their required individual program components as identified in their Reentry Services Plan, and demonstrate their ability to apply the knowledge and tools they learned.

**Schedule:** Twice per year.

#### 13. Additional On-site Groups – LCA

LCA Case Managers and other trained staff and interns will facilitate weekday open morning, lunchtime, and evening check-in groups. Open N.A. and A.A. Meetings. The Community Room will have current resource information including community events and services.

**Schedule:** vary - during CASC hours of operation.

#### 14. Recovery and Faith-Based Activities – various groups

Throughout the CASC program, clients will be provided with information if they choose to explore and join organizations offering spiritual and healing groups and activities. Clients will be provided extensive recovery group resource information.

15. Creative Arts – Community Works

Community Works will conduct active Creative Arts groups at the CASC and County Jail, A-Pod/Reentry Pod.

**Schedule:** vary - during CASC hours of operation.

16. Clothing Closet - LCA

The CASC will work with various community groups to establish a clothing closet on-site at the facility.

17. Childcare - LCA

LCA is will partner with Community Works for the parenting portion of the CASC. Case Managers will develop a childcare plan with each client who has children. Referrals will be made to agencies which offer multi-lingual family services, including child care.

18. Food Service - BHPMSS

The CASC will provide wholesome and nutritionally balanced meals 5 days per week for clients who spend four or more hours engaged in programming a day. Bayview Hunters Point Multipurpose Senior Services or another approved provider of food services will be responsible for the food service. Programming will include nutrition education, information on shopping and preparation, and also the opportunity to learn about foods of different cultures, expanded to include information on multicultural music, art, and lifestyles.

19. Saturday Services - LCA

Case Managers and other program staff will rotate coverage, supported by security staff. There will be a morning 12-Step meeting, a review of available weekend recreation and community service projects, and the resource guides. Computer stations will be available for client use. The on-duty Case Manager will have individual meetings with clients to address any immediate concerns. Rehabilitative programming will be available for working clients.

20. Alumni Group program - LCA

LCA Milestones program demonstrated the invaluable contribution of an active alumni group, for the alumni themselves supporting each other, and as role models and support to current clients, the program, and the community. Alumni co-facilitated cognitive-behavioral and recovery groups, led groups for community recreation and cultural activities, provided peer support on a 1:1 basis, and led the weekly Sunday evening group meeting.

CASC will establish and strongly support an active Alumni Group with similar invaluable contributions and benefits to the clients and the program. Representative members selected by the Alumni Group, along with current clients, will serve on a Client Advisory Board.

21. Community Advisory Board

The CASC will be an important contributor to its community. An Advisory Board will be established to provide ongoing support for planning and feedback, as well as additional resources for the program. This Board will meet quarterly at the facility. Members will include social service providers, other community organizations, businesses, clients, SFAPD and others.

## CASC Facility Oversight and Operations Responsibilities

### Facility and Grounds requirements:

1. The CASC facility must be used exclusively for serving the target population and the staff associated with the program.
2. The CASC must be and remain in compliance with all applicable building, sanitation, health, safety and fire codes, as well as city and county zoning and use ordinances.
3. The CASC will have a plan for onsite security/monitoring of all equipment, supplies, staff and clients. The plan will include monitoring and oversight of entry and exit traffic and will ensure a sign-in/sign-out protocol for all facility visitors.
4. Clients will be prohibited from loitering outside of the facility.
5. The facility will include a staffed reception lobby for CASC services. The SFAPD will staff a separate SFAPD lobby.
6. The CASC should provide a cheerful décor and color-coordinated furnishings for the facility with special emphasis on the lobby, hallways, classrooms and treatment restrooms, and dining area (eating and break room).
7. The CASC must have sufficient space designated for clients to take scheduled breaks and eat lunch.
8. The CASC must provide for multiple classrooms to permit training and services to be offered simultaneously.
9. The facility must provide an adequate number of functional, clean, bathrooms in accordance with City and County of San Francisco standards. The sinks shall provide both hot and cold water. Hand soap, paper towels, paper seat covers should be available. Restrooms must be considerate of gender needs and be separately located. Restrooms must be in compliance with the Americans with Disabilities Act (ADA).
10. Client restrooms shall not be co-located with the restrooms for staff.
11. If urinalysis testing is phased into programming, there must be a restroom for urinalysis testing.
12. The CASC kitchen, cafeteria, food storage area, equipment, appliances, furnishings and cabinetry, as well as all food service and preparation areas must meet all applicable health and sanitation code standards. Accommodations shall be made for participants with disabilities.
13. The CASC shall provide a wholesome and nutritionally balanced lunch a minimum of 5 days per week for all program participants who spend 4 or more hours engaged in programming on a given day. The CASC will be considerate of general health and dietary restrictions and food prohibitions associated with cultural and religious traditions.
14. LCA shall regularly inspect the facility for pest infestation and shall maintain pest control services to ensure the facility is free of insect and rodent infestation. Documentation of pest control services will be maintained at the facility and made available to the SFAPD staff upon request.
15. The CASC shall have proper lighting, heating, and ventilation.
16. The CASC shall have a secured maintenance room for storage of cleaning supplies, tools and equipment (e.g., mops, brooms, buckets, etc.) and shall be equipped with a utility sink. The facility, equipment, furniture, appliances, etc. shall be kept clean and in good operating condition at all times and replaced when necessary.
17. The CASC shall have a plan to ensure comprehensive janitorial services.
18. All repairs including plumbing, electrical and/or structural which affect the health and safety of any occupant must be made within 48 hours of discovery and at the LCA's expense. LCA must notify the SFAPD Reentry Services Manager immediately.
19. LCA will ensure safety and security of facility exterior, interior, equipment, supplies, staff, clients and all client information.
20. If LCA anticipates transporting participants via a private vehicle, all staff shall possess a valid driver's license and the vehicle shall be fully insured.

21. LCA shall have written CASC policies and procedures in accordance with SFAPD's regulations. This policies and procedures will be submitted to the SFAPD Reentry Division for retention in the case file.
22. All CASC staff shall be trained and certified in first aid, including cardiopulmonary resuscitation (CPR) within the first six weeks of employment and remain current throughout their employment relative to this contract. A record of first aid training shall be maintained on file by the LCA.
23. Fully stocked first aid kits will be readily available throughout the facility. The telephone numbers of all local emergency service agencies shall be posted and readily available to all staff.
24. No Smoking signs shall be posted in full view of the participants, staff and visitors.

**Security and Safety Requirements:**

1. **Facility Security** – The safety and security of clients, staff and visitors is of paramount importance.
  - a. LCA staff and on site security protocols will take a dignified and reasonable approach to ensuring that the facility is free of weapons and contraband, and protected from outside intrusions. Daily security and perimeter inspection of the facility will make certain that functioning locks and latches are on all windows, doors and gates, and that electrical lighting (inside and out) is operating properly. Door alarms may be used to eliminate unauthorized egress or ingress during evening and night hours. Security policies shall ensure that the clients are not locked inside the facility at any time.
  - b. Given the large number of offenders in the facility at any given time, all staff should be adequately trained in effective relationship building, de-escalation strategies, and emergency response and evacuation protocols. CASC monitors that play a security leadership role should make routine safety checks throughout the facility, and be primarily responsible for prompting attention towards any lighting, signage, training or other upgrade that is needed to further ensure the safety of people and property at the CASC.
2. **Case Files**
  - a. LCA will develop and maintain properly organized participant files and secure them in a locked file cabinet or drawer. Files shall be considered confidential and protected from any unauthorized use or disclosure. Electronic client files will be held to the same security standard as hard copy files. The CASC will have written procedures for the release of case file information to include: 1) the participant's signed and dated Release of Information Form, 2) the name of the person, agency or organization to whom the information was released, and 3) the signature of the employee who released the information and date of release.
3. **Searches and Contraband**
  - a. Whereas safety and security of CASC persons and property is of paramount importance, and whereas SFAPD and CASC staff will take a responsible harm reduction approach to addressing client substance abuse issues, CASC will create and honor a dignified contraband search and client substance use response policy that will be in compliance with SFAPD regulations, policies, and procedures. Clients that enter the CASC are subject to search. Any findings of contraband and/or signs of substance abuse shall be reported to the SFAPD staff as soon as possible after discovery. SFAPD and CASC staff will follow an agreed upon protocol for responding to contraband, weapons and substance use.

#### **4. Disturbance Control Plan**

- a. LCA will have a written Disturbance Control Plan in the event of a major disturbance such as riots, strikes, attacks upon staff, visitors or participants, explosions or fires, suicides or attempted suicides, natural disasters; and accidental injuries to staff and others. The plan shall include assistance from local law enforcement and/or emergency agencies as circumstances warrant. The development of the Disturbance Control Plan shall be coordinated with the SFAPD Reentry Services Manager. Once the Disturbance Control Plan is developed, LCA will submit a copy to the SFAPD Reentry Services Manager for retention in the contract file.

#### **5. Fire Evacuation Emergency Procedures**

- a. LCA will have written procedures pertaining to fire prevention, safety requirements, evacuation and emergency procedures that include instructions for the following:
  - o Immediate notification of the fire department (inclusive of the designated fire department's address and telephone number)
  - o Alert notification and/or evacuation of all occupants
  - o Notification of authorities
  - o Control and the extinguishing of fires
  - o Evacuation routes and procedures
  - o Other to be identified procedures

#### **6. Emergency Evacuation Training**

- a. All personnel shall be trained in the implementation of emergency procedures within 24 hours of their initial employment. Annual refresher training shall be provided to all personnel. All training is to be documented for compliance and maintained in employee files.

#### **7. Quarterly Emergency Evacuation Drills**

- a. LCA will conduct and document quarterly emergency evacuation drills. Documentation of each drill shall include: date and time of day; evacuation path used; number of staff, participants and visitors involved; amount of time to complete the drill, and any pertinent comments.

#### **8. Posting of Emergency Evacuation Floor Plans**

- a. Clear, concise and site-specific emergency evacuation floor plans shall be posted as appropriate at every occupied floor location throughout the facility. The floor plans should be located near the identified exit doors on each floor. The evacuation diagram plans shall be placed in tamper-proof frames and include the following:
  - o Evacuation diagram plan that identifies the "You Are Here," location that is compatible with the building floor plan.
  - o Evacuation plans, which include the location of building exits, fire extinguishers, pull-stations, fire hose cabinets, and first aid supplies.
  - o Emergency and evacuation procedures, including diagrammed evacuation routes, shall be communicated to each new participant upon arrival.

**9. Smoke Detectors and Fire Extinguishers**

- a. LCA shall provide operable and regularly tested smoke detectors and fire extinguishers in key locations including the kitchen and classrooms. All tests shall be documented and maintained at the facility site.

**10. Hazardous, Toxic and Volatile Substances**

- a. LCA shall maintain a written policy for inventory, use, storage and disposal of all hazardous, toxic, and volatile substances in accordance with the Hazardous Substances Information and Training Act, Chapter 2-5 (commencing with Section 6360), Part 1 of Division 5 of the Labor Code. Hazardous, toxic and volatile substances shall not be stored in furnace areas, kitchens, dining areas, or in close proximity to stored food or kitchen supplies. Flammable substances such as gasoline, kerosene and paint thinner shall be stored outside the facility's main structure in approved containers inside properly ventilated and labeled fireproof cabinets.
- b. Material Safety Data Sheets (MSDS) must be maintained on-site for all hazardous materials used in the facility. The MSDS shall be posted and immediately accessible to staff and participants wherever these substances are used.
- c. LCA will provide training to facility staff and program participants. Documentation of training shall be maintained in the facility files.

The SFAPD and LCA will conduct an annual review of facility protocols, and will work together to resolve any review findings. "The periodic reporting required by this Agreement should address LCA's progress toward meeting the above operational and safety requirements, as well as any operational or safety issues that have arisen".

**2. Data Collection and Reports**

The Contractor shall submit written reports as requested by the **San Francisco Adult Probation Department**. Format for the content of such reports shall be determined by the **San Francisco Adult Probation Department**. The timely submission of all reports is a necessary and material term and condition of this Agreement. The SFAPD shall require the following reports:  
Monthly Referral Tracking Report, attached below as Attachment A  
Monthly Client Activity Report, attached below as Attachment B  
Monthly Traffic Tracking Report, the template of which is attached below as Attachment C  
Quarterly and Annual Reports, the template of which is attached below as Attachment D

All Monthly Reports are due by the 15<sup>th</sup> of each month following the reporting month.

Quarterly and Annual Reports shall be submitted in accordance with the following schedule:

- Q1: July 1 – September 30 due by October 30
- Q2: October 1 – December 31 due by January 30
- Q3: January 1 – March 31 due by April 30
- Q4: April 1 – June 30 due by July 30
- Annual: July 1 – June 30 due by August 15

Should any of the due dates fall on a weekend day, the Report shall be submitted the Friday prior to the due date.

Reports shall be submitted to the Reentry Services Manager.

All CASC information, reports, writings, summary documents or press releases shall be reviewed and approved by the SFAPD prior to dissemination. LCA, and partners associated with the CASC will consult with the SFAPD before publically releasing any CASC related information to the public or other professional groups.

### 3. Securing Contract Staff

#### Contractor shall:

- Provide SFAPD with a copy of the job descriptions that govern the minimum requested qualifications for Contractor staff. SFAPD reserves the right to negotiate the terms of the job descriptions for management level positions for the benefit of the program and Participants. SFAPD and Contractor must agree on the language of management level descriptions prior to posting. Contractor shall hire qualified staff for each position. Contractor shall manage staff performance in accordance with applicable laws and collective bargaining agreements;
- Provide SFAPD with the indication of intent to hire staff. For management level positions, Contractor will provide SFAPD with the names and resumes of its final candidates and discuss candidates' qualifications with SFAPD.
- Arrange for all staff and volunteers, including subcontractors' staff and volunteers, to be fingerprinted, and cleared by the Department of Justice (DOJ);
- Bring to SFAPD's Program Manager immediate attention any staff vacancies. Contractor may fill temporary vacancies internally by a temporary reassignment of existing qualified staff. A temporary vacancy is defined as a vacancy of less than 60 calendar days. Vacancies in excess of 60 calendar days require the immediate recruitment of new, qualified staff. Contractor must make all reasonable efforts to fill vacancies within 90 calendar days.

Contractor shall include the below language in job descriptions, and ensure it and its Subcontractor use the guidelines described below when recruiting and hiring staff who will work under this Agreement (some language may not be required due to position function). Contractor will seek SFAPD's Program Manager approval for any omission or modification of any of the below language.

#### "Candidates should:

- Demonstrate a thorough knowledge of the adult criminal justice system, knowledge of the National Institute of Corrections' Principles of Effective Intervention and the Six Gender Responsive Strategies for Women Offenders, and a thorough understanding of criminal justice criminogenic needs and community functioning factors.
- Have developed or be able to develop working relationships with other community-based organization providing rehabilitative treatment and other supportive services to Participants.
- Successfully clear a post offer background check, as well as an SFAPD security check.
- Qualified applicants with arrest and/or conviction records will be considered for employment in a manner consistent with Federal, state and local laws, including but not limited to the San Francisco Fair Chance Ordinance. All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, sexual orientation, protected veteran status, or disability status."

While SFAPD will not require that Contractor hire staff that possess a Drug and Alcohol Counselor Certificate per the California Department of Alcohol and Drug Programs or the California Association of Addiction Recovery Services, SFAPD does request that Contractor include the following language in job announcements pertaining to this Program: "Drug and Alcohol Counselor Certification Preferred".

If Contractor or Subcontractor would like to offer a position for employment to a candidate who does not meet the criteria above, Contractor and SFAPD will review the applicant's qualifications and discuss waiving the criteria above on a case-by-case basis.

Contractor shall ensure that its staff and that of its Subcontractor is trained and certified in first aid, including cardiopulmonary resuscitation (CPR) within the first six weeks of employment and remain current throughout their employment relative to this Agreement. Contractor shall maintain a record of first aid training on file.

Contractor understands that its employees working under this Agreement cannot be:

- Currently on parole, mandatory supervision, post-release community supervision, probation, or under any structured supervision as a result of criminal conduct.
- Required to register per health and Safety Code Section 11590, Penal Code 290, and/or Penal Code Section 451.

**4. Attachments**

**Attachment A: Monthly Referral Tracking Report**

Attachment A - Monthly Referral Data (Please maintain a cumulative list)

SF#	Date Referred	Probation Officer	Service Type	Status	Status Date	Supervision Unit

**Attachment B: Monthly Client Activity Report**

ATTACHMENT B - Monthly Client Activity Report

CASC Partner Agency:

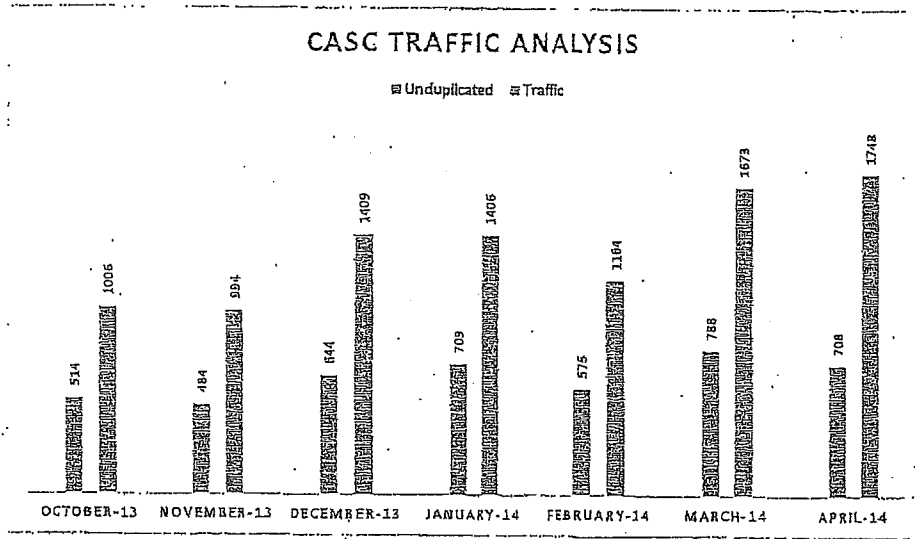
Reporting Month:  (Please include new clients per reporting month, and maintain a cumulative list of monthly clients)

PARTNER POPULATED FIELDS			CASC PROVIDED FIELDS				PARTNER POPULATED FIELDS					
Reporting Month	Client Last Name	Client First Name	SF#	UPO	Service Type	UPO Referral Date	CASC Referral Date	Partner Assessment Date	Notes	Service	Status	Date of Last Contact



Attachment C: Monthly Traffic Tracking Report

Attachment C: Monthly Traffic Report



Attachment D: Quarterly and Annual Reports

B. Client Activity Summary

	In Reporting Period	To Date
1. Clients entering		
2. Clients active		
3. Clients discharged – inactive		
4. Clients discharged – completed		
5. Clients attending class		
6. Clients entering from Reentry Pod (subset of #1)		
7. Clients active from Reentry Pod (subset #2)		
8. Clients from Reentry Pod discharged – inactive (subset of #3)		
9. Clients from Reentry Pod discharged – completed (subset of #4)		

**B. Referral Analysis for Reporting Period\***

\*If fourth quarter, please provide both the fourth quarter and aggregate annual data.

By APD Division:

1. Total Referrals (FCM and SFA and Pod).
2. Total Referrals FCM.
3. Total Referrals SFA.
4. Total Referrals Pod.
5. Total Enrollments.
6. Total Discharged – Inactive.
7. Total Discharged - Completed Probation.
8. Total Discharged - Completed Specified Service.

**C. Engagement Analysis for Reporting Period**

\*If fourth quarter, please provide both the fourth quarter and aggregate annual data.

*Note: Items 1 – 5 below are totals for the reporting period. Item 6 is a point-in-time count as of the end of the reporting period.*

**Summary**

	Full Case Management	Services for All
1. Total Referrals		
2. Total Enrolled		
3. Total Discharged- Inactive		
4. Total Discharged – Completed Probation		
5. Total Discharged – Completed Service		
6. Total Active as of end of reporting period		

**Partner workshops**

	5 Keys	CJ/CJ Employment Services	Community Works	America Works
1. Total Referrals				
2. Total Enrolled				
3. Total Discharged- Inactive				
4. Total Discharged – Completed Probation				
5. Total Discharged – Completed Service				
6. Total Active as of end of reporting period				

**CASC Workshops**

	Anger Management	Helping Women Recover	Seeking Safety (Pod)	Seeing Safety (CASC)
1. Total Referrals				
2. Total Enrolled				
3. Total Discharged- Inactive				
4. Total Discharged – Completed Probation				
5. Total Discharged – Completed Service				
6. Total Active as of end of reporting period				

	Substance Abuse Education	Thinking for a Change	Education/5Ks	Add-in All Other Workshops
1. Total Referrals				
2. Total Enrolled				
3. Total Discharged- Inactive				
4. Total Discharged – Completed Probation				
5. Total Discharged – Completed Service				
6. Total Active as of end of reporting period				

	THC (Lauren will collect / compile)
1. Total Referrals	
2. Total beds available	
3. Total placements	
4. Total in housing as of end of reporting period	

**D. Client Engagement Incentive Program Activity for Reporting Period**

	Number Distributed	Number of Clients Served
1. Food Distribution:		
a. Breakfasts		
b. Lunches		
c. Other food		
2. Tokens Distributed		
3. Other incentives as implemented		

**E. Narrative**

**a. Administrative Operations:**

Successes, challenges, resolutions, and plans for the next quarter.

**b. Staffing and Training Updates:**

Successes, challenges, and resolutions, and plans for the next quarter.

**c. CASC Program, Client and Community Development:**

Successes, challenges, and resolutions, and plans for the next quarter.

**d. Reentry Pod:**

Successes, challenges, and resolutions, and plans for the next quarter.

**e. Additional information to further illustrate successes, challenges, resolutions, and plans for next quarter**

**F. Annual Report Outcomes** (The below outcomes are to be provided in the Annual Report along with Q4 data as per the above sections, inclusive of a narrative that reflects on highlights of the year).

**1. Employment Outcomes** (CJCC and America Works)

- a. Total job placements in reporting period
- b. Number of clients who worked in job placement for 90 days or more in reporting period
- c. Number currently employed in job placement as of end of reporting period

**2. Education Outcomes** (5 Keys Partnership)

- a. Total completed GED or HSD in reporting period
- b. Total participating in literacy classes in reporting period
- c. Total completing food handler certification

**3. Housing Outcomes**

- a. Number of clients under-housed at intake in reporting period
- b. Number of clients homeless at intake in reporting period
- c. Number placed in permanent housing in reporting period
- d. Number placed in stabilization unit in reporting period
- e. Number placed in transitional housing in reporting period

**4. Income Support Outcomes**

- a. Total in need of income support at intake
- b. Total receiving GA as of end of reporting period
- c. Total receiving SSI as of end of reporting period
- d. Total employed as of end of reporting period

**5. Behavioral Health Outcomes**

- a. Number of clients with identified mental health need at intake during reporting period
- b. Number of clients with identified substance dependency issue at intake during reporting period
- c. Number of clients referred to behavioral health services during reporting period.

2c. Appendix B-3, Appendix A-3 Monthly Cost Reimbursement Invoice and Budget of the Agreement currently reads as follows:

**Appendix B-3  
Monthly Cost Reimbursement Invoice and Budget**

**Monthly Cost Reimbursement Invoice**

- The SFAPD will reimburse for actual line item expenses incurred over the month for expenses according to the approved budget in Appendix B-3.
- Monthly cost reimbursement invoices are due by the 15<sup>th</sup> of each month following the reporting month. The SFAPD has 30 days following the receipt of an accurate, complete, and final Monthly Cost Reimbursement Request to reimburse the Contractor for approved expenses. If the Contractor does not turn the Invoice in by the 15<sup>th</sup> of the month, or it takes extra days for the Contractor to submit all information needed to satisfy a "final" Monthly Invoice, the SFAPD will have 30 days from the date a "final" Reimbursement Invoice was completed to reimburse the Contractor.

Detailed Budget by Fiscal Year

Description	Allocation FY 12/13 at time of Award (6/1/12)	Modified Allocation FY 12/13 First Amendment (4/15/13)	Allocation FY13/14 Second Amedment (7/1/13)	Allocation FY14/15 Thirrd Amendment (7/1/14)	Allocation FY 15/16 TBD	Allocation FY 16/17 TBD	Total Amount of Contract to Date
Total Salaries	\$564,604.00	\$220,969.00	\$713,339.00	\$644,620.00			\$1,578,928.00
Fringe Benefits	\$167,169.00	\$63,128.00	\$162,345.00	\$177,516.00			\$392,989.00
<b>Total Personnel Expenses</b>	<b>\$724,770.00</b>	<b>\$274,097.00</b>	<b>\$875,684.00</b>	<b>\$822,136.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$1,971,917.00</b>
<b>Operating Expenses</b>							
Program Curriculum	\$25,000.00	\$20,000.00	\$7,500.00	\$4,800.00			\$32,300.00
Supplies	\$8,250.00	\$8,400.00	\$36,156.00	\$11,700.00			\$56,256.00
Equipment	\$12,200.00	\$6,060.00	\$29,159.00	\$6,000.00			\$40,219.00
Travel	\$2,400.00	\$6,000.00	\$750.00	\$1,800.00			\$8,550.00
Client Supportive Services	\$7,000.00	\$1,000.00	\$20,750.00	\$40,470.00			\$62,220.00
Interpretive Client Services	\$8,000.00	\$500.00	\$900.00	\$1,800.00			\$3,200.00
Senior Services (FY13/14 in personnel)		\$0.00	\$0.00	\$55,910.00			\$55,910.00
Parenting Skills Training	\$10,000.00	\$1,000.00	\$24,688.00	\$36,800.00			\$61,433.00
Vocational/Employment Services(FY13/14 in personnel)		\$0.00	\$0.00	\$55,910.00			\$55,910.00
Transitional Services (FY13/14 in personnel)		\$0.00	\$0.00	\$55,910.00			\$55,910.00
HUD-Matching Funds - CJCJ	\$16,667.00	\$1,667.00	\$20,000.00	\$20,000.00			\$41,667.00
Reentry Transportation - Vehicle/Insurance/etc	\$18,333.00	\$0.00	\$0.00	\$0.00			\$0.00
Other Occupancy Costs	\$0.00	\$4,500.00	\$31,652.00	\$60.00			\$36,152.00
Janitorial		\$0.00	\$30,000.00	\$0.00			\$30,000.00
Insurance	\$11,275.00	\$5,125.00	\$12,300.00	\$16,945.00			\$33,370.00
Maintenance/Repair/Janitoria (FY14/15)	\$5,500.00	\$2,500.00	\$2,400.00	\$28,850.00			\$28,750.00
Communications	\$15,050.00	\$5,800.00	\$14,400.00	\$6,075.00			\$26,275.00
Training and Education (Staff) (ongoing only)	\$8,000.00	\$1,600.00	\$6,820.00	\$3,150.00			\$11,570.00
Food	\$41,044.00	\$4,263.00	\$53,046.00	\$29,620.00			\$86,929.00
Drug Testing	\$17,109.00	\$1,900.00	\$0.00	\$0.00			\$1,900.00
							\$0.00
<b>Total Operating Expenses</b>	<b>\$206,749.00</b>	<b>\$69,315.00</b>	<b>\$290,466.00</b>	<b>\$368,740.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$728,521.00</b>
							\$0.00
Rent	\$400,000.00	\$134,632.00	\$807,792.00	\$807,792.00			\$1,750,216.00
Utilities/Building Reimbursements	\$0.00	\$13,126.00	\$78,756.00	\$54,900.00			\$146,782.00
<b>TOTAL DIRECT EXPENSES</b>	<b>\$1,328,489.00</b>	<b>\$297,170.00</b>	<b>\$2,052,698.00</b>	<b>\$2,053,568.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$4,597,436.00</b>
Indirect Expenses	\$159,419.00	\$73,676.00	\$507,905.00	\$308,035.00			\$689,616.00
Capital	\$1,070,971.00	\$2,510,949.00					\$2,510,949.00
<b>TOTAL BUDGET</b>	<b>\$2,558,879.00</b>	<b>\$3,075,795.00</b>	<b>\$2,360,603.00</b>	<b>\$2,361,603.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$7,798,001.00</b>

**Personnel and Fringe**

POSITION TITLE	Allocation FY 12/13 at time of Award (6/1/12)	Modified Allocation FY 12/13 First Amendment (4/15/13)	Allocation FY13/14 Second Amendment (7/1/13)	Allocation FY14/15 Third Amendment (7/1/14)	Allocation FY 15/16 TBD	Allocation FY 16/17 TBD	Total Amount of Contract to Date
CASC Program Director	\$ 70,000.00	\$ 37,500.00	\$ 75,750	\$ 77,500			\$ 190,750.00
Asst. Program Director / Financial Manager	\$ 42,500.00	\$ 25,000.00	\$ 65,325	\$ 72,000			\$ 162,325.00
Clinical Supervisor / Lead Case Manager	\$ 65,000.00	\$ 70,417.00	\$ 88,000	\$ 71,000			\$ 209,417.00
Admin Assistant / Intake Specialist	\$ 29,167.00	\$ 13,867.00	\$ 41,773	\$ 43,680			\$ 99,320.00
Admin Assistant / Intake Specialist	\$ -	\$ -		\$ -			\$ -
Case Manager	\$ 173,333.00	\$ 17,333.00	\$ 42,155	\$ 43,680			\$ 103,168.00
Case Manager	\$ -	\$ 27,733.00	\$ 41,773	\$ 43,680			\$ 113,186.00
Case Manager	\$ -	\$ -	\$ 41,773	\$ 43,680			\$ 85,453.00
Case Manager	\$ -	\$ -	\$ 34,667	\$ 43,680			\$ 78,347.00
Case Manager	\$ -	\$ -	\$ 34,667	\$ 43,680			\$ 78,347.00
Case Manager - POD Lead Facilitator	\$ -	\$ -	\$ 8,667	\$ -			\$ 8,667.00
Case Manager	\$ -	\$ -		\$ -			\$ -
Case Manager	\$ -	\$ -		\$ -			\$ -
Case Manager - POD Facilitator	\$ -	\$ -	\$ 27,733	\$ 43,680			\$ 71,413.00
Barrier Removal/Discharge Navigator	\$ -	\$ -	\$ 17,333	\$ 43,680			\$ 61,013.00
Security Monitors / Counselors	\$ 52,000.00	\$ 8,320.00	\$ 66,560	\$ 34,840			\$ 109,720.00
Security Monitors / Counselors	\$ -	\$ -		\$ 34,840			\$ 34,840.00
Security Monitors / Counselors	\$ -	\$ -		\$ -			\$ -
Security Monitors / Counselors	\$ -	\$ -		\$ -			\$ -
Staff Incentives	\$ -	\$ -	\$ 2,950	\$ 5,000			\$ 7,950.00
Seniors Specialist / Case Manager	\$ 34,667.00	\$ 6,933.00	\$ 53,248	\$ -			\$ 60,181.00
Employment Specialist (A&AF)	\$ 34,667.00	\$ 6,933.00	\$ 11,093	\$ -			\$ 18,026.00
Transitional Specialist	\$ 34,667.00	\$ 6,933.00	\$ 53,248	\$ -			\$ 60,181.00
Employment Specialist (Am Works)	\$ -	\$ -	\$ 26,624	\$ -			\$ 26,624.00
Employment Specialist - HUD Funded	\$ 104,300.00	\$ 38,860.00	\$ 118,580	\$ -			\$ 155,440.00
HUD FUNDING	\$ (104,300.00)	\$ (38,860.00)	\$ (118,580)	\$ -			\$ (155,440.00)
Weekend Operations Coordinator	\$ -	\$ -	\$ -	\$ -			\$ -
Weekend Case Manager FT	\$ -	\$ -	\$ -	\$ -			\$ -
Weekend Program Monitors PT	\$ -	\$ -	\$ -	\$ -			\$ -
		\$ -	\$ -	\$ -			\$ -
		\$ -	\$ -	\$ -			\$ -
Transportation Staff	\$ 28,600.00	\$ -	\$ -	\$ -			\$ -
Transportation Staff	\$ -	\$ -	\$ -	\$ -			\$ -
		\$ -	\$ -	\$ -			\$ -
<b>TOTALS</b>	\$ 564,604.00	\$ 220,969	\$ 713,339	\$ 644,620			\$ 1,578,928.00
<b>EMPLOYEE FRINGE BENEFITS</b>	\$ 157,469.00	\$ 53,128.00	\$ 162,345	\$ 177,616			\$ 392,989.00
<b>TOTAL SALARIES &amp; BENEFITS</b>	\$ 724,770.00	\$ 274,097	\$ 875,684	\$ 822,136			\$ 1,971,917.00

Such appendix (Appendix B-3) is hereby amended in its entirety to read as follows:

**Appendix B-4**  
**Monthly Cost Reimbursement Invoice and Budget**

**Monthly Cost Reimbursement Invoice**

- The SFAPD will reimburse for actual line item expenses incurred over the month for expenses according to the approved budget in Appendix B-4.
- Monthly cost reimbursement invoices are due by the 15<sup>th</sup> of each month following the reporting month. The SFAPD has 30 days following the receipt of an accurate, complete, and final Monthly Cost Reimbursement Request to reimburse the Contractor for approved expenses. If the Contractor does not turn the Invoice in by the 15<sup>th</sup> of the month, or it takes extra days for the Contractor to submit all information needed to satisfy a "final" Monthly Invoice, the SFAPD will have 30 days from the date a "final" Reimbursement Invoice was completed to reimburse the Contractor.



DETAIL BUDGET BY FISCAL YEAR

Description	FY 12/13			FY 13/14		FY 14/15		FY 15/16	FY 16/17	Total Amount of Contract to Date
	Allocation FY 12/13 at time of Award (6/1/12)	Modified Allocation FY 12/13 First Amendment (4/15/13)	Allocation FY 12/13 After Internal Mods	Allocation FY 13/14 Second Amendment (7/1/13)	Allocation FY 13/14 After Internal Mods	Allocation FY 14/15 Third Amendment (7/1/14)	Modified Allocation FY 14/15 Fourth Amendment (8/17/15)	Allocation FY 15/16 Fourth Amendment (8/17/15)	Allocation FY 16/17 (TBD)	
<b>Total Salaries</b>	\$684,991.00	\$620,999.00	\$182,409.00	\$715,290.00	\$861,146.00	\$644,220.00	\$666,879.00	\$334,950.00		\$1,836,360.00
<b>Fringe Benefits</b>	\$157,189.00	\$52,168.00	\$22,261.00	\$109,346.00	\$120,740.00	\$177,546.00	\$178,389.00	\$99,824.00		\$416,214.00
<b>Total Personnel Expenses</b>	\$721,770.00	\$673,167.00	\$204,670.00	\$824,636.00	\$772,166.00	\$821,766.00	\$845,268.00	\$434,774.00	\$0.00	\$2,252,574.00
<b>Operating Expenses</b>										
Program Curriculum	\$25,999.00	\$20,999.00	\$1,620.00	\$7,669.00	\$2,000.00	\$4,999.00	\$4,560.00	\$2,983.00		\$8,103.00
Supplies	\$2,669.00	\$3,100.00	\$7,246.00	\$8,466.00	\$62,000.00	\$17,709.00	\$18,135.00	\$18,660.00		\$95,825.00
Equipment	\$10,999.00	\$6,999.00	\$450.00	\$9,500.00	\$17,600.00	\$6,000.00	\$6,000.00	\$8,950.00		\$29,900.00
Travel	\$2,400.00	\$8,000.00	\$1,650.00	\$7,500.00	\$3,600.00	\$4,800.00	\$2,600.00	\$7,263.00		\$15,113.00
Client Supportive Services	\$7,999.00	\$8,000.00	\$360.00	\$9,359.00	\$85,000.00	\$49,470.00	\$83,500.00	\$39,750.00		\$99,810.00
Nutritional Workshops			\$0.00	\$0.00	\$0.00	\$0.00	\$18,000.00	\$16,000.00		\$33,000.00
Interpreter Client Services	\$5,999.00	\$5,999.00	\$0.00	\$5,999.00	\$900.00	\$1,399.00	\$900.00	\$450.00		\$2,250.00
Senior Services (FY13/14 in personnel)			\$0.00	\$0.00	\$0.00	\$5,910.00	\$5,643.00	\$29,287.00		\$60,800.00
Parenting Skills Training	\$10,999.00	\$10,999.00	\$1,000.00	\$24,999.00	\$24,000.00	\$5,999.00	\$2,701.48	\$2,900.00		\$46,701.48
Vocational/Employment Services (FY10/14 in personnel)		\$0.00	\$0.00	\$0.00	\$0.00	\$5,910.00	\$6,880.00	\$29,287.00		\$79,186.00
Transitional Services (FY13/14 in personnel)		\$0.00	\$0.00	\$0.00	\$0.00	\$6,910.00	\$6,899.00	\$29,287.00		\$60,186.00
HUD Matching Funds - CJCJ	\$48,667.00	\$1,667.00	\$1,667.00	\$20,999.00	\$20,000.00	\$20,999.00	\$20,000.00	\$10,000.00		\$51,667.00
Cultural Services - Village Connect			\$0.00	\$0.00	\$0.00	\$0.00	\$37,600.00	\$9,000.00		\$46,600.00
Mobile Showers			\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Reentry Transportation - Vehicle/Insurance/etc	\$38,999.00	\$3,999.00	\$0.00	\$3,999.00	\$2,600.00	\$3,999.00	\$9,900.00	\$11,150.00		\$21,060.00
Other Occupancy Costs	\$0.00	\$4,999.00	\$0.00	\$4,659.00	\$29,000.00	\$9,999.00	\$9,999.00	\$37,500.00		\$32,760.00
Janitorial		\$0.00	\$0.00	\$9,000.00	\$30,000.00	\$0.00	\$1,262.52	\$0.00		\$31,262.52
Insurance	\$13,276.00	\$5,125.00	\$5,125.00	\$12,000.00	\$12,300.00	\$15,945.00	\$18,119.00	\$26,119.00		\$58,660.00
Maintenance/Repair/Janitoria (FY14/15)	\$6,699.00	\$2,899.00	\$0.00	\$2,400.00	\$28,000.00	\$2,899.00	\$27,587.00	\$24,000.00		\$80,687.00
Communications	\$5,999.00	\$5,999.00	\$2,410.00	\$44,400.00	\$24,000.00	\$5,975.00	\$5,075.00	\$7,800.00		\$40,285.00
Training and Education (Staff) (ongoing only)	\$9,999.00	\$1,999.00	\$2,000.00	\$8,999.00	\$25,000.00	\$2,159.00	\$0.00	\$4,500.00		\$31,690.00
Food	\$49,449.00	\$4,259.00	\$46,737.00	\$69,046.00	\$64,795.00	\$20,320.00	\$21,000.00	\$35,146.00		\$169,677.00
Drug Testing	\$17,000.00	\$4,000.00	\$0.00	\$0.00	\$5,000.00	\$5,000.00	\$4,550.00	\$0.00		\$9,550.00
<b>Total Operating Expenses</b>	\$206,749.00	\$60,246.00	\$72,549.00	\$299,466.00	\$393,995.00	\$268,749.00	\$367,536.00	\$297,579.00	\$0.00	\$1,131,661.00
<b>Rent</b>	\$400,000.00	\$381,692.00	\$160,690.00	\$897,792.00	\$807,792.00	\$867,792.00	\$877,792.00	\$479,912.00		\$2,317,488.00
<b>Utilities/Building Reimbursements</b>	\$9,000.00	\$10,126.00	\$15,150.00	\$78,759.00	\$79,756.00	\$62,999.00	\$37,970.00	\$28,000.00		\$146,242.00
<b>TOTAL DIRECT EXPENSES</b>	\$1,328,489.00	\$1,091,479.00	\$438,421.00	\$2,962,692.00	\$2,052,699.00	\$2,952,658.00	\$2,123,568.00	\$1,231,266.00	\$0.00	\$5,846,853.00
<b>Indirect Expenses</b>	\$19,400.00	\$70,875.00	\$65,425.00	\$97,895.00	\$80,906.00	\$96,936.00	\$309,085.00	\$134,889.00		\$866,064.90
<b>Tenant Improvements</b>	\$1,070,071.00	\$2,510,849.00	\$2,578,849.00	\$2,360,692.00	\$0.00	\$0.00	\$0.00	\$0.00		\$2,500,849.00
<b>TOTAL BUDGET</b>	\$2,517,960.00	\$3,673,203.00	\$3,072,795.00	\$5,413,279.00	\$2,133,605.00	\$3,049,654.00	\$2,432,653.00	\$1,415,955.00	\$0.00	\$9,213,956.90

Personnel and Fringe										
POSITION TITLE	FY 12/13			FY 13/14		FY 14/15		FY 15/16	FY 16/17	Total Amount of Contract to Date
	Allocation FY 12/13 at time of Award (6/1/12)	Modified Allocation FY 12/13 First Amendment (4/15/13)	Allocation FY12/13 After Internal Mods	Allocation FY13/14 Second Amendment (7/1/13)	Allocation FY13/14 After Internal Mods	Allocation FY14/15 Third Amendment (7/1/14)	Modified Allocation FY14/15 Fourth Amendment (6/17/15)	Allocation FY15/16 Fourth Amendment (6/17/15)	Allocation FY16/17 Amendment (TBD)	
Program Director	\$70,000.00	\$37,600.00	\$37,215.91	\$75,750.00	\$75,750.00	\$77,500.00	\$77,500.00	\$39,250.00		\$229,715.91
Asst. Program Director / Financial Manager	\$42,500.00	\$25,000.00	\$11,227.27	\$65,925.00	\$65,324.94	\$72,000.00	\$72,000.00	\$39,250.00		\$181,802.21
Clinical Supervisor / Lead Case Manager	\$65,000.00	\$70,417.00	\$68,948.93	\$68,000.00	\$67,279.10	\$71,000.00	\$71,000.00	\$36,250.00		\$243,479.03
Admin Assistant / Intake Specialist	\$20,167.00	\$13,867.00	\$5,368.50	\$41,773.00	\$35,452.98	\$43,000.00	\$43,000.00	\$21,840.00		\$104,261.48
Case Manager/Group Facilitator	\$173,233.00	\$17,333.00	\$24,880.00	\$42,165.00	\$39,725.54	\$43,000.00	\$43,680.00	\$23,920.00		\$132,205.54
Case Manager/Group Facilitator	\$0.00	\$27,733.00	\$4,320.00	\$41,773.00	\$42,093.50	\$43,000.00	\$43,680.00	\$22,880.00		\$112,973.50
Clinical Case Manager								\$24,860.00		\$24,860.00
Case Manager	\$0.00	\$0.00	\$0.00	\$41,773.00	\$24,910.00	\$43,000.00	\$43,680.00	\$23,920.00		\$92,510.00
Case Manager	\$0.00	\$0.00	\$0.00	\$34,867.00	\$30,362.05	\$43,000.00	\$43,680.00	\$23,920.00		\$97,882.05
Case Manager	\$0.00	\$0.00	\$3,996.00	\$34,867.00	\$40,231.76	\$43,000.00	\$43,680.00	\$22,880.00		\$110,787.76
Case Manager - POD	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Case Manager - POD	\$0.00	\$0.00	\$0.00	\$27,733.00	\$26,155.00	\$43,000.00	\$43,680.00	\$0.00		\$69,845.00
Barrier Removal/Discharge Navigator	\$0.00	\$0.00	\$0.00	\$17,333.00	\$11,705.00	\$43,000.00	\$43,680.00	\$22,880.00		\$78,265.00
Program Monitor / Counselor	\$62,000.00	\$9,000.00	\$3,236.25	\$66,560.00	\$28,396.75	\$34,000.00	\$33,280.00	\$16,600.00		\$80,515.00
Program Monitor / Counselor	\$0.00	\$0.00	\$3,240.00	\$0.00	\$30,771.80	\$34,000.00	\$34,320.00	\$15,600.00		\$63,931.80
Staff Incentives	\$0.00	\$0.00	\$0.00	\$2,950.00	\$2,950.00	\$5,000.00	\$5,000.00	\$7,500.00		\$15,450.00
<b>PARTNERS</b>										
Seniors Specialist / Case Manager	\$34,867.00	\$6,000.00	\$16,016.00	\$53,248.00	\$47,718.40	\$0.00	\$8,397.00	\$0.00		\$72,181.40
Employment Specialist (A&AF)	\$24,867.00	\$6,000.00	\$320.50	\$11,000.00	\$9,235.00	\$0.00	\$0.00	\$0.00		\$9,555.50
Employment Specialist (Am Works)	\$0.00	\$0.00	\$0.00	\$26,524.00	\$22,732.00	\$0.00	\$9,011.00	\$0.00		\$31,743.00
Transitional Specialist	\$24,867.00	\$6,000.00	\$3,635.20	\$53,248.00	\$50,588.27	\$0.00	\$9,011.00	\$0.00		\$63,234.47
Employment Specialist - HUD Funded	\$194,300.00	\$39,660.00	\$0.00	\$116,580.00	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
HUD FUNDING	-\$194,300.00	-\$39,660.00	\$0.00	-\$116,580.00	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Transportation Staff	\$28,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
Transportation Staff	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00
<b>TOTALS</b>	<b>\$564,694.00</b>	<b>\$220,060.00</b>	<b>\$182,405.56</b>	<b>\$743,230.00</b>	<b>\$651,414.99</b>	<b>\$644,630.00</b>	<b>\$666,879.00</b>	<b>\$334,650.00</b>		<b>\$1,835,349.55</b>
<b>EMPLOYEE FRINGE BENEFITS</b>	<b>\$167,169.00</b>	<b>\$63,128.00</b>	<b>\$22,261.00</b>	<b>\$163,245.00</b>	<b>\$120,740.00</b>	<b>\$177,516.00</b>	<b>\$173,389.00</b>	<b>\$99,824.00</b>		<b>\$416,214.00</b>
<b>TOTAL SALARIES &amp; BENEFITS</b>	<b>\$724,770.00</b>	<b>\$274,097.00</b>	<b>\$204,666.56</b>	<b>\$875,684.00</b>	<b>\$772,154.99</b>	<b>\$822,146.00</b>	<b>\$840,268.00</b>	<b>\$434,474.00</b>		<b>\$2,251,563.55</b>
Total Salaries	\$564,694.00	\$220,060.00	\$182,406.00	\$743,230.00	\$651,415.00	\$644,630.00	\$666,879.00	\$334,650.00		\$1,835,350.00
Fringe Benefits	\$167,169.00	\$63,128.00	\$22,261.00	\$163,245.00	\$120,740.00	\$177,516.00	\$173,389.00	\$99,824.00		\$416,214.00
Total Personnel Expenses	\$724,770.00	\$274,097.00	\$204,667.00	\$875,684.00	\$772,155.00	\$822,146.00	\$840,268.00	\$434,474.00	\$0.00	\$2,251,564.00

3. **Effective Date.** Each of the modifications set forth in Section 2 shall be effective on and after the date of this Amendment.

4. **Legal Effect.** Except as expressly modified by this Amendment, all of the terms and conditions of the Agreement shall remain unchanged and in full force and effect.

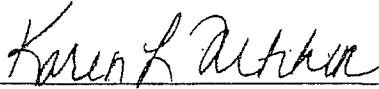
IN WITNESS WHEREOF, Contractor and City have executed this Amendment as of the date first referenced above.

**CITY**

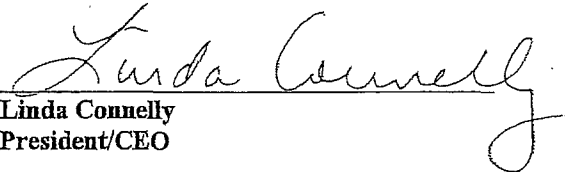
**CONTRACTOR**

Recommended by:

**Leaders in Community Alternatives, Inc.**



**Karen L. Fletcher**  
Chief Adult Probation Officer  
Adult Probation Officer



**Linda Connelly**  
President/CEO

City vendor number: 25546

Approved as to Form:

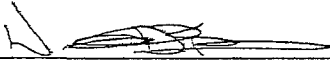
Dennis J. Herrera  
City Attorney

By:



**Bradley Russi**  
Deputy City Attorney

Approved:



**Jaci Fong**  
Director of the Office of Contract Administration,  
and Purchaser

1507  
1110

City and County of San Francisco  
Office of Contract Administration  
Purchasing Division

Third Amendment

THIS AMENDMENT (this "Amendment") is made as of July 1, 2014, in San Francisco, California, by and between Leaders in Community Alternatives, Inc. ("Contractor"), and the City and County of San Francisco, a municipal corporation ("City"), acting by and through its Director of the Office of Contract Administration.

RECITALS

WHEREAS, City and Contractor have entered into the Agreement (as defined below);  
and

WHEREAS, City and Contractor desire to modify the Agreement on the terms and conditions set forth herein to:

- Increase contract amount;
- Modify Appendix A-2 to update reporting requirements and include attachments;
- Modify Appendix B-2 to include the FY 14/15 Budget detail with approved project funds allocation; and
- Update standard contractual clauses;

and

WHEREAS, approval for this Amendment was obtained when the Civil Service Commission approved Contract number 4077-11/12 on November 22, 2013;

NOW, THEREFORE, Contractor and the City agree as follows:

1. **Definitions.** The following definitions shall apply to this Amendment:

1a. **Agreement.** The term "Agreement" shall mean the Agreement dated July 1, 2014 between Contractor and City, as amended by the:

First amendment,           dated April 15, 2013, and  
Second amendment,       dated July 1, 2013.

1b. **Contract Monitoring Division. Contract Monitoring Division.** Effective July 28, 2012, with the exception of Sections 14B.9(D) and 14B.17(F), all of the duties and functions of the Human Rights Commission under Chapter 14B of the Administrative Code (LBE Ordinance) were transferred to the City Administrator, Contract Monitoring Division ("CMD"). Wherever "Human Rights Commission" or "HRC" appears in the Agreement in reference to Chapter 14B of the Administrative Code or its implementing Rules and Regulations, it shall be construed to mean "Contract Monitoring Division" or "CMD" respectively.

1c. **Other Terms.** Terms used and not defined in this Amendment shall have the meanings assigned to such terms in the Agreement.

2. **Modifications to the Agreement.** The Agreement is hereby modified as follows:

2a. **Section 5. Section 5. Compensation of the Agreement** currently reads as follows:

Compensation shall be made in monthly payments on or before the 15th day of each month for work, as set forth in Section 4 of this Agreement, that the **Chief of Adult Probation**, in her sole discretion, concludes has been performed as of the final day of the immediately preceding month. In no event shall the amount of this Agreement exceed **\$6,142,957 (Six Million One Hundred Forty Two Thousand Nine Hundred Fifty Seven Dollars)** as follows:

June 1, 2012 – June 30, 2013 – Not to exceed: \$3,075,795 (\$895,705 to be encumbered in June, 2012 and \$1,663,090 in July, 2012, and \$517,000 to be encumbered by June, 2013).

July 1, 2013 – June 30, 2014 – Not to exceed: \$2,360,603 (Two Million Three Hundred Sixty Thousand Six Hundred Three Dollars)

July 1, 2014 – June 30, 2015 – To be determined

July 1, 2015 – June 30, 2016 – To be determined

July 1, 2016 - June 30, 2017 – To be determined

The breakdown of costs for the period of June 1, 2012 – June 30, 2013 appears in this Agreement as Appendix B-1 attached hereto and incorporated by reference as though fully set forth herein. The actual award amount to be realized during the full period of this contract, June 1, 2012 – June 30, 2017 is contingent on the availability of funds for this project each year, and on the satisfactory Contractor performance.

All subsequently negotiated project costs are and will be in line with generally accepted industry standard costs associated with delivering CASC services.

No charges shall be incurred under this Agreement nor shall any payments become due to Contractor until reports, services, or both, required under this Agreement are received from Contractor and approved by the **San Francisco Adult Probation Department** as being in accordance with this Agreement. City may withhold payment to Contractor in any instance in which Contractor has failed or refused to satisfy any material obligation provided for under this Agreement. In no event shall City be liable for interest or late charges for any late payments. The Controller is not authorized to pay invoices submitted by Contractor prior to Contractor's submission of HRC Progress Payment Form. If Progress Payment Form is not submitted with Contractor's invoice, the Controller will notify the department, the Director of HRC and Contractor of the omission. If Contractor's failure to provide HRC Progress Payment Form is not explained to the Controller's satisfaction, the Controller will withhold 20% of the payment due pursuant to that invoice until HRC Progress Payment Form is provided. Following City's payment of an invoice, Contractor has ten days to file an affidavit using HRC Payment Affidavit verifying that all subcontractors have been paid and specifying the amount.

**Such section is hereby amended in its entirety to read as follows:**

Compensation shall be made in monthly payments on or before the 15th day of each month for work, as set forth in Section 4 of this Agreement, that the **Chief of Adult Probation**, in her sole discretion, concludes has been performed as of the final day of the immediately preceding month. In no event shall the amount of this Agreement exceed **\$9,213,957 (Nine Million Two Hundred Thirteen Thousand Nine Hundred Fifty Seven Dollars)** as follows:

- June 1, 2012 – June 30, 2013 – Not to exceed: \$3,075,795 (\$895,705 to be encumbered in June, 2012 and \$1,663,090 in July, 2012, and \$517,000 to be encumbered by June, 2013).
- July 1, 2013 – June 30, 2014 – Not to exceed: \$2,360,603 (Two Million Three Hundred Sixty Thousand Six Hundred Three Dollars).
- July 1, 2014 – June 30, 2015 – Not to exceed: \$2,361,603 (Two Million Three Hundred Sixty One Thousand Six Hundred Three Dollars).
- July 1, 2015 – June 30, 2016 – To be determined.
- July 1, 2016 - June 30, 2017 – To be determined.

The breakdown of costs for the period of June 1, 2012 – June 30, 2013 appears in this Agreement as Appendix B-3 attached hereto and incorporated by reference as though fully set forth herein. The actual award amount to be realized during the full period of this contract, June 1, 2012 – June 30, 2017 is contingent on the availability of funds for this project each year, and on the satisfactory Contractor performance. All subsequently negotiated project costs are and will be in line with generally accepted industry standard costs associated with delivering CASC services.

No charges shall be incurred under this Agreement nor shall any payments become due to Contractor until reports, services, or both, required under this Agreement are received from Contractor and approved by the San Francisco Adult Probation Department as being in accordance with this Agreement. City may withhold payment to Contractor in any instance in which Contractor has failed or refused to satisfy any material obligation provided for under this Agreement. In no event shall City be liable for interest or late charges for any late payments.

The Controller is not authorized to pay invoices submitted by Contractor prior to Contractor's submission of CMD Progress Payment Form. If Progress Payment Form is not submitted with Contractor's invoice, the Controller will notify the department, the Director of CMD and Contractor of the omission. If Contractor's failure to provide CMD Progress Payment Form is not explained to the Controller's satisfaction, the Controller will withhold 20% of the payment due pursuant to that invoice until CMD Progress Payment Form is provided. Following City's payment of an invoice, Contractor has ten days to file an affidavit using CMD Payment Affidavit verifying that all subcontractors have been paid and specifying the amount.

2b. Appendix A-2. Appendix A-2, "Services to be provided by Contractor" of the Agreement currently reads as follows:

**Appendix A-2  
Services to be provided by Contractor**

**1. Description of Services:**

The Contractor will manage and operate the Community Assessment and Services Center facility, and oversee the delivery of Center rehabilitative services as described below for clients of the San Francisco Adult Probation Department. Services may be provided at the

Center, in County Jail or other locations in the community as needed to support APD clients' success.

## SCOPE OF WORK

### CASC – Service Delivery Responsibilities

#### A. PRINCIPLES OF EFFECTIVE INTERVENTION

Leaders in Community Alternatives ("LCA") agrees to train all staff on and appropriately integrate the National Institute of Correction's eight evidence-based principles for effective intervention within community corrections into every facet of service delivery. The eight principles are:

- 1) Assess Criminogenic Risks/Needs
- 2) Enhance Intrinsic Motivations
- 3) Target Interventions
  - i. Risk Principle: Prioritize supervision and treatment resources for higher risk offenders.
  - ii. Need Principle: Target interventions to criminogenic (correlated to crime) needs.
  - iii. Responsivity Principle: Be responsive to temperament, learning style, motivation, culture, and gender when assigning programs.
  - iv. Dosage: Structure 40-70% of high-risk offenders' time for three to nine months.
  - v. Treatment Principle: Integrate treatment into the full sentence/sanction requirements.
- 4) Skill Train with Directed Practice (e.g., use cognitive behavioral treatment methods)
- 5) Increase Positive Reinforcement
- 6) Engage Ongoing Support in Natural Communities
- 7) Measure Relevant Processes/Practices
- 8) Provide Measured Feedback

The CASC program design incorporates these principles in services for all clients. Each client will complete a COMPAS risk-assessment (principle 1) with the aim of identifying and targeting interventions (principle 3). All of the services offered are structured to enhance intrinsic motivation (principle 2) and will engage all individuals in skill building activities (principle 4). The services offered will provide positive reinforcement for the development of new skills and behaviors (principle 5) and will support the socialization of individuals as they re-enter their communities (principle 6). In an effort to demonstrate the success of the proposed model, LCA will measure the implemented practices (principle 7) and will provide measured feedback and outcomes to the SFAPD (principle 8). As established in cooperation with SFAPD and tracked by CASC staff, progress will be measured, including clients' compliance with their COMPAS Individualized Treatment and Rehabilitation Plan attendance, participation in assigned onsite and community activities, completion of components, and any special accomplishments and challenges. 9) Case manager to client case load ratios will not exceed 1:25 except in



circumstances in which LCA and APD have discussed, and agreed upon a modification to that ratio. Any concerns or problems will be reviewed in the weekly case conferences with SFAPD, with adjustments made as needed.

## **B. ASSESSMENT, PLANNING AND TREATMENT**

A comprehensive program is essential for our clients' successful, sustained community reintegration.

The CASC services will incorporate and include:

- 1) Gender Responsive Strategies
- 2) Strength Based, Trauma Informed and Family Focused Strategies
- 3) Criminogenic Needs and Community Functioning Factors
- 4) Collaborative and Coordinated Case Conferencing
- 5) Review of COMPAS Assessment and creation of Reentry Services Plan
- 6) Administration of Secondary Assessments
- 7) Coordinated Case Management

## **C. OVERVIEW OF SERVICE DELIVERY COMPONENTS**

LCA, including partners' providers, will provide the services set forth in this Appendix from program referral to client termination from or completion of services. LCA may provide the services directly or through a subcontractor as specifically indicated below. A subcontractor's failure to deliver the services indicated below does not relieve LCA's responsibility for providing the services. Client referrals may originate in the Reentry Pod located inside of County Jail #2 or by SFAPD DPOs whose clients are already under community supervision.

Services components include:

- 1) Reentry Transportation
- 2) Intake
- 3) Orientation and Enrollment
- 4) Rehabilitation Services
- 5) Individualized Case Management, including Clinical Case Management
- 6) Community Service and Activities
- 7) Aftercare Services

## **D. INCENTIVES, REWARDS, AND REMEDIAL SANCTIONS**

The overall LCA CASC program design emphasizes and supports clients' strengths, positive change, and the importance of accountability. Best practices includes providing incentives and rewards for progress and achieving goals, and structured sanctions that are swift and certain when clients do not meet program expectations or personal responsibilities.

## **E. REHABILITATIVE PROGRAMS**

The CASC will offer a full array of **on and off site rehabilitative programs** directly or through subcontractors listed below that are designed to successfully transition offenders back into their communities. The interventions and services strive to use evidenced-based curricula whenever available, and to engage clients and address their criminogenic needs and community functioning factors. Clients will be assigned to rehabilitative services in accordance with their Individualized Treatment and Rehabilitation and/or Reentry Services Plan. Requirements for program completion of each component will be identified in the Reentry Services Plan and adjusted, as needed, through case conferences. Program capacity outlined below is based on current funding availability, and will be adjusted based on actual funding received. Programs include:

### **1. Gender Responsive Treatment and Services for Women Client Groups - LCA**

**Primary Curriculum:** Helping Women Recover: A Program for Treating Substance Abuse – Special Edition for Use in the Criminal Justice System (Covington, Rev. Ed. 2008).

**Schedule:** The modules will be delivered 2 days a week, 1 ½ hours each, for 9 weeks, for a total of 25.5 hours, and optional 11 sessions delivered 2 days a week, 1 ½ hours each, for 6 weeks, for a total of 16.5 hours. Proposed program capacity is 48 women per year.

Following completion of Helping Women Recover, clients will be assessed, in cooperation with SFAPD, and those in need of further trauma work will continue with additional treatment utilizing Beyond Trauma: A Healing Journey for Women (Covington 2003) to extend and deepen the trauma work introduced in Helping Women Recover. Clients will also be referred to community providers for ongoing gender responsive services.

### **2. Gender Responsive Treatment and Services for Men Client Groups - LCA**

**Primary Curriculum:** Seeking Safety A Treatment Manual for PTSD and Substance Abuse (Najavits 2007), a flexible, cognitive-based curriculum designed for co-occurring post traumatic stress disorder and substance use disorder, focusing on coping skills and psychoeducation, with safety as the overarching goal (helping clients attain safety in their relationships, thinking, behavior, and emotions).

**Schedule:** The modules will be delivered 3 days a week, 1 hour each, for 9 weeks for total of 25 hours. Proposed program capacity is 240 men per year.

### **3. Cognitive Skills Development - LCA**

**Primary Curriculum:** Thinking for a Change (T4C), (National Institution of Corrections, 3.0 edition), an integrated, cognitive behavior change program for offenders. It is anticipated that this core program will be included in the Reentry Services Plan for the majority of CASC clients. The three components of T4C are: cognitive self-change, social skills, and problem-solving skills.

**Schedule:** The modules will be delivered 3 days a week, 1½ hours each, for 9 weeks for a total of 37.5 hours (excluding optional sessions). Proposed program capacity is 420 clients per year.

#### 4. Anger Management - LCA

**Primary Curriculum:** Anger Management for Substance Abuse and Mental Health Clients – A Cognitive Behavioral Therapy Manual (Reilly, Shopshire - SAMHSA, 2002)

**Schedule:** The modules will be delivered once a week, 1½ hour sessions, one a week for 12 weeks, for a total of 18 hours. Proposed program capacity is 96 clients per year

#### 5. Substance Abuse Components – LCA

##### a. Substance Abuse Education Group

**Primary Curriculum:** ADDICTION: A Biopsychosocial Model (Terence T. Gorski, 2004): Part 1: Mind-Altering Substances; Part 2: Addictive Risk Factors; Part 3: Substance Abuse and Addiction.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

##### b. Outpatient Substance Abuse Treatment

**Primary Curriculum:** RECOVERY: A Developmental Model (Terence T. Gorski, 2004): Part 1: The Recovery Process; Part 2: Building a Foundation for Recovery; Part 3: Creating Quality Recovery.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

##### c. Relapse Prevention Training

**Primary Curricula:** RELAPSE (Terence T. Gorski, 2004): Session 1 - Basic Principles; Session 2 - Relapse Warning Signs; Sessions 3 and 4: Managing Relapse Warning Signs. The Relapse Prevention Training groups will then utilize: Relapse Prevention Therapy Workbook: Identifying Early Warning Signs Related to Personality and Lifestyle Problems (Terence T. Gorski and Stephen F. Grinstead, 2010)

**Schedule:** The modules will be delivered 2 days a week, 1 hour each, for 10 weeks for a total of 20 hours. Proposed program capacity is 48 women and 288 men per year.

**6. Life Skills Development Training – To be provided by community partner, Center on Juvenile and Criminal Justice (CJ CJ)**

**Primary Curriculum:** Northern California Service League Life Skills and Employment Readiness Program. That program covers such topics as self-assessment, communications, job search techniques and interview skills. CJ CJ transitional services specialist will also offer supportive services to CASC case managers for clients that are preparing for program discharge. Emphasis will be placed on budgeting, money management, technology, finding a safe place to live, nutrition, exercise, and many other topics designed to help clients live successfully in the community. The Transitional Specialist will provide a full range of resource development and service referrals to CASC clients returning to the community.

**Schedule:** The modules will be delivered 5 days per week, 4 hours each, for 1 week for a total of 20 hours. This program will be provided once per month. Proposed program capacity is 300 clients per year.

**7. Parenting/Family Dynamics Training, and Batterers Intervention Services – Community Works**

**Primary Curriculum:** Parenting Inside Out, an evidenced-based, cognitive-behavioral parenting curriculum will be used for the parenting/family dynamics work. The research based Manalive™ program curriculum will be used for the Batterers Intervention Program.

**Schedule:** The Parenting/Family Dynamics, and Manalive™ modules will be delivered both at the CASC and in the Reentry Pod, on a schedule that is agreed upon by Community Works, LCA, and APD. Each class size should not exceed 16 people.

**8. Education/High School Diploma/GED – Five Keys Charter High School**

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will be established by Five Keys.

**9. Employment Services – Two community partners, America Works and Center on Juvenile and Criminal Justice (CJ CJ)**

a) Employment Readiness

**Primary Curriculum:** Awakening New Futures created in 1988 by Northern California Services League, specifically designed for ex-offenders. Other curriculum may also be used by CJ CJ or America Works.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. The curriculum will be delivered 2 days a week, 1 ½ hours each, for 5 weeks, for a total of 15 hours. Proposed program capacity is 480 clients per year.

b) Vocational Services

America Works will bring 1 FTE Job Developer to the CASC to provide vocational training and employment assistance to clients for pre-apprenticeship and vocational programs, as well as job placement. In addition, one-on-one career counseling will be provided. Once placed in training or on the job, America Works will establish a weekly retention working relationship with employer and employee to immediately address any concerns or problems.

Additionally, CJCJ operates two federally funded employment programs. CJCJ will move the San Francisco Training Partnership and Homeless Employment Coalition services and staff to the CASC facility, allowing clients easy access to these services. Clients will receive an array of services including assessment and referral to short-term training, counseling, and job placement services. Participants in both of these programs will also receive CJCJ's employment focused life skills trainings. In addition to providing the above described services, CASC clients will be able to receive monetary support through a flexible pool of monies identified to offer clients training and other relevant supportive services. These funds can be utilized for specific vocational trainings, uniform costs, and work equipment and tools, if deemed appropriate and necessary. These funds provide direct assistance to the clients, allowing for better successes among the participant population.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will vary based on needs of the clients.

10. Recreation and Leisure Activities - LCA

CASC clients will be introduced to physical recreation and multi-cultural celebrations and creative arts events, initially coordinated by staff and volunteers, and subsequently also through their independent exploration.

**Schedule:** Clients will develop a weekly recreation and leisure plan for pro-social activities in the community with their Case Manager.

11. Physical Health Services – various community providers

CASC clients not eligible for public insurance programs such as Medi-Cal, and who do not have other health insurance, will be enrolled in Healthy San Francisco. LCA has letters of Intent (LOI) from the Transitions Clinic, South of Market Health Center, and St. James Infirmary to accept eligible clients for medical assessment, treatment and care. Additionally we have an LOI from St. Vincent de Paul Society who through their Wellness Center will work on the emotional side of physical health with programs of stress reduction techniques, exercise, spiritual development as well as health topic discussions.

## 12. Graduations – LCA

To receive A CERTIFICATE OF GRADUATION, clients must satisfactorily complete all of their required individual program components as identified in their Reentry Services Plan, and demonstrate their ability to apply the knowledge and tools they learned.

Schedule: Twice per year.

## 13. Additional On-site Groups – LCA

LCA Case Managers and other trained staff and interns will facilitate weekday open morning, lunchtime, and evening check-in groups. Open N.A. and A.A. Meetings. The Community Room will have current resource information including community events and services.

Schedule: vary - during CASC hours of operation.

## 14. Recovery and Faith-Based Activities – various groups

Throughout the CASC program, clients will be provided with information if they choose to explore and join organizations offering spiritual and healing groups and activities. Clients will be provided extensive recovery group resource information.

## 15. Creative Arts – Community Works

Community Works will conduct active Creative Arts groups at the CASC and County Jail, A-Pod/Reentry Pod.

Schedule: vary - during CASC hours of operation.

## 16. Clothing Closet - LCA

The CASC will work with various community groups to establish a clothing closet on-site at the facility.

## 17. Childcare - LCA

LCA is will partner with Community Works for the parenting portion of the CASC. Case Managers will develop a childcare plan with each client who has children. Referrals will be made to agencies which offer multi-lingual family services, including child care.

## 18. Food Service - BHPMSS

The CASC will provide wholesome and nutritionally balanced meals 5 days per week for clients who spend four or more hours engaged in programming a day. Bayview Hunters

Point Multipurpose Senior Services or another approved provider of food services will be responsible for the food service. Programming will include nutrition education, information on shopping and preparation, and also the opportunity to learn about foods of different cultures, expanded to include information on multicultural music, art, and lifestyles.

#### 19. Saturday Services - LCA

Case Managers and other program staff will rotate coverage, supported by security staff. There will be a morning 12-Step meeting, a review of available weekend recreation and community service projects, and the resource guides. Computer stations will be available for client use. The on-duty Case Manager will have individual meetings with clients to address any immediate concerns. Rehabilitative programming will be available for working clients.

#### 20. Alumni Group program - LCA

LCA Milestones program demonstrated the invaluable contribution of an active alumni group, for the alumni themselves supporting each other, and as role models and support to current clients, the program, and the community. Alumni co-facilitated cognitive-behavioral and recovery groups, led groups for community recreation and cultural activities, provided peer support on a 1:1 basis, and led the weekly Sunday evening group meeting.

CASC will establish and strongly support an active Alumni Group with similar invaluable contributions and benefits to the clients and the program. Representative members selected by the Alumni Group, along with current clients, will serve on a Client Advisory Board.

#### 21. Community Advisory Board

The CASC will be an important contributor to its community. An Advisory Board will be established to provide ongoing support for planning and feedback, as well as additional resources for the program. This Board will meet quarterly at the facility. Members will include social service providers, other community organizations, businesses, clients, SFAPD and others.

### **CASC – Facility Oversight and Operations Responsibilities**

#### **Facility and Grounds requirements:**

1. The CASC facility must be used exclusively for serving the target population and the staff associated with the program.
2. The CASC must be and remain in compliance with all applicable building, sanitation, health, safety and fire codes, as well as city and county zoning and use ordinances.

3. The CASC will have a plan for onsite security/monitoring of all equipment, supplies, staff and clients. The plan will include monitoring and oversight of entry and exit traffic and will ensure a sign-in/sign-out protocol for all facility visitors
4. Clients will be prohibited from loitering outside of the facility.
5. The facility will include a staffed reception lobby for CASC services. The SFAPD will staff a separate SFAPD lobby.
6. The CASC should provide a cheerful décor and color-coordinated furnishings for the facility with special emphasis on the lobby, hallways, classrooms and treatment restrooms, and dining area (eating and break room).
7. The CASC must have sufficient space designated for clients to take scheduled breaks and eat lunch.
8. The CASC must provide for multiple classrooms to permit training and services to be offered simultaneously.
9. The facility must provide an adequate number of functional, clean, bathrooms in accordance with City and County of San Francisco standards. The sinks shall provide both hot and cold water. Hand soap, paper towels, paper seat covers should be available. Restrooms must be considerate of gender needs and be separately located. Restrooms must be in compliance with the Americans with Disabilities Act (ADA).
10. Client restrooms shall not be co-located with the restrooms for staff.
11. If urinalysis testing is phased into programming, there must be a restroom for urinalysis testing.
12. The CASC kitchen, cafeteria, food storage area, equipment, appliances, furnishings and cabinetry, as well as all food service and preparation areas must meet all applicable health and sanitation code standards. Accommodations shall be made for participants with disabilities.
13. The CASC shall provide a wholesome and nutritionally balanced lunch a minimum of 5 days per week for all program participants who spend 4 or more hours engaged in programming on a given day. The CASC will be considerate of general health and dietary restrictions and food prohibitions associated with cultural and religious traditions.
14. LCA shall regularly inspect the facility for pest infestation and shall maintain pest control services to ensure the facility is free of insect and rodent infestation. Documentation of pest control services will be maintained at the facility and made available to the SFAPD staff upon request.
15. The CASC shall have proper lighting, heating, and ventilation.
16. The CASC shall have a secured maintenance room for storage of cleaning supplies, tools and equipment (e.g., mops, brooms, buckets, etc.) and shall be equipped with a utility sink. The facility, equipment, furniture, appliances, etc. shall be kept clean and in good operating condition at all times and replaced when necessary.
17. The CASC shall have a plan to ensure comprehensive janitorial services
18. All repairs including plumbing, electrical and/or structural which affect the health and safety of any occupant must be made within 48 hours of discovery and at the LCA's expense. LCA must notify the SFAPD Reentry Services Manager immediately.
19. LCA will ensure safety and security of facility exterior, interior, equipment, supplies, staff, clients and all client information.
20. If LCA anticipates transporting participants via a private vehicle, all staff shall possess a valid driver's license and the vehicle shall be fully insured.



21. LCA shall have written CASC policies and procedures in accordance with SFAPD's regulations. This policies and procedures will be submitted to the SFAPD Reentry Division for retention in the case file.
22. All CASC staff shall be trained and certified in first aid, including cardiopulmonary resuscitation (CPR) within the first six weeks of employment and remain current throughout their employment relative to this contract. A record of first aid training shall be maintained on file by the LCA.
23. Fully stocked first aid kits will be readily available throughout the facility. The telephone numbers of all local emergency service agencies shall be posted and readily available to all staff.
24. No Smoking signs shall be posted in full view of the participants, staff and visitors.

#### Security and Safety Requirements:

1. **Facility Security** – The safety and security of clients, staff and visitors is of paramount importance.
  - a. LCA staff and on site security protocols will take a dignified and reasonable approach to ensuring that the facility is free of weapons and contraband, and protected from outside intrusions. Daily security and perimeter inspection of the facility will make certain that functioning locks and latches are on all windows, doors and gates, and that electrical lighting (inside and out) is operating properly. Door alarms may be used to eliminate unauthorized egress or ingress during evening and night hours. Security policies shall ensure that the clients are not locked inside the facility at any time.
  - b. Given the large number of offenders in the facility at any given time, all staff should be adequately trained in effective relationship building, de-escalation strategies, and emergency response and evacuation protocols. CASC monitors that play a security leadership role should make routine safety checks throughout the facility, and be primarily responsible for prompting attention towards any lighting, signage, training or other upgrade that is needed to further ensure the safety of people and property at the CASC.
2. **Case Files**
  - a. LCA will develop and maintain properly organized participant files and secure them in a locked file cabinet or drawer. Files shall be considered confidential and protected from any unauthorized use or disclosure. Electronic client files will be held to the same security standard as hard copy files. The CASC will have written procedures for the release of case file information to include: 1) the participant's signed and dated Release of Information Form, 2) the name of the person, agency or organization to whom the information was released, and 3) the signature of the employee who released the information and date of release.

### **3. Searches and Contraband**

- a. Whereas safety and security of CASC persons and property is of paramount importance, and whereas SFAPD and CASC staff will take a responsible harm reduction approach to addressing client substance abuse issues, CASC will create and honor a dignified contraband search and client substance use response policy that will be in compliance with SFAPD regulations, policies, and procedures. Clients that enter the CASC are subject to search. Any findings of contraband and/or signs of substance abuse shall be reported to the SFAPD staff as soon as possible after discovery. SFAPD and CASC staff will follow an agreed upon protocol for responding to contraband, weapons and substance use.

### **4. Disturbance Control Plan**

- a. LCA will have a written Disturbance Control Plan in the event of a major disturbance such as riots, strikes, attacks upon staff, visitors or participants, explosions or fires, suicides or attempted suicides, natural disasters; and accidental injuries to staff and others. The plan shall include assistance from local law enforcement and/or emergency agencies as circumstances warrant. The development of the Disturbance Control Plan shall be coordinated with the SFAPD Reentry Services Manager. Once the Disturbance Control Plan is developed, LCA will submit a copy to the SFAPD Reentry Services Manager for retention in the contract file.

### **5. Fire Evacuation Emergency Procedures**

- a. LCA will have written procedures pertaining to fire prevention, safety requirements, evacuation and emergency procedures that include instructions for the following:
  - o Immediate notification of the fire department (inclusive of the designated fire department's address and telephone number)
  - o Alert notification and/or evacuation of all occupants
  - o Notification of authorities
  - o Control and the extinguishing of fires
  - o Evacuation routes and procedures
  - o Other to be identified procedures

### **6. Emergency Evacuation Training**

- a. All personnel shall be trained in the implementation of emergency procedures within 24 hours of their initial employment. Annual refresher training shall be provided to all personnel. All training is to be documented for compliance and maintained in employee files.

### **7. Quarterly Emergency Evacuation Drills**

- a. LCA will conduct and document quarterly emergency evacuation drills. Documentation of each drill shall include: date and time of day; evacuation path used;

number of staff, participants and visitors involved; amount of time to complete the drill, and any pertinent comments.

#### **8. Posting of Emergency Evacuation Floor Plans**

- a. Clear, concise and site-specific emergency evacuation floor plans shall be posted as appropriate at every occupied floor location throughout the facility. The floor plans should be located near the identified exit doors on each floor. The evacuation diagram plans shall be placed in tamper-proof frames and include the following:
  - o Evacuation diagram plan that identifies the "You Are Here," location that is compatible with the building floor plan.
  - o Evacuation plans, which include the location of building exits, fire extinguishers, pull-stations, fire hose cabinets, and first aid supplies.
  - o Emergency and evacuation procedures, including diagrammed evacuation routes, shall be communicated to each new participant upon arrival.

#### **9. Smoke Detectors and Fire Extinguishers**

- a. LCA shall provide operable and regularly tested smoke detectors and fire extinguishers in key locations including the kitchen and classrooms. All tests shall be documented and maintained at the facility site.

#### **10. Hazardous, Toxic and Volatile Substances**

- a. LCA shall maintain a written policy for inventory, use, storage and disposal of all hazardous, toxic, and volatile substances in accordance with the Hazardous Substances Information and Training Act, Chapter 2-5 (commencing with Section 6360), Part 1 of Division 5 of the Labor Code. Hazardous, toxic and volatile substances shall not be stored in furnace areas, kitchens, dining areas, or in close proximity to stored food or kitchen supplies. Flammable substances such as gasoline, kerosene and paint thinner shall be stored outside the facility's main structure in approved containers inside properly ventilated and labeled fireproof cabinets.
- b. Material Safety Data Sheets (MSDS) must be maintained on-site for all hazardous materials used in the facility. The MSDS shall be posted and immediately accessible to staff and participants wherever these substances are used.
- c. LCA will provide training to facility staff and program participants. Documentation of training shall be maintained in the facility files.

The SFAPD and LCA will conduct an annual review of facility protocols, and will work together to resolve any review findings. "The periodic reporting required by this Agreement should address LCA's progress toward meeting the above operational and safety requirements, as well as any operational or safety issues that have arisen".

## **2. Data Collection and Reports**

The Contractor shall submit written reports as requested by the **San Francisco Adult Probation Department**. Format for the content of such reports shall be determined by the **San Francisco Adult Probation Department**. The timely submission of all reports is a necessary and material term and condition of this Agreement. The reports, including any copies, shall be submitted on recycled paper and printed on double-sided pages to the maximum extent possible.

### **REPORTING**

Monthly and quarterly reports will serve as interim evaluations of CASC successes and challenges, and the annual report will serve as indication of the CASC's progress towards goals, objectives and performance measures.

All CASC information, reports, writings, summary documents or press releases shall be reviewed and approved by the SFAPD prior to dissemination. LCA, and partners associated with the CASC will consult with the SFAPD before publically releasing any CASC related information to the public or other professional groups.

1. **Monthly Data Report** – Due the 15<sup>th</sup> of each month for services provided in the previous month.
  - At a minimum the report shall include the data elements listed below in the section entitled "Monthly Data Collection". The SFAPD will work with the Contractor to identify additional pertinent client and program data points to be tracked. The monthly data report shall also be accompanied by highlights of CASC program and services successes over the month, a list of problems/issues encountered during the month and the plan for resolving them, as well as any major events or activities that are planned for the subsequent month (s). The SFAPD and LCA will work together over the course of the contract to update data collection and monthly information submissions as needed.
  
2. **Monthly Cost Reimbursement Invoice** – Due the 5<sup>th</sup> of each month for previous month's expenditures.
  - Monthly cost reimbursement invoices will reimburse for actual line item expenses incurred over the month for expenses according to the approved budget in Appendix B of this Agreement. Subsequent to determining the availability of funds each year during the contract period of June 1, 2012 – June 30, 2017, the SFAPD and Contractor will re-negotiate the project budget so that it reflects actually available funds for a subsequent period, and agreed upon CASC services, activities and performance measures. All negotiated costs will reflect industry standards for delivering services and will never exceed the total approved amount of this contract.

3. Quarterly CASC Program Report – Will be due Oct. 15<sup>th</sup> (for the period of June 1 – September 30), January 15<sup>th</sup> (for the period of October 1 thru December 31), April 15<sup>th</sup> (for the period of January thru March 31) and July 15<sup>th</sup>. The July 15<sup>th</sup> report will serve as a cumulative annual report.

- The quarterly report information will include analysis that builds off of the monthly data reports.
- The report will provide a succinct description of the key CASC services provided during the time period, as well as a report back on baseline information, and progress towards the below goals, objectives and performance measures.
- Quarterly data analysis should suggest what the data indicates about client demographics and needs, as well as any system or service improvements that could be made to further the success of the CASC.
- The 4<sup>th</sup> quarterly report will be a cumulative annual report.

4. Annual CASC Program Report

- The annual report should provide a cumulative qualitative and quantitative analysis of monthly data and quarterly report information, as well as a robust report-back of CASC activities, successes and challenges over the year.
- The Annual Report will be shared with San Francisco Mayor Ed Lee, the San Francisco Board of Supervisors and other policy and political stakeholders that are interested in high-impact criminal justice reform. To maintain broad-based support of this project, the CASC will need to show results.

## MONTHLY DATA COLLECTION

The SFAPD and Contractor will continue to refine participant and program data elements during the initial and subsequent contract terms. The below represents the *minimum* data collection requirements - the Contractor should report back on the information on a monthly and quarterly basis as per the above instruction.

### CLIENT/General Intake/Enrollment Data Points

- Unique identifier for each client.
- CASC Intake, Enrollment, Orientation, ITRP and Referral dates.
- Participant SFAPD Number.
- COMPAS completed (Y/N)
- ITRP completed (Y/N)
- Secondary Assessments Completed
- Personal Service Plan reflective of COMPAS, ITRP and as appropriate Secondary Assessment Results (Y/N)
- Participant Full Name.
- Participant Date of Birth.
- Gender.

- Sexual Orientation.
- Race and Ethnicity.
- Preferred Language.
- Current living situation.
- History of Mental/Behavioral Health Challenges (Y/N)
- Medication (Y/N – Detail any current medications)
- Homeless (Y/N)
- Highest level of education completed.
- Ever expelled from school (Y/N)
- Employment status prior to admission to CASC.
- Ever work full-time for one employer for six months or more (Y/N)
- If employed, full-time/part-time, start date, end date, wages, and occupation.
- Ever fired from a job (Y/N).
- Marital or Domestic Partnership Status.
- Disability (Y/N – Describe).
- Number of prior substance abuse treatment episodes.
- Victim of domestic violence or physical abuse (Y/N).
- Physical health diagnosis (Y/N – describe)
- Dental needs (Y/N – describe)
- Victim of sexual abuse (Y/N).
- Number of children and living arrangement of each child.
- Name and date of birth of each child.
- Primary caretaker of children (Y/N).
- Age at first drug/alcohol use.
- Number of years of problem use.
- Primary/secondary drug of choice.
- Age at first arrest.
- Involvement in Dependency or Delinquency systems (Y/N).
- Prior Service in the Military (Y/N).
- Number of prior arrests.
- Ever in jail for a probation violation (Y/N).
- Family structure (close relatives and living arrangements of each).

**PROGRAMMATIC Data Points (Not captured in the performance measures section)**

- # of reentry transportation requests made.
- # of reentry transports completed.
- # of new people referred into Remedial Sanctions program
- % of participants that completed their required Remedial Sanctions
- # of participants assessed for income benefits or who obtained transitional or unsubsidized employment during the period
- % of people that were not approved for income benefits (provide a summary of denial circumstances in quarterly narrative)

- % of all people that demonstrated increased income as a result of employment, benefits acquisition, etc.

## QUARTERLY AND ANNUAL REPORT INFORMATION

**BASELINE INFORMATION** – Quarterly and annual reports should include a report back on the below baseline information.

- What is the baseline recidivism rate
- What is the target population
- How many staff provide direct services
- How many participants were eligible to participate in the time period
- How many of the total eligible participants were medium to high risk
- Of the eligible medium to high risk referrals, how many were enrolled (completed CASC intake/assessment and orientation).
- Of those enrolled, how many showed up for a first class
- Of those that showed up for a first class, how many maintained an active CASC program status during the reporting period? (Active status means that a participant participated in CASC services during the month of the closing reporting period).

**GOALS, OBJECTIVES AND PERFORMANCE MEASURES** – Quarterly and annual reports should document progress towards the below goals, objectives and performance measures.

### Goals

- Reduce recidivism amongst target population
- Reduce returns to custody for new arrests
- Reduce arrests amongst target population
- Reduce probation violations amongst target population

### Objectives

- 50 percent of clients will complete ITRP/Reentry Services Plan goals at CASC.
- Of the 50 percent who met their ITRP treatment goals, 60 percent will be in stable housing, gainfully employed, or enrolled in an education program, trade school, community college, or an adult education program.
- A minimum of 10 percent of clients will participate in the Alumni Group for a minimum of 6 months.

## Performance Measures

### ASSESSMENT AND ITRP/REENTRY SERVICES PLAN SUMMARY

- Does the program use a risk/need assessment?
- How many enrolled CASC participants completed a risk/need assessment?
- How many new participants were medium and high risk?
- How many total participants are medium and high risk?
- How many new participants completed an ITRP and/or Reentry Services Plan?
- How many total participants completed an ITRP and/or Reentry Services Plan?

### SUCCESSFUL COMPLETIONS AND INCOMPLETIONS

- Define successful completion for the reentry program.
- What is the expected reentry program length?
- What was the average length of program participation?
- Have any participants successfully completed?
- How many people did not complete and for what reasons:
  - Failure to meet program requirements
  - Court or criminal involvement (technical violation, arrest, conviction, revocation, re-incarceration)
  - Lack of engagement
  - Absconding
  - Relocating or case transfer
  - Death or serious illness
  - Other

### RECIDIVISM – IN-PROGRAM

The Contractor will work with the SF Adult Probation Department to ascertain the following information which will be verified through SFAPD client files, the SF CMS system and as needed the State CLETS system.

How many individuals participating in the program had been released 1 – 180 days ago?

How many participants had any court and/or criminal involvement while participating in the reentry program and who were released from jail/prison 1 to 180 days ago (total):

- Technical Violation
- Arrest
- Conviction
- Revocation
- Re-incarceration

How many individuals participating in the program had been released 181 or more days ago?



How many participants had any court and/or criminal involvement while participating In the reentry program and who were released from jail/prison 181 or more days ago (total):

- Technical Violation
- Arrest
- Conviction
- Revocation
- Re-incarceration

#### RECIDIVISM – PROGRAM COMPLETION

The Contractor will work with the SF Adult Probation Department to ascertain the following information which will be verified through SFAPD client files, the SF CMS system and as needed the State CLETS system.

How many participants successfully completed program requirements?

Enter the number of participants who had a NEW court and/or criminal offense after successfully completing the reentry program

- Technical Violation
- Arrest
- Conviction
- Revocation
- Re-incarceration

#### SERVICES PERFORMANCE MEASURES

Notes:

- **Participants that needed “x” service** = The service was documented in his/her ITRP or Reentry Services Plan.
- **Enrolled** = Participant completed CASC Intake, Assessment and Orientation
- **Actively Engaged** = Participant attended at least one class within one month of the closing of the reporting period (e.g., if the reporting period closes on December 31<sup>st</sup>; the participant would have attended at least one class during the period of December 1 – December 31).
- **Completed** = The participant completed the requisite number of classes as per his/her ITRP or Reentry Services Plan.

#### Cognitive Based Services (Thinking for a Change)

- How many new participants needed cognitive based services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed cognitive based services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?

- Does the CASC refer participants out to receive cognitive based services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide cognitive based services directly to participants? Y/N
- How many **new** participants were enrolled in cognitive based services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in cognitive based services that were provided directly by the CASC? (Of total x, a total of x have received services directly).
- How many **total** participants were **actively engaged** in (i.e., last class attended was within one month of the closing of the reporting period) cognitive behavior services? How many were referred out? How many received services directly?
- How many **total** participants **completed** cognitive behavioral services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

#### Mental Health Services

- How many **new** participants needed mental health services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed mental health services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive mental health services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide mental health services directly to participants? Y/N
- How many **new** participants were enrolled in mental health services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in mental health services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class/session attended was within one month of the closing of the reporting period) mental health services? How many were referred out? How many received services directly?
- How many **total** participants **completed** mental health services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly.

### Substance Abuse Services

**Notes:** Substance abuse services include residential, outpatient and relapse prevention services.

- New Participants = total number of participants that received any of the three components,
- Total Participants = total number of participants that received any of the three components,
- Enrolled Participants = participants enrolled into any one of the three components,
- Participants Actively Engaged = actively engaged in any one of the three components and
- Completed = participants that completed any one of the three components.

Please use the narrative to describe circumstances in which a client may be receiving more than one component at one time.

- How many new participants needed substance abuse services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed substance abuse services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive substance abuse services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide substance abuse services directly to participants? Y/N
- How many new participants were enrolled in substance abuse services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in substance abuse services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class/session attended was within one month of the closing of the reporting period) substance abuse services? How many were referred out? How many received services directly?
- How many total participants completed substance abuse services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly.

### Employment Services

**Note:** Employment Services includes employment readiness (which includes life skills, career search and job development, transitional job, and job placement services,) and vocational training.

- New Participants = total number of participants that received any of the components,
- Total Participants = total number of participants that received any of the components,
- Enrolled Participants = participants enrolled into any one of the three components,
- Participants Actively Engaged = actively engaged in any one of the three components and
- Completed = participants that completed any one of the three components.

Please use the narrative to describe circumstances in which a client may be receiving more than one component at one time.

- How many new participants needed employment services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed employment services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive employment services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide employment services directly to participants? Y/N
- How many new participants were enrolled in employment services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in employment services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class/session attended was within one month of the closing of the reporting period) employment services? How many were referred out? How many received services directly?
- How many total participants completed employment services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?
- How many participants who were provided with employment services directly by the CASC obtained employment?
- How many participants who were provided with employment services directly by the CASC have been employed for three or more months?
- How many participants who were provided with employment services directly by the CASC have been employed for 6 or more months?

### Educational Services

- How many new participants needed education services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed education services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?

- Does the CASC refer participants out to receive education services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide education services directly to participants? Y/N
- How many **new** participants were enrolled in educational services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in educational services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class/session attended was within one month of the closing of the reporting period) educational services? How many were referred out? How many received services directly?
- How many **total** participants **completed** educational services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?
- How many participants that were directly provided with educational services received a GED certificate?
- How many participants that were directly provided with educational services received a High School Diploma?
- How many participants who were directly provided with educational services obtained a vocational certificate?
- How many participants who were directly provided with educational services obtained higher education?

### Housing Services

- How many **new** participants needed housing services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed housing services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive housing services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide housing services directly to participants? Y/N
- How many **new** participants were enrolled in housing services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in housing services that were provided directly by the CASC ? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class/session attended was within one month of the closing of the reporting period) housing services? How many were referred out? How many received services directly?

- How many total participants completed housing services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?
- How many participants who were directly provided with services obtained housing?
- How many participants who were directly provided with services were housed for 3 or more months?
- How many participants who were directly provided with services were housed for 6 or more months?

### Anger Management

- How many new participants needed anger management services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed anger management services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive anger management services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide anger management services directly to participants? Y/N
- How many new participants were enrolled in anger management services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in anger management services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class attended was within one month of the closing of the reporting period) anger management services? How many were referred out? How many received services directly?
- How many total participants completed anger management services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

### Parenting

- How many new participants needed parenting services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed parenting services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive parenting services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?

- Does the CASC provide parenting services directly to participants? Y/N
- How many new participants were enrolled in parenting services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in parenting services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class attended was within one month of the closing of the reporting period) parenting services? How many were referred out? How many received services directly?
- How many total participants completed parenting services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

#### Recreation and Leisure Activities

- How many new participants were enrolled in recreation and leisure services this quarter?
- How many total participants are enrolled in recreation and leisure activities?
- How many total participants were actively engaged in (last class/outing attended was within one month of the closing of the reporting period) recreation and leisure activities?

#### Alumni Group Activities

- How many new participants were enrolled in Alumni Group services this quarter?
- How many total participants are enrolled in the Alumni Group?
- How many total participants were actively engaged in (last class/outing attended was within one month of the closing of the reporting period) the Alumni Group?

#### Creative Arts Activities

- How many new participants were enrolled in Creative Arts services this quarter?
- How many total participants are enrolled in Creative Arts Activities?
- How many total participants were actively engaged in (last class/outing attended was within one month of the closing of the reporting period) the Creative Arts Activities?
- How many total participants completed Creative Arts Activities as per their ITRP and/or Reentry Services Plan.

#### All Other Services (Lunch, Clothes, Child Care, Recovery/Faith Based, Saturday Services, Community Advisory Board and Physical Health Services)

- How many new participants were enrolled in each of the above services this quarter?
- How many total participants are enrolled in each of the above services activities?

- How many total participants were actively engaged in (the participant accessed the service at least one time during the month of the closing of the reporting period) each of the services.

### 3. Securing Contract Staff

- The Program and Associate Director should have a Master's Degree in Social Sciences or a related field, and at least one year of administrative experience in a program setting; or, a four-year degree in Social Sciences or related fields, and the equivalent of three cumulative years of documented experience demonstrating a history of administrative responsibility in criminal justice programs; or a two-year degree (AA or AS) and the equivalent of five years of full-time administrative experience in substance abuse programs combined with demonstrable familiarity working with the target population.
- The LCSW/LMFT staff must be in possession of a valid license as a LCSW or a LMFT issued by the California Board of Behavioral Science Examiners (CBBS), or Registered Intern with CBBS.
- Program staff will possess a four-year degree in Social Sciences or related fields and the equivalent of one year of documented criminal justice, substance abuse or social services program management experience; or a two-year (AA or AS) and the equivalent of two years' experience, or a High School Diploma or GED and four cumulative years of full-time experience
- The Contractor shall review and approve in advance the resumes/qualifications of all required personnel assigned to the contract to ensure the minimum specified standards are met.
- If a candidate or staff does not meet the minimum qualifications described, the LCA and SFAPD should review the circumstances, and decide a course of action that is in the best interest of the CASC program.
- The Contractor will send all final job descriptions to SFAPD for review prior to posting; and will let SFAPD know when posting or active recruitment for any position commences.
- The Contractor will provide SFAPD with candidate resumes, as well as indication of intent to hire a candidate. If a program staff is already a part of the Contractor team, the Contractor will provide SFAPD with staff name, and resume information.
- All CASC program employees and subcontractors, as well as any person in the operator's organization who will have access to or entrance into the facility, or other services locations shall be required to meet the requirements to obtain a



SFAPD security clearance to enter and work at the facility. It shall be the operator's responsibility to retain approved clearances on-site as long as the staff member is employed. The SFAPD reserves the right to deny and/or retract security clearances upon written notification to the operator.

- Criteria for approval or denial of a position may include, but may not be limited to:
  - No arrests during the past three years.
  - Cannot currently be on parole, mandatory supervision, PRCS or probation or under any structured supervision as a result of criminal conduct.
  - Not required to register per Health and Safety Code Section 11590, Penal Code Section 290, and/or Penal Code Section 451.
- Staff vacancies shall be brought to the immediate attention of the SFAPD Reentry Division. The operator may fill temporary vacancies internally by a temporary reassignment of existing qualified staff. The hiring process shall not exceed 30 days from the date of vacancy and the position must be filled within 60 days.
- The Contractor can make staffing and hiring modifications as needed for the benefit of the CASC program, and with the prior approval of SFAPD.

#### 4. Department Liaison

In performing the services provided for in this Agreement, Contractor's liaison with the San Francisco Adult Probation Department will be Lauren Bell.

Such appendix (Appendix A-2) is hereby amended in its entirety to read as follows:

#### Appendix A-3 Services to be provided by Contractor

1. Description of Services:
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The Contractor will manage and operate the Community Assessment and Services Center facility, and oversee the delivery of Center rehabilitative services as described below for clients of the San Francisco Adult Probation Department. Services may be provided at the Center, in County Jail or other locations in the community as needed to support APD clients' success.

#### SCOPE OF WORK

#### CASC – Service Delivery Responsibilities

#### A. PRINCIPLES OF EFFECTIVE INTERVENTION

Leaders in Community Alternatives ("LCA") agrees to train all staff on and appropriately integrate the National Institute of Correction's eight evidence-based principles for effective intervention within community corrections into every facet of service delivery. The eight principles are:

- 1) Assess Criminogenic Risks/Needs
- 2) Enhance Intrinsic Motivations
- 3) Target Interventions
  - i. Risk Principle: Prioritize supervision and treatment resources for higher risk offenders.
  - ii. Need Principle: Target interventions to criminogenic (correlated to crime) needs.
  - iii. Responsivity Principle: Be responsive to temperament, learning style, motivation, culture, and gender when assigning programs.
  - iv. Dosage: Structure 40-70% of high-risk offenders' time for three to nine months.
  - v. Treatment Principle: Integrate treatment into the full sentence/sanction requirements.
- 4) Skill Train with Directed Practice (e.g., use cognitive behavioral treatment methods)
- 5) Increase Positive Reinforcement
- 6) Engage Ongoing Support in Natural Communities
- 7) Measure Relevant Processes/Practices
- 8) Provide Measured Feedback

The CASC program design incorporates these principles in services for all clients. Each client will complete a COMPAS risk-assessment (principle 1) with the aim of identifying and targeting interventions (principle 3). All of the services offered are structured to enhance intrinsic motivation (principle 2) and will engage all individuals in skill building activities (principle 4). The services offered will provide positive reinforcement for the development of new skills and behaviors (principle 5) and will support the socialization of individuals as they re-enter their communities (principle 6). In an effort to demonstrate the success of the proposed model, LCA will measure the implemented practices (principle 7) and will provide measured feedback and outcomes to the SFAPD (principle 8). As established in cooperation with SFAPD and tracked by CASC staff, progress will be measured, including clients' compliance with their COMPAS Individualized Treatment and Rehabilitation Plan attendance, participation in assigned onsite and community activities, completion of components, and any special accomplishments and challenges. 9) Case manager to client case load ratios will not exceed 1:25 except in circumstances in which LCA and APD have discussed, and agreed upon a modification to that ratio. Any concerns or problems will be reviewed in the weekly case conferences with SFAPD, with adjustments made as needed.

## **B. ASSESSMENT, PLANNING AND TREATMENT**

A comprehensive program is essential for our clients' successful, sustained community reintegration.

The CASC services will incorporate and include:

- 1) Gender Responsive Strategies
- 2) Strength Based, Trauma Informed and Family Focused Strategies
- 3) Criminogenic Needs and Community Functioning Factors
- 4) Collaborative and Coordinated Case Conferencing
- 5) Review of COMPAS Assessment and creation of Reentry Services Plan
- 6) Administration of Secondary Assessments
- 7) Coordinated Case Management

### C. OVERVIEW OF SERVICE DELIVERY COMPONENTS

LCA, will provide the services set forth in this Appendix from program referral to client termination from or completion of services. LCA may provide the services directly or through a subcontractor as specifically indicated below. A subcontractor's failure to deliver the services indicated below does not relieve LCA's responsibility for providing the services. Client referrals may originate in the Reentry Pod located inside of County Jail #2 or by SFAPD DPOs whose clients are already under community supervision.

Services components include:

- 1) Reentry Transportation
- 2) Intake
- 3) Orientation and Enrollment
- 4) Rehabilitation Services
- 5) Individualized Case Management, including Clinical Case Management
- 6) Community Service and Activities
- 7) Aftercare Services

### D. INCENTIVES, REWARDS, AND REMEDIAL SANCTIONS

The overall LCA CASC program design emphasizes and supports clients' strengths, positive change, and the importance of accountability. Best practices includes providing incentives and rewards for progress and achieving goals, and structured sanctions that are swift and certain when clients do not meet program expectations or personal responsibilities.

### E. REHABILITATIVE PROGRAMS

The CASC will offer a full array of on and off site rehabilitative programs directly or through subcontractors listed below that are designed to successfully transition offenders back into their communities. The interventions and services strive to use evidenced-based curricula whenever available, and to engage clients and address their criminogenic needs and community functioning factors. Clients will be assigned to rehabilitative services in accordance with their Individualized Treatment and Rehabilitation and/or Reentry Services Plan. Requirements for program completion of each component will be identified in the Reentry Services Plan and adjusted, as

needed, through case conferences. Program capacity outlined below is based on current funding availability, and will be adjusted based on actual funding received. Programs include:

### 1. Gender Responsive Treatment and Services for Women Client Groups - LCA

**Primary Curriculum:** Helping Women Recover: A Program for Treating Substance Abuse – Special Edition for Use in the Criminal Justice System (Covington, Rev. Ed. 2008).

**Schedule:** The modules will be delivered 2 days a week, 1 ½ hours each, for 9 weeks, for a total of 25.5 hours, and optional 11 sessions delivered 2 days a week, 1 ½ hours each, for 6 weeks, for a total of 16.5 hours. Proposed program capacity is 48 women per year.

Following completion of Helping Women Recover, clients will be assessed, in cooperation with SFAPD, and those in need of further trauma work will continue with additional treatment utilizing Beyond Trauma: A Healing Journey for Women (Covington 2003) to extend and deepen the trauma work introduced in Helping Women Recover. Clients will also be referred to community providers for ongoing gender responsive services.

### 2. Gender Responsive Treatment and Services for Men Client Groups - LCA

**Primary Curriculum:** Seeking Safety A Treatment Manual for PTSD and Substance Abuse (Najavits 2007), a flexible, cognitive-based curriculum designed for co-occurring post traumatic stress disorder and substance use disorder, focusing on coping skills and psychoeducation, with safety as the overarching goal (helping clients attain safety in their relationships, thinking, behavior, and emotions).

**Schedule:** The modules will be delivered 3 days a week, 1 hour each, for 9 weeks for total of 25 hours. Proposed program capacity is 240 men per year.

### 3. Cognitive Skills Development - LCA

**Primary Curriculum:** Thinking for a Change (T4C), (National Institution of Corrections, 3.0 edition), an integrated, cognitive behavior change program for offenders. It is anticipated that this core program will be included in the Reentry Services Plan for the majority of CASC clients. The three components of T4C are: cognitive self-change, social skills, and problem-solving skills.

**Schedule:** The modules will be delivered 3 days a week, 1½ hours each, for 9 weeks for a total of 37.5 hours (excluding optional sessions). Proposed program capacity is 420 clients per year.

### 4. Anger Management - LCA

**Primary Curriculum:** Anger Management for Substance Abuse and Mental Health Clients – A Cognitive Behavioral Therapy Manual (Reilly, Shopshire - SAMHSA, 2002)

**Schedule:** The modules will be delivered once a week, 1 ½ hour sessions, one a week for 12 weeks, for a total of 18 hours. Proposed program capacity is 96 clients per year.

#### 5. Substance Abuse Components – LCA

##### a. Substance Abuse Education Group

**Primary Curriculum:** ADDICTION: A Biopsychosocial Model (Terence T. Gorski, 2004): Part 1: Mind-Altering Substances; Part 2: Addictive Risk Factors; Part 3: Substance Abuse and Addiction.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

##### b. Outpatient Substance Abuse Treatment

**Primary Curriculum:** RECOVERY: A Developmental Model (Terence T. Gorski, 2004): Part 1: The Recovery Process; Part 2: Building a Foundation for Recovery; Part 3: Creating Quality Recovery.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

##### c. Relapse Prevention Training

**Primary Curricula:** RELAPSE (Terence T. Gorski, 2004): Session 1 - Basic Principles; Session 2 - Relapse Warning Signs; Sessions 3 and 4: Managing Relapse Warning Signs. The Relapse Prevention Training groups will then utilize: Relapse Prevention Therapy Workbook: Identifying Early Warning Signs Related to Personality and Lifestyle Problems (Terence T. Gorski and Stephen F. Grinstead, 2010)

**Schedule:** The modules will be delivered 2 days a week, 1 hour each, for 10 weeks for a total of 20 hours. Proposed program capacity is 48 women and 288 men per year.

#### 6. Life Skills Development Training – To be provided by community partner, Center on Juvenile and Criminal Justice (CJJC)

**Primary Curriculum:** Northern California Service League Life Skills and Employment Readiness Program. That program covers such topics as self-assessment, communications, job search techniques and interview skills. CJJC transitional services specialist will also offer supportive services to CASC case managers for clients that are preparing for program discharge. Emphasis will be placed on budgeting, money management, technology, finding a safe place to live, nutrition, exercise, and many other topics designed to help clients live successfully in the community. The Transitional Specialist will provide a full range of resource development and service referrals to CASC clients returning to the community.

**Schedule:** The modules will be delivered 5 days per week, 4 hours each, for 1 week for a total of 20 hours. This program will be provided once per month. Proposed program capacity is 300 clients per year.

**7. Parenting/Family Dynamics Training, and Batterers Intervention Services — Community Works**

**Primary Curriculum:** Parenting Inside Out, an evidenced-based, cognitive-behavioral parenting curriculum will be used for the parenting/family dynamics work. The research based Manalife™ program curriculum will be used for the Batterers Intervention Program.

**Schedule:** The Parenting/Family Dynamics, and Manalife™ modules will be delivered both at the CASC and in the Reentry Pod, on a schedule that is agreed upon by Community Works, LCA, and APD. Each class size should not exceed 16 people.

**8. Education/High School Diploma/GED – Five Keys Charter High School**

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will be established by Five Keys.

**9. Employment Services – Two community partners, America Works and Center on Juvenile and Criminal Justice (CJ CJ)**

a) Employment Readiness

**Primary Curriculum:** Awakening New Futures created in 1988 by Northern California Services League, specifically designed for ex-offenders. Other curriculum may also be used by CJ CJ or America Works.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. The curriculum will be delivered 2 days a week, 1 ½ hours each, for 5 weeks, for a total of 15 hours. Proposed program capacity is 480 clients per year.

b) Vocational Services

America Works will bring 1 FTE Job Developer to the CASC to provide vocational training and employment assistance to clients for pre-apprenticeship and vocational programs, as well as job placement. In addition, one-on-one career counseling will be provided. Once placed in training or on the job, America Works will establish a weekly retention working relationship with employer and employee to immediately address any concerns or problems.

Additionally, CJ CJ operates two federally funded employment programs. CJ CJ will move the San Francisco Training Partnership and Homeless Employment Coalition services and staff to the CASC facility, allowing clients easy access to these services. Clients will

receive an array of services including assessment and referral to short-term training, counseling, and job placement services. Participants in both of these programs will also receive CJCJ's employment focused life skills trainings. In addition to providing the above described services, CASC clients will be able to receive monetary support through a flexible pool of monies identified to offer clients training and other relevant supportive services. These funds can be utilized for specific vocational trainings, uniform costs, and work equipment and tools, if deemed appropriate and necessary. These funds provide direct assistance to the clients, allowing for better successes among the participant population.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will vary based on needs of the clients.

#### 10. Recreation and Leisure Activities - LCA

CASC clients will be introduced to physical recreation and multi-cultural celebrations and creative arts events, initially coordinated by staff and volunteers, and subsequently also through their independent exploration.

**Schedule:** Clients will develop a weekly recreation and leisure plan for pro-social activities in the community with their Case Manager.

#### 11. Physical Health Services – various community providers

CASC clients not eligible for public insurance programs such as Medi-Cal, and who do not have other health insurance, will be enrolled in Healthy San Francisco. LCA has letters of Intent (LOI) from the Transitions Clinic, South of Market Health Center, and St. James Infirmary to accept eligible clients for medical assessment, treatment and care. Additionally we have an LOI from St. Vincent de Paul Society who through their Wellness Center will work on the emotional side of physical health with programs of stress reduction techniques, exercise, spiritual development as well as health topic discussions.

#### 12. Graduations – LCA

To receive A CERTIFICATE OF GRADUATION, clients must satisfactorily complete all of their required individual program components as identified in their Reentry Services Plan, and demonstrate their ability to apply the knowledge and tools they learned.

**Schedule:** Twice per year.

### 13. Additional On-site Groups – LCA

LCA Case Managers and other trained staff and interns will facilitate weekday open morning, lunchtime, and evening check-in groups. Open N.A. and A.A. Meetings. The Community Room will have current resource information including community events and services.

Schedule: vary - during CASC hours of operation.

### 14. Recovery and Faith-Based Activities – various groups

Throughout the CASC program, clients will be provided with information if they choose to explore and join organizations offering spiritual and healing groups and activities. Clients will be provided extensive recovery group resource information.

### 15. Creative Arts – Community Works

Community Works will conduct active Creative Arts groups at the CASC and County Jail, A-Pod/Reentry Pod.

Schedule: vary - during CASC hours of operation.

### 16. Clothing Closet - LCA

The CASC will work with various community groups to establish a clothing closet on-site at the facility.

### 17. Childcare - LCA

LCA is will partner with Community Works for the parenting portion of the CASC. Case Managers will develop a childcare plan with each client who has children. Referrals will be made to agencies which offer multi-lingual family services, including child care.

### 18. Food Service - BHPMSS

The CASC will provide wholesome and nutritionally balanced meals 5 days per week for clients who spend four or more hours engaged in programming a day. Bayview Hunters Point Multipurpose Senior Services or another approved provider of food services will be responsible for the food service. Programming will include nutrition education, information on shopping and preparation, and also the opportunity to learn about foods of different cultures, expanded to include information on multicultural music, art, and lifestyles.



### 19. Saturday Services - LCA

Case Managers and other program staff will rotate coverage, supported by security staff. There will be a morning 12-Step meeting, a review of available weekend recreation and community service projects, and the resource guides. Computer stations will be available for client use. The on-duty Case Manager will have individual meetings with clients to address any immediate concerns. Rehabilitative programming will be available for working clients.

### 20. Alumni Group program - LCA

LCA Milestones program demonstrated the invaluable contribution of an active alumni group, for the alumni themselves supporting each other, and as role models and support to current clients, the program, and the community. Alumni co-facilitated cognitive-behavioral and recovery groups, led groups for community recreation and cultural activities, provided peer support on a 1:1 basis, and led the weekly Sunday evening group meeting.

CASC will establish and strongly support an active Alumni Group with similar invaluable contributions and benefits to the clients and the program. Representative members selected by the Alumni Group, along with current clients, will serve on a Client Advisory Board.

### 21. Community Advisory Board

The CASC will be an important contributor to its community. An Advisory Board will be established to provide ongoing support for planning and feedback, as well as additional resources for the program. This Board will meet quarterly at the facility. Members will include social service providers, other community organizations, businesses, clients, SFAPD and others.

## CASC – Facility Oversight and Operations Responsibilities

### **Facility and Grounds requirements:**

1. The CASC facility must be used exclusively for serving the target population and the staff associated with the program.
2. The CASC must be and remain in compliance with all applicable building, sanitation, health, safety and fire codes, as well as city and county zoning and use ordinances.
3. The CASC will have a plan for onsite security/monitoring of all equipment, supplies, staff and clients. The plan will include monitoring and oversight of entry and exit traffic and will ensure a sign-in/sign-out protocol for all facility visitors
4. Clients will be prohibited from loitering outside of the facility.
5. The facility will include a staffed reception lobby for CASC services. The SFAPD will staff a separate SFAPD lobby.

6. The CASC should provide a cheerful décor and color-coordinated furnishings for the facility with special emphasis on the lobby, hallways, classrooms and treatment restrooms, and dining area (eating and break room).
7. The CASC must have sufficient space designated for clients to take scheduled breaks and eat lunch.
8. The CASC must provide for multiple classrooms to permit training and services to be offered simultaneously.
9. The facility must provide an adequate number of functional, clean, bathrooms in accordance with City and County of San Francisco standards. The sinks shall provide both hot and cold water. Hand soap, paper towels, paper seat covers should be available. Restrooms must be considerate of gender needs and be separately located. Restrooms must be in compliance with the Americans with Disabilities Act (ADA).
10. Client restrooms shall not be co-located with the restrooms for staff.
11. If urinalysis testing is phased into programming, there must be a restroom for urinalysis testing.
12. The CASC kitchen, cafeteria, food storage area, equipment, appliances, furnishings and cabinetry, as well as all food service and preparation areas must meet all applicable health and sanitation code standards. Accommodations shall be made for participants with disabilities.
13. The CASC shall provide a wholesome and nutritionally balanced lunch a minimum of 5 days per week for all program participants who spend 4 or more hours engaged in programming on a given day. The CASC will be considerate of general health and dietary restrictions and food prohibitions associated with cultural and religious traditions.
14. LCA shall regularly inspect the facility for pest infestation and shall maintain pest control services to ensure the facility is free of insect and rodent infestation. Documentation of pest control services will be maintained at the facility and made available to the SFAPD staff upon request.
15. The CASC shall have proper lighting, heating, and ventilation.
16. The CASC shall have a secured maintenance room for storage of cleaning supplies, tools and equipment (e.g., mops, brooms, buckets, etc.) and shall be equipped with a utility sink. The facility, equipment, furniture, appliances, etc. shall be kept clean and in good operating condition at all times and replaced when necessary.
17. The CASC shall have a plan to ensure comprehensive janitorial services
18. All repairs including plumbing, electrical and/or structural which affect the health and safety of any occupant must be made within 48 hours of discovery and at the LCA's expense. LCA must notify the SFAPD Reentry Services Manager immediately.
19. LCA will ensure safety and security of facility exterior, interior, equipment, supplies, staff, clients and all client information.
20. If LCA anticipates transporting participants via a private vehicle, all staff shall possess a valid driver's license and the vehicle shall be fully insured.
21. LCA shall have written CASC policies and procedures in accordance with SFAPD's regulations. This policies and procedures will be submitted to the SFAPD Reentry Division for retention in the case file.
22. All CASC staff shall be trained and certified in first aid, including cardiopulmonary resuscitation (CPR) within the first six weeks of employment and remain current throughout

their employment relative to this contract. A record of first aid training shall be maintained on file by the LCA.

23. Fully stocked first aid kits will be readily available throughout the facility. The telephone numbers of all local emergency service agencies shall be posted and readily available to all staff.
24. No Smoking signs shall be posted in full view of the participants, staff and visitors.

### **Security and Safety Requirements:**

1. **Facility Security** – The safety and security of clients, staff and visitors is of paramount importance.

- a. LCA staff and on site security protocols will take a dignified and reasonable approach to ensuring that the facility is free of weapons and contraband, and protected from outside intrusions. Daily security and perimeter inspection of the facility will make certain that functioning locks and latches are on all windows, doors and gates, and that electrical lighting (inside and out) is operating properly. Door alarms may be used to eliminate unauthorized egress or ingress during evening and night hours. Security policies shall ensure that the clients are not locked inside the facility at any time.
- b. Given the large number of offenders in the facility at any given time, all staff should be adequately trained in effective relationship building, de-escalation strategies, and emergency response and evacuation protocols. CASC monitors that play a security leadership role should make routine safety checks throughout the facility, and be primarily responsible for prompting attention towards any lighting, signage, training or other upgrade that is needed to further ensure the safety of people and property at the CASC.

### **2. Case Files**

- a. LCA will develop and maintain properly organized participant files and secure them in a locked file cabinet or drawer. Files shall be considered confidential and protected from any unauthorized use or disclosure. Electronic client files will be held to the same security standard as hard copy files. The CASC will have written procedures for the release of case file information to include: 1) the participant's signed and dated Release of Information Form, 2) the name of the person, agency or organization to whom the information was released, and 3) the signature of the employee who released the information and date of release.

### **3. Searches and Contraband**

- a. Whereas safety and security of CASC persons and property is of paramount importance, and whereas SFAPD and CASC staff will take a responsible harm reduction approach to addressing client substance abuse issues, CASC will create and honor a dignified contraband search and client substance use response policy that will be in compliance with SFAPD regulations, policies, and procedures. Clients that enter the CASC are subject to search. Any findings of contraband and/or signs of substance abuse

shall be reported to the SFAPD staff as soon as possible after discovery. SFAPD and CASC staff will follow an agreed upon protocol for responding to contraband, weapons and substance use.

**4. Disturbance Control Plan**

- a. LCA will have a written Disturbance Control Plan in the event of a major disturbance such as riots, strikes, attacks upon staff, visitors or participants, explosions or fires, suicides or attempted suicides, natural disasters; and accidental injuries to staff and others. The plan shall include assistance from local law enforcement and/or emergency agencies as circumstances warrant. The development of the Disturbance Control Plan shall be coordinated with the SFAPD Reentry Services Manager. Once the Disturbance Control Plan is developed, LCA will submit a copy to the SFAPD Reentry Services Manager for retention in the contract file.

**5. Fire Evacuation Emergency Procedures**

- a. LCA will have written procedures pertaining to fire prevention, safety requirements, evacuation and emergency procedures that include instructions for the following:
- o Immediate notification of the fire department (inclusive of the designated fire department's address and telephone number)
  - o Alert notification and/or evacuation of all occupants
  - o Notification of authorities
  - o Control and the extinguishing of fires
  - o Evacuation routes and procedures
  - o Other to be identified procedures

**6. Emergency Evacuation Training**

- a. All personnel shall be trained in the implementation of emergency procedures within 24 hours of their initial employment. Annual refresher training shall be provided to all personnel. All training is to be documented for compliance and maintained in employee files.

**7. Quarterly Emergency Evacuation Drills**

- a. LCA will conduct and document quarterly emergency evacuation drills. Documentation of each drill shall include: date and time of day; evacuation path used; number of staff, participants and visitors involved; amount of time to complete the drill, and any pertinent comments.

**8. Posting of Emergency Evacuation Floor Plans**

- a. Clear, concise and site-specific emergency evacuation floor plans shall be posted as appropriate at every occupied floor location throughout the facility. The floor plans

should be located near the identified exit doors on each floor. The evacuation diagram plans shall be placed in tamper-proof frames and include the following:

- o Evacuation diagram plan that identifies the "You Are Here," location that is compatible with the building floor plan.
- o Evacuation plans, which include the location of building exits, fire extinguishers, pull-stations, fire hose cabinets, and first aid supplies.
- o Emergency and evacuation procedures, including diagrammed evacuation routes, shall be communicated to each new participant upon arrival.

#### 9. Smoke Detectors and Fire Extinguishers

- a. LCA shall provide operable and regularly tested smoke detectors and fire extinguishers in key locations including the kitchen and classrooms. All tests shall be documented and maintained at the facility site.

#### 10. Hazardous, Toxic and Volatile Substances

- a. LCA shall maintain a written policy for inventory, use, storage and disposal of all hazardous, toxic, and volatile substances in accordance with the Hazardous Substances Information and Training Act, Chapter 2-5 (commencing with Section 6360), Part 1 of Division 5 of the Labor Code. Hazardous, toxic and volatile substances shall not be stored in furnace areas, kitchens, dining areas, or in close proximity to stored food or kitchen supplies. Flammable substances such as gasoline, kerosene and paint thinner shall be stored outside the facility's main structure in approved containers inside properly ventilated and labeled fireproof cabinets.
- b. Material Safety Data Sheets (MSDS) must be maintained on-site for all hazardous materials used in the facility. The MSDS shall be posted and immediately accessible to staff and participants wherever these substances are used.
- c. LCA will provide training to facility staff and program participants. Documentation of training shall be maintained in the facility files.

The SFAPD and LCA will conduct an annual review of facility protocols, and will work together to resolve any review findings. "The periodic reporting required by this Agreement should address LCA's progress toward meeting the above operational and safety requirements, as well as any operational or safety issues that have arisen".

<b>2. Data Collection and Reports</b>
---------------------------------------

The Contractor shall submit written reports as requested by the **San Francisco Adult Probation Department**. Format for the content of such reports shall be determined by the **San Francisco Adult Probation Department**. The timely submission of all reports is a necessary and material term and condition of this Agreement. The SFAPD shall require the following reports:  
Monthly Referral Tracking Report, attached below as Attachment A  
Monthly Client Activity Report, attached below as Attachment B  
Monthly Traffic Tracking Report, the template of which is attached below as Attachment C  
Quarterly and Annual Reports, the template of which is attached below as Attachment D

All Monthly Reports are due by the 15<sup>th</sup> of each month following the reporting month.

Quarterly and Annual Reports shall be submitted in accordance with the following schedule:

Q1: July 1 – September 30 due by October 30

Q2: October 1 – December 31 due by January 30

Q3: January 1 – March 31 due by April 30

Q4: April 1 – June 30 due by July 30

Annual: July 1 – June 30 due by August 15

Should any of the due dates fall on a weekend day, the Report shall be submitted the Friday prior to the due date.

Reports shall be submitted to the Reentry Services Manager, also known herein as the Program Liaison.

All CASC information, reports, writings, summary documents or press releases shall be reviewed and approved by the SFAPD prior to dissemination. LCA, and partners associated with the CASC will consult with the SFAPD before publically releasing any CASC related information to the public or other professional groups.

### 3. Securing Contract Staff

- The Program and Associate Director should have a Master's Degree in Social Sciences or a related field; and at least one year of administrative experience in a program setting; or, a four-year degree in Social Sciences or related fields, and the equivalent of three cumulative years of documented experience demonstrating a history of administrative responsibility in criminal justice programs; or a two-year degree (AA or AS) and the equivalent of five years of full-time administrative experience in substance abuse programs combined with demonstrable familiarity working with the target population.
- The LCSW/LMFT staff must be in possession of a valid license as a LCSW or a LMFT issued by the California Board of Behavioral Science Examiners (CBBS), or Registered Intern with CBBS.
- Program staff will possess a four-year degree in Social Sciences or related fields and the equivalent of one year of documented criminal justice, substance abuse or social services program management experience; or a two-year (AA or AS) and the equivalent of two years' experience, or a High School Diploma or GED and four cumulative years of full-time experience.
- The Contractor shall review and approve in advance the resumes/qualifications of all required personnel assigned to the contract to ensure the minimum specified standards are met.

- If a candidate or staff does not meet the minimum qualifications described, the LCA and SFAPD should review the circumstances, and decide a course of action that is in the best interest of the CASC program.
- The Contractor will send all final job descriptions to SFAPD for review prior to posting; and will let SFAPD know when posting or active recruitment for any position commences.
- The Contractor will provide SFAPD with candidate resumes, as well as indication of intent to hire a candidate. If a program staff is already a part of the Contractor team, the Contractor will provide SFAPD with staff name, and resume information.
- All CASC program employees and subcontractors, as well as any person in the operator's organization who will have access to or entrance into the facility, or other services locations shall be required to meet the requirements to obtain a SFAPD security clearance to enter and work at the facility. It shall be the operator's responsibility to retain approved clearances on-site as long as the staff member is employed. The SFAPD reserves the right to deny and/or retract security clearances upon written notification to the operator.
- Criteria for approval or denial of a position may include, but may not be limited to:
  - No arrests during the past three years.
  - Cannot currently be on parole, mandatory supervision, PRCS or probation or under any structured supervision as a result of criminal conduct.
  - Not required to register per Health and Safety Code Section 11590, Penal Code Section 290, and/or Penal Code Section 451.
- Staff vacancies shall be brought to the immediate attention of the SFAPD Reentry Division. The operator may fill temporary vacancies internally by a temporary reassignment of existing qualified staff. The hiring process shall not exceed 30 days from the date of vacancy and the position must be filled within 60 days.
- The Contractor can make staffing and hiring modifications as needed for the benefit of the CASC program, and with the prior approval of SFAPD.

#### **4. Department Liaison**

In performing the services provided for in this Agreement, Contractor's liaison with the San Francisco Adult Probation Department will be Lauren Bell.

5. Attachments

Attachment A: Monthly Referral Tracking Report

Attachment A - Monthly Referral Data (Please maintain a cumulative list)

SF#	Date Referred	Probation Officer	Service Type	Status	Status Date	Supervision Unit

Attachment B: Monthly Client Activity Report

ATTACHMENT B - Monthly Client Activity Report

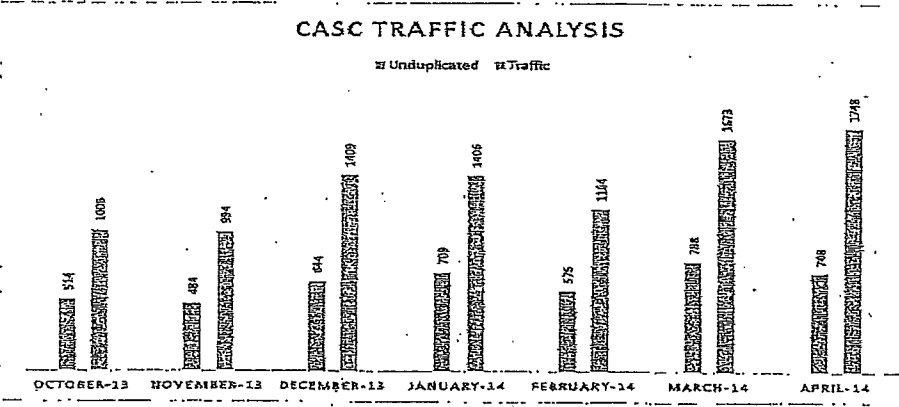
CASC Partner Agency:

Reporting Month:  (Please include new clients per reporting month, and maintain a cumulative list of monthly clients)

Reporting Month	PARTNER POPULATED FIELDS		CASC POPULATED FIELDS				PARTNER POPULATED FIELDS		Status	Date of Last Contact
	Client Last Name	Client First Name	SF#	DOB	Service Type	APR Referral Date	CASC Referral Date	Partner Assessment Date		

Attachment C: Monthly Traffic Tracking Report

Attachment C: Monthly Traffic Report





**Attachment D: Quarterly and Annual Reports**

**A. Client Activity Summary**

	In Reporting Period	To Date
1. Clients entering		
2. Clients active		
3. Clients discharged – inactive		
4. Clients discharged – completed		
5. Clients attending class		
6. Clients entering from Reentry Pod (subset of #1)		
7. Clients active from Reentry Pod (subset #2)		
8. Clients from Reentry Pod discharged – inactive (subset of #3)		
9. Clients from Reentry Pod discharged – completed (subset of #4)		

**B. Referral Analysis for Reporting Period\***

\*If fourth quarter, please provide both the fourth quarter and aggregate annual data.

By APD Division:

1. Total Referrals (FCM and SFA and Pod).
2. Total Referrals FCM.
3. Total Referrals SFA.
4. Total Referrals Pod.
5. Total Enrollments.
6. Total Discharged – Inactive.
7. Total Discharged - Completed Probation.
8. Total Discharged - Completed Specified Service.

**C. Engagement Analysis for Reporting Period**

\*If fourth quarter, please provide both the fourth quarter and aggregate annual data.

*Note: Items 1 – 5 below are totals for the reporting period. Item 6 is a point-in-time count as of the end of the reporting period.*

**Summary**

	Full Case Management	Services for All
1. Total Referrals		
2. Total Enrolled		
3. Total Discharged- Inactive		
4. Total Discharged – Completed Probation		
5. Total Discharged – Completed Service		
6. Total Active as of end of reporting period		

**Partner workshops**

	5 Keys	CJ CJ Employment Services	Community Works	America Works
1. Total Referrals				
2. Total Enrolled				
3. Total Discharged- Inactive				
4. Total Discharged – Completed Probation				
5. Total Discharged – Completed Service				
6. Total Active as of end of reporting period				

**CASC Workshops**

	Anger Management	Helping Women Recover	Seeking Safety (Pod)	Seeing Safety (CASC)
1. Total Referrals				
2. Total Enrolled				
3. Total Discharged- Inactive				
4. Total Discharged – Completed Probation				
5. Total Discharged – Completed Service				
6. Total Active as of end of reporting period				

	Substance Abuse Education	Thinking for a Change	Education/5Keys	Add-in All Other Workshops
1. Total Referrals				
2. Total Enrolled				
3. Total Discharged-Inactive				
4. Total Discharged – Completed Probation				
5. Total Discharged – Completed Service				
6. Total Active as of end of reporting period				

	THC (Lauren will collect / compile)
1. Total Referrals	
2. Total beds available	
3. Total placements	
4. Total in housing as of end of reporting period	

**D. Client Engagement Incentive Program Activity for Reporting Period**

	Number Distributed	Number of Clients Served
1. Food Distribution:		
a. Breakfasts		
b. Lunches		
c. Other food		
2. Tokens Distributed		
3. Other incentives as implemented		

**E. Narrative**

**a. Administrative Operations:**

Successes, challenges, resolutions, and plans for the next quarter.

**b. Staffing and Training Updates:**

Successes, challenges, and resolutions, and plans for the next quarter.

**c. CASC Program, Client and Community Development:**

Successes, challenges, and resolutions, and plans for the next quarter.

**d. Reentry Pod:**

Successes, challenges, and resolutions, and plans for the next quarter.

- e. **Additional information to further illustrate successes, challenges, resolutions, and plans for next quarter**

F. **Annual Report Outcomes** (The below outcomes are to be provided in the Annual Report along with Q4 data as per the above sections, inclusive of a narrative that reflects on highlights of the year).

1. **Employment Outcomes** (CJCC and America Works)
  - a. Total job placements in reporting period
  - b. Number of clients who worked in job placement for 90 days or more in reporting period
  - c. Number currently employed in job placement as of end of reporting period
2. **Education Outcomes** (5 Keys Partnership)
  - a. Total completed GED or HSD in reporting period
  - b. Total participating in literacy classes in reporting period
  - c. Total completing food handler certification
3. **Housing Outcomes**
  - a. Number of clients under-housed at intake in reporting period
  - b. Number of clients homeless at intake in reporting period
  - c. Number placed in permanent housing in reporting period
  - d. Number placed in stabilization unit in reporting period
  - e. Number placed in transitional housing in reporting period
4. **Income Support Outcomes**
  - a. Total in need of income support at intake
  - b. Total receiving GA as of end of reporting period
  - c. Total receiving SSI as of end of reporting period
  - d. Total employed as of end of reporting period
5. **Behavioral Health Outcomes**
  - a. Number of clients with identified mental health need at intake during reporting period
  - b. Number of clients with identified substance dependency issue at intake during reporting period
  - c. Number of clients referred to behavioral health services during reporting period

2c. Appendix B-2. Appendix B-2 "Budget" of the Agreement currently reads as follows:

Appendix B-2  
Budget

CASC Budget  
(SF Day Reporting Center)

Detailed Budget for First Year	2013 - 2014 Budget
Personnel	\$ 713,339
Fringe Benefits	\$ 162,345
<b>TOTAL SALARIES AND FRINGE</b>	<b>\$ 875,684</b>
Program Curriculum	\$ 7,500
Supplies	\$ 36,156
Equipment	\$ 29,159
Travel	\$ 750
Client Supportive Services	\$ 20,750
Interpretive Client Services	\$ 900
Parenting Skills Training	\$ 24,633
HUD Matching Funds - CJ CJ	\$ 20,000
Reentry Transportation - Vehicle/Insurance/etc.	\$ -
Janitorial	\$ 30,000
Insurance	\$ 12,300
Maintenance/ Repair	\$ 2,400
Communications	\$ 14,400
Training and Education (Staff) (ongoing only)	\$ 6,820
Food	\$ 53,046
Occupancy Costs	\$ 31,651
Rent	\$ 807,792
Utilities/Building Reimbursements	\$ 78,756
<b>TOTAL NON PERSONNEL ITEMS</b>	<b>\$ 1,177,013</b>
<i>Subtotal:</i>	<b>\$ 2,052,697</b>
Administrative Overhead (15%)	\$ 307,905
<b>Total Funding Request</b>	<b>\$ 2,360,602</b>

**Personnel and Fringe Detail:**

POSITION TITLE	FTE's	ANNUALIZED SALARY	Budget FY 13-14
CASC Program Director	1.0	\$ 75,750	\$ 75,750
Asst. Program Director / Financial Manager	1.0	\$ 65,325	\$ 65,325
Admin Assistant / Intake Specialist	1.0	\$ 41,773	\$ 41,773
Clinical Supervisor / Lead Case Manager	1.0	\$ 68,000	\$ 68,000
Case Manager	1.0	\$ 42,155	\$ 42,155
Case Manager	1.0	\$ 41,773	\$ 41,773
Case Manager	1.0	\$ 41,773	\$ 41,773
Case Manager	1.0	\$ 41,600	\$ 34,667
Case Manager	1.0	\$ 41,600	\$ 34,667
Case Manager - POD Lead Facilitator	1.0	\$ 52,000	\$ 8,667
Case Manager - POD Facilitator	1.0	\$ 41,600	\$ 27,733
Barrier Removal/Discharge Navigator	1.0	\$ 41,600	\$ 17,333
Security Monitors / Counselors	2.0	\$ 66,560	\$ 66,560
Staff Incentives	1.0	\$ 2,950	\$ 2,950
Seniors Specialist / Case Manager	1.0	\$ 53,248	\$ 53,248
Employment Specialist (A&AF)	1.0	\$ 53,248	\$ 11,093
Transitional Specialist	1.0	\$ 53,248	\$ 53,248
Employment Specialist (Am Works)	1.0	\$ 53,248	\$ 26,624
Employment Specialist - HUD Funded	1.0	\$ 116,580	\$ 116,580
HUD FUNDING	1.0	\$ 116,580	\$ (116,580)
Weekend Operations Coordinator		\$ -	\$ -
Weekend Case Manager FT		\$ -	\$ -
Weekend Program Monitors PT		\$ -	\$ -
Transportation Staff	0.0	\$ -	\$ -
Transportation Staff	0.0	\$ -	\$ -
<b>TOTALS</b>	<b>21.0</b>	<b>\$1,110,611</b>	<b>\$ 713,339</b>
<b>EMPLOYEE FRINGE BENEFITS</b>		<b>\$210,742</b>	<b>\$ 162,345</b>
<b>TOTAL SALARIES &amp; BENEFITS</b>		<b>\$1,321,353</b>	<b>\$ 875,684</b>

**Such appendix (Appendix B-2) is hereby amended in its entirety to read as follows:**

Appendix B-3  
Monthly Cost Reimbursement Invoice and Budget

Monthly Cost Reimbursement Invoice

- The SFAPD will reimburse for actual line item expenses incurred over the month for expenses according to the approved budget in Appendix B-3.
- Monthly cost reimbursement invoices are due by the 15<sup>th</sup> of each month following the reporting month. The SFAPD has 30 days following the receipt of an accurate, complete, and final Monthly Cost Reimbursement Request to reimburse the Contractor for approved expenses. If the Contractor does not turn the Invoice in by the 15<sup>th</sup> of the month, or it takes extra days for the Contractor to submit all information needed to satisfy a "final" Monthly Invoice, the SFAPD will have 30 days from the date a "final" Reimbursement Invoice was completed to reimburse the Contractor.

Detailed Budget by Fiscal Year

Description	Allocation FY 12/13 at time of Award (6/1/12)	Modified Allocation FY 12/13 First Amendment (4/15/13)	Allocation FY13/14 Second Amended (7/1/13)	Allocation FY14/15 Third Amendment (7/1/14)	Allocation FY 15/16 TBD	Allocation FY 16/17 TBD	Total Amount of Contract to Date
Total Salaries	\$664,604.00	\$220,969.00	\$713,339.00	\$644,620.00			\$1,578,928.00
Fringe Benefits	\$167,160.00	\$53,128.00	\$162,345.00	\$177,516.00			\$392,989.00
<b>Total Personnel Expenses</b>	<b>\$724,770.00</b>	<b>\$274,097.00</b>	<b>\$875,684.00</b>	<b>\$822,136.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$1,971,917.00</b>
<b>Operating Expenses</b>							
Program Curriculum	\$25,000.00	\$20,000.00	\$7,500.00	\$4,800.00			\$32,300.00
Supplies	\$8,250.00	\$8,400.00	\$36,156.00	\$11,700.00			\$56,256.00
Equipment	\$12,200.00	\$5,060.00	\$29,169.00	\$6,000.00			\$40,219.00
Travel	\$2,400.00	\$6,000.00	\$750.00	\$1,800.00			\$8,650.00
Client Supportive Services	\$7,000.00	\$1,000.00	\$20,750.00	\$40,470.00			\$62,220.00
Interpretive Client Services	\$5,000.00	\$500.00	\$900.00	\$1,800.00			\$3,200.00
Senior Services (FY13/14 In personnel)		\$0.00	\$0.00	\$55,910.00			\$55,910.00
Parenting Skills Training	\$10,000.00	\$1,000.00	\$24,633.00	\$35,800.00			\$61,433.00
Vocational/Employment Services (FY13/14 In personnel)		\$0.00	\$0.00	\$55,910.00			\$55,910.00
Transitional Services (FY13/14 In personnel)		\$0.00	\$0.00	\$55,910.00			\$55,910.00
HUD Matching Funds - CJCJ	\$16,667.00	\$1,667.00	\$20,000.00	\$20,000.00			\$41,667.00
Reentry Transportation - Vehicle/Insurance/etc	\$18,333.00	\$0.00	\$0.00	\$0.00			\$0.00
Other Occupancy Costs	\$0.00	\$4,500.00	\$31,652.00	\$0.00			\$36,152.00
Janitorial		\$0.00	\$30,000.00	\$0.00			\$30,000.00
Insurance	\$11,275.00	\$5,125.00	\$12,300.00	\$16,945.00			\$33,370.00
Maintenance/Repair/Janitoria (FY14/15)	\$5,500.00	\$2,500.00	\$2,400.00	\$23,850.00			\$28,750.00
Communications	\$15,950.00	\$5,600.00	\$14,400.00	\$6,075.00			\$26,275.00
Training and Education (Staff) (ongoing only)	\$8,000.00	\$1,600.00	\$6,820.00	\$3,150.00			\$11,570.00
Food	\$44,044.00	\$4,263.00	\$53,046.00	\$29,620.00			\$86,929.00
Drug Testing	\$17,100.00	\$1,900.00	\$0.00	\$0.00			\$1,900.00
							\$0.00
<b>Total Operating Expenses</b>	<b>\$206,719.00</b>	<b>\$69,315.00</b>	<b>\$290,466.00</b>	<b>\$368,740.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$728,521.00</b>
							\$0.00
Rent	\$400,000.00	\$134,632.00	\$807,792.00	\$807,792.00			\$1,750,216.00
Utilities/Building Reimbursements	\$0.00	\$13,126.00	\$78,756.00	\$54,900.00			\$146,782.00
<b>TOTAL DIRECT EXPENSES</b>	<b>\$4,328,480.00</b>	<b>\$491,170.00</b>	<b>\$2,052,698.00</b>	<b>\$2,053,568.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$4,597,436.00</b>
<b>Indirect Expenses</b>							
Capital	\$1,070,974.00	\$2,510,949.00	\$307,905.00	\$308,035.00			\$689,616.00
<b>TOTAL BUDGET</b>	<b>\$2,558,879.00</b>	<b>\$3,075,795.00</b>	<b>\$2,360,603.00</b>	<b>\$2,361,603.00</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$7,798,001.00</b>



**Personnel and Fringe**

POSITION TITLE	Allocation FY 12/13 at time of Award (6/1/12)	Modified Allocation FY 12/13 First Amendment (4/15/13)	Allocation FY13/14 Second Amendment (7/1/13)	Allocation FY14/15 Third Amendment (7/1/14)	Allocation FY 15/16 TBD	Allocation FY 16/17 TBD	Total Amount of Contract to Date
CASC Program Director	\$ 70,000.00	\$ 37,500.00	\$ 75,750	\$ 77,500			\$ 190,750.00
Asst. Program Director / Financial Manager	\$ 42,500.00	\$ 25,000.00	\$ 65,325	\$ 72,000			\$ 162,325.00
Clinical Supervisor / Lead Case Manager	\$ 65,000.00	\$ 70,417.00	\$ 68,000	\$ 71,000			\$ 209,417.00
Admin Assistant / Intake Specialist	\$ 29,467.00	\$ 13,867.00	\$ 41,773	\$ 43,680			\$ 99,320.00
Admin Assistant / Intake Specialist	\$ -	\$ -		\$ -			\$ -
Case Manager	\$ 173,333.00	\$ 17,333.00	\$ 42,155	\$ 43,680			\$ 103,168.00
Case Manager	\$ -	\$ 27,733.00	\$ 41,773	\$ 43,680			\$ 113,186.00
Case Manager	\$ -	\$ -	\$ 41,773	\$ 43,680			\$ 85,453.00
Case Manager	\$ -	\$ -	\$ 34,667	\$ 43,680			\$ 78,347.00
Case Manager	\$ -	\$ -	\$ 34,667	\$ 43,680			\$ 78,347.00
Case Manager - POD Lead Facilitator	\$ -	\$ -	\$ 8,667	\$ -			\$ 8,667.00
Case Manager	\$ -	\$ -		\$ -			\$ -
Case Manager	\$ -	\$ -		\$ -			\$ -
Case Manager - POD Facilitator	\$ -	\$ -	\$ 27,733	\$ 43,680			\$ 71,413.00
Barrier Removal/Discharge Navigator	\$ -	\$ -	\$ 17,333	\$ 43,680			\$ 61,013.00
Security Monitors / Counselors	\$ 52,000.00	\$ 8,320.00	\$ 66,560	\$ 34,840			\$ 109,720.00
Security Monitors / Counselors	\$ -	\$ -		\$ 34,840			\$ 34,840.00
Security Monitors / Counselors	\$ -	\$ -		\$ -			\$ -
Security Monitors / Counselors	\$ -	\$ -		\$ -			\$ -
Staff Incentives	\$ -	\$ -	\$ 2,950	\$ 5,000			\$ 7,950.00
Seniors Specialist / Case Manager	\$ 34,667.00	\$ 6,933.00	\$ 53,248	\$ -			\$ 60,181.00
Employment Specialist (A&AF)	\$ 34,667.00	\$ 6,933.00	\$ 11,093	\$ -			\$ 18,026.00
Transitional Specialist	\$ 34,667.00	\$ 6,933.00	\$ 53,248	\$ -			\$ 60,181.00
Employment Specialist (Am Works)	\$ -	\$ -	\$ 26,624	\$ -			\$ 26,624.00
Employment Specialist - HUD Funded	\$ 194,300.00	\$ 38,860.00	\$ 116,580	\$ -			\$ 155,440.00
HUD FUNDING	\$ (194,300.00)	\$ (38,860.00)	\$ (116,580)	\$ -			\$ (155,440.00)
Weekend Operations Coordinator	\$ -	\$ -	\$ -	\$ -			\$ -
Weekend Case Manager FT	\$ -	\$ -	\$ -	\$ -			\$ -
Weekend Program Monitors PT	\$ -	\$ -	\$ -	\$ -			\$ -
		\$ -	\$ -	\$ -			\$ -
		\$ -	\$ -	\$ -			\$ -
Transportation Staff	\$ 28,800.00	\$ -	\$ -	\$ -			\$ -
Transportation Staff	\$ -	\$ -	\$ -	\$ -			\$ -
		\$ -	\$ -	\$ -			\$ -
<b>TOTALS</b>	\$ 564,801.00	\$ 220,969	\$ 713,339	\$ 644,620			\$ 1,578,928.00
<b>EMPLOYEE FRINGE BENEFITS</b>	\$ 157,160.00	\$ 53,128.00	\$ 162,345	\$ 177,516			\$ 392,989.00
<b>TOTAL SALARIES &amp; BENEFITS</b>	\$ 721,770.00	\$ 274,097	\$ 875,684	\$ 822,136			\$ 1,971,917.00

2d. **Insurance.** Section 15 is hereby replaced in its entirety to read as follows:

**15. Insurance.**

a. Without in any way limiting Contractor's liability pursuant to the "Indemnification" section of this Agreement, Contractor must maintain in force, during the full term of the Agreement, insurance in the following amounts and coverages:

1) Workers' Compensation, in statutory amounts, with Employers' Liability Limits not less than \$1,000,000 each accident, injury, or illness; and

2) Commercial General Liability Insurance with limits not less than \$1,000,000 each occurrence and \$2,000,000 general aggregate for Bodily Injury and Property Damage, including Contractual Liability, Personal Injury, Products and Completed Operations; policy must include Abuse and Molestation coverage, and

3) Commercial Automobile Liability Insurance with limits not less than \$1,000,000 each occurrence, "Combined Single Limit" for Bodily Injury and Property Damage, including Owned, Non-Owned and Hired auto coverage, as applicable.

4) Professional liability insurance, applicable to Contractor's profession, with limits not less than \$1,000,000 each claim with respect to negligent acts, errors or omissions in connection with the Services.

b. Commercial General Liability and Commercial Automobile Liability Insurance policies must be endorsed to provide:

1) Name as Additional Insured the City and County of San Francisco, its Officers, Agents, and Employees.

2) That such policies are primary insurance to any other insurance available to the Additional Insureds, with respect to any claims arising out of this Agreement, and that insurance applies separately to each insured against whom claim is made or suit is brought.

c. All policies shall be endorsed to provide thirty (30) days' advance written notice to the City of cancellation for any reason, intended non-renewal, or reduction in coverages. Notices shall be sent to the City address set forth in the Section entitled "Notices to the Parties."

d. Should any of the required insurance be provided under a claims-made form, Contractor shall maintain such coverage continuously throughout the term of this Agreement and, without lapse, for a period of three years beyond the expiration of this Agreement, to the effect that, should occurrences during the contract term give rise to claims made after expiration of the Agreement, such claims shall be covered by such claims-made policies.

e. Should any required insurance lapse during the term of this Agreement, requests for payments originating after such lapse shall not be processed until the City receives satisfactory evidence of reinstated coverage as required by this Agreement, effective as of the lapse date. If insurance is not reinstated, the City may, at its sole option, terminate this Agreement effective on the date of such lapse of insurance.

f. Before commencing any Services, Contractor shall furnish to City certificates of insurance and additional insured policy endorsements with insurers with ratings comparable to A-, VIII or higher, that are authorized to do business in the State of California, and that are satisfactory to City, in form evidencing all coverages set forth above. Approval of the insurance by City shall not relieve or decrease Contractor's liability hereunder.

g. The Workers' Compensation policy(ies) shall be endorsed with a waiver of subrogation in favor of the City for all work performed by the Contractor, its employees, agents and subcontractors.

h. If Contractor will use any subcontractor(s) to provide Services, Contractor shall require the subcontractor(s) to provide all necessary insurance and to name the City and County of San Francisco, its officers, agents and employees and the Contractor as additional insureds.

**2e. Replacing “Earned Income Credit (EIC) Forms” Section with “Consideration of Criminal History in Hiring and Employment Decisions” Section.** Section 31 “Earned Income Credit (EIC) Forms” is hereby replaced in its entirety to read as follows:

**31. Consideration of Criminal History in Hiring and Employment Decisions.**

a. Contractor agrees to comply fully with and be bound by all of the provisions of Chapter 12T “City Contractor/Subcontractor Consideration of Criminal History in Hiring and Employment Decisions,” of the San Francisco Administrative Code (Chapter 12T), including the remedies provided, and implementing regulations, as may be amended from time to time. The provisions of Chapter 12T are incorporated by reference and made a part of this Agreement as though fully set forth herein. The text of the Chapter 12T is available on the web at [www.sfgov.org/olse/fco](http://www.sfgov.org/olse/fco). A partial listing of some of Contractor’s obligations under Chapter 12T is set forth in this Section. Contractor is required to comply with all of the applicable provisions of 12T, irrespective of the listing of obligations in this Section. Capitalized terms used in this Section and not defined in this Agreement shall have the meanings assigned to such terms in Chapter 12T.

b. The requirements of Chapter 12T shall only apply to a Contractor’s or Subcontractor’s operations to the extent those operations are in furtherance of the performance of this Agreement, shall apply only to applicants and employees who would be or are performing work in furtherance of this Agreement, shall apply only when the physical location of the employment or prospective employment of an individual is wholly or substantially within the City of San Francisco, and shall not apply when the application in a particular context would conflict with federal or state law or with a requirement of a government agency implementing federal or state law.

c. Contractor shall incorporate by reference in all subcontracts the provisions of Chapter 12T, and shall require all subcontractors to comply with such provisions. Contractor’s failure to comply with the obligations in this subsection shall constitute a material breach of this Agreement.

d. Contractor or Subcontractor shall not inquire about, require disclosure of, or if such information is received, base an Adverse Action on an applicant’s or potential applicant for employment’s, or employee’s: (1) Arrest not leading to a Conviction, unless the Arrest is undergoing an active pending criminal investigation or trial that has not yet been resolved; (2) participation in or completion of a diversion or a deferral of judgment program; (3) a Conviction that has been judicially dismissed, expunged, voided, invalidated, or otherwise rendered inoperative; (4) a Conviction or any other adjudication in the juvenile justice system; (5) a Conviction that is more than seven years old, from the date of sentencing; or (6) information pertaining to an offense other than a felony or misdemeanor, such as an infraction.

e. Contractor or Subcontractor shall not inquire about or require applicants, potential applicants for employment, or employees to disclose on any employment application the facts or details of any conviction history, unresolved arrest, or any matter identified in subsection 31(d), above. Contractor or Subcontractor shall not require such disclosure or make such inquiry until either after the first live interview with the person, or after a conditional offer of employment.

f. Contractor or Subcontractor shall state in all solicitations or advertisements for employees that are reasonably likely to reach persons who are reasonably likely to seek employment to be performed under this Agreement, that the Contractor or Subcontractor will consider for employment qualified applicants with criminal histories in a manner consistent with the requirements of Chapter 12T.

g. Contractor and Subcontractors shall post the notice prepared by the Office of Labor Standards Enforcement (OLSE), available on OLSE's website, in a conspicuous place at every workplace, job site, or other location under the Contractor or Subcontractor's control at which work is being done or will be done in furtherance of the performance of this Agreement. The notice shall be posted in English, Spanish, Chinese, and any language spoken by at least 5% of the employees at the workplace, job site, or other location at which it is posted.

h. Contractor understands and agrees that if it fails to comply with the requirements of Chapter 12T, the City shall have the right to pursue any rights or remedies available under Chapter 12T, including but not limited to, a penalty of \$50 for a second violation and \$100 for a subsequent violation for each employee, applicant or other person as to whom a violation occurred or continued, termination or suspension in whole or in part of this Agreement.

**3. Effective Date.** Each of the modifications set forth in Section 2 shall be effective on and after the date of this Amendment.

**4. Legal Effect.** Except as expressly modified by this Amendment, all of the terms and conditions of the Agreement shall remain unchanged and in full force and effect.

IN WITNESS WHEREOF, Contractor and City have executed this Amendment as of the date first referenced above.

**CITY**

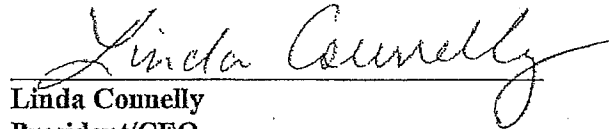
**CONTRACTOR**

Recommended by:

Leaders In Community Alternatives, Inc.



Wendy S. Still, MAS  
Chief Adult Probation Officer  
San Francisco Adult Probation Department



Linda Connelly  
President/CEO

City vendor number: 25546

Approved as to Form:

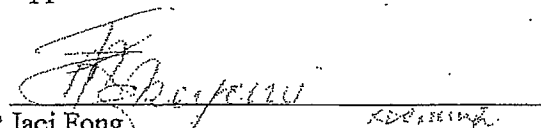
Dennis J. Herrera  
City Attorney

By:



Jana Clark  
Deputy City Attorney

Approved:



Jaci Fong  
Director of the Office of Contract  
Administration, and Purchaser

**City and County of San Francisco  
Office of Contract Administration  
Purchasing Division**

**Second Amendment**

THIS AMENDMENT (this "Amendment") is made as of **July 1, 2013** in San Francisco, California, by and between **Leaders in Community Alternatives, Inc.** ("Contractor"), and the City and County of San Francisco, a municipal corporation ("City"), acting by and through its Director of the Office of Contract Administration.

RECITALS

WHEREAS, City and Contractor have entered into the Agreement (as defined below); and

WHEREAS, City and Contractor desire to modify the Agreement on the terms and conditions set forth herein to:

- Modify Appendix A-1 to replace subcontractors and determine additional services and location; and
- Modify Appendix B-1 to include the FY 13/14 Budget detailed with approved project funds allocation;

NOW, THEREFORE, Contractor and the City agree as follows:

**1. Definitions.** The following definitions shall apply to this Amendment:

**a. Agreement.** The term "Agreement" shall mean the Agreement dated **June 1, 2012** between Contractor and City, as amended by the:

**First Amendment,** dated **April 15, 2013.**

**b. Other Terms.** Terms used and not defined in this Amendment shall have the meanings assigned to such terms in the Agreement.

**2. Modifications to the Agreement.** The Agreement is hereby modified as follows:

**a. Appendix A-1.** Appendix A-1, "Services to be provided by Contractor" of the Agreement currently reads as follows:

**Appendix A-1**  
**Services to be provided by Contractor**

**1. Description of Services:**

The Contractor will manage and operate the Community Assessment and Services Center facility, and oversee the delivery of center and off-site reentry support services for clients of the San Francisco Adult Probation Department. Additionally, the Contractor will provide case management and transitional planning, and some rehabilitative programming such as Thinking for a Change, Seeking Safety, and other as agreed upon educational groups with clients in San Francisco County Jail #2, A –Pod, the Reentry Pod.

**SCOPE OF WORK**

**CASC – Service Delivery Responsibilities**

**A. PRINCIPLES OF EFFECTIVE INTERVENTION**

Leaders in Community Alternatives ("LCA") agrees to train all staff on and appropriately integrate the National Institute of Correction's eight evidence-based principles for effective intervention within community corrections into every facet of service delivery. The eight principles are:

- 1) Assess Criminogenic Risks/Needs
- 2) Enhance Intrinsic Motivations
- 3) Target Interventions
  - i. Risk Principle: Prioritize supervision and treatment resources for higher risk offenders.
  - ii. Need Principle: Target interventions to criminogenic (correlated to crime) needs.
  - iii. Responsivity Principle: Be responsive to temperament, learning style, motivation, culture, and gender when assigning programs.
  - iv. Dosage: Structure 40-70% of high-risk offenders' time for three to nine months.
  - v. Treatment Principle: Integrate treatment into the full sentence/sanction requirements.
- 4) Skill Train with Directed Practice (e.g., use cognitive behavioral treatment methods)
- 5) Increase Positive Reinforcement
- 6) Engage Ongoing Support in Natural Communities
- 7) Measure Relevant Processes/Practices
- 8) Provide Measured Feedback

The CASC program design incorporates these principles in services for all clients. Each client will complete a COMPAS risk-assessment (principle 1) with the aim of identifying and targeting interventions (principle 3). All of the services offered are structured to enhance intrinsic

motivation (principle 2) and will engage all individuals in skill building activities (principle 4). The services offered will provide positive reinforcement for the development of new skills and behaviors (principle 5) and will support the socialization of individuals as they re-enter their communities (principle 6). In an effort to demonstrate the success of the proposed model, LCA will measure the implemented practices (principle 7) and will provide measured feedback and outcomes to the SFAPD (principle 8). As established in cooperation with SFAPD and tracked by CASC staff, progress will be measured, including clients' compliance with their COMPAS Individualized Treatment and Rehabilitation Plan attendance, participation in assigned onsite and community activities, completion of components, and any special accomplishments and challenges. 9) Case manager to client case load ratios will not exceed 1:25 except in circumstances in which LCA and APD have discussed, and agreed upon a modification to that ratio. Any concerns or problems will be reviewed in the weekly case conferences with SFAPD; with adjustments made as needed.

## **B. ASSESSMENT, PLANNING AND TREATMENT**

A comprehensive program is essential for our clients' successful, sustained community reintegration.

The CASC services will incorporate and include:

- 1) Gender Responsive Strategies
- 2) Strength Based, Trauma Informed and Family Focused Strategies
- 3) Criminogenic Needs and Community Functioning Factors.
- 4) Collaborative and Coordinated Case Conferencing
- 5) Review of COMPAS Assessment and creation of Reentry Services Plan
- 6) Administration of Secondary Assessments
- 7) Coordinated Case Management

## **C. OVERVIEW OF SERVICE DELIVERY COMPONENTS**

LCA, including partner providers, will provide services from program referral to client termination from or completion of services. Client referrals may originate in the Reentry Pod located inside of County Jail #2 or by SFAPD DPOs whose clients are already under community supervision.

Services components include:

- 1) Reentry Transportation
- 2) Intake
- 3) Orientation and Enrollment
- 4) Rehabilitation Services
- 5) Individualized Case Management, including Clinical Case Management.
- 6) Community Service and Activities
- 7) Aftercare Services



## D. INCENTIVES, REWARDS, AND REMEDIAL SANCTIONS

The overall LCA CASC program design emphasizes and supports clients' strengths, positive change, and the importance of accountability. Best practices includes providing incentives and rewards for progress and achieving goals, and structured sanctions that are swift and certain when clients do not meet program expectations or personal responsibilities.

## E. REHABILITATIVE PROGRAMS

The CASC will offer a full array of **on and off site rehabilitative programs** designed to successfully transition offenders back into their communities. The interventions and services strive to use evidenced-based curricula whenever available, and to engage clients and address their criminogenic needs and community functioning factors. Clients will be assigned to rehabilitative services in accordance with their Individualized Treatment and Rehabilitation and/or Reentry Services Plan. Requirements for program completion of each component will be identified in the Reentry Services Plan and adjusted, as needed, through case conferences. Program capacity outlined below is based on current funding availability, and will be adjusted based on actual funding received. Programs include:

### 1. Gender Responsive Treatment and Services for Women Client Groups - LCA

**Primary Curriculum:** Helping Women Recover: A Program for Treating Substance Abuse – Special Edition for Use in the Criminal Justice System (Covington, Rev. Ed. 2008).

**Schedule:** The modules will be delivered 2 days a week, 1 ½ hours each, for 9 weeks, for a total of 25.5 hours, and optional 11 sessions delivered 2 days a week, 1 ½ hours each, for 6 weeks, for a total of 16.5 hours. Proposed program capacity is 48 women per year.

Following completion of Helping Women Recover, clients will be assessed, in cooperation with SFAPD, and those in need of further trauma work will continue with additional treatment utilizing Beyond Trauma: A Healing Journey for Women (Covington 2003) to extend and deepen the trauma work introduced in Helping Women Recover. Clients will also be referred to community providers for ongoing gender responsive services.

### 2. Gender Responsive Treatment and Services for Men Client Groups - LCA

**Primary Curriculum:** Seeking Safety A Treatment Manual for PTSD and Substance Abuse (Najavits 2007), a flexible, cognitive-based curriculum designed for co-occurring post traumatic stress disorder and substance use disorder, focusing on coping skills and psychoeducation, with safety as the overarching goal (helping clients attain safety in their relationships, thinking, behavior, and emotions).

**Schedule:** The modules will be delivered 3 days a week, 1 hour each, for 9 weeks for total of 25 hours. Proposed program capacity is 240 men per year.

### 3. Cognitive Skills Development - LCA

**Primary Curriculum:** Thinking for a Change (T4C), (National Institution of Corrections, 3.0 edition), an integrated, cognitive behavior change program for offenders. It is anticipated that this core program will be included in the Reentry Services Plan for the majority of CASC clients. The three components of T4C are: cognitive self-change, social skills, and problem-solving skills.

**Schedule:** The modules will be delivered 3 days a week, 1½ hours each, for 9 weeks for a total of 37.5 hours (excluding optional sessions). Proposed program capacity is 420 clients per year.

### 4. Anger Management - LCA

**Primary Curriculum:** Anger Management for Substance Abuse and Mental Health Clients – A Cognitive Behavioral Therapy Manual (Reilly, Shopshire - SAMHSA, 2002)

**Schedule:** The modules will be delivered once a week, 1 ½ hour sessions, one a week for 12 weeks, for a total of 18 hours. Proposed program capacity is 96 clients per year

### 5. Substance Abuse Components – LCA

#### a. Substance Abuse Education Group

**Primary Curriculum:** ADDICTION: A Biopsychosocial Model (Terence T. Gorski, 2004): Part 1: Mind-Altering Substances; Part 2: Addictive Risk Factors; Part 3: Substance Abuse and Addiction.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

#### b. Outpatient Substance Abuse Treatment

**Primary Curriculum:** RECOVERY: A Developmental Model (Terence T. Gorski, 2004): Part 1: The Recovery Process; Part 2: Building a Foundation for Recovery; Part 3: Creating Quality Recovery.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

#### c. Relapse Prevention Training

**Primary Curricula:** RELAPSE (Terence T. Gorski, 2004): Session 1 - Basic Principles; Session 2 - Relapse Warning Signs; Sessions 3 and 4: Managing Relapse Warning Signs. The Relapse Prevention Training groups will then utilize: Relapse Prevention Therapy Workbook: Identifying Early Warning Signs Related to Personality and Lifestyle Problems (Terence T. Gorski and Stephen F. Grinstead, 2010)

**Schedule:** The modules will be delivered 2 days a week, 1 hour each, for 10 weeks for a total of 20 hours. Proposed program capacity is 48 women and 288 men per year.

**6. Life Skills Development Training – To be provided by community partner, CJCJ**

**Primary Curriculum:** Northern California Service League Life Skills and Employment Readiness Program. That program covers such topics as self-assessment, communications, job search techniques and interview skills. CJCJ transitional services specialist will also offer supportive services to CASC case managers for clients that are preparing for program discharge. Emphasis will be placed on budgeting, money management, technology, finding a safe place to live, nutrition, exercise, and many other topics designed to help clients live successfully in the community. The Transitional Specialist will provide a full range of resource development and service referrals to CASC clients returning to the community.

**Schedule:** The modules will be delivered 5 days per week, 4 hours each, for 1 week for a total of 20 hours. This program will be provided once per month. Proposed program capacity is 300 clients per year.

**7. Parenting Skills Training – Funding contingent – Community Works**

**Primary Curriculum:** Parenting Inside Out, an evidenced-based, cognitive-behavioral parenting curriculum.

**Schedule:** The modules will be delivered 3 sessions per week, 1 ½ hours each, for 16 weeks, for a total of 72 hours. Proposed program capacity is 48 clients per year.

**8. Education/High School Dipoloma/GED – Five Keys Charter High School**

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will be established by Five Keys.

**9. Employment Services – Anders and Anders/BHPMSS/CJCJ**

a) Employment Readiness

**Primary Curriculum:** Makin' It Work for (Ex) Offenders in Transition (Dr. Steve Parese), specifically designed for ex-offenders. CJCJ transitional services or other curriculum may also be used.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. The curriculum will be delivered 2 days a week, 1 ½ hours each, for 5 weeks, for a total of 15 hours. Proposed program capacity is 480 clients per year.

b) Vocational Services

Anders and Anders Foundation will bring 1 FTE Employment Specialist to the CASC to provide vocational training and employment assistance to clients for pre-apprenticeship programs. In addition, one-on-one career counseling will be provided. Once placed in training or on the job, Anders and Anders will establish a weekly retention working relationship with employer and employee to immediately address any concerns or problems.

Additionally, CJCJ operates two federally funded employment programs. CJCJ will move the San Francisco Training Partnership and Homeless Employment Coalition services and staff to the CASC facility, allowing clients easy access to these services. Clients will receive an array of services including assessment and referral to short-term training, counseling, and job placement services. Participants in both of these programs will also receive CJCJ's employment focused life skills trainings. In addition to providing the above described services, CASC clients will be able to receive monetary support through a flexible pool of monies identified to offer clients training and other relevant supportive services. These funds can be utilized for specific vocational trainings, uniform costs, and work equipment and tools, if deemed appropriate and necessary. These funds provide direct assistance to the clients, allowing for better successes among the participant population.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will vary based on needs of the clients.

**10. Recreation and Leisure Activities - LCA**

CASC clients will be introduced to physical recreation and multi-cultural celebrations and creative arts events, initially coordinated by staff and volunteers, and subsequently also through their independent exploration.

**Schedule:** Clients will develop a weekly recreation and leisure plan for pro-social activities in the community with their Case Manager.

**11. Physical Health Services – various community providers**

CASC clients not eligible for public insurance programs such as Medi-Cal, and who do not have other health insurance, will be enrolled in Healthy San Francisco. LCA has letters of Intent (LOI) from the Transitions Clinic, South of Market Health Center, and St. James Infirmary to accept eligible clients for medical assessment, treatment and care. Additionally we have an LOI from St. Vincent de Paul Society who through their Wellness Center will work on the emotional side of physical health with programs of stress reduction techniques, exercise, spiritual development as well as health topic discussions.

## **12. Graduations – LCA**

To receive A CERTIFICATE OF GRADUATION, clients must satisfactorily complete all of their required individual program components as identified in their Reentry Services Plan, and demonstrate their ability to apply the knowledge and tools they learned.

**Schedule:** Twice per year.

## **13. Additional On-site Groups – LCA**

LCA Case Managers and other trained staff and interns will facilitate weekday open morning, lunchtime, and evening check-in groups. Open N.A. and A.A. Meetings. The Community Room will have current resource information including community events and services.

**Schedule:** vary - during CASC hours of operation.

## **14. Recovery and Faith-Based Activities – various groups**

Throughout the CASC program, clients will be provided with information if they choose to explore and join organizations offering spiritual and healing groups and activities. Clients will be provided extensive recovery group resource information.

## **15. Creative Arts – Community Works**

Community Works will conduct active Creative Arts groups at the CASC.

**Schedule:** vary - during CASC hours of operation.

## **16. Clothing Closet - LCA**

The CASC will work with various community groups to establish a clothing closet on-site at the facility.

## **17. Childcare - LCA**

LCA is will partner with Community Works for the parenting portion of the CASC. Case Managers will develop a childcare plan with each client who has children. Referrals will be made to agencies which offer multi-lingual family services, including child care.

## **18. Food Service - BHPMSS**

The CASC will provide wholesome and nutritionally balanced meals 5 days per week for clients who spend four or more hours engaged in programming a day. Bayview Hunters Point Multipurpose Senior Services or another approved provider of food services will be responsible for the food service. Programming will include nutrition education,

information on shopping and preparation, and also the opportunity to learn about foods of different cultures, expanded to include information on multicultural music, art, and lifestyles.

#### **19. Saturday Services - LCA**

Case Managers and other program staff will rotate coverage, supported by security staff. There will be a morning 12-Step meeting, a review of available weekend recreation and community service projects, and the resource guides. Computer stations will be available for client use. The on-duty Case Manager will have individual meetings with clients to address any immediate concerns. Rehabilitative programming will be available for working clients.

#### **20. Alumni Group program - LCA**

LCA Milestones program demonstrated the invaluable contribution of an active alumni group, for the alumni themselves supporting each other, and as role models and support to current clients, the program, and the community. Alumni co-facilitated cognitive-behavioral and recovery groups, led groups for community recreation and cultural activities, provided peer support on a 1:1 basis, and led the weekly Sunday evening group meeting.

CASC will establish and strongly support an active Alumni Group with similar invaluable contributions and benefits to the clients and the program. Representative members selected by the Alumni Group, along with current clients, will serve on a Client Advisory Board.

#### **21. Community Advisory Board**

The CASC will be an important contributor to its community. An Advisory Board will be established to provide ongoing support for planning and feedback, as well as additional resources for the program. This Board will meet quarterly at the facility. Members will include social service providers, other community organizations, businesses, clients, SFAPD and others.

### **CASC – Facility Oversight and Operations Responsibilities**

#### **Facility and Grounds requirements:**

1. The CASC facility must be used exclusively for serving the target population and the staff associated with the program.
2. The CASC must be and remain in compliance with all applicable building, sanitation, health, safety and fire codes, as well as city and county zoning and use ordinances.
3. The CASC will have a plan for onsite security/monitoring of all equipment, supplies, staff and clients. The plan will include monitoring and oversight of entry and exit traffic and will ensure a sign-in/sign-out protocol for all facility visitors
4. Clients will be prohibited from loitering outside of the facility.

5. The facility will include a staffed reception lobby for CASC services. The SFAPD will staff a separate SFAPD lobby.
6. The CASC should provide a cheerful décor and color-coordinated furnishings for the facility with special emphasis on the lobby, hallways, classrooms and treatment restrooms, and dining area (eating and break room).
7. The CASC must have sufficient space designated for clients to take scheduled breaks and eat lunch.
8. The CASC must provide for multiple classrooms to permit training and services to be offered simultaneously.
9. The facility must provide an adequate number of functional, clean, bathrooms in accordance with City and County of San Francisco standards. The sinks shall provide both hot and cold water. Hand soap, paper towels, paper seat covers should be available. Restrooms must be considerate of gender needs and be separately located. Restrooms must be in compliance with the Americans with Disabilities Act (ADA).
10. Client restrooms shall not be co-located with the restrooms for staff.
11. If urinalysis testing is phased into programming, there must be a restroom for urinalysis testing.
12. The CASC kitchen, cafeteria, food storage area, equipment, appliances, furnishings and cabinetry, as well as all food service and preparation areas must meet all applicable health and sanitation code standards. Accommodations shall be made for participants with disabilities.
13. The CASC shall provide a wholesome and nutritionally balanced lunch a minimum of 5 days per week for all program participants who spend 4 or more hours engaged in programming on a given day. The CASC will be considerate of general health and dietary restrictions and food prohibitions associated with cultural and religious traditions.
14. LCA shall regularly inspect the facility for pest infestation and shall maintain pest control services to ensure the facility is free of insect and rodent infestation. Documentation of pest control services will be maintained at the facility and made available to the SFAPD staff upon request.
15. The CASC shall have proper lighting, heating, and ventilation.
16. The CASC shall have a secured maintenance room for storage of cleaning supplies, tools and equipment (e.g., mops, brooms, buckets, etc.) and shall be equipped with a utility sink. The facility, equipment, furniture, appliances, etc. shall be kept clean and in good operating condition at all times and replaced when necessary.
17. The CASC shall have a plan to ensure comprehensive janitorial services
18. All repairs including plumbing, electrical and/or structural which affect the health and safety of any occupant must be made within 48 hours of discovery and at the LCA's expense. LCA must notify the SFAPD Reentry Services Manager immediately.
19. LCA will ensure safety and security of facility exterior, interior, equipment, supplies, staff, clients and all client information.
20. If LCA anticipates transporting participants via a private vehicle, all staff shall possess a valid driver's license and the vehicle shall be fully insured.
21. LCA shall have written CASC policies and procedures in accordance with SFAPD's regulations. This policies and procedures will be submitted to the SFAPD Reentry Division for retention in the case file.

22. All CASC staff shall be trained and certified in first aid, including cardiopulmonary resuscitation (CPR) within the first six weeks of employment and remain current throughout their employment relative to this contract. A record of first aid training shall be maintained on file by the LCA.
23. Fully stocked first aid kits will be readily available throughout the facility. The telephone numbers of all local emergency service agencies shall be posted and readily available to all staff.
24. No Smoking signs shall be posted in full view of the participants, staff and visitors.

**Security and Safety Requirements:**

1. **Facility Security** – The safety and security of clients, staff and visitors is of paramount importance.
  - a. LCA staff and on site security protocols will take a dignified and reasonable approach to ensuring that the facility is free of weapons and contraband, and protected from outside intrusions. Daily security and perimeter inspection of the facility will make certain that functioning locks and latches are on all windows, doors and gates, and that electrical lighting (inside and out) is operating properly. Door alarms may be used to eliminate unauthorized egress or ingress during evening and night hours. Security policies shall ensure that the clients are not locked inside the facility at any time.
  - b. Given the large number of offenders in the facility at any given time, all staff should be adequately trained in effective relationship building, de-escalation strategies, and emergency response and evacuation protocols. CASC monitors that play a security leadership role should make routine safety checks throughout the facility; and be primarily responsible for prompting attention towards any lighting, signage, training or other upgrade that is needed to further ensure the safety of people and property at the CASC.
2. **Case Files**
  - a. LCA will develop and maintain properly organized participant files and secure them in a locked file cabinet or drawer. Files shall be considered confidential and protected from any unauthorized use or disclosure. Electronic client files will be held to the same security standard as hard copy files. The CASC will have written procedures for the release of case file information to include: 1) the participant's signed and dated Release of Information Form, 2) the name of the person, agency or organization to whom the information was released, and 3) the signature of the employee who released the information and date of release.
3. **Searches and Contraband**
  - a. Whereas safety and security of CASC persons and property is of paramount importance, and whereas SFAPD and CASC staff will take a responsible harm reduction approach to addressing client substance abuse issues, CASC will create and honor a dignified contraband search and client substance use response policy that will be in



compliance with SFAPD regulations, policies, and procedures. Clients that enter the CASC are subject to search. Any findings of contraband and/or signs of substance abuse shall be reported to the SFAPD staff as soon as possible after discovery. SFAPD and CASC staff will follow an agreed upon protocol for responding to contraband, weapons and substance use.

#### **4. Disturbance Control Plan**

- a. LCA will have a written Disturbance Control Plan in the event of a major disturbance such as riots, strikes, attacks upon staff, visitors or participants, explosions or fires, suicides or attempted suicides, natural disasters; and accidental injuries to staff and others. The plan shall include assistance from local law enforcement and/or emergency agencies as circumstances warrant. The development of the Disturbance Control Plan shall be coordinated with the SFAPD Reentry Services Manager. Once the Disturbance Control Plan is developed, LCA will submit a copy to the SFAPD Reentry Services Manager for retention in the contract file.

#### **5. Fire Evacuation Emergency Procedures**

- a. LCA will have written procedures pertaining to fire prevention, safety requirements, evacuation and emergency procedures that include instructions for the following:
  - o Immediate notification of the fire department (inclusive of the designated fire department's address and telephone number)
  - o Alert notification and/or evacuation of all occupants
  - o Notification of authorities
  - o Control and the extinguishing of fires
  - o Evacuation routes and procedures
  - o Other to be identified procedures

#### **6. Emergency Evacuation Training**

- a. All personnel shall be trained in the implementation of emergency procedures within 24 hours of their initial employment. Annual refresher training shall be provided to all personnel. All training is to be documented for compliance and maintained in employee files.

#### **7. Quarterly Emergency Evacuation Drills**

- a. LCA will conduct and document quarterly emergency evacuation drills. Documentation of each drill shall include: date and time of day; evacuation path used; number of staff, participants and visitors involved; amount of time to complete the drill, and any pertinent comments.

## 8. Posting of Emergency Evacuation Floor Plans

- a. Clear, concise and site-specific emergency evacuation floor plans shall be posted as appropriate at every occupied floor location throughout the facility. The floor plans should be located near the identified exit doors on each floor. The evacuation diagram plans shall be placed in tamper-proof frames and include the following:
  - o Evacuation diagram plan that identifies the "You Are Here," location that is compatible with the building floor plan.
  - o Evacuation plans, which include the location of building exits, fire extinguishers, pull-stations, fire hose cabinets, and first aid supplies.
  - o Emergency and evacuation procedures, including diagrammed evacuation routes, shall be communicated to each new participant upon arrival.

## 9. Smoke Detectors and Fire Extinguishers

- a. LCA shall provide operable and regularly tested smoke detectors and fire extinguishers in key locations including the kitchen and classrooms. All tests shall be documented and maintained at the facility site.

## 10. Hazardous, Toxic and Volatile Substances

- a. LCA shall maintain a written policy for inventory, use, storage and disposal of all hazardous, toxic, and volatile substances in accordance with the Hazardous Substances Information and Training Act, Chapter 2-5 (commencing with Section 6360), Part 1 of Division 5 of the Labor Code. Hazardous, toxic and volatile substances shall not be stored in furnace areas, kitchens, dining areas, or in close proximity to stored food or kitchen supplies. Flammable substances such as gasoline, kerosene and paint thinner shall be stored outside the facility's main structure in approved containers inside properly ventilated and labeled fireproof cabinets.
- b. Material Safety Data Sheets (MSDS) must be maintained on-site for all hazardous materials used in the facility. The MSDS shall be posted and immediately accessible to staff and participants wherever these substances are used.
- c. LCA will provide training to facility staff and program participants. Documentation of training shall be maintained in the facility files.

The SFAPD and LCA will conduct an annual review of facility protocols, and will work together to resolve any review findings. "The periodic reporting required by this Agreement should address LCA's progress toward meeting the above operational and safety requirements, as well as any operational or safety issues that have arisen".

## 2. Data Collection and Reports

The Contractor shall submit written reports as requested by the **San Francisco Adult Probation Department**. Format for the content of such reports shall be determined by the **San Francisco Adult Probation Department**. The timely submission of all reports is a necessary and material

term and condition of this Agreement. The reports, including any copies, shall be submitted on recycled paper and printed on double-sided pages to the maximum extent possible.

## **REPORTING**

Monthly and quarterly reports will serve as interim evaluations of CASC successes and challenges, and the annual report will serve as indication of the CASC's progress towards goals, objectives and performance measures.

All CASC information, reports, writings, summary documents or press releases shall be reviewed and approved by the SFAPD prior to dissemination. LCA, and partners associated with the CASC will consult with the SFAPD before publically releasing any CASC related information to the public or other professional groups.

1. **Monthly Data Report** – Due the 15<sup>th</sup> of each month for services provided in the previous month.
  - At a minimum the report shall include the data elements listed below in the section entitled "Monthly Data Collection". The SFAPD will work with the Contractor to identify additional pertinent client and program data points to be tracked. The monthly data report shall also be accompanied by highlights of CASC program and services successes over the month, a list of problems/issues encountered during the month and the plan for resolving them, as well as any major events or activities that are planned for the subsequent month (s). The SFAPD and LCA will work together over the course of the contract to update data collection and monthly information submissions as needed.
  
2. **Monthly Cost Reimbursement Invoice** – Due the 5<sup>th</sup> of each month for previous month's expenditures.
  - Monthly cost reimbursement invoices will reimburse for actual line item expenses incurred over the month for expenses according to the approved budget in Appendix B of this Agreement. Subsequent to determining the availability of funds each year during the contract period of June 1, 2012 – June 30, 2017, the SFAPD and Contractor will re-negotiate the project budget so that it reflects actually available funds for a subsequent period, and agreed upon CASC services, activities and performance measures. All negotiated costs will reflect industry standards for delivering services and will never exceed the total approved amount of this contract.
  
3. **Quarterly CASC Program Report** – Will be due Oct. 15<sup>th</sup> (for the period of June 1 – September 30), January 15<sup>th</sup> (for the period of October 1 thru December 31), April 15<sup>th</sup> (for the period of January thru March 31) and July 15<sup>th</sup>. The July 15<sup>th</sup> report will serve as a cumulative annual report.

- The quarterly report information will include analysis that builds off of the monthly data reports.
- The report will provide a succinct description of the key CASC services provided during the time period, as well as a report back on baseline information, and progress towards the below goals, objectives and performance measures.
- Quarterly data analysis should suggest what the data indicates about client demographics and needs, as well as any system or service improvements that could be made to further the success of the CASC.
- The 4<sup>th</sup> quarterly report will be a cumulative annual report.

4. **Annual CASC Program Report**

- The annual report should provide a cumulative qualitative and quantitative analysis of monthly data and quarterly report information, as well as a robust report-back of CASC activities, successes and challenges over the year.
- The Annual Report will be shared with San Francisco Mayor Ed Lee, the San Francisco Board of Supervisors and other policy and political stakeholders that are interested in high-impact criminal justice reform. To maintain broad-based support of this project, the CASC will need to show results.

**MONTHLY DATA COLLECTION**

The SFAPD and Contractor will continue to refine participant and program data elements during the initial and subsequent contract terms. The below represents the *minimum* data collection requirements - the Contractor should report back on the information on a monthly and quarterly basis as per the above instruction.

**CLIENT/General Intake/Enrollment Data Points**

- Unique identifier for each client.
- CASC Intake, Enrollment, Orientation, ITRP and Referral dates.
- Participant SFAPD Number.
- COMPAS completed (Y/N)
- ITRP completed (Y/N)
- Secondary Assessments Completed
- Personal Service Plan reflective of COMPAS, ITRP and as appropriate Secondary Assessment Results (Y/N)
- Participant Full Name.
- Participant Date of Birth.
- Gender.
- Sexual Orientation.
- Race and Ethnicity.
- Preferred Language.
- Current living situation.
- History of Mental/Behavioral Health Challenges (Y/N)
- Medication (Y/N – Detail any current medications)

- Homeless (Y/N)
- Highest level of education completed.
- Ever expelled from school (Y/N)
- Employment status prior to admission to CASC.
- Ever work full-time for one employer for six months or more (Y/N)
- If employed, full-time/part-time, start date, end date, wages, and occupation.
- Ever fired from a job (Y/N).
- Marital or Domestic Partnership Status.
- Disability (Y/N – Describe).
- Number of prior substance abuse treatment episodes.
- Victim of domestic violence or physical abuse (Y/N).
- Physical health diagnosis (Y/N – describe)
- Dental needs (Y/N – describe)
- Victim of sexual abuse (Y/N).
- Number of children and living arrangement of each child.
- Name and date of birth of each child.
- Primary caretaker of children (Y/N).
- Age at first drug/alcohol use.
- Number of years of problem use.
- Primary/secondary drug of choice.
- Age at first arrest.
- Involvement in Dependency or Delinquency systems (Y/N).
- Prior Service in the Military (Y/N).
- Number of prior arrests.
- Ever in jail for a probation violation (Y/N).
- Family structure (close relatives and living arrangements of each).

**PROGRAMMATIC Data Points (Not captured in the performance measures section)**

- # of reentry transportation requests made.
- # of reentry transports completed.
- # of new people referred into Remedial Sanctions program
- % of participants that completed their required Remedial Sanctions
- # of participants assessed for income benefits or who obtained transitional or unsubsidized employment during the period
- % of people that were not approved for income benefits (provide a summary of denial circumstances in quarterly narrative)
- % of all people that demonstrated increased income as a result of employment, benefits acquisition, etc.

**QUARTERLY AND ANNUAL REPORT INFORMATION**

**BASELINE INFORMATION** – Quarterly and annual reports should include a report back on the below baseline information.

- What is the baseline recidivism rate
- What is the target population
- How many staff provide direct services
- How many participants were eligible to participate in the time period
- How many of the total eligible participants were medium to high risk
- Of the eligible medium to high risk referrals, how many were enrolled (completed CASC intake/assessment and orientation).
- Of those enrolled, how many showed up for a first class
- Of those that showed up for a first class, how many maintained an active CASC program status during the reporting period? (Active status means that a participant participated in CASC services during the month of the closing reporting period).

**GOALS, OBJECTIVES AND PERFORMANCE MEASURES** – Quarterly and annual reports should document progress towards the below goals, objectives and performance measures.

#### **Goals**

- Reduce recidivism amongst target population
- Reduce returns to custody for new arrests
- Reduce arrests amongst target population
- Reduce probation violations amongst target population

#### **Objectives**

- 50 percent of clients will complete ITRP/Reentry Services Plan goals at CASC.
- Of the 50 percent who met their ITRP treatment goals, 60 percent will be in stable housing, gainfully employed, or enrolled in an education program, trade school, community college; or an adult education program.
- A minimum of 10 percent of clients will participate in the Alumni Group for a minimum of 6 months.

#### **Performance Measures**

#### **ASSESSMENT AND ITRP/REENTRY SERVICES PLAN SUMMARY**

- Does the program use a risk/need assessment?
- How many enrolled CASC participants completed a risk/need assessment?
- How many **new** participants were medium and high risk?
- How many **total** participants are medium and high risk?
- How many **new** participants completed an ITRP and/or Reentry Services Plan?
- How many total participants completed an ITRP and/or Reentry Services Plan?

#### **SUCCESSFUL COMPLETIONS AND INCOMPLETIONS**

- Define successful completion for the reentry program.
- What is the expected reentry program length?

- What was the average length of program participation?
- Have any participants successfully completed?
- How many people did not complete and for what reasons:
  - Failure to meet program requirements
  - Court or criminal involvement (technical violation, arrest, conviction, revocation, re-incarceration)
  - Lack of engagement
  - Absconding
  - Relocating or case transfer
  - Death or serious illness
  - Other

### **RECIDIVISM – IN-PROGRAM**

The Contractor will work with the SF Adult Probation Department to ascertain the following information which will be verified through SFAPD client files, the SF CMS system and as needed the State CLETS system.

How many individuals participating in the program had been released 1 – 180 days ago?

How many participants had any court and/or criminal involvement while participating in the reentry program and who were released from jail/prison 1 to 180 days ago (total):

- Technical Violation
- Arrest
- Conviction
- Revocation
- Re-incarceration

How many individuals participating in the program had been released 181 or more days ago?

How many participants had any court and/or criminal involvement while participating in the reentry program and who were released from jail/prison 181 or more days ago (total):

- Technical Violation
- Arrest
- Conviction
- Revocation
- Re-incarceration

### **RECIDIVISM – PROGRAM COMPLETION**

The Contractor will work with the SF Adult Probation Department to ascertain the following information which will be verified through SFAPD client files, the SF CMS system and as needed the State CLETS system.

How many participants successfully completed program requirements?

Enter the number of participants who had a NEW court and/or criminal offense after successfully completing the reentry program

- Technical Violation
- Arrest
- Conviction
- Revocation
- Re-incarceration

## SERVICES PERFORMANCE MEASURES

### Notes:

- **Participants that needed "x" service** = The service was documented in his/her ITRP or Reentry Services Plan.
- **Enrolled** = Participant completed CASC Intake, Assessment and Orientation
- **Actively Engaged** = Participant attended at least one class within one month of the closing of the reporting period (e.g., if the reporting period closes on December 31<sup>st</sup>, the participant would have attended at least one class during the period of December 1 – December 31).
- **Completed** = The participant completed the requisite number of classes as per his/her ITRP or Reentry Services Plan.

### Cognitive Based Services (Thinking for a Change)

- How many **new** participants needed cognitive based services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed cognitive based services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive cognitive based services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide cognitive based services directly to participants? Y/N
- How many **new** participants were enrolled in cognitive based services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in cognitive based services that were provided directly by the CASC? (Of total x, a total of x have received services directly).
- How many **total** participants were **actively engaged** in (i.e., last class attended was within one month of the closing of the reporting period) cognitive behavior services? How many were referred out? How many received services directly?



- How many **total** participants **completed** cognitive behavioral services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

### Mental Health Services

- How many **new** participants needed mental health services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed mental health services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive mental health services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide mental health services directly to participants? Y/N
- How many **new** participants were enrolled in mental health services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in mental health services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class/session attended was within one month of the closing of the reporting period) mental health services? How many were referred out? How many received services directly?
- How many **total** participants **completed** mental health services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly.

### Substance Abuse Services

Notes: Substance abuse services include residential, outpatient and relapse prevention services.

- New Participants = total number of participants that received any of the three components,
- Total Participants = total number of participants that received any of the three components,
- Enrolled Participants = participants enrolled into any one of the three components,
- Participants Actively Engaged = actively engaged in any one of the three components and
- Completed = participants that completed any one of the three components.

Please use the narrative to describe circumstances in which a client may be receiving more than one component at one time.

- How many **new** participants needed substance abuse services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed substance abuse services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive substance abuse services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide substance abuse services directly to participants? Y/N
- How many **new** participants were enrolled in substance abuse services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in substance abuse services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class/session attended was within one month of the closing of the reporting period) substance abuse services? How many were referred out? How many received services directly?
- How many **total** participants **completed** substance abuse services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly.

### Employment Services

**Note:** Employment Services includes employment readiness (which includes life skills, career search and job development, transitional job, and job placement services,) and vocational training.

- New Participants = total number of participants that received any of the components,
- Total Participants = total number of participants that received any of the components,
- Enrolled Participants = participants enrolled into any one of the three components,
- Participants Actively Engaged = actively engaged in any one of the three components and
- Completed = participants that completed any one of the three components.

Please use the narrative to describe circumstances in which a client may be receiving more than one component at one time.

- How many **new** participants needed employment services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed employment services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive employment services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)

- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide employment services directly to participants? Y/N
- How many **new** participants were enrolled in employment services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in employment services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class/session attended was within one month of the closing of the reporting period) employment services? How many were referred out? How many received services directly?
- How many **total** participants **completed** employment services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?
- How many participants who were provided with employment services directly by the CASC obtained employment?
- How many participants who were provided with employment services directly by the CASC have been employed for three or more months?
- How many participants who were provided with employment services directly by the CASC have been employed for 6 or more months?

### Educational Services

- How many **new** participants needed education services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed education services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive education services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide education services directly to participants? Y/N
- How many **new** participants were enrolled in educational services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in educational services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class/session attended was within one month of the closing of the reporting period) educational services? How many were referred out? How many received services directly?
- How many **total** participants **completed** educational services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

- How many participants that were directly provided with educational services received a GED certificate?
- How many participants that were directly provided with educational services received a High School Diploma?
- How many participants who were directly provided with educational services obtained a vocational certificate?
- How many participants who were directly provided with educational services obtained higher education?

### Housing Services

- How many **new** participants needed housing services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed housing services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive housing services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide housing services directly to participants? Y/N
- How many **new** participants were enrolled in housing services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in housing services that were provided directly by the CASC ? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class/session attended was within one month of the closing of the reporting period) housing services? How many were referred out? How many received services directly?
- How many **total** participants **completed** housing services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?
- How many participants who were directly provided with services obtained housing?
- How many participants who were directly provided with services were housed for 3 or more months?
- How many participants who were directly provided with services were housed for 6 or more months?

### Anger Management

- How many **new** participants needed anger management services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed anger management services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?

- Does the CASC refer participants out to receive anger management services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide anger management services directly to participants? Y/N
- How many **new** participants were enrolled in anger management services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in anger management services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class attended was within one month of the closing of the reporting period) anger management services? How many were referred out? How many received services directly?
- How many **total** participants **completed** anger management services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

### Parenting

- How many **new** participants needed parenting services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed parenting services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive parenting services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide parenting services directly to participants? Y/N
- How many **new** participants were enrolled in parenting services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in parenting services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class attended was within one month of the closing of the reporting period) parenting services? How many were referred out? How many received services directly?
- How many **total** participants **completed** parenting services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

### Recreation and Leisure Activities

- How many **new** participants were enrolled in recreation and leisure services this quarter?

- How many **total** participants are **enrolled** in recreation and leisure activities?
- How many **total** participants were **actively engaged** in (last class/outing attended was within one month of the closing of the reporting period) recreation and leisure activities?

### Alumni Group Activities

- How many **new** participants were enrolled in Alumni Group services this quarter?
- How many **total** participants are **enrolled** in the Alumni Group?
- How many **total** participants were **actively engaged** in (last class/outing attended was within one month of the closing of the reporting period) the Alumni Group?

### Creative Arts Activities

- How many **new** participants were enrolled in Creative Arts services this quarter?
- How many **total** participants are **enrolled** in Creative Arts Activities?
- How many **total** participants were **actively engaged** in (last class/outing attended was within one month of the closing of the reporting period) the Creative Arts Activities?
- How many total participants completed Creative Arts Activities as per their ITRP and/or Reentry Services Plan.

### All Other Services (Lunch, Clothes, Child Care, Recovery/Faith Based, Saturday Services, Community Advisory Board and Physical Health Services)

- How many **new** participants were enrolled in each of the above services this quarter?
- How many **total** participants are **enrolled** in each of the above services activities?
- How many **total** participants were **actively engaged** in (the participant accessed the service at least one time during the month of the closing of the reporting period) each of the services.

<b>3. Securing Contract Staff</b>
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- The Program and Associate Director should have a Master's Degree in Social Sciences or a related field, and at least one year of administrative experience in a program setting; or, a four-year degree in Social Sciences or related fields, and the equivalent of three cumulative years of documented experience demonstrating a history of administrative responsibility in criminal justice programs; or a two-year degree (AA or AS) and the equivalent of five years of full-time administrative experience in substance abuse programs combined with demonstrable familiarity working with the target population.

- The LCSW/LMFT staff must be in possession of a valid license as a LCSW or a LMFT issued by the California Board of Behavioral Science Examiners (CBBS), or Registered Intern with CBBS.
- Program staff will possess a four-year degree in Social Sciences or related fields and the equivalent of one year of documented criminal justice, substance abuse or social services program management experience; or a two-year (AA or AS) and the equivalent of two years' experience, or a High School Diploma or GED and four cumulative years of full-time experience
- The Contractor shall review and approve in advance the resumes/qualifications of all required personnel assigned to the contract to ensure the minimum specified standards are met.
- If a candidate or staff does not meet the minimum qualifications described, the LCA and SFAPD should review the circumstances, and decide a course of action that is in the best interest of the CASC program.
- The Contractor will send all final job descriptions to SFAPD for review prior to posting; and will let SFAPD know when posting or active recruitment for any position commences.
- The Contractor will provide SFAPD with candidate resumes, as well as indication of intent to hire a candidate. If a program staff is already a part of the Contractor team, the Contractor will provide SFAPD with staff name, and resume information.
- All CASC program employees and subcontractors, as well as any person in the operator's organization who will have access to or entrance into the facility, or other services locations shall be required to meet the requirements to obtain a SFAPD security clearance to enter and work at the facility. It shall be the operator's responsibility to retain approved clearances on-site as long as the staff member is employed. The SFAPD reserves the right to deny and/or retract security clearances upon written notification to the operator.
- Criteria for approval or denial of a position may include, but may not be limited to:
  - No arrests during the past three years.
  - Cannot currently be on parole, mandatory supervision, PRCS or probation or under any structured supervision as a result of criminal conduct.
  - Not required to register per Health and Safety Code Section 11590, Penal Code Section 290, and/or Penal Code Section 451.
- Staff vacancies shall be brought to the immediate attention of the SFAPD Reentry Division. The operator may fill temporary vacancies internally by a temporary

reassignment of existing qualified staff. The hiring process shall not exceed 30 days from the date of vacancy and the position must be filled within 60 days.

- The Contractor can make staffing and hiring modifications as needed for the benefit of the CASC program, and with the prior approval of SFAPD.

#### 4. Department Liaison

In performing the services provided for in this Agreement, Contractor's liaison with the San Francisco Adult Probation Department will be Lauren Bell.

Such appendix (Appendix A-1) is hereby amended in its entirety to read as follows:

### Appendix A-2 Services to be provided by Contractor

1. Description of Services:
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The Contractor will manage and operate the Community Assessment and Services Center facility, and oversee the delivery of Center rehabilitative services as described below for clients of the San Francisco Adult Probation Department. Services may be provided at the Center, in County Jail or other locations in the community as needed to support APD clients' success.

#### SCOPE OF WORK

#### **CASC – Service Delivery Responsibilities**

##### **A. PRINCIPLES OF EFFECTIVE INTERVENTION**

Leaders in Community Alternatives ("LCA") agrees to train all staff on and appropriately integrate the National Institute of Correction's eight evidence-based principles for effective intervention within community corrections into every facet of service delivery. The eight principles are:

- 1) Assess Criminogenic Risks/Needs
- 2) Enhance Intrinsic Motivations
- 3) Target Interventions
  - i. Risk Principle: Prioritize supervision and treatment resources for higher risk offenders.
  - ii. Need Principle: Target interventions to criminogenic (correlated to crime) needs.
  - iii. Responsivity Principle: Be responsive to temperament, learning style, motivation, culture, and gender when assigning programs.



- iv. Dosage: Structure 40-70% of high-risk offenders' time for three to nine months.
  - v. Treatment Principle: Integrate treatment into the full sentence/sanction requirements.
- 4) Skill Train with Directed Practice (e.g., use cognitive behavioral treatment methods)
  - 5) Increase Positive Reinforcement
  - 6) Engage Ongoing Support in Natural Communities
  - 7) Measure Relevant Processes/Practices
  - 8) Provide Measured Feedback

The CASC program design incorporates these principles in services for all clients. Each client will complete a COMPAS risk-assessment (principle 1) with the aim of identifying and targeting interventions (principle 3). All of the services offered are structured to enhance intrinsic motivation (principle 2) and will engage all individuals in skill building activities (principle 4). The services offered will provide positive reinforcement for the development of new skills and behaviors (principle 5) and will support the socialization of individuals as they re-enter their communities (principle 6). In an effort to demonstrate the success of the proposed model, LCA will measure the implemented practices (principle 7) and will provide measured feedback and outcomes to the SFAPD (principle 8). As established in cooperation with SFAPD and tracked by CASC staff, progress will be measured, including clients' compliance with their COMPAS Individualized Treatment and Rehabilitation Plan attendance, participation in assigned onsite and community activities, completion of components, and any special accomplishments and challenges. 9) Case manager to client case load ratios will not exceed 1:25 except in circumstances in which LCA and APD have discussed, and agreed upon a modification to that ratio. Any concerns or problems will be reviewed in the weekly case conferences with SFAPD, with adjustments made as needed.

## **B. ASSESSMENT, PLANNING AND TREATMENT**

A comprehensive program is essential for our clients' successful, sustained community reintegration.

The CASC services will incorporate and include:

- 1) Gender Responsive Strategies
- 2) Strength Based, Trauma Informed and Family Focused Strategies
- 3) Criminogenic Needs and Community Functioning Factors
- 4) Collaborative and Coordinated Case Conferencing
- 5) Review of COMPAS Assessment and creation of Reentry Services Plan
- 6) Administration of Secondary Assessments
- 7) Coordinated Case Management

## **C. OVERVIEW OF SERVICE DELIVERY COMPONENTS**

LCA, will provide the services set forth in this Appendix from program referral to client termination from or completion of services. LCA may provide the services directly or through a

subcontractor as specifically indicated below. A subcontractor's failure to deliver the services indicated below does not relieve LCA's responsibility for providing the services. Client referrals may originate in the Reentry Pod located inside of County Jail #2 or by SFAPD DPOs whose clients are already under community supervision.

Services components include:

- 1) Reentry Transportation
- 2) Intake
- 3) Orientation and Enrollment
- 4) Rehabilitation Services
- 5) Individualized Case Management, including Clinical Case Management
- 6) Community Service and Activities
- 7) Aftercare Services

#### **D. INCENTIVES, REWARDS, AND REMEDIAL SANCTIONS**

The overall LCA CASC program design emphasizes and supports clients' strengths, positive change, and the importance of accountability. Best practices includes providing incentives and rewards for progress and achieving goals, and structured sanctions that are swift and certain when clients do not meet program expectations or personal responsibilities.

#### **E. REHABILITATIVE PROGRAMS**

The CASC will offer a full array of **on and off site rehabilitative programs** directly or through subcontractors listed below that are designed to successfully transition offenders back into their communities. The interventions and services strive to use evidenced-based curricula whenever available, and to engage clients and address their criminogenic needs and community functioning factors. Clients will be assigned to rehabilitative services in accordance with their Individualized Treatment and Rehabilitation and/or Reentry Services Plan. Requirements for program completion of each component will be identified in the Reentry Services Plan and adjusted, as needed, through case conferences. Program capacity outlined below is based on current funding availability, and will be adjusted based on actual funding received. Programs include:

##### **1. Gender Responsive Treatment and Services for Women Client Groups - LCA**

**Primary Curriculum:** Helping Women Recover: A Program for Treating Substance Abuse – Special Edition for Use in the Criminal Justice System (Covington, Rev. Ed. 2008).

**Schedule:** The modules will be delivered 2 days a week, 1 ½ hours each, for 9 weeks, for a total of 25.5 hours, and optional 11 sessions delivered 2 days a week, 1 ½ hours each, for 6 weeks, for a total of 16.5 hours. Proposed program capacity is 48 women per year.

Following completion of Helping Women Recover, clients will be assessed, in cooperation with SFAPD, and those in need of further trauma work will continue with additional

treatment utilizing Beyond Trauma: A Healing Journey for Women (Covington 2003) to extend and deepen the trauma work introduced in Helping Women Recover. Clients will also be referred to community providers for ongoing gender responsive services.

## **2. Gender Responsive Treatment and Services for Men Client Groups - LCA**

**Primary Curriculum:** Seeking Safety A Treatment Manual for PTSD and Substance Abuse (Najavits 2007), a flexible, cognitive-based curriculum designed for co-occurring post traumatic stress disorder and substance use disorder, focusing on coping skills and psychoeducation, with safety as the overarching goal (helping clients attain safety in their relationships, thinking, behavior, and emotions).

**Schedule:** The modules will be delivered 3 days a week, 1 hour each, for 9 weeks for total of 25 hours. Proposed program capacity is 240 men per year.

## **3. Cognitive Skills Development - LCA**

**Primary Curriculum:** Thinking for a Change (T4C), (National Institution of Corrections, 3.0 edition), an integrated, cognitive behavior change program for offenders. It is anticipated that this core program will be included in the Reentry Services Plan for the majority of CASC clients. The three components of T4C are: cognitive self-change, social skills, and problem-solving skills.

**Schedule:** The modules will be delivered 3 days a week, 1½ hours each, for 9 weeks for a total of 37.5 hours (excluding optional sessions). Proposed program capacity is 420 clients per year.

## **4. Anger Management - LCA**

**Primary Curriculum:** Anger Management for Substance Abuse and Mental Health Clients – A Cognitive Behavioral Therapy Manual (Reilly, Shopshire - SAMHSA, 2002)

**Schedule:** The modules will be delivered once a week, 1 ½ hour sessions, one a week for 12 weeks, for a total of 18 hours. Proposed program capacity is 96 clients per year

## **5. Substance Abuse Components – LCA**

### **a. Substance Abuse Education Group**

**Primary Curriculum:** ADDICTION: A Biopsychosocial Model (Terence T. Gorski, 2004): Part 1: Mind-Altering Substances; Part 2: Addictive Risk Factors; Part 3: Substance Abuse and Addiction.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

b. Outpatient Substance Abuse Treatment

**Primary Curriculum:** RECOVERY: A Developmental Model (Terence T. Gorski, 2004): Part 1: The Recovery Process; Part 2: Building a Foundation for Recovery; Part 3: Creating Quality Recovery.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

c. Relapse Prevention Training

**Primary Curricula:** RELAPSE (Terence T. Gorski, 2004): Session 1 - Basic Principles; Session 2 - Relapse Warning Signs; Sessions 3 and 4: Managing Relapse Warning Signs. The Relapse Prevention Training groups will then utilize: Relapse Prevention Therapy Workbook: Identifying Early Warning Signs Related to Personality and Lifestyle Problems (Terence T. Gorski and Stephen F. Grinstead, 2010)

**Schedule:** The modules will be delivered 2 days a week, 1 hour each, for 10 weeks for a total of 20 hours. Proposed program capacity is 48 women and 288 men per year.

**6. Life Skills Development Training – To be provided by community partner, Center on Juvenile and Criminal Justice (CJ CJ)**

**Primary Curriculum:** Northern California Service League Life Skills and Employment Readiness Program. That program covers such topics as self-assessment, communications, job search techniques and interview skills. CJ CJ transitional services specialist will also offer supportive services to CASC case managers for clients that are preparing for program discharge. Emphasis will be placed on budgeting, money management, technology, finding a safe place to live, nutrition, exercise, and many other topics designed to help clients live successfully in the community. The Transitional Specialist will provide a full range of resource development and service referrals to CASC clients returning to the community.

**Schedule:** The modules will be delivered 5 days per week, 4 hours each, for 1 week for a total of 20 hours. This program will be provided once per month. Proposed program capacity is 300 clients per year.

**7. Parenting/Family Dynamics Training, and Batterers Intervention Services — Community Works**

**Primary Curriculum:** Parenting Inside Out, an evidenced-based, cognitive-behavioral parenting curriculum will be used for the parenting/family dynamics work. The research based Manalive™ program curriculum will be used for the Batterers Intervention Program.

**Schedule:** The Parenting/Family Dynamics, and Manalive™ modules will be delivered both at the CASC and in the Reentry Pod, on a schedule that is agreed upon by Community Works, LCA, and APD. Each class size should not exceed 16 people.

**8. Education/High School Diploma/GED – Five Keys Charter High School**

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will be established by Five Keys.

**9. Employment Services – Two community partners, America Works and Center on Juvenile and Criminal Justice (CJCJ)**

a) Employment Readiness

**Primary Curriculum:** Awakening New Futures created in 1988 by Northern California Services League, specifically designed for ex-offenders. Other curriculum may also be used by CJCJ or America Works.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. The curriculum will be delivered 2 days a week, 1 ½ hours each, for 5 weeks, for a total of 15 hours. Proposed program capacity is 480 clients per year.

b) Vocational Services

America Works will bring 1 FTE Job Developer to the CASC to provide vocational training and employment assistance to clients for pre-apprenticeship and vocational programs, as well as job placement. In addition, one-on-one career counseling will be provided. Once placed in training or on the job, America Works will establish a weekly retention working relationship with employer and employee to immediately address any concerns or problems.

Additionally, CJCJ operates two federally funded employment programs. CJCJ will move the San Francisco Training Partnership and Homeless Employment Coalition services and staff to the CASC facility, allowing clients easy access to these services. Clients will receive an array of services including assessment and referral to short-term training, counseling, and job placement services. Participants in both of these programs will also receive CJCJ's employment focused life skills trainings. In addition to providing the above described services, CASC clients will be able to receive monetary support through a flexible pool of monies identified to offer clients training and other relevant supportive services. These funds can be utilized for specific vocational trainings, uniform costs, and work equipment and tools, if deemed appropriate and necessary. These funds provide direct assistance to the clients, allowing for better successes among the participant population.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will vary based on needs of the clients.

**10. Recreation and Leisure Activities - LCA**

CASC clients will be introduced to physical recreation and multi-cultural celebrations and creative arts events, initially coordinated by staff and volunteers, and subsequently also through their independent exploration.

**Schedule:** Clients will develop a weekly recreation and leisure plan for pro-social activities in the community with their Case Manager.

#### **11. Physical Health Services – various community providers**

CASC clients not eligible for public insurance programs such as Medi-Cal, and who do not have other health insurance, will be enrolled in Healthy San Francisco. LCA has letters of Intent (LOI) from the Transitions Clinic, South of Market Health Center, and St. James Infirmary to accept eligible clients for medical assessment, treatment and care. Additionally we have an LOI from St. Vincent de Paul Society who through their Wellness Center will work on the emotional side of physical health with programs of stress reduction techniques, exercise, spiritual development as well as health topic discussions.

#### **12. Graduations – LCA**

To receive A CERTIFICATE OF GRADUATION, clients must satisfactorily complete all of their required individual program components as identified in their Reentry Services Plan, and demonstrate their ability to apply the knowledge and tools they learned.

**Schedule:** Twice per year.

#### **13. Additional On-site Groups – LCA**

LCA Case Managers and other trained staff and interns will facilitate weekday open morning, lunchtime, and evening check-in groups. Open N.A. and A.A. Meetings. The Community Room will have current resource information including community events and services.

**Schedule:** vary - during CASC hours of operation.

#### **14. Recovery and Faith-Based Activities – various groups**

Throughout the CASC program, clients will be provided with information if they choose to explore and join organizations offering spiritual and healing groups and activities. Clients will be provided extensive recovery group resource information.

#### **15. Creative Arts – Community Works**

Community Works will conduct active Creative Arts groups at the CASC and County Jail, A-Pod/Reentry Pod.

**Schedule:** vary - during CASC hours of operation.

#### **16. Clothing Closet - LCA**

The CASC will work with various community groups to establish a clothing closet on-site at the facility.

#### **17. Childcare - LCA**

LCA is will partner with Community Works for the parenting portion of the CASC. Case Managers will develop a childcare plan with each client who has children. Referrals will be made to agencies which offer multi-lingual family services, including child care.

#### **18. Food Service - BHPMSS**

The CASC will provide wholesome and nutritionally balanced meals 5 days per week for clients who spend four or more hours engaged in programming a day. Bayview Hunters Point Multipurpose Senior Services or another approved provider of food services will be responsible for the food service. Programming will include nutrition education, information on shopping and preparation, and also the opportunity to learn about foods of different cultures, expanded to include information on multicultural music, art, and lifestyles.

#### **19. Saturday Services - LCA**

Case Managers and other program staff will rotate coverage, supported by security staff. There will be a morning 12-Step meeting, a review of available weekend recreation and community service projects, and the resource guides. Computer stations will be available for client use. The on-duty Case Manager will have individual meetings with clients to address any immediate concerns. Rehabilitative programming will be available for working clients.

#### **20. Alumni Group program - LCA**

LCA Milestones program demonstrated the invaluable contribution of an active alumni group, for the alumni themselves supporting each other, and as role models and support to current clients, the program, and the community. Alumni co-facilitated cognitive-behavioral and recovery groups, led groups for community recreation and cultural activities, provided peer support on a 1:1 basis, and led the weekly Sunday evening group meeting.

CASC will establish and strongly support an active Alumni Group with similar invaluable contributions and benefits to the clients and the program. Representative members selected by the Alumni Group, along with current clients, will serve on a Client Advisory Board.

## 21. Community Advisory Board

The CASC will be an important contributor to its community. An Advisory Board will be established to provide ongoing support for planning and feedback, as well as additional resources for the program. This Board will meet quarterly at the facility. Members will include social service providers, other community organizations, businesses, clients, SFAPD and others.

### **CASC – Facility Oversight and Operations Responsibilities**

#### **Facility and Grounds requirements:**

1. The CASC facility must be used exclusively for serving the target population and the staff associated with the program.
2. The CASC must be and remain in compliance with all applicable building, sanitation, health, safety and fire codes, as well as city and county zoning and use ordinances.
3. The CASC will have a plan for onsite security/monitoring of all equipment, supplies, staff and clients. The plan will include monitoring and oversight of entry and exit traffic and will ensure a sign-in/sign-out protocol for all facility visitors
4. Clients will be prohibited from loitering outside of the facility.
5. The facility will include a staffed reception lobby for CASC services. The SFAPD will staff a separate SFAPD lobby.
6. The CASC should provide a cheerful décor and color-coordinated furnishings for the facility with special emphasis on the lobby, hallways, classrooms and treatment restrooms, and dining area (eating and break room).
7. The CASC must have sufficient space designated for clients to take scheduled breaks and eat lunch.
8. The CASC must provide for multiple classrooms to permit training and services to be offered simultaneously.
9. The facility must provide an adequate number of functional, clean, bathrooms in accordance with City and County of San Francisco standards. The sinks shall provide both hot and cold water. Hand soap, paper towels, paper seat covers should be available. Restrooms must be considerate of gender needs and be separately located. Restrooms must be in compliance with the Americans with Disabilities Act (ADA).
10. Client restrooms shall not be co-located with the restrooms for staff.
11. If urinalysis testing is phased into programming, there must be a restroom for urinalysis testing.
12. The CASC kitchen, cafeteria, food storage area, equipment, appliances, furnishings and cabinetry, as well as all food service and preparation areas must meet all applicable health and sanitation code standards. Accommodations shall be made for participants with disabilities.
13. The CASC shall provide a wholesome and nutritionally balanced lunch a minimum of 5 days per week for all program participants who spend 4 or more hours engaged in programming on a given day. The CASC will be considerate of general health and dietary restrictions and food prohibitions associated with cultural and religious traditions.



14. LCA shall regularly inspect the facility for pest infestation and shall maintain pest control services to ensure the facility is free of insect and rodent infestation. Documentation of pest control services will be maintained at the facility and made available to the SFAPD staff upon request.
15. The CASC shall have proper lighting, heating, and ventilation.
16. The CASC shall have a secured maintenance room for storage of cleaning supplies, tools and equipment (e.g., mops, brooms, buckets, etc.) and shall be equipped with a utility sink. The facility, equipment, furniture, appliances, etc. shall be kept clean and in good operating condition at all times and replaced when necessary.
17. The CASC shall have a plan to ensure comprehensive janitorial services
18. All repairs including plumbing, electrical and/or structural which affect the health and safety of any occupant must be made within 48 hours of discovery and at the LCA's expense. LCA must notify the SFAPD Reentry Services Manager immediately.
19. LCA will ensure safety and security of facility exterior, interior, equipment, supplies, staff, clients and all client information.
20. If LCA anticipates transporting participants via a private vehicle, all staff shall possess a valid driver's license and the vehicle shall be fully insured.
21. LCA shall have written CASC policies and procedures in accordance with SFAPD's regulations. This policies and procedures will be submitted to the SFAPD Reentry Division for retention in the case file.
22. All CASC staff shall be trained and certified in first aid, including cardiopulmonary resuscitation (CPR) within the first six weeks of employment and remain current throughout their employment relative to this contract. A record of first aid training shall be maintained on file by the LCA.
23. Fully stocked first aid kits will be readily available throughout the facility. The telephone numbers of all local emergency service agencies shall be posted and readily available to all staff.
24. No Smoking signs shall be posted in full view of the participants, staff and visitors.

#### **Security and Safety Requirements:**

1. **Facility Security** – The safety and security of clients, staff and visitors is of paramount importance.
  - a. LCA staff and on site security protocols will take a dignified and reasonable approach to ensuring that the facility is free of weapons and contraband, and protected from outside intrusions. Daily security and perimeter inspection of the facility will make certain that functioning locks and latches are on all windows, doors and gates, and that electrical lighting (inside and out) is operating properly. Door alarms may be used to eliminate unauthorized egress or ingress during evening and night hours. Security policies shall ensure that the clients are not locked inside the facility at any time.
  - b. Given the large number of offenders in the facility at any given time, all staff should be adequately trained in effective relationship building, de-escalation strategies, and emergency response and evacuation protocols. CASC monitors that play a security leadership role should make routine safety checks throughout the facility, and be primarily responsible for prompting attention towards any lighting, signage, training or

other upgrade that is needed to further ensure the safety of people and property at the CASC.

## **2. Case Files**

- a. LCA will develop and maintain properly organized participant files and secure them in a locked file cabinet or drawer. Files shall be considered confidential and protected from any unauthorized use or disclosure. Electronic client files will be held to the same security standard as hard copy files. The CASC will have written procedures for the release of case file information to include: 1) the participant's signed and dated Release of Information Form, 2) the name of the person, agency or organization to whom the information was released, and 3) the signature of the employee who released the information and date of release.

## **3. Searches and Contraband**

- a. Whereas safety and security of CASC persons and property is of paramount importance, and whereas SFAPD and CASC staff will take a responsible harm reduction approach to addressing client substance abuse issues, CASC will create and honor a dignified contraband search and client substance use response policy that will be in compliance with SFAPD regulations, policies, and procedures. Clients that enter the CASC are subject to search. Any findings of contraband and/or signs of substance abuse shall be reported to the SFAPD staff as soon as possible after discovery. SFAPD and CASC staff will follow an agreed upon protocol for responding to contraband, weapons and substance use.

## **4. Disturbance Control Plan**

- a. LCA will have a written Disturbance Control Plan in the event of a major disturbance such as riots, strikes, attacks upon staff, visitors or participants, explosions or fires, suicides or attempted suicides, natural disasters; and accidental injuries to staff and others. The plan shall include assistance from local law enforcement and/or emergency agencies as circumstances warrant. The development of the Disturbance Control Plan shall be coordinated with the SFAPD Reentry Services Manager. Once the Disturbance Control Plan is developed, LCA will submit a copy to the SFAPD Reentry Services Manager for retention in the contract file.

## **5. Fire Evacuation Emergency Procedures**

- a. LCA will have written procedures pertaining to fire prevention, safety requirements, evacuation and emergency procedures that include instructions for the following:
  - o Immediate notification of the fire department (inclusive of the designated fire department's address and telephone number)
  - o Alert notification and/or evacuation of all occupants
  - o Notification of authorities
  - o Control and the extinguishing of fires

- Evacuation routes and procedures
- Other to be identified procedures

**6. Emergency Evacuation Training**

- a. All personnel shall be trained in the implementation of emergency procedures within 24 hours of their initial employment. Annual refresher training shall be provided to all personnel. All training is to be documented for compliance and maintained in employee files.

**7. Quarterly Emergency Evacuation Drills**

- a. LCA will conduct and document quarterly emergency evacuation drills. Documentation of each drill shall include: date and time of day; evacuation path used; number of staff, participants and visitors involved; amount of time to complete the drill, and any pertinent comments.

**8. Posting of Emergency Evacuation Floor Plans**

- a. Clear, concise and site-specific emergency evacuation floor plans shall be posted as appropriate at every occupied floor location throughout the facility. The floor plans should be located near the identified exit doors on each floor. The evacuation diagram plans shall be placed in tamper-proof frames and include the following:
- Evacuation diagram plan that identifies the "You Are Here," location that is compatible with the building floor plan.
  - Evacuation plans, which include the location of building exits, fire extinguishers, pull-stations, fire hose cabinets, and first aid supplies.
  - Emergency and evacuation procedures, including diagrammed evacuation routes, shall be communicated to each new participant upon arrival.

**9. Smoke Detectors and Fire Extinguishers**

- a. LCA shall provide operable and regularly tested smoke detectors and fire extinguishers in key locations including the kitchen and classrooms. All tests shall be documented and maintained at the facility site.

**10. Hazardous, Toxic and Volatile Substances**

- a. LCA shall maintain a written policy for inventory, use, storage and disposal of all hazardous, toxic, and volatile substances in accordance with the Hazardous Substances Information and Training Act, Chapter 2-5 (commencing with Section 6360), Part 1 of Division 5 of the Labor Code. Hazardous, toxic and volatile substances shall not be stored in furnace areas, kitchens, dining areas, or in close proximity to stored food or kitchen supplies. Flammable substances such as gasoline, kerosene and paint thinner shall be stored outside the facility's main structure in approved containers inside properly ventilated and labeled fireproof cabinets.

- b. Material Safety Data Sheets (MSDS) must be maintained on-site for all hazardous materials used in the facility. The MSDS shall be posted and immediately accessible to staff and participants wherever these substances are used.
- c. LCA will provide training to facility staff and program participants. Documentation of training shall be maintained in the facility files.

The SFAPD and LCA will conduct an annual review of facility protocols, and will work together to resolve any review findings. "The periodic reporting required by this Agreement should address LCA's progress toward meeting the above operational and safety requirements, as well as any operational or safety issues that have arisen".

## 2. Data Collection and Reports

The Contractor shall submit written reports as requested by the **San Francisco Adult Probation Department**. Format for the content of such reports shall be determined by the **San Francisco Adult Probation Department**. The timely submission of all reports is a necessary and material term and condition of this Agreement. The reports, including any copies, shall be submitted on recycled paper and printed on double-sided pages to the maximum extent possible.

### REPORTING

Monthly and quarterly reports will serve as interim evaluations of CASC successes and challenges, and the annual report will serve as indication of the CASC's progress towards goals, objectives and performance measures.

All CASC information, reports, writings, summary documents or press releases shall be reviewed and approved by the SFAPD prior to dissemination. LCA, and partners associated with the CASC will consult with the SFAPD before publically releasing any CASC related information to the public or other professional groups.

1. **Monthly Data Report** – Due the 15<sup>th</sup> of each month for services provided in the previous month.
  - At a minimum the report shall include the data elements listed below in the section entitled "Monthly Data Collection". The SFAPD will work with the Contractor to identify additional pertinent client and program data points to be tracked. The monthly data report shall also be accompanied by highlights of CASC program and services successes over the month, a list of problems/issues encountered during the month and the plan for resolving them, as well as any major events or activities that are planned for the subsequent month (s). The SFAPD and LCA will work together over the course of the contract to update data collection and monthly information submissions as needed.

2. **Monthly Cost Reimbursement Invoice** – Due the 5<sup>th</sup> of each month for previous month's expenditures.

- Monthly cost reimbursement invoices will reimburse for actual line item expenses incurred over the month for expenses according to the approved budget in Appendix B of this Agreement. Subsequent to determining the availability of funds each year during the contract period of June 1, 2012 – June 30, 2017, the SFAPD and Contractor will re-negotiate the project budget so that it reflects actually available funds for a subsequent period, and agreed upon CASC services, activities and performance measures. All negotiated costs will reflect industry standards for delivering services and will never exceed the total approved amount of this contract.

3. **Quarterly CASC Program Report** – Will be due **Oct. 15<sup>th</sup>** (for the period of June 1 – September 30), **January 15<sup>th</sup>** (for the period of October 1 thru December 31), **April 15<sup>th</sup>** (for the period of January thru March 31) and **July 15<sup>th</sup>**. The July 15<sup>th</sup> report will serve as a cumulative annual report.

- The quarterly report information will include analysis that builds off of the monthly data reports.
- The report will provide a succinct description of the key CASC services provided during the time period, as well as a report back on baseline information, and progress towards the below goals, objectives and performance measures.
- Quarterly data analysis should suggest what the data indicates about client demographics and needs, as well as any system or service improvements that could be made to further the success of the CASC.
- The 4<sup>th</sup> quarterly report will be a cumulative annual report.

4. **Annual CASC Program Report**

- The annual report should provide a cumulative qualitative and quantitative analysis of monthly data and quarterly report information, as well as a robust report-back of CASC activities, successes and challenges over the year.
- The Annual Report will be shared with San Francisco Mayor Ed Lee, the San Francisco Board of Supervisors and other policy and political stakeholders that are interested in high-impact criminal justice reform. To maintain broad-based support of this project, the CASC will need to show results.

## MONTHLY DATA COLLECTION

The SFAPD and Contractor will continue to refine participant and program data elements during the initial and subsequent contract terms. The below represents the *minimum* data collection requirements - the Contractor should report back on the information on a monthly and quarterly basis as per the above instruction.

### CLIENT/General Intake/Enrollment Data Points

- Unique identifier for each client.
- CASC Intake, Enrollment, Orientation, ITRP and Referral dates.
- Participant SFAPD Number.
- COMPAS completed (Y/N)
- ITRP completed (Y/N)
- Secondary Assessments Completed
- Personal Service Plan reflective of COMPAS, ITRP and as appropriate Secondary Assessment Results (Y/N)
- Participant Full Name.
- Participant Date of Birth.
- Gender.
- Sexual Orientation.
- Race and Ethnicity.
- Preferred Language.
- Current living situation.
- History of Mental/Behavioral Health Challenges (Y/N)
- Medication (Y/N – Detail any current medications)
- Homeless (Y/N)
- Highest level of education completed.
- Ever expelled from school (Y/N)
- Employment status prior to admission to CASC.
- Ever work full-time for one employer for six months or more (Y/N)
- If employed, full-time/part-time, start date, end date, wages, and occupation.
- Ever fired from a job (Y/N).
- Marital or Domestic Partnership Status.
- Disability (Y/N – Describe).
- Number of prior substance abuse treatment episodes.
- Victim of domestic violence or physical abuse (Y/N).
- Physical health diagnosis (Y/N – describe)
- Dental needs (Y/N – describe)
- Victim of sexual abuse (Y/N).
- Number of children and living arrangement of each child.
- Name and date of birth of each child.
- Primary caretaker of children (Y/N).
- Age at first drug/alcohol use.
- Number of years of problem use.
- Primary/secondary drug of choice.
- Age at first arrest.
- Involvement in Dependency or Delinquency systems (Y/N).
- Prior Service in the Military (Y/N).
- Number of prior arrests.
- Ever in jail for a probation violation (Y/N).
- Family structure (close relatives and living arrangements of each).

**PROGRAMMATIC Data Points (Not captured in the performance measures section)**

- # of reentry transportation requests made.
- # of reentry transports completed.
- # of new people referred into Remedial Sanctions program
- % of participants that completed their required Remedial Sanctions
- # of participants assessed for income benefits or who obtained transitional or unsubsidized employment during the period
- % of people that were not approved for income benefits (provide a summary of denial circumstances in quarterly narrative)
- % of all people that demonstrated increased income as a result of employment, benefits acquisition, etc.

**QUARTERLY AND ANNUAL REPORT INFORMATION**

**BASELINE INFORMATION** – Quarterly and annual reports should include a report back on the below baseline information.

- What is the baseline recidivism rate
- What is the target population
- How many staff provide direct services
- How many participants were eligible to participate in the time period
- How many of the total eligible participants were medium to high risk
- Of the eligible medium to high risk referrals, how many were enrolled (completed CASC intake/assessment and orientation).
- Of those enrolled, how many showed up for a first class
- Of those that showed up for a first class, how many maintained an active CASC program status during the reporting period? (Active status means that a participant participated in CASC services during the month of the closing reporting period).

**GOALS, OBJECTIVES AND PERFORMANCE MEASURES** – Quarterly and annual reports should document progress towards the below goals, objectives and performance measures.

**Goals**

- Reduce recidivism amongst target population
- Reduce returns to custody for new arrests
- Reduce arrests amongst target population
- Reduce probation violations amongst target population

**Objectives**

- 50 percent of clients will complete ITRP/Reentry Services Plan goals at CASC.

- Of the 50 percent who met their ITRP treatment goals, 60 percent will be in stable housing, gainfully employed, or enrolled in an education program, trade school, community college, or an adult education program.
- A minimum of 10 percent of clients will participate in the Alumni Group for a minimum of 6 months.

### **Performance Measures**

#### **ASSESSMENT AND ITRP/REENTRY SERVICES PLAN SUMMARY**

- Does the program use a risk/need assessment?
- How many enrolled CASC participants completed a risk/need assessment?
- How many **new** participants were medium and high risk?
- How many **total** participants are medium and high risk?
- How many **new** participants completed an ITRP and/or Reentry Services Plan?
- How many total participants completed an ITRP and/or Reentry Services Plan?

#### **SUCCESSFUL COMPLETIONS AND INCOMPLETIONS**

- Define successful completion for the reentry program.
- What is the expected reentry program length?
- What was the average length of program participation?
- Have any participants successfully completed?
- How many people did not complete and for what reasons:
  - Failure to meet program requirements
  - Court or criminal involvement (technical violation, arrest, conviction, revocation, re-incarceration)
  - Lack of engagement
  - Absconding
  - Relocating or case transfer
  - Death or serious illness
  - Other

#### **RECIDIVISM – IN-PROGRAM**

The Contractor will work with the SF Adult Probation Department to ascertain the following information which will be verified through SFAPD client files, the SF CMS system and as needed the State CLETS system.

How many individuals participating in the program had been released 1 – 180 days ago?

How many participants had any court and/or criminal involvement while participating in the reentry program and who were released from jail/prison 1 to 180 days ago (total):

- Technical Violation
- Arrest
- Conviction



- Revocation
- Re-incarceration

How many individuals participating in the program had been released 181 or more days ago?

How many participants had any court and/or criminal involvement while participating in the reentry program and who were released from jail/prison 181 or more days ago (total):

- Technical Violation
- Arrest
- Conviction
- Revocation
- Re-incarceration

### RECIDIVISM – PROGRAM COMPLETION

The Contractor will work with the SF Adult Probation Department to ascertain the following information which will be verified through SFAPD client files, the SF CMS system and as needed the State CLETS system.

How many participants successfully completed program requirements?

Enter the number of participants who had a NEW court and/or criminal offense after successfully completing the reentry program

- Technical Violation
- Arrest
- Conviction
- Revocation
- Re-incarceration

### SERVICES PERFORMANCE MEASURES

#### Notes:

- **Participants that needed “x” service** = The service was documented in his/her ITRP or Reentry Services Plan.
- **Enrolled** = Participant completed CASC Intake, Assessment and Orientation
- **Actively Engaged** = Participant attended at least one class within one month of the closing of the reporting period (e.g., if the reporting period closes on December 31<sup>st</sup>, the participant would have attended at least one class during the period of December 1 – December 31).
- **Completed** = The participant completed the requisite number of classes as per his/her ITRP or Reentry Services Plan.

### Cognitive Based Services (Thinking for a Change)

- How many **new** participants needed cognitive based services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed cognitive based services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive cognitive based services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide cognitive based services directly to participants? Y/N
- How many **new** participants were enrolled in cognitive based services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in cognitive based services that were provided directly by the CASC? (Of total x, a total of x have received services directly).
- How many **total** participants were **actively engaged** in (i.e., last class attended was within one month of the closing of the reporting period) cognitive behavior services? How many were referred out? How many received services directly?
- How many **total** participants **completed** cognitive behavioral services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

### Mental Health Services

- How many **new** participants needed mental health services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed mental health services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive mental health services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide mental health services directly to participants? Y/N
- How many **new** participants were enrolled in mental health services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in mental health services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class/session attended was within one month of the closing of the reporting period) mental health services? How many were referred out? How many received services directly?

- How many **total** participants **completed** mental health services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly.

### Substance Abuse Services

**Notes:** Substance abuse services include residential, outpatient and relapse prevention services.

- New Participants = total number of participants that received any of the three components,
- Total Participants = total number of participants that received any of the three components,
- Enrolled Participants = participants enrolled into any one of the three components,
- Participants Actively Engaged = actively engaged in any one of the three components and
- Completed = participants that completed any one of the three components.

Please use the narrative to describe circumstances in which a client may be receiving more than one component at one time.

- How many **new** participants needed substance abuse services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed substance abuse services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive substance abuse services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide substance abuse services directly to participants? Y/N
- How many **new** participants were enrolled in substance abuse services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in substance abuse services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class/session attended was within one month of the closing of the reporting period) substance abuse services? How many were referred out? How many received services directly?
- How many **total** participants **completed** substance abuse services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly.

## Employment Services

**Note:** Employment Services includes employment readiness (which includes life skills, career search and job development, transitional job, and job placement services,) and vocational training.

- New Participants = total number of participants that received any of the components,
- Total Participants = total number of participants that received any of the components,
- Enrolled Participants = participants enrolled into any one of the three components,
- Participants Actively Engaged = actively engaged in any one of the three components and
- Completed = participants that completed any one of the three components.

Please use the narrative to describe circumstances in which a client may be receiving more than one component at one time.

- How many **new** participants needed employment services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed employment services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive employment services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide employment services directly to participants? Y/N
- How many **new** participants were enrolled in employment services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in employment services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class/session attended was within one month of the closing of the reporting period) employment services? How many were referred out? How many received services directly?
- How many **total** participants **completed** employment services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?
- How many participants who were provided with employment services directly by the CASC obtained employment?
- How many participants who were provided with employment services directly by the CASC have been employed for three or more months?
- How many participants who were provided with employment services directly by the CASC have been employed for 6 or more months?

### Educational Services

- How many **new** participants needed education services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed education services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive education services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide education services directly to participants? Y/N
- How many **new** participants were enrolled in educational services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in educational services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class/session attended was within one month of the closing of the reporting period) educational services? How many were referred out? How many received services directly?
- How many **total** participants **completed** educational services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?
- How many participants that were directly provided with educational services received a GED certificate?
- How many participants that were directly provided with educational services received a High School Diploma?
- How many participants who were directly provided with educational services obtained a vocational certificate?
- How many participants who were directly provided with educational services obtained higher education?

### Housing Services

- How many **new** participants needed housing services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed housing services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive housing services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide housing services directly to participants? Y/N
- How many **new** participants were enrolled in housing services that were provided directly by the CASC? (Of x new, x received services directly)

- How many **total** participants were **enrolled** in housing services that were provided directly by the CASC ? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class/session attended was within one month of the closing of the reporting period) housing services? How many were referred out? How many received services directly?
- How many **total** participants **completed** housing services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?
- How many participants who were directly provided with services obtained housing?
- How many participants who were directly provided with services were housed for 3 or more months?
- How many participants who were directly provided with services were housed for 6 or more months?

### Anger Management

- How many **new** participants needed anger management services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed anger management services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive anger management services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide anger management services directly to participants? Y/N
- How many **new** participants were enrolled in anger management services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in anger management services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class attended was within one month of the closing of the reporting period) anger management services? How many were referred out? How many received services directly?
- How many **total** participants **completed** anger management services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

### Parenting

- How many **new** participants needed parenting services this quarter based on their ITRP or Reentry Services Plan?

- How many **total** participants have needed parenting services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive parenting services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide parenting services directly to participants? Y/N
- How many **new** participants were enrolled in parenting services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were **enrolled** in parenting services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class attended was within one month of the closing of the reporting period) parenting services? How many were referred out? How many received services directly?
- How many **total** participants **completed** parenting services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

#### Recreation and Leisure Activities

- How many **new** participants were enrolled in recreation and leisure services this quarter?
- How many **total** participants are **enrolled** in recreation and leisure activities?
- How many **total** participants were **actively engaged** in (last class/outing attended was within one month of the closing of the reporting period) recreation and leisure activities?

#### Alumni Group Activities

- How many **new** participants were enrolled in Alumni Group services this quarter?
- How many **total** participants are **enrolled** in the Alumni Group?
- How many **total** participants were **actively engaged** in (last class/outing attended was within one month of the closing of the reporting period) the Alumni Group?

#### Creative Arts Activities

- How many **new** participants were enrolled in Creative Arts services this quarter?
- How many **total** participants are **enrolled** in Creative Arts Activities?
- How many **total** participants were **actively engaged** in (last class/outing attended was within one month of the closing of the reporting period) the Creative Arts Activities?
- How many total participants completed Creative Arts Activities as per their ITRP and/or Reentry Services Plan.

**All Other Services (Lunch, Clothes, Child Care, Recovery/Faith Based, Saturday Services, Community Advisory Board and Physical Health Services)**

- How many **new** participants were enrolled in each of the above services this quarter?
- How many **total** participants are **enrolled** in each of the above services activities?
- How many **total** participants were **actively engaged** in (the participant accessed the service at least one time during the month of the closing of the reporting period) each of the services.

<b>4. Securing Contract Staff</b>
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- The Program and Associate Director should have a Master's Degree in Social Sciences or a related field, and at least one year of administrative experience in a program setting; or, a four-year degree in Social Sciences or related fields, and the equivalent of three cumulative years of documented experience demonstrating a history of administrative responsibility in criminal justice programs; or a two-year degree (AA or AS) and the equivalent of five years of full-time administrative experience in substance abuse programs combined with demonstrable familiarity working with the target population.
- The LCSW/LMFT staff must be in possession of a valid license as a LCSW or a LMFT issued by the California Board of Behavioral Science Examiners (CBBS), or Registered Intern with CBBS.
- Program staff will possess a four-year degree in Social Sciences or related fields and the equivalent of one year of documented criminal justice, substance abuse or social services program management experience; or a two-year (AA or AS) and the equivalent of two years' experience, or a High School Diploma or GED and four cumulative years of full-time experience
- The Contractor shall review and approve in advance the resumes/qualifications of all required personnel assigned to the contract to ensure the minimum specified standards are met.
- If a candidate or staff does not meet the minimum qualifications described, the LCA and SFAPD should review the circumstances, and decide a course of action that is in the best interest of the CASC program.
- The Contractor will send all final job descriptions to SFAPD for review prior to posting; and will let SFAPD know when posting or active recruitment for any position commences.



- The Contractor will provide SFAPD with candidate resumes, as well as indication of intent to hire a candidate. If a program staff is already a part of the Contractor team, the Contractor will provide SFAPD with staff name, and resume information.
- All CASC program employees and subcontractors, as well as any person in the operator's organization who will have access to or entrance into the facility, or other services locations shall be required to meet the requirements to obtain a SFAPD security clearance to enter and work at the facility. It shall be the operator's responsibility to retain approved clearances on-site as long as the staff member is employed. The SFAPD reserves the right to deny and/or retract security clearances upon written notification to the operator.
- Criteria for approval or denial of a position may include, but may not be limited to:
  - No arrests during the past three years.
  - Cannot currently be on parole, mandatory supervision, PRCS or probation or under any structured supervision as a result of criminal conduct.
  - Not required to register per Health and Safety Code Section 11590, Penal Code Section 290, and/or Penal Code Section 451.
- Staff vacancies shall be brought to the immediate attention of the SFAPD Reentry Division. The operator may fill temporary vacancies internally by a temporary reassignment of existing qualified staff. The hiring process shall not exceed 30 days from the date of vacancy and the position must be filled within 60 days.
- The Contractor can make staffing and hiring modifications as needed for the benefit of the CASC program, and with the prior approval of SFAPD.

**4. Department Liaison**

In performing the services provided for in this Agreement, Contractor's liaison with the **San Francisco Adult Probation Department** will be **Lauren Bell**.

- b. **Appendix B. Appendix B-1 "Budget"** of the Agreement currently reads as follows:

**Appendix B-1  
Budget**

**Full Budget**

**CASC Budget**

<b>Detailed Budget for First Year</b>	<b>Annualized Amount</b>	<b>Months</b>	<b>First Contract Period (13 Months)</b>
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Personnel	\$	561,920		\$	220,969
Fringe Benefits	\$	106,589		\$	53,128
<b>TOTAL SALARIES AND FRINGE</b>	<b>\$</b>	<b>668,509</b>		<b>\$</b>	<b>274,097</b>
Program Curriculum	\$	20,000	-	\$	20,000
Supplies	\$	14,400	7.0	\$	8,400
Equipment	\$	12,480	13.0	\$	5,060
Travel	\$	7,200	10.0	\$	6,000
Client Supportive Services	\$	12,000	1.0	\$	1,000
Interpretive Client Services	\$	6,000	1.0	\$	500
Parenting Skills Training	\$	12,000	1.0	\$	1,000
HUD Matching Funds - CJ CJ	\$	20,000	1.0	\$	1,667
Reentry Transportation - Vehicle/Insurance/etc.	\$	-	-	\$	-
Other Occupancy Costs	\$	6,000	9.0	\$	4,500
Insurance	\$	12,300	5.0	\$	5,125
Maintenance/ Repair	\$	6,000	5.0	\$	2,500
Communications	\$	17,400	4.0	\$	5,800
Training and Education (Staff) (ongoing only)	\$	9,600	2.0	\$	1,600
Food	\$	51,156	1.0	\$	4,263
Drug Testing	\$	22,800	1.0	\$	1,900
<b>TOTAL OPERATIONS</b>	<b>\$</b>	<b>229,336</b>		<b>\$</b>	<b>69,315</b>
Rent	\$	807,792	2.0	\$	134,632
Utilities/Building Reimbursements	\$	78,756	2.0	\$	13,126
<b>TOTAL RENT AND UTILITIES</b>	<b>\$</b>	<b>886,548</b>		<b>\$</b>	<b>147,758</b>

Startup Capital Items		\$	2,510,949
<b>TOTAL NON PERSONNEL ITEMS</b>	<b>\$</b>	<b>1,115,884</b>	<b>\$</b> <b>2,728,022</b>
<i>Subtotal:</i>	<i>\$</i>	<i>1,784,393</i>	<i>\$</i> <i>3,002,119</i>
Administrative Overhead (15%)	\$	267,659	\$ 73,676
<b>Total Funding Request</b>	<b>\$</b>	<b>2,052,052</b>	<b>\$</b> <b>3,075,795</b>
	<i>Months:</i>	12	13
Per Month	\$	171,004	\$ 236,600

**Personnel and Fringe**

POSITION TITLE	FTE's	ANNUALIZED SALARY	MONTHS WORKED DURING INITIAL CONTRACT TERM	TOTAL BUDGET (INITIAL 13 MONTH CONTRACT TERM)*
CASC Program Director	1.0	\$ 75,000	6.0	\$ 37,500
Asst. Program Director / Financial Manager	1.0	\$ 60,000	5.0	\$ 25,000
Admin Assistant / Intake Specialist	1.0	\$ 41,600	4.0	\$ 13,867
Clinical Supervisor / Lead Case Manager	1.0	\$ 65,000	13.0	\$ 70,417
Case Manager	1.0	\$ 41,600	8.0	\$ 27,733
Case Manager	2.5	\$ 41,600	2.0	\$ 17,333
Seniors Specialist / Case Manager	1.0	\$ 41,600	2.0	\$ 6,933
Employment Specialist	1.0	\$ 41,600	2.0	\$ 6,933
Transitional Specialist	1.0	\$ 41,600	2.0	\$ 6,933
Employment Specialist - HUD Funded	2.0	\$ 116,580	2.0	\$ 38,860
HUD FUNDING			2.0	\$ (38,860)
Security Monitors / Counselors	1.5	\$ 33,280	2.0	\$ 8,320
Transportation Staff	0.0	\$ 31,200	0.0	\$ -
Transportation Staff	0.0	\$ 31,200	0.0	\$ -
<b>TOTALS</b>	<b>14.0</b>			<b>\$ 220,969</b>
<b>EMPLOYEE FRINGE BENEFITS</b>	(see Narrative for detail)			<b>\$ 53,128</b>
<b>TOTAL SALARIES &amp; BENEFITS</b>				<b>\$ 274,097</b>

Such appendix (Appendix B-1) is hereby amended in its entirety to read as follows:

**Appendix B-2  
Budget**

**CASC Budget  
(SF Day Reporting Center)**

<b>Detailed Budget for First Year</b>	<b>2013 - 2014 Budget</b>
Personnel	\$ 713,339
Fringe Benefits	\$ 162,345
<b>TOTAL SALARIES AND FRINGE</b>	<b>\$ 875,684</b>
Program Curriculum	\$ 7,500
Supplies	\$ 36,156
Equipment	\$ 29,159
Travel	\$ 750
Client Supportive Services	\$ 20,750
Interpretive Client Services	\$ 900
Parenting Skills Training	\$ 24,633
HUD Matching Funds - CJCJ	\$ 20,000
Reentry Transportation - Vehicle/Insurance/etc.	\$ -
Janitorial	\$ 30,000
Insurance	\$ 12,300
Maintenance/ Repair	\$ 2,400
Communications	\$ 14,400
Training and Education (Staff) (ongoing only)	\$ 6,820
Food	\$ 53,046
Occupancy Costs	\$ 31,651
Rent	\$ 807,792
Utilities/Building Reimbursements	\$ 78,756
<b>TOTAL NON PERSONNEL ITEMS</b>	<b>\$ 1,177,013</b>
<i>Subtotal:</i>	<b>\$ 2,052,697</b>
Administrative Overhead (15%)	\$ 307,905
<b>Total Funding Request</b>	<b>\$ 2,360,602</b>

**Personnel and Fringe Detail:**

POSITION TITLE	FTE's	ANNUALIZED SALARY	Budget FY 13-14
CASC Program Director	1.0	\$ 75,750	\$ 75,750
Asst. Program Director / Financial Manager	1.0	\$ 65,325	\$ 65,325
Admin Assistant / Intake Specialist	1.0	\$ 41,773	\$ 41,773
Clinical Supervisor / Lead Case Manager	1.0	\$ 68,000	\$ 68,000
Case Manager	1.0	\$ 42,155	\$ 42,155
Case Manager	1.0	\$ 41,773	\$ 41,773
Case Manager	1.0	\$ 41,773	\$ 41,773
Case Manager	1.0	\$ 41,600	\$ 34,667
Case Manager	1.0	\$ 41,600	\$ 34,667
Case Manager - POD Lead Facilitator	1.0	\$ 52,000	\$ 8,667
Case Manager - POD Facilitator	1.0	\$ 41,600	\$ 27,733
Barrier Removal/Discharge Navigator	1.0	\$ 41,600	\$ 17,333
Security Monitors / Counselors	2.0	\$ 66,560	\$ 66,560
Staff Incentives	1.0	\$ 2,950	\$ 2,950
Seniors Specialist / Case Manager	1.0	\$ 53,248	\$ 53,248
Employment Specialist (A&AF)	1.0	\$ 53,248	\$ 11,093
Transitional Specialist	1.0	\$ 53,248	\$ 53,248
Employment Specialist (Am Works)	1.0	\$ 53,248	\$ 26,624
Employment Specialist - HUD Funded	1.0	\$ 116,580	\$ 116,580
HUD FUNDING	1.0	\$ 116,580	\$ (116,580)
Weekend Operations Coordinator		\$ -	\$ -
Weekend Case Manager FT		\$ -	\$ -
Weekend Program Monitors PT		\$ -	\$ -
Transportation Staff	0.0	\$ -	\$ -
Transportation Staff	0.0	\$ -	\$ -
<b>TOTALS</b>	21.0	\$1,110,611	\$ 713,339
<b>EMPLOYEE FRINGE BENEFITS</b>		\$210,742	\$ 162,345
<b>TOTAL SALARIES &amp; BENEFITS</b>		\$1,321,353	\$ 875,684

3. **Effective Date.** Each of the modifications set forth in Section 2 shall be effective on and after the date of this Amendment.

4. **Legal Effect.** Except as expressly modified by this Amendment, all of the terms and conditions of the Agreement shall remain unchanged and in full force and effect.

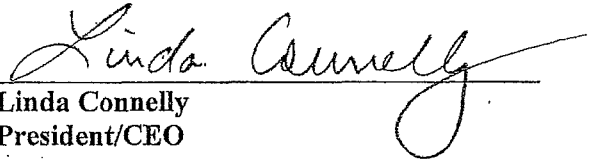
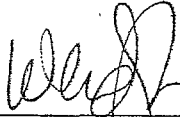
IN WITNESS WHEREOF, Contractor and City have executed this Amendment as of the date first referenced above.

**CITY**

**CONTRACTOR**

Recommended by:

**Leaders In Community Alternatives, Inc.**



\_\_\_\_\_  
**Wendy S. Still, MAS**  
**Chief Adult Probation Officer**  
**San Francisco Adult Probation Department**

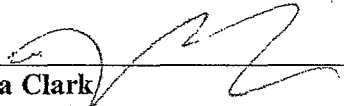
\_\_\_\_\_  
**Linda Connelly**  
**President/CEO**

City vendor number: 25546

Approved as to Form:

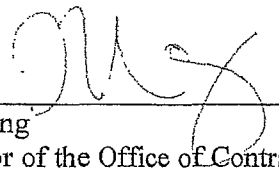
Dennis J. Herrera  
City Attorney

By:



\_\_\_\_\_  
**Jana Clark**  
**Deputy City Attorney**

Approved:



\_\_\_\_\_  
**Jaci Fong**  
**Director of the Office of Contract**  
**Administration, and Purchaser**

City and County of San Francisco  
Office of Contract Administration  
Purchasing Division

First Amendment

THIS AMENDMENT (this "Amendment") is made as of April 15, 2013 in San Francisco, California, by and between Leaders in Community Alternatives, Inc. ("Contractor"), and the City and County of San Francisco, a municipal corporation ("City"), acting by and through its Director of the Office of Contract Administration.

RECITALS

WHEREAS, City and Contractor have entered into the Agreement (as defined below); and

WHEREAS, City and Contractor desire to modify the Agreement on the terms and conditions set forth herein to increase the total contract amount to be encumbered during the June 1, 2012 – June 30, 2013 period of the Agreement, and adjust the scope of work to include the CASC's in-custody services role in the Reentry Pod;

NOW, THEREFORE, Contractor and the City agree as follows:

1. **Definitions.** The following definitions shall apply to this Amendment:
  - a. **Agreement.** The term "Agreement" shall mean the Agreement dated June 1, 2012 between Contractor and City, as amended by the First Amendment, dated April 15, 2013.
  - b. **Other Terms.** Terms used and not defined in this Amendment shall have the meanings assigned to such terms in the Agreement.
2. **Modifications to the Agreement.** The Agreement is hereby modified as follows:
  - a. **Section 5. Section 5 Compensation** of the Agreement currently reads as follows:

Compensation shall be made in monthly payments on or before the 15th day of each month for work, as set forth in Section 4 of this Agreement, that the Chief of Adult Probation, in her sole discretion, concludes has been performed as of the final day of the immediately preceding month. In no event shall the amount of this Agreement exceed \$6,142,957 (Six Million One Hundred Forty Two Thousand Nine Hundred Fifty Seven Dollars) as follows:

June 1, 2012 – June 30, 2013 – Not to exceed: \$2,258,879 (\$895,705 to be encumbered in June, 2012 and \$1,663,090 in July, 2012).

July 1, 2013 – June 30, 2014 – To be determined

July 1, 2014 – June 30, 2015 – To be determined

July 1, 2015 – June 30, 2016 – To be determined

July 1, 2016 - June 30, 2017 – To be determined

The breakdown of costs for the period of June 1, 2012 – June 30, 2013 appears in this Agreement as Appendix B, "Project Budget," attached hereto and incorporated by reference as though fully set forth herein. The actual award amount to be realized during the full period of this contract, June 1, 2012 – June 30, 2017 is contingent on the availability of funds for this project each year, and on the satisfactory Contractor performance.

All subsequently negotiated project costs are and will be in line with generally accepted industry standard costs associated with delivering CASC services.

No charges shall be incurred under this Agreement nor shall any payments become due to Contractor until reports, services, or both, required under this Agreement are received from Contractor and approved by the **San Francisco Adult Probation Department** as being in accordance with this Agreement. City may withhold payment to Contractor in any instance in which Contractor has failed or refused to satisfy any material obligation provided for under this Agreement. In no event shall City be liable for interest or late charges for any late payments.

The Controller is not authorized to pay invoices submitted by Contractor prior to Contractor's submission of HRC Progress Payment Form. If Progress Payment Form is not submitted with Contractor's invoice, the Controller will notify the department, the Director of HRC and Contractor of the omission. If Contractor's failure to provide HRC Progress Payment Form is not explained to the Controller's satisfaction, the Controller will withhold 20% of the payment due pursuant to that invoice until HRC Progress Payment Form is provided. Following City's payment of an invoice, Contractor has ten days to file an affidavit using HRC Payment Affidavit verifying that all subcontractors have been paid and specifying the amount.

Such section is hereby amended in its entirety to read as follows:

Compensation shall be made in monthly payments on or before the 15th day of each month for work, as set forth in Section 4 of this Agreement, that the **Chief of Adult Probation**, in her sole discretion, concludes has been performed as of the **final** day of the immediately preceding month. In no event shall the amount of this Agreement exceed **\$6,142,957 (Six Million One Hundred Forty Two Thousand Nine Hundred Fifty Seven Dollars)** as follows:

June 1, 2012 – June 30, 2013 – Not to exceed: \$3,075,795 (\$895,705 to be encumbered in June, 2012 and \$1,663,090 in July, 2012, and \$517,000 to be encumbered by June, 2013).

July 1, 2013 – June 30, 2014 – Not to exceed: \$2,360,603 (Two Million Three Hundred Sixty Thousand Six Hundred Three Dollars) *MG for LC*

July 1, 2014 – June 30, 2015 – To be determined

July 1, 2015 – June 30, 2016 – To be determined

July 1, 2016 - June 30, 2017 – To be determined

The breakdown of costs for the period of June 1, 2012 – June 30, 2013 appears in this Agreement as Appendix B-1 attached hereto and incorporated by reference as though fully set forth herein. The actual award amount to be realized during the full period of this contract, June 1, 2012 – June 30, 2017 is contingent on the availability of funds for this project each year, and on the satisfactory Contractor performance.



All subsequently negotiated project costs are and will be in line with generally accepted industry standard costs associated with delivering CASC services.

No charges shall be incurred under this Agreement nor shall any payments become due to Contractor until reports, services, or both, required under this Agreement are received from Contractor and approved by the San Francisco Adult Probation Department as being in accordance with this Agreement. City may withhold payment to Contractor in any instance in which Contractor has failed or refused to satisfy any material obligation provided for under this Agreement. In no event shall City be liable for interest or late charges for any late payments.

The Controller is not authorized to pay invoices submitted by Contractor prior to Contractor's submission of HRC Progress Payment Form. If Progress Payment Form is not submitted with Contractor's invoice, the Controller will notify the department, the Director of HRC and Contractor of the omission. If Contractor's failure to provide HRC Progress Payment Form is not explained to the Controller's satisfaction, the Controller will withhold 20% of the payment due pursuant to that invoice until HRC Progress Payment Form is provided. Following City's payment of an invoice, Contractor has ten days to file an affidavit using HRC Payment Affidavit verifying that all subcontractors have been paid and specifying the amount.

b. Appendix A. Appendix A, "Services to be provided by Contractor" of the Agreement currently reads as follows:

#### Appendix A

#### Services to be provided by Contractor

<b>1. Description of Services:</b>
------------------------------------

The Contractor will manage and operate the Community Assessment and Services Center facility, and oversee the delivery of center and off-site reentry support services for clients of the San Francisco Adult Probation Department.

#### SCOPE OF WORK

#### CASC - Service Delivery Responsibilities

#### A. PRINCIPALS OF EFFECTIVE INTERVENTION

Leaders in Community Alternatives ("LCA") agrees to train all staff on and appropriately integrate the National Institute of Correction's eight evidence-based principles for effective intervention within community corrections into every facet of service delivery. The eight principles are:

- 1) Assess Criminogenic Risks/Needs
- 2) Enhance Intrinsic Motivations
- 3) Target Interventions
  - a. Risk Principle: Prioritize supervision and treatment resources for higher risk offenders.

- b. Need Principle: Target interventions to criminogenic (correlated to crime) needs.
  - c. Responsivity Principle: Be responsive to temperament, learning style, motivation, culture, and gender when assigning programs.
  - d. Dosage: Structure 40-70% of high-risk offenders' time for three to nine months.
  - e. Treatment Principle: Integrate treatment into the full sentence/sanction requirements.
- 4) Skill Train with Directed Practice (e.g., use cognitive behavioral treatment methods)
  - 5) Increase Positive Reinforcement
  - 6) Engage Ongoing Support in Natural Communities
  - 7) Measure Relevant Processes/Practices
  - 8) Provide Measured Feedback

The CASC program design incorporates these principles in services for all clients. Each client will complete a COMPAS risk-assessment (principle 1) with the aim of identifying and targeting interventions (principle 3). All of the services offered are structured to enhance intrinsic motivation (principle 2) and will engage all individuals in skill building activities (principle 4). The services offered will provide positive reinforcement for the development of new skills and behaviors (principle 5) and will support the socialization of individuals as they re-enter their communities (principle 6). In an effort to demonstrate the success of the proposed model, LCA will measure the implemented practices (principle 7) and will provide measured feedback and outcomes to the SFAPD (principle 8). As established in cooperation with SFAPD and tracked by CASC staff, progress will be measured, including clients' compliance with their COMPAS Individualized Treatment and Rehabilitation Plan attendance, participation in assigned onsite and community activities, completion of components, and any special accomplishments and challenges. Any concerns or problems will be reviewed in the weekly case conferences with SFAPD, with adjustments made as needed.

## **B. ASSESSMENT, PLANNING AND TREATMENT**

A comprehensive program is essential for our clients' successful, sustained community reintegration.

The CASC services will incorporate and include:

- 1) Gender Responsive Strategies
- 2) Strength Based, Trauma Informed and Family Focused Strategies
- 3) Criminogenic Needs and Community Functioning Factors
- 4) Collaborative and Coordinated Case Conferencing
- 5) Review of COMPAS Assessment and creation of Reentry Services Plan
- 6) Administration of Secondary Assessments
- 7) Coordinated Case Management

## **C. OVERVIEW OF SERVICE DELIVERY COMPONENTS**

LCA, including partner providers, will incorporate tactical strategies previously identified to engage clients and provide services from program referral to completion.

- 1) Reentry Transportation
- 2) Intake
- 3) Orientation and Enrollment
- 4) Rehabilitation Services
- 5) Individualized Case Management, including Clinical Case Management
- 6) Community Service and Activities
- 7) Aftercare Services

#### **D. INCENTIVES, REWARDS, AND REMEDIAL SANCTIONS**

The overall LCA CASC program design emphasizes and supports clients' strengths, positive change, and the importance of accountability. Best practices includes providing incentives and rewards for progress and achieving goals, and structured sanctions that are swift and certain when clients do not meet program expectations or personal responsibilities.

CASC Program will utilize the uniform sanctions and incentives matrix developed by SFAPD, to include:

- 1) Incentives and recognition of client achievements.
- 2) Remedial Sanctions, including drug testing, repeated group sessions, extra community service, and others specific to the situation.

#### **E. REHABILITATIVE PROGRAMS**

The CASC will offer a full array of on and off site rehabilitative programs designed to successfully transition offenders back into their communities. The interventions and services strive to use evidenced-based curricula whenever available, and to engage clients and address their criminogenic needs and community functioning factors. Clients will be assigned to rehabilitative services in accordance with their Individualized Treatment and Rehabilitation and/or Reentry Services Plan. Requirements for program completion of each component will be identified in the Reentry Services Plan and adjusted, as needed, through case conferences. Program capacity outlined below is based on current funding availability, and will be adjusted based on actual funding received. Programs include:

##### **1. Gender Responsive Treatment and Services for Women Client Groups - LCA**

**Primary Curriculum:** Helping Women Recover: A Program for Treating Substance Abuse – Special Edition for Use in the Criminal Justice System (Covington, Rev. Ed. 2008).

**Schedule:** The modules will be delivered 2 days a week, 1 ½ hours each, for 9 weeks, for a total of 25.5 hours, and optional 11 sessions delivered 2 days a week, 1 ½ hours each, for 6 weeks, for a total of 16.5 hours. Proposed program capacity is 48 women per year.

Following completion of Helping Women Recover, clients will be assessed, in cooperation with SFAPD, and those in need of further trauma work will continue with additional treatment utilizing Beyond Trauma: A Healing Journey for Women (Covington 2003) to extend and deepen the trauma work introduced in Helping Women Recover. Clients will also be referred to community providers for ongoing gender responsive services.

## 2. Gender Responsive Treatment and Services for Men Client Groups - LCA

**Primary Curriculum:** Seeking Safety A Treatment Manual for PTSD and Substance Abuse (Najavits 2007), a flexible, cognitive-based curriculum designed for co-occurring post traumatic stress disorder and substance use disorder, focusing on coping skills and psychoeducation, with safety as the overarching goal (helping clients attain safety in their relationships, thinking, behavior, and emotions).

**Schedule:** The modules will be delivered 3 days a week, 1 hour each, for 9 weeks for total of 25 hours. Proposed program capacity is 240 men per year.

## 3. Cognitive Skills Development - LCA

**Primary Curriculum:** Thinking for a Change (T4C), (National Institution of Corrections, 3.0 edition), an integrated, cognitive behavior change program for offenders. It is anticipated that this core program will be included in the Reentry Services Plan for the majority of CASC clients. The three components of T4C are: cognitive self-change, social skills, and problem-solving skills.

**Schedule:** The modules will be delivered 3 days a week, 1½ hours each, for 9 weeks for a total of 37.5 hours (excluding optional sessions). Proposed program capacity is 420 clients per year.

## 4. Anger Management - LCA

**Primary Curriculum:** Anger Management for Substance Abuse and Mental Health Clients – A Cognitive Behavioral Therapy Manual (Reilly, Shopshire - SAMHSA, 2002)

**Schedule:** The modules will be delivered once a week, 1 ½ hour sessions, one a week for 12 weeks, for a total of 18 hours. Proposed program capacity is 96 clients per year

## 5. Substance Abuse Components – LCA

### a. Substance Abuse Education Group

**Primary Curriculum:** ADDICTION: A Biopsychosocial Model (Terence T. Gorski, 2004): Part 1: Mind-Altering Substances; Part 2: Addictive Risk Factors; Part 3: Substance Abuse and Addiction.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

**b. Outpatient Substance Abuse Treatment**

**Primary Curriculum:** RECOVERY: A Developmental Model (Terence T. Gorski, 2004): Part 1: The Recovery Process; Part 2: Building a Foundation for Recovery; Part 3: Creating Quality Recovery.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

**c. Relapse Prevention Training**

**Primary Curricula:** RELAPSE (Terence T. Gorski, 2004): Session 1 - Basic Principles; Session 2 - Relapse Warning Signs; Sessions 3 and 4: Managing Relapse Warning Signs. The Relapse Prevention Training groups will then utilize: Relapse Prevention Therapy Workbook: Identifying Early Warning Signs Related to Personality and Lifestyle Problems (Terence T. Gorski and Stephen F. Grinstead, 2010)

**Schedule:** The modules will be delivered 2 days a week, 1 hour each, for 10 weeks for a total of 20 hours. Proposed program capacity is 48 women and 288 men per year.

**6. Life Skills Development Training – To be provided by community partner, CJCJ**

**Primary Curriculum:** Northern California Service League Life Skills and Employment Readiness Program. That program covers such topics as self assessment, communications, job search techniques and interview skills. CJCJ transitional services specialist will also offer supportive services to CASC case managers for clients that are preparing for program discharge. Emphasis will be placed on budgeting, money management, technology, finding a safe place to live, nutrition, exercise, and many other topics designed to help clients live successfully in the community. The Transitional Specialist will provide a full range of resource development and service referrals to CASC clients returning to the community.

**Schedule:** The modules will be delivered 5 days per week, 4 hours each, for 1 week for a total of 20 hours. This program will be provided once per month. Proposed program capacity is 300 clients per year.

**7. Parenting Skills Training – Funding contingent – Community Works**

**Primary Curriculum:** Parenting Inside Out, an evidenced-based, cognitive-behavioral parenting curriculum.

**Schedule:** The modules will be delivered 3 sessions per week, 1 ½ hours each, for 16 weeks, for a total of 72 hours. Proposed program capacity is 48 clients per year.

## 8. Education/High School Diploma/GED – Five Keys Charter High School

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will be established by Five Keys.

## 9. Employment Services – Anders and Anders/BHPMSS/CJCJ

### a) Employment Readiness

**Primary Curriculum:** Makin' It Work for (Ex) Offenders in Transition (Dr. Steve Parese), specifically designed for ex-offenders. CJCJ transitional services or other curriculum may also be used.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. The curriculum will be delivered 2 days a week, 1 ½ hours each, for 5 weeks, for a total of 15 hours. Proposed program capacity is 480 clients per year.

### b) Vocational Services

Anders and Anders Foundation will bring 1 FTE Employment Specialist to the CASC to provide vocational training and employment assistance to clients for pre-apprenticeship programs. In addition, one-on-one career counseling will be provided. Once placed in training or on the job, Anders and Anders will establish a weekly retention working relationship with employer and employee to immediately address any concerns or problems.

Additionally, CJCJ operates two federally funded employment programs. CJCJ will move the San Francisco Training Partnership and Homeless Employment Coalition services and staff to the CASC facility, allowing clients easy access to these services. Clients will receive an array of services including assessment and referral to short-term training, counseling, and job placement services. Participants in both of these programs will also receive CJCJ's employment focused life skills trainings. In addition to providing the above described services, CASC clients will be able to receive monetary support through a flexible pool of monies identified to offer clients training and other relevant supportive services. These funds can be utilized for specific vocational trainings, uniform costs, and work equipment and tools, if deemed appropriate and necessary. These funds provide direct assistance to the clients, allowing for better successes among the participant population.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will vary based on needs of the clients.

## 10. Recreation and Leisure Activities - LCA

CASC clients will be introduced to physical recreation and multi-cultural celebrations and creative arts events, initially coordinated by staff and volunteers, and subsequently also through their independent exploration.

**Schedule:** Clients will develop a weekly recreation and leisure plan for pro-social activities in the community with their Case Manager.

#### **11. Physical Health Services – various community providers**

CASC clients not eligible for public insurance programs such as Medi-Cal, and who do not have other health insurance, will be enrolled in Healthy San Francisco. LCA has letters of Intent (LOI) from the Transitions Clinic, South of Market Health Center, and St. James Infirmary to accept eligible clients for medical assessment, treatment and care. Additionally we have an LOI from St. Vincent de Paul Society who through their Wellness Center will work on the emotional side of physical health with programs of stress reduction techniques, exercise, spiritual development as well as health topic discussions.

#### **12. Graduations – LCA**

To receive A CERTIFICATE OF GRADUATION, clients must satisfactorily complete all of their required individual program components as identified in their Reentry Services Plan, and demonstrate their ability to apply the knowledge and tools they learned.

**Schedule:** Twice per year.

#### **13. Additional On-site Groups – LCA**

LCA Case Managers and other trained staff and interns will facilitate weekday open morning, lunchtime, and evening check-in groups. Open N.A. and A.A. Meetings. The Community Room will have current resource information including community events and services.

**Schedule:** vary - during CASC hours of operation.

#### **14. Recovery and Faith-Based Activities – various groups**

Throughout the CASC program, clients will be provided with information if they choose to explore and join organizations offering spiritual and healing groups and activities. Clients will be provided extensive recovery group resource information.

#### **15. Creative Arts – Community Works**

Community Works will conduct active Creative Arts groups at the CASC.

**Schedule:** vary - during CASC hours of operation.

**16. Clothing Closet - LCA**

The CASC will work with various community groups to establish a clothing closet on-site at the facility.

**17. Childcare - LCA**

LCA is will partner with Community Works for the parenting portion of the CASC. Case Managers will develop a childcare plan with each client who has children. Referrals will be made to agencies which offer multi-lingual family services, including child care.

**18. Food Service - BHPMSS**

The CASC will provide wholesome and nutritionally balanced meals 5 days per week for clients who spend four or more hours engaged in programming a day. Bayview Hunters Point Multipurpose Senior Services or another approved provider of food services will be responsible for the food service. Programming will include nutrition education, information on shopping and preparation, and also the opportunity to learn about foods of different cultures, expanded to include information on multicultural music, art, and lifestyles.

**19. Saturday Services - LCA**

Case Managers and other program staff will rotate coverage, supported by security staff. There will be a morning 12-Step meeting, a review of available weekend recreation and community service projects, and the resource guides. Computer stations will be available for client use. The on-duty Case Manager will have individual meetings with clients to address any immediate concerns. Rehabilitative programming will be available for working clients.

**20. Alumni Group program - LCA**

LCA Milestones program demonstrated the invaluable contribution of an active alumni group, for the alumni themselves supporting each other, and as role models and support to current clients, the program, and the community. Alumni co-facilitated cognitive-behavioral and recovery groups, led groups for community recreation and cultural activities, provided peer support on a 1:1 basis, and led the weekly Sunday evening group meeting.

CASC will establish and strongly support an active Alumni Group with similar invaluable contributions and benefits to the clients and the program. Representative members selected by the Alumni Group, along with current clients, will serve on a Client Advisory Board.

**21. Community Advisory Board**



The CASC will be an important contributor to its community. An Advisory Board will be established to provide ongoing support for planning and feedback, as well as additional resources for the program. This Board will meet quarterly at the facility. Members will include social service providers, other community organizations, businesses, clients, SFAPD and others.

### **CASC – Facility Oversight and Operations Responsibilities**

#### **Facility and Grounds requirements:**

1. The CASC facility must be used exclusively for serving the target population and the staff associated with the program.
2. The CASC must be and remain in compliance with all applicable building, sanitation, health, safety and fire codes, as well as city and county zoning and use ordinances.
3. The CASC will have a plan for onsite security/monitoring of all equipment, supplies, staff and clients. The plan will include monitoring and oversight of entry and exit traffic and will ensure a sign-in/sign-out protocol for all facility visitors
4. Clients will be prohibited from loitering outside of the facility.
5. The facility will include a staffed reception lobby for CASC services. The SFAPD will staff a separate SFAPD lobby.
6. The CASC should provide a cheerful décor and color-coordinated furnishings for the facility with special emphasis on the lobby, hallways, classrooms and treatment restrooms, and dining area (eating and break room).
7. The CASC must have sufficient space designated for clients to take scheduled breaks and eat lunch.
8. The CASC must provide for multiple classrooms to permit training and services to be offered simultaneously.
9. The facility must provide an adequate number of functional, clean, bathrooms in accordance with City and County of San Francisco standards. The sinks shall provide both hot and cold water. Hand soap, paper towels, paper seat covers should be available. Restrooms must be considerate of gender needs and be separately located. Restrooms must be in compliance with the Americans with Disabilities Act (ADA).
10. Client restrooms shall not be co-located with the restrooms for staff.
11. If urinalysis testing is phased into programming, there must be a restroom for urinalysis testing.
12. The CASC kitchen, cafeteria, food storage area, equipment, appliances, furnishings and cabinetry, as well as all food service and preparation areas must meet all applicable health and sanitation code standards. Accommodations shall be made for participants with disabilities.
13. The CASC shall provide a wholesome and nutritionally balanced lunch a minimum of 5 days per week for all program participants who spend 4 or more hours engaged in programming on a given day. The CASC will be considerate of general health and dietary restrictions and food prohibitions associated with cultural and religious traditions.
14. LCA shall regularly inspect the facility for pest infestation and shall maintain pest control services to ensure the facility is free of insect and rodent infestation.

Documentation of pest control services will be maintained at the facility and made available to the SFAPD staff upon request.

15. The CASC shall have proper lighting, heating, and ventilation.
16. The CASC shall have a secured maintenance room for storage of cleaning supplies, tools and equipment (e.g., mops, brooms, buckets, etc.) and shall be equipped with a utility sink. The facility, equipment, furniture, appliances, etc. shall be kept clean and in good operating condition at all times and replaced when necessary.
17. The CASC shall have a plan to ensure comprehensive janitorial services
18. All repairs including plumbing, electrical and/or structural which affect the health and safety of any occupant must be made within 48 hours of discovery and at the LCA's expense. LCA must notify the SFAPD Reentry Services Manager immediately.
19. LCA will ensure safety and security of facility exterior, interior, equipment, supplies, staff, clients and all client information.
20. If LCA anticipates transporting participants via a private vehicle, all staff shall possess a valid driver's license and the vehicle shall be fully insured.
21. LCA shall have written CASC policies and procedures in accordance with SFAPD's regulations. This policies and procedures will be submitted to the SFAPD Reentry Division for retention in the case file.
22. All CASC staff shall be trained and certified in first aid, including cardiopulmonary resuscitation (CPR) within the first six weeks of employment and remain current throughout their employment relative to this contract. A record of first aid training shall be maintained on file by the LCA.
23. Fully stocked first aid kits will be readily available throughout the facility. The telephone numbers of all local emergency service agencies shall be posted and readily available to all staff.
24. No Smoking signs shall be posted in full view of the participants, staff and visitors.

#### Security and Safety Requirements:

1. Facility Security – The safety and security of clients, staff and visitors is of paramount importance.
  - a. LCA staff and on site security protocols will take a dignified and reasonable approach to ensuring that the facility is free of weapons and contraband, and protected from outside intrusions. Daily security and perimeter inspection of the facility will make certain that functioning locks and latches are on all windows, doors and gates, and that electrical lighting (inside and out) is operating properly. Door alarms may be used to eliminate unauthorized egress or ingress during evening and night hours. Security policies shall ensure that the clients are not locked inside the facility at any time.
  - b. Given the large number of offenders in the facility at any given time, all staff should be adequately trained in effective relationship building, de-escalation strategies, and emergency response and evacuation protocols. CASC monitors that play a security leadership role should make routine safety checks throughout the facility, and be primarily responsible for prompting attention towards any lighting, signage, training

or other upgrade that is needed to further ensure the safety of people and property at the CASC.

**2. Case Files**

- a. LCA will develop and maintain properly organized participant files and secure them in a locked file cabinet or drawer. Files shall be considered confidential and protected from any unauthorized use or disclosure. Electronic client files will be held to the same security standard as hard copy files. The CASC will have written procedures for the release of case file information to include: 1) the participant's signed and dated Release of Information Form, 2) the name of the person, agency or organization to whom the information was released, and 3) the signature of the employee who released the information and date of release.

**3. Searches and Contraband**

- a. Whereas safety and security of CASC persons and property is of paramount importance, and whereas SFAPD and CASC staff will take a responsible harm reduction approach to addressing client substance abuse issues, CASC will create and honor a dignified contraband search and client substance use response policy that will be in compliance with SFAPD regulations, policies, and procedures. Clients that enter the CASC are subject to search. Any findings of contraband and/or signs of substance abuse shall be reported to the SFAPD staff as soon as possible after discovery. SFAPD and CASC staff will follow an agreed upon protocol for responding to contraband, weapons and substance use.

**4. Disturbance Control Plan**

- a. LCA will have a written Disturbance Control Plan in the event of a major disturbance such as riots, strikes, attacks upon staff, visitors or participants, explosions or fires, suicides or attempted suicides, natural disasters; and accidental injuries to staff and others. The plan shall include assistance from local law enforcement and/or emergency agencies as circumstances warrant. The development of the Disturbance Control Plan shall be coordinated with the SFAPD Reentry Services Manager. Once the Disturbance Control Plan is developed, LCA will submit a copy to the SFAPD Reentry Services Manager for retention in the contract file.

**5. Fire Evacuation Emergency Procedures**

- a. LCA will have written procedures pertaining to fire prevention, safety requirements, evacuation and emergency procedures that include instructions for the following:
- o Immediate notification of the fire department (inclusive of the designated fire department's address and telephone number)
  - o Alert notification and/or evacuation of all occupants
  - o Notification of authorities
  - o Control and the extinguishing of fires

- Evacuation routes and procedures
- Other to be identified procedures

**6. Emergency Evacuation Training**

- a. All personnel shall be trained in the implementation of emergency procedures within 24 hours of their initial employment. Annual refresher training shall be provided to all personnel. All training is to be documented for compliance and maintained in employee files.

**7. Quarterly Emergency Evacuation Drills**

- a. LCA will conduct and document quarterly emergency evacuation drills. Documentation of each drill shall include: date and time of day; evacuation path used; number of staff, participants and visitors involved; amount of time to complete the drill, and any pertinent comments.

**8. Posting of Emergency Evacuation Floor Plans**

- a. Clear, concise and site-specific emergency evacuation floor plans shall be posted as appropriate at every occupied floor location throughout the facility. The floor plans should be located near the identified exit doors on each floor. The evacuation diagram plans shall be placed in tamper-proof frames and include the following:
- Evacuation diagram plan that identifies the "You Are Here," location that is compatible with the building floor plan.
  - Evacuation plans, which include the location of building exits, fire extinguishers, pull-stations, fire hose cabinets, and first aid supplies.
  - Emergency and evacuation procedures, including diagrammed evacuation routes, shall be communicated to each new participant upon arrival.

**9. Smoke Detectors and Fire Extinguishers**

- a. LCA shall provide operable and regularly tested smoke detectors and fire extinguishers in key locations including the kitchen and classrooms. All tests shall be documented and maintained at the facility site.

**10. Hazardous, Toxic and Volatile Substances**

- a. LCA shall maintain a written policy for inventory, use, storage and disposal of all hazardous, toxic, and volatile substances in accordance with the Hazardous Substances Information and Training Act, Chapter 2-5 (commencing with Section 6360), Part 1 of Division 5 of the Labor Code. Hazardous, toxic and volatile substances shall not be stored in furnace areas, kitchens, dining areas, or in close proximity to stored food or kitchen supplies. Flammable substances such as gasoline, kerosene and paint thinner shall be stored outside the facility's main structure in approved containers inside properly ventilated and labeled fireproof cabinets.

- b. Material Safety Data Sheets (MSDS) must be maintained on-site for all hazardous materials used in the facility. The MSDS shall be posted and immediately accessible to staff and participants wherever these substances are used.
- c. LCA will provide training to facility staff and program participants. Documentation of training shall be maintained in the facility files.

The SFAPD and LCA will conduct an annual review of facility protocols, and will work together to resolve any review findings. "The periodic reporting required by this Agreement should address LCA's progress toward meeting the above operational and safety requirements, as well as any operational or safety issues that have arisen".

## 2. Data Collection and Reports

The Contractor shall submit written reports as requested by the San Francisco Adult Probation Department. Format for the content of such reports shall be determined by the San Francisco Adult Probation Department. The timely submission of all reports is a necessary and material term and condition of this Agreement. The reports, including any copies, shall be submitted on recycled paper and printed on double-sided pages to the maximum extent possible.

### REPORTING

Monthly and quarterly reports will serve as interim evaluations of CASC successes and challenges, and the annual report will serve as indication of the CASC's progress towards goals, objectives and performance measures.

All CASC information, reports, writings, summary documents or press releases shall be reviewed and approved by the SFAPD prior to dissemination. LCA, and partners associated with the CASC will consult with the SFAPD before publically releasing any CASC related information to the public or other professional groups.

1. Monthly Data Report – Due the 15<sup>th</sup> of each month for services provided in the previous month.
  - At a minimum the report shall include the data elements listed below in the section entitled "Monthly Data Collection". The SFAPD will work with the Contractor to identify additional pertinent client and program data points to be tracked. The monthly data report shall also be accompanied by highlights of CASC program and services successes over the month, a list of problems/issues encountered during the month and the plan for resolving them, as well as any major events or activities that are planned for the subsequent month (s). The SFAPD and LCA will work together over the course of the contract to update data collection and monthly information submissions as needed.
2. Monthly Cost Reimbursement Invoice – Due the 5<sup>th</sup> of each month for previous month's expenditures.

- Monthly cost reimbursement invoices will reimburse for actual line item expenses incurred over the month for expenses according to the approved budget in Appendix B of this Agreement. Subsequent to determining the availability of funds each year during the contract period of June 1, 2012 – June 30, 2017, the SFAPD and Contractor will re-negotiate the project budget so that it reflects actually available funds for a subsequent period, and agreed upon CASC services, activities and performance measures. All negotiated costs will reflect industry standards for delivering services and will never exceed the total approved amount of this contract.
3. **Quarterly CASC Program Report** – Will be due Oct. 15<sup>th</sup> (for the period of June 1 – September 30), January 15<sup>th</sup> (for the period of October 1 thru December 31), April 15<sup>th</sup> (for the period of January thru March 31) and July 15<sup>th</sup>. The July 15<sup>th</sup> report will serve as a cumulative annual report.
- The quarterly report information will include analysis that builds off of the monthly data reports.
  - The report will provide a succinct description of the key CASC services provided during the time period, as well as a report back on baseline information, and progress towards the below goals, objectives and performance measures.
  - Quarterly data analysis should suggest what the data indicates about client demographics and needs, as well as any system or service improvements that could be made to further the success of the CASC.
  - The 4<sup>th</sup> quarterly report will be a cumulative annual report.
4. **Annual CASC Program Report**
- The annual report should provide a cumulative qualitative and quantitative analysis of monthly data and quarterly report information, as well as a robust report-back of CASC activities, successes and challenges over the year.
  - The Annual Report will be shared with San Francisco Mayor Ed Lee, the San Francisco Board of Supervisors and other policy and political stakeholders that are interested in high-impact criminal justice reform. To maintain broad-based support of this project, the CASC will need to show results.

#### MONTHLY DATA COLLECTION

The SFAPD and Contractor will continue to refine participant and program data elements during the initial and subsequent contract terms. The below represents the *minimum* data collection requirements - the Contractor should report back on the information on a monthly and quarterly basis as per the above instruction.

#### CLIENT/General Intake/Enrollment Data Points

- Unique identifier for each client.
- CASC Intake, Enrollment, Orientation, ITRP and Referral dates.

- Participant SFAPD Number.
- COMPAS completed (Y/N)
- ITRP completed (Y/N)
- Secondary Assessments Completed
- Personal Service Plan reflective of COMPAS, ITRP and as appropriate Secondary Assessment Results (Y/N)
- Participant Full Name.
- Participant Date of Birth.
- Gender.
- Sexual Orientation.
- Race and Ethnicity.
- Preferred Language.
- Current living situation.
- History of Mental/Behavioral Health Challenges (Y/N)
- Medication (Y/N – Detail any current medications)
- Homeless (Y/N)
- Highest level of education completed.
- Ever expelled from school (Y/N)
- Employment status prior to admission to CASC.
- Ever work full-time for one employer for six months or more (Y/N)
- If employed, full-time/part-time, start date, end date, wages, and occupation.
- Ever fired from a job (Y/N).
- Marital or Domestic Partnership Status.
- Disability (Y/N – Describe).
- Number of prior substance abuse treatment episodes.
- Victim of domestic violence or physical abuse (Y/N).
- Physical health diagnosis (Y/N – describe)
- Dental needs (Y/N – describe)
- Victim of sexual abuse (Y/N).
- Number of children and living arrangement of each child.
- Name and date of birth of each child.
- Primary caretaker of children (Y/N).
- Age at first drug/alcohol use.
- Number of years of problem use.
- Primary/secondary drug of choice.
- Age at first arrest.
- Involvement in Dependency or Delinquency systems (Y/N).
- Prior Service in the Military (Y/N).
- Number of prior arrests.
- Ever in jail for a probation violation (Y/N).
- Family structure (close relatives and living arrangements of each).

**PROGRAMMATIC Data Points (Not captured in the performance measures section)**

- # of reentry transportation requests made.

- # of reentry transports completed.
- # of new people referred into Remedial Sanctions program
- % of participants that completed their required Remedial Sanctions
- # of participants assessed for income benefits or who obtained transitional or unsubsidized employment during the period
- % of people that were not approved for income benefits (provide a summary of denial circumstances in quarterly narrative)
- % of all people that demonstrated increased income as a result of employment, benefits acquisition; etc.

#### QUARTERLY AND ANNUAL REPORT INFORMATION

**BASELINE INFORMATION** – Quarterly and annual reports should include a report back on the below baseline information.

- What is the baseline recidivism rate
- What is the target population
- How many staff provide direct services
- How many participants were eligible to participate in the time period
- How many of the total eligible participants were medium to high risk
- Of the eligible medium to high risk referrals, how many were enrolled (completed CASC intake/assessment and orientation):
- Of those enrolled, how many showed up for a first class
- Of those that showed up for a first class, how many maintained an active CASC program status during the reporting period? (Active status means that a participant participated in CASC services during the month of the closing reporting period).

**GOALS, OBJECTIVES AND PERFORMANCE MEASURES** – Quarterly and annual reports should document progress towards the below goals, objectives and performance measures.

##### Goals

- Reduce recidivism amongst target population
- Reduce returns to custody for new arrests
- Reduce arrests amongst target population
- Reduce probation violations amongst target population

##### Objectives

- 50 percent of clients will complete ITRP/Reentry Services Plan goals at CASC.
- Of the 50 percent who met their ITRP treatment goals, 60 percent will be in stable housing, gainfully employed, or enrolled in an education program, trade school, community college, or an adult education program.



- A minimum of 10 percent of clients will participate in the Alumni Group for a minimum of 6 months.

### Performance Measures

#### ASSESSMENT AND ITRP/REENTRY SERVICES PLAN SUMMARY

- Does the program use a risk/need assessment?
- How many enrolled CASC participants completed a risk/need assessment?
- How many new participants were medium and high risk?
- How many total participants are medium and high risk?
- How many new participants completed an ITRP and/or Reentry Services Plan?
- How many total participants completed an ITRP and/or Reentry Services Plan?

#### SUCCESSFUL COMPLETIONS AND INCOMPLETIONS

- Define successful completion for the reentry program.
- What is the expected reentry program length?
- What was the average length of program participation?
- Have any participants successfully completed?
- How many people did not complete and for what reasons:
  - Failure to meet program requirements
  - Court or criminal involvement (technical violation, arrest, conviction, revocation, re-incarceration)
  - Lack of engagement
  - Absconding
  - Relocating or case transfer
  - Death or serious illness
  - Other

#### RECIDIVISM – IN-PROGRAM

The Contractor will work with the SF Adult Probation Department to ascertain the following information which will be verified through SFAPD client files, the SF CMS system and as needed the State CLETS system.

How many individuals participating in the program had been released 1 – 180 days ago?

How many participants had any court and/or criminal involvement while participating in the reentry program and who were released from jail/prison 1 to 180 days ago (total):

- Technical Violation
- Arrest
- Conviction
- Revocation
- Re-incarceration

How many individuals participating in the program had been released 181 or more days ago?

How many participants had any court and/or criminal involvement while participating in the reentry program and who were released from jail/prison 181 or more days ago (total):

- Technical Violation
- Arrest
- Conviction
- Revocation
- Re-incarceration

### RECIDIVISM – PROGRAM COMPLETION

The Contractor will work with the SF Adult Probation Department to ascertain the following information which will be verified through SFAPD client files, the SF CMS system and as needed the State CLETS system.

How many participants successfully completed program requirements?

Enter the number of participants who had a NEW court and/or criminal offense after successfully completing the reentry program

- Technical Violation
- Arrest
- Conviction
- Revocation
- Re-incarceration

### SERVICES PERFORMANCE MEASURES

#### Notes:

- **Participants that needed “x” service** = The service was documented in his/her ITRP or Reentry Services Plan.
- **Enrolled** = Participant completed CASC Intake, Assessment and Orientation
- **Actively Engaged** = Participant attended at least one class within one month of the closing of the reporting period (e.g., if the reporting period closes on December 31<sup>st</sup>, the participant would have attended at least one class during the period of December 1 – December 31).
- **Completed** = The participant completed the requisite number of classes as per his/her ITRP or Reentry Services Plan.

#### Cognitive Based Services (Thinking for a Change)

- How many new participants needed cognitive based services this quarter based on their ITRP or Reentry Services Plan?

- How many total participants have needed cognitive based services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive cognitive based services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide cognitive based services directly to participants? Y/N
- How many new participants were enrolled in cognitive based services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in cognitive based services that were provided directly by the CASC? (Of total x, a total of x have received services directly).
- How many total participants were actively engaged in (i.e., last class attended was within one month of the closing of the reporting period) cognitive behavior services? How many were referred out? How many received services directly?
- How many total participants completed cognitive behavioral services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

#### Mental Health Services

- How many new participants needed mental health services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed mental health services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive mental health services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide mental health services directly to participants? Y/N
- How many new participants were enrolled in mental health services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in mental health services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class/session attended was within one month of the closing of the reporting period) mental health services? How many were referred out? How many received services directly?
- How many total participants completed mental health services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly,

#### Substance Abuse Services

**Notes:** Substance abuse services include residential, outpatient and relapse prevention services.

- New Participants = total number of participants that received any of the three components,
- Total Participants = total number of participants that received any of the three components,
- Enrolled Participants = participants enrolled into any one of the three components,
- Participants Actively Engaged = actively engaged in any one of the three components and
- Completed = participants that completed any one of the three components.

Please use the narrative to describe circumstances in which a client may be receiving more than one component at one time.

- How many new participants needed substance abuse services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed substance abuse services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive substance abuse services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide substance abuse services directly to participants? Y/N
- How many new participants were enrolled in substance abuse services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in substance abuse services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class/session attended was within one month of the closing of the reporting period) substance abuse services? How many were referred out? How many received services directly?
- How many total participants completed substance abuse services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly.

### Employment Services

**Note:** Employment Services includes employment readiness (which includes life skills, career search and job development, transitional job, and job placement services,) and vocational training.

- New Participants = total number of participants that received any of the components,

- Total Participants = total number of participants that received any of the components,
- Enrolled Participants = participants enrolled into any one of the three components,
- Participants Actively Engaged = actively engaged in any one of the three components and
- Completed = participants that completed any one of the three components.

Please use the narrative to describe circumstances in which a client may be receiving more than one component at one time.

- How many new participants needed employment services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed employment services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive employment services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide employment services directly to participants? Y/N
- How many new participants were enrolled in employment services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in employment services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class/session attended was within one month of the closing of the reporting period) employment services? How many were referred out? How many received services directly?
- How many total participants completed employment services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?
- How many participants who were provided with employment services directly by the CASC obtained employment?
- How many participants who were provided with employment services directly by the CASC have been employed for three or more months?
- How many participants who were provided with employment services directly by the CASC have been employed for 6 or more months?

#### Educational Services

- How many new participants needed education services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed education services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive education services? Y/N

- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide education services directly to participants? Y/N
- How many new participants were enrolled in educational services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in educational services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class/session attended was within one month of the closing of the reporting period) educational services? How many were referred out? How many received services directly?
- How many total participants completed educational services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?
- How many participants that were directly provided with educational services received a GED certificate?
- How many participants that were directly provided with educational services received a High School Diploma?
- How many participants who were directly provided with educational services obtained a vocational certificate?
- How many participants who were directly provided with educational services obtained higher education?

#### Housing Services

- How many new participants needed housing services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed housing services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive housing services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide housing services directly to participants? Y/N
- How many new participants were enrolled in housing services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in housing services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class/session attended was within one month of the closing of the reporting period) housing services? How many were referred out? How many received services directly?

- How many total participants completed housing services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?
- How many participants who were directly provided with services obtained housing?
- How many participants who were directly provided with services were housed for 3 or more months?
- How many participants who were directly provided with services were housed for 6 or more months?

### Anger Management

- How many new participants needed anger management services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed anger management services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive anger management services? Y/N.
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide anger management services directly to participants? Y/N
- How many new participants were enrolled in anger management services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in anger management services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class attended was within one month of the closing of the reporting period) anger management services? How many were referred out? How many received services directly?
- How many total participants completed anger management services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

### Parenting

- How many new participants needed parenting services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed parenting services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive parenting services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?

- Does the CASC provide parenting services directly to participants? Y/N
- How many new participants were enrolled in parenting services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in parenting services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class attended was within one month of the closing of the reporting period) parenting services? How many were referred out? How many received services directly?
- How many total participants completed parenting services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

#### Recreation and Leisure Activities

- How many new participants were enrolled in recreation and leisure services this quarter?
- How many total participants are enrolled in recreation and leisure activities?
- How many total participants were actively engaged in (last class/outing attended was within one month of the closing of the reporting period) recreation and leisure activities?

#### Alumni Group Activities

- How many new participants were enrolled in Alumni Group services this quarter?
- How many total participants are enrolled in the Alumni Group?
- How many total participants were actively engaged in (last class/outing attended was within one month of the closing of the reporting period) the Alumni Group?

#### Creative Arts Activities

- How many new participants were enrolled in Creative Arts services this quarter?
- How many total participants are enrolled in Creative Arts Activities?
- How many total participants were actively engaged in (last class/outing attended was within one month of the closing of the reporting period) the Creative Arts Activities?
- How many total participants completed Creative Arts Activities as per their ITRP and/or Reentry Services Plan.

#### All Other Services (Lunch, Clothes, Child Care, Recovery/Faith Based, Saturday Services, Community Advisory Board and Physical Health Services)

- How many new participants were enrolled in each of the above services this quarter?
- How many total participants are enrolled in each of the above services activities?



- How many total participants were actively engaged in (the participant accessed the service at least one time during the month of the closing of the reporting period) each of the services.

### 3. Department Liaison

- In performing the services provided for in this Agreement, Contractor's liaison with the San Francisco Adult Probation Department will be Lauren Bell.

Such appendix (Appendix A) is hereby amended in its entirety to read as follows:

#### Appendix A-1 Services to be provided by Contractor

<b>1. Description of Services:</b>
------------------------------------

The Contractor will manage and operate the Community Assessment and Services Center facility, and oversee the delivery of center and off-site reentry support services for clients of the San Francisco Adult Probation Department. Additionally, the Contractor will provide case management and transitional planning, and some rehabilitative programming such as Thinking for a Change, Seeking Safety, and other as agreed upon educational groups with clients in San Francisco County Jail #2, A -Pod, the Reentry Pod.

*Allen*

### SCOPE OF WORK

#### CASC – Service Delivery Responsibilities

##### A. PRINCIPLES OF EFFECTIVE INTERVENTION

Leaders in Community Alternatives ("LCA") agrees to train all staff on and appropriately integrate the National Institute of Correction's eight evidence-based principles for effective intervention within community corrections into every facet of service delivery. The eight principles are:

- 1) Assess Criminogenic Risks/Needs
- 2) Enhance Intrinsic Motivations
- 3) Target Interventions
  - i. Risk Principle: Prioritize supervision and treatment resources for higher risk offenders.
  - ii. Need Principle: Target interventions to criminogenic (correlated to crime) needs.
  - iii. Responsivity Principle: Be responsive to temperament, learning style, motivation, culture, and gender when assigning programs.
  - iv. Dosage: Structure 40-70% of high-risk offenders' time for three to nine months.

v. Treatment Principle: Integrate treatment into the full sentence/sanction requirements.

- 4) Skill Train with Directed Practice (e.g., use cognitive behavioral treatment methods)
- 5) Increase Positive Reinforcement
- 6) Engage Ongoing Support in Natural Communities
- 7) Measure Relevant Processes/Practices
- 8) Provide Measured Feedback

The CASC program design incorporates these principles in services for all clients. Each client will complete a COMPAS risk-assessment (principle 1) with the aim of identifying and targeting interventions (principle 3). All of the services offered are structured to enhance intrinsic motivation (principle 2) and will engage all individuals in skill building activities (principle 4). The services offered will provide positive reinforcement for the development of new skills and behaviors (principle 5) and will support the socialization of individuals as they re-enter their communities (principle 6). In an effort to demonstrate the success of the proposed model, LCA will measure the implemented practices (principle 7) and will provide measured feedback and outcomes to the SFAPD (principle 8). As established in cooperation with SFAPD and tracked by CASC staff, progress will be measured, including clients' compliance with their COMPAS Individualized Treatment and Rehabilitation Plan attendance, participation in assigned onsite and community activities, completion of components, and any special accomplishments and challenges. 9) Case manager to client case load ratios will not exceed 1:25 except in circumstances in which LCA and APD have discussed, and agreed upon a modification to that ratio. Any concerns or problems will be reviewed in the weekly case conferences with SFAPD, with adjustments made as needed. *new*

## B. ASSESSMENT, PLANNING AND TREATMENT

A comprehensive program is essential for our clients' successful, sustained community reintegration.

The CASC services will incorporate and include:

- 1) Gender Responsive Strategies
- 2) Strength Based, Trauma Informed and Family Focused Strategies
- 3) Criminogenic Needs and Community Functioning Factors
- 4) Collaborative and Coordinated Case Conferencing
- 5) Review of COMPAS Assessment and creation of Reentry Services Plan
- 6) Administration of Secondary Assessments
- 7) Coordinated Case Management

## C. OVERVIEW OF SERVICE DELIVERY COMPONENTS

LCA, including partner providers, will provide services from program referral to client termination from or completion of services. Client referrals may originate in the Reentry Pod located inside of County Jail #2 or by SFAPD DPOs whose clients are already under community supervision. *new*

Services components include:

- 1) Reentry Transportation
- 2) Intake
- 3) Orientation and Enrollment
- 4) Rehabilitation Services
- 5) Individualized Case Management, including Clinical Case Management
- 6) Community Service and Activities
- 7) Aftercare Services

#### D. INCENTIVES, REWARDS, AND REMEDIAL SANCTIONS

The overall LCA CASC program design emphasizes and supports clients' strengths, positive change, and the importance of accountability. Best practices includes providing incentives and rewards for progress and achieving goals, and structured sanctions that are swift and certain when clients do not meet program expectations or personal responsibilities.

#### E. REHABILITATIVE PROGRAMS

The CASC will offer a full array of on and off site rehabilitative programs designed to successfully transition offenders back into their communities. The interventions and services strive to use evidenced-based curricula whenever available, and to engage clients and address their criminogenic needs and community functioning factors. Clients will be assigned to rehabilitative services in accordance with their Individualized Treatment and Rehabilitation and/or Reentry Services Plan. Requirements for program completion of each component will be identified in the Reentry Services Plan and adjusted, as needed, through case conferences. Program capacity outlined below is based on current funding availability, and will be adjusted based on actual funding received. Programs include:

##### 1. Gender Responsive Treatment and Services for Women Client Groups - LCA

**Primary Curriculum:** Helping Women Recover: A Program for Treating Substance Abuse – Special Edition for Use in the Criminal Justice System (Covington, Rev. Ed. 2008).

**Schedule:** The modules will be delivered 2 days a week, 1 ½ hours each, for 9 weeks, for a total of 25.5 hours, and optional 11 sessions delivered 2 days a week, 1 ½ hours each, for 6 weeks, for a total of 16.5 hours. Proposed program capacity is 48 women per year.

Following completion of Helping Women Recover, clients will be assessed, in cooperation with SFAPD, and those in need of further trauma work will continue with additional treatment utilizing Beyond Trauma: A Healing Journey for Women (Covington 2003) to extend and deepen the trauma work introduced in Helping Women Recover. Clients will also be referred to community providers for ongoing gender responsive services.

## 2. Gender Responsive Treatment and Services for Men Client Groups - LCA

**Primary Curriculum:** Seeking Safety A Treatment Manual for PTSD and Substance Abuse (Najavits 2007), a flexible, cognitive-based curriculum designed for co-occurring post traumatic stress disorder and substance use disorder, focusing on coping skills and psychoeducation, with safety as the overarching goal (helping clients attain safety in their relationships, thinking, behavior, and emotions).

**Schedule:** The modules will be delivered 3 days a week, 1 hour each, for 9 weeks for total of 25 hours. Proposed program capacity is 240 men per year.

## 3. Cognitive Skills Development - LCA

**Primary Curriculum:** Thinking for a Change (T4C), (National Institution of Corrections, 3.0 edition), an integrated, cognitive behavior change program for offenders. It is anticipated that this core program will be included in the Reentry Services Plan for the majority of CASC clients. The three components of T4C are: cognitive self-change, social skills, and problem-solving skills.

**Schedule:** The modules will be delivered 3 days a week, 1½ hours each, for 9 weeks for a total of 37.5 hours (excluding optional sessions). Proposed program capacity is 420 clients per year.

## 4. Anger Management - LCA

**Primary Curriculum:** Anger Management for Substance Abuse and Mental Health Clients – A Cognitive Behavioral Therapy Manual (Reilly, Shopshire - SAMHSA, 2002)

**Schedule:** The modules will be delivered once a week, 1 ½ hour sessions, one a week for 12 weeks, for a total of 18 hours. Proposed program capacity is 96 clients per year

## 5. Substance Abuse Components – LCA

### a. Substance Abuse Education Group

**Primary Curriculum:** ADDICTION: A Biopsychosocial Model (Terence T. Gorski, 2004); Part 1: Mind-Altering Substances; Part 2: Addictive Risk Factors; Part 3: Substance Abuse and Addiction.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

### b. Outpatient Substance Abuse Treatment

**Primary Curriculum:** RECOVERY: A Developmental Model (Terence T. Gorski, 2004): Part 1: The Recovery Process; Part 2: Building a Foundation for Recovery; Part 3: Creating Quality Recovery.

**Schedule:** The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

**c. Relapse Prevention Training**

**Primary Curricula:** RELAPSE (Terence T. Gorski, 2004): Session 1 - Basic Principles; Session 2 - Relapse Warning Signs; Sessions 3 and 4: Managing Relapse Warning Signs. The Relapse Prevention Training groups will then utilize: Relapse Prevention Therapy Workbook: Identifying Early Warning Signs Related to Personality and Lifestyle Problems (Terence T. Gorski and Stephen F. Grinstead, 2010)

**Schedule:** The modules will be delivered 2 days a week, 1 hour each, for 10 weeks for a total of 20 hours. Proposed program capacity is 48 women and 288 men per year.

**6. Life Skills Development Training – To be provided by community partner, CJCJ**

**Primary Curriculum:** Northern California Service League Life Skills and Employment Readiness Program. That program covers such topics as self-assessment, communications, job search techniques and interview skills. CJCJ transitional services specialist will also offer supportive services to CASC case managers for clients that are preparing for program discharge. Emphasis will be placed on budgeting, money management, technology, finding a safe place to live, nutrition, exercise, and many other topics designed to help clients live successfully in the community. The Transitional Specialist will provide a full range of resource development and service referrals to CASC clients returning to the community.

**Schedule:** The modules will be delivered 5 days per week, 4 hours each, for 1 week for a total of 20 hours. This program will be provided once per month. Proposed program capacity is 300 clients per year.

**7. Parenting Skills Training – Funding contingent – Community Works**

**Primary Curriculum:** Parenting Inside Out, an evidenced-based, cognitive-behavioral parenting curriculum.

**Schedule:** The modules will be delivered 3 sessions per week, 1 ½ hours each, for 16 weeks, for a total of 72 hours. Proposed program capacity is 48 clients per year.

**8. Education/High School Diploma/GED – Five Keys Charter High School**

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will be established by Five Keys.

## 9. Employment Services – Anders and Anders/BHPMSS/CJCJ

### a) Employment Readiness

**Primary Curriculum:** Makin' It Work for (Ex) Offenders in Transition (Dr. Steve Parese), specifically designed for ex-offenders. CJCJ transitional services or other curriculum may also be used.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. The curriculum will be delivered 2 days a week, 1 ½ hours each, for 5 weeks, for a total of 15 hours. Proposed program capacity is 480 clients per year.

### b) Vocational Services

Anders and Anders Foundation will bring 1 FTE Employment Specialist to the CASC to provide vocational training and employment assistance to clients for pre-apprenticeship programs. In addition, one-on-one career counseling will be provided. Once placed in training or on the job, Anders and Anders will establish a weekly retention working relationship with employer and employee to immediately address any concerns or problems.

Additionally, CJCJ operates two federally funded employment programs. CJCJ will move the San Francisco Training Partnership and Homeless Employment Coalition services and staff to the CASC facility, allowing clients easy access to these services. Clients will receive an array of services including assessment and referral to short-term training, counseling, and job placement services. Participants in both of these programs will also receive CJCJ's employment focused life skills trainings. In addition to providing the above described services, CASC clients will be able to receive monetary support through a flexible pool of monies identified to offer clients training and other relevant supportive services. These funds can be utilized for specific vocational trainings, uniform costs, and work equipment and tools, if deemed appropriate and necessary. These funds provide direct assistance to the clients, allowing for better successes among the participant population.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will vary based on needs of the clients.

## 10. Recreation and Leisure Activities - LCA

CASC clients will be introduced to physical recreation and multi-cultural celebrations and creative arts events, initially coordinated by staff and volunteers, and subsequently also through their independent exploration.

**Schedule:** Clients will develop a weekly recreation and leisure plan for pro-social activities in the community with their Case Manager.

#### 11. Physical Health Services – various community providers

CASC clients not eligible for public insurance programs such as Medi-Cal, and who do not have other health insurance, will be enrolled in Healthy San Francisco. LCA has letters of Intent (LOI) from the Transitions Clinic, South of Market Health Center, and St. James Infirmary to accept eligible clients for medical assessment, treatment and care. Additionally we have an LOI from St. Vincent de Paul Society who through their Wellness Center will work on the emotional side of physical health with programs of stress reduction techniques, exercise, spiritual development as well as health topic discussions.

#### 12. Graduations – LCA

To receive A CERTIFICATE OF GRADUATION, clients must satisfactorily complete all of their required individual program components as identified in their Reentry Services Plan, and demonstrate their ability to apply the knowledge and tools they learned.

Schedule: Twice per year.

#### 13. Additional On-site Groups – LCA

LCA Case Managers and other trained staff and interns will facilitate weekday open morning, lunchtime; and evening check-in groups. Open N.A. and A.A. Meetings. The Community Room will have current resource information including community events and services.

Schedule: vary - during CASC hours of operation.

#### 14. Recovery and Faith-Based Activities – various groups

Throughout the CASC program, clients will be provided with information if they choose to explore and join organizations offering spiritual and healing groups and activities. Clients will be provided extensive recovery group resource information.

#### 15. Creative Arts – Community Works

Community Works will conduct active Creative Arts groups at the CASC.

Schedule: vary - during CASC hours of operation.

#### 16. Clothing Closet - LCA

The CASC will work with various community groups to establish a clothing closet on-site at the facility.

#### 17. Childcare - LCA

LCA is will partner with Community Works for the parenting portion of the CASC. Case Managers will develop a childcare plan with each client who has children. Referrals will be made to agencies which offer multi-lingual family services, including child care.

#### 18. Food Service - BHPMSS

The CASC will provide wholesome and nutritionally balanced meals 5 days per week for clients who spend four or more hours engaged in programming a day. Bayview Hunters Point Multipurpose Senior Services or another approved provider of food services will be responsible for the food service. Programming will include nutrition education, information on shopping and preparation, and also the opportunity to learn about foods of different cultures, expanded to include information on multicultural music, art, and lifestyles.

#### 19. Saturday Services - LCA

Case Managers and other program staff will rotate coverage, supported by security staff. There will be a morning 12-Step meeting, a review of available weekend recreation and community service projects, and the resource guides. Computer stations will be available for client use. The on-duty Case Manager will have individual meetings with clients to address any immediate concerns. Rehabilitative programming will be available for working clients.

#### 20. Alumni Group program - LCA

LCA Milestones program demonstrated the invaluable contribution of an active alumni group, for the alumni themselves supporting each other, and as role models and support to current clients, the program, and the community. Alumni co-facilitated cognitive-behavioral and recovery groups, led groups for community recreation and cultural activities, provided peer support on a 1:1 basis, and led the weekly Sunday evening group meeting.

CASC will establish and strongly support an active Alumni Group with similar invaluable contributions and benefits to the clients and the program. Representative members selected by the Alumni Group, along with current clients, will serve on a Client Advisory Board.

#### 21. Community Advisory Board

The CASC will be an important contributor to its community. An Advisory Board will be established to provide ongoing support for planning and feedback, as well as additional resources for the program. This Board will meet quarterly at the facility. Members will include social service providers, other community organizations, businesses, clients, SFAPD and others.



## CASC – Facility Oversight and Operations Responsibilities.

### Facility and Grounds requirements:

1. The CASC facility must be used exclusively for serving the target population and the staff associated with the program.
2. The CASC must be and remain in compliance with all applicable building, sanitation, health, safety and fire codes, as well as city and county zoning and use ordinances.
3. The CASC will have a plan for onsite security/monitoring of all equipment, supplies, staff and clients. The plan will include monitoring and oversight of entry and exit traffic and will ensure a sign-in/sign-out protocol for all facility visitors
4. Clients will be prohibited from loitering outside of the facility.
5. The facility will include a staffed reception lobby for CASC services. The SFAPD will staff a separate SFAPD lobby.
6. The CASC should provide a cheerful décor and color-coordinated furnishings for the facility with special emphasis on the lobby, hallways, classrooms and treatment restrooms, and dining area (eating and break room).
7. The CASC must have sufficient space designated for clients to take scheduled breaks and eat lunch.
8. The CASC must provide for multiple classrooms to permit training and services to be offered simultaneously.
9. The facility must provide an adequate number of functional, clean, bathrooms in accordance with City and County of San Francisco standards. The sinks shall provide both hot and cold water. Hand soap, paper towels, paper seat covers should be available. Restrooms must be considerate of gender needs and be separately located. Restrooms must be in compliance with the Americans with Disabilities Act (ADA).
10. Client restrooms shall not be co-located with the restrooms for staff.
11. If urinalysis testing is phased into programming, there must be a restroom for urinalysis testing.
12. The CASC kitchen, cafeteria, food storage area, equipment, appliances, furnishings and cabinetry, as well as all food service and preparation areas must meet all applicable health and sanitation code standards. Accommodations shall be made for participants with disabilities.
13. The CASC shall provide a wholesome and nutritionally balanced lunch a minimum of 5 days per week for all program participants who spend 4 or more hours engaged in programming on a given day. The CASC will be considerate of general health and dietary restrictions and food prohibitions associated with cultural and religious traditions.
14. LCA shall regularly inspect the facility for pest infestation and shall maintain pest control services to ensure the facility is free of insect and rodent infestation. Documentation of pest control services will be maintained at the facility and made available to the SFAPD staff upon request.
15. The CASC shall have proper lighting, heating, and ventilation.
16. The CASC shall have a secured maintenance room for storage of cleaning supplies, tools and equipment (e.g., mops, brooms, buckets, etc.) and shall be equipped with a utility sink. The

facility, equipment, furniture, appliances, etc. shall be kept clean and in good operating condition at all times and replaced when necessary.

17. The CASC shall have a plan to ensure comprehensive janitorial services
18. All repairs including plumbing, electrical and/or structural which affect the health and safety of any occupant must be made within 48 hours of discovery and at the LCA's expense. LCA must notify the SFAPD Reentry Services Manager immediately.
19. LCA will ensure safety and security of facility exterior, interior, equipment, supplies, staff, clients and all client information.
20. If LCA anticipates transporting participants via a private vehicle, all staff shall possess a valid driver's license and the vehicle shall be fully insured.
21. LCA shall have written CASC policies and procedures in accordance with SFAPD's regulations. This policies and procedures will be submitted to the SFAPD Reentry Division for retention in the case file.
22. All CASC staff shall be trained and certified in first aid, including cardiopulmonary resuscitation (CPR) within the first six weeks of employment and remain current throughout their employment relative to this contract. A record of first aid training shall be maintained on file by the LCA.
23. Fully stocked first aid kits will be readily available throughout the facility. The telephone numbers of all local emergency service agencies shall be posted and readily available to all staff.
24. No Smoking signs shall be posted in full view of the participants, staff and visitors.

**Security and Safety Requirements:**

1. **Facility Security** – The safety and security of clients, staff and visitors is of paramount importance.
  - a. LCA staff and on site security protocols will take a dignified and reasonable approach to ensuring that the facility is free of weapons and contraband, and protected from outside intrusions. Daily security and perimeter inspection of the facility will make certain that functioning locks and latches are on all windows, doors and gates, and that electrical lighting (inside and out) is operating properly. Door alarms may be used to eliminate unauthorized egress or ingress during evening and night hours. Security policies shall ensure that the clients are not locked inside the facility at any time.
  - b. Given the large number of offenders in the facility at any given time, all staff should be adequately trained in effective relationship building, de-escalation strategies, and emergency response and evacuation protocols. CASC monitors that play a security leadership role should make routine safety checks throughout the facility, and be primarily responsible for prompting attention towards any lighting, signage, training or other upgrade that is needed to further ensure the safety of people and property at the CASC.
2. **Case Files**
  - a. LCA will develop and maintain properly organized participant files and secure them in a locked file cabinet or drawer. Files shall be considered confidential and protected

from any unauthorized use or disclosure. Electronic client files will be held to the same security standard as hard copy files. The CASC will have written procedures for the release of case file information to include: 1) the participant's signed and dated Release of Information Form, 2) the name of the person, agency or organization to whom the information was released, and 3) the signature of the employee who released the information and date of release.

### **3. Searches and Contraband**

- a. Whereas safety and security of CASC persons and property is of paramount importance, and whereas SFAPD and CASC staff will take a responsible harm reduction approach to addressing client substance abuse issues, CASC will create and honor a dignified contraband search and client substance use response policy that will be in compliance with SFAPD regulations, policies, and procedures. Clients that enter the CASC are subject to search. Any findings of contraband and/or signs of substance abuse shall be reported to the SFAPD staff as soon as possible after discovery. SFAPD and CASC staff will follow an agreed upon protocol for responding to contraband, weapons and substance use.

### **4. Disturbance Control Plan**

- a. LCA will have a written Disturbance Control Plan in the event of a major disturbance such as riots, strikes, attacks upon staff, visitors or participants, explosions or fires, suicides or attempted suicides, natural disasters; and accidental injuries to staff and others. The plan shall include assistance from local law enforcement and/or emergency agencies as circumstances warrant. The development of the Disturbance Control Plan shall be coordinated with the SFAPD Reentry Services Manager. Once the Disturbance Control Plan is developed, LCA will submit a copy to the SFAPD Reentry Services Manager for retention in the contract file.

### **5. Fire Evacuation Emergency Procedures**

- a. LCA will have written procedures pertaining to fire prevention, safety requirements, evacuation and emergency procedures that include instructions for the following:
  - o Immediate notification of the fire department (inclusive of the designated fire department's address and telephone number)
  - o Alert notification and/or evacuation of all occupants
  - o Notification of authorities
  - o Control and the extinguishing of fires
  - o Evacuation routes and procedures
  - o Other to be identified procedures

### **6. Emergency Evacuation Training**

- a. All personnel shall be trained in the implementation of emergency procedures within 24 hours of their initial employment. Annual refresher training shall be provided to all personnel. All training is to be documented for compliance and maintained in employee files.

#### **7. Quarterly Emergency Evacuation Drills**

- a. LCA will conduct and document quarterly emergency evacuation drills. Documentation of each drill shall include: date and time of day; evacuation path used; number of staff, participants and visitors involved; amount of time to complete the drill, and any pertinent comments.

#### **8. Posting of Emergency Evacuation Floor Plans**

- a. Clear, concise and site-specific emergency evacuation floor plans shall be posted as appropriate at every occupied floor location throughout the facility. The floor plans should be located near the identified exit doors on each floor. The evacuation diagram plans shall be placed in tamper-proof frames and include the following:
  - o Evacuation diagram plan that identifies the "You Are Here," location that is compatible with the building floor plan.
  - o Evacuation plans, which include the location of building exits, fire extinguishers, pull-stations, fire hose cabinets, and first aid supplies.
  - o Emergency and evacuation procedures, including diagrammed evacuation routes, shall be communicated to each new participant upon arrival.

#### **9. Smoke Detectors and Fire Extinguishers**

- a. LCA shall provide operable and regularly tested smoke detectors and fire extinguishers in key locations including the kitchen and classrooms. All tests shall be documented and maintained at the facility site.

#### **10. Hazardous, Toxic and Volatile Substances**

- a. LCA shall maintain a written policy for inventory, use, storage and disposal of all hazardous, toxic, and volatile substances in accordance with the Hazardous Substances Information and Training Act, Chapter 2-5 (commencing with Section 6360), Part 1 of Division 5 of the Labor Code. Hazardous, toxic and volatile substances shall not be stored in furnace areas, kitchens, dining areas, or in close proximity to stored food or kitchen supplies. Flammable substances such as gasoline, kerosene and paint thinner shall be stored outside the facility's main structure in approved containers inside properly ventilated and labeled fireproof cabinets.
- b. Material Safety Data Sheets (MSDS) must be maintained on-site for all hazardous materials used in the facility. The MSDS shall be posted and immediately accessible to staff and participants wherever these substances are used.
- c. LCA will provide training to facility staff and program participants. Documentation of training shall be maintained in the facility files.

The SFAPD and LCA will conduct an annual review of facility protocols, and will work together to resolve any review findings. "The periodic reporting required by this Agreement should address LCA's progress toward meeting the above operational and safety requirements, as well as any operational or safety issues that have arisen".

## 2. Data Collection and Reports

The Contractor shall submit written reports as requested by the San Francisco Adult Probation Department. Format for the content of such reports shall be determined by the San Francisco Adult Probation Department. The timely submission of all reports is a necessary and material term and condition of this Agreement. The reports, including any copies, shall be submitted on recycled paper and printed on double-sided pages to the maximum extent possible.

### REPORTING

Monthly and quarterly reports will serve as interim evaluations of CASC successes and challenges, and the annual report will serve as indication of the CASC's progress towards goals, objectives and performance measures.

All CASC information, reports, writings, summary documents or press releases shall be reviewed and approved by the SFAPD prior to dissemination. LCA, and partners associated with the CASC will consult with the SFAPD before publically releasing any CASC related information to the public or other professional groups.

1. Monthly Data Report – Due the 15<sup>th</sup> of each month for services provided in the previous month.
  - At a minimum the report shall include the data elements listed below in the section entitled "Monthly Data Collection". The SFAPD will work with the Contractor to identify additional pertinent client and program data points to be tracked. The monthly data report shall also be accompanied by highlights of CASC program and services successes over the month, a list of problems/issues encountered during the month and the plan for resolving them, as well as any major events or activities that are planned for the subsequent month (s). The SFAPD and LCA will work together over the course of the contract to update data collection and monthly information submissions as needed.
2. Monthly Cost Reimbursement Invoice – Due the 5<sup>th</sup> of each month for previous month's expenditures.
  - Monthly cost reimbursement invoices will reimburse for actual line item expenses incurred over the month for expenses according to the approved budget in

Appendix B of this Agreement. Subsequent to determining the availability of funds each year during the contract period of June 1, 2012 – June 30, 2017, the SFAPD and Contractor will re-negotiate the project budget so that it reflects actually available funds for a subsequent period, and agreed upon CASC services, activities and performance measures. All negotiated costs will reflect industry standards for delivering services and will never exceed the total approved amount of this contract.

3. Quarterly CASC Program Report – Will be due Oct. 15<sup>th</sup> (for the period of June 1 – September 30), January 15<sup>th</sup> (for the period of October 1 thru December 31), April 15<sup>th</sup> (for the period of January thru March 31) and July 15<sup>th</sup>. The July 15<sup>th</sup> report will serve as a cumulative annual report.

- The quarterly report information will include analysis that builds off of the monthly data reports.
- The report will provide a succinct description of the key CASC services provided during the time period, as well as a report back on baseline information, and progress towards the below goals, objectives and performance measures.
- Quarterly data analysis should suggest what the data indicates about client demographics and needs, as well as any system or service improvements that could be made to further the success of the CASC.
- The 4<sup>th</sup> quarterly report will be a cumulative annual report.

4. Annual CASC Program Report

- The annual report should provide a cumulative qualitative and quantitative analysis of monthly data and quarterly report information, as well as a robust report-back of CASC activities, successes and challenges over the year.
- The Annual Report will be shared with San Francisco Mayor Ed Lee, the San Francisco Board of Supervisors and other policy and political stakeholders that are interested in high-impact criminal justice reform. To maintain broad-based support of this project, the CASC will need to show results.

#### MONTHLY DATA COLLECTION

The SFAPD and Contractor will continue to refine participant and program data elements during the initial and subsequent contract terms. The below represents the *minimum* data collection requirements - the Contractor should report back on the information on a monthly and quarterly basis as per the above instruction.

#### CLIENT/General Intake/Enrollment Data Points

- Unique identifier for each client.
- CASC Intake, Enrollment, Orientation, ITRP and Referral dates.
- Participant SFAPD Number.
- COMPAS completed (Y/N)

- ITRP completed (Y/N)
- Secondary Assessments Completed
- Personal Service Plan reflective of COMPAS, ITRP and as appropriate Secondary Assessment Results (Y/N)
- Participant Full Name.
- Participant Date of Birth.
- Gender.
- Sexual Orientation.
- Race and Ethnicity.
- Preferred Language.
- Current living situation.
- History of Mental/Behavioral Health Challenges (Y/N)
- Medication (Y/N – Detail any current medications)
- Homeless (Y/N)
- Highest level of education completed.
- Ever expelled from school (Y/N)
- Employment status prior to admission to CASC.
- Ever work full-time for one employer for six months or more (Y/N)
- If employed, full-time/part-time, start date, end date, wages, and occupation.
- Ever fired from a job (Y/N):
- Marital or Domestic Partnership Status.
- Disability (Y/N – Describe).
- Number of prior substance abuse treatment episodes.
- Victim of domestic violence or physical abuse (Y/N).
- Physical health diagnosis (Y/N – describe)
- Dental needs (Y/N – describe)
- Victim of sexual abuse (Y/N).
- Number of children and living arrangement of each child.
- Name and date of birth of each child.
- Primary caretaker of children (Y/N).
- Age at first drug/alcohol use.
- Number of years of problem use.
- Primary/secondary drug of choice.
- Age at first arrest.
- Involvement in Dependency or Delinquency systems (Y/N).
- Prior Service in the Military (Y/N).
- Number of prior arrests.
- Ever in jail for a probation violation (Y/N).
- Family structure (close relatives and living arrangements of each).

**PROGRAMMATIC Data Points (Not captured in the performance measures section)**

- # of reentry transportation requests made.
- # of reentry transports completed.
- # of new people referred into Remedial Sanctions program

- % of participants that completed their required Remedial Sanctions
- # of participants assessed for income benefits or who obtained transitional or unsubsidized employment during the period
- % of people that were not approved for income benefits (provide a summary of denial circumstances in quarterly narrative)
- % of all people that demonstrated increased income as a result of employment, benefits acquisition, etc.

#### **QUARTERLY AND ANNUAL REPORT INFORMATION**

**BASELINE INFORMATION** – Quarterly and annual reports should include a report back on the below baseline information.

- What is the baseline recidivism rate
- What is the target population
- How many staff provide direct services
- How many participants were eligible to participate in the time period
- How many of the total eligible participants were medium to high risk
- Of the eligible medium to high risk referrals, how many were enrolled (completed CASC intake/assessment and orientation).
- Of those enrolled, how many showed up for a first class
- Of those that showed up for a first class, how many maintained an active CASC program status during the reporting period? (Active status means that a participant participated in CASC services during the month of the closing reporting period).

**GOALS, OBJECTIVES AND PERFORMANCE MEASURES** – Quarterly and annual reports should document progress towards the below goals, objectives and performance measures.

##### **Goals**

- Reduce recidivism amongst target population
- Reduce returns to custody for new arrests
- Reduce arrests amongst target population
- Reduce probation violations amongst target population

##### **Objectives**

- 50 percent of clients will complete ITRP/Reentry Services Plan goals at CASC.
- Of the 50 percent who met their ITRP treatment goals, 60 percent will be in stable housing, gainfully employed, or enrolled in an education program, trade school, community college, or an adult education program.
- A minimum of 10 percent of clients will participate in the Alumni Group for a minimum of 6 months.

##### **Performance Measures**



#### ASSESSMENT AND ITRP/REENTRY SERVICES PLAN SUMMARY

- Does the program use a risk/need assessment?
- How many enrolled CASC participants completed a risk/need assessment?
- How many new participants were medium and high risk?
- How many total participants are medium and high risk?
- How many new participants completed an ITRP and/or Reentry Services Plan?
- How many total participants completed an ITRP and/or Reentry Services Plan?

#### SUCCESSFUL COMPLETIONS AND INCOMPLETIONS

- Define successful completion for the reentry program.
- What is the expected reentry program length?
- What was the average length of program participation?
- Have any participants successfully completed?
- How many people did not complete and for what reasons:
  - Failure to meet program requirements
  - Court or criminal involvement (technical violation, arrest, conviction, revocation, re-incarceration)
  - Lack of engagement
  - Absconding
  - Relocating or case transfer
  - Death or serious illness
  - Other

#### RECIDIVISM – IN-PROGRAM

The Contractor will work with the SF Adult Probation Department to ascertain the following information which will be verified through SFAPD client files, the SF CMS system and as needed the State CLETS system.

How many individuals participating in the program had been released 1 – 180 days ago?

How many participants had any court and/or criminal involvement while participating in the reentry program and who were released from jail/prison 1 to 180 days ago (total):

- Technical Violation
- Arrest
- Conviction
- Revocation
- Re-incarceration

How many individuals participating in the program had been released 181 or more days ago?

How many participants had any court and/or criminal involvement while participating In the reentry program and who were released from jail/prison 181 or more days ago (total):

- Technical Violation
- Arrest
- Conviction
- Revocation
- Re-incarceration

#### RECIDIVISM – PROGRAM COMPLETION

The Contractor will work with the SF Adult Probation Department to ascertain the following information which will be verified through SFAPD client files, the SF CMS system and as needed the State CLETS system.

How many participants successfully completed program requirements?

Enter the number of participants who had a NEW court and/or criminal offense after successfully completing the reentry program

- Technical Violation
- Arrest
- Conviction
- Revocation
- Re-incarceration

#### SERVICES PERFORMANCE MEASURES

##### Notes:

- **Participants that needed “x” service** = The service was documented in his/her ITRP or Reentry Services Plan.
- **Enrolled** = Participant completed CASC Intake, Assessment and Orientation
- **Actively Engaged** = Participant attended at least one class within one month of the closing of the reporting period (e.g., if the reporting period closes on December 31<sup>st</sup>, the participant would have attended at least one class during the period of December 1 – December 31).
- **Completed** = The participant completed the requisite number of classes as per his/her ITRP or Reentry Services Plan.

##### Cognitive Based Services (Thinking for a Change)

- How many new participants needed cognitive based services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed cognitive based services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?

- Does the CASC refer participants out to receive cognitive based services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide cognitive based services directly to participants? Y/N
- How many new participants were enrolled in cognitive based services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in cognitive based services that were provided directly by the CASC? (Of total x, a total of x have received services directly).
- How many total participants were actively engaged in (i.e., last class attended was within one month of the closing of the reporting period) cognitive behavior services? How many were referred out? How many received services directly?
- How many total participants completed cognitive behavioral services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

#### Mental Health Services

- How many new participants needed mental health services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed mental health services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive mental health services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide mental health services directly to participants? Y/N
- How many new participants were enrolled in mental health services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in mental health services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class/session attended was within one month of the closing of the reporting period) mental health services? How many were referred out? How many received services directly?
- How many total participants completed mental health services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly.

#### Substance Abuse Services

Notes: Substance abuse services include residential, outpatient and relapse prevention services.

- New Participants = total number of participants that received any of the three components,
- Total Participants = total number of participants that received any of the three components,
- Enrolled Participants = participants enrolled into any one of the three components,
- Participants Actively Engaged = actively engaged in any one of the three components and
- Completed = participants that completed any one of the three components.

Please use the narrative to describe circumstances in which a client may be receiving more than one component at one time.

- How many new participants needed substance abuse services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed substance abuse services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive substance abuse services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide substance abuse services directly to participants? Y/N
- How many new participants were enrolled in substance abuse services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in substance abuse services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class/session attended was within one month of the closing of the reporting period) substance abuse services? How many were referred out? How many received services directly?
- How many total participants completed substance abuse services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly.

### Employment Services

**Note:** Employment Services includes employment readiness (which includes life skills, career search and job development, transitional job, and job placement services,) and vocational training.

- New Participants = total number of participants that received any of the components,
- Total Participants = total number of participants that received any of the components,
- Enrolled Participants = participants enrolled into any one of the three components,

- Participants Actively Engaged = actively engaged in any one of the three components and
- Completed = participants that completed any one of the three components.

Please use the narrative to describe circumstances in which a client may be receiving more than one component at one time.

- How many **new** participants needed employment services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed employment services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive employment services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)
- How many **total** participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide employment services directly to participants? Y/N.
- How many **new** participants were enrolled in employment services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were enrolled in employment services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class/session attended was within one month of the closing of the reporting period) employment services? How many were referred out? How many received services directly?
- How many **total** participants **completed** employment services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?
- How many participants who were provided with employment services directly by the CASC obtained employment?
- How many participants who were provided with employment services directly by the CASC have been employed for three or more months?
- How many participants who were provided with employment services directly by the CASC have been employed for 6 or more months?

#### Educational Services

- How many **new** participants needed education services this quarter based on their ITRP or Reentry Services Plan?
- How many **total** participants have needed education services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive education services? Y/N
- How many **new** participants were referred out? (Of x new, x were referred out)

- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide education services directly to participants? Y/N
- How many new participants were enrolled in educational services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in educational services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class/session attended was within one month of the closing of the reporting period) educational services? How many were referred out? How many received services directly?
- How many total participants completed educational services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?
- How many participants that were directly provided with educational services received a GED certificate?
- How many participants that were directly provided with educational services received a High School Diploma?
- How many participants who were directly provided with educational services obtained a vocational certificate?
- How many participants who were directly provided with educational services obtained higher education?

#### Housing Services

- How many new participants needed housing services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed housing services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive housing services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide housing services directly to participants? Y/N
- How many new participants were enrolled in housing services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in housing services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class/session attended was within one month of the closing of the reporting period) housing services? How many were referred out? How many received services directly?
- How many total participants completed housing services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

- How many participants who were directly provided with services obtained housing?
- How many participants who were directly provided with services were housed for 3 or more months?
- How many participants who were directly provided with services were housed for 6 or more months?

### Anger Management

- How many new participants needed anger management services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed anger management services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive anger management services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide anger management services directly to participants? Y/N
- How many new participants were enrolled in anger management services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in anger management services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class attended was within one month of the closing of the reporting period) anger management services? How many were referred out? How many received services directly?
- How many total participants completed anger management services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

### Parenting

- How many new participants needed parenting services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed parenting services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive parenting services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide parenting services directly to participants? Y/N

- How many **new** participants were enrolled in parenting services that were provided directly by the CASC? (Of x new, x received services directly)
- How many **total** participants were enrolled in parenting services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many **total** participants were **actively engaged** in (last class attended was within one month of the closing of the reporting period) parenting services? How many were referred out? How many received services directly?
- How many **total** participants **completed** parenting services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

#### Recreation and Leisure Activities

- How many **new** participants were enrolled in recreation and leisure services this quarter?
- How many **total** participants are enrolled in recreation and leisure activities?
- How many **total** participants were **actively engaged** in (last class/outing attended was within one month of the closing of the reporting period) recreation and leisure activities?

#### Alumni Group Activities

- How many **new** participants were enrolled in Alumni Group services this quarter?
- How many **total** participants are enrolled in the Alumni Group?
- How many **total** participants were **actively engaged** in (last class/outing attended was within one month of the closing of the reporting period) the Alumni Group?

#### Creative Arts Activities

- How many **new** participants were enrolled in Creative Arts services this quarter?
- How many **total** participants are enrolled in Creative Arts Activities?
- How many **total** participants were **actively engaged** in (last class/outing attended was within one month of the closing of the reporting period) the Creative Arts Activities?
- How many **total** participants completed Creative Arts Activities as per their ITRP and/or Reentry Services Plan.

#### All Other Services (Lunch, Clothes, Child Care, Recovery/Faith Based, Saturday Services, Community Advisory Board and Physical Health Services)

- How many **new** participants were enrolled in each of the above services this quarter?
- How many **total** participants are enrolled in each of the above services activities?



- How many total participants were actively engaged in (the participant accessed the service at least one time during the month of the closing of the reporting period) each of the services.

3. Securing Contract Staff
----------------------------

*new*

- The Program and Associate Director should have a Master's Degree in Social Sciences or a related field, and at least one year of administrative experience in a program setting; or, a four-year degree in Social Sciences or related fields, and the equivalent of three cumulative years of documented experience demonstrating a history of administrative responsibility in criminal justice programs; or a two-year degree (AA or AS) and the equivalent of five years of full-time administrative experience in substance abuse programs combined with demonstrable familiarity working with the target population.
- The LCSW/LMFT staff must be in possession of a valid license as a LCSW or a LMFT issued by the California Board of Behavioral Science Examiners (CBBS), or Registered Intern with CBBS.
- Program staff will possess a four-year degree in Social Sciences or related fields and the equivalent of one year of documented criminal justice, substance abuse or social services program management experience; or a two-year (AA or AS) and the equivalent of two years' documented criminal justice, substance abuse or social services program management experience, or a High School Diploma or GED and four cumulative years of documented criminal justice, substance abuse or social services program management full-time experience
- The Contractor shall review and approve in advance the resumes/qualifications of all required personnel assigned to the contract to ensure the minimum specified standards are met.
- If a candidate or staff does not meet the minimum qualifications described, the LCA and SFAPD should review the circumstances, and SFAPD will then advise LCA of the course of action that is in the best interest of the CASC program.
- The Contractor will send all final job descriptions to SFAPD for review prior to posting; and will let SFAPD know when posting or active recruitment for any position commences.
- The Contractor will provide SFAPD with candidate resumes, as well as indication of intent to hire a candidate. For program staff already a part of the Contractor team, the Contractor will provide SFAPD with staff name, and resume information and must ensure that these staff members satisfy the requirements set forth in this subsection.

- All CASC program employees and subcontractors, as well as any person in the operator's organization who will have access to or entrance into the facility, the Reentry Pod, or other services locations, and/or access to clients' confidential information shall be required to complete a security clearance which includes fingerprinting and a background check. The Contractor will work independently or with the SFAPD to complete each staff persons' security clearance. It shall be the operator's responsibility to retain approved clearances on-site as long as the staff member is employed. The SFAPD reserves the right to deny and/or retract security clearances upon written notification to the operator.
- Criteria for approval or denial of a position and/or for SFAPD security clearance (?) may include, but may not be limited to:
  - No arrests during the past three years.
  - Cannot currently be on parole, mandatory supervision, PRCS or probation or under any structured supervision as a result of criminal conduct.
  - Not required to register per Health and Safety Code Section 11590, Penal Code Section 290, and/or Penal Code Section 451.
- Staff vacancies shall be brought to the immediate attention of the SFAPD Reentry Division. The operator may fill temporary vacancies internally by a temporary reassignment of existing qualified staff. The hiring process shall not exceed 30 days from the date of vacancy and the position must be filled within 60 days.
- The Contractor can make staffing and hiring modifications as needed for the benefit of the CASC program, and with the prior approval of SFAPD.

**4. Department Liaison**

In performing the services provided for in this Agreement, Contractor's liaison with the San Francisco Adult Probation Department will be Lauren Bell.

- c. Appendix B. Appendix B "Budget" of the Agreement currently reads as follows:

**Appendix B  
Budget**

**Full Budget**

**CASC Budget  
Reentry One Stop Center**

Detailed Budget for First Year	Annualized Amount	Months	First Contract Period (13 Months)
Personnel	\$ 673,600		\$ 564,601

Fringe Benefits	\$ 174,260		\$ 157,169
<b>TOTAL SALARIES AND FRINGE</b>	<b>\$ 847,860</b>		<b>\$ 721,770</b>
Program Curriculum	\$ 25,000	-	\$ 25,000
Supplies	\$ 9,000	11.0	\$ 8,250
Equipment	\$ 12,480	13.0	\$ 12,200
Travel	\$ 2,400	12.0	\$ 2,400
Client Supportive Services	\$ 8,400	10.0	\$ 7,000
Interpretive Client Services	\$ 6,000	10.0	\$ 5,000
Parenting Skills Training	\$ 12,000	10.0	\$ 10,000
HUD Matching Funds - CJCJ	\$ 20,000	10.0	\$ 16,667
Reentry Transportation - Vehicle/Insurance/etc.	\$ 20,000	11.0	\$ 18,333
Rent	\$ 420,000	10.0	\$ 350,000
Utilities	\$ 60,000	10.0	\$ 50,000
Insurance	\$ 12,300	11.0	\$ 11,275
Maintenance/ Repair	\$ 6,000	11.0	\$ 5,500
Communications	\$ 17,400	11.0	\$ 15,950
Training and Education (Staff) (ongoing only)	\$ 9,600	10.0	\$ 8,000
Food	\$ 58,725	9.0	\$ 44,044
Drug Testing	\$ 22,800	9.0	\$ 17,100
Startup Capital Items			\$ 1,070,971
<b>TOTAL NON PERSONNEL ITEMS</b>	<b>\$ 722,105</b>		<b>\$ 1,677,690</b>
<i>Subtotal:</i>	<i>\$ 1,569,965</i>		<i>\$ 2,399,460</i>
Administrative Overhead (12%)	\$ 188,396		\$ 159,419
<b>Total Funding Request</b>	<b>\$ 1,758,361</b>		<b>\$ 2,558,879</b>
<i>Months:</i>		12	13
Per Month	\$ 146,530		\$ 196,837
Total Funding per RFP			\$ 2,558,879
Balance (Deficit)			\$

**Personnel and Fringe Benefits Budget**

Ortiz

POSITION TITLE	FTE's	ANNUALIZED SALARY	MONTHS WORKED DURING INITIAL CONTRACT TERM	TOTAL BUDGET (INITIAL 13 MONTH CONTRACT TERM)*
CASC Program Director	1.0	\$ 70,000	12.0	\$ 70,000
Asst. Program Director / Financial Manager	1.0	\$ 51,000	10.0	\$ 42,500
Admin Assistant / Intake Specialist	1.0	\$ 35,000	10.0	\$ 29,167
Clinical Supervisor / Lead Case Manager	1.0	\$ 60,000	13.0	\$ 65,000
Case Manager	5.0	\$ 41,600	10.0	\$ 173,333
Seniors Specialist / Case Manager	1.0	\$ 41,600	10.0	\$ 34,667
Employment Specialist	1.0	\$ 41,600	10.0	\$ 34,667
Transitional Specialist	1.0	\$ 41,600	10.0	\$ 34,667
Employment Specialist - HUD Funded	2.0	\$ 116,580	10.0	\$ 194,300
HUD FUNDING			10.0	\$ (194,300)
Security Monitors / Counselors	2.0	\$ 31,200	10.0	\$ 52,000
Transportation Staff	1.0	\$ 31,200	11.0	\$ 28,600
<b>TOTALS</b>	<b>18.0</b>			<b>\$ 564,601</b>
<b>EMPLOYEE FRINGE BENEFITS</b>	(see Narrative for detail)			<b>\$ 157,169</b>
<b>TOTAL SALARIES &amp; BENEFITS</b>				<b>\$ 721,770</b>

Original

Such appendix (Appendix B) is hereby amended in its entirety to read as follows:

Appendix B-1  
Budget

Full Budget

CASC Budget

Detailed Budget for First Year	Annualized Amount	Months	First Contract Period (13 Months)
Personnel	\$ 561,920		\$ 220,969
Fringe Benefits	\$ 106,589		\$ 53,128
<b>TOTAL SALARIES AND FRINGE</b>	<b>\$ 668,509</b>		<b>\$ 274,097</b>
Program Curriculum	\$ 20,000	-	\$ 20,000
Supplies	\$ 14,400	7.0	\$ 8,400
Equipment	\$ 12,480	13.0	\$ 5,060
Travel	\$ 7,200	10.0	\$ 6,000
Client Supportive Services	\$ 12,000	1.0	\$ 1,000
Interpretive Client Services	\$ 6,000	1.0	\$ 500
Parenting Skills Training	\$ 12,000	1.0	\$ 1,000
HUD Matching Funds - CJCJ	\$ 20,000	1.0	\$ 1,667
Reentry Transportation - Vehicle/Insurance/etc.	\$ -	-	\$ -
Other Occupancy Costs	\$ 6,000	9.0	\$ 4,500
Insurance	\$ 12,300	5.0	\$ 5,125
Maintenance/ Repair	\$ 6,000	5.0	\$ 2,500
Communications	\$ 17,400	4.0	\$ 5,800
Training and Education (Staff) (ongoing only)	\$ 9,600	2.0	\$ 1,600
Food	\$ 51,156	1.0	\$ 4,263

Drug Testing	\$ 22,800	1.0	\$ 1,900
<b>TOTAL OPERATIONS</b>	<b>\$ 229,336</b>		<b>\$ 69,315</b>
Rent	\$ 807,792	2.0	\$ 134,632
Utilities/Building Reimbursements	\$ 78,756	2.0	\$ 13,126
<b>TOTAL RENT AND UTILITIES</b>	<b>\$ 886,548</b>		<b>\$ 147,758</b>
Startup Capital Items			\$ 2,510,949
<b>TOTAL NON PERSONNEL ITEMS</b>	<b>\$ 1,115,884</b>		<b>\$ 2,728,022</b>
<i>Subtotal:</i>	<b>\$ 1,784,393</b>		<b>\$ 3,002,119</b>
Administrative Overhead (15%)	\$ 267,659		\$ 73,676
<b>Total Funding Request</b>	<b>\$ 2,052,052</b>		<b>\$ 3,075,795</b>
<i>Months:</i>		12	13
Per Month	\$ 171,004		\$ 236,600

Personnel and Fringe – Next Page

Personnel and Fringe

POSITION TITLE	FTE's	ANNUALIZED SALARY	MONTHS WORKED DURING INITIAL CONTRACT TERM	TOTAL BUDGET (INITIAL 13 MONTH CONTRACT TERM)*
CASC Program Director	1.0	\$ 75,000	6.0	\$ 37,500
Asst. Program Director / Financial Manager	1.0	\$ 60,000	5.0	\$ 25,000
Admin Assistant / Intake Specialist	1.0	\$ 41,600	4.0	\$ 13,867
Clinical Supervisor / Lead Case Manager	1.0	\$ 65,000	13.0	\$ 70,417
Case Manager	1.0	\$ 41,600	8.0	\$ 27,733
Case Manager	2.5	\$ 41,600	2.0	\$ 17,333
Seniors Specialist / Case Manager	1.0	\$ 41,600	2.0	\$ 6,933
Employment Specialist	1.0	\$ 41,600	2.0	\$ 6,933
Transitional Specialist	1.0	\$ 41,600	2.0	\$ 6,933
Employment Specialist - HUD Funded	2.0	\$ 116,580	2.0	\$ 38,860
HUD FUNDING			2.0	\$ (38,860)
Security Monitors / Counselors	1.5	\$ 33,280	2.0	\$ 8,320
Transportation Staff	0.0	\$ 31,200	0.0	\$ -
Transportation Staff	0.0	\$ 31,200	0.0	\$ -
<b>TOTALS</b>	14.0			\$ 220,969
EMPLOYEE FRINGE BENEFITS	(see Narrative for detail)			\$ 53,128
<b>TOTAL SALARIES &amp; BENEFITS</b>				\$ 274,097

IN WITNESS WHEREOF, Contractor and City have executed this Amendment as of the date first referenced above.

**CITY**

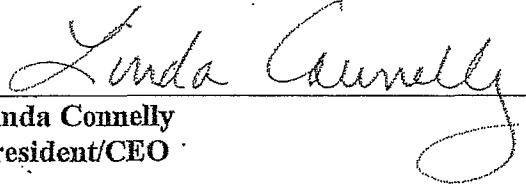
**CONTRACTOR**

Recommended by:

**Leaders In Community Alternatives, Inc.**



Wendy S. Still, MAS  
Chief Adult Probation Officer  
San Francisco Adult Probation Department



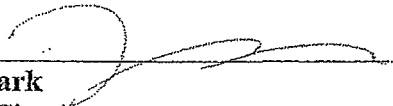
Linda Connelly  
President/CEO

City vendor number: 25546

Approved as to Form:


Dennis J. Herrera  
City Attorney

By:



Jana Clark  
Deputy City Attorney

Approved:



Jaci Fong  
Director of the Office of Contract  
Administration, and Purchaser



City and County of San Francisco  
Office of Contract Administration  
Purchasing Division  
City Hall, Room 430  
1 Dr. Carlton B. Goodlett Place  
San Francisco, California 94102-4685

Agreement between the City and County of San Francisco and

Leaders in Community Alternatives, Inc.

This Agreement is made this 1 day of June, 2012, in the City and County of San Francisco, State of California, by and between: Leaders in Community Alternatives, Inc., 1035 Market Street, San Francisco, CA 94102 hereinafter referred to as "Contractor," and the City and County of San Francisco, a municipal corporation, hereinafter referred to as "City," acting by and through its Director of the Office of Contract Administration or the Director's designated agent, hereinafter referred to as "Purchasing."

Recitals

WHEREAS, the San Francisco Adult Probation Department ("Department") wishes to have the Contractor manage and operate the Community Assessment and Services Center ("CASC") facility, and oversee the delivery of center and off-site reentry support services for clients of the San Francisco Adult Probation Department; and

WHEREAS, a Request for Proposal ("RFP") was issued on January 23, 2012, and City selected Contractor as the highest qualified scorer pursuant to the RFP; and

WHEREAS, Contractor represents and warrants that it is qualified to perform the services required by City as set forth under this Contract; and,

WHEREAS, approval for this Agreement was obtained when the Civil Service Commission approved Contract number 4077-11/12 on February 6, 2012.

Now, THEREFORE, the parties agree as follows:

1. **Certification of Funds; Budget and Fiscal Provisions; Termination in the Event of Non-Appropriation.** This Agreement is subject to the budget and fiscal provisions of the City's Charter. Charges will accrue only after prior written authorization certified by the Controller, and the amount of City's obligation hereunder shall not at any time exceed the amount certified for the purpose and period stated in such advance authorization. This Agreement will terminate without penalty, liability or expense of any kind to City at the end of any fiscal year if funds are not appropriated for the next succeeding fiscal year. If funds are appropriated for a portion of the fiscal year, this Agreement will terminate, without penalty, liability or expense of any kind at the end of the term for which funds are appropriated. City has no obligation to make appropriations for this Agreement in lieu of appropriations for new or other agreements. City budget decisions are subject to the discretion of the Mayor and the Board of Supervisors. Contractor's assumption of risk of possible non-appropriation is part of the consideration for this Agreement.

THIS SECTION CONTROLS AGAINST ANY AND ALL OTHER PROVISIONS OF THIS AGREEMENT.

2. **Term of the Agreement.** Subject to Section 1, the term of this Agreement shall be from June 1, 2012 to June 30, 2017.

3. **Effective Date of Agreement.** This Agreement shall become effective when the Controller has certified to the availability of funds and Contractor has been notified in writing.

4. **Services Contractor Agrees to Perform.** The Contractor agrees to perform the services provided for in Appendix A, "Description of Services," attached hereto and incorporated by reference as though fully set forth herein.

5. **Compensation.** Compensation shall be made in monthly payments on or before the 15th day of each month for work, as set forth in Section 4 of this Agreement, that the Chief of Adult Probation, in her sole discretion, concludes has been performed as of the final day of the immediately preceding month. In no event shall the amount of this Agreement exceed \$6,142,957 (Six Million One Hundred Forty Two Thousand Nine Hundred Fifty Seven Dollars) as follows:

June 1, 2012 – June 30, 2013 – Not to exceed: \$2,258,879 (\$895,705 to be encumbered in June, 2012 and \$1,663,090 in July, 2012).

July 1, 2013 – June 30, 2014 – To be determined

July 1, 2014 – June 30, 2015 – To be determined

July 1, 2015 – June 30, 2016 – To be determined

July 1, 2016 – June 30, 2017 – To be determined

The breakdown of costs for the period of June 1, 2012 – June 30, 2013 appears in this Agreement as Appendix B, "Project Budget," attached hereto and incorporated by reference as though fully set forth herein. The actual award amount to be realized during the full period of this contract, June 1, 2012 – June 30, 2017 is contingent on the availability of funds for this project each year, and on the satisfactory Contractor performance.

All subsequently negotiated project costs are and will be in line with generally accepted industry standard costs associated with delivering CASC services.

No charges shall be incurred under this Agreement nor shall any payments become due to Contractor until reports, services, or both, required under this Agreement are received from Contractor and approved by the San Francisco Adult Probation Department as being in accordance with this Agreement. City may withhold payment to Contractor in any instance in which Contractor has failed or refused to satisfy any material obligation provided for under this Agreement. In no event shall City be liable for interest or late charges for any late payments.

The Controller is not authorized to pay invoices submitted by Contractor prior to Contractor's submission of HRC Progress Payment Form. If Progress Payment Form is not submitted with Contractor's invoice, the Controller will notify the department, the Director of HRC and Contractor of the omission. If Contractor's failure to provide HRC Progress Payment Form is not explained to the Controller's satisfaction, the Controller will withhold 20% of the payment due pursuant to that invoice until HRC Progress Payment Form is provided. Following City's payment of an invoice, Contractor has ten days to file an affidavit using HRC Payment Affidavit verifying that all subcontractors have been paid and specifying the amount.

6. **Guaranteed Maximum Costs.** The City's obligation hereunder shall not at any time exceed the amount certified by the Controller for the purpose and period stated in such certification. Except as may be provided by laws governing emergency procedures, officers and employees of the City are not authorized to request, and the City is not required to reimburse the Contractor for, Commodities or Services beyond the agreed upon contract scope unless the changed scope is authorized by amendment and approved as required by law. Officers and employees of the City are not authorized to offer or promise, nor is the City required to honor, any offered or promised additional funding in excess of the maximum amount of funding for which the contract is certified without certification of the additional amount by the Controller. The Controller is not authorized to make payments on any contract for which funds have not been certified as available in the budget or by supplemental appropriation.

7. **Payment; Invoice Format.** Invoices furnished by Contractor under this Agreement must be in a form acceptable to the Controller, and must include a unique invoice number. All amounts paid by City to Contractor shall be subject to audit by City. Payment shall be made by City to Contractor at the address specified in the section entitled "Notices to the Parties."

8. **Submitting False Claims; Monetary Penalties.** Pursuant to San Francisco Administrative Code §21.35, any contractor, subcontractor or consultant who submits a false claim shall be liable to the City for the statutory penalties set forth in that section. The text of Section 21.35, along with the entire San Francisco Administrative Code is available on the web at <http://www.municode.com/Library/clientCodePage.aspx?clientID=4201>. A contractor, subcontractor or consultant will be deemed to have submitted a false claim to the City if the contractor, subcontractor or consultant: (a) knowingly presents or causes to be presented to an officer or employee of the City a false claim or request for payment or approval; (b) knowingly makes, uses, or causes to be made or used a false record or statement to get a false claim paid or approved by the City; (c) conspires to defraud the City by getting a false claim allowed or paid by the City; (d) knowingly makes, uses, or causes to be made or used a false record or statement to conceal, avoid, or decrease an obligation to pay or transmit money or property to the City; or (e) is a beneficiary of an inadvertent submission of a false claim to the City, subsequently discovers the falsity of the claim, and fails to disclose the false claim to the City within a reasonable time after discovery of the false claim.

9. **Disallowance.** If Contractor claims or receives payment from City for a service, reimbursement for which is later disallowed by the State of California or United States Government, Contractor shall promptly refund the disallowed amount to City upon City's request. At its option, City may offset the amount disallowed from any payment due or to become due to Contractor under this Agreement or any other Agreement. By executing this Agreement, Contractor certifies that Contractor is not suspended, debarred or otherwise excluded from participation in federal assistance programs. Contractor acknowledges that this certification of eligibility to receive federal funds is a material terms of the Agreement.

#### 10. Taxes

a. Payment of any taxes, including possessory interest taxes and California sales and use taxes, levied upon or as a result of this Agreement, or the services delivered pursuant hereto, shall be the obligation of Contractor.

b. Contractor recognizes and understands that this Agreement may create a "possessory interest" for property tax purposes. Generally, such a possessory interest is not

created unless the Agreement entitles the Contractor to possession, occupancy, or use of City property for private gain. If such a possessory interest is created, then the following shall apply:

- 1) Contractor, on behalf of itself and any permitted successors and assigns, recognizes and understands that Contractor, and any permitted successors and assigns, may be subject to real property tax assessments on the possessory interest;
- 2) Contractor, on behalf of itself and any permitted successors and assigns, recognizes and understands that the creation, extension, renewal, or assignment of this Agreement may result in a "change in ownership" for purposes of real property taxes, and therefore may result in a revaluation of any possessory interest created by this Agreement. Contractor accordingly agrees on behalf of itself and its permitted successors and assigns to report on behalf of the City to the County Assessor the information required by Revenue and Taxation Code section 480.5; as amended from time to time, and any successor provision.
- 3) Contractor, on behalf of itself and any permitted successors and assigns, recognizes and understands that other events also may cause a change of ownership of the possessory interest and result in the revaluation of the possessory interest, (see, e.g., Rev. & Tax. Code section 64, as amended from time to time). Contractor accordingly agrees on behalf of itself and its permitted successors and assigns to report any change in ownership to the County Assessor, the State Board of Equalization or other public agency as required by law.
- 4) Contractor further agrees to provide such other information as may be requested by the City to enable the City to comply with any reporting requirements for possessory interests that are imposed by applicable law.

**11. Payment Does Not Imply Acceptance of Work.** The granting of any payment by City, or the receipt thereof by Contractor, shall in no way lessen the liability of Contractor to replace unsatisfactory work, equipment, or materials, although the unsatisfactory character of such work, equipment or materials may not have been apparent or detected at the time such payment was made. Materials, equipment, components, or workmanship that do not conform to the requirements of this Agreement may be rejected by City and in such case must be replaced by Contractor without delay.

**12. Qualified Personnel.** Work under this Agreement shall be performed only by competent personnel under the supervision of and in the employment of Contractor. Contractor will comply with City's reasonable requests regarding assignment of personnel, but all personnel, including those assigned at City's request, must be supervised by Contractor. Contractor shall commit adequate resources to complete the project within the project schedule specified in this Agreement.

**13. Responsibility for Equipment.** City shall not be responsible for any damage to persons or property as a result of the use, misuse or failure of any equipment used by Contractor, or by any of its employees, even though such equipment be furnished, rented or loaned to Contractor by City.

**14. Independent Contractor; Payment of Taxes and Other Expenses**

a. **Independent Contractor.** Contractor or any agent or employee of Contractor shall be deemed at all times to be an independent contractor and is wholly responsible for the manner in which it performs the services and work requested by City under this Agreement. Contractor or any agent or employee of Contractor shall not have employee status with City, nor

be entitled to participate in any plans, arrangements, or distributions by City pertaining to or in connection with any retirement, health or other benefits that City may offer its employees. Contractor or any agent or employee of Contractor is liable for the acts and omissions of itself, its employees and its agents. Contractor shall be responsible for all obligations and payments, whether imposed by federal, state or local law, including, but not limited to, FICA, income tax withholdings, unemployment compensation, insurance, and other similar responsibilities related to Contractor's performing services and work, or any agent or employee of Contractor providing same. Nothing in this Agreement shall be construed as creating an employment or agency relationship between City and Contractor or any agent or employee of Contractor. Any terms in this Agreement referring to direction from City shall be construed as providing for direction as to policy and the result of Contractor's work only, and not as to the means by which such a result is obtained. City does not retain the right to control the means or the method by which Contractor performs work under this Agreement.

b. **Payment of Taxes and Other Expenses.** Should City, in its discretion, or a relevant taxing authority such as the Internal Revenue Service or the State Employment Development Division, or both, determine that Contractor is an employee for purposes of collection of any employment taxes, the amounts payable under this Agreement shall be reduced by amounts equal to both the employee and employer portions of the tax due (and offsetting any credits for amounts already paid by Contractor which can be applied against this liability). City shall then forward those amounts to the relevant taxing authority. Should a relevant taxing authority determine a liability for past services performed by Contractor for City, upon notification of such fact by City, Contractor shall promptly remit such amount due or arrange with City to have the amount due withheld from future payments to Contractor under this Agreement (again, offsetting any amounts already paid by Contractor which can be applied as a credit against such liability). A determination of employment status pursuant to the preceding two paragraphs shall be solely for the purposes of the particular tax in question, and for all other purposes of this Agreement, Contractor shall not be considered an employee of City. Notwithstanding the foregoing, should any court, arbitrator, or administrative authority determine that Contractor is an employee for any other purpose, then Contractor agrees to a reduction in City's financial liability so that City's total expenses under this Agreement are not greater than they would have been had the court, arbitrator, or administrative authority determined that Contractor was not an employee.

## 15. Insurance

a. Without in any way limiting Contractor's liability pursuant to the "Indemnification" section of this Agreement, Contractor must maintain in force, during the full term of the Agreement, insurance in the following amounts and coverages:

- 1) Workers' Compensation, in statutory amounts, with Employers' Liability Limits not less than \$1,000,000 each accident, injury, or illness; and
- 2) Commercial General Liability Insurance with limits not less than \$1,000,000 each occurrence Combined Single Limit for Bodily Injury and Property Damage, including Contractual Liability, Personal Injury, Products and Completed Operations; and
- 3) Commercial Automobile Liability Insurance with limits not less than \$1,000,000 each occurrence Combined Single Limit for Bodily Injury and Property Damage, including Owned, Non-Owned and Hired auto coverage, as applicable.

4) Professional liability insurance, applicable to Contractor's profession, with limits not less than \$1,000,000 each claim with respect to negligent acts, errors or omissions in connection with professional services to be provided under this Agreement.

b. Commercial General Liability and Commercial Automobile Liability Insurance policies must be endorsed to provide:

1) Name as Additional Insured the City and County of San Francisco, its Officers, Agents, and Employees.

2) That such policies are primary insurance to any other insurance available to the Additional Insureds, with respect to any claims arising out of this Agreement, and that insurance applies separately to each insured against whom claim is made or suit is brought.

c. Regarding Workers' Compensation, Contractor hereby agrees to waive subrogation which any insurer of Contractor may acquire from Contractor by virtue of the payment of any loss. Contractor agrees to obtain any endorsement that may be necessary to effect this waiver of subrogation. The Workers' Compensation policy shall be endorsed with a waiver of subrogation in favor of the City for all work performed by the Contractor, its employees, agents and subcontractors.

d. All policies shall provide thirty days' advance written notice to the City of reduction or nonrenewal of coverages or cancellation of coverages for any reason. Notices shall be sent to the City address in the "Notices to the Parties" section.

e. Should any of the required insurance be provided under a claims-made form, Contractor shall maintain such coverage continuously throughout the term of this Agreement and, without lapse, for a period of three years beyond the expiration of this Agreement, to the effect that, should occurrences during the contract term give rise to claims made after expiration of the Agreement, such claims shall be covered by such claims-made policies.

f. Should any of the required insurance be provided under a form of coverage that includes a general annual aggregate limit or provides that claims investigation or legal defense costs be included in such general annual aggregate limit, such general annual aggregate limit shall be double the occurrence or claims limits specified above.

g. Should any required insurance lapse during the term of this Agreement, requests for payments originating after such lapse shall not be processed until the City receives satisfactory evidence of reinstated coverage as required by this Agreement, effective as of the lapse date. If insurance is not reinstated, the City may, at its sole option, terminate this Agreement effective on the date of such lapse of insurance.

h. Before commencing any operations under this Agreement, Contractor shall furnish to City certificates of insurance and additional insured policy endorsements with insurers with ratings comparable to A-, VIII or higher, that are authorized to do business in the State of California, and that are satisfactory to City, in form evidencing all coverages set forth above. Failure to maintain insurance shall constitute a material breach of this Agreement.

i. Approval of the insurance by City shall not relieve or decrease the liability of Contractor hereunder.

j. If a subcontractor will be used to complete any portion of this agreement, the Contractor shall ensure that the subcontractor shall provide all necessary insurance and shall

name the City and County of San Francisco, its officers, agents and employees and the Contractor listed as additional insureds.

k. Any of the terms of conditions of this Section 15 may be waived by the City's Risk Manager in writing, and attached to this Agreement as Appendix C. Such waiver is fully incorporated herein. The waiver shall waive only the requirements that are expressly identified and waived, and under such terms and conditions as stated in the waiver.

16. **Indemnification.** Contractor shall indemnify and save harmless City and its officers, agents and employees from, and, if requested, shall defend them against any and all loss, cost, damage, injury, liability, and claims thereof for injury to or death of a person, including employees of Contractor or loss of or damage to property, arising directly or indirectly from Contractor's performance of this Agreement, including, but not limited to, Contractor's use of facilities or equipment provided by City or others, regardless of the negligence of, and regardless of whether liability without fault is imposed or sought to be imposed on City, except to the extent that such indemnity is void or otherwise unenforceable under applicable law in effect on or validly retroactive to the date of this Agreement, and except where such loss, damage, injury, liability or claim is the result of the active negligence or willful misconduct of City and is not contributed to by any act of, or by any omission to perform some duty imposed by law or agreement on Contractor, its subcontractors or either's agent or employee. The foregoing indemnity shall include, without limitation, reasonable fees of attorneys, consultants and experts and related costs and City's costs of investigating any claims against the City. In addition to Contractor's obligation to indemnify City, Contractor specifically acknowledges and agrees that it has an immediate and independent obligation to defend City from any claim which actually or potentially falls within this indemnification provision, even if the allegations are or may be groundless, false or fraudulent, which obligation arises at the time such claim is tendered to Contractor by City and continues at all times thereafter. Contractor shall indemnify and hold City harmless from all loss and liability, including attorneys' fees, court costs and all other litigation expenses for any infringement of the patent rights, copyright, trade secret or any other proprietary right or trademark, and all other intellectual property claims of any person or persons in consequence of the use by City, or any of its officers or agents, of articles or services to be supplied in the performance of this Agreement.

17. **Incidental and Consequential Damages.** Contractor shall be responsible for incidental and consequential damages resulting in whole or in part from Contractor's acts or omissions. Nothing in this Agreement shall constitute a waiver or limitation of any rights that City may have under applicable law.

18. **Liability of City.** CITY'S PAYMENT OBLIGATIONS UNDER THIS AGREEMENT SHALL BE LIMITED TO THE PAYMENT OF THE COMPENSATION PROVIDED FOR IN SECTION 5 OF THIS AGREEMENT. NOTWITHSTANDING ANY OTHER PROVISION OF THIS AGREEMENT, IN NO EVENT SHALL CITY BE LIABLE, REGARDLESS OF WHETHER ANY CLAIM IS BASED ON CONTRACT OR TORT, FOR ANY SPECIAL, CONSEQUENTIAL, INDIRECT OR INCIDENTAL DAMAGES, INCLUDING, BUT NOT LIMITED TO, LOST PROFITS, ARISING OUT OF OR IN CONNECTION WITH THIS AGREEMENT OR THE SERVICES PERFORMED IN CONNECTION WITH THIS AGREEMENT.

19. Default; Remedies

a. Each of the following shall constitute an event of default ("Event of Default") under this Agreement:

1) Contractor fails or refuses to perform or observe any term, covenant or condition contained in any of the following Sections of this Agreement:

- |   |                                       |
|---|---------------------------------------|
| 8. Submitting False Claims; Monetary Penalties.     | 37. Drug-free workplace policy        |
| 10. Taxes   | 53. Compliance with laws              |
| 15. Insurance                                       | 55. Supervision of minors             |
| 24. Proprietary or confidential information of City | 57. Protection of private information |
| 30. Assignment                                      | 58. Graffiti removal                  |

2) Contractor fails or refuses to perform or observe any other term, covenant or condition contained in this Agreement, and such default continues for a period of ten days after written notice thereof from City to Contractor.

3) Contractor (a) is generally not paying its debts as they become due, (b) files, or consents by answer or otherwise to the filing against it of, a petition for relief or reorganization or arrangement or any other petition in bankruptcy or for liquidation or to take advantage of any bankruptcy, insolvency or other debtors' relief law of any jurisdiction, (c) makes an assignment for the benefit of its creditors, (d) consents to the appointment of a custodian, receiver, trustee or other officer with similar powers of Contractor or of any substantial part of Contractor's property or (e) takes action for the purpose of any of the foregoing.

4) A court or government authority enters an order (a) appointing a custodian, receiver, trustee or other officer with similar powers with respect to Contractor or with respect to any substantial part of Contractor's property, (b) constituting an order for relief or approving a petition for relief or reorganization or arrangement or any other petition in bankruptcy or for liquidation or to take advantage of any bankruptcy, insolvency or other debtors' relief law of any jurisdiction or (c) ordering the dissolution, winding-up or liquidation of Contractor.

b. On and after any Event of Default, City shall have the right to exercise its legal and equitable remedies, including, without limitation, the right to terminate this Agreement or to seek specific performance of all or any part of this Agreement. In addition, City shall have the right (but no obligation) to cure (or cause to be cured) on behalf of Contractor any Event of Default; Contractor shall pay to City on demand all costs and expenses incurred by City in effecting such cure, with interest thereon from the date of incurrence at the maximum rate then permitted by law. City shall have the right to offset from any amounts due to Contractor under this Agreement or any other agreement between City and Contractor all damages, losses, costs or expenses incurred by City as a result of such Event of Default and any liquidated damages due from Contractor pursuant to the terms of this Agreement or any other agreement.

c. All remedies provided for in this Agreement may be exercised individually or in combination with any other remedy available hereunder or under applicable laws, rules and regulations. The exercise of any remedy shall not preclude or in any way be deemed to waive any other remedy.



20. Termination for Convenience

a. City shall have the option, in its sole discretion, to terminate this Agreement, at any time during the term hereof, for convenience and without cause. City shall exercise this option by giving Contractor written notice of termination. The notice shall specify the date on which termination shall become effective.

b. Upon receipt of the notice, Contractor shall commence and perform, with diligence, all actions necessary on the part of Contractor to effect the termination of this Agreement on the date specified by City and to minimize the liability of Contractor and City to third parties as a result of termination. All such actions shall be subject to the prior approval of City. Such actions shall include, without limitation:

1) Halting the performance of all services and other work under this Agreement on the date(s) and in the manner specified by City.

2) Not placing any further orders or subcontracts for materials, services, equipment or other items.

3) Terminating all existing orders and subcontracts.

4) At City's direction, assigning to City any or all of Contractor's right, title, and interest under the orders and subcontracts terminated. Upon such assignment, City shall have the right, in its sole discretion, to settle or pay any or all claims arising out of the termination of such orders and subcontracts.

5) Subject to City's approval, settling all outstanding liabilities and all claims arising out of the termination of orders and subcontracts.

6) Completing performance of any services or work that City designates to be completed prior to the date of termination specified by City.

7) Taking such action as may be necessary, or as the City may direct, for the protection and preservation of any property related to this Agreement which is in the possession of Contractor and in which City has or may acquire an interest.

c. Within 30 days after the specified termination date, Contractor shall submit to City an invoice, which shall set forth each of the following as a separate line item:

1) The reasonable cost to Contractor, without profit, for all services and other work City directed Contractor to perform prior to the specified termination date, for which services or work City has not already tendered payment. Reasonable costs may include a reasonable allowance for actual overhead, not to exceed a total of 10% of Contractor's direct costs for services or other work. Any overhead allowance shall be separately itemized. Contractor may also recover the reasonable cost of preparing the invoice.

2) A reasonable allowance for profit on the cost of the services and other work described in the immediately preceding subsection (1), provided that Contractor can establish, to the satisfaction of City, that Contractor would have made a profit had all services and other work under this Agreement been completed, and provided further, that the profit allowed shall in no event exceed 5% of such cost.

3) The reasonable cost to Contractor of handling material or equipment returned to the vendor, delivered to the City or otherwise disposed of as directed by the City.

4) A deduction for the cost of materials to be retained by Contractor, amounts realized from the sale of materials and not otherwise recovered by or credited to City, and any other appropriate credits to City against the cost of the services or other work.

d. In no event shall City be liable for costs incurred by Contractor or any of its subcontractors after the termination date specified by City, except for those costs specifically enumerated and described in the immediately preceding subsection (c). Such non-recoverable costs include, but are not limited to, anticipated profits on this Agreement, post-termination employee salaries, post-termination administrative expenses, post-termination overhead or unabsorbed overhead, attorneys' fees or other costs relating to the prosecution of a claim or lawsuit, prejudgment interest, or any other expense which is not reasonable or authorized under such subsection (c).

e. In arriving at the amount due to Contractor under this Section, City may deduct: (1) all payments previously made by City for work or other services covered by Contractor's final invoice; (2) any claim which City may have against Contractor in connection with this Agreement; (3) any invoiced costs or expenses excluded pursuant to the immediately preceding subsection (d); and (4) in instances in which, in the opinion of the City, the cost of any service or other work performed under this Agreement is excessively high due to costs incurred to remedy or replace defective or rejected services or other work, the difference between the invoiced amount and City's estimate of the reasonable cost of performing the invoiced services or other work in compliance with the requirements of this Agreement.

f. City's payment obligation under this Section shall survive termination of this Agreement.

## 21. Rights and Duties upon Termination or Expiration

This Section and the following Sections of this Agreement shall survive termination or expiration of this Agreement:

- |   |  |
|---|--|
| 8. Submitting false claims                                      | 24. Proprietary or confidential information of City    |
| 9. Disallowance   | 26. Ownership of Results                               |
| 10. Taxes   | 27. Works for Hire                                     |
| 11. Payment does not imply acceptance of work                   | 28. Audit and Inspection of Records                    |
| 13. Responsibility for equipment                                | 48. Modification of Agreement                          |
| 14. Independent Contractor; Payment of Taxes and Other Expenses | 49. Administrative Remedy for Agreement Interpretation |
| 15. Insurance   | 50. Agreement Made in California; Venue                |
| 16. Indemnification   | 51. Construction                                       |
| 17. Incidental and Consequential Damages                        | 52. Entire Agreement                                   |
| 18. Liability of City   | 56. Severability                                       |
|   | 57. Protection of private information                  |

Subject to the immediately preceding sentence, upon termination of this Agreement prior to expiration of the term specified in Section 2, this Agreement shall terminate and be of no further force or effect. Contractor shall transfer title to City, and deliver in the manner, at the times, and to the extent, if any, directed by City, any work in progress, completed work, supplies, equipment, and other materials produced as a part of, or acquired in connection with the

performance of this Agreement, and any completed or partially completed work which, if this Agreement had been completed, would have been required to be furnished to City. This subsection shall survive termination of this Agreement.

22. **Conflict of Interest.** Through its execution of this Agreement, Contractor acknowledges that it is familiar with the provision of Section 15.103 of the City's Charter, Article III, Chapter 2 of City's Campaign and Governmental Conduct Code, and Section 87100 et seq. and Section 1090 et seq. of the Government Code of the State of California, and certifies that it does not know of any facts which constitutes a violation of said provisions and agrees that it will immediately notify the City if it becomes aware of any such fact during the term of this Agreement.

23. **Proprietary or Confidential Information of City.** Contractor understands and agrees that, in the performance of the work or services under this Agreement or in contemplation thereof, Contractor may have access to private or confidential information which may be owned or controlled by City and that such information may contain proprietary or confidential details, the disclosure of which to third parties may be damaging to City. Contractor agrees that all information disclosed by City to Contractor shall be held in confidence and used only in performance of the Agreement. Contractor shall exercise the same standard of care to protect such information as a reasonably prudent contractor would use to protect its own proprietary data.

24. **Notices to the Parties.** Unless otherwise indicated elsewhere in this Agreement, all written communications sent by the parties may be by U.S. mail, e-mail or by fax, and shall be addressed as follows:

To City: Lauren Bell, Reentry Services Manager  
San Francisco Adult Probation Department  
880 Bryant Street, Room 200  
San Francisco, CA 94103  
Email: lauren.bell@sfgov.org  
Fax: (415) 553-1717

To Contractor: Linda Connelly, President  
Leaders in Community Alternatives, Inc.  
1035 Market Street  
San Francisco, CA 94102  
Email: lconnelly@lcaservices.com  
Fax: 415-546-1932

Any notice of default must be sent by registered mail.

25. **Ownership of Results.** Any interest of Contractor or its Subcontractors, in drawings, plans, specifications, blueprints, studies, reports, memoranda, computation sheets, computer files and media or other documents prepared by Contractor or its subcontractors in connection with services to be performed under this Agreement, shall become the property of and will be transmitted to City. However, Contractor may retain and use copies for reference and as documentation of its experience and capabilities.

26. **Works for Hire.** If, in connection with services performed under this Agreement, Contractor or its subcontractors create artwork, copy, posters, billboards, photographs,

videotapes, audiotapes, systems designs, software, reports, diagrams, surveys, blueprints, source codes or any other original works of authorship, such works of authorship shall be works for hire as defined under Title 17 of the United States Code, and all copyrights in such works are the property of the City. If it is ever determined that any works created by Contractor or its subcontractors under this Agreement are not works for hire under U.S. law, Contractor hereby assigns all copyrights to such works to the City, and agrees to provide any material and execute any documents necessary to effectuate such assignment. With the approval of the City, Contractor may retain and use copies of such works for reference and as documentation of its experience and capabilities.

27. **Audit and Inspection of Records.** Contractor agrees to maintain and make available to the City, during regular business hours, accurate books and accounting records relating to its work under this Agreement. Contractor will permit City to audit, examine and make excerpts and transcripts from such books and records, and to make audits of all invoices, materials, payrolls, records or personnel and other data related to all other matters covered by this Agreement, whether funded in whole or in part under this Agreement. Contractor shall maintain such data and records in an accessible location and condition for a period of not less than five years after final payment under this Agreement or until after final audit has been resolved, whichever is later. The State of California or any federal agency having an interest in the subject matter of this Agreement shall have the same rights conferred upon City by this Section.

28. **Subcontracting.** Contractor is prohibited from subcontracting this Agreement or any part of it unless such subcontracting is first approved by City in writing. Neither party shall, on the basis of this Agreement, contract on behalf of or in the name of the other party. An agreement made in violation of this provision shall confer no rights on any party and shall be null and void.

29. **Assignment.** The services to be performed by Contractor are personal in character and neither this Agreement nor any duties or obligations hereunder may be assigned or delegated by the Contractor unless first approved by City by written instrument executed and approved in the same manner as this Agreement.

30. **Non-Waiver of Rights.** The omission by either party at any time to enforce any default or right reserved to it, or to require performance of any of the terms, covenants, or provisions hereof by the other party at the time designated, shall not be a waiver of any such default or right to which the party is entitled, nor shall it in any way affect the right of the party to enforce such provisions thereafter.

31. **Earned Income Credit (EIC) Forms.** Administrative Code section 120 requires that employers provide their employees with IRS Form W-5 (The Earned Income Credit Advance Payment Certificate) and the IRS EIC Schedule, as set forth below. Employers can locate these forms at the IRS Office, on the Internet, or anywhere that Federal Tax Forms can be found. Contractor shall provide EIC Forms to each Eligible Employee at each of the following times: (i) within thirty days following the date on which this Agreement becomes effective (unless Contractor has already provided such EIC Forms at least once during the calendar year in which such effective date falls); (ii) promptly after any Eligible Employee is hired by Contractor; and (iii) annually between January 1 and January 31 of each calendar year during the term of this Agreement. Failure to comply with any requirement contained in subparagraph (a) of this Section shall constitute a material breach by Contractor of the terms of this Agreement. If,

within thirty days after Contractor receives written notice of such a breach, Contractor fails to cure such breach or, if such breach cannot reasonably be cured within such period of thirty days, Contractor fails to commence efforts to cure within such period or thereafter fails to diligently pursue such cure to completion, the City may pursue any rights or remedies available under this Agreement or under applicable law. Any Subcontract entered into by Contractor shall require the subcontractor to comply, as to the subcontractor's Eligible Employees, with each of the terms of this section. Capitalized terms used in this Section and not defined in this Agreement shall have the meanings assigned to such terms in Section 120 of the San Francisco Administrative Code.

### 32. Local Business Enterprise Utilization; Liquidated Damages

a. **The LBE Ordinance.** Contractor shall comply with all the requirements of the Local Business Enterprise and Non-Discrimination in Contracting Ordinance set forth in Chapter 14B of the San Francisco Administrative Code as it now exists or as it may be amended in the future (collectively the "LBE Ordinance"); provided such amendments do not materially increase Contractor's obligations or liabilities, or materially diminish Contractor's rights, under this Agreement. Such provisions of the LBE Ordinance are incorporated by reference and made a part of this Agreement as though fully set forth in this section. Contractor's willful failure to comply with any applicable provisions of the LBE Ordinance is a material breach of Contractor's obligations under this Agreement and shall entitle City, subject to any applicable notice and cure provisions set forth in this Agreement, to exercise any of the remedies provided for under this Agreement, under the LBE Ordinance or otherwise available at law or in equity, which remedies shall be cumulative unless this Agreement expressly provides that any remedy is exclusive. In addition, Contractor shall comply fully with all other applicable local, state and federal laws prohibiting discrimination and requiring equal opportunity in contracting, including subcontracting.

#### b. Compliance and Enforcement

1) **Enforcement.** If Contractor willfully fails to comply with any of the provisions of the LBE Ordinance, the rules and regulations implementing the LBE Ordinance, or the provisions of this Agreement pertaining to LBE participation, Contractor shall be liable for liquidated damages in an amount equal to Contractor's net profit on this Agreement, or 10% of the total amount of this Agreement, or \$1,000, whichever is greatest. The Director of the City's Human Rights Commission or any other public official authorized to enforce the LBE Ordinance (separately and collectively, the "Director of HRC") may also impose other sanctions against Contractor authorized in the LBE Ordinance, including declaring the Contractor to be irresponsible and ineligible to contract with the City for a period of up to five years or revocation of the Contractor's LBE certification. The Director of HRC will determine the sanctions to be imposed, including the amount of liquidated damages, after investigation pursuant to Administrative Code §14B.17. By entering into this Agreement, Contractor acknowledges and agrees that any liquidated damages assessed by the Director of the HRC shall be payable to City upon demand. Contractor further acknowledges and agrees that any liquidated damages assessed may be withheld from any monies due to Contractor on any contract with City. Contractor agrees to maintain records necessary for monitoring its compliance with the LBE Ordinance for a period of three years following termination or expiration of this Agreement, and shall make such records available for audit and inspection by the Director of HRC or the Controller upon request.

2) **Subcontracting Goals.** The LBE subcontracting participation goal for this contract is 8%. Contractor shall fulfill the subcontracting commitment made in its bid or proposal. Each invoice submitted to City for payment shall include the information required in the HRC Progress Payment Form and the HRC Payment Affidavit. Failure to provide the HRC Progress Payment Form and the HRC Payment Affidavit with each invoice submitted by Contractor shall entitle City to withhold 20% of the amount of that invoice until the HRC Payment Form and the HRC Subcontractor Payment Affidavit are provided by Contractor. Contractor shall not participate in any back contracting to the Contractor or lower-tier subcontractors, as defined in the LBE Ordinance, for any purpose inconsistent with the provisions of the LBE Ordinance, its implementing rules and regulations, or this Section.

3) **Subcontract Language Requirements.** Contractor shall incorporate the LBE Ordinance into each subcontract made in the fulfillment of Contractor's obligations under this Agreement and require each subcontractor to agree and comply with provisions of the ordinance applicable to subcontractors. Contractor shall include in all subcontracts with LBEs made in fulfillment of Contractor's obligations under this Agreement, a provision requiring Contractor to compensate any LBE subcontractor for damages for breach of contract or liquidated damages equal to 5% of the subcontract amount, whichever is greater, if Contractor does not fulfill its commitment to use the LBE subcontractor as specified in the bid or proposal, unless Contractor received advance approval from the Director of HRC and contract awarding authority to substitute subcontractors or to otherwise modify the commitments in the bid or proposal. Such provisions shall also state that it is enforceable in a court of competent jurisdiction. Subcontracts shall require the subcontractor to maintain records necessary for monitoring its compliance with the LBE Ordinance for a period of three years following termination of this contract and to make such records available for audit and inspection by the Director of HRC or the Controller upon request.

4) **Payment of Subcontractors.** Contractor shall pay its subcontractors within three working days after receiving payment from the City unless Contractor notifies the Director of HRC in writing within ten working days prior to receiving payment from the City that there is a bona fide dispute between Contractor and its subcontractor and the Director waives the three-day payment requirement, in which case Contractor may withhold the disputed amount but shall pay the undisputed amount. Contractor further agrees, within ten working days following receipt of payment from the City, to file the HRC Payment Affidavit with the Controller, under penalty of perjury, that the Contractor has paid all subcontractors. The affidavit shall provide the names and addresses of all subcontractors and the amount paid to each. Failure to provide such affidavit may subject Contractor to enforcement procedure under Administrative Code §14B.17.

### 33. **Nondiscrimination; Penalties**

a. **Contractor Shall Not Discriminate.** In the performance of this Agreement, Contractor agrees not to discriminate against any employee, City and County employee working with such contractor or subcontractor, applicant for employment with such contractor or subcontractor, or against any person seeking accommodations, advantages, facilities, privileges, services, or membership in all business, social, or other establishments or organizations, on the basis of the fact or perception of a person's race, color, creed, religion, national origin, ancestry, age, height, weight, sex, sexual orientation, gender identity, domestic partner status, marital status, disability or Acquired Immune Deficiency Syndrome or HIV status (AIDS/HIV status), or

association with members of such protected classes, or in retaliation for opposition to discrimination against such classes.

b. **Subcontracts.** Contractor shall incorporate by reference in all subcontracts the provisions of §§12B.2(a), 12B.2(c)-(k), and 12C.3 of the San Francisco Administrative Code (copies of which are available from Purchasing) and shall require all subcontractors to comply with such provisions. Contractor's failure to comply with the obligations in this subsection shall constitute a material breach of this Agreement.

c. **Nondiscrimination in Benefits.** Contractor does not as of the date of this Agreement and will not during the term of this Agreement, in any of its operations in San Francisco, on real property owned by San Francisco, or where work is being performed for the City elsewhere in the United States, discriminate in the provision of bereavement leave, family medical leave, health benefits, membership or membership discounts, moving expenses, pension and retirement benefits or travel benefits, as well as any benefits other than the benefits specified above, between employees with domestic partners and employees with spouses, and/or between the domestic partners and spouses of such employees, where the domestic partnership has been registered with a governmental entity pursuant to state or local law authorizing such registration, subject to the conditions set forth in §12B.2(b) of the San Francisco Administrative Code.

d. **Condition to Contract.** As a condition to this Agreement, Contractor shall execute the "Chapter 12B Declaration: Nondiscrimination in Contracts and Benefits" form (form HRC-12B-101) with supporting documentation and secure the approval of the form by the San Francisco Human Rights Commission.

e. **Incorporation of Administrative Code Provisions by Reference.** The provisions of Chapters 12B and 12C of the San Francisco Administrative Code are incorporated in this Section by reference and made a part of this Agreement as though fully set forth herein. Contractor shall comply fully with and be bound by all of the provisions that apply to this Agreement under such Chapters, including but not limited to the remedies provided in such Chapters. Without limiting the foregoing, Contractor understands that pursuant to §§12B.2(h) and 12C.3(g) of the San Francisco Administrative Code, a penalty of \$50 for each person for each calendar day during which such person was discriminated against in violation of the provisions of this Agreement may be assessed against Contractor and/or deducted from any payments due Contractor.

**34. MacBride Principles—Northern Ireland.** Pursuant to San Francisco Administrative Code §12F.5, the City and County of San Francisco urges companies doing business in Northern Ireland to move towards resolving employment inequities, and encourages such companies to abide by the MacBride Principles. The City and County of San Francisco urges San Francisco companies to do business with corporations that abide by the MacBride Principles. By signing below, the person executing this agreement on behalf of Contractor acknowledges and agrees that he or she has read and understood this section.

**35. Tropical Hardwood and Virgin Redwood Ban.** Pursuant to §804(b) of the San Francisco Environment Code, the City and County of San Francisco urges contractors not to import, purchase, obtain, or use for any purpose, any tropical hardwood, tropical hardwood wood product, virgin redwood or virgin redwood wood product.

36. **Drug-Free Workplace Policy.** Contractor acknowledges that pursuant to the Federal Drug-Free Workplace Act of 1989, the unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited on City premises. Contractor agrees that any violation of this prohibition by Contractor, its employees, agents or assigns will be deemed a material breach of this Agreement.
37. **Resource Conservation.** Chapter 5 of the San Francisco Environment Code ("Resource Conservation") is incorporated herein by reference. Failure by Contractor to comply with any of the applicable requirements of Chapter 5 will be deemed a material breach of contract.
38. **Compliance with Americans with Disabilities Act.** Contractor acknowledges that, pursuant to the Americans with Disabilities Act (ADA), programs, services and other activities provided by a public entity to the public, whether directly or through a contractor, must be accessible to the disabled public. Contractor shall provide the services specified in this Agreement in a manner that complies with the ADA and any and all other applicable federal, state and local disability rights legislation. Contractor agrees not to discriminate against disabled persons in the provision of services, benefits or activities provided under this Agreement and further agrees that any violation of this prohibition on the part of Contractor, its employees, agents or assigns will constitute a material breach of this Agreement.
39. **Sunshine Ordinance.** In accordance with San Francisco Administrative Code §67.24(e), contracts, contractors' bids, responses to solicitations and all other records of communications between City and persons or firms seeking contracts, shall be open to inspection immediately after a contract has been awarded. Nothing in this provision requires the disclosure of a private person or organization's net worth or other proprietary financial data submitted for qualification for a contract or other benefit until and unless that person or organization is awarded the contract or benefit. Information provided which is covered by this paragraph will be made available to the public upon request.
40. **Public Access to Meetings and Records.** If the Contractor receives a cumulative total per year of at least \$250,000 in City funds or City-administered funds and is a non-profit organization as defined in Chapter 12L of the San Francisco Administrative Code, Contractor shall comply with and be bound by all the applicable provisions of that Chapter. By executing this Agreement, the Contractor agrees to open its meetings and records to the public in the manner set forth in §§12L.4 and 12L.5 of the Administrative Code. Contractor further agrees to make-good faith efforts to promote community membership on its Board of Directors in the manner set forth in §12L.6 of the Administrative Code. The Contractor acknowledges that its material failure to comply with any of the provisions of this paragraph shall constitute a material breach of this Agreement. The Contractor further acknowledges that such material breach of the Agreement shall be grounds for the City to terminate and/or not renew the Agreement, partially or in its entirety.
41. **Limitations on Contributions.** Through execution of this Agreement, Contractor acknowledges that it is familiar with section 1.126 of the City's Campaign and Governmental Conduct Code, which prohibits any person who contracts with the City for the rendition of personal services, for the furnishing of any material, supplies or equipment, for the sale or lease of any land or building, or for a grant, loan or loan guarantee, from making any campaign contribution to (1) an individual holding a City elective office if the contract must be approved by the individual, a board on which that individual serves, or the board of a state agency on



which an appointee of that individual serves, (2) a candidate for the office held by such individual, or (3) a committee controlled by such individual, at any time from the commencement of negotiations for the contract until the later of either the termination of negotiations for such contract or six months after the date the contract is approved. Contractor acknowledges that the foregoing restriction applies only if the contract or a combination or series of contracts approved by the same individual or board in a fiscal year have a total anticipated or actual value of \$50,000 or more. Contractor further acknowledges that the prohibition on contributions applies to each prospective party to the contract; each member of Contractor's board of directors; Contractor's chairperson, chief executive officer, chief financial officer and chief operating officer; any person with an ownership interest of more than 20 percent in Contractor; any subcontractor listed in the bid or contract; and any committee that is sponsored or controlled by Contractor. Additionally, Contractor acknowledges that Contractor must inform each of the persons described in the preceding sentence of the prohibitions contained in Section 1.126. Contractor further agrees to provide to City the names of each person, entity or committee described above.

#### 42. Requiring Minimum Compensation for Covered Employees

a. Contractor agrees to comply fully with and be bound by all of the provisions of the Minimum Compensation Ordinance (MCO), as set forth in San Francisco Administrative Code Chapter 12P (Chapter 12P), including the remedies provided, and implementing guidelines and rules. The provisions of Sections 12P.5 and 12P.5.1 of Chapter 12P are incorporated herein by reference and made a part of this Agreement as though fully set forth. The text of the MCO is available on the web at [www.sfgov.org/olse/mco](http://www.sfgov.org/olse/mco). A partial listing of some of Contractor's obligations under the MCO is set forth in this Section. Contractor is required to comply with all the provisions of the MCO, irrespective of the listing of obligations in this Section.

b. The MCO requires Contractor to pay Contractor's employees a minimum hourly gross compensation wage rate and to provide minimum compensated and uncompensated time off. The minimum wage rate may change from year to year and Contractor is obligated to keep informed of the then-current requirements. Any subcontract entered into by Contractor shall require the subcontractor to comply with the requirements of the MCO and shall contain contractual obligations substantially the same as those set forth in this Section. It is Contractor's obligation to ensure that any subcontractors of any tier under this Agreement comply with the requirements of the MCO. If any subcontractor under this Agreement fails to comply, City may pursue any of the remedies set forth in this Section against Contractor.

c. Contractor shall not take adverse action or otherwise discriminate against an employee or other person for the exercise or attempted exercise of rights under the MCO. Such actions, if taken within 90 days of the exercise or attempted exercise of such rights, will be rebuttably presumed to be retaliation prohibited by the MCO.

d. Contractor shall maintain employee and payroll records as required by the MCO. If Contractor fails to do so, it shall be presumed that the Contractor paid no more than the minimum wage required under State law.

e. The City is authorized to inspect Contractor's job sites and conduct interviews with employees and conduct audits of Contractor

f. Contractor's commitment to provide the Minimum Compensation is a material element of the City's consideration for this Agreement. The City in its sole discretion shall determine whether such a breach has occurred. The City and the public will suffer actual damage that will be impractical or extremely difficult to determine if the Contractor fails to comply with these requirements. Contractor agrees that the sums set forth in Section 12P.6.1 of the MCO as liquidated damages are not a penalty, but are reasonable estimates of the loss that the City and the public will incur for Contractor's noncompliance. The procedures governing the assessment of liquidated damages shall be those set forth in Section 12P.6.2 of Chapter 12P.

g. Contractor understands and agrees that if it fails to comply with the requirements of the MCO, the City shall have the right to pursue any rights or remedies available under Chapter 12P (including liquidated damages), under the terms of the contract, and under applicable law. If, within 30 days after receiving written notice of a breach of this Agreement for violating the MCO, Contractor fails to cure such breach or, if such breach cannot reasonably be cured within such period of 30 days, Contractor fails to commence efforts to cure within such period, or thereafter fails diligently to pursue such cure to completion, the City shall have the right to pursue any rights or remedies available under applicable law, including those set forth in Section 12P.6(c) of Chapter 12P. Each of these remedies shall be exercisable individually or in combination with any other rights or remedies available to the City.

h. Contractor represents and warrants that it is not an entity that was set up, or is being used, for the purpose of evading the intent of the MCO.

i. If Contractor is exempt from the MCO when this Agreement is executed because the cumulative amount of agreements with this department for the fiscal year is less than \$25,000, but Contractor later enters into an agreement or agreements that cause contractor to exceed that amount in a fiscal year, Contractor shall thereafter be required to comply with the MCO under this Agreement. This obligation arises on the effective date of the agreement that causes the cumulative amount of agreements between the Contractor and this department to exceed \$25,000 in the fiscal year.

#### 43. Requiring Health Benefits for Covered Employees

Contractor agrees to comply fully with and be bound by all of the provisions of the Health Care Accountability Ordinance (HCAO), as set forth in San Francisco Administrative Code Chapter 12Q, including the remedies provided, and implementing regulations, as the same may be amended from time to time. The provisions of section 12Q.5.1 of Chapter 12Q are incorporated by reference and made a part of this Agreement as though fully set forth herein. The text of the HCAO is available on the web at [www.sfgov.org/olse](http://www.sfgov.org/olse). Capitalized terms used in this Section and not defined in this Agreement shall have the meanings assigned to such terms in Chapter 12Q.

a. For each Covered Employee, Contractor shall provide the appropriate health benefit set forth in Section 12Q.3 of the HCAO. If Contractor chooses to offer the health plan option, such health plan shall meet the minimum standards set forth by the San Francisco Health Commission.

b. Notwithstanding the above, if the Contractor is a small business as defined in Section 12Q.3(e) of the HCAO, it shall have no obligation to comply with part (a) above.

c. Contractor's failure to comply with the HCAO shall constitute a material breach of this agreement. City shall notify Contractor if such a breach has occurred. If, within 30 days after receiving City's written notice of a breach of this Agreement for violating the HCAO, Contractor fails to cure such breach or, if such breach cannot reasonably be cured within such period of 30 days, Contractor fails to commence efforts to cure within such period, or thereafter fails diligently to pursue such cure to completion, City shall have the right to pursue the remedies set forth in 12Q.5.1 and 12Q.5(f)(1-6). Each of these remedies shall be exercisable individually or in combination with any other rights or remedies available to City.

d. Any Subcontract entered into by Contractor shall require the Subcontractor to comply with the requirements of the HCAO and shall contain contractual obligations substantially the same as those set forth in this Section. Contractor shall notify City's Office of Contract Administration when it enters into such a Subcontract and shall certify to the Office of Contract Administration that it has notified the Subcontractor of the obligations under the HCAO and has imposed the requirements of the HCAO on Subcontractor through the Subcontract. Each Contractor shall be responsible for its Subcontractors' compliance with this Chapter. If a Subcontractor fails to comply, the City may pursue the remedies set forth in this Section against Contractor based on the Subcontractor's failure to comply, provided that City has first provided Contractor with notice and an opportunity to obtain a cure of the violation.

e. Contractor shall not discharge, reduce in compensation, or otherwise discriminate against any employee for notifying City with regard to Contractor's noncompliance or anticipated noncompliance with the requirements of the HCAO, for opposing any practice proscribed by the HCAO, for participating in proceedings related to the HCAO, or for seeking to assert or enforce any rights under the HCAO by any lawful means.

f. Contractor represents and warrants that it is not an entity that was set up, or is being used, for the purpose of evading the intent of the HCAO.

g. Contractor shall maintain employee and payroll records in compliance with the California Labor Code and Industrial Welfare Commission orders, including the number of hours each employee has worked on the City Contract.

h. Contractor shall keep itself informed of the current requirements of the HCAO.

i. Contractor shall provide reports to the City in accordance with any reporting standards promulgated by the City under the HCAO, including reports on Subcontractors and Subtenants, as applicable.

j. Contractor shall provide City with access to records pertaining to compliance with HCAO after receiving a written request from City to do so and being provided at least ten business days to respond.

k. Contractor shall allow City to inspect Contractor's job sites and have access to Contractor's employees in order to monitor and determine compliance with HCAO.

l. City may conduct random audits of Contractor to ascertain its compliance with HCAO. Contractor agrees to cooperate with City when it conducts such audits.

m. If Contractor is exempt from the HCAO when this Agreement is executed because its amount is less than \$25,000 (\$50,000 for nonprofits), but Contractor later enters into an agreement or agreements that cause Contractor's aggregate amount of all agreements with City

to reach \$75,000, all the agreements shall be thereafter subject to the HCAO. This obligation arises on the effective date of the agreement that causes the cumulative amount of agreements between Contractor and the City to be equal to or greater than \$75,000 in the fiscal year.

#### 44. First Source Hiring Program

a. **Incorporation of Administrative Code Provisions by Reference.** The provisions of Chapter 83 of the San Francisco Administrative Code are incorporated in this Section by reference and made a part of this Agreement as though fully set forth herein. Contractor shall comply fully with, and be bound by, all of the provisions that apply to this Agreement under such Chapter, including but not limited to the remedies provided therein. Capitalized terms used in this Section and not defined in this Agreement shall have the meanings assigned to such terms in Chapter 83.

b. **First Source Hiring Agreement.** As an essential term of, and consideration for, any contract or property contract with the City, not exempted by the FSHA, the Contractor shall enter into a first source hiring agreement ("agreement") with the City, on or before the effective date of the contract or property contract. Contractors shall also enter into an agreement with the City for any other work that it performs in the City. Such agreement shall:

1) Set appropriate hiring and retention goals for entry level positions. The employer shall agree to achieve these hiring and retention goals, or, if unable to achieve these goals, to establish good faith efforts as to its attempts to do so, as set forth in the agreement. The agreement shall take into consideration the employer's participation in existing job training, referral and/or brokerage programs. Within the discretion of the FSHA, subject to appropriate modifications, participation in such programs may be certified as meeting the requirements of this Chapter. Failure either to achieve the specified goal, or to establish good faith efforts will constitute noncompliance and will subject the employer to the provisions of Section 83.10 of this Chapter.

2) Set first source interviewing, recruitment and hiring requirements, which will provide the San Francisco Workforce Development System with the first opportunity to provide qualified economically disadvantaged individuals for consideration for employment for entry level positions. Employers shall consider all applications of qualified economically disadvantaged individuals referred by the System for employment; provided however, if the employer utilizes nondiscriminatory screening criteria, the employer shall have the sole discretion to interview and/or hire individuals referred or certified by the San Francisco Workforce Development System as being qualified economically disadvantaged individuals. The duration of the first source interviewing requirement shall be determined by the FSHA and shall be set forth in each agreement, but shall not exceed 10 days. During that period, the employer may publicize the entry level positions in accordance with the agreement. A need for urgent or temporary hires must be evaluated, and appropriate provisions for such a situation must be made in the agreement.

3) Set appropriate requirements for providing notification of available entry level positions to the San Francisco Workforce Development System so that the System may train and refer an adequate pool of qualified economically disadvantaged individuals to participating employers. Notification should include such information as employment needs by occupational title, skills, and/or experience required, the hours required, wage scale and duration of employment, identification of entry level and training positions, identification of English

language proficiency requirements, or absence thereof, and the projected schedule and procedures for hiring for each occupation. Employers should provide both long-term job need projections and notice before initiating the interviewing and hiring process. These notification requirements will take into consideration any need to protect the employer's proprietary information.

4) Set appropriate record keeping and monitoring requirements. The First Source Hiring Administration shall develop easy-to-use forms and record keeping requirements for documenting compliance with the agreement. To the greatest extent possible, these requirements shall utilize the employer's existing record keeping systems, be nonduplicative, and facilitate a coordinated flow of information and referrals;

5) Establish guidelines for employer good faith efforts to comply with the first source hiring requirements of this Chapter. The FSHA will work with City departments to develop employer good faith effort requirements appropriate to the types of contracts and property contracts handled by each department. Employers shall appoint a liaison for dealing with the development and implementation of the employer's agreement. In the event that the FSHA finds that the employer under a City contract or property contract has taken actions primarily for the purpose of circumventing the requirements of this Chapter, that employer shall be subject to the sanctions set forth in Section 83.10 of this Chapter.

6) Set the term of the requirements.

7) Set appropriate enforcement and sanctioning standards consistent with this Chapter.

8) Set forth the City's obligations to develop training programs, job applicant referrals, technical assistance, and information systems that assist the employer in complying with this Chapter.

9) Require the developer to include notice of the requirements of this Chapter in leases, subleases, and other occupancy contracts.

c. **Hiring Decisions.** Contractor shall make the final determination of whether an Economically Disadvantaged Individual referred by the System is "qualified" for the position.

d. **Exceptions.** Upon application by Employer, the First Source Hiring Administration may grant an exception to any or all of the requirements of Chapter 83 in any situation where it concludes that compliance with this Chapter would cause economic hardship.

e. **Liquidated Damages.** Contractor agrees:

1) To be liable to the City for liquidated damages as provided in this section;

2) To be subject to the procedures governing enforcement of breaches of contracts based on violations of contract provisions required by this Chapter as set forth in this section;

3) That the contractor's commitment to comply with this Chapter is a material element of the City's consideration for this contract; that the failure of the contractor to comply with the contract provisions required by this Chapter will cause harm to the City and the public which is significant and substantial but extremely difficult to quantify; that the harm to the City includes not only the financial cost of funding public assistance programs but also the

insidious but impossible to quantify harm that this community and its families suffer as a result of unemployment; and that the assessment of liquidated damages of up to \$5,000 for every notice of a new hire for an entry level position improperly withheld by the contractor from the first source hiring process, as determined by the FSHA, during its first investigation of a contractor, does not exceed a fair estimate of the financial and other damages that the City suffers as a result of the contractor's failure to comply with its first source referral contractual obligations.

4) That the continued failure by a contractor to comply with its first source referral contractual obligations will cause further significant and substantial harm to the City and the public, and that a second assessment of liquidated damages of up to \$10,000 for each entry level position improperly withheld from the FSHA, from the time of the conclusion of the first investigation forward, does not exceed the financial and other damages that the City suffers as a result of the contractor's continued failure to comply with its first source referral contractual obligations;

5) That in addition to the cost of investigating alleged violations under this Section, the computation of liquidated damages for purposes of this section is based on the following data:

(a) The average length of stay on public assistance in San Francisco's County Adult Assistance Program is approximately 41 months at an average monthly grant of \$348 per month, totaling approximately \$14,379; and

(b) In 2004, the retention rate of adults placed in employment programs funded under the Workforce Investment Act for at least the first six months of employment was 84.4%. Since qualified individuals under the First Source program face far fewer barriers to employment than their counterparts in programs funded by the Workforce Investment Act, it is reasonable to conclude that the average length of employment for an individual whom the First Source Program refers to an employer and who is hired in an entry level position is at least one year;

Therefore, liquidated damages that total \$5,000 for first violations and \$10,000 for subsequent violations as determined by FSHA constitute a fair, reasonable, and conservative attempt to quantify the harm caused to the City by the failure of a contractor to comply with its first source referral contractual obligations.

6) That the failure of contractors to comply with this Chapter, except property contractors, may be subject to the debarment and monetary penalties set forth in Sections 6.80 et seq. of the San Francisco Administrative Code, as well as any other remedies available under the contract or at law; and

Violation of the requirements of Chapter 83 is subject to an assessment of liquidated damages in the amount of \$5,000 for every new hire for an Entry Level Position improperly withheld from the first source hiring process. The assessment of liquidated damages and the evaluation of any defenses or mitigating factors shall be made by the FSHA.

f. Subcontracts. Any subcontract entered into by Contractor shall require the subcontractor to comply with the requirements of Chapter 83 and shall contain contractual obligations substantially the same as those set forth in this Section.

45. Prohibition on Political Activity with City Funds. In accordance with San Francisco Administrative Code Chapter 12.G, Contractor may not participate in, support, or attempt to

influence any political campaign for a candidate or for a ballot measure (collectively, "Political Activity") in the performance of the services provided under this Agreement. Contractor agrees to comply with San Francisco Administrative Code Chapter 12.G and any implementing rules and regulations promulgated by the City's Controller. The terms and provisions of Chapter 12.G are incorporated herein by this reference. In the event Contractor violates the provisions of this section, the City may, in addition to any other rights or remedies available hereunder, (i) terminate this Agreement, and (ii) prohibit Contractor from bidding on or receiving any new City contract for a period of two (2) years. The Controller will not consider Contractor's use of profit as a violation of this section.

46. **Preservative-treated Wood Containing Arsenic.** Contractor may not purchase preservative-treated wood products containing arsenic in the performance of this Agreement unless an exemption from the requirements of Chapter 13 of the San Francisco Environment Code is obtained from the Department of the Environment under Section 1304 of the Code. The term "preservative-treated wood containing arsenic" shall mean wood treated with a preservative that contains arsenic, elemental arsenic, or an arsenic copper combination, including, but not limited to, chromated copper arsenate preservative, ammoniacal copper zinc arsenate preservative, or ammoniacal copper arsenate preservative. Contractor may purchase preservative-treated wood products on the list of environmentally preferable alternatives prepared and adopted by the Department of the Environment. This provision does not preclude Contractor from purchasing preservative-treated wood containing arsenic for saltwater immersion. The term "saltwater immersion" shall mean a pressure-treated wood that is used for construction purposes or facilities that are partially or totally immersed in saltwater.

47. **Modification of Agreement.** This Agreement may not be modified, nor may compliance with any of its terms be waived, except by written instrument executed and approved in the same manner as this Agreement. Contractor shall cooperate with Department to submit to the Director of HRC any amendment, modification, supplement or change order that would result in a cumulative increase of the original amount of this Agreement by more than 20% (HRC Contract Modification Form).

48. **Administrative Remedy for Agreement Interpretation.** Should any question arise as to the meaning and intent of this Agreement, the question shall, prior to any other action or resort to any other legal remedy, be referred to Purchasing who shall decide the true meaning and intent of the Agreement.

49. **Agreement Made in California; Venue.** The formation, interpretation and performance of this Agreement shall be governed by the laws of the State of California. Venue for all litigation relative to the formation, interpretation and performance of this Agreement shall be in San Francisco.

50. **Construction.** All paragraph captions are for reference only and shall not be considered in construing this Agreement.

51. **Entire Agreement.** This contract sets forth the entire Agreement between the parties, and supersedes all other oral or written provisions. This contract may be modified only as provided in Section 48, "Modification of Agreement."

52. **Compliance with Laws.** Contractor shall keep itself fully informed of the City's Charter, codes, ordinances and regulations of the City and of all state, and federal laws in any

manner affecting the performance of this Agreement, and must at all times comply with such local codes, ordinances, and regulations and all applicable laws as they may be amended from time to time.

53. **Services Provided by Attorneys.** Any services to be provided by a law firm or attorney must be reviewed and approved in writing in advance by the City Attorney. No invoices for services provided by law firms or attorneys, including, without limitation, as subcontractors of Contractor, will be paid unless the provider received advance written approval from the City Attorney.

54. **Supervision of Minors.** Contractor, and any subcontractors, shall comply with California Penal Code section 11105.3 and request from the Department of Justice records of all convictions or any arrest pending adjudication involving the offenses specified in Welfare and Institution Code section 15660(a) of any person who applies for employment or volunteer position with Contractor, or any subcontractor, in which he or she would have supervisory or disciplinary power over a minor under his or her care. If Contractor, or any subcontractor, is providing services at a City park, playground, recreational center or beach (separately and collectively, "Recreational Site"), Contractor shall not hire, and shall prevent its subcontractors from hiring, any person for employment or volunteer position to provide those services if that person has been convicted of any offense that was listed in former Penal Code section 11105.3 (h)(1) or 11105.3(h)(3). If Contractor, or any of its subcontractors, hires an employee or volunteer to provide services to minors at any location other than a Recreational Site, and that employee or volunteer has been convicted of an offense specified in Penal Code section 11105.3(c), then Contractor shall comply, and cause its subcontractors to comply with that section and provide written notice to the parents or guardians of any minor who will be supervised or disciplined by the employee or volunteer not less than ten (10) days prior to the day the employee or volunteer begins his or her duties or tasks. Contractor shall provide, or cause its subcontractors to provide City with a copy of any such notice at the same time that it provides notice to any parent or guardian. Contractor shall expressly require any of its subcontractors with supervisory or disciplinary power over a minor to comply with this section of the Agreement as a condition of its contract with the subcontractor. Contractor acknowledges and agrees that failure by Contractor or any of its subcontractors to comply with any provision of this section of the Agreement shall constitute an Event of Default. Contractor further acknowledges and agrees that such Event of Default shall be grounds for the City to terminate the Agreement, partially or in its entirety, to recover from Contractor any amounts paid under this Agreement, and to withhold any future payments to Contractor. The remedies provided in this Section shall not be limited to any other remedy available to the City hereunder, or in equity or law for an Event of Default, and each remedy may be exercised individually or in combination with any other available remedy. The exercise of any remedy shall not preclude or in any way be deemed to waive any other remedy.

55. **Severability.** Should the application of any provision of this Agreement to any particular facts or circumstances be found by a court of competent jurisdiction to be invalid or unenforceable, then (a) the validity of other provisions of this Agreement shall not be affected or impaired thereby, and (b) such provision shall be enforced to the maximum extent possible so as to effect the intent of the parties and shall be reformed without further action by the parties to the extent necessary to make such provision valid and enforceable.



56. **Protection of Private Information.** Contractor has read and agrees to the terms set forth in San Francisco Administrative Code Sections 12M.2, "Nondisclosure of Private Information," and 12M.3, "Enforcement" of Administrative Code Chapter 12M, "Protection of Private Information," which are incorporated herein as if fully set forth. Contractor agrees that any failure of Contractor to comply with the requirements of Section 12M.2 of this Chapter shall be a material breach of the Contract. In such an event, in addition to any other remedies available to it under equity or law, the City may terminate the Contract, bring a false claim action against the Contractor pursuant to Chapter 6 or Chapter 21 of the Administrative Code, or debar the Contractor.

57. **Graffiti Removal.** Graffiti is detrimental to the health, safety and welfare of the community in that it promotes a perception in the community that the laws protecting public and private property can be disregarded with impunity. This perception fosters a sense of disrespect of the law that results in an increase in crime; degrades the community and leads to urban blight; is detrimental to property values, business opportunities and the enjoyment of life; is inconsistent with the City's property maintenance goals and aesthetic standards; and results in additional graffiti and in other properties becoming the target of graffiti unless it is quickly removed from public and private property. Graffiti results in visual pollution and is a public nuisance. Graffiti must be abated as quickly as possible to avoid detrimental impacts on the City and County and its residents, and to prevent the further spread of graffiti. Contractor shall remove all graffiti from any real property owned or leased by Contractor in the City and County of San Francisco within forty eight (48) hours of the earlier of Contractor's (a) discovery or notification of the graffiti or (b) receipt of notification of the graffiti from the Department of Public Works. This section is not intended to require a Contractor to breach any lease or other agreement that it may have concerning its use of the real property. The term "graffiti" means any inscription, word, figure, marking or design that is affixed, marked, etched, scratched, drawn or painted on any building, structure, fixture or other improvement, whether permanent or temporary, including by way of example only and without limitation, signs, banners, billboards and fencing surrounding construction sites, whether public or private, without the consent of the owner of the property or the owner's authorized agent, and which is visible from the public right-of-way. "Graffiti" shall not include: (1) any sign or banner that is authorized by, and in compliance with, the applicable requirements of the San Francisco Public Works Code, the San Francisco Planning Code or the San Francisco Building Code; or (2) any mural or other painting or marking on the property that is protected as a work of fine art under the California Art Preservation Act (California Civil Code Sections 987 et seq.) or as a work of visual art under the Federal Visual Artists Rights Act of 1990 (17 U.S.C. §§ 101 et seq.).

Any failure of Contractor to comply with this section of this Agreement shall constitute an Event of Default of this Agreement.

58. **Food Service Waste Reduction Requirements.** Effective June 1, 2007, Contractor agrees to comply fully with and be bound by all of the provisions of the Food Service Waste Reduction Ordinance, as set forth in San Francisco Environment Code Chapter 16, including the remedies provided, and implementing guidelines and rules. The provisions of Chapter 16 are incorporated herein by reference and made a part of this Agreement as though fully set forth. This provision is a material term of this Agreement. By entering into this Agreement, Contractor agrees that if it breaches this provision, City will suffer actual damages that will be impractical or extremely difficult to determine; further, Contractor agrees that the sum of one hundred

dollars (\$100) liquidated damages for the first breach, two hundred dollars (\$200) liquidated damages for the second breach in the same year, and five hundred dollars (\$500) liquidated damages for subsequent breaches in the same year is reasonable estimate of the damage that City will incur based on the violation, established in light of the circumstances existing at the time this Agreement was made. Such amount shall not be considered a penalty, but rather agreed monetary damages sustained by City because of Contractor's failure to comply with this provision.

**59. Slavery Era Disclosure**

a. Contractor acknowledges that this contract shall not be binding upon the City until the Director receives the affidavit required by the San Francisco Administrative Code's Chapter 12Y, "San Francisco Slavery Era Disclosure Ordinance."

b. In the event the Director of Administrative Services finds that Contractor has failed to file an affidavit as required by Section 12Y.4(a) and this Contract, or has willfully filed a false affidavit, the Contractor shall be liable for liquidated damages in an amount equal to the Contractor's net profit on the Contract, 10 percent of the total amount of the Contract, or \$1,000, whichever is greatest as determined by the Director of Administrative Services. Contractor acknowledges and agrees that the liquidated damages assessed shall be payable to the City upon demand and may be set off against any monies due to the Contractor from any Contract with the City.

c. Contractor shall maintain records necessary for monitoring their compliance with this provision.

**60. Cooperative Drafting.** This Agreement has been drafted through a cooperative effort of both parties, and both parties have had an opportunity to have the Agreement reviewed and revised by legal counsel. No party shall be considered the drafter of this Agreement, and no presumption or rule that an ambiguity shall be construed against the party drafting the clause shall apply to the interpretation or enforcement of this Agreement.

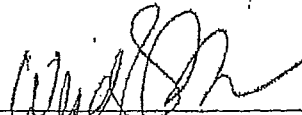
IN WITNESS WHEREOF, the parties hereto have executed this Agreement on the day first mentioned above.

CITY

CONTRACTOR

Recommended by:

Leaders in Community Alternatives, Inc.

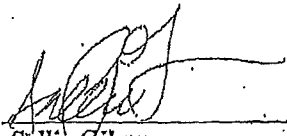
  
Wendy S. Hall, MAS  
Chief Adult Probation Officer  
San Francisco Adult Probation  
Department

By signing this Agreement, I certify that I comply with the requirements of the Minimum Compensation Ordinance, which entitle Covered Employees to certain minimum hourly wages and compensated and uncompensated time off.

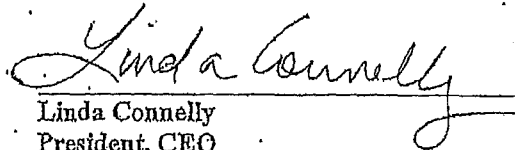
Approved as to Form:


I have read and understood paragraph 35, the City's statement urging companies doing business in Northern Ireland to move towards resolving employment inequities, encouraging compliance with the MacBride Principles, and urging San Francisco companies to do business with corporations that abide by the MacBride Principles.

Dennis J. Herrera  
City Attorney

By:   
Sallie Gibson  
Deputy City Attorney

Approved:

  
Linda Connelly  
President, CEO  
1035 Market Street  
San Francisco, CA 94103

  
Naomi Kelly Jaci Fong  
Director of the Office of Contract  
Administration, and  
Purchaser

City vendor number: 25546

Appendices

- A: Services to be provided by Contractor
- B: Project Budget for the period of June 1, 2012 – June 30, 2013
- C: Insurance Waiv

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Appendix A  
Services to be provided by Contractor

1. Description of Services:

The Contractor will manage and operate the Community Assessment and Services Center facility, and oversee the delivery of center and off-site reentry support services for clients of the San Francisco Adult Probation Department.

SCOPE OF WORK

CASC – Service Delivery Responsibilities

A. PRINCIPALS OF EFFECTIVE INTERVENTION

Leaders in Community Alternatives ("LCA") agrees to train all staff on and appropriately integrate the National Institute of Correction's eight evidence-based principles for effective intervention within community corrections into every facet of service delivery. The eight principles are:

- 1) Assess Criminogenic Risks/Needs
- 2) Enhance Intrinsic Motivations
- 3) Target Interventions
  - a. Risk Principle: Prioritize supervision and treatment resources for higher risk offenders.
  - b. Need Principle: Target interventions to criminogenic (correlated to crime) needs.
  - c. Responsivity Principle: Be responsive to temperament, learning style, motivation, culture, and gender when assigning programs.
  - d. Dosage: Structure 40-70% of high-risk offenders' time for three to nine months.
  - e. Treatment Principle: Integrate treatment into the full sentence/sanction requirements.
- 4) Skill Train with Directed Practice (e.g., use cognitive behavioral treatment methods)
- 5) Increase Positive Reinforcement
- 6) Engage Ongoing Support in Natural Communities
- 7) Measure Relevant Processes/Practices
- 8) Provide Measured Feedback

The CASC program design incorporates these principles in services for all clients. Each client will complete a COMPAS risk-assessment (principle 1) with the aim of identifying and targeting interventions (principle 3). All of the services offered are structured to enhance intrinsic motivation (principle 2) and will engage all individuals in skill building activities (principle 4). The services offered will provide positive reinforcement for the development of new skills and behaviors (principle 5) and will support the socialization of individuals as they re-enter their communities (principle 6). In an effort to demonstrate the success of the proposed model, LCA

will measure the implemented practices (principle 7) and will provide measured feedback and outcomes to the SFAPD (principle 8). As established in cooperation with SFAPD and tracked by CASC staff, progress will be measured, including clients' compliance with their COMPAS Individualized Treatment and Rehabilitation Plan attendance, participation in assigned onsite and community activities, completion of components, and any special accomplishments and challenges. Any concerns or problems will be reviewed in the weekly case conferences with SFAPD, with adjustments made as needed.

#### B. ASSESSMENT, PLANNING AND TREATMENT

A comprehensive program is essential for our clients' successful, sustained community reintegration.

The CASC services will incorporate and include:

- 1) Gender Responsive Strategies
- 2) Strength Based, Trauma Informed and Family Focused Strategies
- 3) Criminogenic Needs and Community Functioning Factors
- 4) Collaborative and Coordinated Case Conferencing
- 5) Review of COMPAS Assessment and creation of Reentry Services Plan
- 6) Administration of Secondary Assessments
- 7) Coordinated Case Management

#### C. OVERVIEW OF SERVICE DELIVERY COMPONENTS

LCA, including partner providers, will incorporate tactical strategies previously identified to engage clients and provide services from program referral to completion.

- 1) Reentry Transportation
- 2) Intake
- 3) Orientation and Enrollment
- 4) Rehabilitation Services
- 5) Individualized Case Management, including Clinical Case Management
- 6) Community Service and Activities
- 7) Aftercare Services

#### D. INCENTIVES, REWARDS, AND REMEDIAL SANCTIONS

The overall LCA CASC program design emphasizes and supports clients' strengths, positive change, and the importance of accountability. Best practices includes providing incentives and rewards for progress and achieving goals, and structured sanctions that are swift and certain when clients do not meet program expectations or personal responsibilities.

CASC Program will utilize the uniform sanctions and incentives matrix developed by SFAPD, to include:

- 1) Incentives and recognition of client achievements.
- 2) Remedial Sanctions, including drug testing, repeated group sessions, extra community service, and others specific to the situation.

#### **E. REHABILITATIVE PROGRAMS**

The CASC will offer a full array of on and off site rehabilitative programs designed to successfully transition offenders back into their communities. The interventions and services strive to use evidenced-based curricula whenever available, and to engage clients and address their criminogenic needs and community functioning factors. Clients will be assigned to rehabilitative services in accordance with their Individualized Treatment and Rehabilitation and/or Reentry Services Plan. Requirements for program completion of each component will be identified in the Reentry Services Plan and adjusted, as needed, through case conferences. Program capacity outlined below is based on current funding availability, and will be adjusted based on actual funding received. Programs include:

##### **1. Gender Responsive Treatment and Services for Women Client Groups - LCA**

**Primary Curriculum:** Helping Women Recover: A Program for Treating Substance Abuse— Special Edition for Use in the Criminal Justice System (Covington, Rev. Ed. 2008).

**Schedule:** The modules will be delivered 2 days a week, 1 ½ hours each, for 9 weeks, for a total of 25.5 hours, and optional 11 sessions delivered 2 days a week; 1 ½ hours each, for 6 weeks, for a total of 16.5 hours. Proposed program capacity is 48 women per year.

Following completion of Helping Women Recover, clients will be assessed, in cooperation with SFAPD, and those in need of further trauma work will continue with additional treatment utilizing Beyond Trauma: A Healing Journey for Women (Covington 2003) to extend and deepen the trauma work introduced in Helping Women Recover. Clients will also be referred to community providers for ongoing gender responsive services.

##### **2. Gender Responsive Treatment and Services for Men Client Groups - LCA**

**Primary Curriculum:** Seeking Safety A Treatment Manual for PTSD and Substance Abuse (Najavits 2007), a flexible, cognitive-based curriculum designed for co-occurring post traumatic stress disorder and substance use disorder, focusing on coping skills and psychoeducation, with safety as the overarching goal (helping clients attain safety in their relationships, thinking, behavior, and emotions).

**Schedule:** The modules will be delivered 3 days a week, 1 hour each, for 9 weeks for total of 25 hours. Proposed program capacity is 240 men per year.

##### **3. Cognitive Skills Development - LCA**

**Primary Curriculum:** Thinking for a Change (T4C), (National Institution of Corrections, 3.0 edition), an integrated, cognitive behavior change program for offenders. It is

anticipated that this core program will be included in the Reentry Services Plan for the majority of CASC clients. The three components of T4C are: cognitive self-change, social skills, and problem-solving skills.

Schedule: The modules will be delivered 3 days a week, 1½ hours each, for 9 weeks for a total of 37.5 hours (excluding optional sessions). Proposed program capacity is 420 clients per year.

#### 4. Anger Management - LCA

Primary Curriculum: Anger Management for Substance Abuse and Mental Health Clients – A Cognitive Behavioral Therapy Manual (Reilly, Shopshire - SAMHSA, 2002)

Schedule: The modules will be delivered once a week, 1 ½ hour sessions, one a week for 12 weeks, for a total of 18 hours. Proposed program capacity is 96 clients per year

#### 5. Substance Abuse Components -- LCA

##### a. Substance Abuse Education Group

Primary Curriculum: ADDICTION: A Biopsychosocial Model (Terence T. Gorski, 2004): Part 1: Mind-Altering Substances; Part 2: Addictive Risk Factors; Part 3: Substance Abuse and Addiction.

Schedule: The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

##### b. Outpatient Substance Abuse Treatment

Primary Curriculum: RECOVERY: A Developmental Model (Terence T. Gorski, 2004): Part 1: The Recovery Process; Part 2: Building a Foundation for Recovery; Part 3: Creating Quality Recovery.

Schedule: The modules will be delivered in 1½ hour sessions, twice a week over 2 weeks, for a total of 6 hours. Proposed program capacity is 48 women and 288 men per year.

##### c. Relapse Prevention Training

Primary Curricula: RELAPSE (Terence T. Gorski, 2004): Session 1 - Basic Principles; Session 2 - Relapse Warning Signs; Sessions 3 and 4: Managing Relapse Warning Signs. The Relapse Prevention Training groups will then utilize: Relapse Prevention Therapy Workbook: Identifying Early Warning Signs Related to Personality and Lifestyle Problems (Terence T. Gorski and Stephen F. Grinstead, 2010)

Schedule: The modules will be delivered 2 days a week, 1 hour each, for 10 weeks for a total of 20 hours. Proposed program capacity is 48 women and 288 men per year.

6. Life Skills Development Training – To be provided by community partner, CJCJ

**Primary Curriculum:** Northern California Service League Life Skills and Employment Readiness Program. That program covers such topics as self assessment, communications, job search techniques and interview skills. CJCJ transitional services specialist will also offer supportive services to CASC case managers for clients that are preparing for program discharge. Emphasis will be placed on budgeting, money management, technology, finding a safe place to live, nutrition, exercise, and many other topics designed to help clients live successfully in the community. The Transitional Specialist will provide a full range of resource development and service referrals to CASC clients returning to the community.

**Schedule:** The modules will be delivered 5 days per week, 4 hours each, for 1 week for a total of 20 hours. This program will be provided once per month. Proposed program capacity is 300 clients per year.

7. Parenting Skills Training – Funding contingent – Community Works

**Primary Curriculum:** Parenting Inside Out, an evidenced-based, cognitive-behavioral parenting curriculum.

**Schedule:** The modules will be delivered 3 sessions per week, 1 ½ hours each, for 16 weeks, for a total of 72 hours. Proposed program capacity is 48 clients per year.

8. Education/High School Diploma/GED – Five Keys Charter High School

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will be established by Five Keys.

9. Employment Services – Anders and Anders/BHPMSS/CJCJ

a) Employment Readiness

**Primary Curriculum:** Makin' It Work for (Ex) Offenders in Transition (Dr. Steve Parese), specifically designed for ex-offenders. CJCJ transitional services or other curriculum may also be used.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. The curriculum will be delivered 2 days a week, 1 ½ hours each, for 5 weeks, for a total of 15 hours. Proposed program capacity is 480 clients per year.

b) Vocational Services

Anders and Anders Foundation will bring 1 FTE Employment Specialist to the CASC to provide vocational training and employment assistance to clients for pre-apprenticeship programs. In addition, one-on-one career counseling will be provided. Once placed in



training or on the job, Anders and Anders will establish a weekly retention working relationship with employer and employee to immediately address any concerns or problems.

Additionally, CJCJ operates two federally funded employment programs. CJCJ will move the San Francisco Training Partnership and Homeless Employment Coalition services and staff to the CASC facility, allowing clients easy access to these services. Clients will receive an array of services including assessment and referral to short-term training, counseling, and job placement services. Participants in both of these programs will also receive CJCJ's employment focused life skills trainings. In addition to providing the above described services, CASC clients will be able to receive monetary support through a flexible pool of monies identified to offer clients training and other relevant supportive services. These funds can be utilized for specific vocational trainings, uniform costs, and work equipment and tools, if deemed appropriate and necessary. These funds provide direct assistance to the clients, allowing for better successes among the participant population.

**Schedule:** A classroom will be devoted 5 days a week, 8 hours a day. Program capacity will vary based on needs of the clients.

#### 10. Recreation and Leisure Activities - LCA

CASC clients will be introduced to physical recreation and multi-cultural celebrations and creative arts events, initially coordinated by staff and volunteers, and subsequently also through their independent exploration.

**Schedule:** Clients will develop a weekly recreation and leisure plan for pro-social activities in the community with their Case Manager.

#### 11. Physical Health Services - various community providers

CASC clients not eligible for public insurance programs such as Medi-Cal, and who do not have other health insurance, will be enrolled in Healthy San Francisco. LCA has letters of Intent (LOI) from the Transitions Clinic, South of Market Health Center, and St. James Infirmary to accept eligible clients for medical assessment, treatment and care. Additionally we have an LOI from St. Vincent de Paul Society who through their Wellness Center will work on the emotional side of physical health with programs of stress reduction techniques, exercise, spiritual development as well as health topic discussions.

#### 12. Graduations - LCA

To receive A CERTIFICATE OF GRADUATION, clients must satisfactorily complete all of their required individual program components as identified in their Reentry Services Plan, and demonstrate their ability to apply the knowledge and tools they learned.

**Schedule:** Twice per year.

13. Additional On-site Groups - LCA

LCA Case Managers and other trained staff and interns will facilitate weekday open morning, lunchtime, and evening check-in groups, Open N.A. and A.A. Meetings. The Community Room will have current resource information including community events and services.

Schedule: vary - during CASC hours of operation.

14. Recovery and Faith-Based Activities - various groups

Throughout the CASC program, clients will be provided with information if they choose to explore and join organizations offering spiritual and healing groups and activities. Clients will be provided extensive recovery group resource information.

15. Creative Arts - Community Works

Community Works will conduct active Creative Arts groups at the CASC.

Schedule: vary - during CASC hours of operation.

16. Clothing Closet - LCA

The CASC will work with various community groups to establish a clothing closet on-site at the facility.

17. Childcare - LCA

LCA is will partner with Community Works for the parenting portion of the CASC. Case Managers will develop a childcare plan with each client who has children. Referrals will be made to agencies which offer multi-lingual family services, including child care.

18. Food Service - BHPMSS

The CASC will provide wholesome and nutritionally balanced meals 5 days per week for clients who spend four or more hours engaged in programming a day. Bayview Hunters Point Multipurpose Senior Services or another approved provider of food services will be responsible for the food service. Programming will include nutrition education, information on shopping and preparation, and also the opportunity to learn about foods of different cultures, expanded to include information on multicultural music, art, and lifestyles.

#### 19. Saturday Services - LCA

Case Managers and other program staff will rotate coverage, supported by security staff. There will be a morning 12-Step meeting, a review of available weekend recreation and community service projects, and the resource guides. Computer stations will be available for client use. The on-duty Case Manager will have individual meetings with clients to address any immediate concerns. Rehabilitative programming will be available for working clients.

#### 20. Alumni Group program - LCA

LCA Milestones program demonstrated the invaluable contribution of an active alumni group, for the alumni themselves supporting each other, and as role models and support to current clients, the program, and the community. Alumni co-facilitated cognitive-behavioral and recovery groups, led groups for community recreation and cultural activities, provided peer support on a 1:1 basis, and led the weekly Sunday evening group meeting.

CASC will establish and strongly support an active Alumni Group with similar invaluable contributions and benefits to the clients and the program. Representative members selected by the Alumni Group, along with current clients, will serve on a Client Advisory Board.

#### 21. Community Advisory Board

The CASC will be an important contributor to its community. An Advisory Board will be established to provide ongoing support for planning and feedback, as well as additional resources for the program. This Board will meet quarterly at the facility. Members will include social service providers, other community organizations, businesses, clients, SFAPD and others.

### CASC - Facility Oversight and Operations Responsibilities

#### Facility and Grounds requirements:

1. The CASC facility must be used exclusively for serving the target population and the staff associated with the program.
2. The CASC must be and remain in compliance with all applicable building, sanitation, health, safety and fire codes, as well as city and county zoning and use ordinances.
3. The CASC will have a plan for onsite security/monitoring of all equipment, supplies, staff and clients. The plan will include monitoring and oversight of entry and exit traffic and will ensure a sign-in/sign-out protocol for all facility visitors.
4. Clients will be prohibited from loitering outside of the facility.
5. The facility will include a staffed reception lobby for CASC services. The SFAPD will staff a separate SFAPD lobby.
6. The CASC should provide a cheerful décor and color-coordinated furnishings for the facility with special emphasis on the lobby, hallways, classrooms and treatment restrooms, and dining area (eating and break room).

7. The CASC must have sufficient space designated for clients to take scheduled breaks and eat lunch.
8. The CASC must provide for multiple classrooms to permit training and services to be offered simultaneously.
9. The facility must provide an adequate number of functional, clean, bathrooms in accordance with City and County of San Francisco standards. The sinks shall provide both hot and cold water. Hand soap, paper towels, paper seat covers should be available. Restrooms must be considerate of gender needs and be separately located. Restrooms must be in compliance with the Americans with Disabilities Act (ADA).
10. Client restrooms shall not be co-located with the restrooms for staff.
11. If urinalysis testing is phased into programming, there must be a restroom for urinalysis testing.
12. The CASC kitchen, cafeteria, food storage area, equipment, appliances, furnishings and cabinetry, as well as all food service and preparation areas must meet all applicable health and sanitation code standards. Accommodations shall be made for participants with disabilities.
13. The CASC shall provide a wholesome and nutritionally balanced lunch a minimum of 5 days per week for all program participants who spend 4 or more hours engaged in programming on a given day. The CASC will be considerate of general health and dietary restrictions and food prohibitions associated with cultural and religious traditions.
14. LCA shall regularly inspect the facility for pest infestation and shall maintain pest control services to ensure the facility is free of insect and rodent infestation. Documentation of pest control services will be maintained at the facility and made available to the SFAPD staff upon request.
15. The CASC shall have proper lighting, heating, and ventilation.
16. The CASC shall have a secured maintenance room for storage of cleaning supplies, tools and equipment (e.g., mops, brooms, buckets, etc.) and shall be equipped with a utility sink. The facility, equipment, furniture, appliances, etc. shall be kept clean and in good operating condition at all times and replaced when necessary.
17. The CASC shall have a plan to ensure comprehensive janitorial services.
18. All repairs including plumbing, electrical and/or structural which affect the health and safety of any occupant must be made within 48 hours of discovery and at the LCA's expense. LCA must notify the SFAPD Reentry Services Manager immediately.
19. LCA will ensure safety and security of facility exterior, interior, equipment, supplies, staff, clients and all client information.
20. If LCA anticipates transporting participants via a private vehicle, all staff shall possess a valid driver's license and the vehicle shall be fully insured.
21. LCA shall have written CASC policies and procedures in accordance with SFAPD's regulations. This policies and procedures will be submitted to the SFAPD Reentry Division for retention in the case file.
22. All CASC staff shall be trained and certified in first aid, including cardiopulmonary resuscitation (CPR) within the first six weeks of employment and remain current throughout their employment relative to this contract. A record of first aid training shall be maintained on file by the LCA.

23. Fully stocked first aid kits will be readily available throughout the facility. The telephone numbers of all local emergency service agencies shall be posted and readily available to all staff.
24. No Smoking signs shall be posted in full view of the participants, staff and visitors.

#### Security and Safety Requirements:

1. Facility Security – The safety and security of clients, staff and visitors is of paramount importance.
  - a. LCA staff and on site security protocols will take a dignified and reasonable approach to ensuring that the facility is free of weapons and contraband, and protected from outside intrusions. Daily security and perimeter inspection of the facility will make certain that functioning locks and latches are on all windows, doors and gates, and that electrical lighting (inside and out) is operating properly. Door alarms may be used to eliminate unauthorized egress or ingress during evening and night hours. Security policies shall ensure that the clients are not locked inside the facility at any time.
  - b. Given the large number of offenders in the facility at any given time, all staff should be adequately trained in effective relationship building, de-escalation strategies, and emergency response and evacuation protocols. CASC monitors that play a security leadership role should make routine safety checks throughout the facility, and be primarily responsible for prompting attention towards any lighting, signage, training or other upgrade that is needed to further ensure the safety of people and property at the CASC.
2. Case Files
  - a. LCA will develop and maintain properly organized participant files and secure them in a locked file cabinet or drawer. Files shall be considered confidential and protected from any unauthorized use or disclosure. Electronic client files will be held to the same security standard as hard copy files. The CASC will have written procedures for the release of case file information to include: 1) the participant's signed and dated Release of Information Form, 2) the name of the person, agency or organization to whom the information was released, and 3) the signature of the employee who released the information and date of release.
3. Searches and Contraband
  - a. Whereas safety and security of CASC persons and property is of paramount importance, and whereas SFAPD and CASC staff will take a responsible harm reduction approach to addressing client substance abuse issues, CASC will create and honor a dignified contraband search and client substance use response policy that will be in compliance with SFAPD regulations, policies, and procedures. Clients that enter the CASC are subject to search. Any findings of contraband and/or signs of substance abuse shall be reported to the SFAPD staff as soon as possible after

discovery. SFAPD and CASC staff will follow an agreed upon protocol for responding to contraband, weapons and substance use.

**4. Disturbance Control Plan**

- a. LCA will have a written Disturbance Control Plan in the event of a major disturbance such as riots, strikes, attacks upon staff, visitors or participants, explosions or fires, suicides or attempted suicides, natural disasters; and accidental injuries to staff and others. The plan shall include assistance from local law enforcement and/or emergency agencies as circumstances warrant. The development of the Disturbance Control Plan shall be coordinated with the SFAPD Reentry Services Manager. Once the Disturbance Control Plan is developed, LCA will submit a copy to the SFAPD Reentry Services Manager for retention in the contract file.

**5. Fire Evacuation Emergency Procedures**

- a. LCA will have written procedures pertaining to fire prevention, safety requirements, evacuation and emergency procedures that include instructions for the following:
- o Immediate notification of the fire department (inclusive of the designated fire department's address and telephone number)
  - o Alert notification and/or evacuation of all occupants
  - o Notification of authorities
  - o Control and the extinguishing of fires
  - o Evacuation routes and procedures
  - o Other to be identified procedures

**6. Emergency Evacuation Training**

- a. All personnel shall be trained in the implementation of emergency procedures within 24 hours of their initial employment. Annual refresher training shall be provided to all personnel. All training is to be documented for compliance and maintained in employee files.

**7. Quarterly Emergency Evacuation Drills**

- a. LCA will conduct and document quarterly emergency evacuation drills. Documentation of each drill shall include: date and time of day; evacuation path used; number of staff, participants and visitors involved; amount of time to complete the drill, and any pertinent comments.

**8. Posting of Emergency Evacuation Floor Plans**

- a. Clear, concise and site-specific emergency evacuation floor plans shall be posted as appropriate at every occupied floor location throughout the facility. The floor plans

should be located near the identified exit doors on each floor. The evacuation diagram plans shall be placed in tamper-proof frames and include the following:

- o Evacuation diagram plan that identifies the "You Are Here," location that is compatible with the building floor plan.
- o Evacuation plans, which include the location of building exits, fire extinguishers, pull-stations, fire hose cabinets, and first aid supplies.
- o Emergency and evacuation procedures, including diagrammed evacuation routes, shall be communicated to each new participant upon arrival.

9. Smoke Detectors and Fire Extinguishers

- a. LCA shall provide operable and regularly tested smoke detectors and fire extinguishers in key locations including the kitchen and classrooms. All tests shall be documented and maintained at the facility site.

10. Hazardous, Toxic and Volatile Substances

- a. LCA shall maintain a written policy for inventory, use, storage and disposal of all hazardous, toxic, and volatile substances in accordance with the Hazardous Substances Information and Training Act, Chapter 2-5 (commencing with Section 6360), Part 1 of Division 5 of the Labor Code. Hazardous, toxic and volatile substances shall not be stored in furnace areas, kitchens, dining areas, or in close proximity to stored food or kitchen supplies. Flammable substances such as gasoline, kerosene and paint thinner shall be stored outside the facility's main structure in approved containers inside properly ventilated and labeled fireproof cabinets.
- b. Material Safety Data Sheets (MSDS) must be maintained on-site for all hazardous materials used in the facility. The MSDS shall be posted and immediately accessible to staff and participants wherever these substances are used.
- c. LCA will provide training to facility staff and program participants. Documentation of training shall be maintained in the facility files.

The SFAPD and LCA will conduct an annual review of facility protocols, and will work together to resolve any review findings. "The periodic reporting required by this Agreement should address LCA's progress toward meeting the above operational and safety requirements, as well as any operational or safety issues that have arisen."

<b>2. Data Collection and Reports</b>
---------------------------------------

The Contractor shall submit written reports as requested by the San Francisco Adult Probation Department. Format for the content of such reports shall be determined by the San Francisco Adult Probation Department. The timely submission of all reports is a necessary and material term and condition of this Agreement. The reports, including any copies, shall be submitted on recycled paper and printed on double-sided pages to the maximum extent possible.

## REPORTING

Monthly and quarterly reports will serve as interim evaluations of CASC successes and challenges, and the annual report will serve as indication of the CASC's progress towards goals, objectives and performance measures.

All CASC information, reports, writings, summary documents or press releases shall be reviewed and approved by the SFAPD prior to dissemination. LCA, and partners associated with the CASC will consult with the SFAPD before publically releasing any CASC related information to the public or other professional groups.

1. Monthly Data Report – Due the 15<sup>th</sup> of each month for services provided in the previous month.
  - At a minimum the report shall include the data elements listed below in the section entitled "Monthly Data Collection". The SFAPD will work with the Contractor to identify additional pertinent client and program data points to be tracked. The monthly data report shall also be accompanied by highlights of CASC program and services successes over the month, a list of problems/issues encountered during the month and the plan for resolving them, as well as any major events or activities that are planned for the subsequent month (s). The SFAPD and LCA will work together over the course of the contract to update data collection and monthly information submissions as needed.
2. Monthly Cost Reimbursement Invoice – Due the 5<sup>th</sup> of each month for previous month's expenditures.
  - Monthly cost reimbursement invoices will reimburse for actual line-item expenses incurred over the month for expenses according to the approved budget in Appendix B of this Agreement. Subsequent to determining the availability of funds each year during the contract period of June 1, 2012 – June 30, 2017, the SFAPD and Contractor will re-negotiate the project budget so that it reflects actually available funds for a subsequent period, and agreed upon CASC services, activities and performance measures. All negotiated costs will reflect industry standards for delivering services and will never exceed the total approved amount of this contract.
3. Quarterly CASC Program Report – Will be due Oct. 15<sup>th</sup> (for the period of June 1 – September 30), January 15<sup>th</sup> (for the period of October 1 thru December 31), April 15<sup>th</sup> (for the period of January thru March 31) and July 15<sup>th</sup>. The July 15<sup>th</sup> report will serve as a cumulative annual report.
  - The quarterly report information will include analysis that builds off of the monthly data reports.
  - The report will provide a succinct description of the key CASC services provided during the time period, as well as a report back on baseline information, and progress towards the below goals, objectives and performance measures.



- Quarterly data analysis should suggest what the data indicates about client demographics and needs, as well as any system or service improvements that could be made to further the success of the CASC.
- The 4<sup>th</sup> quarterly report will be a cumulative annual report.

#### 4. Annual CASC Program Report

- The annual report should provide a cumulative qualitative and quantitative analysis of monthly data and quarterly report information, as well as a robust report-back of CASC activities, successes and challenges over the year.
- The Annual Report will be shared with San Francisco Mayor Ed Lee, the San Francisco Board of Supervisors and other policy and political stakeholders that are interested in high-impact criminal justice reform. To maintain broad-based support of this project, the CASC will need to show results.

### MONTHLY DATA COLLECTION

The SFAPD and Contractor will continue to refine participant and program data elements during the initial and subsequent contract terms. The below represents the *minimum* data collection requirements - the Contractor should report back on the information on a monthly and quarterly basis as per the above instruction.

#### CLIENT/General Intake/Enrollment Data Points

- Unique identifier for each client.
- CASC Intake, Enrollment, Orientation, ITRP and Referral dates.
- Participant SFAPD Number.
- COMPAS completed (Y/N)
- ITRP completed (Y/N)
- Secondary Assessments Completed.
- Personal Service Plan reflective of COMPAS, ITRP and as appropriate Secondary Assessment Results (Y/N)
- Participant Full Name.
- Participant Date of Birth.
- Gender.
- Sexual Orientation.
- Race and Ethnicity.
- Preferred Language.
- Current living situation.
- History of Mental/Behavioral Health Challenges (Y/N)
- Medication (Y/N - Detail any current medications)
- Homeless (Y/N)
- Highest level of education completed.

- Ever expelled from school (Y/N)
- Employment status prior to admission to CASC.
- Ever work full-time for one employer for six months or more (Y/N)
- If employed, full-time/part-time, start date, end date, wages, and occupation.
- Ever fired from a job (Y/N).
- Marital or Domestic Partnership Status.
- Disability (Y/N-- Describe).
- Number of prior substance abuse treatment episodes.
- Victim of domestic violence or physical abuse (Y/N).
- Physical health diagnosis (Y/N-- describe)
- Dental needs (Y/N-- describe)
- Victim of sexual abuse (Y/N).
- Number of children and living arrangement of each child.
- Name and date of birth of each child.
- Primary caretaker of children (Y/N).
- Age at first drug/alcohol use.
- Number of years of problem use.
- Primary/secondary drug of choice.
- Age at first arrest.
- Involvement in Dependency or Delinquency systems (Y/N).
- Prior Service in the Military (Y/N).
- Number of prior arrests.
- Ever in jail for a probation violation (Y/N).
- Family structure (close relatives and living arrangements of each).

**PROGRAMMATIC Data Points (Not captured in the performance measures section)**

- # of reentry transportation requests made.
- # of reentry transports completed.
- # of new people referred into Remedial Sanctions program
- % of participants that completed their required Remedial Sanctions
- # of participants assessed for income benefits or who obtained transitional or unsubsidized employment during the period
- % of people that were not approved for income benefits (provide a summary of denial circumstances in quarterly narrative)
- % of all people that demonstrated increased income as a result of employment, benefits acquisition, etc.

## QUARTERLY AND ANNUAL REPORT INFORMATION

**BASELINE INFORMATION** – Quarterly and annual reports should include a report back on the below baseline information.

- What is the baseline recidivism rate
- What is the target population
- How many staff provide direct services
- How many participants were eligible to participate in the time period
- How many of the total eligible participants were medium to high risk
- Of the eligible medium to high risk referrals, how many were enrolled (completed CASC intake/assessment and orientation).
- Of those enrolled, how many showed up for a first class
- Of those that showed up for a first class, how many maintained an active CASC program status during the reporting period? (Active status means that a participant participated in CASC services during the month of the closing reporting period).

**GOALS, OBJECTIVES AND PERFORMANCE MEASURES** – Quarterly and annual reports should document progress towards the below goals, objectives and performance measures.

### Goals

- Reduce recidivism amongst target population
- Reduce returns to custody for new arrests
- Reduce arrests amongst target population
- Reduce probation violations amongst target population

### Objectives

- 50 percent of clients will complete ITRP/Reentry Services Plan goals at CASC.
- Of the 50 percent who met their ITRP treatment goals, 60 percent will be in stable housing, gainfully employed, or enrolled in an education program, trade school, community college, or an adult education program.
- A minimum of 10 percent of clients will participate in the Alumni Group for a minimum of 6 months.

### Performance Measures

#### ASSESSMENT AND ITRP/REENTRY SERVICES PLAN SUMMARY

- Does the program use a risk/need assessment?
- How many enrolled CASC participants completed a risk/need assessment?
- How many new participants were medium and high risk?
- How many total participants are medium and high risk?
- How many new participants completed an ITRP and/or Reentry Services Plan?
- How many total participants completed an ITRP and/or Reentry Services Plan?

## SUCCESSFUL COMPLETIONS AND INCOMPLETIONS

- Define successful completion for the reentry program.
- What is the expected reentry program length?
- What was the average length of program participation?
- Have any participants successfully completed?
- How many people did not complete and for what reasons:
  - Failure to meet program requirements
  - Court or criminal involvement (technical violation, arrest, conviction, revocation, re-incarceration)
  - Lack of engagement
  - Absconding
  - Relocating or case transfer
  - Death or serious illness
  - Other

## RECIDIVISM – IN-PROGRAM

The Contractor will work with the SF Adult Probation Department to ascertain the following information which will be verified through SFAPD client files, the SF CMS system and as needed the State CLETS system.

How many individuals participating in the program had been released 1 – 180 days ago?

How many participants had any court and/or criminal involvement while participating in the reentry program and who were released from jail/prison 1 to 180 days ago (total):

- Technical Violation
- Arrest
- Conviction
- Revocation
- Re-incarceration

How many individuals participating in the program had been released 181 or more days ago?

How many participants had any court and/or criminal involvement while participating in the reentry program and who were released from jail/prison 181 or more days ago (total):

- Technical Violation
- Arrest
- Conviction
- Revocation
- Re-incarceration

## RECIDIVISM – PROGRAM COMPLETION

The Contractor will work with the SF Adult Probation Department to ascertain the following information which will be verified through SFAPD client files, the SF CMS system and as needed the State CLETS system.

How many participants successfully completed program requirements?

Enter the number of participants who had a NEW court and/or criminal offense after successfully completing the reentry program

- Technical Violation
- Arrest
- Conviction
- Revocation
- Re-incarceration

### SERVICES PERFORMANCE MEASURES

#### Notes:

- Participants that needed "x" service = The service was documented in his/her ITRP or Reentry Services Plan.
- Enrolled = Participant completed CASC Intake, Assessment and Orientation
- Actively Engaged = Participant attended at least one class within one month of the closing of the reporting period (e.g., if the reporting period closes on December 31<sup>st</sup>, the participant would have attended at least one class during the period of December 1 – December 31).
- Completed = The participant completed the requisite number of classes as per his/her ITRP or Reentry Services Plan.

#### Cognitive Based Services (Thinking for a Change)

- How many new participants needed cognitive based services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed cognitive based services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive cognitive based services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide cognitive based services directly to participants? Y/N
- How many new participants were enrolled in cognitive based services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in cognitive based services that were provided directly by the CASC? (Of total x, a total of x have received services directly).
- How many total participants were actively engaged in (i.e., last class attended was within one month of the closing of the reporting period) cognitive behavior services? How many were referred out? How many received services directly?
- How many total participants completed cognitive behavioral services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

### Mental Health Services

- How many new participants needed mental health services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed mental health services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive mental health services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide mental health services directly to participants? Y/N
- How many new participants were enrolled in mental health services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in mental health services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class/session attended was within one month of the closing of the reporting period) mental health services? How many were referred out? How many received services directly?
- How many total participants completed mental health services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly.

### Substance Abuse Services

Notes: Substance abuse services include residential, outpatient and relapse prevention services.

- New Participants = total number of participants that received any of the three components,
- Total Participants = total number of participants that received any of the three components,
- Enrolled Participants = participants enrolled into any one of the three components,
- Participants Actively Engaged = actively engaged in any one of the three components and
- Completed = participants that completed any one of the three components.

Please use the narrative to describe circumstances in which a client may be receiving more than one component at one time.

- How many new participants needed substance abuse services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed substance abuse services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive substance abuse services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)

- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide substance abuse services directly to participants? Y/N
- How many new participants were enrolled in substance abuse services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in substance abuse services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class/session attended was within one month of the closing of the reporting period) substance abuse services? How many were referred out? How many received services directly?
- How many total participants completed substance abuse services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly.

#### Employment Services

Note: Employment Services includes employment readiness (which includes life skills, career search and job development, transitional job, and job placement services,) and vocational training.

- New Participants = total number of participants that received any of the components,
- Total Participants = total number of participants that received any of the components,
- Enrolled Participants = participants enrolled into any one of the three components,
- Participants Actively Engaged = actively engaged in any one of the three components and
- Completed = participants that completed any one of the three components.

Please use the narrative to describe circumstances in which a client may be receiving more than one component at one time.

- How many new participants needed employment services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed employment services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive employment services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide employment services directly to participants? Y/N
- How many new participants were enrolled in employment services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in employment services that were provided directly by the CASC? (Of total x, a total of x received services directly).

- How many total participants were actively engaged in (last class/session attended was within one month of the closing of the reporting period) employment services? How many were referred out? How many received services directly?
- How many total participants completed employment services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?
- How many participants who were provided with employment services directly by the CASC obtained employment?
- How many participants who were provided with employment services directly by the CASC have been employed for three or more months?
- How many participants who were provided with employment services directly by the CASC have been employed for 6 or more months?

#### Educational Services

- How many new participants needed education services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed education services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive education services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide education services directly to participants? Y/N
- How many new participants were enrolled in educational services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in educational services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class/session attended was within one month of the closing of the reporting period) educational services? How many were referred out? How many received services directly?
- How many total participants completed educational services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?
- How many participants that were directly provided with educational services received a GED certificate?
- How many participants that were directly provided with educational services received a High School Diploma?
- How many participants who were directly provided with educational services obtained a vocational certificate?
- How many participants who were directly provided with educational services obtained higher education?

#### Housing Services



- How many new participants needed housing services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed housing services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive housing services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide housing services directly to participants? Y/N
- How many new participants were enrolled in housing services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in housing services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class/session attended was within one month of the closing of the reporting period) housing services? How many were referred out? How many received services directly?
- How many total participants completed housing services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?
- How many participants who were directly provided with services obtained housing?
- How many participants who were directly provided with services were housed for 3 or more months?
- How many participants who were directly provided with services were housed for 6 or more months?

#### Anger Management

- How many new participants needed anger management services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed anger management services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive anger management services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide anger management services directly to participants? Y/N
- How many new participants were enrolled in anger management services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in anger management services that were provided directly by the CASC? (Of total x, a total of x received services directly).

- How many total participants were actively engaged in (last class attended was within one month of the closing of the reporting period) anger management services? How many were referred out? How many received services directly?
- How many total participants completed anger management services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

#### Parenting

- How many new participants needed parenting services this quarter based on their ITRP or Reentry Services Plan?
- How many total participants have needed parenting services based on their ITRP or Reentry Services Plan (cumulative number of participants per quarter or annum)?
- Does the CASC refer participants out to receive parenting services? Y/N
- How many new participants were referred out? (Of x new, x were referred out)
- How many total participants have been referred out (Of total x, a total of x have been referred out)?
- Does the CASC provide parenting services directly to participants? Y/N
- How many new participants were enrolled in parenting services that were provided directly by the CASC? (Of x new, x received services directly)
- How many total participants were enrolled in parenting services that were provided directly by the CASC? (Of total x, a total of x received services directly).
- How many total participants were actively engaged in (last class attended was within one month of the closing of the reporting period) parenting services? How many were referred out? How many received services directly?
- How many total participants completed parenting services as per their ITRP or Reentry Services Plan? How many were referred out? How many received services directly?

#### Recreation and Leisure Activities

- How many new participants were enrolled in recreation and leisure services this quarter?
- How many total participants are enrolled in recreation and leisure activities?
- How many total participants were actively engaged in (last class/outing attended was within one month of the closing of the reporting period) recreation and leisure activities?

#### Alumni Group Activities

- How many new participants were enrolled in Alumni Group services this quarter?
- How many total participants are enrolled in the Alumni Group?
- How many total participants were actively engaged in (last class/outing attended was within one month of the closing of the reporting period) the Alumni Group?

Creative Arts Activities

- How many new participants were enrolled in Creative Arts services this quarter?
- How many total participants are enrolled in Creative Arts Activities?
- How many total participants were actively engaged in (last class/outing attended was within one month of the closing of the reporting period) the Creative Arts Activities?
- How many total participants completed Creative Arts Activities as per their IIRP and/or Reentry Services Plan.

All Other Services (Lunch, Clothes, Child Care, Recovery/Faith Based, Saturday Services, Community Advisory Board and Physical Health Services)

- How many new participants were enrolled in each of the above services this quarter?
- How many total participants are enrolled in each of the above services activities?
- How many total participants were actively engaged in (the participant accessed the service at least one time during the month of the closing of the reporting period) each of the services.

3. Department Liaison

In performing the services provided for in this Agreement, Contractor's liaison with the San Francisco Adult Probation Department will be Lauren Bell.

Appendix B  
Budget

Full Budget

CASC Budget  
Reentry One Stop Center

Detailed Budget for First Year	Annualized Amount	Months	First Contract Period (13 Months)
Personnel	\$ 673,600		\$ 564,601
Fringe Benefits	\$ 174,260		\$ 157,169
<b>TOTAL SALARIES AND FRINGE</b>	<b>\$ 847,860</b>		<b>\$ 721,770</b>
Program Curriculum	\$ 25,000	-	\$ 25,000
Supplies	\$ 9,000	11.0	\$ 8,250
Equipment	\$ 12,480	13.0	\$ 12,200
Travel	\$ 2,400	12.0	\$ 2,400
Client Supportive Services	\$ 8,400	10.0	\$ 7,000
Interpretive Client Services	\$ 6,000	10.0	\$ 5,000
Parenting Skills Training	\$ 12,000	10.0	\$ 10,000
HUD Matching Funds - CJCJ	\$ 20,000	10.0	\$ 16,667
Reentry Transportation - Vehicle/Insurance/etc.	\$ 20,000	11.0	\$ 18,333
Rent	\$ 420,000	10.0	\$ 350,000
Utilities	\$ 60,000	10.0	\$ 50,000
Insurance	\$ 12,300	11.0	\$ 11,275
Maintenance/ Repair	\$ 6,000	11.0	\$ 5,500
Communications	\$ 17,400	11.0	\$ 15,950
Training and Education (Staff) (ongoing only)	\$ 9,600	10.0	\$ 8,000
Food	\$ 58,725	9.0	\$ 44,044
Drug Testing	\$ 22,800	9.0	\$ 17,100
Startup Capital Items			\$ 1,070,971
<b>TOTAL NON PERSONNEL ITEMS</b>	<b>\$ 722,105</b>		<b>\$ 1,677,690</b>
<i>Subtotal:</i>	<b>\$ 1,569,965</b>		<b>\$ 2,399,460</b>
Administrative Overhead (12%)	\$ 188,396		\$ 159,419

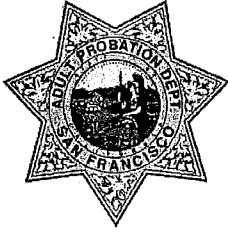
Total Funding Request	\$ 1,758,361	\$ 2,558,879
Months:	12	13
Per Month	\$ 146,530	\$ 196,837
Total Funding per RFP		\$ 2,558,879
Balance (Deficit)		\$

Personnel and Fringe Benefits Budget

POSITION TITLE	FTE's	ANNUALIZED SALARY	MONTHS WORKED DURING INITIAL CONTRACT TERM	TOTAL BUDGET (INITIAL 13 MONTH CONTRACT TERM)*
CASC Program Director	1.0	\$ 70,000	12.0	\$ 70,000
Asst. Program Director / Financial Manager	1.0	\$ 51,000	10.0	\$ 42,500
Admin Assistant / Intake Specialist	1.0	\$ 35,000	10.0	\$ 29,167
Clinical Supervisor / Lead Case Manager	1.0	\$ 60,000	13.0	\$ 65,000
Case Manager	5.0	\$ 41,600	10.0	\$ 173,333
Seniors Specialist / Case Manager	1.0	\$ 41,600	10.0	\$ 34,667
Employment Specialist	1.0	\$ 41,600	10.0	\$ 34,667
Transitional Specialist	1.0	\$ 41,600	10.0	\$ 34,667
Employment Specialist - HUD Funded	2.0	\$ 116,580	10.0	\$ 194,300
HUD FUNDING			10.0	\$ (194,300)
Security Monitors / Counselors	2.0	\$ 31,200	10.0	\$ 52,000
Transportation Staff	1.0	\$ 31,200	11.0	\$ 28,600
<b>TOTALS</b>	18.0			\$ 564,601
<b>EMPLOYEE FRINGE BENEFITS</b>	(see Narrative for detail)			\$ 157,169
<b>TOTAL SALARIES &amp; BENEFITS</b>				\$ 721,770

Appendix C  
Insurance Waiver

ATTACHED



*Protecting the Community, Serving Justice and  
Changing Lives*

Karen L. Fletcher  
Chief Adult Probation Officer

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March 11, 2016

Honorable Board of Supervisors  
City and County of San Francisco  
City Hall, Room 244  
1 Carlton B. Goodlett Place  
San Francisco, CA 94102

**Re: Lease – 564 6<sup>th</sup> Street 5<sup>th</sup> Amendment to CASC Contract**

Dear Board Members:

Attached for your consideration are two Resolutions:

1. Resolution authorizing ADP to increase a professional services contract with Leaders in Community Alternatives (LCA), the reentry services provider at the San Francisco Adult Probation Department's (ADP) Community Assessment and Services Center (CASC) to \$11,490,153 thru June 30, 2017; and
2. Resolution authorizing a Lease agreement with PBV II, LLC at 564 6<sup>th</sup> Street for ten years beginning July 1, 2016, and a Sublease agreement for a portion of the space with Leaders in Community Alternatives thru June 30, 2017 to assure the continuation of ADP's, Community Assessment and Services Center (CASC) beyond June 30, 2017.

## **BACKGROUND**

In 2011, California Criminal Justice Realignment was implemented. AB109, along with sister legislation SB678 created new pathways for addressing over-incarceration, underscored best criminal justice practices, and provided new funding for community supervision and corollary reentry services. In line with best practices, ADP upgraded its validated risk and needs assessment, required ADP staff to complete extensive training on strength based client engagement strategies, and launched an array of reentry services to aptly respond to identified needs.

ADP's Community Assessment and Services Center (CASC), located at 564 6<sup>th</sup> Street is the department's flagship client reentry, one-stop services center. The CASC co-locates ADP Deputy Probation Officers and Reentry staff, along with staff of the San Francisco Department of Public Health,





Human Services Agency and Department of Child Support Services who respectively provide behavioral health services, healthcare and income benefits enrollment, and child support services in close coordination with ADP staff and CASC reentry services partners. Other essential services include individualized case management, mental health and cognitive behavioral interventions, recovery and relapse prevention groups, a 5 Keys Charter High School, employment readiness and job placement, and housing placement assistance.

Initially CASC services were exclusively offered to clients under ADP probation supervision. In line with the evolution of a true, comprehensive, one-stop reentry services facility, and an expanded citywide vision to further reduce recidivism, and protect public safety, ADP will strengthen its partnership with the Sheriff's Department, Collaborative Courts, State Parole, Federal Probation, and other entities that directly serve criminal justice involved populations, and expand CASC eligibility to any San Francisco resident who is currently involved in the criminal justice system or who has a criminal history.

The CASC plays a pivotal role in citywide public safety objectives. The CASC offers justice involved people the opportunity to address and mitigate key drivers of crime; substance dependency, mental health, employment and income benefits, housing, and education, and to permanently exit the criminal justice system. As more people exit and are deterred from the criminal justice system, crime, recidivism rates, and criminal justice system costs are reduced, public safety is protected, and families and communities are strengthened. It is important to ensure a continuation of CASC services, and to preserve the CASC building at 564 6<sup>th</sup> Street beyond the current June 30, 2017 expiration date.

## **KEY POINTS**

### *A. Professional Service Contract Overview and CASC vendor procurement*

In February 2012, the Civil Service Commission approved Personal Services Contract (PSC) No 4077-11/12 for an amount of \$6,142,957. Through a competitive RFP, Leaders in Community Alternatives, Inc. (LCA) was selected to operate the CASC. Accordingly, LCA was awarded a contract with a not to exceed amount of \$6,142,957 for the term of May 1, 2012 – June 30, 2017. The original contract amount was not commensurate to meet the array of start-up CASC expenses. PSC No 4077-11/12 was modified to increase its total amount to \$9,213,957 and was administratively approved by the Department of Human Resources. Following, the Office of Contract Administration approved an amendment to the LCA contract, increasing it to the allowable \$9,213,957.

The initial PSC not to exceed amount represented ADP's best facility and reentry services estimate at the time. Through the RFP process ADP identified a qualified vendor who could deliver services at a reasonable price. ADP and LCA reviewed and vetted five possible CASC facilities before identifying

564 6<sup>th</sup> Street, which ended up being the most ideal location of all given the site's close proximity to the downtown jail, and criminal courts. The contract overages are the result of actual start up, tenant improvement and market rate SOMA lease costs that were not known at the time of PSC creation.

In accordance with the June 30, 2017 expiration of the current CASC service agreement, and CCSF procurement guidelines, a second RFP to identify an operator of the CASC for the period after July 1, 2017 will be conducted in the fall of 2016 with an anticipated award decision of around April 2017. The next CASC professional service contract will include reentry services costs exclusively.



### *B. Overview of 564 6<sup>th</sup> Street Lease and CASC Facility*

LCA entered into a lease agreement with Presidio Bay Ventures (PBV), the owner of 564 6<sup>th</sup> Street. The initial lease was for a term of September 7, 2012 – June 30, 2017 at a cost of \$67,315.99 per month.

564 6<sup>th</sup> Street is 17,500 square feet divided into the following space plan:

- 5326 sq ft – ADP dedicated space for 31 ADP and 4 DPH staff
- 2085 sq ft – LCA dedicated space for 25 LCA and formal CASC partner staff.
- 10,089 sq ft - Shared program space (training rooms, counseling stations, etc)

Through the initial CASC contract, ADP made facility infrastructure investments inclusive of computer networks, a dedicated ADP network that is connected via fiber between the City's equipment in the building and the tower to the City's fiber network in the street, and separate network for CASC partners, multi-line phones, computers and related IT items, office and break room furnishings, new e-locks, heating, ventilation and fire safety improvements, and a full building alarm system and camera monitoring.

The proposed 564 6<sup>th</sup> Street Lease Resolution authorizes a Lease between the City and County of San Francisco (CCSF), as Tenant, and PBV II, LLC, as Landlord, of office space located at 564 6<sup>th</sup> Street, consisting of approximately 17,500 square feet from July 1, 2016 through June 30, 2026 for use by the Adult Probation Department at \$70,682.50 monthly; for \$848,190.00 rent in the initial year with annual three (3%) percent increases and four (4) five-year option to extend.

The proposed Resolution includes authorization for a Sublease agreement for the sharing of space between the City and LCA for the period of July 1, 2016 thru June 30, 2017, the continuation of which is subject to the outcome of a second RFP for CASC services. The proposed Lease and Sublease ensure a continuity of CASC services whether or not LCA or another services vendor is selected through the second RFP process.

ADP seeks to retain 564 6<sup>th</sup> Street as the dedicated CASC facility for a variety of reasons. The CASC provides a one stop service center for effective reentry services for people in the criminal justice system in a welcoming and therapeutic environment. From 564 6<sup>th</sup> Street, ADP, DPH, Human Services Agency, Child Support Services, LCA and other Community Based Organizations provide individualized and seamless comprehensive services to our clients. At 564 6<sup>th</sup> St. clients receive classroom training in computer literacy, GED Education and Credits, Parenting Skills, Nutrition, Anger Management, Cognitive Behavioral Training, AA Group support, and housing workshops on how to navigate through the system. Services include one on one job readiness and placement, links to housing and self-sufficiency services, mental health and medical counseling. The CASC is one block from ADP's main offices at the Hall of Justice allowing ADP to better monitor client activities and services. And practically, ADP seeks to take full advantage of initial facility and infrastructure investments, and avoid unnecessary and expensive transactional costs associated with locating and moving to a new building at the end of the LCA lease June 30, 2017



## **PROPOSED ACTIONS**

1. The proposed Resolution authorizes ADP to increase the contract to a not to exceed amount of \$11,490,153, an amount that is needed to operate the CASC thru to the contract termination date of June 30, 2017.
2. The second proposed Resolution authorizes a new Lease agreement with PBV II, LLC at 564 6<sup>th</sup> Street. The proposed lease considers the expiration of the current lease between LCA and PBV II on June 30, 2017, the expiration of ADP's service agreement with LCA on June 30, 2017, a forthcoming second RFP to identify a CASC operator beyond June 30, 2017, and the possibilities that LCA or a new vendor may be selected through the competitive bid process.

## **RECOMMENDATION**

ADP allocated substantial AB109 resources to launch the CASC services and 564 6<sup>th</sup> street, and seeks a seamless continuation of both CASC services and the 564 6<sup>th</sup> Street lease through these proposed resolutions. Attachment # 1 shows the current versus proposed lease terms and conditions. ADP recommends dual approval of the Resolutions approving the 5<sup>th</sup> Amendment to the CASC as well as the Lease between the City and County of San Francisco, as Tenant, and PBV II, LLC as Landlord and the Sublease with LCA, as subtenant.

If you have any questions regarding this matter, please contact me at (415) 553- 1687 or for questions regarding the Lease agreements, Charlie Dunn of the City's Real Estate Division at 554-9861.

Respectfully,

Karen L. Fletcher  
Chief Adult Probation Officer  
San Francisco Adult Probation Department

cc



Attachment #1  
564 6<sup>th</sup> Street, San Francisco, CA

	<b>Current</b>	<b>Proposed</b>
Premises	17,500 sq. ft. total  5326 sq ft – ADP dedicated space 2085 sq ft – CASC operator dedicated space 10,089 sq ft - Shared program space	17,500 sq. ft. total  5326 sq ft – ADP dedicated space 2085 sq ft – CASC operator dedicated space 10,089 sq ft - Shared program space
Base Rent	\$67,315.99 per month (approximately \$46.16 per sq. ft. per year)	\$70,682.50 per month (approximately \$48.47 per sq. ft. per year)
Lease Administration Fees	\$10,097.40	\$0.00
Total City Rent Cost	\$77,413.39 per month (approximately \$53.08 per sq. ft. per year)	\$70,682.50 per month (approximately \$48.47 per sq. ft. per year)
Base Rent Paid By	LCA paid to Landlord and fully reimbursed by ADP through existing Service Agreement	ADP paid directly to Landlord
Base Year for Property Operating Expenses	2012	2016
Additional Tenant Paid Expenses	Utilities, janitorial, security, interior maintenance, and refuse removal (estimated to cost \$8,864.59 per month)	Utilities, janitorial, security, interior maintenance, and refuse removal (estimated to cost \$8,864.59 per month)
Lease Expiration	June 30, 2017	June 30, 2026





PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: ADULT PROBATION Dept. Code: ADP

Type of Request: [ ] Initial [x] Modification of an existing PSC (PSC # 4077 11/12)

Type of Approval: [ ] Expedited [x] Regular [ ] Omit Posting

Type of Service: Develop, Monitor, and Manage a Community Assessment Center

Funding Source: General Fund
PSC Original Approved Amount: \$6,142,957 PSC Original Approved Duration: 06/01/12 - 06/30/17 (5 years 4 we
PSC Mod#1 Amount: \$3,071,000 PSC Mod#1 Duration: no duration added
PSC Mod#2 Amount: \$3,786,043 PSC Mod#2 Duration: no duration added
PSC Cumulative Amount Proposed: \$13,000,000 PSC Cumulative Duration Proposed: 5 years 4 weeks

1. Description of Work

A. Scope of Work:

This proposed contract is to create and operate a one-stop Community Assessment and Services Center (CASC) to provide services to high risk high need individuals who are under the supervision of the Adult Probation Department. A variety of individualized and grouped services will be provided from dawn until dusk. The services will be both by appointment and on a drop-in basis to include but not be limited to case management for individuals who have serious mental illness, substance abuse assessment/referrals, remedial and basic education and connection to opportunities for higher education, vocational assessment and employment training, assessment for government benefits, cognitive behavioral groups, parenting and family strengthening support/advice and housing referrals and assistance.

B. Explain why this service is necessary and the consequence of denial:

The Community Assessment and Services Center (CASC) is a core strategy of the San Francisco Public Safety Realignment and Post Release Community Supervision 2011 Implementation Plan, and the success of realignment in San Francisco is contingent on the successful implementation of all strategies contained in the plan. Denial of this request would result in a complete absence of vital services for high risk supervisees of the Adult Probation Department (APD). Without this service, Clients of APD will be more likely to re-offend, relapse, and/or remain disconnected from critically needed social and behavioral health services.

C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC.

Yes, through this PSC

D. Will the contract(s) be renewed? Unknown.

2. Union Notification: On 07/03/15, the Department notified the following employee organizations of this PSC/RFP request: all unions were notified.

\*\*\*\*\*

FOR DEPARTMENT OF HUMAN RESOURCES USE

PSC# 4077 11/12

DHR Analysis/Recommendation:

09/21/2015

Commission Approval Required

Approved by Civil Service Commission with condi

DHR Approved for 09/21/2015

09/21/2015

**3. Description of Required Skills/Expertise**

A. Specify required skills and/or expertise:

Ability to deliver services dawn to dusk, seven days a week, with on-call services at night. knowledge of local public, non-profit and private care providers to support CASC on a referral basis. Ability to provide case management, provide substance abuse assessment and referrals, and employment skills, assessment for government benefits, cognitive behavioral groups, parenting and family strengthening advise and housing referrals and assistance.

B. Which, if any, civil service class(es) normally perform(s) this work?  
none,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:

Yes. Contractor will provide a facility in which services will be provided and in which four City employees (2 Deputy Probation Offices (8444) and 2 Social workers (2932)) will work performing tasks different but complementary to those provided by Contractor, e.g., supervision and monitoring of clients, including electronic monitoring, collecting samples for drug testing and developing Court reports.

**4. Why Classified Civil Service Cannot Perform**

A. Explain why civil service classes are not applicable:

Services are to be provided on an as-needed basis. The specific needs of service recipients will vary from day to day and multiple skill sets will be required of Contractor's team that encompasses more than one CCSF classification. Thus, several different classification may perform some of the service of this contract, however, there is no one classification that performs the full range of services. See Attachment for additional information.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

No. The services to be provided require more than one individual to perform a variety of tasks with a combination of varied skills and abilities.

**5. Additional Information (if "yes", attach explanation)**

**YES    NO**

- |  |                          |                                     |
|--|--------------------------|-------------------------------------|
| A. Will the contractor directly supervise City and County employee?  | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| B. Will the contractor train City and County employee?   | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| C. Are there legal mandates requiring the use of contractual services?                                       | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| D. Are there federal or state grant requirements regarding the use of contractual services?                  | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| E. Has a board or commission determined that contracting is the most effective way to provide this service?  | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| F. Will the proposed work be completed by a contractor that has a current PSC contract with your department? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD

ON 07/03/15 BY:

Name: Diane Lim Phone: 553-1058 Email: diane.lim@sfgov.org

Address: 880 Bryant Street Room 200 San Francisco, CA 94103

PERSONAL SERVICES CONTRACT SUMMARY ("PSC FORM 1")

Department: ADULT PROBATION Dept. Code: ADP

Type of Request:  Initial  Modification of an existing PSC (PSC # 4077 11/12)

Type of Approval:  Expedited  Regular ( Omit Posting)

Type of Service: Develop, Monitor and Manage an Community Assessment Center for Adult Probation's Clients

Funding Source: AB109 Funding &GF 1G AGF AAA

PSC Original Approved Amount: \$6,142,957 PSC Original Approved Duration: 02/06/12 - 02/06/17 (5 years 2 da

PSC Mod#1 Amount: \$3,071,000 PSC Mod#1 Duration: 02/06/12-06/30/17 (20 weeks 3 days)

PSC Mod#2 Amount: \_\_\_\_\_ PSC Mod#2 Duration: \_\_\_\_\_

PSC Cumulative Amount Proposed: \$9,213,957 PSC Cumulative Duration Proposed: 5 years 20 weeks

**1. Description of Work**

**A. Scope of Work:**

This proposed contract is to create and operate a one-stop Community Assessment and Services Center (CASC) to provide services to high risk high need individuals who are under the supervision of the Adult Probation Department. A variety of individualized and grouped services will be provided from dawn until dusk. The services will be both by appointment and on a drop-in basis to include but not be limited to case management for individuals who have serious mental illness, substance abuse assessment/referrals, remedial and basic education and connection to opportunities for higher education, vocational assessment and employment training, assessment for government benefits, cognitive behavioral groups, parenting and family strengthening support/advice and housing referrals and assistance.

**B. Explain why this service is necessary and the consequence of denial:**

The Community Assessment and Services Center (CASC) is a core strategy of the San Francisco Public Safety Realignment and Post Release Community Supervision 2011 Implementation Plan, and the success of realignment in San Francisco is contingent on the successful implementation of all strategies contained in the plan. Denial of this request would result in a complete absence of vital services for high risk supervisees of the Adult Probation Department (APD). Without this service, Clients of APD will be more likely to re-offend, relapse, and/or remain disconnected from critically needed social and behavioral health services.

**C. Has this service been provided in the past. If so, how? If the service was provided via a PSC, provide the most recently approved PSC # and upload a copy of the PSC.**

The service has been provided through PSC 4077 11/12 which was approved by Civil Service Commission on February 6, 2012.

**D. Will the contract(s) be renewed? Unknown.**

**2. Union Notification:** On 10/31/13, the Department notified the following employee organizations of this PSC/RFP request: all unions were notified

\*\*\*\*\*

**FOR DEPARTMENT OF HUMAN RESOURCES USE**

PSC# 4077 11/12

DHR Analysis/Recommendation:

Civil Service Commission Action:

Commission Approval Not Required

Approved by DHR on 11/22/2013

**3. Description of Required Skills/Expertise**

A. Specify required skills and/or expertise:

Ability to deliver services dawn to dusk, seven days a week, with on-call services at night. knowledge of local public, non-profit and private care providers to support CASC on a referral basis. Ability to provide case management, provide substance abuse assessment and referrals, and employment skills, assessment for government benefits, cognitive behavioral groups, parenting and family strengthening advise and housing referrals and assistance.

B. Which, if any, civil service class(es) normally perform(s) this work?  
none,

C. Will contractor provide facilities and/or equipment not currently possessed by the City? If yes, explain:

Yes. Contractor will provide a facility in which services will be provided and in which four City employees (2 Deputy Probation Offices (8444) and 2 Social workers (2932)) will work performing tasks different but complementary to those provided by Contractor, e.g., supervision and monitoring of clients, including electronic monitoring, collecting samples for drug testing and developing Court reports.

**4. Why Classified Civil Service Cannot Perform**

A. Explain why civil service classes are not applicable:

Services are to be provided on an as-needed basis. The specific needs of service recipients will vary from day to day and multiple skill sets will be required of Contractor's team that encompasses more than one CCSF classification.

B. Would it be practical to adopt a new civil service class to perform this work? Explain.

No. The services to be provided require more than one individual to perform a variety of tasks with a combination of varied skills and abilities.

**5. Additional Information (if "yes", attach explanation)**

**YES    NO**

- A. Will the contractor directly supervise City and County employee?
- B. Will the contractor train City and County employee?
- C. Are there legal mandates requiring the use of contractual services?
- D. Are there federal or state grant requirements regarding the use of contractual services?
- E. Has a board or commission determined that contracting is the most effective way to provide this service?
- F. Will the proposed work be completed by a contractor that has a current PSC contract with your department?

THE ABOVE INFORMATION IS SUBMITTED AS COMPLETE AND ACCURATE ON BEHALF OF THE DEPARTMENT HEAD  
ON 10/31/13 BY:

Name: Diane Lim Phone: 553-1058 Email: diane.lim@sfgov.org

Address: 880 Bryant Street, Room 200 San Francisco, CA \_\_\_\_\_



# CIVIL SERVICE COMMISSION CITY AND COUNTY OF SAN FRANCISCO

EDWIN M. LEE  
MAYOR

February 10, 2012

E. DENNIS NORMANDY  
PRESIDENT

KATE FAVETTI  
VICE PRESIDENT

SCOTT R. HELDFOND  
COMMISSIONER

MARY Y. JUNG  
COMMISSIONER

ANITA SANCHEZ  
EXECUTIVE OFFICER

## NOTICE OF CIVIL SERVICE COMMISSION ACTION

**SUBJECT: REVIEW OF REQUEST FOR APPROVAL OF PROPOSED  
PERSONAL SERVICES CONTRACT NUMBER 4077-11/12  
THROUGH 4092-11/12; 4000-09/10 AND 4098-07/08.**

At its meeting of February 6, 2012 the Civil Service Commission had for its consideration the above matter.

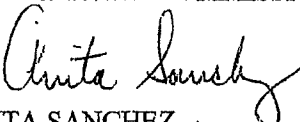
**PLEASE NOTE:** *It is important that a copy of this action be kept in the department files as you will need it in the future as proof of Civil Service Commission approval. Please share it with everyone responsible for follow-up.*

The Commission adopted the following:

- (1) Adopted the report; Approved the request for PSC #4085-11/12 as amended which is to be submitted to the Executive Officer and the Human Resources Director. Notified the Office of the Controller and the Office of Contract Administration.
- (2) Adopted the report; Approved the request for PSC #4087-11/12 as amended; change duration to five (5) years and silent on the matter of options. Notified the Office of the Controller and the Office of Contract Administration.
- (3) Adopted the report; Approved the request for PSC #4088-11/12 as amended for a duration of five (5) years. Notified the Office of the Controller and the Office of Contract Administration.
- (4) Adopted the report; Approved the request for all remaining contracts. Notified the Office of the Controller and the Office of Contract Administration.

If this matter is subject to Code of Civil Procedure (CCP) Section 1094.5, the time within which judicial review must be sought is set forth in CCP Section 1094.6.

CIVIL SERVICE COMMISSION

  
ANITA SANCHEZ  
Executive Officer

Attachment

CSC Notice of Action  
February 6, 2012  
Page 2

c: Cynthia Avakian, Airport Commission  
Parveen Boparai, Municipal Transportation Agency  
Micki Callahan, Human Resources Director  
Vivian Day, Department of Building Inspection  
Alaric Degrafinried, Public Utilities Commission  
Marie de Vera, Department of Human Resources  
Oliver Hack, Mayor's Office of Housing  
Lavena Holmes, Port  
Shamica Jackson, Public Utilities Commission  
LaWan Jones, Public Utilities Commission  
William Lee, Department of Emergency Management  
Brent Lewis, Department of Human Resources  
Diane Lim, Adult Probation  
Catherine McGuire, Juvenile Probation  
Maria Ryan, Department of Human Resources  
Anabel Simonelli, Mayor's Office  
Shawn Wallace, San Francisco Police Department  
Jeannie Wong, Controller's Office  
Commission File  
Chron

POSTING FOR

2/6/2012

PROPOSED PERSONAL SERVICES CONTRACTS

Regular, Continuing, Annual

PSC No	Dept No	Dept Name	Approval Type	Contract Amount	Description of Work	Start Date- End Date
4077-11/12	13	Adult Probation	Regular	\$6,142,957	This proposed contract is to create and operate a one-stop Community Assessment and Services Center (CASC) to provide services to high risk high need individuals who are under the supervision of the Adult Probation Department. A variety of individualized and group services will be provided from dawn until dusk. These services will be both by appointment and on a drop-in basis to include but not be limited to case management for individuals who have a serious mental illness, substance abuse assessment/referrals, remedial and basic education and connection to opportunities for higher education, vocational assessment and employment training, assessment for government benefits, cognitive behavioral groups, parenting and family strengthening support/advice and housing referrals and assistance.	2/6/2012- 2/6/2017
4078-11/12	27	Airport Commission	Regular	\$1,450,000	Construction Management (CM) team with design-build and specialty design experience at airports to manage the design and construction and assist in the selection of a Design-Build Consultant for the West Field Cargo Development Project. The CM team will manage the design and construction of a new cargo building to replace an existing outdated cargo facility in the airport cargo area known as the West Field.	2/6/2012- 2/5/2014
4079-11/12	19	Building Inspection	Regular	\$1,750,000	To provide preparation, indexing, scanning and electronic imaging services required to convert all paper-based building plans/drawings into digital images for electronic retrieval through PaperVision document management system. Drawings vary in sizes from 11"X17", 16"X24", 24"X36", 36"X42", and 36"X48".	6/1/2012- 6/30/2017
4080-11/12	19	Building Inspection	Regular	\$5,000,000	To convert all 16mm and 35mm rolls of microfilm, and 25 boxes of old paper records dating back to 1906, containing building records into digital images for electronic retrieval through PaperVision document management system. The Department currently has 1,200 rolls of 16mm microfilm containing job cards, certificates of final completion, permits and miscellaneous documents, many of which date back mid 1930s. It is estimated that there are 2,500 frames per roll for a total of 3,000,000 frames with each roll likely to have 800 records to index for a total of 960,000 records. Further the Department has 3,500 rolls of 35mm microfilm with plans dating back to 1940s. Each roll has approximately 500 frames per roll for a total of 1,750,000 frames and each roll will have approximately 50 records to index for a total of 175,000 records. Indexing, including researching missing information and quality control, of the converted records will be done by in-house staff.	6/1/2012- 6/30/2017
4081-11/12	09	Controller	Regular	\$2,000,000	Provide underwriter, investment banking, and credit enhancement services to the City in connection with the issuance, marketing and distribution of its fixed-rate debt obligations, variable-rate debt obligations, and commercial paper.	1/1/2012- 12/31/2017
4082-11/12	77	Emergency Management	Regular	\$200,000	The contractor will provide the Bay Area UASI Approval Authority with legal counsel and advise the body on various matters pertaining to open meetings, grants administration, or other issues that may arise.	3/1/2012- 2/29/2016

POSTING FOR

2/6/2012

PROPOSED PERSONAL SERVICES CONTRACTS

Regular, Continuing, Annual

PSC No	Dept No.	Dept Name	Approval Type	Contract Amount	Description of Work	Start Date- End Date
4083-11/12	77	Emergency Management	Regular	\$879,536	The contractor will assist Bay Area counties and cities in the development of a Regional Logistics Plan with an emphasis on the coordination of logistic operations and priorities for distribution of scarce resources between local, state and federal levels in a catastrophic event. The Regional Logistics Plan will be used to develop county and core city plan templates as well as applicable annexes to Regional Emergency Coordination Plan (RECP), to encompass all phases of logistic planning.	3/1/2012- 7/30/2013
4084-11/12	33	Human Resources	Regular	\$260,000	The consultant will oversee the development and administration of promotional exams for the Fire Department ranks of H-20 Lieutenant and H-40 Battalion Chief, and defend those selection processes against legal challenge as necessary.	7/1/2012- 6/30/2015
4085-11/12	12	Juvenile Court	Regular	\$95,000	The Ombudsperson is responsible for resolving grievances submitted by detained youth at JPD detention facilities. Contractor will serve as a neutral and independent agent who is a liaison between detainees, their parents/ guardians and Department staff. When a youth files a grievance, contractor shall investigate and resolve through appropriate means including mediation between the youth and the Department and where appropriate shall recommend procedural changes as part of the recommended resolution of a grievance.	4/1/2012- 3/31/2014
4086-11/12	25	Mayor	Regular	\$400,000	The contractor will assist the Mayor's Office of Public Policy and Finance staff in making decisions in a variety of layout, content, design, and production issues related the the annual Mayor's Proposed Budget Book.	2/1/2012- 6/30/2016
4087-11/12	35	Municipal Transportation Agency	Regular	\$5,400,000	The San Francisco Municipal Transportation Agency (SFMTA) requires medical cost containment services for workers' compensation claims administration. Services include medical bill review, adjustments per fee schedules, and utilization review using state of the art system software. Services must meet the State of California's electronic data interchange (EDI) requirements for data entry and reporting injuries and illnesses. All medical bill review staff must be certified as meeting the California Department of Insurance's qualifications for experience in this field.	7/1/2012- 9/30/2022
4088-11/12	35	Municipal Transportation Agency	Regular	\$34,000,000	The San Francisco Municipal Transportation Agency (SFMTA) is self-insured for Workers' Compensation (Workers' Comp) and existing claims are currently adjusted by a third party administrator (TPA). The contractor will provide claims adjusting and consulting services for existing and new claims for Workers' Comp benefits filed by SFMTA employees. Services include: claims review and compensability determination; payment of statutory benefits, medical providers and ancillary claims services; vendor management for bill review; investigative services; coordination of claims defense with the City Attorney; management of benefit delivery system; and data collection and management.	1/1/2012- 8/30/2022
4089-11/12	38	Police	Regular	\$100,000	Contractor will regularly inspect, maintain and perform all repairs on the Police Department's four evidence freezers. Three of the freezers are located at Building #606 Hunters Point Shipyard and one freezer is located at the Hall of Justice, 850 Bryant Street.	2/1/2012- 1/31/2015



POSTING FOR

2/6/2012

PROPOSED PERSONAL SERVICES CONTRACTS

Regular, Continuing, Annual

PSC No	Dept No.	Dept Name	Approval Type	Contract Amount	Description of Work	Start Date - End Date
4090-11/12	38	Police	Regular	\$140,000	The Veterinarian will provide routine and emergency medical care for up to twenty horses assigned to the SFPD Mounted Unit. The service average fifteen visits per year. The Veterinarian will also perform pre purchase horse examinations.	7/1/2012- 6/30/2016
4091-11/12	38	Police	Regular	\$140,000	Shoeing and trimming the hooves of each police horse, once every six weeks, for a herd of up to twenty police horses. Contractor must also be able to advise on any possible horses that may be fit for possible purchase by the SFPD. Contractor will be available for emergency calls to replace thrown shoes, and to consult with the veterinarian regarding special or corrective needs.	7/1/2012- 6/30/2016
4092-11/12	40	Public Utilities Commission	Regular	\$9,000,000	The scope of work is to augment, assist and support Program Controls & Support Bureau (PCSB0 staff in the administration, improvement and programmin of PCSB's Primavera-based Program Control System to integrate it with various other databases, and generate reports and update capital program and project data. (This is not to provide scheduling and cost estimating services.)	

POSTING FOR

2/6/2012

PROPOSED PERSONAL SERVICES CONTRACTS  
 MODIFICATION TO INCREASE CONTRACT AMOUNT/DURATION

PSC No	DeptNo	Dept Description	Approval Type	Modified Amount	Cumulative Total	Description of Work	Start Date - End Date
4000-09/10	25	Mayor	Regular		\$180,000	Processing title changes for below market rate condominium conversion low/moderate income homeowners according to precise instructions from the City and County of San Francisco. Recording closing documents and ensuring completeness. Disbursing and collecting escrow fees when appropriate. However, a lawsuit objecting to various aspects of the Ordinance was filed at Federal Court on May 13, 2009 and later refiled at State Court on August 6, 2010. There are currently 65 named plaintiffs in the case who were granted a preliminary injunction and waiver to the Ordinance deadline on January 18, 2011. As such, the Mayor's Office of Housing may be required to allow these owners to select an option under the Ordinance in the future and will need the assistance of Chicago Title (contractor) to process these transactions.	6/7/2009 - 3/30/2015
4098-07/08	39	Port Commission	Regular	\$110,000	\$1,910,000	Evaluate and design from concept through construction observation, a proposed 1.3 acre public space to be built adjacent to the historic seawall and within San Francisco Bay in the South Beach neighborhood.	2/1/2008 - 12/31/2013

Sum of Modified Amounts: \$110,000

**Request for Proposals  
for  
Community Assessment and Service Center  
(CASC)**

**Adult Probation Department  
City & County of San Francisco**



**Adult Probation Department  
Reentry Division  
880 Bryant Street, Room 200  
San Francisco, CA 94103**

**Contact:  
Lauren Bell  
Reentry Services Manager  
Reentry Division  
Adult Probation Department  
(415) 553-1047  
Lauren.bell@sfgov.org**

Date Issued:

January 23, 2012

Pre-Proposal Conference:

February 9, 2012

Questions Due:

February 16, 2012

Proposal Due:

February 29, 2012

Request for Proposals for **Community Assessment and Service Center (CASC)**

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**APPENDICES:**

- A. **"HRC Attachment 2":** Requirements for Architecture, Engineering and Professional Services Contracts, for contacts \$29,000 and over. (separate document). Proposers must submit the following forms: separate document

- Form 2A HRC Contract Participation form
- Form 2B HRC "Good Faith" Outreach Requirements form
- Form 3 HRC Non-discrimination Affidavit
- Form 5 HRC Employment form

The following form may be required, depending on the circumstances:

- Form 4 Joint Venture Participation Schedule

- B. **"Standard Forms":** Listing and Internet addresses of Forms related to Taxpayer Identification Number and Certification, to Business Tax Declaration, and to Chapters 12B and 12C, and 14B of the S.F. Administrative Code.
- C. **Application Checklist**
- D. **Application Cover Sheet**
- E. **Sample COMPAS, Individualized Treatment and Rehabilitation Plan** separate document
- F. **National Institute of Corrections, Principles of Effective Intervention and The Six Gender Responsive Strategies for Women Offenders** separate document
- G. **Mayor's Office of Disability – Facility Checklist** separate document
- H. **Budget Form and Budget Justification Form** separate document

## I. INTRODUCTION

### A. Project Summary

The San Francisco Adult Probation Department (SFAPD) has issued this Request for Proposals (RFP) to identify a highly qualified non-profit or for-profit entity, or collaboration of such entities, that will establish and operate a Reentry Community Assessment and Services Center (CASC) that incorporates evidence-based theories and practices into facility operations and criminal justice services delivery.

1. The initial budget for the CASC for a period of 13 months (June 1, 2012 – June 30, 2013) will be as follows:

- A maximum of \$1,373,026 is available to fund expenses associated with CASC oversight and services operations (excludes facility rent/lease cost).
- The SFAPD also has funding to cover rent/lease and operations costs for a facility (for both CASC and PRCS/1170 (h) field services). The SFAPD is requesting that proposers review all of the facility, services and other specifications that are described herein, determine the bid scenario under which they will apply, propose a facility that can sufficiently meet the specification; and provide actual projected figures for the proposed facility.

2. There are four (4) bid options:

a. Bid exclusively on the CASC program without a facility (\$1,373,026)

- If selected through the process, the SFAPD and the proposer will work together on locating service space for both CASC operator and SFAPD staff.
- If the proposal earns recommendations during the reader review phase of the process, the SFAPD will then conduct a proposer interview to further assess service caliber and partnership potential.

b. Bid on the CASC Program with a CASC Facility (\$1,373,026 + Actual projected rent/lease and operations costs of the proposed CASC Facility)

- The proposer operates criminal justice services, but only has a facility large enough for proposed CASC program and staff (i.e. not enough room for SFAPD staff).
- The SFAPD may apply an additional 10 preference points to the proposal for facility availability during phase III of proposal review.

c. Bid on the CASC Program & Facility and the SFAPD Sub-unit Office. at two locations (\$1,373,026 + Actual projected rent/lease operations costs of the proposed CASC Facility)

- The proposer operates criminal justice services and has identified two distinct locations where CASC and SFAPD services can be provided in two spaces that are separated by a maximum distance of 2-blocks.

RFP for Community Assessment and Service Center

- The SFAPD may apply an additional 20 preference points to the proposal for facility availability during phase III of proposal review.
- d. Bid on the CASC Program & Facility and the SFAPD Sub-unit Office at one location (\$1,373,026 + Actual projected rent/lease operations costs of the proposed CASC Facility)
- The proposer operates criminal justice services and has a space that is large enough to accommodate all proposed CASC staff and SFAPD staff.
  - The SFAPD may apply an additional 30 preference points to the proposal for facility availability during phase III of proposal review.

CASC proposals will be evaluated based on merit. Facility information **will not** be a part of the proposal evaluation. Consideration will be given to such criteria as: years of experience administering criminal justice services and contracts, demonstration of capacity to deliver evidence based services, and description of administrative and operational capacity to oversee a multi-purpose center. This will level the playing field amongst all proposals regardless of facility. The end results of reader reviews and third phase interviews may be the SFAPD selecting a proposal from any of the above scenarios and working with the operator as needed to ensure that by June 1, 2012 there is a plan and contract in place to establish the CASC as well as the SFAPD field services.

Proposers should be aware that the City and County of San Francisco/SFAPD is conducting a parallel due diligence process to locate a suitable site that can accommodate both the SFAPD field office and CASC services. In the event the SFAPD identifies a highly probable location, SFAPD will send out an update notice to everyone that requested a copy of the RFP and will post the notice on the SFAPD website. If the SFAPD locates such a space, the rent/lease and operations allocation will be used entirely for rent/lease and facility operations expenses.

While there is not yet a facility, the SFAPD has a clear vision for CASC services. In addition to establishing and overseeing the operations of a high client volume multi-purpose center, the identified operator will also be expected to take leadership of three overarching program areas: 1.) Reentry Transportation, 2.) Rehabilitation Programming, and 3.) Incentives, Rewards and Remedial Sanctioning Programming.

- Anticipated CASC Schedule: Mon – Friday, 8am – 9pm and Saturday, 9am – 3pm. The schedule for the Reentry Transportation component will be dictated by client release schedule from custody – the SFAPD and CASC operator will address releases on a case by case basis. The Reentry Transportation schedule may be outside of those times.
- Target Population: Men, women and transgender clients ages 18 and up on Post-Release Community Supervision (PRCS), Penal Code (PC) 1170(h), Mandatory Supervision PC1170h (5) (B), and Probation, PC1203.

RFP for Community Assessment and Service Center

- The CASC will serve approximately 250 individuals per day (120 participants attending services/groups during morning and afternoon sessions, 50 clients that will be drug tested during morning and afternoon slots, 25 clients in community service/remedial sanctions programs per day, 12 clients working with the CA Department of Motor Vehicles (DMV) per day, 16 clients working with the San Francisco Department of Public Health (SFDPH) per day, and 25 students in 5 Keys Charter School per day). The SFAPD expects around 600 unduplicated individuals per year.

The SFAPD envisions the CASC and SFAPD field services will need the following types of space at either a co-located (or closely located) facility:

<b>Staff</b>	<b>Space Size/Additional Information</b>
<b>APD Staff / (PRCS and 1170 (h) Units)</b>	<b>*(Funding for this space to be provided by SFAPD)</b>
1 Division Director	1 Person per office (1 office needed)
2 Supervising Deputy Probation Officers	1 Person per office (2 offices needed)
15 Deputy Probation Officers	2 People per office (8 offices needed)
1 SFAPD Clerk	Work station located in a lobby area that is large enough for up to 10 probationers to wait.
2 DPH Social Workers	2 People per office (1 office needed)
4 Interview Rooms	4 medium sized rooms to accommodate up to 3 people and equipment (4 rooms needed)
3 Additional SFAPD Reentry/DPH Staff	3 small-medium office spaces
1 Large Wheelchair Accessible Restroom	1 large wheelchair accessible bathroom
Copy Room	Large enough room for copier/printer, fax and storage for supplies.
Network/Server Needs	1 Network Server
Copier/Fax Etc.	1 Large Industrial Copier/Printer and Fax Machine
Interview Room Supplies	4 Televisions, Cameras, related equipment
<b>Total Offices/Space Needed for SFAPD</b>	<b>22 Offices/Interview Rooms/SFAPD Lobby/Restrooms</b>
<b>Total Computers/Stations Needed</b>	<b>23 Computers</b>
<b>CASC Programming</b>	<b>Envisioned Space Needs</b>
Elevator (s) If facility is more than 1 floor	Elevator (s)
CASC Program Director	1 person per office ( 1 large office)
6 Case Managers	2 people per office – large offices (3 offices)
2 Employment Specialists	2 people per office – large office (1 office)
Intake/Administrative Specialist	1 large intake-reception lobby area big enough to accommodate up to 15 people waiting at any time.
2 Security Monitors	2 people per office – large office (1 office)
2 Transportation Staff	2 people per office – large office (1 office)
1 Fiscal Director and 1 Accountant	2 people per office - large office (1 office)
Staff Break Room	1 medium sized room with refrigerator, sink, cabinets, and table.
Large Restroom for Remedial Sanctions Drug Testing	1 large restroom with locked cabinets and a locked refrigerator for storing drug testing and other supplies. Must be wheelchair accessible.
Cafeteria	Eating space for up to 20 people to eat. Storage



RFP for Community Assessment and Service Center

	space in this room required.
Kitchen	Medium sized kitchen for storing client food and meal; including appropriate appliances and equipment.
Social Space	Large space with accommodating furniture where clients can congregate in a social milieu.
Public Access Computer Center	Large enough space for 5 public access computers, a printer, fax, and 2 telephones for clients to check voice mails (for work-related purposes).
5 Keys Charter School	1 classroom that is large enough for 15 computer work stations, teacher and aide work stations, and a small student conference table.
Classroom 1: Cognitive Behavioral Group 1	Large room that can accommodate one instructor and a group of 10 people at a time; locked room.
Classroom 2: Cognitive Behavioral Group 2	Large room that can accommodate one instructor and a group of 10 people at a time; locked room.
Classroom 3: Anger Management Group	Large room that can accommodate one instructor and a group of 10 people at a time; locked room.
Classroom 4: Substance Abuse Treatment Group	Large room that can accommodate one instructor and a group of 10 people at a time; locked room.
Classroom 5: Parenting Group	Large room that can accommodate one instructor and a group of 10 people at a time; locked room.
Classroom 6: Vocational Technical Instruction	Large room that can accommodate one instructor and a group of 10 people at a time; locked room.
Partner Service Room # 1 – DMV Office	1 small-medium office for DMV staff to issue I.D.s
Partner Service Room # 2 – HSA Office	1 small-medium office for Benefits Counseling
Partners Service Room # 3 – Housing Counseling	1 small-medium office for Housing Counseling
Partner Service Room # 4 – SF DPH Room	1 small-medium office for counseling and other social work/health-related client consultation.
Clothing Closet	1 room to accommodate a large supply of professional and casual clothes, shoes, jackets, etc.
General Supply Closet	Medium sized locked space for program/CASC supplies.
Child Care Room	1 large room
Copy Room	1 large room for copier/printer and supplies/storage
Network/Computer Room	1 large locked room for computer, network, IT etc.
Conference Rooms (4)	2 large conference rooms, 1 medium and 1 small
2 Additional Wheelchair Accessible Restrooms	2 restrooms – Must be wheelchair accessible
<b>Total Anticipated Programming Spaces Needed</b>	<b>Elevator (s); 27 large accessible spaces for lobby, classes, groups, conference and restrooms; 9 additional small/medium accessible spaces for offices, supply and storage closets, and kitchen.</b>
<b>Total Anticipated Computers/Stations</b>	<b>44 computers</b>

San Francisco has long been searching to formalize best practice strategies that can successfully address local recidivism rates which continue to be significantly higher than state and national

## RFP for Community Assessment and Service Center

averages. California is faced with an unprecedented mandate to make significant criminal justice reforms in the wake of ongoing statewide criminal justice budget shortfalls, corrections strategies that have failed to keep people from recycling through the criminal justice system, and the US Supreme Court decision to reduce California prison overcrowding by 2013. The Criminal Justice Realignment Act of 2011 became operative on October 1, 2011 and made significant changes to the sentencing and supervision of offenders convicted of felony offenses. This Act shifts custody for "low level offenders" from prison to county jail, transfers their supervision from State Parole to the County; and necessitates a comprehensive plan to effectively implement these significant changes without compromising public safety. The CASC is a cornerstone of the City and County of San Francisco's Public Safety Realignment and Post Release Community Supervision 2011 Implementation Plan. The SFAPD is confident that this public and private CASC partnership will become a best recidivism reduction practice and looks forward to developing meaningful partnership with a primary operator and additional strategic collaborations with other public, private; and non-profit partners.

### **B. Mission, Vision, and Values**

The SFAPD is guided by the following Mission, Vision, and Values:

#### Mission

"Protecting the Community, Serving Justice and Changing Lives"

#### Vision

The San Francisco Adult Probation Department achieves excellence in community corrections, public safety and public service through the integration of Evidence Based Practices and a victim centered approach into our supervision strategies. We collaborate with law enforcement, Courts, Department of Public Health, victim organizations and community based organizations to provide a unique blend of enforcement, justice, and treatment. We are leaders in our profession, exemplifying the highest standards. We extend a continuum of integrated services to address our probationers' criminogenic needs and empower them to become productive law-abiding citizens.

#### Values: P.R.O.T.E.C.T. Our Community

**Protect:** We value protection of the residents of the City and County of San Francisco.

**Respect:** We value respect and personal wellness for ourselves, each other and all members of the community.

**Opportunities:** We value providing opportunities for offender rehabilitation, improved public safety, victim restoration, and maximizing officer and employee potential.

**Teamwork:** We value teamwork and cooperation through partnerships with all justice and community stakeholders.

**Ethics:** We value impartiality, accountability, diversity, professionalism, and a strong work ethic.

**Commitment:** We value our commitment to Public Safety and Public Service.

**Trust:** We value the trust placed in us by the public we serve and perform our duties with integrity and possess the skills-set unique to our profession through systematic integration of Evidence Based Principles.

This RFP seeks proposers that have a service delivery philosophy that is aligned with the department's mission, vision, and values.

### C. CASC Goals and Outcomes Measures

At a minimum, the SFAPD will require a focus on the following CASC goals and outcomes measures. During contract negotiations, the SFAPD and operator may determine additional goals or outcomes measures to be captured. The executed contract will reflect the update.

#### Goals

- Reduce recidivism amongst target population.
- Reduce returns to custody for new arrests.
- Reduce arrests amongst target population.
- Reduce probations violation amongst target population.

#### Outcomes Measures

- 50 percent of clients will complete ITRP goals at CASC.
- Of the 50 percent who met their ITRP treatment goals, 60 percent will be in stable housing, gainfully employed, or enrolled in an education program, trade school, community college, or an adult school to become more employment-ready.
- A minimum of 10 percent of clients will participate in the Alumni Group for a minimum of 6 months.

## II. ELIGIBILITY, CONTRACT AMOUNT AND TERM

### A. Eligibility

- Non-profit and for-profit proposers are eligible to apply.
- Collaborative proposals are encouraged.
- Proposers (not including sub-grantees) must be City approved vendors in good standing, enrolled in Paymode X/ACH, and must also become compliant with the 12B Equal Benefits Ordinance.

### B. Contract Amount, Term and Award

The City & County of San Francisco will allocate up to \$1,373,026 CASC services as well as additional funds to cover facility rent/lease and operations costs:

- A maximum of \$1,373,026 is available to fund expenses associated with CASC oversight and services operations (excludes facility rent/lease cost).

- The SFAPD also has funding to cover the facility's rent/lease and operations costs and is requesting that proposers review the facility, services and other specification that are described herein, propose a facility that can sufficiently meet the specifications; and provide projected costs for the proposed facility.

The initial contract will be for thirteen months (June 1, 2012 - June 30, 2013). In addition, the City shall have four (4) options to renew the term for a period of one (1) year, for a total of five (5) years. Contract renewal is subject to annual availability of funds and highly satisfactory performance by the operator. The City has the sole right to exercise a renewal option.

### **C. Contract Award**

The SFAPD will select an operator with whom the SFAPD staff shall commence contract negotiations. The selection of any proposal shall not imply acceptance by the City of all terms of the operator's proposal, which may be subject to further negotiations and approvals before the City may be legally bound thereby. If a satisfactory contract cannot be negotiated in a reasonable time, the SFAPD, in its sole discretion, may terminate negotiations with the initially selected proposer and begin contract negotiations with the next eligible proposer.

The SFAPD anticipates that the selected operator will need ramp-up time to fully implement staffing and operational requirements and programs. There will be a 90 day ramp up period that will commence on the day the contract is signed. The following is expected during this period:

- Lease/rental agreement for identified facility (s) will be completed.
- Any and all building improvements will be completed.
- Facility and operational policies and procedures will be finalized.
- Staff will be hired, oriented and trained, as needed, on curriculum.
- Subcontracts with other partner organizations required to conduct drug testing, supply lunches, or perform other duties will be operational.
- Transportation of offenders to SFAPD at 850 Bryant Street, CASC or other location deemed appropriate by SFAPD DPOs should begin **30 (thirty)** days after the contract's commencement.

The SFAPD will permit the operator to request an advance payment. Specific advance amounts will be negotiated with the operator once a contract has been executed. The funds can be used for all approved facility, operations and staffing expenses. The advance payment will offset subsequent reimbursement requests, so that it is fully accounted for during the contract period.

## **III. MANDATORY MINIMUM REQUIREMENTS**

### **Minimum Requirements**

**Proposers must meet the following Minimum Agency Requirements. Any proposals failing to demonstrate capacity to meet these minimum requirements will be considered non-responsive and may not be eligible for proposal review or award.**

In addition to providing the requested documentation, the proposer can use up to three pages to answer additional minimum qualifications questions.

## A. Financial Management Capacity Requirements

If a proposal is being submitted by a collaborative of agencies, only the lead agency must demonstrate that it meets these minimum financial management capacity requirements. Proposers shall be prepared to participate in mandated audits of financial records, practices, and policies.

**1. Non-profit proposers** must demonstrate a consistent high standard of financial management as evidenced by audit opinions, a reasonable level of cash reserves, and management letters accompanied by audited financial statements that are relatively free of internal control comments.

In response to this RFP, non-profit proposers must provide a copy of:

- Most recent audited financial statements conducted by an independent Certified Public Accountant and accompanying management letters. If the organization has never had such an audit, please submit the most recent unaudited financial statements, and a brief statement of reasons for not ever having conducted an independent audit.
- Current agency-wide budget, balance sheet, and profit and loss statement.
- Current Board of Director's by-laws, as well as a roster of the organization's Board of Directors including the directors' names, titles, telephone numbers, and email addresses.
- Most recently submitted IRS Form 990 Return of Organization Exempt from Income Tax.
  - If the non-profit organization is not required under the Internal Revenue Code section 501(c) to submit IRS Form 990, please include a brief statement of basis for exception and any supporting documentation.
- Approved application for recognition of exemption from federal taxes under Internal Revenue Code, i.e., your 501(c) 3 Letter.
- Three (3) references who can speak to the proposer's management of grant or contract funding for provision of direct services to clients. Ideally, these references should be for experience related to providing services similar to those of this RFP. However, this is not required. For each of the three, please provide name, job title, organizational affiliation, email address, and phone number of individual grant program or contract administrator. References may be with private foundations, or federal, state, or local government. These references will be contacted to determine if the agency meets the financial management capacity requirements.

**2. For-profit proposers** must demonstrate a consistent high standard of financial management and viability.

In response to this RFP, proposers must provide a copy of:

- Most recent company annual report.
- Current company budget, balance sheet, and profit and loss statement.

## RFP for Community Assessment and Service Center

- Current Board of Director's by-laws as well as a roster of the company's Board of Directors including the directors' names, titles, telephone numbers, and email addresses.
- Most recently submitted federal tax returns.
- If your company is required to file with the U.S. Securities and Exchange Commission (SEC), please submit a copy of the most recently submitted annual report to the SEC (Form 10-K).
- Three (3) references who can speak to the proposer's management of grant or contract funding for provision of direct services to clients. Ideally, these references should be for experience related to providing services similar to those of this RFP. However, this is not required. For each of the three, please provide name, job title, organizational affiliation, email address, and telephone number of individual grant program or contract administrator. References may be with private foundations, or federal, state, or local government. These references will be contacted to determine if agency meets financial management capacity requirements.

### **B. Cultural Competency Requirements**

The SFAPD is committed to ensuring that culturally and linguistically appropriate and proficient services are available to the diverse clients that will frequent the CASC. Positively engaging clients through culturally and linguistically relevant services and effective communication is essential to effective engagement and support.

Effective communication requires, at a minimum, 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, religions, history, languages, and in the case of this RFP, criminal histories of diverse individuals and communities. Cultural competency and capacity must be reflected throughout all levels of the organization, including to organizational vision and mission statement, board and staff recruitment, planning and policy making, to staff skills development and training, to administrative and policy implementation, and service delivery approaches.

Proposals funded under this RFP must consider cultural and linguistic factors in addressing the needs 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. Proposers shall be prepared to participate in mandated cultural competency trainings.

Proposers shall demonstrate a commitment to cultural competence by providing the following information:

- Do you have an existing policy on cultural and linguistic competency that describes how organizational mission, policies, programs, and evaluation

protocols reflect a value for cultural and linguistic competency? If yes, please provide. If no, please describe what your CASC policy will look like.

### **C. Evaluation and Data Collection Requirements**

Process and outcome evaluations are important in terms of making adaptations in program quality and in determining the characteristics of effective interventions. Process evaluations are useful in that they describe attributes of programs and provide feedback to practitioners about the quality and integrity of program components and delivery of services. Outcome evaluations are valuable because they describe measures of program success or failure. They examine the short- and long-term impact of the intervention on program participants. Ideally, outcome measures used in evaluations should be tied to the program's mission, goals, and objectives.

The operator will be required to: ensure the fidelity in overarching program design and all program operations; participate in assessment, evaluation and data collection trainings; and provide extensive daily, weekly, monthly, quarterly and annual client data.

Proposers must demonstrate they have experience and program capacity to support extensive data collection and a commitment to working collaboratively with the SFAPD Reentry Division on the design and implementation of an evaluation that includes clients and other direct stakeholders; as well as continuous quality improvement activities.

- The operator must ensure that staff responsible for routine data entry are all trained on the Northpointe Correctional Offender Management and Profiling Sanctions (COMPAS) database prior to entering data. The SFAPD will provide the operator's staff with a COMPAS training and data collection standard requirements. The proposer's staff will need to enter participant data into the COMPAS database regarding program assignment, attendance, and program completion.
- The operator needs to describe a process to ensure daily data entry so that timely information is available to the SFAPD. The proposer will need to have procedures to ensure and verify the validity of the data and to protect hardcopy data and data systems from unauthorized access and/or destruction due to negligence, malice, or disaster.
- The operator must cooperate in the evaluation of the program and assist SFAPD and any designated evaluators on any additional data collection efforts and program analysis.

Please provide information on experience administering or participating in data collection and evaluation efforts:

- Please describe your data collection and client management system.
- Please provide a recent copy of an evaluation that was conducted on your organization or a program in your organization and describe the role your organization played in completing the evaluation.
- Describe how consumers will be involved in program evaluation activities.

**IV. RFP SUBMISSION TIMELINE, QUESTIONS, AND PRE-PROPOSAL CONFERENCE**

**A. Timeline**

The anticipated timeline for selecting an operator is:

<b>Proposal Phase</b>	<b>Date &amp; Time</b>
RFP is issued by the City	January 23, 2012
Question period opens (Only written/emailed questions will be accepted. No phone calls.) Responses to written questions will be posted on SFAPD's website on Feb. 9th and Feb. 17, 2012)	January 23, 2012
Pre-proposal conference	Thursday, February 9 <sup>th</sup> at 1pm in Room 305, City Hall, 1 Dr. Carlton B. Goodlett Place, San Francisco, CA 94103
Question period ends (Deadline for submission of written questions)	February 16, 2012
Non-binding letter of intent due	February 20, 2012
Proposals due	February 29 <sup>th</sup> , 2012 by 5pm sharp

<b>Review Phase</b>	<b>Date</b>
Proposal technical/mandatory minimum requirements review	March 1 through March 7, 2012
Reader review and panel discussions	March 8 through March 30, 2012
SFAPD review of reader scores/feedback, HRC/LBE scores and facility site visits	April 2 – 9, 2012
Announcement	April 10, 2012
Negotiate and finalize contract	April 11 – June 30, 2012
Contract start date	July 1, 2012

**B. Questions and Pre-Proposal Conference**

**1. Questions**

All RFP questions and requests for clarification or information must be received by electronic mail or U.S. mail as follows:

**Via USPS:**

Lauren Bell, Reentry Services Manager  
 Reentry Division, Adult Probation Department  
 850 Bryant Street, Room 200  
 San Francisco, CA 94103



**Via EMAIL:**

Lauren.Bell@sfgov.org

**Questions may be submitted until 5:00 p.m. on Friday, February 16, 2012.**

Answers to collected written questions will be posted on the SFAPD's website on February 9<sup>th</sup>, 2012 and February 17<sup>th</sup>, 2012. It is anticipated that answers to questions received prior to February 9, 2012 will also be issued at the Pre-Proposal Conference. The SFAPD's website is: <http://www.sfgov3.org/index.aspx?page=739>

The proposer should be sure to routinely check the SFAPD's website during the application process to see if any additional corrections or updates have been posted. The proposer will be responsible for incorporating any applicable corrections or updates into proposal plan and budget.

**2. Pre-Proposal Conference**

Proposers are encouraged to attend a pre-proposal conference on February 9, 2012 from 1pm – 4pm in Room 305, City Hall, 1 Dr. Carlton B. Goodlett Place, San Francisco, CA, 94103.

**V. PROPOSAL SUBMISSION REQUIREMENTS**

**A. Non-Binding Letter of Intent**

By February 20, 2012 prospective proposers are requested to submit a Letter of Intent (LOI) on their agency's letterhead stationary to Lauren Bell, Reentry Services Manager, Reentry Division, San Francisco Adult Probation Department 850 Bryant Street, 2<sup>nd</sup> Floor – Room 200, San Francisco, CA 94103. This letter is non-binding and will not prevent acceptance of the proposer's proposal on February 29, 2012 nor does it commit a proposer to submit a proposal.

**B. Time and Place for Submission of Proposals**

Proposals must be received by **5:00 p.m., on Friday, February 29, 2012**. Please be sure that your submitted proposals are date and time stamped. Postmarks will not be considered in judging the timeliness of submissions. Proposals may be delivered in person and left for **Lauren Bell, Reentry Division, Adult Probation Department, Hall of Justice, 850 Bryant Street, Room 200** or mailed to:

**Lauren Bell  
Reentry Services Manager  
Reentry Division  
Adult Probation Department  
850 Bryant Street, Room 200  
San Francisco, CA 94103**

Proposals sent via USPS that are not physically received by staff of the San Francisco Adult Probation Department by 5pm on February 29, 2012 will not be accepted.

Proposers shall submit one (1) original and seven (7) copies of the proposal to the above location. The original copy of the proposal must be clearly marked as "ORIGINAL." Proposals submitted by FAX or e-mail will not be accepted. Late submissions will not be considered.

**C. Format**

All submissions must be typewritten on recycled paper with an easy-to-read 12-point font such as Times New Roman, single spaced, and one-inch margins. Please print on double-sided pages to the maximum extent possible (note that one double-sided page is the equivalent of two proposal pages when meeting program proposal page limits.) Please bind your proposal with a binder clip or rubber band. Please do not put your proposal in a binder or folder or bind your proposal with a spiral binding, glued binding, or anything similar. You may use tabs or other separators within the document. Please also number pages and include a Table of Contents that follows the order specified in the Application Checklist (Appendix C).

**VI. EVALUATION AND SELECTION CRITERIA**

There will be four (4) phases of proposal review.

**A. Phase I: The SFAPD will conduct a technical review of proposals:**

A technical review will be conducted to determine if the proposals are technically compliant with the submission requirements and if the proposer has met mandatory minimum requirements.

Applications will be deemed technically non-compliant if any of the following are true:

1. Failure to materially answer all questions;
2. Failure to follow the RFP instructions and forms or any other directions;
3. Omission of information material to the agency capabilities;
4. Failure to meet the mandatory eligibility minimum requirements;
5. Failure to submit anything that is material to the proposal.

Technically non-compliant proposals will not advance to the phase II review.

**B. Phase II: A Select Group of "Independent Readers" will rate and review the merits of proposals:**

The SFAPD will follow the City and County of San Francisco's guidelines for administering a competitive bid process that includes proposal review by independent third party readers who will rate technically compliant proposals.

Proposals can earn up to 200 points through reader scores. (Preference points applied in phase II or phase III of the review process may raise a proposer's total to over 200 points. The final score from phase II will equal an average of reader scores plus all preference points and HRC/LBE credits combined - additional details follow).

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• History and Experience	40 points
• Scope of Work: Required Service Elements	75 points
• Summary of Facility Requirements	Preference Points
• Organizational Structure and Staffing	65 points
• Budget	20 points
• <u>Data Collection and Evaluation Qualifications</u>	<u>Mandatory Minimum</u>
<b>Total Reader Points:</b>	<b>200 points</b>

The Reader Review process will be as follows:

- 5 -10 readers will be assigned to review and score proposals,
- The team of readers will convene in a facilitated panel discussion of the proposals merits,
- Readers will arrive at an average score for each proposal:
  - Proposals that earn an average score under 100 points in phase II will not advance to the next phase of review.
  - Proposals that earn an average score of 100 – 150 points will be considered “recommended” for further review.
  - Proposals that earn an average score of 150 – 200 points or more (once preference points are applied) will be considered “highly recommended” for further review.

The Human Rights Commission will also apply LBE Rating Bonuses as appropriate during phase II review.

**Preference points will be applied to proposers that can demonstrate past organizational experience** providing case management and comprehensive support services to the target population:

- 20 points will be awarded for 5 or more years of experience.
- 15 points will be awarded for 4 years of experience.
- 10 points will be awarded for 3 years of experience.
- 5 points will be awarded for 2 years of experience.
- 3 points will be awarded for 1 year or less of experience, and
- 0 points will be awarded for no experience.

**Preference points will also be awarded to organizations that can demonstrate past experience successfully operating a multi-service criminal justice facility/center:**

- 10 points will be awarded for 3 or more years of experience.
- 5 points will be awarded for 2 years of experience.
- 3 points will be awarded for 1 year or less of experience, and
- 0 points will be awarded for no experience.

Proposers whose past facilities or services were terminated for verifiable egregious cause will not be eligible for past experience preference points.

**C. Phase III: The SFAPD will conduct proposer interview and site visit**

Proposals that are considered "recommended" or "highly recommended" during phase II will advance to phase III which involves an oral interview with the proposer and, as appropriate, a site visit to the proposed facility.

During this phase, the SFAPD will further clarify the envisioned services partnership between the SFAPD and the potential operator, further validate information provided by the proposer in the RFP, and address any questions or concerns raised by readers or the SFAPD. The SFAPD *will not* be rating the oral interview, but will take notes of the interview and use interview information during final proposal deliberations.

In addition, the SFAPD will conduct a site visit of any proposed facilities. The proposer should be prepared to give the visiting SFAPD team a tour of the facility, provide the team with a clear floor plan of CASC and, as appropriate, SFAPD services, and also be prepared to have a detailed discussion about the facility requirements as per the RFP. The SFAPD will not score the facility site visit, but will ultimately arrive at a "yes, the facility is appropriate for service provision", or "no, the site is not appropriate for service provision." The determination will be based on the location of the facility, the cleanliness of the facility, the move-in readiness of the facility, the potential for the facility's space to adequately meet the CASC's envisioned service needs, and whether the facility has potential to comport with all city, state and federal health and safety policies, protocols and codes within a 90-day period following the signing of a contract.

Preference points for proposals that include a proposed facility that is approved by the SFAPD through the site visit will be applied in phase III as follows:

- Applicants that proposed a facility for just CASC services (no space for SFAPD staff) may receive 10 preference points towards their proposal's final score.
- Applicants that submitted a plan for two separate CASC and SFAPD locations within a 2-block radius may receive 20 preference points towards their proposal's final score.
- Finally, applicants that proposed a facility that will truly co-locate CASC and SFAPD services may receive 30 preference points towards their proposal's final score.

**D. Phase IV: Select an Operator**

The SFAPD will review total scores (average reader scores, as well as applicable LBE credits and preference points applied during phases II and III) and will determine the top three highest scored proposals.

The SFAPD will then deliberate on which of the top three proposers is most aligned with the vision of the CASC, as per the description in this RFP, and select an operator.

**VII. SCOPE OF WORK - REQUIRED SERVICE ELEMENTS**

This section provides background information and requirements proposers must consider and address in their applications.

## RFP for Community Assessment and Service Center

### **A. Overview**

The CASC will be a large, multi-purpose facility that co-locates (or locates in close proximity) supervision services delivered by SFAPD staff, with CASC operator services, as well as other services such as those provided by the San Francisco Department of Public Health for the purposes of social work and counseling, the California Department of Motor Vehicles for the purpose of identification acquisition, and the Human Services Agency for the purpose of benefits acquisition.

In addition to establishing and overseeing the operations of a high client volume, multi-purpose center, the identified operator will also be expected to take leadership of three overarching program areas: 1.) Reentry Transportation, 2.) Rehabilitation Programming, and 3.) Incentives, Rewards, and Remedial Sanctioning Programming.

The Reentry Services Division of the SFAPD will provide start-up and on-going assistance and support to ensure a successful CASC launch, streamlined and collaborative services and systems, and to troubleshoot issues as they arise.

### **B. History and Experience**

The SFAPD is looking to partner with a proposer that has a successful track record of providing a wide range of criminal justice services to the target population. The proposer will need to substantiate a thorough understanding of San Francisco's criminal justice system, knowledge of the political and policy processes of San Francisco, the needs of the target population, experience delivering evidence-based criminal justice services, and demonstrate existing, formal partnerships with a wide range of other public and non-profit services that can leverage CASC services so that clients get efficient access to an array of needed services. As previously mentioned, preference points will be applied to proposers that have verifiable years of applicable experience and will also be applied for proposers that have verifiable years of experience overseeing a large, multi-services center.

Per the mandatory minimum requirements, the proposer should be able to demonstrate experience and organizational capacity to manage financial management systems and criminal justice system contract administration, all required data collection and evaluation responsibilities, and incorporate culturally competent strategies into facility and service designs.

In addition, proposers will need to demonstrate compliance with the American Disabilities Act and Access Requirements by ensuring program and architectural access to people with the greatest range of abilities and disabilities.

Lastly, the SFAPD is interested in partnering with a proposer that has evidence of relevant program license or certification from local, state or federal agencies. The proposer should be prepared to describe this background information.

### C. Theoretical Framework

A theoretical framework is the body of knowledge that creates the foundation for any successful program. It answers the most practical intervention questions: what needs to happen to move people away from criminal behavior and towards pro-social behavior? Fortunately, there has been a proliferation of meta-analyses that has helped build researched based theories that have served as the framework for the development of the Evidence Based Practices and Principles of Effective Intervention strategies for offenders.

Proposers must be able to articulate how the following theoretical frameworks help to validate proposed interventions and services.

1. **Social Learning Theory** is the view that people learn by observing others. Associated with Albert Bandura's work in the 1960s, social learning theory explains how people learn new behaviors, values, and attitudes. A behavioral perspective on learning theory would suggest that offenders learn to engage in criminal activities through a process of rewards and punishments. Intervention practices associated with the behavior aspects of social learning theory would seek to reduce the positive incentive for crime and to create new incentives for pro-social behavior.
2. **Cognitive Theory** focuses on an individual's thoughts as a crucial determinate of his or her emotions and behaviors. Our responses make sense within our own view of the world. Therefore, according to cognitive theory, it is important to change a person's thoughts and beliefs in order to change his or her behaviors.
3. **Self-Efficacy Theory** provides the foundation for human motivation, well-being, and personal accomplishment. This is because unless people believe that their actions can produce the outcomes they desire, they have little incentive to act or to persevere in the face of difficulties. Much empirical evidence now supports Bandura's contention that self-efficacy beliefs touch virtually every aspect of people's lives—whether they think productively, self-debilitating, pessimistically, or optimistically, and how well they motivate themselves and persevere in the face of adversities.
4. **Trans-theoretical Theory** is also known as the "stages of change model," that describes the thought processes that many individuals undergo when making a behavior change. This model recognized that behavior change is not one event, but a series of decision and actions that involves progress that unfolds over time and involves progress over a period of stages. There are six stages of change in the Trans-theoretical Model: Pre-contemplation, Contemplation, Preparation, Action, Maintenance, and Termination. A key feature of the Trans-theoretical Model is that it recognizes the potential for relapse in individuals undergoing behavior change; in many cases, multiple attempts will be needed before change will become permanent.
5. **Pathways Theory** has shown that among women, the most common pathways to crime are based on survival of abuse and poverty and substance abuse. People often have histories of sexual and/or physical abuse that appear to be major roots of delinquency, addiction, and criminality.

6. **Relational Theory** According to relational theory, people develop a sense of self and self-worth when their actions arise out of, and lead into, connections with others. Relationship-based approaches and services focus on connection, not separation among people.
7. **Trauma Theory** and addiction are interrelated issues in the lives of incarcerated people and people under supervision. Although they are therapeutically linked, these issues have historically been treated separately. Trauma and addiction theories provide a critical element in the integration of and foundation for gender-responsive services. As the understanding of traumatic experience has increased, mental health practice has changed accordingly. It is now considered necessary for service providers to become "trauma-informed" if they want to be effective. Becoming trauma-informed is particularly important for the correctional system as the standard operating practices of searches, seclusion, and restraint may traumatize/re-traumatize women.
8. **Addiction Theory** is a holistic health model of addiction, with the inclusion of the environmental aspects of disease, is the theoretical framework recommended for the development of women's services (Covington, 1999, 2002) and is consistent with information from the National Institute of Drug Abuse (NIDA) and the Center for Substance Abuse Treatment (CSAT). The holistic health model allows clinicians to treat addiction as the primary problem, while also addressing the complexity of issues that people bring to treatment such as: health issues, shame, isolation, a history of abuse, or a combination of these.

#### **D. Effective Interventions and Responsive Strategies**

The National Institute of Corrections created the Principles of Effective Intervention and Gender Responsive Strategies for Women as best practices for addressing criminogenic as well as other psychological, social, and developmental needs of the target population. Copies of the National Institute of Corrections documents are attached as Appendix F.

Proposers must be able to articulate how the following interventions and strategies are interwoven into organization design, policies, and procedures.

1. **Principles of Effective Intervention:** The principles of effective intervention are program design elements that have a demonstrated relationship to program success in reducing recidivism. The more the below elements are present in a program, the more confidence in the program's potential to reduce recidivism is warranted.
  - Assess offenders risks and needs,
  - Enhance intrinsic motivation,
  - Target interventions – Risk principle (prioritize higher risk individuals), Need Principle (Target interventions to criminogenic needs), Responsivity (Be sensitive to temperament, learning style, motivation, gender and culture when assigning programs), Dosage (Structure 40% - 70% of high risk offenders time for 3 – 9

months), Treatment (Integrate treatment into full sentence/sanctions requirements),

- Skill train with directed practice (Provide evidence based programming that emphasizes cognitive behavior strategies and is delivered by well-trained staff),
- Increase positive reinforcement (Apply four positive reinforcements for every one negative reinforcement),
- Engage ongoing support in natural communities (Realign and actively engage pro-social support for offenders in their communities for positive reinforcement of desired new behaviors),
- Measure relevant processes and practices (An accurate and detailed documentation of case information and staff performance, along with a formal and valid mechanism for measuring outcomes, is the foundation of evidence-based practice),
- Provide measurement feedback (Providing feedback builds accountability and maintains integrity, ultimately improving outcomes).

**2. The Six Gender Responsive Strategies for Women Offenders:**

Gender:	Acknowledge that gender makes a difference.
Environment:	Create an environment based on safety, respect, and dignity.
Relationships:	Develop policies, practices, and programs that are relational and promote healthy connections to children, family, significant others, and the community.
Services and Supervision	Address substance abuse, trauma, and mental health issues through comprehensive, integrated, culturally relevant services and appropriate supervision.
Socioeconomic Status:	Provide women with opportunities to improve their socioeconomic conditions.
Community:	Establish a system of community supervision and re-entry with comprehensive, collaborative services.

**E. Therapeutic Program Environment**

An underlying purpose of the CASC is to change the negative patterns of behavior, thinking, and feeling that landed a client in the criminal justice system. The SFAPD is committed to ensuring the CASC promotes a true "therapeutic environment" – an environment in which facility aesthetics, constructive staff, client encounters, and dynamic service strategies promote feelings of safety, dignity, and respect amongst clients.

Research and practice underscores how specific service strategies can become the foundation from which a therapeutic environment can grow. The proposer should articulate how the following strategies will be incorporated into facility, staff training, and overall service design.



**1. Strength-based Strategy**

- Build upon the strengths of individuals in order to raise their motivation for treatment,
- Empower individuals to recognize personal responsibility and accountability,
- Provide positive reinforcements, and
- Provide positive behavior support through peers or mentors.

**2. Trauma-informed Strategy**

- Take the trauma into account,
- Avoid activities or behaviors that trigger trauma reactions,
- Adjust the behavior of counselors, staff, and the organization to support the individual,
- Allow survivors to manage their trauma symptoms.

**3. Family-focused Strategy**

- Provide services to strengthen family systems,
- Promote healthy family functioning,
- Encourage families to become self-reliant, and
- Provide a course specific to developing effective parenting skills.

**F. Assessment, Planning and Treatment**

Assessment is a key technique for describing, understanding and treating clients. Errors of assessment can produce systematic misunderstanding and inappropriate treatment of clients. The SFAPD has invested heavily in the COMPAS assessment. COMPAS is a statistically-based risk and needs assessment specifically designed to assess key risk and needs factors in correctional populations and to provide decision-support for justice professionals when placing offenders into the community. It aims to achieve this by providing valid measurement and succinct organization of the relevant criminogenic risk/need and community functioning dimensions.

The proposer must articulate how the assessment, planning and treatment pieces of the service plan will address criminogenic needs and appropriately match services to needs and community functioning factors.

**1. Criminogenic Needs and Community Functioning Factors**

The SFAPD and other criminal justice experts around the country have learned through research and practice that recidivism reduction requires focusing on criminogenic needs and community functioning factors; and responding with appropriate service (s) intervention, intensity and duration.

Criminogenic needs are dynamic risk factors which are empirically linked with antisocial behavior. These needs are attributes of an offender that are directly linked to criminal behavior. There are eight Criminogenic needs and they are listed below.

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The four **BOLDED** criminogenic needs in the table below are the four most critical risk factors:

<b>Anti-social attitudes/beliefs</b>	<b>Anti-social personality patterns</b>	Substance abuse	Poor employment history
<b>Anti-Social Friends/Peer</b>	<b>Family and /or Marital factors</b>	Lack of education	Lack of pro-social Leisure activities

The CASC must provide interventions that specifically address Criminogenic needs of program participants.

Criminogenic Factors	Factors Affecting Recidivism Risk	Need or Desired Outcome
<b>Anti-social Attitudes</b>	<b>Attitudes, beliefs, values, and rationalizations supportive of crime; emotional states of anger, resentment, and defiance</b>	<b>Less risky thinking and feelings and adopting a pro-social identity</b>
<b>Antisocial peers and friends</b>	<b>Close association with criminals and relative isolation from pro-social individuals</b>	<b>Reduced association with criminals, enhanced associations with pro-social individuals</b>
<b>Antisocial Personality</b>	<b>Adventurous, pleasure seeking, low self-control, restlessly aggressive</b>	<b>Learning problem solving, self-management, coping, and anger management skills</b>
<b>Family and/or marital factors</b>	<b>Lack of nurturance, caring, or close monitoring and supervision</b>	<b>Reduced conflict, build positive relationships and communication; enhanced monitoring and supervision</b>
<b>Substance Abuse</b>	<b>Abuse of alcohol and/or drugs</b>	<b>Reduced use, personal and interpersonal supports for substance abuse behavior; enhanced alternatives to use</b>
<b>Lack of Education</b>	<b>Low levels of performance and satisfaction</b>	<b>Enhanced rewards, performance, and satisfaction</b>
<b>Poor Employment History</b>	<b>Low levels of performance and satisfaction</b>	<b>Enhanced rewards, performance, and satisfaction</b>

<b>Leisure/Recreation</b>	<b>Low levels of involvement and satisfaction in antisocial activities</b>	<b>Enhanced involvement and satisfaction in pro-social activities</b>
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**Community Functioning Factors**

Community Functioning Factors are not Criminogenic, but may create barriers to the offender’s success. The CASC must also provide services and programs that address Community Functioning Factors:

Community Functioning Factors	
<ul style="list-style-type: none"> <li>• Housing</li> <li>• Transportation</li> <li>• Food</li> <li>• Anxiety and Stress</li> </ul>	<ul style="list-style-type: none"> <li>• Health and Physical</li> <li>• Mental health</li> <li>• Low self esteem</li> </ul>

The proposer will need to demonstrate an understanding of the relevance of criminogenic and community functioning factors.

**2. Collaborative and Coordinated Case Conferencing**

The SFAPD will use a simple, but efficient collaborative and coordinated case conferencing strategy so that SFAPD and CASC staff can exchange and share relevant referral, incentives/rewards and remedial sanctions information, troubleshoot client and program challenges and progress, and deliberate on a client’s eventual discharge/graduation. The proposer will need to provide an assurance that appropriate staff will be committed to attending weekly case conferencing meetings with SFAPD staff.

**3. COMPAS assessment and ITRP**

The Northpointe Correctional Offender Management and Profiling Alternative Sanctions (COMPAS) Assessment will be utilized to identify each client’s strengths, needs and risk factors. This assessment will include the life conditions of the participant at the time of the crime as well as examples of participant’s assets and capabilities. This tool will be utilized by the SFAPD for the initial assessment and progressive re-assessments (s) of clients. The assessment includes, but is not limited to: personal development and family of origin, educational development, vocational training/employment, criminal justice involvement, both as an adolescent and adult, past and current relationships, physical, emotional, and sexual abuse/incest history, parenting history, including children’s ages, needs, current places of residence, difficulties and strengths, and the individual’s plans for reunification with children if appropriate, medical history, including use of psychotropic medications, alcohol and drug use history, including substance

use/abuse patterns in the individual's family of origin, living situation prior to commitment, examples of resiliency, and assets and capabilities (i.e. SSI eligibility).

The SFAPD will generate the Individual Treatment and Rehabilitative Plan (ITRP) for each client based on the criminogenic risks and needs identified in the COMPAS assessment. A sample ITRP can be found in Appendix C. The ITRP builds on an individual's strengths and capabilities and serves as the fundamental basis for providing care to the client throughout participation in CASC programming and while client is on community supervision. At a minimum, the ITRP will address the range of needs identified in the assessment including: Education, employment, substance abuse, positive parenting, cognitive reasoning, positive peer associations, self-management, coping and anger management, conflict resolution, accommodations or auxiliary aids and services for physical, psychological, sensory, or cognitive disabilities, effective communication, and leisure activities.

- The proposer must articulate how the ITRP will be used by CASC staff to match a client's criminogenic needs and community functioning factors with appropriate services.

**3. Secondary Assessments:**

- The identified operator will also be required to administer evidence based secondary assessments that further clarify the type, intensity and duration of rehabilitative/treatment programs that are most appropriate for clients based on COMPAS and ITRP information. The Severity of Drug Use tool is an example of the type of secondary assessment that SFAPD expects the CASC to administer.
- The proposer must articulate how secondary assessments will be incorporated into the proposed service plan, and must also provide copies of the secondary assessments as **Attachment A** of the proposal.

**4. Intake**

- Every client that enters the front door will complete a general intake that collects contact and nature of interest in CASC services information.
- The proposer's proposal must articulate how the intake process will be incorporated into the proposed service plan.

**5. Orientation and Enrollment**

- The proposer must describe the orientation process for new program participants to ensure that clients are made aware of the behavior and program expectations of the CASC.
- The proposer's proposal must articulate how orientation and enrollment will be incorporated in the proposed service plan.

## 6. Case Management

An essential principle of effective criminal justice programming is that there is a coordination of services in which a client is connected to multiple providers. The purpose of the case manager is to coordinate service delivery and help navigate streamlined client care. Case managers must engage in a variety of activities from simply locating services to more intensive clinical care roles. Proposers must describe their case management and brokerage service capacity in detail, and show evidence of collaborations and coordination with other agencies. It is anticipated that clients will be in case management for a minimum of 6 months to one year.

- The SFAPD requests a mode of case management practice in which services are provided at an average frequency that is consistent with evidence based practice, the case management and group session lengths are appropriate to the level of the client's needs, and the duration of care is consistent with evidence based practices.
- The proposer must articulate how criminogenic and community functioning factors information from the COMPAS, ITRP and secondary assessments will be used to identify not just the correct set of services for the client, but also specific service modalities (individualized vs. group services for example) and duration of services.
- The proposer will need to describe the system for matching criminogenic needs and community functioning factors outlined in the COMPAS and ITRP with CASC and partner services.
- The proposer will need to describe the proposed case management and intensive or clinical case management services in the proposed service plan and speak to the organizational expertise in providing case management services to the target population in the Experience section of the proposal.
- The SFAPD requests that the CASC operator maintain a 25:1 client to staff ratio.

### 6b. Intensive or Clinical Case Management

- Clients with severe mental and behavioral health issues present unique challenges and require dynamic and informed responses.
- The SFAPD expects that the proposer will ensure that there is capacity, either through on-site staff and/or through partnership with an expert organization, to appropriately serve this population. The SFAPD expects that staff serving this population will be trained in traditional mental health case management models and that staff have adequate education and experience to successfully support these clients as they strive to make difficult life changes.
- Services that help to build self efficacy, decision making, social and independent living skills and employability potential should be adapted to ensure that individuals with a range of mental and behavioral issues can benefit and hopefully succeed through the interventions.
- Providers will need to ensure that once clients complete the CASC programming that they have the opportunity to connect with other city/county mental/behavioral

health services so that case management and other supportive services may continue.

- If the proposer plans to partner with another organization to deliver clinical case management, the proposer should thoroughly describe the partnership in the narrative and include signed "Letters of Intent" to partner as per the Content Submission guidelines.
- Please take note of minimum qualifications for LCSW/LMFT positions as they are detailed in the Organizational Structure and Staffing section.

#### **G. Required Service Elements**

Proposers are encouraged to submit collaborative proposals to meet the CASC's multi-service requirements or to formally establish strategic partnerships. In the latter scenario, proposers must thoroughly describe collaborative roles and include signed "Letters of Intent" to partner as per the Content Submission guidelines.

##### **1. Reentry Transportation from Custody to Safe Secure Location**

The proposer must articulate any past experience providing Reentry Transportation services and how these services will be integrated into the proposed CASC service plan.

- Transportation referrals originate in the SFAPD,
- Pick ups may be from county jail or state prison,
- SFAPD will pick up high-risk/high-need clients and will prioritize low-medium risk/need clients for pick up by CASC operator,
- The maximum distance for a pick up will be 3 hours from San Francisco or 180 miles away,
- SFAPD will work with the California Department of Corrections and Rehabilitation (CDCR) to institute a policy by which inmates of facilities that are more than 200 miles away will be transported to a facility that is within 200 miles of pick up from the CASC,
- SFAPD will work with operator to institute a policy that outlines the days and times that CASC transportation services are available. The operator should be prepared to offer transportation for a schedule of 40 hours per week (may include weekends) for = 2080 hours per year.
- The operator will be responsible for staffing and maintaining appropriate vehicle(s) to pick up and transport released clients from jail and prison to the SFAPD Office, CASC facility or other mandated drop-off location as per the Post Release Community Supervision (PRCS) unit of SFAPD. Transportation staff must be available 40 hours per week (approximately 2080 hours annually – may involve weekend pick ups).

##### **2. Rehabilitation Programs**

**Scheduling:** Clients should have a clear understanding of the schedule of rehabilitation services that will be provided. Proposers will be required to post a Rehabilitation Schedule in plain view

in an easily accessible area such as the lobby of the CASC. The proposer should include a draft schedule as Attachment B.

**Rehabilitation Programming Fidelity:** To ensure service fidelity and the greatest likelihood of recidivism reduction success, the proposer must indicate how each of the following program elements is rooted in an evidence-based approach. To that end, the proposer must provide the following information for each proposed program component:

- Provide source information on the curriculum that will be used for each rehabilitation program – this could be the name (s) of researchers/practitioners that created the curriculum or other descriptive background information.
- Include a copy of each curriculum to be used as Attachment C in the proposal.
- Provide an assurance that only certified trainers will facilitate groups and train other staff.
- Lastly, the proposer should provide indication of a commitment to adhere to the below prescribed client to staff ratios.

#### **Gender Responsive Treatment and Services for Women Client Groups (Client to staff ratio – 12:1)**

Gender responsive services for clients who are women must consider the individual, biological, psychological, psycho-social risk and protective factors, as well as the social, cultural and environmental contexts faced by women involved in the criminal justice system.

- The proposer should articulate past experience delivering gender responsive services to female offenders; and what evidence based curriculum will be used with CASC clients.

#### **Cognitive Skills Development (Client to staff ratio – 12:1)**

The operator will be required to provide on-site cognitive behavioral intervention groups with clients. Group activities will actively engage participants in confronting such topics as individual values, behaviors, and decision making contributing to their substance abuse and criminality; as well as activities that engage clients in other topics like anger management and conflict resolution. The National Institute of Corrections has created the “Thinking for a Change” curriculum that covers such topics as life skills, positive-decision making, and impulse control. It has been well received by researchers and practitioners nationally and locally.

- The SFAPD will require that the proposer integrate the Thinking for Change 3.0 curriculum into the suite of services. As applicable, the proposer can describe previous expertise with an earlier version and reference the plan for getting the updated version.
- The SFAPD requests that the operator provides Anger Management groups for clients. If Anger Management training will not be a part of the Thinking for a Change groups, then the SFAPD requests that the operator also schedule time for anger management sessions.

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- The proposer should articulate past experience delivering cognitive behavioral and anger management group work to the target population; and how the Thinking for a Change curriculum will be phased into service delivery.

**Substance Abuse Prevention Education Group (Client to staff ratio = 12:1)**

- The proposer will be required to provide on-site substance abuse prevention education. This kind of group will take an informational, therapeutic and cognitive behavioral approach to preventing continuing substance abuse. Anyone facilitating these groups or providing drug and alcohol counseling will need to be certified by the California Association of Alcoholism and Drug Abuse Counselors.
- The proposer should articulate past experience delivering substance abuse prevention services to the target population; and what evidence based curriculum will be used with CASC clients.

**Outpatient Substance Abuse Treatment (Client to staff ratio = 12:1)**

- The proposer will be required to provide on-site outpatient substance abuse education/treatment groups. Anyone facilitating these groups or providing drug and alcohol counseling will need to be certified by the California Association of Alcoholism and Drug Abuse Counselors.
- The proposer should articulate past experience delivering outpatient substance treatment services to the target population; and what evidence based curriculum will be used with CASC clients.
- The proposer will be required to develop formal partnerships with Residential Substance Abuse Treatment Centers and provide "Letters of Intent" to partner as per the Content Submission guidelines.

**Relapse Prevention Training (Client to staff ratio = 12:1)**

There are many factors that contribute to relapse, as well as identifiable evidence and warning signs which indicate that a client may be in danger of returning to substance abuse. Relapse can be understood as not only the actual return to the pattern of substance abuse, but also as the process during which indicators appear prior to the patient's resumption of substance use.

- The proposer will be required to provide on-site relapse prevention training.
- The proposer should articulate past experience delivering relapse prevention services to the target population; and what evidence based curriculum will be used with CASC clients.

**Life Skills Development Training (Client to staff ratio = 12:1)**

To successfully navigate systems and live successfully in today's world, clients must be adept at a variety of life skills. These include knowing how to work at a job and be part of a team, manage money, manage-time; live as part of a family and learning effective communication skills.



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- The proposer will be required to provide on-site life skills training.
- The proposer will be required to develop formal partnerships with other public departments or non-profit organizations that have expertise in delivering individualized housing and benefits counseling. Through the Life Skills program, all clients should understand what housing and access to benefits options they have.
- The proposer should articulate past experience providing life skills training to the target population; and what evidence-based curriculum that will be used with CASC clients.

### Parenting Skills Training (Client to staff ratio = 12:1)

Parenting isn't easy, even in the best of circumstances. Most people learn how to parent from watching their guardians, parents or grandparents. Unfortunately, many of the skills that have been passed on in our client's families are less than adequate, especially for clients that were raised in fragmented and dysfunctional households or who spent their childhood in dependency systems. The CASC parenting skills training will help to break a cycle of dysfunctional parenting and support moms and dads in developing the skills that are needed to provide constructive and caring parenting to their children.

- The proposer will be required to provide on-site life skills training.
- The proposer should articulate past experience providing parenting skills training to the target population; and what evidence based curriculum will be used with CASC clients.

### Education - 5 Keys Charter High School/GED (Client to staff ratio = 15:1)

The 5 Keys Charter School has graciously agreed to partner with the SFAPD and the CASC operator for the purpose of operating a charter school at the CASC facility. The 5 Keys Classroom will need to be large enough to accommodate at least 15 workstations. There will be approximately 35-40 students signed up for the 5 Keys Program at any time. As is common in other locations, the school will be a combination of drop-in and individualized attention for students along with scheduled classroom hours.

- The CASC operator will be responsible for overseeing the CASC's charter school.
- The proposer should describe any past experience in overseeing an educational program that is focused on meeting high school diploma or GED requirements; or partnering with 5 Keys Charter School.
- The proposer **will not** need to get a "Letter of Intent" to partner from 5 Keys Charter School as the SFAPD will create a Memorandum of Understanding between 5 Keys, the selected operator and the SFAPD.

### Employment Readiness Training (Client to staff ratio = 12:1)

Many of CASC's clients will have fallen through educational and traditional workforce cracks throughout their lives. In addition to facing the barrier of criminal history, they face other

interpersonal, verbal and written communication, impulse control, de-escalation, problem-solving and other technical skills barriers to becoming employable in the mainstream labor market.

- The proposer will be required to provide on site employment readiness training to help clients overcome barriers and prepare for subsidized and unsubsidized employment.
- The proposer should articulate past experience providing employment readiness training to the target population; and what evidence based curriculum will be used with CASC clients.

#### **Vocational Training (Client to staff ratio = 12:1)**

Vocational training is training for a specific career or trade and focuses on practical applications of skills learned, and is generally unconcerned with theory or traditional academic skills. A large part of the education in vocational schools is hands-on training. Vocational training provides a practical link between education and the working world.

- The proposer will be required to provide on site vocational training to help clients overcome barriers and prepare for subsidized and unsubsidized employment.
- The C-TECH telecommunications vocational program is an example of the kind of vocational skills development envisioned at the CASC. This is a program in which students get certified as cabling technicians. There are textbooks and hands on training throughout the course. The training covers both copper-based cable technology and fiber optics. Students are prepared for entry-level employment in the telecommunications industry. The course is approximately 20 weeks in duration. The operator could provide this kind of (or other described vocational program) or subcontract out the work. Please adhere to the above guidelines to describe the best practice vocational approach that will be implemented with the target population
- The proposer should articulate past experience providing vocational training to the target population; and what evidence based vocational training curriculum will be used with CASC clients. The proposer should also describe how the selected vocational training meets employment demands in the labor market.
- The proposer will be required to develop formal partnerships with other Vocational Training Programs and provide "Letters of Intent" to partner as per the Content Submission guidelines.

#### **Recreation and Leisure Activities (Client to staff ratio = 12:1)**

Recreation and leisure activities are criminogenic needs. It is critical for individuals to re-learn that they can have fun without drugs or alcohol; or spending time with negative peers that enable destructive attitudes and behaviors. There are so many beautiful and free activities in the Bay Area from Golden Gate Park, to Ocean Beach, to hikes in Marin. The SFAPD will require that the operator build out a recreation and leisure component that connects clients to positive social activities and peers.

- The proposer will be required to provide a set schedule of recreation and leisure activities that help clients to re-understand all of the drug and alcohol free entertainment and enjoyment that San Francisco and the Bay Area has to offer.
- The proposer should articulate past experience providing recreation and leisure activities with the target population; and also provide a draft Recreation and Leisure schedule as per the Content Submission guidelines.

### Physical Health Services

Many clients return from custody with a range of physical health issues. It is imperative that clients exiting jails and prisons have efficient access to culturally competent primary health care services designed to meet their unique needs.

- If applicable, the proposer should articulate past experience providing physical health services to the target population; and describe how physical health services will be made available to CASC clients.
- The proposer will be required to develop partnerships with primary care providers that have expertise in meeting the health needs of clients.
- The proposer should include "Letters of Intent" to partner as per the Content Submission guidelines.

### Graduations

Many clients will never have participated in a formal graduation or ceremony that celebrates their accomplishment towards personal goals. Many people have forgotten how important it is to ground successes in a formal ceremony in which colleagues, friends and family can extend congratulations for overcoming barriers and succeeding. The SFAPD intends for CASC clients to formally graduate from CASC services and requests that the CASC operator oversee quarterly graduation ceremonies. A determination of graduation from services will ultimately involve the collaborative input from both SFAPD and CASC staff; and staff from both SFAPD and CASC will be responsible for encouraging client attendance and helping out on the day of the graduation.

- The proposer should describe past experience organizing graduations for the target population and should articulate how to make graduations for CASC clients special.

### Other Services

**Clothing Closet:** The proposer must maintain a stocked clothing closet onsite at the CASC or develop a formal partnership with another organization such as Goodwill Industries or other private sector entity for the purpose of ensuring that clients can meet essential clothing needs.

- The proposer should articulate past experience maintaining a clothing closet for the target population and describe the plan for maintaining a CASC closet.
- The proposer should include "Letters of Intent" to partner as per the Content Submission guidelines.

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**Childcare:** The SFAPD does not recommend that the CASC offer childcare services as the CASC is focused primarily on client recovery and empowerment. However, as part of the CASC's family-focused strategy, the SFAPD is interested in understanding how the proposer can use the parenting skills training to help clients address childcare issues, as well as understanding if the proposer can establish any formal partnerships with other organizations that can help clients address childcare issues and lastly, what the proposer's policy will be if/when a client brings a child to the CASC.

- The proposer should include any "Letter of Intent" to partner as per the Content Submission guidelines.

### Alumni Group Program

Even after CASC clients graduate, they will still require touchstones that keep them grounded in positive and constructive thinking. The SFAPD will require that the CASC operator oversee an Alumni Program that is rooted in cognitive behavioral interventions. The Alumni Group would combine best practice exercises from many of the CASC's training and treatment groups; and will also serve as a recreational activity in which clients can enjoy interactions with positive peers that are working to remain clean, sober and crime free.

- The proposer should articulate past experience providing alumni group services to the target population; and include information on the alumni group curriculum or training that will be used for CASC clients.

### 3. Incentives, Rewards and Remedial Sanctions

Best practices in criminal justice require concerted focus on assessment as well as the development of treatment plans that match appropriate services to outlined criminogenic needs and community functioning factors. Best practice also requires a very clear and swift incentives, rewards and sanctions program that holds clients uniformly accountable for failing to meet personal responsibilities and program expectations; and also incentivizes or rewards them for demonstrating progress towards or achieving goals.

The SFAPD will require that the CASC operator oversee a well-designed and consistent Incentives, Rewards and Remedial Sanctions Program.

### Remedial Sanctions

Remedial Sanctions *referrals* will be generated by the SFAPD. The CASC operator will not be responsible for formally issuing remedial sanctions to clients. If clients are not following through on their ITRP or if CASC staff is aware that clients are not in compliance with orders and terms of the court, information will be shared as soon as possible with SFAPD or during weekly case conferencing and the SFAPD will issue the sanction.

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The CASC operator will however be responsible for administering the Remedial Sanctions program which will consist of Drug Testing and Community Service, and which may also require that clients attend additional on-site classes. The CASC operator will be responsible for connecting the client to the sanction program and providing the SFAPD with completion or failure information during case conferencing.

**Drug Testing** – The CASC operator will receive drug testing referrals from both on-site (or nearby) SFAPD staff or from SFAPD staff at 850 Bryant Street. The CASC operator will be required to administer drug test screening to clients. At a minimum, the operator will be required to conduct an oral cheek swab and immediately report results to the SFAPD (whether at the CASC or 850 Bryant Street). The SFAPD will then determine if the client will need to complete a urinalysis screening. The SFAPD may ask the CASC operator to phase in urinalysis testing into the CASC site or may just determine that such screenings will happen at 850 Bryant. If they are conducted at the CASC, formal urinalysis policies and procedures will be developed.

As a result of positive drug tests or in response to failure to comply with ITRP or other requirements, the client may be referred to other remedial sanctions:

**Community Service** – The CASC operator will be required to oversee a community service component of the CASC. The proposer will need to establish formal community service partnerships with organizations, ensure that partners understand the CASC's target population, address any community service site restrictions (can't have drug offenders on site, etc.) and ensure that the site has meaningful community service opportunities for clients. The operator will need to develop the Community Service referral, tracking and report back to SFAPD system.

**CASC Classes** – Some clients may be referred for additional classes as a remedial sanction. The CASC operator will need to develop a system for tracking clients through the classes and reporting back to SFAPD.

**Incentives and Rewards** – The CASC operator will also be responsible for staying on top of client progress and achievements, developing a uniform policy for administering incentives and rewards and sharing incentives and rewards information with the SFAPD during case conferencing.

- The proposer should articulate past experience overseeing and administering an Incentives, Rewards and Remedial Sanctions Program with the target population.
- The proposer should specifically describe past experience administering drug test screenings with the target population.
- The proposer should articulate past experience overseeing a community service program for the target population and should specifically describe how the CASC community service program will be designed for the purpose of fulfilling remedial sanctions responsibilities.
- Lastly, the proposer should articulate past experience delivering a well-organized, uniform and consistent incentives and rewards program to the target population and should fully describe how the CASC incentives and rewards program will be aligned with a client's ITRP and other program successes.

## VIII. SUMMARY OF FACILITY REQUIREMENTS AND DAILY OPERATIONS

**This section only applies to proposers that are proposing a specific facility in their proposal.**

This section *will not* be rated by readers. The SFAPD will however assign preference points as previously described to proposals' whose facilities are approved by the SFAPD during the interview and site visit.

**Proposers that are able to propose specific facilities should include the below information with their proposal.**

### A. Essential Facility Information:

1. Will the facility accommodate just CASC services? CASC services and SFAPD services?
2. Is it one co-located facility or two facilities within a two-block distance?
3. Address of the facility (facilities)?
4. Square footage?
5. Floor plan that describes the layout of offices/services described in the table at the start of this document?
6. Name of owner and contact information of the owner? The proposer should include a Letter of Interest from the owner acknowledging the scale, scope, target population and time line of this project as well as consent to operate on-site CASC services.
7. List of all improvements such as, fire, health, safety and all other improvements that would be required to make the facility compliant with local, state and federal regulations.
8. As appropriate, time line for completing all listed improvements and ensuring that the facility will be in compliance with all applicable building, sanitation, health, safety and fire codes, as well as city and county zoning and use ordinances. The proposer should indicate whether a Conditional Use Permit (CUP) or equivalent is necessary and, as needed, incorporate the acquiring of the permit into the time line. As appropriate, the operator shall forward a copy of the CUP or equivalent to the SFAPD Reentry Services Manager for filing in the contract file.
9. The San Francisco Mayor's Office of Disability will review the facility before the lease is signed. Appendix G is a Mayor's Office of Disability checklist and reflects the kind of information they will review prior to approving a site.

Before the SFAPD approves using any CASC funding for facility rent/lease and operations purposes, the CASC operator should provide indication of ability to comply with the below guidelines as well as any additional guidelines required by the SFAPD to ensure that the facility meets city, county as well as fire, health, and safety standards. The SFAPD will discuss these details with the proposer during the phase III site visit. Proposer responses to the questions and specification will be incorporated into the SFAPD's decision as to whether or not a site can be approved for CASC purposes.

**B. Facility and Grounds**

1. The CASC facility must be used exclusively for serving the target population and the staff associated with the program.
2. The CASC must be and remain in compliance with all applicable building, sanitation, health, safety and fire codes, as well as city and county zoning and use ordinances.
3. The facility must be fully accessible for all client areas. This includes an accessible entrance, accessible paths of travel to all service areas, including work stations, service counters and eating areas, accessible restrooms, and accessible drinking fountains. A preference is for a facility that includes wheelchair access in administrative and staff areas as well. Details of what constitutes an accessible facility are attached as Appendix G.
4. The CASC must be within one-third mile of public transportation, unless the operator agrees to provide transportation for the participants in order to access various community service agencies.
5. The CASC shall have a plan for onsite security/monitoring of all equipment, supplies, staff and clients.
6. Clients should be prohibited from loitering outside of the facility.
7. The facility must have a staffed reception lobby for CASC services as well as a separate lobby for SFAPD services - staffing to be provided by SFAPD.
8. The operator shall have staff to monitor and coordinate the entry and exit into the facility and ensure that all persons sign into the facility.
9. The CASC should provide a cheerful décor and color-coordinated furnishings for the facility with special emphasis on the lobby, hallways, classrooms and treatment restrooms, and dining area (eating and break room).
10. The CASC must have sufficient space designated for clients to take scheduled breaks and eat lunch.
11. The CASC must provide for multiple classrooms to permit training and services to be offered simultaneously.
12. Ninety percent of the program components must be conducted at the CASC facility and grounds.
13. The facility must provide an adequate number of functional, clean, restrooms in accordance with City and County of San Francisco standards. The sinks shall provide both hot and cold water. Hand soap, paper towels, paper seat covers should be available. Restrooms must be considerate of gender needs and be separately located. Restrooms must be in compliance with the Americans with Disabilities Act (ADA).
14. Client restrooms shall not be co-located with the restrooms for staff.
15. If urinalysis testing is phased into programming, there must be a restroom for urinalysis testing.
16. The CASC kitchen, cafeteria, food storage area, equipment, appliances, furnishings, and cabinetry, as well as all food service and preparation areas must meet all applicable health and sanitation code standards. Accommodations shall be made for participants with disabilities.

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17. The CASC shall provide a wholesome and nutritionally balanced lunch a minimum of 5 days per week for all program participants who spend 4 or more hours engaged in programming on a given day. At a minimum, the lunch should be a sack lunch that includes a sandwich (with assorted lunch meat, lettuce, tomato and American cheese), fresh fruit, and snack chips, cookies and access to fresh drinking water. The operator should be considerate of general health and dietary restrictions and food prohibitions associated with cultural and religious traditions. The operator can elect to contract with a city approved vendor to provide nutritious, daily, on-site sack lunches.
18. The operator shall regularly inspect the facility for pest infestation and shall maintain pest control services to ensure the facility is free of insect and rodent infestation. Documentation of pest control services should be maintained at the facility and made available to the SFAPD staff upon request.
19. CASC site inspections will be held after initial screening and reviews of proposals has been completed. Any facility which is not compliant may be referred to the SF Department of Risk Management for further inspection. Any violations found must be corrected at the operator's expense.
20. The CASC shall have proper lighting, heating, and ventilation.
21. The CASC shall have a secured maintenance room for storage of cleaning supplies, tools and equipment (e.g., mops, brooms, buckets, etc.) and shall be equipped with a utility sink. The facility, equipment, furniture, appliances, etc. shall be kept clean and in good operating condition at all times and replaced when necessary.
22. The CASC shall have a plan to ensure comprehensive janitorial services.
23. All repairs including plumbing, electrical and/or structural which affect the health and safety of any occupant must be made within 48 hours of discovery and at the operator's expense. The operator must notify the SFAPD Reentry Services Manager of such instances immediately.
24. The operator will ensure safety and security of facility exterior, interior, equipment, supplies, staff, clients and all client information.
25. A minimum of four parking spaces must be available for designated SFAPD staff. Public (non-metered) parking can be used as a portion of the required parking, as long as sufficient parking spaces are available at all times. The operator must be in compliance with disabled parking as required by the ADA.
26. If the operator anticipates transporting participants via a private vehicle, all staff shall possess a valid driver's license and the vehicle shall be fully insured.
27. The operator shall have written CASC policies and procedures in accordance with SFAPD's regulations. The policies and procedures will be submitted to the SFAPD Reentry Division for retention in the case file.
28. All operator staff shall be trained and certified in first aid, including cardiopulmonary resuscitation (CPR) within the first six weeks of employment and remain current throughout their employment relative to this contract. A record of first aid training shall be maintained on file by the operator.
29. Fully stocked first aid kits shall be readily available throughout the facility. Operator staff shall be trained and kept current in all procedures related to each



- participant's routine and emergency medical care. The telephone numbers of all local emergency service agencies shall be posted and readily available to all staff.
30. No Smoking signs shall be posted in full view of the participants, staff and visitors.

## **C. Operator's Responsibilities Concerning Security and Safety Requirements**

### **1. Facility Security**

- The staff and on site security protocols shall ensure the facility is free of contraband and provide protection from outside intrusions. Daily security and perimeter inspection of the facility shall make certain that functioning locks and latches are on all windows, doors and gates, and that electrical lighting (inside and out) is operating properly. Door alarms may be used to eliminate unauthorized egress or ingress during evening and night hours. Security policies shall ensure that the participants are not locked inside the facility at any time.
- Given the large number of clients in the facility at any given time, there should be a sufficient number of staff monitors (security) whose job it is to make routine safety checks throughout the facility.

### **2. Case Files**

- The operator shall develop and maintain properly organized participant files and secure them in a locked file cabinet or drawer. Files shall be considered confidential and protected from any unauthorized use or disclosure. Electronic client files will be held to the same security standard as hard copy files. The facility must have written procedures for the release of case file information to include: 1) the participant's signed and dated Release of Information Form, 2) the name of the person, agency or organization to whom the information was released, and 3) the signature of the employee who released the information and date of release.

### **3. Searches and Contraband**

- Searches of the facility and clients for contraband and signs of substance abuse shall be in compliance with SFAPD regulations, policies, and procedures. Searches shall include securing and processing contraband in accordance with SFAPD regulations, policy, and procedure. Clients participating in programming at the facility are subject to search. Any findings of contraband and/or signs of substance abuse shall be reported to the SFAPD staff as soon as possible after discovery.

**4. Disturbance Control Plan**

- The operator shall have a written Disturbance Control Plan in the event of a major disturbance such as major earthquake or other natural disaster; fights or other attacks upon clients, staff, or visitors, explosions or fires; suicides or attempted suicides; and accidental injuries to staff and clients. The plan shall include assistance from local law enforcement and/or emergency agencies as circumstances warrant. The development of the Disturbance Control Plan shall be coordinated with the SFAPD Reentry Services Manager. Once the Disturbance Control Plan is developed, the operator shall submit a copy to the SFAPD Reentry Services Manager for retention in the contract file.

**5. Fire Evacuation Emergency Procedures**

- a. The operator shall have written procedures pertaining to fire prevention, safety requirements, evacuation and emergency procedures that include instructions for the following:
  - Immediate notification of the fire department (inclusive of the designated fire department's address and telephone number),
  - Alert notification and/or evacuation of all occupants,
  - Notification of authorities,
  - Control and the extinguishing of fires, and
  - Evacuation routes and procedures.

**6. Emergency Evacuation Training**

- All personnel shall be trained in the implementation of emergency procedures within 24 hours of their initial employment. Annual refresher training shall be provided to all personnel. All training is to be documented for compliance and maintained in employee files.

**7. Quarterly Emergency Evacuation Drills**

- The operator shall conduct and document quarterly emergency evacuation drills. Documentation of each drill shall include the: date and time of day; evacuation path used; number of staff, participants and visitors involved; amount of time to complete the drill and any pertinent comments.

**8. Posting of Emergency Evacuation Floor Plans**

- Clear, concise and site-specific emergency evacuation floor plans shall be posted at every occupied floor location throughout the facility. The evacuation diagram plans shall be placed in tamper-proof frames and include the following:

- Evacuation diagram plan that identifies the "You Are Here," location that is compatible with the building floor plan.
- Evacuation plans, which include the location of building exits, fire extinguishers, pull-stations, fire hose cabinets, and first aid supplies.
- Emergency and evacuation procedures, including diagrammed evacuation routes, shall be communicated to each new participant upon arrival.

**9. Smoke Detectors and Fire Extinguishers**

- The operator shall provide operable and regularly tested smoke detectors and fire extinguishers in key locations including the kitchen and classrooms. All tests shall be documented and maintained at the facility site.

**10. Hazardous, Toxic and Volatile Substances**

- The Operator shall maintain a written policy for inventory, use, storage and disposal of all hazardous, toxic, and volatile substances in accordance with the Hazardous Substances Information and Training Act, Chapter 2-5 (commencing with Section 6360), Part 1 of Division 5 of the Labor Code. Hazardous, toxic and volatile substances shall not be stored in furnace areas, kitchens, dining areas, or in close proximity to stored food or kitchen supplies. Flammable substances such as gasoline, kerosene and paint thinner shall be stored outside the facility's main structure in approved containers inside properly ventilated and labeled fireproof cabinets.
- Material Safety Data Sheets (MSDS) must be maintained on-site for all hazardous materials used in the facility. The MSDS shall be posted and immediately accessible to staff and participants wherever these substances are used.
- The operator shall provide training to facility staff and program participants. Documentation of training shall be maintained in the facility files.

**IX. ORGANIZATIONAL STRUCTURE AND STAFFING**

**This section and all other sections going forward apply to all proposers.**

The proposer's organizational structure must be able to fully staff, support and operate a program that is geographically remote from its administrative headquarters. This includes adequate, program, fiscal and staff assigned to reporting and evaluation responsibilities.

**A. Organizational Charts**

The proposer shall provide two separate organizational charts with the bid proposal. One chart shall reflect the overall corporate structure and chain of command. The second chart shall reflect the CASC structure and shall include all organizational relationships (including subcontractors, if utilized).

**B. Staffing Requirements/Plan**

Programming designed for clients can only be as good as its caliber of staff. The proposer should clearly describe the range of positions needed to deliver CASC services and articulate a plan for recruitment, supporting, training and retaining highly qualified staff. The staffing plan will also address the operator's ability to maintain full staffing levels of all program components, and include the recruitment and selection process for new hires, and the ability to staff the program at the level necessary to meet contractual obligations. Staff wages and salaries should at a minimum be commensurate with market rate in San Francisco for a specified position, employee's experience and education.

At a minimum the staffing plan should include: Duty statements for each position listed on the CASC structure organizational chart (Please take special note of specific Program Director and LCSW/LMFT specifications listed below), references to certifications required for each position, information on employee orientation, ongoing training/in-services that support, expand and strengthen employee skills and needs, references to understanding of security clearances and plan for addressing vacancies as they arise.

The operator's staffing plan shall be maintained throughout the term of the contract and updated at least annually, unless more frequent updates are requested by the SFAPD. Revisions shall be made whenever a change in staffing demand occurs, subject to the prior approval of the SFAPD Reentry Division.

In order for staff to provide effective services to clients and maintain a therapeutic environment, they must be able to:

- Maintain a consistent and supportive environment for both staff and clients,
- Maintain appropriate and professional boundaries between staff and clients,
- Serve as an appropriate role model for clients,
- Develop a treatment alliance with the client that is mutual and collaborative, individualized, and continually negotiated,
- Be a visible advocate for the client who abuses substances, for stigma reduction, and for treatment (within treatment teams and the community),
- Maintain confidentiality,
- Maintain an environment that is strength-based, family focused and trauma informed, and
- Stay current on staff training opportunities.

**C. Duty Statements**

The proposer should provide duty statements for each program position. Statement information should include minimum qualifications and job duties associated with the position. The salary for each position should be reflected in the line item budget.

The proposer shall be required to submit duty statements for each position that will provide direct service or administrative oversight of the CASC. These duty statements will break down

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the total work required for each position. The duty statements will also include regular work days and hours.

For all positions the proposer must describe the following at a minimum:

- Assigned position title and staff name (if known),
- Minimum qualifications and experience,
- Level of education required,
- Desirable characteristics,
- Position title(s) and number of staff to be supervised (if applicable),
- Description of the responsibilities and duties/tasks to be performed.
- Lines of reporting authority required and assigned to the position.

### **D. Certifications**

Ideally, proposers' organizations will be certified by the California Department of Alcohol and Drug Programs counselor certification requirements as found at <http://www.adp.state.ca.us/Licensing/LCBhome.shtml> to provide alcohol and drug counseling and services at CASC.

While it isn't mandatory that organizations are certified, it is required that all staff that will be facilitating substance abuse education and treatment counseling and groups must be certified by the California Department of Alcohol and Drug Programs

As previously mentioned under Rehabilitation Program Fidelity, all staff that facilitate any of the proposed evidence based training or skills building groups must be trained by a certified trainer prior to running the groups.

Proposers must describe a plan for ensuring that certified staff will be overseeing drug and alcohol and other educational training groups.

Proposers are encouraged to collaborate with other partners that have drug and alcohol or other certifications to meet staffing requirements. There will also be a 90-day ramp up time following the signing of the CASC contract during which time the proposer can plan to have staff trained as needed on a variety of curriculums.

### **E. Position Specific Experience and Knowledge**

While all positions of the CASC are critical to quality and strength of the programs, this RFP sets to establish required standards for a couple of key positions.

#### **Program Director**

The Program Director will play a critical role in the operations of the CASC. The proposer's Program Director should have experience administering criminal justice programs within the last

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five years. The full-time Program Director shall be at the management level with the overall administrative responsibility of overseeing the CASC facility and CASC services.

The Program Director's responsibilities should include, but not be limited to:

1. Ensure the efficient operation of the CASC facility.
2. Ensure a safe and healthy environment is maintained.
3. Ensure gender-responsive and culturally competent, strength-based, trauma-informed and family focused services.
4. Develop quality control procedures to ensure high quality service.
5. Provide direct supervision to all CASC staff.
6. Ensure compliance with SFAPD policies and procedures.
7. Ensure all contractual requirements are met.
8. Oversee the management information system for all data collection systems.
9. Maintain the safety and security of the facility, staff, residents, and community.
10. Develop and maintain working relationships with outside community agencies to best ensure that an optimum service delivery system is available to the participant.
11. Provide oversight of services performed by outside agencies.
12. Provide oversight of fiscal management for the CASC.
13. Ensure timely responses to SFAPD requests for statistics, reports, and data.
14. Assist in resolving programmatic and personnel problems.
15. Conduct staff meetings with all employees to discuss personnel and program issues and assign other duties as needed

### Minimum Program Director Qualifications

The Program Director must have a Master's Degree in Social Sciences or a related field, and at least one year of administrative experience in a program setting; or, a four-year degree in Social Sciences or related fields, and the equivalent of three cumulative years of documented experience demonstrating a history of administrative responsibility in criminal justice programs; or a two-year degree (AA or AS) and the equivalent of five years of full-time administrative experience in substance abuse programs combined with demonstrable familiarity working with the target population.

### **Licensed Clinical Social Worker or Licensed Marriage and Family Therapist**

The Licensed Clinical Social Worker (LCSW) or Licensed Marriage and Family Therapist (LMFT) responsibilities are to be the primary coordinator of the trauma treatment component. If contracting out for the trauma services, the subcontractor must be the equivalent to the LCSW or LMFT. Other responsibilities include conducting risk and needs and secondary assessments, review and sign off of Individualized Treatment and Rehabilitation Plan, provision of family focused services, overseeing linkages to mental health, and trauma treatment.

Minimum LCSW/LMFT Qualifications

Possession of a valid license as a LCSW or a LMFT issued by the California Board of Behavioral Science Examiners (CBBS), or Registered Intern with CBBS.

**F. Employee Orientation**

All hires into the CASC shall receive initial orientation to SFAPD policy and procedures and related laws. This will include substance abuse detection and testing, discretionary decision making, emergency procedures, appropriate offender/staff relationships and interactions.

The contract shall provide an initial and annual training related to the CASC's Mission, Vision, guiding principles, theoretical framework, motivational interview skill building, cognitive skill development, gender-responsive policies, practices including trauma informed services, theories and EBP and effective interventions, outcome-based trauma-informed services, and suicidal tendencies and prevention strategies.

All staff will be required to obtain necessary certifications to deliver evidence based services. Documentation of staff certifications should be maintained in staff files.

**G. In-Service Training**

The operator, in conjunction with SFAPD, shall develop and implement training programs for all staff which shall clearly define the knowledge and skills necessary for the effective management of clients. Documentation regarding trainings and certifications must be maintained in the employee's personnel file. The training record shall be listed chronologically and list specific classes attended. Cost of staff training should be included in the proposers' line item budget.

**H. Security Clearances**

All CASC program employees and subcontractors, as well as any person in the operator's organization who will have access to or entrance into the facility, shall be required to meet the requirements to obtain a SFAPD security clearance to enter and work at the facility. It shall be the operator's responsibility to retain approved clearances on-site as long as the staff member is employed. The SFAPD reserves the right to deny and/or retract security clearances upon written notification to the operator.

An SFAPD security clearance, at a minimum, includes a record check with the California Department of Justice (DOJ), Criminal Identification and Information (CII); Federal Bureau of Investigation (FBI); California Department of Motor Vehicles (DMV) and local law enforcement agency(s). However, it may also include a record check with a DMV and/or other law enforcement agency(s) from another state(s) if deemed appropriate. The SFAPD may grant a "provisional" security clearance. A "provisional" clearance is based on a clear CII and/or DMV record check. The minimal processing timeframe for a provisional clearance is normally two weeks. It shall be the responsibility of the operator to notify the affected person of their respective security clearance status.

## RFP for Community Assessment and Service Center

Criteria for approval or denial may include, but may not be limited to:

- No arrests during the past three years.
- Cannot currently be on parole, mandatory supervision, PRCS or probation or under any structured supervision as a result of criminal conduct.
- Not required to register per Health and Safety Code Section 11590, Penal Code Section 290, and/or Penal Code Section 451.

Within 30 days of receipt of the Provisional Clearance, the employee must complete the Live Scan. The operator shall be responsible for ensuring the accuracy, proper completion, and appropriate processing of required requests for Live Scan services. Incomplete or otherwise unacceptable requests for Live Scan services are subject to being returned to the operator as unprocessed resulting in potential delay(s) in securing a clearance.

The operator shall immediately notify SFAPD whenever an employee or subcontractor is terminated or resigns and retrieve any issued identification card from the employee or subcontractor immediately.

### **I. Vacancies**

Staff vacancies shall be brought to the immediate attention of the SFAPD Reentry Division. The operator may fill temporary vacancies internally by a temporary reassignment of existing qualified staff. The hiring process shall not exceed 30 days from the date of vacancy and the position must be filled within 60 days.

## **X. REPORTING AND DATA COLLECTION**

Proposers will demonstrate experience, capacity and readiness to commit to extensive data collection and evaluation efforts. The below information provides the proposer with additional information on reporting and data collection expectations.

### **A. Reporting**

Monthly, quarterly and annual reports will serve as interim evaluations of CASC successes and challenges and of the impact CASC is having the attitudes and behaviors of CASC clients.

Report templates shall be further developed between the SFAPD and the selected operator during the contract/agreement negotiations period.

All CASC information, reports, writings, summary documents or press releases shall be reviewed and approved by the SFAPD prior to dissemination. The operator shall consult with the SFAPD before publically releasing any data, materials or reports to the public or other professional groups.

**1. Monthly Data Reports – Due the 15<sup>th</sup> of each month for services provided in the previous month.**



- The SFAPD will work with the operator to determine the final list of data points to be tracked. At a minimum, they will include data elements per the below list. The monthly data report information will also be accompanied by highlights of CASC program and services successes over the month, a list of problems/issues encountered during the month and the plan for resolving them, as well as any major events or activities that are planned for the subsequent month (s).
2. **Monthly Cost Reimbursement Invoice – Due the 5<sup>th</sup> of each month for previous month's expenditures.**
    - The contract/agreement that will be executed between CCSF/SFAPD and the operator will include an approved budget. Monthly cost reimbursement invoices will reimburse for actual line item expenses incurred over the month for expenses according to the approved budget.
  3. **Quarterly CASC Program Report – Will be due Oct. 15<sup>th</sup>, January 15<sup>th</sup>, and April 15<sup>th</sup>**
    - The 4<sup>th</sup> quarterly report will be a cumulative annual report.
    - The quarterly report will build off of the monthly data reports. It will build on monthly data analysis and require a report back on progress towards performance measures.
  4. **Annual CASC Program Report (Will be due July 15, 2013)**
    - The annual report will build off of monthly and quarterly reports. It will require robust report-back of CASC activities, successes and challenges over the year and cumulative qualitative and quantitative analysis of data and progress towards performance measures. The SFAPD will require that the operator speak to progress towards outlined goals, although the department thoroughly understands the difficulty of demonstrating solid progress towards overarching goals in Year 1 of a new program.
    - Even under that circumstance, the SFAPD and CASC operator will need to work together to articulate details about program fidelity, accountability, operations and client impact. The SFAPD pursued funding for the CASC because it believes that this model has the potential to become a local best practice that will demonstrate meaningful recidivism reduction results with the target population. The Annual Report will be shared with San Francisco Mayor Ed Lee, the San Francisco Board of Supervisors and other policy and political stakeholders that are interested in high-impact criminal justice reform. To maintain broad-based support of this project, we will need to show results.

### **C. Data Collection**

Participant and program data elements, performance measures and goals shall be further developed between the SFAPD and the selected operator during the contract/agreement

negotiations period. The below represents the *minimum* data collection, performance measures and goals expectations:

**1. General Intake/Enrollment Information**

- Unique identifier for each client.
- CASC Intake, Enrollment, Orientation, ITRP and Referral dates.
- Participant SFAPD Number.
- COMPAS completed (Y/N)
- ITRP completed (Y/N)
- Personal Service Plan reflective of goals and activities created (Y/N)
- Participant Full Name.
- Participant Date of Birth.
- Gender.
- Sexual Orientation.
- Race and Ethnicity.
- Preferred Language.
- Current living situation.
- History of Mental/Behavioral Health Challenges (Y/N)
- Medication (Y/N – Detail any current medications)
- Homeless (Y/N)
- Highest level of education completed.
- Ever expelled from school (Y/N)
- Employment status prior to admission to CASC.
- Ever work full-time for one employer for six months or more (Y/N)
- If employed, full-time/part-time, start date, end date, wages, and occupation.
- Ever fired from a job (Y/N).
- Marital or Domestic Partnership Status.
- Disability (Y/N – Describe).
- Number of prior substance abuse treatment episodes.
- Victim of domestic violence or physical abuse (Y/N).
- Victim of sexual abuse (Y/N).
- Number of children and living arrangement of each child.
- Name and date of birth of each child.
- Primary caretaker of children (Y/N).
- Age at first drug/alcohol use.
- Number of years of problem use.

## RFP for Community Assessment and Service Center

- Primary/secondary drug of choice.
- Age at first arrest.
- Involvement in Dependency or Delinquency systems (Y/N).
- Prior Service in the Military (Y/N).
- Number of prior arrests.
- Ever in jail for a probation violation (Y/N).
- Family structure (close relatives and living arrangements of each).

## 2. Data Points/Process Measures, Outcome Measures and Goals

### Client Goals

- Reduce recidivism amongst target population.
- Reduce returns to custody for new arrests.
- Reduce arrests amongst target population.
- Reduce probation violation amongst target population.

### Client Outcomes Measures

- 50% of clients will complete ITRP goals at CASC.
- Of the 50 percent who met their ITRP treatment goals, 60 percent will be in stable housing, gainfully employed or enrolled in an education program, trade school, community college, or an adult school to become more employment ready.
- A minimum of 10% of clients will participate in the Alumni Group for a minimum of 6 months

### Data Points/Process measures

- # of transportation requests made,
- # of transports completed,
- # of people that completed a CASC general intake,
- # of people that complete CASC orientation and enrollment,
- # of people that complete a plan for prioritizing ITRP goals,
- % of people that complete their ITRP
- % of people that demonstrate steady progress towards ITRP goals
- # of unsuccessful discharges from CASC services
- # of successful discharges from CASC
- # of people referred into Remedial Sanctions program
- # of people that complete Remedial Sanctions
- % of all people that demonstrate increased income (as a result of employment, benefits acquisition, etc.)
- # of people enrolled in 5 Keys Charter school
- % of people demonstrating progress on individualized academic plan

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- # of people that graduated from GED/HSD during the reporting period
- # of people enrolled in Employment Program at CASC
- % of people (who needed readiness training) that completed employment readiness training
- % of people (who signed up for) vocational program, that completed the vocational program
- % of people that enrolled in transitional employment
- % of people that received unsubsidized employment
- % of people in transitional and unsubsidized employment that stayed on the job for 3 months, 6 months
- % of people that terminated transitional or unsubsidized employment early
- # of people that enrolled in cognitive behavioral groups (Thinking for Change, Anger Management, Substance Use, Grief etc.)
- # of people that attended cognitive behavioral groups
- % of people that report improved decision making, impulse control, sobriety, etc. as per pre and post group surveys administered upon entry and then at 6 months)
- # of people that are enrolled in benefits counseling
- % of people that gained increased access to benefits via CASC services (as per actual enrollment in benefits services)
- # of people that are enrolled in DPH counseling program
- % of people that demonstrate improved mental/behavioral functioning as per DPH SW definition of improved functioning
- # of people that received housing counseling
- % of people that increased access to suitable housing via CASC services, facilitation of referral to services
- # of people referred to physical health or dental services
- % of people that completed physical health or dental appointment.

## XI. BUDGET

The City & County of San Francisco will allocate up to \$1,373,026 for CASC services as well as additional funds to cover facility rent/lease and operations costs for an initial period of 13 months (June 1, 2012 – June 30, 2013):

- A maximum of \$1,373,026 is available to fund expenses associated with CASC oversight and services operations (excludes facility rent/lease cost).
- The SFAPD also has funding to cover the facility's rent/lease and operations costs and is requesting that proposers review the facility, services and other specifications that are described herein, propose a facility that can sufficiently meet the specifications; and provide actual projected figures for the proposed facility.

The Minimum Requirements section of this RFP requires that substantial financial information be provided. Please be sure to respond to all requests in that section. A failure to do so will deem an application non-responsive and ineligible for review.

## RFP for Community Assessment and Service Center

The focus of this budget section is on the CASC Program Budget. It is important that the Program Budget be clear and concise. It should mirror the CASC staff and program activities that are described in your proposal.

The SFAPD reserves the right to further negotiate the Program Budget once an operator has been selected through this RFP process. Therefore, the final Program Budget that is included in the final, executed contract may be modified from this version.

Please find the following budget forms in Appendix H of this document:

- Program Budget Summary – Appendix H - 1
- Salary and Fringe Detail – Appendix H - 2
- Operating Budget Detail – Appendix H - 3
- Capital Detail – Appendix H - 4
- Budget Justification Form – Appendix H - 5

### 1. Program Budget Instructions

- Use the attached budget documents to thoroughly describe proposed project expenses.
- As has been mentioned several times in this RFP, actual award amounts will be contingent on availability of funds.
- **Salaries & Fringe Benefits** – Itemize staff and benefits cost for each staff that will provide direct CASC services.
- **Non-Personnel Items** – Please pay special attention to the service areas that are required by this RFP and make sure that the non-personnel section of the budget reflects costs associated with the services. Proposed budgets should anticipate costs of auxiliary aids and services, such as Real Time Captioning or ASL interpretation. Itemize professional services, materials and other program related costs (rent, equipment, postage, communications, etc.) that are needed to manage the program.
- **Overhead/Indirect/Administrative Expenses** – Itemize the administrative, accounting, insurance, etc. expenses. Overhead percentage should not exceed 12% of total budget.

### 2. Other Budget Instructions

- The maximum line amount for Reentry Transportation will be \$100,000.

## XII. PROPOSAL SUBMISSION CONTENT (ONE ORIGINAL AND SEVEN COPIES)

Agencies interested in responding to this RFP must submit the following information, in the order specified below.

Failure to provide any of the following information or forms may result in a proposal being disqualified.

## PROPOSAL BASICS

1. **Application Checklist (Appendix C)** [Attachment]
  - Please complete and submit the Application Checklist, included in Appendix C.
2. **Application Cover Sheet (Appendix D)** [Attachment]
  - Please complete the application cover sheet
3. **Executive Summary** [Maximum one page]
  - Submit a one-page executive summary of the proposal that provides an overview of proposed activities; and names of any partner organizations or agencies included. *The letter must be signed by the person authorized to obligate the proposing agency to perform the commitments contained in the proposal.* Submission of the letter will constitute a representation by your agency that your agency is willing and able to perform the commitments contained in the proposal.

4. **Minimum Requirements Narrative** [Maximum three pages]

**The attachments required in this section will not count against the maximum pages.**

Please describe how your agency meets the following requirements as detailed in Section II Minimum Requirements:

- **Financial Management Capacity Requirements**
- **Cultural Competency Requirements**
- **Evaluation and Data Collection Requirements**

Any proposal that does not demonstrate that the proposer meets these minimum requirements will be considered non-responsive and will not be eligible for project proposal review or for award of a contract.

## NARRATIVE

5. **History and Experience** (Maximum 40 Points) [Maximum 4 pages]
  - Describe how the proposer's mission, vision and values are aligned with those of the SFAPD.
  - Provide a description of the proposer's experience providing criminal justice services.
  - Describe your organizational and service expertise regarding the issues and needs of high-risk/need individuals under the supervision of the Adult Probation Department. Include details on relevant social determinants of criminality, educational and health inequities, and other challenges.
  - Indicate how many years the proposer has been overseeing a multi-service center serving criminal justice involved clients.

## RFP for Community Assessment and Service Center

- Provide a description of the proposer's experience incorporating evidence based practices into service provision.
- Succinctly describe criminal justice system challenges in San Francisco and how the CASC will help address some of the challenges
- Describe how the CASC would leverage existing community based criminal justice, health, and social services and programs;
- Indicate the history of collaboration with criminal justice system partners and other essential public and non profit partners.
- The proposer must articulate experience delivering the following types of services and indicate of how the services will be structured and delivered to ensure maximum client participation and success:
  - Women's gender responsive services
  - Cognitive behavioral groups
  - Outpatient substance abuse treatment services
  - Substance abuse prevention groups
  - Relapse prevention services
  - Life skills training
  - Parenting skills
  - Employment readiness training
  - Vocational education
  - Overseeing education programs focused on HSD and GED acquisition
  - Physical health
  - Recreation and leisure
  - Graduation celebrations
  - Clothing closet
  - Alumni group
  - Incentives, awards and remedial sanctions
  - Drug testing
  - Community service program
- The proposer must indicate how your programs and proposed facility (if applicable) are programmatically and architecturally accessible to people with the greatest range of abilities and disabilities:
  - Has the proposer conducted a professional review of architectural accessibility of site proposed for CASC? If yes, please provide a copy. If no, please state what year your building was built, and most recent renovations.
  - Do the proposer's strategies, policies, and procedures ensure that CASC services will be programmatically accessible to people with the broadest range of abilities? If yes, please describe including examples of how you have worked with people who have mobility disabilities, sensory disabilities and cognitive disabilities.
  - Does the proposer notify clients of rights under disability rights laws and train staff on their obligations under disability rights laws? If yes, please attach a sample.
  - Does the proposer have a reasonable accommodation policy? If yes, please include a copy.

6. **Scope of Work – (Maximum 75 Points) [Maximum 12 pages]**  
**Required Service Elements**

- Proposers must articulate how proposed interventions and services are rooted in the described theoretical frameworks.
- The proposer must articulate how the Principles of Effective Intervention and Gender Responsive Strategies for Women are interwoven into organization design, policies and procedures.
- The proposer must articulate how strength-based, trauma informed and family-focused strategies will be incorporated into facility, staff training and overall service design.
- The proposer must articulate an understanding of the relevance of criminogenic needs and community functioning factors to recidivism reduction and client success.
- The proposer must articulate how the assessment, planning and treatment components will help facilitate successfully matching criminogenic needs and community functioning factors with appropriate services.
- The proposer should describe their proposed CASC case management model and what techniques and strategies will be used to engage and retain clients in CASC programs; and how clients will be successfully connected to other as needed services post-graduation from the CASC.
- The proposer should describe their Reentry Transportation program as per the RFP and how they will work with the SFAPD to ensure that clients get efficient transport to safe locations.
- The proposer must describe a detailed plan for providing the range of described Rehabilitation Programs as per the RFP's description. The proposer will need to include information on why a particular approach was selected and what the anticipated impact on criminogenic needs and community functioning factors is. As per the below, the proposer should attach all "Letters of Intent" to partner for the purpose of providing rehabilitation services at the end of this Scope of Work – Required Service Elements section.
- The proposer must describe a detailed plan for implementing a uniform and consistent Incentives, Rewards and Sanctions program as per the RFP's description. The plan should clearly articulate how staff will work with the SFAPD to ensure an efficient sharing of client information.

**At the end of this section, the proposer must include the following attachments – these pages will not count against the written narrative information.**

- Provide a project timeline that includes project ramp up period, hiring/staffing, implementation of major program activities, development of data collection and reporting protocols and paperwork and person(s) responsible for activity.
- The proposer should provide a client flow chart that depicts how the proposer envisions a client moving through and around the three key program areas: Reentry Transportation, Rehabilitation Programming and Incentives, Rewards and Sanctions.



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- The proposer should provide a copy of each Rehabilitation Program curriculum proposed.
- The proposer should provide a table of all Rehabilitation Programs that will be provided; the curriculum that will be used for each program, curriculum source information, and assurance that all staff facilitators of the curriculum will be trained.
- The proposer should provide a draft Rehabilitation Program schedule that illustrates how services will be organized and scheduled.
- The proposer should provide a table of all partner organizations that have supplied Letters of Intent to partner to the proposer and what services the partner will provide and where the services will be provide.
- The proposer should attach all Letters of Intent at the end of this section so that readers have easy access to letters that may be referenced in the narrative section.

### 7. **Summary of Facility Requirements (No points assigned) [Maximum 2 pages]**

The RFP describes an extensive amount of Facility and Facility Operations information. The SFAPD will discuss these details with a proposer during the phase III site visit. For the purpose of this submission, please just provide the below information.

- Will the facility accommodate just CASC services? CASC services and SFAPD services?
- Is it one co-located facility or two facilities within a two-block distance?
- Address of the facility (facilities)?
- Square footage?
- Please include a floor plan that describes the layout of offices/services described in the table at the start of this document?
- Name of owner and contact information of the owner? The proposer should include a Letter of Intent to partner from the owner acknowledging the scale, scope, target population and time line of this project as well as consent to operate on-site CASC services.
- List of all improvements, fire, health, safety and all other improvements that would be required to make the facility compliant with local, state and federal regulations.
- As appropriate, time line for completing all listed improvements and ensuring that the facility will be in compliance with all applicable building, sanitation, health, safety and fire codes, as well as city and county zoning and use ordinances. The proposer should indicate whether a Conditional Use Permit (CUP) or equivalent is necessary and as needed incorporate the acquiring of the permit into the time line. As appropriate, the operator shall forward a copy of the CUP or equivalent to the SFAPD Reentry Services Manager for filing in the contract file.
- The San Francisco Mayor's Office of Disability will need to review the facility before the lease is signed. Please see Appendix G for additional information on the kind of information the Mayor's Office of Disability will review prior to approving a site.

**8. Organizational Structure And Staffing (Maximum 65 Points) [Maximum 4 pages]**

- Briefly describe how proposed leadership and staffing pattern will be able to accommodate approximately 250 people that are accessing CASC services daily
- For new positions, describe how the staff recruitment will be reflective of the targeted un-served and/or underserved populations, as well as cultural and ethnic communities as appropriate.
  - The proposer should describe plan for recruitment, supporting, training and retaining highly qualified staff.
  - Proposers must describe a plan for ensuring that certified staff will be overseeing drug and alcohol and other educational training groups.

**At the end of this section, the proposer must include the following attachments – these pages will not count against the written narrative information.**

- The proposer shall provide two separate organizational charts with the bid proposal. One chart shall reflect the overall structure and chain of command. The second chart shall reflect the CASC structure and shall include all key reporting relationships and functions (including subcontractors, if utilized).
- The proposer must submit duty statements for each position that will provide direct service or administrative oversight at the CASC. The statements must include requirements for relevant professional and educational experience and qualifications, and linguistic and cultural competence as they related to the proposed project and target population(s).

**9. Budget**

Budget paperwork is attached as Appendix H in this document.

- 1) Proposed Budget [Attachment]**  
Submit complete and detailed proposed budget information. Provide detailed description of all uses, including personnel, facility, program, equipment, and any indirect costs. Provide as much detail as practical for the first year operation. Please note that clients of the CASC may not be assessed fees for service. No supplanting of funds.

- 2) Budget Narrative [Attachment]**
- Demonstrate the cost of services is reasonable and represents the best price.
  - Explain sources and amount of any in-kind or cash match that will be used. (Use of in-kind and/or cash match is encouraged, but none is required.)
  - Document in detail the use and amount of all indirect costs specified.

### **XIII. TERMS AND CONDITIONS FOR RECEIPT OF PROPOSALS**

#### **Terms and Conditions for Receipt of Proposals**

##### **A. Errors and Omissions in RFP**

Proposers are responsible for reviewing all portions of this RFP. Proposers are to promptly notify the Department, in writing, if the proposer discovers any ambiguity, discrepancy, omission, or other error in the RFP. Any such notification should be directed to the Department promptly after discovery, but in no event later than five working days prior to the date for receipt of proposals. Modifications and clarifications will be made by addenda as provided below.

##### **B. Inquiries Regarding RFP**

Inquiries regarding the RFP and all oral notifications of an intent to request written modification or clarification of the RFP, must be directed to:

**Lauren Bell**  
**Reentry Services Manager**  
**Adult Probation Department**  
**850 Bryant Street, Room 200**  
**San Francisco, CA 94103**

**Lauren.Bell@sfgov.org**

##### **C. Objections to RFP Terms**

Should a proposer object on any ground to any provision or legal requirement set forth in this RFP, the proposer must, not more than ten calendar days after the RFP is issued, provide written notice to the Department setting forth with specificity the grounds for the objection. The failure of a proposer to object in the manner set forth in this paragraph shall constitute a complete and irrevocable waiver of any such objection.

##### **D. Change Notices**

The Department may modify the RFP, prior to the proposal due date, by issuing Change Notices, which will be posted on the website. The proposer shall be responsible for ensuring that its proposal reflects any and all Change Notices issued by the Department prior to the proposal due date regardless of when the proposal is submitted. Therefore, the City recommends that the proposer consult the website frequently, including shortly before the proposal due date, to determine if the proposer has downloaded all Change Notices.

##### **E. Term of Proposal**

Submission of a proposal signifies that the proposed services and prices are valid for 120 calendar days from the proposal due date and that the quoted prices are genuine and not the result of collusion or any other anti-competitive activity.

##### **F. Revision of Proposal**

A proposer may revise a proposal on the proposer's own initiative at any time before the deadline for submission of proposals. The proposer must submit the revised proposal in the same manner as the original. A revised proposal must be received on or before the proposal due date.

In no case will a statement of intent to submit a revised proposal, or commencement of a revision process, extend the proposal due date for any proposer.

## RFP for Community Assessment and Service Center

At any time during the proposal evaluation process, the Department may require a proposer to provide oral or written clarification of its proposal. The Department reserves the right to make an award without further clarifications of proposals received.

### **G. Errors and Omissions in Proposal**

Failure by the Department to object to an error, omission, or deviation in the proposal will in no way modify the RFP or excuse the vendor from full compliance with the specifications of the RFP or any contract awarded pursuant to the RFP.

### **H. Financial Responsibility**

The City accepts no financial responsibility for any costs incurred by a firm in responding to this RFP. Submissions of the RFP will become the property of the City and may be used by the City in any way deemed appropriate.

### **I. Proposer's Obligations under the Campaign Reform Ordinance**

Proposers must comply with Section 1.126 of the S.F. Campaign and Governmental Conduct Code, which states:

No person who contracts with the City and County of San Francisco for the rendition of personal services, for the furnishing of any material, supplies or equipment to the City, or for selling any land or building to the City, whenever such transaction would require approval by a City elective officer, or the board on which that City elective officer serves, shall make any contribution to such an officer, or candidates for such an office, or committee controlled by such officer or candidate at any time between commencement of negotiations and the later of either (1) the termination of negotiations for such contract, or (2) three months have elapsed from the date the contract is approved by the City elective officer or the board on which that City elective officer serves.

If a proposer is negotiating for a contract that must be approved by an elected local officer or the board on which that officer serves, during the negotiation period the proposer is prohibited from making contributions to:

- the officer's re-election campaign
- a candidate for that officer's office
- a committee controlled by the officer or candidate.

The negotiation period begins with the first point of contact, either by telephone, in person, or in writing, when a contractor approaches any city officer or employee about a particular contract, or a city officer or employee initiates communication with a potential contractor about a contract. The negotiation period ends when a contract is awarded or not awarded to the contractor. Examples of initial contacts include: (1) a vendor contacts a city officer or employee to promote himself or herself as a candidate for a contract; and (2) a city officer or employee contacts a contractor to propose that the contractor apply for a contract. Inquiries for information about a particular contract, requests for documents relating to a Request for Proposal, and requests to be placed on a mailing list do not constitute negotiations.

Violation of Section 1.126 may result in the following criminal, civil, or administrative penalties:

1. **Criminal.** Any person who knowingly or willfully violates section 1.126 is subject to a fine of up to \$5,000 and a jail term of not more than six months, or both.

## RFP for Community Assessment and Service Center

2. Civil. Any person who intentionally or negligently violates section 1.126 may be held liable in a civil action brought by the civil prosecutor for an amount up to \$5,000.

3. Administrative. Any person who intentionally or negligently violates section 1.126 may be held liable in an administrative proceeding before the Ethics Commission held pursuant to the Charter for an amount up to \$5,000 for each violation.

For further information, proposers should contact the San Francisco Ethics Commission at (415) 581-2300.

### **J. Sunshine Ordinance**

In accordance with S.F. Administrative Code Section 67.24(e), contractors' bids, responses to RFPs and all other records of communications between the City and persons or firms seeking contracts shall be open to inspection immediately after a contract has been awarded. Nothing in this provision requires the disclosure of a private person's or organization's net worth or other proprietary financial data submitted for qualification for a contract or other benefits until and unless that person or organization is awarded the contract or benefit. Information provided which is covered by this paragraph will be made available to the public upon request.

### **K. Public Access to Meetings and Records**

If a proposer is a non-profit entity that receives a cumulative annual total per year of at least \$250,000 in City funds or City-administered funds and is a non-profit organization as defined in Chapter 12L of the S.F. Administrative Code, the proposer must comply with Chapter 12L. The proposer must include in its proposal; (1) a statement describing its efforts to comply with the Chapter 12L provisions regarding public access to proposer's meetings and records, and (2) a summary of all complaints concerning the proposer's compliance with Chapter 12L that were filed with the City in the last two years and deemed by the City to be substantiated. The summary shall also describe the disposition of each complaint. If no such complaints were filed, the proposer shall include a statement to that effect. Failure to comply with the reporting requirements of Chapter 12L or material misrepresentation in proposer's Chapter 12L submissions shall be grounds for rejection of the proposal and/or termination of any subsequent Agreement reached on the basis of the proposal.

### **L. Reservations of Rights by the City**

The issuance of this RFP does not constitute an agreement by the City that any contract will actually be entered into by the City. The City expressly reserves the right at any time to:

1. Waive or correct any defect or informality in any response, proposal, or proposal procedure;
2. Reject any or all proposals;
3. Reissue a Request for Proposals;
4. Prior to submission deadline for proposals, modify all or any portion of the selection procedures, including deadlines for accepting responses, the specifications or requirements for any materials, equipment or services to be provided under this RFP, or the requirements for contents or format of the proposals;
5. Procure any materials, equipment or services specified in this RFP by any other means; or
6. Determine that no project will be pursued.

**M. No Waiver**

No waiver by the City of any provision of this RFP shall be implied from any failure by the City to recognize or take action on account of any failure by a proposer to observe any provision of this RFP.

**N. Local Business Enterprise Goals and Outreach**

The requirements of the Local Business Enterprise and Non-Discrimination in Contracting Ordinance set forth in Chapter 14B of the San Francisco Administrative Code as it now exists or as it may be amended in the future (collectively the "LBE Ordinance") shall apply to this RFP.

**1. LBE Subconsultant Participation Goals**

The LBE subconsulting goal for this project is 2% of the total value of the goods and/or services to be procured. For the purposes of the LBE subconsulting requirements, "LBE" refers to small and micro-LBEs only.

Note: If a proposer demonstrates in its proposal that it exceeds the established LBE subconsulting participation goal by 35% (i.e., 2.7% for this project) or more, such proposer is not required to conduct good faith outreach efforts or to submit evidence of good faith efforts.

Each firm responding to this solicitation shall demonstrate in its response that it has used good-faith outreach efforts to select LBE subconsultants as set forth in S.F. Administrative Code §§14B.8 and 14B.9, and shall identify the particular LBE subconsultants solicited and selected to be used in performing the contract. For each LBE identified as a subconsultant, the response must specify the value of the participation as a percentage of the total value of the goods and/or services to be procured, the type of work to be performed, and such information as may reasonably be required to determine the responsiveness of the proposal. LBEs identified as subconsultants must be certified with the San Francisco Human Rights Commission (HRC) at the time the proposal is submitted, and must be contacted by the proposer (prime contractor) prior to listing them as subconsultants in the proposal. Any proposal that does not meet the requirements of this paragraph will be non-responsive.

In addition to demonstrating that it will achieve the level of subconsulting participation required by the contract, a proposer shall also undertake and document in its submittal the good faith efforts required by Chapter 14B.8(C)&(D) and HRC Attachment 2, Requirements for Architecture, Engineering and Professional Services Contracts.

Proposals which fail to comply with the material requirements of S.F. Administrative Code §§14B.8 and 14B.9, HRC Attachment 2 and this RFP will be deemed non-responsive and will be rejected. During the term of the contract, any failure to comply with the level of LBE subconsultant participation specified in the contract shall be deemed a material breach of contract. Subconsulting goals can only be met with HRC-certified LBEs located in San Francisco.

**2. LBE Prime Proposer Participation**

The City strongly encourages proposals from qualified LBEs. Pursuant to Chapter 14B, the following rating bonuses will be in effect for the award of this project for any proposers who are certified by HRC as an LBE or NPE, or joint ventures where the joint venture partners are in the same discipline and have the specific levels of participation as identified below. Certification

## RFP for Community Assessment and Service Center

applications may be obtained by calling HRC at (415) 252-2500. The rating bonus applies at each phase of the selection process. The application of the rating bonus is as follows:

- or
  - a. A 10% bonus to an LBE; or a joint venture between or among LBEs;
  - b. A 5% bonus to a joint venture with LBE participation that equals or exceeds 35%, but is under 40%; or
  - c. A 7.5% bonus to a joint venture with LBE participation that equals or exceeds 40%; or
  - d. A 10% bonus to a certified non-profit entity (NPE).

A 2% ratings bonus will be applied to any proposal from an SBA-LBE, except that the 2% bonus shall not be applied at any stage if it would adversely affect a Small or Micro-LBE proposer or a joint venture with small and/or micro LBE participation.

If applying for a rating bonus as a joint venture: The LBE must be an active partner in the joint venture and perform work, manage the job and take financial risks in proportion to the required level of participation stated in the proposal, and must be responsible for a clearly defined portion of the work to be performed and share in the ownership, control, management responsibilities, risks, and profits of the joint venture. The portion of the LBE joint venture's work shall be set forth in detail separately from the work to be performed by the non-LBE joint venture partner. The LBE joint venture's portion of the contract must be assigned a commercially useful function.

### 3. HRC Forms to be Submitted with Proposal

a. All proposals submitted must include the following Human Rights Commission (HRC) Forms contained in the HRC Attachment 2: 1) Form 2A - HRC Contract Participation Form, 2) Form 2B - HRC "Good Faith Outreach" Requirements Form, 3) Form 3 - HRC Non-Discrimination Affidavit, 4) Form 4 - HRC Joint Venture Form (if applicable), and 5) Form 5 - HRC Employment Form. If these forms are not returned with the proposal, the proposal may be determined to be non-responsive and may be rejected.

b. Please submit only two copies of the above forms with your proposal. The forms should be placed in a separate, sealed envelope labeled HRC Forms.

If you have any questions concerning the HRC Forms, you may call **Amy McConnell**, the Human Rights Commission Contract Compliance Officer for this project at (415) 252-2513.

## XIV. CONTRACT REQUIREMENTS

### A. Standard Contract Provisions

The successful proposer will be required to enter into a contract substantially in the form of the Agreement for Professional Services, attached hereto as Appendix C. Failure to timely execute the contract, or to furnish any and all insurance certificates and policy endorsement, surety bonds or other materials required in the contract, shall be deemed an abandonment of a contract offer. The City, in its sole discretion, may select another firm and may proceed against the original selectee for damages.

Proposers are urged to pay special attention to the requirements of Administrative Code Chapters 12B and 12C, Nondiscrimination in Contracts and Benefits, (§12B.1); the Minimum Compensation Ordinance (§12P.3); the Health Care Accountability Ordinance (§12Q.2.9); the

First Source Hiring Program (§83.6); and applicable conflict of interest laws (§Section 3.200), as set forth in paragraphs B, C, D, E and F below.

**B. Nondiscrimination in Contracts and Benefits**

The successful proposer will be required to agree to comply fully with and be bound by the provisions of Chapters 12B and 12C of the San Francisco Administrative Code. Generally, Chapter 12B prohibits the City and County of San Francisco from entering into contracts or leases with any entity that discriminates in the provision of benefits between employees with domestic partners and employees with spouses, and/or between the domestic partners and spouses of employees. The Chapter 12C requires nondiscrimination in contracts in public accommodation. Additional information on Chapters 12B and 12C is available on the HRC's website at [www.sfhrc.org](http://www.sfhrc.org).

**C. Minimum Compensation Ordinance (MCO)**

The successful proposer will be required to agree to comply fully with and be bound by the provisions of the Minimum Compensation Ordinance (MCO), as set forth in S.F. Administrative Code Chapter 12P. Generally, this Ordinance requires contractors to provide employees covered by the Ordinance who do work funded under the contract with hourly gross compensation and paid and unpaid time off that meet certain minimum requirements. For the contractual requirements of the MCO, see § 2.1 and § 2.2.

For the amount of hourly gross compensation currently required under the MCO, see [www.sfgov.org/olse/mco](http://www.sfgov.org/olse/mco). Note that this hourly rate may increase on January 1 of each year and that contractors will be required to pay any such increases to covered employees during the term of the contract.

Additional information regarding the MCO is available on the web at [www.sfgov.org/olse/mco](http://www.sfgov.org/olse/mco).

**D. Health Care Accountability Ordinance (HCAO)**

The successful proposer will be required to agree to comply fully with and be bound by the provisions of the Health Care Accountability Ordinance (HCAO), as set forth in S.F. Administrative Code Chapter 12Q. Contractors should consult the San Francisco Administrative Code to determine their compliance obligations under this chapter. Additional information regarding the HCAO is available on the web at [www.sfgov.org/olse/hcao](http://www.sfgov.org/olse/hcao).

**E. First Source Hiring Program (FSHP)**

If the contract is for more than \$50,000, then the First Source Hiring Program (Admin. Code Chapter 83) may apply. Generally, this ordinance requires contractors to notify the First Source Hiring Program of available entry-level jobs and provide the Workforce Development System with the first opportunity to refer qualified individuals for employment.

Contractors should consult the San Francisco Administrative Code to determine their compliance obligations under this chapter. Additional information regarding the FSHP is available on the web at [www.sfgov.org/moed/fshp.htm](http://www.sfgov.org/moed/fshp.htm) and from the First Source Hiring Administrator, (415) 401-4960.

**F. Conflict of Interest**

The successful proposer will be required to agree to comply fully with and be bound by the applicable provisions of state and local laws related to conflict of interest, including Section



15.103 of the City's Charter, Article III, Chapter 2 of City's Campaign and Governmental Conduct Code, and Section 87100 et seq. and Section 1090 et seq. of the Government Code of the State of California. The successful proposer will be required to acknowledge that it is familiar with these laws; certify that it does not know of any facts that constitute a violation of said provisions; and agree to immediately notify the City if it becomes aware of any such fact during the term of the Agreement.

Individuals who will perform work for the City on behalf of the successful proposer might be deemed consultants under state and local conflict of interest laws. If so, such individuals will be required to submit a Statement of Economic Interests, California Fair Political Practices Commission Form 700, to the City within ten calendar days of the City notifying the successful proposer that the City has selected the proposer.

## **XV. PROTEST PROCEDURES**

### **A. Protest of Non-Responsiveness Determination**

Within five working days of the City's issuance of a notice of non-responsiveness, any firm that has submitted a proposal and believes that the City has incorrectly determined that its proposal is non-responsive may submit a written notice of protest. Such notice of protest must be received by the City on or before the fifth working day following the City's issuance of the notice of non-responsiveness. The notice of protest must include a written statement specifying in detail each and every one of the grounds asserted for the protest. The protest must be signed by an individual authorized to represent the proposer, and must cite the law, rule, local ordinance, procedure or RFP provision on which the protest is based. In addition, the protestor must specify facts and evidence sufficient for the City to determine the validity of the protest.

### **B. Protest of Contract Award**

Within five working days of the City's issuance of a notice of intent to award the contract, any firm that has submitted a responsive proposal and believes that the City has incorrectly selected another proposer for award may submit a written notice of protest. Such notice of protest must be received by the City on or before the fifth working day after the City's issuance of the notice of intent to award.

The notice of protest must include a written statement specifying in detail each and every one of the grounds asserted for the protest. The protest must be signed by an individual authorized to represent the proposer, and must cite the law, rule, local ordinance, procedure or RFP provision on which the protest is based. In addition, the protestor must specify facts and evidence sufficient for the City to determine the validity of the protest.

### **C. Delivery of Protests**

All protests must be received by the due date. If a protest is mailed, the protestor bears the risk of non-delivery within the deadlines specified herein. Protests should be transmitted by a means that will objectively establish the date the City received the protest. Protests or notice of protests made orally (e.g., by telephone) will not be considered. Protests must be delivered to:

**Lauren Bell, Reentry Services Manager**  
**Adult Probation Department**  
**850 Hall of Justice, Room 200**  
**San Francisco, CA 94103**  
**Lauren.Bell@sfgov.org**



CITY & COUNTY OF SAN FRANCISCO  
HUMAN RIGHTS COMMISSION



HRC ATTACHMENT 2

*Requirements for Architecture, Engineering, & Professional Services Contracts*  
FOR CONTRACTS \$50,000 AND OVER

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PART I. GENERAL

1.01 SAN FRANCISCO ADMINISTRATIVE CODE CHAPTERS 12B AND 14B

- A. To be eligible for this contract award, prime proposers must agree to comply with the Local Business Enterprise ("LBE") requirements sanctioned by San Francisco Administrative Code Chapter 12B, Section 12B.4 and Chapter 14B, and its implementing Rules and Regulations. Chapters 12B and 14B are administered and monitored by the San Francisco Human Rights Commission ("HRC").
- B. Chapters 12B and 14B and their implementing Rules and Regulations are incorporated by reference herein as though fully set forth and provide that the failure of any proposer or consultant to comply in good faith with these requirements shall be deemed a material breach of contract. Copies of both Chapters 12B and 14B and their implementing Rules and Regulations are available on the HRC website at <http://www.sf-hrc.org/>.
- C. Chapter 14B allows for a ten percent (10%) rating discount, referred to in this Attachment 2 as a "rating bonus," for HRC certified Small – or Micro LBE's. Subject to certain limitations and exceptions, HRC SBA-LBEs may be entitled to a two percent (2%) rating bonus. Joint Ventures with Small or Micro-LBE participation may be entitled to a five percent (5%), seven and a half percent (7.5%), or to 10 percent (10%) rating bonus. The Certification Application is available on the HRC website at <http://www.sf-hrc.org/>.

*For assistance with HRC Attachment 2, please contact the following number(s):*

*HRC Main Office (415) 252-2500 or LBE Certification Unit (415) 252-2531*

*For compliance and assistance with the Equal Benefits Program, please contact the HRC Main Office.*



**1.02 SUBMISSION OF HRC FORMS**

- A. **Unless otherwise authorized** by HRC, the proposer must submit the following HRC forms in a separate sealed envelope marked "HRC Forms" with the proposal. Failure to complete or submit any of the HRC Forms may cause the proposal to be deemed non-responsive and ineligible for contract award.

Proposers are responsible for reviewing the specific instructions and requirements on each HRC form.

1. **Form 2A: HRC Contract Participation Form:** Identify LBE subconsultants, vendors, and lower tier subconsultants that the proposal relies on to meet LBE subconsultant participation goal. Check the appropriate box under Rating Bonus.
2. **Form 2B: HRC "Good Faith Outreach" Requirements Form:** Document solicitation of LBE participation. This form must be submitted for every solicitation that includes LBE subconsultant participation. Proposer shall meet the specified LBE subcontractor participation goal and shall complete and submit Form 2B in accordance with Form 2B instructions:

In accordance with Section 14B.8(B) of the Administrative Code ("Code"), if a proposer does not demonstrate in its proposal that proposer exceeds the established LBE subcontracting participation goal by at least 35%, such proposer must demonstrate adequate good faith efforts to meet the LBE subconsulting goal. Such proposer must complete and submit Form 2B as required by Form 2B instructions and must submit all good faith documentation as specified in Form 2B with its proposal. Failure to meet the LBE subconsulting participation goal and demonstrate/document adequate good faith efforts shall cause the proposal to be determined non-responsive and rejected.

If a proposer demonstrates in its proposal that it exceeds the established LBE subconsulting participation goal by 35% or more, such proposer is not required to conduct good faith outreach efforts or to submit evidence of good faith efforts. Such proposer shall complete and submit Form 2B as required by Form 2B instructions. **NOTE: A SMALL OR MICRO-LBE PRIME PROPOSER MAY COUNT ITS OWN CONTRACT WORK TOWARD THE 35% GOOD FAITH EFFORTS EXCEPTION.**

- *Example:* The LBE subconsulting goal is 10%. Good faith efforts requirements will be waived if the Proposer:

1) Meets the 10% LBE subconsulting goal;

**AND**

2) Has total LBE participation that equals or exceeds 13.5% of the total proposal amount. The 13.5% represents the 10% LBE subconsulting goal plus 35% of that 10% subconsulting goal.

LBE subconsulting goal set for project	10.0%
35% of the 10% LBE subconsulting goal	3.5%
<b>Total LBE participation must equal or exceed:</b>	<b>13.5%</b>

3. **Form 3: HRC Non-Discrimination Affidavit:** Must be signed by Proposer under penalty of perjury.
4. **Form 4: HRC Joint Venture Form:** Submit **ONLY** if the Proposer is requesting a rating bonus based on LBE participation in a joint venture partnership.
5. **Form 5: HRC Employment Form:** List the key personnel and responsibilities of the Proposer, Joint Venture partners, and Subconsultants.



#### B. HRC Contract Performance Forms

Proposers are responsible for reviewing the instructions and requirements on each form. The following HRC forms are submitted with progress and final payment requests.

1. **Form 7: HRC Progress Payment Form:** Submit to Contract Awarding Authority and to HRC for each payment request. *Note:* Page 2; column "A" of the form, ALL firms must be continuously listed including lower tier subconsultants for each payment request.
2. **Form 9: HRC Payment Affidavit:** Submit within ten (10) working days to Contract Awarding Authority and HRC following receipt of each progress payment from the Contract Awarding Authority. This form must be submitted EVEN if there were no payments to subconsultants associated with the progress payment.
3. **Form 8: HRC Exit Report and Affidavit:** Submit with final Form 7. A separate Form 8 **must be** completed for each LBE Joint Venture partner and LBE subconsultant (including lower-tier LBEs).
4. **Form 10: HRC Contract Modification Form:** This form shall be completed by the Consultant when any (all) amendments, modifications, or supplemental change orders that cumulatively increase the original contract amount by more than 20%, and then for all subsequent modifications.

Failure to submit any HRC contract performance forms may result in sanctions under Section 14B.11.C including but not limited to withholding or delaying progress and final payments.

#### 1.03 "GOOD FAITH OUTREACH" REQUIREMENTS

All proposers shall undertake adequate good faith outreach as set forth in Section 14B.8(D) of the Administrative Code to select subconsultants to meet the LBE subconsulting participation goal, unless a proposer qualifies for the good faith efforts exception set forth in Section 14B.8(B) for proposers that demonstrate in their proposals that they exceed the established LBE subconsulting participation goal by 35% or more. Please see example in Section 1.02A.2 above.

Under Section 14B.8(C) of the Code, proposals that do not meet the LBE subconsulting participation goal set will be rejected as non-responsive unless the HRC Director finds that the proposer diligently undertook adequate good faith efforts required by Chapter 14B and that the failure to meet the goal resulted from an excusable error.

A proposer must contact an LBE before listing that LBE as a subconsultant in the proposal. A proposal that fails to comply with this requirement will be rejected as non-responsive. Proposers are required to submit Form 2B and supporting documentation **EVEN IF** the LBE subconsulting goal has been met.

#### 1.04 NON COMPLIANCE AND SANCTIONS

##### A. Non-Compliance with Chapter 14B

1. A complaint of discrimination or non-compliance concerning LBE participation initiated by any party after contract award will be processed in accordance with Chapter 14B and its implementing rules and regulations.
  - a. ~~If the HRC Director determines that there is cause to believe that a consultant has failed to comply with any of the requirements of the Chapter 14B, HRC Rules and Regulations, or~~



contract provisions pertaining to LBE participation, the HRC Director shall notify the contract awarding authority and attempt to resolve the non-compliance through conference and conciliation.

- b. If the non-compliance is not resolved through conference and conciliation, the HRC Director shall conduct an investigation and, where the Director so finds, issue a written Finding of Non-Compliance.
  - c. The Director's finding shall indicate whether the consultant acted in good faith or whether noncompliance was based on willful or bad faith noncompliance with the requirements of Chapter 14B, HRC Rules and Regulations, or contract provisions pertaining to LBE participation.
1. Where the Director finds that the consultant acted in good faith, after affording the consultant notice and an opportunity to be heard, the Director shall recommend that the contract awarding authority take appropriate action. Where the Director finds willful or bad faith noncompliance, the Director shall impose sanctions for each violation of the ordinance, HRC rules and regulations, or contract provisions pertaining to LBE participation, which may include:
    - i) reject all proposals;
    - ii) declare a proposal non-responsive;
    - iii) suspend a contract;
    - iv) withhold funds;
    - v) assess penalties;
    - vi) debarment;
    - vii) deny HRC certification;
    - viii) revoke HRC certification; or
    - ix) pursuant to 14B.7(H)(2), assess liquidated damages in an amount equal to the consultant's net profit on the contract, 10% of the total amount of the contract or \$1,000, whichever is greatest as determined by HRC.
  2. The Director's determination of non-compliance is subject to appeal pursuant to HRC Rules and Regulations.
  3. An appeal by a consultant to the Commission shall not stay the Director's findings.
  4. The HRC Director may require such reports, information and documentation from consultants, subconsultants, contract awarding authorities, and heads of departments, divisions, and offices of the City and County as are reasonably necessary to determine compliance with the requirements of Chapter 14B.

**B. Procedure for the collection of penalties is as follows:**

1. The HRC Director shall send a written notice to the Controller, the Mayor and to all contract awarding authorities or City and County department officials overseeing any contract with the proposer or consultant that a determination of bad faith non-compliance has been made and that all payments due the proposer or consultant shall be withheld.
2. The HRC Director shall transmit a report to the Controller and other applicable City departments to ensure that the liquidated damages are paid to the City.

**PART II. RATING BONUS**

**2.01 APPLICATION**

- ~~A. Eligibility for the LBE Rating bonus: Certified Small or Micro-LBEs, including certified non-profit organizations, are eligible for an LBE rating bonus if the LBE is HRC certified in the type of work that~~



is called out by the Contract Awarding Authority. Under certain circumstances, SBA LBE's are eligible for an LBE rating bonus. A proposer that has a certification application pending, that has been denied certification, that has had its certification revoked or that is in the process of appealing an HRC denial or revocation at the date and time the proposal is due is not an LBE and is not eligible to receive the rating bonus even if the firm is later certified or ultimately prevails in its appeal.

- B. **Application of the Rating bonus:** The following rating bonus shall apply at each stage of the selection process, i.e., qualifications, proposals, and interviews:
1. **Contracts with an Estimated Cost in Excess of \$10,000 and Less Than or Equal To 400,000.** A 10% rating bonus will apply to any proposal submitted by an HRC certified Small or Micro-LBE. Proposals submitted by SBA-LBEs are not eligible for a rating bonus.
  2. **Contracts with an Estimated Cost in Excess of \$400,000 and Less Than or Equal To \$10,000,000.** A 10% rating bonus will apply to any proposal submitted by an HRC certified Small or Micro-LBE. Pursuant to Section 14B.7(E), a 2% rating bonus will be applied to any proposal from an SBA-LBE, except that the 2% rating bonus shall not be applied at any stage if it would adversely affect a Small or Micro-LBE proposer or a JV with LBE participation.
  3. **Contracts with an Estimated Cost In Excess of \$10,000,000 and Less Than or Equal To \$20,000,000.** A 2% rating bonus will apply to any proposal submitted by an SBA-LBE.
  4. **The rating bonus for a Joint Venture ("JV") with LBE participation that meets the requirements of Section 2.02 below is as follows for contracts with an estimated cost of in excess of \$10,000 and Less Than or Equal to \$10,000,000:**
    - a. 10% for each JV among Small and/or Micro LBE prime proposers.
    - b. 5% for each JV which includes at least 35% (but less than 40%) participation by Small and/or Micro-LBE prime proposers.
    - c. 7.5% for each JV that includes 40% or more in participation by Small and/or Micro-LBE prime proposers.
    - d. The rating bonus will be applied by adding 5%, 7.5%, or 10% (as applicable) to the score of each firm eligible for a bonus for purposes of determining the highest ranked firm. Pursuant to Chapter 14B.7(F), SBA-LBEs are not eligible for the rating bonus when joint venturing with a non LBE firm. However, if the SBA-LBE joint ventures with a Micro-LBE or a Small-LBE, the joint venture will be entitled to the joint venture rating bonus only to the extent of the Micro-LBE or Small-LBE participation described in Section 2.01B.4b. and c. above.
  5. A 10% rating bonus for HRC LBE certified non-profit agencies for contracts estimated in excess of \$10,000, but less than or equal to \$10,000,000.
- C. The Rating Bonus for Small or Micro-LBEs or JVs does not apply for contracts estimated by the Contract Awarding Authority to exceed \$10 million. The rating bonus for SBA-LBEs does not apply for contracts estimated by the Contract Awarding Authority to exceed \$20 million.

## 2.02 JOINT VENTURE/PRIME ASSOCIATION

- A. Each Small and/or Micro-LBE JV partner must be responsible for a clearly defined portion of the work to be performed. The rating bonus is applied only when the Small and/or Micro-LBE partner has sufficient skill, experience, and financial capacity to perform the portion of the work identified for the Small and/or Micro-LBE. This portion must be set forth in detail separately from the work to be performed by the non-LBE JV partner. The joint venture partners must be of the same discipline/each possess the license required by the RFP and the LBE partner(s) must be HRC LBE certified in that area in order to be eligible for the rating bonus. The joint venture partners must be jointly responsible for the overall project management, control, and compliance with 14B requirements.



1. The Small and/or Micro-LBE JV partner's work must be assigned a commercially significant dollar value of the prime work and use its own employees and equipment.
  2. Each member of the joint venture must perform a "commercially useful function" as that term is defined by Section 14B.2 of the Ordinance. A Small and/or Micro-LBE JV partner that relies on the resources and personnel of a non-LBE firm will not be deemed to perform a "commercially useful function."
  3. The following actions are prohibited: i) the non-LBE JV partner performing work for the Small and/or Micro-LBE JV partner; ii) leasing of equipment or property by the Small and/or Micro-LBE JV partner from the non-LBE JV partner; and iii) the hiring of the non-LBE JV partner's employees by the Small and/or Micro-LBE JV partner.
  4. The Small and/or Micro-LBE JV partner must share in the ownership, control, management and administrative responsibilities, risks, and profit of the JV in direct proportion to its stated level of JV participation.
  5. The Small and/or Micro-LBE JV partner must perform work that is commensurate with its experience.
  6. A JV must submit an executed JV agreement and management plan detailing each JV partner's responsibilities and tasks.
  7. A JV must obtain a Federal ID number for that entity.
  8. A JV must obtain a tax registration certificate from the City Tax Collectors Office for that entity.
- B. A prime association or partnership is considered the same as a joint venture and must comply with all the JV requirements stated above.
- C. The proposal items to be performed by the Small and/or Micro-LBE JV partner must be identified separately and all work must be accounted for, including subconsulting work.
- D. The cost of the work to be performed by the Small and/or Micro-LBE JV partners is to be calculated as a percentage of the work to be performed by the joint venture partners. The joint venture should deduct the amount of work to be performed by subconsultants from its total contract amount. This percentage is used to determine whether or not the joint venture is eligible for a rating bonus.

**EXAMPLE:**

Step 1. Calculate total JV partner work:

Total Contract Work	=	100%
Percentage of Total Contract Work Performed by Subconsultants	-	40%
Percentage of Total Contract Work Performed by JV partners	=	60%

Step 2. Calculate Small and/or Micro-LBE JV partner work:

	A	B	C
Description of JV Partners' Scopes of Work	JV Partners' Work as a % of the total contract	% of Task by Non-LBE JV Partner	% of Task by Small and/or Micro-LBE JV Partner
TASK 1	5%	3%	2%
TASK 2	20%	11%	9%
TASK 3	25%	12.5%	12.5%
TASK 4	10%	6%	4%
<b>TOTAL JV Partner %</b>	<b>60%</b>	<b>32.5%</b>	<b>27.5%</b>





Step 3. Calculate Small and/or Micro-LBE JV partner work as a percentage of the total JV partner work for the rating bonus.

Total Small and/or Micro- LBE JV %	27.5%	÷	Total JV %	60%	=	45.8%
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The Small and/or Micro-LBE JV partner's participation is 45.8%. The JV is therefore eligible for a 7.5% rating bonus.

**PART III SUBCONSULTANT PARTICIPATION**

**3.01 SUBCONSULTANT PARTICIPATION GOAL**

**NOTE: FOR PURPOSES OF THE LBE SUBCONSULTING REQUIREMENTS, "LBE" REFERS TO SMALL AND MICRO-LBES ONLY, UNLESS THE RFP ALLOWS FOR SBA-LBE SUBCONSULTANTS TO COUNT TOWARDS THE LBE PARTICIPATION GOAL.**

- A. All proposers shall achieve the LBE subconsultant participation goal and undertake adequate good faith outreach as set forth in Section 14B.8(D) of the Ordinance to select subconsultants to meet the LBE subconsultant participation goal unless the proposer meets the good faith outreach exception in Section 14B.8.(B). See example in Section 1.02A.2. The LBE subconsultant participation goal can only be met with HRC certified Small and Micro-LBES.

For a directory of certified LBES, please go to:

[http://sf-hrc.org/ftp/uploadedfiles/sfhumanrights/directory/vlistS\\_1.htm](http://sf-hrc.org/ftp/uploadedfiles/sfhumanrights/directory/vlistS_1.htm).

Proposals that do not meet the LBE subconsultant participation goal set under 14B.8(A) of the Ordinance will be rejected as non-responsive unless the HRC Director finds that the proposer diligently undertook good faith efforts required by the Ordinance and that the failure to meet the goal resulted from an excusable error.

- B. Proposers must identify on Form 2A the particular LBE subconsultants and lower tier subconsultants to be utilized in performing the contract, specifying for each the percentage of participation, the type of work to be performed and such information as the HRC reasonably shall require to determine the responsiveness of the proposal.

The proposer must contact LBE subconsultants prior to listing them. LBES must be certified with HRC on the proposal due date to receive LBE subconsulting credit. Listing an LBE that is not certified at the date and time the proposal is due will result in the loss of credit for that LBE subconsultant and may result in a non-responsive proposal.

Additionally, subconsultants may be listed by more than one proposer.

- C. A subconsultant that has a certification application pending, that has been denied certification, that has had its certification revoked or that is in the process of appealing an HRC denial or revocation at the date and time the proposal is due is not an LBE and cannot be counted as an LBE for purposes of achieving LBE subconsultant participation goal even if the firm is later certified or ultimately prevails in its appeal.
- D. HRC may require the successful proposer to submit performance reports on actual LBE participation at 30%, 50%, 70%, and 90% completion to the Contracting Awarding Authority and HRC.
- E. Determination and calculation of LBE subconsultant participation:



1. The Small and/or Micro LBE subconsultant shall be listed to perform a specific task(s), which is described in the RFP or RFQ.
2. If the Small and/or Micro-LBE subconsultant forms a joint venture with a non-LBE subconsultant, the Small and/or Micro-LBE subconsultant joint venture partner will be credited only for its portion of the work, as follows:

*EXAMPLE:*

If the total subcontract amount = \$ 1,000,000 of which \$510,000 is the Small and/or Micro-LBE JV subcontract amount and \$490,000 is the non-LBE subcontract amount, then \$510,000 is credited toward the LBE subconsultant participation goal.

3. All work done by lower-tier Small and/or Micro-LBE subconsultants will be credited toward meeting the goal.

*EXAMPLE:*

If the total subcontract amount = \$1,000,000, of which \$200,000 is the lower-tier Small and/or Micro-LBE subconsultant's portion, then \$200,000 is credited toward the LBE subconsultant participation goal.

4. If a Proposer owns or controls more than one business that is HRC certified as an Small and/or Micro-LBE, the proposer will not receive credit if it lists its other firms to meet the LBE subconsultant participation goal when submitting as a prime. In determining ownership of a business, a business owned by proposer's spouse or domestic partner shall be deemed to be owned by the proposer.
5. It is the responsibility of the proposer to verify the subconsultant's LBE certification status.
6. A Small and/or Micro-LBE subconsultant must be certified in the type of work that the Proposer lists the firm for on HRC Form 2A.
7. The Small and/or Micro-LBE subconsultant must be utilized on the contract to perform a commercially useful function. No credit will be given for a LBE that serves as a pass-through.
8. A Small and/or Micro-LBE Prime proposer must meet the LBE subconsultant participation goal. A Small and/or Micro LBE Prime proposer may not count its participation towards meeting the LBE subconsultant participation goal.
9. A Small and/or Micro-LBE Prime proposer may count its participation towards meeting the good faith outreach exception set forth in 14B.8(B).

**F. Substitution, removal, or contract modification of LBE:**

No LBE subconsultant listed on Form 2A shall be substituted; removed from the contract or have its contract, purchase order or other form of agreement modified in any way without prior HRC approval. Additionally, no new subconsultants shall be added without prior HRC approval.



**PART IV NON-DISCRIMINATION REQUIREMENTS**

**4.01 GENERAL**

As a condition of contract award, Consultants and subconsultants shall comply with the nondiscrimination in employment provisions required by Chapter 12B of the Administrative Code.

**4.02 NONDISCRIMINATION PROVISIONS**

- A. Prior to the award of the contract, the consultant must agree that it does and will not, during the time of the contract or any contract amendment, discriminate in the provision of benefits between its employees with spouses and employees with domestic partners.
- B. The consultant and subconsultants on this contract will not discriminate against any employee or applicant for employment because of race, color, religion, ancestry, national origin, age, sex, sexual orientation, gender identity, domestic partner status, marital status, disability or AIDS/HIV status, weight, height, or association with members of classes protected under this chapter or in retaliation for opposition to any practices forbidden under this chapter. Discrimination on the basis of sex includes sexual harassment as defined in Section 16.9-25(b) of this Code. The Consultant, Contractor or Subconsultant/Subcontractor will take action to ensure that applicants are employed, and that employees are treated equally during employment, without regard to the fact or perception of their race, color, creed, religion, ancestry, national origin, age, sex, sexual orientation, gender identity, domestic partner status, marital status, disability, weight, height, or AIDS/HIV status. Such action shall include, but not be limited to, the following: Employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rate of pay or other forms of compensation; and selection for training, including apprenticeship.
- C. **Non-Compliance with Chapter 12B Prior to Contract Award**

The consultant and any subconsultants must be in compliance with the nondiscrimination provisions of Chapter 12B, on all existing City contracts prior to award of this contract.

Prior to the award of any City contract, the HRC has the authority to review the consultant's and subconsultant's prior performance to ensure compliance with the nondiscrimination provisions of Chapter 12B.

If the HRC determines that there is cause to believe that a consultant or subconsultant is not in compliance with the nondiscrimination provisions of Chapter 12B, the HRC shall notify the contract awarding authority and attempt to resolve the non-compliance through conciliation.

- 1. If the non-compliance cannot be resolved, the HRC shall submit to the consultant or subconsultant and the contract awarding authority a written Finding of Non-compliance.
- 2. The HRC shall give the consultant or subconsultant an opportunity to appeal the Finding.
- 3. The HRC may stay the award of any contract to a consultant where the consultant or any subconsultant is the subject of an investigation by written notice to the contract-awarding agency.

**D. Complaints of Discrimination after Contract Award**

- 1. A complaint of discrimination in employment initiated by any party after contract award shall be processed in accordance with the HRC Rules of Procedure, adopted pursuant to Chapter 12B of the San Francisco Administrative Code.
- 2. A finding of discrimination may result in imposition of appropriate sanctions, including:
  - a. There may be deducted from the amount payable to the consultant or subconsultant under this contract a penalty of \$50 for each person for each calendar day the person was discriminated against in violation of the provisions of the contract.



- b. The contract may be canceled, terminated or suspended in part by the contract awarding authority.
- c. The consultant, subconsultant or vendor may be determined ineligible to perform work or supply products on any City contract for a period not to exceed two years.



**FORM 2A: HRC CONTRACT PARTICIPATION FORM**

Section 1: This form must be submitted with the proposal or the proposal may be deemed non-responsive and rejected. Prime Proposer, each Joint Venture Partner, Subconsultants, Vendors, and lower sub tiers must be listed on this form. Only HRC certified Small and/or Micro-LBEs can be used to meet the LBE subconsultant participation goal unless the RFP allows for SBA-LBE subconsultants to count towards the LBE participation goal. A Small and/or Micro-LBE Prime proposer/JV with LBE participation must meet the LBE subconsultant goal. A Small and/or Micro-LBE Prime proposer/JV with LBE participation may not count its participation towards meeting the LBE subconsultant participation goal. Be sure to check box for Rating Bonus. If more space is needed, attach additional copies of this form. This form is also completed and submitted for all contract modifications which exceed the original contract amount by more than 20%.

Contract:		<b>RATING BONUS</b>	
		<input type="checkbox"/> LBE 10%	<input type="checkbox"/> Joint Venture 7.5%
Firm:		<input type="checkbox"/> Joint Venture 5%	<input type="checkbox"/> Joint Venture 10% (LBEs ONLY)
Contact Person:		<input type="checkbox"/> No Rating Bonus Requested	
Address:		LBE Goal      %	
City/ZIP			
Phone			

\*Type: Identify if prime (P), JV partner (J), Subconsultant (S), or Vendor (V)

TYPE *	Firm	PORTION OF WORK (describe scope(s) of work)	% OF WORK	INDICATE LBE YES/NO	If an LBE, Identify MBE, WBE, or OBE **	% OF LBE SUBWORK
			%			%
			%			%
			%			%
			%			%
<b>Total % of Work: 100%</b>				<b>Total LBE Subconsulting%</b>		%

I declare, under penalty of perjury under the laws of the State of California, that I am utilizing the above Consultants for the portions of work and amounts as reflected in the Proposal for this Contract.

Owner/Authorized Representative (Signature): \_\_\_\_\_ Date: \_\_\_\_\_

Print Name and Title: \_\_\_\_\_

\*\* MBE = Minority Business Enterprise, WBE = Women Business Enterprise, OBE = Other Business Enterprise. See HRC website [http://sf-hrc.org/ftp/uploadedfiles/sfhumanrights/directory/vlist\\_1.htm](http://sf-hrc.org/ftp/uploadedfiles/sfhumanrights/directory/vlist_1.htm) for each firm's status.



Section 2. Prime Proposer, Joint Venture Partners, Subconsultant, and Vendor Information

Provide information for each firm listed in Section 1 of this form. Firms which have previously worked on City contracts may already have a vendor number. Vendor numbers of LBE firms are located in the HRC LBE website at [http://sf-hrc.org/ftp/uploadedfiles/sfhumanrights/directory/vlist5\\_1.htm](http://sf-hrc.org/ftp/uploadedfiles/sfhumanrights/directory/vlist5_1.htm). Use additional sheets if necessary.

FIRM NAME:	_____	VENDOR #:	_____
ADDRESS:	_____	FEDERAL ID #:	_____
CITY, ST, ZIP:	_____	PHONE:	_____
SERVICE:	_____	FAX:	_____

FIRM NAME:	_____	VENDOR #:	_____
ADDRESS:	_____	FEDERAL ID #:	_____
CITY, ST, ZIP:	_____	PHONE:	_____
SERVICE:	_____	FAX:	_____

FIRM NAME:	_____	VENDOR #:	_____
ADDRESS:	_____	FEDERAL ID #:	_____
CITY, ST, ZIP:	_____	PHONE:	_____
SERVICE:	_____	FAX:	_____

FIRM NAME:	_____	VENDOR #:	_____
ADDRESS:	_____	FEDERAL ID #:	_____
CITY, ST, ZIP:	_____	PHONE:	_____
SERVICE:	_____	FAX:	_____

FIRM NAME:	_____	VENDOR #:	_____
ADDRESS:	_____	FEDERAL ID #:	_____
CITY, ST, ZIP:	_____	PHONE:	_____
SERVICE:	_____	FAX:	_____

FIRM NAME:	_____	VENDOR #:	_____
ADDRESS:	_____	FEDERAL ID #:	_____
CITY, ST, ZIP:	_____	PHONE:	_____
SERVICE:	_____	FAX:	_____



**FORM 2B: "GOOD FAITH OUTREACH" REQUIREMENTS FORM**

This "Good Faith Outreach" form, along with the required supporting documentation must be completed and submitted per the instructions in this form **EVEN IF** the LBE subconsulting participation goal has been met (*Section 14B.8 of the San Francisco Administrative Code*). Proposers may obtain a list of certified LBEs from the HRC website: <http://mission.sfgov.org/hrc%5Fcertification/>

**SECTION A**

Under Section 14B.8(B) of the Administrative Code, the good faith outreach exception states that if a proposer demonstrates total LBE participation that exceeds by 35% the established LBE subconsultant participation goal for the project, the proposer is not required to conduct good faith outreach efforts or to submit evidence of good faith outreach efforts. Note that a Small or Micro-LBE prime proposer may count its own Contract Work toward the 35% good faith outreach exception. Please see example in HRC Attachment 2, Section 1.02A.2.

Does your proposal demonstrate that you have exceeded the established LBE subconsultant participation goal by 35% or more in accordance with Section 14B.8(B)?  YES\*  NO

If the answer is yes, please check "YES", above, and complete Section C (if applicable) and Section D of this Form. If the answer is no, please check "NO", above, and complete Sections B and D of this Form, and submit all required supporting documentation in accordance with the instructions in Section B.

\* Note: An answer of "YES", above, is subject to verification by HRC. If the HRC determines that proposer did not exceed the LBE subconsultant participation goal by at least 35% and proposer either failed to undertake adequate good faith outreach efforts or failed to submit supporting documentation with its proposal as required by Section B, items 2 and 4, below, then proposer's proposal shall be declared non-responsive and **AND INELIGIBLE FOR CONTRACT AWARD**.

**NOTE: "LBE" REFERS TO SMALL AND MICRO-LBES ONLY, UNLESS THE RFP ALLOWS FOR SBA-LBE SUBCONSULTANTS TO COUNT TOWARDS THE LBE PARTICIPATION GOAL.**

**SECTION B**

All proposers that do not qualify for the good faith outreach exception set forth in Section 14B.8(B) of the Administrative Code must complete this Section B and submit supporting documentation as required.

***A proposer must achieve at least 80 points, as determined by HRC, to be deemed compliant with the "good faith outreach" requirements. A proposer who fails to achieve at least 80 points will be declared non-responsive, and the proposal will be rejected. Please check yes or no for each item listed below.***

<p>1. Did your firm attend the pre-proposal meeting scheduled by the City to inform all proposers of the LBE program requirements for this project? If the City does not hold a pre-proposal meeting, all proposers will receive 15 points.</p>	<p><input type="checkbox"/> Yes (15 Points)</p>	<p><input type="checkbox"/> No (0 Points)</p>
<p>2. Did your firm advertise, not less than 10 calendar days before the due date of the proposal, in one or more daily or weekly newspapers, trade association publications, LBE trade oriented publications, trade journals, or other media, such as: Small Business Exchange, or the Bid and Contracts Section of the Office of Contract Administration's website (<a href="http://mission.sfgov.org/OCABidPublication/">http://mission.sfgov.org/OCABidPublication/</a>)? If so, <b>please enclose a copy of the advertisement.</b> <i>The advertisement must provide LBEs with adequate information about the project.</i> If the City gave public notice of the project less than 15 calendar days prior to the proposal due date, no advertisement is required, and all proposers will receive 10 points.</p>	<p><input type="checkbox"/> Yes (10 points)</p>	<p><input type="checkbox"/> No (0 Points)</p>



<p>3. Did your firm identify and select work types (as categorized in HRC's LBE Directory) to meet the LBE subconsultant participation goal? If so, please identify the work types below:</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p><input type="checkbox"/> Yes (10 points)</p>	<p><input type="checkbox"/> No (0 Points)</p>
<p>4. Did your firm contact LBE firms (LBE firms include MBEs, WBEs and OBEs) for the identified work types (see #3 above), not less than 10 calendar days prior to the due date of the proposal? If so, <u>please include documentation (i.e. phone logs, emails, faxes, etc.) to verify that contacts were made.</u> The purpose of contacting LBE firms is to provide notice of interest in proposing for this project.</p> <p>A proposer who contacts those LBE firms certified in the identified work types, not less than 10 calendar days prior to due date of the proposal, will receive up to 45 points. If a proposer does not comply with paragraphs a. &amp; b. below, one point will be deducted for each LBE firm within each identified work type that is not contacted.</p> <p>a. If there are less than 25 firms within an identified work type, a proposer should contact all of them.</p> <p>b. If there are 25 or more firms within an identified work type, a proposer should notify at least 25 firms within such identified work type.</p> <p>If a proposer does not contact any LBE firms, the proposer will receive no points. When contacting LBEs, you should provide adequate information about the project. If the City gave public notice of the project less than 15 calendar days prior to the proposal due date, the allocation of points above still applies, except that the proposer may contact those LBE firms certified in the identified work types less than 10 calendar days prior to the due date of the proposal.</p>	<p><input type="checkbox"/> Yes (Up to 45 points)</p>	<p><input type="checkbox"/> No (0 Points)</p>
<p>5. Did your firm follow-up and negotiate in good faith with interested LBEs? If so, <u>please include documentation (i.e. phone logs, emails, faxes, etc.) to verify that follow-up contacts were made.</u> If applicable, your follow-up contact with interested LBEs should provide information on the City's bonding and financial assistance programs.</p> <p>For each interested LBE firm that the proposer does not follow-up with, a point will be deducted.</p> <p>A proposer who does not perform any follow-up contact with interested LBEs will receive no points.</p> <p><b>**Interested LBE**</b> shall mean an LBE firm that expresses interest in being a subconsultant to the proposer.</p>	<p><input type="checkbox"/> Yes (Up to 20 points)</p>	<p><input type="checkbox"/> No (0 Points)</p>
<p>6. A proposer shall submit the following documentation with this form:</p> <p>(1) Copies of all written proposals submitted, including those from non-LBEs;</p> <p>(2) If oral proposals were received, a list of all such proposals, including those from non-LBEs. The work type and dollar amounts for each such proposal must be specified; and</p> <p>(3) A full and complete statement of the reasons for selection of the subconsultants for each work type. If the reason is based on relative qualifications, the statement must address the particular qualification at issue.</p>		





SECTION C

If a Small or Micro-LBE prime proposer checks "YES" in Section A, above, and is relying on self-performed Contract Work to meet the 35% good faith efforts outreach exception, such Small or Micro-LBE prime proposer must indicate the total value of Contract Work that proposer will perform with its own forces in the space below:

         % of work

SECTION D

Contract Name: \_\_\_\_\_

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

Signature of Owner/Authorized Representative: \_\_\_\_\_

Owner/Authorized Representative (Print): \_\_\_\_\_

Name of Firm (Print): \_\_\_\_\_

Title and Position: \_\_\_\_\_

Address, City, ZIP: \_\_\_\_\_

E-mail: \_\_\_\_\_

Date: \_\_\_\_\_



**FORM 3: HRC NON-DISCRIMINATION AFFIDAVIT**

1. I will ensure that my firm complies fully with the provisions of Chapter 14B of the San Francisco Administrative Code and its implementing Rules and Regulations and attest to the truth and accuracy of all information provided regarding such compliance.
2. Upon request, I will provide the HRC with copies of contracts, subcontract agreements, certified payroll records and other documents requested so the HRC may investigate claims of discrimination or non-compliance with either Chapter 12B or Chapter 14B.
3. I acknowledge and agree that any monetary penalty assessed against my firm by the Director of the Human Rights Commission shall be payable to the City and County of San Francisco upon demand. I further acknowledge and agree that any monetary penalty assessed may be withheld from any monies due to my firm on any contract with the City and County of San Francisco.
4. I declare and swear under penalty of perjury under the laws of the State of California that the foregoing statements are true and correct and accurately reflect my intentions.

Signature of Owner/Authorized Representative: \_\_\_\_\_

Owner/Authorized Representative (Print) \_\_\_\_\_

Name of Firm (Print) \_\_\_\_\_

Title and Position \_\_\_\_\_

Address, City, ZIP \_\_\_\_\_

Federal Employer Identification Number (FEIN): \_\_\_\_\_

Date: \_\_\_\_\_



**FORM 4: HRC JOINT VENTURE FORM**

This form must be submitted ONLY if the proposer is requesting a Joint Venture partnership with an Small and/or Micro-LBE firm for the rating bonus. The Joint Venture partners must submit a joint venture agreement and management plan with the proposal. All work must be accounted for including subconsulting work.

**SECTION 1: GENERAL INFORMATION**

1. Name of Contract or Project: \_\_\_\_\_

2. Name of all JV partners: (Check LBE if applicable)

	LBE <input type="checkbox"/>
	<input type="checkbox"/>
	<input type="checkbox"/>
	<input type="checkbox"/>

3. Attach a copy of Joint Venture Agreement and Management plans.

4. The management plan must include the following information:

- a. Describe in detail how decisions will be made for work distribution and compliance of Small and/or Micro-LBE Joint Venture participation.
- b. Provide each Joint Venture partner's specific duties and responsibilities (include organizational chart)
- c. Identify the Location of Joint Venture Office.
- d. Provide in detail how decision will be made for work distribution to Small and /or Micro-LBE subconsultants and/or vendors.
- e. Submit copies of bank signature cards with authorized names, titles, and address/city of the bank (required after award of contract.)

5. Calculation of the Rating Bonus. See §2.02D of HRC Attachment 2 for an example.

If the joint venture partners are dividing the work according to a different formula than that described below, please contact HRC staff and describe the arrangement in detail prior to submittal of proposal.

Joint venture partners are encouraged to meet with HRC regarding their joint venture prior to submitting their proposal.

The rating bonus is awarded based on the Small and/or Micro-LBE JV partner tasks calculated as a percentage of the total JV partner tasks.

Step 1. Calculate total JV partner tasks.

Total Contract Tasks	=	100%
Percentage of Total Work to be Performed by Subconsultants	-	%
Percentage of JV partner tasks	=	%



Step 2. Calculate Small and/or Micro-LBE JV partner tasks:

	A	B	C
Description of JV partner Scopes of Work (Specific details of work)	JV Partners' Work as a % of the total project	% of Task by Non-LBE JV Partner	% of Task by Small and/or Micro-LBE JV Partner
	%	%	%
	%	%	%
	%	%	%
	%	%	%
	%	%	%
TOTAL JV %	%	%	%

Step 3. Calculate Small and/or Micro-LBE JV partner work as a percentage of the total JV partner work for the rating bonus.

Total Small and/or Micro-LBE JV Partner %		÷	Total JV %		=	%
---	--	---	------------	--	---	---

JOINT VENTURE PARTNERS MUST SIGN THIS FORM

Owner/Authorized Representative (Signature)

Owner/Authorized Representative (Signature)

Name and Title (Print)

Name and Title (Print)

Firm Name

Firm Name

Telephone Date

Telephone Date





**FORM 7: HRC PROGRESS PAYMENT FORM**

To be completed by Consultant and submitted to the Contract Awarding Authority and HRC with its monthly progress payment application (transmit to the following):

**TRANSMITTAL**

TO: Project Manager/Designee  
Firm: \_\_\_\_\_

COPY TO: HRC Contract Compliance Officer  
Date: \_\_\_\_\_

**SECTION 1. Fill in all the blanks**

Contract Number: \_\_\_\_\_ Contract Name: \_\_\_\_\_  
Reporting Period From: \_\_\_\_\_ To: \_\_\_\_\_ Progress Payment No: \_\_\_\_\_

The information submitted on Sections 1 and 2 of this form must be cumulative for the entire contract as opposed to individual task orders. Additionally, the information submitted on Sections 1 and 2 of this form must be consistent. See next page for Section 2.

1. Original Contract Award Amount:	\$ _____
2. Amount of Amendments and Modifications to Date:	\$ _____
3. Total Contract to Date including Amendments and Modifications (Line 1 + Line 2):	\$ _____
4. Sub-total Amount Invoiced this submittal period: Professional Fees	\$ _____
5. Sub-total Amount Invoiced this submittal period: Reimbursable Expenses	\$ _____
6. Gross Amount Invoiced this submittal period (Line 4 + Line 5):	\$ _____
7. All Previous Gross Amounts Invoiced:	\$ _____
8. Total Gross Amounts of Progress Payments Invoiced to Date (Line 6 + Line 7):	\$ _____
9. Percent Completed (Line 8 ÷ Line 3):	_____ %

Consultant, including each joint venture partner, must sign this form.

\_\_\_\_\_  
Owner/Authorized Representative (Signature)

\_\_\_\_\_  
Name (Print)

\_\_\_\_\_  
Title (Print)

\_\_\_\_\_  
Firm Name

\_\_\_\_\_  
Telephone                      Fax

\_\_\_\_\_  
Date

\_\_\_\_\_  
Owner/Authorized Representative (Signature)

\_\_\_\_\_  
Name (Print)

\_\_\_\_\_  
Title (Print)

\_\_\_\_\_  
Firm Name

\_\_\_\_\_  
Telephone                      Fax

\_\_\_\_\_  
Date





**FORM 9: HRC PAYMENT AFFIDAVIT**

Consultant or Joint Venture partners must submit this form to the Contract Awarding Authority and HRC within ten (10) working days following receipt of each progress payment from the Contract Awarding Authority. This form must be submitted EVEN if there is no sub-payment of this reporting period and until completion of the contract.

TO: Project Manager/Designee

COPY TO: HRC Contract Compliance Officer

Firm: \_\_\_\_\_

Date: \_\_\_\_\_

List the following information for each progress payment received from the Contract Awarding Authority. Use additional sheets to include complete payment information for all subconsultants and vendors (including lower tiers utilized on this Contract. Failure to submit all required information may lead to partial withholding of progress payment.

Contract Number: \_\_\_\_\_ Contract Name: \_\_\_\_\_

Contract Awarding Department: \_\_\_\_\_

Progress Payment No.: \_\_\_\_\_ Period Ending: \_\_\_\_\_

Amount Received: \$ \_\_\_\_\_ Date: \_\_\_\_\_ Warrant/Check No.: \_\_\_\_\_

Check box and sign below if there is no sub payment for this reporting period.

Subconsultant/Vendor Name	Business Address	Amount Paid	Payment Date	Check Number
		\$		
		\$		
		\$		
		\$		
		\$		
		\$		

I/We declare, under penalty of perjury under the laws of the State of California that the above information is complete, that the tabulated amounts paid to date are accurate and correct.

Prime consultant, including each joint venture partner, must sign this form (use additional sheets if necessary)

\_\_\_\_\_  
Owner/Authorized Representative (Signature)

\_\_\_\_\_  
Name (Print) Title

\_\_\_\_\_  
Firm Name

\_\_\_\_\_  
Telephone Date

\_\_\_\_\_  
Owner/Authorized Representative (Signature)

\_\_\_\_\_  
Name (Print) Title

\_\_\_\_\_  
Firm Name

\_\_\_\_\_  
Telephone Date





**FORM 8: HRC EXIT REPORT AND AFFIDAVIT**

Prime Consultant must complete and sign this form (Sections 1 and 4) for each LBE subconsultant (incl. lower tier LBEs). All LBEs must complete and sign Sections 2 and 3 of this form. These forms should be submitted to the Contract Awarding Authority with the final progress payment request.

**TRANSMITTAL**

TO: Project Manager/Designee COPY: HRC Contract Compliance Officer

FROM (Consultant): \_\_\_\_\_ Date Transmitted: \_\_\_\_\_

SECTION 1. Please check this box if there are no LBE subconsultants for this contract:

Reporting Date: \_\_\_\_\_ Contract Name: \_\_\_\_\_

Name of LBE: \_\_\_\_\_ Portion of Work (Trade): \_\_\_\_\_

Original LBE Contract Amount: \$ \_\_\_\_\_

Change Orders, Amendments, Modifications \$ \_\_\_\_\_

Final LBE Contract Amount: \$ \_\_\_\_\_

Amount of Progress Payments Paid to Date: \$ \_\_\_\_\_

Amount Owing including all Change Orders, Amendments and Modifications \$ \_\_\_\_\_

Explanation by Consultant if the final contract amount for this LBE is less than the original contract amount:

SECTION 2. Please check one:

I did NOT subcontract out ANY portion of our work to another subcontractor.

I DID subcontract out our work to:

Name of Firm: \_\_\_\_\_ Amount Subcontracted: \$ \_\_\_\_\_

Name of Firm: \_\_\_\_\_ Amount Subcontracted: \$ \_\_\_\_\_

SECTION 3.

To be signed by the LBE Subconsultant or vendor:

I agree  I disagree

Explanation by LBE if it is in disagreement with the above explanation, or with the information on this form. LBE must complete this section within 5 business days after it has received it from the Prime. It is the LBE's responsibility to address any discrepancies within 5 business days concerning the final amount owed. If the LBE fails to submit the form within 5 business days, the Prime will note this on the form and submit the form as is with the final progress payment:

Owner/Authorized Representative (Signature)

Name and Title (Print)

Firm Name

Telephone

Date

**APPENDIX A**



---

SECTION 4.

If this form is submitted without the LBE's signature, the Prime must enclose verification of delivery of this form to the subconsultant.

I declare, under penalty of perjury under the laws of the State of California, that the information contained in Section 1 of this form is complete, that the tabulated amounts paid to date are accurate and correct, and that the tabulated amounts owing will be paid within three (3) days after receipt of the City's final payment under the Contract.

---

Owner/Authorized Representative (Signature)

---

Name and Title (Print)

---

Firm Name

---

Telephone

Date



**FORM 10: HRC CONTRACT MODIFICATION FORM**

Consultant must submit this form with the required supporting documentation when processing amendments, modifications or change orders that cumulatively increase the original contract amount by more than 20%, and then for all subsequent amendments, modifications or change orders. This form must be completed prior to the approval of such amendments, modifications or change orders. (This provision applies only to contracts originally valued at \$50,000 or more).

Name of Project/Contract Title: \_\_\_\_\_

Original Contract Amount: \_\_\_\_\_

Contract Amount as Modified to Date: \_\_\_\_\_

Amount of Current Modification Request: \_\_\_\_\_

**REQUIRED ATTACHMENTS:**

1. Revised Form 2A reflecting the new overall contract amounts for the prime consultant, joint venture partners, subconsultants, and vendors.
2. A list of all prior contract amendments, modifications, supplements and/or change orders leading up to this modification, including those leading up to the amendment which increased the original contract amount by more than 20%.
3. A spreadsheet showing each firm's participation for the overall contract, including each firm's participation to date and proposed participation under the modification.
4. A brief description of the work to be performed under this amendment, modification, or change order.

_____ Owner/Authorized Representative (Signature)		_____ Owner/Authorized Representative (Signature)	
_____ Name (Print)	_____ Title	_____ Name (Print)	_____ Title
_____ Firm Name		_____ Firm Name	
_____ Telephone	_____ Date	_____ Telephone	_____ Date

# APPENDIX B

## Appendix B

### Standard Forms

The requirements described in this Appendix are separate from those described in Appendix A.

Before the City can award any contract to a contractor, that contractor must file three standard City forms (items 1-3 on the chart). Because many contractors have already completed these forms, and because some informational forms are rarely revised, the City has not included them in the RFP package. Instead, this Appendix describes the forms, where to find them on the Internet (see bottom of page 2), and where to file them. If a contractor cannot get the documents off the Internet, the contractor should call (415) 554-6248 or e-mail Purchasing ([purchasing@sfgov.org](mailto:purchasing@sfgov.org)) and Purchasing will fax, mail or e-mail them to the contractor.

If a contractor has already filled out items 1-3 (see note under item 3) on the chart, **the contractor should not do so again unless the contractor's answers have changed.** To find out whether these forms have been submitted; the contractor should call Vendor File Support in the Controller's Office at (415) 554-6702.

If a contractor would like to apply to be certified as a local business enterprise, it must submit item 4. To find out about item 4 and certification, the contractor should call Human Rights Commission at (415) 252-2500.

Item	Form name and Internet location	Form	Description	Return the form to; For more info
1.	Request for Taxpayer Identification Number and Certification  <a href="http://www.sfgov.org/site/oca_page.asp?id=26550">http://www.sfgov.org/site/oca_page.asp?id=26550</a>  <a href="http://www.irs.gov/pub/irs-fill/fw9.pdf">www.irs.gov/pub/irs-fill/fw9.pdf</a>	W-9	The City needs the contractor's taxpayer ID number on this form. If a contractor has already done business with the City, this form is not necessary because the City already has the number.	Controller's Office Vendor File Support City Hall, Room 484 San Francisco, CA 94102  (415) 554-6702
2.	Business Tax Declaration  <a href="http://www.sfgov.org/site/oca_page.asp?id=26550">http://www.sfgov.org/site/oca_page.asp?id=26550</a>	P-25	All contractors must sign this form to determine if they must register with the Tax Collector, even if not located in San Francisco. All businesses that qualify as "conducting business in San Francisco" must register with the Tax Collector	Controller's Office Vendor File Support City Hall, Room 484 San Francisco, CA 94102  (415) 554-6702
3.	S.F. Administrative Code Chapters 12B & 12C Declaration: Nondiscrimination in Contracts and Benefits	HRC-12B-101	Contractors tell the City if their personnel policies meet the City's requirements for nondiscrimination against protected classes of people, and	Human Rights Comm. 25 Van Ness, #800 San Francisco, CA 94102-6059

Item	Form name and Internet location	Form	Description	Return the form to; For more info
	<a href="http://www.sfgov.org/site/sfhumanrights_index.asp?id=4584">http://www.sfgov.org/site/sfhumanrights_index.asp?id=4584</a> In Vendor Profile Application		in the provision of benefits between employees with spouses and employees with domestic partners. Form submission is not complete if it does not include the additional documentation asked for on the form. Other forms may be required, depending on the answers on this form. Contract-by-Contract Compliance status vendors must fill out an additional form for each contract.	(415) 252-2500
4.	HRC LBE Certification Application  <a href="http://www.sfgov.org/site/sfhumanrights_page.asp?id=45141">http://www.sfgov.org/site/sfhumanrights_page.asp?id=45141</a> In Vendor Profile Application		Local businesses complete this form to be certified by HRC as LBEs. Certified LBEs receive a bid discount pursuant to Chapter 14B when bidding on City contracts. To receive the bid discount, you must be certified by HRC by the proposal due date.	Human Rights Comm. 25 Van Ness, #800 San Francisco, CA 94102-6059 (415) 252-2500

**Where the forms are on the Internet**

**Office of Contract Administration**

Homepage: [www.sfgov.org/oca/](http://www.sfgov.org/oca/)  
 Purchasing forms: Click on "Required Vendor Forms" under the "Information for Vendors and Contractors" banner.

**Human Rights Commission**

HRC's homepage: [www.sfhrc.org](http://www.sfhrc.org)  
 Equal Benefits forms: Click on "Forms" under the "Equal Benefits" banner near the bottom.  
 LBE certification form: Click on "Forms" under the "LBE" banner near the bottom

**APPENDIX B**

Appendix C  
Application Checklist

APPENDIX C

Included?	Item
	Application Cover Sheet
	Signed Executive Summary and Letter
	Minimum Requirements Narrative about Financial Management Capacity, Cultural Competency Requirements, and Evaluation and Data Requirements
	<p>Minimum Requirements Attachments</p> <p><u>For non-profit proposers:</u></p> <ol style="list-style-type: none"> <li>1) Most recent audited financial statements conducted by independent Certified Public Accountant and accompanying management letters. If the organization has never had such an audit, please submit the most recent unaudited financial statements, and a brief statement of reasons for not ever having conducted an independent audit.</li> <li>2) Current agency-wide budget, balance sheet, and profit and loss statement.</li> <li>3) Current Board of Director's by-laws as well as a roster of the organization's Board of Directors including the directors' names, titles, telephone numbers, and email addresses.</li> <li>4) Most recently submitted IRS Form 990 Return of Organization Exempt from Income Tax. If the non-profit organization is not required under the Internal Revenue Code section 501(c) to submit IRS Form 990, please include a brief statement of basis for exception and any supporting documentation.</li> <li>5) Approved application for recognition of exemption from federal taxes under Internal Revenue Code, i.e., your 501(c) 3 Letter.</li> <li>6) Three (3) references who can speak to the proposer's management of grant or contract funding for provision of direct services to clients. Ideally, these references should be for entities providing services similar to those of this RFP. However, this is not required. For each of the three, please provide name, job title, organizational affiliation, email address, and phone number of individual grant program or contract administrator. References may be with private foundations, or federal, state, or local government. These references will be contacted to determine if agency meets financial management capacity requirements.</li> </ol> <p><u>For for-profit proposers:</u></p> <ol style="list-style-type: none"> <li>1) Most recent company annual report.</li> <li>2) Current company budget, balance sheet, and profit and loss statement.</li> <li>3) Current Board of Director's by-laws as well as a roster of the company's Board of Directors including the directors' names, titles, telephone numbers, and email addresses.</li> <li>4) Most recently submitted federal tax returns.</li> <li>5) If your company is required to file with the U.S. Securities and Exchange Commission (SEC), please submit a copy of the most recently submitted annual report to the SEC (Form 10-K).</li> <li>6) Three (3) references who can speak to the proposer's management of grant or contract funding for provision of direct services to clients. Ideally, these references should be for entities providing services similar to those of this RFP. However, this is not required. For each of the three, please provide name, job title, organizational affiliation, email address, and telephone number of individual grant program or contract administrator. References may be with private foundations, or federal, state, or local government. These references will be contacted to determine if agency meets financial management capacity requirements.</li> </ol> <p><u>For all proposers:</u></p> <p>If existing, policy on cultural and linguistic competency.</p> <p>If existing, recent copy of an evaluation that was conducted on your organization or a program in your organization.</p>

	CASC Proposal Narrative-Proposer History
	<p>CASC Proposal Narrative-Scope of Work and Required Service Elements</p> <p>Including:</p> <p>Project timeline</p> <p>Client flow chart</p> <p>Copies of all secondary client assessments that are proposed to be used in conjunction with ITRP</p> <p>Table of all Rehabilitation Programs</p> <p>Draft Rehabilitation Program Schedule</p> <p>Copies of all curricula to be used</p> <p>Draft Leisure and Recreation Schedule</p> <p>Table of all Partner Organizations</p> <p>All corresponding Letters of Intent from Partner Organizations, which may include but not limited to partners that include clinical case management providers, residential substance abuse treatment centers, vocational training programs, physical health care providers, clothing closet providers, child care providers.</p>
	<p>CASC Proposal Narrative-Experience, Organizational Structure and Staffing</p> <p>Including:</p> <p>Two separate organizational charts reflecting overall organizational structure and overall CASC structure, respectively.</p> <p>Duty Statements for each position that will provide direct service or administrative oversight of the CASC.</p> <p>If available, a professional review of architectural accessibility of site proposed for CASC.</p> <p>Sample of notification of clients of rights under disability rights law and training of staff on their obligations under such laws.</p> <p>If available, copy of proposer's reasonable accommodation policy.</p>
	Proposed Budget
	Proposed Budget Narrative

**Appendix D**

CITY AND COUNTY OF SAN FRANCISCO

ADULT PROBATION DEPARTMENT

2012

**COMMUNITY ASSESSMENT AND SERVICE CENTER  
REQUEST FOR PROPOSALS**

**APPLICATION COVER PAGE**

Organization Name:

Address:

Number of Year's in Business:

Contact Person:

Contract Person Title:

Telephone:

Email:

**Under which bid option are you submitted this application:**

- Bid exclusively on the CASC program without a facility (\$1,373,026).
- Bid on the CASC Program with a CASC Facility (\$1,373,026 + Actual projected rent/lease and operations costs of the proposed CASC Facility).
- Bid on the CASC Program & Facility and the SFAPD Sub-unit Office at two locations (\$1,373,026 + Actual projected rent/lease operations costs of the proposed CASC Facility).
- Bid on the CASC Program & Facility and the SFAPD Sub-unit Office at one location (\$1,373,026 + Actual projected rent/lease operations costs of the proposed CASC Facility)

Please indicate if you are submitting a collaborative proposal.

- Yes       No



# APPENDIX E

## Case Management & Individual Treatment & Rehabilitation Plan Summary

Stay Away Order(s):		Registration Requirements:	Gang Injunction:	Level of Supervision:	Case Contact Specification:		
NONE		H&S 11590	None	Medium	Face to Face 2 x per month w/ 1 field contact each quarter		
Court Case#	Case Exp. Date	PC Section	Critical Event	Event Dates	The Eight Criminogenic Needs	Offender's Top Five	
3333333	09-19-14	PC245	Felony	Compass Assessment	07-20-11	1. Anti-social Thinking	X
4444444	05-23-12	PC259	Felony	Sentenced	08-19-11	2. Antisocial peers and friends	X
5555555	12-12-11	H&S11590	MIS	Jail Release	05-20-11	3. Antisocial Personality	X
6666666	11-30-11	PC251.53	Felony	Intake Interview	10-1-11	4. Family and/or marital factors	
				Initial Case Conference	10-10-11	5. Substance Abuse	X
				ITRP Issued	10-10-11	6. Lack of Education	X
				Reassessment due	4-10-12	7. Poor Employment History	
						8. Leisure/Recreation	
<b>Special Conditions of Probation:</b> Mandatory Substance Treatment & Anger Management.			<b>Developmental Disabilities:</b> None		<b>Reasonable Accommodation:</b> Need Reading Glasses		
<p><b>Responsivity:</b> Jackson is intelligent, has employment skills (unemployed), but needs to work on his decision making skills, anger management, and substance abuse (methamphetamine and Alcohol.) Offender indicates that he socializes primarily with criminals. His strengths are that he has pro-social family members, girlfriend, and a few crime free friends. He has a stable residence with parents, and they are willing to support him while he undergoes treatment and attends school. He is a high school graduate and would like to go to college like his siblings and girlfriend. He appears eager and motivated to change and has a positive outlook.</p>							
<p><b>Community Functioning Needs:</b> Transportation is a critical Community Functioning Need. DPO will ask parents if they are willing to purchase a bus pass for the offender so that he will have transportation to the Probation Department, treatment programs and SF City College. He also needs "over the counter" reading glasses and DPO will inquire if parents are willing to also purchase this item too.</p>							
CRIMINOGENIC NEEDS	Anti-Social Values & Thinking	Build new and increase healthy coping skills	Increase Association with Pro-Social Healthy Friends	Substance Abuse	Lack of Education		
<b>GOALS</b>	Modify Criminal Thinking & Develop Positive Attitudes	Build new and increase healthy coping skills.	Increase association with Pro-Social Healthy Friends	Maintain Sobriety	Obtain 12 college units per semester.		
<b>TASKS 1 Carey Guide</b>	Anti-Social Thinking Tools 1-4	Emotional Regulations Tools 1-5	Anti-Social Peers Tools 1-2	Substance Abuse Tools 1-4	Your Guide to Success Tool 1-2		
<b>Activity</b>	Complete by 11-14-11	Complete by 12-5-11	Complete by 01-02-12	Complete by 10-31-11	Complete by 10-10-11		
<b>TASK 2 Carey Guide</b>	Problem Solving Tools 1-5	Anger Tools 1-4	Engaging Pro-Social Peers Tools 1-2	Meth Users Tools 1-5	Case Planning Tools 1-2		
<b>Activity</b>	Complete by 11-21-11	Complete by 12-19-11	Complete by 01-23-12	Complete by 11-7-11	Complete by 10-10-11		
<b>Task 3</b>	Enroll in "Thinking for Change" Program	Anger Management Program	Join in physical fitness program Circuit Weight	Obtain substance abuse treatment Assessment.	Meet with school counselor.		
<b>Activity</b>	Attend 1x per week for 6 weeks, as scheduled Complete by 01-31-12	Anger Management Program	Enroll Spring Semester 2012 @SFCC	Report to Walden House on 10-31-11	Report to SFCC to 11-15-11		
<b>Task 4</b>	Attend each Tuesday Group Session	Attend program as scheduled	Meet with Pro-Social Friends	Substance Abuse Treatment (OP)	General Education Class		
<b>Activity</b>	6pm-7:30pm		Arrange to meet H.S. Buddies at Starbuck Complete by 01-16-12	Attend Walden House Outpatient Program 1x per/mos.	Enroll in SFCC Spring 2012 and earn 12 college units.		
<b>Task 5</b>	Graduate from Program by 01-31-11	Graduate from Program by 06-20-12		Graduate from Program by 06-01-12			

# Case Management & Individual Treatment & Rehabilitation Plan Summary

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Date: \_\_\_\_\_

Offender

Date: \_\_\_\_\_

Deputy Probation Officer

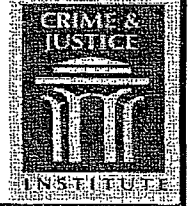
Date: \_\_\_\_\_

Supervising Deputy Probation Officer

DATA



# Implementing Evidence-Based Practice in Community Corrections: The Principles of Effective Intervention



*Project Vision:* To build learning organizations that reduce recidivism through systemic integration of evidence-based principles in collaboration with community and justice partners.

## Introduction and Background

Until recently, community corrections has suffered from a lack of research that identified proven methods of reducing offender recidivism. Recent research efforts based on meta-analysis (the syntheses of data from many research studies) (McGuire, 2002; Sherman et al, 1998), cost-benefit analysis (Aos, 1998) and specific clinical trials (Henggeler et al, 1997; Meyers et al, 2002) have broken through this barrier though and are now providing the field with indications of how to better reduce recidivism.

This research indicates that certain programs and intervention

strategies, when applied to a variety of offender populations, reliably produce sustained reductions in recidivism. This same research literature suggests that few community supervision agencies (probation, parole, residential community corrections) in the U.S. are using these effective interventions and their related concepts/principles.

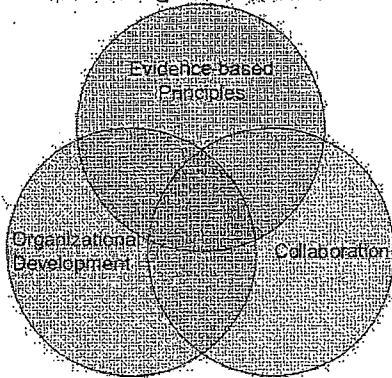
The conventional approach to supervision in this country emphasizes individual accountability from offenders and their supervising officers without consistently providing either with the skills, tools, and resources that science

indicates are necessary to accomplish risk and recidivism reduction. Despite the evidence that indicates otherwise, officers continue to be trained and expected to meet minimal contact standards which stress rates of contacts and largely ignore the opportunities these contacts have for effectively reinforcing behavioral change. Officers and offenders are not so much clearly directed what to do, as what not to do.

An integrated and strategic model for evidence-based practice is necessary to adequately bridge the gap between current practice and evidence supported practice in community corrections. This model must incorporate both existing research findings and operational methods of implementation. The biggest challenge in adopting better interventions isn't identifying the interventions with the best evidence, so much as it is changing our existing systems to appropriately support the new innovations. Identifying interventions with good research support and realigning the necessary organizational infrastructure are both fundamental to evidence-based practice.

*Specificity regarding the desired outcomes is essential to achieving system improvement.* -Harris, 1986; O'Leary & Clear, 1997

### An Integrated Model



**Scientific learning  
is impossible  
without evidence.**

## Evidence-Based Practice (EBP)

Evidence-based practice is a significant trend throughout all human services that emphasize outcomes. Interventions within community corrections are considered effective when they reduce offender risk and subsequent recidivism and therefore make a positive long-term contribution to public safety.

This document presents a model or framework based on a set of principles for effective offender interventions within state, local, or private community corrections systems. Models provide us with tangible reference points as we face unfamiliar tasks and experiences. Some models are very abstract, for example entailing only a set of testable propositions or principles. Other models,

conversely, may be quite concrete and detail oriented.

The field of community corrections is beginning to recognize its need, not only for more effective interventions, but for models that integrate seemingly disparate *best practices* (Bogue 2002; Carey 2002; Corbett et al. 1999; Gornik 2001; Lipton et al. 2000; Taxman and Byrne 2001).

As a part of their present strategy for facilitating greater transfer of effective interventions, the National Institute of Correction (NIC), Community Corrections Division has entered into a collaborative

*(Continued on pg 2)*

## Evidence-Based Practice (EBP) (con't.)

(Continued from pg 1)

effort with the Crime and Justice Institute to develop conceptual and operational models for evidence-based practice in state corrections systems. This current initiative will generate learning models that will enable effective corrections interventions (pretrial, jail, probation, parole, private/public, etc.) across varying local communities. Given the scope and variety of possible applications in this project, these initial models for integrating principles of effective interventions, organizational change, and collaboration have been deliberately developed as more abstract and general conceptualizations.

*Community corrections will only develop into a "science" as it increases its commitment to measurable outcomes.*

There are eight (8) Principles for Effective Offender Interventions that are integral to this project's learning models. The organization or system that is most successful in initiating and maintaining offender interventions and supervision practices consistent with these principles will likely realize the greatest net improvements in public safety impact.

This model recognizes that simply expounding on the scientific principles is not sufficient to guide the necessary ongoing political and organizational change to support these principles in a meaningful fashion. Separate, related strategies in external stakeholder collaboration and internal organizational development are both necessary and addressed elsewhere in this project's Evidence-Based Practice model.

### Clarifying Terms:

The terms *best practices*, *what works*, and *evidence-based practice* (EBP) are often used interchangeably.

While these *buzz words* refer to similar notions, pointing out the subtle distinctions between them helps to clarify the distinct meaning of *evidence-based practices*.

For example, *best practices* do not necessarily imply attention to outcomes, evidence, or measurable standards. Best practices are often based on the collective experience and wisdom of the field, and may be based on insufficient or inconclusive evidence; this type of tenet represents *received* rather than scientifically tested knowledge.

*What works* implies linkage to general outcomes, but does not specify the kind of outcomes desired (e.g. just deserts, deterrence, organizational efficiency, rehabilitation, etc.). Specificity regarding the desired outcomes is essential to achieving system improvement (Harris 1986; O'Leary and Clear 1997).

In contrast, *evidence-based practice* implies that 1) one outcome is desired over others; 2) it is measurable; and 3) it is defined according to practical realities (i.e. public safety) rather than immeasurable moral or value-oriented standards. Thus, while these three terms are often used interchangeably, EBP is more appropriate for scientific exploration within human service disciplines (Ratcliffe et al, 2000; Tilley & Laycock, 2001; AMA, 1992; Springer et al, 2003; McDonald, 2003). Throughout the remaining document, EBP in community corrections and the scientific principles associated with it will be referenced to the outcome of improved reductions in recidivism.

*Any agency interested in understanding and improving outcomes, must reckon with managing the operation as a set of highly interdependent systems.*

**(See Appendix A.)**

*Two fundamentally different approaches are necessary for such an alteration in priorities.*

**(See Appendix B.)**

The current research on offender rehabilitation and behavioral change is now sufficient to enable corrections to make meaningful inferences regarding what works in our field to reduce recidivism and improve public safety. Based upon previous compilations of research findings and recommendations (Burrell, 2000; Carey, 2002; Currie, 1998; Corbett et al, 1999; Elliott et al, 2001; McGuire, 2002; Latessa et al, 2002; Sherman et al, 1998; Taxman & Byrne, 2001), there now exists a coherent framework of guiding principles. These principles are interdependent and each is supported by existing research. (see Appendix A)

## Evidence-Based Practice (EBP) (con't.)

The following framework of principles is described in developmental order. None of the principles operate in a vacuum though; they are all highly interdependent. For example, offenders must be assessed for risk before they are assessed for need. This allows agencies to target resources on high-risk offenders and avoid the pitfalls of expending large amount of resources on low-risk / high-need offenders. The guiding logic here is based on understanding that certain developmental steps must precede others, whether building a good client supervision relationship, a learning organization, or a system that deliberately improves public safety through risk and recidivism reduction.

(see Appendix B)

### Eight Evidence-Based Principles for Effective Interventions

1. Assess Actuarial Risk/Needs.
2. Enhance Intrinsic Motivation.
3. Target Interventions.
  - a. *Risk Principle*: Prioritize supervision and treatment resources for higher risk offenders.
  - b. *Need Principle*: Target interventions to criminogenic needs.
  - c. *Responsivity Principle*: Be responsive to temperament, learning style, motivation, culture, and gender when assigning programs.
  - d. *Dosage*: Structure 40-70% of high-risk offenders' time for 3-9 months.
4. Skill Train with Directed Practice (use Cognitive Behavioral treatment methods).
5. Increase Positive Reinforcement.
6. Engage Ongoing Support in Natural Communities.
7. Measure Relevant Processes/Practices.
8. Provide Measurement Feedback.

#### 1) Assess Actuarial Risk/Needs.

Develop and maintain a complete system of ongoing offender risk screening / triage and needs assessments. Sizing-up offenders in a reliable and valid manner is a prerequisite for the effective management (supervision and treatment) of offenders. Numerous principles of *best practice* in corrections (e.g., Risk, Need, and Responsivity) are contingent on obtaining timely, relevant measures of offender risk and need at the individual and population levels. Offender assessments are most reliable and valid when staff are formally trained to administer tools. Screening and assessment tools that focus on dynamic and static risk factors, profile criminogenic needs, and have been validated on similar populations are preferred. They should also be supported by sufficiently detailed and accurate policy and procedures.

Offender assessment is as much an ongoing function as it is a formal event. Case information that is gathered informally through routine interactions and observations with offenders is just as important as formal assessment guided by instruments. Formal and informal offender assessments should reinforce one another. They should combine to enhance formal reassessments, case decisions, and working relations between practitioners and offenders throughout the jurisdiction of supervision.

(Andrews, et al, 1990; Andrews & Bonta, 1998; Gendreau, et al, 1996; Kropp, et al, 1995; Meehl, 1995; Clements, 1996)

## Eight Principles for Evidence-Based Practice (EBP) in Community Corrections (con't.)

### 2) Enhance Intrinsic Motivation.

Staff should relate to offenders in interpersonally sensitive and constructive ways to enhance intrinsic motivation in offenders. Behavioral change is quite often an *inside job*; for lasting change to occur, there needs to be a level of intrinsic motivation. Motivation to change is dynamic and the probability that change may occur is strongly influenced by interpersonal interactions. Feelings of ambivalence that usually accompany change can be explored through motivational interviewing-based communication to enhance intrinsic motivation. When the offender begins to present arguments for change, research strongly suggests that motivational interviewing techniques, rather than persuasion tactics, more effectively enhance motivation for initiating and maintaining change behavior.

(Miller & Rollnick, 2002; Miller & Mount, 2001; Harper & Hardy, 2000; Ginsburg, et al, 2002; Ryan & Deci, 2000)

### 3) Target Interventions.

- A. RISK PRINCIPLE: Prioritize supervision and treatment resources for higher risk offenders.
- B. NEED PRINCIPLE: Target interventions to criminogenic needs.
- C. RESPONSIVITY PRINCIPLE: Be responsive to temperament, learning style, motivation, gender, and culture when assigning to programs.
- D. DOSAGE: Structure 40-70% of high-risk offenders' time for 3-9 months.
- E. TREATMENT PRINCIPLE: Integrate treatment into the full sentence/sanction requirements.

.....

#### a) Risk Principle

Prioritize primary supervision and treatment resources for offenders who are at higher risk to re-offend. Shifting program and personnel resources to focus more on higher risk offenders promotes harm-reduction and public safety in several ways. First, higher risk offenders have a greater need for pro-social skills and thinking and consequently, are more apt to demonstrate significant improvements through related interventions. Second, offenders that are frequently involved in criminal behavior (high base-rate offenders) are found in greater prevalence in higher- rather than lower-risk offender populations. In terms of public safety, there is a much larger *bang-for-the-buck* when high base-rate offenders reduce or end their criminality. Finally, supervision and treatment resources that are focused on lower-risk offenders tend to produce little if any net positive effect on recidivism rates.

High-risk offenders generally present multiple criminogenic areas (e.g., dysfunctional family relations, anti-social peers, substance abuse, low self-control, and anti-social values and attitudes) needing to be addressed at significant levels. Successfully addressing this population's issues requires placing these types of offenders on smaller caseloads, applying well developed case plans, and placing offenders into sufficiently intense cognitive-behavioral interventions that target their specific criminogenic needs.

(Gendreau, 1997; Andrews & Bonta, 1998; Harland, 1996; Sherman, et al, 1998; McGuire, 2001, 2002)

#### b) Criminogenic Need Principle

Address offenders' greatest criminogenic needs. Offenders have a variety of needs, some of which are directly linked to criminal behavior. These criminogenic needs are dynamic risk factors that, when addressed or changed, affect the offender's risk for recidivism. Examples of criminogenic needs are: criminal personality; antisocial attitudes, values, and beliefs; low self control; criminal peers; substance abuse; and dysfunctional family. Based on an assessment of the offender, these criminogenic needs can be prioritized so that services are focused on the greatest criminogenic needs.

(Andrews & Bonta, 1998; Lipton, et al, 2000; Elliott, 2001; Harland, 1996)

(Continued on pg 5)

## Eight Principles for Evidence-Based Practice (EBP) in Community Corrections (con't.)

*(Continued from pg 4)*

### c) Responsivity Principle

Responsivity requires that we consider individual characteristics when matching offenders to services. These characteristics include, but are not limited to: culture, gender, motivational stages, developmental stages, and learning styles. These factors influence an offender's responsiveness to different types of treatment.

The principle of responsivity also requires that offenders are provided with treatment that is proven effective with the offender population. Certain treatment strategies, such as cognitive-behavioral methodologies, have consistently produced reductions in recidivism with offenders under rigorous research conditions.

Providing appropriate responsivity to offenders involves selecting services in accordance with these factors, including:

- a) Matching treatment type to offender;
- b) Matching treatment provider to offender; and
- c) Matching style and methods of communication with offender's stage of change readiness.

(Guerra, 1995; Miller & Rollnick, 1991; Gordon, 1970; Williams, et al, 1995)

### d) Dosage

Occupy 40%-70% of these offenders' free time in the community over a three to nine month period. During this initial phase, higher risk offenders' free time should be clearly occupied with delineated routine and appropriate services, (e.g., outpatient treatment, employment assistance, education, etc.) Providing appropriate doses of services, pro-social structure, and supervision is a strategic application of resources. Higher risk offenders require significantly more initial structure and services than lower risk offenders. Certain offender subpopulations (e.g., severely mentally ill, chronic dual diagnosed, etc.) commonly require strategic, extensive, and extended services. However, too often individuals within these subpopulations are neither explicitly identified nor provided a coordinated package of supervision/services. The evidence indicates that incomplete or uncoordinated approaches can have negative effects, often wasting resources.

(Palmer, 1995; Gendreau & Goggin, 1995; Steadman, 1995; Silverman, et al, 2000)

### e) Treatment Principle

Integrate treatment into sentence/sanction requirements through assertive case management (taking a proactive and strategic approach to supervision and case planning). Treatment, particularly cognitive-behavioral types, should be applied as an integral part of the sentence/sanction process. Delivering targeted and timely treatment interventions will provide the greatest long-term benefit to the community, the victim, and the offenders. This does not necessarily apply to lower risk offenders, who should be diverted from the criminal justice and corrections systems whenever possible.

(Palmer, 1995; Clear, 1981; Taxman & Byrne, 2001; Currie, 1998; Petersilia, 1997, 2002, Andrews & Bonta, 1998)

### 4) Skill Train with Directed Practice (using cognitive-behavioral treatment methods).

Provide evidence-based programming that emphasizes cognitive-behavioral strategies and is delivered by well trained staff. To successfully deliver this treatment to offenders, staff must understand antisocial thinking, social learning, and appropriate communication techniques. Skills are not just taught to the offender, but are practiced or role-played and the resulting pro-social attitudes and behaviors are positively reinforced by staff. Correctional agencies should prioritize, plan, and budget to implement predominantly programs that have been scientifically proven to reduce recidivism.

(Mihalic, et al, 2001; Satchel, 2001; Miller & Rollnick, 2002; Lipton, et al, 2000; Lipsey, 1993; McGuire, 2001, 2002; Aos, 2002)

## **Eight Principles for Evidence-Based Practice (EBP) in Community Corrections (con't.)**

### **5) Increase Positive Reinforcement.**

When learning new skills and making behavioral changes, human beings appear to respond better and maintain learned behaviors for longer periods of time, when approached with *carrots* rather than *sticks*. Behaviorists recommend applying a much higher ratio of positive reinforcements to negative reinforcements in order to better achieve sustained behavioral change. Research indicates that a ratio of *four positive to every one negative* reinforcement is optimal for promoting behavior changes. These rewards do not have to be applied consistently to be effective (as negative reinforcement does) but can be applied randomly.

Increasing positive reinforcement should not be done at the expense of or undermine administering swift, certain, and real responses for negative and unacceptable behavior. Offenders having problems with responsible self-regulation generally respond positively to reasonable and reliable additional structure and boundaries. Offenders may initially overreact to new demands for accountability, seek to evade detection or consequences, and fail to recognize any personal responsibility. However, with exposure to clear rules that are consistently (and swiftly) enforced with appropriate and graduated consequences, offenders and people in general, will tend to comply in the direction of the most rewards and least punishments. This type of extrinsic motivation can often be useful for beginning the process of behavior change.

(Gendreau & Goggin, 1995; Meyers & Smith, 1995; Higgins & Silverman, 1999; Azrin, 1980; Bandura et al, 1963; Bandura, 1996)

### **6) Engage On-going Support in Natural Communities.**

Realign and actively engage pro-social supports for offenders in their communities. Research indicates that many successful interventions with extreme populations (e.g., inner city substance abusers, homeless, dual diagnosed) actively recruit and use family members, spouses, and supportive others in the offender's immediate environment to positively reinforce desired new behaviors. This Community Reinforcement Approach (CRA) has been found effective for a variety of behaviors (e.g., unemployment, alcoholism, substance abuse, and marital conflicts). In addition, relatively recent research now indicates the efficacy of twelve step programs, religious activities, and restorative justice initiatives that are geared towards improving bonds and ties to pro-social community members.

(Azrin, & Besalel, 1980; Emrick et al, 1993; Higgins & Silverman, 1999; Meyers & Smith, 1997; Wallace, 1989; Project MATCH Research Group, 1997; Bonta et al, 2002; O'Connor & Perryclear, 2003; Ricks, 1974; Clear & Sumter, 2003; Meyers et al, 2002)

### **7) Measure Relevant Processes/Practices.**

Accurate and detailed documentation of case information, along with a formal and valid mechanism for measuring outcomes, is the foundation of evidence-based practice. Agencies must routinely assess offender change in cognitive and skill development, and evaluate offender recidivism, if services are to remain effective.

In addition to routinely measuring and documenting offender change, staff performance should also be regularly assessed. Staff that are periodically evaluated for performance achieve greater fidelity to program design, service delivery principles, and outcomes. Staff whose performance is not consistently monitored, measured, and subsequently reinforced work less cohesively, more frequently at cross-purposes and provide less support to the agency mission.

(Henggeler et al, 1997; Milhalic & Irwin, 2003; Miller, 1988; Meyers et al, 1995; Azrin, 1982; Meyers, 2002; Hanson & Harris, 1998; Waltz et al, 1993; Hogue et al, 1998; Miller & Mount, 2001; Gendreau et al, 1996; Dilulio, 1993)



## **Eight Principles for Evidence-Based Practice (EBP) in Community Corrections (con't.)**

### **8) Provide Measurement Feedback.**

An overarching quality assurance system is necessary to monitor delivery of services and maintain and enhance fidelity and integrity. Providing feedback builds accountability and is associated with enhanced motivation for change, lower treatment attrition, and greater outcomes (e.g., reduced drink/drug days; treatment engagement; goal achievement).

(Miller, 1988; Project Match Research Group, 1997; Agostinelli et al, 1995; Alvero et al, 2001; Baer et al, 1992; Decker, 1983; Luderman, 1991; Miller, 1995; Zemke, 2001; Elliott, 1980)

*Initial assessment followed by motivational enhancement will help staff to prepare for the significant changes ahead.*  
**(See Appendix C.)**

*At an organizational level, gaining appreciation for outcome measurement begins with establishing relevant performance measurement*  
**(See Appendix D.)**

*Too often programs or practices are promoted as having research support without any regard for either the quality or the research methods that were employed.*  
**(See Appendix E.)**

### **Conclusion**

Aligning principles and core components of an agency is a consummate challenge and will largely determine the impact the agency has on sustained reductions in recidivism. In order to accomplish this shift to an outcome orientation, practitioners must be prepared to dedicate themselves to a mission that focuses on achieving sustained reductions in recidivism. By themselves, the scientific principles presented in this document are unlikely to produce a mandate for redirecting and rebuilding an agency's mission - leadership in organizational change and collaboration for systemic change will both also be necessary.

The framework of principles and the developmental model they comprise can and should be operationalized at the three critical levels of: 1) the individual case; 2) the agency; and 3) the system. At each of these levels thorough, comprehensive and strategic planning will be necessary in order to succeed. Identifying, prioritizing, and formulating well-timed plans for addressing such particular issues are tasks requiring system collaboration and a focus on organizational development.

A final caveat here is a caution about implementation; the devil's in the details. Though the track record for program implementation in corrections may not be especially stellar, there is helpful literature regarding implementation principles. Prior to embarking on any implementation or strategic planning project, a succinct review of this literature is recommended (Mihalic & Irwin, 2003; Ellickson et al, 1983; Durlak, 1998; Gendreau et al, 1999; Gottfredson et al, 2000; Henggeler et al, 1997; Harris & Smith, 1996).

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Supporting the effective management and operation of the nation's community corrections agencies

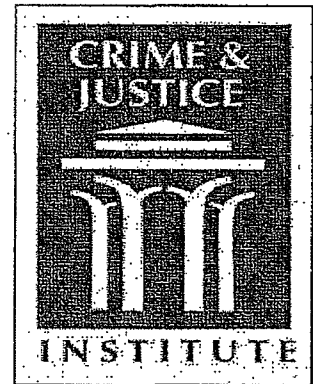
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Creative, collaborative approaches to complex social issues

*Special recognition and deepest thanks go to the following project team members who contributed to these documents:*

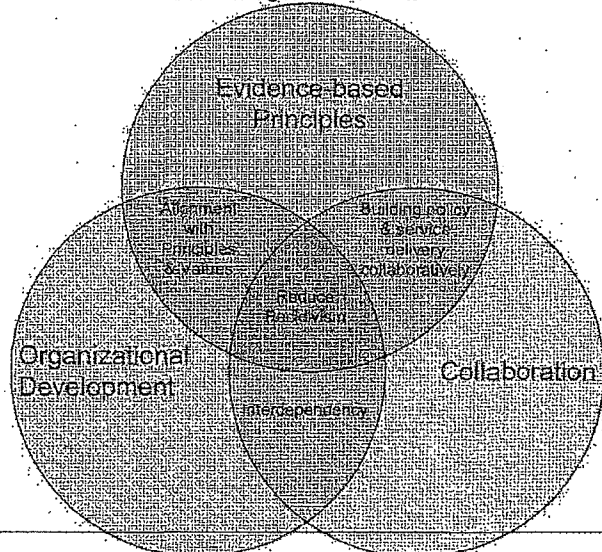
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*The project team is committed to enhancing community corrections systems to better reduce recidivism using research-supported principles.*

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**Implementing Effective Correctional Management of Offenders in the Community: An Integrated Model**



## Appendix A: Components of Correctional Interventions

One way to deconstruct a community corrections treatment program for planning or evaluation purposes is to consider the separate aspects of the program experienced by an offender that might affect their outcome or potential for behavioral change. Researchers and practitioners both are quick to recognize a number of common elements in all programs that have some potential impact on outcomes such as recidivism:

- ⇒ **(The Skills of Staff)**—a wide array of ongoing interpersonal relations specifically pertaining to the communication skills and interactions exercised between staff and offenders;
- ⇒ **(Decisions on Program Assignment)**—continuous programmatic decisions that match offenders to varying levels and types of supervision conditions;
- ⇒ **(Programming)** – services, i.e. both treatment and monitoring interventions;
- ⇒ **(Sanctions)**—determinations of accountability for assigned obligations and accompanying compliance consequences, i.e., both positive and negative reinforcements;
- ⇒ **(Community Linkages)**—formal and informal interfaces with various community organizations and groups;
- ⇒ **(Case Management)**—a case management system that relegates individual case objectives and expectations within a prescribed set of policies and procedures; and
- ⇒ **(Organization)**—internal (operational) and external (policy environment) organizational structures, management techniques, and culture.

Each of these factors can be construed as separate processes that interact with each other continuously in any community corrections setting (e.g., probation, parole, outpatient treatment, residential, etc.). Depending on how well the processes are aligned and managed, they can either enhance or diminish successful outcomes. It is also quite possible that these different processes could compliment oracerbate other components. An agency, for example, might provide an excellent cognitive skill-building curriculum that has good research support but is delivered by staff with relatively limited clinical skills. Conversely, an agency might be structured so that there is no differentiation of services (one size fits all) and the programming has limited or negligible research support, but staff's overall skills are excellent. A broad interpretation of the existing research suggests that each of the above seven factors have their own independent effect on successful outcomes.

Any agency interested in understanding and improving outcomes, must reckon with managing the operation as a set of highly interdependent systems. An agency's ability to become progressively more accountable through the utilization of reliable internal (e.g., information) controls is integral to EBP. This approach is based on established business management practices for measuring performance objectives and assuring greater accountability for specified outcomes. Providing routine and accurate performance feedback to staff is associated with improved productivity, profit, and other outcomes.

## Appendix B: Implementing the Principles of Evidence-Based Practice

Implementing the principles of Evidence-Based Practice in Community Corrections is a tremendous challenge requiring strong leadership and commitment. Such an undertaking involves more than simply implementing a research recommended program or two. Minimally, EBP involves:

- a) developing staff knowledge, skills, and attitudes congruent with current research-supported practice (principles #1-8);
- b) implementing offender programming consistent with research recommendations (#2-6);
- c) sufficiently monitoring staff and offender programming to identify discrepancies or fidelity issues (#7);
- d) routinely obtaining verifiable outcome evidence (#8) associated with staff performance and offender programming.

Implementing the a-d functions above is tantamount to revolutionizing most community corrections organizations. Nevertheless, many agencies are taking on this challenge and have begun to increase their focus on outcomes and shift their priorities. Two fundamentally different approaches are necessary for such an alteration in priorities. One brings insights gleaned from external research evidence to bear on internal organizational practices. The other increases organizational capacity to internally measure performance and outcomes for current practice. When these two interdependent strategies are employed, an agency acquires the ability to understand what's necessary and practicable to improve its outcomes. The following describes how these approaches support EBP in slightly different ways.

### Outside (Evidence) — In Approach

*Adopting research-supported program models fosters an outcome orientation and minimizes the syndrome of 'reinventing-the-wheel'. Insights, practices, and intervention strategies gleaned from external research can significantly improve the efficacy any program has if implemented with appropriate fidelity.*

One approach to EBP is to pay strict attention to the external research and carefully introduce those programs or interventions that are supported by the best research evidence. There are a growing number of examples of internal promotion of external evidence-based programs. The Blueprint Project, conducted by the Center for the Study and Prevention of Violence used independent outside research to promote the implementation of good juvenile programs.

The National Institute of Justice commissioned research investigators to conduct similar reviews of both adult and juvenile offender programming, recommending programs according to the caliber of the research support (Sherman et al, 1998). The Washington State Institute for Public Policy regularly conducts and publishes similar reviews for adult and juvenile offender programming implemented in Washington (Aos, 1998).

What these strategies have in common is the promotion of research-supported external program models within internal implementation and operations. These are *outside-in* applications striving to replicate proven models with fidelity. This approach is limited by the fact that environmental, cultural, and operational features vary between organizations and often have significant effect on program efficacy (Kibel 1998; Palmer 1995). Thus, the second *inside-out* approach to evidence-based practice attends to these internal factors.

#### The Blueprint Project

The Blueprint Project, conducted by the Center for the Study and Prevention of Violence (CSPV), examined literature on over 500 different program interventions with at-risk or delinquent youth. Ten programs met CSPV's strict criteria for scientific support. These were labeled *Blueprint* programs, while programs that partially met the criteria were designated *Promising* (Mihalic et al. 2001).

CSPV documented the operational details of these programs and distributed the descriptions to practitioners, emphasizing the importance of maintaining fidelity to the program models.

Thus, programs that were scientifically determined to produce systematic and significant results were identified and promoted through a central clearing-house.

## Appendix B: Implementing the Principles of Evidence-Based Practice (con't.)

### *Inside (Evidence) — Out Approach*

*Developing and maintaining ongoing internal controls, particularly information controls related to key service components (e.g., treatment dosage, treatment adherence measures, etc.) ensures greater operational ability to effect outcomes.*

The program evaluation, performance, and audit research literature emphasizes that insufficient information controls not only hamper program assessment, but impede program performance (Mee-Lee et al, 1996; Burrell, 1998; Lipton et al, 2000; Dilulio, 1993). Such internal control issues appear not only in program evaluation research, but also in organizational development, business, and systems analysis.

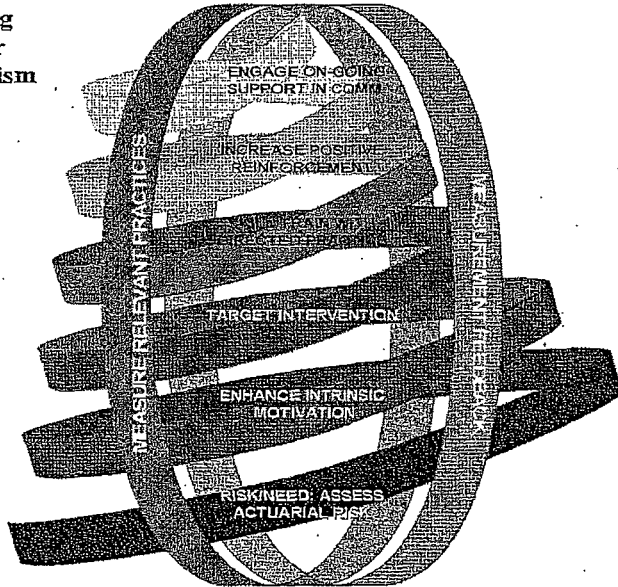
Internal controls provide information and mechanisms for ensuring that an agency will accomplish its mission (i.e., recidivism reduction). Agencies with *custodial* corrections orientations that emphasize *just-deserts* applications rarely utilize the same level of sophisticated information controls required by outcome-oriented corrections (Burrell 1998; Dilulio 1993; Justice 1996; Lipton et al. 2000). Therefore, developing new methods for gathering operational information and then sharing and learning from it is a large part of the transition from *custodial* to outcome orientation in corrections.

Information controls necessary for implementing new or *best* practices specifically focus on key components within the desired practices. They include an ongoing process of identifying, measuring, and reporting key operational processes and functions:

⇒ <b>Offender measures:</b>  -Risk Levels  -Criminogenic Needs  -Motivation	⇒ <b>Operational measures:</b>  -Program Availability  -Program Integrity  -Program Quality Assurance Norms	⇒ <b>Staff measures:</b>  -Interpersonal skills  -Abilities to discern anti-social thinking and behavior  -Attitudes and beliefs regarding interventions
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## Appendix C: Applying the Principles at the Case, Agency and System Levels

**Eight Guiding Principles for Risk/Recidivism Reduction**



### The Eight Principles as a Guiding Framework

The eight principles (*see left*) are organized in a developmental sequence and can be applied at three fundamentally different levels:

- 1) the individual case;
- 2) the agency; and
- 3) the system.

Given the logic of each different principle, an overarching logic can be inferred which suggests a sequence for operationalizing the full eight principles.

#### Case Level

At the case level, the logical implication is that one must assess (principle #1) prior to triage or targeting intervention (#3), and that it is beneficial to begin building offender motivation (#2) prior to engaging these offenders in skill building activities (#4). Similarly, positively reinforcing new skills (#5) has more relevancy after the skills have been introduced and trained (#4) and at least partially in advance of the offender's realignment with pro-social groups and friends (#6). The seventh (measure relevant practices) and eighth (provide feedback) principles need to follow the activities described throughout all the preceding principles. Assessing an offender's readiness to change as well as ability to use newly acquired skills is possible anywhere along the case management continuum. These last two principles can and should be applicable after any of the earlier principles but they also can be considered cumulative and provide feedback on the entire case management process.

#### Agency Level

The principles, when applied at the agency level, assist with more closely aligning staff behavior and agency operations with EBP. Initial assessment followed by motivational enhancement will help staff to prepare for the significant changes ahead. Agency priorities must be clarified and new protocols established and trained. Increasing positive rewards for staff who demonstrate new skills and proficiency is straightforward and an accepted standard in many organizations. The sixth principle regarding providing ongoing support in natural communities can be related to teamwork within the agency as well as with external agency stakeholders. The seventh and eighth principles are primarily about developing quality assurance systems, both to provide outcome data within the agency, but also to provide data to assist with marketing the agency to external stakeholders.

#### System Level

The application of the Framework Principles at the system level is fundamentally no different than the agency level in terms of sequence and recommended order though it is both the most critical and challenging level. Funding, for most systems, channels through state and local agencies having either population jurisdiction or oversight responsibilities. Demonstrating the value of EBP and effective interventions is most crucial at this level, in order to effectively engage the debate for wiser future funding. However, as the scope and complexity increases with a system-wide application of these principles, the difficulties and challenges increase for communication, accountability, and sustaining morale. Therefore, in addition to adherence to a coherent strategy for EBP, development of implementation plans is warranted. Another distinction in applying the principles at the system level is the need for greater abstraction and policy integration. The principles for EBP must be understood and supported by policy makers so that appropriate policy development coincides effectively with implementation. Once a system decisively directs its mission towards an outcome such as sustained reductions in recidivism, it becomes incumbent on the system to deliberately rely upon scientific methods and principles.

## Appendix D: Seven Recommended Guidelines for Implementing Effective Interventions

### Seven Recommended Guidelines for Implementing Effective Interventions

- I. *Limit new projects to mission-related initiatives.*
- II. *Assess progress of implementation processes using quantifiable data.*
- III. *Acknowledge and accommodate professional over-rides with adequate accountability.*
- IV. *Focus on staff development, including awareness of research, skill development, and management of behavioral and organizational change processes, within the context of a complete training or human resource development program.*
- V. *Routinely measure staff practices (attitudes, knowledge, and skills) that are considered related to outcomes.*
- VI. *Provide staff timely, relevant, and accurate feedback regarding performance related to outcomes.*
- VII. *Utilize high levels of data-driven advocacy and brokerage to enable appropriate community services.*

These recommended guidelines for implementing effective interventions are based on recent preliminary implementation research as well as some of the collective experience and wisdom of the field. Therefore these guidelines are representative of *received* rather than scientifically tested knowledge.

#### ***I. Limit new projects to mission-related initiatives.***

Clear identification and focus upon mission is critical within business and the best-run human service agencies. When *mission scope creep* occurs, it is detrimental to efficient processes, morale, and outcomes.

(Osborne & Garber, 1992; Senge, 1994; Harris & Smith, 1996; Currie, 1998; Lipsey, 2003; Moore, 2000; Ellickson et al, 1983)

#### ***II. Assess progress of implementation processes using quantifiable data.***

Monitoring system implementations for current, valid information regarding progress, obstacles, and direction changes is pivotal to project success. These monitoring systems can not always be designed in advance but implementation plans should include provisions for obtaining this type of ongoing information.

(Harris & Smith, 1996; Burrell, 2000; Dilulio, 1993; Palmer, 1995; Mihalic & Irwin, 2003; Gottfredson et al, 2000)

## Appendix D: Seven Recommended Guidelines for Implementing Effective Interventions (con't.)

### III. Acknowledge and accommodate professional over-rides with adequate accountability.

No assessment tool, no matter how sophisticated, can (or should) replace a qualified practitioner's professional judgment. In certain instances, only human judgment can integrate and make the necessary subtle distinctions to adequately recognize and reinforce moral or behavioral progress. All professional over-rides need to be adequately documented, defensible, and made explicit.

(Burrell, 2000; Clear, 1981; Andrews, et al, 1990; Kropp, et al, 1995; Gendreau et al, 1999)

### IV. Focus on staff development, including awareness of research, skill development, and management of behavioral and organizational change processes, within the context of a complete training or human resource development program.

Staff need to develop reasonable familiarity with relevant research. Beginning in the 1990's there has been tremendous growth in the volume and quality of corrections related research. Much of the more recent research is directly relevant to everyday operational practice, therefore it is incumbent on professionals in the field to keep abreast of this literature. The current research literature includes *in-house* investigations, internet resources, and other public sector articles, as well as professional and academic journal publications. This literature is also evolving and becoming more international and inter-disciplinary in scope.

It is the responsibility of agency leadership to assist in the successful dissemination of recent research findings relevant to respective classes of job performers. Informed administrators, information officers, trainers, and other organizational *ambassadors* are necessary to facilitate this function in larger agencies or systems. Effective fulfillment of this principle is essential to promoting *Learning Organizations*.

(Latessa, et al, 2002; Elliott, 1980; Harland, 1996; Andrews, 1989; Miller & Rollnick, 2002; Gornik, 2002; Taxman & Byrne, 2001; Taxman, 2002; Baer, et al, 1999; Gendreau, *ibid*; Durlak, 1998)

### V. Routinely measure staff practices (attitudes, knowledge, and skills) that are considered related to outcomes.

Critical staff processes and practices should be routinely monitored in an accurate and objective manner to inform managers of the state of the operation. These measures occur at multiple levels (e.g., aggregate, for example: turnover and organizational cultural beliefs; and individual, for example: interviewing skills and ability to identify thinking errors) and should be organized accordingly and maintained in ongoing databases for the purposes of both supporting management and staff development.

(Gendreau, *ibid*; Henggeler et al, 1997; Miller & Mount, 2001)



## Appendix D: Seven Recommended Guidelines for Implementing Effective Interventions (con't.)

### VI. Provide staff timely, relevant, and accurate feedback regarding performance related to outcomes.

Programs and agencies that want to produce better outcomes will ultimately learn to pay closer and more attention to what is involved in generating their own outcomes. Initially, agencies have much to learn and incorporate into policy from the generic research literature in corrections. Ultimately however, in order to achieve deeper adaptations and organizational support of effective practices, immediate, objective, and internal measures of the respective agency will be routinely required.

At an organizational level, gaining appreciation for outcome measurement begins with establishing relevant performance measures. Measuring performance implies a relationship between a given activity and a given output or outcome. These types of measures can be established at either the agency (aggregate) or individual job performer levels and there are several important issues related to establishing effective performance measures:

- 1) If a certain kind of performance is worth measuring, it's worth measuring right (with reliability and validity);
- 2) Any kind of staff or offender activity is worth measuring if it is reliably related to desirable outcomes;
- 3) If performance measures satisfy both the above conditions, these measures should be routinely generated and made available to staff and/or offenders, in the most user-friendly manner possible.

The primary ingredients of any correctional system or treatment program are staff and offenders. Therefore when a commitment emerges to develop greater focus on outcomes, it behooves management to learn how to better measure staff, offenders, and their related interactions. The latter is an evolutionary and ongoing process rather than change of operational components. Some examples of promising performance measures at the organizational level are: proportion of resource gaps at various treatment levels; degree of implementation and program fidelity; staff turnover; and organizational cultural norms. Examples of promising job performer level measures are: adequacy of communication (motivational interviewing) skills; consistency in certain functions (e.g., assessment, case planning, treatment referrals); and caseload average *gain* scores for offender dynamic risk indicators.

(Burrell, 1998; Lipton, et al, 2000; Carey, 2002; O'Leary & Clear, 1997; Bogue, 2002; Maple, 2000; Henggeler, *ibid*; Miller, *ibid*)

### VII. Utilize high levels of data-driven advocacy and brokerage to enable appropriate community services.

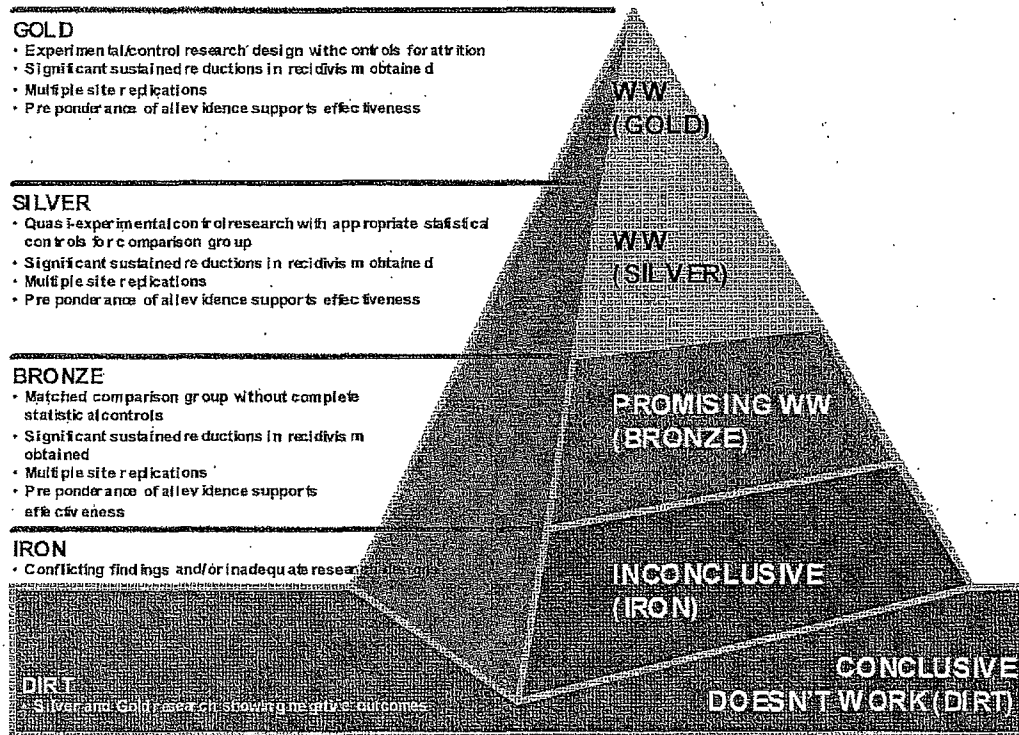
In terms of producing sustained reductions in recidivism, the research indicates that the treatment service network and infrastructure is the most valuable resource that criminal justice agencies can access. Collaborating and providing research and quality assurance support to local service providers enhances interagency understanding, service credibility, and longer-term planning efforts. It also contributes to the stability and expansion of treatment services.

(Corbette, et al, 1999; Gendreau & Goggin, 1995; Gendreau, et al, 1993; Gornik, 2002; Meyers & Smith, 1995; Bogue, 2002; Maple, 1999)

## Appendix E: Levels of Research Evidence

We have identified eight separate principles related to reduced recidivism outcomes in the research literature. Research does not support each of these principles with equal volume and quality, and even if it did, each principle would not necessarily have similar effects on outcomes. Too often programs or practices are promoted as having research support without any regard for either the quality or the research methods that were employed. Consequently, we have established a research support gradient (*see below*) indicating current research support for each principle. All of the eight principles for effective intervention fall between *WW (Gold)* and *Promising WW (Bronze)* in research support.

### RESEARCH SUPPORT GRADIENT



The five criteria listed above are similar to what has already been employed in a number of nationally recognized projects such as the Blueprints for Violence Prevention (Mihalic et al, 2001) and the National Institute of Justice's independent review of crime prevention programs (Sherman et al, 1998).

The highest quality research support depicted in this schema (gold level) reflects interventions and practices that have been evaluated with experimental/control design and with multiple site replications that concluded significant sustained reductions in recidivism were associated with the intervention. The criteria for the next levels of support progressively decrease in terms of research rigor requirements (silver and bronze) but all the top three levels require that a preponderance of all evidence supports effectiveness. The next rung lower in support (iron) is reserved for programs that have inconclusive support regarding their efficacy. Finally, the lowest level designation (dirt) is reserved for those programs that have research (utilizing methods and criteria associated with gold and silver levels) but the findings were negative and the programs were determined not effective.

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# GENDER-RESPONSIVE STRATEGIES

MAY 2005

FOR WOMEN OFFENDERS

## *A Summary of Research, Practice, and Guiding Principles for Women Offenders*

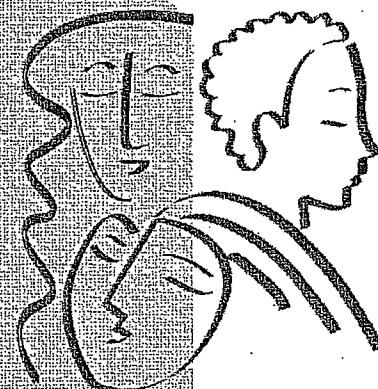
BY BARBARA BLOOM, BARBARA OWEN, AND STEPHANIE COVINGTON

### **The Gender-Responsive Strategies Project: Approach and Findings**

Women now represent a significant proportion of all offenders under criminal justice supervision in the United States. Numbering more than 1 million in 2001, women offenders make up 17 percent of all offenders under some form of correctional sanction.

To improve policy and practice regarding women offenders in corrections, the National Institute of Corrections undertook a 3-year project—titled *Gender-Responsive Strategies: Research, Practice, and Guiding Principles for Women Offenders*—to collect and summarize multidisciplinary research and practitioner expertise on gender-responsive strategies. The final report summarizes the following:

- The characteristics of women in correctional settings.
- The ways in which gender makes a difference in current criminal justice practice.
- Multidisciplinary research and theory on women's lives that have significant implications for managing women in the criminal justice system.



#### **FROM THE DIRECTOR**

This is the first in a series of bulletins to address the needs of women offenders with regard to gender-specific policies, programs, and services. Like their pathways to crime, the challenges faced by women offenders differ from their male counterparts. Many women entering the criminal justice system are victims of domestic and sexual violence, suffer from psychological trauma, are substance abusers, are unmarried mothers of children under the age of 18, or a combination thereof.

Being responsive in the criminal justice system requires the acknowledgment of the realities of women's lives, including the pathways they travel to criminal offending and the relationships that shape their lives. Moreover, for women offenders to successfully navigate the criminal justice system and remain free citizens in the community requires providing a continuity of services that meet their specific needs.

—Morris L. Thigpen, Sr.

*The National Institute of Corrections (NIC) is a center of correctional learning and experience. NIC advances and shapes effective correctional practice and public policy that respond to the needs of corrections through collaboration and leadership and by providing assistance, information, education, and training.*

- Guiding principles and strategies for improving the system's responses to women offenders.

This bulletin summarizes the major findings of the report<sup>1</sup> and offers guidance to those throughout the criminal justice system who seek a more effective way to respond to the behavior and circumstances of women offenders. Policymakers from legislative, executive, and judicial branches of government and agency administrators should find this summary particularly useful. All are encouraged to obtain the full report for a more complete analysis of gender-responsive research and practice.

### Approach

To construct a knowledge base that provides a foundation for gender-appropriate policy and practice, project staff reviewed multidisciplinary research literature in a broad range of areas, including health, family violence, substance abuse, mental health, trauma, employment, and education. This literature was analyzed to determine its application to gender responsiveness

in criminal justice practices (see sidebar "Defining Gender Responsiveness").

Additional data pertinent to managing women offenders within the criminal justice framework were collected through national focus groups and interviews with experts representing various criminal justice agencies. Project staff conducted more than 40 individual and group interviews with policymakers, managers, line staff, and women offenders in all phases of the criminal justice system throughout the country. Written documents that included official and technical reports concerning women offenders, policies and procedures, and existing academic research were then collected

and analyzed. Finally, the Practitioner Advisory Group, representing community corrections, jail, prison, and parole professionals, reviewed multiple drafts of these findings.

### Potential Benefits of Gender-Responsive Practice

Study findings indicate that paying attention to the differences in male and female pathways into criminality and their differential responses to custody and supervision can lead to better outcomes for both men and women offenders in institutional and community settings. Policies, programs, and procedures that reflect empirical, gender-based differences can—

### Defining Gender Responsiveness

Being gender responsive in the criminal justice system requires an acknowledgment of the realities of women's lives, including the pathways they travel to criminal offending and the relationships that shape their lives. To assist those who work with women in effectively and appropriately responding to this information, Bloom and Covington developed the following definition:

Gender-responsive means creating an environment through site selection, staff selection, program development, content, and material that reflects an understanding of the realities of women's lives and addresses the issues of the participants. Gender-responsive approaches are multidimensional and are based on theoretical perspectives that acknowledge women's pathways into the criminal justice system. These approaches address social (e.g., poverty, race, class, and gender inequality) and cultural factors, as well as therapeutic interventions. These interventions address issues such as abuse, violence, family relationships, substance abuse, and co-occurring disorders. They provide a strength-based approach to treatment and skill building. The emphasis is on self-efficacy.<sup>2</sup>

<sup>1</sup> Bloom, B., and Covington, S. (2000). Gendered justice: Programming for women in correctional settings. Paper presented to the American Society of Criminology, San Francisco, CA, p. 11.

- Make the management of women offenders more effective.
- Enable correctional facilities to be more suitably staffed and funded.
- Decrease staff turnover and sexual misconduct.
- Improve program and service delivery.
- Decrease the likelihood of litigation against the criminal justice system.
- Increase the gender appropriateness of services and programs.

## The Foundation for the Principles

To develop guiding principles and strategies, the gender-responsive strategies project reviewed and integrated the characteristics of women offenders, the key elements of criminal justice practice, and theories related to women's lives.

### *Characteristics of Women in the Criminal Justice System*

The significant increase in the number of women under criminal justice supervision has called attention to the status of women in the criminal justice system and to the particular circumstances they encounter. The increasing numbers have also made evident the lack of appropriate policies and procedures for managing women offenders. Women offenders typically have low incomes and are undereducated and unskilled. They have sporadic employment histories and are

### National Profile of Women Offenders

A national profile of women offenders reveals they are:

- Disproportionately women of color.
- in their early- to mid-thirties.
- Most likely to have been convicted of a drug-related offense.
- Individuals with fragmented family histories; other family members also may be involved with the criminal justice system.
- Survivors of physical and/or sexual abuse as children and adults.
- Individuals with significant substance abuse problems.
- Individuals with multiple physical and mental health problems.
- Unmarried mothers of minor children.
- Individuals with a high school degree or GED but with limited vocational training and sporadic work histories.

disproportionately women of color. They are less likely than men to have committed violent offenses and more likely to have been convicted of crimes involving drugs or property. Often, their property offenses are economically driven, motivated by poverty and by the abuse of alcohol and other drugs (see sidebar "National Profile of Women Offenders").

### *Women Offenders and Criminal Justice Practice*

Two key findings emerge from an examination of the state of criminal justice practice regarding women. First, because of the overwhelming number of male offenders, the issues relevant to women are often overshadowed. Second, criminal justice agencies often have difficulty applying to women offenders the policies and procedures that

have been designed largely for the male population. Most systems lack a written policy on the management and supervision of women offenders. Further, in focus groups, a number of managers reported resistance to modifying policies to reflect more appropriate and effective responses to the behaviors and characteristics of women under supervision.

Gender differences in behavior, life circumstances, and parental responsibilities have broad implications for almost every aspect of criminal justice practice. The differences between men and women involved with the criminal justice system have been documented in terms of the levels of violence and threats to community safety in their offense patterns, responsibilities for children and other family members, interactions with staff,



and relationships with other offenders while incarcerated or under community supervision.

Women are more vulnerable to staff misconduct and have different programming and service needs, especially in terms of physical and mental health, substance abuse, recovery from trauma, and economic/vocational skills. While all offenders must confront the problems of reentry into the community, many of the obstacles faced by women offenders are specifically related to their status as women. The majority of women in correctional institutions are mothers, and a major consideration for these women is reunification with their children.

The obstacles for these women are unique because their requirements for safe housing, economic support, medical services, and other needs must include the ability to take care of their children. These obstacles include system-level characteristics, such as the lack of programs and services designed and targeted for women, women's involvement with multiple human service agencies, and lack of community support for women in general.

In the full report, issues related to gender differences and their effects are described with regard to the following:

**Criminal justice processing:**

Gender differences have been found in all stages of criminal justice processing, including crime definition, reporting, and counting; types of crime; levels of harm;

arrest; bail; sentencing; community supervision; incarceration; and reentry into the community.<sup>2</sup> For example, women as a group commit crimes that are less violent than the crimes committed by their male counterparts. The Bureau of Justice Statistics reports that, according to victim accounts, only one of seven violent offenders is female. Drug offenses account for a greater proportion of the imprisonment of women than men, women have fewer acts of violence or major infractions in prison, and children play a more significant role in the lives of incarcerated women than those of men.

**Classification and assessment**

**procedures:** Most of the classification and assessment instruments in use today were developed and validated for male offenders. Because these instruments were based on the behaviors of a male offender population, they are often unable to accurately assess either the risks or the needs of women offenders and tend to overclassify women, placing them at higher levels of custody or supervision than necessary. Moreover, most instruments do not assess the specific needs of women that are tied to their pathways to offending, specifically the interconnected problems of substance abuse, trauma and victimization, mental illness, relationship difficulties, and low self efficacy.

**Women's services and programs:**

Substance abuse, family violence, and their struggle to support themselves and their children are the

main factors that drive women into crime. More often than their male counterparts, women need gender-specific services such as protection from abusive partners, childcare services, access to reliable transportation, and realistic employment opportunities that allow for self-support. In general, research shows an insufficient number of programs for women under any type of supervision that will help them prepare for career-oriented training and address issues common to women offenders such as sexual abuse, victimization through violence, and low self-esteem.

**Staffing and training:** In terms of staff training, standard training protocols often neglect or minimize information about woman offenders. There is a perception among correctional staff that women offenders are more difficult to work with than their male counterparts. Preparing staff to work with women offenders requires increased knowledge about women that will help staff members develop the constructive attitudes and the interpersonal skills necessary for working with women under correctional supervision.

**Staff sexual misconduct:** In the past decade, the problems of staff sexual misconduct have received significant attention from the media, the public, and many correctional systems. Most of the published work describes the problem in the institutional setting; however, the problem exists throughout the criminal justice system. Although

the more publicized pattern of misconduct appears to involve male staff with female inmates, it is important to note that female officers have also been involved in serious misconduct. Sexual harassment may retraumatize women with a history of abuse and diminish their ability to heal and engage in programming. Further, standard procedures in correctional settings (e.g., searches, restraints, and the use of isolation) can act as triggers to retraumatize women who have histories of abuse.

### ***Theoretical Perspectives Related to Women's Lives***

Gender-responsive principles and strategies are grounded in three intersecting perspectives: the pathways perspective, relational theory and female development, and trauma and addiction theories.

#### **The Pathways Perspective**

Research on women's pathways into crime indicates that gender has a significant role in shaping criminality. Women and men enter the criminal justice system via different pathways. Among women, the most common pathways to crime are based on survival of abuse and poverty and substance abuse. Recent research establishes that, because of their gender, females are at greater risk of experiencing sexual abuse, sexual assault, domestic violence, and single-parent status. For example, girls and young women often experience sexual abuse in their homes;

in adulthood, women experience abuse in their relationships with significant others. Pathways research has identified key issues in producing and sustaining female criminality, such as histories of personal abuse, mental illness tied to early life experiences, substance abuse and addiction, economic and social marginality, homelessness, and dysfunctional relationships.

#### **Relational Theory and Female Development**

Theories that focus on female development, such as the relational model, posit that the primary motivation for women throughout life is the establishment of a strong sense of connection with others. Relational theory developed from an increased understanding of gender differences and, specifically, of the different ways in which women and men develop psychologically. According to relational theory, females develop a sense of self and self-worth when their actions arise out of, and lead back into, connections with others. Therefore, connection, not separation, is the guiding principle of growth for girls and women.

The importance of understanding relational theory is reflected in the recurring themes of relationship and family in the lives of women offenders. Disconnection and violation rather than growth-fostering relationships characterize the childhood experiences of most women in the criminal justice system. Women are far more likely

than men to be motivated by relational concerns. For example, women offenders who cite drug abuse as self-medication often discuss personal relationships as the cause of their pain. The relational aspects of addiction are also evident in research indicating that women are more likely than men to turn to drugs in the context of relationships with drug-abusing partners to make themselves feel connected.

A relational context is critical to successfully address the reasons why women commit crimes, the motivations behind their behaviors, how they can change their behavior, and their reintegration into the community.

#### **Trauma and Addiction Theories**

Trauma and addiction are inter-related issues in the lives of women offenders. Although they are therapeutically linked, these issues historically have been treated separately. Trauma and addiction theories provide the integration and foundation for gender responsiveness in the criminal justice system. Trauma has been the focus of a number of studies, and various experts have written about the process of trauma recovery.<sup>3</sup> Because the traumatic syndromes have basic features in common, the recovery process also follows a common pathway. A generic definition of addiction as "the chronic neglect of self in favor of something or someone else" is helpful when working with women.<sup>4</sup> Some

women use substances to numb the pain experienced in destructive relationships.<sup>5</sup> Women who abuse substances are also vulnerable targets for violence.

## A New Vision: Guiding Principles for a Gender-Responsive Criminal Justice System

NIC's report on gender-responsive strategies documents the need for a new vision for the criminal justice system—one that recognizes the behavioral and social differences between men and women offenders that have specific implications for gender-responsive policy and practice.

### *Principles and Strategies*

Empirically based evidence drawn from a variety of disciplines and effective practice suggests that addressing the realities of women's lives through gender-responsive policy and programs is fundamental to improved outcomes at all criminal justice phases. The following guiding principles are designed to address concerns about the management, supervision, and treatment of women offenders in the criminal justice system. Together with the general strategies (see sidebar "General Strategies for Implementing Guiding Principles"), the guiding principles provide a blueprint for a gender-responsive approach to the development of criminal justice policy.

### **Guiding Principle 1: Acknowledge That Gender Makes a Difference**

The foremost principle in responding appropriately to women is to acknowledge the implications of gender throughout the criminal justice system. The criminal justice field has been dominated by the rule of parity: Equal treatment is to be provided to everyone.

However, this does not necessarily mean that the exact same treatment is appropriate for both women and men. The data are very clear concerning the distinguishing aspects of men and women offenders. They come into the criminal justice system via different pathways; respond to supervision and custody differently; exhibit differences in terms of substance abuse, trauma, mental illness, parenting responsibilities, and employment histories; and represent different levels of risk within both the institution and the community. To successfully develop and deliver services, supervision, and treatment for women offenders, we must first acknowledge these gender differences.

### *The Evidence*

The differences between women and men are well documented across a variety of disciplines and practices, and evidence increasingly shows that the majority of these differences are due to both social and environmental factors. Although certain basic issues related to health, such as reproduction, are

influenced by physiological differences, many of the observed behavior disparities are the result of gender-related differences, such as socialization, gender roles, gender stratification, and gender inequality. The nature and extent of women's criminal behavior and the ways in which they respond to supervision reflect such gender differences, including the following:

- Women and men differ in levels of participation, motivation, and degree of harm caused by their criminal behavior.
- Women's crime rates, with few exceptions, are much lower than men's crime rates.
- Women's crimes tend to be less serious (i.e., less violence, more property- and drug-related offenses) than men's crimes. The gender differential is most pronounced in violent crime, where women's participation is profoundly lower.
- The interrelationship between victimization and offending appears to be more evident in women's lives. Family violence, trauma, and substance abuse contribute to women's criminality and shape their patterns of offending.
- Women respond to community supervision, incarceration, and treatment in ways that differ from those of their male counterparts. Women are less violent while in custody but have higher rates of disciplinary infractions for less serious rule violations. They are influenced by their responsibilities and concerns for

their children, by their relationships with staff, and by their relationships with other offenders.

**Guiding Principle 2: Create an Environment Based on Safety, Respect, and Dignity**

Research from a range of disciplines (e.g., physical health, mental health, and substance abuse) has shown that safety, respect, and dignity are fundamental to behavioral change. To improve behavioral outcomes for women, it is critical to provide a safe and supportive setting for supervision. A profile of women in the criminal justice system indicates that many have grown up in less-than-optimal family and community environments. In their interactions with women offenders, criminal justice professionals must be aware of the significant pattern of emotional, physical, and sexual abuse that many of these women have experienced. Every precaution must be taken to ensure that the criminal justice setting does not reenact women offenders' patterns of earlier life experiences. A safe, consistent, and supportive environment is the cornerstone of an effective corrective process. Because of their lower levels of violent crime and their low risk to public safety, women offenders should be supervised with the minimal restrictions required to meet public safety interests.

**The Evidence**

Research from the field of psychology, particularly trauma studies, indicates that environment cues

behavior. There is now an understanding of what an environment must reflect if it is to affect the biological, psychological, and social consequences of trauma. Because the corrections culture is influenced by punishment and control, it is often in conflict with the culture of treatment. The criminal justice system is based on a control model, whereas treatment is based on a model of behavioral change. These two models must be integrated so that women offenders can experience positive outcomes. This integration should acknowledge the following facts:

- Substance abuse professionals and the literature report that women require a treatment environment that is safe and nurturing. They also require a therapeutic relationship that reflects mutual respect, empathy, and compassion.
- A physically and psychologically safe environment contributes significantly to positive outcomes for women.
- Safety is identified as a key factor in effectively addressing the needs of domestic violence and sexual assault victims.
- Custodial misconduct has been documented in many forms, including verbal degradation, rape, and sexual assault.
- Assessment and classification procedures often do not recognize the lower level of risk to public safety presented by women both in the nature of their offenses and in their behavior

while under supervision. This can result in placement of women in higher levels of custody than necessary in correctional institutions and in inappropriate assessments of their risk to the community.

- Women offenders' needs for personal safety and support suggest the importance of safe and sober housing.

**Guiding Principle 3: Develop Policies, Practices, and Programs That Are Relational and Promote Healthy Connections to Children, Family, Significant Others, and the Community**

Understanding the role of relationships in women's lives is fundamental because the theme of connections and relationships threads throughout the lives of women offenders. When the concept of relationship is incorporated into policies, practices, and programs, the effectiveness of the system or agency is enhanced. This concept is critical when addressing the following:

- Reasons why women commit crimes.
- Impact of interpersonal violence on women's lives.
- Importance of children in the lives of women offenders.
- Relationships between women in an institutional setting.
- Process of women's psychological growth and development.
- Environmental context needed for effective programming.

- Challenges involved in reentering the community.

### **The Evidence**

Studies of women offenders highlight the importance of relationships and the fact that criminal involvement often develops through relationships with family members, significant others, or friends. This is qualitatively different from the concept of "peer associates," which is often cited as a criminogenic risk factor in assessment instruments. Interventions must acknowledge and reflect the impact of these relationships on women's current and future behavior. Important findings regarding relationships include the following:

- Developing mutual relationships is fundamental to women's identity and sense of worth.
- Women offenders frequently suffer from isolation and alienation created by discrimination, victimization, mental illness, and substance abuse.
- Studies in the substance abuse field indicate that partners, in particular, are an integral part of women's initiation into substance abuse, continuing drug use, and relapse. Partners can also influence the retention of women in treatment programs.
- The majority of women under criminal justice supervision are mothers of dependent children. Many women try to maintain their parenting responsibilities while under community supervision or while in custody, and

many plan to reunite with one or more of their children on their release.

- Studies have shown that relationships among women in prison are also important. Women often develop close personal relationships and pseudo families as a way to adjust to prison life. Research on prison staff indicates that correctional personnel often are not prepared to provide appropriate responses to these relationships.

### **Guiding Principle 4: Address Substance Abuse, Trauma, and Mental Health Issues Through Comprehensive, Integrated, and Culturally Relevant Services and Appropriate Supervision**

Substance abuse, trauma, and mental health are three critical, interrelated issues in the lives of women offenders. These issues have a major impact on a woman's experience of community correctional supervision, incarceration, and transition to the community in terms of both programming needs and successful reentry. Although they are therapeutically linked, these issues historically have been treated separately. One of the most important developments in health care over the past several decades is the recognition that a substantial proportion of women have a history of serious traumatic experiences. These traumatic experiences play a vital and often unrecognized role in the evolution of a woman's physical and mental health problems.

### **The Evidence**

The salient features that propel women into crime include family violence and battering, substance abuse, and mental health issues. Other considerations include the following:

- Substance abuse studies indicate that trauma, particularly in the form of physical or sexual abuse, is closely associated with substance abuse disorders in women. According to various studies, a lifetime history of trauma is present in approximately 55 to 99 percent of female substance abusers.<sup>6</sup>
- Research shows that women who have been sexually or physically abused as children or adults are more likely to abuse alcohol and other drugs and may suffer from depression, anxiety disorders, and posttraumatic stress disorder.
- Co-occurring disorders complicate substance abuse treatment and recovery. An integrated program concurrently addresses both disorders through assessment, treatment, referral, and coordination.
- Research conducted by the National Institutes of Health indicates that gender differences, as well as race and ethnicity, must be considered in determining appropriate diagnosis, treatment, and prevention of disease.
- Experience in the substance abuse field has shown that treatment programs are better able to engage and retain women clients if programs are culturally targeted.

**Guiding Principle 5: Provide Women With Opportunities To Improve Their Socioeconomic Conditions**

Addressing both the social and material realities of women offenders is an important aspect of correctional intervention. The woman offender's life is shaped by her socioeconomic status; her experience with trauma and substance abuse; and her relationships with partners, children, and family. Most women offenders are disadvantaged economically, and this reality is compounded by their trauma and substance abuse histories. Improving socioeconomic outcomes for women requires providing opportunities through education and training that will enable them to support themselves and their children.

**The Evidence**

Most women offenders are poor, undereducated, and unskilled. Many have never worked, have sporadic work histories, or have depended on public assistance. Additional factors that affect their socioeconomic conditions include the following:

- Most women offenders are heads of their households. In 1997, nearly 32 percent of all female heads of households lived below the poverty line.
- Research in the field of domestic violence has shown that availability of material and economic necessities—including housing, financial support, educational

and vocational training, and job development—is essential to women's ability to establish lives apart from their abusive partners.

- Research on the effectiveness of substance abuse treatment has noted that, without strong material support, women presented with economic demands are more likely to reoffend and discontinue treatment.
- Recent changes in public assistance due to welfare reform (e.g., Temporary Assistance for Needy Families programs created under the Welfare Reform Law of 1996) affect women disproportionately. They negatively affect women's ability to support themselves and their children by making them ineligible for benefits. Even when eligible, women may not be able to apply for benefits until they have been released from custody or community supervision. They cannot gain access to treatment or medical care without Medicaid. Additionally, their convictions may make them ineligible for public housing or Section 8 housing subsidies.

**Guiding Principle 6: Establish a System of Community Supervision and Reentry With Comprehensive, Collaborative Services**

Women offenders face specific challenges as they reenter the community from jail or prison. Women on probation also face challenges in their communities. In addition to the stigma of being identified as an offender, they may carry additional

burdens, such as single-parent status, decreased economic potential, lack of targeted services and programs, responsibilities to multiple agencies, and a general lack of community support. Navigating through myriad systems that often provide fragmented services and have conflicting requirements can interfere with supervision and successful reintegration. There is a need for wraparound services—that is, a holistic and culturally sensitive plan for each woman that draws on a coordinated range of resources in her community. Types of organizations that should work as partners to assist women who are reentering the community include the following:

- Mental health providers.
- Alcohol and other drug treatment programs.
- Programs for survivors of physical and sexual violence.
- Family service agencies.
- Emergency shelter, food, and financial assistance programs.
- Educational organizations.
- Vocational training and employment services.
- Health care.
- The child welfare system, childcare, and other children's services.
- Transportation.
- Self-help groups.
- Consumer-advocacy groups.
- Organizations that provide leisure and recreation options.

- Faith-based organizations.
- Community service clubs.

### The Evidence

Challenges to successful completion of community supervision and reentry for women offenders have been documented in the research literature. These challenges can include housing, transportation, childcare, and employment needs; reunification with children and other family members; peer support; and fragmented community services. There is little coordination among community service systems linking substance abuse, criminal justice, public health, employment, housing, and child welfare. Other considerations for successful reentry and community supervision include the following:

- Studies from such fields as substance abuse and mental health have found that collaborative, community-based programs offering a multidisciplinary approach foster successful outcomes among women. Research has shown that women offenders have a great need for comprehensive, community-based wraparound services. This coordinated or case management approach has been found to work effectively with women because it addresses their multiple treatment needs.
- Substance abuse research shows that an understanding of the interrelationships among the women, the program, and the community is critical to the

success of a comprehensive approach.

- Data from woman offender focus groups indicate that failure to meet the following needs puts women at risk for criminal justice involvement: housing, physical and psychological safety, education, job training and opportunities, community-based substance abuse treatment, and economic support. All of these factors—in addition to positive

role models and a community response to violence against women—are critical components of a gender-responsive crime prevention program.

### Policy Considerations

As agencies and systems examine the impact of their operations, policy-level changes are a primary consideration (see sidebar “Gender-Responsive Policy Elements”).

### General Strategies for Implementing Guiding Principles

The following general strategies can be applied to implementation of each guiding principle:

<b>Adopt</b>	Adopt each principle as policy on a systemwide and programmatic level.
<b>Support</b>	Provide full support of the administration for adoption and implementation of the gender-responsive principles.
<b>Resources</b>	Evaluate financial and human resources to ensure that implementation and allocation adjustments are adequate to accommodate any new policies and practices.
<b>Training</b>	Provide ongoing training as an essential element in implementing gender-responsive practices.
<b>Oversight</b>	Include oversight of the new policies and practices in management plan development.
<b>Congruence</b>	Conduct routine procedural review to ensure that procedures are adapted, deleted, or written for new policies.
<b>Environment</b>	Conduct ongoing assessment and review of the culture/environment to monitor the attitudes, skills, knowledge, and behavior of administrative, management, and line staff.
<b>Evaluation</b>	Develop an evaluation process to assess management, supervision, and services.

### Gender-Responsive Policy Elements

**Create parity:** Develop an understanding of parity or "equal treatment" that stresses the importance of equivalence (of purpose and effort) rather than sameness (in content).

**Commit to women's programs:** Create an executive-level position and provide appropriate resources, staffing, and training to ensure that women's issues are a priority.

**Develop procedures that apply to women offenders:** Review existing policies and procedures and develop operating procedures that address the needs of women offenders in such areas as clothing, personal property, hygiene, exercise, recreation, and contact with children and family.

**Respond to women's pathways:** Develop policies, programs, and services that respond specifically to women's pathways in and out of crime and to the contexts of their lives that support criminal behavior.

**Consider community:** Develop strong partnerships for community and transitional programs that include housing, training, education, employment, and family support services.

**Include children and family:** Facilitate the strengthening of family ties, particularly between mothers and their children.

### Conclusion: Addressing the Realities of Women's Lives Is the Key to Improved Outcomes

This bulletin documents the importance of understanding and acknowledging differences between men and women offenders and the impact of those differences on the development of gender-responsive policies, practices, and programs in the criminal justice system. Analysis of available data indicates that addressing the realities of women's lives through gender-responsive policy and practice is fundamental to improved outcomes at all phases of the criminal justice system. This

review maintains that consideration of women's and men's different pathways into criminality, their differential responses to custody and supervision, and their differing program requirements can result in a criminal justice system that is better equipped to respond to both men and women offenders.

The guiding principles and strategies outlined in the full report and this bulletin are intended to be a blueprint for the development of gender-responsive policy and practice. They can serve as the foundation for improving the ways in which criminal justice agencies manage and supervise women

offenders in both institutional and community settings.

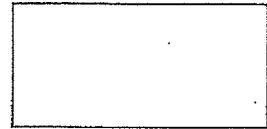
Ultimately, commitment and willingness on the part of policymakers and practitioners will be needed to actualize the vision and implement the principles and strategies of a gender-responsive criminal justice system. Reducing women's involvement in the criminal justice system will benefit the women themselves, their communities, and society. Such efforts will develop a more effective criminal justice system and generate positive effects for generations to come.

### Notes

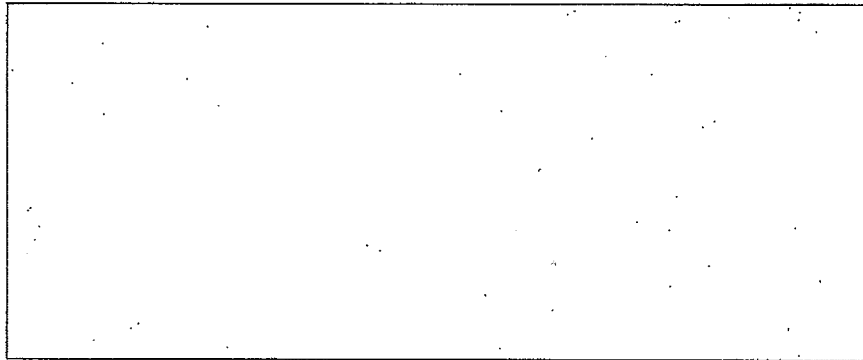
1. See Bloom, B., Owen, B., and Covington, S. (2003). *Gender-Responsive Strategies: Research, Practice, and Guiding Principles for Women Offenders*. Washington, DC: National Institute of Corrections. NIC accession no. 018017.
2. Harris, K. (2001). "Women offenders in the community: Differential treatment in the justice process linked to gender." Information session on supervision of women offenders in the

The full text of *Gender-Responsive Strategies: Research, Practice, and Guiding Principles for Women Offenders* may be obtained free of charge from the National Institute of Corrections Information Center. The Information Center can be reached at 800-877-1461. Information on this report and other available documents can be found on NIC's Web site at [www.nicr.org](http://www.nicr.org).





[www.nicic.org](http://www.nicic.org)



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NIC Accession Number 020418

**CITY AND COUNTY OF SAN FRANCISCO  
 COMMUNITY ASSESSMENT AND SERVICES CENTER REQUEST FOR PROPOSAL  
 / FACILITY ACCESS CHECKLIST**

This document is designed to assist you when evaluating the accessibility of a proposed facility. It touches broadly on essential considerations such as arrival points, entry, interior circulation, functional spaces, and restrooms. However, this is not a comprehensive checklist that itemizes every applicable accessible feature. Once a site selection is made, there will still need to be a process to develop plans, file for permits where necessary, and schedule a detailed site inspection with the Mayor's Office on Disability. Additional access features may be required, such as signage, or striping for accessible parking. However, this list reviews the most essential, and expensive, items to ensure access.

<b>Bidder's Name</b>			
<b>Existing Site Address</b>			
<b>Date Completed</b>			
<b>A.0 ACCESSIBLE ARRIVAL POINTS AND BUILDING ENTRY</b>			
	<b>ACCESSIBLE ELEMENTS</b>	<b>MINIMUM ACCESS REQUIREMENT</b>	<b>STATUS AT EXISTING FACILITY WHERE PROGRAMMING IS TO BE PROVIDED</b>
A.1	Arrival: Pedestrian access from the public right-of-way (sidewalk) to the facility's primary entrance	4 foot wide sidewalk leading to the facility's public entry, with 2% max. cross slope and no vertical changes exceeding ½ inch.	
A.2	Entry: No steps	No steps or stairs at the entry. No thresholds higher than ½ inch.	
A.3	Entry: If there are stairs, a ramp is required	Ramps, when provided, shall be 4 foot wide minimum, sloped 1:12 maximum (8.33%), have handrails on each side, and level landings at the top (5 feet minimum) and bottom (6 feet minimum).	
A.4	Entry: Door landing	A level landing (2% max slope in any direction) is required at the entry door that is 5 feet wide and 5 feet deep in the direction of door swing, and four feet deep opposite the direction of door swing.	
A.5	Entry: Non-level landing	If the entry door landing is sloped steeper than .2%, then a power door operator with buttons at the exterior and interior may be an acceptable solution.	
A.6	Entry: Door width	A doorway that provides 32 inches minimum clearance when open 90° (36" door recommended).	
A.7	Entry: Door operation and operational force	Levered door hardware, and 5 pound operational force or automatic door opener.	

<b>B.0 MINIMUM ACCESSIBLE FEATURES AT THE RECEPTION AND PROGRAM AREA</b>			
	<b>ACCESSIBLE ELEMENTS</b>	<b>MINIMUM ACCESS REQUIREMENT</b>	<b>STATUS AT EXISTING FACILITY</b>
B.1	Lobby and waiting area	A waiting area large enough to accommodate a wheelchair (30" x 48") and a maneuvering area that is 60 inches in diameter.	
B.2	Reception – check-in desk	The reception desk or counter is 34 inch high max. and 36 inch long min.	
B.3	Client work counter or computer station	The work surface is 34 inch high max. , 36 inch long min. and has 27 inch high by 17 to 19 inches deep knee space.	
<b>C.0 MINIMUM INTERIOR CIRCULATION REQUIREMENTS</b>			
	<b>ACCESSIBLE ELEMENTS</b>	<b>MINIMUM ACCESS REQUIREMENT</b>	<b>STATUS AT FACILITY</b>
C.1	Corridor width at all interior routes leading to program and service areas	44 inch minimum width.	
C.2	All doors leading to program and service areas	A doorway that provides <ul style="list-style-type: none"> <li>• 32 inches minimum clearance when open 90° (36" door recommended),</li> <li>• with levered hardware, and</li> <li>• additional maneuvering clearances extending 18 inches beyond the latch on the pull side of the door.</li> </ul>	
C.3	Multistory buildings	A passenger elevator that connects each floor level and/or mezzanine that has program or service areas.	
C.4	Floor Level Changes	Where floor levels change, a ramp with slope less than 8.33% (1:12) running slope, and handrails on both sides of ramp.	
<b>D.0 MINIMUM ACCESSIBLE COUNSELING AND/OR TRAINING FACILITIES</b>			
	<b>ACCESSIBLE ELEMENTS</b>	<b>MINIMUM ACCESS REQUIREMENT</b>	<b>STATUS AT EXISTING FACILITY</b>
D.1	Client interview room, training room, or interior space	The room inside is large enough for a 36 inch wide wheelchair accessible route and 60 inch diameter maneuvering area clear of any furniture.	
D.2	Client training room, Accessible workstation or desk	The work surface or desk is 34 inch high max. , 36 inch long min, and provides 27 inch high by 17 to 19 inches deep knee space.	
<b>E.0 MINIMUM ACCESSIBLE TOILET ROOMS AND DRINKING FOUNTAINS</b>			
	<b>ACCESSIBLE ELEMENTS</b>	<b>MINIMUM ACCESS REQUIREMENT</b>	<b>STATUS AT EXISTING FACILITY</b>
E.1	Toilet room: Size	The room contains 5 foot diameter circle for wheelchair maneuvering without overlap of fixtures or door swing more than 12 inches.	
E.2	Toilet rooms, lavatory fixture	The lavatory has knee clearance 29 inch high by 30 inch wide, rim height 34" maximum, and levered handles or automatic faucets; and pipe wrapping on drain.	
E.3	Toilet room, urinal in Men's Room	A minimum of one mounted 17 inches to the ceramic rim, in a space 30 inches wide, or 36 inches wide if an alcove or otherwise confined condition.	
E.4	Toilet room: Wheelchair accessible stall(s)	In multiuser toilet rooms a minimum of one compartment stall that has an out-swinging, 34	

		inch min. width stall door situated diagonal to the toilet. Stall door is to be self-closing, and have wire pull handles on the inside and outside of the door. Toilet is positioned 18 inches to the centerline of the toilet as measured to the adjacent side wall. The stall is 60 inches min. wide, with 48 inch clear space in front of the toilet.	
E.5	Toilet room: Grab bars	One grab bar at the rear, 36 inch minimum length. One grab bar on the side, 42 inch minimum length. Both grab bars mounted at 33 inches above the floor	
E.6	Toilet room: Ambulatory accessible stall, where six or more toilet fixtures exist.	In a multiuser toilet room with six or more toilet and urinal fixtures, one ambulatory accessible toilet stall is required that is exactly 36 inch and which has a 48 inch clear space in front of the toilet, and has a 42" grab bars on each side at 33" AFF. The stall door shall be 34 inch wide min., shall swing outward, be self-closing, and have wire pull handles on the inside and outside of the door.	
E.7	Toilet room: Accessories	A minimum of one soap dispenser, one paper towel dispenser, and where provided, one automatic hand dryer mounted so that the reach range to the uppermost controls does not exceed 40 inches.	
E.8	Drinking fountains	Where provided a high drinking fountain that serves standing users and a low drinking fountain that serves wheelchair users shall be provided.	
<b>F.0 OTHER FEATURES</b>			
	<b>ACCESSIBLE ELEMENTS</b>	<b>MINIMUM ACCESS REQUIREMENT</b>	<b>STATUS AT EXISTING FACILITY</b>
F.1	Fire alarms	Fire alarm appliances shall be both audible and visual	



SAN FRANCISCO ADULT PROBATION DEPARTMENT CONTRACT

APPENDIX H -1

BUDGET SUMMARY BY PROGRAM

Contractor Name:

Contract Term: June 1, 2012 thru June 30, 2013

Program: CASC

		TOTAL BUDGET
<b>Expenditures</b>		
Salaries & Benefits		\$0
Operating Expense		\$0
<b>Subtotal</b>		
Indirect Percentage (Not to exceed 12%)		\$0
Indirect Cost (Line 16 X Line 15)		\$0
Capital Expenditure		\$0
<b>Total Expenditures</b>		

Prepared by:

Date

APD Review Signature:

**SAN FRANCISCO ADULT PROBATION DEPARTMENT CONTRACT**

**APPENDIX H-2**

**SALARY AND FRINGE DETAIL**

Contractor Name:

Contract Term: June 1, 2012 thru June 30, 2013

Program: CASC

POSITION TITLE	% FTE	TOTAL BUDGET
<b>TOTALS</b>		
<b>FRINGE BENEFIT RATE</b>		
<b>EMPLOYEE FRINGE BENEFITS</b>		
<b>TOTAL SALARIES &amp; BENEFITS</b>		

**ADULT PROBATION DEPARTMENT CONTRACT**

**APPENDIX H-3**

**OPERATING BUDGET DETAIL**

Contractor Name:

Contract Term: June 1, 2012 thru June 30, 2013

Program: CASC

Expenditure Categories		TOTAL BUDGET
Examples - Categories should reflect actual proposed		
Rental of Property		
Utilities(Elec, Water, Gas, Phone, Scavenger)		
Office Supplies, Postage		
Building Maintenance Supplies and Repair		
Printing and Reproduction		
Insurance		
Staff Training		
Staff Travel-(Local & Out of Town)		
Rental of Equipment		
<b>Other</b>		
Consultant Contractor - Descriptive Title		
Consultant # 1 - Description		
<b>TOTAL OPERATING EXPENSE</b>		





**San Francisco Adult Probation Department**

**Appendix H - 5**

**Budget Detail Justification**

Please provide complete information on the calculations used for each budget line item. For benefits, please be sure to break out each benefits cost.

<b>Expense</b>	<b>Calculation</b>	<b>Total</b>
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Senate Bill No. 678

CHAPTER 608

An act to add and repeal Chapter 3 (commencing with Section 1228) of Title 8 of Part 2 of the Penal Code, relating to probation.

[Approved by Governor October 11, 2009. Filed with  
Secretary of State October 11, 2009.]

LEGISLATIVE COUNSEL'S DIGEST

SB 678, Leno. Criminal recidivism.

Existing law authorizes the Department of Corrections and Rehabilitation to oversee programs for the purposes of reducing parolee recidivism.

This bill would authorize each county to establish a Community Corrections Performance Incentives Fund (CCPIF) and would authorize the state to annually allocate money into a State Corrections Performance Incentives Fund to be used for specified purposes relating to improving local probation supervision practices and capacities, as specified. This bill would require the Director of Finance, in consultation with the Department of Corrections and Rehabilitation, the Joint Legislative Budget Committee, the Chief Probation Officers of California, and the Administrative Office of the Courts, to calculate the amount of money to be appropriated from the state fund into a CCPIF. This bill would specify that the calculation would be based on costs avoided by the Department of Corrections and Rehabilitation because of a reduction in the percentage of adult probationers sent to prison for a probation failure, as specified. This bill would also require each county using CCPIF funds to identify and track specific outcome-based measures, as specified, and report to the Administrative Office of the Courts on the effectiveness of the programs paid for by the CCPIF.

This bill would require the community corrections programs to be developed and implemented by the chief probation officer, as advised by a Community Corrections Partnership. This bill would require specified local officials to serve as part of that Community Corrections Partnership. Because this bill would increase the duties for certain local officials, it would impose a state-mandated local program.

The California Constitution requires the state to reimburse local agencies and school districts for certain costs mandated by the state. Statutory provisions establish procedures for making that reimbursement.

This bill would provide that, if the Commission on State Mandates determines that the bill contains costs mandated by the state, reimbursement for those costs shall be made pursuant to these statutory provisions.

*The people of the State of California do enact as follows:*

SECTION 1. This act shall be known and may be cited as the California Community Corrections Performance Incentives Act of 2009.

SEC. 2. Chapter 3 (commencing with Section 1228) is added to Title 8 of Part 2 of the Penal Code, to read:

CHAPTER 3. CALIFORNIA COMMUNITY CORRECTIONS PERFORMANCE  
INCENTIVES

1228. The Legislature finds and declares all of the following:

(a) In 2007, nearly 270,000 felony offenders were subject to probation supervision in California's communities.

(b) In 2007, out of 46,987 new admissions to state prison, nearly 20,000 were felony offenders who were committed to state prison after failing probation supervision.

(c) Probation is a judicially imposed suspension of sentence that attempts to supervise, treat, and rehabilitate offenders while they remain in the community under the supervision of the probation department. Probation is a linchpin of the criminal justice system, closely aligned with the courts, and plays a central role in promoting public safety in California's communities.

(d) Providing sustainable funding for improved, evidence-based probation supervision practices and capacities will improve public safety outcomes among adult felons who are on probation. Improving felony probation performance, measured by a reduction in felony probationers who are sent to prison because they were revoked on probation or convicted of another crime while on probation, will reduce the number of new admissions to state prison, saving taxpayer dollars and allowing a portion of those state savings to be redirected to probation for investing in community corrections programs.

1229. As used in this chapter, the following definitions apply:

(a) "Community corrections" means the placement of persons convicted of a felony offense under probation supervision, with conditions imposed by a court for a specified period.

(b) "Chief probation officer" means the chief probation officer for the county or city and county in which an adult offender is subject to probation for the conviction of a felony offense.

(c) "Community corrections program" means a program established pursuant to this act consisting of a system of felony probation supervision services dedicated to all of the following goals:

(1) Enhancing public safety through the management and reduction of offender risk while under felony probation supervision and upon reentry from jail into the community.

(2) Providing a range of probation supervision tools, sanctions, and services applied to felony probationers based on a risk/needs assessment

for the purpose of reducing criminal conduct and promoting behavioral change that results in reducing recidivism and promoting the successful reintegration of offenders into the community.

(3) Maximizing offender restitution, reconciliation, and restorative services to victims of crime.

(4) Holding offenders accountable for their criminal behaviors and for successful compliance with applicable court orders and conditions of supervision.

(5) Improving public safety outcomes for persons placed on probation for a felony offense, as measured by their successful completion of probation and commensurate reduction in the rate of felony probationers sent to prison as a result of a probation revocation or conviction of a new crime.

(d) "Evidence-based practices" refers to supervision policies, procedures, programs, and practices demonstrated by scientific research to reduce recidivism among individuals under probation, parole, or postrelease supervision.

1230. (a) Each county is hereby authorized to establish in each county treasury a Community Corrections Performance Incentives Fund (CCPIF), to receive all amounts allocated to that county for purposes of implementing this chapter.

(b) In any fiscal year for which a county receives moneys to be expended for the implementation of this chapter, the moneys, including any interest, shall be made available to the chief probation officer (CPO) of that county, within 30 days of the deposit of those moneys into the fund, for the implementation of the community corrections program authorized by this chapter.

(1) The community corrections program shall be developed and implemented by probation and advised by a local Community Corrections Partnership.

(2) The local Community Corrections Partnership shall be chaired by the chief probation officer and comprised of the following membership:

- (A) The presiding judge of the superior court, or his or her designee.
- (B) A county supervisor or the chief administrative officer for the county.
- (C) The district attorney.
- (D) The public defender.
- (E) The sheriff.
- (F) A chief of police.
- (G) The head of the county department of social services.
- (H) The head of the county department of mental health.
- (I) The head of the county department of employment.
- (J) The head of the county alcohol and substance abuse programs.
- (K) The head of the county office of education.
- (L) A representative from a community-based organization with experience in successfully providing rehabilitative services to persons who have been convicted of a criminal offense.
- (M) An individual who represents the interests of victims.

(3) Funds allocated to probation pursuant to this act shall be used to provide supervision and rehabilitative services for adult felony offenders subject to probation, and shall be spent on evidence-based community corrections practices and programs, as defined in subdivision (c) of Section 1229, which may include, but are not limited to, the following:

(A) Implementing and expanding evidence-based risk and needs assessments.

(B) Implementing and expanding intermediate sanctions that include, but are not limited to, electronic monitoring, mandatory community service, home detention, day reporting, restorative justice programs, work furlough programs, and incarceration in county jail for up to 90 days.

(C) Providing more intensive probation supervision.

(D) Expanding the availability of evidence-based rehabilitation programs including, but not limited to, drug and alcohol treatment, mental health treatment, anger management, cognitive behavior programs, and job training and employment services.

(E) Evaluating the effectiveness of rehabilitation and supervision programs and ensuring program fidelity.

(4) The chief probation officer shall have discretion to spend funds on any of the above practices and programs consistent with this act but, at a minimum, shall devote at least 5 percent of all funding received to evaluate the effectiveness of those programs and practices implemented with the funds provided pursuant to this chapter. A chief probation officer may petition the Administrative Office of the Courts to have this restriction waived, and the Administrative Office of the Courts shall have the authority to grant such a petition, if the CPO can demonstrate that the department is already devoting sufficient funds to the evaluation of these programs and practices.

(5) Each probation department receiving funds under this chapter shall maintain a complete and accurate accounting of all funds received pursuant to this chapter.

1231. (a) Community corrections programs funded pursuant to this act shall identify and track specific outcome-based measures consistent with the goals of this act.

(b) The Administrative Office of the Courts, in consultation with the Chief Probation Officers of California, shall specify and define minimum required outcome-based measures, which shall include, but not be limited to, all of the following:

(1) The percentage of persons on felony probation who are being supervised in accordance with evidence-based practices.

(2) The percentage of state moneys expended for programs that are evidence-based, and a descriptive list of all programs that are evidence-based.

(3) Specification of supervision policies, procedures, programs, and practices that were eliminated.

(4) The percentage of persons on felony probation who successfully complete the period of probation.

(c) Each chief probation officer receiving funding pursuant to Sections 1233 to 1233.6, inclusive, shall provide an annual written report to the Administrative Office of the Courts and the Department of Corrections and Rehabilitation evaluating the effectiveness of the community corrections program, including, but not limited to, the data described in subdivision (b).

(d) The Administrative Office of the Courts shall, in consultation with the chief probation officer of each county and the Department of Corrections and Rehabilitation, provide a quarterly statistical report to the Department of Finance including, but not limited to, the following statistical information for each county:

- (1) The number of felony filings.
- (2) The number of felony convictions.
- (3) The number of felony convictions in which the defendant was sentenced to the state prison.
- (4) The number of felony convictions in which the defendant was granted probation.
- (5) The adult felon probation population.
- (6) The number of felons who had their probation revoked and were sent to prison for that revocation.
- (7) The number of adult felony probationers sent to state prison for a conviction of a new felony offense, including when probation was revoked or terminated.

1232. Commencing no later than 18 months following the initial receipt of funding pursuant to this act and annually thereafter, the Administrative Office of the Courts, in consultation with the Department of Corrections and Rehabilitation, the Department of Finance, and the Chief Probation Officers of California, shall submit to the Governor and the Legislature a comprehensive report on the implementation of this act. The report shall include, but not be limited to, all of the following information:

(a) The effectiveness of the community corrections program based on the reports of performance-based outcome measures required in Section 1231.

(b) The percentage of felony probationers whose probation was revoked for the year on which the report is being made.

(c) The percentage of felony probationers who were convicted of crimes during their term of probation for the year on which the report is being made.

(d) The impact of the moneys appropriated pursuant to this act to enhance public safety by reducing the percentage and number of felony probationers whose probation was revoked for the year being reported on for probation violations or new convictions, and to reduce the number of felony probationers who are sent to prison for the year on which the report is being made.

(e) Any recommendations regarding resource allocations or additional collaboration with other state, regional, federal, or local entities for improvements to this act.

1233. (a) The Director of Finance, in consultation with the Department of Corrections and Rehabilitation, the Joint Legislative Budget Committee,

the Chief Probation Officers of California, and the Administrative Office of the Courts, shall calculate for each county a baseline probation failure rate that equals the average number of adult felony probationers sent to state prison during calendar years 2006 to 2008, inclusive, as a percentage of the average adult felony probation population during the same period.

(b) For purposes of calculating the baseline probation failure rate, the number of adult felony probationers sent to prison shall include those adult felony probationers sent to state prison for a revocation of probation, as well as adult felony probationers sent to state prison for a conviction of a new felony offense. The calculation shall also include adult felony probationers sent to prison for conviction of a new crime who simultaneously have their probation term terminated.

1233.1. After the conclusion of each calendar year following the enactment of this section, the Director of Finance, in consultation with the Department of Corrections and Rehabilitation, the Joint Legislative Budget Committee, the Chief Probation Officers of California, and the Administrative Office of the Courts, shall calculate the following for that calendar year:

(a) The cost to the state to incarcerate in prison and supervise on parole a probationer sent to prison. This calculation shall take into consideration factors, including, but not limited to, the average length of stay in prison and on parole for probationers, as well as the associated parole revocation rates, and revocation costs.

(b) The statewide probation failure rate. The statewide probation failure rate shall be calculated as the total number of adult felony probationers statewide sent to prison in the previous year as a percentage of the statewide adult felony probation population as of June 30 of that year.

(c) A probation failure rate for each county. Each county's probation failure rate shall be calculated as the number of adult felony probationers sent to prison from that county in the previous year as a percentage of the county's adult felony probation population as of June 30 of that year.

(d) An estimate of the number of adult felony probationers each county successfully prevented from being sent to prison. For each county, this estimate shall be calculated based on the reduction in the county's probation failure rate as calculated annually pursuant to subdivision (c) of this section and the county's baseline probation failure rate as calculated pursuant to Section 1233. In making this estimate, the Director of Finance, in consultation with the Department of Corrections and Rehabilitation, the Joint Legislative Budget Committee, the Chief Probation Officers of California, and the Administrative Office of the Courts, shall adjust the calculations to account for changes in each county's adult felony probation caseload in the most recent completed calendar year as compared to the county's adult felony probation population during the period 2006 to 2008, inclusive.

(e) In calculating probation failure rates for the state and individual counties, the number of adult felony probationers sent to prison shall include those adult felony probationers sent to state prison for a revocation of



probation, as well as adult felony probationers sent to state prison for a conviction of a new felony offense. The calculation shall also include adult felony probationers who are sent to prison for conviction of a new crime and who simultaneously have their probation terms terminated.

1233.2. Annually, after the conclusion of each calendar year, the Director of Finance, in consultation with the Department of Corrections and Rehabilitation, the Joint Legislative Budget Committee, the Chief Probation Officers of California, and the Administrative Office of the Courts, shall identify the appropriate Probation Revocation Tier for each county for which it was estimated that the county successfully prevented any number of adult felony probationers from being sent to state prison, as provided in subdivision (d) of Section 1233.1. The tiers shall be defined as follows:

(a) Tier 1. A Tier 1 county is one which has a probation failure rate, as defined in subdivision (c) of Section 1233.1, that is no more than 25 percent higher than the statewide probation failure rate, as defined in subdivision (b) of Section 1233.1.

(b) Tier 2. A Tier 2 county is one which has a probation failure rate, as defined in subdivision (c) of Section 1233.1, that is more than 25 percent above the statewide probation failure rate, as defined in subdivision (b) of Section 1233.1.

1233.3. Annually, the Director of Finance, in consultation with the Department of Corrections and Rehabilitation, the Joint Legislative Budget Committee, the Chief Probation Officers of California, and the Administrative Office of the Courts, shall calculate a probation failure reduction incentive payment for each eligible county, pursuant to Section 1233.2, for the most recently completed calendar year, as follows:

(a) For a county identified as being in Tier 1, as defined in subdivision (a) of Section 1233.2, its probation failure reduction incentive payment shall equal the estimated number of probationers successfully prevented from being sent to prison, as defined by subdivision (d) of Section 1233.1, multiplied by 45 percent of the costs to the state to incarcerate in prison and supervise on parole a probationer who was sent to prison, as defined in subdivision (a) of Section 1233.1.

(b) For a county identified as being in Tier 2, as defined in subdivision (b) of Section 1233.2, its probation failure reduction incentive payment shall equal the estimated number of probationers successfully prevented from being sent to prison, as defined by subdivision (d) of Section 1233.1, multiplied by 40 percent of the costs to the state to incarcerate in prison and supervise on parole a probationer who was sent to prison, as defined in subdivision (a) of Section 1233.1.

1233.4. (a) It is the intent of the Legislature for counties demonstrating high success rates with adult felony probationers to have access to performance-based funding as provided for in this section.

(b) On an annual basis, the Department of Finance, in consultation with the Department of Corrections and Rehabilitation, the Joint Legislative Budget Committee, the Chief Probation Officers of California, and the Administrative Office of the Courts, shall calculate 5 percent of the savings

to the state attributed to those counties that successfully reduce the number of adult felony probationers sent to state prison.

(c) The savings estimated pursuant to subdivision (b) shall be used to provide high performance grants to county probation departments for the purpose of bolstering evidence-based probation practices designed to reduce recidivism among adult felony probationers.

(d) County probation departments eligible for these high performance grants shall be those with adult probation failure rates more than 50 percent below the statewide average in the most recently completed calendar year.

(e) A county probation department may receive a high performance grant under this section in a year in which it does not also receive a probation failure reduction incentive payment as provided for in Section 1233.3. The CPO of a county that qualifies for both a high performance grant and a probation failure reduction incentive payment shall indicate to the Administrative Office of the Courts, by a date designated by the Administrative Office of the Courts, whether the CPO chooses to receive the high performance grant or probation failure reduction payment.

(f) The grants provided for in this section shall be administered by the Administrative Office of the Courts. The Administrative Office of the Courts shall seek to ensure that all qualifying probation departments that submit qualifying applications receive a proportionate share of the grant funding available based on the population of adults ages 18 to 25, inclusive, in each of the counties receiving the grants.

1233.5. If data of sufficient quality and of the types required for the implementation of this act are not available to the Director of Finance, then the Director of Finance, in consultation with the Department of Corrections and Rehabilitation, the Joint Legislative Budget Committee, and the Administrative Office of the Courts, shall use the best available data to estimate probation failure reduction incentive payments and high performance grants utilizing a methodology that is as consistent with that described in this act as is reasonably possible.

1233.6. (a) Probation failure reduction incentive payments and high performance grants calculated for any calendar year shall be provided to counties in the following fiscal year. The total annual payment to each county shall be divided into four equal quarterly payments.

(b) The Department of Finance shall include an estimate of the total probation failure reduction incentive payments and high performance grants to be provided to counties in the coming fiscal year as part of the Governor's proposed budget released no later than January 10 of each year. This estimate shall be adjusted by the Department of Finance, as necessary, to reflect the actual calculations of probation revocation incentive payments and high performance grants completed by the Director of Finance, in consultation with the Department of Corrections and Rehabilitation, the Joint Legislative Budget Committee, the Chief Probation Officers of California, and the Administrative Office of the Courts. This adjustment shall occur as part of standard budget revision processes completed by the Department of Finance in April and May of each year.

(c) There is hereby established a State Community Corrections Performance Incentives Fund. Moneys budgeted for purposes of providing probation revocation incentive payments and high performance grants authorized in Sections 1230 to 1233.6, inclusive, shall be deposited into this fund. Any moneys deposited into this fund shall be administered by the Administrative Office of the Courts and the share calculated for each county probation department shall be transferred to its Community Corrections Performance Incentives Fund authorized in Section 1230. The Legislature may allocate up to 3 percent of the funds annually deposited into the State Community Corrections Performance Incentives Fund for use by the Administrative Office of the Courts for the costs of administering this program.

1233.7. The moneys appropriated pursuant to this chapter shall be used to supplement, not supplant, any other state or county appropriation for the chief probation officer or the probation department.

1233.8. This chapter shall remain in effect only until January 1, 2015, and as of that date is repealed, unless a later enacted statute, that is enacted before January 1, 2015, deletes or extends that date.

SEC. 3. The Judicial Council shall consider the adoption of appropriate modifications to the Criminal Rules of Court, and of other judicial branch policies, procedures, and programs, affecting felony probation services that would support implementation of the evidence-based probation supervision practices described in this chapter.

SEC. 4. If the Commission on State Mandates determines that this act contains costs mandated by the state, reimbursement to local agencies and school districts for those costs shall be made pursuant to Part 7 (commencing with Section 17500) of Division 4 of Title 2 of the Government Code.

O



**Assembly Bill No. 109**

**CHAPTER 15**

An act to amend Sections 585, 650, 654.1, 655.5, 729, 1282.3, 1701, 1701.1, 1960, 2052, 2315, 4324, 5536.5, 6126, 6153, 6788, 7028.16, 7739, 10238.6, 11020, 11023, 11286, 11287, 11320, 16755, 17511.9, 17550.19, 22430, and 25618 of the Business and Professions Code, to amend Sections 892, 1695.8, 1812.125, 1812.217, 2945.7, 2985.2, and 2985.3 of the Civil Code, to amend Sections 2255, 2256, 6811, 6814, 8812, 8815, 12672, 12675, 22002, 25540, 27202, 28880, 29102, 29550, 31410, 31411, and 35301 of the Corporations Code, to amend Section 7054 of the Education Code, to amend Sections 18002, 18100, 18101, 18102, 18106, 18200, 18201, 18203, 18204, 18205, 18310, 18311, 18400, 18403, 18502, 18520, 18521, 18522, 18523, 18524, 18540, 18544, 18545, 18560, 18561, 18564, 18566, 18567, 18568, 18573, 18575, 18578, 18611, 18613, 18614, 18620, 18621, 18640, 18660, 18661, and 18680 of the Elections Code, to amend Sections 3510, 3532, 5300, 5302, 5303, 5304, 5305, 5307, 10004, 12102, 14752, 17700, 18349.5, 18435, 22753, 22780, 31880, and 50500 of the Financial Code, to amend Sections 12004 and 12005 of the Fish and Game Code, to amend Sections 17701, 18932, 18933, 19440, 19441, and 80174 of the Food and Agriculture Code, to amend Sections 1195, 1368, 1369, 3108, 3109, 5954, 6200, 6201, 9056, 27443, and 51018.7 of the Government Code, to amend Sections 264, 310, and 668 of the Harbors and Navigation Code, to amend Sections 1390, 1522.01, 1621.5, 7051, 7051.5, 8113.5, 8785, 11100, 11100.1, 11105, 11153, 11153.5, 11162.5, 11350, 11351, 11351.5, 11352, 11353.5, 11353.6, 11353.7, 11356, 11357, 11358, 11359, 11360, 11362, 11366.5, 11366.6, 11366.8, 11370.6, 11371, 11371.1, 11374.5, 11377, 11378, 11378.5, 11379, 11379.5, 11379.6, 11380.7, 11381, 11383, 11383.5, 11383.6, 11383.7, 12401, 12700, 17061, 18124.5, 25180.7, 25189.5, 25189.6, 25189.7, 25190, 25191, 25395.13, 25515, 25541, 42400.3, 44209, 100895, 109335, 115215, 116730, 116750, 118340, and 131130 of the Health and Safety Code, to amend Sections 700, 750, 833, 1043, 1215.10, 1764.7, 1814, 1871.4, 10192.165, 11161, 11162, 11163, 11760, 11880, 12660, and 12845 of the Insurance Code, to amend Sections 227, 6425, and 7771 of the Labor Code, to amend Sections 145, 1318, 1672, and 1673, of the Military and Veterans Code, to amend Sections 17, 18, 19.2, 33, 38, 67.5, 69, 71, 72, 72.5, 76, 95, 95.1, 96, 99, 107, 109, 113, 114, 115.1, 126, 136.7, 137, 139, 140, 142, 146a, 146e, 148, 148.1, 148.3, 148.4, 148.10, 149, 153, 156, 157, 168, 171c, 171d, 181, 182, 186.10, 186.22, 186.26, 186.28, 186.33, 191.5, 193, 193.5, 210.5, 217.1, 218.1, 219.1, 222, 237, 241.1, 241.4, 241.7, 243, 243.1, 243.6, 244.5, 245, 245.6, 246.3, 247.5, 261.5, 265, 266b, 266e, 266f, 266g, 271, 271a, 273.4, 273.6, 273.65, 273d, 278, 278.5, 280, 284, 288.2, 290.018, 290.4, 290.45, 290.46, 298.2, 299.5, 311.9, 313.4, 337.3, 337.7, 337b, 337c, 337d, 337e, 337f, 350, 367f, 367g, 368, 374.2, 374.8, 375, 382.5, 382.6, 386, 387, 399.5, 404.6, 405b, 417,

417.3, 417.6, 422, 422.7, 453, 455, 461, 463, 464, 470a, 470b, 473, 474, 478, 479, 480, 481, 483.5, 484b, 484i, 487b, 487d, 489, 496, 496a, 496d, 499c, 499d, 500, 502, 506b, 520, 529, 529a, 530.5, 532a, 532f, 533, 535, 537e, 538.5, 548, 549, 550, 551, 560, 560.4, 566, 570, 577, 578, 580, 581, 587, 587.1, 591, 593, 594, 594.3, 594.35, 594.4, 597, 597.5, 598c, 598d, 600, 601, 610, 617, 620, 621, 625b, 626.9, 626.95, 626.10, 629.84, 631, 636, 637, 647.6, 653f, 653h, 653j, 653s, 653t, 653u, 653w, 664, ~~666~~, ~~666.5~~, 667.5, 668, 800, 801, 803, 836.6, 1168, 1170, 1174.4, 1203.016, 1208.2, 1213, 1320, 1320.5, 2600, 2650, 2772, 2790, 2900.5, 2932, 3000, 3000.1, 3001, 3003, 3056, 3057, 4011.7, 4016.5, 4019, 4131.5, 4501.1, 4502, 4530, 4532, 4533, 4536, 4550, 4573, 4573.6, 4573.9, 4574, 4600, 11411, 11413, 11418, 11419, 12021, 12021.1, 12021.5, 12022, 12022.5, 12022.9, 12025, 12035, 12040, 12072, 12076, 12090, 12101, 12220, 12280, 12281, 12303.3, 12303.6, 12304, 12312, 12320, 12355, 12370, 12403.7, 12422, 12520, 18715, 18720, 18725, 18730, 18735, 18740, 20110, 22810, 22910, 23900, 25110, 25300, 25400, 25850, 27590, 28250, 29700, 30315, 30600, 30605, 30725, 31360, 32625, and 33410 of, to add Sections 17.5, 1203.018, 1230.1, 2057, 3000.08, and 3000.09 to, to add Title 2.05 (commencing with Section 3450) to Part 3 of, and to repeal Sections 3060 and 3061 of, the Penal Code, to amend Sections 10283 and 10873 of the Public Contract Code, to amend Sections 5097.99, 14591, 25205, and 48680 of the Public Resources Code, to amend Sections 7680, 7724, 7903, and 21407.6 of the Public Utilities Code, to amend Sections 7093.6, 9278, 14521, 16910, 18631.7, 19705, 19708, 30459.15, 32471.5, 32555, 38800, 40211.5, 41171.5, 43522.5, 43606, 45867.5, 45955, 46628, 46705, 50156.18, 55332.5, 55363, and 60637 of the Revenue and Taxation Code, to amend Sections 2478, 2800.4, 4463, 10501, 10752, 10801, 10802, 10803, 10851, 21464, 21651, 23104, 23105, 23109, 23109.1, 23110, 23550, and 42000 of the Vehicle Code, to amend Section 13387 of the Water Code, and to amend Sections 871.5, 1001.5, 1731.5, 1768.7, 1768.85, 3002, 7326, 8100, 8101, 8103, 10980, 14107.2, 14107.3, 14107.4, and 17410 of, and to add Section 1710.5 to, the Welfare and Institutions Code, relating to criminal justice realignment, making an appropriation therefor, to take effect immediately, bill related to the budget.

[Approved by Governor April 4, 2011. Filed with  
Secretary of State April 4, 2011.]

LEGISLATIVE COUNSEL'S DIGEST

AB 109, Committee on Budget. Criminal justice alignment.

(1) Existing law defines a felony as a crime which is punishable with death or by imprisonment in the state prison. Existing law also provides that except in cases where a different punishment is prescribed by law, every offense declared to be a felony, or to be punishable by imprisonment in a state prison, is punishable by imprisonment in any of the state prisons for 16 months, or 2 or 3 years. Every offense which is prescribed to be a felony punishable by imprisonment in any of the state prisons or by a fine, but

without an alternate sentence to the county jail, may be punishable by imprisonment in the county jail not exceeding one year or by a fine, or by both.

This bill would instead provide that a felony is a crime that is punishable with death, by imprisonment in the state prison, or notwithstanding any other provision of law, by imprisonment in a county jail for more than one year. The bill would generally provide that felonies are punishable by imprisonment in a county jail for 16 months, or 2 or 3 years. The bill provides exceptions to imprisonment in a county jail for a variety of felonies, including serious felonies and violent felonies, as defined, felonies requiring registration as a sex offender, and when the defendant has a prior conviction for a serious or violent felony, or a felony subjecting the defendant to registration as a sex offender, among other exceptions.

The bill would authorize counties to contract with the Department of Corrections and Rehabilitation for beds in state prisons for the commitment of persons from the county convicted of a felony.

(2) Existing law establishes within the Department of Corrections and Rehabilitation, the Division of Juvenile Justice, consisting of the Division of Juvenile Facilities, the Division of Juvenile Programs, and the Division of Juvenile Parole Operations, which operate the statewide system governing wards of the court and other persons committed to the department, and the detention, rehabilitation, probation, and parole thereof. Under existing law, and under specified circumstances, the juvenile court is authorized to commit persons to the Division of Juvenile Justice.

This bill would provide that on and after July 1, 2011, unless a county has entered a memorandum of understanding with the state, the Division of Juvenile Justice shall no longer accept any juvenile offender commitments from the juvenile courts. The bill would, notwithstanding any other law and on and after July 1, 2011, authorize a county to enter into a memorandum of understanding with the state to provide for the admission of minors adjudicated for specified offenses to the Division of Juvenile Justice.

(3) Existing law authorizes the board of supervisors of any county to authorize the correctional administrator to offer a program under which minimum security inmates and low-risk offenders committed to a county jail or other county correctional facility or granted probation, or inmates participating in a work furlough program, may voluntarily participate in a home detention program in lieu of confinement in the county jail or other county correctional facility under the auspices of the probation officer. Existing law provides that the board of supervisors of any county may, upon determination by the correctional administrator that conditions in a jail facility warrant the necessity of releasing sentenced misdemeanor inmates prior to their serving the full amount of a given sentence due to lack of jail space, offer a program under which specified inmates may be required to participate in an involuntary home-detention program.

This bill would enhance the authorization granted to the correctional administrator to offer a voluntary home detention program to include all inmates and additionally subject those inmates to involuntary participation

in a home detention program. The bill would provide that the board of supervisors of any county may authorize the correctional administrator to offer a program under which inmates being held in lieu of bail may be placed in an electronic monitoring program, as specified. The bill would establish criteria for inmates to be eligible for the electronic monitoring program. The bill would make it a misdemeanor for any inmate who is a participant in an electronic monitoring program to fail to comply with the prescribed rules and regulations. By creating a new crime, the bill would impose a state-mandated local program.

(4) Existing law provides for an administrative and application fee for specified work furlough and voluntary electronic home detention program participants. Existing law limits the fees to the pro rata cost of the program to which the person is accepted, as specified. Existing law exempts privately operated voluntary electronic monitoring programs from this fee limitation.

This bill would additionally exempt electronic monitoring programs created by this bill from the fee limitation.

(5) Existing law provides that in all felony and misdemeanor convictions when the defendant has been in custody, including, but not limited to, any time spent in a jail, camp, work furlough, facility, halfway house, rehabilitation facility, hospital, prison, juvenile detention facility, or similar residential institution, all days of custody of the defendant, including days served as a condition of probation credited to the period of confinement, as specified, shall be credited upon his or her term of imprisonment, or credited to any fine, as specified.

This bill includes all days served in a home detention program to that provision, as specified. The bill would also provide that time served in a home detention program, as specified, shall qualify as mandatory time in jail.

(6) Existing law provides that in regards to persons sentenced to the state prison, except for certain specified prisoners, for every 6 months of continuous incarceration, a prisoner shall be awarded credit reductions from his or her term of confinement of 6 months, as specified, and that a lesser amount of credit based on this ratio shall be awarded for any lesser period of continuous incarceration. Credit accumulated pursuant to those provisions may be denied or lost for any specified act committed by the prisoner, including acts for misconduct that could be prosecuted as a felony or a misdemeanor, or misconduct that is a serious disciplinary offense. Existing law requires the Department of Corrections and Rehabilitation to provide notice to a prisoner regarding the denial or loss of credits and permits the prisoner to appeal the decision of the department, as specified.

This bill would provide that credit accumulated while a prisoner is confined to a county jail, city jail, industrial farm, or road camp may be denied or lost for any specified act. The bill would require, for those prisoners confined to a county jail, city jail, industrial farm, or road camp, the sheriff or director of the county correctional department to provide notice to a prisoner regarding the denial or loss of credits and would permit the prisoner to appeal the decision of the sheriff or director of the county



correctional department, as specified. By imposing additional duties on local law enforcement agencies, this bill would impose a state-mandated local program.

(7) Existing law provides time credit for work performance and good behavior to prisoners confined to a county jail, industrial farm, or road camp, or any city jail, industrial farm, or road camp. Specifically, except regarding certain prisoners who are limited to 15% credit against sentenced time, existing law provides that a term of 6 days will be deemed to have been served for every 4 days spent in actual custody, as specified.

This bill would require, for prisoners whose crimes are committed on or after July 1, 2011, except those who are limited to 15% credit against sentenced time, and who are confined to a county jail, city jail, industrial farm, or road camp, that a term of 4 days be deemed to have been served for every 2 days spent in actual custody, as specified.

(8) Existing law generally provides that the Board of Parole Hearings, a state agency, shall have the power to allow prisoners imprisoned in the state prisons to go upon parole outside the prison walls and enclosures, as specified. Existing law authorizes each county to establish a local Community Corrections Partnership to provide a system of felony probation supervision services, as specified.

This bill would enact the Postrelease Community Supervision Act of 2011 to provide that any person released from prison on or after July 1, 2011, after serving a term in prison for certain felonies that are, among other things, not serious or violent, shall be subject to, for a period not exceeding 3 years, community supervision provided by a county agency designated by that county's board of supervisors, as prescribed. By imposing additional duties as local agencies, this bill would impose a state-mandated local program. The bill would also require the courts to establish a process to determine if there has been a violation of the conditions of the postrelease supervision, and the courts would be authorized to take certain actions upon such a finding. The bill would establish within each county local Community Corrections Partnership an executive committee, as specified, to recommend a local plan to the county board of supervisors on how the 2011 public safety realignment should be implemented within that county.

(9) Existing law generally commits persons convicted of felonies to the jurisdiction of the Department of Corrections and Rehabilitation. Existing law also provides for parole of those felons, under the jurisdiction of the Board of Parole Hearings.

This bill would limit the jurisdiction of the Board of Parole Hearings for purposes of parole supervision by providing that persons who are released from prison after serving terms for a serious felony, as defined, a violent felony, as defined, a term imposed because of 2 or more prior felony convictions, as specified, or a term for an offense whereby the person may be classified as a High Risk Sex Offender, would be subject to parole supervision by the department or the court, as specified.

The bill would require that any parolee who was paroled from state prison prior to July 1, 2011, be subject to certain parole supervision requirements,

including, but not limited to, that he or she remain under the supervision of the department until a specified circumstance occurs, and that those parolees, being held for a parole violation in county jail on July 1, 2011, be subject to the jurisdiction of the board. Eligible parolees released from prison after serving terms for a serious felony, a violent felony, a term imposed because of 2 or more prior felony convictions, as specified, or a term for an offense whereby the person may be classified as a High Risk Sex Offender, whose parole is revoked by the board, would be remanded to state prison, and after his or her release jurisdiction over the parolee would remain under the Division of Adult Parole Operations. Any subsequent revocation action would be conducted by the court in the county into which the parolee was released.

(10) Existing law, as amended by Proposition 83 when that initiative was approved by the voters at the November 7, 2006, statewide general election, requires a person who has been convicted of a specified sex offense and who has been released on parole from state prison, to be discharged from parole by the board if he or she has been on parole continuously for 6 years since release from confinement, or 20 years in the case of conviction for specified sex offenses, unless the board determines, for good cause, that the person will be retained on parole. A measure that amends Proposition 83 requires a  $\frac{2}{3}$  vote in each house unless the measure expands the scope of the application of the proposition's provisions or increases the punishments or penalties provided therein.

This bill would transfer the above-referenced duties from the board to the courts. The bill would increase the above-described parole periods to 6  $\frac{1}{2}$  years and 20  $\frac{1}{2}$  years, respectively.

(11) Existing law generally requires an inmate who is released on parole to be returned to the county that was the last legal residence of the inmate prior to his or her incarceration. Existing law also requires the department to release specified information regarding paroled inmates to local law enforcement, as specified, and to control and be responsible for the Law Enforcement Automated Data System (LEADS) regarding that information.

This bill would generally require an inmate who is released under a postrelease supervision program to be returned to the county that was the last legal residence of the inmate prior to his or her incarceration. The bill would also require the Department of Corrections and Rehabilitation to include information on inmates released under a postrelease supervision program in LEADS. The bill would require county agencies supervising inmates released under a postrelease supervision program to provide to the department any inmate information requested by the department that is to be used in LEADS. By imposing new duties on local agencies, the bill would impose a state-mandated local program.

(12) The bill would make additional conforming changes.

(13) By imposing additional burdens on local government entities, this bill would impose a state-mandated local program.

(14) The bill would become operative no earlier than July 1, 2011, and only upon creation of a community corrections grant program to assist in implementing this act and upon an appropriation to fund the grant program.

(15) This bill would appropriate \$1,000 from the General Fund to the Department of Corrections and Rehabilitation for purposes of state operations.

(16) The California Constitution requires the state to reimburse local agencies and school districts for certain costs mandated by the state. Statutory provisions establish procedures for making that reimbursement.

This bill would provide that with regard to certain mandates no reimbursement is required by this act for a specified reason.

With regard to any other mandates, this bill would provide that, if the Commission on State Mandates determines that the bill contains costs so mandated by the state, reimbursement for those costs shall be made pursuant to the statutory provisions noted above.

(17) The California Constitution authorizes the Governor to declare a fiscal emergency and to call the Legislature into special session for that purpose. The Governor issued a proclamation declaring a fiscal emergency, and calling a special session for this purpose, on January 20, 2011.

This bill would state that it addresses the fiscal emergency declared by the Governor by proclamation issued on January 20, 2011, pursuant to the California Constitution.

(18) This bill would declare that it is to take effect immediately as a bill providing for appropriations related to the Budget Bill.

Appropriation: yes.

*The people of the State of California do enact as follows:*

SECTION 1. This act is titled and may be cited as the 2011 Realignment Legislation addressing public safety.

SEC. 2. Section 585 of the Business and Professions Code is amended to read:

585. Any person, company, or association violating the provisions of this article is guilty of a felony and upon conviction thereof shall be punishable by a fine of not less than two thousand dollars (\$2,000) nor more than six thousand dollars (\$6,000), or by imprisonment pursuant to subdivision (h) of Section 1170 of the Penal Code. The enforcement remedies provided under this article are not exclusive and shall not preclude the use of any other criminal, civil, or administrative remedy.

SEC. 3. Section 650 of the Business and Professions Code is amended to read:

650. (a) Except as provided in Chapter 2.3 (commencing with Section 1400) of Division 2 of the Health and Safety Code, the offer, delivery, receipt, or acceptance by any person licensed under this division or the Chiropractic Initiative Act of any rebate, refund, commission, preference, patronage dividend, discount, or other consideration, whether in the form

Print Form

# Introduction Form

By a Member of the Board of Supervisors or the Mayor

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SAN FRANCISCO

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I hereby submit the following item for introduction (select only one):

- 1. For reference to Committee. (An Ordinance, Resolution, Motion, or Charter Amendment)
- 2. Request for next printed agenda Without Reference to Committee.
- 3. Request for hearing on a subject matter at Committee.
- 4. Request for letter beginning "Supervisor [ ] inquires"
- 5. City Attorney request.
- 6. Call File No. [ ] from Committee.
- 7. Budget Analyst request (attach written motion).
- 8. Substitute Legislation File No. [ ]
- 9. Reactivate File No. [ ]
- 10. Question(s) submitted for Mayoral Appearance before the BOS on [ ]

Please check the appropriate boxes. The proposed legislation should be forwarded to the following:

- Small Business Commission       Youth Commission       Ethics Commission
- Planning Commission       Building Inspection Commission

**Note: For the Imperative Agenda (a resolution not on the printed agenda), use a Imperative Form.**

**Sponsor(s):**

Kim

**Subject:**

Contract Amendment- Leaders in Community Alternative, Inc. - Operations of the Community Assessment and Services Center (CASC) - Reentry Service - Not to Exceed \$11,490,153

**The text is listed below or attached:**

Attached

Signature of Sponsoring Supervisor: 

For Clerk's Use Only:

**FORM SFEC-126:**  
**NOTIFICATION OF CONTRACT APPROVAL**  
(S.F. Campaign and Governmental Conduct Code § 1.126)

<b>City Elective Officer Information</b> <i>(Please print clearly.)</i>	
Name of City elective officer(s): SF Board of Supervisors	City elective office(s) held: Members, SF Board of Supervisors

<b>Contractor Information</b> <i>(Please print clearly.)</i>	
Name of contractor: Leaders in Community Alternatives, Inc.	
<i>Please list the names of (1) members of the contractor's board of directors; (2) the contractor's chief executive officer, chief financial officer and chief operating officer; (3) any person who has an ownership of 20 percent or more in the contractor; (4) any subcontractor listed in the bid or contract; and (5) any political committee sponsored or controlled by the contractor. Use additional pages as necessary.</i>	
(1) Ordan Trabelsi (sole board member) (2) Linda Connelly (CEO), Kent Borowick (CFO/COO) (3) SuperCom Ltd (NASDAQ: SPCB) owns 100% of LCA stock (4) Anders and Anders Foundation, Bayview Hunters Point Multipurpose Senior Services, Center for Juvenile and Criminal Justice, Microbiz Security Company, Lowercase Productions, Rivera Consulting Group, America Works, Community Works, JWM Janitorial Services (5) None	
Contractor address: 160 Franklin Street, Suite 310 Oakland, CA 94607	
Date that contract was approved:	Amount of contract: \$11,490,153
Describe the nature of the contract that was approved: Operation of the Community Assessment and Services Center, a one stop reentry services facility, for San Francisco Adult Probation.	
Comments:	

This contract was approved by (check applicable):

the City elective officer(s) identified on this form (Mayor, Edwin Lee)

a board on which the City elective officer(s) serves San Francisco Board of Supervisors

Print Name of Board

the board of a state agency (Health Authority, Housing Authority Commission, Industrial Development Authority Board, Parking Authority, Redevelopment Agency Commission, Relocation Appeals Board, Treasure Island Development Authority) on which an appointee of the City elective officer(s) identified on this form sits

Print Name of Board

<b>Filer Information</b> <i>(Please print clearly.)</i>	
Name of filer: Clerk of the Board of Supervisors, Angela Calvillo	Contact telephone number: (415) 554-5184
Address: 1 Dr. Carlton B. Goodlett Place, San Francisco, CA 94102	E-mail: board.of.supervisors@sfgov.org

\_\_\_\_\_  
Signature of City Elective Officer (if submitted by City elective officer)

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Signature of Board Secretary or Clerk (if submitted by Board Secretary or Clerk)

\_\_\_\_\_  
Date Signed

