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County of Los Angeles CHIEF EXECUTIVE OFFICE

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SACHI A. HAMAI
Chief Executive Officer

Board of Supervisors
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First District

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Fifth District

April 6, 2016

To: Supervisor Hilda L. Solis, Chair
Supervisor Mark Ridley-Thomas
Supervisor Sheila Kuehl
Supervisor Don Knabe
Supervisor Michael D. Antonovich

From: Sachi A. Hamai
Chief Executive Officer

REPORT BACK – DRAFT OF THE CONSULTANT’S SCOPE OF WORK FOR REVIEW AND RECOMMENDATION OF BEST PRACTICES OF THE PROBATION GOVERNANCE (ITEM NO. 9, AGENDA OF FEBRUARY 16, 2016)

On February 16, 2016, the Board approved a motion to explore best practices in the field of Probation governance instituted nationally and internationally. In this effort, the Board directed the Chief Executive Office, in consultation with the Interim Chief Probation Officer, to report back to the Board with a draft scope of work to be utilized by the consultant.

The attached for your review is the draft scope of work completed with the assistance of the Auditor-Controller, the Interim Chief Probation Officer and the Working Group established in the February 2, 2016, Civilian Oversight Commission motion by Supervisor’s Kuehl and Ridley-Thomas.

Should you have any questions, please contact Sheila Williams, Public Safety, at (213) 974-1155.

SAH:SW:DC:cc

c: Executive Office, Board of Supervisors
County Counsel
Auditor-Controller
Probation

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STATEMENT OF WORK

PROBATION GOVERNANCE MODEL CONSULTING SERVICES

I. BACKGROUND

On February 16, 2016, the Los Angeles County (County) Board of Supervisors (Board) approved a motion authorizing the Chief Executive Officer (CEO) to retain an independent Consultant with expertise in probation system reform efforts, criminal and juvenile justice matters, and youth development to examine the current structure of the Probation Department (Probation or Department). The Consultant was instructed to work in collaboration with the Interim Chief Probation Officer and the CEO in consultation with the Probation Oversight Commission Working Group (Working Group) established through the February 2, 2016 motion on Probation oversight.

II. OBJECTIVES

The Consultant shall review and evaluate Probation's organizational structure and the logistics of changing the structure, as well as study other national and international models and best practices of criminal justice reform (for both juveniles and adults). The Consultant shall provide the Board with recommendations on the Probation Governance Model to enhance program services that better meet the needs of those involved in the probation system.

III. SCOPE OF WORK

The Consultant will work independently; though will collaborate with the Department of Auditor-Controller (A-C), the Interim Chief Probation Officer and the CEO and consult with the Working Group, to provide an analysis and assessment of the Department's structure as well as a set of recommendations to the Board in a timely and thorough fashion. The Consultant shall perform the following:

Study of Best Practices in Criminal Justice Reform

- A. Identify research and best practices in staffing, programs, and interventions to meet the needs of probation involved youth, 18 – 24 year olds (transitional age youth or TAY), and adult populations. Specifically, identify the:
 - 1) Characteristics and developmental needs for each population.

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- 2) Staffing models, including specific education, experience and traits of staff, which are the most appropriate for working with each population.
 - 3) Programs and interventions appropriate for each population that supports a high quality needs-based continuum of physical health, trauma-informed mental health, and substance abuse support (in consultation with appropriate departments such as the Department of Mental Health).
 - 4) High quality education and/or workforce training models/programs for each population (in consultation with appropriate departments/County-related agencies such as the Los Angeles County Office of Education).
- B. Identify regional, national, and international models in promoting rehabilitation and public safety and the above best practices for juveniles, TAY, and adults.
- 1) Identify other model jurisdictions, including at a minimum, two other counties in the State of California (State), three national models (states or counties), and two international models.
 - 2) For each model, include information comparing:
 - i. The span of control and number of management levels.
 - ii. The budget structure, including for juveniles and adults.
 - iii. Qualitative and quantitative factors demonstrating the success of the model (i.e., information on rehabilitative and vocational/job training programs, recidivism rates, high school graduation or General Education Development rates by probation youth, etc.)

Study of the Probation Department's Current Structure and Effectiveness

- C. Perform an assessment of the strengths and weaknesses of the Department's current organizational structure by assessing the extent to which the structure meets the needs of the populations and is in line with best practices and the regional, national, and international models discussed above.
- D. Perform an assessment of the Department's budget, funding sources, and operations. Specifically, the Consultant shall:
- 1) Compare Probation's budget, funding sources, and staffing for Fiscal Years (FY) 2014-15, FY 2013-14 and FY 2012-13 and with other jurisdictions identified above for the same time periods. The comparison should be done department-wide, and by juvenile and

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adult operations and should separately include direct and indirect costs (categorical and restrictive).

- 2) Identify the annual federal and State revenues received for FY 2014-15, FY 2013-14 and FY 2012-13 allocated between adult and juvenile populations. Determine the amounts that are flexible or otherwise discretionary.
 - i. Assess the management of federal and State revenues, and compliance with statutory funding requirements (e.g., Juvenile Justice Crime Prevention Act funds).
 - ii. Compare the management and use of federal and State funds with those allocated to other relevant, model jurisdictions identified above.
- 3) Conduct an assessment of available discretionary funds, what they are used for, and the effect on the juvenile, TAY, and adult populations.

E. Evaluate hiring and training practices within the Department for the juvenile, TAY, and adult populations. Specifically, identify and recommend the education, experience, training, and traits most appropriate for working with the youth, TAY, and adult populations separately. In addition, the Consultant shall identify:

- 1) The number of existing Probation staff that possess the education, experience, training, and traits.
- 2) The number of additional staff and training(s) needed (if any) and the corresponding funding needs.

F. Conduct an assessment of long term options for probation facilities, including but not limited to consolidation, repurposing, and potential closure.

Evaluate the Logistics of Changing the Department

G. Evaluate the feasibility and identify the logistic needs of the following options. For each option, consider the impact the changes will have on the TAY population who are involved in the probation system, and the impact on other County departments:

- 1) Establishing separate departments for juvenile (up to 18 years old), and adult probationers.

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- 2) Establishing separate departments with juvenile and TAY (up to 24 years old) probationers in one department, and adult probationers in the other.
- 3) Splitting the Department into two units – one for juvenile (up to 18 years old), and one for adult – with an executive manager for each, but one department head.
- 4) Splitting the Department into two units – one for juvenile and TAY (up to 24 years old), and one for adult – with an executive manager for each, but one department head.
- 5) Remaining as one Department and splitting the budget units into two separate units to establish a fiscal separation for juvenile and adult services. In addition, recommend where the TAY population should be placed, or whether the Department should to create a third budget unit to track TAY services.
- 6) Merging one or more of the Department's operations within existing County departments.

Final Analysis and Recommendation

- H. Provide a finalized written analysis of this research that includes recommendations to the Board on the Probation Governance Model, including the impact on adult and youth clients as well as existing staff.

IV. FIELDWORK DELIVERABLES

- A. The Consultant shall schedule an Entrance Conference with the CEO Project Manager (or designee) within 48 hours of the execution of this contract.
- B. The Consultant shall submit a work plan/schedule to the CEO Project Manager within three business days of the execution of this contract. The work plan/schedule shall include a timeline that corresponds with the deadlines of this work order.
- C. The Consultant shall provide weekly status updates to the CEO Project Manager.
- D. The Consultant shall attend and present status updates at Working Group and Public Safety CAR meetings. (Date(s) to be determined)
- E. The CEO shall monitor the status updates to ensure successful completion of the Work Order within the schedule. Each weekly status update provided by the Consultant shall include the following information:

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1. List of accomplishments during the reporting period.
 2. Summary of project status as of reporting date.
 3. Tasks and other work to be completed during the next reporting period.
 4. Description of any issues to be resolved.
- F. The Consultant shall immediately notify the CEO Project Manager of any difficulties encountered that could jeopardize the completion of the Work Order or milestones or deliverables with the agreed upon schedule.

V. REPORT DELIVERABLES

- A. The Consultant shall provide ## copies of the draft report to the CEO, A-C, and Interim Chief Probation Officer no later than (DATE). In addition, provide copies of the draft report to the Working Group at least 48 hours prior their meeting.
- B. The Consultant shall provide ## copies of the final report to the CEO, A-C, and Interim Chief Probation Officer no later than (DATE). The Consultant should also provide copies of the final report to the Working Group at least 48 hours prior their meeting. In addition, one electronic copy of the draft report shall be submitted in a Microsoft Word file with no security provisions (via email) to the County Project Manager by the "DRAFT REPORT DUE DATE" shown on the first page of this document.
- C. The Consultant's reports must be submitted in a single-sided format, single-spaced with each page numbered. The cover letter must be on the firm's letterhead, addressed to the CEO and signed and dated by the Consultant's Project Administrator with his/her title clearly identified. All reports shall indicate the date the review was completed and include a table of contents.



SACHI A. HAMAI
Chief Executive Officer

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May 12, 2016

To: Supervisor Hilda L. Solis, Chair
Supervisor Mark Ridley-Thomas
Supervisor Don Knabe
Supervisor Sheila Kuehl
Supervisor Michael D. Antonovich

From: Sachi A. Hamai
Chief Executive Officer

Board of Supervisors
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STATUS REPORT ON COORDINATED REVIEW OF PROBATION CHALLENGES

On April 18, 2016, the Chief Executive Office (CEO) convened a meeting that included representatives from the Departments of Auditor-Controller (A-C), Chief Executive Office, County Counsel (CoCo), Human Resources (DHR), and Probation Department (Department) to coordinate reviews of the management and administrative challenges at Probation. In many instances, the reviews address issues raised in prior reports to the Board or in recent Board actions. The action areas include:

1. Organizational Structure and Oversight
2. Staff Recruitment, Selection, Promotions and Training
3. Fiscal Controls
4. Creation of Data Driven Systems
5. Court Collaboration in Juvenile Case Planning
6. Contracting with Community Based Organizations
7. Average Daily Cost per Youth
8. Maintenance of Juvenile Institutions
9. AB109

This memorandum serves to provide a status of the key actions taken to address the nine areas noted above.

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KEY ACTIONS TAKEN

Action Item #1: Organizational Structure and Oversight
Deliverable(s): Establish Stronger Leadership and Accountability
Lead Depts: Probation, CEO and CoCo
Due Date: To Be Determined (TBD)

Calvin C. Remington, Interim Chief Probation Officer has begun addressing some of the Department's organizational challenges through various administrative actions. In April 2016, Mr. Remington took initial steps to reassign managers to oversee areas that better utilized their experience and skillset. This month, Mr. Remington anticipates completing phase two of his management reassignments. Additional management changes are forthcoming.

The Board also has approved two separate motions, which are:

- 1) February 2, 2016 – Establishes a working group to assess the current landscape of entities tasked with evaluating, monitoring and/or correcting the work of the Department, including the feasibility of establishing a permanent Probation Oversight Commission, similar to that recently established to oversee the Sheriff's Department, to oversee the operations of the Department.

Status: In progress and will have a direct impact on the Department. The Working Group has begun meeting on a bi-monthly basis starting in April 2016. It is currently in the information gathering phase of its task of evaluating the various entities involved with the Department. The Working Group anticipates that it will take a minimum of two months for this review phase.

- 2) February 16, 2016 – Authorizes the CEO, in conjunction with the Executive Director of the Countywide Criminal Justice Coordination Committee (CCJCC), Interim Chief Probation Officer, and the A-C, to engage a consultant with expertise in best practices of probation system reform efforts, criminal and juvenile justice matters, and youth development for the Probation Governance Model review.

Status: In progress and will have a direct impact on the Department. The solicitation for the consultant for the Probation Governance Model review was released to potential vendors on April 14, 2016 with a proposal submittal due date of May 5, 2016. However, the deadline was recently extended to May 16, 2016. In addition, on May 4th, and May 9th – 11th, various meetings occurred between the Department, CEO, A-C, DHR and CoCo to address the next steps of each department towards achieving the goals outlined in this motion.

Action Item #2: Staff Recruitment, Selection, Promotions, and Training
Deliverable(s): Use of Best Practice in Hiring, Promoting, and Training Employees
Due Date: 60 days for Initial Review
Lead Depts: DHR, CEO, and Probation

On April 20, 2016 representatives from DHR and CEO met to discuss the Department's staff recruitment, selection, promotional, training, and how DHR may assist with this task. A follow up meeting with DHR's Impact Team (Team) was held on April 28, 2016. The Team is developing a work plan to include best practices to assist the Department to improve its human resource operations, as well as overall staffing and promotional practices. DHR's work plan will also include a review of training to identify where additional training will enhance Probation staff/management's ability to perform their job duties. The Team will also review the Department's use of staff with criminal justice backgrounds, and examine best practices and trends for staffing and meeting the needs of juveniles supervised by the Department's staff. In addition, DHR will explore a therapeutic model of training staff with an emphasis on trauma informed care.

Action Item #3: Fiscal Controls
Deliverable(s): Establish Accounting and Administrative Controls to Monitor and Maintain Compliance with County Fiscal Policy
Due Date: August 31, 2016
Lead Depts: Probation, A-C, and CEO

On April 25, 2016, representatives from the CEO, A-C, and the Department met to discuss the status of prior audit recommendations and fiscal controls related to trust funds, accounts payable, special revenue, and budgeting. The Department has taken action to implement many of the A-C's prior recommendations and is in the process of ensuring all remaining recommendations are implemented. In addition, the Department's fiscal staff will be working with the CEO and A-C to develop additional administrative controls to ensure better tracking and monitoring of its budget and

various revenues sources to ensure revenue is maximized. On May 9, 2016, a follow up meeting was held to discuss the Department's progress in implementing the A-C's recommendations. The A-C will be requested to perform an independent follow up review to verify that the Department has taken appropriate corrective action(s).

Action Item #4: Creation of Data Driven Systems
Deliverable(s): Create Data Sets and Monitoring Reports to Track Outcomes and Inform Practice and Policy Decisions
Due Date: December 31, 2016
Lead Depts: Probation

In April 2016, the Department hired a consultant, Dr. Michael Schumacher, who is a former Chief Probation Officer with over 26 years of experience in the probation field, to assist in evaluating the existing research, program evaluation, and quality assurance unit for the Department. The objective is to create a unit that will ensure regular and consistent reporting of key outcomes to inform practice, programming and policy decisions, and ensures ongoing evaluation of juvenile justice programs and interventions, and their effectiveness.

Action Item #5: Court Collaboration in Juvenile Case Planning
Deliverable(s): To Increase Front End Collaboration Between the Courts and the Department as Well as Improve Services Offered in Court Ordered Juvenile Case Plans
Due Date: TBD
Lead Depts: Probation, CEO and CoCo

On May 4, 2016, the CEO met with CoCo to discuss collaboration with the courts in juvenile case planning, the two previously referenced Board motions, contracting with CBOs, and the general assistance CoCo can provide with this review. A follow up meeting will be scheduled by the CEO with the Department, and CoCo, at which time more detailed discussions will occur and a timeline established for this action item.

Action Item #6: Contracting with Community-Based Organizations (CBOs)
Deliverable(s): Develop Recommendations to Streamline Board-Directed Allocation of Grant Funds to CBOs
Due Date: TBD
Lead Depts: Probation, Internal Services Department (ISD), CEO and CoCo

In the next few weeks, a meeting will be scheduled with Probation, ISD, and CoCo to discuss ways to streamline contracting with CBOs.

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Action Item #7: Average Daily Cost Per Youth
Deliverable(s): Report Analyzing the Average Daily Cost to Operate Probation's Juvenile Institutions
Due Date: July 31, 2016
Lead Depts: CEO, A-C, and Probation

On June 24, 2015, the A-C issued a report that indicated that the Department's cost of operating its juvenile institutions was much higher than the other large counties surveyed. CEO staff is taking the lead on this task and has requested juvenile hall and camp costs from the four counties included in the A-C report and two additional counties. We have begun reviewing information received from some counties but are still waiting for the remaining counties that have yet to provide the requested information. A meeting with CEO Capital Projects has also occurred and tours of selected juvenile halls and camps were conducted. We are also reviewing the Department's historical hall and camp population data. Bi-weekly meetings will be scheduled with staff to monitor their progress on this task.

Action Item #8: Maintenance of Juvenile Institutions
Deliverable(s): Develop a Plan to Address Deferred Maintenance at Probation Juvenile Institutions
Due Date: TBD
Lead Depts: Probation, CEO, and ISD

On April 25, 2016, the Department brought back a former Probation manager with over 40 years of service as a 120 day retiree to consult and advise management on facility management and maintenance, procurement, and emergency preparedness. The manager has a wealth of knowledge and history that will provide a needed contribution to the Department's Management Services Bureau. The manager will be tasked with working with CEO and ISD to review the Department's list of deferred maintenance projects so that work can be properly prioritized with consideration given to the possibility of future facility closures. An initial meeting has been scheduled in mid-May with all the lead departments.

Action Item #9: AB109
Deliverable(s): Evaluate the Effectiveness of AB109 and Whether the Data Being Reported is Sufficient and Effective
Due Date: TBD
Lead Depts: CEO, CCJCC, A-C, ISAB, Probation and CoCo

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In the next few weeks, a meeting will be scheduled with the lead departments to discuss ways to evaluate the effectiveness of the AB109 services provided by the Department.

Next Steps

My office will continue to coordinate and regularly monitor the progress of each department to ensure timely reporting on each area of concern noted above. Quarterly status reports will be provided to the Board to keep you informed of our progress. The next status report will be due in 90 days.

Should you have any questions, please contact me or your staff may contact DeWitt Roberts, at (562) 940-2511 or Anna Hom-Wong, at (213) 893-2295.

SAH:JJ:SW
DR:AHW:cc

c: Executive Office, Board of Supervisors
Auditor-Controller
County Counsel
Countywide Criminal Justice Coordination Committee
Human Resources
Probation



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August 24, 2016

To: Supervisor Hilda L. Solis, Chair
Supervisor Mark Ridley-Thomas
Supervisor Sheila Kuehl
Supervisor Don Knabe
Supervisor Michael D. Antonovich

From: Sachi A. Hamai 
Chief Executive Officer

SECOND STATUS REPORT ON COORDINATED REVIEW OF PROBATION CHALLENGES

On April 18, 2016, the Chief Executive Office (CEO) convened a working group that included representatives from the Departments of Auditor-Controller (A-C), County Counsel (CoCo), Human Resources (DHR), and Probation Department (Probation) to coordinate reviews of the management and administrative challenges at Probation. In many instances, the reviews address issues raised in prior reports to the Board or in recent Board actions. The action areas include:

1. Organizational Structure and Oversight
2. Staff Recruitment, Selection, Promotions and Training
3. Fiscal Controls
4. Creation of Data Driven Systems
5. Court Collaboration in Juvenile Case Planning
6. Contracting with Community Based Organizations
7. Average Daily Cost per Youth
8. Maintenance of Juvenile Institutions
9. AB109

On May 12, 2016, we submitted our first status report. This memorandum serves to provide an update to our prior status report, including summarizing the working group's efforts to address the action areas noted above. Depending on the area, the work

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group meets at least monthly to ensure progress is being made to address issues raised in each action area.

ACTIONS AREAS

Action Item #1: Organizational Structure and Oversight
Deliverable(s): Establish Stronger Leadership and Accountability
Lead Depts: Probation, CEO, A-C and CoCo
Due Date: Ongoing

The Board also has approved two separate motions, which are:

- 1) February 2, 2016 – Establishes a working group to assess the current landscape of entities tasked with evaluating, monitoring and/or correcting the work of Probation, including the feasibility of establishing a permanent Probation Oversight Commission, similar to that recently established to oversee the Sheriff's Department, to oversee the operations of Probation.
- 2) February 16, 2016 – Authorizes the CEO, in conjunction with the Executive Director of the Countywide Criminal Justice Coordination Committee (CCJCC), Interim Chief Probation Officer, and the A-C, to engage a consultant with expertise in best practices of probation system reform efforts, criminal and juvenile justice matters, and youth development for the Probation Governance Model review.

NEW UPDATE

The working group has continued its bi-monthly meetings gathering information from the various entities involved with Probation. The working group anticipates completing its information gathering phase by mid-October 2016 and plans to have its initial recommendations on the feasibility of establishing a permanent Probation Oversight Commission by the end of November 2016.

Resource Development Associates (RDA) has been selected as the consultant for the Probation Governance Model Review. Currently, CEO, Probation and CoCo are in the process of reviewing and finalizing the contract. Due to the wide scope of the Statement of Work, RDA will be working with sensitive juvenile information that will cross over to multiple County departments which is contributing to the complexity of the contract. All parties are working towards the goal of completing the contract as soon as possible.

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Action Item #2: Staff Recruitment, Selection, Promotions, and Training
Deliverable(s): Use of Best Practice in Hiring, Promoting, and Training Employees
Lead Depts: DHR, CEO, and Probation
Due Date: 60 days for Initial Review

NEW UPDATE

On May 11, 2016, the working group consisting of representatives from the lead departments met to discuss this action item. DHR presented its work plan that included a review of Probation's recruitment practices and outreach, background processes and documentation, hiring practices, attrition, return-to-work, training, and exam and testing practices. DHR assigned two teams to concurrently study separate areas of focus. A schedule for regular meetings was established to keep the working group apprised of DHR's progress.

Short-term strategies included a review and assessment of Probation's existing recruitment practices and recruitment plan as well as to evaluate its background screening process. On July 12, 2016, the working group met and DHR representatives reported the following:

Recruitment Practices and Plan

DHR acknowledged Probation's efforts to put effective recruitment strategies in place, but identified the need for a full-time position(s) dedicated to this function. This would enable Probation to strengthen its recruitment function through increased tracking and evaluation of recruitment resources and outcomes, and provide continuous cost/benefit assessments of various recruitment activities. Furthermore, it would enable Probation to determine whether current recruitment strategies effectively reach populations that yield quality candidates who can successfully navigate the examination and background processes. In addition, it is recommended that Probation use the information gained from their online survey of applicants, which is part of the examination process, to track recruitment outcomes.

Background Screening Process

Probation has initiated steps to improve the effectiveness of the background screening process. Last month, Probation entered into a contract with three vendors to conduct polygraph screening of applicants. Also recently, Probation implemented a pre-screening questionnaire for open-competitive exams for the entry-level class of Detention Services Officer, as a front-end means to quickly identify candidates who do not meet the standards of employment and must be disqualified. However, Probation needs to track the effectiveness of the pre-screening questionnaire by tracking how many candidates are disqualified utilizing this new pre-screening tool. The DHR team

also determined that Probation needs to track and evaluate the pass rate at each phase of the background process to assess whether certain phases are unnecessarily disqualifying candidates.

The DHR team is conducting a survey of 20 agencies, including the top five most populous counties nationwide and top 15 most populous California counties participating in Standard Training of Corrections. The purpose of the survey is to determine how Probation's background process compares to similar agencies. The survey will identify best practices in background components, including timeframes, workload, and employee classifications of those performing background investigations. The summary and analysis of responses received is in progress and is expected to be completed within the next two weeks and will include more complete findings and specific recommendations.

Pending a review, a determination of whether Probation's background function is adequately staffed, properly organized; positions are assigned the appropriate scope of work, and to identify if other models could enhance the program. Also pending is a review of Probation's Background Tracking System and assessing quality of case documentation. Once completed, the DHR team will commence their evaluation of Probation's hiring practices and attrition rates in mission critical classes.

Action Item #3: Fiscal Controls
Deliverable(s): Establish Accounting and Administrative Controls to Monitor and Maintain Compliance with County Fiscal Policy
Lead Depts: Probation, A-C, and CEO
Due Date: Ongoing

NEW UPDATE

CEO, Probation and A-C representatives met in June 2016 to discuss the status of prior A-C audit recommendations. Probation's representatives indicate that their Department continues to make progress in implementing all recommendations and has assigned staff to verify that each recommendation is fully implemented.

On August 15, 2016, the A-C commenced follow up reviews at Probation to determine the implementation status of its prior audit recommendations. The A-C will report the results of its follow up reviews to the Board.

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Action Item #4: Creation of Data Driven Systems
Deliverable(s): Create Data Sets and Monitoring Reports to Track Outcomes and Inform Practice and Policy Decisions
Lead Depts: Probation
Due Date: December 31, 2016

NEW UPDATE

Since the last status report, Probation's Quality Assurance Services Bureau (QASB), along with Dr. Michael Schumacher, Consultant, prepared a Research Unit Expansion plan and a Research Plan (Research Agenda or Agenda) to further enhance the Probation's research and evaluation functions. The Expansion Plan provides a road map for staffing the QASB's Research Unit to enhance its ability to support Probation's quality assurance function, key outcome reporting, program evaluations, and pursue a research agenda that is in line with the Board of Supervisors' and Probation's vision.

The Research Agenda was developed to support the Probation's use of data and research to inform practice, programming, and policy decision-making to improve the delivery of probation-related services. The Agenda will also facilitate contributions to the fields of juvenile and criminal justice by dissemination of research findings via presentations and publications to groups beyond Probation.

Dr. Schumacher is preparing a report for the Interim Chief Probation Officer on the collection of research, program evaluation and operational data used by Probation. It will provide an assessment of Probation's current state of data collection and outcome measures and will include recommendations for improvement. The report, due mid-September, is an inventory of the data bases currently in use in Probation, the location and their functions.

Action Item #5: Court Collaboration in Juvenile Case Planning
Deliverable(s): To Increase Front End Collaboration between the Courts and Probation as Well as Improve Services Offered in Court Ordered Juvenile Case Plans
Lead Depts: Probation, CEO and CoCo
Due Date: Ongoing

NEW UPDATE

On June 30, 2016, a monthly Juvenile Justice Roundtable (Roundtable) was convened that included representatives from District Attorney, Public Defender, Alternate Public Defender, Probation, CoCo, and CEO. Judge Michael Levanas chairs the Roundtable and is assisted by Judge Donna Groman. CEO and CoCo staff provided an overview of

NEW UPDATE

We have completed our analysis of the average daily cost to operate Probation's juvenile institutions and are in the process of drafting our report and verifying the results of our analysis with Probation and A-C representatives. We estimate issuing a report to the Board before August 31, 2016.

Action Item #8: Maintenance of Juvenile Institutions
Deliverable(s): Develop a Plan to Address Deferred Maintenance at Probation Juvenile Institutions
Lead Depts: Probation, CEO, and ISD
Due Date: Ongoing

NEW UPDATE

On May 17, 2016, a working group consisting of representatives from Probation, ISD and the CEO commenced monthly meetings to discuss Probation's juvenile institutions deferred maintenance issues, capital projects, and current maintenance priorities. In addition, during June and July 2016, site visits were conducted to help identify deferred maintenance issues. Probation is developing a comprehensive list that prioritizes all unmet deferred maintenance and capital project needs. The listing will be updated quarterly and discussed amongst the working group members; with consideration given to the potential closure of certain facilities. Probation's Management Services Bureau (MSB) representatives will present the listing of the aforementioned items at its next monthly working group meeting in August.

In addition to the working group, Probation representatives actively participate in the Facilities Maintenance Standards Multi-Department Working Group, directed by the Asset Management Steering Group. Information from these meetings is being shared with Probation's MSB management team to help improve facilities maintenance standards.

Action Item #9: AB109
Deliverable(s): Evaluate the Effectiveness of AB109 and Whether the Data Being Reported is Sufficient and Effective
Lead Depts: CEO, CCJCC, A-C, ISAB, Probation and CoCo
Due Date: Ongoing

NEW UPDATE

CCJCC released a RFSQ to establish a criminal justice research and evaluation services Master Agreement with qualified organizations. Based on this Master

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Agreement list, Probation (as the lead on AB 109 evaluations) with assistance from CCJCC will release a Request for Services (RFS). The statement of work for the RFS will not be limited to Probation but will also incorporate the evaluation of other AB 109 programs supported by County departments. The RFS will be released for approximately a one-month turnaround for proposal submittals. The review, evaluation, and selection, as well as the Board process for work order approval, would then follow. The release of the RFS is targeted for August 2016.

NEXT STEPS

My office will continue to coordinate and regularly monitor the working group's progress to ensure timely reporting on each area of concern noted above. Quarterly status reports will be provided to your Board to keep you informed of our progress. The next status report will be due in 90 days.

Should you have any questions, please contact me or your staff may contact DeWitt Roberts, at (562) 940-2511 or Anna Hom-Wong, at (213) 893-2295.

SAH:JJ:SW:
RP:AHW:cc

c: Executive Office, Board of Supervisors
Auditor-Controller
County Counsel
Countywide Criminal Justice Coordination Committee
Human Resources
Internal Services
Probation



County of Los Angeles CHIEF EXECUTIVE OFFICE

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SACHI A. HAMAI
Chief Executive Officer

Board of Supervisors
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First District
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Third District
JANICE HAHN
Fourth District
KATHRYN BARGER
Fifth District

December 19, 2016

To: Supervisor Mark Ridley-Thomas, Chairman
Supervisor Hilda L. Solis
Supervisor Sheila Kuehl
Supervisor Janice Hahn
Supervisor Kathryn Barger

From: Sachi A. Hamai
Chief Executive Officer

THIRD STATUS REPORT ON COORDINATED REVIEW OF PROBATION CHALLENGES

On April 18, 2016, the Chief Executive Office (CEO) convened a working group that included representatives from the Departments of Auditor-Controller (A-C), County Counsel (CoCo), Human Resources (DHR), and Probation Department (Probation) to coordinate reviews of the management and administrative challenges at Probation. In many instances, the reviews address issues raised in prior reports to the Board or in recent Board actions. The action areas include:

1. Organizational Structure and Oversight
2. Staff Recruitment, Selection, Promotions and Training
3. Fiscal Controls
4. Creation of Data Driven Systems
5. Court Collaboration in Juvenile Case Planning
6. Contracting with Community Based Organizations
7. Average Daily Cost per Youth
8. Maintenance of Juvenile Institutions
9. Assembly Bill (AB) 109

On August 24, 2016, we submitted our second status report. This memorandum serves to provide an update to our prior two status reports, including summarizing the working group's efforts to address the action areas noted above. Depending on the area, the work group meets at least monthly to ensure progress is being made to address issues raised in each action area.

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ACTION AREAS

Action Item #1: Organizational Structure and Oversight
Deliverable(s): Establish Stronger Leadership and Accountability
Lead Depts: Probation and CEO
Due Date: Ongoing

The Board also has approved two separate motions, which are:

- 1) February 2, 2016 – Establishes a working group to assess the current landscape of entities tasked with evaluating, monitoring and/or correcting the work of the Probation, including the feasibility of establishing a permanent Probation Oversight Commission, similar to that recently established to oversee the Sheriff's Department (Sheriff), to oversee the operations of Probation.
- 2) February 16, 2016 – Authorizes the CEO, in conjunction with the Executive Director of the Countywide Criminal Justice Coordination Committee (CCJCC), Interim Chief Probation Officer, and the A-C, to engage a consultant with expertise in best practices of probation system reform efforts, criminal and juvenile justice matters, and youth development for the Probation Governance Model review.

UPDATE

The Probation Oversight Commission Working Group (POCWG) concluded its bi-monthly meetings which involved gathering information from the various entities involved with Probation. The PCWGW has also completed its recommendation on the feasibility of establishing a permanent Probation Oversight Commission. The report will be presented at the December 21, 2016, Public Safety Cluster Agenda Review meeting. The contract with Resources Development Associates (RDA) for the Probation Governance Model Review was executed in September 2016. RDA has begun working on its project by meeting with various Board offices, County agencies, community-based organizations and other relevant agencies. On November 30, 2016, a kick off meeting was held with the proposed advisory board (comprised of the aforementioned entities). RDA has also met with the newly appointed Chief Probation Officer, Terri McDonald and will also meet with the newly elected Supervisors Janice Hahn and Kathryn Barger.

Action Item #2: Staff Recruitment, Selection, Promotions, and Training
Deliverable(s): Use of Best Practice in Hiring, Promoting, and Training Employees
Due Date: Ongoing
Lead Depts: DHR, CEO, and Probation

UPDATE

On August 30, 2016, the DHR submitted their Probation Department Human Resources Assessment Report - Phase I (Report) for: Recruitment and the Background Screening Process. The Report included 22 recommendations to enhance Probation's existing recruitment programs and processes. The recommendations addressed issues related to organizational image, staffing, and the need for data collection and analysis, and integrating and strengthening Probation's in-house tracking systems. On October 18, 2016, the Work Group met to discuss Probation's response to DHR's findings and recommendations. In general, Probation indicated agreement and is moving forward with implementing the recommendations as appropriate. A list of the recommendations and the Department's response is included in Attachment A.

DHR is in the process of completing Phase II of their review, which includes evaluating existing examination and testing practices related to mission-critical classes to identify opportunities for efficiencies.

Action Item #3: Fiscal Controls
Deliverable(s): Establish Accounting and Administrative Controls to Monitor and Maintain Compliance with County Fiscal Policy
Due Date: Ongoing
Lead Depts: Probation, A-C, and CEO

UPDATE

On December 6, 2016, A-C and Probation representatives met to discuss the preliminary results of the A-C's Wireless Audit follow up review. The A-C will report the final results of its review to the Board of Supervisors in January 2017, at which time the A-C will then commence its next review. Probation representatives state that the Department is committed to implementing all the prior A-C recommendations to ensure compliance with County fiscal policy.

Action Item #4: Creation of Data Driven Systems
Deliverable(s): Create Data Sets and Monitoring Reports to Track Outcomes and Inform Practice and Policy Decisions
Due Date: December 31, 2016
Lead Depts: Probation

UPDATE

Since the last status report, Probation's Quality Assurance Services Bureau (QASB), along with Dr. Michael Schumacher, Consultant, prepared a draft report that addresses Probation Data Collection, Research Unit Expansion, and Research Plan. The draft report is expected to be finalized by December 31, 2016.

QASB management, along with Dr. Schumacher's assistance, have concluded negotiations with Dr. Denise Herz and Ms. Kristine Chan of California State University, Los Angeles (Consultants) for consultant services and a sole source purchase order is pending Internal Services Department's (ISD) approval. If approved, the Consultants' contract term will be January 2017 through December 2017, and they will assist QASB's Research and Program Evaluation Office in the following areas: 1) developing program evaluation measures that ensure key outcomes are identified, consistently evaluated, and regularly reported; 2) developing a Research Agenda that reflects the Board of Supervisors' mandated work group's priorities and that will support current Departmental programming and future initiatives; 3) providing practical recommendations to implement the Department's Research Agenda through internal and external partnerships; and 4) identifying a collaborative research project that is consistent with the Department's Research Agenda.

Action Item #5: *Court Collaboration in Juvenile Case Planning*
Deliverable(s): To Increase Front End Collaboration Between the Courts and Probation as Well as Improve Services Offered in Court Ordered Juvenile Case Plans
Due Date: Ongoing
Lead Depts: Probation, CEO and CoCo

UPDATE

The bi-monthly Juvenile Justice Roundtable (Roundtable) continues to convene its regularly scheduled meetings. Meetings were held on August 18, 2016 and October 20, 2016. The December 1, 2016 meeting was cancelled but meetings will resume in 2017. Agencies represented at the Roundtable include but are not limited to: District Attorney, Public Defender, Alternate Public Defender, Probation, CoCo, and CEO. At the last Roundtable on October 20, 2016, the Department of Public Health made a presentation on "Identifying Ways to Meet the Mental Health Needs of Youth in the Los Angeles County Juvenile Delinquency Court System".

Action Item #5 will no longer be included in this status report and will be considered complete as of this report.

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Action Item #6: Contracting with Community-Based Organizations (CBOs)
Deliverable(s): Develop Recommendations to Streamline Board-Directed Allocation of Grant Funds to CBOs
Due Date: Ongoing
Lead Depts: Probation, ISD, CEO and CoCo

UPDATE

In response to Action Item #6, the Interim Chief Probation Officer obtained authorization, pursuant to the March 1, 2016 Board motion, to execute appropriate contracts with CBOs funded under the Juvenile Justice Crime Prevention Act (JJCPA). As a result, Probation executed 18 contracts with different CBOs. In the future, in consultation with CoCo, Probation will recommend the same approach to help streamline the process for Board-Directed allocation of JJCPA grant funds to CBOs.

Additionally, on August 24, 2016, ISD conducted training, "Contracting Made Easy", for organizations interested in preparing proposals in response to County solicitations. The training was attended by 50 organizations, including existing Probation contractors. Probation staff participated in the panel discussions. Probation continues to be committed to working with current and potential organizations to provide them with the necessary resources to be successful in the County's contracting process.

Action Item #6 will no longer be included in this status report on and will be considered complete as of this report.

Action Item #7: Average Daily Cost Per Youth
Deliverable(s): Report Analyzing the Average Daily Cost to Operate Probation's Juvenile Institutions
Due Date: January 2017
Lead Depts: CEO, A-C, and Probation

UPDATE

On September 12, 2016, the CEO in collaboration with Probation and the A-C issued a report on "Probation Department's Juvenile Population and Average Daily Cost Per Youth" (Report). The Report concluded that Probation's juvenile hall operating costs are comparable to the other counties surveyed. However, camp operating costs are higher than the counties surveyed. Reasons included higher staffing ratios, maintaining camp staffing ratios amidst declining populations, and higher salaries and employee benefits as compared to other counties. The Report also noted that Probation halls and camps are operating well below their total rated capacity, at an average of 43 and 48 percent, respectively. This is due to a dramatic decline in hall and camp populations over the last several years.

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By late January 2017, the CEO, in coordination with Probation and assistance from the A-C, will complete an analysis of how many camp staff (positions) are need to satisfy post Department of Justice settlement staffing ratios based on projected camp populations. The analysis will include allowances for all time off (paid and unpaid) and will serve as a tool to assist Probation in allocating its camp resources, and determining the number of camps needed.

Action Item #8: Maintenance of Juvenile Institutions
Deliverable(s): Develop a Plan to Address Deferred Maintenance at Probation Juvenile Institutions
Due Date: Ongoing
Lead Depts: Probation, CEO, and ISD

UPDATE

Since May 2016, a workgroup consisting of representatives from Probation, ISD and the CEO commenced monthly meetings with juvenile hall and camp services directors, and project manager(s). At these meetings, site specific issues such as the level of service, performance expectancies, inspection findings and corrective action plans are discussed. These meetings are also used to prioritize projects to maximize utilization of the Department's limited alterations and improvements budget. A comprehensive departmental unmet needs report is in draft and will include a list of deferred/extraordinary maintenance projects; Americans with Disabilities Act (ADA), projects and capital projects. The report will be updated quarterly and a copy will be forwarded to the CEO and ISD to help improve project oversight and accountability.

In addition to the workgroup, Probation representatives actively participate in the Facility Managers Network (Network) chaired by CEO and ISD. Meetings are held bi-monthly and information obtained from these meetings is shared with Probation's management services branch. The last meeting was held on November 3, 2016 and the next one is scheduled for January 5, 2017.

Action Item #9: AB 109
Deliverable(s): Evaluate the Effectiveness of AB 109 and Whether the Data Being Reported is Sufficient and Effective
Due Date: Ongoing
Lead Depts: CEO, CCJCC, A-C and Probation

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UPDATE

CCJCC released a Request for Services (RFS) to establish a criminal justice research and evaluation services Master Agreement with qualified organizations. Responses to the RFS are due back December 23, 2016. Once proposals are received, it is expected that the review, evaluation, selection and the Board process for work order approval will follow immediately.

NEXT STEPS

My office will continue to coordinate and regularly monitor the workgroup's progress to ensure timely reporting on each area noted above. Status reports will be provided to the Board to keep you informed of our progress. The next status report will be submitted to the Board in approximately 120 days.

Should you have any questions, please contact me or your staff may contact Anna Hom-Wong, at (213) 893-2295.

SAH:JJ:SW:
RP:AHW:cc

Attachment

c: Executive Office, Board of Supervisors
Auditor-Controller
County Counsel
Countywide Criminal Justice Coordination Committee
Human Resources
Internal Services
Probation

**DHR PROBATION DEPARTMENT HUMAN RESOURCES ASSESSMENT
PHASE I - RECRUITMENT AND THE BACKGROUND SCREENING PROCESS
PROBATION'S RESPONSE**

At the request of the Chief Executive Office, the Department of Human Resources worked with the Probation Department to assess their recruitment practices and background screening process. In the draft report dated August 24, 2016, there were a total of 22 recommendations made regarding the assessment. Following are the Probation Department responses to the recommendations.

#1: Establish a recruitment unit dedicated to performing full-time recruitment activities and assign the unit to Human Resources. Allocate two full-time positions to staff the unit: one Administrative Services Manager I to lead the unit and one Management Analyst to function as staff. Aligning the recruitment function in Human Resources will facilitate flow of information needed to appropriately plan recruitment activities, establish exam plans, and metrics to assess program success.

Probation Department Response

The Probation Department agrees with the recommendation and has developed a proposal to be submitted for the creation of a new recruitment unit within the Human Resources Division (HRD) to perform the functions recommended. This request will be submitted to the Chief Executive Office, Classification Unit during the upcoming fiscal year 2017-18 Recommended Budget request process. The proposed structure will include a Supervising Program Analyst and Program Analyst items (formerly allocated to the Public Information Office, and currently housed in HRD to be responsible for overseeing recruitment and/or staff recruitment events. The Department will request to reclassify the items to an Administrative Services Manager III to oversee recruitment and other assigned functions, and a Senior Departmental Personnel Technician. The Department will also request additional support staff to perform the hiring and performance surveys, collect and analyze data, plan and develop strategies for recruitment efforts; and coordinate the day-to-day recruitment events.

#2: Manage recruitment resources by allocating a budget for recruitment, this includes tracking costs and time spent performing recruitment activities (unique project code) and purchases.

Probation Department Response

The Probation Department agrees with the recommendation and will work with the Budget Section to create project codes to identify the time and funding spent on recruitment activities. Budget and Human Resources will also work on creating a funding organization code to track purchases or begin tracking purchases and recruitment registration fees per fiscal year. This will be completed by December 31, 2016.

#3: Identify the highest qualified candidates by listing the desired target education, experience, desired attributes, and target demographics (if applicable). This list can be established by identifying a sample of “model” employees in the Department who passed background, successfully completed the academy, have consistent high performance ratings and no documented discipline. The Department can then build a list of the desirable education, experience, and attributes that might help recruit other similar candidates. The following are examples of potential “target” candidates to consider:

- 1) Military experience (may have a higher likelihood to pass background)**
- 2) Prior experience working with youth**
- 3) Existing DPOs from other agencies – may have been trained in CORE; (possibly develop a different path for this group to enter into the department)**
- 4) Volunteers in the Reserve Deputy Probation Officer Volunteer Program**
- 5) Four year colleges/universities with a focus on Social Work or Criminal Justice**

Probation Department Response

The Probation Department agrees with the recommendation. Recruitment efforts established within the past two years have focused on recruiting military personnel and have attended major specific job fairs in the area of social work and criminal justice. Current staff is developing a sampling metric for data-gathering to support this recommendation. In early 2017, once the Recruitment and Hiring Performance Section is established within the Human Resources Division (HRD), we will begin developing a profile of the highest qualified candidate based on the data collected and analyzed by the recruitment staff.

#4: Establish recruitment plans for each critical position (e.g., Deputy Probation Officer I, Detention Services Officer). A carefully structured recruitment plan is clear about the target population and maps out strategies for attracting and hiring the best-qualified candidate. A good plan identifies the Department’s needs (how many vacant positions) in the short term (1 to 3 years) and long term (3 to 5 years). It delineates the strategy for recruiting internal and external candidates by identifying desirable experience, education, and attributes that contribute to success in the job. It identifies where to find these potential candidates and recognizes recruitment methods that will attract these candidates (social media, billboard, campus recruitment, associations, etc.) Lastly, a good recruitment plan focuses on results and includes details about how to measure and report on the return on investment.

Probation Department Response

The Probation Department agrees with the recommendation. Once the Recruitment and Hiring Performance Section is established within the Human Resources Division and a final proposal for the Test and Research assistance is approved, the Examination Unit will begin working with Recruitment and Test Research to develop recruitment plans for all sworn series utilizing performance and survey data gathered. This will be one of the first projects for the Recruitment and Hiring Performance Section and will begin in early 2017.

#5: Establish metrics to analyze successful and unsuccessful recruitment sources (i.e., specific job fairs, advertisements, etc.) and evaluate achievement of the recruitment program's goals. Quality metrics and meaningful reporting dashboards are key to recruiting excellence, setting measurable goals, and focusing and motivating teams to achieve those goals. The cost of various recruitment activity and the return on investment is unknown because of the lack of available data.

Probation Department Response

The Probation Department agrees with the recommendation. The Examination Unit has developed and is incorporating a Job Specific Questionnaire survey tool within each open competitive sworn examination to extract the data from the NeoGov system and begin analyzing successful and unsuccessful recruitment strategies. This data will be utilized by the Exams Unit and provided to the Recruitment Unit and Test Research Unit for analysis and the planning of future recruitment strategies, development of examinations, examination plans and reporting. Use of this Questionnaire will begin with next postings of sworn exams which are scheduled to be posted before December 31, 2016.

#6: Re-brand the departmental image by changing the look and feel of recruitment material such as fliers, billboards, Department website, and giveaways. The materials, advertisements, and Department website should include pictures and/or information on the type of services provided such as housing, job training, counseling and education. In addition, update the handouts to include a valid website address, Department contact information (email), and specific salary and benefit information.

Probation Department Response

The Probation Department agrees with the recommendation and has developed a proposal for the creation of a Public and Media Relations Section. This Section will be responsible for overseeing the media unit which would include the creation and maintenance of social media applications such as twitter, Facebook and Instagram. The unit will develop and present positive opportunities for news stories in order to assist in the rebranding efforts. The proposed Unit will require staff to support the intra and internet Probation web pages; and the proposal includes a request for Video Technician Specialist to begin developing Probation recruitment scripts; record videos of the work Probation performs; and advertise our career opportunities. This request will be submitted to the Chief Executive Office,

Attachment A

Classification Unit during the upcoming FY 2017-18 Recommended Budget request process. Creation of an email inbox specifically for career opportunity inquiries has been completed and is currently in use. Once the website is revised, the email address will also be posted on the Probation website.

#7: Enhance the candidate survey to solicit information relative to education level, degree type (field), school attended, how the candidate learned of the job opening and reasons the candidate applied. Utilize NeoGov to implement a Job Specific Questionnaire during the application process to gather recruitment information about the candidates and how they learned about the job. The selections should be more specific and align with recent recruitment activity. For example, under Ads, if a billboard or online ad was recently posted, that option should be available for selection under "Ads."

Probation Department Response

The Probation department agrees with the recommendation. The Examination Unit has now incorporated a Job Specific Questionnaire survey tool within each open competitive sworn examination to extract the data from the NeoGov system and begin analyzing recruitment strategies. Probation will continue to refine the tools in NeoGov to gather specific metrics related to recruitment activity. Postings for sworn exams are all scheduled to be posted before December 31, 2016.

#8: Enhance the College-Based Intern Program and Reserve Deputy Probation Officer Volunteer Program to recruit successful participants for permanent positions and formalize a process for volunteers to qualify for a specific sworn position (e.g., DPO I). An option may be to create a selection requirement in exams that would include volunteer Reserve Deputy Probation Officer experience as qualifying. A second option may include establishing a certification process to provide additional credit in DPO/DSO exam.

Probation Department Response

The Probation Department agrees with the recommendation and has developed a plan to reorganize the Community Relations and Outreach Section. The Section's main function will be to resume the Service Learning Program efforts with local colleges; work with the Reserve Probation Officers; and develop plans in collaboration with the Examination Unit to have enhanced processes for these individuals in applying for sworn officer job opportunities. This request will be submitted to the Chief Executive Office, Classification Unit during the upcoming FY 2017-18 Recommended Budget request process.

9: Move the Background Unit to the HSD. We were not able to identify measureable benefits for the Background Unit to continue to be organizationally located in the Professional Standards Bureau. However, moving the Background Unit under the HRD will place the span of control under one manager and facilitate communication, flow of information, and planning in the hiring process. The background process, which is part of the hiring process, should be in alignment.

Probation Department Response

The Probation department will begin review of the feasibility and appropriateness of transitioning the Background Unit to the HRD. It is anticipated that this review can be completed by January 31, 2017. It should be noted that the Backgrounds unit was transferred from HR Operations to Professional Standards in December 2012 to provide for a separation of duties from the examination process. Given the scope of this change it would be prudent to allow the incoming Chief Probation Officer the opportunity to weigh in on this decision.

#10: Reclassify the six Deputy Probation Officer II to Senior Departmental Personnel Technician, which is consistent with other human resources staff that have access to sensitive information and analysis conducted when evaluating records and making recommendations. Since polygraph and neighborhood canvassing are not performed by the positions, the job does not require experience or knowledge at the level of a Deputy Probation Officer II. (#10)

Probation Department Response

See response to recommendation #9.

#11: Move the loaned Probation Director back to the home unit [from Backgrounds], the position is no longer needed once the sworn background investigators are reclassified.

Probation Department Response

See response to recommendation #9.

#12: Conduct a classification study on the Background Unit to establish an appropriate civilian Background Investigator classification with the appropriate minimum requirements to perform the full scope of the job, and ensure all allocated positions are consistent with the level of work performed.

Probation Department Response

See response to recommendation #9.

#13: Shift the background investigations on volunteers and contractors back to the Background Unit. Since there are 2,080 work hours in one year and 3,471 overtime hours performed in a year, one full time and one part-time background investigator, at the level of Senior Departmental Personnel Technician should be requested.

Probation Department Response

Probation has initiated a review as to whether or not it is operationally and fiscally prudent to continue to use Pretrial Services staff, on an overtime capacity, to complete volunteer background checks, and anticipates completion of this review by December 31, 2016.

#14: The Department should better and consistently enforce the established standards for candidate [background] document completion and submission. The process should be streamlined to require submission of the forms at least one week prior to the interview date. This provides the Background Unit the opportunity to review the information for completion or determine if the candidate should be disqualified. If the forms are not complete, the candidate should be notified prior to the interview. This will save time for the candidate and investigator.

Probation Department Response

The Probation Department agrees with the recommendation. A comprehensive review of the process is underway and opportunities for streamlining the process will be identified and implemented no later than January 31, 2017.

#15: Combine all seven separate links/documents into one printable/fillable electronic document. Develop a candidate orientation video to include an explanation of what documents are required and a realistic job preview. The video should be posted on the Department's website and all candidates should acknowledge that they viewed the video and understand what is expected. The acknowledgement should serve as a reason for disqualification if the candidate fails to adhere to the requirements outlined in the video. Further, the dropout rate at each phase of the process should be maintained and evaluated to address the issues during orientation.

Probation Department Response

The Probation Department agrees with the recommendation. Backgrounds staff will meet with Information Systems Bureau to develop improvements with the online video. Additionally, the dropout rates will be analyzed to determine if existing systems are able to appropriately capture this data, however as noted, the current system is lacking in functionality. While fiscal restraints and other IT priorities may take precedent, the Department will explore what modifications can be made to the existing system in order to increase efficiency.

#16: Discontinue the review of candidate social media from the background process until legal counsel provides a legal opinion on whether AB1844 Employer Use of Social Media applies to the Department.

Probation Department Response

The Probation Department has consulted with County Counsel and received opinion that AB 1844 does not apply to law enforcement sensitive employers.

#17: Ad hoc BTS reports were requested from the Information Systems Bureau to evaluate the efficiency of the process. Specifically, we have requested the average number days between each screening test. An analysis of the timeframe between each process will help the Department identify which process needs to be evaluated for process improvement or streamlining.

Probation Department Response

The Probation Department generally agrees with this recommendation/observation. Due to current system limitations, ad hoc reports may not always be providing an accurate snapshot of the process. For example, the data only captures one event for polygraph when in fact many candidates are scheduled for a second, follow up polygraph to get a more in-depth examination of specific issues that were reflected on the initial exam. The subsequent polygraph date is input into the system, overwriting the original date. This gives the appearance of a longer delay between events. Probation Information Services Bureau worked with Background Investigation Unit to clean up the data entry issues on September 8, 2016, and provided the requested statistical information for evaluation, however it is Probation's preliminary determination that an improved or new background system is needed.

#18: Based on the number of pending cases and the average number of cases assigned to an investigator, the Department needs seven additional background investigators to address the pending case load of 628. Immediately reduce the pending number of cases by assigning additional positions, permanent or temporary to work on cases.

Probation Department Response

Once the decision is finalized with regards to the appropriate operation and level of staffing for the Background Unit, additional resources and/or funding will be sought; either internally or through a budget request.

#19 Redesign the case assignment methods to ensure that candidates have contact from the background unit sooner and more regularly, and ensure that there is less delay between contingent job offer and background interview.

Probation Department Response

The Probation Department agrees with this recommendation. Data is being analyzed to determine where delays occur and the reasons for delay. The Department has set a date of January 31, 2017 as a target date for completion of this review.

#20: Create regularly reported [background] caseload statistics that are evaluated and used to support staffing levels.

Probation Department Response

The Probation department agrees with the recommendation. The Background Unit will develop specific metrics that include the recommended analysis, however a long term approach to improve background tracking must include an improved background tracking system. Probation will reach out to DHR to see if there are compatible systems that could be modified to meet Probation's needs or if an entirely new system is needed. The Department has set a date of January 31, 2017 as a target date for completion of this review.

#21: Consolidate and integrate the Background Tracking System (BTS) and Excel tracking systems.

Probation Department Response

The Probation Department generally agrees with this recommendation/observation. An Analyst has been assigned on September 8, 2016 to assess and perform a feasibility enhancement or replacement of the current BTS. In the interim, a developer is working to enhance the current application to incorporate edits validate user data entry. This will allow future statistical requests are accurate. The Department has set a date of January 31, 2017 as a target date for completion of this review.

#22: Track results or concerns from screening tests, such as field canvassing and polygraph, in BTS by enhancing the background tracking system to include the following fields: A check box to indicate information from canvass was passed onto the polygraph examiner and a field with a drop down box to identify the specific concern. In the example above the investigator would select drug use in the drop down box. A drop down box would document the information in the system consistently and facilitate ad hoc reports. The pass and disqualification rate could be documented by adding a field with a drop down box to indicate in what phase the candidate was disqualified. These metrics would reveal whether a significant number of candidates are failing specific screening tests and an evaluation of the reasons why could be conducted to determine if the process is unnecessarily disqualifying quality candidates. Alternatively, if the pass rate is high for a particular screening test, and the process is expensive and timely to conduct, a cost benefit evaluation should be conducted to determine continuation of the screening test.

Probation Department Response

The Probation Department generally agrees with this recommendation, however the Department must live within budgetary and resource limitations with regards to system improvement. The system is very limited, however the Department has several other outdated legacy systems that are being maintained, all of which demand attention and resources from the Information Systems Bureau.

A cost/benefit analysis of canvassing and polygraph is underway and these processes will be considered for their value, and potential modifications. However, reviewing polygraph strictly from a quantitative perspective is short sighted, as there have been a number of candidates identified through this process who had some history of, or propensity for, sexual interest in minors. As these candidates were not hired, there is no way to measure the value of avoiding potential abuse of youth.