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YOLO COUNTY PROBATION DEPARTMENT: EVALUATING THE RISKS OF RECIDIVISM



Community Corrections

County of Yolo

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Interim Chief Probation
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To: Honorable Judge Daniel P. Maguire
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To: Yolo County Grand Jury
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RE: Yolo County Grand Jury Report – Yolo County Probation Department: Evaluating the Risks of Recidivism

Honorably Judge Maguire:

The following is the response to the 2012-2013 Yolo County Grand Jury Report entitled “Yolo County Probation Department: Evaluating the Risks of Recidivism” from the Yolo County Probation Department and the Community Corrections Partnership executive committee. For purposes of readability, we have included the Grand Jury’s findings recommendations in **bold**.

R1 The YCPD should continue to coordinate its cooperation with local law enforcement agencies to assess its policies in supervising probationers and in establishing standards for sending those who violate the terms of their release back to prison or jail.

Interim Chief Probation Officer response:

The Interim Chief Probation Officer agrees with the recommendation and notes that as of the issuance of the grand jury report, the Probation Department had already established and implemented agreements with partner agencies regarding responses to violation behaviors. The Probation Department convened two meetings with law enforcement and court partners (April 10, 2012 and September 5, 2012) to address concerns about violation policies and practices related to adult offender supervision. The resultant agreements remain in effect, and include but are not limited to: description of when Violations of Probation would be filed; examples of situations that warrant Probation placing a hold on an offender; and instances where law enforcement discretion will be utilized in arrest, booking and VOP decisions.

YOLO COUNTY PROBATION DEPARTMENT: EVALUATING THE RISKS OF RECIDIVISM

- R2 The effectiveness of risk assessment in assigning probationers to programs and aiding their successful reentry into the community should be validated. The YCPD should develop a proposal by December 31, 2013 to fund an outside consultant specifically for this purpose.**

Interim Chief Probation Officer response:

The Probation Department has partially implemented this recommendation. Through support from an existing grant project, validation of the Positive Achievement Change Tool is underway within Juvenile Probation Services. As funding is obtained and required data are collected, the YCPD will proceed with validation studies of assessment tools in other operational areas (Adult Probation, Pre-Trial, and Detention). Given that the YCPD will transition to new assessment tools, it is noted that 2-3 years of data are often required to initiate validation studies of this type.

- R3 The YCPD needs to invest increased funding to upgrade its computerized systems to provide “local validation” of its risk and need assessment tools. As part of this effort, it must provide the public with statistics updated quarterly showing the impacts of AB 109 and SB 678, including county-wide crime statistics.**

Interim Chief Probation Officer response:

The Probation Department has partially implemented this recommendation through development of a data dashboard in response to system needs of the Community Corrections Partnership (CCP) and Board of Supervisors. On June 10, 2013, the CCP unanimously approved public access to the Yolo County Adult Community Corrections Data Dashboard, which provides a snapshot of current statistics relative to the adult offender population and current strategies implemented in response to Public Safety Realignment. Measuring the impacts of this and other legislation (such as SB 678) extends beyond the scope and resources currently afforded to the YCPD. The California Board of State and Community Corrections and the Administrative Office of the Courts have taken responsibility for data collection as it relates to system impacts. Moving forward, the YCPD must balance pursuit of its mission with the emerging leadership role it has assumed since the inception of Realignment.

As resources become available, the YCPD will seek alternatives for automated system improvements. In addition to developing the Data Dashboard, the YCPD has already initiated development of “gap analysis” at the suggestion of Yolo County Information Technology and Telecommunication. This analysis included line staff input and an assessment of the current case management system functionality compared to “off-the-shelf”, vendor-developed systems.

- R4 The YCPD’s Community Corrections Partnership website should be regularly updated to include agendas, meeting minutes and backup materials so that interested public can gain an understanding of the issues facing the probation department and law enforcement community.**

Community Corrections Partnership executive committee and Interim Chief Probation Officer response:

The Community Corrections Partnership (CCP) agrees with the recommendation and notes that as of the issuance of the grand jury report, the CCP had already implemented a process for posting its meeting materials to the Yolo County website. Additionally, on June 10, 2013, the CCP unanimously approved

YOLO COUNTY PROBATION DEPARTMENT: EVALUATING THE RISKS OF RECIDIVISM

public access to the Yolo County Adult Community Corrections Data Dashboard, which provides a snapshot of current statistics relative to the adult offender population and current strategies implemented in response to Public Safety Realignment. The Data Dashboard will likewise be accessible through the Yolo County website. We hope the website enhancement will prove advantageous to public access of relevant materials.

YOLO COUNTY PROBATION DEPARTMENT: SLOW RESPONSE TO NEEDED CHANGE



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June 25, 2013

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Woodland, CA 95776

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RE: Yolo County Grand Jury Report – Yolo County Probation Department: Slow Response to Needed Change

Honorably Judge Maguire:

The following is the response to the 2012-2013 Yolo County Grand Jury Report entitled “Yolo County Probation Department: Slow Response to Needed Change” from the Yolo County Board of Supervisors, County Administrator, Chief Probation Officer and Human Resources. For purposes of readability, we have included the Grand Jury’s findings recommendations in **bold**.

R1 HR should include in its Policies and Procedures Manual provisions to ensure the hiring department can articulate justification for hiring and promotional selections. This would allow the hiring department to communicate the basis for its selections to staff and management in a reasoned and transparent manner.

Human Resources response: This recommendation has been implemented.

R2 Within 30 days of this report, YCPD should develop a specific plan for the completion of its Policies and Procedures Manual revision. This plan should include project milestones and staff assignments for completing and distributing the revision no later than December 31, 2013.

Chief Probation Officer response: This recommendation has already been implemented. The Probation Department’s plan for implementation of new Policies and Procedures has proceeded faster than expected. Draft policies were completed mid-April and meet-and-

YOLO COUNTY PROBATION DEPARTMENT: SLOW RESPONSE TO NEEDED CHANGE

confer with the Probation bargaining unit began April 29, 2013. The YCPD released the final draft of policies to staff on June 6, 2013.

- R3 As the Policies and Procedures Manual is revised, YCPD managers should continue to receive training on internal affairs investigations and performance evaluations to ensure all employees and managers understand what is expected of them and what conduct is prohibited.**

Human Resources & Chief Probation Officer response: This recommendation has already been implemented. Internal Affairs/Peace Officer Bill of Rights Training was delivered department-wide to all Supervisors and Managers on February 20, 2013. Makeup training (2 staff) is tentatively scheduled for July 2013. Human Resources provided performance evaluation training to all employees on January 15, 2013, January 16, 2013 and January 24, 2013.

- R4 YC administration, YCPD management and HR should meet regularly to fully develop and implement a plan to address the staff morale issues raised in the 2010 HR report, 2012 independent consultant's report and prior reports from the Grand Jury pertaining to YCPD. The plan should include actions required to address each recommendation, timeline for completion, resources required and responsible departments. These results should be reported to the Board of Supervisors 30 days following the issuance of this report.**

County Administrator, Human Resources & Chief Probation Officer response: This recommendation has already been implemented. Yolo County Administration, Probation Department management and Human Resources representatives have been meeting on a regular basis to review a series of recommendations and actions related to the reports referenced. This staff workgroup uses a project management table to track all recommendations and their status. Action items and associated updates will continue to be provided to the Board of Supervisors on a regular basis.

- R5 The Board of Supervisors should ensure the plan developed pursuant to R4 is implemented.**

Board of Supervisors response: This recommendation has already been implemented (see response to R4).

- R6 By September 1, 2013, the Board of Supervisors should finalize and adopt a Code of Ethics as a part of its Administrative Policies and Procedures Manual. The Code should address general ethical conduct for all levels of YC employees and managers and include provisions defining dual relationships.**

YOLO COUNTY PROBATION DEPARTMENT: SLOW RESPONSE TO NEEDED CHANGE

Board of Supervisors response: This recommendation will be substantially implemented by September 1, 2013, however it is subject to the meet-and-confer process with labor representatives which could extend beyond this date.

YOLO COUNTY FINANCE: TRACKING CHANGES



COUNTY OF YOLO

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June 25, 2013

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RE: Yolo County Grand Jury Report – Yolo County Finance: Tracking Changes

Honorably Judge Maguire:

The following is the response to the 2012-2013 Yolo County Grand Jury Report entitled “Yolo County Finance: Tracking Changes” from the Yolo County Board of Supervisors, County Administrator, Human Resources and the Board of Supervisors on behalf of the Board Audit Committee. The Yolo County Auditor-Controller response came under separate cover on May 31, 2013. For purposes of readability, we have included the Grand Jury’s findings and recommendations in **bold**.

F1 Department staff preparing payroll can pick up and distribute checks in violation of Yolo County internal controls.

County Administrator and Human Resources response: The respondents agree with this finding. In theory, it is possible for anyone to violate any rule, policy or law.

F2 The Finance Manager will replace the Auditor-Controller, but it is not yet clear what the job description for the new position will be.

Human Resources response: The respondent disagrees partially with this finding. The Auditor-Controller’s term does not end until December 31, 2014. Still, a job description (class specification) for Director of Finance will be developed by October 31, 2013 as part of the countywide fiscal class study.

YOLO COUNTY FINANCE: TRACKING CHANGES

Auditor-Controller response sent under separate cover: We agree that the job description for the new Director of Finance is not yet available. However, this position will not become effective until my term ends on December 31, 2014. A team of finance managers is currently designing the new financial management structure and will make a recommendation to the Board of Supervisors in September 2013. Once the Board approves the structure, the job description for the head of finance will be developed.

F3 Requisite financial reporting is late and bank reconciliations have been from three to six months late because finance operations are understaffed.

Human Resources response: The respondent agrees with this finding and has recommended to the Auditor-Controller that an additional position be requested as part of the 2013-14 budget development process.

Auditor-Controller response sent under separate cover: We agree that the issuance of the county annual financial report has taken more than six months from the end of the fiscal year and that bank reconciliations were also performed late. It should be noted that all financial reports complied with statutes and that there were other compensating controls that mitigate the late bank reconciliations. We have reorganized resources where possible and requested additional resources to improve timeliness in the future.

F4 The County uses multiple systems to collect "hours worked."

Human Resources response: The respondent agrees with the findings

Auditor-Controller Response sent under separate cover: We agree. Of the 20 county departments, 16 use the countywide E-Schedule to track absences and 4 use their own systems. In addition, some departments use time sheets to certify time worked. The County realizes the need for a more uniform and robust timekeeping system and is preparing request for proposals for a payroll/HR system that includes automated timekeeping.

F5 Some finance personnel lack requisite accounting, finance or software backgrounds.

Human Resources response: The respondent disagrees wholly with this finding. Every employee in the County is hired into a classification that sets forth the essential functions performed by the incumbent as well as the minimum education, experience, knowledge and abilities required for the job. Before an individual is hired, Human Resources certifies that the person possesses the minimum education and experience required in the class specification.

YOLO COUNTY FINANCE: TRACKING CHANGES

Auditor-Controller Response sent under separate cover: We disagree partially. Most finance and accounting personnel in the County possess the basic skills and abilities required by their respective job classifications. What has gradually happened over time is that the nature of the work has evolved while the skill sets contained in the job classifications have not been updated. The Human Resources Division is presently engaged in the tasks of reviewing fiscal classifications countywide, as well as enhancing the training program for fiscal skills.

F6 Departments in Yolo County tend to function autonomously, which could lead to lack of management accountability.

County Administrator response: The respondent disagrees partially with this finding. While departments are provided leadership autonomy to achieve their goals, management accountability is a strong component of the County's leadership structure. As one example, all appointed department heads participate in an annual 360 evaluation process which provides an opportunity for feedback from both internal and external sources.

F7 The external auditor has found repeated, uncorrected conditions of non-compliance in grant reporting.

Human Resources and Board of Supervisors response: The respondents disagree partially for the same reasons expressed below by the Auditor-Controller.

Auditor-Controller response sent under separate cover: We disagree partially. The independent auditors found uncorrected conditions related to the untimely verification of eligibility in the In Home Support Services program, not related to grant reporting. It should be noted that although the findings represent a non-compliance issue, they were within the exception rate allowed by the California Department of Social Services.

F8 A Request for Proposal (RFP) for a new external auditor has not been issued in a timely manner.

Board of Supervisors response: The respondents disagree wholly for the same reasons expressed below by the Auditor-Controller.

Auditor-Controller response sent under separate cover: We disagree. The contract with the current audit firm does not expire until 6/30/13. A request for proposal for audit services was issued on 3/7/13 and an independent audit firm was approved by the Board of Supervisors on 5/7/13. The new audit firm will begin fieldwork on 6/18/13.

YOLO COUNTY FINANCE: TRACKING CHANGES

- F9 Internal audits need to be performed regularly in all departments. The last internal audit was two years ago.**

Board of Supervisors response: The respondents disagree partially for the same reasons expressed below by the Auditor- Controller. In addition, the Board Audit Committee notes that the County uses a risk-based approach to prioritize internal audits within available resources. This approach schedules departments or programs with higher risk for more intensive internal audits.

Auditor-Controller response sent under separate cover: We agree partially. The Internal Audit staff have been conducting small audit projects in various departments (such as cash and equipment audits) while also being pulled away to help out in other understaffed areas in the Auditor-Controller department. The last major audit project was a countywide payroll audit that was completed two years ago. The Internal Audit division does not have a manager who can regularly lead the charge on these large countywide projects. We have requested additional resources to remedy this gap.

- F10 Financial off-line adjustments are made without formal supervisory sign-off, as required by good business practice.**

Auditor-Controller response sent under separate cover: We disagree partially. Although we agree with the nature of the finding it should be noted that this deficiency was corrected in the FY 2011-12 financial audit.

- F11 Yolo County management has taken steps to assure fiscal staff competency.**

Thank you.

- F12 The Board Audit Committee does not initiate financial review or internal audits in Yolo County departments as recommended by the AICPA.**

Board of Supervisors response: The respondent disagree with this finding. The Board Audit Committee does in fact initiate financial reviews and internal audits.

- F13 Employees report favoritism and disparate treatment from managers and supervisors, some of whom have made unprofessional remarks regarding staff deficiencies.**

County Administrator and Human Resources response: The respondents partially agree with this finding. The County takes seriously any reports of favoritism or disparate treatment. Incidents reported to County Administration are investigated. That said, the

YOLO COUNTY FINANCE: TRACKING CHANGES

aforementioned statement does not reference any specific allegation or survey response. Absent specific supporting evidence, the respondents are unable to support this finding.

R1 Internal controls for payroll should be reviewed and regulated.

Human Resources response: This recommendation has not yet been implemented. Human Resources is in the process of composing standard procedures for scanning payroll transactions and will train all payroll clerks by June 30, 2013. Internal controls for payroll will also be reviewed and evaluated during configuration and implementation of the new human resources and payroll management information system in 2014.

Auditor-Controller response sent under separate cover: This recommendation has been implemented. We have scheduled audits of payroll timekeeping at various departments in 2013-14.

R2 Human Resources and Finance should review the multiple systems currently used by departments to collect "hours worked" related to task, funding source and/or project to determine if a single or integrated system may be more efficient to collected payroll and cost accounting data.

Human Resources response: This recommendation is in the process of being implemented. Current Human Resources information software does not allow common tracking of hours worked. The complete implementation will occur with the County's selection and use of a new financial, human resources and payroll management information system(s), estimated to begin in January 2014. The RFP will be issued this summer, and selection of a vendor will occur in the fall.

Auditor-Controller response sent under separate cover: This recommendation is being implemented. County staff is developing the specifications for a new payroll/HR system that includes uniform timekeeping component. We expect the request for proposal to be issued in the summer of 2013.

R3 Deadlines for closing bank reconciliations and financial statements should be established and met.

Auditor-Controller response sent under separate cover: This recommendation has been implemented. The deadline for the monthly bank reconciliations has been set as the end of the following month; and the deadline for issuing financial statements has been set as December 31.

YOLO COUNTY FINANCE: TRACKING CHANGES

- R4 A job description for the new Finance Manager position should be written and approved by September 30, 2013.**

Human Resources response: This recommendation will not be implemented because it is not warranted. The Director of Finance position will not be hired until January 2015. It is premature to develop a job description prior to the complete analysis of the full functions to be assigned to the department of finance. None-the-less, a draft job description (class specification) for Director of Finance will be developed by October 31, 2013 as part of the countywide fiscal class study.

- R5 As a priority, financial staff should be strengthened through recruitment, training, career path planning and motivation.**

Human Resources response: The recommendation has been partially implemented. Financial staff competency has been a priority for the last 18 months and a plan to ensure appropriate skill sets in recruitment and training is scheduled for implementation by October 31, 2013.

Auditor-Controller response sent under separate cover: This recommendation is being implemented. The Human Resources Division is working with our office on a countywide fiscal staff upgrade project that includes analyses of classifications, career path and training standards. We are confident that the results of this project will increase staff motivation.

- R6 The finance department should assign a staff member to assist departmental finance employees with training, coaching and motivation.**

Auditor-Controller response sent under separate cover: This recommendation has been implemented. It has been standard practice for the three managers of the Auditor-Controller's office to stay in touch with finance staff at the departments to answer their questions and provide necessary training. Increased workload had caused us to temporarily discontinue this practice. However, we have requested additional resources to allow us to resume this activity. Furthermore, the change management activity that is taking place with regard to the transition to a new financial system will have a positive effect on staff motivation.

YOLO COUNTY FINANCE: TRACKING CHANGES

- R7 Financial off-line adjustments should be approved and signed by the Auditor-Controller.**

Auditor-Controller response sent under separate cover: This recommendation has been implemented. All off-line adjustments to the financial statements are being approved by the Auditor-Controller or his designee, depending on the nature of the adjustments.

- R8 The Board Audit Committee should review external audits and Grand Jury reports and ensure that they are addressed in a timely manner and reported to the BOS.**

Board of Supervisors response: This recommendation has already been implemented. The Board Audit Committee has fulfilled this role since its inception.

- R9 The Board Audit Committee should be responsible for recommending external auditors to the BOS.**

Board of Supervisors response: This recommendation was implemented upon formation of the Board Audit Committee on 6/7/11. The contract with the current audit firm does not expire until 6/30/13. Based upon Board Audit Committee direction, a request for proposal for audit services was issued on 3/7/13, the results of the RFP process was subsequently shared with the Board Audit Committee and an independent audit firm approved by the Board of Supervisors on 5/7/13. The new audit firm will begin fieldwork on 6/18/13.

- R10 The Board Audit Committee should request internal audits when financial problems are brought forward.**

Board of Supervisors response: This recommendation has already been implemented. The Board Audit Committee has fulfilled this role since its inception.

- R11 The Board Audit Committee should recruit an independent private financial expert to serve on that committee, which should meet at least quarterly.**

Board of Supervisors response: This recommendation was implemented upon formation of the Board Audit Committee on 6/7/11. On 9/13/11, the Board of Supervisors appointed to the Board Audit Committee a public member, with extensive public sector finance expertise, who continues to serve at this time.

- R12 Department supervisors should be trained to be sensitive to employee issues created by staff reductions and changes to organization and operating systems to avoid creating hostile work environments.**

YOLO COUNTY FINANCE: TRACKING CHANGES

County Administrator and Human Resources response: This recommendation has been implemented. Respondents take exception to the Grand Jury's use of the term "hostile work environment". This is a term of art used specifically in reference to complaints of harassment and discrimination. Allegations of a hostile work environment are not taken lightly and should not be made lightly.

The County provides regular, ongoing supervisory training through the Yolo Training Academy and also provides coaching and counseling to supervisors as issues are brought to the attention of Human Resources.

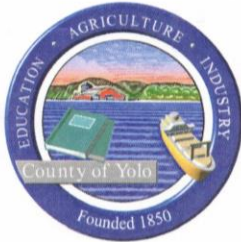
R13 Employees should be allowed to voice complaints and should receive timely responses, addressed in an open and professional manner.

County Administrator and Human Resources response: This recommendation has already been implemented. The County Administrator's Office and Human Resources maintain open office philosophies that encourage direct employee contact and sharing of concerns. In addition, the County Administrator's Office is developing a confidential whistleblower program to provide another venue for sharing concerns.

R14 All HR recommendations for remedial action should be addressed with transparency and due diligence.

County Administrator response: This recommendation has already been implemented.

YOLO COUNTY DETENTION CENTER: FACING CHALLENGES



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June 25, 2013

To: Yolo County Grand Jury
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RE: Yolo County Grand Jury Report – Yolo County Detention Center: Facing Challenges

Honorably Judge Maguire:

The following is the response to the 2012-2013 Yolo County Grand Jury Report entitled “Yolo County Detention Center: Facing Challenges” from the Yolo County Board of Supervisors and County Administrator. For purposes of readability, we have included the Grand Jury’s findings and recommendations in **bold**.

R1 The plans for facility upgrades and expansion should be implemented as a first priority as funds become available. The Center should be brought into compliance with Title 24.

Board of Supervisors response: This recommendation will be implemented. The timeline will be determined by funding availability.

R2 As the final entity in determining the Detention Center budget, the Yolo County Board of Supervisors should tour the facility by December 1, 2013 to review the need for structural updates to meet existing code and to determine the need for additional staff to ensure the Center is fully staffed for each shift at all times.

Board of Supervisors response: This recommendation will be partially implemented. Board members, both individually and as committee members, have already toured the facility. The Board has contracted with professional architectural and engineering firms to assess structural needs as part of preparing a renovation grant application. It is more

YOLO COUNTY DETENTION CENTER: FACING CHALLENGES

appropriate for architectural and engineering professionals to assess structural and code update needs as opposed to the Board members themselves. These professional recommendations will then be brought to the Board for consideration.

The Board of Supervisors recognizes that staffing shortages exist in many departments as the County workforce was decreased by approximately one-third to maintain balanced budgets during the recession. If and when additional revenue becomes available, the Board will assess program and staffing needs across the County for investment. Unfortunately, at present expenditures continue to increase faster than revenues, thus it is unlikely new positions will be added in the foreseeable future.

- R3 The Yolo County Administrator's Office should review the "single source" exception contained in its Contracting and Purchasing policy and more clearly define the standards under which a contract for services may be approved without a competitive bid.**

County Administrator response: This recommendation will be implemented by December 31, 2013.

YOLO COUNTY ADULT SERVICES: PROTECTING SENIORS AND DEPENDENT ADULTS



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August 14, 2013

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RE: Yolo County Grand Jury Report – Yolo County Adult Services: Protecting Seniors and Dependent Adults

Honorable Judge Maguire:

The following is the response to the 2012-2013 Yolo County Grand Jury Report entitled “Yolo County Adult Service: Slow Response to Needed Change” from the Yolo County Interim Director of Employment & Social Services and Director of Human Resources. For purposes of readability, we have included the Grand Jury’s findings recommendations in **bold**.

The Department of Employment and Social Services agrees with the Grand Jury regarding the excellent work ethic and committed efforts by staff of the Adult Services Program to protect the senior residents of Yolo County. The Department thanks the Grand Jury for recognizing the efforts and dedication of this group of staff.

R1 Improve lines of communication from management to line staff by establishing a newsletter or some form of regular messaging that is distributed to all DESS employees by September 1, 2013. Routine communications should provide a unifying department vision and news of staff and organization changes.

Interim Director, Employment & Social Services response: This recommendation was previously implemented. There has been a department newsletter available since September of 2012, originally distributed as a monthly newsletter and now published quarterly. Efforts are underway to improve the content of the newsletter using staff input. In addition, the Interim Director has provided an update on department events about every three weeks since December 2012. Communication within larger organizations is

YOLO COUNTY ADULT SERVICES: PROTECTING SENIORS AND DEPENDENT ADULTS

often challenging, particularly when a component of staff work outside of the office much of the time.

- R2** By September 1, 2013, establish a protocol for all DESS Adult Services managers and supervisors periodically to accompany staff on routine field visits. This collaboration would serve as training both for field staff and management and encourage dialogue between both parties.

Interim Director, Employment & Social Services response: This recommendation was previously implemented. The Division Manager, as well as Supervisors, do accompany staff on field visits, most often when the case is complex or has some element of concern. Additionally, communication between individual staff and supervisors/manager occur daily regarding cases and issues of program efforts.

- R3** By September 1, 2013, review qualifications of and training regimens for all management to ensure that individuals with necessary experience and expertise are overseeing all programs.

Interim Director, Employment & Social Services and Director, Human Resources response: This recommendation was previously implemented. Yolo County Human Resources Department establishes class specifications for every position in the County that set forth the essential functions, knowledge, skills and ability, as well as the minimum education, experience, training and licensure required to be possessed by incumbents. Before every appointment to a management position, Human Resources ensures that only the names of individuals with the required education and experience are forwarded to the hiring department for consideration.

- R4** Revise DESS organizational charts to establish clear lines of authority by September 1, 2013. These should be available and accessible to all employees and the public.

Interim Director, Employment & Social Services response: This recommendation was previously implemented. Organizational Charts have been available to all employees on the departmental intranet ("Green Tree") for some years. Organizational charts are also updated annually and made available to the public via the Recommended Budget.

- R5** Maintain copies of all current and archived organization charts.

Interim Director, Employment & Social Services and Director, Human Resources response: This recommendation was previously implemented. Organization charts for County departments are maintained in the Recommended Budget books published annually. For organizational charts that depict supervisory relationships in departments, it is possible this functionality will be included in the new human resources information

YOLO COUNTY ADULT SERVICES: PROTECTING SENIORS AND DEPENDENT ADULTS

management system (HRIS) expected to be implemented by January 1, 2015. If so, Human Resources intends to utilize the new HRIS system to track and maintain supervisory relationships in County departments.

- R6 Involve supervisors and managers in the budgeting process. At a minimum, allow them to sit in on budget meetings and include them in all pertinent correspondence.**

Interim Director, Employment & Social Services response: This recommendation was previously implemented in part. Managers were fully included in the development of the 2013-14 budget. Plans are being developed to provide for budget meetings between supervisors and budget program staff to be held approximately three times each year.

- R7 By December 1, 2013, develop safety guidelines specific to Adult Services with the goal of maintaining the safety of all personnel in the field:**

- a. **Review safety guidelines recommended by the National Association of Social Workers.**
- b. **Identify what specific safety training Adult Services workers should have for field work.**
- c. **Develop protocols to document caseworkers' locations when they are in the field. This may include alerting local law enforcement when visits are made to residences with potentially volatile situations and/or carrying county provided portable radios to communicate emergency situations quickly.**
- d. **Develop protocols that routinely confirm and document the safety of caseworkers during and after onsite visits.**

Interim Director, Employment & Social Services response: This recommendation has not yet been implemented. The Department intends to meet the intent of each of the sub categories listed in R7 by December 1, 2013. The goal of the Department is to develop protocols that are sustainable and can be implemented by staff without creating significant barriers to performing needed casework, while providing significantly improved safety standards for staff. Currently, staff from affected programs are meeting regularly to develop safety protocols. Examples of other County policies have been obtained and are being reviewed along with standards from schools of Social Work and other organizations.

PUTTING STUDENTS FIRST: OVERSIGHT OF YOLO COUNTY CHARTER SCHOOLS

RESPONSE PROCEDURE

RESPONSE TO GRAND JURY REPORT

The governance of responses to the Grand Jury Final Report is contained in Penal Code §933 and §933.05. Responses must be submitted within 60 or 90 days. Elected officials must respond within sixty (60) days, governing bodies (for example, the Board of Supervisors) must respond within ninety (90) days. Please submit all responses in writing and digital format to the Advising Judge and the Grand Jury Foreperson.

Putting Students First: Oversight
Report Title: of Yolo County Charter Schools Report Date: June 24, 2013

Response by: Dr. Jorge O. Ayala Title: Superintendent of Schools
William L. Owens, Yolo County Board of Education President

FINDINGS

I (we) agree with the findings numbered:

F3

I (we) disagree wholly or partially with the findings numbered:

F1, F2

RECOMMENDATIONS

Recommendations numbered: R1 (see attached Response to Grand Jury Report) have been implemented (attach a summary describing the implemented actions).

Recommendations numbered: _____ require further analysis (attach an explanation of the analysis or study, and the time frame for the matter to be prepared by the officer or director of the agency or department being investigated or reviewed; including the governing body where applicable. The time frame shall not exceed six (6) months from the date of the Grand Jury Report).

Recommendations numbered: R2 (see attached Response to Grand Jury Report) will not be implemented because they are not warranted and/or are not reasonable (attach an explanation).

Date: 9-16-13 Signed: 

Total number of pages attached 3

PUTTING STUDENTS FIRST: OVERSIGHT OF YOLO COUNTY CHARTER SCHOOLS



YOLO COUNTY OFFICE OF EDUCATION
Dr. Jorge O. Ayala, Superintendent

VIA U.S. MAIL AND EMAIL (grand-jury@sbcglobal.net)

September 5, 2013

The Honorable Daniel P. Maguire
Yolo County Superior Court
P.O. Box 2142
Woodland, CA 95766

Subject: Response to Grand Jury Report
Putting Students First: Oversight of Yolo County Charter Schools

Dear Judge Maguire:

The following is the Yolo County Office of Education's (YCOE's) response to the findings and recommendations of the 2012-13 Yolo County Grand Jury's Report entitled "Putting Students First: Oversight of Yolo County Charter Schools." For purposes of readability, we have shown the Grand Jury's findings and recommendations in **bold**.

FINDINGS

F1. The Grand Jury found insufficient oversight of CCCTEC, a school authorized to serve students in West Sacramento. When the school closed abruptly, its students were left stranded.

We disagree partially with this finding. The California State Board of Education, the agency that authorized the CCCTEC charter, was the agency responsible for oversight of CCTEC, including monitoring the fiscal condition of the charter school. The Yolo County Office of Education does not have sufficient information to determine whether the State Board of Education was providing sufficient oversight. The school closure was delayed by the charter school and the State Board of Education's due process. In addition, when the school closed, and the State Board of Education asked for assistance, the Yolo County Office of Education provided support to the students by immediately securing student records and assisting with the communication and timely distribution of student records and in directing parents/students to the district of residence for enrollment.

F2. Charter schools started with support from local educators and districts who perceive a mutual benefit and without adversarial opposition have the easiest paths to success.

This statement is factual in most cases when the Charter is a dependent charter and the petitioner and authorizer have a closer relationship and availability to resources, support, and clarity of direction. Independent charters, however, have fewer resources and greater autonomy in administration and direction which may lead to differences between petitioners and their authorizer. It is the authorizer's

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PUTTING STUDENTS FIRST: OVERSIGHT OF YOLO COUNTY CHARTER SCHOOLS

responsibility to monitor the fiscal position of the charter and to ensure compliance with the requirements set forth in Education Code and the charter school petition.

F3. Good communication between any charter school and the authorizer is essential to the success of the school.

We agree with this finding.

RECOMMENDATIONS

R1. When a charter school receives independent status, the school should immediately set up a regular monthly or bi-monthly meeting with the authorizer's administration. An independent charter school's best interest will be served by fostering this interaction and mentoring. The authorizing agency should have a path to intervene with advice before circumstances become dire.

The Yolo County Office of Education is more than willing to meet regularly with an independent charter school upon a school's request. However, we honor and preserve the core autonomies crucial to a charter school's success including governing board independence from the authorizer. Furthermore, we seek to minimize administrative and compliance burdens on a charter school and focus on holding schools accountable for outcomes, rather than processes. Notwithstanding this, when charter schools fail to meet academic or financial goals, we agree that intervention by the authorizer is appropriate. To that extent, the Yolo County Office of Education has formalized its operational relationship with charter schools it has authorized through a memorandum of understanding between the parties.

Moreover, pursuant to Education Code section 47604.4, the county superintendent of schools has discretionary authority to monitor the operations of *any* charter school within Yolo County and conduct an investigation based upon written complaints by parents or any other information that justifies an investigation.

R2. When the state authorizes an independent charter school in Yolo County, the local County Office of Education should petition the State Board of Education to play an advisory role to help ensure that tax dollars are spent lawfully and protect the best interests of the students. In petitioning the state board, the YCOE should cite the failure of CCCTEC and this report of the Yolo County 2012-13 Grand Jury.


While we certainly appreciate that all public schools need adequate advice, support, oversight and supervision to ensure that students' interests are protected and tax dollars are spent wisely, we do not agree that YCOE should necessarily petition to have an advisory role whenever the state authorizes an independent charter in Yolo County. Whether such an advisory role would be appropriate would depend on the circumstances, including factors such as the availability of YCOE and State resources, and the receptivity of the charter school.


As for a supervisory and oversight role, as compared to an advisory role, we note that there is a mechanism in place established by the Legislature which authorizes the State Board of Education to designate, by mutual agreement, its supervisory and oversight responsibilities for a charter school approved by the State Board to any local educational agency in the county in which the charter school is located, or to the governing board of the school district that first denied the petition. (See, Ed. Code § 47605(k)). We are not aware of instances in the state where such an authorization is the result of a request initiated by a County Office of Education, or of any Ed. Code provision that explicitly authorizes such a request.

PUTTING STUDENTS FIRST: OVERSIGHT OF YOLO COUNTY CHARTER SCHOOLS

We appreciate the opportunity to respond to the Grand Jury Report. Please do not hesitate to contact us if you have any questions or concerns.

Sincerely,


Jorge O. Ayala, Ed.D.
Yolo County Superintendent of Schools


William L. Owens
Yolo County Board of Education President

