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Transparent, Fair, and Cost Effective?

A Review of Contracting Practices in Santa Cruz County Government

2013-2014 Santa Cruz County Grand Jury

June 2014

Summary

These are difficult financial times, and the Santa Cruz County government owes it to its citizens to be fiscally responsible. It is the duty of the County government to engage in open, fair, and transparent contracting practices to ensure that the most qualified and cost effective service providers are hired.

The County Administrative Office (CAO) oversees Santa Cruz County's \$457,000,000 budget.^[1] The CAO has policies and procedures to ensure that these revenues are spent wisely. New contracts that exceed \$15,000 appear as individual items on the Board of Supervisor (BoS) agenda. The CAO prepares the Continuing Agreements List (CAL), which includes approximately 400 continuing contracts and makes up \$73,000,000 (16%) of the budget. The CAO presents the CAL to the BoS for consideration and approval. The BoS depends on the CAO's recommendations and the accuracy of its budgetary information.

Unfortunately, an inconsistent contract awarding process, loopholes, and a culture of "business as usual" have allowed many professional service contracts to be continually renewed with little or no scrutiny. The Grand Jury found three major areas of concern in the way the County awards its contracts:

- An exceptions provision was used instead of competitive bidding for some contracts.
- The CAL categorization system allows annual contract expenditure increases of up to 10% without BoS review.
- Some contracts were incorrectly categorized on the CAL and as a result were not reviewed.

We questioned the reasoning in continuing the practice of allowing up to 10% annual spending increases on multi-year and continuing contracts. This percentage is not tied to an inflationary indicator, such as the Consumer Price Index (CPI), which was 2.6% in 2013.

Our investigation revealed that the County contracting system lacks vital oversight by the BoS. Contracts were continued without bidding or were incorrectly categorized. This has led to unnecessary costs to the County and its citizens.

We found it difficult to find most professional service contracts on the County website. There is no easily accessible central repository on the website containing all professional service contracts.

Background

Santa Cruz County employees have experienced increased workload, furloughs, and pay cuts, and there have been significant reductions in County programs during the recent economic downturn. For this reason the Grand Jury believes there is a need for increased budgetary vigilance. We learned that some professional service contracts were awarded

without competitive bidding. We decided to investigate the process by which contracts are selected and managed.

When a department within the County government needs to obtain a professional service that cannot be fulfilled in-house, a Request for Proposal (RFP) is generally used to select a provider for the service. RFPs give potential suppliers of a service an opportunity to bid on a proposed contract within the County. The RFP process helps to guarantee that the County obtains high quality services for a reasonable cost. It also encourages transparency to minimize any potential for favoritism or impropriety. The County currently holds many professional service contracts with a variety of outside providers. In Santa Cruz County, all new contracts for services that exceed \$50,000 are required to follow the RFP process.^[2]

The policies and procedures of the RFP process are well-defined by the General Services Department (GSD). There are RFP templates in their internal Purchasing Policy Manual (PPM) that further assist departments in properly executing the process.

Although existing policy requires contracts over \$50,000 to use the RFP process, contracts can also be awarded using the Exceptions to the Competitive Process.^[3] This exception process bypasses the RFP requirement for new and continuing contracts, which the Grand Jury feels is a questionable business practice. There is no requirement to ensure that such a contract's cost is comparable to that of other potential bidders.

It is the duty of the County to maximize public funds when procuring services. This Grand Jury review offers a fresh look at budgetary practices currently in place and their fiscal impact on County residents.

Scope

The Grand Jury examined procedures currently used to award new contracts and to manage on-going contracts, with a focus on fairness, transparency, efficiency, and cost savings to the residents of the County.

We conducted interviews with County employees from several departments. Documents were examined from a variety of County agencies. These included the County Purchasing Policy Manual (PPM), several County approved and proposed budgets, lists identifying contracts held with the County, actual contracts held with the County, and prior Grand Jury reports. We compiled and analyzed data relating to contracts from both the County's website and websites of other jurisdictions.

Investigation

The Grand Jury found three major areas of concern in the way the County awards its contracts:

- There was a lack of competitive bidding for some contracts.
- The CAL categorization system allows annual contract expenditure increases of up to 10% without adequate BoS review.

- Some contracts were incorrectly categorized on the CAL and as a result were not reviewed.

Lack of Competitive Process

We discovered that several contracts have been in place for many years without competitive bidding. Instead of following the RFP process, these professional service contracts were awarded using either the Exceptions to the Competitive Process or the Sole Source Request policy.^[4] The exceptions clause specifically states that competitive bidding is not required for many types of services, including physicians, social service consultants, labor consultants, investigators, and attorneys (see Appendix D). The sole source clause states that some circumstances require services to be obtained from a unique source. Under the sole source provision, the CAO has specific guidelines whereby goods and services that are obtained from a sole source "...may require price/cost analyses by Purchasing in order to determine price reasonableness."^[4] In addition, the County's "Justification for Sole Source, Sole Brand, or Standardization" form (see Appendix C) specifically identifies factors that should be applied when determining justification for a unique source.

The following chart shows some long term professional service contracts that continue without using the RFP process.

Contracts Continuing Without An RFP

<i>Contract Name</i>	<i>Business Type</i>	<i>Contract Origination Date</i>	<i>Last Approved/ Amended Date</i>
Hyas Group	Investment Consulting	9/23/08	9/25/12
Rutan & Tucker	Business Litigation	4/17/90	6/26/07
Elinor Hall	Public Health Consultant	4/17/01	9/13/11
Central Coast Alliance for Health	Health Care	7/1/04	7/1/13
Richard T Mason, MD	Pathologist	7/1/80	6/24/08
Biggam Christensen & Minsloff	Public Defender	7/1/92 *	6/28/12
Wallraff & Associates	Alternate Public Defender	9/19/89	8/24/10
Page, Salisbury & Associates	Alternate Public Defender	7/1/91	8/24/10
Hinderliter De Llamas	Sales Tax Consultants	4/2/92	4/2/02

** Oldest recorded contract on file with Auditor Controller; contract actually goes back to 1975.*

One County contract in particular that has been the subject of grand jury reports in the past is the Public Defender's contract. The most recent report, [Forever Gr\\$\\$n, But Not Transparent](#) (2008-2009), highlights some of the same concerns found by this year's

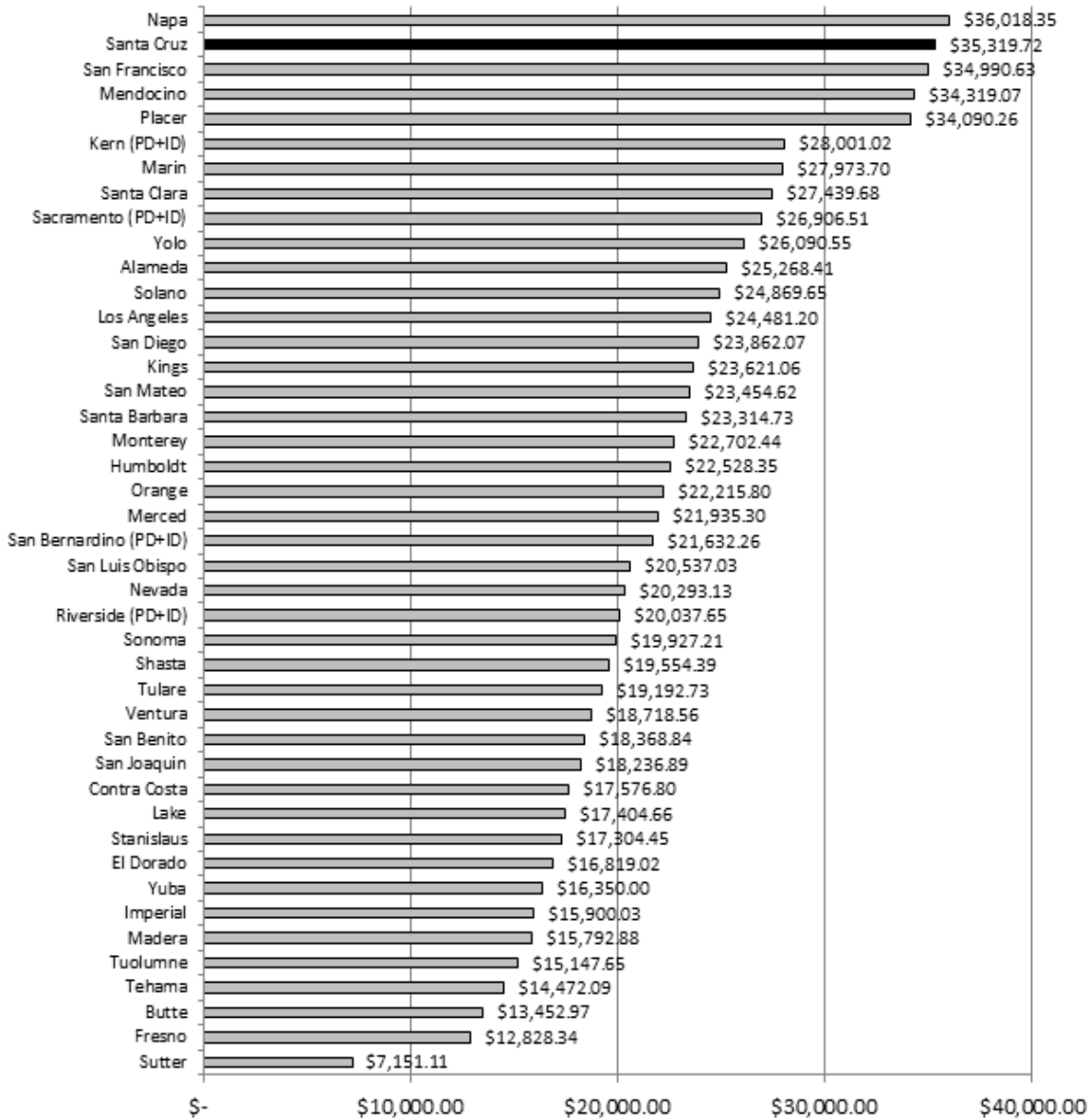
Grand Jury. The Public Defender's contract was originally awarded through the RFP process almost forty years ago in 1975 and has not been put out for bid since. The contract was awarded to the Biggam Christensen & Minsloff law firm, which has been the sole beneficiary to date. When we interviewed the parties involved with this contract and inquired as to why it has not gone out to bid in 39 years, we were given answers similar to those given to the 2008-2009 Grand Jury:

- "We are satisfied that the contract is cost-effective."
- "We know that they favorably benchmark."
- "The judges are satisfied that the system is operating effectively."
- The Public Defender's contract is a "reasonable cost."

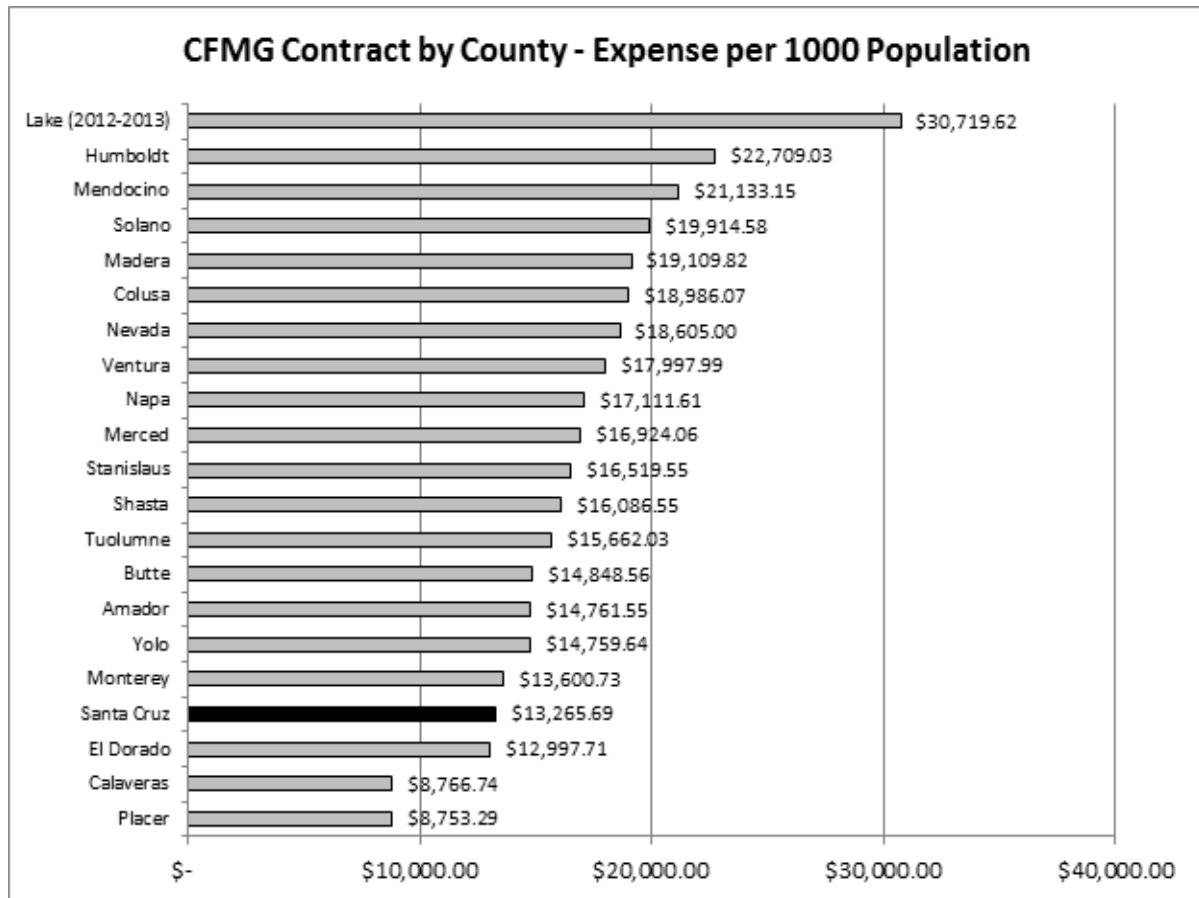
During the course of our investigation we learned that the Public Defender's contract, scheduled to expire in 2013, had just been renewed in 2012 for an additional 6 years. We inquired how the determination was made that the cost of the new contract was "reasonable." We were supplied with a draft version of a comparability model dated October 2013, 15 months *after* the current contract was signed. We were also supplied with comparisons of arrest data with five other counties. Neither of these documents satisfied Santa Cruz County's own criteria for determining sole source justification.

The Grand Jury compiled its own cost per capita comparison of current Public Defender expenses with 43 other counties in California (see Appendix A). Santa Cruz County ranks second highest (see graph). Of the 43 counties compared, 12 counties, including Santa Cruz, contract out their Public Defender services rather than use attorneys who are county employees. Santa Cruz County ranked highest in cost of these 12 counties. A key purpose of outsourcing professional services is to be more cost effective. Given the cost comparison shown below, we question whether the current Public Defender contract^[5] is a "reasonable cost."

Public Defender Expenditures per 1000 population



In contrast, the Main Jail medical services contract was recently awarded to California Forensic Medical Group (CFMG) through the competitive process. When compared to the cost per capita of CFMG contracts in 21 other counties (see Appendix B), Santa Cruz ranked in the bottom quartile (18th) in expenditures per population.



Section Categorization System and the 10% Allowance

Another way a contract can bypass the RFP process is for it to be placed on the Continuing Agreements List (CAL), which is defined in the *County Policy and Procedure Manual*.^[6] The CAL is a list of multi-year and renewal contracts. Each year this list is submitted by the CAO as part of the budget for BoS approval. Contracts on the CAL are grouped into four sections depending on the dollar amount and the terms and conditions of the agreement.^[7]

- Section I: "... which, BY THEIR ORIGINAL TERMS are multiyear or continuous and require no changes from the original terms. These contracts will not return to the Board for any future action,..."
- Section II: "...which...include NO program changes and any contract changes do not exceed 10% of the expenditures incurred in the old year...."
- Section III: "...which are not eligible to be in the Section I or II above. All section III contracts must be submitted as individual items on the Board's agenda during the new year..."
- Section IV: "Revenue Agreements, such as grant awards and State financing

agreements...”

Section II contracts are allowed an increase of up to 10% each year. Considering that the Consumer Price Index (CPI) average annual increase since 2003 has been only 2.3%,^[8] we were interested in finding the reason for the Section II “not to exceed 10%” allowance in the County. The earliest document provided was a 1992 CAO letter to the BoS. This letter states contracts are allowed a 10% increase if:^[9]

“... there are no program changes and only minimal increases in the total contract amount. (Minimal means increases in total contract payments not exceeding 10% of the old year payments.)”

In addition, several long-term County employees directed us to California Public Contract Code^[10] and to County policy^[11] as the possible sources. However, both documents are specific to **Public Works construction contracts only**, and do not extend to professional service contracts.

The 10% allowance is still in effect although inflation is approximately 2.0%.^[8] This 10% allowance does not mirror the CPI nor other inflationary indicators. Over time, these cost increases can be significant. The following table represents the percentage change of six long-term contracts over the four-year period of FY 2009-10 thru FY 2013-14.^{[12][13][14][15][16]} The cumulative CPI for this four year period was 8.9%.

Percent Change of Long Term Contract Costs Over 4 Years

Contractor Name	Contract Number	Cost 2009-2010	Cost 2010-2011	Cost 2011-2012	Cost 2012-2013	Cost 2013-2014	Percent Change Over 4 Years
Hyas Group	3740-01	\$17,000	\$20,000	\$20,000	\$20,000	\$20,000	17.65%
Elinor Hall	2383-01	\$15,000	\$15,000	\$15,000	\$15,000	\$40,000	166.67%
Central Coast Alliance for Health	3223-01	\$600,000	\$1,040,000	\$1,100,000	\$1,040,000	\$875,000	45.83%
Richard T Mason, MD (Old Contract number - 3690-01)	0120-01	\$203,499	\$223,868	\$223,848	\$223,848	\$223,848	10.01%
Wallraff & Associates	0023-03	\$905,441	\$938,942	\$905,441	\$938,940	\$988,746	9.20%
Page, Salisbury & Associates	0616-01	\$905,441	\$938,942	\$905,441	\$938,940	988,746	9.20%

Errors Discovered in Contract Categorization

The Grand Jury compared 406 contracts which were included on both the FY 2012-2013 CAL^[15] and FY 2013-2014 CAL.^[16] Approximately 30% of these contracts were incorrectly categorized, as follows:

- 41 contracts which had funding increases up to 10% were incorrectly listed as

Section I when they should have been categorized as Section II.

- 78 contracts which had funding increases greater than 10% were incorrectly listed as Section II. They should have been categorized as Section III, requiring individual review by the BoS.

We compared 431 contracts which were included on both the FY 2011-2012 CAL^[14] and FY 2012-2013 CAL.^[15] We found approximately 14% of these contracts were incorrectly categorized:

- 38 contracts which had funding increases up to 10% were incorrectly listed as Section I when they should have been categorized as Section II.
- 23 contracts which had funding increases greater than 10% were incorrectly listed as Section II. They should have been categorized as Section III, requiring individual review by the BoS.

As noted above, Section III agreements require individual review by the BoS. Section I and II agreements do not. Many contracts on the CAL were incorrectly categorized and did not receive the individual attention that the process was designed to ensure. During FY 2013-2014, **78 contracts** were incorrectly listed as Section II instead of Section III, and as a result, increases were granted without BoS discussion. Any contract dollar increase means less money in the General Fund for other programs.

In summary, our investigation revealed that the County contracting system lacks vital oversight by the BoS. Contracts were continued without bidding or were incorrectly categorized. This has led to unnecessary costs to the County and its citizens.

Findings

F1. The loopholes in Santa Cruz County procurement policies such as the Exceptions to the Competitive Process and Sole Source Requests in the PPM allow some professional service contracts to originate, or to be continually renewed, without competition.

F2. Based on the documentation that we were provided, the Grand Jury could not determine that the sole source provision was correctly applied.

F3. As the result of errors in the CAL categorization, numerous contracts did not receive appropriate Board of Supervisors review.

F4. The CAL Section II allowable percentage increase has not been changed in more than 20 years. It remains at 10%, a much higher rate than the CPI.

F5. It is difficult for the general public to access professional service contracts on the Santa Cruz County website because the website is neither intuitive nor complete.

Recommendations

R1. The General Services Department should exclude expert and professional services

from the Exceptions to the Competitive Process clause of the PPM. (F1)

R2. The policies and procedures manuals of the County Administrative Office should require an RFP process for the renewal of all multi-year professional service contracts. (F1)

R3. In the event of a sole source request for a professional service, the County Administrative Office should ensure that criteria identified in the “Justification for Sole Source, Sole Brand, or Standardization” form are strictly applied. (F1, F2)

R4. The County Administrative Office should list the dollar amount and the percentage change from the prior year for each contract in the CAL. This list should be ranked based on the percentage change. (F3)

R5. The County Administrative Office should modify Section II of the CAL to use an inflationary index set by the BoS instead of the current 10% allowance. (F4)

R6. The Board of Supervisors should set an inflationary index such as the CPI + 3% as the threshold for annual contract review in Section II of the CAL. (F4)

R7. The County Administrative Office should create a central repository containing all County professional service contracts on the Santa Cruz County website that can be easily located and searched by the general public. (F5)

Responses Required

<i>Respondent</i>	<i>Findings</i>	<i>Recommendations</i>	<i>Respond Within/ Respond By</i>
County Administrative Office	F1-F5	R1-R7	90 Days 9/15/14
Santa Cruz County Auditor-Controller	F1, F3, F4	R3-R5	60 Days 8/18/14
Santa Cruz County Board of Supervisors	F1- F5	R1-R7	90 Days 9/15/14

Definitions

- *Agreements:* An agreement between parties doing business together in which a product and/or service is sold. For the purposes of this document, contracts and agreements are synonymous.
- *BoS:* Board of Supervisors. The executive and legislative governing body of the County of Santa Cruz.
- *CAL:* Continuing Agreements List. Identifies agreements (or contracts) which will extend into the next fiscal year.
- *CAO:* County Administrative Office. The branch of local government responsible for

- supervision of the County's budget and for administration of all County contracts.
- *Exceptions to the Competitive Process*: Certain expert and professional services for which competitive bidding is not required.
 - *GSD*: General Services Department. A department within the County responsible for providing a variety of services, including purchasing services.
 - *PPM*: Purchasing Policy Manual. An internal General Services Department document governing the purchasing of goods and services for the County.
 - *RFP*: Request for Proposal. A process by which a solicitation is made to the public for procurement of goods or services, providing potential offerors an opportunity to bid on a proposed contract.
 - *Sole Source Provider*: A company or agent that is the only feasible source of a service.

Sources

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<http://scCounty01.co.santa-cruz.ca.us/AuditorBudget/2013-2014/i.pdf>
2. General Services Department, County of Santa Cruz. 2012. *Purchasing Policy Manual*. Section 4.9.i.
3. General Services Department, County of Santa Cruz. 2012. *Purchasing Policy Manual*. Section 2.4.
4. General Services Department, County of Santa Cruz. 2012. *Purchasing Policy Manual*. Section 3.4.
5. County Administrative Office, County of Santa Cruz. 7/1/12. "Agreement for Public Defender Services."
6. County of Santa Cruz. 2014. *Policy and Procedures Manual*. Contracts and Agreements section (300.A).
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8. Bureau of Labor Statics. Consumer Price Indexes. Accessed 4/19/14.
<http://www.bls.gov/cpi>
9. CAO letter to BoS, CAL 1992-1993.
10. California Public Contract Code (PCC) Section 20142.
11. General Services Department, County of Santa Cruz. 2012. *Purchasing Policy Manual*. Section 4.11.

12. County of Santa Cruz. "County budgets and Financial Reports 2009-2010 Continuing Agreements List." Accessed 4/25/14.

http://sccounty01.co.santa-cruz.ca.us/supp_budget2009-10/CAL-1.pdf

13. County of Santa Cruz. "County budgets and Financial Reports 2010-2011 Continuing Agreements List." Accessed 4/25/14.

http://sccounty01.co.santa-cruz.ca.us/supplemental_budget_2010-11/CAL-1.pdf

14. County of Santa Cruz. "County budgets and Financial Reports 2011-2012 Continuing Agreements List." Accessed 4/25/14.

http://sccounty01.co.santa-cruz.ca.us/supplemental_budget_2011-12/CAL-1.pdf#zoom=100

15. County of Santa Cruz. "County budgets and Financial Reports 2012-2013 Continuing Agreements List." Accessed 4/25/14.

http://sccounty01.co.santa-cruz.ca.us/supplemental_budget_2012-13/CAL-1.pdf

16. County of Santa Cruz. "County budgets and Financial Reports 2013-2014 Continuing Agreements List." Accessed 4/19/14.

http://sccounty01.co.santa-cruz.ca.us/supplemental_budget_2013-14/2013-2014_supplemental_budget.pdf

Resources

RFP Design Services REV08/09 by David Brick, Esq.

Notice

One Grand Juror did not participate in the preparation of this report.

Appendix A

Public Defender Expenditures per Capita

County	Population	Contract *	2013/2014 Budget	Expense per 1000 Population
Napa	138,383		\$4,984,327	\$36,018
Santa Cruz	266,662	YES	\$9,418,426	\$35,319
San Francisco	825,111		\$28,871,157	\$34,990
Mendocino	88,291		\$3,030,065	\$34,319
Placer	357,463	YES	\$12,186,006	\$34,090
Kern (PD+ID)	857,882		\$24,021,568	\$28,001
Marin	254,007		\$7,105,515	\$27,973
Santa Clara	1,842,254		\$50,550,855	\$27,439
Sacramento (PD+ID)	1,445,806		\$38,901,600	\$26,906
Yolo	205,999		\$5,374,627	\$26,090
Alameda	1,548,681		\$39,132,702	\$25,268
Solano	418,387		\$10,405,139	\$24,869
Los Angeles	9,958,091		\$243,786,000	\$24,481
San Diego	3,150,178		\$75,169,778	\$23,862
Kings	152,007	YES	\$3,590,567	\$23,621
San Mateo	735,678	YES	\$17,255,048	\$23,454
Santa Barbara	429,200		\$10,006,680	\$23,314
Monterey	421,494		\$9,568,943	\$22,702
Humboldt	135,209		\$3,046,036	\$22,528
Orange	3,081,804		\$68,464,735	\$22,215
Merced	262,478		\$5,757,534	\$21,935
San Bernardino (PD+ID)	2,076,274		\$44,914,506	\$21,632
San Luis Obispo	272,177	YES	\$5,589,706	\$20,537
Nevada	97,019		\$1,968,819	\$20,293
Riverside (PD+ID)	2,255,059		\$45,186,080	\$20,037
Sonoma	490,423		\$9,772,761	\$19,927
Shasta	178,601		\$3,492,433	\$19,554
Tulare	455,599		\$8,744,189	\$19,192
Ventura	835,436		\$15,638,160	\$18,718
San Benito	56,669	YES	\$1,040,944	\$18,368
San Joaquin	698,414		\$12,736,901	\$18,236
Contra Costa	1,074,702		\$18,889,824	\$17,576
Lake	64,531	YES	\$1,123,140	\$17,404
Stanislaus	524,124		\$9,069,680	\$17,304
El Dorado	182,286		\$3,065,871	\$16,819
Yuba	73,439	YES	\$1,200,728	\$16,350

Imperial	180,061		\$2,862,976	\$15,900
Madera	152,711	YES	\$2,411,746	\$15,792
Tuolumne	54,360		\$823,426	\$15,147
Tehama	63,772	YES	\$922,914	\$14,472
Butte	221,485	YES	\$2,979,631	\$13,452
Fresno	952,166		\$12,214,709	\$12,828
Sutter	95,851	YES	\$685,441	\$ 7,151

* **Contract:** YES = PD service is contracted out; otherwise PD service is provided by a department within the county government

Sources for California County Budget Websites for Public Defender Expenses – all accessed 2/28/14.

Alameda:

<http://www.acgov.org/government/documents/budgets/2013-14FinalBudgetBook.pdf>

Butte:

<http://www.buttecounty.net/Portals/1/FY13-14AdoptedBudget/31-Non-departmental.pdf>

Contra Costa:

<http://www.contracosta.ca.gov/DocumentCenter/View/28701>

Fresno:

<http://www.co.fresno.ca.us/ViewDocument.aspx?id=54955>

Humboldt:

http://co.humboldt.ca.us/portal/budget/2013-14/c_lawjustice.pdf

Imperial:

<http://www.co.imperial.ca.us/Budget/Budget2013-2014/2013-2014FINALADOPTEDBUDGET09-17-2013.pdf>

Kern (PD+ID):

<http://www.co.kern.ca.us/cao/budget/fy1314/adopt/finalbudget.pdf>

Kings:

<http://www.countyofkings.com/admin/budgets/13-14/Final%20Budget%202013-2014%20Volume%20I.pdf>

Lake: <http://www.co.lake.ca.us/Assets/Auditor/Financial+Reporting/2014+Budget.pdf>

Los Angeles:

<http://ceo.lacounty.gov/pdf/portal/2013-14%20Final%20Budget%20112713.pdf>

Madera: <http://www.madera-county.com/index.php/i-want-to/view/this-years-budget-2>

Marin:

http://www.marincounty.org/depts/ad/divisions/management-and-budget/~/_media/Files/De

[partments/DF/1314WebFinal.pdf](#)

Mendocino: <http://www.co.mendocino.ca.us/administration/13-14%20FinalBudget.htm>

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Modoc (PD+ID): <http://www.co.modoc.ca.us/public-resources/budget-master-detail-FY13-14-expenditures.xlsx>

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<http://www.co.monterey.ca.us/admin/badivision/pdf/Recommended%20Budget%20Info/2013-2014%20Recommended%20Budget%20Book.pdf>

Napa: <http://www.countyofnapa.org/WorkArea/DownloadAsset.aspx?=4294980709>

Nevada:

<https://secure.mynevadacounty.com/nc/ceo/docs/Budget%20Analysis/2013-14%20Budget%20Packet%20Documents/13-14FinalBudget/20%20Public%20Defender.pdf>

Orange: http://bos.ocgov.com/finance/2014WB/p1_frm.htm

Placer:

http://www.placer.ca.gov/upload/bos/cob/documents/sumarchv/120508AA/boss_120508.htm

Riverside (PD+ID):

http://www.countyofriverside.us/Portals/0/Government/Budget%20Information/2013-2014%20Recommended%20Docs/FY14_OperatingBudgetDetail.pdf

Sacramento (PD+ID):

<http://www.ofm.saccounty.net/FY201314BudgetInformation/Documents/G-Web%20CSA.pdf>

San Benito:

<http://cosb.us/wp-content/uploads/FY2013-2014-RECOMMENDED-BUDGET.pdf>

San Bernardino (PD+ID):

<http://www.sbcounty.gov/Uploads/CAO/Budget/2013-2014-0/County/Adopted/2013-2014-0-CountyAdopted.pdf>

San Diego:

http://www.sdcounty.ca.gov/auditor/pdf/adoptedplan_13-15_psg.pdf

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Sutter:

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Ventura:

http://portal.countyofventura.org/portal/page/portal/ceo/publications/FY2013-14_Preliminary_Budget.pdf

Yolo:

<http://www.yolocounty.org/Modules/Showdocument.aspx?documentid=22839>

Yuba:

<http://www.co.yuba.ca.us/departments/BOS/documents/minutes/2013/091713%20Final%20Budget%20Hrgs.pdf>

Appendix B

CFMG Expenditures per Capita

County	Population	2013/2014 Budget	Expense per 1000 Population
Lake (2012-2013)	64,531	\$1,982,367	\$30,719
Humboldt	135,209	\$3,070,465	\$22,709
Mendocino	88,291	\$1,865,867	\$21,133
Solano	418,387	\$8,332,000	\$19,914
Madera	152,711	\$2,918,280	\$19,109
Colusa	21,674	\$411,504	\$18,986
Nevada	97,019	\$1,805,038	\$18,605
Ventura	835,436	\$15,036,168	\$17,997
Napa	138,383	\$2,367,956	\$17,111
Merced	262,478	\$4,442,194	\$16,924
Stanislaus	524,124	\$8,658,291	\$16,519
Shasta	178,601	\$2,873,073	\$16,086
Tuolumne	54,360	\$851,388	\$15,662
Butte	221,485	\$3,288,734	\$14,848
Amador	36,741	\$542,354	\$14,761
Yolo	205,999	\$3,040,471	\$14,759
Monterey	421,494	\$5,732,625	\$13,600
Santa Cruz	266,662	\$3,537,456	\$13,265
El Dorado	182,286	\$2,369,300	\$12,997
Calaveras	44,932	\$393,907	\$ 8,766
Placer	357,463	\$3,128,977	\$ 8,753

Sources for California County Budget Websites for California Forensic Medical Group Contract Expenses - all accessed 4/25/14.

Amador County: <http://www.co.amador.ca.us/home/showdocument?id=14693>

Butte County: <http://www.buttecounty.net/Portals/1/FY13-14AdoptedBudget/28-Sheriff.pdf>

Calaveras County:

http://bos.calaverasgov.us/Portals/bos/Docs/BOS_Archives/BoardPacket/2013/20130723bd/20130723bd06.pdf

Colusa County: <http://countyofcolusa.org/DocumentCenter/View/3550>

El Dorado County:

http://www.google.com/url?sa=t&rct=j&q=el%20dorado%20cfmg%20contract&source=web&cd=10&ved=0CCEQFjAJ&url=https%3A%2F%2Fwww.edcgov.us%2FGovernment%2FCAO%2F2013-2014_Budget_Documents%2FChief_Budget_Officer_Report_to_the_Boa

[rd_of_Supervisors.aspx&ei=E1hZU_SBBsuVyAS0x4CoBQ&usg=AFQjCNGJDRPiGYZje
weLudv2rHwnAQTrLw&sig2=fFhwC0g5z4WkgEWdsyAyYw&bvm=bv.65397613.d.aWw](http://www.humboldt.ca.us/portal/budget/2013-14/00_fullbudget.pdf)

Humboldt County: http://co.humboldt.ca.us/portal/budget/2013-14/00_fullbudget.pdf

Lake County:

[http://www.co.lake.ca.us/Assets/BOS/Minutes/2012+Minutes/May+22\\$!2c+2012.pdf](http://www.co.lake.ca.us/Assets/BOS/Minutes/2012+Minutes/May+22$!2c+2012.pdf)

Madera County:

<http://www.madera-county.com/index.php/i-want-to/view/this-years-budget-2?download=4753:2013-14-recommended-proposed-budget>

Mendocino County:

http://www.co.mendocino.ca.us/administration/pdf/Fy13-14_Final_-BU_2510_-_Jail_Rehabilitation_Center.pdf

Merced County:

http://www.co.merced.ca.us/BoardAgenda/2013/MG184202/AS184235/AS184241/AI184320/DO184139/all_pages.pdf

Monterey County:

<http://www.co.monterey.ca.us/admin/badivision/pdf/Recommended%20Budget%20Info/2013-2014%20Recommended%20Budget%20Book.pdf>

Napa County:

<http://services.countyofnapa.org/AgendaNetDocs/Agendas/BOS/11-8-2011/10A.pdf>

Nevada County:

<http://www.mynevadacounty.com/nc/bos/cob/docs/Board%20of%20Supervisors%20Supporting%20Documents/2013%20Supporting%20Documents/06-18-2013/25%20Amendment%20to%20contract%20with%20California%20Forensic%20Medical%20Group%20Inc.pdf>

Placer County:

<http://www.placer.ca.gov/upload/bos/cob/documents/sumarchv/2013/130924A/06a.pdf>

Santa Cruz County:

<http://sccounty01.co.santa-cruz.ca.us/AuditorBudget/2013-2014/116-123.pdf>

Shasta County:

http://apps.co.shasta.ca.us/BOS_Agenda/MG67593/AS67650/AS67682/AI67766/DO67780/1.PDF

Solano County: <http://www.co.solano.ca.us/civicax/filebank/blobdload.aspx?BlobID=15487>

Stanislaus County: <http://www.stancounty.com/bos/agenda/2013/20130115/B05.pdf>

Tuolumne County:

http://tuolumneco.granicus.com/DocumentViewer.php?file=tuolumneco_e3a68cce-102d-4

[918-8b99-322faac70257.pdf](#)

Ventura County:

<http://bosagenda.countyofventura.org/sirepub/cache/2/bbh0bw45nsrdoq45u5wgkimd/55766504182014015052268.PDF>

Yolo County:

http://yoloagenda.yolocounty.org/agenda_publish.cfm?id=0&mt=ALL&get_month=12&get_year=2013&dsp=agm&seq=151&rev=0&ag=21&ln=3558&nseq=&nrev=&pseq=&prev=#ReturnTo3558

Appendix C

County of Santa Cruz

Justification for Sole Source, Sole Brand, or Standardization

Source Name _____

Address _____
(PO Box or street address) _____ City, State, Zip)

Item or Service Required _____

Check all that apply:

- () Sole Source: This item/service is available from only one source. Item is unique and not sold through distributors (i.e., manufacturer is a sole distributor.)
- () Sole Brand: Various vendors can supply the specified model and brand. Competitive bids will be solicited for the brand requested only.
- () Standardization Annual expenditures over \$15,000 should be approved by the Board
- () Exceptions: Services cannot be easily transferred from one supplier to another as detailed in 2.4 of the Purchasing Manual.

Check all that apply:

- Expert professional services
- Election supplies
- Legal printing
- Services for DA, County Counsel or Sheriffs
- Appraiser services
- Consultants of Board of Supervisors
- Insurance
- Existing Contract
- Law fixes price
- Other, define below

NOTE: When completing the justification section refer to the criteria listed on the next page.

JUSTIFICATION (attach additional sheets if required)

CERTIFICATION

I am aware of Santa Cruz County Procedures, Sections 2.4 and 3.4 of the Purchasing Manual (Title III, Section 100) concerning purchasing procedures and requisitioning. As an approved department representative, I have gathered technical information and have made a concentrated effort to review comparable/equal equipment. This is documented in this justification. I hereby certify as to the validity of the information and feel confident this justification for sole source/sole brand is accurate and appropriate for this acquisition.

This form was completed by:

Name of Requester Department Approval Director or Authorized Person Date

Date Purchasing Approval Procurement Manager Date

County of Santa Cruz

CRITERIA FOR SOLE SOURCE/SOLE BRAND

A. Factors That May Apply

Respond specifically to each question below in preparing a justification.

1. If the product requested is one-of-a-kind item, provide background information on how this was determined.
2. Provide information on why a particular product and/or vendor were chosen.
3. Provide information on other vendors that were contacted and why they cannot provide the requested product. Is the selected vendor also the manufacturer?
4. If unique features are required to successfully perform the required function, identify what those features are and why they are required. (Be specific)
5. Provide information on other models available and why they were rejected. Provide brand name, model, vendor name, date and name of each person contacted.
6. To "exactly match existing equipment" or to "inter-member (connect) with existing equipment" is not normally an acceptable justification for sole brand. When you determine this is a justified factor that should be considered; the quantity, manufacturer, brand, model, property number of the existing equipment, and necessity for "interfacing" must be provided.

B. Factors That Do Not Apply

The following factors should not be included in your sole source/sole brand justification. They will not be considered and only confuse the evaluation process.

1. Personal preference for a produce or vendor.
2. Cost, vendor performance, local service, maintenance, and delivery are award factors in competitive bidding, not sole source justifications.
3. Features that exceed the minimum department requirement, e.g., heavy duty and quality.
4. Explanation for the actual need and basic use for the equipment, unless the information relates to a request for "unique features."
5. The statement "no substitutions" will not be considered without completion of the "Justification for Sole Source/Sole Brand" form.

If you need guidance in completing this justification form, please call Purchasing.

Please note this new easier procedure:

Purchasing will keep an e-copy of each justification form. It will be filed by Source (Supplier/Vendor) Name, then Item or Service provided. Each Source/Item justification will remain valid for one year. After that, you will have to renew it. Additionally, you will no longer be required to submit a new justification form with each requisition for the same source/item. You are also encouraged to submit your justification forms to the Purchasing Manager electronically.

Appendix D

Purchasing Policy Manual^[3]

2.4 Exceptions to the Competitive Process

Except as otherwise directed by law, or as directed by the Board of Supervisors, competitive bidding is not required for the following purchases:

(a) Expert and professional services which involve extended analysis; the exercise of discretion and independent judgment in their performance; and an advanced, specialized type of knowledge, expertise, or training customarily acquired either by a prolonged course of study or equivalent experience such as accountants, physicians, social service consultants, labor consultants, investigators, attorneys, architects, landscape architects, surveyors, engineers construction management services, and environmental services (Govt. Code § 4526).