ARNOLD SCHWARZENEGGER
GOVERNOR

MATTHEW R. BETTENHAUSEN
SECRETARY

July 8, 2010

Beverlee Bryant
Chief Probation Officer
Mono County Probation Department
57 Bryant Street
Bridgeport, CA 93517

Subject: Site Visit – Evidence Base Probation Supervision (EBPS) Program–Grant Award #ZP09010260/Comprised of 09JAGR-$48,665 dollars.

Dear Ms. Bryant:

I would like to take the opportunity to thank you and your staff for the courtesy extended to me during the site visit conducted on June 30, 2010, at the Mono County Probation Department. Enclosed, you will find a Performance Site Visit Report for your ZP09010260 award.

As a reminder, site visits are an opportunity to assist projects in the achievement of their goals and objectives and administering their grant funds in the most effective and efficient manner. As a Program Specialist, I am available to assist you with any questions regarding the grant program. Please do not hesitate to contact me at (916) 324-9150, if I can be of any additional assistance to you in the future.

Sincerely,

[redacted]

Roman Alvarez
Criminal Justice Specialist
Public Safety and Victim Services Division

Enclosure

cc: Tracie Neal, Assistant Chief Probation Officer
ZP09010260 Program Main File

7/10 - mailed to Chief + Neal, HQ

CALIFORNIA EMERGENCY MANAGEMENT AGENCY (Cal EMA)

PROGRAM: Evidence Base Probation Supervision

PERFORMANCE ASSESSMENT / SITE VISIT REPORT

1. **GRANT AWARD NUMBER:** ZP09010260 **DATE OF SITE VISIT:** June 30, 2010

2. **GRANT PERIOD:** 01/01/10 to 9/30/2012

3. **RECIPIENT/IMPLEMENTING AGENCY:**
   Mono County Probation Department

4. **PROJECT DIRECTOR:**
   Chief Probation Officer Beverlee Bryant

PERSONS INTERVIEWED DURING SITE VISIT:

NAME	TITLE	AGENCY
Beverlee Bryant	Chief Probation Officer	Mono County Probation
Tracie Neal	Assistant Chief	Mono County Probation

[redacted] [redacted] [redacted] [redacted]

Signature of Program Specialist Date Signature of Section Chief Date

Signature of Project Representative Date

2/18/2010

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW

	YES	NO	N/A
1. OPERATIONAL DOCUMENTS			
Review hard copy/verify the ability to access on line:			
• The Cal EMA Recipient Handbook (R.H.)	✓		
• The Approved Grant Award Agreement	✓		
• The RFA/RFP (supersedes the requirement of the R.H.)	✓		
• The Program Guidelines (supersedes the requirement of the R.H.)	✓		
• Is the project familiar with Office of Management and Budget, OMB Circulars which govern your organization? Circulars may be found at www.whitehouse.gov/omb/circulars.	✓		

Comments:
The program acknowledged that they were aware of the above guidelines and their requirements of each document.

	YES	NO	N/A
2. FIDELTY BOND CERTIFICATE - COMMUNITY BASED ORGANIZATIONS (CBO) & AMERICAN INDIAN ORGANIZATIONS ONLY			
• Obtain copy of required Fidelity Bond Certificate? *[R.H. Section 2161]* Does not apply to state, city, or county units of government.			✓
• Does the certificate show:			
o Bonding company's name			✓
o Bond number			✓
o Description of coverage			✓
o Amount of coverage (50% of allocation)			✓
o Bond period			✓
o Grant award number			✓
o Form A, Employee Dishonesty			✓
o Form B, Forgery Coverage			✓
o Is the State of California, California Emergency Management Agency named on the bond as the beneficiary?			✓

Comments:
N/A

	YES	NO	N/A
3. ENVIRONMENTAL IMPACT – CEQA COMPLIANCE (*R.H. Section 2153*)			
• Does the project have its CEQA documentation on file?(Ask to view)			✓
o Certified Exempt			✓
o Recipient has adopted or certified an environmental document which complies with the requirements of CEQA.			✓

Comments:
Original building with no new additions or modifications.

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

	YES	NO	N/A
4. PROOF OF AUTHORITY (*R.H. Section 1350*)			
• Does the project have a written authorization/resolution on file as required by the Grant Award Agreement? (Ask for copy)	☑	☐	☐

Comments:
The program was prepared to provide an updated copy of their Proof of Authority.

5. ORGANIZATIONAL CHART			
• Review the organizational chart. Are all budgeted positions identified?	☑	☐	☐

Comments:
The programs file contained an updated copy of their programs Organizational Chart.

6. Cal EMA MODIFICATION (Cal EMA 2-223)			
• Review the purpose/preparation of Grant Award Modification Request (Cal EMA 2-223). *[R. H. Section 7500]* ***(Instruct project staff on the procedure to obtain the most recent forms from Cal EMA's website.)*** A modification is needed for the following:	☑	☐	☐
o Budget changes			
o Change in key personnel			
o Adding/changing additional signers			
o Change goals/objectives, or activities			
o Address change			
o Other			

Comments:
No modification had been submitted at this time. The modification process was reviewed and explained. The program appeared to have a good working understanding of the modification requirements.

7. PERSONNEL POLICIES			
• Does the project staff have access to written personnel policies as required? *[R. H. Section 2130]*	☑	☐	☐
• Do the personnel policies include:			
o Work hours	☑	☐	☐
o Compensation rates including overtime and benefits	☑	☐	☐
o Vacation, sick, and other leave allowances	☑	☐	☐
o Hiring and promotional policies	☑	☐	☐

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

- Do the personnel files include:
  - Staff note: Complete a sample review of a personnel file
  - Job application ☐ ☑ ☐
  - Resume ☐ ☑ ☐
  - Performance evaluations ☐ ☑ ☐
  - Salary rates ☐ ☑ ☐
  - Benefits ☐ ☑ ☐
  - Current job duties/descriptions ☐ ☑ ☐
  - Other terms of employment ☐ ☑ ☐
- Does the project have a current Drug Free Workplace policy statement on file signed by the employee? *[R. H. Section 2152]* ☑ ☐ ☐
- Did the Board approve the agency's existing personnel policy? ☐ ☑ ☐

Comments:

The program informed Cal EMA staff the there is no position created or retained, but all policies are available for employee review on the Mono County web-site, HR main file and HR New Employee Orientation.

8. FUNCTIONAL TIMESHEETS

- Does the project use functional timesheets for each grant funded position less than 1 FTE? OR Time Study Allocation plan updated within the last 2 years? *[R. H. Section 11331]* ☐ ☑ ☐
- Are timesheets (paid staff & volunteer) signed by staff & approved by supervisor? (Review timesheets to ensure signatures of staff and supervisor.) ☐ ☑ ☐

Comments:

No functional timesheets have been completed, but it was brought to the programs staff that each timesheet should have the funding source identified that the Grant Personnel are being paid from. If future dictates.

9. DUTIES OF FINANCIAL OFFICER AND BOOKKEEPER

- Are the duties of the financial officer and the bookkeeper separate to ensure no one person has complete authority over a financial transaction? ☑ ☐ ☐
  - Name of individual who approves purchases.
    Beverlee Bryant-Probation Chief
  - Name of individual who writes checks.
    Brian Muir-Director of Finance
  - Name of individual(s) who signs checks.
    Brian Muir-Director of Finance

Comments:

None

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

	YES	NO	N/A
10. SOURCE DOCUMENTATION-Fiscal *[R. H. Section 11000]*			
• Does the project maintain a record-keeping system which accurately supports costs claimed on Report of Expenditure and Request for Funds (Cal EMA Form 2-201)?	☑	☐	☐
• Does the project maintain an accurate inventory log of equipment purchased with grant funds?	☐	☐	☑

Comments:
The program informed Cal EMA staff that the grant funds are not designated to purchase equipment and no equipment has been purchased with Grant funding. All other documentation is copied and retained.

11. PROJECT EXPENDITURES			
• Is the project's expenditure rate commensurate with the elapsed period of the grant?	☑	☐	☐
• Are the project's expenditures being made in accordance with the terms of the Grant Award Agreement?	☑	☐	☐
• Does the project need to submit a Grant Award Modification Request (Cal EMA Form 2-223)?	☐	☑	☐
• Is the project up-to-date with the submission of Cal EMA Form 2-201?	☑	☐	☐

Comments:
Cal EMA staff provided the programs staff a current Cal EMA Budget Summary Report , Ledger Report, which reflected the programs current balance, and paid 201's.

12. MATCH REQUIREMENTS			
• Does the project have a match requirement?	☐	☐	☑
• Is the project meeting the match requirement?	☐	☐	☑
• Review the supporting documentation to substantiate cash or in-kind match.	☐	☐	☑

Comments:
N/A

13. EEO POLICY			
• Go over EEO checklist. (Separate document)	☑	☐	☐

Comments:
The program will provide copies of the required EEO Policies and these documents will be forwarded to Cal EMA EEO Department for review.

SECTION I – ADMINISTRATIVE and PROGRAMMATIC REVIEW (Continued)

GENERAL	YES	NO	N/A
14. PROGRAM GOALS AND OBJECTIVES			
• Review the goals and objectives of the program and the programmatic requirements of the Grant Award Agreement. Is the project meeting the program's goals and objectives?	☑	☐	☐
• Does the project need to submit Cal EMA Form 2-223 to modify grant objectives?	☐	☑	☐

Comments:
The program at this time does not anticipate submitting a modification to change the programs goals or objectives.

15. PROGRESS REPORT			
• Discuss and review the programmatic Progress Report requirements.	☑	☐	☐

Comments:
Cal EMA staff reviewed the requirements and due dates for the OMB, PMT and Quarterly 201's. The program acknowledged that they were aware of the above guidelines and their requirements of each document.

16. SOURCE DOCUMENTATION-Programmatic			
• Is the project maintaining a record keeping and data collection process that which accurately supports the project's reported data on the Progress Report form?	☑	☐	☐
• Review the project's file system and data collection process.			

Comments:
The program at this time is in the process of developing a data collection and record keeping system.

17. OPERATIONAL AGREEMENTS			
• Does the project have current Operational Agreements as required by the Grant Award Agreement?	☑	☐	☐

Comments:
The program acknowledged that they were aware of the use of Operational Agreements and will create future O/A's with new identified agencies to perform the goals and objectives of the grant.

18. PROJECT STAFF DUTIES			
• Interview project staff and discuss their duties and the relationship to the grant. Are employees performing duties as stated in the Grant Award Agreement?	☑	☐	☐

Comments:
Cal EMA staff interviewed the programs staff and it appeared that the staff members had a good working knowledge of the programs and the expectations of the grant award guidelines and regulations.

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

SECTION II - SUPPLEMENTAL PROGRAMMATIC REVIEW

***Evidence Base Probation Supervision**: Supplemental Programmatic Review sections should be unique to **each** program. Complete this section to meet your program's specific objectives.*

	YES	NO	N/A
1. Does the project track the following:	☒	☐	☐
• The number of probationers that will be supervised with evidence based practices.			
• The age and sex of probationer.	☒	☐	☐
• Those on felony probation.	☒	☐	☐
• Those who successfully complete probation.	☒	☐	☐
• Those who violate their probation.	☒	☐	☐
• The number of revocations due to new charges?	☒	☐	☐

Comments: The program acknowledged that they were aware of the above guidelines and tracking information, but advised Cal EMA staff, the tracking system was in the process of being developed and not yet available for review.

2. Does the project track the number of contacts with each active adult probationer in the field, in the office and by phone per month?	☒	☐	☐

Comments: The program acknowledged that they were aware of the above guidelines and tracking information, but advised Cal EMA staff, the tracking system was in the process of being developed and not yet available for review.

3. Does the project track the number of adult probationers referred to outpatient treatment programs (drug/alcohol, domestic violence, anger management, job training & family counseling?	☒	☐	☐

Comments: The program acknowledged that they were aware of the above guidelines and tracking information, but advised Cal EMA staff, the tracking system was in the process of being developed and not yet available for review.

4. Does the project track the number of days, drop outs, terminated, and successful adult probationers referred to residential treatment programs?	☒	☐	☐

Comments: The program acknowledged that they were aware of the above guidelines and tracking information, but advised Cal EMA staff, the tracking system was in the process of being developed and not yet available for review.

5. Does the project have a procurement policy for both goods and services (Consultations and equipment)? (Request copy)	☒	☐	☐

Comments: The program acknowledged that they had a policy and that they adhered to the Mono County Procurement Policy. A request of policy will be submitted upon its receipt.

6. Does the project have on-file the following documentation:			
• Signed MOU's or OA's	☒	☐	☐
• Project specific duty statements , rather than a copy of local agency job classification	☐	☒	☐
• All source documentation (Modifications/Amendments/201's).	☒	☐	☐
• Project provided training sign in sheets.	☒	☐	☐

Comments: The program acknowledged that they were aware of the above guidelines and had MOU's and other program source documentation for Cal EMA Staff to view. The program indicated that no job was created or retained with the grant funds, and no duty statement was available to review. Additionally, the program was made aware that any provided grant funded training required sign in sheets for participating staff.

7. Does the project have staff assigned to more than one Cal EMA funded project? If yes, please explain. ☐ ☒ ☐

Comments: The program advised Cal EMA staff that the grant funds received did not create or retained a grant funded position.

8. Does the project track the amount of state moneys expended for programs that are evidence base? If yes, please explain. ☒ ☐ ☐

Comments: The program acknowledged that they were aware of the above guidelines and tracking information, but advised Cal EMA staff, the tracking system was in the process of being developed and not yet available for review.

9. Does the project have a list of evidence base programs? If yes, please provide a copy. ☐ ☒ ☐

Comments: The program was not aware of any other evidence base program associated with the Evidence Based Probation Supervision Program.

10. Does the project track the specification of supervision policies, procedures, programs, and practices that have been eliminated? If yes, please provide a copy. ☐ ☒ ☐

Comments: The program indicated that they do not track any supervision policies, procedures, programs, or practices that have been eliminated.

SECTION IV- ADDITIONAL COMMENTS:

NOTES:

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

SECTION III – AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 (ARRA) PROGRAMMATIC REVIEW

	YES	NO	N/A
1. Is the project aware that they must provide Cal EMA with a *valid* Data Universal Numbering System (DUNS) Number for the implementing agency and not the County's DUNS number?	☒	☐	☐

Comments: The program acknowledged that they were aware that their county probation DUN's number was not valid and would begin the process to create a new DUN's number.

2. Is the project aware of the Central Contractor Registry (CCR) requirements?			
o Register with a valid DUNS number; and	☒	☐	☐
o Renew CCR registration yearly for the life of the grant.	☒	☐	☐

Comments: The program acknowledged that they were aware that the needed to register their DUN's number with CCR and confirmed that all information was valid and will be updated yearly for the life of the grant.

3. Does the project understand that they report Section 1512(c) information to Cal EMA and *not* to FederalReporting.gov directly?			
o Report the total number of hours worked for each ARRA funded position on the Jobs Data Collection Sheet; and	☒	☐	☐
o Completed Jobs Data Collection Sheets are due to Cal EMA by the 3rd working day of each month for JAG funded programs and	☒	☐	☐
by the 10th day of the each month for VOCA or VAWA funded programs.	☒	☐	☐
o Failure to submit Jobs Data by the due date could result in the project's award being suspended and/or revoked.			

Comments: The program acknowledged that they were aware of the reporting process of hours worked, Jobs Data Collection due dates, and failure to provide the necessary information can lead to grant suspension or revocation. The program also confirmed that the grant award did not create or retain a grant funded position.

4. Does the project understand that by accepting the grant award, they agreed to:			
o Track, account for, and report on all ARRA funds (including specific outcomes and benefits attributable to Recovery Act funds) separately from all other funds, including Cal EMA award funds from non-ARRA awards awarded for the same or similar purposes or programs. (ARRA funds may be used in conjunction with other funding as necessary to complete projects, but tracking and reporting of ARRA funds must be separate.); and	☒	☐	☐
o Accounting systems must ensure that ARRA funds are not co-mingled with funds from any other source.	☒	☐	☐

Comments: The program acknowledged that they were aware that they were required to track all ARRA funds, and that no funds could be co-mingled with other funding sources.

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

5. Is the project familiar with Office of Management and Budget, OMB Circulars which govern their organization? Circulars may be found at www.whitehouse.gov/omb/circulars. ☒ ☐ ☐

Comments: The program acknowledged that they were aware of the OMB Circulars, and indicated that they will review current circulars on the provided website.

6. Is the project aware that potential fraud, waste, or abuse must be promptly referred to the federal Department of Justice, Office of the Inspector General? Additional information is available from the DOJ OIG website at www.usdoj.gov/oig. ☒ ☐ ☐

Comments: The project was aware of reporting processes to the Federal Department of Justice, Office of the Inspector General, and that additional information could be located on the provided DOJ OIG website.

7. Is the project aware that ARRA funds cannot be used by any State or local government, or any private entity, for construction costs or any other support of any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. ☒ ☐ ☐

Comments: The project acknowledged that they were aware that no ARRA funds could be used to support any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.

8. Does the project understand that by accepting the grant award, they:
   - Agreed to provide Cal EMA, federal DOJ (including OJP and the Office of the Inspector General (OIG)), and its representatives, and the Government Accountability Office (GAO), access to and the right to examine all records (including, but not limited to, books, papers, and documents) related to ARRA funds, including such records of any subrecipient, contractor, or subcontractor; and ☒ ☐ ☐
   - Acknowledges that Cal EMA, federal DOJ and the GAO are authorized to interview any officer or employee of the recipient (or of any subrecipient, contractor, or subcontractor) regarding transactions related to this Recovery Act award. ☒ ☐ ☐

Comments: The project acknowledged that they were aware that they must agree to provide Cal EMA, Federal DOJ, OIG, GAO access to all records related to ARRA funding, and all sub recipients, contractor, or subcontractors. Additionally, the project acknowledged that Cal EMA, Federal DOJ & the GAO may interview any officer or recipient regarding related ARRA transactions.