

**THIRD AMENDMENT TO AGREEMENT
BETWEEN THE COUNTY OF SAN MATEO AND
RESEARCH TRIANGLE INSTITUTE INTERNATIONAL**

THIS THIRD AMENDMENT TO THE AGREEMENT, is entered into this ___19___ day of March 2019, by and between the COUNTY OF SAN MATEO, hereinafter called "County," and Research Triangle Institute International, hereinafter called "Contractor";

W I T N E S S E T H:

WHEREAS, pursuant to Government Code, Section 31000, County may contract with independent contractors for the furnishing of such services to or for County or any Department thereof;

WHEREAS, the parties entered into an agreement for the purpose of conducting an evaluation of program services related to the implementation and collective impact of the County's AB109 Public Safety Realignment and Unified Reentry program services on April 10, 2018 for the term April 1, 2018 through November 30, 2018 in an amount not to exceed One Hundred Twenty Thousand Dollars (\$120,000) (the "Agreement"); and

WHEREAS, on December 17, 2018, the parties entered into an amendment to the Agreement to extend the term through February 28, 2019, change the timeline of deliverables and the names of the Research Triangle Institute staff who would meet the County staff in person to review the technical report (the "First Amendment"); and

WHEREAS, on February 28, 2019, the parties entered into a second amendment to the Agreement to extend the term through June 30, 2019, with no change to the amount of the Agreement ("the Second Amendment"); and

WHEREAS, the parties now wish to enter into a third amendment to the Agreement to change the scope of work to add the following deliverables: 1) a report that describes the AB109 / Unified Reentry groups that were created for the outcome evaluation and sample sizes for each defined group; 2) a report that describes economic evaluations for each AB109/ Unified Reentry group; and 3) a final analytic dataset for the evaluation. In addition, the third amendment will change the timeline of deliverables to coincide with the extended term established in the Second Amendment and increase the amount of the Agreement by \$37,438 to a new not to exceed amount of \$157,438 (the "Third Amendment").

NOW, THEREFORE, IT IS HEREBY AGREED BY THE PARTIES HERETO AS FOLLOWS:

1. Section 3 of the Agreement is amended and restated in its entirety to read as follows:

3. **Payments:** In consideration of the services provided by Contractor in accordance with all terms, conditions, and specifications set forth in this Agreement and in Exhibit A2 (rev. 3/26/2019), County shall make payment to Contractor based on the rates and in the manner specified in Exhibit B2 (rev. 3/26/2019). County reserves the right to withhold payment if County determines that the quantity or quality of the work performed is unacceptable. In no event shall County's total fiscal obligation under this Agreement exceed ONE HUNDRED FIFTY-SEVEN THOUSAND FOUR HUNDRED THIRTY-EIGHT DOLLARS (\$157,438). In the event that the County makes any advance payments, Contractor agrees to refund any amounts in excess of the amount owed by the County at the time of contract termination or expiration. Contractor is not entitled to payment for work not performed as required by this agreement.

2. Revised Exhibits A1 and B1 are replaced with Exhibit A2 (rev. 3/26/2019) and Exhibit B2 (rev. 3/26/2019).

3. All other terms and conditions of the agreement dated April 10, 2018, as amended on December 17, 2018, and February 28, 2019, between the County and Contractor shall remain in full force and effect.

In witness of and in agreement with this Agreement's terms, the parties, by their duly authorized representatives, affix their respective signatures:

For Contractor: RESEARCH TRIANGLE INSTITUTE

Jackie Wilson March 19, 2019 Jackie Wilson
Contractor Signature Date Contractor Name (please print)

COUNTY OF SAN MATEO

By:
President, Board of Supervisors, San Mateo County

Date:

ATTEST:

By:
Clerk of Said Board

Exhibit A2 (rev. 3/26/2019)

In consideration of the payments set forth in Exhibit B2 (rev. 3/26/2019), Contractor shall provide the following services:

A thorough investigation of AB 109/Unified Re-entry (UR) evidence-based services and the impact of these services on positive participant outcomes to understand the extent to which these services have a basis in evidence, and the cost, effectiveness, and cost-effectiveness of services for improving short, intermediate, and long-term outcomes among participants. The evaluation will include a design, data collection and analysis, and final reporting for a project that will span from April 2018 to June 2019, including:

- 1) An Implementation Evaluation of the AB 109/UR services provided to the locally sentenced 1170(h) and Post-Release Community Supervision (PRCP) groups;
- 2) An Outcome Evaluation on the impact of AB 109/UR services on participants;
- 3) An economic evaluation of AB 109/UR services.

Implementation Study

The implementation study will explore how well programs that support AB 109 and UR populations have been implemented at the system and program levels, using mixed-methods data collection. It will include key informant interviews or focus groups, a web-based survey with stakeholders, data from existing program evaluation systems and programmatic data from service providers, and document review and abstraction.

Outcome Study

The outcome study will assess the impact of AB 109/UR services on several participant post-release outcomes. Contractor will:

- 1) Examine whether identified criminal justice interventions in the implementation study have a positive impact on short-term, intermediate, and long-term outcomes, including self-reported housing stability, employment, health and mental health, and criminal recidivism;
- 2) Depending on the availability of individual-level data and the quality of those data, conduct several multivariate regression analyses to determine which AB 109/UR participants succeed under community supervision and which treatment programs, criminal justice interventions, or combinations

of treatment and interventions have a positive impact on successfully completing community supervision;

- 3) Use multivariate regression models to determine the probability, risk, and incidence of criminal recidivism and assess the relative effectiveness of various criminal justice interventions, treatment programs, or combination of treatment and interventions that have a positive impact on criminal probability, risk, and incidence of criminal recidivism.

Economic Evaluation

The economic evaluation will describe cost savings or the trade-off between increased costs of service provision and improved outcomes. The groups of offenders to assess will be the same as the outcome evaluation.

Data Use Agreement

The Parties acknowledge and agree that they must develop and agree to a data use agreement that will specify roles and responsibilities with respect to the provision of protected client information to Contractor for the purpose of conducting the studies set forth in this Agreement. The data use agreement will address issues including but not limited to transfer of the data, data confidentiality and security, data ownership, allowable use of the data and data destruction upon completion of the studies.

Technical Approach

- Task 1 : Kickoff Meeting to Discuss Statement of Work: Contractor will meet with County in person to discuss the purpose of the project, the relative roles of County and Contractor, and questions regarding the topic and timeline
- Task 2: Implementation Evaluation and Assessment of Data Infrastructure: Contractor will collaborate with San Mateo Project Team to acquire data from existing data collection and program evaluation systems
 - Contractor will assess the quality and completeness of these data through secondary analysis
 - Contractor will conduct interviews and a survey and/or coordinate focus groups with stakeholders
- Task 3: Literature Review of State and National Reentry Initiatives: Contractor will conduct a literature review of prior state and national reentry initiatives through a structured rapid review process of published peer-reviewed literature

and governmental and organizational publications. Once all publications identified for possible inclusion have been compiled in a database, Contractor will independently extract data from the abstracts of all publications and determine a publication's appropriateness for inclusion in the full review. All articles determined appropriate for inclusion in the review will be assigned to a team member for more thorough full article review.

Contractor will draft a 10-page summary of the literature review for approval by County's project team in the last week of the second month of this project.

• Task 4: Memo that Describes AB09/UR Groups Necessary for Outcomes and Economic Evaluations:

- Develop a memo (no more than 3 pages) that describes the AB109 and Unified Reentry groups that were created for the outcome evaluation and provides sample sizes for each defined group
 - County approval is required before RTI moves forward with creating the final analytic dataset and conducting outcome analyses –
 - Contractor anticipates the following groups:
 - 1170(h) split sentence group
 - 1170(h) straight sentence group
 - 1170(h) split sentence group who report to Service Connect (SC)
 - 1170(h) split sentence group who do not report to SC
 - 1170(h) straight sentence group who report to SC
 - 1170(h) straight sentence group who do not report SC
 - PRCS group engaged in SC
 - PRCS group not engaged in SC
 - Non-AB1109 group that qualifies for UR
 - Non-AB1109 group that does not qualify for UR
 - Non-AB1109 group that qualifies for UR and receives SC
 - Non-AB1109 group that qualifies for UR but do not receive SC

• Task 5: Memo that Describes Economic Evaluations for each Anticipated AB109/UR Groups

- Develop a memo (no more than 3 pages) that describes the economic evaluations or descriptive assessment

- County approval is required before RTI moves forward with conducting the economic evaluations and assessments
- Task 6: Final Analytic Dataset
 - Conduct propensity score analyses on County-approved AB109/UR groups to assess average treatment effect of (1) supervision completion and (2) criminal recidivism among the following comparisons:
 - Split vs. Straight
 - Straight who report to SC vs straight who do not
 - Split who report to SC vs split who do not
 - PRCS engaged in SC vs. PRCS not engaged in SC
 - Non-AB1109 UR (Q) vs. Non-AB1109 UR (DNQ)
 - Non-AB1109 UR (Q) SC recipients vs. Non-AB1109 UR (Q) non-SC recipients
 - Use multivariate regression models to assess the effect of interventions, services, demographic characteristics, and criminal histories on (1) supervision completion and (2) criminal recidivism for individuals within each anticipated AB 109 /UR group
 - Conduct economic evaluation to assess the cost of AB109/UR services provided to each defined group. Costs will be broken out into county-funded services and contracted services where available.
 - Submit final analytic dataset(s), data dictionary, and syntax to the County

- Task 7: Outcome Evaluation

- County and its criminal justice partners will provide secondary administrative data collection
- The data required include individual-level information about treatment service and criminal justice use, demographic and background characteristics, criminal history records, supervision, housing, employment, health/mental health, and recidivism measures. Unique identifiers will be used to protect personally identifiable information (PII).
- The parties acknowledge and agree that a data use agreement must be executed prior to the transfer of any PII to Contractor.
- The analytic approach used by Contractor, to the extent that data are available to support, will include a combination of descriptive, multi-variate regression, and propensity score quantitative data analyses.

- Task 8: Economic Evaluation

- County and its criminal justice partners will provide secondary administrative data on the cost of services provided to the groups described in Task 4.
- Data sources will include administrative data on the quantity of services, unit costs provided by the County, and literature estimates on the unit value of criminal justice outcomes.
- The study, to the extent that data are available to support, will build on the outcome evaluation by computing the monetized benefits of outcomes and cost of services provided to the groups described in Task 4.

- Task 9: Draft of Final Technical Report:

- Submit a technical report draft to the County that includes implementation, outcome, and economic evaluations findings
 - County revisions must be submitted to RTI by June 5th

• Task 10: Final Technical Report

- Contractor will produce a final technical report that will synthesize all findings from this work, including those of the literature review of state and national reentry initiatives
- The final technical report will provide answers to the research questions, to the extent that they can be addressed, identify remaining gaps in the research, and identify questions that may be addressed in the future
- The main body of the technical report shall be 40 pages or less, excluding the executive summary and appendix
- Contractor will submit a draft of the technical report for review and a final . version of the technical report within two weeks of receiving comments from County on the draft
- Contractor will also help the County prepare materials derived from this project in its future communications.
- Submit the final report and present it to the County in person

Contingency Plan

RTI's ability to meet milestones in the deliverable schedule (see Table 1) within a 4-month period is contingent on receiving approval from the County in a timely manner. The first memo that defines the AB109/UR groups and sample sizes must be reviewed and approved by the County by April 5th. The second memo that describes the economic evaluation for each agency must be reviewed and approved by the County by April 12th. The County's questions about the final analytic dataset should be submitted to RTI by May 24th. Feedback for the draft of the final technical report should be provided to RTI by June 5th

Bi-Weekly Meetings

- Contractor (Project Director) will meet bi-weekly with the County staff to discuss project progress and any questions or problems that emerge
- Contractor will have other staff contribute to discussions on as-needed basis • The scope of the project covers no more than 20 meetings

Management Plan

- This work will be conducted by:
 - Samuel Scaggs, PhD — Project Director & Task Lead for Outcome Evaluation
 - Megan Comfort, PhD — Task Lead for Implementation Evaluation
 - Alexander Cowell, PhD — Task Lead for Economic Evaluation
 - Debbie Dawes, MPA — Data Management Coordinator
 - Brendan Wedehase, BA — Analyst

- Dr. Scaggs will serve as the main point of contact for the County and oversee the three teams for the project. Dr. Comfort will serve as the backup point of contact (available for face-to-face contact)

Timeline of Events

The attached table shows a general breakdown of the tasks and timeline to complete the project Schedule of Deliverables

Deliverable Description	Deliverable Due Date
Task 1 - Kickoff Meeting, work plan	1 st week of April
Task 2 - Implementation Evaluation Web Survey Response	July 31, 2018
Task 3 - Literature Review of State and National Reentry Initiatives	May 31, 2018
Task 4 – Memo that Defines the AB109/UR groups and Sample Sizes	March 22, 2019
Task 5 - Memo that Describes the Economic Evaluation	April 5, 2019
Task 6 Final Dataset(s), data dictionary, and syntax (Final analytic dataset deliverable is contingent on receiving County approval of first memo by April 5 th)	May 17, 2019
Task 7 -Technical report of evaluation findings: Draft (Draft deliverable is contingent on receiving County approval of both memos by April 12 th)	May 31, 2019
Technical Report of Evaluation Findings: Final (Final technical report is contingent on receiving County feedback on the draft by June 5 th)	June 21, 2019
Bi-weekly meetings (no more than 20)	2 nd and 4 th week of every month (April 2018 — February 2019)
Monthly progress reports (no more than 7)	Last business day of every month (April 2018- October 2018)

Exhibit B2 (rev. 3/26/2019)

Deliverable	Due Date	% of Total	Invoiced	Payment Amount
Evaluation Plan (as distinct from SOW)	Month 1	20%	Yes	\$23,993.00
Synthesis of state and nation reentry initiatives	Month 2	20%	Yes	\$23,993.00
Survey response rates from s/holder survey	Month 4	20%	Yes	\$23,993.00
Memo that defines the AB109/UR groups and sample sizes	March 22, 2019	20% of remaining new requested budget		\$17,091.80
Memo that describes the economic evaluation for each agency	April 15, 2019	20% of remaining new requested budget		\$17,091.80
Final dataset(s), data dictionary, and syntax	May 17, 2019	20% of remaining new requested budget		\$17,091.80
Technical report of evaluation findings: Draft	May 31, 2019	20% of remaining new requested budget		\$17,091.80
Technical report of evaluation findings: Final	June 21, 2019	20% of remaining new requested budget		\$17,091.80
Total Fixed Price:				\$157,438.00