



# **CONTRACT**

**BY AND BETWEEN**

**LOS ANGELES COUNTY**

**DEPARTMENT OF PUBLIC SOCIAL SERVICES**

**AND**

**ECONOMIC ROUNDTABLE**

**FOR**

**FAMILY-CENTERED WELFARE RESEARCH PROJECT**

**Prepared by:**

Department of Public Social Services  
Bureau of Special Operations  
12860 Crossroads Parkway South  
City of Industry, California 91746

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### ATTACHMENTS

ATTACHMENT A – RESEARCH PROPOSAL

ATTACHMENT B – EMPLOYMENT ACKNOWLEDGEMENT AND CONFIDENTIALITY

ATTACHMENT C – CHARITABLE CONTRIBUTIONS CERTIFICATION

ATTACHMENT D – COMPLAINT OF DISCRIMINATORY TREATMENT

ATTACHMENT E – DATA DETECTION CHECKLIST

ATTACHMENT F – ELEMENTS OF DATA REQUEST

ATTACHMENT G – MEMORANDUM OF UNDERSTANDING QUARTERLY  
MONITORING REPORT

## 1.0 SCOPE OF WORK

This Contract outlines the agreement entered into by Los Angeles County Department of Public Social Services (DPSS) and the Economic Roundtable (ER) for the purpose of conducting a Family-Centered Welfare Research Project.

## 2.0 DEFINITIONS

**Department of Public Social Services (DPSS):** The County Department responsible for providing CalWORKs, financial and social services to eligible persons in Los Angeles County.

**Economic Roundtable (ER):** Lead research organization identified by the Board of Supervisors for this research project.

## 3.0 WORK

The objective of this project is to provide the Board of Supervisors and DPSS, with the benefit of the most complete, reliable and operationally relevant information regarding the administration of the social services program. Specifically, increasing economic self-sufficiency and improving the well-being of parents and children in CalWORKs families. The attached, Research Proposal (Attachment A) outlines the scope of this research project.

This contract contains the following attachments:

- Attachment A – Research Proposal
- Attachment B – Employee Acknowledgment and Confidentiality Agreement
- Attachment C – Charitable Contributions Certification
- Attachment D – Complaint of Discriminatory Treatment
- Attachment E – Data Deletion Checklist
- Attachment F – Elements of Data Request
- Attachment G – Memorandum of Understanding Quarterly Monitoring Report

## 4.0 TERM OF CONTRACT

- 4.1 The term of this Contract shall commence one day after Director approval and expires on August 31, 2012.
- 4.2 The County or Contractor may terminate this Contract without cause, provided a written notice is given at least 30 days in advance.
- 4.3 This Contract may be amended by mutual written consent of all parties involved.

## 5.0 CONTRACT PAYMENT

- 5.1 This is a non-financial Contract that sets forth the parameters for allowing ER as the researcher, to obtain from DPSS, administrative information and other administrative data for participants in the CalWORKs program. Contractor will be responsible for safeguarding the identities of such participants (see 6.0 Confidentiality).

## 6.0 CONFIDENTIALITY

- 6.1 ER, its employees, agents, and subcontractors, shall maintain the confidentiality of all records obtained from DPSS under this Contract in accordance with the Welfare and Institutions Code (*W&I Code, Sections 10850 et seq. and the 17006*) and all other applicable federal, state, and local laws, ordinances, regulations, and directives relating to confidentiality.
- 6.2 ER shall ensure that each employee, agent, subcontractor performing services covered by this Contract signs and adheres to the "Employee Acknowledgment and Confidentiality Agreement" in Attachment B (Chapter 19-004.8, California Department of Social Services [CDSS] Manual).
- 6.3 ER shall comply with all of the requirements specified in this Contract, or as later amended, for the purpose of obtaining the proper form of consent of individuals to be contacted regarding participation in the research.
- 6.4 ER shall maintain the confidentiality of all research participants while conducting the survey.
- 6.5 In order to carryout the research objectives/services outlined in this Contract, ER shall ensure that adequate provisions to keep DPSS administrative records confidential are included in contracts and agreements entered into with third parties and other agents outside DPSS.
- 6.6 In accordance with state law, including but not limited to (*W&I Code, Sections 10850 et seq. and 17006 and CDSS 19-000*), all of the case records, computer records, and information pertaining to individuals receiving aid are confidential. No information related to any individual or case records shall be relayed to anyone except the designated DPSS employees and as permitted by law.

## 7.0 CHARITABLE ACTIVITIES COMPLIANCE

The "Supervision of Trustees and Fundraisers for Charitable Purposes Act" regulates entities receiving or raising charitable contributions. The "Nonprofit Integrity Act of 2004" (SB 1262, Chapter 919) increased Charitable Purposes Act requirements. By requiring contractors/researchers to complete the certification in Attachment C, the County seeks to ensure that all County contractors/researchers who receive or raise charitable contributions comply with California law in order to protect the County and its taxpayers. A contractor/researcher that receives or raises charitable contributions without complying with its obligations under California law commits a material breach subjecting it to either Contract termination or debarment proceedings or both (County Code Chapter 2.202).

## 8.0 ER RESPONSIBILITIES

ER shall:

8.1 Designate the following contact person:

**Daniel Flaming, Ph.D.**

President

Economic Roundtable

315 West Ninth Street, Suite 1209

Los Angeles, CA 90015

213-892-8104

213-892-8105 (fax)

[economicrt@earthlink.net](mailto:economicrt@earthlink.net)

8.2 Use DPSS data for the sole purpose of this research project as indicated in this Contract.

8.3 Not distribute DPSS data obtained through this agreement to outside entities without written authorization from DPSS and as permitted by law.

8.4 Not contact or attempt to contact personally, orally or in writing, DPSS participants without written consent from DPSS.

8.4.1 For the purpose of recruiting participants for a telephone survey participation or in-person interview, ER will prepare and provide for mailing a form letter to potential participants describing the purpose of the research, the benefit to participants, as well as examples of types of questions that may be asked, especially those concerning personal sensitive information. The letter should also state that participation is completely voluntary, and their decision as to whether to participate will not affect their benefits in any way. This form letter must be pre-approved by DPSS.

8.4.2 DPSS will provide ER with a suggested recruitment cover letter to accompany the letter described in 8.4.1. However, ER will be responsible for the mailing of all materials, including providing postage-paid reply envelopes to potential research participants.

8.4.3 In compliance with the terms of the October 23, 2003, Civil Rights Resolution Agreement with the Federal Office for Civil Rights, Department of Health and Human Services Region IX, as directed by DPSS, ER will ensure all correspondences sent to participants are in their designated primary language and that interpreters are provided for telephone surveys and in-person interviews.

ER shall develop and operate procedures for receiving and responding to Civil Rights complaints that include:

- Providing and assisting participants with completing the PA 607, Complaint of Discriminatory Treatment (see Attachment D) in the participant's primary language.
- Maintaining a log of Civil Rights complaints.
- ER's contact person shall act as the Civil Rights Liaison (CRL) between ER and DPSS.
- Forwarding all PA 607's to DPSS within two (2) business days.
- ER should not attempt to investigate Civil Rights complaints. Investigations are handled by DPSS' Civil Rights and Customer Relations Sections.

8.4.4 The postage-paid and pre-addressed postcards will be provided to participants with the introductory letters so that participants can indicate (a) their refusal to participate or (b) their current telephone number and best time to call.

Participants who indicate their refusal will not be telephoned or visited by ER. All other participants who received the recruitment letter may be contacted under the conditions specified in the introductory letter. ER will be required to maintain copies of postcards from recipients who refused participation in the study and copies of written consent of DPSS participants to be interviewed in person.

8.4.5 Clear and obtain concurrence from DPSS on all research instruments and procedures prior to commencement of research activities.

- 8.5 Take necessary security measures to ensure that only authorized members of the research team or employees who have signed an "Employee Acknowledgment and Confidentiality Agreement" gain access to confidential information obtained through DPSS data. DPSS will monitor compliance with this provision by requesting identification of ER staff with access to data and confirmation. DPSS will ensure that "Employee Acknowledgment and Confidentiality Agreement" forms signed by ER staff are on file. ER will notify DPSS of new staff that join the research project during the Contract period and submit to DPSS signed "Employee Acknowledgment and Confidentiality Agreement" forms for these staff.
- 8.6 Not publish, disclose, cause to be published or disclosed, or include in any of their products or reports the name, address, or any identifying information concerning the condition or circumstances of any client, or participants, from whom, or about whom, information is obtained.
- 8.7 Allow DPSS to review and comment on all major draft reports that result from using DPSS data. This DPSS administrative review will occur within a 30-working day period, prior to the final release or publication of any such reports.
- 8.8 During the 30-working day review and comment period, DPSS will identify factual mistakes or misinformation and provide feedback. If mutual agreement is not reached, a disclaimer stating DPSS' disagreement must be included in the final published report.
- 8.9 Provide DPSS with 20 color copies of each final report produced using DPSS data.
- 8.10 Manage all contracts between ER and third parties, if there are any, for services related to this Contract consistent with applicable County and State requirements. If any contracted providers are utilized to perform services specified in this Contract, ER shall:
  1. Coordinate and monitor all contracts on a quarterly basis to ensure that agreed requirements are met.
  2. Within 60 days of execution of each contract, submit to DPSS a Quality Assurance Monitoring Plan (QAMP). Revisions to the QAMP should be submitted as changes occur. All revisions shall be due to DPSS no less than ten (10) working days prior to being implemented, unless DPSS approves an extension. The QAMP must include details on how ER will monitor their contractors related to these services including monitoring the administrative and service delivery aspects of each contract.

3. Submit to DPSS, monitoring results for each contract with third parties, on a quarterly basis. DPSS reserves the right to conduct monitoring of ER's contractors with the assistance of ER to validate service delivery and compliance.
- 8.11 Protect the confidentiality of all DPSS data collected and not disseminate any DPSS data to outside entities without the express written authorization from DPSS and as permitted by law.
- 8.12 DPSS data must be stored in a secure manner. Compact discs, flash drives, and other portable media with DPSS data must be stored in a locked file cabinet when not in use. Access to computers with DPSS data must be restricted to persons who have signed the confidentiality agreement. Computers with DPSS data must be password protected. DPSS data with personal identifiers (name, social security number, etc.) must be stored on a computer with no connection to the Internet.
- 8.13 Cooperate with DPSS in meeting its monitoring responsibilities associated with this agreement.
- 8.14 Either return or destroy/delete all DPSS data in ER's possession within six months following the expiration of this Contract (see Data Deletion Checklist Attachment E).
  1. Data printed on paper or saved to a plastic disc must be shredded.
  2. Electronic files must be deleted/destroyed from all storage media, i.e., CDs, hard drives, flash drives, etc.

## 9.0 DPSS RESPONSIBILITIES

DPSS shall:

- 9.1 Designate the following contact person:

**Brenda J. Williams**

County of Los Angeles

Department of Public Social Services

Bureau of Special Operations

Research, Evaluation and Quality Assurance Division (REQAD)

Management and Research Services Section

12820 Crossroads Parkway South-West Annex

City of Industry, CA 91746

Telephone: (562) 908-5866

E-mail: [brendajwilliams@dpss.lacounty.gov](mailto:brendajwilliams@dpss.lacounty.gov)



- 9.2 For the sole purpose of this research project, provide ER with LEADER and GEARS data (see Attachment F) for all members of CalWORKs cases for the period of January 2007 through May 2009 and update monthly until December 2010.
- 9.3 Review all documents associated with this project, e.g., recruitment cover letter, form letter to potential study participants, etc., and ensure notices and correspondences sent to participants are in their designated primary language.
- 9.4 Provide ER with a suggested recruitment cover letter.
- 9.5 Review reports produced by ER in this research effort. DPSS will have a 30-day period to review and comment on any draft report prior to its release as a final report.
- 9.6 DPSS contact person shall review the Contract no less than annually to ensure that the Contract is still needed and that all terms and conditions are current.

## **10.0 MONITORING**

- 10.1 ER shall identify staff that have access to DPSS data and confirm in writing, using the attached Quarterly Monitoring Report (Attachment G), that "Employee Acknowledgment and Confidentiality Agreement" forms signed by each employee are on file. Copies of these Confidentiality Agreements shall be provided to DPSS-Management and Research Services Section (MRS). ER will notify DPSS-MRS of new staff that have access to DPSS data during the Contract period and submit an original signed confidentiality agreement for each new staff before accessing DPSS data.
- 10.2 ER shall certify in writing to DPSS-MRS, using the Quarterly Monitoring Report, that DPSS data are used for the sole purpose indicated in this Contract.
- 10.3 ER shall certify in writing, using the attached Data Deletion Checklist (Attachment E) and the Quarterly Monitoring Report form (Attachment G) that all DPSS data in ER's possession have been returned, destroyed or deidentified within six months after the expiration of this Contract.
- 10.4 ER shall use the Quarterly Monitoring Report form (Attachment G) which outlines information referenced above in paragraphs A, B and C of the Monitoring Section. ER shall submit this report on the 3<sup>rd</sup> working day of January, April, July, and October of each year, through the duration of this Contract.

- 10.5 DPSS will monitor compliance with this provision by requesting from ER, copies of postcards from recipients who refused participation in the study and copies of written consent of DPSS participants to be interviewed in person.
- 10.6 DPSS shall maintain a Quality Assurance Monitoring Plan (QAMP) to monitor ER's overall compliance.

## **11.0 INDEMNIFICATION**

- 11.1 This Contractor shall indemnify, defend and hold harmless the County, its elected and appointed officers, employees, and agents from and against any and all liability, including but not limited to demands, claims, actions, fees, costs, and expenses (including attorney and expert witness fees), arising from or connected with the Contractor's acts and/or omissions arising from and/or relating to this Agreement.

## **12.0 GENERAL INSURANCE REQUIREMENTS**

- 12.1 Without limiting the Contractor's indemnification of the County and during the term of this Agreement, the Contractor shall provide and maintain, and shall require all of its subcontractors to maintain, the following programs of insurance or self-insurance programs maintained by the County. Such coverage shall be provided and maintained at the Contractor's/Subcontractor's own expense.

Prior to commencing services under this Contract, Evidence of Insurance, Certificate(s) or other evidence of coverage satisfactory to the County shall be delivered to:

Department of Public Social Services  
MRS – Research and Evaluation Operations  
12820 Crossroads Parkway South – West Annex  
City of Industry, CA 91746

**Brenda J. Williams, County Contract Administrator**

- 12.2 Evidence of Insurance: Certificate(s) or other evidence of coverage satisfactory to the County shall be delivered to the County Contract administrator prior to commencing services under this contract. Such certificates or other evidence shall:
- Specifically identify this Contract;
  - Clearly evidence all coverages required in this Contract; and

- Contains the expressed condition that the County is to be given written notice by mail at least thirty (30) days in advance of cancellation for all policies evidenced on the certificate of insurance.

12.2.1 **General Liability** insurance (written on ISO policy form CG 00 01 or its equivalent) with limits of not less than the following:

General Aggregate:	\$2 million
Products/Completed Operations Aggregate:	\$1 million
Personal and Advertising Injury:	\$1 million
Each Occurrence:	\$1 million

12.2.2 **Automobile Liability:** ER shall provide evidence that all members of the research team or employees associated with this project maintain personal automobile liability coverage.

12.2.3 **Workers' Compensation and Employers' Liability** insurance providing Workers' Compensation benefits, as required by the Labor Code of the State of California or by any other state, and for which Contractor is responsible. In all cases, the above insurance also shall include Employers' Liability coverage with limits of not less than the following:

Each Accident:	\$1 million
Disease - policy limit:	\$1 million
Disease - each employee:	\$1 million

12.3 Each party agrees to notify the others upon learning of any accident, incident, claim or lawsuit relating to the work performed by any of the parties pursuant to this Agreement.

### 13.0 DISPUTES

Any disputes between DPSS and ER regarding the performance of services reflected in this Contract shall be brought to the attention of the DPSS Director or his designee, and it shall be resolved by the DPSS Director or his designee, and the Director's or his designee's decision shall be final.

### 14.0 AUTHORIZATION WARRANTY

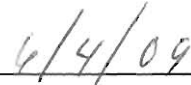
The parties represent and warrant that their signatories to the Contract are fully authorized to obligate the parties hereunder and that all corporate acts necessary to the execution of the Contract have been accomplished.

In witness whereof, the Board of Supervisors of the County of Los Angeles has caused this Contract to be subscribed on its behalf by the Director of the Department of Public Social Services and the Contractors have subscribed the same through its authorized officer(s), on this 4 day of June, 2009. The persons signing on behalf of CONTRACTOR warrant under penalty of perjury that he or she is authorized to bind CONTRACTOR.

**Department of Public Social Services**

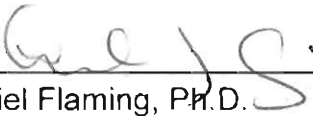


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Philip L. Browning, Director

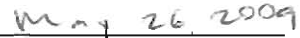


\_\_\_\_\_  
Date

**Economic Roundtable**



\_\_\_\_\_  
Daniel Flaming, Ph.D.  
President



\_\_\_\_\_  
Date

## RESEARCH PROPOSAL

### 1.0 Name of Organization that will conduct the Research Project

The Economic Roundtable (ER) is the lead research organization identified by the Board of Supervisors for this project.

### 2.0 Objective of the Research Project

The objective of the Family-Centered Welfare Research Project is to provide the Board of Supervisors, Department of Public Social Services (DPSS), other departments, and the public with the most complete, reliable and operationally relevant information possible about increasing economic self-sufficiency and improving the well-being of parents and children in CalWORKs families. Specifically, the research project will address the following six questions put forward by the Board of Supervisors:

- 2.1 *What groups of parents and children are better off after they leave welfare? How are children affected?*
- 2.2 *Which programs have been most successful in moving families from welfare into sustaining employment? What job opportunities are available for parents?*
- 2.3 *Have public costs in other areas such as the criminal justice system, health care, mental health services, protective services, or homeless services been impacted as parent and families leave the welfare rolls?*
- 2.4 *What are the long-term trends in welfare caseload composition and needs? Who is left on the welfare rolls? Are there more recipients with special needs?*
- 2.5 *What have been the impacts of the recent changes in higher education for CalWORKs participants?*
- 2.6 *How can policies and programs move in the direction of identified success?*

### 3.0 Type of Research to be Conducted

The research team will use data from the DPSS, other county departments, the California Employment Development Department (EDD), and a survey of CalWORKs recipients to carryout a research program that will include investigating the following questions:

- 3.1 Economic Sustainability for the Overall Population and Subgroups
  - 3.1.1 What are the long-term outcomes from work?
  - 3.1.2 What are the impacts of training and education on earnings?

- What role should participants have in making choices about education and training?
  - Are reduced constraints effective?
  - What are the employment and earning outcomes for participants in Self-Initiated Training Programs (SIPs)?
- 3.1.3 Why has enrollment in SIPs declined?
- 3.1.4 What factors cause parents not to take up educational opportunities?
  - Why is there a high dropout rate from remedial education?
  - Are there deficiencies in these programs?
- 3.1.5 How can work and training be combined?
- 3.1.6 What are the impacts of the recent changes in CalWORKs regulations regarding participation in higher education programs?
- 3.1.7 What are the employment outcomes and potentials of people who find jobs on their own compared to those who find jobs during or after welfare-to-work?
- 3.1.8 What are the employment outcomes for individuals with criminal records?
- 3.1.9 What impact does welfare-to-work have on the regional economy?
- 3.1.10 What constraints on welfare-to-work result from conditions in the regional economy, particularly following the 2001 recession?
- 3.2 Family Health and Well-Being for the Overall Population and Subgroups
  - 3.2.1 What are the impacts of welfare reform on children?
  - 3.2.2 What are the trends in caseload composition?
    - What are the demographic and service need characteristics?
    - Is the caseload becoming less employable?
    - Are there more linguistically isolated clients?
    - What are the long-term trends in service needs?

- 3.2.3 What are the characteristics and needs of child-only families?
- How many and what types of parents in these families are potentially eligible for CalWORKs?
  - What are the employment outcomes for these families?
- 3.2.4 What are the barriers to receiving and completing services?
- For the overall population?
  - For individuals with acute needs, (e.g., homeless, mentally ill)?
- 3.2.5 What are the impacts of and barriers to receiving child care?
- Is center-based child care more beneficial than other types of child care?
- 3.2.6 What are the impacts of and barriers to receiving transportation assistance?
- Are there specific populations with especially acute transportation needs?
- 3.2.7 What are the characteristics and needs of people who have used up an above-average share of their five-year life time limit for Temporary Assistance for Needy Families (TANF) benefits?
- What services are needed?
  - What about people who have time-limited out of the system?
- 3.2.8 What happens when parents and their children leave CalWORKs?
- How can they be reached if they have unmet needs?
- 3.2.9 What is happening with the population of parents who are non-cooperative with welfare-to-work, get sanctioned, and leave welfare?
- Is this a vulnerable population?
- 3.2.10 What are the outcomes for the total population of sanctioned families?
- What are their employment outcomes?
- 3.2.11 Why is the CalWORKs caseload shrinking?

- 3.2.12 What are the possible regional consequences of a declining CalWORKs caseload?
- 3.2.13 To what extent are other county departments involved in serving CalWORKs recipients before, during and after CalWORKs?
- What types of clients most frequently receive services from multiple departments?
  - What combinations of services do clients receive?
  - What additional information about CalWORKs families can be learned from the records of other county departments?
  - Are there opportunities to coordinate or integrate services provided by county human services and justice system agencies to CalWORKs families?
  - Are there increased service needs and/or costs for families that have left CalWORKs? If so, what are those needs and costs?
- 3.2.14 What are the characteristics and needs of homeless families?
- How do the current services and policies of DPSS impact them?
  - Do they combine, or alternate, DPSS aid with assistance from other county agencies?
- 3.2.15 What happens to precariously housed families, for example, families doubled up in housing?
- Is there a high risk of homelessness?
  - Are there greater health risks?
- 3.2.16 What are the needs and outcomes of youth who age out of CalWORKs?
- Why does the number of 18-year old youth in the system drop significantly?
  - What can be learned about the well-being, high school completion, employment or post-welfare status, and service needs of these youth?
  - Do older CalWORKs youth have: Significant levels of behavioral and emotional problems? Disconnection from school? Lack of engagement in school extracurricular activities? Identifiable limiting conditions? Health problems?
  - Are there indicators that can be used to help identify youth who are likely to be dependent on welfare after they are 18 years of age?



- What types of welfare-to-work services are needed to help such youth complete school and prepare for future employment/education?

### 3.3 Program Design and Best Practices for the Overall Population and Subgroups

3.3.1 What are the strengths and successes of the CalWORKs program?

3.3.2 What helps a welfare recipient become an economically self-sufficient, healthy individual?

3.3.3 What services have proven effective for different types of recipients, including parents with mental health, substance abuse or domestic violence problems, or with criminal records?

3.3.4 How can inter-organizational service linkages be strengthened to provide the full range of services needed by different groups?

3.3.5 What best practices should be replicated within the CalWORKs program to build upon identified successes?

- Which DPSS offices do particular things best?
- Which service providers are most effective?

## 4.0 Justification and Sources for Research Information

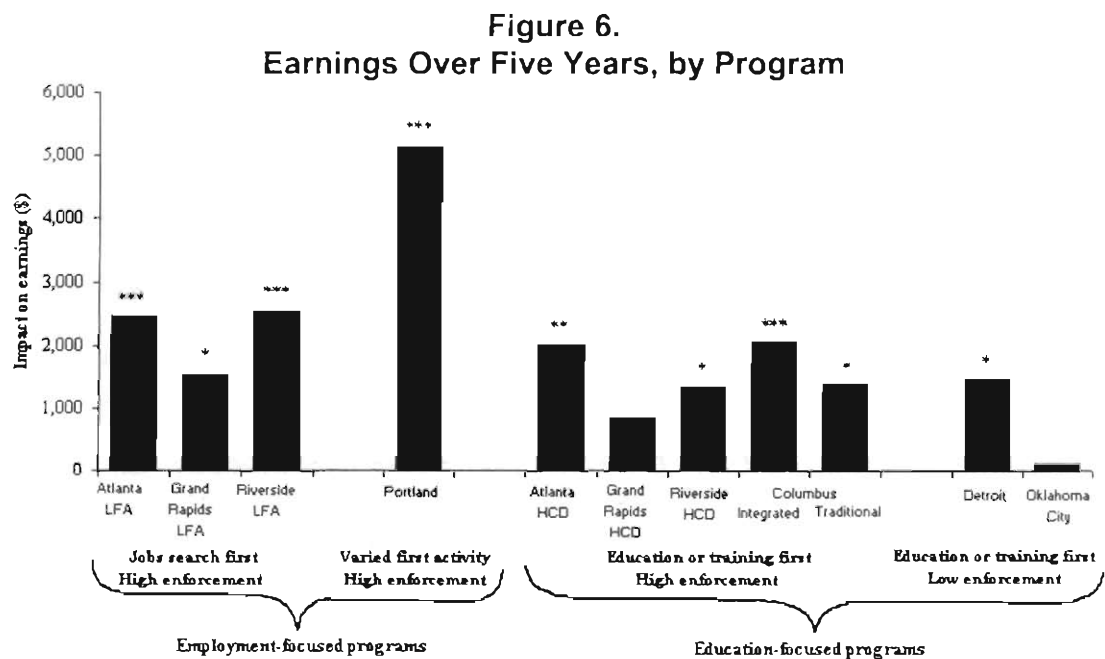
This research program has been designed to address questions raised by stakeholders in county government, the community, as well as to build on findings from other recent research. A review of recent research prepared by the California Institute for Mental Health and a description of sources of research information for this project are provided below:

### 4.1 Review of Recent Research on Income, Employment and Welfare Tenure

4.1.1 Income and poverty: Income from employment replaced income from welfare for many single mothers. (See Rebecca Blank, "What Did the 1990s Welfare Reform Accomplish?") However, a recurrent finding is that welfare inadequately assists families out of poverty, and has not shown to increase the total family income. Leavers studies has shown substantial minorities remained on welfare, had no job, or inconsistent work. Most minorities remain under the poverty threshold. (Manpower Demonstration Research Corporation [MDRC] found 54% of a 1995 cohort in Los Angeles [LA] still below poverty level in 2001).

- 4.1.2 Employment and welfare tenure: Overall, after welfare reform, many more persons found jobs and got off welfare. However, it is unclear how much of the reduction in welfare enrollment is attributable to a strong economy and how much is attributable to welfare policies. Perhaps a third to a half of the reduction is attributable to welfare policies. In California this is the child-only cases (which were not considered by MDRC in their recent report). The percentage of the welfare population with long-term stable employment is relatively low (in LA, MDRC puts it at 36%).
- 4.1.3 In 20 experimental programs, flexible programs that included training education and holding out for good jobs did far better than either strict work-first or education first programs. Portland's program, with this design, far outperformed any other site including Riverside. "The [Portland] program was strongly employment-focused: staff communicated that the primary program goal was to help people move into jobs, and job search was the most common activity. However, in contrast to many employment-focused programs, participants were encouraged to look for and take "good" jobs--full-time, paying above the minimum wage, with benefits and potential for advancement. Also, Portland's program utilized a more mixed services strategy than is typically implemented by strongly employment-focused programs. Staff assigned many people to short-term education, vocational training, work experience, and life skills training to improve their employability." See US Department of Health and Human Services, Office of Planning and Evaluation report at: <<http://aspe.hhs.gov/search/hsp/NEWWS/synthesis02/chapt4.htm#fig6>> Figure 6. Earnings Over Five Years, by Program from this report is reproduced on page 7.
- 4.1.4 Key findings from recent welfare reform research, identified by Shawn Fremstad at the Center on Budget and Policy Priorities (available at <http://www.cbpp.org/1-30-04wel.htm>) are listed below.
- Recent families that have left welfare are less likely to have jobs than prior TANF "leavers." [Also a Prisoners of Hope finding for LA.]
  - Poverty rates among families that leave TANF are very high and have remained high over time.
  - Families that lose TANF cash assistance because of sanctions or time limits are more likely to experience hardship than families that leave for other reasons (such as getting a job).

- Many families receiving TANF include members who are disabled or have other serious health problems that have a negative impact on their employment and earnings. [Also a Prisoners of Hope finding.]
- Half of the very poor families with children who are eligible for TANF assistance do not receive it. The share of very poor families who do not receive TANF is increasing.
- The expansion of child care assistance programs in the last half of the 1990s increased employment and full-time work among former TANF recipients.
- Provisions in the 1996 welfare law that made many legal immigrants ineligible for various public benefits have led to increased hardship among immigrant families.



#### 4.2 Critical Issues for Which There is Little Available Research:

- 4.2.1 Those having timed out [Berkeley Policy Associates (BPA) and University of California (UC) Data have the big state contract but have not reported; LA “preliminary” report uses inadequate control group and low response survey for the atypical first six months].
- 4.2.2 Child-only cases (by reason, e.g., sanction, time limits; by caregiver: parents, others). The MDRC Los Angeles research

- excluded these cases. They did not get a separate focus on Prisoners or in our Outcomes study when we used ER data.
- 4.2.3 Homeless with CalWORKs history/links (ERT has done quite a bit of analysis, but it was focused on prevalence and distribution; not looking extensively at homeless assistance, service patterns, and unearned income [UI]. Could possibly use shelter data to define cohorts of current and past CalWORKs recipients).
- 4.2.4 How participants in 2001-2004 compare to those receiving welfare in 1998. [Prisoners of Hope shows decreasing employment rates at an earlier stage.]
- 4.2.5 Relationships to other agencies, child welfare, child protection, criminal justice, college-junior college, Workforce Investment Act (WIA), the health care system, Mental Health/Substance Abuse/Domestic Violence (MH/SA/DV), marriage, moving to another county (MEDS), housing programs, shelters, Section 8, and schools for kids. (Virtually no studies have done this using administrative data, although some simulate with client interviews. Widely varying results in the few studies looking at child welfare overlap.)
- 4.2.6 One parent vs. two-parent; and family formation and stability. (Analysis that includes all aided adults in a household is limited.)
- 4.2.7 Child well-being (early studies showed no negative effects of women going to work, but much has changed since then; further interview rounds in World Education Services (WES) and the Three Cities study have not yet been published).
- 4.2.8 What were the consequences/changes during the economic downturn of 2001-2004? (The decoupling of economic growth and welfare policies permit a better estimate of the overall effects of welfare policies themselves.)<sup>1</sup>
- 4.2.9 The substantial subgroup of those with no employment and no welfare. (Every study has found these persons, relatively little is known about their lives and their families).<sup>2</sup> Results change Results change considerably based on whether one includes the child-only cases as “off” welfare or “on.”

### 4.3 Barriers and Overcoming Barriers

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<sup>1</sup> 31 states showed TANF increases in 2002: Administration for Children and Families (ACF). (2003). *Temporary Assistance for Needy Families (TANF): Fifth annual report to Congress*. Retrieved online, January 11, 2005 Washington, DC: U.S. Department of Health and Human Services (HHS)

<sup>2</sup> Nelson, Sandi, and Sheila R. Zedlewski. 2003. “Qualitative Interviews with Families Reporting No Work or Government Cash Assistance in the National Survey of America’s Families.” Assessing the New Federalism Discussion Paper no. 03-01. Urban Institute, Washington, D.C. Available at <http://www.urban.org/urlprint.cfm?ID=8331>

- 4.3.1 Child care: is a major barrier, but there is strong evidence that center-based care helps families. What are the outcomes in LA?
- 4.3.2 Transportation: there is a DPSS study indicating transportation is a significant problem for large numbers of persons, depending on where they live and the stage of participation;<sup>3</sup> it is a significant problem for both general and homeless supportive services clients. Are there specific groups for which feasible transportation solutions can be identified?
- 4.3.3 Education and training: See research findings from Health and Human Services (HHS) reported above about alternative strategies to "Work-First." (See 4.1.3)
- 4.3.4 All studies show low work skills, limited education and limited English ability to be significant barriers (MDRC says especially for monolingual Latinas. LA has an unusually high level of monolingual parents with low levels of education). "Within the survey sample, Latinas who could not speak English had worked less steadily-and were in lower-quality jobs-than English-speaking Latinas or African-Americans. In 2001, the weekly earnings of non-English speaking Latinas averaged \$229, about 25 percent lower than Latinas who could speak English. Women who lacked a high school diploma or GED in 1995 were also much less likely to be employed and earned lower wages in their current or most recent job than women who had these credentials. Wages and earnings did, however, improve between 1998 and 2001 for all ethnic, language, and education groups, but non-English-speaking Latinas had the weakest improvements in job quality.
- 4.3.5 MH/SA/DV: Los Angeles offers an important opportunity to study families with domestic violence problems because of the county policy exempting these parents, the high level of funding for services and the focus of programs on getting mothers into training/education.
- 4.3.6 Learning disabilities: Studies have found high rates in other regions. What are the needs of this population in LA?

#### 4.4 Vulnerable Families

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<sup>3</sup> "The analysis indicates that roughly thirty-six percent of the current GAIN population lives in areas with low transit accessibility, and with low accessibility to jobs. For these individuals, transportation requirements are considerably more difficult based solely on where they live... The requirements of Job Club impose travel demands on participants that are difficult to meet even with adequate transportation. Three-fifths of those using transit and almost one-third of those using cars find travel for job search difficult. Strategic transportation assistance and innovative programs at this stage could possibly yield very positive results, and help participants move into employment."

- 4.4.1 Access: how close to the GAIN office and to MH/SA/DV programs are clients living? What is the relationship of proximity to MH/SA/DV service completion rates? What are the neighborhood off-sets of service needs?
- 4.4.2 Longitudinal outcomes: to what extent are different providers able to produce positive long-term outcomes for MH/SA/DV clients?
- 4.4.3 Persons with supportive services needs: what are the welfare tenure and earnings outcomes before and after receipt of supportive services?
  - How have these patterns changed since 1998 when successive cohorts are studied? How are these patterns changing in terms of outcomes and population compositions, e.g., percent non-English speaking, percent Southeast Asian?
  - What are the activity outcomes for these chronological cohorts and population groups in terms of completion, dropouts, no-shows?
- 4.4.4 Impacts of time limits on individuals with supportive services needs: Do their employment/income outcomes differ from others timing out? If so, what interventions are needed as clients near their 60-month date?
- 4.4.5 Program outcomes for individuals with supportive services needs: what proportion of those leaving welfare (not timed out), or leaving due to earlier time limits, or moving to a child-only case, or being sanctioned are individuals with supportive services needs?
- 4.4.6 Assessment of needs: How many parents with a positive MH/SA/DV screen never make it to a GAIN appraisal? What are their outcomes?
- 4.4.7 Subpopulations: What are the needs of and effective service delivery strategies for Asian and Pacific Islander populations with MH/SA/DV problems?
- 4.5 Sources for Research Information
  - 4.5.1 Data from DPSS and EDD
    - Labor market outcomes for different groups
    - First cut on best practices for different groups

4.5.2 Data from other county departments compiled and integrated by the:

- Service needs
- Service overlaps
- Opportunities for service integration
- Specific information about client characteristics

4.5.3 Survey data

- Detailed information about outcomes, needs, experiences, and well-being of specific groups.

## **5.0 Funding Sources**

All of the ER costs will be paid through grants from private foundations.

## **6.0 Benefits of the Proposed Research to Los Angeles County**

This project has been organized to provide the following benefits for Los Angeles County and the residents it serves:

1. Provide reliable information that will support operational progress in strengthening welfare-to-work programs.
2. Identify factors affecting the economic progress of families and children, and best practices for improving these outcomes.
3. Identify factors affecting the well-being of families and children, and best practices for improving these outcomes.
4. Identify opportunities for coordinating and integrating county services for CalWORKs families.
5. Build consensus among stakeholders about program policies for improving the economic self-sufficiency and well-being of poor families.

## **7.0 Research Project Time Frame, how long will the Project Take and What Time Period will the Data Collection Cover**

The following time frame is proposed for this project:

- Month 0: Research proposal submitted to DPSS.
- Month 8: Research proposal approved and Contract executed.

- Month 13: Proposal for confidential employer data submitted to EI
- Month 15: Executed MOU with EDD for confidential employer data.
- Month 16: Employer wage data received from EDD.
- Month 17: Case records for CalWORKs recipients from 2001 to 2006 received from Chief Executive Office, Service Integration Branch (CEO-SIB).
- Month 18: Proposal for confidential wage data submitted to California Department of Social Services (CDSS).
- Month 21: Research protocol for protection of human subjects submitted to California Committee for the Protection of Human Subjects.
- Month 22: Executed agreement with CDSS for wage data.
- Month 30: Approval of protocol for protection of human subjects by California Committee for the Protection of Human Subjects.
- Month 31: Social Security Numbers (SSNs) of 1,155,731 CalWORKs participants sent to CDSS for 10 years of wage data.
- Month 33: Wage data for CalWORKs participants received from CDSS.
- Month 34: Updated employer payroll data received from EDD.
- Month 37: DPSS provides downloads of GEARS and LEADER data from January 2007 through June 2008 to ER.
- Month 47: ER provides report on economic sustainability to DPSS for 30-day review and comment.
- Month 48: Report on economic sustainability is released, followed by ER meeting with stakeholders to discuss findings.
- Month 50: Survey activities begin, investigating critical issues for high-need groups identified in first two reports.
- Month 56: DPSS provides downloads of GEARS and LEADER data from July 2008 through December 2009 to ER.
- Month 57: ER provides report on family health and well-being to DPSS for 30-day review and comment.
- Month 58: Report on family health and well-being is released, followed by ER meeting with stakeholders.
- Month 64: Report on best practices, incorporating findings from analysis of data sets, as well as survey results, is provided to DPSS for 30-day review and comment.
- Month 65: Report on best practices and survey findings are released, followed by ER meeting with stakeholders.
- Month 66: ER begins follow-on cycle of research into recent caseload trends and trends in issues identified in previous studies.
- Month 67: DPSS provides downloads of GEARS and LEADER data from January 2010 through August 2010 to ER.
- Month 72: ER provides report on final investigation to DPSS for 30-day review and comment.
- Month 73: Report on final investigation is released, followed by ER meeting with stakeholders.

## **8.0 Nature of the Data or Other Information that is Being Requested from the Department and the Role of Department Staff**



ER is requesting two bodies of DPSS data:

1. All LEADER data for all members of CalWORKs cases from July 2001 through August 2010.
2. All GEARS data for all members of CalWORKs cases from July 2001 through August 2010.

### **9.0 Copies of Proposed Survey Forms and Questionnaires**

ER proposes to conduct a survey of CalWORKs parents that will cover groups with acute needs and also groups that are poorly understood, including:

1. Individuals with acute problems, (e.g., homeless, MH, SA, DV).
2. Individuals approaching time limits.
3. Families still in poverty that are disconnected from CalWORKs.
4. Parents who are noncompliant with welfare-to-work and are sanctioned out or drop-out.

The survey instrument will be developed, and the sample drawn, after the analysis of automated data is complete. This will make it possible to build on findings from these data sets and identify critical questions that can only be answered through a survey. The proposed procedures for the survey are as follows:

- ER will submit written procedures for obtaining informed consent from survey respondents to DPSS for approval.
- ER will submit the survey instrument to DPSS for approval.
- ER will submit written guidelines for drawing the survey sample and contacting prospective respondents to DPSS for approval.
- ER will draw the sample and conduct the survey in conformance with these guidelines.

### **10.0 Release of Reports and Review and Comment by the Department of Public Social Services**

DPSS will be provided with copies of all reports for its review prior to the release of those reports. ER proposes a 30-day period for the review of each report. All written comments furnished by DPSS will be included in each report. DPSS will be invited to send representatives to participate as speakers at the ER meeting following the release of each report.

## EMPLOYEE ACKNOWLEDGEMENT AND CONFIDENTIALITY AGREEMENT

### PROJECT NAME:

Family-Centered Welfare Research Project

### RESEARCH AGENCY:

Economic Roundtable

### GENERAL INFORMATION

ECONOMIC ROUNDTABLE (hereinafter "ER") has entered into a "Contract" with the County of Los Angeles Department of Public Social Services (hereinafter "DPSS"), to conduct the above evaluation. As a condition of performing work under this Contract, you must agree to comply with all policies, terms and conditions mentioned in this document (hereinafter "Acknowledgement").

#### 1.0 CONFIDENTIALITY

You may be involved with work pertaining to County functions and services and, if so, you may have access to confidential data and information pertaining to persons and/or other entities that receive services from the County of Los Angeles. In addition, you may have access to confidential data and proprietary information and materials, which are owned and copyrighted by the County of Los Angeles or other vendors doing business with the County. The County of Los Angeles has a legal obligation to protect all such confidential data, information, and materials in its possession; especially data concerning health, criminal, and welfare recipient records, and proprietary information and materials. If you are to be involved in this project, the County must ensure that you will protect the confidentiality of all data, information, and materials that are protected by law from unlawful disclosure and/or designated confidential in writing. Consequently, you must sign this Acknowledgement as a condition of your work with this project.

- *I hereby agree that I will not divulge, to any unauthorized person, confidential data that are protected by law and/or designated confidential in writing that have been obtained from the County while performing work pursuant to the Contract between DPSS and ER.*
- *I agree to forward all requests for the release of confidential data received by me to my immediate supervisor;*
- *I agree that I will not use any confidential records or data that are protected by law and/or designated confidential in writing that have been obtained from the County while performing work pursuant to the Contract between the DPSS and ER for any purpose other than the research purpose specified in the Contract;*

- *I agree to return all confidential materials to my immediate supervisor upon termination of my employment with ER or completion of my work under the Contract, whichever occurs first;*
- *I agree to report any and all violations of the above by any other person and/or by myself to my immediate supervisor; and*
- *I understand that violation of this agreement may subject me to civil and/or criminal action and that the County of Los Angeles will seek all possible legal redress.*

The public assistance reporting policy states that if you are currently receiving public assistance or should apply for assistance from any program administered by the Los Angeles County Department of Public Social Services, you are responsible to report your employment to your eligibility worker or social worker.

## **2.0 CONFLICT OF INTEREST POLICY**

For the purposes of this agreement, a CONFLICT OF INTEREST may exist if you have a personal financial or material interest in the outcome of the research being performed, or if you have a personal motivation to obtain the contents of confidential records.

*During the time that I have access to public assistance records while acting on behalf of ER, I agree to report to my immediate supervisor if I have (within the last thirty [30] days) applied for or am receiving public assistance. If I have access to my own, my relatives', or close friends' public assistance records, I will make this known to my immediate supervisor. I will also make known to my immediate supervisor any of my personal or business relationships that constitute a CONFLICT OF INTEREST.*

These are some of the programs that are administered by DPSS:

- California Work Opportunity and Responsibility to Kids (CalWORKs)
- Los Angeles County General Relief Program (GR)
- California Medi-Cal Program (Medi-Cal)
- Food Stamp Program (FS)
- Social Services to Adults, Children, and Families
- Supervision of Children Placed in Foster Care
- Cuban/Haitian Entrant Program (CHEP)
- Cash Assistance Program for Immigrants (CAPI)
- Refugee Cash Assistance (RCA)
- Refugee Resettlement Program (RRP)
- Special Circumstances (SC)

*If I am a recipient or applicant of any of the above-mentioned public assistance services or programs, I voluntarily consent to the release of my status in such programs to my immediate supervisor and/or the County.*

*I understand that I shall have no access to my public assistance records or the records of any relative or close friend without the explicit approval of my supervisor. I also understand that the County of Los Angeles may monitor employees to ensure that reporting responsibilities are being met. Access includes, but is not limited to, eligibility determination for public assistance, transmitting computer data, and physical possession of financial documents or fingerprint documents.*

It is your responsibility to be aware of possible CONFLICTS OF INTEREST and to immediately notify your immediate supervisor **in writing** of the facts so that a determination can be made as to whether or not a CONFLICT OF INTEREST exists. Your report will be held in confidence.

### 3.0 CERTIFICATION

*I hereby certify that I have carefully read and I understand the terms of this Acknowledgement and Confidentiality Agreement to comply with all of the provisions contained herein.*

Name: \_\_\_\_\_  
(Employee Signature)

Name: \_\_\_\_\_  
(Employee Name)

Date: \_\_\_\_\_

Working Title: \_\_\_\_\_

Original: ER  
Copy: DPSS – To be forwarded to DPSS Project Manager within ten (10) business days of start of employment/Contract.  
Copy: Employee

## Charitable Contributions Certification

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 Company Name

---

 Address

---

 Internal Revenue Service Employer Identification Number

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 California Registry of Charitable Trusts "CT" number (if applicable)

The Nonprofit Integrity Act (SB 1262, Chapter 919) added requirements to California's Supervision of Trustees and Fundraisers for Charitable Purposes Act which regulates those receiving and raising charitable contributions.

### CERTIFICATION

**YES**
**NO**

Proposer or Contractor has examined its activities and determined that it does not now receive or raise charitable contributions regulated under California's Supervision of Trustees and Fundraisers for Charitable Purposes Act. If Proposer engages in activities subjecting it to those laws during the term of a County contract, it will timely comply with them and provide County a copy of its initial registration with the California State Attorney General's Registry of Charitable Trust when filed.

( )

( )

### OR

Proposer of Contractor is registered with the California Registry of Charitable Trusts under CT number listed above and is in compliance with its registration and reporting requirements under California law. Attached is a copy of its most recent filing with the Registry of Charitable Trusts as required by Title 11 California Code of Regulations, Sections 300-301 and Government Code Sections 12585-12586.

( )

( )

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 Signature

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 Date

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 Name and Title (please print or type)

County of Los Angeles

Department of Public Social Services

**COMPLAINT OF DISCRIMINATORY TREATMENT**

TO : DEPARTMENT OF PUBLIC SOCIAL SERVICES  
CIVIL RIGHTS AND LANGUAGE SERVICES SECTION  
12860 CROSSROADS PARKWAY SOUTH  
CITY OF INDUSTRY, CALIFORNIA 91746

**CASE NAME :**

**CASE NUMBER :**

I, \_\_\_\_\_, hereby file this complaint of discriminatory treatment  
(Please print your name) and request that an investigation be conducted.

**I believe I was discriminated against because of my:**

<input type="checkbox"/> RACE	<input type="checkbox"/> RELIGION	<input type="checkbox"/> COLOR
<input type="checkbox"/> NATIONAL ORIGIN	<input type="checkbox"/> SEX	<input type="checkbox"/> AGE
<input type="checkbox"/> POLITICAL AFFILIATION	<input type="checkbox"/> MARITAL STATUS	<input type="checkbox"/> DISABILITY

**DATE OF OCCURENCE :** \_\_\_\_\_

**NAME(S) AND TITLE(S) OF THE PERSON(S) WHO I BELIEVE DISCRIMINATED AGAINST ME :**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**THE ACTION, DECISION OR CONDITION WHICH CAUSED ME TO FILE THIS COMPLAINT IS AS FOLLOWS :**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**I WISH TO HAVE THE FOLLOWING CORRECTIVE ACTION TAKEN :**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
(SIGNATURE) (DATE) ADDRESS : \_\_\_\_\_

TELEPHONE : \_\_\_\_\_

### DATA DELETION CHECKLIST

Project Name: \_\_\_\_\_

Research Agency: \_\_\_\_\_

1. All paper documents containing DPSS data have been shredded.

Date shredded: \_\_\_\_\_  Not applicable

2. Electronic files containing DPSS data have been deleted/destroyed from all storage media, i.e., CDs, hard drives, flash drives, etc.

Date CDs destroyed: \_\_\_\_\_  Not applicable

Date data on storage media deleted: \_\_\_\_\_  Not applicable

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title

**ELEMENTS OF DATA REQUEST**

LEADER data  
GAIN Sanction data (Monthly TAIN Sanction & Cumulative Sanctions)  
GEARS data  
CalWORKs Time Expired data  
Individual for DSS file  
Homeless Data  
Cal-Learn ASCII files  
CW\_012all  
FS\_Fed\_State\_new\_details  
Housing Assistance Extract  
GAINHTAP  
Pending Data  
GDCSHIST  
GSWTAPE



Report Due Date \_\_\_\_\_

**QUARTERLY CONTRACT MONITORING STATUS REPORT - QCMSR**

<p><b>A1. ADMINISTRATOR/CONTRACT</b></p> <p>Please Check One   <input type="checkbox"/> Contract   <input type="checkbox"/> MOU</p> <p>Name: _____</p> <p>Contractor's/Agency's Name: _____</p> <p>Bureau/Division/Section Administering Contract: _____</p> <p>County Contract Administrator: _____</p> <p>Telephone Number and Email Address: _____</p>	<p><b>A3. PLAN UPON EXPIRATION</b></p> <p>Will agreement expire in next 12 months? <input type="checkbox"/> Yes   <input type="checkbox"/> No</p> <p>If so, expiration date: _____</p> <p><input type="checkbox"/> Amendment to Extend</p> <p>In Progress <input type="checkbox"/>   Completed <input type="checkbox"/></p> <p>Amendment #: _____</p> <p>Target Date: _____</p> <p>Length of Extension: _____</p> <p>Term of Extension: From: _____ To: _____</p>
<p><b>A2. GENERAL BACKGROUND</b></p> <p>Current Agreement Term: From: _____ To: _____</p> <p>Original Contract/MOU Term: From: _____ To: _____</p> <p>Does Contract contain options to renew or extend? <input type="checkbox"/> Yes please describe</p> <p>1 year contract with two 1 year extensions</p> <p>_____</p> <p>_____</p> <p>_____</p> <p><input type="checkbox"/> No</p> <p>Contract/MOU Description (Provide brief of services of services provided under the contract/MOU)</p> <p>_____</p> <p>_____</p> <p>Number of Years Contractor has provided these Services to DPSS? _____</p>	<p><input type="checkbox"/> Relet/Renew</p> <p>In Progress <input type="checkbox"/>   Completed <input type="checkbox"/></p> <p><input type="checkbox"/> Competitive solicitation</p> <p>In Progress <input type="checkbox"/>   Completed <input type="checkbox"/></p> <p><input type="checkbox"/> Sole source</p> <p>Same Contractor <input type="checkbox"/></p> <p>New Contractor <input type="checkbox"/></p> <p><input type="checkbox"/> Not Relet</p> <p><input type="checkbox"/> Services will not be needed in future</p> <p><input type="checkbox"/> No funds available</p> <p><input type="checkbox"/> Other, please explain on a separate attachment</p> <p><input type="checkbox"/> Not applicable</p>

Report Due Date \_\_\_\_\_

**QUARTERLY CONTRACT MONITORING STATUS REPORT - QCMSR****A4. FISCAL INFORMATION**

Type of Agreement: (Check type)

- Contract:  
 Financial  
 Prop A       Non Prop A  
 Non-financial

Number of subcontracts, if any: \_\_\_\_\_

- MOU (Agreement with other County Dept.)  
 Financial  
 Non-financial

Number of Subcontracts, if any: \_\_\_\_\_

Funding Sources (indicate all that apply):

- Single Allocation (CalWORKs)    Federal    State  
 NCC    FSET    Other

Does contracts have maximum amount?

- Yes    Amount: \$ \_\_\_\_\_  
 No      Estimated Amount: \$ \_\_\_\_\_

Current FY Contract maximum: \$ \_\_\_\_\_

Budgeted amount for current FY: \$ \_\_\_\_\_

Targeted Amount for Current FY: \$ \_\_\_\_\_

**A5. EXPENDITURES/PAYMENT**

Have expenditures exceeded 75% of current annual contract term amount?

- Yes     No

If yes, how much is remaining? \$ \_\_\_\_\_

Briefly describe what action is being taken to:

- 1) Ensure services will be provided until end of the contract term.
- 2) Ensure cost over runs are avoided.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

- N/A (explain)

\_\_\_\_\_

\_\_\_\_\_

Is amendment needed to increase contract amount?

- Yes     No

If yes, scheduled amendment completion date?

\_\_\_\_\_

Are invoices submitted on time in accordance with agreement?

- yes     No

If No, what action taken to ensure Contractor compliance?

\_\_\_\_\_

\_\_\_\_\_

Report Due Date \_\_\_\_\_

**QUARTERLY CONTRACT MONITORING STATUS REPORT – QCMSR**

<p><b>B1. <u>Monitoring</u></b></p> <p>Last service period monitored: _____</p> <p>Date On-Site Monitoring was conducted for the last service period monitored.</p> <p style="padding-left: 20px;">Start Date _____</p> <p style="padding-left: 20px;">End Date _____</p> <p>Corrective Action required: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Corrective Action completed?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No   no, provide explanation _____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>Is there a Quality Assurance Monitoring Plan (QAMP)?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If no, provide explanation:</p> <p>_____</p> <p>_____</p> <hr/> <p>What is the frequency of monitoring?</p> <p><input type="checkbox"/> Annual <input type="checkbox"/> semi-annual <input type="checkbox"/> Quarterly <input type="checkbox"/> Monthly</p>	<p><b>B1. <u>Monitoring cont'd</u></b></p> <p>Note: Monitoring is considered complete when the formal monitoring report has been approved.</p> <p>Was monitoring completed: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, date formal monitoring report was approved _____</p> <p>If no, please explain:</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>How many performance Measures are in the contract? _____</p> <p>How many performance Measures are tied to financial incentives? _____</p> <p>How many performance Measures are tied to financial penalties? _____</p> <p>How many Performance Requirement Standards are there in the contract? _____</p> <p>How many Performance Requirement Standards are tied to financial penalties? _____</p> <p>Please attach a copy of the last approved formal monitoring report to this form. If copy is not attached, please explain:</p> <p>_____</p> <p>_____</p> <p>_____</p>
--	--

Report Due Date \_\_\_\_\_

**QUARTERLY CONTRACT MONITORING STATUS REPORT – QCMSR****B2. Monitoring Results**

Performance measures:

 Yes No If no, please  
explain \_\_\_\_\_

Performance requirement Standards fully met:

 Yes No, If no  
explain \_\_\_\_\_

Were discrepancies cited?

 Yes if, Yes please check one  major  Minor No

If discrepancies were cited, what actions were taken?

 None – Did not exceed standards sufficient to issue  
citation Contract Discrepancy Report Issued

Date: \_\_\_\_\_

 Fiscal Deductions Applied

Amount: \$ \_\_\_\_\_

Date: \_\_\_\_\_

 Recommended for Suspension or Termination

Next service period to be monitored:

Next Scheduled on site monitoring date:

**B3. Bonus Provisions**

Does contract have bonus provisions?

 Yes  NoIf yes, during last service period, did contractor  
receive a bonus? Yes  No

Amount \$ \_\_\_\_\_

Date: \_\_\_\_\_