MONITORING REPORT
FOR THE COMMUNITY COLLEGE CalWORKs PROGRAM CONTRACTS
FOR JULY 2010 THROUGH DECEMBER 2010

Contract Profile

On June 16, 2009, the Board delegated authority to the DPSS Director to renew all 13 contracts effective July 1, 2009 through June 30, 2012, funded with CalWORKs Single Allocation at a total three-year contract cost of $6.6 million or $2.2 million annually. Nine contracts were executed effective July 1, 2009, (Antelope Valley, Citrus, El Camino Compton Center, Glendale, Long Beach City, Mt. San Antonio, Pasadena, Santa Clarita, and Santa Monica), two contracts were executed on August 11, 2009, (Cerritos, El Camino), one contract was executed on August 13, 2009 (Rio Hondo), and the final contract was executed on October 1, 2009 (Los Angeles with nine college sites).

Contract Specific Tasks

In accordance with specific tasks outlined in the Contract, the colleges provide support services to assist CalWORKs participants in completing their educational program. Support services include coordination activities, which entail 1) the return of required paperwork and mandatory Greater Avenues for Independence (GAIN) forms to GAIN Services Workers (GSW), and 2) the necessary communication between GAIN staff and the colleges.

The Contract requires the colleges to have direct contact with participants through 1) the intake process, 2) verifying the participant’s enrollment via the Monthly Attendance Report (MAR, GN 6365), and 3) any other out-of-classroom coordination services needed. Participants self declare their hours of attendance on the MAR prior to the colleges’ verifying enrollment. The colleges are also responsible for ensuring that the service needs are met for non-English speaking CalWORKs participants and participants that are hearing impaired.

Monitoring Guidelines

The contracts are monitored on a semi-annual basis. This report is a summary of monitoring findings for the period July 1, 2010 through December 31, 2010. The review focus is to evaluate the contractors’ compliance with contract requirements, including adherence to the Performance Requirement Summary Chart included in the Statement of Work. Monitoring involved, but was not limited to, a review of the Monthly Management Reports (MMRs), monthly invoices and participant case files.

On-site monitoring was conducted from January 25, 2011 through March 22, 2011. Case files were reviewed for 495 participants listed as enrolled on the July 2010 MMRs at 21 college sites. The review of the July 2010 MMRs was done in an effort to obtain a snapshot of direct contacts with participants and a synopsis of the time spent by participants in various activities of the Community College CalWORKs Program.
Findings

Below are the service areas monitored and the findings for each of the three aspects of monitoring: administrative, fiscal and service delivery.

Administrative Monitoring:

- **Background Checks**
  
  All contract staff shall undergo and pass a background investigation before performing work under this Contract. In summary, all 13 college districts conduct live scan for their full-time and part-time staff working under this Contract and reported being in compliance with this contract requirement.

- **Employment Acknowledgement and Confidentiality Agreement**
  
  All Contractor Employee Acknowledgement and Confidentiality Agreements were signed and on file for each contract employee and non-employee performing services covered by this Contract.

  The confidentiality agreement ensures contractor employees maintain the confidentiality of all records, information and adheres to all applicable Federal, State, local laws, rules, regulations, ordinances, directives, guidelines, policies and procedures relating to confidentiality, including County policies concerning information technology security and the protection of confidential records and information.

- **Insurance Coverage**
  
  All contractors are in compliance with the contract requirement to maintain General, Automotive, Workers’ Compensation and Student Professional Liability Insurance. The appropriate insurance coverage is on file and valid for July 1, 2010 through June 30, 2011.

- **Calendar**
  
  The contractors provided a calendar that includes established business days, breaks, holidays and all days that the contractors will not be in session, excluding County holidays.

- **Equal Employment Opportunity and Nondiscrimination Notices**
  
  All staff must meet the minimum qualifications or the equivalent set by the Statewide Academic Senate. The Human Resources staff checks qualifications before an individual is processed as an employee. Individuals that meet the
minimum qualifications are screened, and the most qualified person is hired, based upon their knowledge required for the job. All required posters and notices were visible and easily accessible to employees and participants. The contractors complied with all laws for reporting child/elder abuse and fraud. Civil Rights training were provided to all contract and non-contract staff performing services covered by this Contract.

- **Complaints**

The contractors complied with the contract provision to investigate, maintain documentation and notify the County Contract Administrator (CCA) within five business days of receiving complaints from CalWORKS participants. In addition, the contractors complied with the colleges' grievance procedures and addressed complaints immediately when they occurred.

On August 19, 2010, Pierce College reported receiving one discrimination complaint. They assisted the CalWORKs Participant with completion of the Complaint of Discriminatory Treatment form (PA 607), forwarded the PA 607 within three days to CCA, and maintained a log of the Civil Right complaint. The contractor complied with all Civil Rights Laws to maintain and follow procedures on receiving, investigating and responding to user complaints.

DPSS Civil Rights and Customer Relation Section initiated several attempts to contact and assist the participant with the complaint and were unsuccessful. Thus, on October 25, 2011, a Closure Request was sent to the California Department of Social Services (CDSS) to discontinue the complaint. To date, DPSS Civil Rights and Customer Relation Section have not received approval from the State to close the case.

**Fiscal Monitoring:**

- **Monthly Invoices**

Ten contractors (Antelope Valley, Cerritos, Citrus, El Camino (Compton Center), LACCD, Mt. San Antonio, Pasadena, Rio Hondo, Santa Clarita and Santa Monica) were in compliance with the Contract requirement, to submit accurate and complete monthly invoices by the 20th calendar day after the end of the month in which services were provided.

However, three contractors submitted at least one late and/or inaccurate monthly invoice during this six-month period monitored. Below is a chart that lists the three colleges and the months in which the invoices were either late and/or inaccurate:

<table>
<thead>
<tr>
<th>Name of College District</th>
<th>July 2010</th>
<th>August 2010</th>
<th>September 2010</th>
<th>October 2010</th>
<th>November 2010</th>
<th>December 2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>El Camino</td>
<td></td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Glendale</td>
<td></td>
<td></td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Long Beach</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
(Note: “X” mark indicates that the invoice was not submitted timely and/or was inaccurate.)

The late submission of July 2010 and August 2010 invoices from Long Beach College resulted in the issuance of Contract Discrepancy Reports (CDR). The contractor initiated a corrective action plan and agreed to comply with the contract provision to submit monthly invoices to the CCA by the 20th after the end of the month in which services were provided. The remaining two colleges received verbal notification for late and/or inaccurate invoices.

In accordance with the Contract requirements, untimely and/or inaccurate invoices may delay payment and may result in a financial penalty in the amount of $50 after the 5th day late and $100 after the 10th day late.

- **Quarterly Reconciliation Report**

Eleven contractors (Antelope Valley, Cerritos, Citrus, El Camino, El Camino (Compton Center), Glendale, LACCD, Mt. San Antonio, Pasadena, Rio Hondo, and Santa Monica) were in compliance with the contract requirement to submit Quarterly Reconciliation Report for the July 2010 through September 2010 by October 30, 2010.

The reconciliation of invoices submitted was supported by detailed documentation in accordance with the contractor's budget. Itemized and reallocation of line items for personnel costs, such as salaries, fringe benefits, in-service training and mileage reimbursement were listed by pay classification.

Two contractors submitted one late quarterly reconciliation report during the six-month monitoring period. The chart below lists the two colleges and the period in which the quarterly reconciliation report was late. The contractors were notified and reminded to submit timely quarterly reports.

<table>
<thead>
<tr>
<th>Name of College District</th>
<th>1st Report July thru September</th>
<th>2nd Report October thru December</th>
</tr>
</thead>
<tbody>
<tr>
<td>Long Beach</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Santa Clarita</td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>

(Note: “X” mark indicates that the quarterly reconciliation report was not submitted timely.)

**Service Delivery:**

- **Monitoring of Worksites**
  - **Intake Process**

The on-site monitoring of cases was conducted at each college campus. All 495 case files reviewed contained a Service Provider Referral (GN 6006), for mandatory participants referred by the Los Angeles County GAIN Program or Refugee Employment Program. Verification of a Self-Initiated Program (SIP) (GN 6005), was received for participants that enrolled prior to GAIN's invitation.
To ensure coordination of services, a comprehensive intake process should include a personal interview, history taking and placement testing of needs for basic skills and remediation. Of the 495 cases reviewed, a comprehensive intake process was completed for 494 (99.7%) participants and one (0.3%) participant did not complete this process. The contractors contacted the participant for a follow-up appointment and made necessary communications with GAIN/DPSS staff.

- **Assessment**

Participants enrolled in a remedial/vocational component case file should contain a GAIN Vocational/Career Assessment Summary Employment/Career Plan (GN 6014). This assessment includes the participants recommended activity, evaluation of literacy skills, employment history, goals, aspirations and the needs for supportive services.

The contractors use the information to ensure appropriate instructional services are provided and match the CalWORKs participant’s primary, or secondary employment goal. The participant or GSW is responsible for providing the GN 6014 to the contractors.

Of the 494 cases reviewed, 120 participants were enrolled in SIP components and did not require a GN 6014. Three hundred and seventy-four participants were enrolled in remedial/vocational components as reported in the January 2011 MMR's.

Of these 374 participants:

- 212 (57%) cases contained a GN 6014.
- 162 (43%) cases did not contain a GN 6014.

The contractors request the GN 6014 from participants and/or GSWs when it is not accompanied with the GN 6006. In addition, the GN 6006 is used to ensure enrollment of the appropriate program. All program components must be approved and created by the GSWs on GEARS, lead to employment and participants must be progressing satisfactorily.

- **Continued Services**

The contractors provides services that assist with enrollment, class schedule, financial aid forms, skill attainment, and job placement services. In addition, critical documents are completed and maintained in cases that report monthly enrollment (GN 6365), quarterly progress (GN 6070) of attendance, grades, weekly hours and course completion.

Contract provision 4.2.13 and 4.2.14 requires the contractors to verify the participant’s monthly enrollment by completing the GN 6365. In addition,
provision 4.2.5 requires that file folders contain a chronological record of all
contacts with CalWORKs participants.

Los Angeles Trade-Technical College (LATTC) does not retain a copy of the
GN 6365 or document in the case record that the form was completed. To
comply with Contract provisions, the contractor scans participant’s Identification
Card into the Track-IT system, which track and record participants ID number,
last name, date, time, and type of service rendered.

LATTC provided monthly computer printouts from the Track-It system as proof
that the participant came in the office for completion of the GN 6365. Although,
computer printouts were given as evidence that the service was provided, the
case record did not contain proof or documentation.

To ensure future compliance, LATTC was issued a Contract Discrepancy Report
(CDR) in April 2011. LATTC must respond with the cause of
non-compliance and initiate a Corrective Action Plan (CAP). The CAP should
include compliance with contract provision to complete GN 6365; retain evidence
and document file folder. Since there is an overall low percent of forms received,
no financial penalty will be imposed.

Other services provided by the contractors include processing subsidized
housing vouchers, request forms for childcare agencies and verification of
training/school enrollment/hours. The contractors assisted participants with
completing the WTW 8 form. The form indicates the designation of financial aid
for supportive service; such as, childcare, transportation, and ancillary/work
related expenses. In addition, any requests for program extensions are
completed when it is determined a participant will not complete a component in
the allotted period.

The contractors also provided overviews of the Work Study Program and
 maintained information for CalWORKs participants who are active in the program
and have met the following program requirements: qualify for financial aid, are
enrolled in at least 12 units and maintain a minimum GPA of 2.0.

• Ancillary Request

The contractors identified unmet needs for childcare, transportation and ancillary
expenses to assist CalWORKs participants in completing their educational
program and complying with State work requirements. During the six-month
review period of the 494 cases reviewed, the contractors completed 1100 GAIN
Transportation and Ancillary/Work-Related Expense Request (GN 6151).

Supportive services referrals were made for counseling, tutoring, parenting
classes, health programs, career assessment, and to off-campus community
resources for work activities. The contractors assist participants with life skills
that will help them transition to full-time employment and to achieve economic
self-sufficiency in the working world.
• **Open Components**

Four hundred and ninety-four (494) participants were enrolled as reported in the January 2010 MMRs.

Of these 494 participants:

- 76 (15%) participants were enrolled in remedial educational classes.
- 418 (85%) participants were enrolled in vocational training.

Attached is a chart that details each contractor's performance with respect to participant enrollment, including the number of Direct contacts with each participant by each college for January 2010. Additionally, under Community College Activities, the chart details the average weekly hours of participant involvement in (1) class and lab, (2) work study and 3) the total for these two activities. The average number of hours in college activities per participant ranges from 17 to 29 hours per week.

• **Closed Components**

Three hundred and seventy-seven (377) participants exited the CCCW program as reported in the January 2010 MMRs.

Of these 377 participants:

- 85 (23%) participants completed a component due to one of the following: received a Certificate, Associates of Arts Degree, or transferred to a four-year institution.
- 292 (77%) participants exited the CCCW program due to an exemption, erroneous referral, no show appointment, failure or refusal to meet WtW program requirements, including employment.

Participants completed studies in one of the following program components: Accounting, Administrative of Justice, Air Conditioning, Architect, Automotive Technology, Certified Nurses Assistant, Chemical Dependency, Child Development, Computer Application, Culinary Arts, ESL, GED, Liberal Arts, Paralegal, Plumbing, Psychology, Teacher’s Aide, and Technology Logistic.

When a participant fails to compliance with the mandatory program requirements, the GSW initiates the compliance process on GEARs in an attempt to resolve problems within a 20-day period. If the problems are not resolved, a financial sanction or exclusion is applied to participants’ case.

In addition, a service provider can notify the GSW verbally or in writing (GN 6007/08), of a participant's failure or refusal to attend the assigned activity. In all instances, if there is no good cause for non-compliance, the GSW stops the GAIN component, all related services, and generates a Service Provider Cancellation/Stop Notice (GN 6011), for the contractor to discontinue services.
Overall Findings

Overall, the colleges complied with the terms of the Contract, with the exception of the three colleges not submitting accurate and/or timely invoices. One college did not retain a copy of the GN 6365 and the case files were not documented to show that service was provided. These issues will be monitored closely until they are resolved with all of the Contractors.

Two hundred and seventy-one (271) participants were randomly selected to complete a survey on the CalWORKs services rendered by the Colleges.

Of these 271 participants:

- 215 (79%) rated the level of service as “very satisfied’
- 45 (17%) rated level of service as “satisfied''
- 9 (3.3%) rated the level of service as “neither satisfied or dissatisfied”
- 2 (0.7%) rated the level of service as “dissatisfied”.

In addition, two participants stated, “The contractors were not easy to contact by phone” and five participants stated, “The contractors did not or were in the process of mapping out a plan to complete their educational program”.

There were no complaints, however to improve services, participants suggest larger offices, additional staff, coffee, and expansion of office hours. Also, participants indicated that they view contract staff as awesome, great, professional, knowledgeable, friendly, patient, pleasant, polite, intuitive, effective, encouraging, understanding, hard working, attentive to each individuals needs, and believes their academic success is in part, due to the help and support received by the contractor.

Overall, participants are “very satisfied” and acknowledged the services provided were in their primary language, addressed their needs in a timely manner, informed them about available services and useful in assisting them in completing their educational program.
## CalWORKs COMMUNITY COLLEGE AGREEMENT COUNTS BASED ON CASE REVIEWS USING JULY 2010 MMRs

<table>
<thead>
<tr>
<th>Community College Districts</th>
<th>Number of Participants Enrolled</th>
<th>Number of Participants Enrolled in Remediation</th>
<th>Number of Participants Enrolled in Vocational Training</th>
<th>Number of Direct Contacts with Participants on July 2010 MMR</th>
<th>Number of Hours in Classes and Lab per Week per Participant</th>
<th>Number of Hours in Work Study per Week per Participant</th>
<th>Total Weekly Hours in College Activities per Participant</th>
</tr>
</thead>
<tbody>
<tr>
<td>Antelope</td>
<td>35</td>
<td>0</td>
<td>35</td>
<td>267</td>
<td>22</td>
<td>0</td>
<td>22</td>
</tr>
<tr>
<td>Cerritos</td>
<td>13</td>
<td>0</td>
<td>13</td>
<td>101</td>
<td>22</td>
<td>0</td>
<td>22</td>
</tr>
<tr>
<td>Citrus</td>
<td>5</td>
<td>3</td>
<td>2</td>
<td>35</td>
<td>19</td>
<td>0</td>
<td>19</td>
</tr>
<tr>
<td>Compton</td>
<td>49</td>
<td>5</td>
<td>44</td>
<td>226</td>
<td>20</td>
<td>1</td>
<td>21</td>
</tr>
<tr>
<td>El Camino</td>
<td>14</td>
<td>1</td>
<td>13</td>
<td>131</td>
<td>29</td>
<td>0</td>
<td>29</td>
</tr>
<tr>
<td>Glendale</td>
<td>65</td>
<td>28</td>
<td>37</td>
<td>485</td>
<td>20</td>
<td>0</td>
<td>20</td>
</tr>
<tr>
<td>Long Beach</td>
<td>35</td>
<td>3</td>
<td>32</td>
<td>254</td>
<td>20</td>
<td>0</td>
<td>20</td>
</tr>
<tr>
<td>Los Angeles</td>
<td>220</td>
<td>25</td>
<td>195</td>
<td>1548</td>
<td>27</td>
<td>0</td>
<td>27</td>
</tr>
<tr>
<td>Mt. San Antonio</td>
<td>15</td>
<td>3</td>
<td>12</td>
<td>124</td>
<td>23</td>
<td>0</td>
<td>23</td>
</tr>
<tr>
<td>Pasadena</td>
<td>19</td>
<td>8</td>
<td>11</td>
<td>76</td>
<td>17</td>
<td>0</td>
<td>17</td>
</tr>
<tr>
<td>Rio Hondo</td>
<td>6</td>
<td>0</td>
<td>6</td>
<td>26</td>
<td>27</td>
<td>0</td>
<td>27</td>
</tr>
<tr>
<td>Santa Clarita</td>
<td>12</td>
<td>0</td>
<td>12</td>
<td>119</td>
<td>22</td>
<td>0</td>
<td>22</td>
</tr>
<tr>
<td>Santa Monica</td>
<td>6</td>
<td>0</td>
<td>6</td>
<td>39</td>
<td>18</td>
<td>0</td>
<td>18</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>494</strong></td>
<td><strong>76(15%)</strong></td>
<td><strong>418(85%)</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>