

**26-223 REFUGEE PROGRAM REPORT - TIME-EXPIRED CASES AND PERSONS (RS 22A) 26-223**

**26-223.01 CONTENT 26-223.01**

This monthly report provides for the statistical reporting of time-expired refugee cases and persons that received a cash grant during the report month. This report also provides for the statistical reporting of time-expired refugees who received any form of public medical assistance during the report month.

**26-223.02 PURPOSE 26-223.02**

Data from the RS 22A reports is compiled into monthly summaries for use by departmental managers, the State Legislature, and other interested agencies and individuals.

The purpose of this data is: 1) to provide county, state and federal administrators with information that may assist in budgeting, staffing, program planning and other administrative responsibilities; and, 2) to provide refugee data for a legislative requirement mandated by the Budget Act of 1984, Section 9.00, Budget Item 5180-001-001. Paragraph 4.

**26-223.04 DUE DATE 26-223.04**

Reports are due in Sacramento no later than the 15th calendar day of the month following the report month. If the due date falls on a Saturday, Sunday or holiday, the due date will be the following work day. Send the completed report to:

State Department of Social Services  
Statistical Services  
744 P Street, Mail Station 19-81  
Sacramento, CA 95814

If the report will be delayed or incomplete, please contact Statistical Services at (916) 322-2230 or ATSS 492-2230

**26-223.05 DEFINITIONS****26-223.05****Case:**

A case is defined as a cash assistance case that contains at least one time-expired refugee.

**Time-Expired Refugee:**

Refugees who have resided in the United States for more than 24 months from the date of entry into the United States. A refugee is any person who has been granted refugee status by the Federal Government as indicated by Form 1-94 or an individual from any country who is now a permanent resident alien as indicated by Form 1-151 or 1-551, and can document previous refugee status established by the Immigration and Naturalization Service. Reference: All County Letters 83-32 and 84-119.

**26-223.10 INSTRUCTIONS****26-223.10**

## Part A - Cash Assistance.

1. AFDC - Enter separate column totals for the sum of items 1a. through 1c. If separate subtotals for items 1a through 1c. are not available, enter "NA" in the appropriate cells and report the total only.
  - 1a. Family Group - Enter in the appropriate columns the number of time-expired refugee cases and persons that received cash assistance from the AFDC-FG program during the report month.
  - 1b. Unemployed - Enter in the appropriate columns the number of time-expired refugee cases and persons that received cash assistance from the AFDC-U program during the report month.
  - 1c. Foster Care - Enter the number of AFDC Foster Care children (the case count should equal the person count) who became foster children after the refugee or caretaker became time-expired. Do not report children who are already reported as Unaccompanied Minors or as Foster Care children in the Refugee Resettlement Program -- Cash Grant Caseload Movement Report (RS 237).
2. General Assistance/General Relief - Enter in the appropriate columns the number of time-expired refugee cases and persons that received county-only General Assistance/General Relief during the report month.

**26-223.10 INSTRUCTIONS (Continued)****26-223.10**

## Part B - Medical Assistance

1. Medically Indigent Adults - Enter the number of time-expired refugee persons who received county sponsored medical services during the report month. Do not report incidences of service or individuals who received services from the Medi-Cal Only program reported on Line 2, below. Enter "NA" if the information is not available and explain (by footnote) the reasons for this reporting status.
  
2. Medi-Cal Only - Enter the number of time expired refugee persons who received Medi-Cal only during the report month. Do not report incidences of service or individuals who received services from a local public medical program as reported on Line 1, above. Enter "NA" if the information is not available.

FORM RS 22A

FORM RS 22A

STATE OF CALIFORNIA - HEALTH AND WELFARE AGENCY  
DEPARTMENT OF SOCIAL SERVICES

SEND ONE COPY TO:  
Department of Social Services  
Statistical Services  
744 P Street M.S. 19-81  
Sacramento, CA 95814

**REFUGEE PROGRAM REPORT**  
TIME-EXPIRED CASES AND PERSONS

County Submitting Report	1
Month Ending	2

**PART A — Cash Assistance**

	CASES	PERSONS
1. AFDC .....	3	4
a. Family Group .....	5	6
b. Unemployed .....	7	8
c. Foster Care .....	9	10
2. GENERAL ASSISTANCE/GENERAL RELIEF .....	11	12

**PART B — Medical Assistance**

	PERSONS
1. MEDICALLY INDIGENT ADULTS .....	13
2. MEDI-CAL ONLY .....	14

COMMENTS

---

Person to Contact Regarding this Form \_\_\_\_\_ Telephone No. \_\_\_\_\_ 15 Date \_\_\_\_\_ 16  
( )

RS 22A (4/89) REV 04/89

<b>26-224</b>	<b>REFUGEE ASSISTANCE - BY NATIONALITY ANNUAL REPORT (FORM RS 238)</b>	<b>26-224</b>
---------------	--	---------------

<b>26-224.01</b>	<b>CONTENT</b>	<b>26-224.01</b>
------------------	----------------	------------------

This report provides for the collection and reporting of yearly statistical information on time-eligible refugees, participating in the following programs: Aid to Families with Dependent Children (AFDC), Refugee Demonstration Project (RDP), Refugee Cash Assistance (RCA), General Assistance (GA) and Medi-Cal Only.

<b>26-224.02</b>	<b>PURPOSE</b>	<b>26-224.02</b>
------------------	----------------	------------------

Information in this report is compiled and distributed yearly to the Federal Department of Health and Human Services, state program managers, county welfare departments and other interested agencies and individuals.

The statistical information collected on this report is used by the Office of Refugee Services to meet federal requirements for data collection and to refine the estimates of refugee populations.

Additionally, this report provides legislators, administrators and other interested persons with information regarding the refugee programs.

<b>26-224.04</b>	<b>DUE DATE</b>	<b>26-224.04</b>
------------------	-----------------	------------------

The report date is June 30 of each year. The information should identify only the ending caseload (by persons-not cases) for the month of June.

The reports are to be received in Sacramento by the 15th calendar day of July following the June report month. Mail the report to:

State Department of Social Services  
Statistical Services  
744 P Street, Mail Station 19-81  
Sacramento, CA 95814

If the report will be either delayed or incomplete in any way, please contact Statistical Services at (916) 322-2230 or (ATSS) 492-2230.

**26-224.05 DEFINITIONS** **26-224.05**

**COLUMNS**

Country of Origin: The country of origin means the country of citizenship, not necessarily the country from which the refugee arrived. The countries listed in this column are those with the largest number of refugee arrivals in the United States in the recent past.

Cash Assistance: Self-explanatory. Under the Cash Assistance column, information is collected on refugees receiving four types of aid: AFDC, RDP, RCA and GA.

Medi-Cal Only: Number of persons eligible only for medical assistance.

**LINE ITEMS**

These are self-explanatory, with the following clarifications:

Line Item 2: For the purposes of this report, the Laos nationality grouping will include Hmong.

Line Item 6: Other Eastern European countries will include all other Eastern European countries not listed on the report form. These will include Romania, Hungary, Bulgaria and Czechoslovakia.

Line Item 7: The entry under Cuba is not to include Cuban-Haitians.

Line Item 12: The "Other" line item is explained in the Column Instructions Section of these instructions.

**26-224.10 INSTRUCTIONS** **26-224.10**

Line Item 12: If a particular nationality is less than 5 percent of the total refugee welfare population, include those counts in Line Item 12.

Blank Line: Identify the country(ies) of origin not listed in Line Items 1 through 11 from which 5 percent or more of your county's refugee welfare recipients came.

Cash Assistance: Enter for each country listed the number of time-eligible refugees (persons, not cases) within your caseload who are receiving public assistance under the AFDC, RDP, RCA or GA programs for whom ORR reimbursement is being claimed. U.S. Born babies within a refugee filing unit should be included in all categories.

Medi-Cal Only: Enter for each country listed the number of persons eligible only for Medi-Cal Assistance. Do not include those persons receiving a combination of Cash Assistance and Medi-Cal since these persons should be counted under the Cash Assistance column only.

FORM RS 238

FORM RS 238

STATE OF CALIFORNIA - HEALTH AND WELFARE AGENCY DEPARTMENT OF SOCIAL SERVICES

**REFUGEE ASSISTANCE BY NATIONALITY  
ANNUAL REPORT — (Persons Only)**

SEND ONE COPY TO:  
Department of Social Services  
Statistical Services  
744 P Street, M.S. 19-81  
Sacramento, CA 95814

	<small>COUNTY</small>	<small>STATE USE ONLY</small>	
		<small>COUNTY</small>	
	<small>REPORT PERIOD</small>		

COUNTRY OF ORIGIN	CASH ASSISTANCE				MEDI-CAL ONLY
	AFDC	RDP	RCA	GA	
<b>TOTAL</b>					
1. CAMBODIA					
2. LAOS (INCLUDING HMONG)					
3. VIETNAM					
4. SOVIET UNION (U.S.S.R.)					
5. POLAND					
6. OTHER EASTERN EUROPEAN COUNTRIES					
7. CUBA					
8. AFGHANISTAN					
9. IRAN					
10. IRAQ					
11. ETHIOPIA					
12. OTHER					

COMMENTS

---

PERSON TO CONTACT REGARDING THIS REPORT \_\_\_\_\_ TELEPHONE NUMBER \_\_\_\_\_ DATE \_\_\_\_\_

15 23a 1A 891

**This page is intentionally left blank.**



<b>26-225</b>	<b>IMMIGRATION REFORM AND CONTROL ACT OF 1986 (IRCA) MONTHLY CASELOAD REPORT (FORM IRCA 1)</b>	<b>26-225</b>
---------------	--	---------------

<b>26-225.01</b>	<b>CONTENT</b>	<b>26-225.01</b>
------------------	----------------	------------------

The caseload report for Eligible Legalized Aliens (ELAs) provides monthly data on the number of cases and the number of individuals who received aid during the report month.

The report is separated into three sections: ELAs in Temporary Status, ELAs in Permanent Status and Special Agricultural Workers (SAWS) ELAs in Temporary Status. Each section is subdivided by the type of aid that the ELA is receiving (i.e., Non-Fed AFDC-FG or U, NAFS, General Assistance).

<b>26-225.02</b>	<b>PURPOSE</b>	<b>26-225.02</b>
------------------	----------------	------------------

The purpose of this data is: 1) to provide County, State and Federal administrators with information needed for budgeting, staffing, program planning and for other administrative responsibilities, and 2) to provide data for Federal reports.

<b>26-225.03</b>	<b>DISTRIBUTION</b>	<b>26-225.03</b>
------------------	---------------------	------------------

Data from these reports is compiled into monthly statewide summaries for use by Departmental managers, the State Legislature, and other interested agencies and individuals.

<b>26-225.04</b>	<b>DUE DATE</b>	<b>26-225.04</b>
------------------	-----------------	------------------

Reports are due in Sacramento no later than the 30th calendar day of the month following the report month. If the due date falls on a Saturday, Sunday, or a holiday, the due date will be the following work day. Send the report to:

State Department of Social Services  
Statistical Services  
744 P Street, Mail Station 19-81  
Sacramento, CA 95814

If the report will be either delayed or incomplete in any way please contact Statistical Services at (916) 322-2230 or ATSS 492-2230.

**26-225.05 DEFINITIONS****26-225.05**

## Eligible Legalized Aliens:

An alien is eligible for legalization (amnesty) under the Immigration Reform Control Act of 1986 (IRCA) if he/she qualifies as a legal resident under the Immigration and Naturalization Service (INS) guidelines and meets one of the following criteria:

- o Has lived continuously in the United States since January 1, 1982.
- o Has been engaged in specific types of agricultural work for at least 90 working days prior to May 1, 1986.

## ELAs in Temporary Status:

ELAs who have lived in the United States illegally prior to January 1, 1982 are eligible to apply for Temporary Resident Status (TRS). ELAs will remain in TRS from the time that they applied for legalization, for a period of at least 18 months to a maximum of 30 months.

## ELAs in Permanent Status:

ELAs who remain in TRS for a period of at least 18 months are eligible for Permanent Resident Status (PRS).

## Special Agricultural Workers (SAWs) ELAs in Temporary Status:

ELAs who have lived in the United States and worked at least 90 days in perishable crop agriculture in each of the three years prior to May 1, 1986 (Group I SAWs), or ELAs under like circumstances who worked 90 days only in the 12 months prior to May 1, 1986 (Group 2 SAWs) may apply for TRS.

Group 1 SAWs will be adjusted to PRS after one year from the time that they applied for legalization in TRS.

Group 2 SAWs will be adjusted to PRS after two years from the time that they applied for legalization in TRS.

NOTE: ELAs will not be reported in the column headed ELAs in Permanent Status until they have remained in Temporary Status for at least 18 months, or in the case of the SAWs, for one year for the Group 1 and two years for the Group 2 SAWs.

**26-225.05 DEFINITIONS (Continued)****26-225.05**

Case: For the purpose of this report, the terms "case" or "active case" are synonymous and refer to an assistance case or NAFS case that contains at least one temporary or permanent ELA.

**26-225.10 INSTRUCTIONS****26-225.10**

1. Total Active Cases - Enter the sum of 2, 3, and 4 below.
2. Cases Receiving Cash Grants - Enter in the appropriate column the number of cases receiving a cash grant in the current month.
  - 2a. Number of persons in Item 2 - Enter the number of persons receiving a cash grant during the current month.
  - 2b. Number of ELAs in Item 2 - Of the number of persons reported in Item 2 enter the number of ELAs.
3. Other Cases - (Cases not receiving a cash grant) Enter the number of cases not paid but which had in effect during the report month an authorization to receive aid. Include the following cases:
  - A. Cases approved for aid during the report month which will receive an initial warrant the following month.
  - B. Cases with an authorization to receive aid, which were discontinued during the month, and the warrant either cancelled or not issued.
  - C. Cases in which the authorization for the report month was a zero grant to adjust for an overpayment.
  - D. Cases determined eligible for General Assistance, Non-Fed AFDC-FG or U but in which a grant was not paid because it was less than ten dollars (\$10). Provide the following in the Comments Section: 1) the number of General Assistance, Non-Fed AFDC-FG and Non-Fed AFDC-U cases in which the grant was less than \$10 and; 2) the number of persons in the cases.
4. Cases Receiving NAFS - Enter the number of ELA households which received NAFS only during the current month. This reporting category must be limited to ELA households which received only Food Stamps.
  - 4a. Number of persons in Item 4 - Enter the number of persons in the households receiving NAFS only during the current month.
  - 4b. Number of ELAs in Item 4 - Of the number of persons reported in Item 4 enter the number of ELAs.

FORM IRCA 1

FORM IRCA 1

STATE OF CALIFORNIA - HEALTH AND HUMAN SERVICES AGENCY

DEPARTMENT OF SOCIAL SERVICES  
Send one copy to:  
Department of Social Services  
Statistical Services  
744 P Street, MS 19-81  
Sacramento, CA 95814

IMMIGRATION REFORM AND CONTROL ACT OF 1986 (IRCA)  
MONTHLY CASELOAD REPORT FOR ELIGIBLE LEGALIZED ALIENS (ELAs)

COUNTY: \_\_\_\_\_ REPORT MONTH AND YEAR: \_\_\_\_\_

DEPARTMENT OF SOCIAL SERVICES

Send one copy to:  
Department of Social Services  
Statistical Services  
744 P Street, MS 19-81  
Sacramento, CA 95814

Casefiled	ELAs in Temporary Status			ELAs in Permanent Status			Special Agricultural Workers ELAs in Temporary Status		
	General Assistance	Non-Fed AFDC-FG	Non-Fed AFDC-U	NIFS	General Assistance	Non-Fed AFDC-FG	Non-Fed AFDC-U	NIFS	General Assistance
1. Total Active Cases (sum of 2., 3 and 4 below)	01	02	03	04	05	06	07	08	09
2. Cases receiving cash grants	10	11	12	13	14	15	16	17	18
a. Number of persons in 2	17	18	19	20	21	22	23	24	25
b. Number of ELAs in 2	24	25	26	27	28	29	30	31	32
3. Other cases	31	32	33	34	35	36	37	38	39
4. Cases receiving NAFS									
a. Number of persons in 4				38				39	
b. Number of ELAs in 4				40				41	
Comments				42				43	

Less than \$10.00 cases:      Cases      Persons Count

General Assistance		
Non-Fed AFDC-FG		
Non-Fed AFDC-U		

COUNTY PERSON: \_\_\_\_\_ TELEPHONE NUMBER: \_\_\_\_\_

IRCA 1 (1/84)

**26-227 GAIN MONTHLY ACTIVITY REPORT - (FORM GAIN 25) 26-227**

**26-227.01 CONTENT 26-227.01**

The GAIN Monthly Activity Report documents GAIN activity during each month of GAIN program operations. The report is divided into seven major sections: Registration Data, Appraisal/Assessment, Activities-Participants, No-Show Incidents, Deferrals/Nonparticipation Statuses, Supportive Services, and Employment-Grant Impact.

**26-227.02 PURPOSE 26-227.03**

The purpose of this data is to summarize, on a monthly basis, the numbers of AFDC applicants and recipients who register for the GAIN program; receive the various job training, education and supportive services offered by GAIN: obtain employment; or, are sanctioned for failure to cooperate with program requirements. Information in this report will be used to develop the annual reports to the Legislature required by the GAIN legislation. This information can also be used for management of the program at the local level.

**26-227.03 DUE DATE AND SUBMITTAL INSTRUCTIONS 26-227.03**

Reports are to be submitted by GAIN counties so as to be received in Sacramento by the 20th of the month following the end of the report month. Send the reports to:

State Department of Social Services  
Statistical Services  
744 P Street, Mail Station 19-81  
Sacramento, CA 95814

**26-227.10 GENERAL INSTRUCTIONS 26-227.10**

**SECTION A - REGISTRATION DATA**

Registrants should be identified and reported at the point in time that they are found to be nonexempt from GAIN participation. For AFDC applicants, this should occur early in the application process, at or near the time the CA 1 and GAIN 24 are completed.

<b>26-227.10 GENERAL INSTRUCTIONS (Continued)</b>	<b>26-227.10</b>
---	------------------

A.2.a - APPLICANTS:

Report all persons who are issued a GAIN 24 and become GAIN registrants as a result of an application for AFDC who are not reregistrants. The purpose is to identify new GAIN registrants who are registered because they are new to the AFDC program as opposed to existing AFDC recipients or re-registrants. Applicant status for GAIN reporting purposes does not mean the time interval between AFDC application and approval.

A.2.b - RECIPIENTS:

Report those persons who become GAIN registrants as a result of the AFDC annual redetermination process, termination of exemption status or other recipient phase-in process rather than as AFDC applicants.

A.3 - REREGISTRANTS:

Report those registrants who were previously registered for GAIN within the current State Fiscal Year.

- o For applicants, this would consist of all AFDC restorations and reapplications of GAIN registrants previously registered during the State Fiscal Year. (See MPP 40-103.42.)
- o For recipients, this would consist of exempt individuals who become nonexempt and were registered previously during the State Fiscal Year.

A.4 - Total A1 plus A2 plus A3.

A.5 - DEREGISTRATIONS THIS MONTH:

Report all deregistrations resulting from any cause such as:

- o Termination from AFDC.
- o Sanction (mandatory and volunteer).
- o Becoming exempt from registration.

A.6 - TOTAL REGISTRANTS END-OF-MONTH: Remainder of A.4 minus A.5.

**26-227.10 GENERAL INSTRUCTIONS (Continued)****26-227.10****A.7 - REGISTRANTS SANCTIONED THIS MONTH:**

Report all newly-sanctioned GAIN registrants. For mandatory AFDC-FG and U sanctions, the report month is the month that the grant discontinuance or reduction becomes effective. These counts should include only those registrants whose grant termination or reduction is verified to have occurred. For voluntary cases, the report month is the month that the registrant is removed from GAIN participation; i.e., the effective date of GAIN deregistration. There is no grant reduction or termination for volunteers who are sanctioned.

**A.8 - OBTAINED UNSUBSIDIZED EMPLOYMENT:**

Report all GAIN registrants who started unsubsidized employment during the month without regard to any effect on the AFDC grant or GAIN registration status.

**SECTIONS B and C - REFERRED:**

A referral to a component occurs on the day that a registrant is scheduled for a specific orientation/appraisal or activity session (not the scheduled date of the session). In the case of persons in Self-Initiated Program (SIP) Activities, the date of the Activity Agreement portion of the individual contract should be recorded as the referral date.

Report the number of individuals referred to each component (not the number of referrals) by County Welfare Department (CWD) staff to the activity. Count only the first referral of an individual to a particular component even if several referrals are necessary before attendance is confirmed. A new referral should not be reported until the registrant is referred to a new component. For example, an individual referred more than once to the same component would be reported only once. However, an individual referred to two separate components would be reported twice, i.e., once to each component. If the processing date (i.e., key entry date) of the referral differs from the actual referral date, the processing date may be used for reporting purposes to determine the report month.

**SECTIONS B AND C - ATTENDED:**

Report the number of individuals who started an activity or component and participated for at least part of one day during the report month. Do not report registrants whose actual attendance in the activity to which they have been referred has not been reliably verified. However, when a confirmation is received in a month subsequent to the month the registrant entered the component, the participation should be reported in the month the confirmation is processed rather than the month of actual participation.

**26-227.10 GENERAL INSTRUCTIONS (Continued)****26-227.10**

If an activity requires enrollment prior to attendance, enrollment would not count as attendance. Attendance would be counted when confirmation is received of the registrant's presence at the assigned activity. A new attendance count should not be recorded until the registrant attends a new component. Only initial appraisals should be reported in a single GAIN registration sequence until deregistration and subsequent reregistration occurs. A new appraisal count would be entered subsequent to reregistration. Both initial and subsequent assessments (including reassessments after long-term PREP) should be reported.

**SECTION C - ACTIVITY COMPLETED:**

For activities C1 through C6, report the number of persons who completed each activity during the month. The registrant must have satisfactorily completed the activity.

Specific activity completion criteria are:

Job Club-Pre Assess,  
Sup Job Srch-  
Pre Assess:

Registrant completed the full three-week period or found a job anytime during the Pre Assessment Job Club/Supervised Job Search period.

Basic Ed-ESL:

Satisfactorily attained basic skills in Basic Education - English-As-A-Second Language.

Basic Ed-ABE:

Adult Basic Education completion criteria is the as Basic Ed-ESL.

Basic Ed-GED:

Obtained General Education Development certificate.

Voc Training and Ed: Satisfactorily completed vocational training or education.

**SECTION C - ACTIVITIES END-OF-MONTH**

Report the number of persons confirmed as actively participating in the component/activity at the end of the month. This includes persons who have temporary excused absences but who are not deferred.

At a minimum, every registrant with a referral result of "participation" and with no end code would be counted in the end-of-month count.



**26-227.10 GENERAL INSTRUCTIONS (Continued)****26-227.10****SECTION D - NO-SHOW INCIDENTS:**

Report the number of no-show (NS) incidents confirmed during the report month. NS incidents occur when a registrant does not show for a scheduled appointment pursuant to a specific referral and has not contacted the GAIN worker prior to the appointment time to request rescheduling. For example, a registrant is referred to Job Club on the fifth, twelfth, and twentieth of the month, and the County has confirmed three NS incidents. All three NS incidents should be reported on the GAIN 25 for the report month. If the County has confirmed only two NS incidents, then report a count of two in the report month and report the last NS incident in the following report month when the NS incident is confirmed. The No-Show Incidents line applies to both Section B and C components.

**SECTION E - DEFERRALS/NONPARTICIPATION STATUSES:**

In the New this Month (New/Mo) columns, report new individuals in each category. In the End of Month (EOM) columns, report the number of GAIN registrants who are in a deferral or other nonparticipation status at the end of the report month. If a deferral is extended at the time of the scheduled review date, with no break in the deferral status, there would be no New-This-Month deferral recorded. The EOM count would continue to be reported.

**SECTION F - SUPPORTIVE SERVICES**

Report the number of individuals receiving GAIN-paid supportive services (not the number of payments) any time during the month. This count may be duplicated as a participant may receive both child care and transportation in the same report month. However, the count within each category is to be unduplicated. Thus, if a participant receives transportation to attend both Job Club and On-the-Job Training (OJT) in the same month, the individual is to be reported only once under transportation. Counts are to be computed using fiscal records and should reflect payments made during the report month rather than the month services were provided.

**26-227.10 GENERAL INSTRUCTIONS (Continued)** **26-277.10**

**SECTION G - EMPLOYMENT-GRANT IMPACT**

Report the number of GAIN registrants' grants which have been reduced or terminated during the month due to earnings.

- o For grant reductions, the count should represent all registrants who have had AFDC grant reductions in the month as a result of Net Nonexempt Earnings (NNE). A count should be recorded for each month in which registrants have NNE. AFDC grant reduction records should be used to derive this data.
- o For grant terminations, the total should include all registrants whose grants have been terminated due to earnings.

**26-227.20 COLUMN INSTRUCTIONS** **26-227.20**

**SECTION A- REGISTRATION DATA**

Col 2 - Mand AFDC-FG: Enter data only for GAIN registrants with AFDC-Family Group (AFDC-FG) deprivation status who do not meet the criteria for GAIN exemption.

Col 3 - Mand AFDC-U: Enter data only for GAIN registrants with AFDC-Unemployed Parent (AFDC-U) deprivation status who do not meet the criteria for GAIN exemption.

Col 4 - Vol FG/U: Enter data only for GAIN registrants, either with AFDC-FG or AFDC-U deprivation status who meet the criteria for GAIN exemption but who choose to register voluntarily.

Col 5 - All AFDC FG/U: Enter sum of columns 2 plus 3 plus 4.

Col 6 - Total YTD: Sum of column 5 for current month plus column 6 for previous month during the State Fiscal Year.

**SECTIONS B AND C**

Col 1 and 2 - All AFDC/FG: Enter data for all AFDC-FG GAIN registrants.

Col 3 and 4 - All AFDC-U: Enter data for all AFDC-U GAIN registrants.

Col 1 and 3 - Referred: Enter data per General Instructions for registrants referred.

Col 2 and 4 - Attended: Enter data per General Instructions for registrants' initial attendance.

**26-227.20 COLUMN INSTRUCTIONS (Continued)** **26-227.20**

- Col 5 - All AFDC  
Total Attended: Sum of column 2 plus column 4.
- Col 6 - Total YTD  
Attended: Sum of column 5 for current month and column 6 for previous month during the State Fiscal Year.
- Col 7 - All AFDC Attended  
EOM: Enter data for all GAIN registrants as per General Instructions.
- SECTION C - COMPLETED Enter data for all GAIN registrants as per General Instructions.

SECTION D - NO SHOW INCIDENTS

- Col 2 - Incidents: Enter data for all AFDC-FG GAIN registrants as per General Instructions.
- Col 4 - Incidents: Enter data for all AFDC-U GAIN registrants as per General Instructions.
- Col 5 - All AFDC Total  
Incidents: Sum of column 2 plus column 4.
- Col 6 - Total YTD  
Incidents: Sum of column 5 for current month plus column 6 for previous month during the State Fiscal Year.

SECTION E DEFERRALS - NONPARTICIPATION STATUSES

- Col 1 and 3 - New/Mo: Enter registrants newly placed in each status during the report month as per General and line-Item instructions.
- Col 2 and 4 - # EOM: Enter registrants in each status at end of month as per General and line-Item instructions.
- Col 5 - All AFDC  
Total New/Mo: Enter sum of column 1 plus column 3.
- Col 6 - Total YTD New/Mo: Sum column 5 for current month plus column 6 from previous month of the State Fiscal Year.
- Col 7 - Total # EOM: Enter sum of column 2 plus column 4.

**26-227.20 COLUMN INSTRUCTIONS (Continued)** **26-227.20**

**SECTION F - SUPPORTIVE SERVICES**

- Col 2 - All AFDC-FG  
# Paid: Enter number of AFDC-FG registrants who received GAIN-Paid services as per general and line-item instructions.
- Col 4 - All AFDC-U  
# Paid: Enter number of AFDC-U registrants who received GAIN-Paid services as per general and line-item instructions.
- Col 5 - All AFDC  
Total # Paid: Enter sum of column 2 plus column 4.
- Col 6 - All AFDC YTD  
# Paid: Enter sum of column 5 for current month and column 6 from previous month of the State Fiscal Year.

**SECTION G - EMPLOYMENT**

- Columns 1 & 2, 4 & 5: See general and line-item instructions.
- Column 3 - Total YTD: Enter sum of column 1 plus column 2 for current month plus column 3 from the previous month of the State Fiscal Year.
- Column 6 - Total YTD: Enter sum of column 4 plus column 5 for current month plus column 6 from the previous month of the State Fiscal Year.

**26-227.30 LINE ITEM INSTRUCTIONS** **26-227.30**

**SECTION A - REGISTRATION DATA**

- A1 Registrants  
at end of  
last month: A GAIN registrant is an AFDC applicant or recipient who is registered for the GAIN Program. Enter number from line A6 on previous month's GAIN 25 report. If not the same number as line A6 of the previous month, explain in footnote on reverse side of report.

## 26-227.30 LINE ITEM INSTRUCTIONS (Continued)

26-227.30

- A2 New Registrants this month: Enter the number of AFDC applicants or recipients whose registration status changes from nonregistrant to registrant during the report month and who have not been a registrant previously during the past State Fiscal Year.
- A2a Applicants: Enter the number of individuals who become GAIN registered during the report month as a result of an AFDC application (not recipients who are phased into GAIN or whose status changes from exempt to nonexempt). Registration for applicants is automatic and should be recorded as soon as possible after the AFDC application concurrent with the issuance of the GAIN 24 registration notice. Intercounty transfers are not to be reported as applicants. Applicant for GAIN reporting purposes does not mean the time interval between AFDC application and approval.
- A2b Recipients: Enter the number of AFDC recipients who become GAIN registrants for reasons other than AFDC application. Do not include reregistrants as they are reported separately under A3. The count shall include recipients who are registered:
- o As a result of GAIN phase-in at the time of the redetermination.
  - o As a result of termination of exempt status.
  - o As a result of an exempt individual volunteering for GAIN.
  - o As a result of an Inter-County Transfer.
- A3 Reregistrants this month: Enter the number of persons who register during the month who were previously registered for GAIN within the current State Fiscal Year.
- A4 Total: Enter the sum of line A1 plus A2 plus A3.

**26-227.30 LINE ITEM INSTRUCTIONS (Continued)** **26-227.30**

- A5 Deregistrations this month: Enter the number of registrants removed from GAIN registration due to exemption, sanction, employment or being terminated from AFDC.
- A6 Total Registrants, EOM: Enter the remainder of Line A4 minus A5.
- A7 Registrants Sanctioned this month: Enter the number of GAIN registrants who have been penalized for failure to participate in GAIN without good cause. The three categories of actions are:
- o AFDC-FG Mandatory - the sanction is AFDC grant reduction due to termination of the GAIN registrant for three or six months. Enter a count only when the grant reduction has been verified.
  - o AFDC-U Mandatory - the sanction is AFDC grant discontinuance for three or six months. Enter a count only when the grant termination has been verified.
  - o AFDC-FG & U Volunteers - the sanction is deregistration from the GAIN Program for a period of six months. The AFDC grant is not affected.
- A8 Obtained Unsubsidized Employment: Enter a count for the number of GAIN registrants who have found unsubsidized employment (MPP 42-710.3(u)) during the month regardless of grant impact.

**26-227.30 LINE ITEM INSTRUCTIONS (Continued)****26-227.30****SECTION B - APPRAISAL/ASSESSMENT****B1 Orientation/  
Appraisal:**

Enter the number of registrants entering Orientation/Appraisal.

Orientation/Appraisal is a GAIN component. The term "GAIN Component" refers to GAIN assignments which provide GAIN Program information, and individual employability evaluation services or employment-related job search assistance, training, education or work experience designed to enhance employability. Orientation/Appraisal consists of five primary steps (not necessarily in this order):

Step 1 - GAIN orientation.

Step 2 - Recording of participant characteristics via the GAIN 26 form or substitute.

Step 3 - Determining deferrals.

Step 4 - Completion of CASAS testing.

Step 5 - Signing the GAIN Activity Agreement specifying the first activity.

A count is recorded on the GAIN 25 when the client is referred to and attends the first step, and not subsequent steps.

**B2 Assessment:**

Enter the number of GAIN registrants referred to and attending Assessment as defined in MPP 42-773.2.

## 26-227.30 LINE ITEM INSTRUCTIONS (Continued)

26-227.30

## SECTION C - ACTIVITIES-PARTICIPANTS

GAIN activities are a subset of GAIN components. The term "GAIN Activity" applies to those components which provide employment-related job search assistance, training, education or work experience designed to enhance a registrants' employability. Orientation/Appraisal and Assessment are GAIN components which provide program information and individual employability evaluation services in order to determine appropriate job preparation activities.

- C1 Job Club -  
Pre Assess: Enter the number of job registrants referred to and attending Pre-Assessment Job Club. Job Club is an activity with a duration of three weeks consisting of one week of classroom instructions in job seeking techniques followed by two weeks of supervised job search.
- C2 Sup Job  
Srch -  
Pre Assess: Enter registrant counts for Pre-Assessment Supervised Job Search which is a three-week component similar to Job Club except that there is generally no classroom component. Job search activities, including use of phone banks, are carried out under the close supervision of an experienced employment counselor.
- C3 Basic Ed-ESL: Enter registrant counts for Basic ED-ESL. English-as-a-Second Language consists of intensive instruction in English for non-English speaking participants.
- C4 Basic Ed-ABE: Enter registrant counts for Basic ED-ABE. Adult Basic Education Services include instruction in reading, writing and mathematics necessary for employment and preemployment training.
- C5 Basic Ed-GED: Enter registrant counts for Basic ED-GED. General Educational Development instruction consists of a course of study leading to a high school proficiency (GED) certificate.



**26-227.30 LINE ITEM INSTRUCTIONS (Continued)****26-227.30**

- C6 Voc Training and Ed: Enter registrant counts for Vocational Training and Education entered into as a result of the assessment or an approved Self-Initiated Program. Vocational Training consists of training in employer-specific job skills and other training in a classroom or onsite setting. Educational services include community college and other educational services other than ESL, ABE or GED courses. Includes both GAIN-initiated and self-initiated. Self-initiated is also reported on line C15.
- C7 Short-Term PREP: Enter registrant counts for short-term (3 months) nonsalaried work experience with a public or private nonprofit agency under the Preemployment Preparation activity which is limited to three months. Includes both Basic and Advanced.
- C8 Long-Term PREP: Enter registrant counts for long-term work experience (up to 12 months). Similar to Short-Term PREP except that the limit of the assignment is one year rather than three months. Includes both Basic and Advanced.
- C9 OJT-Non-Grant Div: Enter registrant counts for On-the-Job Training Non-Grant Diversion in which a participant receives compensated job skills training on the work site from an employer. Report on line C9 only OJT not funded in whole or in part by Grant Diversion.
- C10 OJT-Grant Div: Enter registrant counts for OJT (see C9) funded in whole or in part by Grant Diversion. Grant Diversion is the use of AFDC grant funds to fund a job training position.
- C11 Supp Work-Grant Div: Enter registrant counts for Supported Work which is a transitional work experience assignment provided through an intermediary service provider intended for registrants who have little or no work history. The assignment is characterized by 1) close supervision, 2) graduated performance expectations and 3) peer support. Assignments are subsidized by Grant Diversion.

**26-227.30 LINE ITEM INSTRUCTIONS (Continued)****26-227.30**

C12 Trans  
Emp-Grant  
Div:

Enter registrant counts for Transitional Employment which is training and/or employment typically arranged by an intermediary service provider and funded at least in part by AFDC Grant Diversion. It is different from Supported Work in that it is intended for participants with some marketable skills and a work history.

C13 All Other  
Job Search  
Svc:

Enter registrant counts for All Other Job Search Services. These may include one or a combination of post-assessment Job Club (Job Search Workshop, post assessment Supervised Job Search, Unsupervised Job Search, Job Placement, Job Development or Employment Counseling. If Job Club or Supervised Job Search occur after Assessment as a part of the 90-day Job Search Services plan, the activity would be reported on the GAIN 25 under All Other Job Search Services rather than under the C1 or C2. The GAIN Activity Agreement refers to "job search services for 90 days." Job Club or Supervised Job Search which occur after assessment, in addition to being reported on line C13 are also counted on lines C16 and C17.

C14 Any Activity  
Unduplicated:

Enter unduplicated count of recipients in educational, work experience or training activities (C1 - C13). Even though an individual participates in two activities during the month, the individual should be reported only once on this line (example: Participant is referred to and finishes Job Club during a month, then begins attending Vocational Training during the same month).

C15 Self-Init  
Program (SIP)  
Activity:

Enter the number of registrants in Self-Initiated Program (SIP) Activities. This number is a duplicated count since registrants are also counted under the specific self-initiated activity which they attend in C3 - C6.

**26-227.30 LINE ITEM INSTRUCTIONS (Continued)****26-227.30**

- C16 Job Club -  
Post Assess: Enter a duplicate count of those participants reported on line C13. All Other Job Search Services, who are attending post-assessment Job Club during the month.
- C17 Sup Job  
Search -  
Post Assess: Enter a duplicate count of those participants reported on line C13, All Other Job Search Services, who are participating in post-assessment Supervised Job Search.

**SECTION D - NO-SHOW INCIDENTS**

- D1 No-Show  
Incidents  
This Month: Enter the number which represents a count each time a registrant fails to show for a scheduled appointment without having contacted the GAIN worker previously to request rescheduling (from Sections B and C). See General Instructions for further detail.

**SECTION E - DEFERRALS/NONPARTICIPATION STATUSES**

- E1 Individual  
Deferrals: Enter counts of registrants with individual deferrals. Such registrants are prevented from participation in GAIN due to situations specified in MPP 42-761.3. Also include GAIN registrants who are deferred as a result of the approved random selection process for the GAIN evaluation who are identified as "controls."
- E2 Funding -  
related  
exclusions: Deferrals due to lack of funding situations as specified in the GAIN statute and in regulations under MPP 42-720.6, "CWD Reduction Plan."
- E3 Conciliation: Enter counts of registrants in formal and informal conciliation. Includes individuals who have failed to participate in GAIN without good cause and who are in the Conciliation process. Registrants who are determined to have good cause for failure to participate do not have a count entered here.

**26-227.30 LINE ITEM INSTRUCTIONS (Continued)** **26-227.30**

E4 Money  
Management: Enter counts mandatory of registrants who have been unsuccessful in the Conciliation process and whose grant is being paid to a substitute payee, through vendor payments or both as specified in MPP 42-785.

**SECTION F - SUPPORTIVE SERVICES**

F1 Child Care,  
F2 Transportation,  
F3 Ancillary Expenses: Enter the number of GAIN registrants for whom a supportive service is being paid with GAIN funds. Do not include supportive services paid from non-GAIN funds. These counts must be derived from fiscal records to ensure accuracy.

F5 90-day  
Trans  
Child Care: Enter the number of former GAIN registrants who are employed and receiving 90-day Transitional Child Care Services with GAIN funds. This count must be derived from fiscal records to ensure accuracy.

**SECTION G- EMPLOYMENT-GRANT IMPACT**

G1 Unsubsidized: Enter counts for GAIN registrants obtaining unsubsidized employment which includes private sector and other compensated employment not specifically listed under G2 as Subsidized Employment. Report a grant termination or reduction only if the employment results in termination or reduction of AFDC benefits paid to, or on behalf of, the registrant. Grant reductions and terminations should be compiled from AFDC case records. Employer contact or verification is not required to enter a count.

G2 Subsidized: Enter counts for GAIN registrants placed in OJT -Non-Grant Diversion positions if the placement results in termination or reduction of AFDC benefits paid to, or on behalf of, the registrant.

**26-227.90 FORM GAIN 25****26-227.90**

Fill in the information called for at the top and bottom of the form. Do not submit the report with cells left blank. Use zeros or "N/A" for Not Available. If a comment or explanation of an entry for any items is indicated, please write on the back of the report form, or attach a note to the report. Counties, with the written approval of the Statistical Services Section, may use a fiscal month ending no earlier than the twentieth of the report month for GAIN 25 reporting purposes.

FORM GAIN 25

FORM GAIN 25

STATE OF CALIFORNIA - HEALTH AND HUMAN SERVICES DEPARTMENT OF SOCIAL SERVICES  
 COUNTY: CODE: REPORT MONTH:   
 Last One Copy of DEPARTMENT OF SOCIAL SERVICES STATISTICAL SERVICE SECTION 100 1 STREET, SAN JOSE, CALIFORNIA 95108

**GAIN MONTHLY ACTIVITY REPORT**

Regular Gain (Fed AFDC)  State-Only AFDC

A. Registration Data	MAND AFDC-FG		MAND AFDC-U		VOL FGU		ALL AFDC FGU		TOTAL YTD	
	1	2	3	4	5	6	7	8	9	10
1. Registrants at end of last month										
2. New registrants this month (a plus b)										
a. Applicants										
b. Recipients										
3. Deregistrations this month										
4. TOTAL (1 + 2 + 3)										
5. Deregistrations this month										
6. TOTAL registrants, EOM (4 minus 5)										
7. Registrants sanctioned this month										
8. Obtained unsubsidized employment										

B. Appraisal/Assessment	ALL AFDC-FG		ALL AFDC-U		ALL AFDC-FGU		TOTAL YTD	
	REFERRED	ATTENDED	REFERRED	ATTENDED	ATTENDED	ATTENDED	ATTENDED	ATTENDED
1. Orientation/Appraisal								
2. Assessment								

C. Activities - Participants	REFERRED		ATTENDED		REFERRED		ATTENDED		ALL AFDC TOTAL ATTENDED		TOTAL YTD ATTENDED	
	1	2	3	4	5	6	7	8	9	10	11	
1. Job Club - Pre Assess												
2. Sup Job Search - Pre Assess												
3. Basic Ed - ESL												
4. Basic Ed - ABC												
5. Basic Ed - GED												
6. Voc Training & Ed												
7. Short-term PREP												
8. Long-term PREP												
9. CWT - Non-Career Div												
10. CWT - Grant Div												
11. Supp Work - Grant Div												
12. Traine Emp - Grant Div												
13. All Other Job Search Svcs												
14. Any activity (1 - 13) (include 14)												
15. Self-Inst Prog (SIP)												
16. Job Club - Post Assess (C-13 Only)												
17. Sup Job Search - Post Assess (C-13 Only)												

D. No-Show Incidents	INCIDENTS		INCIDENTS		ALL AFDC TOTAL INCIDENTS		TOTAL YTD INCIDENTS	
	1	2	3	4	5	6	7	8
1. Incidents this month (From Sections B and C)								

E. Defaults/Nonparticipation Statuses	ALL AFDC-FG		ALL AFDC-U		ALL AFDC TOTAL		TOTAL YTD		ALL AFDC TOTAL # EOM	
	NEWMO	# EOM	NEWMO	# EOM	NEWMO	# EOM	NEWMO	# EOM	NEWMO	# EOM
1. Individual defaults										
2. Funding-related exclusions										
3. Condition										
4. Money Management										

F. Supportive Services	ALL AFDC-FG # PAID		ALL AFDC-U # PAID		ALL AFDC TOTAL # PAID		TOTAL YTD # PAID		M/D Total combined on Time Study
	1	2	3	4	5	6	7	8	
1. Child Care									
2. Transportation									
3. Ancillary expenses									
4. Total participants (1 - 3) (include 4)									
5. 90-day Trans Clinic Care									

G. Employment - Grant Impact	GRANT TERMINATIONS			GRANT REDUCTIONS		
	AFDC-FG	AFDC-U	TOTAL YTD	AFDC-FG	AFDC-U	TOTAL YTD
1. Unsubsidized						
2. Subsidized						

PERSON TO CONTACT RELATION TO THIS REPORT: TEL: PHONE: FAX: DATE: 1991

**26-228 GAIN QUARTERLY CHARACTERISTICS REPORT - (FORM GAIN 31) 26-228**

**26-228.01 CONTENT 26-228.01**

The GAIN Quarterly Characteristics Report documents the characteristics of GAIN registrants during each quarter of GAIN program operation. The report will tabulate information regarding registrants who are AFDC-FG recipients and those who are AFDC-U Recipients. The information requested on this form is consistent with the required data elements on the GAIN Appraisal (GAIN 26).

**26-228.02 PURPOSE 26-228.02**

The purpose of this form is to summarize, on a quarterly basis, the characteristics of the population requested for the GAIN program. Information in this report will be used to develop the annual reports to the Legislature required by the GAIN legislation. This information can also be used for program planning at the local level.

**26-228.03 DUE DATE AND SUBMITTAL INSTRUCTIONS 26-228.03**

Reports are to be submitted so as to be received in Sacramento by the twentieth of the month following the end of the report quarter.

Please mail reports to:

State Department of Social Services  
Statistical Services  
744 P Street, Mail Station 19-81  
Sacramento, CA 95814

Counties that implement GAIN in the second or third month of the quarter must submit a report for that quarter and indicate on the report form the month(s) being reported.

**26-228.10 GENERAL INSTRUCTIONS 26-228.10**

Counties are to summarize only fully completed GAIN 26s (GAIN Appraisal Forms) in the quarter that they are completed in order to correctly report on the GAIN 31. Thus, if a person registers for GAIN on March 20th, but the GAIN 26 is completed on April 5th, that registrant's GAIN 26 will be reported in the April-June quarter, the quarter that the GAIN 26 was completed.

**26-228.10 GENERAL INSTRUCTIONS (Continued)****26-228.10**

The sum of Lines 2-10 in each column should equal the number of registrants reported on Line 1. By counting only fully completed GAIN 26s, these items on the GAIN 31 will balance. It is virtually impossible for counties to fully complete the GAIN 26 if more than one EW/SW completes it at more than one point in the registration process. The GAIN 26 should be fully completed by only one EW/SW at or soon after the orientation.

Figures are to be tabulated and reported separately for AFDC-FG and AFDC-U recipients. For individuals whose recipient status may have changed during the quarter, the tabulations should be based on the category at the time of registration for GAIN.

**26-228.20 ITEM INSTRUCTIONS****26-228.20**

## Line 1 Total Registrants This Quarter

Enter the total number of individuals registered for GAIN in the quarter, including both new registrants and re-registrants. A reregistrant is an individual who has been deregistered and has reregistered for GAIN during the same State Fiscal Year.

## Line 2 Applicants/Recipients

On Line 2a. Applicants, enter the number of registrants who have applied, but not yet been approved, for AFDC.

On Line 2b. Recipients, enter the number of registrants who have been determined to be eligible for AFDC.

## Line 3 Mandatory/Voluntary

On Line 3a. Mandatory, enter the number of mandatory registrants.

On Line 3b. Voluntary, enter the number of voluntary registrants.



**26-228.20 ITEM INSTRUCTIONS (Continued)****26-228.20****Line 4 Age**

Enter the number of registrants by age, according to the following ranges:

Line 4a: under 20

Line 4b: 20-24

Line 4c: 25-29

Line 4d: 30-34

Line 4e: 35-39

Line 4f: 40-44

Line 4g: 45-49

Line 4h: 50-54

Line 4i: 55 or older

**Line 5 Sex**

On Line 5a, enter the number of male registrants.

On Line 5b, enter the number of female registrants.

**Line 6 Ethnic Group**

Enter the number of registrants by ethnicity, according to the following categories:

Line 6a: White, non-Hispanic

Line 6b: Hispanic

Line 6c: Black, non-Hispanic

Line 6d: American Indian/Alaskan Native

Line 6e: Indochinese

Line 6f: Other Asian

Line 6g: Pacific Islander

Line 6h: Filipino

**Line 7 Highest Grade Completed**

Enter the number of registrants by the highest grade completed, according to the following categories:

Line 7a: Less than high school

Line 7b: High school or Equivalent

Line 7c: College/Post-secondary (partial or complete)

Line 7d: Advanced degree program (partial or complete)

<b>26-228.20</b>	<b>ITEM INSTRUCTIONS (Continued)</b>	<b>26-228.20</b>
------------------	--------------------------------------	------------------

Line 8 Ever on Own AFDC

Enter the number of registrants on their own AFDC case as follows:

- Line 8a: No
- Line 8b: Yes, two years or less
- Line 8c: Yes, over two years

Line 9 Employed Past 24 Months

Enter the number of registrants who have been employed during the 24 months preceding registration as follows:

- Line 9a: Yes, less than one month
- Line 9b: Yes, one month or more
- Line 9c: No

Line 10 Current Employment

Enter the number of registrants by employment status at the time of Appraisal as follows:

- Line 10a: Under 15 hours per week
- Line 10b: 15-29 hours per week
- Line 10c: 30 or more hours per week
- Line 10d: Unemployed
- Line 10e: Not in labor force

To distinguish between Line 10d and Line 10e, a registrant is designated unemployed if he/she is seeking employment but is currently without any formal work, whether part-time or full-time.

A registrant is not in the labor force if he/she is not currently employed and is not seeking employment.

Line 11 GR/RCA Recipients

If your county provides GAIN services to General Relief (GR) or Refugee Cash Assistance (RCA) recipients, on Line 11a, enter the number of GR recipients served during the quarter; on Line 11b, enter the number of RCA recipients served during the quarter. These numbers are parenthetical and are not included in the total number of AFDC registrants (Line 1). If your county does not provide GAIN services to GR or RCA recipients, enter N/A.

**26-228.90 FORM GAIN 31****26-228.90**

Fill in the information called for at the top and bottom of the form (reporting county, report quarter, contact person's name and telephone number and date report is submitted). IF there is nothing to report for an item, enter "O". Do not leave any item blank. If any comment or explanation of the entry for any item is indicated, please write on the back of the report form, or attach a note to the report.

FORM GAIN 31

FORM GAIN 31

STATE OF CALIFORNIA HEALTH AND HUMAN SERVICES DEPARTMENT OF SOCIAL SERVICES

SEND ONE COPY TO: Department of Social Services  
Statistical Services Section  
744 P Street, Mail Station 12-81  
Sacramento, CA 95814

**GAIN QUARTERLY CHARACTERISTICS REPORT**

COUNTY: \_\_\_\_\_ QUARTER ENDING: \_\_\_\_\_

	AFDC-FS	AFDC-U
1. Total Registrants This Quarter (Include new registrants and reregistrants)	53	54
2. Applicants/Recipients:		
a. Applicants	55	56
b. Recipients	57	58
3. Mandatory/Voluntary:		
a. Mandatory	59	10
b. Voluntary	11	17
4. Age:		
a. Under 20	13	14
b. 20-24	15	16
c. 25-29	17	18
d. 30-34	19	20
e. 35-39	21	22
f. 40-44	23	24
g. 45-49	25	26
h. 50-54	27	28
i. 55 or older	29	30
5. Sex:		
a. Male	31	32
b. Female	33	34
6. Ethnic Group:		
a. White, Non-Hispanic	35	36
b. Hispanic	37	38
c. Black, Non-Hispanic	39	40
d. American Indian/Alaskan Native	41	42
e. Indonesian	43	44
f. Other Asian	45	46
g. Pacific Islander	47	48
h. Filipino	49	50
7. Highest Grade Completed:		
a. Less than high school	51	52
b. High school or equivalent	53	54
c. College/Post-secondary	55	56
d. Advanced degree program	57	58
8. Ever on Own AFDC:		
a. No	59	60
b. Yes, two years or less	61	62
c. Yes, over two years	63	64
9. Employed Past 24 Months:		
a. Yes, less than one month	65	66
b. Yes, one month or more	67	68
c. No	69	70
10. Current Employment:		
a. Under 15 hours per week	71	72
b. 15-29 hours per week	73	74
c. 30 or more hours per week	75	76
d. Unemployed	77	78
e. Not in labor force	79	80
11. GR/RCA Recipients:		
a. GR	81	82
b. RCA	83	84

WHICH TO CONTACT REGARDING THIS REPORT: \_\_\_\_\_

WORKSHEET NUMBER: \_\_\_\_\_

GAIN 31 17 88

**26-229 WORK INCENTIVE DEMONSTRATION (WIN-DEMO) PROGRAM - 26-229**  
**GAIN COUNTIES QUARTERLY STATISTICAL REPORT (FORM CA 811A)**

**26-229.01 CONTENT AND PURPOSE 26-229.01**

The WIN-DEMO Quarterly Statistical Report documents the activity of WIN-DEMO (and all GAIN) registrants during the report quarter. This report is a less detailed and less frequent version of the former WIN-DEMO Program Monthly Statistical Report (CA 811). The information provided in this report is used to complete the required Federal Quarterly Work Incentive Demonstration Program Report, Form SSA-4769 (9/82).

**26-229.02 DISTRIBUTION 26-229.02**

Information in this report is sent quarterly to the Department of Health and Human Services. This information is also summarized for the use of departmental program managers who supervise the program.

**26-229.03 DUE DATE AND SUBMITTAL INSTRUCTIONS 26-229.03**

Reports are to be submitted so as to be received in Sacramento by the tenth of the month following the end of the report quarter.

Please mail reports to:

State Department of Social Services  
Statistical Services  
744 P Street, Mail Station 19-81  
Sacramento, CA 95814

**26-229.04 MANDATED FOR ALL GAIN COUNTIES 26-229.04**

Since the GAIN program incorporates the existing WIN-DEMO program and uses WIN-DEMO funding, GAIN counties must meet federal WIN-DEMO reporting requirements. Therefore, all GAIN counties, including those not formerly designated WIN-DEMO, must submit the CA 811A.

All GAIN counties are required to submit both the quarterly CA 811A and the monthly GAIN 25 (GAIN Monthly Activity Report).

**26-229.04 MANDATED FOR ALL GAIN COUNTIES (Continued) 26-229.04**

When a current non-WIN-DEMO county implements GAIN, it will be required to submit both the quarterly CA 811A and the monthly GAIN 25.

Current WIN-DEMO counties which have not yet implemented GAIN must continue to submit the quarterly CA 811A. When current WIN-DEMO counties begin GAIN, they must report all WIN-DEMO registrants and all GAIN registrants on the Form CA 811A until GAIN is fully implemented. Then only GAIN registrants will be reported on the Form CA 811A.

Counties that implement GAIN in the second or third month of the quarter must submit the CA 811A for the remainder of the report quarter.

**26-229.10 GENERAL INSTRUCTIONS 26-229.10**

**26-229.11 TYPES OF COUNTS CALLED FOR ON THE REPORT 26-229.11**

The statistical report calls for several different types of counts:

1. The number of registrants on a given day; i.e., the end of the report period.
2. Unduplicated counts of persons (either new registrants, applicants, or recipients) during the given report period, unduplicated from the beginning of the Federal Fiscal Year (FFY);
3. Unduplicated accumulated counts of persons from the beginning of the report year; that is, an unduplicated count of the combined first and second report quarters, at the end of the second quarter; an unduplicated count of persons during the first, second and third report quarter, at the end of the third report quarter, etc.
4. The dollar amount of grant savings for registrants whose earnings or sanctions resulted in reduction or discontinuance of the AFDC grant.

**26-229.12 UNDUPLICATED COUNT REQUIREMENTS****26-229.12**

Reporting counties must establish records and procedures to provide unduplicated counts of persons for each report quarter. (The count is unduplicated when a person is not counted more than once in the same category in the FFY.) Reports for the complete FFY must be unduplicated for the full fiscal year.

Some of the counts of persons for each quarter must be unduplicated for the quarter and each succeeding quarterly report for the full fiscal year. That is to say, each person must be reported only once in each applicable report item during the particular report period as well as during the current FFY. In such cases, the person, not the occurrence, is the unit of count.

Separate counts are kept of applicants and recipients. Each of these counts must be unduplicated, but if a person enters employment during the same FFY once as an applicant and again as a recipient, report such cases under each group. This is not regarded as a duplication of count. However, each of these counts (applicant and recipient) must be unduplicated; that is, the same person is counted only once in each category.

Separate counts are kept of subsidized and unsubsidized employment. Each of these counts must be unduplicated, but if a person enters subsidized employment and later enters unsubsidized employment, report this person under subsidized employment and also under unsubsidized employment. This is not regarded as a duplication of count.

**26-229.13 DEFINITIONS****26-229.13**

The following definitions of terms used on the statistical reporting form may be helpful:

**AFDC Grant Discontinuance (off AFDC)** - The person to whom the grant discontinuance applies. Also, the dollar amount of a grant discontinuance for a registrant who is removed from the grant as a result of employment or sanction through WIN-DEMO activity.

**AFDC Grant Reduction (still on AFDC)** - The dollar amount of a grant decrease for a registrant due to employment with WIN-DEMO activity that does not result in a discontinuance of the AFDC grant. (After employment and a resulting grant reduction, it is possible for a registrant to have changed earnings. Any earnings changes will be reflected as an increase or decrease to the grant reduction.) It also applies to the person who is being counted for the initial month of the grant reduction. See case examples below.

<b>26-229.13 DEFINITIONS (Continued)</b>	<b>26-229.13</b>
--	------------------

Applicant, AFDC - A person who has signed an application for AFDC benefits, Form CA-1, and submitted it to the County Welfare Department (CWD) in the participating WIN-DEMO County.

Federal Fiscal Year (FFY) - The 12-month period from October 1 through the following September 30.

Employment Retention - The number of registrants still employed 30 days or more after entering employment, where the registrants are found to be employed in the same or an equivalent unsubsidized job.

Recipient, AFDC - An individual who has been determined to be eligible to receive AFDC.

Registrant - An AFDC applicant or recipient who has registered with the WIN-DEMO Program.

Report Period - One quarter. The period of time during which the reported sections are counted.

Report Year - October 1 through the following September 30 (same as FFY).

Subsidized employment, WIN-DEMO - This includes WIN Career Opportunity Development (WIN-COD), On the-Job Training (OJT), Supported Work and Grant Diversion jobs that include payment of WIN-DEMO funds, Title IV-A funds, or Job Training Partnership Act (JTPA) funds to employers.

Thirty-Day Follow-Up - A contact made with the registrant 30 days or more after the registrant has entered unsubsidized employment.

Unsubsidized Employment - Employment not financed from funds provided under WIN-DEMO, JTPA or Title IV-A agencies.



**26-229.20 ITEM INSTRUCTIONS** **26-229.20**

**26-229.21 REGISTRATIONS** **26-229.21**

Line 1 Number of Registrants on Hand, End of Quarter

Report the number of WIN-DEMO registrants at the end of the report quarter, on either the last working day of the report quarter, or the day on which the Program closes its reports for the report quarter. This item consists of all persons who were WIN-DEMO registrants on the date of the count, regardless of whether they had been registered more than once during a previous FFY, or began the current period of WIN-DEMO registration during a previous FFY.

Line 2 Number of Persons who Became New Registrants During the Quarter (unduplicated from the beginning of the FFY)

Report the number of persons who registered in the Program during the quarter for the first time during the current FFY. Exclude from the first quarter's report any registrants carried forward from the previous FFY. Report only once those registrants who registered more than once during the current FFY.

Line 3 Accumulated Number of New Registrants from the Beginning of the FFY

Enter the number of persons registered in the Program for the first time since the beginning of the current FFY. Exclude registrants carried forward from the previous FFY and report only once those registrants who registered more than once during the current FFY.

**26-229.22 UNSUBSIDIZED EMPLOYMENT EXPECTED TO LAST 30 DAYS OR MORE** **26-229.22**

Line 4 Number of Recipients this Quarter

Report the number of recipients (persons, not transactions), who, during the report quarter entered unsubsidized employment expected to last 30 days or longer for the first time during the current FFY. Exclude any recipient who entered employment during a previous report quarter during the current FFY.

**26-229.22 UNSUBSIDIZED EMPLOYMENT EXPECTED TO LAST 30 DAYS OR MORE (Continued)** **26-229.22**

Separate counts are to be kept of applicants and recipients. Each of these counts must be unduplicated, but if a person enters employment during the same FFY once as an applicant and once again as a recipient, report such cases under each group. This is not regarded as a duplication of count.

Line 5 Accumulated Number of Recipients from the Beginning of the FFY

Enter the sum of the entries for Line 4 for the current report quarter plus the previous report quarters for the current FFY.

This count must be unduplicated for the FFY.

Line 6 Number of Applicants this quarter

Report the number of applicants (persons, not transactions) who, during the current report quarter, entered employment expected to last 30 days or longer for the first time during the current FFY. (Exclude any applicant who was reported as entering employment during a previous report quarter during the current FFY.)

Line 7 Accumulated Number of Applicants from the Beginning of the FFY

Enter the sum of the entries for Line 6 for the current report quarter plus the counts for previous report quarters during the current FFY.

This count must be unduplicated for the FFY.

**26-229.23 SUBSIDIZED EMPLOYMENT** **26-229.23**

Line 8 Number of Recipients this quarter

Report the number of recipients (persons, not transactions) who, during the report month, entered a subsidized job for the first time during the current FFY. Report grant discontinuances or reductions for these recipients, in Line 13 or Line 15, as appropriate.

This count must be unduplicated for the FFY.

**26-229.23 SUBSIDIZED EMPLOYMENT (Continued) 26-229.23**

Line 9 Number of Applicants this Quarter

Report the number of applicants (persons, not transactions), who, during the report quarter, entered a subsidized job for the first time during the current FFY.

Under this item, if a person entered subsidized employment once as an applicant and once again as a recipient, report this person once on Line 8 and once on Line 9. These are regarded as separate counts and do not constitute a duplicate count. Do not report grant discontinuances or reductions for applicants (Line 9) on Line 13 or Line 15.

**26-229.24 EMPLOYMENT RETENTION THIS QUARTER 26-229.24**

Line 10 Number of Contacted Recipients Actually Employed

Report the number of recipients who, when contacted during the quarter after 30 or more days of employment, were found still to be in the same or equivalent unsubsidized employment.

This count must be unduplicated for the FFY.

Line 11 Number of Contacted Applicants Actually Employed

Report the number of applicants who, when contacted during the month after 30 or more days of employment, were found still to be in the same or equivalent unsubsidized employment.

This count must be unduplicated for the FFY.

**26-229.25 EMPLOYMENT-RELATED AFDC GRANT DISCONTINUANCE AND REDUCTIONS 26-229.25**

Grant Discontinuances:

Line 12 Number of AFDC Grant Discontinuances this Quarter

Report the number of persons for whom earnings from employment or sanctions resulted in discontinuance of the AFDC grant during the quarter.

**26-229.25 EMPLOYMENT-RELATED AFDC GRANT DISCONTINUANCE AND REDUCTIONS (Continued)** **26-229.25**

This count will include Unemployed Parent cases (AFDC-U), but will exclude cases closed because of either the 185 percent of need standard limitations, or the expiration of the time limit on the earned income disregards, since this would distort comparison with historical data from the State's WIN Program. (See case examples below.)

Line 13 One-Month Amount of Grant Discontinuances this Quarter

Report the dollar value of the one-month amount of the discontinued AFDC grants reported on Line 12. Line 12 calls for a count of persons while Line 13 calls for the corresponding one-month amount of dollar savings associated with those persons.

Grant Reductions:

Line 14 Number of Grant Reductions this Quarter

Report the number of persons who had earnings from employment or sanctions which resulted in a reduction of the AFDC grant during the quarter.

Line 15 One-Month Amount of Grant Reductions this Quarter

Report the dollar value of the one-month amount of the AFDC grant reductions reported under Line 14.

**26-229.30 COMPUTATION OF WIN GRANT REDUCTIONS FOR STATISTICAL REPORTING PURPOSES** **26-229.30**

The federal reporting requirement calls for reporting the "One-Month Amount" of WIN-DEMO savings while asking for the quarterly number of registrants. Counties may need to maintain monthly figures from grant discontinuances/grant reductions in order to keep track of the monthly figure required on the report. For both Lines 13 and 15, report the grant savings (reductions resulting from WIN-DEMO activity for the last month of each quarter).

Net Nonexempt Earned Income (NNE)

The computation of the NNE for AFDC is described in Section 44-113.21 (Standards of Assistance - Income) of the SDSS Manual of Policies and Procedures.

The amount of the NNE represents the amount of AFDC funds saved as a result of the WIN-DEMO activity, and thus constitutes the "WIN Savings".

**26-229.30 COMPUTATION OF WIN GRANT REDUCTIONS FOR STATISTICAL REPORTING PURPOSES (Continued) 26-229.30**

## Initial Amount of NNE

The first amount of earnings (NNE) due to WIN-DEMO employment activity used in the AFDC budget computation (first month the grant is reduced for this reason).

## Subsequent Increases in the Amount of NNE

Report all increases in NNE which are larger than the previously reported amount of NNE.

## Subsequent Decreases in the Amount of NNE

Report all decreases in NNE which are smaller than the previously reported amount of NNE. Adjust the total amount of NNE reported on the statistical report by incorporating into the total any such negative amounts of NNE. That is, negative amounts are to be subtracted from the total amount of NNE reported on the statistical report.

1. Lines 12 and 13 - Report the quarterly number of WIN-DEMO registrants whose AFDC grants were discontinued as a result of WIN-DEMO activities, and the one-month amount of AFDC grant savings resulting from these grant discontinuances.
  - A. Line 12 (Registrants) - Enter the quarterly number of AFDC recipients registered under WIN-DEMO where the AFDC grant was discontinued because of entry into Employment, WIN-COD/OJT, Suspense (this includes those WIN-DEMO registrants transferred to a higher paying component), or Sanction due to refusal to participate in WIN-DEMO.
  - B. Line 13 (Discontinuances) - Enter the total one-month amount of savings for those WIN-DEMO registrants reported on the preceding Line because of entry into Employment, WIN-COD/OJT, Suspense (this includes those WIN-DEMO registrants transferred to a higher paying component), or Sanction due to refusal to participate in WIN-DEMO.
2. Lines 14 and 15 - Report the quarterly number of WIN-DEMO registrants whose AFDC grants were reduced as a result of WIN-DEMO activities (but whose AFDC grants were not discontinued) and the one-month amount of AFDC grant savings resulting from these grant reductions.
  - A. Line 14 (Registrants) - Enter the quarterly number of AFDC recipients registered under WIN-DEMO whose AFDC grants were recomputed because of entry into Employment, WIN-COD/OJT, Suspense (this includes those WIN-DEMO registrants transferred to a higher paying component) but whose AFDC grants were not discontinued for any of these reasons.

**26-229.30 COMPUTATION OF WIN GRANT REDUCTIONS FOR STATISTICAL REPORTING PURPOSES (Continued) 26-229.30**

- B. Line 15 (Reductions) - Enter the one-month amount of NNE. Report both initial NNE and subsequent increases or decreases. Registrants with initial WIN-DEMO savings from NNE who continue to receive AFDC aid payments may have additional reportable WIN-DEMO savings. Report additional/subsequent savings (see case examples below).

If a WIN-DEMO registrant has more than one period of NNE during the report year, report the initial amount for the first period of earnings as it occurs and report subsequent earnings only in the same report group during the same report year, except in the case of dual employment during the same report year (see example 2D below).

If a WIN-DEMO registrant (and the amount of his NNE) is reported during one report year, and he continues with the same amount of NNE into a subsequent report year, do not report either the registrant or the NNE during the subsequent year. If this registrant, however, receives an increase or decrease in his NNE during the subsequent report year, report the amount by which the new NNE differs from the NNE last reported for the case, but do not report the registrant again.

Do not report any AFDC grant reductions resulting from non-WIN-DEMO factors, such as the receipt of, or increase in, other sources of income, a change in the FBU composition, or an overpayment adjustment.

**26-229.40 CASE EXAMPLES FOR REPORTING DIFFERENT TYPES OF SAVINGS 26-229.40**

Note: If there is NNE in succeeding months, report only the amount in excess of the previously reported amount. When the NNE exceeds the Maximum Aid Payable (MAP), report the difference between previously reported NNE and MAP.

1. Initial Grant Reduction (AFDC Discontinuance)

Registrant obtains employment resulting in an NNE of \$800 a month. The MAP of \$380 a month is discontinued.

Report: 1 registrant \$380.

2. Initial Grant Reduction, Subsequent Saving and Discontinuance

- A. Registrant's MAP is \$435 and he enters employment. The amount of NNE is \$210.

Report: 1 registrant, \$210.

**26-229.40 CASE EXAMPLES FOR REPORTING DIFFERENT TYPES OF SAVINGS 26-229.40**  
(Continued)

- B. Same registrant later receives a pay raise which increases NNE to \$305, an increase of \$95 over the \$210.

Report: No registrant, \$95.

- C. Same registrant later receives a pay raise which increases NNE to \$385, an increase of \$80 over the amount previously reported.

Report: No registrant, \$80.

- D. In the following month, the same registrant obtains new employment and the additional NNE exceeds the amount of the MAP, thus AFDC is discontinued. Report the difference between the amount of NNE previously reported and MAP.

Report: No registrant, \$50.

- E. Same registrant is deregistered due to employment, but he later returns to AFDC (MAP of \$435) and becomes employed a second time, which leads to a second discontinuance of the grant. The amount of NNE does not exceed the amount previously reported.

Report: 1 registrant, No NNE.

3. Decrease in NNE

- A. MAP is \$435 and registrant enters employment. NNE is \$350.

Report: 1 registrant, \$350.

- B. Same registrant works fewer hours in a subsequent month and the NNE decreases to \$300.

Report: No registrant, -\$50.

4. End of Report Year - Subsequent WIN Savings.

- A. Registrant obtains part-time employment and \$140 NNE is reported in May.

Report: 1 registrant, \$140.

**26-229.40 CASE EXAMPLES FOR REPORTING DIFFERENT TYPES OF SAVINGS 26-229.40**  
(Continued)

- B. Same registrant has a subsequent increase in total NNE to \$180, an increase of \$40 in August.

Report: No registrant, \$40.

- C. Same registrant has additional earnings due to a subsequent pay raise in the next report year, which increases NNE to \$320, an increase of \$140.

Report: 1 registrant, \$140.

5. Examples of Exceptional Cases

- A. First Month: Registrant enters employment, has NNE of \$500 (Assuming a MAP of \$600).

Report: 1 registrant, \$500.

- B. Second Month: Registrant loses job and has \$0 (zero) NNE.

No report is required for this registrant in this month.

- C. Third Month: Registrant obtains a new job and has NNE of \$500.

Report: 1 registrant, no NNE.

6. Other Examples

- A. Registrant becomes employed. The registrant's earnings raise his family's total income above 185 percent of the Minimum Basic Standard of Adequate Care (MBSAC), making the family ineligible for AFDC. However, their NNE remained below the MBSAC.

Report: No registrant, no NNE.

- B. Registrant entered employment several months ago and the CWD reported the earnings as a grant reduction. The time limit on the earned income disregard expired increasing the NNE beyond the MBSAC and making the registrant's family ineligible for AFDC.

Report: No registrant, no NNE.





FORM CA 811A

STATE OF CALIFORNIA - HEALTH AND WELFARE AGENCY DEPARTMENT OF SOCIAL SERVICES

**WORK INCENTIVE (WIN)  
DEMONSTRATION PROGRAM —  
GAIN COUNTIES ONLY**

**QUARTERLY STATISTICAL REPORT**

*SEND ONE COPY TO:*  
Department of Social Services  
Statistical Services Branch  
744 P Street, Mail Station 12-81  
Sacramento, California 95814

COUNTRY	1	MONTH ENDING	2
---------	---	--------------	---

ITEM	TOTAL
<b>REGISTRATIONS</b>	
1. Number of Registrants on Hand, End of Quarter .....	3
2. Number of Persons Who Became New Registrants During the Quarter (unduplicated count from the beginning of the federal fiscal year) .....	4
3. Accumulated Number of New Registrants from the Beginning of the Federal Fiscal Year .....	5
<b>UNSUBSIDIZED EMPLOYMENT EXPECTED TO LAST 30 DAYS OR MORE</b>	
4. Number of Recipients this Quarter .....	6
5. Accumulated Number of Recipients from the Beginning of the Federal Fiscal Year .....	7
6. Number of Applicants this Quarter .....	8
7. Accumulated Number of Applicants from the Beginning of the Federal Fiscal Year .....	9
<b>SUBSIDIZED EMPLOYMENT</b>	
8. Number of Recipients this Quarter .....	10
9. Number of Applicants this Quarter .....	11
<b>EMPLOYMENT RETENTION THIS QUARTER</b>	
10. Number of Contacted Recipients Actually Employed .....	12
11. Number of Contacted Applicants Actually Employed .....	13
<b>EMPLOYMENT-RELATED AFDC GRANT DISCONTINUANCES AND REDUCTIONS</b>	
12. Number of AFDC Grant Discontinuances this Quarter .....	14
13. One-Month Amount of Grant Discontinuances this Quarter .....	15
14. Number of Grant Reductions this Quarter .....	16
15. One-Month Amount of Grant Reductions this Quarter .....	17

PERSON TO CONTACT REGARDING THIS REPORT	TELEPHONE ( )	DATE
---	------------------	------

CA 811A (7/86)

**FORM CA 811A**

To receive a hard copy of this form, contact the Office of Regulations Development by telephone at (916) 657-2586, or by mail at California Department of Social Services, Office of Regulations Development, 744 "P" Street, Mail Station 7-192, Sacramento, CA 95814-6413, or by electronic mail at [ord@dss.ca.gov](mailto:ord@dss.ca.gov).

<b>26-230</b>	<b>FRAUD INVESTIGATION ACTIVITY REPORT (FORM DPA 266)</b>	<b>26-230</b>
---------------	---	---------------

<b>26-230.01</b>	<b>CONTENT</b>	<b>26-230.01</b>
------------------	----------------	------------------

The Fraud Investigation Activity Report (DPA 266) provides monthly data on cases where reasonable grounds to suspect fraud has resulted in a referral for investigation to the Special Investigation Unit (SIU) or the person designated to coordinate such referrals with the District Attorney (DA) or prosecuting authority, as well as cases independently acted upon by Investigating Units. Form DPA 266 covers case investigations in Aid to Families with Dependent Children (AFDC), combined Family Group (FG), Unemployed (U), and Foster Care (FC) programs; Public Assistance (PA) and Nonassistance (NA) Food Stamps, and Other Aid Programs. The form provides basic data on requests for investigation; disposition of cases by County Welfare Departments (CWDs) and County DAs; dollar amounts of restitutions arranged, ordered and collected; dollar amounts of fines and forfeitures imposed; criminal complaints filed by prosecutors, and cases referred for Administrative Disqualification Hearings (ADH) and their dispositions.

<b>26-230.02</b>	<b>PURPOSE</b>	<b>26-230.02</b>
------------------	----------------	------------------

National and state emphasis on investigation and prosecution of persons who attempt to receive and who receive public assistance fraudulently require substantial attention by CWDs and County DAs. The Fraud Investigation Activity Report will show the amount of activity in each administrative unit and will be used to (a) evaluate the effectiveness of the recipient fraud policies; (b) evaluate the effectiveness of local agencies in applying the policies; and (c) to plan with local agencies on any needed changes, and (d) complete the required federal fraud activity reports.

<b>26-230.03</b>	<b>DISTRIBUTION</b>	<b>26-230.03</b>
------------------	---------------------	------------------

Information collected on the Fraud Investigation Activity Report is used to prepare the federally required annual Aid to Families with Dependent Children Program Fraud Activity Report (SSA 4110) and annual USDA Program and Budget Summary Statement (FNS 366B). In addition, this data is used in the California Department of Social Services (CDSS) Fraud Investigation Report (Series PA-4), published quarterly and other special reports for the Administration and the Legislature.

**26-230.04 DUE DATE****26-230.04**

The CWD is responsible for ensuring that this report is fully completed. In counties where portions of this report are completed by other agencies, this report shall be reviewed and validated prior to transmittal to the CDSS Information Services Bureau. Reports are to be received in Sacramento on or before the twelfth working day of the month following the end of the report month. Send reports to:

California Department of Social Services  
Information Services Bureau  
744 P Street, Mail Station 12-81  
Sacramento, CA 95814-5512

**26-230.10 FORM (DPA 266)****26-230.10**

Complete county name, number, and month requested at the top of the pages of the Report Form. If an item is nonapplicable to your county, enter "NA" in the appropriate item box. No item should be left blank. If there is nothing to report for a specific item, please enter a "0".

Provide the name, title, and phone number of the person to contact should there be any questions about the data on the report. Enter the date the report is completed.

**26-230.11 INSTRUCTIONS FOR COLUMNS****26-230.11**

Each case of suspected fraud shall be reported in one of the following columns.

NOTE: The case shall be tracked from its original column coding in Part A, Sections I and II, regardless of any primary aid group change resulting from the investigation. However, column shifts are allowed in Section III.

**Column No. 1, AFDC.** Report activity for all Aid to Families with Dependent Children cases (FG, U, and FC). In those instances where the suspected fraud affects both an AFDC cash grant and a Food Stamp case, the activity shall be reported as one case in **each** category.

**Column No. 2, PA Food Stamps.** Report activity on Food Stamp cases where the suspected fraud affects PA Food Stamps. If the suspected fraud affects a case in another program, the activity shall be reported as one case in each category.

**26-230.11 INSTRUCTIONS FOR COLUMNS**  
(Continued)**26-230.11**

**Column No. 3, NA Food Stamps.** Report activity on Food Stamp cases where the suspected fraud affects Food Stamps. If the suspected fraud affects a case in another program, the activity shall be reported as one case in each category.

**Column No. 4, Total.** Total number of each line item shall equal the sum of columns 1, 2, and 3 for PARTS A through E or explain in Part F. COMMENTS.

**Column No. 5, All Other Programs.** Report activity on investigations into any other aid programs including, but not limited to: General Relief, SSI/SSP, Special Circumstances, Interim Assistance, In-Home Supportive Services and Guide Dog Allowance. In those instances where the suspected fraud affects both General Relief and Food Stamps, report one case in each category. All entries in this column must be identified by program in Part F. COMMENTS.

**26-230.20 PART A. INVESTIGATION ACTIVITY****26-230.20**

This part of the report provides information on requests for investigation. An allegation of fraud is a request for investigation until an authorized official, or the equivalent, accepts the request with the intent of assigning it for investigative activity.

**26-230.21 SECTION I: INVESTIGATION REQUESTS****26-230.21**

This section provides information on the volume of requests for investigation received, rejected, or accepted.

- Line 1. **Total Requests Received During Month** - Enter the total number of requests for investigation received during the report month for each aid program. For example, an investigation into a case with AFDC and PAFS will be counted as one case in Column 1 and Column 2.
- Line 2. **Number of Requests Rejected During Month** - Enter the total number of requests for investigation that were rejected during the report month. "Rejected" means that request was received, reviewed, and will not be assigned for investigation.
- Line 3. **Number of Requests Accepted During the Month** - Enter the total number of requests for investigation that were accepted during the report month. "Accepted" means those requests that are retained in the SIU or its equivalent with the intent of assignment for investigative activity.

26-230.21 SECTION I: INVESTIGATION REQUESTS  
(Continued)

26-230.21

Sub-items "a" through "n" break the total down by primary element of fraud. Multiple element requests shall be counted only once and should be coded by the element potentially causing the largest overpayment. Eligibility elements receive priority over grant level elements.

- a. **Early Fraud Prevention/Detection (EFP/D)** - Enter the total number of requests to the Early Fraud Prevention/Detection program. Include those from eligibility worker-staffed EFP/D programs.
- b. **Income and Eligibility Verification System (IEVS)** - Enter total number of requests to the SIU emanating from an IEVS 155 or equivalent document. Include those from other automated matches, such as FTB and IRS.
- c. **Other Unreported Income** - Enter the total number of unreported income requests not initiated by IEVS.
- d. **Homeless Assistance** - Enter the total number of requests based on false claims of homelessness.
- e. **Unreported Resources/Assets** - Enter the total number of non-IEVS requests concerning concealed or misreported assets/resources, such as real/personal property, bank accounts, cash, stocks, bonds, vehicles, etc.
- f. **Family (Household) Composition** - Enter the total number of requests based on allegations that AU (or household) members are not in the home or are in the home but not eligible for inclusion in the grant. For example, an AFDC child is not in the home or not a full-time student or the household is receiving food stamps for three persons when the Food Stamp household consists of two persons.

**NOTE:** Requests alleging the absent father is in the home should also be reported under this category.

- g. **Duplicate/Replaced Warrants/Lost Food Stamps** - Enter the total number of requests based on duplicate/replaced warrants and/or lost Food Stamp coupons or Electronic Benefit Transfer (EBT) material.
- h. **Duplicate (Multiple) Aid** - Enter the total number of requests for an investigation alleging an individual, or groups of individuals, are receiving aid under two or more case numbers, in one or more districts, counties and/or states.
- i. **Forgery** - Enter the total number of forgery investigation requests.
- j. **Residence** - Enter the total number of requests based on false residency.

**26-230.21 SECTION I: INVESTIGATION REQUESTS**  
(Continued)**26-230.21**

- k. **Fictitious Identity** - Enter the total number of requests based on fictitious identity.
- l. **Food Stamp Trafficking** - Enter the total number of requests alleging the illegal sale, purchase or bartering of ATPs/Food Stamp coupons or EBTs.
- m. **Internal Affairs** - Enter the total number of internal affairs investigation requests. If you are able to link the investigation to a specific program, report it in the applicable program. If not, report it in "All Other Programs".
- n. **Other** - Enter the total number of other requests. Explain the allegations in Part F. COMMENTS. Cases alleging that the deprivation of incapacity does not exist should be reported here.

**26-230.22 SECTION II: INVESTIGATION CASELOAD****26-230.22**

This section provides information on the volume of investigations available and completed. The language in Line 6 below corresponds to that of the SSA 4110 (Aid to Families with Dependent Children Fraud Activity Report) which is the required annual federal AFDC Fraud Activity Report and provides required data for the FNS 366B, the required Food Stamp fraud counterpart.

Line 4. **Investigations Pending Beginning of Month** - Enter the total number of accepted investigations pending from last month. This item should agree with PART A, Section II, Line 7 of the prior month's report. If not, enter the correct data in PART A, Section II, Line 4 of the current report and provide the reason for the discrepancy in Part F. COMMENTS.

**NOTE:** For reporting on the initial report only, this figure would be taken from Part A, Section II, Line 10 of the prior month's report.

Line 5. **Total Investigations Available During Month** - Enter the sum of Item 3 plus Item 4.

Line 6. **Total Investigations Completed During Month** - Enter the total number of investigations completed during the report month.

- a. **Evidence Sufficient to Support an Allegation of Fraud** - Enter the number of cases for which there is sufficient evidence to support an allegation of fraud. This is the sum of Line 1 and Line 2 below. Since multiple dispositions will not be reported in this section, the numbers will not be the same as in Part A, Section III, Investigation Results. For example, one or more entries in Section III, Lines 8-16 will result in one case count on this line.



**26-230.22 SECTION II: INVESTIGATION CASELOAD (Continued) 26-230.22**

- 1. **Cases Referred for Prosecution** - Enter the number of cases referred to the agency empowered to prosecute. Report Disqualification Consent Agreements (DCA) here. This should agree with the amounts in Section III, Line 11.
  - 2. **Cases Not Referred for Prosecution** - Enter the number of cases **not** referred to the agency empowered to prosecute. A **case** should be reported here if it was reported as a disposition in **Part A, Section III, Lines 8-10 and 12-16.**
- b. **Evidence Not Sufficient to Support an Allegation of Fraud** - Enter the total number of cases for which a decision was made that the evidence was insufficient to support a question of fraud. This should agree with the total of Lines 17, 18, and 19 in Part A, Section III.
- Line 7. **Total Investigations Pending at End of Month** - Enter the total number of investigation pending at the end of the report month.

**26-230.23 SECTION III: INVESTIGATION RESULTS 26-230.23**

Report the results of all SIU investigations closed during the report month. This section tracks the results of cases in Section II; however, the numbers will not be the same since a case may result in multiple outcomes. Example: A case resulting in a restitution action, and in which benefits are reduced, would be reported in Line 13 and Line 9 or Line 14.

- Line 8. **Denials (Early Fraud)** - Enter the total number of completed Early Fraud investigations resulting in a denial of the application. In these cases, no benefits have been issued.
- Line 9. **Benefits Reduced (Early Fraud)** - Enter the total number of completed Early Fraud investigations resulting in a reduction of benefits. Example: The investigation determined that the AU (Household) was two persons, not three, because a child was not living in the home.
- Line 10. **Discontinuances (Early Fraud)** - Enter the total number of completed Early Fraud investigations resulting in a discontinuance of benefits. These occur, particularly in the Homeless Assistance, Emergency Aid, and Expedited Food Stamps Programs, where an entitlement is issued prior to completion of the Early Fraud investigation.
- Line 11. **Referred for Prosecution** - Enter the total number of cases referred to the DA for final disposition through his/her authority. This number is normally the same as Line 6.a.1. in Section II. If it does not agree, explain in Part F. COMMENTS.

<b>26-230.23</b>	<b>SECTION III: INVESTIGATION RESULTS</b>	<b>26-230.23</b>
------------------	---	------------------

(Continued)

Line 12. **Referred to Administrative Disqualification Hearing (ADH)** - Enter the total number of cases referred for ADH.

Line 13. **Restitution Action** - Enter the total number of cases in which a restitution action is taken, i.e., agreement to repay.

Line 14. **Benefits Reduced** - Enter the total number of non-Early Fraud cases resulting in a reduction of benefits.

Line 15. **Benefits Discontinued** - Enter the total number of non-Early Fraud cases resulting in benefits being discontinued.

Line 16. **Fraud Found, No Adverse Financial Impact** - Enter the total number of cases in which the investigation found that information had been withheld or facts misrepresented, but the withheld or misrepresented information resulted in no adverse financial impact. Example: The investigation found unreported assets; however, these assets did not result in the AU (Household) having their benefits reduced or being ineligible.

Line 17. **Allegation Unfounded** - Enter the total number of cases where the investigation found there was no fraud.

Line 18. **Insufficient Evidence** - Enter the total number of cases where the investigation failed to determine whether a violation occurred.

Line 19. **Expiration of Statutes** - Enter the total number of cases where the investigation is terminated as a result of the expiration of the statute of limitation.

Line 20. **Other** - Enter the total number of investigations disposed of for reasons other than listed in items "8" through "19". Internal Affairs dispositions shall also be reported here. Case dispositions in this line shall be explained in Part F. COMMENTS.

**26-230.24 SECTION IV. FRAUD OVERPAYMENT AND FINE DOLLAR AMOUNTS 26-230.24**

Line 21. **Total Fraud Overpayment/Overissuances Identified (Dollar Amounts)** - Enter the total dollar amount of fraud overpayments and overissuances identified due to completed investigation activity. Any adjustments to this line should be entered in the month that the information was received. Example: A \$200 overpayment was reported in January 1995 and the county was informed that the overpayment was reduced to \$150 in March 1996. The amount that was increased or decreased should be reported on the March 1996 DPA 266 report with an explanation in the Part F. COMMENTS. In this case, the total identified overpayment/overissuance amount would be reduced by \$50 in the March 1996 report month.

Line 22. **Fines/Forfeitures (Dollar Amounts)** - Report the total dollar amounts of fines/forfeitures levied through civil or criminal prosecution activity in the "Total" column.

**26-230.30 PART B. PROSECUTION ACTIVITY****26-230.30**

This part of the report provides information on fraud referrals accepted by the DA and the dispositions of those referrals.

**26-230.31 SECTION I: PROSECUTION ACTIVITY****26-230.31**

- Item 1. **Referrals Pending Beginning of this Month** - Enter the total number of cases pending dispositions from last month. This item should agree with Part B, Section I, Line 5 of the prior month's report. If not, enter correct data in Line 1 of the current report and note the reason for the discrepancy in Part F. COMMENTS.
- Item 2. **Referrals Received During Month** - Enter the total number of cases received during the report month.
- Item 3. **Total Referrals Available During Month** - Enter the sum of Item 1 plus Item 2.
- Line 4. **Total Referrals Processed During the Month** - Enter the total number of cases for which a criminal complaint or indictment was filed during the report month or for which a decision was made not to prosecute. Sum of Line 4a and Line 4b below.
- a. **Prosecutions Filed** - Enter the total number of cases for which a criminal complaint or indictment or other actions (e.g., diversions, citation hearings) was filed during the report month. This may differ from the number of cases referred to the DA as reported in Section III, Line 11.
- b. **Decision Made Not to Prosecute** - Enter the total number of cases during the report month where the decision was made by the prosecuting authority not to prosecute. Include in this category all those cases in which there was a failure to indict.
- Line 5. **Referrals Pending at End of Month** - Enter the total number of referrals pending at the end of the report month. This item is the difference between Item 3 and Item 4.

## 26-230.32 SECTION II: PROSECUTION OUTCOMES

26-230.32

This part of the report provides information on the outcomes of the prosecutions filed in Section 26-230.31, Section I. If the prosecution results in more than one outcome, all should be reported. Because multiple dispositions will be reported in this section (Part B, Section II), the numbers will not be the same as in Part B, Section I above.

Line 6. **Convictions** - Enter the total number of filed complaints/indictments where there was a criminal conviction, from either a guilty plea, nolo plea, diversion, or trial. Include complaints/indictments convicted in part and acquitted in part.

Line 7. **Administrative Action** - Enter the number of filed complaints/indictments disposed of through a restitution agreement arranged as approved by the DA and disposed of in lieu of criminal indictment other than those reported in Line 8 below. Include final dispositions through grant adjustments, agreements to repay, citation hearings, civil and small claims court judgments, full cash restitution made, court diversion programs, etc.

Line 8. **Disqualification Consent Agreement** - Enter the total number of filed complaints disposed of through a Disqualification Consent Agreement.

Line 9. **Charge Pleaded** - A "Charge Pleaded" exists when more than one filed complaint/indictment against a person/defendant is accepted by the DA and the DA agrees to drop one or more welfare charges in order to obtain a guilty plea on the other charge. The program in which the charge is dropped will be reported as "Charge Pleaded."

Line 10. **Dismissals** - Enter the total number of filed complaints/indictments disposed of during the report month by dismissal after issuance of a complaint, including those dismissed by motion of the court, either prior to or at the trial, but only if the complaint is not remanded for administrative disposition.

Line 11. **Acquittals** - Enter the total number of filed complaints/indictments disposed of by an acquittal.

Line 12. **Declinations** - Enter the total number of filed complaints/indictments declined by the DA and on which no other action will be taken. A preliminary decision not to prosecute pending further investigation is not a declination. Such complaints shall be carried pending until further investigation is completed and a final disposition made. However, if the DA declines to take legal action on a complaint/indictment after accepting the referral, and the investigation unit has included a valid and acceptable restitution arrangement in the investigation report, the disposition of the complaint/indictment should be reported as an approved restitution arrangement in Part B, Line 7, Administrative Action and not as disposed of through a declination to take legal action.

Line 13. **Expiration of Statutes** - Enter the total number of filed complaints/indictments disposed of due to the Statute of Limitations or because the Statute has or will expire soon.

Line 14. **Other** - Enter the number of filed complaint/indictments disposed of for reasons other than sub-items "6" through "13". Case dispositions shall be specified by type in Part F. COMMENTS.

**26-230.40 PART C. COMPLAINTS ISSUED 26.230.40**

Deleted by Manual Letter No. SR-96-01, effective 7/1/96.

**26-230.50 PART C. ADMINISTRATIVE DISQUALIFICATION HEARING ACTIVITY 26-230.50**

This part of the report provides information on referrals for Administrative Disqualification Hearings. Include referrals for all ADHs, whether held at the state or county level.

Line 1. **Referred to ADH** - Enter the total number of persons referred, by program, for an Administrative Disqualification Hearing that was requested in the report month. Include state and local level ADH referrals.

Line 2. **Waivers** - Enter the total number of ADH waivers here.

Line 3. **Upheld Convictions** - Enter the total number of cases found guilty of IPV during the report period. Upheld means the ADH was found in favor of the requesting agency.

Line 4. **Acquittals** - Enter the total number of cases found not guilty of committing an IPV during the report period. Acquittal means the ADH found for the defendant.

Line 5. **Decision Pending** - Enter the total number of cases for which the cases were heard but the court's decision was not formally rendered before the end of the report period.

Line 6. **Program Dollars** - Enter the estimated dollar value of program loss that may be recovered in Item 3 of this part. Program loss means the associated overpayment/overissuance for each conviction.

**26-230.60 PART D. PERSONS DISQUALIFIED 26-230.60**

This part of the report provides information on persons disqualified.

Item 1. **Persons Disqualified as a Result of Court Prosecutions** - Enter the total number, by program, of people who were disqualified in the month through court action. Disqualification Consent Agreements are considered court actions as are civil and federal court findings.

Item 2. **Administrative Hearing Disqualifications** - Enter the total number of people who were disqualified in the month, by program, as a result of Administrative Disqualification Hearings, or their equivalent. All "waiver of hearing" disqualifications should also be recorded here.

**26-230.70 PART E. COLLECTION** **26-230.70**

Item 1. **Total Collected During The Prior Report Month (Dollar Amounts)** - Enter the total dollar amount of fraud overpayments collected by or for the County Welfare Department during the **prior month**. Report only those dollar amounts that reflect restitution for fraud overpayments or overissuances. Grant adjustments should be included in this amount if they reflect restitution for fraud overpayments or overissuances. For the purposes of this report, it is a fraud collection if it is from an overpayment linked to investigation referrals found to have committed fraud.

**NOTE:** In a combined AFDC-Food Stamp investigation where the investigation is tracked in both the AFDC and Food Stamp columns, the restitution agreed to or ordered is to be reported in applicable columns where the AFDC overpayment and the Food Stamp overissuance amounts are separately identified.

**26-230.71 PART G. FOR USE UPON INSTRUCTIONS FROM SDSS ONLY** **26-230.71**

Deleted by Manual Letter No. SR-96-01, effective 7/1/96.

**26-230.80 PART F. COMMENTS** **26-230.80**

Discrepancies, special comments or explanations regarding data in this report are to be made in space provided. Additional pages may be attached as necessary.

**26-230.90 FORM DPA 266****26-230.90**

Fill in the information requested at the top and bottom of the Report Form and show the amounts required for each item. **If an item is nonapplicable to your county, enter "NAP" in the appropriate item box.** Zero entries need not be made.



**This page is intentionally left blank.**

FORM DPA 266

State of California - Health and Welfare Agency  
**FRAUD INVESTIGATION ACTIVITY REPORT**

SEND ONE COPY TO: Department of Social Services  
 Information Services Bureau  
 744 P Street, Main Station 12-87  
 Sacramento, CA 95814

County Name	County #	For Month Ending Month, Day, Year			
<b>PART A. INVESTIGATION ACTIVITY</b>					
ITEM	AFDC (1)	PA FOOD STAMPS (2)	NA FOOD STAMPS (3)	TOTAL (4)	ALL OTHER PROGRAMS (5)
<b>SECTION I. INVESTIGATION REQUESTS</b>					
1. Total Requests Received During Month					
2. Total Requests Rejected During Month					
3. Total Requests Accepted During Month (Sum Items 3a through 3e)					
a. Early Fraud Prevention/Detection (EFP/D)					
b. Income and Eligibility Verification System (IEVS)					
c. Other Unreported Income					
d. Homeless Assistance					
e. Unreported Resources/Assets					
f. Family (Household) Composition					
g. Duplicates/Replaced Warrants/Loose Food Stamps					
h. Duplicate (Multiple) Aid					
i. Forgery					
j. Residence					
k. Fictitious Identity					
l. Food Stamp Trafficking					
m. Internal Affairs					
n. Other					
<b>SECTION II. INVESTIGATION CASELOAD</b>					
4. Investigations Pending Beginning This Month (Part A, Item 7 last month, or explain in Part F)					
5. Total Investigations Available During Month (Item 3 plus 4)					
6. Total Investigations Completed During Month (Sum Items 6a and 6b)					
a. Evidence Sufficient to Support an Allegation of Fraud (Sum Line 1 and Line 2 below)					
1. Cases Referred for Prosecution					
2. Cases Not Referred for Prosecution					
b. Evidence Not Sufficient to Support an Allegation of Fraud					
7. Investigations Pending at End of Month (Item 5 minus Item 6)					
<b>SECTION III. INVESTIGATION RESULTS</b>					
8. Denials (Early Fraud)					
9. Benefits Reduced (Early Fraud)					
10. Discontinuances (Early Fraud)					
11. Referred for Prosecution					
12. Referred to Administrative Disqualification Hearing (ADH)					
13. Restitution Action					
14. Benefits Reduced (Not Early Fraud)					
15. Benefits Discontinued (Not Early Fraud)					
16. Fraud Found: No Adverse Financial Impact					
17. Allegation Unfounded					
18. Insufficient Evidence					
19. Expiration of Statutes					
20. Other					
<b>SECTION IV</b>					
21. Total Fraud Overpayments Identified (Dollar Amount)					
22. Fines/Foreitures (Dollar Amount)					

CP 266 7/84 Continued on Reverse Side

REVERSE OF FORM DPA 266

REVERSE OF FORM DPA 266

County Name and #		Report Month				
PART B. PROSECUTION ACTIVITY		AFDC (1)	PA FOOD STAMPS (2)	NA FOOD STAMPS (3)	TOTAL (4)	ALL OTHER PROGRAMS (5)
ITEM						
<b>SECTION I. PROSECUTION ACTIVITY</b>						
1. Referrals Pending Beginning of Month (Part B, Item 5 last month, or explain)						
2. Referrals Received During Month						
3. Total Referrals Available During Month (Item 1 plus Item 2)						
4. Total Referrals Processed During Month (Sum of Line 4a and Line 4b.)						
a. Prosecutions Filed						
b. Decision Made to Not Prosecute						
5. Referrals Pending End of Month (Line 3 minus Line 4)						
<b>SECTION II. PROSECUTION OUTCOMES</b>						
6. Convictions						
7. Administrative Action						
8. Disqualification Consent Agreements (DCA)						
9. Charge Pleaded						
10. Dismissals						
11. Acquittals						
12. Decisions						
13. Expiration of Statutes						
14. Other						
<b>PART C. ADMINISTRATIVE DISQUALIFICATION HEARING ACTIVITY</b>						
1. Referred for Administrative Disqualification Hearing (ADH)						
2. Waivers						
3. Upheld Convictions						
4. Acquittals						
5. Decisions Pending						
6. Program Dollars						
<b>PART D. PERSONS DISQUALIFIED</b>						
1. Persons Disqualified During Month as a Result of Court Prosecutions						
2. Administrative Hearing Disqualifications						
<b>PART E. COLLECTIONS</b>						
1. Total Collected During Prior Month (Dollar Amounts)						
<b>PART F. COMMENTS:</b>						
NAME TITLE TELEPHONE and FAX NUMBER OF PERSON TO CONTACT IN CASE THERE ARE QUESTIONS CONCERNING THIS REPORT						
ENTER THE DATE THIS REPORT WAS COMPLETED						
NAME		TITLE		TELEPHONE, FAX NUMBER		DATE
DPA 266 (7/96) <span style="float: right;">Page 2 of 2</span>						