



Edwin M. Lee, Mayor

Department of Human Services  
Department of Aging and Adult Services

Trent Rhorer, Executive Director

**MEMORANDUM**

TO: HUMAN SERVICES COMMISSION

THROUGH: TRENT RHORER, EXECUTIVE DIRECTOR

FROM: NOELLE SIMMONS, DEPUTY DIRECTOR  
JOHN TSUTAKAWA, DIRECTOR OF CONTRACTS *J41*

DATE: SEPTEMBER 22, 2017

SUBJECT: GRANT MODIFICATION: **CHILD AND FAMILY POLICY INSTITUTE OF CALIFORNIA** (NON-PROFIT); ACTING AS FISCAL AGENT TO THE LEAD CONSULTANT FOR THE CALWORKS STRATEGIC INITIATIVE

	<u>Current</u>	<u>Modification</u>	<u>Revised</u>	<u>Contingency</u>	<u>Total</u>
GRANT TERM:	9/1/15- 10/31/17	11/1/17 – 10/31/18	9/1/15- 10/31/18		
TOTAL GRANT AMOUNT:	\$1,040,000	\$621,062	\$1,661,062	\$166,106	\$1,827,168
ANNUAL AMOUNT:	9/1/15- 6/30/16	7/1/16- 10/31/17	11/1/17- 10/31/18		
	\$520,000	\$520,000	\$621,062		
Funding Source	<u>County</u>	<u>State</u>	<u>Federal</u>	<u>Contingency</u>	<u>Total</u>
MODIFICATION	\$0	\$621,062	\$0	\$166,106	\$787,168
FUNDING:					
PERCENTAGE:	0%	100%	0%		

The Department of Human Services (DHS) requests authorization to modify the existing grant with the Child Family and Policy Institute of California for the provision of Fiscal Agent services for the lead consultant of the CalWORKs Strategic Initiative, for the modification period of November 1, 2017 to October 31, 2018, in an additional amount of \$621,062 plus a 10% contingency for a new total grant amount not to exceed \$1,827,168. The purpose of this modification is to continue providing consulting services to the County Welfare Directors Association of California (CWDA) in support of the CalWORKs Strategic Initiative.

## **Background**

CWDA is a non-profit association representing the human services directors of California's 58 counties. The CWDA Board of Directors authorized an appropriation of up to \$500,000 per year from the CalWORKs Single Allocation for fiscal years 2015-16 and 2016-17 to support a statewide strategic planning and improvement process for the CalWORKs program.

The CFPIC is a private non-profit organization incorporated in 2004 as a 501(c)3 entity under the auspices of CWDA. The purpose of the CFPIC is to "advance the development of sound public policy and promote program excellence in county Human Services Agencies through research, education, training and technical assistance."

In July 2015, at the request of the CWDA Executive Steering Committee, the CFPIC issued a Request for Proposals to secure the services of a consultant to design and develop a package of tools, curricula, performance metrics, and web-based facilitation of best practice sharing between counties. This effort will integrate the disparate programmatic components of the CalWORKs program into a comprehensive program that is whole family-focused, customized to meet the evolving needs of each family, and helps keep children out of poverty and supports parents in reaching self-sufficiency.

## **Services to be Provided**

On behalf of CWDA, CFPIC will retain and provide fiscal agent services to a competitively-selected sub-contractor who will produce the following deliverables by the end of the grant term:

- A. Quarterly facilitated meetings with the Executive Steering Committee.
- B. Written monthly and annual progress reports to the Steering Committee.
- C. A county needs assessment related to the CalWORKs program.
- D. Identification of evidence-based and promising practices from across the nation and internationally) in:
  - o Strategies for achieving the stated outcomes of the CalWORKs program, and
  - o Program design and service modalities that build on current research as it relates to the effects of trauma exposure on cognitive function
- E. County implementation tools for identified program components.
- F. Identification of core competencies for staff in the CalWORKs program.
- G. Staff training curricula on agreed upon topics.
- H. Performance metrics and data tracking tools that counties can use to self-monitor and self-evaluate.
- I. A secure, web-based gathering place for counties to share best practices and experiences.
- J. Recommendations for administrative, regulatory, and statutory changes that support both programmatic integration and the achievement of CalWORKs goals.
- K. Recommendations regarding the feasibility and desirability of a future effort to develop a Core Practice Model in CalWORKs.

## **Selection**

Grantee is a sole source provider. Grantee was directed by the CWDA to issue an RFP and serve as the fiscal agent for the consulting services for the CalWORKs Strategic Initiative.

**Funding**

This grant modification is entirely state-funded through the CalWORKs Single Allocation.

**ATTACHMENTS**

Appendix A-1, Scope of Services

Appendix B-1, Budget

**Appendix A-1**  
**Services to be Provided**  
**Child & Family Policy Institute of California**  
**9/1/15-10/31/18**

**I. Purpose of Grant**

The purpose of the grant is to provide fiscal agent services on behalf of the County Welfare Directors Association of California (CWDA) to a team of consultants competitively selected to lead the California Work Opportunities and Responsibility to Kids (CalWORKs) Strategic Initiative. This effort will integrate the disparate programmatic components of the CalWORKs program into a comprehensive program that is whole family-focused, customized to meet the evolving needs of each family, and that helps keep children out of poverty and supports parents in reaching self-sufficiency.

**II. Definitions**

CalWORKs	The California Work Opportunities and Responsibility to Kids program that provides cash aid and employment supports to needy families throughout California.
CWDA	County Welfare Directors Association of California
Grantee	Child & Family Policy Institute of California
Subgrantee	Mathematica Policy Research, the successful bidder in a competitive process conducted to seek a lead consultant for the CalWORKs Strategic Initiative.
Executive Steering Committee	Oversight entity for the CalWORKs Strategic Initiative, comprised of staff and members of the County Welfare Directors Association of California (CWDA).

**III. Target Population**

The ultimate objective of this grant is to improve services provided by public social services agencies to the approximately 1.2 million CalWORKs recipients in the 58 California counties.

#### IV. **Description of Services**

Grantee shall provide the following services during the original term of this grant (9/1/15 – 10/31/17):

On behalf of the County Welfare Directors Association (CWDA), retain the services and oversee the activities of a Subgrantee who will design and develop, at minimum, a package of tools, curricula, performance metrics, and web-based facilitation of best practice sharing between counties that will

- A. Assess County CalWORKs operations, organization, staffing and business processes.
- B. Recommend programmatic integration of the varied CalWORKs components and services.
- C. Develop practical tools that meet county needs for training and inter-county sharing of best practices and information on specified topics and program components.
- D. Articulate program outcomes and performance metrics and the development of analytic tools.
- E. Recommend adoption of best practices in welfare-to-work service delivery at the county level.

Grantee shall provide the following services during the extension period of this grant (11/1/17 – 10/31/18):

- A. **Management and Communication:** Conduct regular communication within team and with project officers, manage project finances and products, and report project progress regularly.
- B. **Strategic Planning:** Engage in regular communication and planning sessions with state and project officer stakeholders to drive the vision and direction of work. Plan for sustainability and continue momentum of the CalWORKs Strategic Initiative.
- C. **Develop Tools and Resources:** Finalize tools and resources to address the findings of the needs assessment while incorporating best practices from the field and emphasizing county progress to CalWORKs 2.0.
- D. **Training and Implementation Support:** Work with county management staff on the rollout of the county administrator guide and provision of implementation guidance for the culture shift. Train and support implementation of CalWORKs 2.0 alongside staff at every level.
- E. **County Learning Community:** Update content for and facilitate the CalWORKNextGen.org website, an electronic forum, a series of e-

communications, and webinars to connect counties around practice improvement.

- F. Evaluation and Performance Metrics: Aid counties in a self-evaluation process and help county directors examine performance management processes and metrics. Contribute to counties' understanding and adoption of the statewide CalWORKs Outcomes and Accountability Review (Cal-OAR) process. Conduct a fidelity assessment of county utilization of tools developed through the CalWORKs Strategic Initiative.

**V. Location and Time of Services**

Services will be performed at the Subgrantee's worksite(s) and as required in one or more California counties.

**VI. Deliverables**

Grantee shall enter into a contract with the selected Subgrantee that specifies the following deliverables for the original grant term (9/1/15 – 10/31/17):

- A. Quarterly meetings with the Executive Steering Committee, with additional meetings to be scheduled as necessary.
- B. Submission of written monthly and annual progress reports to the Steering Committee.
- C. Completion of a county needs assessment related to the CalWORKs program. This assessment will be used to help the Executive Steering Committee, together with the Subgrantee, determine specific deliverables or areas of focus.
- D. Identification of evidence-based and promising practices (across the state, nation and internationally) in:
  - o Strategies for achieving the stated outcomes of the CalWORKs program, and
  - o Program design and service modalities that build on current research as it relates to the effects of trauma exposure on cognitive function
- E. Implementation tools for identified program components.
- F. Identification of core competencies for staff in the CalWORKs program.
- G. Staff training curricula on agreed upon topics.
- H. Performance metrics and data tracking tools that counties can use to self-monitor and self-evaluate.
- I. A secure, web-based gathering place for counties to share best practices and experiences.
- J. Recommendations for administrative, regulatory, and statutory changes that support both programmatic integration and the achievement of CalWORKs goals.
- K. Based on what is learned throughout this process, recommendations regarding the feasibility and desirability of a future effort to develop a Core Practice Model in CalWORKs.

For the grant extension period (11/1/17-10/31/18), the Grantee shall maintain its contract with the Subgrantee and modify it to specify the following new deliverables to be completed by the end of the grant term:

### **Task 1: Management and Communication**

- 1.1 Weekly communication within team
- 1.2 Monthly progress reports to client
- 1.3 Monthly internal project management
- 1.4 Contract development and MOUs

### **Task 2: Strategic Planning**

- 2.1 Regular planning with client
- 2.2 Regular planning with ESC (see schedule)
- 2.3 Presentations to board of directors
- 2.4 Recommend policy changes and resources needed
- 2.5 Revised work plan
- 2.6 Sustainability planning

### **Task 3: Develop Tools and Resources**

- 3.1 Intentional service selection model guidelines
- 3.2 Goal achievement framework and core practice model recommendations
- 3.3 County-level tools and resource guide (finalized)
  - County self-assessment
  - Goal achievement framework implementation guidelines
  - Intentional service selection implementation guidelines
  - County goal setting guide
  - Staff and other program capacity building opportunities
  - Performance indicators and recommendations

- Frontline staff tools and resource guide (finalized)
  - Triage tool
  - Orientation and engagement guide - messaging strategy
- 3.4
  - Goal-achievement framework implementation tools
  - Intentional service selection framework implementation guide
  - Data and performance indicator guidelines
  - Other communication/messaging tools
- 3.5 Expanded program service delivery options: connect counties to existing external opportunities
- 3.6 Finalized staff KSAs
- 3.7 Electronic automation and integration suggestions and exploration on behalf of CWDA
- 3.8 Support final/additional IMPROVE road test site (s)
- 3.9 Road Tests:
  - Complete ongoing road tests

#### **Task 4: Training and Implementation Support**

- 4.1 Facilitate culture change training with county management and administrative staff
- 4.2 Facilitate trainings for frontline staff
- 4.3 Intensive implementation technical assistance
- 4.4 Online staff training tools - videos

#### **Tasks 5: County Learning Community**

- 5.1 CalWORKs Next Generation Website
- 5.2 Electronic library of CalWORKs 2.0 resources
- 5.3 CalWORKs 2.0 Newsletter series
- 5.4 CalWORKs 2.0 Webinar series
- 5.5 County peer sharing online forum

#### **Task 6: Evaluation and Performance Metrics**



- 6.1 Formalization of progress measurement concepts integrated into CalWORKs 2.0 tools and resources that align with Cal-OARs determinations at the state level
- 6.2 Finalized performance management and metrics recommendations - Advise Cal-OAR integration with CalWORKs 2.0
- 6.3 Participate in CalOAR meetings/ work groups
- 6.4 Road test training for CalWORKs context and loading on website
- 6.5 Inform adoption of uniform elements of Site Improvement Plan/ Peer reviews (from CalOAR legislation)
- 6.6 Fidelity assessment

**VII. Grantee Responsibilities**

- A. Grantee shall provide fiscal agent services to Subgrantee, including receipt and disbursement of funds, invoicing, issuing checks, and maintaining financial records related to these transactions. Grantee shall not disburse any grant funds except as authorized by this agreement.
- B. Grantee will issue timely monthly payments to the Subgrantee, conditional upon acceptable Subgrantee performance, timely reporting and timely invoicing.

**VIII. Reporting Requirements**

- A. Grantee will provide a monthly written report of activities from the Subgrantee, referencing the tasks as described in Section VI- Deliverables.
- B. Grantee will provide a final report summarizing the contract activities, referencing the tasks as described in Section VI- Deliverables. Grantee will upload the final report with the submission of the final October 2018 invoice in the CARBON database by the 15<sup>th</sup> of the following month.
- C. Grantee will also require that the Subgrantee submit the monthly and final reports directly to CWDA.
- D. For assistance with reporting requirements or submission of reports, contact:

Justin.Chan@sfgov.org  
 Senior Contract Manager, Office of Contract Management  
 or  
 Noelle.Simmons@sfgov.org  
 Deputy Director, Economic Support & Self-Sufficiency Division

**IX. Monitoring Activities**

- A. Program Monitoring: Program monitoring will include review of the revised contract between Grantee and Subgrantee prior to execution, as well as review of the required monthly and final Subgrantee reports in order to assess progress towards meeting service and outcome objectives.
  
- B. Fiscal Compliance and Contract Monitoring: Fiscal monitoring will include review of the Grantee's organizational budget, the general ledger, quarterly balance sheet, cost allocation procedures and plan, State and Federal tax forms, audited financial statement, fiscal policy manual, supporting documentation for selected invoices, cash receipts and disbursement journals.

	A	B	C	D	E
1	Appendix B-1, Page 1				
2	Document Date: 9/19/17				
3	<b>HUMAN SERVICES AGENCY BUDGET SUMMARY</b>				
4	<b>BY PROGRAM</b>				
5	Name			Term	
6	Child and Family Policy Institute of California			9/1/15-10/31/18	
7	(Check One)    New            Renewal <input type="checkbox"/> Modification <input checked="" type="checkbox"/>				
8	If modification, Effective Date of Mod.		No. of Mod. 1		
9	Program: CalWORKs Strategic Initiative				
10	Budget Reference Page No.(s)				Total
11	Program Term	9/1/15-8/31/16	9/1/16-10/31/17	11/1/17-10/31/18	9/1/15-10/31/18
12	<b>Expenditures</b>				
13	Salaries & Benefits	\$0	\$0	\$0	\$0
14	Operating Expense	\$500,000	\$500,000	\$591,488	\$1,591,488
15	<b>Subtotal</b>	<b>\$500,000</b>	<b>\$500,000</b>	<b>\$591,488</b>	<b>\$1,591,488</b>
16	Indirect Percentage (%)	4.00%	4.00%	5.00%	4.37%
17	Indirect Cost (Line 16 X Line 15)	\$20,000	\$20,000	\$29,574	\$69,574
18	Capital Expenditure	\$0	\$0	\$0	\$0
19	<b>Total Expenditures</b>	<b>\$520,000</b>	<b>\$520,000</b>	<b>\$621,062</b>	<b>\$1,661,062</b>
20	<b>HSA Revenues</b>				
21	CalWORKs Single Allocation	\$520,000	\$520,000	\$621,062	\$1,661,062
22					
23					
24					
25					
26					
27					
28					
29	<b>TOTAL HSA REVENUES</b>	<b>\$520,000</b>	<b>\$520,000</b>	<b>\$621,062</b>	<b>\$1,661,062</b>
30	<b>Other Revenues</b>				
31					
32					
33					
34					
35					
36	<b>Total Revenues</b>	<b>\$520,000</b>	<b>\$520,000</b>	<b>\$621,062</b>	<b>\$1,661,062</b>
37	Full Time Equivalent (FTE)				
39	Prepared by:	Telephone No.:		Date	
40	HSA-CO Review Signature: _____				
41	HSA #1				

	A	B	C	D	E	F	G	H	I	J	K
1											Appendix B-1, Page 2
2											Document Date: 9/19/17
3											
4	Program Name:										
5	(Same as Line 9 on HSA #1)										
6											
7	<b>Operating Expense Detail</b>										
8											
9											
10											
11											TOTAL
12	<u>Expenditure Category</u>			TERM	<u>9/1/15-8/31/16</u>	<u>9/1/16-10/31/17</u>	<u>11/1/17-10/31/18</u>				<u>9/1/15-10/31/18</u>
13	Rental of Property										
14	Utilities(Elec, Water, Gas, Phone, Scavenger)										
15	Office Supplies, Postage										
16	Building Maintenance Supplies and Repair										
17	Printing and Reproduction										
18	Insurance										
19	Staff Training										
20	Staff Travel-(Local & Out of Town)										
21	Rental of Equipment										
22	CONSULTANT/SUBCONTRACTOR DESCRIPTIVE TITLE										
23	Subgrantee				\$500,000	\$500,000	\$591,488				\$1,591,488
24											
25											
26											
27											
28	OTHER										
29											
30											
31											
32											
33											
34											
35	TOTAL OPERATING EXPENSE				\$500,000	\$500,000	\$591,488				\$1,591,488
36											
37	HSA #3										