

**NOTICE OF FORM CHANGE NO. 04-207**

DATE

07/13/2004

**TO:**  
County Welfare Director  
Supply Clerk / Forms Coordinator

**FROM:**  
Forms Management Unit  
(916) 657-1907

Community Care Licensing District Offices  
 Private and Public Adoption Agencies

District Attorney  
 Other

Listed below is information regarding a form change. Only applicable information is shown.

This notice updates your Department of Social Services County Forms Catalog.

FORM NUMBER AND TITLE    DPA 266 (7/04) - Fraud Investigation Activity Report

ORDER UNIT <b>MASTER ONLY</b>	<input checked="" type="checkbox"/> Free <input type="checkbox"/> Sold	ESTIMATED PRICE	INITIAL SUPPLY SENT <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<input type="checkbox"/> New <input checked="" type="checkbox"/> Revised	DATE OF FORM 7/04	REPLACES 7/01	<input type="checkbox"/> Obsolete
REQUIRED FORM- <input checked="" type="checkbox"/> No Change Permitted	REQUIRED FORM- <input type="checkbox"/> Substitute Permitted With Prior DSS Approval	<input type="checkbox"/> Recommended Form	
UNLESS OTHERWISE SPECIFIED STOCK MAINTAINED AT: <b>Department of Social Services Warehouse P.O. Box 980788 West Sacramento, CA 95798-0788</b>		<input type="checkbox"/> Other:	

**FORMS DISPOSITION AND SPECIAL INSTRUCTIONS**

## DISPOSITION OF OLD SUPPLY

Use until exhausted                       Destroy

## USE NEW FORM

When supply available in DSS Warehouse                       Use new form effective    7/04

## USE FORM IN ACCORDANCE WITH

All County Letter No. 04-25  
 Other (specify)

## ADDITIONAL INFORMATION REGARDING FORM CHANGE

This form is a Master Only

Check on the internet to see if forms are available at [www.dss.cahwnet.gov](http://www.dss.cahwnet.gov)

For camera-ready copies of English and Spanish forms, please call the Forms Management Unit (FMU) at (916) 657-1907, or by electronic mail at: [fmudss@dss.ca.gov](mailto:fmudss@dss.ca.gov). Contact Language Services for other languages at (916) 445-6778 or by electronic mail at [LTS@dss.ca.gov](mailto:LTS@dss.ca.gov).

# Fraud Investigation Activity Report

SUBMIT THIS REPORT FORM VIA EMAIL  
(see <http://www.dss.cahwnet.gov/dssdb/>)  
OR SEND ONE COPY TO:  
California Department of Social Services  
Data Systems and Survey Design Bureau, M.S. 9-081  
P.O. Box 944243  
Sacramento, CA 94244-2430  
FAX: (916) 657-2074

COUNTY NAME	VERSION <input type="checkbox"/> INITIAL <input type="checkbox"/> REVISED		REPORT MONTH AND YEAR		
<b>PART A. INVESTIGATION ACTIVITY</b>	<b>CalWORKs (1)</b>	<b>PA Food Stamps (2)</b>	<b>NA Food Stamps (3)</b>	<b>Total (1+2+3) (4)</b>	<b>All Other Programs (5)</b>

## Section I. Investigation Requests

1. Total requests received during month (Item 2 plus 3).....	1	2	3	4	5
2. Total requests rejected during month.....	6	7	8	9	10
3. Total requests accepted during month (Item 3a through 3r).....	11	12	13	14	15
a. Early Fraud Prevention/Detection (EFP/D).....	16	17	18	19	20
b. Income and Eligibility Verification System (IEVS).....	21	22	23	24	25
c. Other unreported income.....	26	27	28	29	30
d. Homeless assistance.....	31			32	33
e. Unreported resources/assets.....	34	35	36	37	38
f. Family (household) composition.....	39	40	41	42	43
g. Duplicate/replaced warrants/lost Food Stamps.....	44	45	46	47	48
h. Duplicate (multiple) aid.....	49	50	51	52	53
i. Forgery.....	54	55	56	57	58
j. Residence.....	59	60	61	62	63
k. Fictitious identity.....	64	65	66	67	68
l. Food Stamp trafficking.....		69	70	71	
m. Internal affairs.....	72	73	74	75	76
n. Child Care.....	77	78	79	80	81
o. Drug Felon.....	82	83	84	85	86
p. Fleeing Felon.....	87	88	89	90	91
q. Probation/Parole Violators.....	92	93	94	95	96
r. Other (Explain in Comments).....	97	98	99	100	101

## Section II. Investigation Caseload

4. Investigations pending beginning this month (Item 7 last month or explain in Comments).....	102	103	104	105	106
5. Total investigations available during month (Item 3 plus 4).....	107	108	109	110	111
6. Total investigations completed during month (Item 6a plus 6b).....	112	113	114	115	116
a. Evidence sufficient to support allegation of fraud (6a1 plus 6a2).....	117	118	119	120	121
1) Cases referred for prosecution.....	122	123	124	125	126
2) Cases not referred for prosecution.....	127	128	129	130	131
b. Evidence not sufficient to support an allegation of fraud.....	132	133	134	135	136
7. Investigations pending at end of month (Item 5 minus 6).....	137	138	139	140	141

COUNTY NAME	REPORT MONTH AND YEAR				
<b>Section III. Investigation Results</b>	<b>CalWORKs (1)</b>	<b>PA Food Stamps (2)</b>	<b>NA Food Stamps (3)</b>	<b>Total (1+2+3) (4)</b>	<b>All Other Programs (5)</b>
8. Denials (Early Fraud).....	142	143	144	145	146
9. Benefits reduced (Early Fraud).....	147	148	149	150	151
10. Discontinuances (Early Fraud).....	152	153	154	155	156
11. Referred for prosecution.....	157	158	159	160	161
12. Referred to Administrative Disqualification Hearing (ADH).....	162	163	164	165	166
13. Restitution action.....	167	168	169	170	171
14. Benefits reduced (not Early Fraud).....	172	173	174	175	176
15. Benefits discontinued (not Early Fraud).....	177	178	179	180	181
16. Fraud found, no adverse financial impact.....	182	183	184	185	186
17. Allegation unfounded.....	187	188	189	190	191
18. Insufficient evidence.....	192	193	194	195	196
19. Expiration of statutes.....	197	198	199	200	201
20. Other (Explain in Comments).....	202	203	204	205	206
<b>Section IV. Overpayments</b>					
21. Total fraud overpayments/issuances identified (dollar amounts).....	207	208	209	210	211
22. Fines/forfeitures (dollar amounts).....				212	
<b>PART B. PROSECUTION ACTIVITY</b>					
<b>Section I. Prosecution Activity</b>					
23. Referrals pending beginning of month (Item 27 last month or explain in Comments).....	213	214	215	216	217
24. Referrals received during month.....	218	219	220	221	222
25. Total referrals available during month (Item 23 plus 24).....	223	224	225	226	227
26. Total referrals processed during month (Item 26a plus 26b).....	228	229	230	231	232
a. Prosecutions filed.....	233	234	235	236	237
b. Decision made to not prosecute.....	238	239	240	241	242
27. Referrals pending end of month (Item 25 minus 26).....	243	244	245	246	247
<b>Section II. Prosecution Outcomes</b>					
28. Convictions.....	248	249	250	251	252
29. Administrative action.....	253	254	255	256	257
30. Disqualification Consent Agreements (DCA).....	258	259	260	261	262
31. Charge pleaded.....	263	264	265	266	267
32. Dismissals.....	268	269	270	271	272
33. Acquittals.....	273	274	275	276	277
34. Declinations.....	278	279	280	281	282
35. Expiration of statutes.....	283	284	285	286	287
36. Other (Explain in Comments).....	288	289	290	291	292

COUNTY NAME	REPORT MONTH AND YEAR				
<b>PART C. ADMINISTRATIVE DISQUALIFICATION HEARING ACTIVITY</b>	<b>CalWORKs (1)</b>	<b>PA Food Stamps (2)</b>	<b>NA Food Stamps (3)</b>	<b>Total (1+2+3) (4)</b>	<b>All Other Programs (5)</b>
37. Referred for Administrative Disqualification Hearing (ADH).....	293	294	295	296	297
38. Waivers.....	298	299	300	301	302
39. Upheld convictions.....	303	304	305	306	307
40. Acquittals.....	308	309	310	311	312
41. Decisions pending.....	313	314	315	316	317
42. Program dollars.....	318	319	320	321	322
<b>PART D. PERSONS DISQUALIFIED</b>					
43. During month as a result of court prosecutions.....	323	324	325	326	327
44. Administrative Hearing Disqualifications.....	328	329	330	331	332
<b>PART E. COLLECTIONS</b>					
45. Total collected during prior month (dollar amounts).....	333	334	335	336	337
<b>PART F. COMPUTER MATCH ACTIVITY</b>					
<b>Section I. Matches Received</b>					
46. California Youth Authority.....	338	339	340	341	342
47. Nationwide Prisoner Match.....	343	344	345	346	347
48. Fleeing Felon.....	348	349	350	351	352
49. Reserved.....					
<b>Section II. Results: Benefits Reduced</b>					
50. California Youth Authority.....	353	354	355	356	357
51. Nationwide Prisoner Match.....	358	359	360	361	362
52. Fleeing Felon.....	363	364	365	366	367
53. Reserved.....					
<b>Section III. Results: Discontinuances</b>					
54. California Youth Authority.....	368	369	370	371	372
55. Nationwide Prisoner Match.....	373	374	375	376	377
56. Fleeing Felon.....	378	379	380	381	382
57. Reserved.....					
<b>COMMENTS</b>					
CONTACT PERSON	TELEPHONE		EXTENSION	FAX	
TITLE/CLASSIFICATION	EMAIL			DATE COMPLETED	

## FRAUD INVESTIGATION ACTIVITY REPORT DPA 266 (7/04)

### INSTRUCTIONS

#### CONTENT

The monthly DPA 266 report contains statistical information on cases where reasonable grounds to suspect fraud have resulted in a request for investigation to the Special Investigative 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. The DPA 266 covers case investigations in all California Work Opportunity and Responsibility to Kids (CalWORKs) cases, including those cases in the Two Parent separate state program; Public Assistance (PA) and Nonassistance (NA) Food Stamps; and other aid programs. The report provides data on requests for investigation; disposition of investigations by County Welfare Departments (CWDs) and County DAs; fraud overpayments/overissuances identified 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.

Copies of the report form and instructions can be viewed (in Adobe Acrobat PDF format) or printed from the California Department of Social Services (CDSS), Research and Data Reports website at <http://www.dss.cahwnet.gov/research/>. The report's released monthly statewide and county-specific data is also available on the website.

#### PURPOSE

The DPA 266 provides the CDSS with welfare fraud investigation and prosecution activity information. In California these activities are conducted by CWDs, Sheriffs Offices and County DAs. To measure these efforts, the DPA 266 displays the amount of activity in each county's operation unit and is used to (a) evaluate the effectiveness of fraud prevention/detection programs; (b) evaluate the effectiveness of local agencies in applying fraud prevention/detection policies; and (c) plan with local agencies on any needed changes.

Information collected on the DPA 266 is used to prepare the federally required annual United States Department of Agriculture (USDA) Program and Budget Summary Statement Part B - Program Activity Statement (FNS 366B). In addition, this data is used in the CDSS Fraud Investigation Report, published quarterly, and other special reports for CDSS administration and the State Legislature. The DPA 266 also provides county, state and federal entities with information needed for budgeting, staffing, program planning, and other purposes.

#### COMPLETION AND SUBMISSION

The CWD is responsible for ensuring that this report is fully and accurately completed. If portions of the report are completed by more than one entity within the CWD and/or outside agencies, the contact person responsible for submitting the report to the state shall review the report for completeness and accuracy prior to submittal. Reports are to be received on or before the 12th working day of the month following the report month. This report may be submitted either via email or in hard copy:

Email submission. Download an Excel version of the report form from <http://www.dss.cahwnet.gov/dssdb/> to your PC desktop. Complete the downloaded report form and email to the CDSS, Data Systems and Survey Design Bureau (DSSDB). This email submission process contains automatic computation of some cells and easy email transmission of completed report forms to DSSDB. The website contains specific instructions and guidance.

**COMPLETION AND SUBMISSION CONTINUED**

Hard copy submission: If email submission is not possible, complete a paper copy of the report form and fax or mail to:

California Department of Social Services  
Data Systems and Survey Design Bureau, M.S. 9-081  
P.O. Box 944243  
Sacramento, CA 94244-2430

**FAX: (916) 657-2074**

If you have questions regarding this report, contact DSSDB at (916) 651-8269.

**GENERAL INSTRUCTIONS**

Enter in the boxes provided near the top of the form the county name and the report month and year.

Enter the data required for each item. If there is nothing to report for an item, enter "0". **Do not leave any items blank.**

Enter in the boxes at the end of the form the name, job title or classification, telephone, fax and email address of the person to contact if there are questions about the report. This person may or may not be the person who completed the report. Enter the date the report was completed.

**COLUMN INSTRUCTIONS**

Part A, Sections I and II: When reporting suspected fraud for a combined aid case (i.e. CalWORKs/PAFS case), report one case in each affected aid category. See Section I and II instructions for further details.

Part A, Section III: This section tracks the results of cases in Section II; however, the numbers will not necessarily be the same. A completed investigation may result in fraud being identified in multiple aid categories. These are not always the same categories that were originally identified when cases were accepted as investigation requests. See instructions in Section III for further details.

CalWORKs, Column (1): Report activity for all CalWORKs cases, including those cases in the state funded Two Parent separate state program. In those instances where the suspected fraud affects both a CalWORKs cash grant case and a Food Stamp case, the activity shall be reported as one case in the CalWORKs column and one case in the PA Food Stamp column.

PA Food Stamps, Column (2): Report activity on federal-only or combined federal/state Food Stamp cases where the suspected fraud affects Public Assistance (PA) Food Stamps. Per ACIN I-79-03 dated November 13, 2003, a PA Food Stamp household is defined as a household in which all members are receiving or authorized to receive CalWORKs benefits, including two-parent family benefits [Section 63-102(p) (12) (a) and (b)].

- If the suspected fraud affects the CalWORKs portion and the Food Stamp portion of the case, the case should be reported in both the CalWORKs and the PA Food Stamp columns.
- If the suspected fraud affects only the Food Stamp portion of the case, the case should be reported only in the PA Food Stamp column.
- If the suspected fraud affects only the CalWORKs portion of the case, the case should be reported only in the CalWORKs column.

Activity in California Food Assistance Program (CFAP) only cases should NOT be reported here, but reported instead in Column (5) All Other Programs. General Assistance/General Relief Food Stamp cases should NOT be reported here, but reported instead in the NA Food Stamp column.

**COLUMN INSTRUCTIONS CONTINUED**

**NA Food Stamps, Column (3):** Report activity on federal-only or combined federal/state Food Stamp cases where the suspected fraud affects Nonassistance (NA) Food Stamps. Per ACIN I-79-03 dated November 13, 2003, a NA Food Stamp household is defined as a household in which all members are receiving food stamp benefits but none of the members are receiving or authorized to receive CalWORKs, including two-parent family benefits [Section 63-102(n) (1)]. A mixed household is a household in which not all members are receiving or authorized to receive CalWORKs, including two-parent family benefits; at least one member is receiving NA food stamp benefits. However, for reporting purposes, mixed households are considered NA households [Section 63-102(m) (9)].

If the suspected fraud affects a case in another program, the activity shall be reported as one case in the NA Food Stamp column and one case in the All Other Programs column.

- For example, if the suspected fraud only affects the Food Stamp portion of the case, the case should only be reported in the NA Food Stamps column.
- But if the suspected fraud affects both the Food Stamp portion of the case and another program in the case (i.e. General Assistance/General Relief), the case should be reported in both the NA Food Stamp column and the All Other Programs column.

Activity in California Food Assistance Program (CFAP) only cases should NOT be reported here, but reported instead in Column (5) All Other Programs

**Total, Column (4):** Skip this column if completing the Excel version; it will be automatically calculated. Enter the sum of columns (1), (2), and (3) for each item for Parts A through F or explain in Comments.

**All Other Programs, Column (5):** Report activity on investigations into any other aid programs administered under the California Department of Social Services including, but not limited to:

- Assistance Dog Special Allowance (ADSA) Program
- California Food Assistance Program (CFAP)
- County Medical Services Program (CMSP)  
(Note: Medi-Cal only and Medi-Cal cases with CMSP should not be included. Only CMSP cases with no Medi-Cal component should be included.)
- Foster Care
- General Assistance/General Relief
- In-Home Supportive Services
- Supplemental Security Income/State Supplemental Payment (SSI/SSP)

In those instances where the suspected fraud affects another program and Nonassistance Food Stamps report one case in the All Other Programs column and one in the NA Food Stamps column. All entries in this column must be explained in Comments.

**ITEM INSTRUCTIONS****PART A. INVESTIGATION ACTIVITY**

This part of the report provides information on requests for investigation. An allegation of fraud is not a request for investigation until an authorized official accepts the request with the intent of assigning it for investigative activity. Do not include match processing activity, clearing a case through the Department of Justice, or preliminary review prior to requesting an investigation.

**PART A. Section I. Investigation Requests**

This section provides information on the volume of requests for investigation received, rejected or accepted. It provides data for the FNS 366B, a required Food Stamp federal report.

## ITEM INSTRUCTIONS CONTINUED

**PART A. Section I. Investigation Requests (Continued)**

1. Total requests received during month (Item 2 plus 3): Skip this item if completing the Excel version; it will be automatically calculated. 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 CalWORKs and PA Food Stamps will be counted as one case in Column (1) and one case in Column (2). *[Cells 1-5]*
2. Total requests rejected during month: Enter the total number of requests for investigation that were rejected during the report month. “Rejected” means that the request was received, reviewed, and will not be assigned for investigation. *[Cells 6-10]*
3. Total requests accepted during month (Item 3a through 3r): Skip this item if completing the Excel version; it will be automatically calculated. 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. *[Cells 11-15]*

Sub-items 3a through 3r break out the total investigation requests 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/overissuance. Elements affecting eligibility receive priority over elements affecting grant levels.

- a. Early Fraud Prevention/Detection (EFP/D): Enter the total number of requests during the report month to the early Fraud Prevention/Detection program. Include those for both investigator and eligibility worker (EW) staffed EFP/D programs. *[Cells 16-20]*
- b. Income and Eligibility Verification System (IEVS): Enter the total number of requests during the report month to the SIU emanating from an IEVS 155 or equivalent documents. Include requests from other automated matches such as Payment Verification System (PVS), Franchise Tax Board (FTB), Internal Revenue Service (IRS), etc. *[Cells 21-25]*
- c. Other unreported income: Enter the total number of unreported income requests during the report month not initiated by IEVS. *[Cells 26-30]*
- d. Homeless assistance: Enter the total number of requests during the report month based on false claims of homelessness. *[Cells 31-33]*
- e. Unreported resources/assets: Enter the total number of non-IEVS requests during the report month concerning concealed or misreported assets/resources, such as real/personal property, bank resources, cash, stocks, bonds, vehicles, etc. *[Cells 34-38]*
- f. Family (household) composition: Enter the total number of requests during the report month based on allegations that the Assistance Unit (household) members are not in the home or are in the home but not eligible for inclusion in the grant. For example, a CalWORKs child is not in the home or not a full-time student or the household is receiving Food Stamps for three when the Food Stamp household is two. Requests alleging the absent parent is in the home should also be reported under this category. *[Cells 39-43]*
- g. Duplicate/replaced warrants/lost Food Stamps: Enter the total number of requests during the report month based on duplicate/replaced warrants and/or lost Food Stamp benefits. *[Cells 44-48]*



**ITEM INSTRUCTIONS CONTINUED****PART A. Section I. Investigation Requests (Continued)**

- h. Duplicate (multiple) aid: Enter the total number of requests during the report month for an investigation alleging that an individual, or groups of individuals, are receiving aid under two or more case numbers, in one or more districts, counties and/or states. This includes any requests resulting from the Statewide Fingerprint Imaging System (SFIS). *[Cells 49-53]*
- i. Forgery: Enter the total number of forgery investigation reports during the report month. *[Cells 54-58]*
- j. Residence: Enter the total number of requests during the report month based on false residency. *[Cells 59-63]*
- k. Fictitious identity: Enter the total number of requests during the report month based on fictitious identity. *[Cells 64-68]*
- l. Food Stamp trafficking: Enter the total number of requests during the report month alleging the illegal sale, purchase or bartering of Food Stamp benefits. *[Cells 69-71]*
- m. Internal affairs: Enter the total number of internal affairs investigation requests during the report month. If you are able to link the investigation to a specific program, report it in the applicable program. If not, report it in Column (5) All Other Programs. *[Cells 72-76]*
- n. Child Care: Enter the total number of child care investigation requests during the report month. *[Cells 77-81]*
- o. Drug Felon: Enter the total number of drug felon investigation requests during the report month. *[Cells 82-86]*
- p. Fleeing Felon: Enter the total number of investigation requests during the report month emanating from a fleeing felon match, self declaration, or other sources alleging these violations. *[Cells 87-91]*
- q. Probation/Parole Violators: Enter the total number of probation/parole violator investigation requests during the report month emanating from a fleeing felon match, self-declaration, or other sources. *[Cells 92-96]*
- r. Other (Explain in Comments): Enter the total number of other requests during the report month. Explain the allegations in Comments. Cases alleging that the deprivation or incapacity does not exist should be reported here. *[Cells 97-101]*

**PART A. Section II. Investigation Caseload**

This section provides information on the volume of investigations available and completed and provides required data for the FNS 366B, a required Food Stamp federal report.

- 4. Investigations pending beginning this month (Item 7 last month or explain in Comments): Enter the total number of accepted investigations pending from the prior month. This item should agree with Item 7, Investigations pending at end of month, of the prior month's report. If not, enter the correct data here and provide the reason for the adjustment in Comments. *[Cells 102-106]*
- 5. Total investigations available during month (Item 3 plus 4): Skip this item if completing the Excel version; it will be automatically calculated. Enter the sum of Item 3 plus Item 4. *[Cells 107-111]*

**ITEM INSTRUCTIONS CONTINUED****PART A. Section II. Investigation Caseload (Continued)**

6. Total Investigations completed during month (Item 6a plus 6b): Skip this item if completing the Excel version; it will be automatically calculated. Enter the total number of investigations completed during the report month. This is the sum of Item 6a and Item 6b. *[Cells 112-116]*
- a. Evidence sufficient to support an allegation of fraud (6a1 plus 6a2): Skip this item if completing the Excel version; it will be automatically calculated. Enter the number of **cases** during the report month for which there was sufficient evidence to support a question of fraud. This is the sum of Item 6a1) and Item 6a2). 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, Items 8 -16 will result in one case count in this item. *[Cells 117-121]*
- 1) Cases referred for prosecution: Enter the total number of **cases** during the report month referred to the agency empowered to prosecute. Report Disqualification Consent Agreements (DCAs) here. This number should be the same as the number in Item 11, Referred for prosecution. *[Cells 122-126]*
- 2) Cases not referred for prosecution: Enter the number of **cases** during the report month **not** referred to the agency empowered to prosecute. A **case** should be reported here if it was reported as a disposition(s) in Items 8 - 10 and 12 - 16. In other words, each case counted in Item 6a2 must have at least one disposition (result) counted in Section III. Since a case can have more than one result, Item 6a2 must be less than or equal to the sum of Items 8, 9, 10, 12, 13, 14, 15 and 16. *[Cells 127-131]*
- b. Evidence not sufficient to support an allegation of fraud: Enter the total number of **cases** during the report month for which a decision was made that the evidence was insufficient to support a question of fraud. A **case** should be reported here if it was reported as a disposition in 17, 18 and 19. In other words, each case counted in Item 6b must have at least one disposition (result) counted in Section III. Since a case can have more than one result, Item 6b must be less than or equal to the sum of Items 17, 18 and 19. *[Cells 132-136]*
7. Investigations pending at end of month (Item 5 minus 6): Skip this item if completing the Excel version; it will be automatically calculated. Enter the total number of investigations pending at the end of the report month. *[Cells 137-141]*

**PART A. Section III. Investigation Results**

Report the results of all SIU investigations closed during the report month. This section tracks the results of the cases in Section II. However, the numbers in Section III will not be the same as the numbers in Section II, as a case in Section II may have multiple results in Section III. Example: A case resulting in a restitution action, and in which benefits are reduced, would be reported in Item 13, Restitution action and Item 9, Benefits reduced (Early Fraud) or Item 14, Benefits reduced (not Early Fraud).

“Fraud” results: Items 8, 9, 10, 12, 13, 14, 15 and 16 are the investigation results for cases that have been determined to have fraud. For each case counted in Item 6a2, there must be at least one “fraud related” disposition (result) counted in Section III. Since a case can have more than one result, Item 6a2 must be less than or equal to the sum of Items 8, 9, 10, 12, 13, 14, 15 and 16.

**ITEM INSTRUCTIONS CONTINUED****PART A. Section III. Investigation Results (Continued)**

**“No Fraud” results:** Items 17, 18, and 19 are the investigation results for cases that have not been determined to have fraud. For each case counted in Item 6b, there must be at least one “no fraud” disposition (result) counted in Section III. Since a case can have more than one result, Item 6b must be less than or equal to the sum of Items 17, 18 and 19.

**“Other” results:** Item 20 is the investigation result used when Items 8-19 do not apply. “Other” results can be either “fraud” related or “no fraud” related. Each case that has an Item 20 Other result must be counted in either Item 6a2 or 6b, but cannot be counted in both Item 6a2 and 6b.

8. **Denials (Early Fraud):** Enter the total number of completed Early Fraud investigations during the report month (by an investigator or an EFP/D EW) resulting in a denial of the application. In these cases, no benefits have been issued. *[Cells 142-146]*
9. **Benefits reduced (Early Fraud):** Enter the total number of completed Early Fraud investigations during the report month (by an investigator or an EFP/D EW) resulting in a reduction of benefits. Example: The investigation determined that the AU (household) was two not three because a child was not living in the home. *[Cells 147-151]*
10. **Discontinuances (Early Fraud):** Enter the total number of completed Early Fraud investigations during the report month (by an investigator or an EFP/D EW) resulting in a discontinuance of benefits. These occur, particularly in the Homeless Assistance, Emergency Assistance, and Expedited Food Stamp programs, when an entitlement is issued prior to completion of the Early Fraud investigation. *[Cells 152-156]*
11. **Referred for prosecution:** Enter the total number of cases during the report month referred to the agency empowered to prosecute. This number must be the same as the number in Part A, Section II, Item 6a1), Cases referred for prosecution. *[Cells 157-161]*
12. **Referred to Administrative Disqualification Hearing (ADH):** Enter the total number of **cases** referred for an ADH during the report month. *[Cells 162-166]*
13. **Restitution action:** Enter the total number of cases during the report month in which a restitution action is taken, i.e., agreement to repay. *[Cells 167-171]*
14. **Benefits reduced (not Early Fraud):** Enter the total number of cases during the report month resulting in a reduction of benefits that are not the result of Early Fraud Detection. *[Cells 172-176]*
15. **Benefits discontinued (not Early Fraud):** Enter the total number of cases during the report month resulting in benefits being discontinued that are not the result of Early Fraud Detection. *[Cells 177-181]*
16. **Fraud found, no adverse financial impact:** Enter the total number of cases during the report month 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. *[Cells 182-186]*
17. **Allegation unfounded:** Enter the total number of cases during the report month where the investigation found there was no fraud. *[Cells 187-191]*

**ITEM INSTRUCTIONS CONTINUED****PART A. Section III. Investigation Results (Continued)**

18. Insufficient evidence: Enter the total number of cases during the report month where the investigation failed to determine whether a violation occurred. [Cells 192-196]
19. Expiration of statutes: Enter the total number of cases during the report month where the investigation is terminated as a result of the expiration of the statute of limitation. [Cells 197-201]
20. Other (Explain in Comments): Enter the total number of completed investigations during the report month disposed of for reasons other than listed in Items 8 through 19. Internal affairs dispositions shall also be reported here. Case dispositions in this item shall be explained in Comments. [Cells 202-206]

**PART A. Section IV. Overpayments**

21. Total fraud overpayments/overissuances identified (dollar amounts): Enter the total dollar amount of fraud overpayments (OPs) and overissuances (OIs) during the report month identified due to completed investigation activity. Do not include IEVS-identified OPs/OIs unless they meet county criteria for fraud investigation and adjudication, or have been investigated. Any adjustments to this item should be entered in the month that the information was received. Example: A \$200 overpayment was reported in January and the county was informed that the overpayment was reduced to \$150 in March. The amount that was increased or decreased should be reported on the March DPA 266 report with an explanation in Comments. In this case, the total identified overpayment/overissuance amount would be reduced by \$50 in the March report month. [Cells 207-211]
22. Fines/forfeitures (dollar amounts): Report the total dollar amount of fines/forfeitures levied through civil or criminal prosecution activity during the report month in Column (4) Total. [Cell 212]

**PART B. PROSECTUTION ACTIVITY**

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

**PART B. Section I. Prosecution Activity**

23. Referrals pending beginning of month (Item 27 last month or explain in Comments): Enter the total number of cases pending dispositions from last month. This item should agree with Item 27, Referrals pending end of month, of the prior month's report. If not, enter the correct data here and note the reason for the adjustment in Comments. [Cells 213-217]
24. Referrals received during month: Enter the total number of cases received during the report month. [Cells 218-222]
25. Total referrals available during month (Items 23 plus 24): Skip this item if completing the Excel version; it will be automatically calculated. Enter the sum of Item 23 plus Item 24. [Cells 223-227]

**ITEM INSTRUCTIONS CONTINUED****PART B. Section I. Prosecution Activity (Continued)**

26. Total referrals processed during month (Item 26a plus 26b): Skip this item if completing the Excel version; it will be automatically calculated. 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. This is the sum of Item 26a and Item 26b. *[Cells 228-232]*
- a. Prosecutions filed: Enter the total number of cases for which a criminal complaint or indictment or other actions (e.g., diversions, citation hearings) were filed during the report month. This number may differ from the number of cases referred to the DA as reported in Item 11, Referred for prosecution. *[Cells 233-237]*
- b. Decision made not to prosecute: Enter the total number of cases during the report month in which the prosecuting authority decided not to prosecute. Include in this category all those cases in which there were a failure to indict. *[Cells 238-242]*
27. Referrals pending end of month (Item 25 minus 26): Skip this item if completing the Excel version; it will be automatically calculated. Enter the total number of referrals pending at the end of the report month. This is Item 25 minus Item 26. *[Cells 243-247]*

**PART B. Section II. Prosecution Outcomes**

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

28. Convictions: Enter the total number of filed complaints/indictments during the report month 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. *[Cells 248-252]*
29. Administrative action: Enter the number of filed complaints/indictments during the report month 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 Item 30, Disqualification Consent Agreements. 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. *[Cells 253-257]*
30. Disqualification Consent Agreements (DCA): Enter the total number of filed complaints during the report month disposed of through a DCA. *[Cells 258-262]*
31. Charge pleaded: Enter the total number of filed complaints/indictments during the report month disposed of through a 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 during the report month will be reported as "Charge pleaded." *[Cells 263-267]*
32. 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. *[Cells 268-272]*
33. Acquittals: Enter the total number of filed complaints/indictments disposed of by an acquittal during the report month. *[Cells 273-277]*

**ITEM INSTRUCTIONS CONTINUED****PART B. Section II. Prosecution Outcomes (Continued)**

34. Declinations: Enter the total number of filed complaints/indictments during the report month 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 Item 29, Administrative action and not as disposed of through a declination to take legal action. *[Cells 278-282]*
35. Expiration of statutes: Enter the number of filed complaints/indictments disposed of during the report month because the statute of limitations has expired or will soon expire. *[Cells 283-287]*
36. Other (Explain in Comments): Enter the number of filed complaints/indictments disposed of during the report month for reasons other than Items 28 through 35. Specify “Other” case dispositions by type in Comments. *[Cells 288-292]*

**PART C. ADMINISTRATIVE DISQUALIFICATION HEARING ACTIVITY**

This part of the report provides information on referrals for Administrative Disqualification Hearings (ADH). Include referrals for all ADHs.

37. Referred for Administrative Disqualification Hearing (ADH): Enter the total number of **persons** referred, by program, for an Administrative Disqualification Hearing that was requested during the report month. Include state and local level ADH referrals. *[Cells 293-297]*
38. Waivers: Enter the total number of ADH waivers signed during the report month. *[Cells 298-302]*
39. Upheld convictions: Enter the total number of cases found guilty of Intentional Program Violation(s) (IPVs) during the report month. Upheld means the ADH found in favor of the requesting agency. *[Cells 303-307]*
40. Acquittals: Enter the total number of cases found not guilty of committing an IPV during the report month. Acquittal means the ADH found in favor of the defendant. *[Cells 308-312]*
41. Decisions 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 month. *[Cells 313-317]*
42. Program dollars: Enter the estimated dollar value of program loss that may be recovered in Item 39, Upheld convictions. Program loss means the associated overpayment/overissuance for each conviction. *[Cells 318-322]*

**PART D. PERSONS DISQUALIFIED**

This part of the report provides information on persons disqualified as a result of court prosecutions or Administrative Disqualification Hearings.

43. Persons disqualified during month as a result of court prosecutions: Enter the total number of people who were disqualified during the report month, by program, through court action. Disqualification Consent Agreements are considered court actions as are civil and federal court findings. *[Cells 323-327]*

**ITEM INSTRUCTIONS CONTINUED**

44. Administrative Disqualification Hearings: Enter the total number of people who were disqualified during the report month, by program, as a result of an ADH. All “waiver of hearing” disqualifications should also be recorded here. *[Cells 328-332]*

**PART E. COLLECTIONS**

45. Total collected during prior report month (dollar amounts): Enter the total dollar amount of fraud overpayments/overissuances collected by or for the CWD during the prior month. Report only those dollar amounts that reflect collections for fraud overpayments or overissuances. Grant adjustments should be included in this amount if they are for fraud overpayments or overissuances. For the purposes of this report, a fraud collection is an overpayment/overissuance collection that resulted from an investigation in which fraud was found. *[Cells 333-337]*

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

**PART F. COMPUTER MATCH ACTIVITY**

This part of the report provides information on computer matching activities that occur prior to requests for investigation. Requests for investigation resulting from match activity are to be reported in Part A, Section I, Item 3 (e.g. Item 3f or Item 3p).

**PART F. Section I. Matches Received**

46. California Youth Authority: Enter the total number of records received during the report month for the California Youth Authority (CYA) computer match. *[Cells 338-342]*
47. Nationwide Prisoner Match: Enter the total number of records received during the report month for the Nationwide Prisoner Match (NPM).

Note: From October 1999 through June 2004 report months, this item was used to provide Jail Reporting System (JRS) data. Beginning with July 2004 report month, this item collects Nationwide Prisoner Match data. *[Cells 343-347]*

48. Fleeing Felon: Enter the total number of new records received during the report month for the Fleeing Felon computer match (FFM). *[Cells 348-352]*
49. Reserved: This item is reserved for future use.

**PART F. Section II. Results: Benefits Reduced**

50. California Youth Authority: Enter the total number of completed CYA matches during the report month resulting in a reduction of benefits. *[Cells 353-357]*

**ITEM INSTRUCTIONS CONTINUED****PART F. Section II. Results: Benefits Reduced (Continued)**

51. Nationwide Prisoner Match: Enter the total number of completed matches of the Nationwide Prisoner Match during the report month resulting in a reduction of benefits.

Note: From October 1999 through June 2004 report months, this item was used to provide Jail Reporting System (JRS) data. Beginning with July 2004 report month, this item collects Nationwide Prisoner Match data. *[Cells 358-362]*

52. Fleeing Felon: Enter the total number of completed Fleeing Felon matches during the report month resulting in a reduction of benefits. *[Cells 363-367]*

53. Reserved: This item is reserved for future use.

**PART F. Section III. Results: Discontinuances**

54. California Youth Authority: Enter the total number of completed CYA matches during the report month resulting in a case discontinuance of benefits. *[Cells 368-372]*

55. Nationwide Prisoner Match: Enter the total number of completed matches for Nationwide Prisoner Match during the report month resulting in a case discontinuance of benefits.

Note: From October 1999 through June 2004 report months, this item was used to provide Jail Reporting System (JRS) data. Beginning with July 2004 report month, this item collects Nationwide Prisoner Match data. *[Cells 373-377]*

56. Fleeing Felon: Enter the total number of completed Fleeing Felon matches during the report month resulting in a case discontinuance of benefits. *[Cells 378-382]*

57. Reserved: This item is reserved for future use.

**COMMENTS**

Use the Comments section to:

- Explain any major fluctuations in data.
- Explain any adjustment entries.
- Provide information as directed in the report instructions.
- Provide any other comments the county determines necessary.